

U.S. DEPARTMENT OF COMMERCE
DEPARTMENTAL MANAGEMENT



FY 2021 CONGRESSIONAL SUBMISSION

**DEPARTMENT OF COMMERCE
DEPARTMENTAL MANAGEMENT
Budget Estimates, Fiscal Year 2021
Congressional Submission
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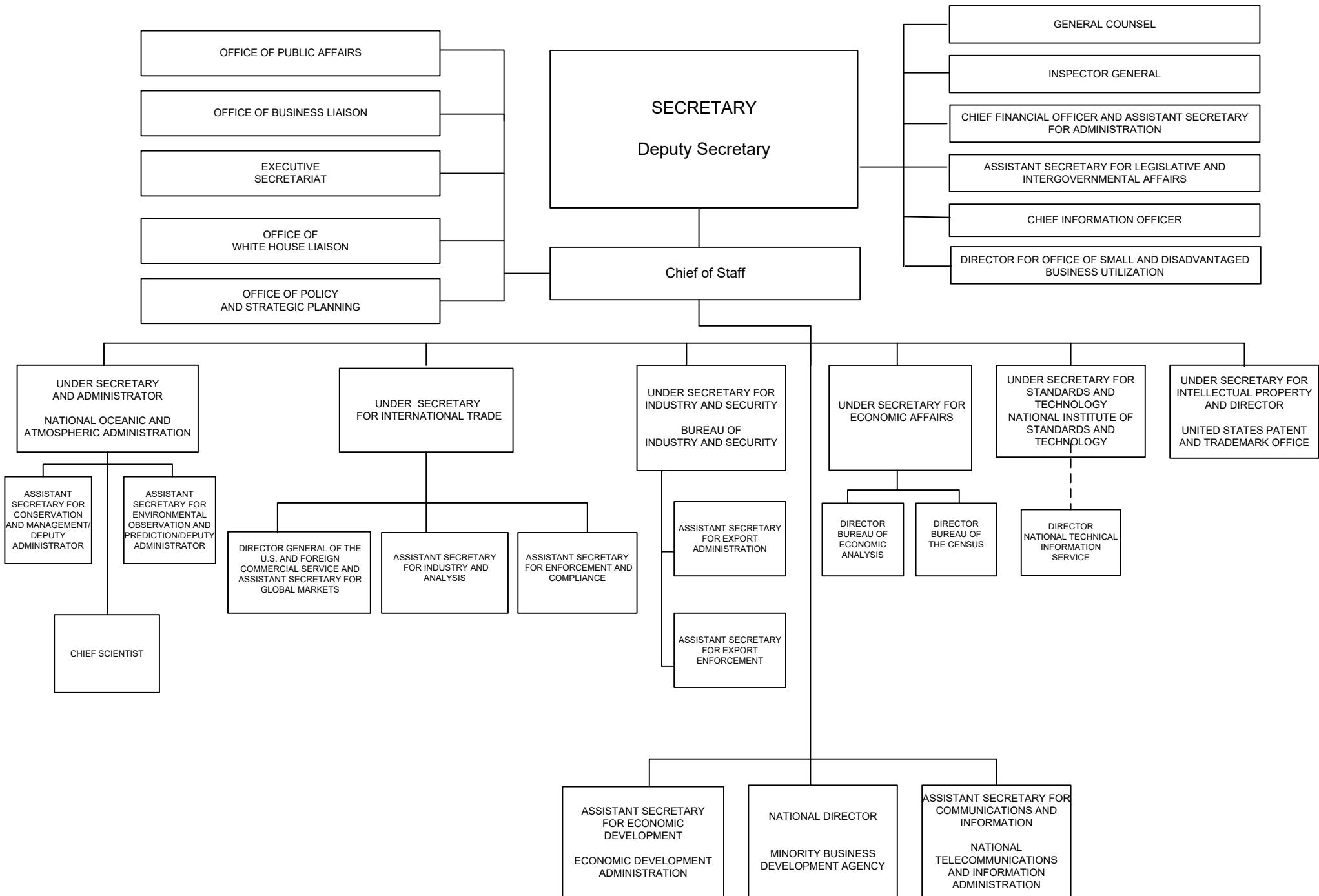
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U.S. DEPARTMENT OF COMMERCE

Exhibit 2



**DEPARTMENT OF COMMERCE
DEPARTMENTAL MANAGEMENT
Budget Estimates, Fiscal Year 2021**

Executive Summary

Departmental Management's (DM) objective is to develop and provide policies and procedures for administrative planning, oversight, coordination, direction, and guidance to ensure implementation of the Department's mission.

DM is comprised of the following:

Salaries and Expenses (\$96.134 million and 257 FTE/ 282 Positions) - The appropriation provides funding for the development and implementation of Departmental policies, coordinates the bureaus' program activities to accomplish the Department's mission, and provides funds for the development and implementation of the Department's internal policies, procedures, and other administrative guidelines. The FY 2021 request includes funding for the Office of Space Commerce, which focuses on various sectors of the space commerce industry, including satellite navigation (GPS), commercial remote sensing, space transportation and entrepreneurial activities. The request includes funding for a Continuity of Operations (COOP) and Continuity of Government (COG) location for both classified and unclassified environments. The program provides operations and maintenance costs and enabling technology to support Continuity of Government mission essential functions. The Department request includes e-Discovery and Records Management tools for Freedom of Information Act (FOIA) requests and litigation searches of electronically stored information. The FY 2021 request also includes funding for Security policy, Investigation and Threats Management Division Contracts and Memorandum of Understanding, and Budget compliance personnel.

Herbert C. Hoover Building (HCHB) Renovation and Modernization (\$1.123 million and 5 FTE/ 5 Positions) - The appropriation provides no-year funding for the Department's expenses associated with the renovation and modernization of HCHB. Renovation and modernization of the Department's headquarters by the General Services Administration (GSA) will extend the building's useful life through infrastructure upgrades, security upgrades, and historic preservation of some features. The FY 2021 request will commence Phase 5 construction and reflects the Department's continued focus on improving building infrastructure components including information technology, telecommunications, security improvements, emergency power requirements, and fire and life safety improvements that are operating beyond their useful life and deteriorating.

Nonrecurring Expenses Fund (NEF) (\$38.038 million and 33 FTE/ 44 Positions) - The appropriation requests funding for Commerce's Business Applications Solution (BAS) project. Funding is requested to continue Phase I Implementation Activities to support administrative management systems (financial management, acquisition, property), enterprise data warehouse (EDW) and business intelligence (BI) reporting solutions across Commerce. This fund was established for the transfer of unobligated balances of expired discretionary funds appropriated from the General Fund of the Treasury to the Department of Commerce. The funds deposited in this account shall be available for information and business technology system modernization and facilities infrastructure improvements necessary for the operation of the Department.

Working Capital Fund (WCF) (\$260.358 million and 620 FTE/ 725 Positions) - WCF is a reimbursable fund that provides necessary centralized services to bureaus of Commerce. These support services include the Office of Financial Management, Office of General Counsel, Executive Direction, Office of the Chief Information Officer, Office of Human Resources Management, Office of Civil Rights, Office of Acquisition Management, Office of Privacy and Open Government, Office of Security, Enterprise Services, and the Office of Facilities and Environmental Quality. The FY 2021 request includes funding for the following: Enterprise Services: Identity Access Management and ServiceNow Portal Migration; Office of the Chief Information Officer: Continuing Diagnostics and Mitigation, Emerging Technology/Enterprise Architecture; Office of Human Resources Management: Hiring Support for Accountability and Commerce Alternative Personnel System, Workers Compensation Program Manager; Office of Facilities and Environmental Quality: HCHB High Voltage Switchgear & Fire Alarm Maintenance; Office of Financial Management: Hyperion Software Upgrade, E2 Solutions Travel System Enhancement; Office of Security: Deputy Assistant Secretary for Intelligence and Security, Organizational Structure, Security Compliance, Security Modernization (O&M) Contract Expansion for the HCHB, Census Headquarters Personnel Security Realignment, NOAA Satellite Operations Facility/Pacific Rim, and BIS Security Support.

Adjustments:

Inflationary Adjustments: Departmental Management’s FY 2021 Base includes a total of \$11,885,000 and 0 FTE/ 0 positions to account for the full funding requirement for inflationary adjustments. This includes the FY 2020 pay raise of 3.1 percent, FY 2021 pay raise of 1.0 percent as well as inflationary changes for labor and non-labor activities, including benefits, utilities, WCF charges, and rent charges from the General Services Administration.

Transfer: Office of Space Commerce

National Oceanic and Atmospheric Administration, Operations, Research, and Facilities (ORF), Office of Space Commerce (OSC) and Commercial Remote Sensing Regulatory Affairs (CRSRA) transferred eleven positions and \$4,100,000 to Departmental Management for Space Commerce.

From Office	Subactivity	To Office	Subactivity	Amount
NOAA	Office of Space Commerce	Departmental Management	Operations and Administration	\$2,300,000 3 FTE/ 5 Positions
NOAA	Commercial Remote Sensing Regulatory Affairs (CRSRA)	Departmental Management	Operations and Administration	\$1,800,000/ 6 FTE/ 6 Positions
Total				\$4,100,000/ 9 FTE/ 11 Positions

Department Management requests a technical adjustment to move \$4,100,000 and 9 FTE/ 11 positions from the National Oceanic and Atmospheric Administration, Operations, Research, and Facilities (ORF), Office of Space Commerce (OSC) and Commercial Remote Sensing Regulatory Affairs (CRSRA) Sub-activities to Departmental Management, Operations and Administration Sub activity. The technical adjustment will strengthen and create a robust U.S. commercial space industry.

Transfer: Working Capital Fund and Advances and Reimbursements to Salaries and Expenses

This proposal transfers three projects, or \$4.427 million 29 FTE/ 29 Positions, out of the Working Capital Fund (WCF) account, and six projects, or \$4.851 million 30 FTE / 30 Positions, out of the Advances and Reimbursements (A&R) account, for a total transfer of nine projects, or \$9.278 million 59 FTE/ 59 Positions, into the Departmental Management (DM) Salaries and Expenses (S&E) appropriated account. DM proposes that funds be transferred as a one-time permanent transfer from each bureau into the DM S&E account. The specific projects moving into DM S&E are outlined below. The Office of the Secretary Financial Management (OSFM) gathered a working group to brainstorm changes to the WCF and A&R and the realignment of projects to the DM S&E appropriation was proposed. OSFM also reviewed all other projects across the WCF and A&R to determine the most appropriate funding mechanism for each project. The recommendation to move nine accounts was proposed and approved by the CFO Council and CFO/ASA. The nine projects proposed for realignment to Departmental Management are:

From Account	Subactivity	To Appropriation	Subactivity	Amount
Working Capital Fund	Executive Direction Executive Protection Unit (EPU)	Salaries and Expenses	Executive Direction	3,617,359
Working Capital Fund	Executive Direction Office of Public Affairs	Salaries and Expenses	Executive Direction	448,184
Working Capital Fund	Acquisition Management's Grants Management (GMD)	Salaries and Expenses	Acquisition Management	361,417
Sub-Total				4,426,960
Advances and Reimbursements	Intelligence and Security Federal Senior Intelligence Coordinator	Salaries and Expenses	Intelligence and Security	1,915,798
Advances and Reimbursements	Executive Direction Scheduling and Advance	Salaries and Expenses	Executive Direction	1,274,911
Advances and Reimbursements	Executive Direction White House Liaison	Salaries and Expenses	Executive Direction	616,763
Advances and Reimbursements	Office of Human Resources Management Federal Executive Board	Salaries and Expenses	Office of Human Resources Management	490,232
Advances and Reimbursements	Office of Budget Government Performance and Results Act	Salaries and Expenses	Office of Budget	483,981
Advances and Reimbursements	Executive Direction Center for Faith and Opportunity Initiatives	Salaries and Expenses	Executive Direction	69,553
Sub-Total				4,851,238
Grand- Total				9,278,198

Summary of Transfer by Project:

Executive Direction's Executive Protection Unit (EPU): This project provides for the physical protection of the Secretary of Commerce and/or designees, and operational support for the Executive Protection Unit.

Executive Direction's Office of Public Affairs (OPA): OPA serves as Department of Commerce (DOC)'s liaison with the White House and Executive Branch agencies to support major Department priorities and meet the needs of operating units. OPA provides advice and support to the public information programs in the units, writes speeches, opinion editorials, communication plans, press releases and issues broadcast material involving the Secretary and other DOC officials.

Office of Acquisition Management's Grants Management (GMD): GMD provides guidance in response to government-wide data calls and represents the DOC at numerous intergovernmental permanent bodies and working groups governing Federal Grants Policy, including the Financial Assistance Committee for E-Government. GMD serves as the coordinator of information between DOC grant-making bureaus and external organizations in the Federal government, and has primary responsibility for policy through the Grants Council and subordinate groups.

Intelligence and Security's Federal Senior Intelligence Coordinator (FSIC): FSIC is responsible for providing intelligence support in the DOC. FSIC's mission is to support the formulation of policy and execution of Commerce authorities by providing timely, accurate and focused intelligence support on the full range of political, economic, scientific, technological, and security issues. FSIC staff provides intelligence briefings and other support to DOC senior executives and other officials, leveraging Intelligence Community raw reporting, analyses, and other products and briefings tailored to leaders' needs. FSIC serves as the Department's primary liaison with the Intelligence Community (IC).

Executive Direction's Scheduling and Advance: This project funds planning and coordination of external scheduling for the Secretary of Commerce. The office is responsible for providing scheduling, advance, protocol, and logistical support for the Secretary's domestic and international meetings, conferences, and special activities and initiatives.

Executive Direction's White House Liaison: This project oversees the appointment process for executive positions throughout the Department, external appointments to Department boards/commissions, prepares special reports, and manages specific projects at the request of Secretarial Officers.

Office of Human Resource's Federal Executive Board (FEB): FEBs were established under a Presidential Directive in 1961 and are located in twenty-eight major cities. The Office of Personnel Management provides policy direction and guidance to the FEBs, and funding is derived from other executive agencies. FEBs were established to improve internal federal management practices and serve as the focal point for coordinating and sharing information and expertise among federal agencies. They are major points of contact between the government and the private sector. The board sponsors executive seminars and coordinates major programs including the Combined Federal Campaign and Public Service Recognition Week. It is the primary office for promotion of a positive federal image in the community.

Office of Budget's Government Performance: The Department is required to fulfill eleven tasks set forth in the Government Performance and Results Act (GPRA) and performance requirements as specified by OMB Circular A-11 and A-136. These mandates include the Department's submission in the Annual Performance Plan and Report and backup support, the Budget in Brief, OMB and Congressional submissions, and oversight of each Bureau's submission into the OMB and Congressional submissions. In addition, this office is responsible for updating performance on the Departmental website, and the Federal government performance website. Finally, the office reviews the Department's priority goals, updates to the Strategic Plan, and provides oversight of the Summary of Performance and Finance.

Executive Direction's Center for Faith and Opportunity Initiatives: This project funds the Center for Faith and Opportunity Initiatives, which enables faith-based and community leaders and institutions to strengthen their communities through DOC resources and programs, and engages a diverse array of partners in the work of the agency. The office assists with the Secretary's trip preparation and leads various aspects of large conferences and events.

Department of Commerce Information Technology (IT) Resource Statement of FY 2021

In accordance to the requirements outlined in the Office of Management and Budget (OMB) Circular A-11, Section 51.3 Analysis of resources, the Department of Commerce (DOC) Chief Financial Officer (CFO) and Chief Information Officer (CIO) affirm the following IT Resource Statements:

- (a) The CIO collaborated with all line offices and programs within, DOC and the CFO on the IT Budget submissions (Per OMB Circular No. A—11 Preparation, Submission, and Execution of the Budget Section 55.6), and that IT includes appropriate estimates of all IT resources included in the budget request/President's Budget.
- (b) The, Department CIO had a critical and significant role in reviewing, providing input and approving all IT Investments included in this budget request.
- (c) The CFO and CIO certify that the CIO had a critical and significant role in reviewing planned IT support for major programs and significant increases and decreases in IT resources reflected in this budget.
- (d) Regarding the CIO's common baseline rating for Element D ("D1. CIO reviews and approves major IT Investment portion of budget request"), the desired development outcome is "Partially Addressed" and the, DOC is working to develop a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place.
- (e) The CIO certifies that all the Investments within the DOC are using incremental development practices.
- (f) The DOC has reviewed the IT budget submission and that privacy requirements, as well as any associated costs, are explicitly identified and included with respect to any IT resources that will be used to create, collect, use, process, store, maintain, disseminate, disclose, or dispose of personally identifiable information (PII).

Department of Commerce
Departmental Management
Salaries and Expenses
TRANSFER CHANGE DETAIL BY OBJECT CLASS
(Direct Obligations amounts in thousands)

Activity: Operations and Administration
Subactivity: NOAA Space Commerce Transfer

Object Class	2020 Enacted	2021 Transfer	2021 Base
11.1 Full-time permanent compensation	0	1092	1,092
11.3 Other than full-time permanent	0	0	0
11.5 Other personnel compensation	0	0	0
11.8 Special personnel services payments	0	0	0
11.9 Total Personnel Compensation	0	1,092	1,092
12.1 Civilian personnel benefits	0	336	336
13 Benefits for former personnel	0	0	0
21 Travel and Transportation of Persons	0	176	176
22 Transportation of things	0	0	0
23 Rent, Communications, and Utilities	0	111	111
23.1 Rental payments to GSA	0	0	0
23.2 Rental payments to Others	0	0	0
23.3 Communications, Utilities, and Misc. charges	0	0	0
24 Printing and Reproduction	0	0	0
25 Other Contractual Services	0	0	0
25.1 Advisory and Assistance Services	0	610	610
25.2 Other Services from Non-Federal Sources	0	1051	1,051
25.3 Other Goods and Services from Federal Sources	0	692	692
25.4 Operation and Maintenance of facilities	0	0	0
25.5 Research and Development Contracts	0	0	0
25.6 Medical Care	0	0	0
25.7 Operation and Maintenance of Equipment	0	2	2
25.8 Subsistence and Support of Persons	0	0	0
26 Supplies and Materials	0	10	10

31 Equipment	0	20	20
32 Land and Structures	0	0	0
33 Investments and Loans	0	0	0
41 Grants, Subsidies and Contributions	0	0	0
42 Insurance Claims and Indemnities	0	0	0
43 Interest and Dividends	0	0	0
44 Refunds	0	0	0
99.9 Total Obligations	0	4,100	4,100

Department of Commerce
Departmental Management
Salaries and Expenses
TRANSFER CHANGE DETAIL BY OBJECT CLASS
(Direct Obligations amounts in thousands)

Activity: Operations and Administration
Subactivity: Working Capital Fund and Advances and Reimbursements Transfer

Object Class	2020 Enacted	2021 Transfer	2021 Base
11.1 Full-time permanent compensation	0	4,326	4,326
11.3 Other than full-time permanent	0	442	442
11.5 Other personnel compensation	0	55	55
11.8 Special personnel services payments	0	-	-
11.9 Total Personnel Compensation	0	4,823	4,823
12.1 Civilian personnel benefits	0	1,706	1,706
13 Benefits for former personnel	0	-	-
21 Travel and Transportation of Persons	0	251	251
22 Transportation of things	0	-	-
23 Rent, Communications, and Utilities	0	152	152
23.1 Rental payments to GSA	0	534	534
23.2 Rental payments to Others	0	-	-
23.3 Communications, Utilities, and Misc. charges	0	-	-
24 Printing and Reproduction	0	18	18
25 Other Contractual Services	0	-	-
25.1 Advisory and Assistance Services	0	-	-
25.2 Other Services from Non-Federal Sources	0	140	140
25.3 Other Goods and Services from Federal Sources	0	1,561	1,561
25.4 Operation and Maintenance of facilities	0	-	-
25.5 Research and Development Contracts	0	-	-
25.6 Medical Care	0	-	-
25.7 Operation and Maintenance of Equipment	0	-	-
25.8 Subsistence and Support of Persons	0	-	-
26 Supplies and Materials	0	46	46

31 Equipment	0	48	48
32 Land and Structures	0	-	-
33 Investments and Loans	0	-	-
41 Grants, Subsidies and Contributions	0	-	-
42 Insurance Claims and Indemnities	0	-	-
43 Interest and Dividends	0	-	-
44 Refunds	0	-	-
99.9 Total Obligations	0	9,278	9,278

Department of Commerce
Departmental Management
Salaries and Expenses
FY 2021 TRANSFER SUMMARY TABLE
(Dollar amounts in thousands)
(Grouped by Title of Transfer, Largest to Smallest)

Page No.	Budget Program	Appropriations	Title of Transfer	Positions	Budget Authority
	Operations and Administration NOAA	Salaries and Expenses NOAA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from NOAA)</i>		1,421 (1,421)
	Operations and Administration CENSUS	Salaries and Expenses CENSUS	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from CENSUS)</i>		980 (980)
	Operations and Administration PTO	Salaries and Expenses PTO	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from PTO)</i>		925 (925)
	Operations and Administration NIST	Salaries and Expenses NIST	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from NIST)</i>		409 (409)
	Operations and Administration ITA	Salaries and Expenses ITA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from ITA)</i>		261 (261)
	Operations and Administration EDA	Salaries and Expenses EDA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from EDA)</i>		114 (114)
	Operations and Administration BEA	Salaries and Expenses BEA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from BEA)</i>		95 (95)
	Operations and Administration NTIA	Salaries and Expenses NTIA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from NTIA)</i>		76 (76)
	Operations and Administration BIS	Salaries and Expenses BIS	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from BIS)</i>		65 (65)
	Operations and Administration MBDA	Salaries and Expenses MBDA	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from MBDA)</i>		50 (50)

Page No.	Budget Program	Appropriations	Title of Transfer	Positions	Budget Authority
	Operations and Administration <i>OIG</i>	Salaries and Expenses <i>OIG</i>	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from OIG)</i>		17 (17)
	Operations and Administration <i>NTIS</i>	Salaries and Expenses <i>NTIS</i>	Working Capital Fund Transfer (to DM S&E) <i>Working Capital Fund Transfer (from NTIS)</i>		15 (15)
	Operations and Administration <i>ITA</i>	Salaries and Expenses <i>ITA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from ITA)</i>		1,552 (1,552)
	Operations and Administration <i>NOAA</i>	Salaries and Expenses <i>NOAA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from NOAA)</i>		799 (799)
	Operations and Administration <i>PTO</i>	Salaries and Expenses <i>PTO</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from PTO)</i>		619 (619)
	Operations and Administration <i>NIST</i>	Salaries and Expenses <i>NIST</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from NIST)</i>		589 (589)
	Operations and Administration <i>CENSUS</i>	Salaries and Expenses <i>CENSUS</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from CENSUS)</i>		569 (569)
	Operations and Administration <i>BIS</i>	Salaries and Expenses <i>BIS</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from BIS)</i>		366 (366)
	Operations and Administration <i>NTIS</i>	Salaries and Expenses <i>NTIS</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from NTIS)</i>		194 (194)
	Operations and Administration <i>EDA</i>	Salaries and Expenses <i>EDA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from EDA)</i>		69 (69)
	Operations and Administration <i>NTIA</i>	Salaries and Expenses <i>NTIA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from NTIA)</i>		34 (34)
	Operations and Administration <i>BEA</i>	Salaries and Expenses <i>BEA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from BEA)</i>		30 (30)
	Operations and Administration <i>MBDA</i>	Salaries and Expenses <i>MBDA</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from MBDA)</i>		16 (16)
	Operations and Administration <i>OIG</i>	Salaries and Expenses <i>OIG</i>	Advances & Reimbursements Transfer (to DM S&E) <i>Advances & Reimbursements Transfer (from OIG)</i>		14 (14)
	Operations and Administration NOAA	Salaries and Expenses Operation, Research, and Facilities	NOAA OSC and CRSRA Transfer (to DM S&E) <i>NOAA OSC and CRSRA Transfer (from NOAA ORF)</i>		4,100 (4,100)
	Total, Transfer to DM S&E				13,378

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**Department of Commerce
 Departmental Management
 Salaries and Expenses
 FY 2021 PROGRAM INCREASES / DECREASES / TERMINATIONS**
 (Dollar amounts in thousands)
 (By Appropriation, Largest to Smallest)

Increases

Page No.	Appropriations	Budget Program	Title of Increase	Positions	Budget Authority
DM-26	Salaries and Expenses	Operations and Administration	Office of Space Commerce	13	10,900
DM-30	Salaries and Expenses	Operations and Administration	Investigation and Threat Management Division Contracts		3,408
DM-32	Salaries and Expenses	Operations and Administration	Continuity of Operations and Government Enabling Technology		2,300
DM-35	Salaries and Expenses	Operations and Administration	Continuity of Operations Facility - Ongoing Operations Maintenance		1,185
DM-38	Salaries and Expenses	Operations and Administration	Centralized FOIA Record Search with De-duplication and Analytics	2	470
DM-42	Salaries and Expenses	Operations and Administration	Security Program/Plans, Programs and Compliance Policy Support	1	251
DM-46	Salaries and Expenses	Operations and Administration	Case Management, E-Discovery, and Litigation Hold Platform		250
DM-49	Salaries and Expenses	Operations and Administration	Non-Supervisory Senior Budget Analyst	1	190
Subtotal, Increases				17	18,954

Decreases

Page No.	Appropriations	Budget Program	Title of Decrease	Positions	Budget Authority
Subtotal, Decreases					0

Terminations

Page No.	Appropriations	Budget Program	Title of Termination	Positions	Budget Authority
Subtotal, Terminations					

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**Department of Commerce
Departmental Management
Salaries and Expenses
SUMMARY OF RESOURCE REQUIREMENTS**
(Dollar amounts in thousands)

	Positions	FTE	Budget Authority	Direct Obligations
Fiscal Year 2020, Enacted	195	173	61,000	61,000
2021 Adjustments to Base				
Plus: Transfer from DM A&R and WCF	59	59	9,278	9,278
Plus: Transfer from NOAA ORF	11	9	4,100	4,100
Plus: Inflationary/Adjustments to Base	0	0	2,802	2,802
2021 Base	265	241	77,180	77,180
Plus: 2021 Program Changes	17	16	18,954	18,954
2021 Estimate	282	257	96,134	96,134

Comparison by activity/subactivity with totals by activity	2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base		
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	
	Operations and Administration	Pos./BA	214	63,000	195	61,000	265	77,180	282	96,134	17
	FTE/Obl.	168	62,690	173	61,000	241	77,180	257	96,134	16	18,954
TOTALS	Pos./BA	214	63,000	195	61,000	265	77,180	282	96,134	17	18,954
	FTE/Obl.	168	62,690	173	61,000	241	77,180	257	96,134	16	18,954
Adjustments to Obligations:											
Recoveries											
Unobligated balance, start of year											
Unobligated balance, transferred											
Unobligated balance, rescission											
Unobligated balance, end of year											
Unobligated balance, expiring			310								
Financing from Transfers:											
Transfer from other accounts (-)											
Transfer to other accounts (+)											
Appropriation		63,000		61,000		77,180		96,134		18,954	

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**Department of Commerce
Departmental Management
Salaries and Expenses
SUMMARY OF REIMBURSABLE OBLIGATIONS**
(Dollar amounts in thousands)

		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	77	0	90	0	60	0	60	0	0	0
	FTE/Obl.	75	104,062	88	115,427	58	110,050	58	110,050	0	0
TOTALS	Pos./BA	77		90		60		60		0	
	FTE/Obl.	75	104,062	88	115,614	58	110,050	58	110,050	0	0
Adjustments to Obligations:											
	Recoveries (COMMITTS)		(26)								
	Unobligated balance, start of year (COMMITTS)		(161)		(187)						
	Unobligated balance, transferred										
	Unobligated balance, end of year		187								
	Unobligated balance, expiring										
Financing from Transfers:											
	Transfer from other accounts (-)										
	Transfer to other accounts (+)										
Reimbursable Authority			104,062		115,427		110,050		110,050		0

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 SUMMARY OF FINANCING**
 (Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
Total Obligations	166,752	176,614	187,230	206,184	18,954
Offsetting collections from:					
Federal funds	(104,062)	(115,427)	(110,050)	(110,050)	0
Trust funds					
Non-Federal sources					
Recoveries	(26)	0			
Unobligated balance, start of year	(161)	(187)			
Unobligated balance, transferred	0	0			
Unobligated balance, end of year	497	0			
Unobligated balance, expiring		0			
Budget Authority	63,000	61,000	77,180	96,134	18,954
Financing:					
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	0	0	0	0	0
Appropriation	63,000	61,000	77,180	96,134	18,954

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 ADJUSTMENTS TO BASE**
 (Dollar amounts in thousands)

	Positions	Amount
Transfers from DM WCF and A&R Account	59	9,278
Transfer from NOAA Operations, Research, and Facilities (ORF), (Office of Space Commerce (OSC) and Commercial Remote Sensing Regulatory Affairs (CRSRA)).	11	4,100
	70	13,378
Other Changes:		
2020 Pay Raise		725
2021 Pay Raise		175
Full-year cost in 2021 of positions financed for part-year in 2020		-
Cash Award		390
Change in compensable days		(111)
Civil Services Retirement System (CSRS)		(16)
Federal Employees Retirement System (FERS)		334
Thrift Savings Plan		5
Federal Insurance Contribution Act (FICA) - OASDI		23
Health Insurance		60
Employees Compensation Fund		54
Travel:		
Mileage		0
Per Diem		3
Rental payment to GSA		194
Postage		0
Printing and reproduction		2
Other Services:		
NARA Storage & Maintenance		(5)
Working Capital Fund		147
Utilities (Electricity)		27
Utilities (Water)		2

GSA Steam		4
Commerce Business Solution		330
Federal Protective Service		11
General Pricing Level Adjustments:		
Transportation of Things		1
Rental Payment to Others		0
Communications & misc.		3
Other Services		151
Maintenance of Operations		0
Supplies		6
Equipment		9
Enterprise Services Direct Billing Charges		237
Continuous Diagnostics and Mitigation Charges		40
Subtotal, other changes		<u>2,802</u>
Total, adjustment to base	<u>70</u>	<u>16,180</u>

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS
 (Dollar amounts in thousands)**

Activity: Operations and Administration

Line Item	2019 Actuals		2020 Enacted		2021 Base		2021 Estimates		Increase/Decrease from 2021 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration										
Pos./BA	214	63,000	195	61,000	265	77,180	282	96,134	17	18,954
FTE/Obl	168	62,690	173	61,000	241	77,180	257	96,134	16	18,954
Total										
Pos./BA	214	63,000	195	61,000	265	77,180	282	96,134	17	18,954
FTE/Obl	168	62,690	173	61,000	241	77,180	257	96,134	16	18,954

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM AND PERFORMANCE: REIMBURSABLE OBLIGATIONS**
 (Dollar amounts in thousands)

Activity: Operations and Administration

Comparison by activity	2019 Actuals		2020 Enacted		2021 Base		2021 Estimates		Increase/Decrease from 2021 Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operations and Administration	Pos./BA	77 0	90 0	60 0	60 0	60 0	0	0	0	0
	FTE/Obl	75 104,062	88 115,427	58 110,050	58 110,050	58 110,050	0	0	0	0
1/ COMMITS	Pos./BA	0 0	0 0	0 0	0 0	0 0	0	0	0	0
	FTE/Obl	0 0	0 0	0 0	0 0	0 0	0	0	0	0
Total	Pos./BA	77 0	90 0	60 0	60 0	60 0	0	0	0	0
	FTE/Obl	75 104,062	88 115,427	58 110,050	58 110,050	58 110,050	0	0	0	0

1/ Commerce Information Technology Solutions

Department of Commerce
Departmental Management
Salaries and Expenses
JUSTIFICATION OF PROGRAM AND PERFORMANCE
(Dollar amounts in thousands)

Activity: Operations and Administration

Goal Statement

DM provides Departmental policies, planning, and administrative guidance to ensure the efficient and effective implementation of the Department's mission statement. DM develops and implements policy affecting U.S. and international activities as well as internal goals and operations of the Department. DM serves as the primary liaison with the executive branch, legislative affairs, and private sector groups. Furthermore, DM is the management and administrative control point for the Department. The S&E Appropriation funds the senior officials and support staff responsible for providing leadership in ensuring the accomplishment of the Department's mission. This mission focuses on promoting job creation, economic growth, sustainable development, and improved living standards for all Americans.

Base Program

S&E Operations and Administration funding supports coordination of bureau program activities and development and implementation of the Department's internal policies, procedures, and other administrative guidelines. Functions include the oversight, direction and coordination of the Department's many activities and the representation of the Administration before the public, the business community, the Congress, and other executive agencies and departments. This funding is also used to assist the Secretary in planning, supervising, and directing resources and programs and executing his obligations under law, by providing consistency in the bureaus' administrative operations. Activities of DM S&E relate to DOC's Performance Goal of identifying and effectively managing human and material resources critical to the success of the Department's strategic goals. Offices within S&E Operations and Administration include: Secretary, Chief of Staff, Executive Secretariat, Deputy Secretary, Business Liaison, General Counsel, Policy and Strategic Planning, Public Affairs and Press Secretary, Legislative & Intergovernmental Affairs, Chief Information Officer, CFO and Assistant Secretary for Administration, Financial Management, Human Resources Management, Intelligence and Security, Civil Rights, Privacy and Open Government, Budget, Acquisitions Management, and Enterprise Services.

Statement of Operating Objectives

Within the S&E appropriation, the Operations and Administration line activity funds the senior officials and support staff responsible for providing leadership in ensuring the accomplishment of the Department’s mission. S&E provides oversight, direction and coordination of the Department’s many activities and the representation of the Administration before the public, the business community, the Congress, and other executive agencies and departments. Furthermore, it develops and implements internal policies, procedures, and other administrative guidelines. This includes both assisting the Secretary to plan, supervise, and direct the resources and programs of the Department and execute his obligations under law, by providing consistency in the bureaus’ administrative operations.

Explanation and Justification

	<u>2019 Actuals</u>		<u>2020 Enacted</u>		<u>2021 Base</u>	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration						
Pos./BA	214	63,000	195	61,000	265	77,180
FTE/Obl	168	62,690	173	61,000	241	77,180

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

		2021 Base		2021 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of Space Commerce							
Program Change: Space Commerce	Pos./BA	11	4,100	24	15,000	13	10,900
	FTE/Obl.	9	4,100	22	15,000	13	10,900

Office of Space Commerce (+\$10,900, 13 FTE/13 Positions) - This request will place the Office of Space Commerce in Departmental Management.

This request provides the Office of Space Commerce (OSC) with the ability to respond to current and future National Space Policy Directives. Specifically, the direction for the Department of Commerce to ensure the continued provision of and improvement on space situational awareness data (SSA) and SSA services (Space Policy Directive-3), as well as new directives to streamline regulations and promote commercial use of space. This funding will: (A) Increase staff needed to execute program management, policy, technical assessment and cloud architecture. (B) Develop technical prototypes that will advance industry engagement and support a critical informational platform for space situational awareness. (C) Promote the partnership between the Department of Commerce and commercial industry to develop warnings to limit the potential impacts to space operations. (D) Initiate the open architecture data repository (OADR), which will then drive future RFIs (Request for Information) and specialized industry days.

This funding also allows for improved management control and depth of the organization at a time of dynamic change in the global space economy and for additional investment in growing a civil space traffic management capability. It will also allow for increased interaction, experimentation and program involvement by emerging commercial vendors with our space traffic management responsibilities. Advancing Space Commerce is Section 1.1 in the Department of Commerce Strategic Plan. This recognizes the growing importance of space and space commerce to U.S. economic and national security, as well as the myriad activities required to foster the conditions for the economic growth and technological advancement of the U.S. commercial space industry. This program change will fund commercial projects to develop the commercial- and allied- oriented activities in the OADR as directed in SPD-3. Specifically, projects will seek to design systems and solve problems related to: (1) providing more timely and accurate alerts and warnings to satellite operators at risk of collision; (2) improvements to visualization and modeling of objects (including debris) within the space environment; and (3) enhanced interoperability between space operators and diverse commercial sensors.

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGE PERSONNEL DETAIL
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Space Commerce
 Program Change: Space Commerce

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Senior Policy Liaison Officer	SES	1	166,500	166,500
Deputy Office of Space Commerce Director	SES	1	166,500	166,500
Space Policy and Regulatory Analyst	V (GS-15)	1	160,822	160,822
Space Operations Engineer	V (GS-15)	1	160,822	160,822
Chief Systems Architect	V (GS-15)	1	160,822	160,822
Interagency Coordinator	V (GS-15)	1	152,352	152,352
Policy Liaison Officer	IV (GS-14)	1	138,998	138,998
Operations Specialist	IV (GS-14)	1	138,998	138,998
Spectrum Policy Analyst	IV (GS-14)	1	136,725	136,725
Management and Program Analyst	IV (GS-14)	1	136,725	136,725
Technical System Engineer	IV (GS-14)	1	136,725	136,725
Information Technology Management	IV (GS-14)	2	136,725	273,450
		<u>13</u>		<u>-</u>
Total		13		1,929,439
Less Lapse	25%	-		-
Total Full-time permanent (FTE)		<u>13</u>		<u>1,929,439</u>
2021 pay Adjustment (1.0%)	1%			14,471
				<u>1,943,910</u>

Personal Data Summary

Full-Time Equivalent Employment (FTE)	13
Full-Time permanent	
Part-Time permanent	
Full-Time temporary	
Part-Time Temporary	
<u>Total FTE</u>	<u>13</u>
Authorized Positions	
Full-Time permanent	13
Part-Time permanent	
Full-Time temporary	
Part-Time Temporary	
<u>Total Positions</u>	<u>13</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office Space Commerce
 Program Change: Space Commerce

	2019	2020	2021	2021	2021 Increase/
Object Class	Actual	Enacted	Base	Estimate	(Decrease)
11.1	0	0	1,092	3,036	1,944
11.3	0	0	0	0	0
11.5	0	0	0	0	0
11.8	0	0	0	0	0
11.9	0	0	1,092	3,036	1,944
12.1	0	0	336	972	636
13	0	0	0	0	0
21	0	0	176	220	44
22	0	0	0	0	0
23	0	0	111	432	321
23.1	0	0	0	0	0
23.2	0	0	0	0	0
23.3	0	0	0	0	0
24	0	0	0	0	0
25				0	
25.1	0	0	610	610	0
25.2	0	0	1,051	8,587	7,536
25.3	0	0	692	918	226
25.4	0	0	0	0	0
25.5	0	0	0	0	0
25.6	0	0	0	0	0
25.7	0	0	2	3	1
25.8	0	0	0	0	0
26	0	0	10	38	28
31	0	0	20	184	164
32	0	0	0	0	0

33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	0	0	4,100	15,000	10,900

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Intelligence and Security							
Program Change:	Investigation and Threat Management Division Contract and Memorandum of Understanding	Pos/BA FTE/Obl.	0 0	4,706 4,706	0 0	8,114 8,114	0 0	3,408 3,408

Investigation and Threat Management Division Contracts and Memorandum of Understanding (MOU) (\$3,408), 0 FTE/ 0 Positions) - This request will fund Contracts and Memorandum of Understanding within the Office of Investigation and Threat Management Division.

In order to meet the office mission to implement processes and procedures for conducting eligibility for employment, granting security clearance, and safeguarding classified, sensitive documents, protective services, policies, programs and oversight; the office needs investigative products and services that can determine and provide the following:

1. Eligibility for access to classified information
2. Eligibility to hold sensitive position, fitness for government employment
3. Procure Authentic8 Silo Toolbox which is Trusted product that provides isolation layer between users and the web, deliver a remote browser, strength and simplify security architecture, give users secure web access, control sensitive data, apps, workflow, embeds security, identity, and data policies directly into the web and conduct of critical web research.

These contracts and MOUs will assist with ongoing and anticipated casework which is expected to directly decrease the ability of hostile intelligence services to exploit Departmental policy/research and weaken American competitiveness. It will decrease the ability of organized crime figures to divert Department objectives, corrupt markets, and destabilize U.S. geopolitical interests.

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)**

Activity: Operations and Administration
 Subactivity: Office of Intelligence and Security

Investigations and Threats Management Division -
 Program Change: Contracts and Memorandum of Understanding

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	1,416	2,290	2,313	2,313	
11.3 Other than full-time permanent	0	0	0	0	
11.5 Other personnel compensation	295	509	509	509	
11.8 Special personnel services payments	0	0	0	0	
11.9 Total Personnel Compensation	1,711	2,799	2,822	2,822	0
12.1 Civilian personnel benefits	802	1,285	1,298	1,298	
13 Benefits for former personnel		0	0	0	
21 Travel and Transportation of Persons	51	105	105	105	
22 Transportation of things	40	40	40	40	
23 Rent, Communications, and Utilities		0	0	0	
23.1 Rental payments to GSA		0	0	0	0
23.2 Rental payments to Others		0	0	0	
23.3 Communications, utilities, and misc. charges	22	18	18	18	
24 Printing and Reproduction		5	5	5	
25 Other Contractual Services		0	0	0	
25.1 Advisory and Assistance Services		0	0	0	
25.2 Other Services from Non-Federal Sources	1,499	79	79	3,487	3,408
25.3 Other Goods and Services from Federal Sources	356	242	242	242	0
25.4 Operation and Maintenance of facilities		0	0	0	
25.5 Research and Development Contracts		0	0	0	
25.6 Medical care		0	0	0	
25.7 Operation and Maintenance of Equipment		0	0	0	
25.8 Subsistence and Support of Persons		0	0	0	
26 Supplies and Materials	37	39	39	39	
31 Equipment	101	58	58	58	0
32 Land and Structures	0	0	0	0	
33 Investments and Loans	0	0	0	0	
41 Grants, Subsidies and Contributions	0	0	0	0	
42 Insurance Claims and Indemnities	0	0	0	0	
43 Interest and Dividends	0	0	0	0	
44 Refunds	0	0	0	0	
99.9 Total Obligations	4,619	4,670	4,706	8,114	3,408

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

	2021 Base		2021 Estimate		Increase (Decrease)	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Chief Information Officer						
Program Change: Continuity of Operations and	Pos./BA	0	0	2,300	0	2,300
Government - Enabling Technology	FTE/Obl.	0	0	2,300	0	2,300

Continuity of Operations and Government - Enabling Technology (+\$2,300, 0 FTE/0 Positions) - This request will expand the Continuity of Operations (COOP) and Continuity of Government (COG) to unspecified locations nationwide for both classified and unclassified environments.

This program provides the enabling technology to support delivery of: 1) the Department's COG mission essential functions, and 2) the Department's COOP for the Office of the Secretary (OS). To meet Federal Continuity Directive (FCD) 1 and OSTP OMB 16-1 requirements, OCIO needs to expand COOP and COG to other DOC locations for both classified and unclassified environments. The FY 2021 request for \$2.3M includes all telecommunications, equipment, service, and support to implement the site IT infrastructure.

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Chief Information Officer
 Program Change Continuity of Operations and Government - Enabling Technology

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	0	0	0	0	0
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	0	0	0	0	0
11.8 Special personnel services payments	0	0	0	0	0
11.9 Total personnel compensation	0	0	0	0	0
12.1 Civilian personnel benefits	0	0	0	0	0
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	0	0	0	0	0
22 Transportation of things	0	0	0	10	10
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	0	0	0	0	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Communications, utilities, and misc. charges	0	0	0	542	542
24 Printing and reproduction	0	0	0	14	14
25 Other contractual services	0	0	0	0	0
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	0	0	0	334	334
25.3 Other goods and services from Federal sources	0	0	0	0	0
25.4 Operation and maintenance of facilities	0	0	0	0	0
25.5 Research and development contracts	0	0	0	0	0
25.6 Medical care	0	0	0	0	0

Exhibit 15

25.7	Operation and maintenance of equipment	0	0	0	0	0
25.8	Subsistence and support of persons	0	0	0	0	0
26	Supplies and materials	0	0	0	0	0
31	Equipment	0	0	0	1,400	1,400
32	Lands and structures	0	0	0	0	0
33	Investments and loans	0	0	0	0	0
99.9	Total obligations	0	0	0	2,300	2,300

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

		2021 Base		2021 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of Security	Pos./BA	7	2,807	7	3,992	0	1,185
Program Change: Continuity of Operation Facility Ongoing Operations and Maintenance	FTE/Obl.	7	2,807	7	3,992	0	1,185

Continuity of Operation Facility - Ongoing Operations and Maintenance (+\$1,185, 0 FTE/0 Positions) - This request will reduce the risk associated with performing essential activities during localized or national emergencies and threats by enabling more seamless, dedicated communications with partners.

This program supports the Department’s Office of the Secretary (OS) Continuity of Operations (COOP) and Continuity of Government (COG) programs in accordance with Presidential Policy Directive (PPD) 40 – National Continuity System, FCD 1, and FCD 2, which prescribe requirements for all executive departments and agencies. These requirements ensure a comprehensive and integrated national continuity program that will ensure the readiness of our national security posture and enable a rapid and effective response to and recovery from a national emergency. This program enables OS to meet the directives of COOP and enable the continuation of Primary Mission Essential Functions (PMEFs) during any emergency for a period of up to 30 days. This program also ensures Enduring Constitutional Government for the Executive Branch by supporting Continuity of the Presidency as a cabinet-level successor under the COG program.

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration

Subactivity: Office of Security

Program Change: Continuity of Operation Facility - Ongoing Operations and Maintenance

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	946	1,063	1,063	1,063	0
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	19	36	36	36	0
11.8 Special personnel services payments	15	6	6	6	0
11.9 Total personnel compensation	980	1,105	1,105	1,105	0
12.1 Civilian personnel benefits	247	295	295	295	0
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	7	50	50	50	0
22 Transportation of things	0	0	0	0	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	0	0	0	0	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Communications, utilities, and misc. charges	0	12	12	12	0
24 Printing and reproduction	5	2	2	2	0
25 Other contractual services					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	1,414	1,276	1,276	2,461	1,185
25.3 Other goods and services from Federal sources	268	746	0	0	0
25.4 Operation and maintenance of facilities	0	0	0	0	0
25.5 Research and development contracts	0	0	0	0	0
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	0	0
25.8 Subsistence and support of persons	0	0	0	0	0
26 Supplies and materials	17	29	29	29	0
31 Equipment	7	38	38	38	0

32	Lands and structures	0	0	0	0	0
33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	<hr/> 2,945	<hr/> 3,553	<hr/> 2,807	<hr/> 3,992	<hr/> 1,185

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

	2021 Base		2021 Estimate		Increase (Decrease)	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of Privacy and Open Government						
Program Change: Centralized FOIA Record Search						
with De-duplication & Analytics Capabilities						
Pos./BA	7	1,282	9	1,752	2	470
FTE/Obl.	7	1,282	9	1,752	1	470

Centralized FOIA Record Search with De-duplication & Analytics Capabilities (+\$470, 1 FTE/2 Positions) - This will alleviate the FOIA workload within the Office of Privacy and Open Government (OPOG)

The \$0.470 million would be used for the following unfunded Freedom of Information Act (FOIA) requirements:

- Two (2) FOIA Search Analysts at \$0.220 million who would support the centralized searching of email and documents for Office of the Secretary (OS) and Immediate Office of the Secretary (IOS) offices.
- eDiscovery and records management tools to assist with the centralized searching and de-duplication of records required for responding to FOIA requests. An estimated annual cost of \$0.250 million will be associated with the selected tool.

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGE PERSONNEL DETAIL
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Privacy and Open Government
 Program Change: Centralized FOIA Record Search with De-duplication & Analytics Capabilities

Full-time permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Government Information Specialist	ZA-III	2	108,803	217,606
Total				
		<u>2</u>		<u>217,606</u>
Less Lapse	25%	<u>(1)</u>		<u>(54,402)</u>
Total Full-time permanent (FTE)		1		163,205
2021 pay Adjustment (1.0%)	1%			<u>1,632</u>
				<u>164,837</u>

Personal Data Summary

Full-Time Equivalent Employment (FTE)	1
Full-Time permanent	
Part-Time permanent	
Full-Time temporary	
Part-Time Temporary	
<u>Total FTE</u>	<u>1</u>
Authorized Positions	
Full-Time permanent	2
Part-Time permanent	
Full-Time temporary	
Part-Time Temporary	
<u>Total Positions</u>	<u>2</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Privacy and Open Government
 Program Change: Centralized FOIA Record Search with De-duplication & Analytics Capabilities

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	844	875	884	1,047	165
11.3 Other than full-time permanent		0	0		0
11.5 Other personnel compensation	8	15	15	15	0
11.8 Special personnel services payments		0	0		0
11.9 Total personnel compensation	852	890	899	1,062	165
12.1 Civilian personnel benefits	267	283	294	351	55
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	0	0	0	0	0
22 Transportation of things	0	0	0	0	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	0	0	0	0	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Communications, utilities, and misc. charges	4	3	6	6	0
24 Printing and reproduction	0	1	0	0	0
25 Other contractual services	0	0	0	0	0
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	173	28	28	278	250
25.3 Other goods and services from Federal sources	26	25	25	25	0
25.4 Operation and maintenance of facilities	74	14	14	14	0
25.5 Research and development contracts	0	0	0	0	0
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	0	0
25.8 Subsistence and support of persons	0	0	0	0	0
26 Supplies and materials	0	4	4	4	0
31 Equipment	12	12	12	12	0

32	Lands and structures	0	0	0	0	0
33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	1,408	1,260	1,282	1,752	470

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase (Decrease)	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of Security								
Program Change:	Plans, Program and Compliance	Pos./BA	7	3,720	8	3,971	1	251
	Policy Support	FTE/Obl.	7	3,720	8	3,971	1	251

Plans, Program and Compliance Policy Support (+\$251, 1 FTE/1 Positions) - This request will enhance the Office of Security (OSY) mission by providing a dedicated person to oversee the policy and management. This position will also coordinate with the Chief Information Officer (OCIO) regarding credential integration into the overall enterprise, Identity and Access Management (IAM).

The program increase will support one ZA-IV Management Analyst position. In recent years, the OSY has made significant progress in driving outcome-oriented mission essential program management by implementing consistent program management practices for policies and procedures. OSY requires one position to act as a policy/management expert to further these efforts. The added resource will ensure the application of effective program and project management tools to promote the success of ongoing, complex programs and initiatives. The added resource will also promote Departmental compliance with federal laws and directives, thereby reducing risk to Departmental personnel and assets. Further, this resource will be utilized to establish Foreign Access Management (FAM) as an official program managed within the Plans, Programs and Compliance Division (PPCD) to meet overall Departmental foreign access activities, policy, compliance, inspections, performance measures and policy support to Bureaus. This resource will manage complex FAM projects and coordinate with programs related to foreign national background investigations, risk management, and insider threat programs.

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE PERSONNEL DETAIL
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Plans, Programs and Compliance Policy Support

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Management Analyst	ZA-0343-IV	1	152,497	152,497
Total		1		152,497
Less Lapse	25%	-		(38,124)
Total Full-time permanent (FTE)		1		114,373
2021 pay Adjustment (1.0%)	1%			1,144
				115,516

Personal Data Summary

Full-Time Equivalent Employment (FTE)	1
Full-Time permanent	0
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
Total FTE	1
Authorized Positions	1
Full-Time permanent	0
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
Total Positions	1

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Plans, Programs and Compliance Policy Support

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	946	1,063	1,061	1,177	116
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	19	36	34	36	2
11.8 Special personnel services payments	15	6	6	9	3
11.9 Total personnel compensation	980	1,105	1,101	1,222	121
12.1 Civilian personnel benefits	247	295	294	329	35
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	7	50	50	55	5
22 Transportation of things	0	0	0	0	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	0	0	0	11	11
23.2 Rental payments to others	0	0	0	0	0
23.3 Communications, utilities, and misc. charges	0	12	12	16	4
24 Printing and reproduction	5	2	2	4	2
25 Other contractual services					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	1,414	1,276	1,444	1,505	61
25.3 Other goods and services from Federal sources	268	746	746	746	0
25.4 Operation and maintenance of facilities	0	0	0	0	0
25.5 Research and development contracts	0	0	0	0	0
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	0	0
25.8 Subsistence and support of persons	0	2	2	5	3
26 Supplies and materials	17	29	31	34	3
31 Equipment	7	38	38	44	6
32 Lands and structures	0	0	0	0	0

33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	<u>2,945</u>	<u>3,555</u>	<u>3,720</u>	<u>3,971</u>	<u>251</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase (Decrease)	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of General Counsel								
Program Change:	Case Management, E-Discovery	Pos./BA	0	0	0	250	0	250
	and Litigation Hold Platform	FTE/Obl.	0	0	0	250	0	250

Office of General Counsel Case Management, E-Discovery, and Litigation Hold Platform (+\$250, 0 FTE/0 Positions) - This request will alleviate the need for ad hoc discovery approaches that vary with each new litigation matter.

The Office of General Counsel (OGC) proposes the procurement and deployment of an e-Discovery platform for preserving, analyzing, and producing electronically-stored information for use in litigation and maintaining litigation holds. OGC proposes the procurement of one or more software platforms that will assist in the preservation, processing, review, analysis, and production phases. Given the diversity of missions, information repositories, and operating environments within the Department, OGC has identified these phases as the best candidates for a unified approach that will be effective without causing unnecessary disruption to program operations. Procurement of litigation hold software would significantly increase OGC’s efficiency and reduce liability risks in the preservation phase of e-Discovery. Commercially available off-the-shelf software solutions for managing litigation holds are numerous, and have an established track record of use in the legal profession. For the processing, review, analysis, and production phases, OGC proposes procurement of one or more software solutions that would allow OGC personnel to take information gathered from disparate sources, standardize its format, review it for relevance and privilege, and then produce it to opposing parties. The use of e-Discovery software solutions that have been developed over the course of the past decade, and which are now widely used in the public and private sectors, will reduce the amount of time that OGC and program personnel spend on litigation matters. A case that is document intensive can result in dozens of hours of attorney time for processing and review. At an hourly rate of \$55 to \$80 for OGC attorneys, the amount of savings possible if time spent on e-Discovery tasks is reduced is significant. These costs savings are in addition to the benefits of reduced liability exposure from discovery errors.

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of General Counsel
 Program Change: Case Management, E-Discovery and Litigation Hold Platform

Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)					
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	0	0	0	0	0
11.8 Special personnel services payments	0	0	0	0	0
11.9 Total personnel compensation	0	0	0	0	0
12.1 Civilian personnel benefits	0	0	0	0	0
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	0	0	0	0	0
22 Transportation of things	0	0	0	0	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	0	0	0	0	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Communications, utilities, and misc. charges	0	0	0	0	0
24 Printing and reproduction	0	0	0	0	0
25 Other contractual services	0	0	0	0	0
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	0	0	0	0	0
25.3 Other goods and services from Federal sources	0	0	0	0	0
25.4 Operation and maintenance of facilities	0	0	0	0	0
25.5 Research and development contracts	0	0	0	0	0
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	0	0
25.8 Subsistence and support of persons	0	0	0	0	0
26 Supplies and materials	0	0	0	0	0
31 Equipment	0	0	0	0	250

32	Lands and structures	0	0	0	0	0
33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>250</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2021
 (Dollar amounts in thousands)

		2021 Base		2021 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Office of Budget							
Program Change: Senior Budget Analyst	Pos./BA	21	3,198	22	3,388	1	190
	FTE/Obl.	21	3,198	22	3,388	1	190

Senior Budget Analyst (+\$190, 1 FTE/1 Positions) - This will centralize budget management and policy duties and provide the office with a seamless workflow.

This non-supervisory senior budget analyst (GS-15) adds one new position to the Office of Budget (OB) and centralizes budget management and policy duties, such as compiling and updating all formulation and execution data calls, updating the office’s Department Administrative Orders (DAO) and budget handbook, and ensuring the compliance of policy decisions at the direction of the administration, such as OMB Circular A-11. Additionally, this position ensures the Department complies with requirements from other federal departments such as the State Department (Foreign Assistance), the National Counter Terrorism Council, and budget scorekeeping with OMB. Finally, this position centralizes GAO requests to OB, acts as a Liaison for updating the Strategic Plan, and works with all stakeholders to complete Questions for the Record (QFR) requirements.

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE PERSONNEL DETAIL
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Budget
 Program Change: Senior Budget Analyst

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Non-Supervisory Budget Analyst	GS-15	1	152,760	152,760
Total		1		152,760
Less Lapse	25%	0		(38,190)
Total Full-time permanent (FTE)		1		114,570
2021 pay Adjustment (1.0%)	1%			1,146
				115,716

Personal Data Summary

Full-Time Equivalent Employment (FTE)	1
Full-Time permanent	0
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
Total FTE	1
Authorized Positions	
Full-Time permanent	1
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
Total Positions	1

Department of Commerce
 Departmental Management
 Salaries and Expenses
PROGRAM CHANGE DETAIL BY OBJECT CLASS
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Budget
 Program Change: Senior Budget Analyst

	Object Class	2019 Actual	2020 Enacted	2021 Base	2021 Estimate	2021 Increase/ (Decrease)
11.1	Full-time permanent (Compensation)	2,175	2,229	2,250	2,366	116
11.3	Other than full-time permanent		0	0	0	0
11.5	Other personnel compensation	29	31	28	28	0
11.8	Special personnel services payments		0	0	0	0
11.9	Total personnel compensation	2,204	2,260	2,278	2,394	116
12.1	Civilian personnel benefits	704	708	746	781	35
13	Benefits for former personnel	1	0	0	0	0
21	Travel and transportation of persons	2	7	7	7	0
22	Transportation of things	0	0	0	0	0
23	Rent, communications, and utilities	0	0	0	0	0
23.1	Rental payments to GSA	5	3	0	3	3
23.2	Rental payments to others	0	0	0	0	0
23.3	Communications, utilities, and misc. charges	2	2	2	2	0
24	Printing and reproduction	11	4	4	4	0
25	Other contractual services	0	0	0	0	0
25.1	Advisory and assistance services	0	0	0	0	0
25.2	Other services from non-Federal sources	3	11	11	32	21
25.3	Other goods and services from Federal sources	76	64	64	64	0
25.4	Operation and maintenance of facilities	0	0	0	0	0
25.5	Research and development contracts	0	0	0	0	0
25.6	Medical care	0	0	0	0	0
25.7	Operation and maintenance of equipment	0	0	0	0	0
25.8	Subsistence and support of persons	0	0	0	0	0
26	Supplies and materials	74	71	72	87	15
31	Equipment	11	14	14	14	0

32	Lands and structures	0	0	0	0	0
33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	0	0	0	0	0
44	Refunds	0	0	0	0	0
99.9	Total obligations	3,093	3,144	3,198	3,388	190

**Department of Commerce
Departmental Management
Salaries and Expenses
SUMMARY OF REQUIREMENTS BY OBJECT CLASS**
(Dollar amounts in thousands)

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
11.1 Full-time permanent (Compensation)	22,246	23,386	29,593	31,929	2,336
11.3 Other than full-time permanent	0	0		0	0
11.5 Other personnel compensation	1,543	1,278	2,165	2,170	5
11.9 Total personnel compensation	23,789	24,664	31,758	34,100	2,341
12.1 Civilian personnel benefits	7,521	8,333	10,835	11,618	783
13 Benefits for former personnel	5	3	3	3	0
21 Travel and transportation of persons	974	981	1,346	1,405	59
23.1 Rental payments to GSA	4,245	4,208	4,941	4,952	11
23.2 Rental payments to others	0	30	30	351	321
23.3 Communications, utilities, and misc. charges	658	874	1,168	1,714	546
24 Printing and reproduction	108	116	136	152	16
25.1 Consulting services	189	189	799	799	0
25.2 Other services	7,882	7,339	8,593	21,119	12,526
25.3 Purchase of goods and services from Gov't accounts	15,888	13,478	16,578	16,810	232
26 Supplies and materials	296	314	367	416	49
31 Equipment	1,135	471	626	2,697	2,071
32 Lands and structures	0	0		0	0
99 Total obligations	62,690	61,000	77,180	96,134	18,954
Less prior year recoveries	(26)				
Unobligated balance, start of year	(161)				
Unobligated balance, transferred	0				
Unobligated balance, end of year	497				
Unobligated balance, expiring	0				
Transfers from other accounts		0	0	0	
Less prior year unobligated balance		0	0	0	
Total Budget Authority	63,000	61,000	77,180	96,134	18,954
Personnel Data					
Full-time Equivalent Employment					
Full-time permanent	128	133	201	217	
Other than full-time permanent	40	40	40	40	
Total	168	173	241	257	0
Authorized Positions:					
Full-time permanent	164	145	215	232	
Other than full-time permanent	50	50	50	50	
Total	214	195	265	282	0

**Department of Commerce
Departmental Management
Salaries and Expenses
JUSTIFICATION OF PROPOSED LANGUAGE CHANGES**

FY 2021

For necessary expenses for the management of the Department of Commerce provided for by law, including not to exceed \$4,500 for official reception and representation, [~~\$61,000,000~~] *\$96,134,000*.

**Department of Commerce
Departmental Management
Salaries and Expenses
APPROPRIATION LANGUAGE AND CODE CITATION**

FY 2021

Salaries and Expenses

For expenses necessary for the Department of Commerce provided for by law.

15 U.S.C. 1501

15 U.S.C. 1501 provides that: "There shall be...the Department of Commerce, and a Secretary of Commerce, who shall be the head thereof..."
The sections which follow 15 U.S.C. 1501 establish various Assistant Secretaries and define general powers and duties of the Department.

Including not to exceed \$4,500 for official entertainment.

No Specific Authority

5 U.S.C. 5536 prohibits additional pay or allowance to employees unless the appropriation therefore specifically states that it is for the additional pay or allowance.

Department of Commerce
Departmental Management
Salaries and Expenses
ADVISORY AND ASSISTANCE SERVICES
(Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Estimate
Consulting services	189	189	799
Management and professional services	0	0	0
Special studies and analyses	0	0	0
Management and support services for research and development	0	0	0
Total	189	189	799

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 PERIODICALS, PAMPHLETS, AND AUDIOVISUAL PRODUCTS**
 (Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Estimate
Periodicals	6	6	6
Pamphlets	0	0	0
Audiovisuals	0	0	0
Total	6	6	6

**Department of Commerce
 Departmental Management
 Salaries and Expenses
 AVERAGE GRADES AND SALARIES**

	2019 Actuals	2020 Enacted	2021 Estimate
Average ES Grade	0	0	0
Average GS/GM Grade	12.00	12.40	12.40
Average GS/GM Salary	108,929	112,414	113,538
Average ZA Grade	13.00	13.40	13.40
Average ZA Salary	135,207	139,533	140,928

*Average ES Grade is not reflected for FY 19, 20, and 21 because ES Salary Table does not show grade levels (depicted as a range)

**Department of Commerce
Departmental Management
Salaries and Expenses
DIRECT COST BY OFFICE**
(Dollar amounts in thousands)

OFFICE	2019 Actuals			2020 Enacted			2021 Estimate		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Human Resources Management	10	9	1,923	10	8	1,926	13	11	2,501
Civil Rights	9	9	1,731	9	9	1,755	9	9	1,832
Financial Management	12	9	2,371	11	10	2,397	11	10	2,503
Security	27	16	7,541	22	19	8,223	23	20	13,539
Facilities and Environmental Quality	5	3	966	4	3	917	4	3	957
Acquisition Management	15	11	3,015	13	12	3,203	14	13	3,706
Office of Budget	19	18	3,092	19	18	3,144	22	21	3,957
Office of Privacy and Open Government	8	5	1,408	7	4	1,260	9	5	1,786
General Counsel	7	4	1,229	6	4	1,047	17	15	3,259
Chief Information Officer	31	23	9,474	28	26	9,364	28	26	12,077
Chief Financial Officer/Assistant Secretary for Administration	6	9	1,472	10	8	1,855	10	8	1,937
Enterprise Services	1	1	173	1	1	252	1	1	263
Executive Direction	63	51	9,226	55	51	9,419	97	93	15,862
Central Charges	1	0	19,379	0	0	16,238	0	0	16,955
Office of Space Commerce	0	0	0	0	0	0	24	22	15,000
Total Salaries & Expenses Budget Authority	214	168	63,000	195	173	61,000	282	257	96,134

**Department of Commerce
 Departmental Management
 Renovation and Modernization
 FY 2021 PROGRAM INCREASES / DECREASES / TERMINATIONS**
 (Dollar amounts in thousands)
 (By Appropriation, Largest to Smallest)

Increases

Page No.	Appropriations	Budget Program	Title of Increase	Positions	Budget Authority
DM-70	Renovation and Modernization	Operations and Administration	Equipment and Contractual Services Increase	0	77
Subtotal, Increases				0	77

Decreases

Page No.	Appropriations	Budget Program	Title of Decrease	Positions	Budget Authority
Subtotal, Decreases				0	0

Terminations

Page No.	Appropriations	Budget Program	Title of Termination	Positions	Budget Authority
Subtotal, Terminations					

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**Department of Commerce
Departmental Management
Renovation and Modernization
SUMMARY OF RESOURCE REQUIREMENTS**
(Dollar amounts in thousands)

	Positions	FTE	Budget Authority	Direct Obligations
Fiscal Year 2020, Enacted	5	5	1,000	5,266
Unobligated Balance Carry Forward Used				10,724
2021 Adjustments to Base			46	46
2021 Base	5	5	1,046	16,036
Plus: 2021 Program Changes			77	77
2021 Estimate	5	5	1,123	16,113

Comparison by activity/subactivity with totals by activity		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	5	0	5	1,000	5	1,046	5	1,123	0	77
	FTE/Obl.	5	9,902	5	5,266	5	16,036	5	16,113	0	77
TOTALS	Pos./BA	5	0	5	1,000	5	1,046	5	1,123	0	77
	FTE/Obl.	5	9,902	5	5,266	5	16,036	5	16,113	0	77
Adjustments to Obligations:											
Recoveries			(58)								
Unobligated balance, start of year			(42,124)		(32,280)		(28,014)		(28,014)		
Unobligated balance, transferred											
Unobligated balance, rescission											
Unobligated balance, end of year			32,280		28,014		13,024		13,024		
Unobligated balance, expiring											
Financing from Transfers:											
Transfer from other accounts (-)											
Transfer to other accounts (+)			-								
Appropriation			0		1,000		1,046		1,123		77

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**Department of Commerce
 Departmental Management
 Renovation and Modernization
 SUMMARY OF FINANCING
 (Dollar amounts in thousands)**

	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
Total Obligations	9,902	5,266	16,036	16,113	77
Offsetting collections from:					
Federal funds					
Trust funds					
Non-Federal sources					
Recoveries	(58)	0	0	0	0
Unobligated balance, start of year	(42,124)	(32,280)	(28,014)	(28,014)	0
Unobligated balance, transferred	0	0	0	0	0
Unobligated balance, end of year	32,280	28,014	13,024	13,024	0
Unobligated balance, expiring					
Budget Authority	0	1,000	1,046	1,123	77
Financing:					
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	0	0	0	0	0
Appropriation	0	1,000	1,046	1,123	77

**Department of Commerce
 Departmental Management
 Renovation and Modernization
 ADJUSTMENTS TO BASE
 (Dollar amounts in thousands)**

	FTE	Amount
Transfers of Estimates		
Adjustments		
Financing		0
Other Changes		0
2020 Pay Raise		22
2021 Pay Raise		5
Full-year cost in 2021 of positions financed for part-year in 2020		0
Cash Award		8
Change in compensable days		(3)
Civil Services Retirement System (CSRS)		0
Federal Employees Retirement System (FERS)		10
Thrift Savings Plan		0
Federal Insurance Contribution Act (FICA) - OASDI		1
Health Insurance		1
Employees Compensation Fund		0
Travel:		
Mileage		0
Per Diem		0
Rental payment to GSA		1
Postage		0
Printing and reproduction		0
NARA Storage & Maintenance		
Other Services		
Working Capital Fund		
Grants		
General Pricing Level Adjustments		1
Subtotal, other changes		46
Total, adjustment to base		46

**Department of Commerce
 Departmental Management
 Renovation and Modernization
 PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS**
 (Dollar amounts in thousands)

Activity: Operations and Administration

Line Item	2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration										
Pos./BA	5	0	5	1,000	5	1,046	5	1,123	0	77
FTE/Obl	5	9,902	5	5,266	5	16,036	5	16,113	0	77
Total										
Pos./BA	5	0	5	1,000	5	1,046	5	1,123	0	77
FTE/Obl	5	9,902	5	5,266	5	16,036	5	16,113	0	77

Department of Commerce
Departmental Management
Renovation and Modernization
JUSTIFICATION OF PROGRAM AND PERFORMANCE
(Dollar amounts in thousands)

Activity: Operations and Administration

Goal Statement

The Herbert C. Hoover Building (HCHB) Renovation and Modernization plan combines Department of Commerce (DOC) and General Services Administration (GSA) solutions to address major building systems that are beyond their useful life and deteriorating. The plan is a modernization project that replaces aging building systems with new, more efficient systems (i.e., fire and life safety compliance); new heating, ventilation, air-conditioning systems, and lighting systems; security improvements (perimeter security and blast-resistant windows); and recaptures space in Courtyard 6. It includes the Department's effort to improve space utilization, decrease reliance on leased space, and reduce its footprint.

Also, as part of this extensive modernization effort, a necessary element in the effectiveness of the HCHB building's physical security systems and program will be to increase the level of protection to the overall security of the building and its occupants.

Base Program

For FY 2021, DM requests \$1,123,000 for the Herbert C. Hoover Building (HCHB) Renovation and Modernization Project. Due to the nature of the renovation and modernization phases, each year this account has non-recurring construction/equipment only program costs. The base program only includes personnel related funding associated with the 5 positions.

Continued support of the positions is crucial to the operation of the renovation project. These positions (Engineering Technician, IT Project Manager, Architect, Administrative Officer, and Public Affairs Officer) perform functions such as aiding management on program operations efficiency and productivity, serving as project managers for IT and space planning, assisting with communication, and acting as the Contracting Officer's Representative (COR) for the HCHB support contracts. This support also includes rent, utilities, training, shared printing, and supplies. This mix of positions is essential to working with GSA in the planning and execution of the HCHB Renovation and Modernization Project as well as keeping the lines of communication opened between GSA and DOC.

The overall Department budget of the HCHB renovation project budget is approximately 14% of the total HCHB renovation cost. GSA provides the remainder of the funding. Even though building modernization was determined to cost more than leasing or new construction, the HCHB is an important asset in the GSA inventory and the headquarters of the Department since 1932. It is in the best interest of both agencies to renovate and maintain this historic landmark property. Any fluctuation in the Department's appropriated funding will directly affect GSA's construction schedule.

Statement of Operating Objectives

The HCHB Renovation and Modernization is a project to renovate and modernize this historic building. The objective is to create a safe, pleasant, and more energy efficient office environment for staff. The original plan was to replace all systems in the building and restore the workspaces to their original footprint. In July 2015, the Department, in conjunction with GSA, completed a 21st Century Workplace Initiative that promotes mobility, more open communications and collaboration. The funds requested for FY 2021 will enable the Department to continue its focus towards more efficient building systems (heating, ventilation, air-conditioning, and lighting), security improvements (perimeter security and blast resistant windows), and the 21st Century Workplace Initiative which will result in more efficient work spaces and place more employees in the HCHB. It also will enable the DOC to keep in lockstep with GSA’s phased funding effort to modernize the building and keep with “Making the Federal Real Estate Footprint Smaller and More Efficient.”

Explanation and Justification

Line Item		2019 Actuals		2020 Enacted		2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administrations	Pos./BA	5	0	5	1,000	5	1,046
	FTE/Obl	5	9,902	5	5,266	5	16,036

**Department of Commerce
 Departmental Management
 Renovation and Modernization
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

Activity:		2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administrations	Pos/BA	5	1,046	5	1,123	0	77
	FTE/Obl.	5	16,036	5	16,113	0	77

Contract Services and Equipment (\$77, 0 FTE/ 0 Positions) - This request will increase the account by \$77,000 for equipment and contractual services. In FY 2021, HCHB Renovation and Modernization plans to commence construction on Phase 5 using unobligated balances from prior year.

Department of Commerce
Departmental Management
Renovation and Modernization
PROGRAM CHANGE DETAIL BY OBJECT CLASS
(Direct Obligations amounts in thousands)

Activity: Operations and Administration

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
11.1 Full-time permanent compensation	694	694	719	719	
11.3 Other than full-time permanent					
11.5 Other personnel compensation	8	8	15	15	
11.8 Special personnel services payments					
11.9 Total Personnel Compensation	702	702	734	734	0
12.1 Civilian personnel benefits	212	214	226	226	
13 Benefits for former personnel					
21 Travel and Transportation of Persons	11	1	1		
22 Transportation of things					
23 Rent, Communications, and Utilities					
23.1 Rental payments to GSA	27	29	30	30	
23.2 Rental payments to Others					
23.3 Communications, Utilities, and Misc. charges	2	8	8	8	
24 Printing and Reproduction	0	2	2	2	
25 Other Contractual Services					
25.1 Advisory and Assistance Services					
25.2 Other Services from Non-Federal Sources	2,551	276	1,078	1,108	30
25.3 Other Goods and Services from Federal Sources	5,994	4,018	13,941	13,946	
25.4 Operation and Maintenance of facilities					
25.5 Research and Development Contracts					
25.6 Medical Care					
25.7 Operation and Maintenance of Equipment					
25.8 Subsistence and Support of Persons					

26 Supplies and Materials	4	4	4		
31 Equipment	399	12	12	59	47
32 Land and Structures					
33 Investments and Loans					
41 Grants, Subsidies and Contributions					
42 Insurance Claims and Indemnities					
43 Interest and Dividends					
44 Refunds					
99 Total obligations	<hr/> 9,902	5,266	16,036	16,113	77

Department of Commerce
Departmental Management
Renovation and Modernization
SUMMARY OF REQUIREMENTS BY OBJECT CLASS
(Dollar amounts in thousands)

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
11.1 Full-time permanent (Compensation)	694	694	719	719	
11.3 Other than full-time permanent					
11.5 Other personnel compensation	8	8	15	15	
11.8 Special personnel services payments					
11.9 Total personnel compensation	702	702	734	734	0
12.1 Civilian personnel benefits	212	214	226	226	
13 Benefits for former personnel					
21 Travel and transportation of persons	11	1	1	1	
22 Transportation of things					
23 Rent, communications and utilities					
23.1 Rental payments to GSA	27	29	30	30	
23.2 Rental payments to others					
23.3 Communications, utilities, and misc. charges	2	8	8	8	
24 Printing and reproduction	0	2	2	2	
25 Other contractual services					
25.1 Consulting services					
25.2 Other services	2,551	276	1,078	1,108	30
25.3 Purchase of goods and services from Gov't accounts	5,994	4,018	13,941	13,941	
25.4 Other Goods and Services from Federal Sources					
25.5 Research and development contracts					
25.6 Medical care					
25.7 Operation and maintenance of equipment					
25.8 Subsistence and support of persons					
26 Supplies and materials	4	4	4	4	
31 Equipment	399	12	12	59	47
32 Lands and structures					

33	Investments and loans					
41	Grants, subsidies and contributions					
42	Insurance claims and indemnities					
43	Interest and dividends					
44	Refunds					
99	Total obligations	9,902	5,266	16,036	16,113	77
Adjustments to Obligations:						
	Recoveries	(58)				
	Unobligated balance, start of year	(42,124)	(32,280)	(28,014)	(28,014)	
	Unobligated balance, end of year	32,280	28,014	13,024	13,024	
Financing from Transfers:						
	Transfer from other accounts (-)					
	Transfer to other accounts (+)	0				
	Total Budget Authority	0	1,000	1,046	1,123	77
Personnel Data						
	Full-time Equivalent Employment					
	Full-time permanent	5	5	5	5	
	Other than full-time permanent					
	Total	5	5	5	5	0
Authorized Positions:						
	Full-time permanent	5	5	5	5	
	Other than full-time permanent					
	Total	5	5	5	5	0

**Department of Commerce
Departmental Management
Renovation and Modernization
APPROPRIATION LANGUAGE AND CODE CITATION**

FY 2021

For necessary expenses for the renovation and modernization of the Herbert C. Hoover Building, ~~\$1,000,000~~ \$1,123,000, to remain until expended.

(Department of Commerce Appropriations Act, 2020.)

**Department of Commerce
Departmental Management
Renovation and Modernization
AVERAGE GRADES AND SALARIES**

	2019 Actuals	2020 Enacted	2021 Estimate
Average ES Grade			
Average ZA Grade	14.6	14.6	14.7
Average ZA Salary	140,241	144,728	146,175
Average ZP Grade	14.8	15.3	15.3
Average ZP Salary	147,629	152,352	153,876

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**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 FY 2021 PROGRAM INCREASES / DECREASES / TERMINATIONS**
 (Dollar amounts in thousands)
 (By Appropriation, Largest to Smallest)

Increases

Page No.	Appropriations	Budget Program	Title of Increase	Positions	Budget Authority
DM-90	Nonrecurring Expenses Fund	Operations and Administration	Continuing Implementation of the Business Application Solutions	35	17,111
Subtotal, Increases				35	17,111

Decreases

Page No.	Appropriations	Budget Program	Title of Decrease	Positions	Budget Authority
Subtotal, Decreases				0	0

Terminations

Page No.	Appropriations	Budget Program	Title of Terminations	Positions	Budget Authority
Subtotal, Terminations					

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**Department of Commerce
Departmental Management
Nonrecurring Expenses Fund
SUMMARY OF RESOURCE REQUIREMENTS**
(Dollar amounts in thousands)

Fiscal Year 2020, Enacted
2021 Adjustments to Base
2021 Base
 Plus: 2021 Program Changes
2021 Estimate

	Positions	FTE	Budget Authority	Direct Obligations
	9	7		20,000
				927
	9	7		20,927
	35	26		17,111
	44	33		38,038

**Comparison by activity/subactivity
with totals by activity**

		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	9	20,000	9	20,927	44	38,038	35	17,111
	FTE/Obl.	0	0	7	20,000	7	20,927	33	38,038	26	17,111
TOTALS	Pos./BA	0	0	9	20,000	9	20,927	44	38,038	35	17,111
	FTE/Obl.	0	0	7	20,000	7	20,927	33	38,038	26	17,111
Adjustments to Obligations:											
Recoveries											
Unobligated balance, start of year											
Unobligated balance, transferred											
Unobligated balance, rescission											
Unobligated balance, end of year											
Unobligated balance, expiring											
Financing from Transfers:											
Transfer from other accounts (-)											
Transfer to other accounts (+)											
Appropriation			0		20,000		20,927		38,038		17,111

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**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 SUMMARY OF REIMBURSABLE OBLIGATIONS**
 (Dollar amounts in thousands)

		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	9		9		44		35	
	FTE/Obl.	0	0	7	20,000	7	20,927	33	38,038	26	17,111
TOTALS	Pos./BA	0		9		9		44		35	
	FTE/Obl.	0	0	7	20,000	7	20,927	33	38,038	26	17,111

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 SUMMARY OF FINANCING
 (Dollar amounts in thousands)**

	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
Total Obligations	0	20,000	20,927	38,038	17,111
Offsetting collections from:					
Federal funds	0	0	0	0	0
Trust funds					
Non-Federal sources					
Recoveries		0			
Unobligated balance, start of year	0	0			
Unobligated balance, transferred	0	0			
Unobligated balance, end of year	0	0			
Unobligated balance, expiring	0	0			
Budget Authority	0	20,000	20,927	38,038	17,111
Financing:					
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	0	0	0	0	0
Appropriation	0	20,000	20,927	38,038	17,111

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 ADJUSTMENTS TO BASE**
 (Dollar amounts in thousands)

	FTE	Amount
Transfers of Estimates		
Adjustments		
Financing		
		0
Other Changes		
2020 Pay Raise		36
2021 Pay Raise		9
Full-year cost in 2021 of positions financed for part-year in 2020		474
Change in compensable days		(5)
Cash Award		24
Civil Services Retirement System (CSRS)		(1)
Federal Employees Retirement System (FERS)		16
Thrift Savings Plan		0
Federal Insurance Contribution Act (FICA) - OASDI		1
Health Insurance		3
Employees Compensation Fund		0
Travel:		0
Mileage		0
Per Diem		0
Rental payment to GSA		2
Postage		0
Printing and reproduction		0
NARA Storage & Maintenance		0
Other Services		0
Working Capital Fund		0
Grants		0
General Pricing Level Adjustments		368
Subtotal, other changes		927
Total, adjustment to base		927

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS**
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Business Application Solutions

Line Item	2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration										
Pos./BA	0	0	9	20,000	9	20,927	44	38,038	35	17,111
FTE/Obl	0	0	7	20,000	7	20,927	33	38,038	26	17,111
Total										
Pos./BA	0	0	9	20,000	9	20,927	44	38,038	35	17,111
FTE/Obl	0	0	7	20,000	7	20,927	33	38,038	26	17,111

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 PROGRAM AND PERFORMANCE: REIMBURSABLE OBLIGATIONS**
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Business Application Solutions

Comparison by activity	2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operations and Administration										
	Pos./BA		9		9		44		35	0
	FTE/Obl		7	20,000	7	20,927	33	38,038	26	17,111
Total										
	Pos./BA		9		9		44		35	0
	FTE/Obl		7	20,000	7	20,927	33	38,038	26	17,111

**Department of Commerce
Departmental Management
Nonrecurring Expenses Fund
JUSTIFICATION OF PROGRAM AND PERFORMANCE**
(Dollar amounts in thousands)

Activity: Operations and Administration
Subactivity: Business Application Solutions

Goal Statement

The Business Application Solutions (BAS) project's primary goal is to implement and integrate a suite of commercial off-the-shelf (COTS) administrative management systems, enterprise data warehouse (EDW) and business intelligence (BI) reporting solution, and system interfaces in a hosted environment. DOC seeks to obtain a range of support for implementing and maintaining these administrative management systems. The DOC CFO/ASA recognizes the need to continually focus on strategic alignment and management effectiveness and with this modernization, DOC will align with the ongoing emphasis placed on achieving organizational excellence and outstanding customer service (emphasized in the Department of Commerce Strategic Plan).

Base Program

The BAS project will commence Phase I Implementation Activities to support administrative management systems (financial management, acquisition, property), enterprise data warehouse and business intelligence reporting solutions across Commerce. The activities will result in the implementation of Phase I on the new integrated solution at the end of FY 2021. The FY 2021 funding request will continue the implementation of systems modernization improvements and are required to meet the Office of Management and Budget (OMB) IT mandates, address significant system and operational inefficiencies and redundancies across the Department, and resolve a lack of sufficient departmental managerial reporting capabilities. Fiscal Year 2021 will be the second year of a five year acquisition/procurement cycle.

DOC has owned and operated a custom code, locally hosted financial system for over two decades. The system and interfaces are costly to support and the system itself is outdated compared to current commercial offerings. Additionally, with the current state systems, DOC experiences higher O&M costs than similar commercial products, increased security risk and operating degradation by 2022, depleting resource pools with current system knowledge, higher cost and associated risks to comply with key federally mandated requirements and non-standard data in multiple and disparate systems. The BAS modernization effort is consistent with the President's Management Agenda to modernize agency IT infrastructure and enhancing mission effectiveness in service delivery and will reduce operations and maintenance costs significantly for DOC. Further, the BAS modernization will allow DOC to take advantage of modern commercial solutions (utilized by all other federal agencies) in a vendor hosted environment to reduce operational cost and risk. DOC plans to deploy a standard system with standard business processes across the agency (consistent with federal financial processing standards), resulting in significant improvement in processing efficiency, analytical capability, and availability of standard data. These BAS deployment objectives are consistent with CAP Goal #5, which encourages federal agencies to streamline administrative activities to reduce operational risks and increase inefficiencies.

Statement of Operating Objectives

This FY 2021 budget request will continue implementation of Phase I Implementation. This program increase continues the project with deployment of the first bureau in FY 2022.

Explanation and Justification

The Nonrecurring Expenses Fund provides funding for the implementation and deployment of Business Application Solutions.

Line Item		2019 Actuals		2020 Enacted		2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administrations	Pos./BA	0	0	9	20,000	9	20,927
	FTE/Obl	0	0	7	20,000	7	20,927

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity: Business Application Solutions	Pos/BA		9	20,927	44	38,038	35	17,111
	FTE/Obl.		7	20,927	33	38,038	26	17,111

Continuing implementation of the Business Applications Solution (including financial system, acquisition, and property systems) and preparation for deployment of the first bureau. (+\$17,111 26 FTE/35 Positions) - This request will continue implementation activities started in FY20 and supports one of the Department's top priorities. Implementation activities include: data modeling, gap remediation design and implementation, demonstration labs, application configuration, interface designing and building, data warehouse and reporting design and building, archiving solution design and building, user acceptance testing and training, data conversion design and implementation and legacy system transition support. This program increase continues the project with deployment to the first bureau in FY22. Estimates indicate that once all bureaus have been deployed, the overall cost for operations and maintenance activities will be less than current costs.

Longer term benefits of BAS and this program increase request include: improved data quality and full data transparency across financial, acquisitions, asset, travel, grants, and human resource management; enhanced data analytics with the ability to provide timely and accurate reports to both internal and external stakeholders/leaders; and improved operational efficiency through commercial solutions, standardized configurations, and streamlined business practices.

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Business Application Solutions
 Program Change: Continued Implementation of BAS

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Risk Management Analyst	ZA-IV	1	127,129	127,129
Program Management Analyst	ZA-IV	1	145,478	145,478
Change Management Analyst	ZA-IV	1	127,129	127,129
Cross Functional Specialist	ZA-IV	1	127,129	127,129
Security Specialist	ZA-IV	1	161,100	161,100
Risk Management Analyst	ZA-III	5	119,000	595,000
Program Management Analyst	ZA-III	2	119,000	238,000
Program Management Analyst	ZA-III	3	89,901	269,703
Change Management Analyst	ZA-III	5	115,000	575,000
Change Management Analyst	ZA-III	4	110,000	440,000
Change Management Analyst	ZA-III	5	89,901	449,505
Cross Functional Specialist	ZA-III	3	119,000	357,000
Security Specialist	ZA-III	3	103,305	309,915
				0
				0
Total		35	1,553,072	3,922,088
Less Lapse	25%	9		(980,522)
Total Full-time permanent (FTE)		26		2,941,566
2021 Pay Adjustment (1.0%)	1%			29,416
				2,970,982

Personnel Data Summary

Full-Time Equivalent Employment (FTE)	26
Full-time permanent	
Part-time permanent	
Full-time temporary	
Part-time temporary	
<hr/> Total FTE	<hr/> 26

Authorized Positions

Full-time permanent	35
Part-time permanent	
Full-time temporary	
Part-time temporary	
<hr/> Total Positions	<hr/> 35

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Business Application Solutions

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation		1,146	1,658	4,629	2,971
11.3 Other than full-time permanent					
11.5 Other personnel compensation			24	24	
11.8 Special personnel services payments					
11.9 Total Personnel Compensation	0	1,146	1,683	4,654	2,971
12.1 Civilian personnel benefits		325	344	1,235	891
13 Benefits for former personnel					
21 Travel and Transportation of Persons					
22 Transportation of things					
23 Rent, Communications, and Utilities					
23.1 Rental payments to GSA		95	97	500	403
23.2 Rental payments to Others					
23.3 Communications, utilities, and misc. charges		10	10	150	140
24 Printing and Reproduction					
25 Other Contractual Services					
25.1 Advisory and Assistance Services					
25.2 Other Services from Non-Federal Sources		18,374	8,741	19,698	10,957
25.3 Other Goods and Services from Federal Sources			10,000	11,538	1,538
25.4 Operation and Maintenance of facilities					
25.5 Research and Development Contracts					
25.6 Medical Care					
25.7 Operation and Maintenance of Equipment					
25.8 Subsistence and Support of Persons					
26 Supplies and Materials		14	14	86	72
31 Equipment		36	37	176	139
32 Land and Structures					
33 Investments and Loans					
41 Grants, Subsidies and Contributions					
42 Insurance Claims and Indemnities					
43 Interest and Dividends					
44 Refunds					
99.9 Total Obligations	0	20,000	20,927	38,038	17,111

Department of Commerce
Departmental Management
Nonrecurring Expenses Fund
SUMMARY OF REQUIREMENTS BY OBJECT CLASS
(Dollar amounts in thousands)

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
11.1 Full-time permanent (Compensation)		1,146	1,658	4,629	2,971
11.3 Other than full-time permanent		0	0	0	0
11.5 Other personnel compensation		0	24	24	0
11.8 Special personnel services payments		0	0	0	0
11.9 Total personnel compensation		1,146	1,683	4,654	2,971
12.1 Civilian personnel benefits		325	344	1,235	891
13 Benefits for former personnel		0	0		0
21 Travel and transportation of persons		0	0	0	0
22 Transportation of things		0	0		0
23 Rent, communications and utilities			0		0
23.1 Rental payments to GSA		95	97	500	403
23.2 Rental payments to others		0	0		0
23.3 Communications, utilities, and misc. charges		10	10	150	140
24 Printing and reproduction		0	0		0
25 Other contractual services			0		0
25.1 Consulting services		0	0		0
25.2 Other services		8,374	8,741	19,698	10,957
25.3 Purchase of goods and services from Gov't accounts		10,000	10,000	11,538	1,538
25.4 Operation of GOCOs		0	0		0

25.5	Research and development contracts	0	0		0
25.6	Medical care	0	0		0
25.7	Operation and maintenance of equipment	0	0		0
25.8	Subsistence and support of persons	0	0		0
26	Supplies and materials	14	14	86	72
31	Equipment	36	37	176	139
32	Lands and structures				0
33	Investments and loans				0
41	Grants, subsidies and contributions				0
42	Insurance claims and indemnities				0
43	Interest and dividends				0
44	Refunds				0
99	Total obligations	20,000	20,927	38,038	17,111
Less prior year recoveries					
Less prior year unobligated balance					
Total Budget Authority		20,000	20,927	38,038	17,111
Personnel Data					
Full-time Equivalent Employment					
	Full-time permanent	7	7	33	26
	Other than full-time permanent				
	Total	7	7	33	26
Authorized Positions:					
	Full-time permanent	9	9	44	35
	Other than full-time permanent				
	Total	9	9	44	35

**Department of Commerce
Departmental Management
Nonrecurring Expenses Fund
JUSTIFICATION OF PROPOSED LANGUAGE CHANGES**

FY 2021

Unobligated balances of expired discretionary funds appropriated for this or any succeeding fiscal year from the general fund of the Treasury to the Department of Commerce by this or any other Act may be transferred (not later than the end of the fifth fiscal year after the last fiscal year for which such funds are available for the purposes for which appropriated) into the Department of Commerce Nonrecurring Expenses Fund (the Fund): Provided, That this transfer authority is in addition to any other transfer authority provided in this Act: Provided further, That amounts deposited in the Fund shall be available until expended, and in addition to such other funds as may be available for such purposes, for information and business technology system modernization and facilities infrastructure improvements necessary for the operation of the Department, subject to approval by the Office of Management and Budget: Provided further, That amounts in the Fund may be obligated only after the Committees on Appropriations of the House of Representatives and the Senate are notified at least 15 days in advance of the planned use of funds: Provided further: That, in addition to amounts otherwise made available by this Act, there is appropriated \$38,038,000, to remain available until September 30, 2023, to the Fund for necessary expenses for a business application system modernization.

**Department of Commerce
 Departmental Management
 Nonrecurring Expenses Fund
 AVERAGE GRADES AND SALARIES**

	2019 Actuals	2020 Enacted	2021 Estimate
Average ES Grade			
Average GS/GM Grade		15	14.2
Average GS/GM Salary		164,200	137,593

In FY20, this program is projected to hire SES and Program Leads, while in FY 2021, this program is projected to hire Analysts.

**Department of Commerce
Departmental Management
Working Capital Fund
FY 2021 PROGRAM INCREASES / DECREASES / TERMINATIONS**

(Dollar amounts in thousands)
(By Appropriation, Largest to Smallest)

Increases

Page No.	Appropriations	Budget Program	Title of Increase	Positions	Budget Authority
DM-110	Working Capital Fund	Operations and Administration	Identity Access Management	0	4,295
DM-112	Working Capital Fund	Operations and Administration	Continuing Diagnostics and Mitigation	3	4,000
DM-115	Working Capital Fund	Operations and Administration	Office of Security Organizational Structure	3	1,474
DM-119	Working Capital Fund	Operations and Administration	Emerging Technology / Enterprise Architecture	6	1,387
DM-123	Working Capital Fund	Operations and Administration	Census Headquarters - Personnel Security Realignment	5	1,086
DM-127	Working Capital Fund	Operations and Administration	Office of Security (OSY) - Security Compliance	4	955
DM-132	Working Capital Fund	Operations and Administration	ServiceNow Portal Migration	0	687
DM-134	Working Capital Fund	Operations and Administration	NOAA Satellite Operation Facility / Pacific Rim Security	3	588
DM-138	Working Capital Fund	Operations and Administration	HCHB High Voltage Switchgear & Fire Alarm Maintenance	0	460
DM-140	Working Capital Fund	Operations and Administration	Office of Security BIS Security Support	2	421
DM-144	Working Capital Fund	Operations and Administration	Hyperion Software Upgrade	0	400
DM-146	Working Capital Fund	Operations and Administration	Hiring Support (Accountability Officer, CAPS Program Manager)	2	396
DM-151	Working Capital Fund	Operations and Administration	Security Modernization Contract Expansion for the HCHB	0	338
DM-153	Working Capital Fund	Operations and Administration	Workers Compensation Program Manager	1	187
DM-157	Working Capital Fund	Operations and Administration	E2 Solutions Travel System Enhancement	0	100
Subtotal, Increases				29	16,774

Decreases

Page No.	Appropriations	Budget Program	Title of Decrease	Positions	Budget Authority
DM-159	Working Capital Fund	Operations and Administration	Transfer Positions/FTE and Amount to DM Salaries and Expenses Account	(29)	(5,885)
DM-162	Working Capital Fund	Operations and Administration	Contractual Services, Supplies and Equipment Reduction		(11,747)
Subtotal, Decreases				(29)	(17,632)

Terminations

Page No.	Appropriations	Budget Program	Title of Termination	Positions	Budget Authority
Subtotal, Terminations					

**Department of Commerce
 Departmental Management
 Working Capital Fund
 SUMMARY OF RESOURCE REQUIREMENTS**
 (Dollar amounts in thousands)

	Positions	FTE	Budget Authority	Direct Obligations
Fiscal Year 2020, Enacted	725	626		253,106
2021 Adjustments to Base				8,110
2021 Base	725	626		261,216
Plus: 2021 Program Changes	0	(6)		(858)
2021 Estimate	725	620		260,358

Comparison by activity/subactivity with totals by activity		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	698	0	725	0	725	0	725	0	0	
	FTE/Obl.	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)
TOTALS	Pos./BA	698	0	725	0	725	0	725	0	0	
	FTE/Obl.	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)
Adjustments to Obligations:											
	Recoveries		(7,927)								
	Unobligated balance, start of year		(10,336)		(7,170)						
	Unobligated balance, end of year		7,170								
Total Reimbursable Authority			236,717		253,106		261,216		260,358		(858)

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**Department of Commerce
 Departmental Management
 Working Capital Fund
 SUMMARY OF REIMBURSABLE OBLIGATIONS**
 (Dollar amounts in thousands)

		2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/(Decrease) Over 2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	698	0	725	0	725	0	725	0	0	0
	FTE/Obl.	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)
TOTALS	Pos./BA	698		725		725		725		0	
	FTE/Obl.	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)

**Department of Commerce
 Departmental Management
 Working Capital Fund
 SUMMARY OF FINANCING**
 (Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
Total Obligations	247,810	260,276	261,216	260,358	(858)
Offsetting collections from:					
Federal funds	(247,810)	(260,276)	(261,216)	(260,358)	858
Trust funds					
Non-Federal sources					
Recoveries	(7,927)				
Unobligated balance, start of year	(10,336)	(7,170)			
Unobligated balance, transferred					
Unobligated balance, end of year	7,170				
Unobligated balance, expiring					
Budget Authority	(11,093)	(7,170)	0	0	0
Financing:					
Transfer from other accounts (-)					
Transfer to other accounts (+)					
Total Reimbursable Authority	236,717	253,106	261,216	260,358	(858)

**Department of Commerce
 Departmental Management
 Working Capital Fund
 ADJUSTMENTS TO BASE**
 (Dollar amounts in thousands)

	FTE	Amount
Transfers of Estimates		
Adjustments		
Financing		0
Other Changes		
2020 Pay Raise		2,513
2021 Pay Raise		608
Full-year cost in 2021 of positions financed for part-year in 2020		261
Cash Award		811
Change in compensable days		(383)
Civil Services Retirement System (CSRS)		(55)
Federal Employees Retirement System (FERS)		1,184
Thrift Savings Plan		16
Federal Insurance Contribution Act (FICA) - OASDI		88
Health Insurance		218
Employees Compensation Fund		0
Travel:		
Mileage		0
Per Diem		6
Rental payment to GSA		147
Postage		0
Printing and reproduction		15
NARA Storage & Maintenance		0
Other Services		
Working Capital Fund		
Grants		
General Pricing Level Adjustments		2,681
Subtotal, other changes	0	8,110
Total, adjustment to base	0	8,110

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM AND PERFORMANCE: REIMBURSABLE OBLIGATIONS**
 (Dollar amounts in thousands)

Activity: Operations and Administration

Line Item	2019 Actuals		2020 Enacted		2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operations and Administration										
Pos./BA	698		725		725		725		0	0
FTE/Obl	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)
Total										
Pos./BA	698		725		725		725		0	0
FTE/Obl	554	247,810	626	260,276	626	261,216	620	260,358	(6)	(858)

Department of Commerce
Departmental Management
Working Capital Fund
JUSTIFICATION OF PROGRAM AND PERFORMANCE
(Dollar amounts in thousands)

Activity: Operations and Administration

Goal Statement

The U.S. Department of Commerce (DOC) Working Capital Fund (WCF) was established on June 28, 1944. The WCF's mission is to provide centralized services to the Department's bureaus in the most efficient and economical manner possible. The WCF was established without fiscal year limitation. It operates as a revolving fund and does not receive a yearly appropriation from Congress. Goods and services are financed by charging operating expenses back to the customers. The overall financial goal is to remain at a breakeven position. Organizational units provide the administrative support needed to accomplish the DOC's overall mission. This mission focuses on promoting job creation, economic growth, sustainable development, and improved living standards for all Americans.

Base Program

The Secretary of Commerce is vested with managing the WCF. Department Organizational Order 10-5 delegates this responsibility to the Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA). The CFO/ASA, acting through the Office of Financial Management, monitors the financial activities of the WCF service providing offices. The services are provided by the following organizational units: The Office of Financial Management (OFM); Office of General Counsel (OGC); Executive Direction; Office of the Chief Information Officer (OCIO); Office of Human Resources Management (OHRM); Office of Civil Rights (OCR); Office of Acquisition Management (OAM); Office of Privacy and Open Government (OPOG); Office of Security (OSY); Enterprise Services (ES) and Office of Facilities and Environmental Quality (OFEQ).

- The Office of the Secretary Financial Management (OSFM) located in the Office of Financial Management (OFM) provides the financial stewardship and management of the WCF. A driving principal within the OSFM in managing the WCF is transparency. The WCF is managed throughout the year with extreme attention to operating the fund with transparency and openness. There are multiple deliverables and activities throughout the year that contribute to this theme of transparency. These include, but are not limited to, an annual WCF handbook, bureau cost estimates and variance meetings, quarterly memorandum of understanding and project breakdowns, Chief Financial Officer (CFO) Council and Departmental Management (DM) Council briefings, and periodic project and billing algorithm reviews with service providers and customer bureaus.

- The Office of General Counsel (OGC) provides legal advice to the Secretary, the Under Secretaries, the Assistant Secretaries, and other officers of the Department, including bureau heads. OGC provides guidance and services on matters involving Departmental programs and components. OGC supervises the development of the Department's legislative program and the delivery of effective legal services for the growing needs of major programs.
- Enterprise Services (ES) is the DOC's multi-function, enterprise-wide shared services program. A key focus of Enterprise Services is to ensure that customers across DOC have access to high quality mission enabling services in the core functional areas of Human Resources (HR), Acquisition, Financial Management (FM), and Information Technology (IT). The Department's Management Council (DMC) has evaluated alternative governance and service delivery models for mission enabling services and identified Enterprise Services as a best practice and effective strategy for improving these services across the Department. To build upon this work, the DMC launched the "Enterprise Services Project" in October of 2014. The Enterprise Services Project recently completed the Assessment and Design phases, which culminated in the DMC approving: (1) specific services for delivery via a new Enterprise Services model; (2) a sequencing strategy for transitioning services and customers into this new model; and (3) a robust concept of operations and implementation strategy.
- The Office of Chief Information Officer (OCIO) leads the management of information resources throughout the Department, ensuring that the Department's programs make full and appropriate use of information technology (IT). OCIO implements Government-wide and Departmental policies, programs and activities in all aspects of IT management, including IT security and provides analysis, design, development, support, and oversight of the Department's automated systems for Administration. OCIO provides Department-wide coordination and technical support for the development and operation of information technology resources, including telecommunications. In addition, OCIO manages the Department's IT security and critical IT infrastructure programs.
- The Office of Financial Management (OFM) implements policies and procedures for Departmental financial management, provides consolidated financial reporting, and develops and maintains the Commerce Business System (CBS), the Department's financial management system. OFM also provides Department-level management of travel and complete financial stewardship for all activities included in Departmental Management. OFM oversees and administers budget functions for the Office of the Secretary, manages the Department's Working Capital Fund and provides financial support and guidance Department-wide.
- The Office of Security (OSY) plans, develops, and implements policies and procedures for managing and delivering security services for the Department. OSY provides counterespionage, anti-terrorism and emergency management program support, and puts forth guidance to Departmental offices and operating units regarding security matters as they relate to the protection of personnel, facilities, property and information. Specifically, OSY establishes and enforces policies and procedures for conducting background investigations and granting security clearances; safeguarding classified and sensitive documents and information; assessing threats and determining risks to Departmental assets; and ensuring proper communications security for classified information.

- The Office of Facilities and Environmental Quality (OFEQ) provides Department-level management of real property, energy and environmental programs. OFEQ provides management of the following HCHB programs and services: publications; printing; library services; mail; messenger and distribution services; space management and use; building management including operations, maintenance, repairs, and major and minor renovations; labor services; historic preservation; and shipping/receiving.
- The Office of Human Resource Management (OHRM) implements Government-wide and Departmental policies, programs and activities in all aspects of human resources management and administration including recruitment and placement, classification, payroll support and administration, incentive awards, training and development, employee and labor relations, Department-wide oversight and evaluation of human resources management activities, unemployment and workers' compensation, employee health and safety, employee benefits and drug testing.
- The Executive Direction/Chief of Staff provides two main services: 1) The Office of Public Affairs (OPA) promotes public understanding and support of the Department's programs, services and consumer issues. OPA ensures continuity and cost-effective management of Departmental Public Affairs programs. Furthermore, OPA acts as the primary point of contact on Departmental issues for the White House and Federal departments and agencies; and 2) The Executive Protection Unit, which provides for the physical protection of the Secretary of Commerce and/or designees; and operational support for the Executive Protection Unit.
- The Office of Acquisition Management (OAM) develops, coordinates, and maintains the Department's acquisition regulations, policies and procedures. OAM, whose director serves as the DOC's Senior Procurement Executive delivers, maintains, and approves DOC-wide or bureau-specific automated procurement support and serves as the focal point for the collection and reporting of acquisition information. OAM develops and maintains DOC-wide acquisition management and performance measurement programs, evaluates and compares contracting office performance against stated goals, and advises the Assistant Secretary for Administration on goal achievements. OAM also serves as the Department of Commerce's primary office for all issues relating to organizational performance and risk management.
- The Office of Civil Rights (OCR) develops and manages the Department's Equal Employment Opportunity (EEO) policies and programs. OCR conducts discrimination complaint investigations and adjudications, and provides equal employment opportunity program support and affirmative action program support to selected operating units.
- The Office of Privacy and Open Government (OPOG) develops and manages Departmental compliance with privacy policies as per the Privacy Act of 1974, the E-Government Act of 2002, and the Federal Information Security Management Act. It also coordinates the Department's response to incidents involving personally identifiable information, administers the Departmental Freedom of Information Act program, administers and coordinates the Departmental transparency and Open Government activities, manages the Department's numerous Federal Advisory Committee Act advisory committees, and manages the Department's directives system and relevant Executive Orders that are used to prescribe the basic management structure and organizational arrangements of the Department.

Statement of Operating Objectives

The Working Capital Fund (WCF) provides administrative oversight and operational support to ensure effective management of fiscal resources and business processes by which the Department carries out its mission. The WCF is managed throughout the year with extreme attention to operating the fund with transparency, openness and a high level of customer support.

Explanation and Justification

The WCF provides administrative oversight and operational support to deliver centralized shared services to the Department's bureaus in the most efficient and economic manner possible.

Line Item		2019 Actuals		2020 Enacted		2021 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administrations	Pos./BA	698		725		725	
	FTE/Obl	554	236,717	626	253,106	626	261,216

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE FOR 2021**
(Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Enterprise Services	Pos/BA						0
Program Change:	Identity Access Management	FTE/Obl.	0	0		4,295		4,295

Identity Access Management (\$4,295, 0 FTE/ 0 Positions) - Identity Access Management (IAM) is a security discipline that enables secure, timely, and precise access to enterprise resources. IAM is a cross-functional administrative area that ensures the proper people in an enterprise have the appropriate access to technology resources. IAM ensures compliance with HSPD-12, a strategic initiative intended to enhance security, increase government efficiency, reduce identity fraud, and protect personal privacy, as well as OMB M-11-11; OMB M-18; OMB M-05-24; NIST 800-53 and NIST 800-63. A centralized IAM solution will provide an enterprise-wide, authoritative source of identity information for all DOC employees. This will provide the Department with:

- Centralized and synchronized user attributes across DOC authoritative systems via a virtual directory to enable effective data sharing
- An improved employee experience by enabling simplified single sign-on authentication for DOC employees to access enterprise applications that currently require multifactor authentication
- Synchronized external sources of identity and credential data, such as USAccess and HR Connect to verify and aggregate employee data
- Elevated administrative privileges for better user monitoring and managing users

Accomplishing these stated goals will provide DOC with the following benefits:

- Achieve HSPD-12 and FICAM compliance
- Enforce NIST security controls and protect high-value assets from fraud
- Improve the Department’s cybersecurity posture via a security monitoring tool that allows active, real-time monitoring for threats, vulnerabilities and contractor access across DOC
- Create a unique digital identity for every DOC user to alleviate multiple user accounts
- Reduce or eliminate waste from abandoned or duplicate accounts
- Provide a cost-effective approach for PIV-enabling mobile devices
- Leverage and/or integrate with the departmental Continuous Diagnostic and Mitigation (CDM) Master User Record (MUR) solution.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Enterprise Services
 Program Change: Identity Access Management

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation					0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	0	0
12.1 Civilian personnel benefits					0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA					0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges					0
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources				4,295	4,295
25.3 Other Goods and Services from Federal Sources					0
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials					0
31 Equipment					0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	0	0	0	4,295	4,295

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Chief Information Officer	Pos/BA	4		7		3	0
Program Change:	Continuing Diagnostics and Mitigation	FTE/Obl.	4	8,633	6	12,633	2	4,000

Continuing Diagnostics and Mitigation (+\$4,000, 2 FTE/ 3 Positions) - This request will meet the requirements of the CDM program as defined by DHS and OMB to ensure the Agency dashboard is implemented and serve as a useful tool in helping to assess the cyber security posture of the Department, by providing funding for the additional cost of CDM Phase 2 software licenses, anticipated cost increases for Phase 1 software and hosting renewals, and three additional personnel to manage the program.

The CDM program fits into DOC’s strategic plan by contributing to Strategic Objective 3.2 – Enhance the Nation’s Cybersecurity – by providing the government with robust technical standards and toolsets to deal with varying cybersecurity challenges posed by both state and non-state actors, and convening federal and private stakeholders to drive cybersecurity best practices and protect high value data and network infrastructure assets. The CDM program is a multi-phased, mandatory Department of Homeland Security program and the Department’s #1 cybersecurity priority. The program provides DOC and other Federal Agencies with capabilities and tools to help identify cybersecurity risks on an ongoing basis, prioritize these risks based on potential impacts, and enable cybersecurity personnel to mitigate the most significant problems first. Moreover, the program provides situational awareness to senior decision makers by feeding near real- time data into Agency and Federal dashboards that are managed by DHS and OMB.

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Chief Information Officer
 Program Change: Continuing Diagnostics and Mitigation

Full-Time Permanent

Title	Grade	Number	Annual Salary	Total Salaries
IT Specialist/Technical Support	13	2	129,000	258,000
Program Manager	15	1	167,000	167,000
				0
				0
				0
				0
				0
				0
				0
Total		3	296,000	425,000
Less Lapse		0.75		(106,250)
Total Full-time permanent (FTE)		2		318,750
2021 Pay Adjustment (1.0%)				3,188
				321,938

Personnel Data Summary

Full-Time Equivalent Employment (FTE)	2
Full-time permanent	
Part-time permanent	
Full-time temporary	
Part-time temporary	
Total FTE	2

Authorized Positions

Full-time permanent	3
Part-time permanent	
Full-time temporary	
Part-time temporary	
Total Positions	3

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Chief Information Officer
 Program Change: Continuing Diagnostics and Mitigation

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	120	300	300	622	322
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	120	300	300	622	322
12.1 Civilian personnel benefits	24	60	60	157	97
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	2	7	7	15	8
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA	12	35	35	70	35
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	4	12	12	24	12
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	6,266	8,023	8,183	11,680	3,497
25.3 Other Goods and Services from Federal Sources	7	21	21	36	15
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	1	3	3	9	6
31 Equipment	4	12	12	20	8
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	6,440	8,473	8,633	12,633	4,000

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	26		29		3	0
Program Change:	Organizational Structure	FTE/Obl.	26	5,014	28	6,488	2	1,474

Organizational Structure (\$1,474, 2 FTE/ 3 Positions) - The Department's security footprint extends nationwide and overseas, and encompasses more than 650 domestic and 20 outside embassy control (ITA) facilities that are managed by dedicated OSY staff at the HCHB, NTIA (FirstNet), NOAA, NIST, BEA and Census Headquarters along with other security offices in Seattle, Washington; Jeffersonville, Indiana; and Boulder, Colorado. Overall, Security Programs assist with protection of people, property and information that is classified/ sensitive to protect national interest. Security policy leadership and services that are delivered throughout the Department and vary by location, but always include expert advice and guidance to operating unit officials. Funds will be used to recruit three FTE: (1) One SES Security Specialist, to serve as Deputy Director, Client Security Services to lead Bureau specific field office programs; (2) One Senior Level Security Specialist to lead the Information Security program; (3) and one Security Specialist to lead Emergency Management Team. Requirements include one cleared contractor for delivery of program management support to Continuity and Emergency polices, plans, and processes to the Bureaus. Further, this resource will help establish more robust project portfolio management capabilities and ingrain technical project management tools, techniques and processes to more efficiently plan, implement, monitor and assess the effectiveness of Continuity and Emergency programs, and a contract for the procurement and deployment of a Department-wide ENS. Preventing threats from undermining the security posture of the Department is key for the Department to execute its mission to the American people. Serious threats to national security are evolving quickly. These risks require priority attention to ensure that current controls address specific risks that would result in compromise of information and facilities resulting in financial impact, serious injury, damaged reputation for the Department, and/or failure to reach strategic goals. Responsibility of these positions crosses all security disciplines and serves to assist with protection of Department assets, compliance with oversight standards, and emergency preparedness/recovery from loss. This request supports closing gaps in span of control, improves accountability, and creates a more efficient network for faster communications that enable better decision making. In addition, this request provides added supervisory support for a more strategic approach to identify, assess, and manage the increasing workload in critical programs. This request will contribute to the effectiveness and readiness of Continuity and Emergency Management programs and ensure that policies, plans, and execution meet Presidential and National Security Policy.

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Organizational Structure

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Security Specialist	ES-00	1	221,426	221,426
Security Specialist	ZA-0080-V	1	177,248	177,248
Emergency Management Specialist	ZA-0080-IV	1	151,137	151,137
				0
				0
				0
				0
				0
				0
Total		3	549,811	549,811
Less Lapse		25%		(137,453)
Total Full-time permanent (FTE)		2.25		412,358
2021 Pay Adjustment (1.0%)		1%		4,124
				416,482

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 2
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>2</u>
<u>Authorized Positions</u>	
Full-time permanent	3
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>3</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Organizational Structure

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	2,430	2,850	2,850	3,266	416
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	33	62	62	73	11
11.8 Special personnel services payments	103	103	103	103	0
11.9 Total Personnel Compensation	2,566	3,015	3,015	3,442	427
12.1 Civilian personnel benefits	810	1,021	1,021	1,145	124
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	25	26	26	34	8
22 Transportation of things	2	2	2	2	0
23 Rent, Communications, and Utilities	219	219	219	253	34
23.1 Rental payments to GSA					0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	122	124	127	139	12
24 Printing and Reproduction	1	1	1	1	0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	164	404	412	1,165	753
25.3 Other Goods and Services from Federal Sources	173	173	176	281	105
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	5	5	5	8	3
31 Equipment	10	10	10	18	8
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	4,097	5,000	5,014	6,488	1,474

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Chief Information Officer	Pos/BA	5		11		6	0
Program Change:	Emerging Technology/Enterprise Architecture	FTE/Obl.	5	982	10	2,369	5	1,387

Emerging Technology / Enterprise Architecture (\$1,387, 5 FTE/ 6 Positions) - This request will provide resources to the Department of Commerce's Emerging Technology/ Enterprise Architecture to bring this program in compliance with the GAO, OMB and statutory requirements pertaining to investment management, investment planning and Enterprise Architecture for all federal information technology investments, programs and projects. Specifically, these resources will provide for the development and implementation of a plan to address GAO recommendations from GAO-12-791 "Enterprise Architecture Value Needs to Be Measured and Reported" published: Sep 26, 2012, and recommendations from GAO-14-65 "Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings" published Nov 6, 2013. Specifically, GAO recommended the Commerce CIO should reflect 100 percent of information technology investments in the department's enterprise architecture. Today, the Department of Commerce employs an ad hoc investment strategy and architecture approach that defers investment and architectural control to its bureaus. In many cases, the bureaus defer the investment and architecture control to their subordinate programs and business units. This approach empowers programs and business units by providing maximum flexibility as they seek to automate their business functions. However, over time, this approach has led to a highly duplicative portfolio of capabilities, proliferation of technologies, and typical stove pipe solutions. The current portfolio requires an inordinate percentage of the IT budget to simply maintain operations. As a result, the Department is hard-pressed to fund the initiatives necessary to improve the overall application portfolio through mature investment and architecture best practice. This investment will develop the strategy and governance to identify and provide guidance to reduce duplication to drive cost savings and increase security.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Chief Information Officer
 Program Change: Emerging Technology/Enterprise Architecture

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
EA - Senior Architect	15	2	167,000	334,000
CPIC Analyst	14	1	153,000	153,000
CPIC Senior Analyst	15	1	167,000	167,000
CITRB Program Manager	15	2	167,000	334,000
				0
				0
				0
				0
				0
Total		6	654,000	988,000
Less Lapse		25%		(247,000)
Total Full-time permanent (FTE)		5		741,000
2021 Pay Adjustment (1.0%)		1%		7,410
				748,410

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 5
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>5</u>
<u>Authorized Positions</u>	
Full-time permanent	6
Part-time permanent	
Full-time temporary	
Part-time temporary	
Total Positions	<u>6</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Chief Information Officer
 Program Change: Emerging Technology/Enterprise Architecture

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	735	735	735	1,483	748
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	735	735	735	1,483	748
12.1 Civilian personnel benefits	247	247	247	471	224
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA				150	150
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges				28	28
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources				190	190
25.3 Other Goods and Services from Federal Sources				21	21
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials				9	9
31 Equipment				17	17
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	982	982	982	2,369	1,387

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	12		17		5	0
Program Change:	Census Headquarters- Personnel Security Realignment	FTE/Obl.	12	1,966	16	3,052	4	1,086

Census Headquarters - Personnel Security Realignment (+\$1,086, 4 FTE/ 5 Positions) - This program serves to protect personnel, facilities, and information by establishing and maintaining security services for Census Bureau facilities and programs in the Washington, D.C. area. This request is to realign five FTE from the Census Investigative Services (CIS) operations office to the Office of Security Working Capital Fund Project 0141 to reincorporate personnel security activities for the Census Bureau within the OSY organization. The 5 realigned FTE will support Census Bureau personnel security activities, including processing and adjudicating investigations at all levels for Census unclassified contractors, guest workers, research associates, consultants and other special sworn status employees; processing investigations for Census employees—high risk, moderate risk and moderate Information Technology; and, processing National Security positions. Funds will be reallocated from the Census Bureau to the WCF to support the realigned personnel. The alignment of these positions directly affects OSY’s ability to provide adequate oversight, internal control and processing capability of critical security support services for the Census Bureau. These positions directly influence time sensitive efforts to onboard new personnel and control the integrity of persons who have access to sensitive and critical sensitive Department systems and information. Without realigned support, the Department is at risk to miss hiring goals, and the security posture of the Department is weakened and more open to attack. In addition, without this request, the Department is at risk to ensure that needs are met in accordance with law, regulation and policy as reported to the Office of the Inspector General and other compliance enforcement activities. The objective is to improve efficiencies and accountability by consolidating security processing of employees into an organizational unit under the direct oversight and review of OSY. This initiative will be beneficial for the Department since these FTE will have the advantage of a closer alignment to OSY and the OSY headquarters Information and Personnel Security (IPSD) Division to ensure consistent application of management practices, sharing of ideas for improved processing capabilities, and transfer of institutional knowledge.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Census Headquarters - PERSEC Realignment

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Security Specialist	ZA-0080-IV	1	151,137	151,137
Security Specialist	ZA-0080-III	4	106,922	427,688
				0
				0
				0
				0
				0
				0
				0
Total		5	258,059	578,825
Less Lapse	25%	1.25		(144,706)
Total Full-time permanent (FTE)		3.75		434,119
2021 Pay Adjustment (1.0%)	1%			4,341
				438,460

Personnel Data Summary

Full-Time Equivalent Employment (FTE)	4
Full-time permanent	
Part-time permanent	
Full-time temporary	
Part-time temporary	
<hr/> Total FTE	<hr/> 4

Authorized Positions

Full-time permanent	5
Part-time permanent	
Full-time temporary	
Part-time temporary	
<hr/> Total Positions	<hr/> 5

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Census Headquarters - PERSEC Realignment

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	1,154	1,154	1,154	1,592	438
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	43	43	43	64	21
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	1,197	1,197	1,197	1,656	459
12.1 Civilian personnel benefits	373	373	373	504	131
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	24	24	25	40	15
22 Transportation of things	2	2	2	2	0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA				69	69
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges					0
24 Printing and Reproduction	2	2	2	22	20
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	254	254	260	492	232
25.3 Other Goods and Services from Federal Sources	70	70	71	195	124
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	19	19	19	31	12
31 Equipment	17	17	17	41	24
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	1,958	1,958	1,966	3,052	1,086

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	26		30		4	0
Program Change:	Security Compliance	FTE/Obl.	26	5,014	29	5,969	3	955

Security Compliance (+\$955, 3 FTE/ 4 Positions) - This project establishes and maintains the Department’s security policy and programs to implement existing Executive Orders, Public Laws, and other security-related government regulations. In general, OSY programs under this project govern protection of people, property, mission, and information. A compliance review program that provides project management and compliance oversight support to enable OSY to perform risk mitigation functions more efficiently is another aspect of this project. These risk mitigation functions include providing policies and operational support for Physical and Overseas Security; conducting various risk assessments; providing operational services; assisting bureau managers and other key stakeholders in mitigating their security risk; and, in coordination with the Office of the Chief Information Officer, sharing in the implementation of Homeland Security Presidential Directive 12 (HSPD-12) by carrying out efforts related to Personal Identity Verification I (PIV-I). The Department remains under scrutiny from customers and external auditing and compliance organizations related to policy, training, and internal controls. OSY is requesting 4 FTE.

Policy/Training (1 FTE) - One Security Specialist, to manage Department-wide client and security specialist training and development, and security/emergency management policies. Policies include DOOs, DAOs, Security Manual (40+ chapters and 3 new unwritten chapters), official memoranda guidance, Standard Operating Procedures, official forms, website content, and presentations/briefings. Managing OSY training programs would ensure greater consistency and improved customer service. Without added support, the Security Manual and other OSY policies will not serve as effective authority at the Department, thus resulting in inconsistent program implementation throughout the bureaus. The Department risks liability with potentially untrained personnel in security and safety, as well as outdated policies to protect people, information, and property.

Foreign Access Management (FAM) (1 FTE) - One Security Specialist to minimize the identified foreign access risks to the Department. OSY will establish FAM as an official program managed within the Plans, Programs and Compliance Division to apply the appropriate resources to non-financial internal controls, and program management to the overall Departmental foreign access activity, including policy, compliance, inspections, performance measures and support to the Bureaus. If not funded, the strides that OSY has made toward a centralized and consistent FAM program will suffer and compliance with federal standards and strategic goals may not be met.

Physical Security (2 FTE) – (1) One Security Specialist as a subject matter expert on countermeasures, such as enterprise integration of Electronic Security Systems (PACS, IPVS, IDS) to oversee the development and implementation of Physical Security Standards and support the Department Facility Security Assessments program with threat analysis. (2) One Security Specialist as a subject matter expert for the HSPD-12 credentialing program and to interface with Department Chief Information Officer personnel related to Federal Identity Credentialing & Access Management (FICAM) programs. Without added support, non-compliance with Office of Management and Budget credentialing and access control implementation requirements (including policy) will create significant vulnerabilities to Department operations, facilities, and personnel. As in all security disciplines, incidents related to non-compliance lead to special inquiries or reviews from Congressional committees, the Government Accountability Office, Office of the Inspector General, and the Associated Press.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Security Compliance

Full-Time Permanent

Title	Grade	Number	Annual Salary	Total Salaries
Security Specialist	ZA-0080-IV	4	151,137	604,548
				0
				0
				0
				0
				0
				0
				0
				0
				0
Total		4	151,137	604,548
Less Lapse		1		(151,137)
Total Full-time permanent (FTE)		3		453,411
2021 Pay Adjustment (1.0%)				4,534
				457,945

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 3
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>3</u>

<u>Authorized Positions</u>	
Full-time permanent	4
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>4</u>

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct Obligations amounts in thousands)

Activity: Operations and Administration
Subactivity: Office of Security
Program Change: Security Compliance

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	2,430	2,850	2,850	3,308	458
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	33	62	62	62	0
11.8 Special personnel services payments	103	103	103	103	0
11.9 Total Personnel Compensation	2,566	3,015	3,015	3,473	458
12.1 Civilian personnel benefits	810	1,021	1,021	1,158	137
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	25	26	26	38	12
22 Transportation of things	2	2	2	2	0
23 Rent, Communications, and Utilities	0				0
23.1 Rental payments to GSA	219	219	219	265	46
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	122	124	127	151	24
24 Printing and Reproduction	1	1	1	1	0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	164	404	412	624	212
25.3 Other Goods and Services from Federal Sources	173	173	176	206	30
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	5	5	5	17	12
31 Equipment	10	10	10	34	24
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	4,097	5,000	5,014	5,969	955

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Enterprise Services	Pos/BA	14		14			0
Program Change:	ServiceNow Portal Migration	FTE/Obl.	14	7,594	14	8,281		687

ServiceNow Portal Migration (\$687, 0 FTE/ 0 Positions) - Migrating the Enterprise Services (ES) Portal architecture from two ServiceNow (SNow) instances administered by separate vendors to a centralized ServiceNow Portal will result in immediate cost savings by removing duplicative development between the two SNow instances. The migration also fulfills ES’s vision and strategic plan for growth and scalability by providing an architecture that allows the Portal to support additional Human Resources, Acquisition, Information Technology, and Financial Management operations. The major deliverable from this effort will be an integrated ES SNow Platform with a reduced risk of service delays, significantly improved customer experience, better architecture, and optimal system functionality.

ES will measure the success of the new centralized SNow Portal by the reduced cost of duplicative activities the organization would confront without this initiative. An added benefit will be fewer development errors since the SNow Portal would be integrated and administered with a single source of code and best practices. The table below highlights expected cost avoidance as a result of removing the need for the duplicative development activities.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Enterprise Services
 Program Change: ServiceNow Portal Migration

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	2,407	2,453	2,502	2,502	0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	55	55	55	55	0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	2,462	2,508	2,557	2,557	0
12.1 Civilian personnel benefits	820	828	830	830	0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	46	46	46	46	0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA	269	269	269	269	0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	297	297	297	297	0
24 Printing and Reproduction	4	4	4	4	0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	3,144	3,114	3,207	3,894	687
25.3 Other Goods and Services from Federal Sources	280	280	280	280	0
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	40	40	40	40	0
31 Equipment	60	64	64	64	0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	7,422	7,450	7,594	8,281	687

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	10		13		3	0
Program Change:	NOAA Satellite Operations Facility/Pacific Rim	FTE/Obl.	10	1,644	12	2,232	2	588

National Oceanic and Atmospheric Administration (NOAA) Satellite Operations Facility (NSOF)/Pacific Rim (+\$588, 2 FTE/ 3 Positions) - NOAA has a diverse mission. Its security programs are ever-evolving and represent the largest Department portfolio in terms of range of security mission (ships, planes, satellites, secure facilities), number of personnel, and location of facilities. The program has a dedicated security director responsible for providing strategic vision to the OSY staff and engaging NOAA leadership to minimize risk and address the multitude of security threats. Overall, these projects assist with protection of people, property, and information that is classified/sensitive to protect the national interest. Services vary by location but always include expert advice and guidance to operating unit officials. This request is for one Security Specialist to provide onsite security support for the NSOF program (736 personnel) for OSY policy promulgation, personnel and physical security program management support, and coordination with the Headquarters security office. New satellite programs (GOES-R and JPSS), recent physical security events at NSOF, and the operation of a 24/7 classified area have increased the security risk level, thus requiring more visibility of security program management in the National Capital Region. This request is also for one Security Specialist based in Honolulu, Hawaii, for the IRC/Pacific where there are 601 federal tenants. This specialist will provide security oversight as Contracting Officer Representative (COR) for the existing guard contracts and security expertise with responsibility for: managing Foreign National visitors; processing personnel security packages; ensuring the effective protection of classified National Security Information; and providing security education. The Marine Operations Center Pacific (MOC-P) and NMFS Newport Research Station located in Newport, Oregon, is one of two NOAA Corps fleet concentration areas. Although the site currently has 212 assigned personnel, it has an additional transient population not accounted for including NOAA Corps Officers, civilians, wage grade mariners, and other contractors who support the mission. This population requires recurring security support with eQip processing and other personnel grade mariners and other contractors who support the mission. This population requires recurring security support with eQip processing and other personnel security functions that the Western Region Security Office (WRSO) currently provides, but they are geographically separated by approximately a six-hour drive. This request is for one Security Specialist based in Newport, Oregon. The position will remain under the auspices of the WRSO Supervisory Security Specialist but provide on-site security service. The position will provide security oversight with responsibility for: serving as Contracting Officer Representative of the existing contract guard contract; managing Foreign National visitors to the MOC-P and NMFS Newport Research Station; processing personnel security packages for OMAO and for the NMFS Newport; managing security education; and ensuring the effective protection of classified National Security Information.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: NOAA NSOF/Pacific Rim/MOC-P Security Support

Full-Time Permanent

Title	Grade	Number	Annual Salary	Total Salaries
Security Specialist - NSOF	ZA-0080-I	1	151,137	151,137
Security Specialist - OR	ZA-0080-I	1	102,744	102,744
Security Specialist - HI	ZA-0080-I	1	99,372	99,372
				0
				0
				0
				0
				0
				0
				0
Total		3	353,253	353,253
Less Lapse		25%		(88,313)
Total Full-time permanent (FTE)		2.25		264,940
2021 Pay Adjustment (1.0%)		1%		2,649
				267,589

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 2
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>2</u>
<u>Authorized Positions</u>	
Full-time permanent	3
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>3</u>

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: NOAA NSOF/Pacific Rim/MOC-P Security Support

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	818	818	818	1,086	268
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	38	38	38	50	12
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	856	856	856	1,136	280
12.1 Civilian personnel benefits	281	281	281	361	80
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	58	60	60	68	8
22 Transportation of things	1	1	1	1	0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA				35	35
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	5	5	5	17	12
24 Printing and Reproduction	1	1	1	1	0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	346	346	354	360	6
25.3 Other Goods and Services from Federal Sources	64	64	65	214	149
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	15	15	15	21	6
31 Equipment	6	6	6	18	12
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	1,633	1,635	1,644	2,232	588

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021**
 (Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Facilities and Environmental Quality	Pos/BA	31		31		0	0
Program Change:	HCHB High Voltage Switchgear & Fire Alarm	FTE/Obl.	31	6,160	31	6,620	0	460

HCHB High Voltage Switchgear & Fire Alarm Maintenance (+\$460, 0 FTE/ 0 Positions) - GSA has delegated the full operation, maintenance, and emergency response for all Electrical Switchgear and Fire Alarm systems in the HCHB, starting in FY21. No funds are being transferred from GSA for these new delegated tasks. Mandatory life safety and code compliance contract maintenance and emergency response are required for these systems to keep the HCHB habitable.

This increase will fund mandated code compliance and provide 24/7/365 emergency response for fire alarm activations and power outages. Without the required test, inspection maintenance, repair, and emergency response, the HCHB would not be legally allowed to be occupied. Inadequate maintenance of the HCHB Fire Alarm system will result in an increase in false alarms and slow response to activations, thus increasing the life safety risk to occupants. Failure to properly maintain the HCHB low and high voltage switchgear will result in failure of critical electrical distribution systems, thus rendering sections of the building uninhabitable for extended periods of time.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Facilities and Environmental Quality
 Program Change: HCHB High Voltage Switchgear & Fire Alarm

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	2,253	2,253	2,253	2,253	0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	163	163	163	163	0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	2,416	2,416	2,416	2,416	0
12.1 Civilian personnel benefits	861	861	861	861	0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things	2	2	2	2	0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA	81	81	81	81	0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	40	40	41	41	0
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	1,662	1,662	1,695	2,155	460
25.3 Other Goods and Services from Federal Sources	893	893	911	911	0
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	116	116	118	118	0
31 Equipment	34	34	35	35	0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	6,105	6,105	6,160	6,620	460

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	-		2		2	0
Program Change:	BIS Security Support	FTE/Obl.	-		2	421	2	421

BIS Security Support (+\$421, 2 FTE/ 2 Positions) - This program requests funding to establish and maintain security services for the Bureau of Industry and Security (BIS) programs in the Washington, D.C. area. This request is for 2 Security Specialists to provide advice and technical assistance to further the goals of the BIS Security Program. The goal is to strengthen the Department’s security posture and fits into the Strategic Plan by contributing to Strategic Goal 5 to deliver customer centric service excellence by focusing on applying consistent security policies and practices to provide a safe environment for Department employees to deliver services to the American people. This request will help to prevent threats from undermining the Department’s security posture and enable the Department to execute its mission for the American people. Serious threats to national security are evolving quickly. These risks require priority attention to ensure that current controls address specific risks that would result in compromise of information and facilities, thus resulting in financial impact, serious injury, damaged reputation for the Department, and/or failure to reach strategic goals. These positions’ responsibilities cross all security disciplines and serve to assist BIS directly with the protection of Department assets, compliance with oversight standards, and emergency preparedness/recovery from loss. OSY dedicated Bureaus direct support for BIS Security Programs to assist with the protection of people, property, and information that is classified/sensitive to protect the national interest. This support includes Personnel Security; Physical Security (protection of facility and Government assets); Information Security (protection of classified information); Communication Security (secure communications); and tracking of interns, contractors, and foreign national visitors.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: BIS Security

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Security Specialist	ZA-0080-IV	1	151,137	151,137
Security Specialist	ZA-0080-III	1	106,922	106,922
				0
				0
				0
				0
				0
				0
				0
Total		2	258,059	258,059
Less Lapse		0		(64,515)
Total Full-time permanent (FTE)		2		193,544
2021 Pay Adjustment (1.0%)				1,935
				195,480

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 2
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>2</u>

<u>Authorized Positions</u>	
Full-time permanent	2
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>2</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: BIS Security Support

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation				195	195
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	195	195
12.1 Civilian personnel benefits				58	58
13 Benefits for former personnel					0
21 Travel and Transportation of Persons				5	5
22 Transportation of things					0
23 Rent, Communications, and Utilities				23	23
23.1 Rental payments to GSA					0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges				8	8
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources				41	41
25.3 Other Goods and Services from Federal Sources				80	80
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials				4	4
31 Equipment				7	7
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	0	0	0	421	421

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021**
 (Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Financial Management	Pos/BA	0		0		0	0
Program Change:	Hyperion Software Upgrade	FTE/Obl.	0	107	0	507	0	400

Hyperion Software Upgrade (+\$400, 0 FTE/ 0 Positions) - This Office of Financial Management request will allow the DOC to upgrade to the updated version of Hyperion from the current version of Hyperion used by OFM (11.1.2.4). Hyperion is used to create the Department of Commerce’s consolidated financial statements as required by the CFO Act and in accordance with OMB A-136 requirements. Hyperion is also used to complete annual reporting requirements to Treasury for use in the completion of the Governmentwide Financial Statements. Oracle has announced that they will stop providing premier support, which includes defect fixing, third party certification updates, and enhancements to Hyperion version 11.1.2.4 in December 2020. This puts the Department at risk of losing data due to system glitches or errors occurring in the current version of Hyperion, which could prevent the Department from completing Financial Reporting deliverables in accordance with statutory deadlines. The increased funding will be used to obtain contract support to offer deployment and transition support from the current version of Hyperion 11.1.2.4 to a newer version of an on-premises or cloud-hosted Hyperion.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Financial Management
 Program Change: Hyperion Software Upgrade

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation					0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	0	0
12.1 Civilian personnel benefits					0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA					0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges					0
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	101	101	107	507	400
25.3 Other Goods and Services from Federal Sources					0
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials					0
31 Equipment					0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	101	101	107	507	400

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Human Resources Management	Pos/BA	-		2		2	0
Program Change:	Hiring Support	FTE/Obl.	-		2	396	2	396

Hiring Support (Accountability Officer, CAPS Program Manager)

Accountability Officer (+\$187, 1 FTE/ 1 Positions) - This request will support the DOC Human Capital Independent Audit Program (HCIAP) by providing increased emphasis on auditing the efficiency and effectiveness of human capital programs, which is required by 5 CFR 250.204. Currently, the audit program is mainly focused on regulatory and policy compliance. With an emphasis on efficiency and effectiveness assessments, the Department can identify opportunities to provide increased value in our human capital programs. Examples of assessments include comparing the results of using different hiring methods (competitive, excepted service, direct hire, and merit promotion); identifying trends for separations of new employees (less than 3 years); and analyzing the usefulness of different individual/group award programs.

CAPS Program Manager (\$209, 1 FTE/1 Position) This request will fulfill a critical mission support need by providing a designated program manager for the Commerce Alternative Personnel System (CAPS) that currently covers approximately 7,000 Department employees. CAPS was created on December 24, 1997, as a Demonstration Project, and was made permanent on March 13, 2008, through the Consolidated Appropriations Act, Fiscal Year 2008. The objectives of this alternative personnel system (APS) were to strengthen management's role in human resources management; improve management's ability to hire, motivate, and retain staff; and emphasize pay for performance. As such, it simplifies the current classification system for greater flexibility in classifying work and paying employees; provides a performance management and rewards system for improving individual and organizational performance; and improves recruiting and examining to attract highly qualified candidates. While the system has worked well, it has not changed from its beginning in 1997. CAPS was one of the first APSs in government, and the Office of Personnel Management (OPM) was conservative in the flexibilities that it would approve. However, through time, OPM has approved other APSs with more flexibilities than CAPS. CAPS still maintains the same performance management system, pay bands, and the original flexibilities. A full-time position is needed to focus solely on exploring other flexibilities and options for CAPS that will enable DOC to realize the full potential and impact of an APS in recruiting, hiring, and retaining top talent; for reducing the time to hire through various means, including more direct hire authorities; to manage its workforce through longer non-permanent hiring authorities; to increase recruitment and retention by having the most flexible pay setting structure possible for initial appointments, as well as promotions; and to create a structure which continues to foster and reward high performing employees. While CAPS provides flexibility in setting the initial pay of a new hire, the pay bands mirror the GS equivalent salary limitations, with the exception of a 6% supervisory differential. There are many pay and performance flexibilities that need to be explored, such as pay differential for highly technical positions and experts, and within-band promotions for exceptional performers. Competition with private industry for top talent continues to be a challenge, especially in recruiting early career employees and retaining mid-career employees, as the private sector usually enjoys a more flexible pay setting structure. It is critical to the Department's mission to grow its future leaders and technical experts, and the Department has an opportunity to enhance its current APS in a way that will enable it to be more competitive in today's market for top talent. In order to accomplish this, OHRM needs a designated individual to conduct research of other APSs across government, research other pay structures and flexibilities of top private industry companies, conduct focus groups with managers to learn about their needs in attracting and retaining top talent, and conduct focus groups with CAPS employees to learn about their ideas regarding retention flexibilities.

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Human Resources Management
 Program Change: Hiring Support (Accountability and CAPs)

Full-Time Permanent

Title	Grade	Number	Annual Salary	Total Salaries
Accountability Officer	ZA-4/1	1	120,800	120,800
CAPS Program Manager	ZA-4/2	1	137,412	137,412
				0
				0
				0
				0
				0
				0
				0
				0
				0
				0
				0
				0
Total		<u>2</u>	258,212	258,212
Less Lapse		25%		<u>(64,553)</u>
Total Full-time permanent (FTE)		<u>1.5</u>		193,659
2021 Pay Adjustment (1.0%)		1%		<u>1,937</u>
				<u>195,596</u>

Personnel Data Summary

Full-Time Equivalent Employment (FTE) 2
 Full-time permanent
 Part-time permanent
 Full-time temporary

<u>Part-time temporary</u>	
Total FTE	<u>2</u>

<u>Authorized Positions</u>	
Full-time permanent	2
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>2</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Human Resources Management
 Program Change: Hiring Support

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation				196	196
11.3 Other than full-time permanent					0
11.5 Other personnel compensation				3	3
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	199	199
12.1 Civilian personnel benefits				59	59
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA				24	24
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges				4	4
24 Printing and Reproduction				2	2
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources				89	89
25.3 Other Goods and Services from Federal Sources				10	10
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials				2	2
31 Equipment				7	7
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	0	0	0	396	396

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Security	Pos/BA	5		5		0	0
Program Change:	Security Modernization	FTE/Obl.	5	6,595	5	6,933	0	338

Security Modernization (O&M) Contract Expansion for the Herbert C. Hoover Building (HCHB) (+\$338, 0 FTE/ 0 Positions) - The goal of the HCHB Security program is to mitigate security threats through risk management and risk-based decisions and leverage technology and innovative and efficient countermeasures to address emerging threats. The HCHB Security program provides the necessary resources for the protection of Department of Commerce (Department) Headquarters as well as its assets at the Herbert C. Hoover Building. This program serves as the foundation of the Department’s security footprint and is aimed at assessing and mitigating risks to HCHB by deploying both physical security and technical security countermeasures, responding to emergency situations, and ensuring the protection of staff, facilities, mission, and other assets. In addition, this program facilitates access to HCHB by providing resources and program support. Some of the major elements of this program include the HCHB Contract Guard Force, HSPD-12 Credentialing Center, the HCHB Security Service Center, the HCHB Electronic Security System, perimeter operable vehicle barrier system, and lock and key control and security contract management. This program also ensures the continued operation of all security systems and equipment through a system maintenance and life cycle replacement program and coordination with HCHB Renovation initiatives. This request will reduce the risk of undesirable events occurring in the HCHB and employ security countermeasures necessary to protect the High Risk, Facility Security Level IV building by increasing armed security force protection and response capabilities; modernizing and properly maintaining security systems; and, helping to comply with Interagency Security Committee security countermeasures. The Office of Security requests \$338K in increased funding for:

- 1)Contract for the maintenance of security and occupant emergency Land Mobile Radios and Radio Headend components being installed in Phase 4 of the renovation (80K);
- 2)Modify contract to increase existing locksmith services from 16 hours to 40 hours weekly (105K)
- 3)Modify contract to increase guard force staffing by 12 hours per day at the most heavily used entrances (Tunnel and Pennsylvania Ave) (153K).

This request will meet the requirements of the Department’s Strategic Goal 5 – Deliver customer centric service excellence by focusing on applying consistent security policies and practices and providing a safe environment for Department employees to deliver services to the American people.

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct Obligations amounts in thousands)

Activity: Operations and Administration
Subactivity: Office of Security
Program Change: Security Modernization

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	613	754	754	754	0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation	11	20	20	20	0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	624	774	774	774	0
12.1 Civilian personnel benefits	194	265	265	265	0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons	8	8	8	8	0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA	126	126	126	126	0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges	30	31	31	31	0
24 Printing and Reproduction	20	20	20	20	0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	4,652	5,020	5,120	5,458	338
25.3 Other Goods and Services from Federal Sources	198	198	202	202	0
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials	31	31	32	32	0
31 Equipment	17	17	17	17	0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	5,900	6,490	6,595	6,933	338

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Human Resources Management	Pos/BA	0		1		1	0
Program Change:	Workers Compensation	FTE/Obl.	0		1	187	1	187

Workers Compensation (WC) Program Manager (\$187, 1 FTE/1 Position) – The position is a priority and mission critical to the Department’s Office of Occupational Safety & Health (OOSH). It supports the WC policy development and implementation at the Department level, and provides support to Bureau WC programs for compliance with the Federal Employees Compensation Act (FECA), 20 CFR and applicable Executive Orders regarding WC, and present and future program needs of the Department. Without this position, OOSH is limited in fulfilling its primary essential functions/core processes for the overall Department. The WC Program Manager position is a position that functions as a part of human capital management. Many of the functions of this position act as multipliers across the Department and its bureaus with the entire program becoming significantly more effective when they work in unison. Further, it also functions as an effective resource restoration and retention source, which saves the Department and its bureaus money. This position supports and acts as a WC liaison for the bureaus, especially the small bureaus where the WC Managers act in a collateral duty position for their respective bureau. The Department WC Program Manager plays a critical role in the decision-making process for bureau WC claims management.

The incumbent serves as the Workers’ Compensation Program Manager in OOSH and advisor to top managers and outside officials. In addition, the incumbent develops, recommends, and implements policies; serves as the principal administrative advisor with operational responsibilities for budget, procurement, personnel, and/or other administrative functions; and performs administrative work concerned with workers’ compensation activities. This position functions as COR for the Department’s WC contract, thus maximizing the WC claims services to gain efficiency in operations and control costs. This position would also manage the Workers’ Compensation Contract Statement of Work from development through solicitation, and all option years of the contract.

Return on Investment: Because of a proactive Department WC strategy, workplace injuries and illnesses, and related medical and compensation costs have declined across the Department for several years. Total costs (medical and compensation) have declined from \$14,806,796 in chargeback (ChY) 2015, to \$13,744,661 in ChY 2016, and down to \$12,918,605 for ChY 2017. In ChY 2018 the costs to the Department were \$12,156,711, reducing costs by \$761,894 from ChY 2017. Another highlight is that the Department has saved over 2 million dollars in cost avoidance by effectively managing WC claims and returning employees to work in a timely/ efficient way. This is a high impact and significant cost savings to the Department, which in turn can be attributed to the roles, responsibilities, and effective work of the WC Program Manager, OOSH, and WC points of contact at the bureau level.

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
Subactivity: Office of Human Resources Management
Program Change: Workers Compensation Program Manager

Full-Time Permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Worker's Compensation Analyst	ZA-4/1	1	120,800	120,800
				0
				0
				0
				0
				0
				0
				0
				0
				0
				0
				0
Total		1	120,800	120,800
Less Lapse		25%		(30,200)
Total Full-time permanent (FTE)		0.75		90,600
2021 Pay Adjustment (1.0%)		1%		906
				91,506

Personnel Data Summary

Full-Time Equivalent Employment (FTE)	1
Full-time permanent	
Part-time permanent	
Full-time temporary	

<u>Part-time temporary</u>	
Total FTE	<u>1</u>

<u>Authorized Positions</u>	
Full-time permanent	1
Part-time permanent	
Full-time temporary	
Part-time temporary	
<u>Total Positions</u>	<u>1</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Human Resources Management
 Program Change: Workers Compensation

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation				92	92
11.3 Other than full-time permanent					0
11.5 Other personnel compensation				1	1
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	93	93
12.1 Civilian personnel benefits				28	28
13 Benefits for former personnel					0
21 Travel and Transportation of Persons				3	3
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA				12	12
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges				2	2
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources				38	38
25.3 Other Goods and Services from Federal Sources				5	5
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials				2	2
31 Equipment				4	4
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	0	0	0	187	187

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Financial Management	Pos/BA	0		0		0	0
Program Change:	E2 Solutions Travel System	FTE/Obl.	0	2,182	0	2,282	0	100

E2 Solutions Travel System Enhancement (+\$100, 0 FTE/ 0 Positions) -The E2 Solutions Travel system supports the Department’s travelers, approvers, and arrangers. Committed to providing the best customer service and travel support possible, the E2 travel program is always seeking ways to improve the E2 system and the overall delivery of travel services. The Department would like to pursue a system enhancement to the E2 system, and by submitting this funding request, the Department (specifically OFM) demonstrates its commitment to improving the quality of travel management services at the Department and improving shared system usage and technical functionality. This enhancement will allow the Department to configure the system to better align with Departmental travel policy and only have the 300% cap on per diem levied on lodging (rather than on the sum of lodging and M&IE). This will allow for more accurate travel documentation. Currently, travelers and arrangers are manually calculating the cap rather than using the system to calculate it. Having this enhancement would create efficiencies in travel preparation and processing, and it would provide a system edit check to ensure compliance (versus manual calculation that has a risk of error).

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Financial Management
 Program Change: E2 Solutions Travel System

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation					0
11.3 Other than full-time permanent					0
11.5 Other personnel compensation					0
11.8 Special personnel services payments					0
11.9 Total Personnel Compensation	0	0	0	0	0
12.1 Civilian personnel benefits					0
13 Benefits for former personnel					0
21 Travel and Transportation of Persons					0
22 Transportation of things					0
23 Rent, Communications, and Utilities					0
23.1 Rental payments to GSA					0
23.2 Rental payments to Others					0
23.3 Communications, utilities, and misc. charges					0
24 Printing and Reproduction					0
25 Other Contractual Services					0
25.1 Advisory and Assistance Services					0
25.2 Other Services from Non-Federal Sources	2,000	2,000	2,000	2,000	0
25.3 Other Goods and Services from Federal Sources	182	182	182	282	100
25.4 Operation and Maintenance of facilities					0
25.5 Research and Development Contracts					0
25.6 Medical Care					0
25.7 Operation and Maintenance of Equipment					0
25.8 Subsistence and Support of Persons					0
26 Supplies and Materials					0
31 Equipment					0
32 Land and Structures					0
33 Investments and Loans					0
41 Grants, Subsidies and Contributions					0
42 Insurance Claims and Indemnities					0
43 Interest and Dividends					0
44 Refunds					0
99.9 Total Obligations	2,182	2,182	2,182	2,282	100

**Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE FOR 2021**
(Dollar amounts in thousands)

			2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
Subactivity:	Office of Secretary	Pos/BA	725		696		(29)	0
Program Change:	Transfer to Salaries and Expenses	FTE/Obl.	626		597	(5,885)	(29)	(5,885)

Transfer to Salaries and Expenses (S&E) (+(\$5,885), (29) FTE/ (29) Positions)- This request will realign funds from Departmental Management (DM) Working Capital Fund (WCF) to Departmental Management Salaries and Expenses (S&E) account. DM proposes that funds be transferred from all Bureaus into the DM S&E as a one-time permanent transfer. The proposal includes moving funds from three different projects across two different offices. In February 2017, the Office of the Secretary Financial Management (OSFM) gathered a working group to brainstorm changes to the WCF and the realignment of projects to the DM S&E appropriation was proposed. OSFM also reviewed all other projects across the WCF to determine the most appropriate funding mechanism for each project. In May 2018, the recommendation to move three accounts was proposed and approved by the CFO Council and CFO/ASA, but not implemented. In June 2019, the decision was made to revisit the realignment by updating the budget numbers and bureau spread and to recommend realignment within the FY21 Secretarial Submission. The three projects proposed for realignment to Departmental Management are:

- Executive Direction’s Executive Protection Unit (EPU): This project provides for the physical protection of the Secretary of Commerce and/or designees; and operational support for the Executive Protection Unit.
- Executive Direction’s Office of Public Affairs (OPA): OPA serves as Department of Commerce (DOC)’s liaison with the White House and Executive Branch agencies to support major Department priorities and meet the needs of operating units. OPA provides advice and support to the public information programs in the units; writes speeches, opinion editorials, communication plans, press releases and issues broadcast material involving the Secretary and other DOC officials.
- Office of Acquisition Management’s Grants Management (GMD): GMD provides guidance in response to government-wide data calls and represents the DOC at numerous intergovernmental permanent bodies and working groups governing Federal Grants Policy, including the Financial Assistance Committee for E-Government. GMD serves as the coordinator of information between DOC grant-making bureaus and external organizations in the Federal government, with primary responsibility for policy through the Grants Council and subordinate groups.

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Operations and Administration
 Subactivity: Office of Secretary
 Program Change: Transfer to Salaries and Expenses

Full-Time Permanent

Title	Grade	Number	Annual Salary	Total Salaries
Executive Protection Unit Director	GS-15	(1)	150,791	(150,791)
Executive Protection Unit Agent	GS-14	(2)	139,849	(279,698)
Executive Protection Unit Agent	GS-13	(6)	108,484	(650,904)
Executive Protection Unit Agent	GS-12	(7)	85,701	(599,907)
Executive Protection Unit Agent	GS-11	(4)	69,811	(279,244)
				0
Office of Public Affairs Directors	GS-15	(1)	159,930	(159,930)
Office of Public Affairs Specialist	GS-14	(3)	147,619	(442,857)
Office of Public Affairs Specialist	GS-13	(3)	122,830	(368,490)
Office of Public Affairs Specialist	GS-09	(1)	56,233	(56,233)
				0
Office of Acquisition Management Grants Specialist	ZA-05	(1)	154,793	(154,793)
				0
				0
Total		(29)	1,196,041	(3,142,847)
Less Lapse		0		0
Total Full-time permanent (FTE)		(29)		(3,142,847)
2021 Pay Adjustment (1.0%)				(31,428)
				(3,174,275)

Personnel Data Summary

Full-Time Equivalent Employment (FTE)	(29)
Full-time permanent	
Part-time permanent	
Full-time temporary	
Part-time temporary	
Total FTE	(29)

Authorized Positions

Full-time permanent	(29)
Part-time permanent	
Full-time temporary	
Part-time temporary	
Total Positions	(29)

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE DETAIL BY OBJECT CLASS**
 (Direct Obligations amounts in thousands)

Activity: Operations and Administration
 Subactivity: Office of Secretary
 Program Change: Transfer to Salaries and Expenses

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	68,621	79,870	82,869	79,695	(3,174)
11.3 Other than full-time permanent	595	1,188	1,188	1,188	
11.5 Other personnel compensation	2,525	2,814	3,625	3,619	(6)
11.8 Special personnel services payments	0	0			0
11.9 Total Personnel Compensation	71,741	83,872	87,682	84,502	(3,180)
12.1 Civilian personnel benefits	22,503	25,652	27,103	26,171	(932)
13 Benefits for former personnel	(10)	0	0	0	
21 Travel and Transportation of Persons	619	1,024	1,030	1,025	(5)
22 Transportation of things	117	108	108	108	
23 Rent, Communications, and Utilities	0	0	0		0
23.1 Rental payments to GSA	7,524	7,743	7,890	7,653	(237)
23.2 Rental payments to Others	57	0	0		0
23.3 Communications, utilities, and misc. charges	3,370	3,994	3,994	3,899	(95)
24 Printing and Reproduction	606	742	757	756	(1)
25 Other Contractual Services	0	0	0		0
25.1 Advisory and Assistance Services	757	723	723	723	
25.2 Other Services from Non-Federal Sources	83,264	86,730	82,173	81,936	(237)
25.3 Other Goods and Services from Federal Sources	48,230	46,085	46,085	44,973	(1,112)
25.4 Operation and Maintenance of facilities	194	0	0		0
25.5 Research and Development Contracts	0	38	38	38	
25.6 Medical Care	0	0	0		0
25.7 Operation and Maintenance of Equipment	0	158	158	158	
25.8 Subsistence and Support of Persons	0	0	0		0
26 Supplies and Materials	1,176	1,621	1,653	1,614	(39)
31 Equipment	7,648	1,786	1,822	1,775	(47)
32 Land and Structures	0	0	0		0
33 Investments and Loans	0	0	0		0
41 Grants, Subsidies and Contributions	0	0	0		0
42 Insurance Claims and Indemnities	0	0	0		0
43 Interest and Dividends	14	0	0		0
44 Refunds					0
99.9 Total Obligations	247,810	260,276	261,216	255,331	(5,885)

**Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGE FOR 2021
 (Dollar amounts in thousands)**

Activity:	Operations and Administrations	Pos/BA FTE/Obl.	2021 Base		2021 Estimate		Increase/Decrease from 2021 Base	
			Personnel	Amount	Personnel	Amount	Personnel	Amount
			0	0	0	0	0	0
			0	261,216	0	249,469	0	(11,747)

Contractual Services, Supplies and Equipment Reduction ((\$11,747), 0 FTE/ 0 Positions) - This decrease will reduce the account contractual services, supplies, and equipment.

Department of Commerce
Departmental Management
Working Capital Fund
PROGRAM CHANGE DETAIL BY OBJECT CLASS
(Direct Obligations amounts in thousands)

Activity: Operations and Administration

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/Decrease from 2021 Base
11.1 Full-time permanent compensation	68,621	79,870	82,869	82,869	
11.3 Other than full-time permanent	595	1,188	1,188	1,188	
11.5 Other personnel compensation	2,525	2,814	3,625	3,625	
11.8 Special personnel services payments	0	0			
11.9 Total Personnel Compensation	71,741	83,872	87,682	87,682	
12.1 Civilian personnel benefits	22,503	25,652	27,103	27,103	
13 Benefits for former personnel	(10)	0	0	0	
21 Travel and Transportation of Persons	619	1,024	1,030	1,030	
22 Transportation of things	117	108	108	108	
23 Rent, Communications, and Utilities	0	0	0		
23.1 Rental payments to GSA	7,524	7,743	7,890	7,890	
23.2 Rental payments to Others	57	0	0		
23.3 Communications, utilities, and misc. charges	3,370	3,994	3,994	3,994	
24 Printing and Reproduction	606	742	757	757	
25 Other Contractual Services	0	0	0		
25.1 Advisory and Assistance Services	757	723	723	723	
25.2 Other Services from Non-Federal Sources	83,264	86,730	82,173	75,111	(7,062)
25.3 Other Goods and Services from Federal Sources	48,230	46,085	46,085	42,400	(3,685)
25.4 Operation and Maintenance of facilities	194	0	0		
25.5 Research and Development Contracts	0	38	38	38	
25.6 Medical Care	0	0	0		
25.7 Operation and Maintenance of Equipment	0	158	158	158	
25.8 Subsistence and Support of Persons	0	0	0		
26 Supplies and Materials	1,176	1,621	1,653	1,153	(500)
31 Equipment	7,648	1,786	1,822	1,322	(500)
32 Land and Structures	0	0	0		
33 Investments and Loans	0	0	0		
41 Grants, Subsidies and Contributions	0	0	0		
42 Insurance Claims and Indemnities	0	0	0		
43 Interest and Dividends	14	0	0		
44 Refunds					
99.9 Total Obligations	247,810	260,276	261,216	249,469	(11,747)

**Department of Commerce
 Departmental Management
 Working Capital Fund
 SUMMARY OF REQUIREMENTS BY OBJECT CLASS
 (Dollar amounts in thousands)**

Object Class	2019 Actuals	2020 Enacted	2021 Base	2021 Estimate	Increase/ (Decrease) Over 2021 Base
11.1 Full-time permanent (Compensation)	68,621	79,870	82,869	82,828	(41)
11.3 Other than full-time permanent	595	1,188	1,188	1,188	0
11.5 Other personnel compensation	2,525	2,814	3,625	3,667	42
11.8 Special personnel services payments	0	0		0	0
11.9 Total personnel compensation	71,741	83,872	87,682	87,683	1
12.1 Civilian personnel benefits	22,503	25,652	27,103	27,109	6
13 Benefits for former personnel	(10)	0	0	0	0
21 Travel and transportation of persons	619	1,024	1,030	1,084	54
22 Transportation of things	117	108	108	108	0
23 Rent, communications and utilities					0
23.1 Rental payments to GSA	7,524	7,743	7,890	8,081	191
23.2 Rental payments to others	57	0	0	0	0
23.3 Communications, utilities, and misc. charges	3,370	3,994	3,994	4,021	27
24 Printing and reproduction	606	742	757	758	1
25 Other contractual services	0	0	0		0
25.1 Consulting services	757	723	723	723	0
25.2 Other services	83,264	86,730	82,173	82,727	554
25.3 Purchase of goods and services from Gov't accounts	48,230	46,085	46,085	45,612	(473)
25.4 Operation of GOCOs	194	0	0	0	0
25.5 Research and development contracts	0	38	38	38	0
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	158	158	158	0
25.8 Subsistence and support of persons	0	0	0	0	0
26 Supplies and materials	1,176	1,621	1,653	1,170	(483)
31 Equipment	7,648	1,786	1,822	1,086	(736)
32 Lands and structures	0	0	0	0	0

33	Investments and loans	0	0	0	0	0
41	Grants, subsidies and contributions	0	0	0	0	0
42	Insurance claims and indemnities	0	0	0	0	0
43	Interest and dividends	14	0	0	0	0
44	Refunds	0	0	0	0	0
99	Total obligations	<u>247,810</u>	<u>260,276</u>	<u>261,216</u>	<u>260,358</u>	<u>(858)</u>
	Less prior year recoveries	(7,927)				
	Less prior year unobligated balance	(10,336)	(7,170)			
	Less prior year unobligated balance	7,170				
	Total Budget Authority	<u>236,717</u>	<u>253,106</u>	<u>261,216</u>	<u>260,358</u>	<u>(858)</u>
	Personnel Data					
	Full-time Equivalent Employment					
	Full-time permanent	520	592	592	586	(6)
	Other than full-time permanent	34	34	34	34	
	Total	<u>554</u>	<u>626</u>	<u>626</u>	<u>620</u>	<u>(6)</u>
	Authorized Positions:					
	Full-time permanent	654	681	681	681	0
	Other than full-time permanent	44	44	44	44	
	Total	<u>698</u>	<u>725</u>	<u>725</u>	<u>725</u>	<u>0</u>

**Department of Commerce
 Departmental Management
 Working Capital Fund
 DIRECT COST BY OFFICE**
 (Dollar amounts in thousands)

OFFICE	2019 Actuals			2020 Enacted			2021 Estimate		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Human Resources Management	57	45	18,187	57	49	17,774	60	52	17,517
Civil Rights	13	10	3,481	21	17	4,913	21	17	4,739
Financial Management	53	42	32,031	53	47	31,561	51	45	32,078
Security	121	96	27,148	126	107	31,955	143	120	36,755
Facilities and Environmental Quality	80	63	24,373	80	71	23,607	80	71	24,703
Acquisition Management	10	8	5,300	10	8	3,579	9	7	3,023
Office of Privacy and Open Government	5	4	1,333	5	4	1,356	5	4	1,161
General Counsel	232	184	41,040	238	211	44,955	238	211	38,438
Chief Information Officer	46	37	48,334	48	42	50,630	57	49	59,591
Chief Financial Officer/Assistant Secretary for Administration	1	1	229	1	1	233	1	1	198
Enterprise Services	54	43	42,110	60	43	37,967	60	43	42,155
Executive Direction	26	21	4,244	26	26	4,576	0	0	0
Total Working Capital Fund	698	554	247,810	725	626	253,106	725	620	260,358

**Department of Commerce
 Departmental Management
 Working Capital Fund
 DIRECT COSTS BY BUREAU**
 (Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Estimated
Departmental Management	14,126	14,800	14,005
International Trade Administration	35,540	37,143	39,056
Economic Development Administration	3,828	3,925	3,832
National Telecommunications and Information Administration	8,262	7,986	8,359
National Technical Information Service	1,584	1,729	1,826
Bureau of the Census	44,561	49,447	53,575
Bureau of Economic Analysis	2,641	3,078	3,208
National Oceanic and Atmospheric Administration	60,907	62,070	66,389
National Institute of Standards and Technology	26,568	27,804	29,333
Minority Business Development Agency	3,666	4,933	5,037
Bureau of Industry and Security	13,271	14,085	15,328
Office of Inspector General	2,848	3,023	3,193
Patent and Trademark Office	15,683	16,095	12,118
Total Commerce Bureaus	233,485	246,118	255,259
Other Agencies and WCF Carry forward	14,325	6,988	5,099
Total	247,810	253,106	260,358

**Department of Commerce
 Departmental Management
 Working Capital Fund
 ADVISORY AND ASSISTANCE SERVICES**
 (Dollar amounts in thousands)

	2019 Actuals	2020 Enacted	2021 Estimate
Consulting services	757	723	723
Management and professional services			
Special studies and analyses			
Management and support services for research and development			
Total	757	723	723

**Department of Commerce
 Departmental Management
 Working Capital Fund
 AVERAGE GRADES AND SALARIES**

	2019 Actuals	2020 Enacted	2021 Estimate
Average ES Grade	183,322	189,005	190,895
Average GS/GM Grade	13.8	13.9	14.0
Average GS/GM Salary	125,354	129,240	130,532

**Department of Commerce
Departmental Management**

IMPLEMENTATION STATUS OF GAO AND OIG RECOMMENDATIONS

31 U.S.C. 720, as amended January 3, 2019, requires the head of a federal agency to submit a written statement of the actions taken or planned on Government Accountability Office (GAO) recommendations to the House and Senate Committees on Appropriations with the agency's first request for appropriations made more than 180 calendar days after the date of the report.

The Good Accounting Obligation in Government Act (GAO-IG Act), passed on January 3, 2019, (P.L. 115-414) requires each agency to include, in its annual budget justification, a report that identifies each public recommendation issued by GAO and the agency's office of the inspector general (OIG) which has remained unimplemented for one year or more from the annual budget justification submission date. In addition, the Act requires a reconciliation between the agency records and the IGs' Semiannual Report to Congress (SAR).

Section 1. Recommendations for which action plans were finalized since the last appropriations request.

Nothing to Report

Section 2. Implementation of GAO public recommendations issued no less than one year ago that are designated by GAO as 'Open' or 'Closed-Unimplemented.'

Open Recommendation(s) the Department has decided not to implement.

Nothing to Report

Open Recommendation(s) the Department plans to implement.

See Chart 1 below.

Recommendations designated by GAO as "Closed-Unimplemented for the past 5 years (2015-2019). Future reports will cover a one-year period.

Nothing to Report

Section 3. Implementation of OIG public recommendations issued no less than one year for which Final Action has not been Taken or Action Not Recommended has been Taken

Nothing to Report

Section 4. Discrepancies between this report and the semiannual reports submitted by the Commerce Office of Inspector General or reports submitted by the GAO

Some recommendations have been closed since Commerce OIG's latest Semiannual Report. See Chart 2 below.

Chart 1: Open Recommendation(s) the Department plans to implement.

Report Number	Report Title	Issue Date	Recommendation Number	Recommendation	Target Implementation Date	Closure Request Pending with GAO (Yes/No)
GAO-17-8	IT WORKFORCE: Key Practices Help Ensure Strong Integrated Program Teams; Selected Departments Need to Assess Skill Gaps	11/30/2016	1	Address the shortfalls in IT workforce planning noted in this report, including the following actions: (1) establish and maintain a workforce planning process; (2) develop competency and staffing requirements; (3) assess competency and staffing needs regularly; (4) assess gaps in competencies for all components of the workforce; (5) develop strategies and plans to address gaps in competencies and staffing; (6) implement activities that address gaps, including an IT acquisition cadre, cross-functional training of acquisition and program personnel, a career path for program managers, and special hiring authorities, if justified and cost-effective; (7) monitor the department's progress in addressing IT competency and staffing gaps; and (8) report to department leadership on progress in addressing competency and staffing gaps.	GAO is assessing the extent to which the department has implemented key IT workforce planning activities as part of a governmentwide review of federal agencies' IT workforce planning efforts. They will update the status of Commerce's efforts to address the recommendation at the completion of the review.	No
GAO-18-95	PHYSICAL SECURITY: NIST and Commerce Need to Complete Efforts to Address Persistent	Oct 11, 2017 [Reissued with Revisions Mar. 14, 2018]	2	The Director of the Office of Security (OSY), in coordination with the NIST Director, should conduct an evaluation of the effectiveness of the current security management structure as compared to a consolidated security structure, centrally managed by OSY, to identify the most effective and feasible approach to physical security at NIST.	2/14/2020 OSY is engaged in a dialogue with NIST and CFO-ASA on the NIST Security Organization decision.	No
GAO-18-95	PHYSICAL SECURITY: NIST and Commerce Need to Complete Efforts to Address Persistent Challenges	Oct 11, 2017 [Reissued with Revisions Mar. 14, 2018]	3	The Director of OSY should ensure that the draft Commerce risk management policy is finalized and implemented in accordance with the ISC's RMP Standard, by requiring the following: (1) Use and documentation of a sound risk assessment methodology that assesses the threats, vulnerabilities, and consequences for each of the undesirable events required by the RMP Standard, and use of these three factors to measure risk. (2) Documentation of key risk management decisions, such as justification and tenants' approval for facility security level (FSL) determinations, justification for deviation from baseline levels of risk or protection, as well as risk acceptance and consideration of alternative countermeasures. (3) Establishment of a facility security committee (FSC) at multitenant facilities and campuses, including locations such as the NIST Boulder campus. (4) ISC training for all OSY assessors and the individuals responsible for deciding to implement countermeasures and accepting risk.	We believe we have fully implemented the recommendation and have submitted a closure request to GAO.	Yes

Chart 2: Discrepancies between this report and the semiannual reports submitted by the Commerce Office of Inspector General or reports submitted by the GAO

Report Number	Report Title	Issue Date	Recommendation Number	Recommendation	Discrepancy	Reason for Discrepancy
OIG-17-026	Selected Commerce Bureaus Could Improve Review Procedures and Documentation Related to Unliquidated Obligations	6/12/2017	1	We recommend that the selected bureaus' Chief Financial Officers instruct their respective ULO oversight managers to develop or enhance detailed bureau-specific policies for monitoring obligations and encourage deobligation as outlined in the Department of Commerce Policy for Undelivered Obligations, including policies that require (a) maintaining adequate justifications for valid obligation balances; and (b) timely deobligation actions for balances no longer needed.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-17-026	Selected Commerce Bureaus Could Improve Review Procedures and Documentation Related to Unliquidated Obligations	6/12/2017	2	We recommend that the selected bureaus' Chief Financial Officers instruct their respective ULO oversight managers to follow up on the obligations specifically identified in this report and take appropriate action.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	1	We recommend that the Chief Financial Officer and Assistant Secretary for Administration update the carryover policy and procedures to ensure that both sufficiently describe the carryover process, including key terms and requirements for determining whether excess funds are earned.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	2	We recommend that the Chief Financial Officer and Assistant Secretary for Administration institute policy and procedures for documenting the Office of the Secretary, Office of Financial Management Directorate's periodic review and evaluation of each project's carryover, which reviews and evaluations will consider input of service providers and customers.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	3	We recommend that the Chief Financial Officer and Assistant Secretary for Administration develop and implement a communication mechanism that allows key WCF stakeholders to be apprised of the detailed annual carryover results in a timely manner.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	4	We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the Working Capital Fund Advances and Reimbursements Final Handbook update process to ensure that it includes a detailed description of the billing allocation method for each project and the levels of services provided for each project.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	5	We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the algorithm preparation and review process for the WCF to ensure that (a) billing allocation supporting data are accurate, complete, current, and sufficient, and (b) algorithm calculations are free from error	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report
OIG-18-020	Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement	5/8/2018	6	We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the process for maintaining documentation that supports the formulation of each project's final operating budgets in the WCF.	In semiannual report but not reported in this exhibit.	Closed since September 2019 Semiannual Report

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Departmental Management

FY 2021 Annual Performance Plan / FY 2019 Annual Performance Report (APPR) Backup

SUMMARY

Overview of DM Accomplishments

Human Resources

To help improve the way the Department uses data, NOAA and OHRM are now leading a HR/Human Capital Analytics Community of Practice (CoP). The goals of the HR/Human Capital Analytics CoP are:

- Work toward solutions for issues identified as priorities within the field of human capital and workforce analytics;
- Evaluate the success of the CoP on a regular basis and benchmark the maturity of Commerce HR and human capital analytics processes and methodologies;
- Look for collaboration points with Commerce bureau partners and outside organizations such as NASA, NIH, FDA, NSF, etc. to explore advanced analytics;
- Develop and support best practices in human capital analytics and data visualization;
- Identify unrecognized pockets of related projects across human capital areas, and share work openly with those projects; and
- Encourage standards adoption for data integrity, analytics reporting, and metrics development

Enterprise Services

The Department of Commerce stood up Enterprise Services (ES) in order to provide high-quality, administrative transactional services in a cost-effective manner. ES was already far down the path to achieving CAP Goal 5: Sharing Quality Services, even before it was a CAP Goal. By creating a new model of service delivery for human resources (HR) transactional services, and by assuming responsibility for full-lifecycle acquisition services—to include Strategic Sourcing—ES has paved the way for a true Shared Quality Services model for the Department.

ES is achieving CAP Goal 6: Shifting from Low-Value to High-Value Work. Prior to ES, staff across the Department that should be performing mission-critical work were diverting time and energy to mission-support functions. Since ES began assuming responsibility for administrative transactional services, the Department's mission-focused staff will begin to fully dedicate their time to mission-related business.

The Department has had a robust Strategic Sourcing program for nearly a decade. The program offers a wide range of skillfully negotiated contracts for goods and services across the Department. By demonstrating economies of scale, ES is able to successfully negotiate lower prices for common buys from the Department's vendor partners. This shows the Department's progress and success on CAP Goal 7: Category Management – Leveraging Common Contracts and Best Practices to Drive Savings and Efficiencies. Without the Department's Strategic Sourcing program, each of the Bureaus would be required to negotiate its own individual contracts with our vendor partners. This would mean losing the benefits of economy of scale that ES provides.

Chief Information Officer

The Department has prioritized efforts to strengthen its cybersecurity posture by implementing improvements across all Risk Management Assessment (RMA) and Cyber Security Cross Agency Priority (CyberCAP) metrics. The Department received an overall score of “Managing Risk” on its RMA for FY 2019, which is an improvement from its score of “At Risk” in the FY 2018 Annual FISMA Report. In terms of CyberCAP performance, the Department has met 4 of the 10 CyberCAP targets, which were identified in Q3 FY 2018. The Department continues to deploy and mature enterprise initiatives and collaborate with its bureaus to meet the remaining RMA and CyberCAP metrics.

Planned Actions for FY 2021

Enterprise Services

The Department is on the right trajectory as it prepares for FY 2021. While ES will continue to provide the current range of HR transactional services and best-in-class acquisition and Strategic Sourcing services, ES, by FY 2021, will have implemented Talent Acquisition as a Shared Quality Service. Talent Acquisition is the end-to-end recruiting and hiring solution to find the best candidates, quickly move them through the Federal application process, and efficiently onboard them to become part of the Commerce family. Furthermore, ES is currently establishing a first-ever job applicant and hiring manager solution that focuses, in an innovative way, on people, process, and technology.

For many years, the Department’s Bureaus have suffered from significant issues around recruitment and hiring. As a result, the Department has occasionally been unable to acquire the appropriate talent to successfully meet its overarching mission: to create the conditions for economic growth and opportunity. With the new ES Talent Acquisition solution, Department leadership will enjoy a more transparent, highly effective recruitment and hiring process—a process that simply does not exist today.

Bolstering the new ES Talent Acquisition solution, the Department will also introduce stringent Service Level Agreements (SLAs). These SLAs will establish the mandated requirements for our vendor partners regarding timeliness and accuracy, and provide an efficient and effective way to ensure best-in-class vendor performance. The SLAs will provide a real-time barometer of how well the Department’s vendor partners are performing, thus ensuring that ES can be nimble and responsive should performance fall below the levels mandated by the SLAs.

Chief Information Officer

The Business Applications Solution (BAS) project will deploy a Software-as-a-Service (SaaS) integrated suite of financial management and business applications to modernize the Department’s financial, acquisition, property, Enterprise Data Warehouse (EDW), and Business Intelligence (BI) reporting solution (to include data from BAS systems, Personal/Real/Fleet Property, Grants, Travel, and HR/Payroll, etc.). This project will begin late in FY 2020.

The Grants Enterprise Management System (GEMS) will transition the legacy Grants Online (GOL) system into a modular solution designed for performance, security, maintainability, and agility across the end-to-end grants management value chain.

Analysis of Performance Indicators

Enterprise Services

The evolution of ES performance indicators has been steadily maturing in both the quantity and precision of these measures. This has largely been driven by the growing list of services offered by the ES human resources (HR) and acquisitions functions. As the ES customer base has expanded, ES enhanced its performance indicators and operational metrics to accommodate the increase in work volume and nuances in business requirements between ES and its customer Bureaus.

It is important to note that since ES is a new organization charged with implementing new services, performance measures may change over time. As ES grows from its infancy into a mature organization, the Department may determine that existing performance measures need to be adjusted in terms of definition/calculation or replaced by measures that more effectively demonstrate the quality and efficacy of ES's service provision.

- Explanation of Trends

- *Human Resources*

OHRM exceeded or met most of its targets in previous years except for the following two metrics:

- Hiring Timeline: In FY 2019, the Department's average for steps 1-10 in the hiring timeline was 105 days, 40 days over OPM's standard of 65 days. The 40 days beyond the target can mostly be attributed to exceeding the standards for each of the following steps by the time indicated:
 - Step 4: JOA is open and receive applications (by 6 days)
 - Step 7: Review applications and interview (by 6 days)
 - Step 8: Tentative job offer and acceptance period (by 8 days)
 - Step 10: Official offer and acceptance period (by 16 days)
- Veteran Hiring: The Department was limited in resources to effectively conduct corporate strategic outreach and recruitment of veterans into our workforce. A number of bureau Selective Placement Program Coordinators (individuals who assist veterans with employment) departed without immediate backfills, resulting in periods of less focused hiring of veterans. Additionally, veteran hiring across the entire Federal Government was impacted by the Federal Government shutdown, which even resulted in DoD's veteran hiring numbers being down this year.

- *Enterprise Services*

ES tracks service delivery trends in one of three ways: Weekly, bi-weekly (by NFC defined Pay Periods), or calendar monthly basis. The timing of the trends depends upon the service involved. ES captures IT and acquisition performance and trends on a calendar monthly basis. ES captures HR performance trends bi-weekly by Pay Period. ES captures overall volumes weekly and categorizes them by work type, submission channel and other criteria. ES analysis of trends has shown some significant fluctuations (i.e., large increases) in volumes and occasional missed performance levels due to such events as end-of-fiscal year processing, significant cyclical Bureau operations such

as Decennial preparation, the partial government shut down, retroactive pay increases, and other such major events. ES captures and analyzes all data points.

- Explanation of Targets for FY 2020 and FY 2021

- *Human Resources*

- Employee Engagement Index (EEI): The Department increased the FY 2020 and 2021 targets to 73% from 71% in FY 2019, due to the overall Government-wide effort to increase the bottom 20% EEI scores of the lower level units, by 20%, by 2020.
- New Inclusion Quotient (New IQ) Index: The Department increased the FY 2020 and 2021 targets to 68% from 66% in FY 2019 due to a steady score increase since FY 2015. The New IQ is composed of 20 questions on the FEVS, 4 of which are also factored in computing the EEI, which is targeted to increase per note above.
- Disability Hires: The Department established the FY 2020 target at 14.5% based on incremental increases of 0.5% between FY 2018 to FY 2020. The FY 2021 target is TBD at this time, due to new requirements by the Equal Employment Opportunity Commission, which may change the overall Commerce hiring goal rationale.
- Veteran Hires: The FY 2020 and 2021 are TBD at this time. Annual targets for Commerce are based upon the previous year's average for the group of agencies with populations of 40,000 to 80,000, as established by the President's Council on Veteran Employment. Since averages are determined based on the previous year's actual hiring rate, the FY 2020 target will not be established until after FY 2019 averages have been calculated, and the FY 2021 target will not be established until after FY 2020 averages have been calculated.

- *Enterprise Services*

ES targets are generally influenced by historical performance-related data (benchmarks and volumes), current and expected business conditions, specific service delivery requirements that ES developed with its customers, and available funding. ES considers these factors and other relevant details together, and may weigh them differently, during the target determination process. With new performance indicators, ES tests the targets for a period of time in what ES refers to as a "calibration period" prior to becoming a required performance level. This allows ES to see the effects of live operations for a brief period of time before locking in a final target decision. At present, ES has no intention of lowering any performance targets.

- Evolution of the Performance Indicators

- *Human Resources*

The Department tracks performance indicators quarterly through the Commerce HRstat Report, which is presented to the Chief Human Capital Officer (CHCO), Deputy CHCO, and Principal HR Managers for management awareness/decisions. The CHCO also has quarterly reviews with the Chief Financial Officer and Assistant Secretary for Administration that focus on the hiring timeline, veteran hiring, and

disability hiring indicators. Additionally, HRstat reports and Federal Employee Viewpoint Survey data are used by the Commerce Evaluation/Audit Team when conducting delegated examining and/or Human Capital Framework audits within Commerce bureaus.

In the area of veteran hiring, the Veterans Employment Program Manager (VEPM) will lead strategic efforts to increase veterans' employment by:

- Issuing an updated Department Veterans Employment Operational Plan,
- Conducting bi-monthly meetings with bureau Selective Placement Program Coordinators to collaborate on best practices, and
- Ensuring Veterans Employment Training for all hiring officials and HR Specialists

Additionally, the VEPM will collect and analyze data related to the number of internal versus external hires. This will determine if there is a correlation between how many positions are filled from internal sources versus external sources that may be impacting the overall veteran hiring effort.

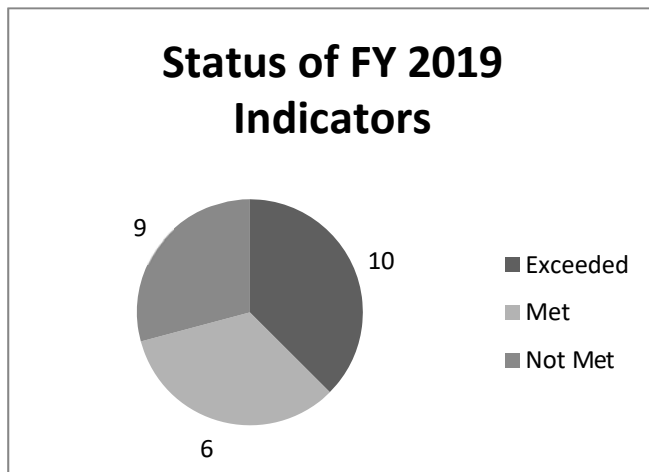
- Performance Data Validation and Verification –

- *Enterprise Services*

ES requires that all partners use previously agreed upon calculations and data sources to report their performance on a set schedule. Internal ES staff analyze and verify these data, calculation-by-calculation. ES can do this efficiently because the metrics, calculation formulas, and data sources are all agreed upon before SLA measurement begins. ES also maintains full access to all the source systems from which the performance data are pulled. Data validation and verification is a continuous process within ES.

SUMMARY OF FY 2019 PERFORMANCE

In FY 2019, DM reported results on 25 of 25 performance indicators. Of those 25 indicators, DM exceeded 10 targets (40%), met 9 targets (36%), and didn't meet 6 targets (24%). Note: All of the DM performance indicators are assigned to Strategic Goal 5. Except in certain indicators involving single digit targets, exceeded is defined as 100% or more of target, met = 90 – 100% of target, and not met = below 90% of target.



Obj #	Indicator Name	Target	Actual	Status
5.1	Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey	71%	73%	Exceeded
5.1	Score on the New Inclusion Quotient (New IQ) of the Federal Employee Viewpoint Survey	66%	67%	Exceeded
5.1	Percentage of high-volume processes with customer feedback elements	100%	100%	Met
5.1	Number of repeat significant deficiencies and/or material weaknesses remaining within one year of determination	0	1	Not Met
5.1	Audit opinion score	1	1	Met
5.1	For each administrative / business system, score for maintaining compliance and alignment with OMB initiatives	1	1	Met
5.1	Mission-Critical Occupation Staffing (OHRM)	5%	3%	Met
5.1	Permanent Attrition (OHRM)	7%	5%	Exceeded
5.1	Hiring Timeline (days) (OHRM)	65	105	Not Met
5.1	Candidate Quality (OHRM)	70%	60%	Not Met
5.1	Disability Hires (OHRM)	14.0%	27.1%	Exceeded
5.1	Veteran Hires	23.2%	13.3%	Not Met
5.1	Percentage of Performance Indicator Targets Met	75%	88%	Exceeded
5.2	Cybersecurity Cross Agency Priority (CAP) Goal average for the Department	95%	100%	Exceeded
5.2	Cost / Schedule Overruns (OCIO) (Actual = % of Estimate)	100%	20%	Not Met
5.2	Continuous Monitoring (OCIO) (% of ongoing near real-time awareness and assessment of security risks)	95%	96%	Exceeded
5.2	Strong Authentication (OCIO) (% of users having access to Federal information Systems)	100%	95%	Met
5.2	Trusted Internet Connection Consolidation (OCIO) - % Consolidated	100%	100%	Met
5.2	Trusted Internet Connection Capabilities (OCIO) - % NOAA TIC service meets requirements	100%	98%	Met
5.2	Security Compliance Reviews (OCIO)	20	3	Not Met
5.3	Dollars (percentage) awarded using high-risk contracting authorities	46.9	24.0	Exceeded
5.3	Saving achieved through more efficient acquisition practices	16.9	81.4	Exceeded
5.3	Normal Priority Personnel Action Requests Completed on On-Time	98%	92%	Met
5.3	Request-to-Award Acquisition Transactions Completed in 120 days or Less	100%	100%	Met
5.3	Managed Print Service Calls at Commerce Headquarters Answered in One Hour or Less	95%	98%	Exceeded

DETAILED INDICATOR PLANS AND PERFORMANCE

Current / Recurring Indicators

Indicator	Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program Activity Name	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Customer Service						
Description	The Employee Engagement index consists of 15 FEVS questions that concentrate on factors that lead to an engaged workforce (e.g., supporting employee development, communicating agency goals). The source of the data for this indicator is the Federal Employee Viewpoint Survey.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	67%	67%	69%	71%	71%	73%	73%
Actual	68%	69%	71%	71%	73%		
Status	Exceeded	Exceeded	Exceeded	Met	Exceeded		

Indicator	Score on the New Inclusion Quotient Index of the Federal Employee Viewpoint Survey						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Customer Service						
Description	The New Inclusion Quotient (New IQ) consists of 20 FEVS questions with the highest correlation to inclusive environments. The New IQ is built on the concept that individual behaviors, repeated over time, form the habits that create the essential building blocks of an inclusive environment. The New IQ has 4 questions in common with the Employee Engagement Index, and workplace inclusion is a contributing factor to organizational performance. The source of this data is the Federal Employee Viewpoint Survey.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	66%	64%	64%	66%	66%	68%	68%
Actual	63%	63%	66%	66%	67%		
Status	Met	Met	Exceeded	Met	Exceeded		

Indicator	Percentage of high-volume processes with customer feedback elements						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Customer Service						
Description	Complete and effective customer feedback loops will be identified for the Department's 20 highest volume externally facing processes. Process owners must demonstrate how customer feedback is used to inform operational improvements and decisions before the loop will be counted as complete.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		100%	100%	100%	100%	100%	100%
Actual		100%	100%	100%	100%		
Status		Met	Met	Met	Met		

Indicator	Number of repeat significant deficiencies and/or material weaknesses remaining within one year of determination						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Intermediate Outcome						
Description	This indicator ensures that the Department of Commerce is accountable to the American people, and that no repeat Significant Deficiencies, formerly known as "Reportable Conditions," (i.e., deficiencies in the design or operation of internal controls) and material weaknesses remain unaddressed.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	0	0	0	0	0	0	0
Actual	1	1	2	1	1		
Status	Not Met	Not Met	Not Met	Not Met	Not Met		

Indicator	Audit opinion score						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Efficiency						
Description	This indicator reflects the result of the Financial Statement Audit. The goal is to receive an “unmodified” audit opinion. There are several types of audit opinions: (1) unmodified, in which the Auditor concludes that the Financial Statements give a true and fair view in accordance with the financial reporting framework used for the preparation and presentation of the Financial Statements [SCORE = 1]; (2) modified, in which the Auditor encounters a situation that does not comply with generally accepted accounting principles, however, the rest of the financial statements are fairly presented [SCORE = -1]; and (3) disclaimer, which is issued when the Auditor cannot form, and refuses to present, an opinion on the financial statements [SCORE = 0].						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	1	1	1	1	1	1	1
Actual	1	1	1	1	1		
Status	Met	Met	Met	Met	Met		

Indicator	For each administrative / business system, score for maintaining compliance and alignment with OMB initiatives						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Process						
Description	This indicator reflects the requirement to maintain compliance and alignment with OMB initiatives, including the guiding principles reflected in the OMB system modernization requirements (split projects into smaller, simpler segments with clear deliverables; focus on most critical needs first; and provide ongoing, transparent project oversight) data center consolidation requirements, and cloud computing requirements (Infrastructure as a Service; Software as a Service). A Score of "1" indicates compliance. A Score of "0" indicates non-compliance. The data is a subjective rating based on the Department's interactions with OMB, Treasury, and GSA regarding the modernization of the Department's financial, acquisition, and property management systems.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	1	1	1	1	1	1	1
Actual	1	1	1	1	1		
Status	Met	Met	Met	Met	Met		

Indicators (OHRM)	A. Mission-Critical Occupation Staffing B. Permanent Attrition C. Hiring Timeline D. Candidate Quality E. Disability Hires F. Veteran Hires						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Outcome						
Description	<p>These indicators represent a combination of measures that focus on strategic recruitment and retention, and the Department's efforts to achieve and maintain an inclusive, engaged, and productive workforce. These indicators permit a comprehensive assessment of the Department's efforts to strategically manage its human capital. Such an assessment is critical to ensure that the workforce contains the necessary skill sets to carry out the Department's mission. Data for these indicators come from various sources, including the National Finance Center (NFC), Hiring Manager Satisfaction Survey, and reporting from Commerce Servicing HR Offices.</p>						
A. Mission-Critical Occupation Staffing							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	5%	5%	5%	5%	5%	5%	5%
Actual	10%	8%	9%	9%	3%		
Status	Met	Met	Met	Met	Met		
B. Permanent Attrition (rate of permanent employees that intentionally separated, without agency incentive or action)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	7%	7%	7%	7%	7%	7%	7%
Actual	7%	7%	7%	5%	5%		
Status	Met	Met	Met	Exceeded	Exceeded		
C. Hiring Timeline (Average number of calendar days to complete hiring actions)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	65	65	65	65	65	65	65
Actual	88	101	89	92	105		
Status	Not Met	Not Met	Not Met	Not Met	Not Met		
D. Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	70%	70%	70%	70%	70%	70%	70%
Actual	64%	62%	54%	57%	60%		
Status	Met	Not Met	Not Met	Not Met	Not Met		

E. Disability Hires (Percentage of new hires that have a disability)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	10.0%	12.5%	13.0%	13.5%	14.0%	14.5%	TBD
Actual	12.3%	15.1%	21.9%	24.6%	27.1%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
F. Veteran Hires (Percentage of new hires that are veterans)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	20.2%	27.5%	25.9%	23.2%	23.2%	22.7%	TBD
Actual	13.7%	13.9%	10.2%	13.9%	13.3%		
Status	Not Met	Not Met	Not Met	Not Met	Not Met		

Indicator	Percentage of Performance Indicator Targets Met						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.1: Engage Commerce Employees						
Program	Operations and Administration						
Indicator Class	New						
Type	Outcome						
Description	This indicator represents the average of all indicators reported Department-wide. The results of this indicator lag one year after the results of all the indicators within the Department. This metric is calculated based on actuals for all public performance indicators.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		N/A	N/A	75%	75%	75%	75%
Actual		85%	88%	83%	88%		
Status				Exceeded	Exceeded		

Indicator	Cybersecurity Cross-Agency Priority (CAP) Goal average for the Department						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.2: Accelerate Information Technology Modernization						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Intermediate Outcome						
Description	This index is made up of 13 FEVS questions, which taken together indicate the extent to which employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	83%	80%	95%	95%	95%	95%	95%
Actual	84%	85%	100%	100%	100%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		

Indicator	A. Cost / Schedule Overruns B. Continuous Monitoring C. Strong Authentication D. Trusted Internet Connection Consolidation E. Trusted Internet Connection Capabilities F. Security Compliance Reviews						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.2: Accelerate Information Technology Modernization						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Intermediate Outcome						
Description	The Department must carefully manage and monitor its significant annual investment in information technology (IT) solutions and assets; perform ongoing security assessments; enforce strong authentication / PIV use; perform IT security compliance reviews of all operating units; and ensure TIC consolidated service meets TIC 2.0 requirements.						
A. Cost / Schedule overruns (Actual = % of Estimate)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	90%	90%	90%	90%	90%	76%	76%
Actual	20%	20%	20%	20%	20%		
Status	Not Met	Not Met	Not Met	Not Met	Not Met		

B. Continuous Monitoring (% of ongoing near real-time awareness and assessment of security risks)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	95%	95%	95%	95%	95%	95%	95%
Actual	100%	96%	96%	90%	96%		
Status	Exceeded	Not Met	Met	Met	Exceeded		
C. Strong Authentication (% of users having access to Federal information systems)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	75%	100%	100%	100%	100%	92%	92%
Actual	84%	88%	93%	93%	95%		
Status	Exceeded	Not Met	Met	Met	Met		
D. Trusted Internet Connection Consolidation (% Consolidated)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	95%	100%	100%	100%	100%	100%	100%
Actual	98%	100%	100%	100%	100%		
Status	Exceeded	Met	Met	Met	Met		
E. Trusted Internet Connection Capabilities (% NOAA TIC service meets requirements)							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100%	100%	100%	100%	100%	100%	100%
Actual	83%	85%	98%	98%	100%		
Status	Not Met	Not Met	Met	Met	Met		
F. Security Compliance Reviews							
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	20	20	20	20	20	20	20
Actual	15	87	270	393	3		
Status	Not Met	Exceeded	Exceeded	Exceeded	Not Met		

Indicator	Dollars (Percentage) awarded using high-risk contracting authorities						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.3: Consolidate Functions for Cost Savings						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Intermediate Outcome						
Description	This element/indicator measures the Department's progress in managing risk through reducing the use of high-risk contracting authorities. High-risk contracting authorities, such as noncompetitive contracting, cost-reimbursement contracts, and time-and materials and labor-hour contracts, pose special risks of overspending. The Department's high-risk contracting percentage for the base year (FY2009) was 53.4%, and OMB directed that we maintain a 10% reduction from the FY 2009 based on the share of dollars obligated under new contract actions that use high-risk contracting authorities for future FYs. The Department's target is 46.9%, which is a 10% reduction from the FY 2009 base. The target is depicted as a percentage. A percentage equal to or lower than 46.9% is favorable. Federal Procurement Data System (FPDS) is the data source that is used for information pertaining to high-risk contracting activities and is the single source for U.S. government-wide procurement data.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	46.9%	46.9%	46.9%	46.9%	46.9%	46.9%	46.9%
Actual	46.9%	46.9%	46.9%	46.9%	24.0%		
Status	Met	Met	Met	Met	Exceeded		

Indicator	Savings Achieved through more effective acquisition practices (millions)						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.3: Consolidate Functions for Cost Savings						
Program	Operations and Administration						
Indicator Class	Current / Recurring						
Type	Outcome						
Description	Sound acquisition practices help guard against inefficiency and waste and improve the ability to obtain quality supplies and services that are on time and within budget. There are many ways to achieve savings through more effective acquisition practices, including: ending contracts that do not meet program needs; negotiating more favorably priced contracts; developing more strategic acquisition approaches; and reengineering ineffective business processes. This element will measure the Department's progress in reducing spending through more effective acquisition practices.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	18.0	18.0	18.0	16.9	31.0	41.1	46.4
Actual	17.0	25.0	36.0	49.0	81.4		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded		

New Indicators

Indicator	Normal Priority Personnel Action Requests Completed On-Time						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.3: Consolidate Functions for Cost Savings						
Program	Working Capital Fund						
Indicator Class	New						
Type	Customer Service						
Description	This indicator describes a major service that ES provides to its customer base via the HR Tower -- that being the timely processing of Personnel Action Requests (PARs) which are used to accommodate all categories of pay and non-pay related personnel changes for in-scope bureau employees. Examples include (but are not limited to) interim appointments, return-to-duty, change-in-duty station, cash awards, relocation incentive, locality pay, and many others. The sources for these data are: Treasury HR system (HRConnect); NFC Payment system (PAYE and subsystems); ES ServiceNow system; and the ES Tableau Data.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				98%	98%	98%	98%
Actual				97%	92%		
Status				Met	Met		

Indicator	Request to Award Acquisition Transactions Completed in 120 Days or Less						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.3: Consolidate Functions for Cost Savings						
Program	Working Capital Fund						
Indicator Class	New						
Type	Customer Service						
Description	This indicator describes a major service that ES provides to its customer base via the Acquisition Tower -- that being the delivery of supplies and/or services from requirements submission to final contract award (i.e., the full procurement cycle). 100% <= 120 Days. The sources for these data are the C. Suite System (Procurement Action Lead Time Report) and the ES Tableau Data Environment.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				100%	100%	100%	100%
Actual				100%	100%		
Status				Met	Met		

Indicator	Managed Print Service Calls at Commerce Headquarters Answered in One Hour or Less						
Strategic Goal	5: Deliver Customer-Centric Service Excellence						
Objective	5.3: Consolidate Functions for Cost Savings						
Program	Working Capital Fund						
Indicator Class	New						
Type	Customer Service						
Description	This indicator describes a major service that ES provides to its customer base via the IT Tower -- that being full installation, maintenance (including print supplies), and repair services for a growing base of high performance printing resources located at the Department's headquarters. The sources for these data are the Cartridges Technologies Incorporated (CTI) Systems, and the ES Tableau Data Environment.						
	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				95%	95%	95%	95%
Actual				100%	98%		
Status				Exceeded	Exceeded		