

**Department of Homeland Security**  
*Office of the Secretary and Executive Management*  
**Budget Overview**



**Fiscal Year 2021**  
**Congressional Justification**

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**Office of the Secretary and Executive Management**

**Appropriation Organization Structure**

<b>Organization Name</b>	<b>Level</b>	<b>Fund Type (* Includes Defense Funding)</b>
<b>Office of the Secretary and Executive Management</b>	<b>Component</b>	
<b>Operations and Support</b>	<b>Appropriation</b>	
Office of the Secretary	PPA	Discretionary - Appropriation
Office of Strategy, Policy, and Plans	PPA	Discretionary - Appropriation
Office of Public Affairs	PPA	Discretionary - Appropriation
Office of Legislative Affairs	PPA	Discretionary - Appropriation
Office of Partnership and Engagement	PPA	Discretionary - Appropriation
Office of General Counsel	PPA	Discretionary - Appropriation
Office for Civil Rights and Civil Liberties	PPA	Discretionary - Appropriation
Office of the Citizenship and Immigration Services Ombudsman	PPA	Discretionary - Appropriation
Privacy Office	PPA	Discretionary - Appropriation
Operations and Engagement	PPA	Discretionary - Appropriation
Management and Oversight	PPA	Discretionary - Appropriation

**Office of the Secretary and Executive Management  
Strategic Context**

**Component Overview**

The strategic context presents the performance budget by tying together programs, or PPAs, and performance measures that gauge the delivery of results to our stakeholders. The Common Appropriation Structure (CAS) allows DHS to integrate the programmatic view and a significant portion of the Level 1 PPAs represent what DHS refers to as our mission programs. A mission program is a group of activities acting together to accomplish a specific high-level outcome external to DHS and include operational processes, skills, technology, human capital, and other resources. support programs are also an important subset of our Level 1 PPAs that provide products and/or services to mission programs. Mission support capabilities include research and development, intelligence, training, and information sharing. Mission support programs may be cross-cutting and support multiple mission programs. Mission support also includes enterprise leadership, management and/or business administration services and describes the capabilities and activities that support the day-to-day management and back office functions enabling the Department to operate efficiently and effectively. Performance measures associated with our programs are presented in two measure sets, strategic and management measures. Strategic measures communicate results delivered for our agency goals by programs and are considered our Government Performance and Results Act Modernization Act of 2010 (GPRAMA) measures. Additional management measures are displayed to provide a more thorough context of expected program performance for the Component related to its budgetary plans. The Office of the Secretary and Executive Management’s mission support program’s publicly reported measures are presented below. Measure tables that do not display previous year’s results are because the measure did not exist at that time.

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

**Management Measures**

<b>Measure:</b> Number of outreach activities conducted by the Ombudsman to obtain feedback on the delivery of citizenship and immigration services						
<b>Description:</b> This measure reports the number of outreach activities conducted by the Citizenship and Immigration Ombudsman (CISOMB) to capture feedback on the delivery of citizenship and immigration services by U.S. Citizenship and Immigration Services (USCIS). CISOMB regularly conducts outreach events to identify areas in which individuals and employers encounter problems dealing with USCIS to propose changes in its administrative practices and mitigate identified problems.						
<b>Fiscal Year:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target:</b>	90	95	100	105	106	107
<b>Result:</b>	103	69	79	90	TBD	TBD

<b>Measure:</b> Number of policy proposals for administrative actions by the Office of the CIS Ombudsman to improve the delivery of immigration services						
<b>Description:</b> This measure depicts the number of written policy recommendations produced by the Office of the CIS Ombudsman that are presented to USCIS to further stated policy priorities. Each recommendation is provided to USCIS for specific action to further the improvement of the delivery of immigration benefits.						
<b>Fiscal Year:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target:</b>	---	---	5	7	9	11
<b>Result:</b>	---	---	3	7	TBD	TBD

<b>Measure:</b> Percent of case-related inquiries submitted to the Ombudsman regarding the delivery of citizenship and immigration services where action has been taken to resolve within 45 days of receipt						
<b>Description:</b> This measure reports the percent of requests for case assistance submitted to Citizenship and Immigration Services Ombudsman (CISOMB) regarding the delivery of citizenship and immigration services by U.S. Citizenship and Immigration Services (USCIS) where action has been taken by CISOMB to resolve the issue within 45 days of receipt. CISOMB takes action on requests for case assistance by inquiring with the responsible USCIS office to ensure the customer’s concern is addressed. CISOMB’s mission is to assist individuals and employers when they encounter difficulty with USCIS.						
<b>Fiscal Year:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target:</b>	---	75%	76%	77%	78%	79%
<b>Result:</b>	---	61%	63%	53%	TBD	TBD

**Office for Civil Rights and Civil Liberties:** The Office for Civil Rights and Civil Liberties (CRCL) supports the Department as it secures the Nation while preserving individual liberty, fairness, and equality under the law. CRCL is involved in all of the Department’s missions and performs four key functions to integrate civil rights and civil liberties into departmental activities: 1) advising Department leadership, personnel, and partners about civil rights and civil liberties issues; ensuring respect for civil rights and civil liberties in policy decisions and in the implementation of those decisions; 2) communicating with individuals and communities whose civil rights and civil liberties may be affected by DHS activities; 3) investigating and resolving civil rights and civil liberties complaints filed by the public; and 4) leading the Department’s equal employment opportunity programs and promoting personnel diversity and merit system principles.

**Management Measures**

<b>Measure:</b> Percent of Equal Employment Opportunity complaints timely adjudicated						
<b>Description:</b> This measure indicates the share of all Final Actions issued by the Office for Civil Rights and Civil Liberties (CRCL) to dispose Equal Employment Opportunity complaints, issued by CRCL within timeframes specified in Federal regulations; see 29 CFR §1614.110.						
<b>Fiscal Year:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target:</b>	50%	40%	45%	45%	47%	49%
<b>Result:</b>	35%	26%	37%	51%	TBD	TBD

<b>Measure:</b> Percent of investigations of alleged civil rights and civil liberties violations opened and closed within one year						
<b>Description:</b>						
<b>Fiscal Year:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target:</b>	---	---	---	60	61	62
<b>Result:</b>	---	---	---	68	TBD	TBD

**Office of the Secretary and Executive Management  
Budget Comparison and Adjustments**

**Appropriation and PPA Summary**

<b>Organization</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>
<b>Operations and Support</b>	<b>\$141,381</b>	<b>\$168,808</b>	<b>\$150,359</b>
Office of the Secretary	\$18,527	-	-
Office of Strategy, Policy, and Plans	\$37,950	\$48,571	\$52,121
Office of Public Affairs	\$5,321	-	-
Office of Legislative Affairs	\$5,462	-	-
Office of Partnership and Engagement	\$14,566	-	-
Office of General Counsel	\$19,379	-	-
Office for Civil Rights and Civil Liberties	\$25,312	-	-
Office of the Citizenship and Immigration Services Ombudsman	\$6,200	-	-
Privacy Office	\$8,664	-	-
Operations and Engagement	-	\$59,022	\$43,740
Management and Oversight	-	\$61,215	\$54,498
<b>Total</b>	<b>\$141,381</b>	<b>\$168,808</b>	<b>\$150,359</b>

**Office of the Secretary and Executive Management  
Comparison of Budget Authority and Request**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Operations and Support	622	570	\$141,381	658	605	\$168,808	696	638	\$150,359	38	33	(\$18,449)
<b>Total</b>	<b>622</b>	<b>570</b>	<b>\$141,381</b>	<b>658</b>	<b>605</b>	<b>\$168,808</b>	<b>696</b>	<b>638</b>	<b>\$150,359</b>	<b>38</b>	<b>33</b>	<b>(\$18,449)</b>
Subtotal Discretionary - Appropriation	622	570	\$141,381	658	605	\$168,808	696	638	\$150,359	38	33	(\$18,449)

\*Per the Consolidated Appropriations Act, 2020 (P.L. 116-93), \$10.0M was transferred from the Office of the Secretary and Executive Management (OSEM) to the Federal Emergency Management Agency (FEMA) for the Targeted Violence and Terrorism Prevention (TVTP) grant program. For the table above, the \$10.0M is reflected in FY 2020 Enacted in the FEMA Federal Assistance appropriation.

**Component Budget Overview**

For the FY 2021 President’s Budget, the Office of the Secretary and Executive Management (OSEM) requests \$150.4M in total gross budget authority. This represents an decrease of \$18.4M over the FY 2020 Enacted.



**Office of the Secretary and Executive Management  
Budget Authority and Obligations**

<b>Budget Authority</b> <i>(Dollars in Thousands)</i>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Enacted/Request</b>	<b>\$141,381</b>	<b>\$168,808</b>	<b>\$150,359</b>
Carryover and/or Recoveries (Actual/Estimates/Projections)	-	-	-
Rescissions to Current Year/Budget Year	(\$62)	-	-
Net Sequestered Resources	-	-	-
Reprogrammings/Transfers	-	-	-
Supplementals	-	-	-
<b>Total Budget Authority</b>	<b>\$141,319</b>	<b>\$168,808</b>	<b>\$150,359</b>
Collections – Reimbursable Resources	\$25,835	\$17,944	\$19,666
<b>Total Budget Resources</b>	<b>\$167,154</b>	<b>\$186,752</b>	<b>\$170,025</b>
Obligations (Actual/Estimates/Projections)	\$162,770	\$186,752	\$170,025
<b>Personnel: Positions and FTE</b>			
Enacted/Request Positions	622	658	696
Enacted/Request FTE	570	605	638
<b>Onboard and Actual FTE; Includes Collections - Reimbursable Resources</b>			
Onboard (Actual/Estimates/Projections)	714	725	761
FTE (Actual/Estimates/Projections)	665	672	703

\*In the table above, the rescission line includes the administrative savings rescissions per the Consolidated Appropriation Act, 2019 (P.L. 116-6).

**Office of the Secretary and Executive Management  
Collections - Reimbursable Resources**

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Change		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<b>Department of Defense - Department of Defense</b>	<b>Source</b>	1	1	\$224	1	1	\$232	1	1	\$204	-	-	(\$28)
Operations and Support	Location	1	1	\$224	1	1	\$232	1	1	\$204	-	-	(\$28)
Office of the Secretary	Location	1	1	\$224	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	1	1	\$232	1	1	\$204	-	-	(\$28)
<b>Department of Homeland Security - Department of Homeland Security</b>	<b>Source</b>	3	3	\$3,102	3	3	\$2,201	2	2	\$2,400	(1)	(1)	\$199
Operations and Support	Location	3	3	\$3,102	3	3	\$2,201	2	2	\$2,400	(1)	(1)	\$199
Office of Strategy, Policy, and Plans	Location	1	1	\$224	1	1	\$224	-	-	-	(1)	(1)	(\$224)
Office of Partnership and Engagement	Location	-	-	\$2,550	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	2	2	\$228	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$100	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$1,600	-	-	\$1,918	-	-	\$318
Management and Oversight	Location	-	-	-	2	2	\$377	2	2	\$482	-	-	\$105
<b>Independent Agency - Central Intelligence Agency</b>	<b>Source</b>	1	1	\$204	1	1	\$204	-	-	-	(1)	(1)	(\$204)
Operations and Support	Location	1	1	\$204	1	1	\$204	-	-	-	(1)	(1)	(\$204)
Office of the Secretary	Location	1	1	\$204	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	1	1	\$204	-	-	-	(1)	(1)	(\$204)
<b>Department of Homeland Security - Federal Emergency Management Agency</b>	<b>Source</b>	0	0	\$941	1	1	\$801	1	1	\$818	-	-	\$17
Operations and Support	Location	0	0	\$941	1	1	\$801	1	1	\$818	-	-	\$17
Office of Partnership and Engagement	Location	-	-	\$625	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	0	0	\$71	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$245	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$625	-	-	\$642	-	-	\$17
Management and Oversight	Location	-	-	-	1	1	\$176	1	1	\$176	-	-	(\$0)

Department of Homeland Security

Office of the Secretary and Executive Management

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Change		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<b>Department of Homeland Security - Federal Law Enforcement Training Center</b>	<b>Source</b>	1	1	\$3	-	-	\$3	-	-	-	-	-	(\$3)
Operations and Support	Location	1	1	\$3	-	-	\$3	-	-	-	-	-	(\$3)
Office of General Counsel	Location	1	1	\$3	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	-	-	\$3	-	-	-	-	-	(\$3)
<b>Department of Homeland Security - Transportation Security Administration</b>	<b>Source</b>	1	1	\$154	1	1	\$188	0	0	\$388	(0)	(0)	\$200
Operations and Support	Location	1	1	\$154	1	1	\$188	0	0	\$388	(0)	(0)	\$200
Office of General Counsel	Location	1	1	\$98	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$56	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	-	-	-	\$200	-	-	\$200
Management and Oversight	Location	-	-	-	1	1	\$188	0	0	\$188	(0)	(0)	\$0
<b>Department of Homeland Security - U.S. Immigration and Customs Enforcement</b>	<b>Source</b>	0	0	\$2,262	0	0	\$731	0	0	\$2,059	-	-	\$1,328
Operations and Support	Location	0	0	\$2,262	0	0	\$731	0	0	\$2,059	-	-	\$1,328
Office of Partnership and Engagement	Location	-	-	\$500	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	0	0	\$255	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$1,507	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$500	-	-	\$500	-	-	-
Management and Oversight	Location	-	-	-	0	0	\$231	0	0	\$1,559	-	-	\$1,328
<b>Department of Homeland Security - Citizenship and Immigration Services</b>	<b>Source</b>	4	4	\$723	4	4	\$592	-	-	\$423	(4)	(4)	(\$169)
Operations and Support	Location	4	4	\$723	4	4	\$592	-	-	\$423	(4)	(4)	(\$169)
Office of Legislative Affairs	Location	1	1	\$204	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	2	2	\$377	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$142	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	4	4	\$592	-	-	\$423	(4)	(4)	(\$169)
<b>Department of Homeland Security - Science and Technology</b>	<b>Source</b>	12	12	\$1,977	13	13	\$2,273	12	12	\$2,388	(1)	(1)	\$115
Operations and Support	Location	12	12	\$1,977	13	13	\$2,273	12	12	\$2,388	(1)	(1)	\$115
Office of General Counsel	Location	12	12	\$1,973	-	-	-	-	-	-	-	-	-

Department of Homeland Security

Office of the Secretary and Executive Management

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Change		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Privacy Office	Location	-	-	\$4	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	13	13	\$2,273	12	12	\$2,388	(1)	(1)	\$115
<b>Department of Homeland Security - United States Secret Service</b>	<b>Source</b>	0	0	\$76	0	0	\$76	0	0	\$78	-	-	\$2
Operations and Support	Location	0	0	\$76	0	0	\$76	0	0	\$78	-	-	\$2
Office of General Counsel	Location	0	0	\$75	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$1	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	0	0	\$76	0	0	\$78	-	-	\$2
<b>Department of Homeland Security - Office of the Inspector General</b>	<b>Source</b>	-	-	\$27	-	-	\$55	-	-	\$55	-	-	-
Operations and Support	Location	-	-	\$27	-	-	\$55	-	-	\$55	-	-	-
Privacy Office	Location	-	-	\$27	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	-	-	\$55	-	-	\$55	-	-	-
<b>Department of Homeland Security - Countering Weapons of Mass Destruction</b>	<b>Source</b>	5	5	\$911	5	5	\$902	6	6	\$992	1	1	\$90
Operations and Support	Location	5	5	\$911	5	5	\$902	6	6	\$992	1	1	\$90
Office of General Counsel	Location	5	5	\$911	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	5	5	\$902	6	6	\$992	1	1	\$90
<b>Department of Homeland Security - US Customs and Border Protection</b>	<b>Source</b>	-	-	\$500	2	2	\$149	5	5	\$649	3	3	\$500
Operations and Support	Location	-	-	\$500	2	2	\$149	5	5	\$649	3	3	\$500
Office of Partnership and Engagement	Location	-	-	\$500	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	2	2	\$149	5	5	\$649	3	3	\$500
<b>Department of Homeland Security - United States Coast Guard</b>	<b>Source</b>	0	0	\$78	0	0	\$77	2	2	\$84	1	1	\$7
Operations and Support	Location	0	0	\$78	0	0	\$77	2	2	\$84	1	1	\$7
Office of General Counsel	Location	0	0	\$55	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$23	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	0	0	\$77	2	2	\$84	1	1	\$7
<b>Department of Homeland Security - National Protection and Programs Directorate</b>	<b>Source</b>	50	50	\$10,099	11	11	\$2,540	7	7	\$1,323	(4)	(4)	(\$1,217)
Operations and Support	Location	50	50	\$10,099	11	11	\$2,540	7	7	\$1,323	(4)	(4)	(\$1,217)

Department of Homeland Security

Office of the Secretary and Executive Management

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Change		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of Partnership and Engagement	Location	-	-	\$375	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	50	50	\$9,512	-	-	-	-	-	-	-	-	-
Office for Civil Rights and Civil Liberties	Location	-	-	\$212	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	1	1	\$737	-	-	-	(1)	(1)	(\$737)
Management and Oversight	Location	-	-	-	10	10	\$1,803	7	7	\$1,323	(3)	(3)	(\$480)
<b>Department of Homeland Security - U.S. Customs and Border Protection</b>	<b>Source</b>	2	2	\$147	-	-	\$500	-	-	\$500	-	-	-
Operations and Support	Location	2	2	\$147	-	-	\$500	-	-	\$500	-	-	-
Office of General Counsel	Location	2	2	\$147	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$500	-	-	\$500	-	-	-
<b>Department of Homeland Security - Office of Biometric Identity Management (OBIM)</b>	<b>Source</b>	-	-	\$1,349	1	1	\$198	2	2	\$232	1	1	\$34
Operations and Support	Location	-	-	\$1,349	1	1	\$198	2	2	\$232	1	1	\$34
Privacy Office	Location	-	-	\$1,349	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	1	1	\$198	2	2	\$232	1	1	\$34
<b>Department of Homeland Security - CISA</b>	<b>Source</b>	-	-	\$11	-	-	\$43	1	1	\$694	1	1	\$651
Operations and Support	Location	-	-	\$11	-	-	\$43	1	1	\$694	1	1	\$651
Office of Strategy, Policy, and Plans	Location	-	-	-	-	-	-	1	1	\$194	1	1	\$194
Privacy Office	Location	-	-	\$11	-	-	-	-	-	-	-	-	-
Management and Oversight	Location	-	-	-	-	-	\$43	-	-	\$500	-	-	\$457
<b>Department of Homeland Security - Office of the Secretary &amp; Executive Management</b>	<b>Source</b>	-	-	\$502	-	-	\$500	-	-	\$1,193	-	-	\$693
Operations and Support	Location	-	-	\$502	-	-	\$500	-	-	\$1,193	-	-	\$693
Office of Partnership and Engagement	Location	-	-	\$500	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$2	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$500	-	-	\$1,190	-	-	\$690
Management and Oversight	Location	-	-	-	-	-	-	-	-	\$3	-	-	\$3
<b>Department of Homeland Security - Analysis and Operations</b>	<b>Source</b>	7	7	\$1,308	7	7	\$2,270	10	10	\$2,102	3	3	(\$168)
Operations and Support	Location	7	7	\$1,308	7	7	\$2,270	10	10	\$2,102	3	3	(\$168)

Department of Homeland Security

Office of the Secretary and Executive Management

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Change		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of General Counsel	Location	7	7	\$1,300	-	-	-	-	-	-	-	-	-
Privacy Office	Location	-	-	\$8	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$950	-	-	\$200	-	-	(\$750)
Management and Oversight	Location	-	-	-	7	7	\$1,320	10	10	\$1,902	3	3	\$582
<b>Department of Homeland Security - Office of Health Affairs</b>	<b>Source</b>	2	2	\$574	-	-	\$100	-	-	-	-	-	(\$100)
Operations and Support	Location	2	2	\$574	-	-	\$100	-	-	-	-	-	(\$100)
Office of Partnership and Engagement	Location	-	-	\$100	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	2	2	\$474	-	-	-	-	-	-	-	-	-
Operations and Engagement	Location	-	-	-	-	-	\$100	-	-	-	-	-	(\$100)
<b>Department of Homeland Security - Domestic Nuclear Detection Office</b>	<b>Source</b>	3	3	\$437	-	-	-	-	-	-	-	-	-
Operations and Support	Location	3	3	\$437	-	-	-	-	-	-	-	-	-
Office of General Counsel	Location	3	3	\$437	-	-	-	-	-	-	-	-	-
<b>Department of Homeland Security - Federal Protective Service</b>	<b>Source</b>	-	-	-	15	15	\$3,085	15	15	\$3,085	-	-	(\$0)
Operations and Support	Location	-	-	-	15	15	\$3,085	15	15	\$3,085	-	-	(\$0)
Management and Oversight	Location	-	-	-	15	15	\$3,085	15	15	\$3,085	-	-	(\$0)
<b>Office of Director of National Intelligence</b>	<b>Source</b>	1	1	\$224	1	1	\$224	-	-	-	(1)	(1)	(\$224)
Operations and Support	Location	1	1	\$224	1	1	\$224	-	-	-	(1)	(1)	(\$224)
Office of Strategy, Policy, and Plans	Location	1	1	\$224	1	1	\$224	-	-	-	(1)	(1)	(\$224)
<b>Total Collections</b>		<b>94</b>	<b>94</b>	<b>\$25,835</b>	<b>67</b>	<b>67</b>	<b>\$17,944</b>	<b>65</b>	<b>65</b>	<b>\$19,666</b>	<b>(2)</b>	<b>(2)</b>	<b>\$1,722</b>

**Office of the Secretary and Executive Management  
Personnel Compensation and Benefits**

**Pay Summary**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Operations and Support	622	570	\$89,645	\$154.63	658	605	\$104,356	\$170	696	638	\$107,001	\$165.36	38	33	\$2,645	(\$4.64)
<b>Total</b>	<b>622</b>	<b>570</b>	<b>\$89,645</b>	<b>\$154.63</b>	<b>658</b>	<b>605</b>	<b>\$104,356</b>	<b>\$170</b>	<b>696</b>	<b>638</b>	<b>\$107,001</b>	<b>\$165.36</b>	<b>38</b>	<b>33</b>	<b>\$2,645</b>	<b>(\$4.64)</b>
Discretionary - Appropriation	622	570	\$89,645	\$154.63	658	605	\$104,356	\$170	696	638	\$107,001	\$165.36	38	33	\$2,645	(\$4.64)

\* The FTE Rate calculation does not include Object Class 11.8-Special Personal Services Payments or 13.0-Benefits for Former Personnel.

**Pay by Object Class**

Pay Object Classes <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 - FY 2021 Change
11.1 Full-time Permanent	\$61,043	\$70,103	\$72,979	\$2,876
11.3 Other than Full-Time Permanent	\$5,014	\$5,138	\$5,138	-
11.5 Other Personnel Compensation	\$1,058	\$1,058	\$1,058	-
11.8 Special Personal Services Payments	\$1,504	\$1,504	\$1,504	-
12.1 Civilian Personnel Benefits	\$21,026	\$26,553	\$26,322	(\$231)
<b>Total - Personnel Compensation and Benefits</b>	<b>\$89,645</b>	<b>\$104,356</b>	<b>\$107,001</b>	<b>\$2,645</b>
<b>Positions and FTE</b>				
Positions - Civilian	622	658	696	38
FTE - Civilian	570	605	638	33

**Office of the Secretary and Executive Management  
Non Pay Budget Exhibits**

**Non Pay Summary**

<b>Organization</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Total Changes</b>
Operations and Support	\$51,736	\$64,452	\$43,358	(\$21,094)
<b>Total</b>	<b>\$51,736</b>	<b>\$64,452</b>	<b>\$43,358</b>	<b>(\$21,094)</b>
Discretionary - Appropriation	\$51,736	\$64,452	\$43,358	(\$21,094)

**Non Pay by Object Class**

<b>Non-Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Change</b>
21.0 Travel and Transportation of Persons	\$4,802	\$4,395	\$3,965	(\$430)
23.1 Rental Payments to GSA	\$8,769	-	-	-
24.0 Printing and Reproduction	\$47	\$12	\$12	-
25.1 Advisory and Assistance Services	\$14,251	\$27,803	\$21,004	(\$6,799)
25.2 Other Services from Non-Federal Sources	\$6,114	\$5,059	\$11,371	\$6,312
25.3 Other Goods and Services from Federal Sources	\$16,248	\$25,939	\$6,019	(\$19,920)
25.4 Operation and Maintenance of Facilities	\$304	-	-	-
25.7 Operation and Maintenance of Equipment	\$684	\$464	\$111	(\$353)
26.0 Supplies and Materials	\$411	\$714	\$692	(\$22)
31.0 Equipment	\$106	\$66	\$184	\$118
<b>Total - Non Pay Object Classes</b>	<b>\$51,736</b>	<b>\$64,452</b>	<b>\$43,358</b>	<b>(\$21,094)</b>



**Office of the Secretary and Executive Management  
Supplemental Budget Justification Exhibits**

**Working Capital Fund**

Appropriation and PPA <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget
<b>Operations and Support</b>	<b>\$21,042</b>	<b>\$21,542</b>	-
Office of the Secretary	\$3,167	-	-
Office of Strategy, Policy, and Plans	\$5,188	\$5,406	-
Office of Public Affairs	\$1,302	-	-
Office of Legislative Affairs	\$946	-	-
Office of Partnership and Engagement	\$1,376	-	-
Office of General Counsel	\$3,216	-	-
Office for Civil Rights and Civil Liberties	\$3,566	-	-
Office of the Citizenship and Immigration Services Ombudsman	\$996	-	-
Privacy Office	\$1,285	-	-
Operations and Engagement	-	\$5,959	-
Management and Oversight	-	\$10,177	-
<b>Total Working Capital Fund</b>	<b>\$21,042</b>	<b>\$21,542</b>	-

**Office of the Secretary and Executive Management**  
**Status of Congressionally Requested Studies, Reports and Evaluations**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2019	05/31/2019	Senate Report 114-264	Border Security Status Report - Q1	Transmitted - 01/08/2020
2019	07/31/2019	Senate Report 114-264	Border Security Status Report – Q2	Drafted – Under Review
2019	11/01/2019	Senate Report 114-264	Border Security Status Report – Q3	Drafted – Under Review
2019	03/02/2020	Senate Report 114-264	Border Security Status Report – Q4	Pending
2019	09/30/2019	Senate Report 115-283	Family Unit Actions Report - July Data	Pending
2019	10/30/2019	Senate Report 115-283	Family Unit Actions Report - August Data	Pending
2019	12/02/2019	Senate Report 115-283	Family Unit Actions Report - September Data	Pending

**Office of the Secretary and Executive Management  
Authorized/Unauthorized Appropriations**

<b>Budget Activity</b> <i>Dollars in Thousands</i>	<b>Last year of Authorization</b>	<b>Authorized Level</b>	<b>Appropriation in Last Year of Authorization</b>	<b>FY 2021 President's Budget</b>
	<b>Fiscal Year</b>	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
<b>Operations and Support</b>	2002			<b>\$150,359</b>
Office of Strategy, Policy, and Plans	2002			\$52,121
Management and Oversight	2002			\$54,498
Operations and Engagement	2002			\$43,740
<b>Total Direct Authorization/Appropriation</b>	2002			<b>\$150,359</b>

**Office of the Secretary and Executive Management  
Proposed Legislative Language**

**Operations and Support**

For necessary expenses of the Office of the Secretary and for executive management for operations and support, [\$168,808,000; of which \$10,000,000 shall be for an Ombudsman for Immigration Detention as established by section 106, of which \$5,000,000 shall remain available until September 30, 2021; and of which \$500,000 shall be withheld from obligation until the Secretary appoints such Ombudsman for Immigration Detention and complies with the directive related to the Public Complaint and Feedback System Working Group in the explanatory statement accompanying this Act] *\$150,359,000: Provided, That not to exceed [\$30,000] \$45,000* shall be for official reception and representation expenses.

Language Provision	Explanation
[\$168,808,000; ...] <i>\$150,359,000</i>	Dollar change only. No substantial change proposed
[... of which \$10,000,000 shall be for an Ombudsman for Immigration Detention as established by section 106, of which \$5,000,000 shall remain available until September 30, 2021; and of which \$500,000 shall be withheld from obligation until the Secretary appoints such Ombudsman for Immigration Detention and complies with the directive related to the Public Complaint and Feedback System Working Group in the explanatory statement accompanying this Act] <i>\$150,359,000</i>	Removal of language directing funding towards Ombudsman for Immigration Detention, and removing language withholding funds related to Ombudsman.
... <i>[\$30,000]\$45,000</i>	Dollar change only. No substantial change proposed.

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



**Fiscal Year 2021**  
**Congressional Justification**

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## Operations and Support

## Budget Comparison and Adjustments

## Comparison of Budget Authority and Request

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Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of the Secretary	69	68	\$18,527	-	-	-	-	-	-	-	-	-
Office of Strategy, Policy, and Plans	168	157	\$37,950	194	183	\$48,571	215	195	\$52,121	21	12	\$3,550
Office of Public Affairs	26	24	\$5,321	-	-	-	-	-	-	-	-	-
Office of Legislative Affairs	27	25	\$5,462	-	-	-	-	-	-	-	-	-
Office of Partnership and Engagement	55	52	\$14,566	-	-	-	-	-	-	-	-	-
Office of General Counsel	105	85	\$19,379	-	-	-	-	-	-	-	-	-
Office for Civil Rights and Civil Liberties	101	95	\$25,312	-	-	-	-	-	-	-	-	-
Office of the Citizenship and Immigration Services Ombudsman	29	26	\$6,200	-	-	-	-	-	-	-	-	-
Privacy Office	42	38	\$8,664	-	-	-	-	-	-	-	-	-
Operations and Engagement	-	-	-	186	170	\$59,022	189	177	\$43,740	3	7	(\$15,282)
Management and Oversight	-	-	-	278	252	\$61,215	289	263	\$54,498	11	11	(\$6,717)
<b>Total</b>	<b>622</b>	<b>570</b>	<b>\$141,381</b>	<b>658</b>	<b>605</b>	<b>\$168,808</b>	<b>693</b>	<b>635</b>	<b>\$150,359</b>	<b>35</b>	<b>30</b>	<b>(\$18,449)</b>
Subtotal Discretionary - Appropriation	622	570	\$141,381	658	605	\$168,808	693	635	\$150,359	35	30	(\$18,449)

\*Per the Consolidated Appropriations Act, 2020 (P.L. 116-93), \$10.0M was transferred from the Office of the Secretary and Executive Management (OSEM) to the Federal Emergency Management Agency (FEMA) for the Targeted Violence and Terrorism Prevention (TVTP) grant program. For the table above, the \$10.0M is reflected in FY 2020 Enacted in the FEMA Federal Assistance appropriation.

The Operations and Support (O&S) appropriation funds the Departmental Management Operations Office of the Secretary and Executive Management's (OSEM) operating salaries and expenses. This appropriation provides resources that enable OSEM offices to provide central leadership, management, direction, and oversight over all of the Department's Components. Additionally, the O&S appropriation includes funding for reimbursable detailees provided by the OSEM to DHS Components and other Federal agencies.

This appropriation is broken out into the following PPAs:

**Operations and Engagement:** The Operations and Engagement PPA provides resources to fund the Office for Civil Rights and Civil Liberties (CRCL), the Office of the Citizenship and Immigration Services Ombudsman (CISOMB), and the Office of Partnership and Engagement (OPE).

**Office of Strategy, Policy, and Plans (PLCY):** The PLCY PPA serves as the Department’s principal source of policy development and decision analysis for DHS senior leadership and Secretarial initiatives and for other critical matters that may arise in a dynamic threat environment.

**Management and Oversight:** This Management and Oversight PPA supports the core functions of the Office of the Secretary, Office of General Counsel (OGC), Privacy Office (PRIV), Office of Public Affairs (OPA), and the Office of Legislative Affairs (OLA).



## Operations and Support Budget Authority and Obligations

Budget Authority <i>(Dollars in Thousands)</i>	FY 2019	FY 2020	FY 2021
<b>Enacted/Request</b>	<b>\$141,381</b>	<b>\$168,808</b>	<b>\$150,359</b>
Carryover and/or Recoveries (Actual/Estimates/Projections)	-	-	-
Rescissions to Current Year/Budget Year	(\$62)	-	-
Net Sequestered Resources	-	-	-
Reprogrammings/Transfers	-	-	-
Supplementals	-	-	-
<b>Total Budget Authority</b>	<b>\$141,319</b>	<b>\$168,808</b>	<b>\$150,359</b>
Collections – Reimbursable Resources	\$25,835	\$17,944	\$19,666
<b>Total Budget Resources</b>	<b>\$167,154</b>	<b>\$186,752</b>	<b>\$170,025</b>
Obligations (Actual/Estimates/Projections)	\$162,770	\$186,752	\$170,025
<b>Personnel: Positions and FTE</b>			
Enacted/Request Positions	622	658	693
Enacted/Request FTE	570	605	635
<b>Onboard and Actual FTE; Includes Collections - Reimbursable Resources</b>			
Onboard (Actual/Estimates/Projections)	714	725	758
FTE (Actual/Estimates/Projections)	665	672	700

\*The total Onboard and FTE counts show here include reimbursable FTE and positions.

\*\*In the table above, the rescission line includes the administrative savings rescissions per the Consolidated Appropriation Act, 2019 (P.L. 116-6).

## Operations and Support Collections – Reimbursable Resources

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Defense - Department of Defense	Source	1	1	\$224	1	1	\$232	1	1	\$204
Department of Homeland Security - Department of Homeland Security	Source	3	3	\$3,102	3	3	\$2,201	2	2	\$2,400
Independent Agency - Central Intelligence Agency	Source	1	1	\$204	1	1	\$204	-	-	-
Department of Homeland Security - Federal Emergency Management Agency	Source	0	0	\$941	1	1	\$801	1	1	\$818
Department of Homeland Security - Federal Law Enforcement Training Center	Source	1	1	\$3	-	-	\$3	-	-	-
Department of Homeland Security - Transportation Security Administration	Source	1	1	\$154	1	1	\$188	0	0	\$388
Department of Homeland Security - U.S. Immigration and Customs Enforcement	Source	0	0	\$2,262	0	0	\$731	0	0	\$2,059
Department of Homeland Security - Citizenship and Immigration Services	Source	4	4	\$723	4	4	\$592	-	-	\$423
Department of Homeland Security - Science and Technology	Source	12	12	\$1,977	13	13	\$2,273	12	12	\$2,388
Department of Homeland Security - United States Secret Service	Source	0	0	\$76	0	0	\$76	0	0	\$78
Department of Homeland Security - Office of the Inspector General	Source	-	-	\$27	-	-	\$55	-	-	\$55
Department of Homeland Security - Countering Weapons of Mass Destruction	Source	5	5	\$911	5	5	\$902	6	6	\$992
Department of Homeland Security - US Customs and Border Protection	Source	-	-	\$500	2	2	\$149	5	5	\$649
Department of Homeland Security - United States Coast Guard	Source	0	0	\$78	0	0	\$77	2	2	\$84
Department of Homeland Security - National Protection and Programs Directorate	Source	50	50	\$10,099	11	11	\$2,540	7	7	\$1,323
Department of Homeland Security - U.S. Customs and Border Protection	Source	2	2	\$147	-	-	\$500	-	-	\$500
Department of Homeland Security - Office of Biometric Identity Mangement (OBIM)	Source	-	-	\$1,349	1	1	\$198	2	2	\$232
Department of Homeland Security - CISA	Source	-	-	\$11	-	-	\$43	1	1	\$694
Department of Homeland Security - Office of the Secretary & Executive Management	Source	-	-	\$502	-	-	\$500	-	-	\$1,193
Department of Homeland Security - Analysis and Operations	Source	7	7	\$1,308	7	7	\$2,270	10	10	\$2,102
Department of Homeland Security - Office of Health Affairs	Source	2	2	\$574	-	-	\$100	-	-	-
Department of Homeland Security - Domestic Nuclear Detection Office	Source	3	3	\$437	-	-	-	-	-	-
Department of Homeland Security - Federal Protective Service	Source	-	-	-	15	15	\$3,085	15	15	\$3,085
Office of Director of National Intelligence	Source	1	1	\$224	1	1	\$224	-	-	-
<b>Total Collections</b>		<b>94</b>	<b>94</b>	<b>\$25,835</b>	<b>67</b>	<b>67</b>	<b>\$17,944</b>	<b>65</b>	<b>65</b>	<b>\$19,666</b>

## Operations and Support Summary of Budget Changes

Budget Formulation Activity <i>(Dollars in Thousands)</i>	Positions	FTE	Amount
<b>FY 2019 Enacted</b>	<b>622</b>	<b>570</b>	<b>\$141,381</b>
<b>FY 2020 Enacted</b>	<b>658</b>	<b>605</b>	<b>\$168,808</b>
<b>FY 2021 Base Budget</b>	<b>658</b>	<b>605</b>	<b>\$168,808</b>
Transfer for Privacy Program to OSEM/MO from MGMT/OBIM	4	4	\$1,961
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from A&O	-	-	\$113
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from CWMD	-	-	\$48
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from S&T	-	-	\$159
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from MGMT	-	-	\$112
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from OBIM	-	-	\$36
Transfer for WCF Removals from OSEM to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/ M&O to A&O	-	-	(\$203)
Transfer for WCF Removals from OSEM/ OE to A&O	-	-	(\$78)
Transfer for WCF Removals from OSEM/ SPP to A&O	-	-	(\$384)
Transfer for WCF Removals from OSEM/M&O to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/M&O to MGMT/CHCO	-	-	(\$34)
Transfer for WCF Removals from OSEM/M&O to MGMT/CIO	-	-	(\$4,815)
Transfer for WCF Removals from OSEM/M&O to MGMT/CRSO	-	-	(\$6,007)
Transfer for WCF Removals from OSEM/M&O to MGMT/CSO	-	-	(\$21)
Transfer for WCF Removals from OSEM/OE to MGMT/CHCO	-	-	(\$18)
Transfer for WCF Removals from OSEM/OE to MGMT/CIO	-	-	(\$2,215)
Transfer for WCF Removals from OSEM/OE to MGMT/CRSO	-	-	(\$2,015)
Transfer for WCF Removals from OSEM/OE to MGMT/CSO	-	-	(\$14)
Transfer for WCF Removals from OSEM/SPP to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/SPP to MGMT/CHCO	-	-	(\$17)
Transfer for WCF Removals from OSEM/SPP to MGMT/CIO	-	-	(\$2,201)
Transfer for WCF Removals from OSEM/SPP to MGMT/CRSO	-	-	(\$2,352)
Transfer for WCF Removals from OSEM/SPP to MGMT/CSO	-	-	(\$14)
<b>Total Transfers</b>	<b>4</b>	<b>4</b>	<b>(\$17,962)</b>
2020 Pay Raise	-	-	\$3,262
2021 Pay Raise	-	-	\$810

## Office of the Secretary and Executive Management

## Operations and Support

Budget Formulation Activity (Dollars in Thousands)	Positions	FTE	Amount
Annualizations of FY 2020 Program Increase (CISOMB)	-	4	\$534
Contract Services	-	-	\$859
FERS Agency Contribution	-	-	\$939
GSA Rent Enhancement	-	-	\$26
National Capital Region Infrastructure Operations (NCRIO) Sustainment	-	-	\$30
<b>Total, Pricing Increases</b>	<b>-</b>	<b>4</b>	<b>\$6,460</b>
Delay Hiring	-	-	(\$1,619)
FPS Fee Adjustment	-	-	(\$1,313)
Non-recur of FY 2020 Program Increase (CISOMB)	-	-	(\$294)
Non-Recurring FY20 Fiscal Increase for FY19 Sustainment	-	-	(\$3,322)
Travel Reduction	-	-	(\$409)
<b>Total, Pricing Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$6,957)</b>
<b>Total Adjustments-to-Base</b>	<b>4</b>	<b>8</b>	<b>(\$18,459)</b>
<b>FY 2021 Current Services</b>	<b>662</b>	<b>613</b>	<b>\$150,349</b>
Awards Spending Increase	-	-	\$1,079
C-UAS Policy Coordination Office	2	1	\$200
CRCL Women, Peace, and Security Support	-	-	\$350
Foreign Investment Risk Review Modernization Act (FIRRMA)	2	2	\$549
Joint Cyber Coordination Group (JCCG)	6	6	\$2,596
Suspension and Debarment Program O&M Funding and Personnel	1	1	\$199
TVTP Field Staff for State and Local Coordination and Capacity Building	8	-	\$4,100
TVTP Grant Program Management Office	1	1	\$100
TVTP Increase for CRCL	3	3	\$2,000
TVTP Increase for PRIV and OGC	6	6	\$1,400
TVTP Preventing Terrorist Use of Internet	2	2	\$2,000
Unified Immigration Portal	-	-	\$1,000
<b>Total, Program Increases</b>	<b>31</b>	<b>22</b>	<b>\$15,573</b>
Contracts reduction	-	-	(\$550)
CRCL Compliance Branch	-	-	(\$2,900)
Immigration Data Integration Initiative (IDII)	-	-	(\$2,113)
Immigration Detention Office	-	-	(\$10,000)
<b>Total, Program Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$15,563)</b>
<b>FY 2021 Request</b>	<b>693</b>	<b>635</b>	<b>\$150,359</b>

**Office of the Secretary and Executive Management**

**Operations and Support**

<b>Budget Formulation Activity</b> <i>(Dollars in Thousands)</i>	<b>Positions</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2020 To FY 2021 Change</b>	35	30	(\$18,449)

## Operations and Support Justification of Transfers

Transfers <i>(Dollars in Thousands)</i>	FY 2021 President's Budget		
	Positions	FTE	Amount
<b>Transfer 1 - Transfer for Privacy Program to OSEM/MO from MGMT/OBIM</b>	<b>4</b>	<b>4</b>	<b>\$1,961</b>
Management and Oversight	4	4	\$1,961
<b>Transfer 2 - Transfer for WCF Offset for OGC Staffing to OSEM/M&amp;O from A&amp;O</b>	-	-	<b>\$113</b>
Management and Oversight	-	-	\$113
<b>Transfer 3 - Transfer for WCF Offset for OGC Staffing to OSEM/M&amp;O from CWMD</b>	-	-	<b>\$48</b>
Management and Oversight	-	-	\$48
<b>Transfer 4 - Transfer for WCF Offset for OGC Staffing to OSEM/M&amp;O from S&amp;T</b>	-	-	<b>\$159</b>
Management and Oversight	-	-	\$159
<b>Transfer 5 - Transfer for WCF Offset for OGC Staffing to OSEM/M&amp;O from MGMT</b>	-	-	<b>\$112</b>
Management and Oversight	-	-	\$112
<b>Transfer 6 - Transfer for WCF Offset for OGC Staffing to OSEM/M&amp;O from OBIM</b>	-	-	<b>\$36</b>
Management and Oversight	-	-	\$36
<b>Transfer 7 - Transfer for WCF Removals from OSEM to MGMT/CFO</b>	-	-	<b>(\$1)</b>
Operations and Engagement	-	-	(\$1)
<b>Transfer 8 - Transfer for WCF Removals from OSEM/ M&amp;O to A&amp;O</b>	-	-	<b>(\$203)</b>
Management and Oversight	-	-	(\$203)
<b>Transfer 9 - Transfer for WCF Removals from OSEM/ OE to A&amp;O</b>	-	-	<b>(\$78)</b>
Operations and Engagement	-	-	(\$78)
<b>Transfer 10 - Transfer for WCF Removals from OSEM/ SPP to A&amp;O</b>	-	-	<b>(\$384)</b>
Office of Strategy, Policy, and Plans	-	-	(\$384)
<b>Transfer 11 - Transfer for WCF Removals from OSEM/M&amp;O to MGMT/CFO</b>	-	-	<b>(\$1)</b>
Management and Oversight	-	-	(\$1)
<b>Transfer 12 - Transfer for WCF Removals from OSEM/M&amp;O to MGMT/CHCO</b>	-	-	<b>(\$34)</b>
Management and Oversight	-	-	(\$34)
<b>Transfer 13 - Transfer for WCF Removals from OSEM/M&amp;O to MGMT/CIO</b>	-	-	<b>(\$4,815)</b>
Management and Oversight	-	-	(\$4,815)
<b>Transfer 14 - Transfer for WCF Removals from OSEM/M&amp;O to MGMT/CRSO</b>	-	-	<b>(\$6,007)</b>
Management and Oversight	-	-	(\$6,007)
<b>Transfer 15 - Transfer for WCF Removals from OSEM/M&amp;O to MGMT/CSO</b>	-	-	<b>(\$21)</b>

## Office of the Secretary and Executive Management

## Operations and Support

Transfers <i>(Dollars in Thousands)</i>	FY 2021 President's Budget		
	Positions	FTE	Amount
Management and Oversight	-	-	(\$21)
<b>Transfer 16 - Transfer for WCF Removals from OSEM/OE to MGMT/CHCO</b>	-	-	<b>(\$18)</b>
Operations and Engagement	-	-	(\$18)
<b>Transfer 17 - Transfer for WCF Removals from OSEM/OE to MGMT/CIO</b>	-	-	<b>(\$2,215)</b>
Operations and Engagement	-	-	(\$2,215)
<b>Transfer 18 - Transfer for WCF Removals from OSEM/OE to MGMT/CRSO</b>	-	-	<b>(\$2,015)</b>
Operations and Engagement	-	-	(\$2,015)
<b>Transfer 19 - Transfer for WCF Removals from OSEM/OE to MGMT/CSO</b>	-	-	<b>(\$14)</b>
Operations and Engagement	-	-	(\$14)
<b>Transfer 20 - Transfer for WCF Removals from OSEM/SPP to MGMT/CFO</b>	-	-	<b>(\$1)</b>
Office of Strategy, Policy, and Plans	-	-	(\$1)
<b>Transfer 21 - Transfer for WCF Removals from OSEM/SPP to MGMT/CHCO</b>	-	-	<b>(\$17)</b>
Office of Strategy, Policy, and Plans	-	-	(\$17)
<b>Transfer 22 - Transfer for WCF Removals from OSEM/SPP to MGMT/CIO</b>	-	-	<b>(\$2,201)</b>
Office of Strategy, Policy, and Plans	-	-	(\$2,201)
<b>Transfer 23 - Transfer for WCF Removals from OSEM/SPP to MGMT/CRSO</b>	-	-	<b>(\$2,352)</b>
Office of Strategy, Policy, and Plans	-	-	(\$2,352)
<b>Transfer 24 - Transfer for WCF Removals from OSEM/SPP to MGMT/CSO</b>	-	-	<b>(\$14)</b>
Office of Strategy, Policy, and Plans	-	-	(\$14)
<b>Total Transfers</b>	<b>4</b>	<b>4</b>	<b>(\$17,962)</b>

**Transfer 1 – Transfer for Privacy Program to OSEM/MO from MGMT/OBIM:** This transfer represents the realignment of the Office of Biometric Identity Management’s Freedom of Information Act (OBIM FOIA) program from the Management Directorate (MGMT) to the DHS Privacy Office. This permanent realignment ensures the Department maximizes its FOIA resources to carry out the responsibilities designated to the Chief Privacy Officer.

**Transfers 2:6 – Transfer for WCF Offset for OGC Staffing:** These transfers reflect offset amounts that are specific only to the portion of some Working Capital Fund (WCF) activities that the Office of General Counsel (OGC) funds through Inter-Agency Agreements or CCFs (GSA Rent, RLIS, and NCRIO) with other DHS Components. Due to the removal of the WCF in FY 2021, Components will transfer funds to OGC in support of these activities.

**Transfers 7:24 – Transfer for WCF Removals:** These transfers to MGMT offices represent the costs associated with the dissolution of the Working Capital Fund (WCF) in FY 2021 based on strategic reviews conducted of the WCF by the Department and the Working Capital Fund Governance Board.



## Operations and Support Justification of Pricing Changes

Pricing Changes <i>(Dollars in Thousands)</i>	FY 2021 President's Budget		
	Positions	FTE	Amount
<b>Pricing Change 1 - 2020 Pay Raise</b>	-	-	<b>\$3,262</b>
Office of Strategy, Policy, and Plans	-	-	\$882
Operations and Engagement	-	-	\$984
Management and Oversight	-	-	\$1,396
<b>Pricing Change 2 - 2021 Pay Raise</b>	-	-	<b>\$810</b>
Office of Strategy, Policy, and Plans	-	-	\$251
Operations and Engagement	-	-	\$219
Management and Oversight	-	-	\$340
<b>Pricing Change 3 - Annualizations of FY 2020 Program Increase (CISOMB)</b>	-	<b>4</b>	<b>\$534</b>
Operations and Engagement	-	4	\$534
<b>Pricing Change 4 - Contract Services</b>	-	-	<b>\$859</b>
Office of Strategy, Policy, and Plans	-	-	\$76
Operations and Engagement	-	-	\$149
Management and Oversight	-	-	\$634
<b>Pricing Change 5 - Delay Hiring</b>	-	-	<b>(\$1,619)</b>
Office of Strategy, Policy, and Plans	-	-	(\$570)
Operations and Engagement	-	-	(\$549)
Management and Oversight	-	-	(\$500)
<b>Pricing Change 6 - FERS Agency Contribution</b>	-	-	<b>\$939</b>
Office of Strategy, Policy, and Plans	-	-	\$247
Operations and Engagement	-	-	\$313
Management and Oversight	-	-	\$379
<b>Pricing Change 7 - FPS Fee Adjustment</b>	-	-	<b>(\$1,313)</b>
Office of Strategy, Policy, and Plans	-	-	(\$350)
Operations and Engagement	-	-	(\$223)
Management and Oversight	-	-	(\$740)
<b>Pricing Change 8 - GSA Rent Enhancement</b>	-	-	<b>\$26</b>
Office of Strategy, Policy, and Plans	-	-	\$5
Operations and Engagement	-	-	\$2

Pricing Changes (Dollars in Thousands)	FY 2021 President's Budget		
	Positions	FTE	Amount
Management and Oversight	-	-	\$19
<b>Pricing Change 9 - National Capital Region Infrastructure Operations (NCRIO) Sustainment</b>	-	-	<b>\$30</b>
Office of Strategy, Policy, and Plans	-	-	\$6
Operations and Engagement	-	-	\$9
Management and Oversight	-	-	\$15
<b>Pricing Change 10 - Non-Recur of FY 2020 Program Increase (CISOMB)</b>	-	-	<b>(\$294)</b>
Operations and Engagement	-	-	(\$294)
<b>Pricing Change 11 - Non-Recurring FY20 Fiscal Increase for FY19 Sustainment</b>	-	-	<b>(\$3,322)</b>
Office of Strategy, Policy, and Plans	-	-	(\$405)
Operations and Engagement	-	-	(\$1,866)
Management and Oversight	-	-	(\$1,051)
<b>Pricing Change 12 - Travel Reduction</b>	-	-	<b>(\$409)</b>
Operations and Engagement	-	-	(\$100)
Management and Oversight	-	-	(\$309)
<b>Total Pricing Changes</b>	-	<b>4</b>	<b>(\$497)</b>

**Pricing Change 1 – 2020 Pay Raise:** This pricing change reflects the costs to support the 2020 enacted 3.1% pay increase. This includes one quarter of funding for Calendar Year 2020 and three quarters to annualize the funding in Calendar Year 2021.

**Pricing Change 2 – 2021 Pay Raise:** This pricing change reflects the impact of the 2021 1.0% pay increase.

**Pricing Change 3 – Annualization of FY 2020 Program Increase (CISOMB):** This pricing change reflects the annualization of the FY 2020 CISOMB program increase for personnel support due to increased Executive Order requirements. This change annualizes enacted funding for additional support personnel and infrastructure investment in carrying out its statutory mission.

**Pricing Change 4 – Contract Services:** This pricing change is an increase of \$0.9M in pricing adjustments for contract requirements for all program offices within OSEM.

**Pricing Change 5 – Delay Hiring:** This pricing change reflects a decrease in payroll expenses across all PPAs associated with delayed hiring assumptions. This will not substantially impact the mission of the offices.

**Pricing Change 6 – FERS Agency Contribution:** Per OMB Circular A-11, agency Federal Employee Retirement System (FERS) contributions increased. The regular FERS agency contribution increased by 1.3% from 16.0% in FY 2020 to 17.3% in FY 2021. The agency contribution amount for the Civil Service Retirement System (CSRS) did not change.

**Pricing Change 7 – FPS Fee Adjustment:** This pricing change reflects a net decrease of \$1.3M in Federal Protective Services (FPS) basic security fees due to a change in the FPS basic security fee level and assessment model.

**Pricing Change 8 – GSA Rent Enhancement:** This pricing change provides an increase of \$26,000 for higher GSA rent costs for several OSEM offices in FY 2021. As of April 2019, most OSEM offices have moved to the St. Elizabeth’s Center Building. Due to market increases in the cost of the occupancy agreements, OSEM requires additional funding to cover higher outyear costs associated with GSA rent, which will in turn be transferred to DHS MGMT as part of the removal of WCF costs from all components.

**Pricing Change 9 – National Capital Region Infrastructure Operations (NCRIO) Sustainment:** This pricing change increases NCRIO programs by \$30,000 for programs related to IT security, desk side support, and SharePoint services.

**Pricing Change 10 – Non-recur of FY 2020 Increase for FY 2019 Sustainment:** This pricing change represents a decrease of \$3.5M in personnel costs in order to non-recur a funding increase in the FY 2020 enactment aimed at sustaining OSEM at the FY 2019 current services level. This decrease enables OSEM to sustain operations at the FY 2020 President’s Budget request level by assuming more realistic hiring projections, personnel pricing levels, and attrition rates. This proposed reduction is not expected to impact performance.

**Pricing Change 11 – Non-recur of FY 2020 Program Increase (CISOMB):** This pricing change is a decrease of \$0.3M to non-recur the program increase in the FY 2020 enactment for additional support personnel and infrastructure investment for Executive Order support.

**Pricing Change 12 – Travel Reduction:** This pricing change reflects a decrease in travel expenses across all PPAs to offset the FY20 pay increase. This will not substantially impact the mission of the offices.

## Operations and Support Justification of Program Changes

Program Changes <i>(Dollars in Thousands)</i>	FY 2021 President's Budget		
	Positions	FTE	Amount
<b>Program Change 1 - Awards Spending Increase</b>	-	-	<b>\$1,079</b>
Office of Strategy, Policy, and Plans	-	-	\$335
Operations and Engagement	-	-	\$291
Management and Oversight	-	-	\$453
<b>Program Change 2 - C-UAS Policy Coordination Office</b>	<b>2</b>	<b>1</b>	<b>\$200</b>
Office of Strategy, Policy, and Plans	2	1	\$200
<b>Program Change 3 - CRCL Compliance Branch</b>	-	-	<b>(\$2,900)</b>
Operations and Engagement	-	-	(\$2,900)
<b>Program Change 4 - CRCL Women, Peace, and Security Support</b>	-	-	<b>\$350</b>
Operations and Engagement	-	-	\$350
<b>Program Change 5 - Contracts Reduction</b>	-	-	<b>(\$550)</b>
Office of Strategy, Policy, and Plans	-	-	(\$100)
Operations and Engagement	-	-	(\$150)
Management and Oversight	-	-	(\$300)
<b>Program Change 6 - Foreign Investment Risk Review Modernization Act (FIRRMA)</b>	<b>2</b>	<b>2</b>	<b>\$549</b>
Office of Strategy, Policy, and Plans	2	2	\$549
<b>Program Change 7 - Immigration Data Integration Initiative (IDII)</b>	-	-	<b>(\$2,113)</b>
Office of Strategy, Policy, and Plans	-	-	(\$2,113)
<b>Program Change 8 - Immigration Detention Office</b>	-	-	<b>(\$10,000)</b>
Operations and Engagement	-	-	(\$10,000)
<b>Program Change 9 - Joint Cyber Coordination Group (JCCG)</b>	<b>6</b>	<b>6</b>	<b>\$2,596</b>
Office of Strategy, Policy, and Plans	6	6	\$2,596
<b>Program Change 10 - Suspension and Debarment Program O&amp;M Funding and Personnel</b>	<b>1</b>	<b>1</b>	<b>\$199</b>
Management and Oversight	1	1	\$199
<b>Program Change 11 - TVTP Field Staff for State and Local Coordination and Capacity Building</b>	<b>8</b>	-	<b>\$4,100</b>
Office of Strategy, Policy, and Plans	8	-	\$4,100
<b>Program Change 12 - TVTP Grant Program Management Office</b>	<b>1</b>	<b>1</b>	<b>\$100</b>
Office of Strategy, Policy, and Plans	1	1	\$100
<b>Program Change 13 - TVTP Increase for CRCL</b>	<b>3</b>	<b>3</b>	<b>\$2,000</b>

Program Changes (Dollars in Thousands)	FY 2021 President's Budget		
	Positions	FTE	Amount
Operations and Engagement	3	3	\$2,000
<b>Program Change 14 - TVTP Increase for PRIV and OGC</b>	<b>6</b>	<b>6</b>	<b>\$1,400</b>
Management and Oversight	6	6	\$1,400
<b>Program Change 15 - TVTP Preventing Terrorist Use of Internet</b>	<b>2</b>	<b>2</b>	<b>\$2,000</b>
Office of Strategy, Policy, and Plans	2	2	\$2,000
<b>Program Change 16 - Unified Immigration Portal</b>	<b>-</b>	<b>-</b>	<b>\$1,000</b>
Office of Strategy, Policy, and Plans	-	-	\$1,000
<b>Total Program Changes</b>	<b>31</b>	<b>22</b>	<b>\$10</b>

**Program Change 1 – Awards Spending Increase:****Description**

The FY 2021 Request includes an increase of \$1.1M for Awards Spending. The base for this program is \$1.2M.

**Justification**

Consistent with this guidance, the FY 2021 Request increases awards spending to support strategic workforce development. On July 12, 2019, OMB issued Memorandum 19-24 Guidance on Awards for Employees and Agency Workforce Funding Plan. This Memorandum directs agencies to review and update their current awards spending plans in order to: 1) support the strategic use of awards and recognition throughout the year; 2) address workforce challenges and recognize high performing employees; and 3) recognize those employees with talent critical to mission achievement.

**Performance**

The FY 2021 Request supports the agency workforce planning requirements by providing a one percent increase for awards spending. The additional funding will help drive positive behavior by recognizing accomplishments of agency personnel, thereby fostering a culture of recognition. In addition, OSEM offices will continue to foster this culture by investing in the training and career development of our most valuable asset—our employees—to ensure they are fully equipped to contribute to our quality efforts and goals.

**Program Change 2 – C-UAS Policy Coordination Office:****Description**

The FY 2021 request includes an increase of 2 Positions, 1 FTE, and \$0.2M to establish a new Countering-Unmanned Aerial Systems (C-UAS) Policy Coordination Office within the Office of Strategy, Policy, and Plans. There are no base funds for this program.

**Justification**

This request would enable the Department to staff and operate a Program Management Office to ensure C-UAS activities are organized, avoid duplicative efforts, and realize maximum efficiencies. Departmental components involved in C-UAS initiatives and activities include, but are not limited to Customs and Border Patrol (CBP), Federal Protective Service (FPS), Transportation and Security Administration (TSA), U.S. Coast Guard (USCG), U.S. Secret Service (USSS), Science and Technology Directorate (S&T), Office of General Counsel (OGC), Office for Civil Rights and Civil Liberties (CRCL), Office of Privacy (PRIV), Office of Partnership and Engagement (OPE), and Management Directorate (MGMT).

**Performance**

The office will ensure DHS-wide coordination on developing and implementing C-UAS policies, procedures, and requirements, and collaboration on research and operational issues with public and private sector partners. This request ensures the Department can rapidly and in a coordinated, efficient, and a cost savings manner counter increasing Unmanned Aerial Systems (UAS) threats to meet requirements in the Federal Aviation Administration (FAA) Reauthorization Act of 2018 (P.L. 115-254) signed into law in October 2018 and is the first statutory grant of authority for DHS to explicitly counter UAS threats.

Currently, DHS is leveraging resources from S&T, CBP, USSS, and the Office of Strategy, Policy, and Plans to perform C-UAS coordination requirements. A permanent source of funding will ensure that dedicated personnel will be available to coordinate the Department's approach to C-UAS implementation and serve as lead for interagency coordination.

**Program Change 3 – CRCL Compliance Branch:****Description**

The FY 2021 request includes a reduction of \$2.9M to CRCL's Compliance Branch. The base of this program is \$7.9M, 17 Positions and 17 FTE.

**Justification**

The FY 2020 Enactment includes funding for CRCL's Compliance section, which investigates complaints from the public, media reports, and other sources, alleging civil rights or civil liberties violations by Department personnel or programs. This request maintains the funding level requested in the FY 2020 President's Budget, which is sufficient to investigate violation claims.

**Performance**

This proposed reduction is not expected to impact performance. The FY 2021 Budget maintains previously planned levels of funding for the Compliance section at the FY 2019 Enacted level, a robust budget given the current level of workload.

**Program Change 4 – CRCL Women, Peace, and Security Support:****Description**

The FY 2021 request includes an increase of \$0.4M to create a DHS-wide reporting structure for measuring agency efforts to promote the participation of women from partner nations in government capacity building, peace-keeping, law enforcement, and border security sectors. There is no base funding for this program.

**Justification**

The Women, Peace, and Security (WPS) Act of 2017 requires DHS to measure and report to Congress the progress DHS has made in encouraging partner nations efforts to promote the participation of women in government capacity building and national security leadership. Funds to be expended include senior leadership travel in support of WPS efforts, publication of educational materials, as well as monitoring/reporting and policy personnel.

**Performance**

The FY 2021 Request supports this program change aimed at meeting statutory requirements.

**Program Change 5 – Contracts Reduction:****Description**

The FY 2021 request includes a reduction of \$0.5M from contract support across all three PPAs. Base funding for this program is \$38.5M, representing contract support across OSEM.

**Justification**

This request reduces contract funding in response to closer examination of contract requirements and prioritization of mission needs. Specifically, OSEM plans to reduce contractual support services by between \$0.1M to \$0.3M across each PPA.

**Performance**

These minor proposed reductions across all three PPAs are not expected to impact performance significantly.

**Program Change 6 – Foreign Investment Risk Review Modernization Act:****Description**

The FY 2021 request includes an increase of 2 Positions, 2 FTE, and \$0.5M to meet requirements of the Foreign Investment Risk Review Modernization Act (FIRRMA). Base funding for this program is 4 Positions, 4 FTE, and \$2.1M.

**Justification**

This request is required to meet statutory deadlines and manage the Department's obligations as a member of Committee on Foreign Investment in the United States (CFIUS) and Team Telecom Working Group (TT). PLCY serves as the focal point for DHS participation on CFIUS and the Team

Telecom (TT) Working Group, coordinating the Department-wide evaluation of CFIUS and TT transactions and representing DHS in both bodies. On August 13, 2018, President Trump signed a legislation that expands CFIUS' authority to cover a range of foreign investments not previously within its jurisdiction, increasing CFIUS' workload, and necessitating additional resources and processes to ensure the Department continues to meet statutory CFIUS obligations. The Office of Management and Budget (OMB) previously directed agencies to plan for a 320% increase in CFIUS case volume by the end of Fiscal Year 2020. Further, while TT currently exists as an informal working group to support evaluation and mitigation of national security and law enforcement concerns associated with applications for Federal Communications Commission (FCC) licenses by foreign entities, there is a draft Executive Order currently under consideration by the White House to formalize TT and establish CFIUS-like timelines under which to conduct Executive Branch due diligence. This would significantly increase the administrative and analytical burden associated with PLCY's TT responsibilities.

Reflecting the need to fulfill FIRRMA's requirements and meet future TT challenges, this increase will support:

- An additional two FTP to support the significant growth and complexity of CFIUS cases as new regulations from FIRRMA take effect and pending TT formalization; and
- Contract support staff who will perform CFIUS and TT case management, interagency coordination, Component coordination, risk analysis, and compliance monitoring functions

### **Performance**

PLCY will be able to manage increasing requirements of CFIUS, identifying national security risk impacting DHS missions arising from transactions subject to CFIUS review. In addition, DHS will be able to keep pace with the increased compliance monitoring workload associated with increased CFIUS jurisdiction.

As the Sector-Specific Agency for ten Critical Infrastructure sectors identified in Presidential Policy Directive 21, Critical Infrastructure Protection and Resilience, DHS is a critical member of CFIUS and FIRRMA's expansion which will disproportionately impact DHS equities. Given these substantial responsibilities in areas subject to additional CFIUS jurisdiction, DHS will be responsible not only for handling the baseline increase in CFIUS cases resulting from FIRRMA but also for additional responsibilities that will tend to increase the average complexity of an already complex review process.

Additional resources will allow DHS to meet these challenges and ensure that DHS PLCY remains capable of meeting its statutory obligations through FIRRMA and protecting DHS equities before CFIUS and TT.

### **Program Change 7 – Immigration Data Integration Initiative (IDII):**

#### **Description**

The FY 2021 Request includes a reduction of \$2.1M to the Immigration Data Integration Initiative (IDII). The base for this program is \$5.9M.



**Justification**

The FY 2020 Enactment includes increased funding to sustain operational support of IDII, which fulfills requirements prescribed by DHS Memorandum 16-3048, “Improving Immigration Data Analysis and Reporting,” which was signed by Secretary Johnson to launch the IDII in September 2016. IDII supports leveraging integrated immigration data to provide the Secretary, stakeholders and other senior leaders with timely and comprehensive data-driven guidance to support policymaking and public messaging.

**Performance**

This proposed reduction is not expected to impact performance. The FY 2021 Request maintains previously approved levels of funding for IDII.

**Program Change 8 – Immigration Detention Office:****Description**

The FY 2021 request includes a reduction of \$10.0M to eliminate the Office of Immigration Detention Ombudsman (OIDO). The base for this program is \$10.0M.

**Justification**

The FY 2021 request reduces funding for the OIDO as the FY 2020 Enactment provided \$10.0M to establish the office. While the Department is in the process of implementing this statutory requirement, the OIDO is being established in addition to multiple other pre-existing departmental mechanisms for investigating complaints. These include the Office of the Inspector General, the Immigration and Custom’s Enforcement’s Office of Professional Responsibility, and through contracts maintained by DHS to provide routine inspections of detention facilities. These are in addition to other reporting mechanisms throughout the department. Through these entities reporting is regular, recurring, and thorough, and the addition of another entity creates additional and duplicative costs to the taxpayer.

**Performance**

This proposed reduction would streamline and enhance the Department’s oversight of detention centers and border communities.

**Program Change 9 – Joint Cyber Coordination Group:****Description**

The FY 2021 request includes an increase of 6 Positions, 6 FTE, and \$2.6M to establish the Joint Cyber Coordination Group. There are no base funds for this program.

**Justification**

As cyber and technology threats to the U.S. become increasingly complex, the ability of any one DHS Components to manage all aspects of the associated risk becomes challenged. The Department lacks sufficient mechanisms to develop, plan for, and execute strategic operational priorities across Components and coordinate long-term protective and deterrent efforts to counter cyber risks. Most notably, DHS currently lacks a central body to identify joint priorities and where Components can synchronize cyber activities, including those related to operational planning, risk

assessments, technical deployments, investigations, stakeholder engagement, and international engagements in a systematic manner. The absence of such a body impairs policy and operational decision-making by the Secretary and the ability to ensure full visibility into all Components' authorities, capabilities, and resources to inform strategic actions by the Department to address prioritized national cyber and technology risks.

The Joint Cyber Coordination Group (JCCG) will provide a central location with dedicated permanent staff and broad Component representation to enable joint planning, operational prioritization, and coordinated execution of DHS efforts to mitigate cyber and technology risks to the Homeland. The JCCG established a structured approach to inform the Secretary and other senior Department officials about strategic cyber risks and Component efforts to counter those risks; institutionalizes the process for execution of joint leadership priorities; and provides relevant input to inform DHS policymakers and the interagency process.

DHS has unique authorities to counter many of the Nation's most pressing emergent risks. In order to do so, however, the Department must take a more holistic approach to shape short-term actions and inform long-term strategic and policy approaches. The JCCG will directly support decision making and planning for a range of cyber operations. It will also enable DHS to evaluate and execute authorities and capabilities across the Department to address pressing cyber risks to critical infrastructure and risks posed by foreign adversaries' efforts to acquire or dominate certain emerging technologies. The JCCG will ensure coordinated, integrated input into other interagency efforts to aggressively counter these risks and deter adversary actors.

The JCCG will initially be developed and hosted within the Office of Policy, Strategy, and Plans (PLCY). PLCY will set strategic direction and priorities for future activities and work with the Office of Operations Coordination (OPS) and Components to further refine the concept and develop future staffing proposals. OPS will work with components to develop and synchronize operational options, supporting the JCG through existing mechanisms and structures.

### **Performance**

The FY21 Budget will help develop sufficient mechanisms to develop, plan for, and execute strategic operational priorities across Components and coordinate long-term protective and deterrent efforts to counter cyber risks. Most notably, DHS Components can synchronize cyber activities, including those related to operational planning, risk assessments, technical deployments, investigations, stakeholder engagement, and international engagements in a systematic manner.

### **Program Change 10 – Suspension and Debarment Program O&M Funding & Personnel:**

#### **Description**

The FY 2021 request includes an increase of 1 Position, 1 FTE, and \$0.2M for operations and maintenance of the Suspension and Debarment Case Management System (SDCMS) and personnel related costs. Base funds for this program is 1 Position, 1 FTE and \$0.2M.

#### **Justification**

The DHS Suspension and Debarment Program is a DHS Management priority and provides the organizational structure, sets policy, develops procedures, and provides the training necessary to identify, research, and process referred suspension and debarment cases in compliance with

statutes and regulations. The Program is modeled on the U.S. Immigration and Customs Enforcement (ICE) Suspension and Debarment Program, which the Government Accountability Office (Audit 11-739) recognized as one of the four best suspension and debarment programs within the Federal Government. DHS received 130 referrals and took 170 debarment actions in FY 2017. In FY 2018, there were 215 referrals and 129 debarments. These actions demonstrate DHS's commitment to protecting the Department and the government from the harms caused by fraud, waste, and abuse.

To build best practices, the program needs to continue developing DHS-wide policies and procedures consistent with the specific qualities present in active, strong suspension and debarment programs as described in Audit 11-739. Presently, the program is run by a single senior-level Suspension and Debarment Official. To develop detailed suspension and debarment policies and procedures and foster a robust referral process and close working relationship with investigative organizations, the program requires a GS employee to assist in further instituting best practices. Additionally, requested resources will ensure DHS continues efforts to protect the Federal government from contractor related fraud, waste and abuse.

SDCMS enables DHS to analyze and process entities and individuals proposed for suspension or debarment in furtherance statutory and regulatory obligations. SDCMS is a secure, web-based workflow management system that provides an automated mechanism for managing and reporting on all suspension and debarment activities from receipt of referral through the expiration date of the suspension or debarment period.

### **Performance**

With SDCMS, DHS can maintain relevant information such as respondent information, referrals and supporting documentation, research information, and other case-related data. SDCMS also provides enhanced filtering and sorting capabilities that allow users to create standard and ad hoc reports. Statistical and performance-based reports can also be generated to further support the management of the suspension and debarment process. The information maintained within SDCMS enables DHS to carry out its legal authority to suspend or debar entities or individuals in accordance with Federal Acquisition Regulation, Subpart 9.4.

Funding for a GS employee will result in expedited reviews of contract terminations for default, and possible suspensions or debarments. In addition, it increases DHS's ability to work collaboratively with multiple investigative organizations to include the DHS OIG, ICE, the Department of Justice, and others which in turn eliminates duplication of investigative efforts at the expense of protecting the Department against fraud, waste and abuse.

### **Program Change 11 – TVTP Field Staff for State and Local Coordination and Capacity Building:**

#### **Description**

The FY 2021 request includes an increase of 8 Positions and \$4.1M for Targeted Violence and Terrorism Prevention (TVTP's) Field Staff for State and Local Coordination and Capacity Building initiative. The base for this program is 8 Positions, 8 FTE and \$3.1M.

#### **Justification**

Congress approved increased funding for TVTP Field Staff in P.L. 119-93. Funding will enable PLCY to increase its field staff presence to allow the expansion of the TVTP program and to organize and implement local terrorism prevention programs in the Regions. Currently, only two Regional Offices, Denver and Los Angeles, have dedicated staff for this initiative. Additional staff will be located in regional offices in the Upper Midwest,

Midwest, West, Northwest, New England, Northeast, South, and Southeast (Caribbean).

The National Strategy on Counterterrorism (NSCT) is explicit in its call to develop the will and capacity of State and local stakeholders to institutionalize a terrorism prevention architecture. A 2019 RAND study titled “Practical Terrorism Prevention” is clear that the most important program for accomplishing this objective is the use of Federal field staff. RAND observed that “reinvestment in federal field staff personnel located around the country who have a stake in their local areas with the expertise to perform key terrorism prevention roles and facilitate local initiatives—was key.” The report noted that the field staff program has significant impact on the communities it served, observing significant increases in terror prevention programs where field staff were or had been present.

DHS previously piloted and expanded the field staff program. The pilot demonstrated that the insertion of dedicated field personnel is likely the single most impactful way DHS can expand its terrorism prevention mission. In FY 2017, DHS piloted 16 contracted field staff, who worked alongside Federal field staff in two cities and independently in 12 additional locations around the country. The contracted field staff supported local law enforcement to create prevention frameworks and related programs with minimal funding. The pilot performance greatly exceeded expectations, proving the value of field staff in implementing terrorism prevention at the State and local level.

### **Performance**

Funding will increase TVTP’s support to communities and law enforcement agencies that have identified and expressed a willingness to address a critical need for terrorism prevention work. TVTP will be able to provide services to stakeholder requests from law enforcement and communities who are interested in receiving Federal support and guidance on creating programs and frameworks for local terrorism prevention activities. Requests for service from the original pilot program indicate that there are dozens of locations around the country interested creating terrorism prevention programs.

### **Program Change 12 – TVTP Grant Program Management Office:**

#### **Description**

The FY 2021 request includes 1 Position, 1 FTE and \$0.1M to provide oversight and assessment of the Targeted Violence and Terrorism Prevention (TVTP) grantees. The base for this program is 3 Positions, 3 FTE, and \$0.6M.

#### **Justification**

The Department’s request includes the re-establishment of direct support to State, local, and NGO prevention efforts through the provision of grants. The grants would be administered from FEMA, with a smaller portion of funds provided to PLCY’s TVTP. There is currently a corresponding \$20M request in TVTP grant authority in FEMA’s submission. Grants provide State and local governments, law enforcement, emergency management, and other partners the ability to support locally-based prevention programming and expand existing counterterrorism programs.

The NSCT’s priority areas that call for the USG to “institutionalize a prevention architecture to thwart terrorism” and to “increase civil society’s role in terrorism prevention” repeatedly note the need to support State and local stakeholders preventing terrorism. One of the top recommendations from a 2019 RAND study titled “Practical Terrorism Prevention, notes that “terrorism prevention efforts have to be locally designed, managed and

driven,” and the consensus RAND heard was on “the need for the federal government to find ways to fund those local efforts.” In FY 2016, DHS was appropriated \$10.0M in grant funding to empower local partners to prevent radicalization and recruitment to violence. The CVE Grant Program (CVEGP) made 25 awards that support programs in five focus areas. Grantees commenced work on August 1, 2017 and had a two-year period of performance. Current TVTP staff are working closely with all grantees to ensure collection of robust program metrics, provide technical assistance as needed, and analyze lessons learned and promising practices from grantee work. In addition to the models identified through the current grant projects, innovation and development staff will identify additional models based on terrorism and targeted violence prevention research and work in other fields and will replicate promising practices in new communities.

TVTP will utilize a new competitive, capacity building grant program to encourage new jurisdictions to implement intervention and resilience building capacity while continuing to spur innovation. The four requested PLCY positions will form an innovation and development team that will oversee the grants and/or cooperative agreements, collect performance metrics, provide technical assistance, and coordinate with TVTP field staff, DHS components, and other agencies to ensure that recipients are implementing an integrated terrorism and targeted violence prevention program. Recipients will be expected to maintain the capabilities built with the grant program. Innovation grants under this assistance program will allow for new ideas to be piloted, and the results of the pilot projects will be integrated into the program in the following years. Additionally, workload permitting, the requested FTP will maintain a library of resources, manage web presence of models and best practices, and provide other technical services to support broad marketing to encourage local communities to develop prevention capabilities.

**Performance**

As the RAND study and numerous other expert reports note, localities are overwhelmed by competing priorities and often do not see “preventing terrorism” as a high priority for their limited resources. Supporting this effort will increase the innovation and impact of TVTP programs in the areas of engagement and interventions, in areas where little to no existing programming exists, such as medium to long term intervention models for radicalizing individuals or reintegration and rehabilitation programs for returning radicalized individuals and their families. Outcomes from newly created programs will be leveraged to achieve lasting impact in their original areas or elsewhere in the country.

**Program Change 13 – TVTP Increase for CRCL:****Description**

The FY 2021 request includes 3 Positions, 3 FTE, and 2.0M for CRCL. Base funds for this program is 7 Positions, 7 FTE, and \$0.5M.

**Justification**

As part of the Department’s efforts to combat domestic terrorism, the CRCL plays an important role in improving partner terrorism prevention efforts and ensuring that the Department’s operational initiatives appropriately preserve civil rights and civil liberties. These funds will allow CRCL to implement two domestic terrorism prevention programs directly supporting State, local, tribal, and territorial (SLTT) law enforcement partners. The additional resources will also ensure CRCL’s capacity to mitigate civil rights and civil liberties concerns is sufficient to keep pace with all enhanced prevention and protection efforts undertaken by DHS.

The first of the two programs, the Law Enforcement Awareness Briefing (LAB) for SLTT law enforcement was developed over the past several years but without national implementation funding. A fully realized and funded LAB would include a national instructor training program designed

to facilitate local customized training by SLTT law enforcement to SLTT law enforcement across the Nation. The second program supported by the funds will enable a modification and expansion of CRCL's statutorily-mandated technical assistance (TA) and training role for fusion centers, which would also include a specialized LAB awareness briefing for the SLTT terrorism liaison officer networks operated by most fusion centers. Ensuring CRCL maintains capacity to advise DHS programs combating domestic terrorism is critically important because domestic activities present unique and heightened risks to both individual rights and the counterterrorism programs given the nexus to domestic activity protected by the Constitution (e.g., First and Second Amendments). The potential violation of individual rights can in turn put security activities at risk.

**Performance**

The FY 2021 Budget supports this program change aimed at meeting at creating a Department-wide approach toward combatting targeted violence. CRCL experts work to reduce controversy about DHS terrorism prevention efforts and address concerns about their potential to infringe on constitutionally protected rights or to stigmatize communities. The best way to mitigate risks to the public and our programs is to ensure DHS safeguards our American values from the earliest stages in all our enhanced activities.

**Program Change 14 – TVTP Increase for PRIV and OGC:****Description**

The FY 2021 request includes 6 Positions, 6 FTE, and \$1.4M, to support TVTP activities for PRIV and OGC. Of this request 4 Positions, 4 FTE, and \$0.9M is for the Office of General Counsel to manage new and existing processes related to the TVTP mission; and 2 Positions, 2 FTE, and \$0.5M is for the Privacy Officer. There are no base funds for these programs.

**Justification**

For the Privacy Officer, these resources will enable HQ Privacy and FOIA staff augmentation to directly support HQ and Component strategic initiatives and objectives to counter domestic terrorism and targeted violence. Staff augmentation is necessary to facilitate compliance with privacy laws and departmental policies, preservation of U.S. Person rights under the Privacy Act, privacy governance and oversight throughout the enterprise's emerging domestic terrorism and targeted violence strategic development and implementation lifecycle, as well as to promote accountability and transparency while safeguarding certain types of vital government information related to disclosure requests.

For the Office of General Counsel, the TVTP mission will entail the creation of new processes in the Department and the substantive expansion of existing processes. For example, we proposed education and awareness campaigns directed at the public as well as State and local governmental entities. This would include sharing best practices with law enforcement and others. OGC would be involved in reviewing, if not actually writing, many of these messages to ensure that the best practices we recommend are lawful.

**Performance**

The FY 2021 Budget supports this program change aimed at meeting at creating a Department-wide approach toward combatting targeted violence. Throughout the enterprise's emerging domestic terrorism and targeted violence strategic development and implementation lifecycle, the Privacy Officer will be performing risk-based threat assessments, evaluating operational and technological solutions to maximize operational efficacy, and sharing information with mission partners. All these work efforts have nexus to the Privacy Act due to their very foundation in the detection and

identification of an individual or individuals who are U.S. persons who wish to perpetuate domestic terrorism and targeted violent acts upon the American people. Impacts to the individual necessitates the direct engagement of HQ Privacy staff to provide new governance frameworks, oversight, and assure compliance from the risk assessment stage all the way through to technology solution, tool development, and deployment. The Department's existing frameworks were designed with primarily non-domestic counterterrorism threat actors in mind; a newer approach requires a different analysis that closely consider U.S. Person rights under the Privacy Act and other statutory and constitutional privacy rights.

Furthermore, for the Office of General Counsel, it is vital that funding for any new programs and initiatives include corresponding increases in funding for legal support. This is because the overwhelming majority of new or expanded programs bring with them increases in litigation and increased needs for focused and dedicated legal analysis. Adding these resources will also allow us to address the legal issues presented by these new and expanded programs and will ensure that these programs are implemented in as smoothly a manner as possible.

### **Program Change 15 – TVTP Preventing Terrorist Use of Internet:**

#### **Description**

The FY 2021 request includes an increase of 2 Positions, 2 FTE, and \$2.0M for the Preventing Terrorist Use of Internet program to address online aspects of mobilization to violence, including the hiring of a Chief Digital Officer and an additional position to support this effort. There are no base funds for this program.

#### **Justification**

The initial emphasis of the PTUI effort will focus on the following: (1) broad information-sharing with a range of terrorism prevention stakeholders, including law enforcement, the private sector, and communities, and targets of radicalization with regards to threats, strategies, and effective responses; (2) implementing online and offline activities – conducted by government and non-governmental partners – against specific national security threats to counter narratives and provide alternatives, to increase the adversaries' organizational costs, and to reduce the overall effectiveness of their strategies; and (3) integrating with existing programs, including cybersecurity, countering foreign influence, and other technology-focused areas.

TVTP and DHS or interagency partners have convened four Digital Forums on Terrorism Prevention to promote engagement between community leaders and technology professionals seeking to counter terrorist exploitation of the internet, where extremist organizations recruit, radicalize, and direct supporters. TVTP's predecessor organization launched the SM CAB to train content moderators at technology companies through the Global Internet Forum to Combat Terrorism and industry startups through Tech Against Terrorism and developed technical and digital marketing tools to build capacity in the online space where narratives of terror groups have emerged. In the past, TVTP has supported, both financially and through technical assistance, a critically acclaimed "Peer 2 Peer (P2P): Challenging Extremism" university-based contest that incubates online projects to prevent terrorism.

There is a need to change the objectives of the program to leverage its capacity for innovation for the new priorities of DHS, specifically to enhance the focus on domestic terrorism. For example, while P2P has produced numerous projects for Tolerance/Acceptance and Awareness-Building, a new online challenge program would specifically focus on supporting interventions or other early detection alerts targeting those radicalizing or mobilizing to violence.

### **Performance**

This proposed increase will enable DHS to diminish terrorist use of the internet, and to continue hosting Digital Forums. Delivery of the SM CAB will not be limited to less effective online platforms and DHS can continue the innovation of the P2P program. This proposal represents a scalable program for working directly with the tech sector and community leaders to build the capacity of credible voices and diminish terrorist recruitment online.

### **Program Change 16 – Unified Immigration Portal:**

#### **Description**

The FY 2021 request includes an increase of \$1.0M for Unified Immigration Portal to collect, store, share and analyze immigration data. There are no base funds for this program.

#### **Justification**

The Department of Homeland Security's (DHS) longstanding challenges with collecting, storing, sharing, and analyzing immigration data is evidenced by the independent and piecemeal development of data systems and processes to leverage immigration enforcement and benefits information. Dozens of stand-alone DHS and interagency partner data systems lack connectivity, and departments, agencies, and sub-agencies are often unable to access each other's data in a timely manner. The Unified Immigration Portal (UIP) will address these issues by providing single sign-on access to necessary operational immigration data.

Additionally, the diverse set of immigration data systems lack a coordinating body to establish uniform standards and practices. The resulting inconsistencies limit the effectiveness of operational data sharing and hinder the Department's ability to conduct enterprise-level planning and analysis or to report quickly, comprehensively, and authoritatively to Congress and the public. PLCY's Immigration Data Integration Initiative (IDII) addresses these problems by collecting and publishing enterprise data standards and by working with data system owners to implement a common set of standards.

This Program Decision Option requests contract support, and software licenses for PLCY to continue production of the IDII data standards, to prioritize standards that support the UIP, and to ensure implementation of standards as the UIP is developed. The contract support and licenses will support the IDII's collaboration with source system subject matter experts to gather reference data and establish DHS-wide data standards and to improve data quality within the UIP and its DHS and interagency feeder systems by implementing standards across the immigration domain.



**Performance**

This proposed increase will enable the Department to publish a comprehensive set of immigration data standards to support the UIP, encourage Department-wide efforts to develop and implement common standards and data governance as part of a mature enterprise system. Additionally, this increase will allow PLCY to leverage standardized immigration data to provide the Secretary and other senior leaders with timely and comprehensive data-driven guidance to support policymaking and public messaging.

**Operations and Support  
Personnel Compensation and Benefits**

**Pay Summary**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Office of the Secretary	69	68	\$8,816	\$107.93	-	-	-	-	-	-	-	-	-	-	-	-
Office of Strategy, Policy, and Plans	168	157	\$24,873	\$158.43	194	183	\$30,834	\$168.49	215	195	\$31,517	\$161.63	21	12	\$683	(\$6.86)
Office of Public Affairs	26	24	\$2,856	\$119	-	-	-	-	-	-	-	-	-	-	-	-
Office of Legislative Affairs	27	25	\$3,928	\$157.12	-	-	-	-	-	-	-	-	-	-	-	-
Office of Partnership and Engagement	55	52	\$7,005	\$134.71	-	-	-	-	-	-	-	-	-	-	-	-
Office of General Counsel	105	85	\$14,906	\$175.05	-	-	-	-	-	-	-	-	-	-	-	-
Office for Civil Rights and Civil Liberties	101	95	\$17,767	\$187.02	-	-	-	-	-	-	-	-	-	-	-	-
Office of the Citizenship and Immigration Services Ombudsman	29	26	\$3,380	\$130	-	-	-	-	-	-	-	-	-	-	-	-
Privacy Office	42	38	\$6,114	\$160.89	-	-	-	-	-	-	-	-	-	-	-	-
Operations and Engagement	-	-	-	-	186	170	\$32,516	\$191.27	189	177	\$32,273	\$182.33	3	7	(\$243)	(\$8.94)
Management and Oversight	-	-	-	-	278	252	\$41,006	\$156.75	289	263	\$42,989	\$157.74	11	11	\$1,983	\$0.99
<b>Total</b>	<b>622</b>	<b>570</b>	<b>\$89,645</b>	<b>\$154.63</b>	<b>658</b>	<b>605</b>	<b>\$104,356</b>	<b>\$170</b>	<b>693</b>	<b>635</b>	<b>\$106,779</b>	<b>\$165.79</b>	<b>35</b>	<b>30</b>	<b>\$2,423</b>	<b>(\$4.21)</b>
Discretionary - Appropriation	622	570	\$89,645	\$154.63	658	605	\$104,356	\$170	693	635	\$106,779	\$165.79	35	30	\$2,423	(\$4.21)

\* The FTE Rate calculation does not include Object Class 11.8-Special Personal Services Payments or 13.0-Benefits for Former Personnel.

## Pay by Object Class

<b>Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 - FY 2021 Change</b>
11.1 Full-time Permanent	\$61,043	\$70,103	\$72,767	\$2,664
11.3 Other than Full-Time Permanent	\$5,014	\$5,138	\$5,138	-
11.5 Other Personnel Compensation	\$1,058	\$1,058	\$1,058	-
11.8 Special Personal Services Payments	\$1,504	\$1,504	\$1,504	-
12.1 Civilian Personnel Benefits	\$21,026	\$26,553	\$26,312	(\$241)
<b>Total - Personnel Compensation and Benefits</b>	<b>\$89,645</b>	<b>\$104,356</b>	<b>\$106,779</b>	<b>\$2,423</b>
<b>Positions and FTE</b>				
Positions - Civilian	622	658	693	35
FTE - Civilian	570	605	635	30

## Operations and Support Permanent Positions by Grade – Appropriation

Grades and Salary Range <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 to FY 2021 Change
Total, SES	80	82	69	-13
GS-15	171	174	207	33
GS-14	137	145	121	-24
GS-13	91	91	96	5
GS-12	61	70	77	7
GS-11	34	35	68	33
GS-9	37	45	37	-8
GS-8	1	2	1	-1
GS-7	6	10	14	4
GS-5	3	3	3	-
GS-4	1	1	-	-1
<b>Total Permanent Positions</b>	<b>622</b>	<b>658</b>	<b>693</b>	<b>35</b>
Unfilled Positions EOY	622	658	693	35
<b>Position Locations</b>				
Headquarters	617	653	688	35
Foreign Field	5	5	5	-
<b>Averages</b>				
Average Personnel Costs, ES Positions	175,907	176,924	172,107	-4,817
Average Personnel Costs, GS Positions	109,680	111,030	113,409	2,379
Average Grade, GS Positions	13	13	13	-

## Operations and Support Non Pay Budget Exhibits

### Non Pay Summary

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 to FY 2021 Total Changes
Office of the Secretary	\$9,711	-	-	-
Office of Strategy, Policy, and Plans	\$13,077	\$17,737	\$20,604	\$2,867
Office of Public Affairs	\$2,465	-	-	-
Office of Legislative Affairs	\$1,534	-	-	-
Office of Partnership and Engagement	\$7,561	-	-	-
Office of General Counsel	\$4,473	-	-	-
Office for Civil Rights and Civil Liberties	\$7,545	-	-	-
Office of the Citizenship and Immigration Services Ombudsman	\$2,820	-	-	-
Privacy Office	\$2,550	-	-	-
Operations and Engagement	-	\$26,506	\$11,467	(\$15,039)
Management and Oversight	-	\$20,209	\$11,509	(\$8,700)
<b>Total</b>	<b>\$51,736</b>	<b>\$64,452</b>	<b>\$43,580</b>	<b>(\$20,872)</b>
Discretionary - Appropriation	\$51,736	\$64,452	\$43,580	(\$20,872)

**Non Pay by Object Class**

<b>Non-Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Change</b>
21.0 Travel and Transportation of Persons	\$4,802	\$4,395	\$3,965	(\$430)
23.1 Rental Payments to GSA	\$8,769	-	-	-
24.0 Printing and Reproduction	\$47	\$12	\$12	-
25.1 Advisory and Assistance Services	\$14,251	\$27,803	\$21,252	(\$6,551)
25.2 Other Services from Non-Federal Sources	\$6,114	\$5,059	\$11,358	\$6,299
25.3 Other Goods and Services from Federal Sources	\$16,248	\$25,939	\$6,006	(\$19,933)
25.4 Operation and Maintenance of Facilities	\$304	-	-	-
25.7 Operation and Maintenance of Equipment	\$684	\$464	\$111	(\$353)
26.0 Supplies and Materials	\$411	\$714	\$692	(\$22)
31.0 Equipment	\$106	\$66	\$184	\$118
<b>Total - Non Pay Object Classes</b>	<b>\$51,736</b>	<b>\$64,452</b>	<b>\$43,580</b>	<b>(\$20,872)</b>

*Office of Strategy, Policy, and Plans – PPA*

**Budget Comparison and Adjustments**

**Comparison of Budget Authority and Request**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of Strategy, Policy, and Plans	168	157	\$37,950	194	183	\$48,571	215	195	\$52,121	21	12	\$3,550
<b>Total</b>	<b>168</b>	<b>157</b>	<b>\$37,950</b>	<b>194</b>	<b>183</b>	<b>\$48,571</b>	<b>215</b>	<b>195</b>	<b>\$52,121</b>	<b>21</b>	<b>12</b>	<b>\$3,550</b>
Subtotal Discretionary - Appropriation	168	157	\$37,950	194	183	\$48,571	215	195	\$52,121	21	12	\$3,550

**PPA Level I Description**

The Office of Strategy, Policy, and Plans (PLCY) PPA serves as the Department’s principal source of policy development and decision analysis for DHS senior leadership and Secretarial initiatives and for other critical matters that may arise in a dynamic threat environment. The Executive Office of PLCY manages sub-offices managed by the PLCY Executive Office to include Threat Prevention & Security Policy (TPSP), Strategy, Plans, Analysis, & Risk (SPAR), Border, Immigration, & Trade Policy (BIT), International Affairs (OIA), and Cyber, Infrastructure and Resilience Policy (CIR).

## Office of Strategy, Policy, and Plans – PPA

### FY 2021 Expenditure Plan

In response to direction provided in the Conference Report 116-9, accompanying the FY 2019 Consolidated Appropriation Act (P.L. 116-6), expenditure plan information is being included for all PPAs within this account.

#### Office of Strategy, Policy, and Plans

The Office of Strategy, Policy, and Plans (PLCY) serves as a central resource to the Secretary and other Department leaders for policy development and review, strategic planning and analysis, and facilitation of decision-making on the full breadth of issues that may arise across the dynamic homeland security enterprise. PLCY is responsible for strengthening our Nation's homeland security by developing DHS-wide policies, programs, and planning to promote and ensure the highest level of performance, quality, consistency, and integration in the execution of all homeland security missions. PLCY represents and coordinates the consolidated DHS position at White House interagency committee meetings. The Office develops and articulates the long-term strategic view of the Department and translates the Secretary's strategic priorities into planning products that drive increased operational effectiveness through integration, prioritization, and resource allocation.

#### Office of Strategy, Policy, and Plans Executive Office

The Executive Office includes the Under Secretary and Deputy Under Secretary positions and manages the following: The Executive Secretariat functions; training and education programs, which include intern and Presidential Management Fellow programs; operations and resource management; Freedom of Information Act requests and inquiries; Privacy and Audit Liaison functions; and the Department's coordination process for Policy Coordination Committees (PCCs). Moreover, The Executive Office provides a centralized coordination point for developing and communicating policies across multiple sub-offices within PLCY, throughout the Department, and across the homeland security enterprise. The Under Secretary serves as the coordinator of Department-wide policies and planning to advance and ensure consistency and integration among DHS missions.

#### Threat Prevention & Security Policy

Threat Prevention and Security Policy (TPSP) supports the Department's mission to secure the Homeland by countering terrorism, transnational criminal organizations, hostile nation states, human trafficking, and emerging threats, and addressing global transportation security, screening and vetting, watchlisting, information sharing, identity management and credentialing, and biometrics through the development and coordination of department-wide strategy, policy and plans, and the administration of programs such as REAL ID, Countering Unmanned Aerial Systems (C-UAS), Travel WISER, and Visa Waiver. Additionally, TPSP's Targeted Violence and Terrorism Prevention (TVTP) is the primary entity responsible for building, maturing, and driving the prevention mission in DHS and works to equip and empower local efforts to prevent individuals from mobilizing to violence.

#### Strategy, Plans, Analysis & Risk

Strategy, Plans, Analysis & Risk (SPAR) supports the DHS mission by developing Department-wide strategies and operational plans on cross-cutting topics, issues, and contingencies. SPAR also provides coordinating support and guidance to the Joint Task Forces and facilitates Joint Incident Action



decision support for DHS senior leaders. Finally, SPAR integrates the Department’s management processes and develops the Secretary’s annual resource allocation guidance. SPAR’s policymaking responsibilities focus on long-term planning and analysis to inform senior DHS leadership decisions on the future homeland security mission.

**Border, Immigration & Trade Policy**

Border, Immigration & Trade Policy (BIT) supports DHS’s border security and immigration missions by developing and coordinating policies on the transit of people and goods across U.S. borders. With respect to trade, BIT coordinates Department-wide policy initiatives on customs revenue, border security, cargo security, trade agreements compliance, and export control enforcement. On immigration matters, BIT consolidates Component statistics and conducts quantitative studies to assess immigration trends and effects, advises Department leadership on immigration policies and regulations, and engages interagency counterparts on immigration policies. Additionally, BIT serves as the primary DHS point of contact for the Council on Foreign Investment in the United States (CFIUS) by promulgating policies, processes, procedures, and other guidance for DHS participation in CFIUS. BIT’s policymaking responsibilities ensure consistency on all border, immigration, and trade matters across DHS’s various Components.

**International Affairs**

International Affairs (OIA) supports all of DHS’s missions by managing and coordinating the Department’s extensive international activities and cooperation with international partners. As the DHS lead for international affairs, OIA develops, coordinates, and implements the Department’s international priorities, security sector assistance, and attaché deployment. Additionally, OIA contains regional divisions that coordinate with interagency counterparts and facilitate relations with foreign governments and international organizations. OIA’s initiatives leverage international partnerships to support and enhance the domestic homeland security mission. OIA serves a supporting function of all DHS Secretarial level international engagements.

**Cyber, Infrastructure, and Resilience Policy**

Cyber, Infrastructure, and Resilience Policy (CIR) supports DHS’s cyber and national resilience missions. CIR develops and coordinates policies to support DHS efforts to reduce national risks with a focus on critical infrastructure cybersecurity, Federal network security, countering cyber crime, and improving the security and resilience of the global cyber ecosystem. In addition, CIR engages with DHS and interagency counterparts to coordinate national resilience initiatives that enhance Federal, State and local preparedness and response capabilities. CIR also engages across DHS and with other stakeholders to understand the impact of emerging technologies and evolving risks on homeland security efforts, and to ensure that the Department takes a coordinated whole-of DHS approach to mitigate identified national risks.

Office of Strategy, Policy, and Plans Planned Obligations: (Dollars in Thousands)							
Program Areas	Positions	Salaries and Benefits	Travel	Contracts/ IAAs	Other Expenses	Working Capital Fund (WCF)	Totals by Office
Policy Executive Office	19	\$2,472	\$60	\$999	\$44	-	\$3,575
Threat Prevention & Security Policy	71	\$12,531	\$250	\$9,000	\$614	-	\$22,395
Strategy, Plans, Analysis & Risk	26	\$4,350	\$45	-	\$60	-	\$4,455
Border, Immigration & Trade Policy	40	\$5,158	\$115	\$6,570	\$93	-	\$11,936
International Affairs	37	\$5,096	\$210	\$1,504	\$86	-	\$6,895
Cyber, Infrastructure & Resilience Policy	22	\$2,784	\$30	-	\$51	-	\$2,865
<b>Total</b>	<b>215</b>	<b>\$32,390</b>	<b>\$710</b>	<b>\$18,072</b>	<b>\$949</b>	<b>-</b>	<b>\$52,121</b>

## Contracts &amp; Interagency Agreements

FY 2021 Contracts/ Interagency Agreements (Dollars in Thousands)			
Office	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Border, Immigration & Trade Policy	CFIUS case management support	\$3,950	Q3
Border, Immigration & Trade Policy	License fee for maintaining statistical analysis software	\$60	Q2
Border, Immigration & Trade Policy	Technical document layout and 508 remediation for OIS publications	\$100	Q4
Border, Immigration & Trade Policy	Program Support for the Immigration Data Integration Initiative	\$1,100	Q1
Border, Immigration & Trade Policy	Services to support United Immigration Portal development	\$1,000	Q2
Threat Prevention & Security Policy	TVTP field staff support services	\$4,400	Q2
Threat Prevention & Security Policy	TVTP awareness briefing support services	\$3,100	Q2
Threat Prevention & Security Policy	Support services - preventing terrorist use of the internet	\$1,500	Q1
Policy Executive Office	PLCY-wide administrative support services	\$750	Q4
<b>Total Planned Contracts</b>		<b>\$15,960</b>	
Border, Immigration & Trade Policy	OIS computer support at DC1	\$220	Q2
International Affairs	Attaché Allowances	\$600	Q1, Q2, Q3, Q4
International Affairs	(1) International Cooperative Administrative Support Services (2) Capital Security Cost Sharing & Maintenance Cost Sharing	\$800	Q4
International Affairs	Support provided by DOS posts abroad for TDY visits	\$35	Q1, Q2, Q3, Q4
International Affairs	Interpretation and translation service provided by DOS	\$68	Q1
Border, Immigration & Trade Policy	Data storage, analysis, and predictive modeling capabilities	\$140	Q2

**Operations and Support**

**Office of Strategy, Policy, and Plans – PPA**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Policy Executive Office	Financial and Accounting Shared Services	\$152	Q3
Policy Executive Office	Flexible Spending Plan	\$1	Q4
Policy Executive Office	Classified Local Area Network (CLAN) Operations	\$388	Q1
Policy Executive Office	Background Investigations	\$96	Q2
<b>Total Planned IAAs</b>		<b>\$2,112</b>	
<b>TOTAL</b>		<b>\$18,072</b>	

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$11,988	\$11,988	\$13,552	\$14,594
Obligations By Percent	23%	23%	26%	28%

<b>Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$24,873	\$30,834	\$32,390
Travel	\$600	\$700	\$710
Contracts & IAAs	\$6,972	\$11,424	\$18,072
Other	\$2,149	\$208	\$949
WCF	\$3,356	\$5,406	-
<b>Total</b>	<b>\$37,950</b>	<b>\$48,571</b>	<b>\$52,121</b>

**Office of Strategy, Policy, and Plans – PPA  
Budget Authority and Obligations**

<b>Budget Authority</b> <i>(Dollars in Thousands)</i>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Enacted/Request</b>	<b>\$37,950</b>	<b>\$48,571</b>	<b>\$52,121</b>
Carryover and/or Recoveries (Actual/Estimates/Projections)	-	-	-
Rescissions to Current Year/Budget Year	(\$12)	-	-
Net Sequestered Resources	-	-	-
Reprogrammings/Transfers	-	-	-
Supplementals	-	-	-
<b>Total Budget Authority</b>	<b>\$37,938</b>	<b>\$48,571</b>	<b>\$52,121</b>
Collections – Reimbursable Resources	\$448	\$448	\$194
<b>Total Budget Resources</b>	<b>\$38,386</b>	<b>\$49,019</b>	<b>\$52,315</b>
Obligations (Actual/Estimates/Projections)	\$38,419	\$49,019	\$52,315
<b>Personnel: Positions and FTE</b>			
Enacted/Request Positions	168	194	215
Enacted/Request FTE	157	183	195
<b>Onboard and Actual FTE; Includes Collections - Reimbursable Resources</b>			
Onboard (Actual/Estimates/Projections)	170	196	216
FTE (Actual/Estimates/Projections)	159	185	196

**Office of Strategy Policy, and Plans – PPA  
Collections – Reimbursable Resources**

Collections <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Homeland Security - Department of Homeland Security <span style="float:right">Source</span>	1	1	\$224	1	1	\$224	-	-	-
Department of Homeland Security - CISA <span style="float:right">Source</span>	-	-	-	-	-	-	1	1	\$194
Office of Director of National Intelligence <span style="float:right">Source</span>	1	1	\$224	1	1	\$224	-	-	-
<b>Total Collections</b>	<b>2</b>	<b>2</b>	<b>\$448</b>	<b>2</b>	<b>2</b>	<b>\$448</b>	<b>1</b>	<b>1</b>	<b>\$194</b>

## Office of Strategy, Policy, and Plans – PPA Summary of Budget Changes

Budget Formulation Activity <i>(Dollars in Thousands)</i>	Positions	FTE	Amount
<b>FY 2019 Enacted</b>	<b>168</b>	<b>157</b>	<b>\$37,950</b>
<b>FY 2020 Enacted</b>	<b>194</b>	<b>183</b>	<b>\$48,571</b>
<b>FY 2021 Base Budget</b>	<b>194</b>	<b>183</b>	<b>\$48,571</b>
Transfer for WCF Removals from OSEM/ SPP to A&O	-	-	(\$384)
Transfer for WCF Removals from OSEM/SPP to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/SPP to MGMT/CHCO	-	-	(\$17)
Transfer for WCF Removals from OSEM/SPP to MGMT/CIO	-	-	(\$2,201)
Transfer for WCF Removals from OSEM/SPP to MGMT/CRSO	-	-	(\$2,352)
Transfer for WCF Removals from OSEM/SPP to MGMT/CSO	-	-	(\$14)
<b>Total Transfers</b>	<b>-</b>	<b>-</b>	<b>(\$4,969)</b>
2020 Pay Raise	-	-	\$882
2021 Pay Raise	-	-	\$251
Contract Services	-	-	\$76
FERS Agency Contribution	-	-	\$247
GSA Rent Enhancement	-	-	\$5
National Capital Region Infrastructure Operations (NCRIO) Sustainment	-	-	\$6
<b>Total, Pricing Increases</b>	<b>-</b>	<b>-</b>	<b>\$1,467</b>
Delay Hiring	-	-	(\$570)
FPS Fee Adjustment	-	-	(\$350)
Non-Recurring FY20 Fiscal Increase for FY19 Sustainment	-	-	(\$405)
<b>Total, Pricing Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$1,325)</b>
<b>Total Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>(\$4,827)</b>
<b>FY 2021 Current Services</b>	<b>194</b>	<b>183</b>	<b>\$43,744</b>
Awards Spending Increase	-	-	\$335
C-UAS Policy Coordination Office	2	1	\$200
Foreign Investment Risk Review Modernization Act (FIRRMA)	2	2	\$549
Joint Cyber Coordination Group (JCCG)	6	6	\$2,596
TVTP Field Staff for State and Local Coordination and Capacity Building	8	-	\$4,100
TVTP Grant Program Management Office	1	1	\$100
TVTP Preventing Terrorist Use of Internet	2	2	\$2,000

**Operations and Support**

**Office of Strategy, Policy, and Plans – PPA**

<b>Budget Formulation Activity</b> <i>(Dollars in Thousands)</i>	<b>Positions</b>	<b>FTE</b>	<b>Amount</b>
Unified Immigration Portal	-	-	\$1,000
<b>Total, Program Increases</b>	<b>21</b>	<b>12</b>	<b>\$10,880</b>
Contracts reduction	-	-	(\$100)
Immigration Data Integration Initiative (IDII)	-	-	(\$2,113)
Non-Recur Portion of OTPP Transfer	-	-	(\$290)
<b>Total, Program Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$2,503)</b>
<b>FY 2021 Request</b>	<b>215</b>	<b>195</b>	<b>\$52,121</b>
<b>FY 2020 To FY 2021 Change</b>	<b>21</b>	<b>12</b>	<b>\$3,550</b>

**Office of Strategy, Policy, and Plans – PPA  
Personnel Compensation and Benefits**

**Pay Summary**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Office of Strategy, Policy, and Plans	168	157	\$24,873	\$158.43	194	183	\$30,834	\$168.49	215	195	\$31,517	\$161.63	21	12	\$683	(\$6.86)
<b>Total</b>	<b>168</b>	<b>157</b>	<b>\$24,873</b>	<b>\$158.43</b>	<b>194</b>	<b>183</b>	<b>\$30,834</b>	<b>\$168.49</b>	<b>215</b>	<b>195</b>	<b>\$31,517</b>	<b>\$161.63</b>	<b>21</b>	<b>12</b>	<b>\$683</b>	<b>(\$6.86)</b>
Discretionary - Appropriation	168	157	\$24,873	\$158.43	194	183	\$30,834	\$168.49	215	195	\$31,517	\$161.63	21	12	\$683	(\$6.86)

**Pay by Object Class**

Pay Object Classes <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 - FY 2021 Change
11.1 Full-time Permanent	\$17,838	\$21,996	\$23,227	\$1,231
11.3 Other than Full-Time Permanent	\$1,107	\$1,107	\$1,107	-
11.5 Other Personnel Compensation	\$445	\$445	\$445	-
12.1 Civilian Personnel Benefits	\$5,483	\$7,286	\$6,738	(\$548)
<b>Total - Personnel Compensation and Benefits</b>	<b>\$24,873</b>	<b>\$30,834</b>	<b>\$31,517</b>	<b>\$683</b>
<b>Positions and FTE</b>				
Positions - Civilian	168	194	215	21
FTE - Civilian	157	183	195	12



## Pay Cost Drivers

Pay Cost Drivers <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate
Office of Strategy, Policy, and Plans	157	\$24,873	\$158.43	183	\$30,834	\$168.49	195	\$31,517	\$161.63	12	\$683	(\$6.86)
<b>Total – Pay Cost Drivers</b>	<b>157</b>	<b>\$24,873</b>	<b>\$158.43</b>	<b>183</b>	<b>\$30,834</b>	<b>\$168.49</b>	<b>195</b>	<b>\$31,517</b>	<b>\$161.63</b>	<b>12</b>	<b>\$683</b>	<b>(\$6.86)</b>

### Explanation of Pay Cost Driver

**Office of Strategy, Policy, and Plans:** These costs support the salaries and benefits of the PLCY office. It reflects an increase of 12 positions and 12 FTE associated with the program changes for the C-UAS Policy Coordination Office, the Foreign Investment Risk Review Modernization Act, the TVTP Awareness Briefing Program, TVTP Field Staff for State & Local Coordination and Capacity Building, the Joint Cyber Coordination Group (JCCG), Preventing Terrorist Use of the Internet, and the TVTP Grant Program. These costs also reflect increases for the FERS agency contribution, and funding to support the pay and awards increases.

**Office of Strategy, Policy, and Plans – PPA  
Non Pay Budget Exhibits**

**Non Pay Summary**

<b>Organization</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Total Changes</b>
Office of Strategy, Policy, and Plans	\$13,077	\$17,737	\$20,604	\$2,867
<b>Total</b>	<b>\$13,077</b>	<b>\$17,737</b>	<b>\$20,604</b>	<b>\$2,867</b>
Discretionary - Appropriation	\$13,077	\$17,737	\$20,604	\$2,867

**Non Pay by Object Class**

<b>Non-Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Change</b>
21.0 Travel and Transportation of Persons	\$600	\$700	\$239	(\$461)
23.1 Rental Payments to GSA	\$1,832	-	-	-
24.0 Printing and Reproduction	\$10	\$10	\$10	-
25.1 Advisory and Assistance Services	\$2,563	\$7,152	\$10,865	\$3,713
25.2 Other Services from Non-Federal Sources	\$74	\$166	\$4,884	\$4,718
25.3 Other Goods and Services from Federal Sources	\$7,691	\$9,603	\$4,351	(\$5,252)
25.7 Operation and Maintenance of Equipment	\$220	-	-	-
26.0 Supplies and Materials	\$45	\$86	\$115	\$29
31.0 Equipment	\$42	\$20	\$140	\$120
<b>Total - Non Pay Object Classes</b>	<b>\$13,077</b>	<b>\$17,737</b>	<b>\$20,604</b>	<b>\$2,867</b>

### Non Pay Cost Drivers

Non Pay Cost Drivers <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 to FY 2021 Total Changes
Inter/Intra Agency Agreements and Contractual Services	\$6,972	\$11,424	\$20,100	\$6,648
Travel	\$600	\$700	\$239	(\$461)
Services from Federal Sources (WCF)	\$3,356	\$5,406	-	(\$5,406)
Other Costs	\$2,149	\$207	\$265	\$58
<b>Total - Non Pay Cost Drivers</b>	<b>\$13,077</b>	<b>\$17,737</b>	<b>\$20,604</b>	<b>\$2,867</b>

#### Explanation of Non Pay Cost Drivers

**Inter/Intra Agency Agreements and Contractual Services:** Several divisions within the Office of Policy leverage contract support and interagency agreements to procure a variety of different services. See the chart labeled “Contracts & Interagency Agreements” above for more details. Increases are associated with realignments between non-pay object classes.

**Travel:** Travel expenses consist of airfare, lodging, meals, and miscellaneous and incidentals expenses. PLCY personnel travel in direct support of the Department’s priorities related to raising international aviation security standards, improving global cargo and supply chain security, enhancing domestic and foreign security operations, including Targeted Violence and Terrorism Prevention (TVTP), and expanding international collaboration in travel, border security, and cybersecurity. In addition, travel plays a key role in managing the Department’s international affairs, including Secretarial engagements abroad, and in enforcing congressionally mandated initiatives, including Visa Waiver Program negotiations, compliance, and enforcement as well as CFIUS monitoring, compliance, and enforcement.

**Services from Federal Sources (WCF):** The change from FY 2020 to FY2021 is attributed to the dissolution of the WCF and associated transfers to MGMT offices who will continue to provide these services to Components in FY 2021.

**Other Costs:** Includes costs associated with training, paper, toner, training tools, books, and other office supplies and equipment.

*Operations and Engagement – PPA***Budget Comparison and Adjustments****Comparison of Budget Authority and Request**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Operations and Engagement	-	-	-	186	170	\$59,022	189	177	\$43,740	3	7	(\$15,282)
<b>Total</b>	-	-	-	<b>186</b>	<b>170</b>	<b>\$59,022</b>	<b>189</b>	<b>177</b>	<b>\$43,740</b>	<b>3</b>	<b>7</b>	<b>(\$15,282)</b>
Subtotal Discretionary - Appropriation	-	-	-	186	170	\$59,022	189	177	\$43,740	3	7	(\$15,282)

**PPA Level I Description**

The Operations and Engagement program provides resources to fund the Office for Civil Rights and Civil Liberties (CRCL), the Office of the Citizenship and Immigration Services Ombudsman (CISOMB), the Office of Partnership and Engagement (OPE) and Office of Immigration Detention Ombudsman (IDO).

**Office for Civil Rights and Civil Liberties (CRCL):** Supports the Department as it secures the Nation while preserving individual liberty, fairness, and equality under the law. The nine functional units that focus on civil rights and liberties issues within CRCL are the CRCL Front Office, Business Operations Division, HQ Equal Employment Opportunity Office, Equal Employment Opportunity Branch and the Diversity Management Branch, Complaints Management and Adjudication Section, Diversity Management Section, Alternative Dispute Resolution Program and Anti-Harassment Unit, Programs Branch, and the Compliance Branch.

**Office of the Citizenship and Immigration Services Ombudsman (CISOMB):** Assists individuals and employers in resolving problems related to the administration of immigration benefits by the United States Citizenship and Immigration Services (USCIS). The staff is organized into four functional Divisions, which include Executive, Operations, Case Work, and Policy.

**Office of Partnership and Engagement (OPE):** Coordinates the Department's outreach efforts with critical stakeholders nationwide, including State, local, tribal, territorial (SLTT) governments, SLTT elected officials, SLTT law enforcement, the private sector, and academia, ensuring a unified approach to external engagement.

**Office of Immigration Detention Ombudsman (IDO):** an independent entity within DHS responsible for assisting individuals in resolving complaints against CBP, U.S. Immigration and Customs Enforcement (ICE), and their associated entities.

## Operations and Engagement – PPA FY 2021 Expenditure Plan

In response to direction provided in the Conference Report 116-9, accompanying the FY 2019 Consolidated Appropriation Act (P.L. 116-6), expenditure plan information is being included for all PPAs within this account.

The new Operations and Engagement PPA comprises the Office for Civil Rights and Civil Liberties, the Office for Citizenship and Immigration Services Ombudsman, and the Office for Partnership and Engagement. Following this section are detailed expenditure plans for these offices.

### **Office for Civil Rights and Civil Liberties (CRCL)**

CRCL supports the Department as it secures the Nation while preserving individual liberty, fairness, and equality under the law. CRCL performs four key functions to integrate civil rights and civil liberties into Departmental activities:

- Promotes respect for civil rights and civil liberties in policy creation and implementation by advising and training DHS leadership and personnel, and State and local partners, and in conducting oversight of DHS programs as appropriate.
- Communicates with individuals and communities whose civil rights and civil liberties may be affected by DHS activities, informs them about policies and avenues of redress, and promotes appropriate attention within the Department to their experiences and concerns.
- Investigates and issues recommendations regarding civil rights and civil liberties complaints filed by the public regarding DHS policies or activities, or actions taken by DHS personnel.
- Leads the Department's Equal Employment Opportunity (EEO) programs and promotes workforce diversity and merit system principles.

CRCL's staff is organized into nine functional units that focus on civil rights and liberties issues that are affected by the Department's activities.

### **CRCL Front Office**

The CRCL's Front Office provides advice to DHS leadership on civil rights and civil liberties issues impacting the DHS programs and/or activities. This includes providing civil rights expertise regarding immediate issues affecting the DHS mission which implicate civil rights or liberties concerns.

### **Business Operations Division**

The Business Operations Section provides day-to-day operational support in the following areas: space and facility management, emergency preparedness programs, budget and procurement, and records management, internal and external communications, and human resources.

### **Equal Employment Opportunity and Diversity Division**

The Equal Employment Opportunity and Diversity Division (EEO) leads the Department's efforts to ensure that all employees and applicants are provided equal opportunity by maintaining effective EEO programs and diversity management under various Federal laws, regulations, Executive Orders and Directives, including:

- Title VII of the Civil Rights Act of 1964, 42 U.S.C. § 2000e *et seq.*;
- Section 501 of the Rehabilitation Act of 1973, 29 U.S.C. § 791 *et seq.*;

- The Age Discrimination in Employment Act of 1967, 29 U.S.C. § 621 *et seq.*;
- The Equal Pay Act of 1963, 29 U.S.C. § 206(d)(1);
- Title II of the Genetic Information Nondiscrimination Act of 2008, 42 U.S.C. § 2000ff *et seq.*;
- Executive Order 11478, (as amended by Executive Orders 13087 and 13152) prohibiting discrimination based on sexual orientation or status as a parent;
- 29 C.F.R. § 1614;
- EEOC Management Directive 110; and
- EEOC Management Directive 715.

The Division is responsible for adjudicating EEO complaints for all DHS Components; developing and monitoring EEO and diversity program policies, plans, and guidance; managing the Department’s Alternative Dispute Resolution program; leading the Headquarters Anti-Harassment Unit; and delivering training, conducting oversight, and administering EEO and diversity programs for DHS Headquarters and its nearly 8,000 employees. In addition, the Division generates a variety of annual progress reports relating to the Department’s diversity and EEO activities. The Deputy Officer for EEO and Diversity also chairs the DHS EEO Directors Council, composed of Component EEO Directors and a human capital representative.

### **HQ Equal Employment Opportunity Office**

The Headquarters EEO Office supports nearly 8,000 DHS Headquarters employees by promoting and facilitating compliance with EEO laws, regulations, and mandates; providing guidance to Headquarters management officials and employees on all aspects of EEO, diversity, and inclusion; preventing and addressing unlawful employment discrimination through training and awareness; and ensuring that all Headquarters employees have a work environment that is free from unlawful discrimination, harassment, or reprisal, which supports them in the fulfillment of their mission to protect the homeland.

### **Complaints Management and Adjudication Section**

The Complaints Management and Adjudication Section (CMAS) leads the processing of EEO complaints throughout the Department. CMAS prepares final actions on formal EEO complaints filed by Department employees, former employees, and applicants for employment who allege discrimination in violation of Title VII of the Civil Rights Act of 1964, as amended; the Age Discrimination in Employment Act of 1967, as amended; the Equal Pay Act of 1963; the Rehabilitation Act of 1973, as amended; the Genetic Information Nondiscrimination Act of 2008; and Executive Orders prohibiting discrimination on the bases of parental status and sexual orientation. Federal-sector EEO complaint processing guidelines are set forth in Equal Employment Opportunity Commission (EEOC) regulations at Title 29, Code of Federal Regulations, Part 1614. Additionally, CMAS prepares the following Departmental reports:

- Annual Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (“No FEAR Act”) Report.
- Quarterly No FEAR Act data postings.
- Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints (“462 Report”).

**Diversity Management Section**

The Diversity Management Section (DMS) provides leadership, guidance, and technical assistance to DHS Components on the Department's EEO and Diversity initiatives. DMS identifies, analyzes, and recommends actions to remove any barriers to equal employment opportunities, and leads the Department's special emphasis programs. DMS also generates the Department's Annual EEO Program Status Report, pursuant to EEOC Management Directive 715, in addition to other required and ad hoc reports.

**Alternative Dispute Resolution Program**

The Alternative Dispute Resolution (ADR) Program provides DHS-HQ employees with a dispute resolution process in lieu of the traditional EEO complaint process. In addition, the ADR Program manages the Department-wide Shared Neutrals Program and provides leadership, guidance, and technical assistance to DHS Components regarding their respective ADR programs.

**Anti-Harassment Unit**

The Anti-Harassment Unit (AHU) enforces the DHS Anti-Harassment Policy pursuant to DHS Directive 256-01. The AHU conducts fact-findings into allegations of harassment brought by DHS-HQ employees and oversees Component-level anti-harassment programs.

**Programs Branch**

The Programs Branch integrates civil rights and civil liberties into all DHS agency activities through a variety of mechanisms, including providing policy advice and support to the Department for incorporating civil rights and civil liberties protections into the Department's immigration-related activities and policies (Immigration Section), as well as the Department's information and physical security programs, information sharing activities, and intelligence-related programs and products (Security, Intelligence, and Information Policy Section). The Programs Branch also develops and delivers targeted civil rights and civil liberties training for State, local, and tribal homeland security partners to build public trust, operationalize DHS policy and promote partner cooperation (Civil Rights and Civil Liberties Institute), and coordinates outreach and engagement activities in communities where civil rights and civil liberties are particularly affected by DHS programs (Community Engagement Section). Additionally, the Programs Branch works to ensure that the Department's programs and activities do not discriminate against individuals or prohibit access to the Department's programs on the basis of race, color, national origin, limited English proficiency, age, sex, or disability, and that recipients of Federal financial assistance comply with their civil rights obligations (Antidiscrimination Group).

**Compliance Branch**

The Compliance Branch investigates complaints from the public, media reports, and other sources, alleging civil rights or civil liberties violations by Department personnel or programs, including disability discrimination prohibited by the Rehabilitation Act of 1973, inappropriate use of force by DHS officers or agents, inadequate conditions of detention, violation of right to due process, and racial or ethnic profiling. CRCL makes formal recommendations to DHS Component leadership stemming from its investigations to address issues related to civil rights, such as changes to DHS policies, practices, and training. Except for disability accommodation claims under the Rehabilitation Act of 1973, CRCL does not order individual relief or redress for a complainant.

**Operations and Support**

**Operations and Engagement – PPA**

<b>Office for Civil Rights &amp; Civil Liberties Planned Obligations:</b> <i>(Dollars in Thousands)</i>							
<b>Program Areas</b>	<b>Positions</b>	<b>Salaries and Benefits</b>	<b>Travel</b>	<b>Contracts/ IAAs</b>	<b>Other Expenses</b>	<b>Working Capital Fund (WCF)</b>	<b>Totals by Office</b>
CRCL Front Office	4	\$744	\$10	\$350	\$12	-	\$1,116
Business Operations Section	9	\$1,675	\$23	\$1,399	\$26	-	\$3,123
Attorney Advisors	3	\$558	\$8	-	\$9	-	\$574
Programs and Compliance Front Office	6	\$1,117	\$15	-	\$17	-	\$1,149
Programs Branch	29	\$5,397	\$73	\$2,210	\$84	-	\$7,763
Compliance Branch	18	\$3,350	\$45	\$617	\$52	-	\$4,064
EEO Front Office	3	\$558	\$8	-	\$9	-	\$574
HQ Equal Employment Office	7	\$1,303	\$18	\$150	\$20	-	\$1,490
EEO-Diversity Management Section	6	\$1,117	\$15	-	\$17	-	\$1,149
EEO - Complaints Management	16	\$2,978	\$40	\$107	\$46	-	\$3,171
EEO - Alternative Dispute Resolution and Anti-Harrassment Unit	3	\$558	\$8	-	\$9	-	\$574
<b>Total</b>	<b>104</b>	<b>\$19,355</b>	<b>\$260</b>	<b>\$4,834</b>	<b>\$300</b>	<b>-</b>	<b>\$24,749</b>

**Contracts & Interagency Agreements**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Compliance Branch	Compliance Support Investigators	\$183	Q4
Compliance Branch	Suicide Prevention SME	\$40	Q1
Compliance Branch	ENV HEALTH SME	\$60	Q2
Compliance Branch	MEDICAL SME	\$100	Q3
Compliance Branch	MENTAL HEALTH SME	\$84	Q1
Compliance Branch	NURSING SME	\$51	Q2
Compliance Branch	CONDITIONS OF DETENTION SME	\$100	Q3
EEO - Complaints Management	Final Agency Decision (FAD)	\$107	Q1
HQ Equal Employment Office	EEO HQ Inv and Counseling Svcs	\$150	Q2
Business Operations Section	Sign Language BPA	\$61	Q3
Business Operations Section	Language Services BPA	\$97	Q4
Business Operations Section	CHCO Employee Engagement Initiative	\$5	Q1
Business Operations Section	Administrative Support	\$98	Q2



**Operations and Support**

**Operations and Engagement – PPA**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Business Operations Section	Analyst Support	\$500	Q3
Programs Branch	FOIA Express Agreement with Priv	\$5	Q4
Programs Branch	Targeted Violence & Terrorism Prevention	\$2,000	Q1
Programs Branch	Community Engagement Support	\$100	Q2
CRCL Front Office	Women, Peace, Security, Support	\$350	Q4
<b>Total Planned Contracts</b>		<b>\$4,090</b>	
Business Operations Section	MicroPact IAA w/ OCIO	\$141	Q4
Business Operations Section	Attorney Staff IAA w/ OGC	\$202	Q1
Business Operations Section	Financial and Accounting Shared Services	\$91	Q4
Business Operations Section	Flexible Spending Plan	\$1	Q4
Business Operations Section	CLAN Operations	\$78	Q4
Business Operations Section	Transit	\$126	Q4
Programs Branch	FOIA Express Agreement with Privacy	\$5	Q1
Programs Branch	FOIA Appeals IAA w/ USCG	\$1	Q4
Programs Branch	Law Enforcement Awareness Briefing IAA w/ OPM	\$100	Q3
<b>Total Planned IAAs</b>		<b>\$745</b>	
<b>TOTAL</b>		<b>\$4,834</b>	

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$5,445	\$5,197	\$5,445	\$8,662
Obligations By Percent	22%	21%	22%	35%

<b>CRCL - Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$17,767	\$18,489	\$19,355
Travel	\$257	\$257	\$260
Contracts & IAAs	\$3,599	\$6,334	\$4,834
Other	\$3,566	\$340	\$300
WCF	\$122	\$3,404	-
<b>Total</b>	<b>\$25,311</b>	<b>\$28,824</b>	<b>\$24,479</b>

**Office of the Citizenship and Immigration Services Ombudsman**

As required by statute, the Office of the Citizenship and Immigration Services Ombudsman (CISOMB) assists individuals and employers in resolving immigration benefits issues. CISOMB also identifies common problems experienced by individuals and employers when seeking services from U.S. Citizenship and Immigration Services (USCIS) and proposes changes to improve the administration of immigration benefits. In addition, CISOMB solicits feedback from the stakeholder community, including USCIS, other government agencies, and immigration benefits' sponsors and applicants and their representatives.

In accomplishing each of these missions, the CISOMB works independently, impartially, and confidentially.

CISOMB's staff currently is organized into five functional units that work to resolve requests for case assistance, engage with stakeholders, identify trends, issue policy recommendations to USCIS, and submit an annual report directly to Congress each year.

**Executive Division**

This division functions as the liaison between the CISOMB and DHS leaders, as well as the USCIS front office. The Executive Division approves policies and procedures, establishes program level priorities and deadlines, oversees planning, and provides guidance to the other divisions of the office. It also coordinates and directs dialogue with external stakeholders and facilitates interagency collaboration. In addition, this division conducts outreach through meetings and teleconferences with individuals, community-based organizations, and other external stakeholders across the country.

**Operations Division**

This division provides programmatic support in the areas of human capital, budget, property, information technology, security, and facilities. The Operations Division also oversees and monitors administrative policy implementation and compliance.

**Case Work Division**

This division directly assists individuals and employers in resolving case-specific immigration benefits problems; researches USCIS systems for case history, identifies the issue(s), inquires with USCIS to resolve issues, and communicates with stakeholders until USCIS takes action to resolve. The Case Work Division also serves as an early indicator by spotting trends in the administration of immigration benefits and provides this feedback to the Policy Division for further analysis.

**Policy Division**

This division analyzes requests for assistance and stakeholder feedback to identify trends and systemic issues in the administration of immigration benefits, conducts research and makes recommendations to USCIS, and drafts an annual report to Congress. The Policy Division also holds monthly teleconferences, hosts public engagements throughout the country, and organizes an annual conference to encourage dialogue among the various stakeholders involved in the administration of immigration benefits.

**Public Engagement Division**

This division, newly created within the base of the office in FY 2020, holds public teleconferences/webinars, hosts public engagements throughout the country, and disseminates information about the Ombudsman to stakeholders involved in the administration of immigration benefits.

Office of Citizenship & Immigration Services Ombudsman Planned Obligations: (Dollars in Thousands)							
Program Areas	Positions	Salaries and Benefits	Travel	Contracts/ IAAs	Other Expenses	Working Capital Fund (WCF)	Totals by Office
Executive Division	5	\$983	\$8	\$131	\$13	-	\$1,136
Policy Division	11	\$1,147	\$12	\$276	\$18	-	\$1,453
Casework Division	17	\$2,561	\$32	\$316	\$48	-	\$2,958
Operations Division	7	\$1,094	\$12	\$119	\$18	-	\$1,243
Public Engagement Division	2	\$599	\$7	\$155	\$10	-	\$771
<b>Total</b>	<b>42</b>	<b>\$6,385</b>	<b>\$70</b>	<b>\$998</b>	<b>\$107</b>	<b>-</b>	<b>\$7,560</b>

**Contracts & Interagency Agreements**

FY 2021 Contracts/ Interagency Agreements (Dollars in Thousands)			
Program Area	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Executive Division, Policy Division	Annual Report	\$41	Q1
Executive Division, Casework Division, Policy Division, Operations Division, Public Engagement Division	Mission Support	\$559	Q4
Public Engagement Division	Annual Conference Rental	\$5	Q1
Public Engagement Division, Policy Division	Translation (CBP)	\$10	Q3
Policy, Division, Casework Division	Interpretation Services	\$10	Q3
<b>Total Contracts</b>		<b>\$625</b>	
Casework Division, Executive Division, Policy Division, Public Engagement Division	CAADI O&M	\$150	Q2
Public Engagement Division	Printing (CBP)	\$10	Q1
Casework Division, Executive Division, Policy Division, Public Engagement Division	CAADI Development	\$150	Q2
Casework Division, Executive Division, Policy Division, Public Engagement Division, Operations Division	PALMS	\$3	Q1
Casework Division, Executive Division, Policy Division, Public	SharePoint Services	\$13	Q1

**Operations and Support**

**Operations and Engagement – PPA**

FY 2021 Contracts/ Interagency Agreements (Dollars in Thousands)			
Program Area	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Engagement Division, Operations Division			
Casework Division, Executive Division, Policy Division, Public Engagement Division, Operations Division	Transit Subsidy	\$22	Q1
Casework Division, Executive Division, Policy Division, Public Engagement Division, Operations Division	Flexible Spend Plan	\$0*	Q1
Casework Division, Executive Division, Policy Division, Public Engagement Division, Operations Division	Finance Accounting and Shared Services	\$26	Q1
<b>Total IAAs</b>		<b>\$374</b>	
<b>TOTAL</b>		<b>\$999</b>	

\*\$0 amounts in tables represent dollar amounts less than \$500, however due to rounding reflect as \$0

Obligation Schedule (Dollars in Thousands)	Q1 FY 2021 Planned	Q2 FY 2021 Planned	Q3 FY 2021 Planned	Q4 FY 2021 Planned
Obligations	\$1,663	\$2,117	\$1,663	\$2,117
Obligations By Percent	22%	28%	22%	28%

Appropriated Funds Comparison (Dollars in Thousands)	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Projected
Personnel Compensation & Benefits	\$3,380	\$5,875	\$6,385
Travel	\$70	\$70	\$70
Contracts & IAAs	\$1,897	\$1,235	\$998
Other	\$186	\$168	\$107
WCF	\$667	\$868	-
<b>Total</b>	<b>\$6,200</b>	<b>\$8,216</b>	<b>\$7,560</b>

**Office of Partnership and Engagement**

The Office of Partnership and Engagement (OPE) serves as the Department’s lead for engagement with external stakeholders at the executive and staff levels within State, local, and tribal governments, law enforcement, private sector, and academia, as well as national associations that represent these stakeholders. The OPE Assistant Secretary is the DHS Blue Campaign Chair.

OPE consists of the Office of Intergovernmental Affairs, the Office for State and Local Law Enforcement, the Private Sector Office, the Office of Academic Engagement, the Committee Management Office, the Secretary’s Homeland Security Advisory Council, the Blue Campaign, as well as the “If You See Something, Say Something®” public awareness campaign. The Office for Targeted Violence and Terrorism Prevention (TVTP; formerly The Office of Terrorism Prevention Partnerships (OTPP), and the Office of Community Partnerships, (OCP) moved to the Office of Strategy, Policy, and Plans in FY 21.

**Office of Intergovernmental Affairs**

The Office of Intergovernmental Affairs (IGA) promotes an integrated national approach to homeland security by coordinating and advancing DHS’s interaction with State, local, tribal, and territorial (SLTT) governments. IGA is responsible for opening the homeland security dialogue with executive-level partners, including elected officials, such as Governors, Mayors, County Commissioners and Supervisors, and Tribal Leaders along with the national associations that represent them.

SLTT governments play an important role in the creation and implementation of national policy, IGA serves as the Department’s liaison to provide a readily accessible method of direct communication for SLTT elected and appointed officials

**“If You See Something, Say Something®” Public Awareness Campaign**

The nationwide "If You See Something, Say Something®" public awareness campaign raises public awareness of indicators of terrorism and terrorism-related crime, and to emphasize the importance of reporting suspicious activity to the proper local law enforcement authorities. Recent expansions of the "If You See Something, Say Something®" campaign include partnership with numerous sports teams and leagues, transportation agencies, private sector partners, States, cities, law enforcement, and academia.

**DHS Blue Campaign**

The Blue Campaign, works in collaboration with law enforcement, government, non-governmental organizations, and private industry to pursue the Department’s objective of preventing, identifying, investigating, and disrupting illicit activity. Through the Blue Campaign, DHS raises awareness about human trafficking by leveraging partnerships to educate the public to recognize human trafficking indicators and report suspected instances to law enforcement. It offers training to law enforcement, private industry, and the public, to increase detection and investigation of human trafficking, as well as training designed to educate members of vulnerable communities to recognize the threat of trafficking and how to protect themselves and their loved ones. Below is a summary of fiscal year 2019 spending including contributions from other DHS components.

	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Requirement</b> <i>(Dollars in Thousands)</i>	<b>Enacted Amount</b>	<b>Enacted Amount</b>	<b>Planned Obligation</b>
<b>FTE</b>	7	7	7
<b>Salary and Benefits</b>	\$451	\$782	\$952
<b>Travel</b>	\$50	\$43	\$50
<b>Supplies and Other General Expenses</b>	\$65	\$65	\$29
<b>WCF</b>	\$225	\$206	-
<b>Contracts</b>			
IAA for Printing	\$105		-
IAA for Training	-	-	-
Contract Support	\$742	\$541	\$471
<b>Congressional Directed Contributions</b>	<b>\$5,150</b>	<b>\$5,150</b>	<b>\$5,150</b>
<b>Total</b>	<b>\$6,788</b>	<b>\$6,788</b>	<b>\$6,652</b>

**Office for State and Local Law Enforcement**

The Office for State and Local Law Enforcement (OSLLE) is the primary liaison between the Department and State and local law enforcement and provides engagement coordination and advocacy for State, local, tribal, territorial, and campus law enforcement agencies. The office strategically fosters relationships with the State and local law enforcement community, including national associations, which plays a vital role in homeland security, to promote constructive dialogue to address national security issues. By enhancing its understanding of State, local, tribal, and campus law enforcement’s issues, concerns, and recommendations, OSLLE and the Department are better positioned to inform policy decisions, develop programs, and support a critical partner – ultimately making communities safer. OSLLE also leads the coordination of Department-wide activities on critical issues and plays a leadership role in shaping public safety priorities relating to the role of State and local law enforcement in preventing, preparing for, protecting against, and responding to natural disasters, acts of terrorism, and other incidents within the United States.

**Private Sector Office**

The Private Sector Office (PSO) provides the Secretary and Department leaders with advice on issues relevant to the private sector, including, non-profits, Non-Governmental Organizations, and businesses. PSO also coordinates active engagement between DHS and the private sector to build strong partnerships and enhance internal and external dialogue. The Private Sector Office administers the Department’s Loaned Executive Program and Exemplar, a DHS Training with Industry pilot program.

**Office of Academic Engagement**

The Office of Academic Engagement (OAE) manages the Homeland Security Academic Advisory Council (HSAAC) which provides advice and recommendations to the Secretary and senior leadership on matters related to homeland security and the academic community. Additionally, OAE works with academia and the Department on issues related to campus resiliency at the Federal Emergency Management Agency (FEMA), academic research at the Science and Technology Directorate (S&T), the DHS student intern program, as well as working with Immigration and Customs Enforcement (ICE) on the Student and Exchange Visitor Program.

**Operations and Support**

**Operations and Engagement – PPA**

<b>Office of Partnership &amp; Engagement Planned Obligations:</b> <i>(Dollars in Thousands)</i>							
<b>Program Areas</b>	<b>Positions</b>	<b>Salaries and Benefits</b>	<b>Travel</b>	<b>Contracts/ IAAs</b>	<b>Other Expenses</b>	<b>Working Capital Fund (WCF)</b>	<b>Totals by Office</b>
Office of Partnership and Engagement	1	\$234	\$40	48	\$5	-	\$327
Intergovernmental Affairs	9	\$1,393	\$133	-	\$43	-	\$1,570
Front Office	5	\$1,006	\$10	\$569	\$24	-	\$1,610
State and Local Law Enforcement	6	\$949	\$80	-	\$29	-	\$1,058
Private Sector	6	\$931	\$55	-	\$29	-	\$1,015
Homeland Security Advisory Council	2	\$341	\$90	-	\$10	-	\$440
“If You See Something, Say Something®” Campaign	1	\$169	\$8	\$2,801	\$5	-	\$2,983
Office of Academic Engagement	3	\$465	\$43	-	\$14	-	\$523
Committee Management Office	3	\$399	\$20	-	\$14	-	\$434
The Blue Campaign	7	\$917	\$50	\$471	\$34	-	\$1,472
<b>Total</b>	<b>43</b>	<b>\$6,806</b>	<b>\$529</b>	<b>\$3,889</b>	<b>\$207</b>	<b>-</b>	<b>\$11,431</b>

**Contracts & Interagency Agreements**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
“If You See Something, Say Something®” Campaign	See Something, Say Something	\$2,801	Q4
Front Office	PALMS	\$3	Q4
Front Office	SES Development	\$3	Q4
Front Office	Credit Monitoring	\$3	Q3
Front Office	CRM License	\$150	Q4
Front Office	Administrative Support Services	\$309	Q4
The Blue Campaign	Printing Services	\$48	Q1
<b>Total Planned Contracts</b>		<b>\$3,317</b>	
The Blue Campaign	Blue Campaign	\$471	Q4
Front Office	CRM ISSO	\$30	Q2
Front Office	Financial and Accounting Shared Services	\$55	Q4
Front Office	Transit Subsidy	\$15	Q4
<b>Total Planned IAAs</b>		<b>\$572</b>	
<b>TOTAL</b>		<b>\$3,889</b>	



**Operations and Support**

**Operations and Engagement – PPA**

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$2,286	\$1,943	\$2,172	\$5,030
Obligations By Percent	20%	17%	19%	44%

<b>OPE - Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$7,267	\$6,641	\$6,806
Travel	\$288	\$269	\$529
Contracts & IAAs	\$5,425	\$3,323	\$3,889
Other	\$90	\$469	\$207
WCF	\$1,491	\$1,280	-
<b>Total</b>	<b>\$14,561</b>	<b>\$11,982</b>	<b>\$11,431</b>

## Operations and Engagement – PPA Budget Authority and Obligations

Budget Authority <i>(Dollars in Thousands)</i>	FY 2019	FY 2020	FY 2021
<b>Enacted/Request</b>	-	\$59,022	\$43,740
Carryover and/or Recoveries (Actual/Estimates/Projections)	-	-	-
Rescissions to Current Year/Budget Year	-	-	-
Net Sequestered Resources	-	-	-
Reprogrammings/Transfers	-	-	-
Supplementals	-	-	-
<b>Total Budget Authority</b>	-	\$59,022	\$43,740
Collections – Reimbursable Resources	-	\$5,512	\$5,150
<b>Total Budget Resources</b>	-	\$64,534	\$48,890
Obligations (Actual/Estimates/Projections)	-	\$64,534	\$48,890
<b>Personnel: Positions and FTE</b>			
Enacted/Request Positions	-	186	189
Enacted/Request FTE	-	170	177
<b>Onboard and Actual FTE; Includes Collections - Reimbursable Resources</b>			
Onboard (Actual/Estimates/Projections)	1	187	189
FTE (Actual/Estimates/Projections)	1	171	177

## Operations and Engagement – PPA Collections - Reimbursable Resources

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Homeland Security - Department of Homeland Security	Source	-	-	-	-	-	\$1,600	-	-	\$1,918
Department of Homeland Security - Federal Emergency Management Agency	Source	-	-	-	-	-	\$625	-	-	\$642
Department of Homeland Security - Transportation Security Administration	Source	-	-	-	-	-	-	-	-	\$200
Department of Homeland Security - U.S. Immigration and Customs Enforcement	Source	-	-	-	-	-	\$500	-	-	\$500
Department of Homeland Security - National Protection and Programs Directorate	Source	-	-	-	1	1	\$737	-	-	-
Department of Homeland Security - U.S. Customs and Border Protection	Source	-	-	-	-	-	\$500	-	-	\$500
Department of Homeland Security - Office of the Secretary & Executive Management	Source	-	-	-	-	-	\$500	-	-	\$1,190
Department of Homeland Security - Analysis and Operations	Source	-	-	-	-	-	\$950	-	-	\$200
Department of Homeland Security - Office of Health Affairs	Source	-	-	-	-	-	\$100	-	-	-
<b>Total Collections</b>		-	-	-	<b>1</b>	<b>1</b>	<b>\$5,512</b>	-	-	<b>\$5,150</b>

## Operations and Engagement – PPA Summary of Budget Changes

Budget Formulation Activity <i>(Dollars in Thousands)</i>	Positions	FTE	Amount
<b>FY 2019 Enacted</b>	-	-	-
<b>FY 2020 Enacted</b>	<b>186</b>	<b>170</b>	<b>\$59,022</b>
<b>FY 2021 Base Budget</b>	<b>186</b>	<b>170</b>	<b>\$59,022</b>
Transfer for WCF Removals from OSEM to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/ OE to A&O	-	-	(\$78)
Transfer for WCF Removals from OSEM/OE to MGMT/CHCO	-	-	(\$18)
Transfer for WCF Removals from OSEM/OE to MGMT/CIO	-	-	(\$2,215)
Transfer for WCF Removals from OSEM/OE to MGMT/CRSO	-	-	(\$2,015)
Transfer for WCF Removals from OSEM/OE to MGMT/CSO	-	-	(\$14)
<b>Total Transfers</b>	-	-	<b>(\$4,341)</b>
2020 Pay Raise	-	-	\$984
2021 Pay Raise	-	-	\$219
Annualizations of FY 2020 Program Increase (CISOMB)	-	4	\$534
Contract Services	-	-	\$149
FERS Agency Contribution	-	-	\$313
GSA Rent Enhancement	-	-	\$2
National Capital Region Infrastructure Operations (NCRIO) Sustainment	-	-	\$9
<b>Total, Pricing Increases</b>	-	<b>4</b>	<b>\$2,210</b>
Delay Hiring	-	-	(\$549)
FPS Fee Adjustment	-	-	(\$223)
Non-recur of FY 2020 Program Increase (CISOMB)	-	-	(\$294)
Non-Recurring FY20 Fiscal Increase for FY19 Sustainment	-	-	(\$1,866)
Travel Reduction	-	-	(\$100)
<b>Total, Pricing Decreases</b>	-	-	<b>(\$3,032)</b>
<b>Total Adjustments-to-Base</b>	-	<b>4</b>	<b>(\$5,163)</b>
<b>FY 2021 Current Services</b>	<b>186</b>	<b>174</b>	<b>\$53,859</b>
Awards Spending Increase	-	-	\$291
CRCL Women, Peace, and Security Support	-	-	\$350
Non-Recur Portion of OTPP Transfer	-	-	\$290
TVTP Increase for CRCL	3	3	\$2,000

**Operations and Support**

**Operations and Engagement – PPA**

<b>Budget Formulation Activity</b> <i>(Dollars in Thousands)</i>	<b>Positions</b>	<b>FTE</b>	<b>Amount</b>
<b>Total, Program Increases</b>	<b>3</b>	<b>3</b>	<b>\$2,931</b>
Contracts reduction	-	-	(\$150)
CRCL Compliance Branch	-	-	(\$2,900)
Immigration Detention Office	-	-	(\$10,000)
<b>Total, Program Decreases</b>	-	-	<b>(\$13,050)</b>
<b>FY 2021 Request</b>	<b>189</b>	<b>177</b>	<b>\$43,740</b>
<b>FY 2020 To FY 2021 Change</b>	<b>3</b>	<b>7</b>	<b>(\$15,282)</b>

**Operations and Engagement – PPA  
Personnel Compensation and Benefits**

**Pay Summary**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Operations and Engagement	-	-	-	-	186	170	\$32,516	\$191.27	189	177	\$32,273	\$182.33	3	7	(\$243)	(\$8.94)
<b>Total</b>	-	-	-	-	<b>186</b>	<b>170</b>	<b>\$32,516</b>	<b>\$191.27</b>	<b>189</b>	<b>177</b>	<b>\$32,273</b>	<b>\$182.33</b>	<b>3</b>	<b>7</b>	<b>(\$243)</b>	<b>(\$8.94)</b>
Discretionary - Appropriation	-	-	-	-	186	170	\$32,516	\$191.27	189	177	\$32,273	\$182.33	3	7	(\$243)	(\$8.94)

**Pay by Object Class**

Pay Object Classes <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 - FY 2021 Change
11.1 Full-time Permanent	-	\$23,183	\$23,456	\$273
11.3 Other than Full-Time Permanent	-	\$472	\$472	-
11.5 Other Personnel Compensation	-	\$199	\$199	-
12.1 Civilian Personnel Benefits	-	\$8,662	\$8,146	(\$516)
<b>Total - Personnel Compensation and Benefits</b>	-	<b>\$32,516</b>	<b>\$32,273</b>	<b>(\$243)</b>
<b>Positions and FTE</b>				
Positions - Civilian	-	186	189	3
FTE - Civilian	-	170	177	7

**Pay Cost Drivers**

Pay Cost Drivers <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate
Operations and Engagement	-	-	-	170	\$32,516	\$191.27	177	\$32,273	\$182.33	7	(\$243)	(\$8.94)
<b>Total – Pay Cost Drivers</b>	-	-	-	<b>170</b>	<b>\$32,516</b>	<b>\$191.27</b>	<b>177</b>	<b>\$32,273</b>	<b>\$182.33</b>	<b>7</b>	<b>(\$243)</b>	<b>(\$8.94)</b>

**Explanation of Pay Cost Driver**

**Operations and Engagement:** This cost driver funds salaries and benefits and reflects the 3 positions and 3 FTE for the TVTP increase, and an increase for the annualization of FY 2020 program increase for CISOMB for 4 FTE. Also included are costs consistent with the FERS agency contribution increase, and funding to support the pay and awards increases.

**Operations and Engagement – PPA  
Non Pay Budget Exhibits**

**Non Pay Summary**

<b>Organization</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Total Changes</b>
Operations and Engagement	-	\$26,506	\$11,467	(\$15,039)
<b>Total</b>	-	\$26,506	\$11,467	(\$15,039)
Discretionary - Appropriation	-	\$26,506	\$11,467	(\$15,039)

**Non Pay by Object Class**

<b>Non-Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Change</b>
21.0 Travel and Transportation of Persons	-	\$596	\$890	\$294
25.1 Advisory and Assistance Services	-	\$15,919	\$5,357	(\$10,562)
25.2 Other Services from Non-Federal Sources	-	\$3,226	\$3,829	\$603
25.3 Other Goods and Services from Federal Sources	-	\$6,006	\$1,008	(\$4,998)
25.7 Operation and Maintenance of Equipment	-	\$459	\$111	(\$348)
26.0 Supplies and Materials	-	\$280	\$252	(\$28)
31.0 Equipment	-	\$20	\$20	-
<b>Total - Non Pay Object Classes</b>	-	\$26,506	\$11,467	(\$15,039)



### Non Pay Cost Drivers

Non Pay Cost Drivers <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 to FY 2021 Total Changes
Inter/Intra Agency Agreements (IAAs) and Contractual Services	-	\$25,151	\$10,194	(\$14,957)
Travel	-	\$596	\$890	\$294
Services from Federal Sources (WCF)	-	\$300	-	(\$300)
Other Costs	-	\$759	\$383	(\$376)
<b>Total – Non Pay Cost Drivers</b>	-	<b>\$26,506</b>	<b>\$11,467</b>	<b>(\$15,039)</b>

#### Explanation of Non Pay Cost Drivers

**Inter/Intra Agency Agreements (IAAs) and Contractual Services:** Operations and Engagement leverages contract support and interagency agreements to procure a variety of different services. See the charts labeled “Contracts & Interagency Agreements” for more details.

**Travel:** Travel expenses consist of airfare, lodging, meals, and miscellaneous and incidentals expenses. Operations and Engagement personnel travel in direct support of the Department’s priorities including but not limited to: facilitate communication and serve as Departmental liaisons between DHS, SLTT governments, law enforcement, academia, the private sector, local community members, and the organizations that represent them; Community Engagement and countering violent extremism outreach efforts; conduct roundtable meetings; meet with a variety of stakeholders across the country, including USCIS leadership at their facilities; and conduct site visits.

**Services from Federal Sources (WCF):** The change from FY 2020 to FY2021 is attributed to the dissolution of the WCF and associated transfers to MGMT offices who will continue to provide these services to Components in FY 2021.

**Other Costs:** The Operations and Engagement incurs expenses for items such as paper, toner, educational tools, printing, and other office supplies and equipment.

**Management and Oversight – PPA  
Budget Comparison and Adjustments  
Comparison of Budget Authority and Request**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Management and Oversight	-	-	-	278	252	\$61,215	289	263	\$54,498	11	11	(\$6,717)
<b>Total</b>	-	-	-	<b>278</b>	<b>252</b>	<b>\$61,215</b>	<b>289</b>	<b>263</b>	<b>\$54,498</b>	<b>11</b>	<b>11</b>	<b>(\$6,717)</b>
Subtotal Discretionary - Appropriation	-	-	-	278	252	\$61,215	289	263	\$54,498	11	11	(\$6,717)

**PPA Level I Description**

The Management and Oversight PPA supports the core functions of the Office of the Secretary, Office of General Counsel (OGC), Privacy Office (PRIV), Office of Public Affairs (OPA), and the Office of Legislative Affairs (OLA).

**Office of the Secretary:** The Office of the Secretary’s role is to provide executive leadership, management, direction, and oversight for the Department’s Components. The Secretary represents DHS to the President, Congress, State, local, tribal and territorial partners, and the general public. Supporting the Office of the Secretary are the Deputy Secretary, Chief of Staff, Executive Secretary, and the Joint Requirements Council (JRC).

**Office of General Counsel (OGC):** Provides legal advice and counsel to the Secretary and other Department leadership. The OGC is responsible for ensuring that Department programs and activities fully comply with all applicable legal requirements. OGC oversees several law divisions, which include Regulatory Affairs, Operations and Enforcement, Intelligence, Technology Programs, Immigration, Legal Counsel, National Protection and Programs, Ethics, Management and the General Law Division.

**Privacy Office (PRIV):** Protects personally Identifiable Information (PII) and Departmental information through the identification, documentation, and mitigation of privacy risks and the implementation of best practices. The Privacy Office accomplishes its mission through five teams, which includes the FOIA Team, Policy and Oversight Team, Security, Safeguarding and Information Sharing Team, Compliance Team, and Privacy Administrative Coordination Team.

**Office of Public Affairs (OPA):** Provides oversight and management of all external and internal communications. OPA responds to media inquiries, maintains and updates the Department’s website, writes speeches for principals and reviews and coordinates speaking events for Department officials.

**Office of Legislative Affairs (OLA):** Executes the Secretary’s legislative and congressional relations priorities and serves as the Department’s principal coordinator to Members of Congress and their congressional staff, the White House, and other departments and agencies.

## Management and Oversight PPA FY 2021 Expenditure Plan

In response to direction provided in the Conference Report 116-9, accompanying the FY 2019 Consolidated Appropriation Act (P.L. 116-6), expenditure plan information is being included for all PPAs within this account.

The new Management and Oversight PPA comprises the Office of the General Counsel, the Office of Legislative Affairs, the Office of Public Affairs, the Office of the Secretary, and the Privacy Office. Following this section are detailed expenditure plans for each of these offices.

### **Office of the Secretary**

The Secretary is appointed by the President and confirmed by the Senate to lead DHS and act as the principal adviser to the President on homeland security matters. The Secretary ensures a coordinated national effort for the accomplishment of all DHS mission requirements, which include but are not limited to the prevention of terrorist attacks in the United States, the reduction of vulnerability to and minimization of impacts from catastrophic events, and the recovery from damage that may occur. The Secretary is a member of the Homeland Security Council and serves as the principal spokesperson on homeland security issues for the Administration when testifying before the House Homeland Security Committee, the Senate Homeland Security and Government Affairs Committee, and the House and Senate Appropriations Committees.

### **Office of the Deputy Secretary**

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

### **Chief of Staff**

The COS is responsible for coordinating policy initiatives and other actions of the Department's components, directorates, and offices. The COS oversees DHS activities, assists the Deputy in managing DHS operations, and supports the Secretary.

### **Executive Secretary**

ESEC establishes effective and efficient protocols for processing all internal communications, decision management briefings, Congressional questions for the record and reports, and Department-wide testimony. ESEC is the principal liaison between the Department and its Components, and coordinates all external correspondence for the Immediate Office of the Secretary and all directorates.

### **Joint Requirements Council**

The Joint Requirements Council (JRC) is a component-led, component-driven, SES/Flag Officer level body that governs the Department's requirements process in generating, validating, and prioritizing capability gaps, mission needs, concepts of operations, and operational requirements. The requirements process ensures Components' capabilities meet the needs of DHS operators to execute mission and are traceable to strategic objectives, feasible, and cost-informed. JRC validation is a critical step in informing enterprise investment decisions. Established in 2014, the JRC

**Operations and Support**

**Management and Oversight – PPA**

addresses longstanding deficiencies in DHS investment and acquisitions and improves the effectiveness and efficiency of capabilities delivered to the operators.

<b>Office of the Secretary Planned Obligations:</b> <i>(Dollars in Thousands)</i>							
<b>Program Areas</b>	<b>Positions</b>	<b>Salaries and Benefits</b>	<b>Travel</b>	<b>Contracts/ IAAs</b>	<b>Other Expenses</b>	<b>Working Capital Fund (WCF)</b>	<b>Totals by Office</b>
Secretary	4	\$779	\$2,069	\$148	\$21	-	\$3,017
Deputy Secretary	5	\$533	\$202	\$39	\$11	-	\$784
Chief of Staff	13	\$2,333	\$121	\$18	\$56	-	\$2,528
Executive Secretary	36	\$4,482	\$37	\$59	\$116	-	\$4,694
Joint Requirements Council	11	\$1,938	\$12	\$2,573	\$39	-	\$4,561
<b>Total</b>	<b>69</b>	<b>\$10,065</b>	<b>\$2,441</b>	<b>\$2,837</b>	<b>\$242</b>	<b>-</b>	<b>\$15,585</b>

**Contracts & Interagency Agreements**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Executive Secretary	OPM Credit Monitoring	\$1	Q2
Executive Secretary	ETMS Palms	\$4	
Joint Requirements Council	FFRDC Support	\$1,713	Q4
Joint Requirements Council	S&T Fee for FFRDC Support	\$86	
Joint Requirements Council	Knowledge Management and Decision Support (KMDS) IT Support (Jan 2020 - Dec 2020)	\$131	
Joint Requirements Council	SharePoint URL annual fee	\$56	
Joint Requirements Council	Program Management Office (PMO) Support	\$400	
Secretary	OPM Credit Monitoring	\$2	Q2
Secretary	ETMS Palms	\$2	
<b>Total Planned Contracts</b>		<b>\$2,394</b>	
Joint Requirements Council	USCG Detailees	\$188	Q2
Secretary, Deputy Secretary	International Fund Cites - Dept. of State	\$135	Q1, Q2, Q3, Q4
Secretary, Deputy Secretary, Chief of Staff, and Executive Secretary	Financial and Accounting Shared Services	\$78	Q2

**Operations and Support**

**Management and Oversight – PPA**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>(Dollars in Thousands)</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Secretary, Deputy Secretary, Chief of Staff, and Executive Secretary	Flexible Spending Plan	\$0*	Q2
Chief of Staff	CLAN Operations	\$5	Q2
Chief of Staff and Executive Secretary	Transit Subsidy	\$37	Q2
<b>Total Planned IAAs</b>		<b>\$444</b>	
<b>TOTAL</b>		<b>\$2,837</b>	

\*\$0 amounts in tables represent dollar amounts less than \$500, however due to rounding reflect as \$0

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1 FY 2021 Planned</b>	<b>Q2 FY 2021 Planned</b>	<b>Q3 FY 2021 Planned</b>	<b>Q4 FY 2021 Planned</b>
Obligations	\$5,299	\$3,429	\$3,429	\$3,429
Obligations By Percent	34%	22%	22%	22%

<b>Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$8,816	\$9,868	\$10,065
Travel	\$2,974	\$2,747	\$2,441
Contracts & IAAs	\$3,430	\$2,384	\$2,837
Other	\$140	\$252	\$242
WCF	\$3,167	\$3,316	-
<b>Total</b>	<b>\$18,527</b>	<b>\$18,567</b>	<b>\$15,585</b>

**Office of the General Counsel**

By statute, the General Counsel is the Department's chief legal officer. The General Counsel, who is a Presidentially-appointed and Senate-confirmed official, is the final legal authority within the Department. The General Counsel supervises the Office of the General Counsel (OGC), which is comprised of over 2,500 dedicated attorneys at headquarters and at operational components. All attorneys whose duties include providing legal advice to officials in any office or organizational element of DHS are a part of OGC under the supervision of the General Counsel. The General Counsel is also DHS's Regulatory Policy Officer. The General Counsel provides legal advice to the Secretary, the Deputy Secretary, the Undersecretaries, the Assistant Secretaries, and to all offices and organizational elements of the Department. OGC ensures that all legal advice and legal positions taken by the Department represent a unified legal posture in support of the Department's mission. As the Department's mission and responsibilities increase and adapt to new threats, so too does the Department's need for complete, accurate, and timely legal advice.

**OGC Front Office**

The OGC Front Office consists of the General Counsel, a Principal Deputy General Counsel, three Deputy General Counsels, a Chief of Staff, a Counselor to the General Counsel, a Confidential Assistant, and two Executive Assistants. The Principal Deputy General Counsel and the Deputy General Counsels manage portfolios overseeing both OGC Headquarters divisions as well as the Component legal offices. The OGC Management Division is overseen by the Chief of Staff, who is also responsible for the day to day management of OGC Headquarters.

**The General Law Division**

The General Law Division (GLD) advises the Secretary and other Department leaders on legal issues associated with the management and operation of the Department. GLD regularly coordinates with Component Chief Counsel Offices on critical legal issues that are relevant to multiple DHS components. GLD oversees portfolios involved with administrative law; fiscal law; appropriations; the Vacancy Reform Act; grants; labor and employment law; torts; acquisition and procurement law; delegations and authorities; and environmental and property law matters. Additionally, they operate and oversee the Board for Correction of Military Records (BCMR) of the United States Coast Guard (USCG).

**Regulatory Affairs Law Division**

The Regulatory Affairs Law Division (RLD) advises the Secretary and Department leaders on legal and economic issues associated with DHS regulatory actions and ensures that those actions comply with constitutional, statutory, and other legal requirements. RLD manages the DHS regulatory docket, develops the DHS regulatory and deregulatory agenda, oversees the regulatory process for the Department, and provides leadership for regulatory and administrative law practice matters. This Division provides substantive legal review on numerous DHS regulations and manages the clearance of hundreds of interagency regulations each year. They also oversee execution of Executive Order 13771 - *Reducing Regulation and Controlling Regulatory Costs* and Executive Order 13777 - *Enforcing the Regulatory Reform Agenda*.

**The Operations and Enforcement Law Division**

The Operations and Enforcement Law Division (OELD) advises the Secretary and Department leaders on legal issues associated with enforcement and operational activities designed to protect the United States from, respond to, and recover from both natural and man-made threats. OELD is involved in the operations and enforcement of legal issues that concern Secretarial authorities, two or more DHS components, or the role of the Department in interagency operations. The Division provides legal advice regarding: air, land, and maritime domain security; border, cargo, and port security; counterterrorism; crisis-cell leadership; domestic-incident management; exercises; international law; law enforcement; national security;

transportation security; and trade and foreign investment.

**Intelligence Law**

The Intelligence Law Division (ILD) supports the Office of Intelligence and Analysis (I&A). ILD advises I&A and DHS leadership on the legal issues associated with intelligence activities and information safeguarding. ILD provides comprehensive legal support for the Department's data and information sharing initiatives, as well as Executive Order 13780 - *Protecting the Nation from Foreign Terrorist Entry into the United States*. The Division also represents DHS in engagements with counterparts in other agencies and throughout Federal, State and local governments to address intelligence law matters in a coordinated manner.

**Technology Programs Law**

The Technology Programs Law Division (TPLD) supports the Science and Technology Directorate (S&T). TPLD works on international cooperative agreements, medical and public health matters, bio-defense and bio-surveillance, federally funded research and development centers, and technology transfers. This Division also addresses legal issues related to research and development, compliance, grants, acquisition, technology transfer, and medical and health security matters, including biodefense and bio-surveillance. Additionally, TPLD houses the Department's Intellectual Property Group which provides Department-wide legal support for intellectual property law matters, patent, trademark, copyright, data rights, and litigation issues.

**Immigration Law**

The Immigration Law Division (IMM) provides legal advice to the Secretary and Department leaders on immigration and national security matters. IMM also assists with immigration-related administrative, legislative, regulatory, and policy initiatives. IMM also works on immigration issues related to: removal; arrest and detention; national security; asylum; refugees; unaccompanied minors and victims of human trafficking; visa adjudication; and international human rights treaty obligations.

**Legal Counsel**

The Legal Counsel Division (LCD) advises the Secretary and Department leaders on significant legal issues associated with litigation; legislation; the Freedom of Information Act (FOIA); civil rights and civil liberties; privacy; and oversight matters involving Congress, the U.S. Government Accountability Office, and the DHS Inspector General. LCD regularly coordinates agency positions across the Department in high-profile legislative and litigation matters, to include numerous cases before the Supreme Court, that have large-scale implications for DHS and its components.

**Ethics**

The Ethics Division (ELD) advises the Secretary, Department leaders, and Headquarters employees on the application of conflict of interest statutes and regulations; ethics regulations; and Departmental ethics policy. Critical legal issues handled by this Division include: advice regarding gift acceptance; endorsement and preferential treatment mitigation; impartiality; misuse of position; post-Government employment; and rules about teaching, speaking and writing engagements. ELD also coordinates and manages the DHS Ethics Program, including training and implementation of the financial disclosure program for over 3,000 DHS employees.



The Management Division (MGMT) provides management, operational, and mission support to OGC Headquarter attorneys. Specific responsibilities include: financial oversight and budget planning; personnel management; employee training; management of controlled and executive correspondence; knowledge systems management; and strategic planning. MGMT engages with counterparts in component counsel and DHS HQ offices on cross-cutting management issues.

**Secretary’s Honors Program Attorneys**

The Secretary’s Honors Program Attorneys is the cornerstone program for entry-level attorney hiring within DHS OGC and offers entry-level attorneys the opportunity to practice law in a variety of subject areas at the Department. This program has been an integral part of the OGC attorney recruitment and training process since 2007 and DHS is expanding the program beyond the National Capital Region. Honors Attorneys are hired for a two-year term during which they participate in four six-month rotations at OGC Headquarters and in the component legal offices. With the expansion of the program, Honors Attorneys will also be placed in U.S. Immigration and Customs Enforcement Office of the Principal Legal Advisor field locations throughout the country to provide additional opportunities to engage within the DHS mission areas and gain invaluable trial court experience. The vast majority of Honors Attorneys continue with DHS after completion of the program and move into open attorney positions at OGC Headquarters or component legal offices. OGC is responsible for the program operation, salary and benefits, recruitment, hiring, training, and the management of the participating attorneys.

**Operations and Support**

**Management and Oversight – PPA**

Office of General Counsel Engagement Planned Obligations: <i>(Dollars in Thousands)</i>							
Program Areas	Positions	Salaries and Benefits	Travel	Contracts/ IAAs	Other Expenses	Working Capital Fund (WCF)	Totals by Office
Front Office Division	9	\$1,538	\$11	\$765	\$4	-	\$2,318
General Law Division	25	\$3,832	\$32	\$-	\$12	-	\$3,875
Regulatory Affairs Division	14	\$2,110	\$18	\$293	\$7	-	\$2,428
Operations and Enforcement	16	\$2,316	\$20	-	\$7	-	\$2,343
Intelligence Law Division	1	\$258	\$1	-	-	-	\$259
Technology Programs Division	3	\$487	\$4	-	\$1	-	\$492
Immigration Law Division	9	\$1,116	\$11	-	\$4	-	\$1,131
Legal Counsel Division	20	\$2,660	\$25	\$44	\$9	-	\$2,739
Ethics Law Division	9	\$1,581	\$11	\$80	\$4	-	\$1,676
Management	11	\$1,425	\$14	\$281	\$5	-	\$1,725
Honors Attorney	2	\$138	\$3	-	\$1	-	\$141
<b>Total</b>	<b>119</b>	<b>\$17,460</b>	<b>\$150</b>	<b>\$1,463</b>	<b>\$55</b>	<b>-</b>	<b>\$19,128</b>

**Contracts & Interagency Agreements**

FY 2021 Contracts/ Interagency Agreements <i>(Dollars in Thousands)</i>			
Office	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Front Office Division	West Legal Ed	\$22	Q3
	West Print	\$14	Q3
	Relativity	\$131	Q2
<b>Total Planned Contracts</b>		<b>\$167</b>	
Regulatory Affairs Division	E-Docket: eRulemaking Docket Services	\$141	Q1
Regulatory Affairs Division	Regulatory Affairs Management System (RAMS)	\$153	Q2
Ethics Law Division	Financial Management Disclosure System (FDMS)	\$80	Q3
Legal Counsel Division	OMB MAX: Legislative Workflow Management System	\$44	Q4
Front Office Division	E-DISCOVERY: Chief Information Office Infrastructure Support	\$521	Q3
Front Office Division	Suspension & Debarment Case Management System	\$76	Q3
Management	FLETC Attorney	\$21	Q2
Management	MS SharePoint	\$19	Q3

**Operations and Support**

**Management and Oversight – PPA**

Management	Miscellaneous Contracts (Credit Monitoring/PALMS/Adobe/Services)	\$43	Q3
Management	Finance & Accounting Shared Service	\$85	Q1
Management	Flexible Spending	\$1	Q1
Management	Transit Subsidy	\$112	Q1
<b>Total Planned IAAs</b>		<b>\$1,296</b>	
<b>TOTAL</b>		<b>\$1,463</b>	

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$5,165	\$4,782	\$4,591	\$4,591
Obligations By Percent	27%	25%	24%	24%

<b>Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$14,906	\$16,823	\$17,460
Travel	\$180	\$180	\$150
Contracts & IAAs	\$1,859	\$1,189	\$1,463
Other Expenses	\$68	\$159	\$55
WCF	\$2,366	\$3,220	\$-
<b>Total</b>	<b>\$19,379</b>	<b>\$21,571</b>	<b>\$19,128</b>

**Privacy Office**

As required by Section 222 of the Homeland Security Act, as amended, the Privacy Office (PRIV) is required to protect individuals by embedding and enforcing privacy protections and transparency in all DHS activities, and has oversight of all privacy and disclosure policy matters including compliance with the Privacy Act of 1974, the Freedom of Information Act (FOIA), and the completion of privacy impact statements on all new programs and systems, as required by the E-Government Act of 2002.

All DHS systems, technology, and programs that either collect personally identifiable information (PII) or have a privacy impact are subject to the oversight of the Chief Privacy Officer (CPO) and the requirements of U.S. data privacy and security laws. The CPO reports directly to the Secretary of the Department and is responsible to provide strategic oversight and guidance on all privacy and disclosure matters, and for promoting openness and transparency through the Department's FOIA program and policies.

PRIV supports the guiding principles and core values outlined in the DHS Strategic Plan for Fiscal Years 2020-2024 and helps strengthen the homeland security mission by integrating information sharing and preserving privacy, oversight, and transparency in the execution of all departmental activities. In addition, PRIV implements the policies of the Department to defend and protect individual rights, liberties, and information interests of the public.

Additionally, through training, outreach, and participation in program development and key departmental agreements, PRIV advances and supports important cross-cutting privacy and disclosure issues faced by the Department.

**FOIA Team**

- Under DHS Delegation Number 13001, “Delegation to the Chief Privacy Officer,” dated August 29, 2011, and DHS Directive Number 262-11, “Freedom of Information Act Compliance,” dated April 17, 2017, the DHS Chief Privacy Officer is the Department's Chief FOIA Officer. Agency Chief FOIA Officers have statutory responsibility for monitoring FOIA operations across the Department and recommending adjustments to agency practices, policies, personnel, and funding as may be necessary to improve performance, providing FOIA-related training, and preparing the required annual reports on the Department's FOIA performance. While Components are subject to the oversight of the Chief Privacy Officer, operations at DHS are decentralized and DHS Components are responsible for establishing and maintaining their own FOIA programs.

The FOIA function in the Privacy Office is carried out by three teams: FOIA Policy, Compliance and Training, FOIA Disclosure, and (3) FOIA Appeals and Litigation. Disclosure. The FOIA Disclosure Team processes initial FOIA and Privacy Act requests to the Office of the Secretary (including the Military Advisor's Office) and many offices within DHS Headquarters. DHS programs are wide-ranging, and the processing of requests requires close coordination with many internal and external customers, including other Federal agencies, State and local governments, foreign entities, and private companies. DHS Privacy Office Government Information Specialists also provide expert FOIA guidance to the Component FOIA Offices and communicate regularly with DHS's many stakeholders. Additionally, the DHS Privacy Office also regularly uses its staff and management expertise to assist Components with processing and management of their program or parts of their program. In expanding its staff and the kinds of work handled by the Disclosure Team, the DHS Privacy Office is developing a career ladder for Government Information Specialists that can be modeled across the Department. The career ladder will take advantage of the broad range in the type and

complexity of records commonly processed at Components to allow employees to progress in their careers. This will help ensure that DHS benefits from the early investments and training provided to employees, and that DHS is in a better position to recruit and retain employees.

- **Policy, Compliance and Training.** The FOIA Policy, Compliance and Training Team prepares policy guidance, conducts oversight activities, and provides DHS-specific FOIA training. This team collects, compiles, and analyzes monthly FOIA reports from DHS Components, prepares the DHS Annual FOIA Report and Chief FOIA Officer Report, and tracks significant FOIA activity through daily and weekly reporting. Additionally, the team compiles and analyzes Component FOIA self-assessments to identify best practices to improve performance and addresses particular Component compliance issues. Finally, the team arranges DHS-specific training opportunities, provides ad hoc training on a variety of FOIA issues, manages the Resources for DHS FOIA Employees repository available on the Department’s intranet, and conducts bi-weekly FOIA Training for New Employees. The FOIA Policy, Compliance and Training Team also continues to establish and refine the Department’s FOIA Oversight and Compliance Program. This program will bring forward shared challenges across Components and ensure Components are implementing best practices. The program will also alert the DHS Privacy Office to any emerging issues and allow the DHS Privacy Office to address these issues through the issuance of guidance or policies.
- **Appeals and Litigation.** The FOIA Appeals and Litigation Team serves as liaison between the Office of the General Counsel (OGC) and the Privacy Office leadership on complex FOIA requests. The team provides guidance and training on recent developments in the field of disclosure, including court decisions and current legislation. The team researches, analyzes, and evaluates complex FOIA requests to determine if the FOIA and Privacy Act were properly applied during the original processing of a FOIA request.
- **Policy and Oversight Team**

The Policy and Oversight Team bears primary responsibility for the development of DHS privacy policy, as well as providing subject matter expertise and support for policy development throughout the Department in areas that affect individual privacy. These areas include privacy protections and strategies in how the Department may use tools, technologies, and methodologies including social media, “big data,” enterprise data management, cybersecurity, mobile technology, acquisitions and procurement, and international engagement. In addition, this team is dedicated to implementing accountability and continually improving DHS privacy processes and programs, such as in the development of the National Vetting Center (NVC), established by National Security Presidential Memorandum - 9. This team also conducts Privacy Compliance Reviews (PCR) and privacy investigations, helping the Department continually improve its privacy posture. It also manages the Department’s privacy incident response efforts and oversees the Department’s Breach Response Team, which conducts risk assessments in response to privacy incidents and identifies appropriate mitigation strategies, such as notification. The Privacy and Oversight Team ensures response and redress for privacy complaints and develops privacy training and outreach for the Department and its components. It also coordinates the reporting functions for the Office.

### **Information Sharing, Safeguarding, and Security Team**

The Information Sharing, Safeguarding, and Security Team provides specialized privacy expertise to support DHS information-sharing initiatives with the U.S. Intelligence Community and Federal, State, local, tribal, territorial, and international immigration and law enforcement partners. The team engages with operational, policy, and oversight stakeholders—both within DHS and with other Federal partners—throughout the information sharing lifecycle by evaluating information sharing requests, assessing and mitigating privacy risks, and reviewing compliance with internal policies and agreement privacy terms and conditions. Team members participate in Privacy Office efforts to review intelligence products and Component-implemented intelligence rules, provide intelligence-related privacy training, and provide policy guidance for other related DHS initiatives, including

but not limited to: safeguarding information and preventing insider threats, countering violent extremism, the sharing of biometric data both domestically and internationally, and the deployment of unmanned aircraft systems. The team also ensures DHS compliance with the *Computer Matching and Privacy Protection Act of 1988*.

**Compliance Team**

The Compliance Team enhances the Department’s ability to protect PII and ensures transparency and accountability by identifying and documenting privacy risks through the required privacy documentation and reporting, such as Privacy Impact Analyses and Systems of Records Notices. The Privacy Compliance Team oversees privacy compliance activities, including supporting DHS Component privacy officers, Privacy Points of Contact in other DHS offices, and DHS programs. Examples of compliance activities include the review of Privacy Threshold Analyses, Privacy Impact Assessments, System of Records Notices, rulemakings to support exemptions under the Privacy Act, and other compliance documents. The team also reviews Exhibit 300 budget submissions to the Office of Management and Budget, as well as acquisition materials to ensure that privacy protective clauses are incorporated into the contracting process. In addition, the team also partners with the Office of the Chief Information Officer in helping to ensure that systems comply with proper system controls designed to protect privacy before systems are authorized to operate.

**Business Operations Team**

The Business Operations Team manages the business operations, office workflow, human capital, technology, procurement, financial actions, and resilience to ensure the office is fully supported in carrying out its mission. It is the focal point for all administrative matters and works diligently to ensure efficiency of operations, including recruiting and maintaining a superior workforce of talented subject-matters experts. In addition to providing administrative support for all Privacy Office functions, the Business Operations Team also manages resources, planning, official correspondence, workforce policy, staff development, resilience, facilities, and other infrastructure.

**Operations and Support**

**Management and Oversight – PPA**

Privacy Office Planned Obligations: (Dollars in Thousands)							
Program Areas	Positions	Salaries and Benefits	Travel	Contracts/ IAAs	Other Expenses	Working Capital Fund (WCF)	Totals by Office
Executive Office	7	\$1,268	\$8	\$360	\$25	-	\$1,661
Business Operations	6	\$841	\$7	\$74	\$22	-	\$943
FOIA/Disclosure	18	\$2,525	\$21	\$2,627	\$65	-	\$5,238
Policy and Oversight	6	\$952	\$7	\$-	\$22	-	\$980
Compliance	5	\$580	\$6	\$-	\$18	-	\$603
Information Sharing, Safeguarding and Security	6	\$952	\$7	\$-	\$22	-	\$981
<b>Totals</b>	<b>48</b>	<b>\$7,117</b>	<b>\$55</b>	<b>\$3,061</b>	<b>\$173</b>	<b>-</b>	<b>\$10,406</b>

**Contracts & Interagency Agreements**

FY 2021 Contracts/ Interagency Agreements (Dollars in Thousands)			
Office	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Executive Office	Silver Membership with IAPP	\$10	Q3
Executive Office	Support Services - Option Year Two	\$350	Q4
FOIA/Disclosure	FOIA Processing and Support Services - New Requirement	\$654	Q3
FOIA/Disclosure	FOIA Processing System - Maintenance	\$100	Q3
FOIA/Disclosure	OBIM FOIA Contract Transfer	\$1,257	Q4
FOIA/Disclosure	Targeted Violence and Terrorism Prevention	\$500	Q4
<b>Total Planned Contracts</b>		<b>\$2,871</b>	
FOIA/Disclosure	FOIA Appeals	\$41	Q1
FOIA/Disclosure	OBIM A-File Documents w/USCIS	\$75	Q1
Business Operations	Financial and Accounting Shared Services	\$32	Q4
Business Operations	Flexible Spending Plan	\$0	Q4
Business Operations	Transit Subsidy	\$41	Q4
<b>Total Planned IAAs</b>		<b>\$190</b>	
<b>TOTAL</b>		<b>\$3,061</b>	

\*\$0 amounts in tables represent dollar amounts less than \$500, however due to rounding reflect as \$0

**Operations and Support**

**Management and Oversight – PPA**

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$2,810	\$2,601	\$2,497	\$2,497
Obligations By Percent	27%	25%	24%	24%

<b>Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$6,114	\$6,194	\$7,117
Travel	\$92	\$50	\$55
Contracts & IAAs	\$1,153	\$2,154	\$3,061
Other	\$20	\$89	\$173
WCF	\$1,285	\$1,506	-
<b>Total</b>	<b>\$8,664</b>	<b>\$9,993</b>	<b>\$10,406</b>



**Office of Public Affairs (OPA)**

OPA is responsible for managing the Department's external and internal communications. The office responds to media inquiries, maintains and updates the Department's website, writes speeches for senior Department officials, and coordinates speaking events. The office manages the Department's organizational identity program, which includes usage of the DHS seal and related guidelines. Also, the office oversees the Department's employee communication activities, which include coordinating communications for Department-wide initiatives, town hall meetings between management and employees, and the operation and management of an intranet site. Per the Homeland Security Presidential Directive (HSPD) 5, OPA's incident communications program guides overall Federal incident communication activity and coordinates with State, local, and international partners to ensure accurate and timely information is provided to the public during a crisis.

**Incident Communications**

This division brings unity of effort to crisis communications between the Federal interagency community and its many partners at the State, local, tribal, nongovernmental, and private-sector levels.

**Strategic Communications**

This division provides overall management for implementation of communication plans relating to DHS programs and policies, rules/regulations, and complex domestic and international issues requiring extensive outreach and public education.

**Press Secretary**

This division coordinates media relations and serve as the spokespersons for the Secretary, senior leadership, and the Department.

**Communications Operations**

This division provide information directly to the public through our Department and components websites. Coordinating, integrating and synchronizing employee communications efforts of the Components and DHS headquarters

**Missions Support**

This division provides day to day oversight and support to the office of public affairs.

**Operations and Support**

**Management and Oversight – PPA**

Office of Public Affairs Planned Obligations: (Dollars in Thousands)							
Program Areas	Positions	Salaries and Benefits	Travel	Contracts/ IAAs	Other Expenses	Working Capital Fund (WCF)	Totals by Office
Public Affairs	26	\$3,617	\$135	\$519	\$122	-	\$4,394
<b>Total</b>	<b>26</b>	<b>\$3,617</b>	<b>\$135</b>	<b>\$519</b>	<b>\$122</b>	<b>-</b>	<b>\$4,394</b>

**Contracts & Interagency Agreements**

FY 2021 Contracts/ Interagency Agreements (Dollars in Thousands)			
Office	Contract Description	Planned Obligation Amounts	Expected Contract Award Date (Quarter)
Public Affairs	TechMIS	\$360	Q4
Public Affairs	Credit Monitoring	\$1	Q1
<b>Total Planned Contracts</b>		<b>\$361</b>	
Public Affairs	IAA with USCG (photographer)	\$120	Q3
Public Affairs	Financial and Accounting Shared Services	\$22	Q4
Public Affairs	Transit Subsidy	\$16	Q4
Public Affairs	Flexible Spending Plan	\$0	Q4
<b>Total Planned IAAs</b>		<b>\$159</b>	
<b>TOTAL</b>		<b>\$519</b>	

\*\$0 amounts in tables represent dollar amounts less than \$500, however due to rounding reflect as \$0

Obligation Schedule (Dollars in Thousands)	Q1 FY 2021 Planned	Q2 FY 2021 Planned	Q3 FY 2021 Planned	Q4 FY 2021 Planned
Obligations	\$1,011	\$1,055	\$1,098	\$1,230
Obligations By Percent	23%	24%	25%	28%

Appropriated Funds Comparison (Dollars in Thousands)	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Projected
Personnel Compensation & Benefits	\$2,856	\$3,631	\$3,617
Travel	\$99	\$70	\$135
Contracts & IAAs	\$1,027	\$458	\$519
Other	\$37	\$86	\$122
WCF	\$1,302	\$1,011	\$-
<b>Total</b>	<b>\$5,321</b>	<b>\$5,255</b>	<b>\$4,394</b>

**Office of Legislative Affairs**

Office of Legislative Affairs (OLA) is responsible for executing the Secretary’s legislative and congressional relations priorities. The mission of OLA is to serve as a primary liaison to Members of Congress and their staff, to respond to inquiries from Congress and notify Congress of Department initiatives, policies, and programs. OLA is responsible to inform the Department’s senior leaders on the activities of Congress and enhance the ability of the Department to execute its missions by providing timely information to Members of Congress about our efforts to prevent terrorism and enhance security; manage our borders; administer immigration laws; secure cyberspace; and ensure disaster resilience. OLA underpins an integrated approach that recognizes the interconnectedness of DHS’s legislative mission with a sound, robust and fully engaged staff to formulate the legislation recommendations that drive the priorities of the Administration and Secretary.

**Office of the Assistant Secretary**

The Office of the Assistant Secretary includes the Assistant Secretary, Principal Deputy Assistant Secretary/Chief of Staff and two Deputy Assistant Secretaries and acts as the conduit for the continuous exchange of information between Congress and the Department. The office advises the Secretary on key legislative strategies, facilitates the DHS Senate-confirmation process, clearly articulates DHS’ views in support of needed authorities and appropriations, and directs the Department’s complex congressional relations programs ensuring a cross-Departmental approach for DHS to speak with one, informed voice to Members of Congress and their staffs.

**Legislative Affairs Teams**

The Legislative Affairs Teams serves as the primary liaison to Congress and advocates for the policy interest of the Administration and the Secretary, ensures that all DHS Components are actively engaged with Congress by responding to requests and inquiries from congressional committees, Members of Congress and their staffs, and fully participates in the DHS Senate confirmation process. There are 5 teams within OLA that focus on specific legislative issue areas: Headquarters; Operational Component Coordination; Intelligence and Cyber; Oversight and Executive Support. An additional Mission Support Team oversees the daily administrative operations of the office to support the legislative affairs priorities of OLA and the Department.

**Operations and Support**

**Management and Oversight – PPA**

<b>Office of Legislative Affairs Planned Obligations:</b> <i>(Dollars in Thousands)</i>							
<b>Program Areas</b>	<b>Positions</b>	<b>Salaries and Benefits</b>	<b>Travel</b>	<b>Contracts/ IAA's</b>	<b>Other Expenses</b>	<b>Working Capital Fund (WCF)</b>	<b>Totals by Office</b>
Office of the Assistant Secretary	4	\$912	\$35	\$22	\$11	-	\$980
Legislative Affairs Teams	23	\$3,836	\$20	\$127	\$21	-	\$4,005
<b>Total</b>	<b>27</b>	<b>\$4,748</b>	<b>\$55</b>	<b>\$150</b>	<b>\$32</b>	<b>-</b>	<b>\$4,985</b>

**Contracts & Interagency Agreements**

<b>FY 2021 Contracts/ Interagency Agreements</b> <i>Dollars in Thousands</i>			
<b>Office</b>	<b>Contract Description</b>	<b>Planned Obligation Amounts</b>	<b>Expected Contract Award Date (Quarter)</b>
Office of Legislative Affairs	Bloomberg Government	\$114	Q4
<b>Total Planned Contracts</b>		<b>\$114</b>	
Office of Legislative Affairs	Financial and Accounting Shared Services	\$22	Q4
Office of Legislative Affairs	Flexible Spending Plan	\$0	Q4
Office of Legislative Affairs	Transit Subsidy	\$14	Q4
<b>Total Planned IAAs</b>		<b>\$36</b>	
<b>TOTAL</b>		<b>\$150</b>	

\*\$0 amounts in tables represent dollar amounts less than \$500, however due to rounding reflect as \$0

<b>Obligation Schedule</b> <i>(Dollars in Thousands)</i>	<b>Q1</b> <b>FY 2021 Planned</b>	<b>Q2</b> <b>FY 2021 Planned</b>	<b>Q3</b> <b>FY 2021 Planned</b>	<b>Q4</b> <b>FY 2021 Planned</b>
Obligations	\$1,196	\$1,196	\$1,246	\$1,346
Obligations By Percent	24%	24%	25%	27%

<b>Appropriated Funds Comparison</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 Projected</b>
Personnel Compensation & Benefits	\$3,928	\$4,522	\$4,748
Travel	\$30	\$52	\$55
Contracts & IAAs	\$144	\$112	\$150
Other	\$10	\$30	\$32
WCF	\$1,350	\$1,114	-
<b>Total</b>	<b>\$5,462</b>	<b>\$5,830</b>	<b>\$4,985</b>

## Management and Oversight – PPA Budget Authority and Obligations

Budget Authority <i>(Dollars in Thousands)</i>	FY 2019	FY 2020	FY 2021
<b>Enacted/Request</b>	-	\$61,215	\$54,498
Carryover and/or Recoveries (Actual/Estimates/Projections)	-	-	-
Rescissions to Current Year/Budget Year	-	-	-
Net Sequestered Resources	-	-	-
Reprogrammings/Transfers	-	-	-
Supplementals	-	-	-
<b>Total Budget Authority</b>	-	<b>\$61,215</b>	<b>\$54,498</b>
Collections – Reimbursable Resources	-	\$11,984	\$14,322
<b>Total Budget Resources</b>	-	<b>\$73,199</b>	<b>\$68,820</b>
Obligations (Actual/Estimates/Projections)	-	\$73,199	\$68,820
<b>Personnel: Positions and FTE</b>			
Enacted/Request Positions	-	278	289
Enacted/Request FTE	-	252	263
<b>Onboard and Actual FTE; Includes Collections - Reimbursable Resources</b>			
Onboard (Actual/Estimates/Projections)	-	342	353
FTE (Actual/Estimates/Projections)	-	316	327

## Management and Oversight Collections - Reimbursable Resources

Collections <i>(Dollars in Thousands)</i>		FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
		Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Department of Defense - Department of Defense	Source	-	-	-	1	1	\$232	1	1	\$204
Department of Homeland Security - Department of Homeland Security	Source	-	-	-	2	2	\$377	2	2	\$482
Independent Agency - Central Intelligence Agency	Source	-	-	-	1	1	\$204	-	-	-
Department of Homeland Security - Federal Emergency Management Agency	Source	-	-	-	1	1	\$176	1	1	\$176
Department of Homeland Security - Federal Law Enforcement Training Center	Source	-	-	-	-	-	\$3	-	-	-
Department of Homeland Security - Transportation Security Administration	Source	-	-	-	1	1	\$188	0	0	\$188
Department of Homeland Security - U.S. Immigration and Customs Enforcement	Source	-	-	-	0	0	\$231	0	0	\$1,559
Department of Homeland Security - Citizenship and Immigration Services	Source	-	-	-	4	4	\$592	-	-	\$423
Department of Homeland Security - Science and Technology	Source	-	-	-	13	13	\$2,273	12	12	\$2,388
Department of Homeland Security - United States Secret Service	Source	-	-	-	0	0	\$76	0	0	\$78
Department of Homeland Security - Office of the Inspector General	Source	-	-	-	-	-	\$55	-	-	\$55
Department of Homeland Security - Countering Weapons of Mass Destruction	Source	-	-	-	5	5	\$902	6	6	\$992
Department of Homeland Security - US Customs and Border Protection	Source	-	-	-	2	2	\$149	5	5	\$649
Department of Homeland Security - United States Coast Guard	Source	-	-	-	0	0	\$77	2	2	\$84
Department of Homeland Security - National Protection and Programs Directorate	Source	-	-	-	10	10	\$1,803	7	7	\$1,323
Department of Homeland Security - Office of Biometric Identity Mangement (OBIM)	Source	-	-	-	1	1	\$198	2	2	\$232
Department of Homeland Security - CISA	Source	-	-	-	-	-	\$43	-	-	\$500
Department of Homeland Security - Office of the Secretary & Executive Management	Source	-	-	-	-	-	-	-	-	\$3
Department of Homeland Security - Analysis and Operations	Source	-	-	-	7	7	\$1,320	10	10	\$1,902
Department of Homeland Security - Federal Protective Service	Source	-	-	-	15	15	\$3,085	15	15	\$3,085
<b>Total Collections</b>		-	-	-	<b>64</b>	<b>64</b>	<b>\$11,984</b>	<b>64</b>	<b>64</b>	<b>\$14,322</b>

## Management and Oversight – PPA Summary of Budget Changes

Budget Formulation Activity <i>(Dollars in Thousands)</i>	Positions	FTE	Amount
<b>FY 2019 Enacted</b>	-	-	-
<b>FY 2020 Enacted</b>	278	252	\$61,215
<b>FY 2021 Base Budget</b>	278	252	\$61,215
Transfer for Privacy Program to OSEM/MO from MGMT/OBIM	4	4	\$1,961
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from A&O	-	-	\$113
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from CWMD	-	-	\$48
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from S&T	-	-	\$159
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from MGMT	-	-	\$112
Transfer for WCF Offset for OGC Staffing to OSEM/M&O from OBIM	-	-	\$36
Transfer for WCF Removals from OSEM/ M&O to A&O	-	-	(\$203)
Transfer for WCF Removals from OSEM/M&O to MGMT/CFO	-	-	(\$1)
Transfer for WCF Removals from OSEM/M&O to MGMT/CHCO	-	-	(\$34)
Transfer for WCF Removals from OSEM/M&O to MGMT/CIO	-	-	(\$4,815)
Transfer for WCF Removals from OSEM/M&O to MGMT/CRSO	-	-	(\$6,007)
Transfer for WCF Removals from OSEM/M&O to MGMT/CSO	-	-	(\$21)
<b>Total Transfers</b>	<b>4</b>	<b>4</b>	<b>(\$8,652)</b>
2020 Pay Raise	-	-	\$1,396
2021 Pay Raise	-	-	\$340
Contract Services	-	-	\$634
FERS Agency Contribution	-	-	\$379
GSA Rent Enhancement	-	-	\$19
National Capital Region Infrastructure Operations (NCRIO) Sustainment	-	-	\$15
<b>Total, Pricing Increases</b>	<b>-</b>	<b>-</b>	<b>\$2,783</b>
Delay Hiring	-	-	(\$500)
FPS Fee Adjustment	-	-	(\$740)
Non-Recurring FY20 Fiscal Increase for FY19 Sustainment	-	-	(\$1,051)
Travel Reduction	-	-	(\$309)
<b>Total, Pricing Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$2,600)</b>
<b>Total Adjustments-to-Base</b>	<b>4</b>	<b>4</b>	<b>(\$8,469)</b>
<b>FY 2021 Current Services</b>	<b>282</b>	<b>256</b>	<b>\$52,746</b>

**Operations and Support**

**Management and Oversight – PPA**

<b>Budget Formulation Activity</b> <i>(Dollars in Thousands)</i>	<b>Positions</b>	<b>FTE</b>	<b>Amount</b>
Awards Spending Increase	-	-	\$453
Suspension and Debarment Program O&M Funding and Personnel	1	1	\$199
TVTP Increase for PRIV and OGC	6	6	\$1,400
<b>Total, Program Increases</b>	<b>7</b>	<b>7</b>	<b>\$2,052</b>
Contracts reduction	-	-	(\$300)
<b>Total, Program Decreases</b>	<b>-</b>	<b>-</b>	<b>(\$300)</b>
<b>FY 2021 Request</b>	<b>289</b>	<b>263</b>	<b>\$54,498</b>
<b>FY 2020 To FY 2021 Change</b>	<b>11</b>	<b>11</b>	<b>(\$6,717)</b>



**Management and Oversight – PPA  
Personnel Compensation and Benefits**

**Pay Summary**

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Management and Oversight	-	-	-	-	278	252	\$41,006	\$156.75	289	263	\$42,989	\$157.74	11	11	\$1,983	\$0.99
<b>Total</b>	-	-	-	-	278	252	<b>\$41,006</b>	<b>\$156.75</b>	289	263	<b>\$42,989</b>	<b>\$157.74</b>	11	11	<b>\$1,983</b>	<b>\$0.99</b>
Discretionary - Appropriation	-	-	-	-	278	252	\$41,006	\$156.75	289	263	\$42,989	\$157.74	11	11	\$1,983	\$0.99

**Pay by Object Class**

Pay Object Classes <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 - FY 2021 Change
11.1 Full-time Permanent	-	\$24,924	\$26,084	\$1,160
11.3 Other than Full-Time Permanent	-	\$3,559	\$3,559	-
11.5 Other Personnel Compensation	-	\$414	\$414	-
11.8 Special Personal Services Payments	-	\$1,504	\$1,504	-
12.1 Civilian Personnel Benefits	-	\$10,605	\$11,428	\$823
<b>Total - Personnel Compensation and Benefits</b>	-	<b>\$41,006</b>	<b>\$42,989</b>	<b>\$1,983</b>
<b>Positions and FTE</b>				
Positions - Civilian	-	278	289	11
FTE - Civilian	-	252	263	11

**Pay Cost Drivers**

Pay Cost Drivers <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 President’s Budget			FY 2021 President’s Budget			FY 2020 to FY 2021 Total Changes		
	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate	FTE	Amount	Rate
Management and Oversight	-	-	-	252	\$41,006	\$156.75	263	\$42,989	\$157.74	11	\$1,983	\$0.99
<b>Total – Pay Cost Drivers</b>	-	-	-	<b>252</b>	<b>\$41,006</b>	<b>\$156.75</b>	<b>263</b>	<b>\$42,989</b>	<b>\$157.74</b>	<b>11</b>	<b>\$1,983</b>	<b>\$0.99</b>

**Explanation of Pay Cost Driver**

**Management and Oversight:** The FY 2021 cost reflects an increase of 11 positions and 11 FTE due to the realignment of the OBIM FOIA team from MGMT to PRIV and increases in OGC and CRCL for TVTP activities. These costs also reflect increases for the FERS agency contribution, 1 position and 1 FTE for the Suspension and Debarment Program, and funding to support the pay and awards increases.

**Management and Oversight – PPA  
Non Pay Budget Exhibits**

**Non Pay Summary**

<b>Organization</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Total Changes</b>
Management and Oversight	-	\$20,209	\$11,509	(\$8,700)
<b>Total</b>	-	\$20,209	\$11,509	(\$8,700)
Discretionary - Appropriation	-	\$20,209	\$11,509	(\$8,700)

**Non Pay by Object Class**

<b>Non-Pay Object Classes</b> <i>(Dollars in Thousands)</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Change</b>
21.0 Travel and Transportation of Persons	-	\$3,099	\$2,836	(\$263)
24.0 Printing and Reproduction	-	\$2	\$2	-
25.1 Advisory and Assistance Services	-	\$4,732	\$5,030	\$298
25.2 Other Services from Non-Federal Sources	-	\$1,667	\$2,645	\$978
25.3 Other Goods and Services from Federal Sources	-	\$10,330	\$647	(\$9,683)
25.7 Operation and Maintenance of Equipment	-	\$5	-	(\$5)
26.0 Supplies and Materials	-	\$348	\$325	(\$23)
31.0 Equipment	-	\$26	\$24	(\$2)
<b>Total - Non Pay Object Classes</b>	-	\$20,209	\$11,509	(\$8,700)

**Non Pay Cost Drivers**

<b>Non Pay Cost Drivers</b> <i>Dollars in Thousands</i>	<b>FY 2019 Enacted</b>	<b>FY 2020 Enacted</b>	<b>FY 2021 President's Budget</b>	<b>FY 2020 to FY 2021 Total Changes</b>
Inter/Intra Agency Agreements and Contractual Services	-	\$6,399	\$8,322	\$1,923
Travel	-	\$3,099	\$2,836	(\$263)
Services from Federal Sources (WCF)	-	\$10,330	-	(\$10,330)
Other Costs	-	\$381	\$351	(\$30)
<b>Total – Non Pay Cost Drivers</b>	-	<b>\$20,209</b>	<b>\$11,509</b>	<b>(\$8,700)</b>

**Explanation of Non Pay Cost Drivers**

**Inter/Intra Agency Agreements and Contractual Services:** Management and Oversight utilizes contractor support to assist in analytic and programmatic support in validating and prioritizing DHS' operational capability investments, provide legal and FOIA support services, and for interagency agreements for a variety of different governmental support services. See the charts labeled "Contracts & Interagency Agreements" for more details.

**Travel:** Travel expenses consist of airfare, lodging, meals, and miscellaneous and incidentals expenses. Management and Oversight travel will be conducted throughout the year to oversee and coordinate the Department of Homeland Security's priorities. Travel requirements for FY 2021 include, but are not limited to, public outreach and media relations efforts, serve as advisor to the secretary, site visits to operating component regional offices, international travel to support pre-clearance agreement negotiations, travel to support the Committee on Foreign Investment in the United States (CFIUS) program, and travel to conduct training at the Federal Law Enforcement Training Center (FLETC). The travel expenses for the Secretary and Deputy Secretary will continue to be paid for by funding made available to the Secretary and Deputy Secretary based on the expenditure plans included in this text.

**Services from Federal Sources (WCF):** The change from FY 2020 to FY2021 is attributed to the dissolution of the WCF and associated transfers to MGMT offices who will continue to provide these services to Components in FY 2021.

**Other Costs:** Management and Oversight incurs expenses for items such as paper, toner, educational tools, printing, and other office supplies and equipment.