

U.S. DEPARTMENT OF COMMERCE
DEPARTMENTAL MANAGEMENT



FY 2020 CONGRESSIONAL SUBMISSION

Department of Commerce
 Departmental Management
 Budget Estimates, Fiscal Year 2020
 Congressional Submission

Table of Contents

Exhibit Number	<u>Exhibit</u>	<u>Page</u>
2	Organization Chart.	DM - 1
3	Executive Summary.	DM - 3
3T	Transfer Change Detail by Object Class	DM - 6
4A	Program Increase/Decreases/Terminations.	DM - 7
4T	Transfer Summary Table	DM - 9
	<u>Salaries and Expenses:</u>	
5	Summary of Resource Requirements: Direct Obligations.	DM - 10
6	Summary of Reimbursable Obligations.	DM - 12
7	Summary of Financing.	DM - 13
8	Adjustments-to-Base	DM - 14
10	Program and Performance: Direct Obligations.	DM - 16
11	Program and Performance: Reimbursable Obligations.	DM - 17
12	Justification of Program and Performance - Salaries and Expenses Overview.	DM - 18
13-15	Program Change for 2020 - Office of Space Commerce.	DM - 20
13-15	Program Change for 2020 - Continuity of Operations and Government - Enabling Technology	DM - 23
13-15	Program Change for 2020 - Continuity of Operations Facility - Ongoing Operations and Maintenance.	DM - 26
13-15	Program Change for 2020 - Salaries and Expenses ATB.	DM - 30
13-15	Program Change for 2020 - Centralized FOIA Record Search with De-duplication & Analytics Capabilities	DM - 33
13-15	Program Change for 2020 - Security Program/Plans, Programs and Compliance Policy Support	DM - 38
13-15	Program Change for 2020 - Office of General Counsel Case Management, E-Discovery, and Litigation Hold Platform.	DM - 43
13-15	Program Change for 2020 - Senior Budget Analyst	DM - 46
16	Summary of Requirements by Object Class.	DM - 50
32	Justification of Proposed Language Changes.	DM - 52
33	Appropriation Language and Code Citation	DM - 53
34	Advisory and Assistance Services.	DM - 54
35	Periodicals, Pamphlets, and Audiovisual Products	DM - 55

Department of Commerce
 Departmental Management
 Budget Estimates, Fiscal Year 2020
 Congressional Submission

Table of Contents

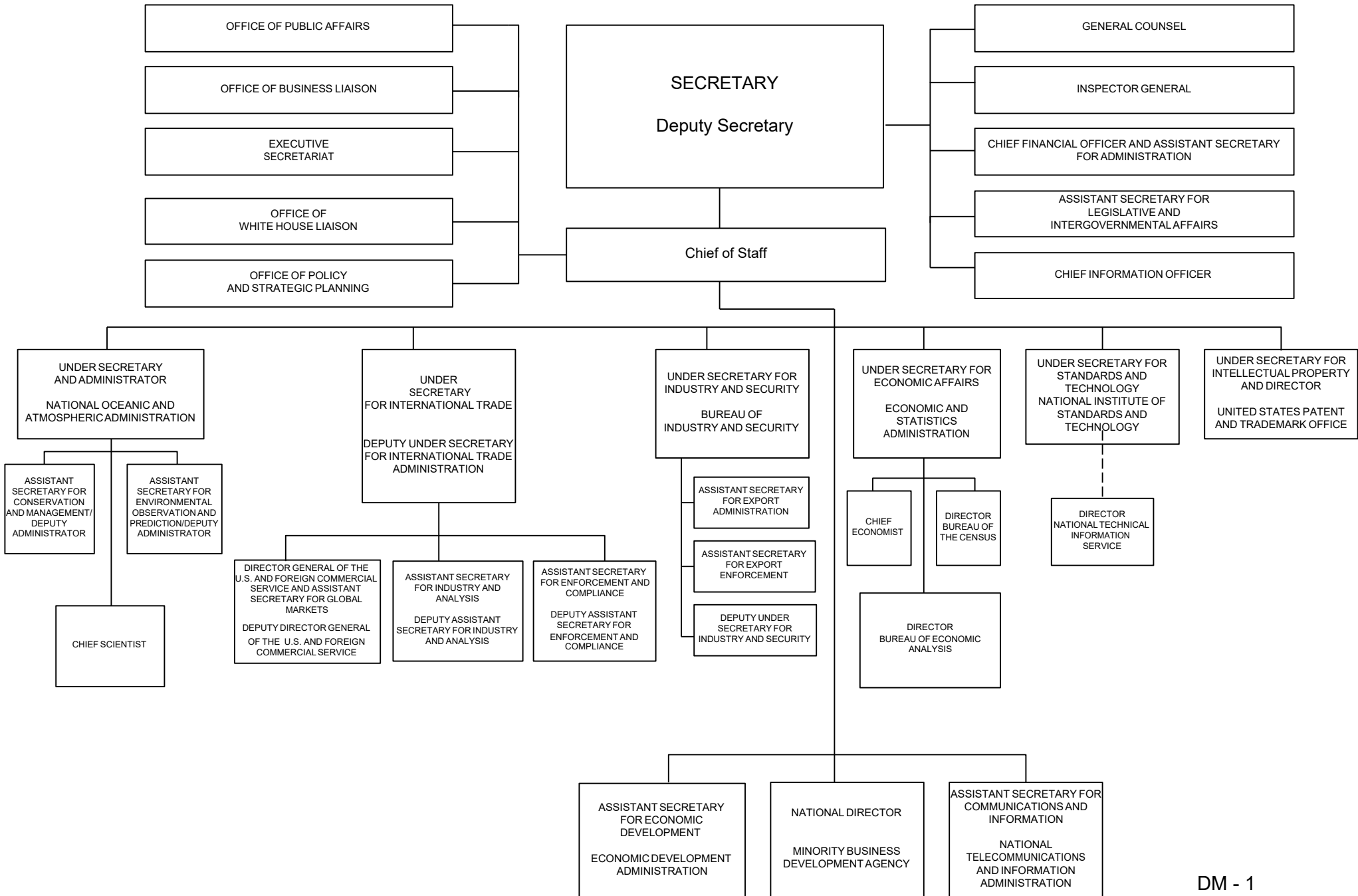
Exhibit Number	<u>Exhibit</u>	<u>Page</u>
36	Average Grade and Salaries.	DM - 56
	<u>HCHB Renovation and Modernization:</u>	
5	Summary of Resource Requirements: Direct obligations.	DM - 58
7	Summary of Financing.	DM - 60
8	Adjustments-to-Base	DM - 61
10	Program and Performance: Direct Obligations.	DM - 63
12	Justification of Program and Performance - HCHB Renovation and Modernization.	DM - 64
13-15	Program Change for 2020 - HCHB Renovation and Modernization	DM - 66
16	Summary of Requirements by Object Class.	DM - 69
33	Appropriation Language and Code Citation	DM - 71
36	Average Grade and Salaries.	DM - 72
	<u>IT System Modernization and Working Capital Fund</u>	
5	Summary of Resource Requirements: Reimbursable obligations.	DM - 74
7	Summary of Financing.	DM - 76
10	Program and Performance: Reimbursable Obligations.	DM - 77
12	Justification of Program and Performance - IT System Modernization and Working Capital Fund.	DM - 78
13-15	Program Change for 2020 - Business Application Solutions (BAS).	DM - 81
16	Summary of Requirements by Object Class.	DM - 86
32	Justification of Proposed Language Change.	DM - 88
	<u>Working Capital Fund:</u>	
5	Summary of Resource Requirements: Reimbursable obligations.	DM - 90
6	Summary of Reimbursable Obligations.	DM - 92
7	Summary of Financing.	DM - 93
8	Adjustments-to-Base	DM - 94
11	Program and Performance: Reimbursable Obligations.	DM - 95

Department of Commerce
 Departmental Management
 Budget Estimates, Fiscal Year 2020
 Congressional Submission

Table of Contents

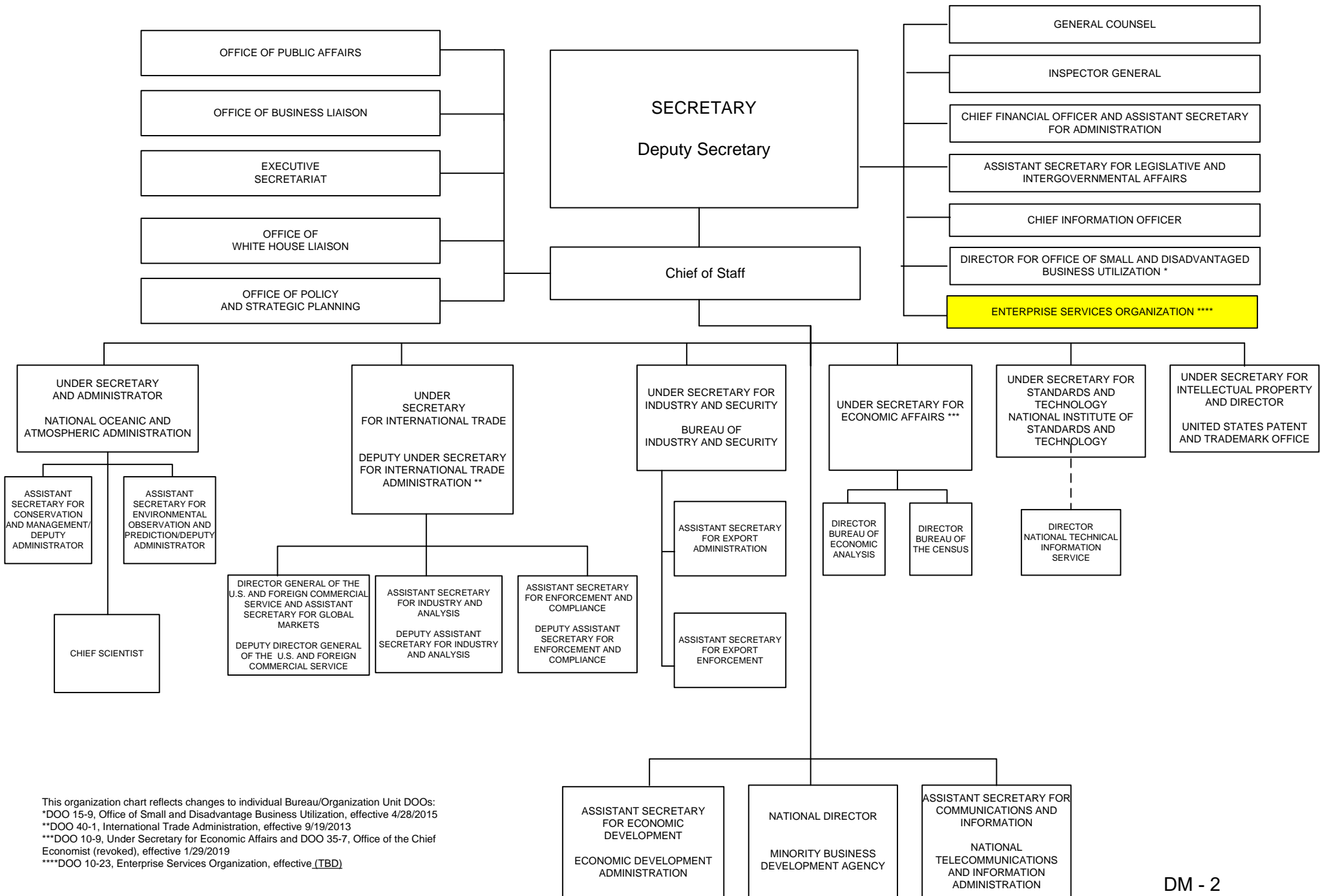
Exhibit Number	<u>Exhibit</u>	<u>Page</u>
12	Justification of Program and Performance - WCF Overview.	DM - 96
13-15	Program Change for 2020 - Continuing Diagnostics and Mitigation (CDM).	DM - 100
13-15	Program Change for 2020 - Information and Personnel Security Operations.	DM - 103
13-15	Program Change for 2020 - HCHB Security	DM - 107
13-15	Program Change for 2020 - 21st Century – AV/VTC Equipment Refresh and Operational and Maintenance Support	DM - 111
13-15	Program Change for 2020 - National Security Solutions and Services (NS3)	DM - 114
13-15	Program Change for 2020 - Electronic Financial Disclosure Filing System	DM - 117
13-15	Program Change for 2020 - Annualization of FY 2018 Emergent Requirements	DM - 119
	WCF Direct costs by Office.	DM - 121
	WCF Direct costs by Bureau.	DM - 122
16	Summary of Requirements by Object Class.	DM - 123
34	Advisory and Assistance Services.	DM - 125
36	Average Grade and Salaries.	DM - 126
	<u>APP/APR:</u>	
	FY 2020 Departmental Management Performance Planning Backup.	DM - 128

U.S. DEPARTMENT OF COMMERCE



U.S. DEPARTMENT OF COMMERCE

Exhibit to DOO 1-1
Effective 3/14/2019



This organization chart reflects changes to individual Bureau/Organization Unit DOOs:
 *DOO 15-9, Office of Small and Disadvantage Business Utilization, effective 4/28/2015
 **DOO 40-1, International Trade Administration, effective 9/19/2013
 ***DOO 10-9, Under Secretary for Economic Affairs and DOO 35-7, Office of the Chief Economist (revoked), effective 1/29/2019
 ****DOO 10-23, Enterprise Services Organization, effective (TBD)

Department of Commerce
DEPARTMENTAL MANAGEMENT
Budget Estimates, Fiscal Year 2020

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:

The **Salaries and Expenses** appropriation provides funding for the development and implementation of Departmental policies, coordinates the bureaus' program activities to accomplish the Departmental mission, and provides funds for the development and implementation of the Department's internal policies, procedures, and other administrative guidelines.

The FY 2020 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 2020 request also includes funding for Security policy, and Budget compliance personnel.

The **Herbert C. Hoover Building (HCHB) Renovation and Modernization** account 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 2020 request 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 operating beyond their useful life and deteriorating.

The **Information Technology System Modernization and Working Capital Fund** is a new request to fund Commerce's Business Applications Solutions (BAS) project. Funding is requested to commence 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.

The **Working Capital Fund** is a reimbursable fund, providing necessary centralized services to the client bureaus. These 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 2020 request includes funding for the Continuing Diagnostics and Mitigation (CDM) program to meet the requirements of the Department of Homeland Security, the National Security Solutions and Services (NS3) program, an Electronic Financial Disclosure filing system, personnel for HCHB Security and Information and Personnel Security Operations, and audiovisual teleconferencing upgrades.

Adjustments:

Inflationary Adjustments

Departmental Management's FY 2020 Base includes a total of \$2,655,000 and 0 FTE/ 0 positions to account for the full funding requirement for inflationary adjustments to current programs for Operations and Administration. This includes the FY 2019 pay raise of 1.9 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 (GSA).

Transfers

NOAA/ORF transfer eleven position and \$3,600,000 to Departmental Management for Space Commerce.

From Office	Subactivity	To Office	Subactivity	Amount
NOAA	Operations, Research and Facilities	Departmental Management	Operations and Administration	\$3,600,000/ 9 FTE/ 11 positions

Department Management requests a technical adjustment to move \$3,600,000 and 9 FTE/ 11 positions from the National Oceanic and Atmospheric Administration, Operations, Research and Facilities Sub activity to Departmental Management, Operations and Administration Sub activity. The technical adjustment will strengthen and create a robust U.S. commercial space industry.

Department of Commerce Information Technology (IT) Resource Statement of FY 2020

In accordance with 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 Department CIO collaborated with all line offices and programs within, DOC and the Chief Financial Officer (CFO) on the IT Budget submissions 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 Department 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, the desired development outcome is "Partially Addressed" and 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 Department are using incremental development practices.

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

Activity: Office of Space Commerce
Subactivity: NOAA Transfer

<u>Object Class</u>	<u>2019 Enacted</u>	<u>2020 Transfer</u>	<u>2020 Base</u>
11.1 Full-time permanent compensation	0	1,092	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	0	0
12 Civilian personnel benefits	0	336	336
13 Benefits for former personnel	0	0	0
21 Travel and transportation of persons	0	108	108
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
25.1 Advisory and assistance services	0	610	610
25.2 Other services from non-Federal sources	0	551	551
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	0	0
25.8 Subsistence and support of persons	0	0	0
26 Supplies and materials	0	2	2
31 Equipment	0	0	0
32 Lands 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
77 Overhead	0	98	98
99 Total obligations	0	3,600	3,600

Department of Commerce
DEPARTMENTAL MANAGEMENT
FY 2020 PROGRAM INCREASES / DECREASES / TERMINATIONS

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

Increases

Page No In CJ	Appropriations	Budget Program	Title of Increase	Positions	Budget Authority
DM - 74	Information Technology System Modernization and Working Capital Fund	Operation and Administration	Business Application Solution	9	22,000
DM - 20	Salaries and Expenses	Operations and Administration	Office of Space Commerce	0	6,400
DM - 23	Salaries and Expenses	Operations and Administration	Continuity of Operations and Government – Enabling Technology	0	2,300
DM - 26	Salaries and Expenses	Operations and Administration	Continuity of Operations Facility – Ongoing Operations and Maintenance	0	1,185
DM - 33	Salaries and Expenses	Operations and Administration	Centralized FOIA Record Search with De- duplication and Analytics Capabilities	2	470
DM - 38	Salaries and Expenses	Operations and Administration	Security Program/Plans, Programs and Compliance Policy Support	1	251
DM - 43	Salaries and Expenses	Operations and Administration	Office of General Counsel Case Management, E-Discovery, and Litigation Hold Platform	0	250
DM - 46	Salaries and Expenses	Operations and Administration	Non-Supervisory Senior Budget Analyst	1	190
DM - 66	Renovation and Modernization	HCHB Renovation and Modernization	HCHB Renovation	0	1,100

DM - 100	Working Capital Fund	Operations and Administration	Continuing Diagnostics and Mitigation (CDM)	2	1,914
DM - 114	Working Capital Fund	Operations and Administration	National Security Solutions and Services (NS3)	0	2,108
DM - 103	Working Capital Fund	Operations and Administration	Information and Personnel Security Operations	4	900
DM - 107	Working Capital Fund	Operations and Administration	HCHB Security	1	589
DM - 117	Working Capital Fund	Operations and Administration	Electronic Financial Disclosure Filing System	0	443
DM - 111	Working Capital Fund	Operations and Administration	IT ADV Equipment (21 st Century Shared Spaces)	0	350
Subtotal, Increases				31	40,450

Decreases

Page No In CJ	Appropriations	Budget Program	Title of Decrease	Positions	Budget Authority
DM - 30	Salaries and Expenses	Operations and Administration	Reduction to travel, transportation, utilities, equipment, and other non-government contracts.	0	(1,194)
				0	0
Subtotal, Decreases				0	(1,194)

Terminations

Page No In CJ	Appropriations	Budget Program	Title of Termination	Positions	Budget Authority
				0	0
				0	0
Subtotal, Terminations				0	0

Department of Commerce
Departmental Management
FY 2020 TRANSFER SUMMARY TABLE
(Dollar amounts in thousands)
(Grouped by Title of Transfer, Largest to Smallest)

Budget Program	Appropriations	Title of Transfer	Positions	Budget Authority
Salaries and Expenses	Operations and Administration	NOAA ORF Transfer to Departmental Management	11	3,600
Total, Transfers			11	3,600

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

	Positions	FTE	Budget Authority	Direct Obligations
2019 Enacted	214	192	63,000	63,057
Less: Obligations from prior years			0	(57)
Plus: Transfer from NOAA ORF	11	9	3,600	3,600
Plus: Inflationary/Adjustments to base	0	0	2,655	2,655
2020 Base	225	201	69,255	69,255
Plus: 2020 Program Changes	4	3	9,852	9,852
2020 Estimate	229	204	79,107	79,107

Comparison by activity/subactivity: with totals by activity		2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	213	63,000	214	63,000	225	69,255	229	79,107	4	9,852
	FTE/Obl.	191	68,031	192	63,057	201		204		3	
TOTALS	Pos./BA	213	63,000	214	63,000	225	69,255	229	79,107	4	9,852
	FTE/Obl.	191	68,031	192	63,057	201		204		3	

Adjustments to Obligations:											
Unobligated balance, start of year			(57)		(57)						
Unobligated balance, transferred			(5,546)								
Unobligated balance, end of year			57								
Unobligated balance, expiring			515								

Financing from Transfers:											
Transfer from other accounts (-)											0
Transfer to other accounts (+)											

Appropriation	63,000	63,000	69,255	79,107	9,852
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Department of Commerce
 Departmental Management
 Salaries and Expenses
 SUMMARY OF REIMBURSABLE OBLIGATIONS
 (Dollar amounts in thousands)

		2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	73		72		72		72		0	
	FTE/Obl.	71	94,840	70	107,695	70	109,923	70	109,923	0	0
TOTALS	Pos./BA	73		72		72		72		0	
	FTE/Obl.	71	94,840	70	107,883	70	109,923	70	109,923	0	0
Adjustments to Obligations:											
Recoveries (COMMITTS)			(50)								
Unobligated balance, start of year (COMMITTS)			(138)		(188)						
Unobligated balance, transferred											
Unobligated balance, end of year			188								
Unobligated balance, expiring											
Financing from Transfers:											
Transfer from other accounts (-)											
Transfer to other accounts (+)											
Reimbursable Authority			94,840		107,695		109,923		109,923		0

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

	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Total Obligations	162,871	170,940	179,178	189,030	9,852
Offsetting collections from:					
Federal funds	(94,840)	(107,695)	(109,923)	(109,923)	0
Trust funds					
Non-Federal sources					
Recoveries	(50)	0			
Unobligated balance, start of year	(195)	(245)			
Unobligated balance, transferred	(5,546)	0			
Unobligated balance, end of year	245	0			
Unobligated balance, expiring	515	0			
Budget Authority	<u>63,000</u>	<u>63,000</u>	<u>69,255</u>	<u>79,107</u>	<u>9,852</u>
Financing:					
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	0	0	0	0	0
Appropriation	<u>63,000</u>	<u>63,000</u>	<u>69,255</u>	<u>79,107</u>	<u>9,852</u>

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

	<u>Amount</u>
Transfer from NOAA ORF	3,600
Subtotal, Adjustments	<u>3,600</u>
Other Changes:	
FY 2019 pay raise	488
FY 2020 pay raise	0
Full-year cost in 2020 of positions financed for part-year in 2019	0
Change in Compensable Days	122
Civil Service Retirement System (CSRS)	(18)
Federal Employees' Retirement System (FERS)	604
Thrift Savings Plan (TSP)	5
Federal Insurance Contribution Act (FICA) - OASDI	40
Health Insurance	11
Employee Compensation Fund	(33)
Travel:	
Mileage	9
Per Diem	1
Rental Payments to GSA	294
Postage	0
Printing and Reproduction	0
Other Services:	
National Archives & Records Admin. Storage	3
Commerce Business System	319
Working Capital Fund	732
Utilities (Electricity)	7
Utilities (Water)	4
GSA Steam	65

	Federal Protective Service	2
	General Pricing Level Adjustments:	
	Transportation of Things	0
	Rental Payment to Others	0
	Communications & misc.	0
	Other Services	0
	Maintenance of Operations	0
	Supplies	0
	Equipment	0
		<hr/>
	Subtotal, Other Changes	2,655
	Less Amount Absorbed	
	Total, Adjustments to Base	<hr/>
		6,255

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

	2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base		
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	
Compare by activity:											
Operations and Administration	Pos./BA	213	63,000	214	63,000	225	69,255	229	79,107	4	9,852
	FTE/Obl.	191	68,031	192	63,057	201	0	204	0	3	0
TOTALS	Pos./BA	213	63,000	214	63,000	225	69,255	229	79,107	4	9,852
	FTE/Obl.	191	68,031	192	63,057	201		204		3	

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

		2018		2019		2020		2020		Increase/(Decrease)	
		Actuals		Enacted		Base		Estimate		Over 2020 Base	
Comparison by activity:		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	73		72		72		72		0	
	FTE/Obl.	71	94,840	70	107,695	70	109,923	70	109,923	0	0
1/ COMMITS	Pos./BA	0		0		0		0		0	
	FTE/Obl.	0	0	0	0	0	0	0	0	0	0
TOTALS	Pos./BA	73		72		72		72		0	
	FTE/Obl.	71	94,840	70	107,695	70	109,923	70	109,923	0	0

1/ Commerce Information Technology Solutions

Department of Commerce
Departmental Management
Salaries and Expenses
JUSTIFICATION OF PROGRAM AND PERFORMANCE

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, for 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, 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 Salaries and Expenses 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, Security, Civil Rights, Privacy and Open Government, Budget, Acquisitions Management and Enterprise Services.

Department of Commerce
 Departmental Management
 Salaries and Expenses
 JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: Operations and Administration

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, providing consistency in the bureaus’ administrative operations.

Explanation and Justification

	<u>2018 Actual</u>		<u>2019 Enacted</u>		<u>2020 Base</u>	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration						
Pos./BA	213		214		225	69,255
		63,000		63,000		

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	0	6,400,000	0	6,400,000
	FTE/Obl.	0	0	0	6,400,000	0	6,400,000

Office of Space Commerce (+\$6,400, 0 FTE/0 Positions) - This request will place Space Commerce in Departmental Management.

The budget request of \$10 million for the Office of Space Commerce proposes to reallocate resources of \$3.6 million and 11 positions from NOAA Operations, Research and Facilities and \$6.4 million in new appropriations. The office focuses on various sectors of the space commerce industry, including satellite navigation (GPS), commercial remote sensing, space transportation, and entrepreneurial activities. The office participates in government-wide discussions of space policy issues as well as internal efforts to increase the National Oceanic and Atmospheric Administration (NOAA) use of commercial space solutions.

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

	Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 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	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	Commun., util., and misc. charges	0	0	0	0	0
24	Printing and reproduction	0	0	0	0	0
25	Other contractual services					
25.1	Advisory and assistance services	0	0	0	0	0
25.2	Other services from non-Federal sources	0	0	0	6,400	6,400
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	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	<u>0</u>	<u>0</u>	<u>0</u>	<u>6,400</u>	<u>6,400</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	0	2,300	0	2,300
	FTE/Obl.	0	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 the DOC's COG mission essential functions; and, the DOC's COOP for OS. To meet 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 2020 request for \$2.3M includes all telecommunications, equipment, service and support to implement the site IT infrastructure.

Performance Measures:	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	Target	Target	Target	Target	Target
With Program Change	2,300	750	900	1,080	1,296

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

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 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 Commun., util., 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
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

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/> 0	<hr/> 0	<hr/> 0	<hr/> 2,300	<hr/> 2,300

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	7	2,971	7	4,156	0	1,185
	FTE/Obl.	7	2,971	7	4,156	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 of Commerce (Department), 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, Federal Continuity Directive (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 Continuity of Government program.

Performance Measures:	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	Target	Target	Target	Target	Target
With Change to required systems and system communication	100%	100%	100%	100%	100%
Without Change to required systems and system communication	58%	58%	58%	58%	58%

Description: A dedicated COOP facility with the required systems and system communication capabilities, will be increased from 9 of the 17 required, to 17 of the 17 required for COOP under OSTP/OMB D-16-1. As communications is a key element of COOP, these additional communication capabilities will drastically improve COOP.

Performance Measures

	<u>FY 2020</u>	<u>FY 2021</u>	<u>FY 2022</u>	<u>FY 2023</u>	<u>FY 2024</u>
	Target	Target	Target	Target	Target
With Change	100%	100%	100%	100%	100%
Without Change	84%	84%	84%	84%	84%

Description: A dedicated COOP facility will increase the Department's scores in the external evaluation of the COOP Program by FEMA. Currently we meet 11 of the 13 evaluated elements.

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

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	931	995	995	995	0
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	19	35	35	35	0
11.8 Special personnel services payments	35	318	318	318	0
11.9 Total personnel compensation	985	1,348	1,348	1,348	0
12.1 Civilian personnel benefits	329	400	400	400	0
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	2	48	48	48	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
23.3 Commun., util., and misc. charges	2	5	5	5	0
24 Printing and reproduction	3	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	1,607	1,073	1,102	2,287	1,185
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	8	28	29	29	0
31 Equipment	0	36	37	37	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/> 2,936	<hr/> 2,940	<hr/> 2,971	<hr/> 4,156	<hr/> 1,185

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration							
	Pos./BA	0	0	0	1,194	0	1,194
	FTE/Obl.	0	0	0	1,194	0	1,194

Salaries and Expenses ATB (+\$1,194, 0 FTE/0 Positions) - This request will decrease the account overhead cost and contractual services both federal and non-federal.

In order to fund the \$1.194 million reduction, the office plans to reduce travel, transportation, utilities, equipment and other non-government contracts.

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

Activity: Operation and Administration
 Subactivity: Operation and Administration

	Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1	Full-time permanent (Compensation)	20,889	25,691	27,785	27,785	0
11.3	Other than full-time permanent	0	0	0	0	0
11.5	Other personnel compensation	994	1,263	1,268	1,268	0
11.8	Special personnel services payments	0	0	0	0	0
11.9	Total personnel compensation	21,883	26,954	29,053	29,053	0
12.1	Civilian personnel benefits	6,867	9,014	10,106	10,106	0
13	Benefits for former personnel	23	0	0	0	0
21	Travel and transportation of persons	696	1,003	1,136	986	(150)
22	Transportation of things	34	74	74	54	(20)
23	Rent, communications, and utilities	0	0	0	0	0
23.1	Rental payments to GSA	4,024	4,010	4,315	4,315	0
23.2	Rental payments to others	22	0	0	0	0
23.3	Commun., util., and misc. charges	641	899	1,632	1,532	(100)
24	Printing and reproduction	85	98	114	114	0
25	Other contractual services					
25.1	Advisory and assistance services	95	189	799	799	0
25.2	Other services from non-Federal sources	15,434	4,173	6,248	5,773	(475)
25.3	Other goods and services from Federal sources	15,917	15,855	24,008	24,008	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	589	304	327	327	0
31	Equipment	1,721	484	2,489	2,040	(449)
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>68,031</u>	<u>63,057</u>	<u>80,301</u>	<u>79,107</u>	<u>(1,194)</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personne	Amount	Personnel	Amount
Operations and Administration	Pos./BA	7	1,398	9	1,868	2	470
	FTE/Obl.	7	1,398	9	1,868	1	470

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

Performance Measures:	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
Freedom of Information Act (FOIA) 10 Percent Reduction of FOIA Backlog	Target	Target	Target	Target	Target
With Change in Freedom of Information Act (FOIA) backlogged cases	202	152	150	120	85
Without change of 10 Percent Reduction of FOIA Backlog Cases	551	606	667	734	807

Description: Reduction of Department Overall FOIA Backlog by 10%.

	<u>FY 2020</u>	<u>FY 2021</u>	<u>FY 2022</u>	<u>FY 2023</u>	<u>FY 2024</u>
Closure of Department's 10 Oldest Backlogged FOIA Requests	Target	Target	Target	Target	Target
With Change in backlogged cases	10	10	10	10	10
Without Change in backlogged cases	5	5	5	5	5
Description: Closure of Department's Overall 10 Oldest Backlogged FOIA Requests					

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

Title	Grade Number	Annual Salary	Total Salaries
Government Information Specialist	ZA-III	2 108,803	217,606
Total		2	217,606
Less Lapse		25% (1)	(54,402)
Total Full-time permanent (FTE)		1	163,205
2020 pay Adjustment (0.0%)		0%	-
			163,205

Personal Data Summary

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

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

	Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1	Full-time permanent (Compensation)	917	1,006	1,006	1,227	163
11.3	Other than full-time permanent		0	0		0
11.5	Other personnel compensation	15	15	15	15	0
11.8	Special personnel services payments		0	0		0
11.9	Total personnel compensation	932	1,021	1,021	1,242	163
12.1	Civilian personnel benefits	282	310	310	310	57
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	Commun., util., and misc. charges	2	6	6	6	0
24	Printing and reproduction	3	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	117	49	50	300	250
25.3	Other goods and services from Federal sources	5	2	2	1	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	27	1	1	1	0
26	Supplies and materials	9	3	3	3	0
31	Equipment	14	5	5	5	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/> 1,391	<hr/> 1,397	<hr/> 1,398	<hr/> 1,868	<hr/> 470

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	7	2,971	8	3,222	1	251
	FTE/Obl.	7	2,971	8	3,222	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 to drive 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 in part will ensure the application of effective program and project management tools to promote the success of ongoing, complex programs and initiatives and promote Department 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.

Performance Measures:

	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
Target	35%	65%	95%	100%	100%
	15%	20%	25%	30%	35%

Description: OSY's Security Manual needs to be revised and updated. The selected individual will partner with the various subject matter to triage and expedite the review and update of chapters to ensure information is current and shared with DOC operating units

Performance Measures:

FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
Target	Target	Target	Target	Target
100%	100%	100%	100%	100%
20%	20%	20%	20%	20%

Description: The Program Manager duties are governed by strict regulations and directives that have significantly increased with standards and directives issued by external agencies such as the Office of Management and Budget, the National Institute of Standards and Technology, and the General Services Administration’s Office of Government-wide Policy. There are continual compliance issues that are currently accomplished at minimal levels. The impact of this resource will be an immediate positive change in programs where there is a clear need for oversight.

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
2020 pay Adjustment (0.0%)		0%		-
				114,373

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

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	931	995	1,033	1,147	114
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	19	15	15	17	2
11.8 Special personnel services payments	35	20	20	23	3
11.9 Total personnel compensation	985	1,030	1,068	1,187	119
12.1 Civilian personnel benefits	329	318	336	370	34
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	2	48	48	53	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 Commun., util., and misc. charges	2	5	5	9	4
24 Printing and reproduction	3	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	1,607	1,417	1,444	1,505	61
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	5	5
26 Supplies and materials	8	30	31	34	3
31 Equipment	0	36	37	44	7
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>2,936</u>	<u>2,886</u>	<u>2,971</u>	<u>3,222</u>	<u>251</u>

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		<u>2020 Base</u>		<u>2020 Estimate</u>		<u>Increase</u> <u>(Decrease)</u>	
		Personnel Amount		Personnel Amount		Personn Amount	
Operations and Administration	Pos./BA	0	0	0	250	0	250
	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.

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

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)					
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
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 Commun., util., 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					0
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				250	250
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
99.9	Total obligations								0

									0
									0
									0
									250
									250

Department of Commerce
 Departmental Management
 Salaries and Expenses
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase (Decrease)	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	21	3,729	22	3,919	1	190
	FTE/Obl.	21	3,729	22	3,919	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 compilation and updating all formulation and execution data calls, updating the office’s Department Administrative Orders (DAO) and budget handbook ensuring the compliance of policy decision 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 the updating of 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
2020 pay Adjustment (0.0%)	0%			-
				114,570

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

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	2,040	2,691	2,726	2,841	115
11.3 Other than full-time permanent		0	0	0	0
11.5 Other personnel compensation	22	28	28	28	0
11.8 Special personnel services payments		0	0	0	0
11.9 Total personnel compensation	2,062	2,719	2,754	2,869	115
12.1 Civilian personnel benefits	643	834	834	872	38
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	6	0	0	0	0
22 Transportation of things	0	6	6	6	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	5	5	5	5	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	2	3	3	3	0
24 Printing and reproduction	3	7	7	7	0
25 Other contractual services	10	9	9	10	1
25.1 Advisory and assistance services	30	29	30	30	0
25.2 Other services from non-Federal sources	0	(9)	(9)	11	20
25.3 Other goods and services from Federal sources	11	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	79	81	81	0
26 Supplies and materials	84	(6)	(6)	10	16
31 Equipment	15	15	15	15	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	<u>2,871</u>	<u>3,691</u>	<u>3,729</u>	<u>3,919</u>	<u>190</u>

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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
11 Personnel compensation:					
11.1 Full-time permanent	20,889	25,691	27,393	27,785	392
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	994	1,263	1,263	1,268	5
11.9 Total personnel compensation	21,883	26,954	28,656	29,053	397
12.1 Civilian personnel benefits	6,867	9,014	9,959	10,106	147
13 Benefits for former personnel	23	0	0	0	0
21 Travel and transportation of persons	730	1,077	1,195	1,040	(155)
23.1 Rental payments to GSA	4,024	4,010	4,304	4,315	11
23.2 Rental payments to others	22	0	0	0	0
23.3 Communication, utilities and miscellaneous charges	641	899	1,086	1,532	446
24 Printing and reproduction	85	98	98	114	16
25.1 Advisory and assistance services	95	189	799	799	0
25.2 Other services	15,434	4,173	4,667	5,773	1,106
25.3 Purchase of goods and services from Gov't accounts	15,917	15,855	17,603	24,008	6,405
26 Supplies and materials	589	304	306	327	21
31 Equipment	1,721	484	582	2,040	1,458
32 Land Structures	0	0	0	0	0
99 Total obligations	68,031	63,057	69,255	79,107	9,852
Less prior year recoveries	0				
Unobligated balance, start of year	(57)	(57)			
Unobligated balance, transferred	(5,546)				
Unobligated balance, end of year	57				
Unobligated balance, expiring	515				
Transfers from other accounts	0				
TOTAL BUDGET AUTHORITY	63,000	63,000	69,255	79,107	9,852

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

Personnel Data	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Full-Time Equivalent Employment:					
Full-time Permanent	151	152	161	164	3
Other than full-time permanent	40	40	40	40	0
Total	191	192	201	204	3
Authorized Positions:					
Full-time permanent	163	164	175	179	4
Other than full-time permanent	50	50	50	50	0
Total	213	214	225	229	4

Note: Other than full-time permanent FTE and positions include political appointees classified as full-time temporary.

Department of Commerce
Departmental Management
Salaries and Expenses
Justification of Proposed Language Changes

FY 2020

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, [\$63,000,000] *\$79,107,000*.

Department of Commerce
Departmental Management
Salaries and Expenses
Appropriation Language and Code Citations

FY 2020:

Salaries and Expenses

1. For expenses necessary for the Departmental Management of 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.

2. 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)

	<u>2018 Actuals</u>	<u>2019 Enacted</u>	<u>2020 Estimate</u>
Consulting services	95	189	799
Management and professional services	0	0	0
Special studies and analyses	0	0	0
Management and support services for research and development	<u>0</u>	<u>0</u>	<u>0</u>
Total	95	189	799

Department of Commerce
Departmental Management
Salaries and Expenses
Periodicals, Pamphlets, and Audiovisual Products
(Dollar amounts in thousands)

	<u>2017 Actual</u>	<u>2018 Actual</u>	<u>2019 Enacted</u>	<u>2020 Estimate</u>
Periodicals	6	6	6	6
Pamphlets	0	0	0	0
Audiovisuals	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total	6	6	6	6

Department of Commerce
 Departmental Management
 Salaries and Expenses
 Average Grade and Salaries

	2018 <u>Actual</u>	2019 <u>Enacted</u>	2020 <u>Estimate</u>
Average ES Grade	0.00	0.00	0.00
Average ES Salary	\$184,418	\$187,870	\$187,870
Average GS/GM Grade	13.13	13.13	13.13
Average GS/GM Salary	\$122,230	\$122,230	\$123,575

*Average ES Grade is not reflected for FY 18, 19, and 20 because ES Salary Table does not show grade levels (depicted as a range)

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

	Positions	FTE	Budget Authority	Direct Obligations
2019 Enacted	5	5	0	4,212
Less: Obligations from prior years				(4,212)
2020 Base	5	5	0	0
plus: 2020 Program Changes	0	0	1,100	1,100
2020 Estimate	5	5	1,100	1,100

		2018 Actual		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
HCHB Renovation and Modernization	Pos./BA	5	45,130	5	0	5	0	5	1,100	0	1,100
	FTE/Obl.	5	2,177	5	4,212	5	0	5	1,100	0	1,100
TOTALS	Pos./BA	5	45,130	5	0	5	0	5	1,100	0	1,100
	FTE/Obl.	5	2,177	5	4,212	5		5		0	

Adjustments to Obligations:											
Recoveries			(167)								
Unobligated balance, start of year			(1,004)		(4,212)						
Unobligated balance, end of year			42,124								
Financing from Transfers:											
Transfer from other accounts (-)											
Transfer to other accounts (+)			2,000								
Appropriation			45,130		0		0		1,100		1,100

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

	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Total Obligations	2,177	4,212	0	1,100	1,100
Offsetting collections from:					
Federal funds	0	0	0	0	0
Trust funds	0	0	0	0	0
Non-Federal sources	0	0	0	0	0
Recoveries	(167)	0	0	0	0
Unobligated balance, start of year	(1,004)	(4,212)	0	0	0
Unobligated balance, end of year	42,124	0	0	0	0
Budget Authority	43,130	0	0	1,100	1,100
Financing:					
Unobligated balance, rescission	0	0	0	0	0
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	2,000	0	0	0	0
Appropriation	45,130	0	0	1,100	1,100

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

	FTE	Amount
Non-recurring Construction Costs	0	0
Subtotal, Adjustments	0	0
Other Changes:		
FY 2019 pay raise		0
FY 2020 pay raise		0
Full-year cost in 2020 of positions financed for part-year in 2019		0
Change in Compensable Days		0
Civil Service Retirement System (CSRS)		0
Federal Employees' Retirement System (FERS)		0
Thrift Savings Plan (TSP)		0
Federal Insurance Contribution Act (FICA) - OASDI		0
Health Insurance		0
Employee Compensation Fund		0
Travel:		
Mileage		0
Per Diem		0
Rental Payments to GSA		0
GSA Steam		0
Postage		0
Printing and Reproduction		0
Other Services:		
National Archives & Records Admin. Storage		0
Working Capital Fund		0
Utilities (Electricity)		0
Utilities (Water)		0
Federal Protective Service		0
General Pricing Level Adjustments:		
Transportation of Things		0
Rental Payment to Others		0

	Communications & misc.		0
	Other Services		0
	Maintenance of Operations		0
	Supplies		0
	Equipment		0
		<hr/>	0
Subtotal, Other Changes			0
Less Amount Absorbed		<hr/>	0
Total, Adjustments to Base		0	<hr/>

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

Comparison by activity:		2018 Actual		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
HCHB Renovation and Modernization	Pos./BA	5	45,130	5	0	5	0	5	1,100	0	1,100
	FTE/Obl.	5	2,177	5	4,212	5	0	5	1,100	0	1,100
TOTALS	Pos./BA	5	45,130	5	0	5	0	5	1,100	0	1,100
	FTE/Obl.	5	2,177	5	4,212	5	0	5	1,100	0	1,100

Department of Commerce
Departmental Management
Renovation and Modernization
JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: HCHB Renovation and Modernization

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 recapturing 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

This request 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 an 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 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.

Department of Commerce
 Departmental Management
 Renovation and Modernization
 JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: HCHB Renovation and Modernization

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 funds requested for FY 2020 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, and more open communications and collaboration. 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

	<u>2018 Actual</u>		<u>2019 Enacted</u>		<u>2020 Base</u>	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
HCHB Renovation and Modernization						
Pos/BA	5	45,130	5	0	5	0
FTE/Obl.	5	2,177	5	4,212	5	0

This account funds the Commerce Department’s portion of expenses associated with renovating and modernizing the Herbert C. Hoover Building (HCHB). The renovation and modernization will upgrade infrastructure, modernize tenant spaces, remove safety hazards, and improve energy efficiency as Commerce optimizes utilization of HCHB space. The General Services Administration and Commerce are each responsible for certain aspects of the project’s costs.

Department of Commerce
 Departmental Management
 Renovation and Modernization
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		<u>2020 Base</u>		<u>2020 Estimate</u>		<u>Increase (Decrease)</u>	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
HCHB Renovation and Modernization	Pos./BA	5	0	5	1,100	0	1,100
	FTE/Obl.	5	0	5	1,100	0	1,100

HCHB Renovation and Modernization (+\$1,100, 0 FTE/ 0 Position): This request will provide base funding for the program to continue as follows:

Positions	1,100,000
TOTAL	1,100,000

Positions: \$1,100,000

Funding is requested to support five positions and associated costs such as rent, utilities, supplies and training.

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

Activity: Renovation and Modernization

Object Class	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	672	678	0	691	691
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	5	10	0	10	10
11.8 Special personnel services payments		0	0		0
11.9 Total personnel compensation	677	688	0	701	701
12.1 Civilian personnel benefits	207	213	0	230	230
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	1	1	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	28	29	0	29	29
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	6	8	0	8	8
24 Printing and reproduction	0	2	0	0	0
25 Other contractual services:					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	1,237	0	0	10	10
25.3 Other goods and services from Federal sources	2	3,259	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	3	0	0	60	60

31	Equipment	16	0	0	62	62
32	Lands and structures	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>2,177</u>	<u>4,200</u>	<u>0</u>	<u>1,100</u>	<u>1,100</u>

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

Object Classes	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
11 Personnel compensation:					
11.1 Full-time permanent	672	678	0	691	691
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	5	10	0	10	10
11.9 Total personnel compensation	677	688	0	701	701
12.1 Civilian personnel benefits	207	213	0	230	230
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	1	1	0	0	0
22 Transportation of things	0	0	0	0	0
23.1 Rental payments to GSA	28	29	0	29	29
23.2 Rental payments to others	0	0	0	0	0
23.3 Communication, utilities and miscellaneous charges	6	8	0	8	8
24 Printing and reproduction	0	2	0	0	0
25.1 Consulting services	0	0	0	0	0
25.2 Other services	1,237	0	0	10	10
25.3 Purchase of goods and services from Gov't accounts	2	3,259	0	0	0
26 Supplies and materials	3	0	0	60	60
31 Equipment	16	12	0	62	62
41 Grants, subsidies and contributions	0	0	0	0	0
43 Interest and dividends	0	0	0	0	0
99 Total obligations	2,177	4,212	0	1,100	1,100
Less prior year recoveries	(167)	0	0	0	0
Unobligated balance, start of year	(1,004)	(4,212)	0	0	0
Unobligated balance, end of year	42,124	0	0	0	0
Transfer to other accounts (+)	2,000				
TOTAL BUDGET AUTHORITY	45,130	0	0	1,100	1,100

Department of Commerce
 Departmental Management
 Renovation and Modernization
 SELECT ACTIVITY BY OBJECT CLASS
 (Dollar amounts in thousands)

<u>Personnel Data</u>	2018 Actual	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Full-Time Equivalent Employment:					
Full-time permanent	5	5	5	5	0
Other than full-time permanent	0	0	0	0	0
Total	<u>5</u>	<u>5</u>	<u>5</u>	<u>5</u>	<u>0</u>
Authorized Positions:					
Full-time permanent	5	5	5	5	0
Other than full-time permanent	0	0	0	0	0
Total	<u>5</u>	<u>5</u>	<u>5</u>	<u>5</u>	<u>0</u>

Department of Commerce
Departmental Management
Renovation and Modernization
Appropriation Language and Code Citations

For necessary expenses for the renovation and modernization of Department of Commerce facilities, [\$0] \$1,100,000, to remain available until expended: Provided, That unobligated balances of available discretionary funds appropriated for the Department of Commerce in this Act or previous appropriations Acts may be transferred to, and merged with, this account: Provided further, That any such funds appropriated in prior appropriations Acts transferred pursuant to the authority in the preceding proviso shall retain the same period of availability as when originally appropriated: Provided further, That the transfer authority provided in the first proviso is in addition to any other transfer authority contained in this Act: Provided further, That no amounts may be transferred from amounts that were designated by the Congress for Overseas Contingency Operations/Global War on Terrorism or as an emergency or disaster relief requirement pursuant to the Concurrent Resolution on the Budget or the Balanced Budget and Emergency Deficit Control Act of 1985, as amended: Provided further, That any transfer pursuant to the authority provided under this heading shall be treated as a reprogramming under section 504 of this Act and shall not be available for obligation or expenditure except in compliance with the procedures set forth in that section.

Department of Commerce
 Departmental Management
 Renovation and Modernization
 Average Grade and Salaries

	2018 Actual	2019 Estimate	2020 Estimate
Average ES Salary	\$0	\$0	\$0
Average GS/GM Grade	13.9	13.9	14
Average GS/GM Salary	\$135,650	\$135,650	\$137,142

*Average ES Grade is not reflected for FY 18, 19, and 20 because ES Salary Table does not show grade levels (depicted as a range)

*Average ES Salary entered as zero for FY 18, 19, and 20 because there are no ES Grade category in the fund.

Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
 SUMMARY OF RESOURCE REQUIREMENTS
 (Dollar amounts in thousands)

	Positions	FTE	Budget Authority	Direct Obligations
2019 Enacted	0	0	0	0
less: Obligations from prior years			0	0
2020 Base	0	0	0	0
plus: Program funding	9	7	22,000	22,000
2020 Estimate	9	7	22,000	22,000

Comparison by activity:		2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	0	0	0	0	9	22,000	9	22,000
	FTE/Obl.	0	0	0	0	0	0	7	0	7	0
TOTALS	Pos./BA	0	0	0	0	0	0	9	22,000	9	22,000
	FTE/Obl.	0	0	0	0	0	0	7	0	7	0
Adjustments to Obligations:											
	Recoveries		0		0						
	Unobligated balance, start of year		0		0						
	Unobligated balance, end of year		0								
Financing from Transfers:											
	Transfer from other accounts (-)										
	Transfer to other accounts (+)										
Appropriation			0		0		0		22,000		22,000

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Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
 SUMMARY OF FINANCING
 (Dollar amounts in thousands)

	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Total Obligations	0	0	0	22,000	22,000
Offsetting collections from:					
Federal funds	0	0	0	0	0
Trust funds	0	0	0	0	0
Non-Federal sources	0	0	0	0	0
Recoveries	0	0	0	0	0
Unobligated balance, start of year	0	0	0	0	0
Unobligated balance, end of year	0	0	0	0	0
Budget Authority	<u>0</u>	<u>0</u>	<u>0</u>	<u>22,000</u>	<u>22,000</u>
Financing:					
Unobligated balance, rescission	0	0	0	0	0
Transfer from other accounts (-)	0	0	0	0	0
Transfer to other accounts (+)	0	0	0	0	0
Appropriation	<u>0</u>	<u>0</u>	<u>0</u>	<u>22,000</u>	<u>22,000</u>

Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS
 (Dollar amounts in thousands)

Comparison by activity:	2018 Actuals		2,019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Pos./BA	0	0	0	0	0	0	9	22,000	9	22,000
FTE/Obl.	0	0	0	0	0	0	7	0	7	0
TOTALS										
Pos./BA	0	0	0	0	0	0	9	22,000	9	22,000
FTE/Obl.	0	0	0	0	0	0	7	0	7	0

Department of Commerce
Departmental Management
IT System Modernization and Working Capital Fund
JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: Operations and Administrations
Subactivity: Financial Management

Goal Statement

The Business Applications 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).

Department of Commerce
Departmental Management
IT System Modernization and Working Capital Fund
JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: Operations and Administrations
Subactivity: Financial Management

Base Program

In FY 2020, 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 2020 funding request is needed to commence 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. This request is pursuant to the Modernizing Government Technology Act (MGT) and in accordance with OMB Memorandum M-18-12, Implementation of the Modernizing Government Technology Act.

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.

Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
 JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: Operations and Administrations
 Subactivity: Financial Management

Statement of Operating Objectives

This FY2020 budget request is for funding for the Phase I Implementation (including a BAS contract award). Additional out-year budget requests will be needed for FY2021 through FY2025 to complete later phases of the BAS implementation.

Explanation and Justification

	<u>2018 Enacted</u>		<u>2019 Enacted</u>		<u>2020 Base</u>	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration						
Pos./BA		0		0		0
		0		0		0

Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		<u>2020 Base</u>		<u>2020 Estimate</u>		<u>Increase</u> <u>(Decrease)</u>	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	9	22,000	9	22,000	9	22,000
	FTE/Obl.	7	22,000	7	22,000	7	22,000

Business Application Solutions (+\$22,000, 9 FTE/9 Positions) - This request will commence Phase 1 Implementation Activities for an integrated suite of financial management and business applications.

This project includes nine FTE and Functional Areas such as Core Financials (CBS), Acquisitions (Comprizon Suite), Property (Personal, Real & Fleet), and all accompanying interfaces.

Key critical business needs that will be met by the BAS project include:

- Improving analytical reporting quality through Department-wide application and data standardization
- Gaining IT operational efficiencies by taking full advantage of cloud-based solutions and reduce operational risks
- Providing timely access to accurate data for management decision making at a departmental reporting level
- Achieving consistent availability of information for management decisions and continuing the Department’s clean audit opinion on its production systems, especially during transition.
- Reducing costly current system redundancies by consolidating interfaces and feeder systems and increasing emphasis on more efficient and effective administrative and business management.

Performance Measures: 1

	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
	Target	Target	Target	Target	Target

Number of data repositories with increase

11

Number of data repositories without increase

Description: For each administrative/business system, reduce the number of data repositories from which data must be extracted to respond to data calls. *This measure is contingent on completion of Phase I implementation, scheduled for the end of FY21, with the results not expected before FY 2022. Therefore, for FY 2020-2021, the target is NA.

Performance Measures: 2

	<u>FY 2020</u>	<u>FY 2021</u>	<u>FY 2022</u>	<u>FY 2023</u>	<u>FY 2024</u>
	Target	Target	Target	Target	Target
Number of instances and configuration complexity with increase			11		
Number of instances and configuration complexity without increase				7	2

Description: For each administrative/business system, reduce the number of instances and configuration complexity across the agency (focus on simplification and standardization).

Performance Measures: 3

	<u>FY 2020</u>	<u>FY 2021</u>	<u>FY 2022</u>	<u>FY 2023</u>	<u>FY 2024</u>
	Target	Target	Target	Target	Target
Percent Chance of Receiving an Unqualified Audit Opinion with increase	90%	90%	95%	98%	98%
Percent Chance of Receiving an Unqualified Audit Opinion without increase	80%	80%	70%	60%	50%

Department of Commerce
 Departmental Management
 IT System Modernization and Working Capital Fund
 PROGRAM CHANGE PERSONNEL DETAIL
 (Dollar amounts in thousands)

Activity: Operations and Administration
 Subactivity: Financial Management
 Program Change: Business Application Solutions

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Program Manager	SES	1	189,600	189,600
Deputy Program Manager	SES	1	189,600	189,600
Risk Management Lead	ZA-V	1	164,200	164,200
Change Management Lead	ZA-V	1	164,200	164,200
Cross Functional Team Leads	ZA-V	4	164,200	656,800
Security Lead	ZA-V	1	164,200	164,200
	Total	<u>9</u>		<u>1,528,600</u>
	Less Lapse 25%	<u>(2)</u>		<u>(382,150)</u>
	Total Full-time permanent (FTE)	7		1,146,450
	2020 pay Adjustment (0.0%) 0%			-
				<u>1,146,450</u>

Personal Data Summary

Full-Time Equivalent Employment (FTE)	
Full-Time permanent	7
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
<u>Total FTE</u>	<u>7</u>
Authorized Positions	
Full-Time permanent	9
Part-Time permanent	0
Full-Time temporary	0
Part-Time Temporary	0
<u>Total Positions</u>	<u>9</u>

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

Activity: Operations and Administration

Subactivity: Financial Management

Object Class	2018 Enacted	2019 President's Budget	2020 Base	2020 Estimate	2020 Increase/ (Decrease)
11.1 Full-time permanent (Compensation)	0	0	0	1,146	1,146
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	1,146	1,146
12.1 Civilian personnel benefits	0	0	0	325	325
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	95	95
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	0	0	0	10	10
24 Printing and reproduction	0	0	0	0	0
25 Other contractual services:					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	0	0	0	20,374	20,374
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	14	14
31 Equipment	0	0	0	36	36
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/> 0	<hr/> 0	<hr/> 0	<hr/> 22,000	<hr/> 22,000

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

Object Classes	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
11 Personnel compensation:					
11.1 Full-time permanent	0	0	0	1,146	1,146
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	0	0	0	0	0
11.9 Total personnel compensation	0	0	0	1,146	1,146
12.1 Civilian personnel benefits	0	0	0	325	325
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
23.1 Rental payments to GSA	0	0	0	95	95
23.2 Rental payments to others	0	0	0	0	0
23.3 Communication, utilities and miscellaneous charges	0	0	0	10	10
24 Printing and reproduction	0	0	0	0	0
25.1 Consulting services	0	0	0	0	0
25.2 Other services	0	0	0	20,374	20,374
25.3 Purchase of goods and services from Gov't accounts	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	0	0
26 Supplies and materials	0	0	0	14	14
31 Equipment	0	0	0	36	36
32 Lands and structures	0	0	0	0	0
41 Grants, subsidies and contributions	0	0	0	0	0
43 Interest and dividends	0	0	0	0	0
99 Total obligations	0	0	0	22,000	22,000
Less prior year recoveries	0	0	0	0	0
Unobligated balance, start of year	0	0	0	0	0
Unobligated balance, end of year	0	0	0	0	0
TOTAL BUDGET AUTHORITY	0	0	0	22,000	22,000

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

Personnel Data	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Full-Time Equivalent Employment:					
Full-time permanent	0	0	0	7	7
Other than full-time permanent	0	0	0	0	0
Total	0	0	0	7	7
Authorized Positions:					
Full-time permanent	0	0	0	9	9
Other than full-time permanent	0	0	0	0	0
Total	0	0	0	9	9

Department of Commerce
Departmental Management
IT System Modernization and Working Capital Fund
Justification of Proposed Language Change

For carrying out the activities described in section 1077(b)(3) of division A of the National Defense Authorization Act for Fiscal Year 2018, \$22,000,000, to remain available until September 30, 2022: Provided, That section 1077(b)(6)(B) of such Act shall not apply to funds provided under this heading or transferred to this account in this or any future fiscal year.

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

	Positions	FTE	Budget Authority	Reimbursable Obligations
2019 Enacted	665	532		231,042
plus: Inflationary/Adjustments to base	0	0		4,574
2020 Base	665	532		235,616
plus: 2020 Program Changes	7	5		13,853
2020 Estimate	672	537		249,469

		2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
		Comparison by activity:									
Operations and Administration	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853
TOTALS	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853
Adjustments to Obligations:											
Recoveries			(5,929)								
Unobligated balance, start of year			(12,646)		(10,336)						
Unobligated balance, end of year			10,336								
Total Reimbursable Authority			228,615		231,042		235,616		249,469		13,853

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

		2018 Actuals		2019 Enacted		2020 Base		2020 Estimate		Increase/(Decrease) Over 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853
TOTALS	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853

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

	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	Increase/ (Decrease) Over 2020 Base
Total Obligations	236,854	241,378	235,616	249,469	13,853
Offsetting collections from:					
Federal funds	(236,854)	(241,378)	(235,616)	(249,469)	(13,853)
Trust funds					
Non-Federal sources					
Recoveries	(5,929)				
Unobligated balance, start of year	(12,646)	(10,336)			
Unobligated balance, transferred	0				
Unobligated balance, end of year	10,336				
Unobligated balance, expiring	0				
Budget Authority	<u>(8,239)</u>	<u>(10,336)</u>	<u>0</u>	<u>0</u>	<u>13,853</u>
Financing:					
Transfer from other accounts (-)					
Transfer to other accounts (+)					
Total Reimbursable Authority	<u>228,615</u>	<u>231,042</u>	<u>235,616</u>	<u>249,469</u>	<u>13,853</u>

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

	FTE	Amount
Transfer of Estimates Adjustment	0	0
Non-recurring WCF costs		0
Other Changes:		
2019 pay raise		1,257
2020 pay raise		0
Full year cost in 2020 of positions financed for part-year in 2019		0
Change in Compensable Days		361
Civil Service Retirement System (CSRS)		(51)
Federal Employees' Retirement System (FERS)		1,801
Thrift Savings Plan (TSP)		15
Federal Insurance Contribution Act (FICA) - OASDI		29
Health Insurance		49
Employees Compensation Fund		0
Travel:		
Per Diem		15
Mileage		3
Rental Payments to GSA		1,092
Postage		0
Federal Protective Service		3
General Pricing Level Adjustments:		
Printing and reproduction		0
NARA Storage & Maintenance		0
Transportation of things		0
Rental payments to others		0
Communications & misc.		0
Other Services		0
Supplies		0
Equipment		0
Subtotal, Other Changes	0	4,574
Less amount absorbed		0
Total, Adjustments to Base	0	4,574

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

		2018		2019		2020		2020		Increase/(Decrease)	
		Actuals		Enacted		Base		Estimate		Over 2020 Base	
Compare by activity:		Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853
TOTALS	Pos./BA	656		665		665		672		7	
	FTE/Obl.	503	236,854	532	241,378	532	235,616	537	249,469	5	13,853

Department of Commerce
Departmental Management
Working Capital Fund
JUSTIFICATION OF PROGRAM AND PERFORMANCE

Activity: Working Capital Fund
Subactivity: Operations and Administration

Goal Statement

The U.S. Department of Commerce (DOC) 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 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 providing analysis, design, development, support, and oversight for Department 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, 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, 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 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; 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 Opportunity (EEO) policies and programs. OCR conducts discrimination complaint investigations and adjudications, provides equal employment 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 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.

	2018 Actuals		2019 Enacted		2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration						
Pos./BA	656		665		665	
FTE/Obl	503	228,615	532	231,042	532	235,616

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	1	2		1	0
	FTE/Obl.	1	8,473	1	0	1,914

OCIO Continuing Diagnostics and Mitigation (CDM) (+\$1,914, 2 FTE/2 Positions) -- This request will meet the requirements of the CDM program as defined by DHS and OMB, 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 two 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 managed by DHS and OMB.

Performance Measures:	2020	2021	2022	2023	2024
Percentage of endpoints in a desired state	90%	95%	95%	95%	95%
Percentage of users in the DOC Master User Record	90%	95%	95%	95%	95%

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 (CDM)

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Program Manager/IT Specialist	14	1	129,869	129,869
Information Technology Specialist	13	1	109,900	109,900
Total		<u>2</u>		<u>239,769</u>
Less lapse	25%	<u>(1)</u>		<u>(59,942)</u>
Total full-time permanent (FTE)		<u>1</u>		<u>179,827</u>
2020 Pay Adjustment (.0%)				<u>0</u>
Total				<u>179,827</u>

Title
Personnel Data Summary

Full-time Equivalent Employment (FTE)

Full-time permanent	1
Part-time permanent	0
Full-time temporary	0
Part-time temporary	0
Total FTE	<u>1</u>

Authorized Positions

Full-time permanent	2
Other than full-time permanent	0
Full-time temporary	0
Part-time temporary	0
Total Positions	<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 Chief Information Officer

Object Class	2018 Estimate	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)	0	120	120	300	180
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	120	120	300	180
12.1 Civilian personnel benefits	0	24	24	60	36
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	0	2	2	7	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	12	12	35	23
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	0	4	4	12	8
24 Printing and reproduction	0	0	0	0	0
25 Other contractual services					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	4,946	6,266	6,385	8,023	1,638
25.3 Other goods and services from Federal sources	830	7	7	21	14
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	1	1	3	2
31 Equipment	147	4	4	12	8
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	5,923	6,440	6,559	8,473	1,914

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

		2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
		Personnel	Amount	Personnel	Amount	Personnel	Amount
	Pos./BA	22		26		4	0
Operations and Administration	FTE/Obl.	22	4,166	26	5,066	4	900

OSY Information and Personnel Security Operations (+\$900, 4 FTE/4 Positions) -- This request will address deficiencies with consistent program implementation, policy and oversight; decrease risk to National Security, the Department, and to Department cleared population; increase ability to meet national standards/requirements and satisfy mandates; improve training and awareness; and improve customer service for OSY internal and external clients.

The two Security Specialists for the Personnel Security (PERSEC) operations will handle the processing and adjudication of items reported to the Security Office under the self-reporting requirements regulation, and develop and implement the Continuous Evaluation (CE) Program promulgated by the Security Executive Agent Directives (SEAD) 3 and 6, as well as implement the requirements for a case adjudication Quality Assessment Program by Office of the Director for National Intelligence (ODNI) in coordination with OPM. They will also support the new Federal Investigative Standards (FIS) and the FIS Implementation Plan.

The two Information Security Operations (INFOSEC) FTE will improve OSY's ability to provide support to compliance requirements for classified NSI, SCI, Industrial Security, Controlled Unclassified Information (CUI), Operations Security (OPSEC) and COMSEC. The program is currently facing critical challenges as noted in the recent issuance of an Information Security Oversight Office (ISOO) review of the Department's information security program which cited numerous deficiencies in program administration. In addition, the Inspector General review cited deficiencies in the program that require enhancement and oversight. The INFOSEC specialists will serve to mitigate deficiencies and conduct ongoing oversight of the classified NSI program, provide feedback and training, as well as pass and receive NSI/SCI clearance Permanent Certifications.

Contract support personnel will implement a central Department PERSEC customer service capability, assist in intake and pre-appointment packages, Electronic Questionnaires for Investigations (e-QIP) review, e-QIP assistance, as well as provide the Department, pre-appointment checks. They will help to address anticipated backlogs for OPM Personnel Security Investigations due to regulation changes for re-investigation requirements as required by 5 CFR 731, Suitability, to conduct background Reinvestigations for Public Trust positions (Moderate and High Risk), where the current investigation is older than 5 years. The Department is currently not in compliance with meeting the 5 CFR 731 re-investigation requirements and accepting a high degree of risk.

Resources will allow the Information and Personnel Security Operations, and OSY, in general, to mitigate a current moderate risk in the OSY Risk Profile. If measures are not taken to maintain a viable Personnel Security Program that properly investigates and vets federal employees, contractors and others, there is increased risk to the Department by allowing undesirable or dangerous personnel to access facilities, access national security information, access accredited Information Technology systems, cause death or permanent injury, and/or complete loss of a Department asset (i.e., espionage and Insider Threat harm to critical systems and assets).

Similarly, if measures are not taken to maintain a viable Information Security Program, the Department can expect diminished capability to acquire, protect and share national security program and intelligence information essential to operations. The Department risks the ability to maintain continued access to this vital intelligence and special program information via adequate policy oversight and the resources required to meet compliance requirements per the Information Security Oversight Office and ODNI for National Security and Intelligence Information, Industrial Security (contracts with classified access) and COMSEC. Without new measures, delays may occur in the ability to process special access requests, impact an individual's ability to carry out the functions of their position, and thereby the Department's ability to fulfill its essential functions.

Performance Measures:	2020	2021	2022	2023	2024
Continuous Evaluation & Case adjudication ^{1/}	100%	100%	100%	100%	100%
NSI & SCI Requirements, Personnel Access & SCIF ^{2/}	100%	100%	100%	100%	100%

^{1/} Develop and implement the Continuous Evaluation (CE) Program mandated by the Security Executive Agent Directives (SEAD) 3 and 6, as well as implement the requirements for a case adjudication Quality Assessment Program by ODNI/OPM.

^{2/} Address multiple program requests for new National Security Information (NSI) and Sensitive Compartmented Information (SCI) requirements, both personnel access and SCIF / Joint Worldwide Intelligence Communications Systems (JWICS) access and develop Department-wide OPSEC

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

Activity: Operations and Administration
 Subactivity: Office of Security
 Program Change: Information and Personnel Security Operations

Full-time permanent

<u>Title</u>	<u>Grade</u>	<u>Number</u>	<u>Annual Salary</u>	<u>Total Salaries</u>
Personnel Security Specialist	ZA-0080-III	2	111,046	222,092
Information Security Specialist	ZA-0080-III	2	111,046	222,092
Total		<u>4</u>		<u>444,184</u>
Less lapse	25%	<u>(1)</u>		<u>(111,046)</u>
Total full-time permanent (FTE)		<u>3</u>		<u>333,138</u>
2020 Pay Adjustment (.0%)				<u>0</u>
Total				<u>333,138</u>

Title
Personnel Data Summary

Full-time Equivalent Employment (FTE)		
Full-time permanent	3	
Part-time permanent	0	
Full-time temporary	0	
Part-time temporary	0	
Total FTE	<u>3</u>	
Authorized Positions		
Full-time permanent	4	
Other than full-time permanent	0	
Full-time temporary	0	
Part-time temporary	0	
Total Positions	<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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)	2,223	2,268	2,268	2,601	333
11.3 Other than full-time permanent		0	0	0	0
11.5 Other personnel compensation	35	37	37	53	16
11.8 Special personnel services payments	109	111	111	111	0
11.9 Total personnel compensation	2,367	2,416	2,416	2,765	349
12.1 Civilian personnel benefits	750	765	765	878	113
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	1	1	1	10	9
22 Transportation of things	2	2	2	2	0
23 Rent, communications, and utilities	0	0	0	0	0
23.1 Rental payments to GSA	230	234	238	238	
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	118	120	122	122	0
24 Printing and reproduction	0	0	0	9	9
25 Other contractual services					
25.1 Advisory and assistance services	370	376	378	626	248
25.2 Other services from non-Federal sources	8	8	8	8	0
25.3 Other goods and services from Federal sources	228	228	228	383	155
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	5	5	5	14	9
31 Equipment	3	3	3	11	8
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	4,082	4,158	4,166	5,066	900

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	4	5		1	0
	FTE/Obl.	4	5	6,536	1	589

OSY HCHB Security (+\$589, 1 FTE/1 Position) -- This request will improve contract performance and customer service through full implementation of the HCHB guard force contract compliance and oversight program; create a security oriented culture at HCHB and improve physical security training and awareness; reduce risk to HCHB occupants and visitors by assessing security and implementing countermeasures; and reduce risk to the Department by assuring funding for the continued level of services in future fiscal years.

The HCHB Physical Security Specialist will assist with the oversight and compliance of the HCHB guard force contract; create an Interagency Security Committee recommended Facility Security Plan; conduct HCHB security surveys/assessments; develop and implement HCHB security countermeasures; provide security awareness training; and, allow for added support to Renovation initiatives. This position will assist with implementing internal control of HCHB Security Programs such as for Keys, Access, Security Operations, Security Systems and Contract Compliance, provide greater oversight of the HCHB guard force contract by acting as a Level III Alternate Contracting Officer Representative (ACOR), to witness contract weapons qualifications and training for contract guards and provide assurance that guard post coverage is maintained at optimal operating standards and levels as well as ensure oversight of other security related contracts. This position will ensure measures are in place for HCHB to maintain its Protective Security Delegation from the Federal Protective Service. Additionally, for this program, funding is required for the HCHB Guard contract to support contract increases which are historically above the allowable inflation rate and influenced by Department of Labor wage increases and Collective Bargaining Agreements.

This investment is critical for HCHB stakeholders to maintain risk levels and ensure the protection of staff, facilities, mission and other assets for HCHB tenants. Funding will prevent increased risk to Department assets by assuring funding for the continued level of services in future fiscal years and ensure funds are available to support the level of services provided by the overall contract. Additionally, this increase will improve contract performance through the implementation of a contract compliance and oversight program, as well as implement security awareness training, conduct of security assessments, and implementation of security countermeasures.

Without this increase, security services and protective capabilities to prevent workplace incidents and to provide quick emergency responses could be curtailed.

Performance Measures:	2020	2021	2022	2023	2024
Counterespionage & Anti-terrorism Risks and Emergency Management ^{1/}	100%	100%	100%	100%	100%

^{1/} The Office of Security is responsible for security services to safeguard Department personnel, assets and critical information by measuring the reduction of counterespionage and anti-terrorism risks as well as increased emergency management effectiveness. Guarding against undesirable events is a key function of the HCHB guard program. Without maintaining the present service levels, risk can be expected to increase as operational capabilities may have to be compromised to address financial shortfalls. As such, vulnerabilities tied to undesirable events increase due to potentially reduced services aimed at meeting minimum standards for staffing access control, emergency response and mail/delivery screening functions.

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

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

Full-time permanent

Title	Grade	Number	Annual Salary	Total Salaries
Security Specialist	ZA-0080-04	1	151,584	151,584
Total		1		151,584
Less lapse	25%	0		(37,896)
Total full-time permanent (FTE)		1		113,688
2020 Pay Adjustment (.0%)				0
Total				113,688

Title
Personnel Data Summary

Full-time Equivalent Employment (FTE)

Full-time permanent	1
Part-time permanent	0
Full-time temporary	0
Part-time temporary	0
Total FTE	1

Authorized Positions

Full-time permanent	1
Other than full-time permanent	0
Full-time temporary	0
Part-time temporary	0
Total Positions	1

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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)	601	612	612	726	114
11.3 Other than full-time permanent	0	0	0	0	0
11.5 Other personnel compensation	10	10	10	16	6
11.8 Special personnel services payments	2	2	2	2	0
11.9 Total personnel compensation	613	624	624	744	120
12.1 Civilian personnel benefits	188	192	192	244	52
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	1	1	1	3	2
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	125	127	129	129	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	30	30	31	31	0
24 Printing and reproduction	20	20	20	22	2
25 Other contractual services					
25.1 Advisory and assistance services	0	0	0	0	0
25.2 Other services from non-Federal sources	4,217	4,291	4,375	4,746	371
25.3 Other goods and services from Federal sources	5	5	5	5	0
25.4 Operation and maintenance of facilities	0	0	0	0	0
25.5 Research and development contracts	340	340	340	378	38
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	4	8	8	0
26 Supplies and materials	90	91	92	94	2
31 Equipment	129	129	130	132	2
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	5,758	5,854	5,947	6,536	589

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	0		0		0	0
	Pos./BA					
	FTE/Obl.	0	0	350	0	350

OCIO 21st Century – Audio Visual (AV) / Video Teleconferencing (VTC) Equipment Refresh and Operational and Maintenance Support (+\$350, 0 FTE/0 Positions) -- This request will replace aging, broken and old equipment, replace cables, upgrade software as required in the HCHB 21st Century Shared Spaces to ensure tenants have reliable equipment to support meetings, conferences and events. Furthermore, it will sustain the initial investment made in IT equipment purchased in 2013 as it is approaching end-of-life and provide needed software and subscription maintenance to obtain the latest software upgrades and support.

This budget increase request will provide funding to refresh 25% of the audio visual and VTC equipment that are approaching end-of-life and end-of-support. It will also fund an onsite AV/VTC Specialist, maintenance and technical support required to operate and manage the AV/VTC, sound masking, Internet Protocol TV (IPTV) and Room Reservations.

In July 2015, the Department of Commerce OCIO was tasked to operate and maintain the AV/VTC, sound masking and room reservation systems supporting the Open Office Pilot areas in the Herbert C. Hoover Building. These AV and VTC equipment were installed in thirty-eight conference rooms located on the First, Third, Fifth and Sixth Floors on the Second Corridor. One of the primary objectives of the Open Office Pilot was to modernize and transform the workplace to the 21st Century environment allowing our customers to be more mobile and providing the tools and technologies to allow them to better collaborate.

In November 2018, Renovation Phase 4 was completed. OCIO will have to support more conference rooms with audio visual and VTC capabilities in addition to Internet Protocol Television (IPTV) being offered as a replacement to cable TV service. In order to sustain the sound marking and room reservation systems, which will continue to expand as the HCHB campus undergoes renovation, OCIO is requesting this budget increase to sustain these operations so the Department can achieve its Strategic Objective 5.2 Accelerate Information Technology Modernization goal.

This budget increase request includes the AV/VTC equipment refresh as well as operational and maintenance support cost. This is required to sustain the initial investment made toward enabling our customers the ability to better collaborate so they can be more productive which aligns with Strategic Goal 5 – Deliver Customer-Centric Service Excellence. Without this increase, the aging AV/VTC will not function at optimal performance level causing service degradation or outage. Customers will not be able to leverage these systems to conduct their business missions. The AV/VTC system along with the Room Reservation enable our customers to be more collaborative so we can meet the Department Strategic Goal 5 – Deliver Customer-Centric Service Excellence.

Performance Measures:	2020	2021	2022	2023	2024
Equipment’s uptime availability other than planned maintenance	99.99	99.99	99.99	99.99	99.99
Days to resolve and fix AV/VTC equipment outage	3	3	3	3	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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)				0	0
11.3 Other than full-time permanent				0	0
11.5 Other personnel compensation				0	0
11.8 Special personnel services payments				0	0
11.9 Total personnel compensation	0	0	0	0	0
12.1 Civilian personnel benefits				0	0
13 Benefits for former personnel				0	0
21 Travel and transportation of persons				0	0
22 Transportation of things				0	0
23 Rent, communications, and utilities				0	0
23.1 Rental payments to GSA				0	0
23.2 Rental payments to others				0	0
23.3 Commun., util., and misc. charges				0	0
24 Printing and reproduction				0	0
25 Other contractual services					
25.1 Advisory and assistance services				0	0
25.2 Other services from non-Federal sources				0	0
25.3 Other goods and services from Federal sources				0	0
25.4 Operation and maintenance of facilities				0	0
25.5 Research and development contracts				0	0
25.6 Medical care				0	0
25.7 Operation and maintenance of equipment				158	158
25.8 Subsistence and support of persons				0	0
26 Supplies and materials				0	0
31 Equipment				192	192
32 Lands and structures				0	0
33 Investments and loans				0	0
41 Grants, subsidies and contributions				0	0
42 Insurance claims and indemnities				0	0
43 Interest and dividends				0	0
44 Refunds				0	0
99.9 Total obligations	0	0	0	350	350

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base		
	Personnel	Amount	Personnel	Amount	Personnel	Amount	
Operations and Administration	Pos./BA	6	6		0	0	
	FTE/Obl.	6	3,175	6	5,283	0	2,108

National Security Solutions and Services (NS3) (+\$2,108, 0 FTE/0 Positions) -- This request will enable the Department to provide comprehensive, secure and reliable operations support of National security programs through a properly scoped support contract. NS3 provides critical classified support across the entire DOC federation of offices and bureaus; it ensures program execution satisfies minimum federal guidelines and operational requirements. Additional funding will allow NS3 to address outstanding issues and it will align NS3 operations with DOC's mission requirements and priorities.

The NS3 team continues to accommodate, with limited funding, 24/7 support, 365 days a year, during federal holidays and government closures. Staff is typically onsite or at a minimum in an "on-call" status. The NS3 team manages hardware, software, operations and maintenance activities. They provide helpdesk and system administration at DOC Headquarters and at 43 external sites. The team also provides classified communications (voice and data) needed to support and protect the Secretary of Commerce and to perform primary mission-essential functions as related to bureau priorities.

Risk: NS3 is continuing to implement security improvements for the Department's national security systems. In the OIG report on Top Management and Performance Challenges Facing DOC (OIG-17-033), the need to continue to maintain management oversight and ensure that appropriate security is implemented and maintained for these critical systems, was highlighted. As a result, the following operational and IT risks were rated as High impact.

NS3 Contractor Support for NSS: If OCIO is unable to retain qualified cybersecurity contractor support staff, then DOC national security systems (NSS) programs, projects, and operations may not provide adequate identification, detection, protection, response, or recovery.

National Security Systems: If OCIO is unable to adequately secure its national security systems, then classified information may be leaked to the public or to the nation's adversaries.

Performance Measures:	2020	2021	2022	2023	2024
System Availability during normal working hours with increase	99%	99%	99%	99%	99%
System Availability during normal working hours without increase	85%	85%	85%	85%	85%
Service Measurement to respond to customer service requests within 1 business hour with increase	99%	99%	99%	99%	99%
Service Measurement to respond to customer service requests within 1 business hour without increase	50%	50%	50%	50%	50%
Identity Management - users utilizing soft and hard PKI tokens to login with increase	50%	80%	99%	99%	99%
Identity Management - users utilizing soft and hard PKI tokens to login without increase	0%	10%	10%	10%	10%

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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)	413	666	666	666	0
11.3 Other than full-time permanent	6	0	0	0	0
11.5 Other personnel compensation		10	10	10	0
11.8 Special personnel services payments	7	0	0	0	0
11.9 Total personnel compensation	426	676	676	676	0
12.1 Civilian personnel benefits	145	256	256	256	0
13 Benefits for former personnel	0	0	0	0	0
21 Travel and transportation of persons	15	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	15	15	15	15	0
23.2 Rental payments to others	0	0	0	0	0
23.3 Commun., util., and misc. charges	20	21	21	21	0
24 Printing and reproduction	0	0	0	0	0
25 Other contractual services					
25.1 Advisory and assistance services	1222	1767	1767	3875	2,108
25.2 Other services from non-Federal sources	0	0	0	0	0
25.3 Other goods and services from Federal sources	1197	5	5	5	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	15	15	15	0
31 Equipment	61	420	420	420	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	3,101	3,175	3,175	5,283	2,108

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	0	0	0	443	0	443

Electronic Financial Disclosure Filing System (+\$443, 0 FTE/0 Positions) -- This request will allow confidential financial disclosure report filers to submit a report electronically to the Office of General Counsel.

As the financial disclosure program grows, the economies of scale make the collection, tracking, and storage of the current paper reports less practical and costly. An online electronic financial disclosure report filing system will increase security, efficiency, and significantly reduce administrative tasks relating to the confidential filing program.

The paper-system that is currently being used is obsolete. An electronic filing system will allow the Department to comply with the OMB Cloud First Policy which requires Federal agencies to “use cloud-based solutions whenever a secure, reliable, cost-effective cloud option exists.” This policy also reflects the changes in communications and storage due to changes in technology. Use of online forms of communication to submit forms and other information is ubiquitous and the primary means of communicating in the Government, as well as in business and in personal communications. Paper systems are inefficient and present problems regarding tracking, storage, and security that are solved through electronic systems. Many Federal Government agencies have successful electronic programs.

The benefits of an electronic filing system to filers are: ability to complete, update, and file a report from anywhere; ability to re-populate forms from earlier reports; assurance that reports are received; and saving time and expense of mailings.

An electronic system will also address several problems that have arisen under the current system. There is always a time lag between when a filer mails a report and when it is received and logged in. As a result, there have been numerous occasions when reminder notices went out to employees and their supervisors during this interval, leading to involvement of filers, employers, and ethics officials in discussion to determine whether a report was never filed, missing or lost, or in transit. This time delay is exacerbated by the diversion of some mailed forms to be irradiated. This irradiation sometimes renders the form illegible, requiring it to be refiled. Other problems with the paper system include lost or never-filed reports, filers would claim to have mailed reports that were never received, reports were misfiled after receipt, perceived lack of security, and forms are maintained in the offices of reviewers until certified. All these problems would be avoided with an electronic filing system.

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

Object Class	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1 Full-time permanent (Compensation)				0	0
11.3 Other than full-time permanent				0	0
11.5 Other personnel compensation				0	0
11.8 Special personnel services payments				0	0
11.9 Total personnel compensation	0	0	0	0	0
12.1 Civilian personnel benefits				0	0
13 Benefits for former personnel				0	0
21 Travel and transportation of persons				0	0
22 Transportation of things				0	0
23 Rent, communications, and utilities				0	0
23.1 Rental payments to GSA				0	0
23.2 Rental payments to others				0	0
23.3 Commun., util., and misc. charges				0	0
24 Printing and reproduction				0	0
25 Other contractual services					
25.1 Advisory and assistance services				0	0
25.2 Other services from non-Federal sources				443	443
25.3 Other goods and services from Federal sources				0	0
25.4 Operation and maintenance of facilities				0	0
25.5 Research and development contracts				0	0
25.6 Medical care				0	0
25.7 Operation and maintenance of equipment				0	0
25.8 Subsistence and support of persons				0	0
26 Supplies and materials				0	0
31 Equipment				0	0
32 Lands and structures				0	0
33 Investments and loans				0	0
41 Grants, subsidies and contributions				0	0
42 Insurance claims and indemnities				0	0
43 Interest and dividends				0	0
44 Refunds				0	0
99.9 Total obligations	0	0	0	443	443

Department of Commerce
 Departmental Management
 Working Capital Fund
 PROGRAM CHANGES FOR 2020
 (Dollar amounts in thousands)

	2020 Base		2020 Estimate		Increase/Decrease from 2020 Base	
	Personnel	Amount	Personnel	Amount	Personnel	Amount
Operations and Administration	Pos./BA	0	0	0	0	0
	FTE/Obl.	0	0	7,549	0	7,549

Annualization of FY 2018 Emergent Requirements (+\$7,549, 0 FTE/0 Positions) -- This WCF adjustment reflects emergent requirements funded in late FY 2018 that were not captured in the FY 2019 President's Budget submission and have been incorporated into our FY 2020 request. These requirements are: OCIO's Cyber Operations licenses at \$3.1M, Enterprise Services Learning Management System and Acquisition Services at \$3.6M, and Security's Bureau

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	2018 Actuals	2019 Enacted	2020 Base	2020 Estimate	2020 Increase/(Decrease)
11.1				0	0
11.3				0	0
11.5				0	0
11.8				0	0
11.9	0	0	0	0	0
12.1				0	0
13				0	0
21				0	0
22				0	0
23				0	0
23.1				0	0
23.2				0	0
23.3				0	0
24				0	0
25					
25.1				0	0
25.2				7,549	7,549
25.3				0	0
25.4				0	0
25.5				0	0
25.6				0	0
25.7				0	0
25.8				0	0
26				0	0
31				0	0
32				0	0
33				0	0
41				0	0
42				0	0
43				0	0
44				0	0
99.9	0	0	0	7,549	7,549

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

Offices:	2018 Actuals			2019 Enacted			2020 Estimate		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Human Resources Management	57	41	12,768	56	44	12,839	56	44	13,095
Civil Rights	10	9	2,451	10	9	2,938	10	9	3,003
Financial Management	53	45	31,775	54	48	30,462	54	48	31,155
Security ^{1/}	108	90	25,840	108	95	26,257	113	99	29,263
Facilities and Environmental Quality	78	49	23,261	81	52	21,394	81	52	21,909
Acquisition Management	8	4	3,585	10	4	3,624	10	4	3,706
Office of Privacy and Open Government	4	3	881	4	3	1,003	4	3	1,021
General Counsel	214	175	39,567	214	185	46,816	214	185	48,094
Chief Information Officer	45	32	50,352	46	34	39,705	48	35	47,773
Enterprise Services	52	40	42,403	56	42	40,770	56	42	45,119
Executive Direction ^{1/}	26	15	3,971	26	16	5,234	26	16	5,331
Total Working Capital Fund	656	503	236,854	665	532	231,042	672	537	249,469

^{1/} Executive Protection Unit moved from Office of Security to Executive Direction.

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

	2018 Actuals	2019 Enacted	2020 Estimate
Office of the Secretary	12,212	14,893	15,780
International Trade Administration	32,419	34,343	36,360
Economic Development Administration	4,097	911	920
National Telecommunications and Information Administration	7,084	7,397	8,049
National Technical Information Service	1,974	1,836	1,904
Bureau of the Census	42,199	43,938	45,836
Bureau of Economic Analysis	3,210	2,780	2,896
National Oceanic and Atmospheric Administration	56,965	53,489	64,027
National Institute of Standards and Technology	26,711	27,817	29,013
Minority Business Development Agency	5,916	5,772	3,458
Bureau of Industry and Security	12,441	12,827	14,743
Office of Inspector General	2,811	2,989	3,168
Patent and Trademark Office	18,473	19,560	20,771
Total Commerce Bureaus	226,512	228,552	246,925
Other Agencies	1,765	2,490	2,544
Total	228,277	\$231,042	249,469

The FY 2019 President's Budget and the FY 2020 Estimate include changes to the Bureau billing distribution to reallocate Economic and Statistics Administration (ESA) associated costs to the Bureau of Economic Analysis (BEA) and Bureau of Census. Minority Business Development Agency billings have been adjusted and spread to the remaining bureaus.

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

Object Classes	2018	2019	2020	2020	Increase/ (Decrease)
<u>Object Classes</u>	<u>Actuals</u>	<u>Enacted</u>	<u>Base</u>	<u>Estimate</u>	<u>Over 2020 Base</u>
11.1 Full-time permanent (Compensation)	64,004	74,145	74,480	75,107	627
11.3 Other than full-time permanent	1,126	1,304	1,310	1,310	0
11.5 Other personnel compensation	2,786	2,505	2,520	2,542	22
11.8 Special personnel services payments					0
11.9 Total personnel compensation	<u>67,916</u>	<u>77,954</u>	<u>78,310</u>	<u>78,959</u>	<u>649</u>
12.1 Civilian personnel benefits	22,042	25,485	27,369	27,570	201
13 Benefits for former personnel	100	116	116	116	0
21 Travel and transportation of persons	584	881	881	897	16
22 Transportation of things	96	169	172	172	0
23 Rent, communications and utilities	0	0	0	0	0
23.1 Rental payments to GSA	7,547	7,711	7,888	7,911	23
23.2 Rental payments to others	35	0	0	0	0
23.3 Commu., util. and misc. charges	3,793	4,059	4,106	4,114	8
24 Printing and reproduction	319	482	490	501	11
25 Other contractual services					
25.1 Consulting services	95	102	104	352	248
25.2 Other services	70,836	78,797	69,684	81,793	12,109
25.3 Purchase of goods and services from Gov't accounts	46,059	42,248	43,043	43,212	169
25.4 Operation of GOCOs	0	0	0	0	0
25.5 Research and development contracts	0	0	0	38	38
25.6 Medical care	0	0	0	0	0
25.7 Operation and maintenance of equipment	0	0	0	158	158
25.8 Subsistence and support of persons	0	0	0	0	0
26 Supplies and materials	1,207	1,385	1,409	1,422	13
31 Equipment	16,218	1,990	2,046	2,256	210
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

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

Object Classes	2018	2019	2020	2020	Increase/ (Decrease)
<u>Object Classes</u>	<u>Actuals</u>	<u>Enacted</u>	<u>Base</u>	<u>Estimate</u>	<u>Over 2020 Base</u>
43 Interest and dividends	7	0	0	0	0
44 Refunds	0	0	0	0	0
99.9 Total obligations	236,854	241,378	235,616	249,469	13,853
Prior year recoveries	(5,929)	0	0	0	0
Unobligated balance, start of year	(12,646)	(10,336)	0	0	0
Unobligated balance, end of year	10,336	0	0	0	0
TOTAL REIMBURSABLE AUTHORITY	228,615	231,042	235,616	249,469	13,853
Personnel Data					
Full-Time Equivalent Employment:					
Full-time permanent	469	498	498	503	5
Other than full-time permanent	34	34	34	34	0
Total	503	532	532	537	5
Authorized Positions:					
Full-time permanent	612	621	621	628	7
Other than full-time permanent	44	44	44	44	0
Total	656	665	665	672	7

Department of Commerce
 Departmental Management
 Working Capital Fund
 Advisory and Assistance Services
 (Dollar amounts in thousands)

	2018 <u>Actuals</u>	2019 <u>Enacted</u>	2020 <u>Estimate</u>
Consulting services	95	102	352
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	<u>95</u>	<u>102</u>	<u>352</u>

Department of Commerce
 Departmental Management
 Working Capital Fund
 AVERAGE GRADE AND SALARIES

	2018 Actuals	2019 Enacted	2020 Estimate
Average ES Salary	\$183,461	\$183,461	\$185,479
Average GS/GM Grade	13.1	13.1	13.7
Average GS/GM Salary	\$117,391	\$117,391	\$118,682

Departmental Management

FY 2020 Annual Performance Plan / FY 2018 Annual Performance Report (APPR) Backup

SUMMARY

OVERVIEW

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

- The Salaries and Expenses appropriation provides funding for the development and implementation of Departmental policies, coordinates the bureaus' program activities to accomplish the Departmental mission, and provides funds for the development and implementation of the Department's internal policies, procedures, and other administrative guidelines;
- The Working Capital Fund provides necessary centralized services to client bureaus; and organizational units provide the administrative support needed to accomplish the Department of Commerce's overall mission. The Herbert C. Hoover Building (HCHB) Renovation and Modernization account provides no-year funding for the Department's expenses associated with the renovation and modernization of HCHB.
- The IT System Modernization Fund is a new account requesting funding for the Business Application Solution Phase 1 implementation activities for an integrated suite of financial management and business applications.

MISSION STATEMENT

The mission of the Department of Commerce is to create the conditions for economic growth and opportunity. The Department works with businesses, universities, communities and the Nation's workers to promote job creation, economic growth, sustainable development and improved standards of living for Americans.

CROSS-AGENCY PRIORITY (CAP) GOALS

DM currently contributes to the following Cross-Agency Priority Goals:

- IT Modernization (Office of the Chief Information Officer)
- People – Workforce for the 21st Century (Office of Human Resources Management)
- Improving Customer Experience (Office of Human Resources Management)
- Sharing Quality Services (Enterprise Services)
- Category Management (Office of the Chief Information Officer and Enterprise Services)
- Results-Oriented Accountability for Grants (Office of the Chief Information Officer)
- Getting Payments Right (Office of the Chief Information Officer)
- Federal IT Spending Transparency (Office of the Chief Information Officer)
- Improve Management of Major Acquisitions (Office of Acquisitions Management and Enterprise Services)
- Security Clearance and Credentialing (Office of Human Resources Management)

The Department is integrating the various aspects of the President's Management Agenda (PMA), M-17-22, and the DOC Strategic Plan that pertain to the Workforce of the 21st Century. These include but are not limited to: workforce planning for mission-critical occupations, maximizing employee performance, engaging employees in the missions of the bureaus, and applying the lessons learned from the Federal Employee Viewpoint Survey to ensure Commerce remains an employer of choice for the next generation of civil servants.

Workforce planning begun under M-17-22 will continue in FY 2020. DOC has 23 mission-critical occupations (MCOs). Currently, DOC is looking at cybersecurity and meteorologist MCOs in two workforce planning studies. Both studies will identify gaps in competencies and lay out strategies to improve hiring and close gaps. Part of this plan may include using funds to upgrade the skills of these employees through training or certification.

The purpose of the Improve Management of Major Acquisitions goal is to increase attention on major acquisition program management to ensure agencies successfully meet taxpayer expectations and performance goals for key projects.

Central to DOC's ability to execute strategic human capital is the continued progress with Enterprise Services (ES). To date, ES is processing personnel action requests (PAR) and pay and benefits for DOC HROC, NOAA, and Census. End-to-end talent management is expected to come on line in late 2019. This allows DOC to focus more resources on workforce/succession planning, performance management, and training. Full implementation of ES services will ensure improved service delivery and that DOC operates efficiently and effectively.

STRATEGIC GOAL(S) AND OBJECTIVE(S)

DM contributes to all of the Department's Strategic Goals and Objectives; however, while DM does contribute to Goals 1-4, its primary focus in terms of measurement is Goal 5 – Deliver Customer-Centric Service Excellence.

TRACKING PROGRESS ON STRATEGIC GOAL(S)

DM tracks its progress on achieving its objectives through indicators that apply to Goal 5. Progress on indicators is assessed at quarterly performance reviews. Internal bureau-centric metric review processes are another tool. They vary in approach and schedule but are systematic.

Data on mission support initiatives (Human Resources, Acquisition, Financial Management, etc.) are tracked on an online dashboard and reviewed at the quarterly meetings with the Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA). The various “CXO” Councils (Human Capital, Information Technology, Acquisition, Finance) also review dashboards of metrics.

PROGRESS UPDATE FOR STRATEGIC GOAL(S)

DM has made significant progress in achieving its strategic objectives in goal area 5. Work has been done to improve the customer experience. USPTO developed detailed customer experience maps. These maps have been praised by OMB and may be used as a model for other high impact service providers. Many bureaus are standing up Customer Relationship Management Systems (CRMs). Census, BEA, and ITA have made their data sets and analysis tools easily accessible on their websites. Work is being done to replace legacy systems across Commerce. The most significant progress has been made in BEA. They have retired over 600 legacy programs. In August of 2018, OCIO and OPA successfully launched the beta version of the redesigned Commerce.gov website to OS employees. The new website creates an easy-to-use system that allows OS offices to collaborate more efficiently with the bureaus. The Department has been moving mission support services to the newly created Enterprise Services (ES) office. As the Enterprise Services model matures, mission support services will be improved and costs will be reduced. Workforce planning is in process. An analysis of skills and competencies has been completed at OCIO and the National Weather Service to make the workforce more efficient.

A principle challenge for DM is establishing a modern financial management system. However, Commerce is developing a long-range funding strategy for IT Modernization and is using best practices to maximize the benefits of investments in modernization and security.

Overall DM is on track toward successful fulfillment of Strategic Goal 5.

PLANNED ACTIONS FOR ACHIEVING STRATEGIC GOAL(S) AND FY 2020 PERFORMANCE TARGETS

These actions are shown in individual indicator descriptions.

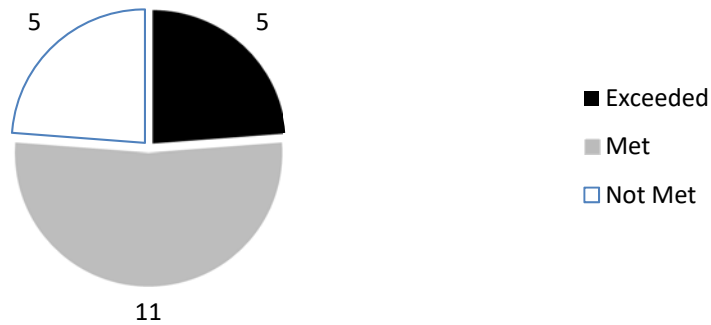
AGENCY PRIORITY GOALS

None of the Agency Priority Goals apply to DM in FY 2020.

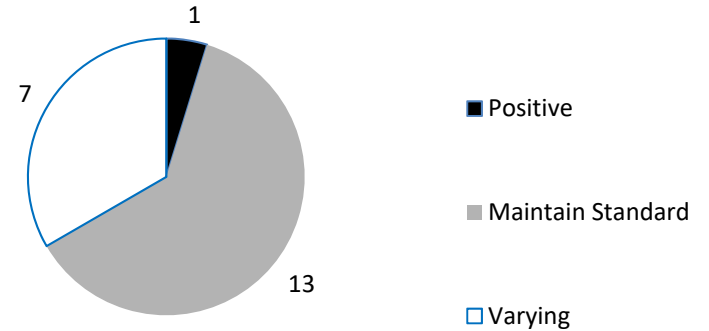
PERFORMANCE RESULTS

SUMMARY OF FY 2018 PERFORMANCE

Status of FY 2018 Indicators



Actual Trends of Indicators



In FY 2018, DM reported results on 21 of 21 performance indicators. Of those indicators, DM exceeded 5 targets (24%), met 11 targets (52%) and did not meet 5 targets (24%). Of the 21 indicators, 1 (5%) had a positive trend, 13 (62%) had a trend of maintaining a standard, and 7 (33%) had a varying trend

NOTE: All of the DM Performance Indicators are assigned to Strategic Goal 5:

SUMMARY OF FY 2018 INDICATOR PERFORMANCE

Obj #	Indicator Name	Target	Actual	Status	Trend*
5.1	Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey	71%	71%	Met	Varying
5.1	Score on the New Inclusion Quotient (New IQ) of the Federal Employee Viewpoint Survey	66%	66%	Met	Varying
5.1	Percentage of high-volume processes with customer feedback elements	100%	100%	Met	Maintain standard
5.2	Cybersecurity Cross Agency Priority (CAP) Goal average for the Department	95%	100%	Exceeded	Maintain standard
5.1	Provide accurate and timely financial information and conform to federal standards, laws, and regulations governing accounting and financial management	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2018 A-123 assessment of internal controls	The significant deficiency (FISCAM) from FY 2016 remains and a material weakness was identified. Completed FY 2018 A-123 assessment of Internal Controls	Not Met	Maintain standard
5.1	Unmodified audit opinion	Unmodified	Unmodified	Met	Maintain Standard
5.1	For each administrative / business system, maintain compliance and alignment with OMB initiatives	Compliance	Compliance	Met	Maintain Standard
5.3	Dollars awarded using high-risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	\$223M	Met	Maintain Standard
5.3	Savings achieved through more effective acquisition practices	\$16.9M	\$49M	Exceeded	Maintain Standard
5.2	Cost / Schedule Overruns (OCIO)	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.	Not Met	Maintain Standard
5.2	Continuous Monitoring (OCIO)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	The Enterprise Security Operations Center implemented a Departmental Incident Management System to report, track, and manage all Commerce cyber incidents. Hardware Asset Management:83%; Software Asset Management: 81%; Vulnerability Management: 92%; Configuration Management: 96%;	Met	Maintain Standard

Obj #	Indicator Name	Target	Actual	Status	Trend*
5.2	Strong Authentication (OCIO)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Privileged users: 97% Unprivileged users: 89%	Met (Unprivileged: Exceeded, Privileged: Not met)	Maintain Standard
5.2	Trusted Internet Connection Consolidation (OCIO)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	TIC Consolidation is at 100% via MTIPs and TICAP for all bureaus.	Met	Maintain Standard
5.2	Trusted Internet Connection Capabilities (OCIO)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	NOAA's TIC 2.0 compliance at 98% (59/60) based on the DHS FY17 TIC Capability Validation (TCV) report critical controls	Met	Maintain Standard
5.2	Security Compliance Reviews (OCIO)	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Conducted 393 analyses, reviews, and assessments, including an RMF Continuous Monitoring Check of all 270 Department of Commerce FISMA-reportable systems.	Exceeded	Maintain Standard
5.1	Mission-Critical Occupation Staffing (OHRM)	5%	9%	Met	Varying
5.1	Permanent Attrition (OHRM)	7%	5%	Exceeded	Varying
5.1	Hiring Timeline (days) (OHRM)	65	92	Not Met	Varying
5.1	Candidate Quality (OHRM)	70%	57%	Not Met	Varying
5.1	Disability Hires (OHRM)	13.5%	24.6%	Exceeded	Positive
5.1	Veteran Hires (OHRM)	23.2%	13.9%	Not Met	Varying

DETAILED INDICATOR PLANS AND PERFORMANCE

Current / Recurring Indicators

Indicator	Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey							
Objective	5.1: Engage Commerce Employees							
Category	Strategic Plan							
Type	Customer Service.							
Description	The Employee Engagement Index consists of 15 FEVS questions, concentrating on factors that lead to an engaged workforce (e.g., supporting employee development, communicating agency goals).							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target			67%	67%	69%	71%	71%	73%
Actual	70%	70%	68%	69%	71%	71%		
Status			Exceeded	Exceeded	Exceeded	Met		
Trend	Varying							
Adjustments to targets	The FY 2019 through the FY 2020 targets are based on the FY 2018 FEVS Employee Engagement index results.							
Additional Action(s) to Achieve FY 2020 Targets	The EEI results along with other FEVS results, will continue to be shared with leaders across the Department for awareness and action planning. The EEI is also tracked as an annual metric in the internal HRstat Report reviewed with CHCO, Deputy CHCO, and Principal HR Managers on a quarterly basis.							
Information Gaps	None							

Indicator	Score on the New Inclusion Quotient (New IQ) of the Federal Employee Viewpoint Survey							
Objective	5.1: Engage Commerce Employees							
Category	Strategic Plan							
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 four questions in common with the Employee Engagement Index, and workplace inclusion is a contributing factor to organizational performance.							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target			66%	64%	64%	66%	66%	68%
Actual	64%	64%	63%	63%	66%	66%		
Status			Met	Met	Exceeded	Met		
Trend	Varying							
Adjustments to targets	The FY 2019 through FY 2020 targets are based on the FY 2018 FEVS New IQ index results.							
Additional Action(s) to achieve FY 2020 target	The New IQ results along with other FEVS results, will continue to be shared with leaders across the Department for awareness and action planning							
Information Gaps	None							

Indicator	Percentage of high-volume processes with customer feedback elements							
Objective	5.1: Engage Commerce Employees							
Category	Supporting							
Type	Process.							
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target				100%	100%	100%	100%	100%
Actual				100%	100%	100%		
Status				Met	Met	Met		
Trend	Maintain standard							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Notes	The Federal Digital Strategy Team identified four DoC processes with high volume customer contacts (patents, trademarks, weather information and the 2020 Census). All four get feedback from advisory groups and two get on-going feedback from customers. The universe for this indicator was expanded in FY 2016 to include all high volume customer services processes of DoC.							
Information Gaps	None							

Indicator	Cybersecurity Cross Agency Priority (CAP) Goal average for the Department							
Objective	5.2: Accelerate Information Technology Modernization							
Category	Supporting							
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target			83%	80%	95%	95%	95%	95%
Actual			84% ¹	85% ¹	100%	100%		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Maintain Standard							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

Indicator	Provide accurate and timely financial information and conform to federal standards, laws, and regulations governing accounting and financial management							
Objective	5.1: Engage Commerce Employees							
Category	Supporting							
Type	Intermediate Outcome							
Description	This indicator ensures that the Department of Commerce is accountable to the American people, and that no Significant Deficiencies, formerly known as "Reportable Conditions," (i.e. deficiencies in the design or operation of internal controls) remain unaddressed. To determine if financial information is being provided in a timely and accurate manner, the Department will assess whether those individuals who can best use the information are receiving it within timeframes that render it relevant and useful in their day-to-day decisions							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Eliminate any significant deficiency within 1 year of determination Complete FY 2013 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2014 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2015 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2016 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2017 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2018 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2019 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2019 A-123 assessment of internal controls
Actual	Eliminated the material weakness but two significant deficiencies remain Completed A-123 assessments	Eliminated one repeat significant deficiency out of two, added one significant deficiency. Completed FY 2014 A-123 assessment of Internal Controls.	Eliminated one repeat significant deficiency out of two, added a new significant deficiency. Completed FY 2015 A-123 assessment of Internal Controls.	Eliminated two significant deficiencies; one significant deficiency (FISCAM) remains Completed FY 2016 A-123 assessment of Internal Controls	The significant deficiency (FISCAM) from FY 2016 remains and a material weakness was identified. Completed FY 2017 A-123 assessment of Internal Controls	The material weakness for Census IUS and significant deficiency for IT general controls remained and a new material weakness was identified over due diligence of NTIA accounting entry. Completed FY 2018 A-123 assessment of Internal Controls		
Status	Not Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Maintain Standard							
Explanation if not met in 2018	Improvements were made in FY 2018 over prior year Census IUS finding. However, there were still instances of control deficiencies, collectively this finding remained as material weakness. IT remained as significant deficiency due to findings surrounding Information Technology(IT) general controls.							
Actions to be taken to correct not meeting targets	The Department will work with Census on corrective actions in FY 2019 in efforts to eliminate the material weakness on Census IUS. The Department and Census will also work with OIG to track and implement milestones of major corrective actions; the NTIA accounting entry was corrected prior to the end of FY 2018. Therefore, we do not expect this to be a repeat finding in FY 2019; the Department and bureaus will continue to address deficiencies around IT findings in efforts to eliminate any repeat deficiencies.							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	The Department will continue to work with applicable bureaus on corrective actions to eliminate any prior year repeat findings.							
Information Gaps	None							

Indicator	Unmodified audit opinion							
Objective	5.1: Engage Commerce Employees							
Category	Supporting							
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; (2) modified, in which Auditor encounters a situation that does not comply with generally accepted accounting principles, however the rest of the financial statements are fairly presented; and (3) disclaimer, which is issued when the Auditor cannot form, and consequently refuses to present, an opinion on the financial statements.							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified
Actual	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified		
Status	Met	Met	Met	Met	Met	Met		
Trend	Maintain Standard							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	None.							
Notes	The Department will continue to monitor the progress of corrective actions to ensure that they stay on track. It will also continue to conduct internal control assessments to help identify issues that may have an impact on the audit opinion early enough to correct them before they become audit findings							
Information Gaps	None							

Indicator	For each administrative / business system, maintain compliance and alignment with OMB initiatives							
Objective	5.1: Engage Commerce Employees							
Category	Supporting							
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).							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance
Actual	Maintained compliance	Maintained compliance	Maintained compliance	Maintained compliance	Maintained compliance	Maintained compliance		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	Continue to work with OMB and Treasury to determine a path forward to modernize the Department's financial and administrative systems.							
Notes	The BAS project intends to follow the shared services process as stated in OMB Memorandum M-13-08							
Information Gaps	None							

Indicator	Dollars awarded using high-risk contracting authorities							
Objective	5.3: Consolidate Functions for Cost Savings							
Category	Supporting							
Type	Intermediate Outcome							
Description	High-risk contracting authorities such as noncompetitive contracting, cost-reimbursement contracts, and time-and materials and labor-hour contracts pose special risks of overspending. While these contract authorities are important tools when used appropriately, GAO and OIG oversight reviews indicate that they are often used without an appropriate basis or sufficient management and oversight to limit taxpayer risk. This element will measure the Department's progress in managing risk through reducing the use of high-risk contracting authorities.							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities
Actual	\$228M	\$279M	\$367M	\$324M	\$222M	\$223M		
Status	Met	Met	Met	Met	Met	Met		
Trend	Maintain Standard							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

Indicator	Savings achieved through more effective acquisition practices (millions)							
Objective	5.3: Consolidate Functions for Cost Savings							
Category	Supporting							
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	\$18	\$18	\$18	\$18	\$18	\$16.9	\$31	\$31
Actual	\$29	\$18.1	\$17	\$25	\$36	\$49		
Status	Exceeded	Exceeded	Met	Exceeded	Exceeded	Exceeded		
Trend	Maintain Standard / Stable							
Adjustments to targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

Indicators (OCIO)	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
Category	Supporting
Type	Outcome

Description	<p>VALUE: The Department’s significant annual investment in information technology (IT) solutions and assets requires careful management and monitoring. Through the use of Earned Value Management and Operational Analysis systems in the development and/or operational phases are monitored to ensure the required functionality is delivered on schedule and at the cost projected. Program offices regularly report on the progress and status of their efforts against the cost, schedule, and performance goals. DOC has changed the wording of this measure from “Improve the management of information technology,” to better reflect an objective measure as opposed to a goal.</p> <p>In addition to the above, and beginning in FY 2015, the Department embarked upon updating its IT infrastructure and initiating an IT Shared Services Initiative aimed at consolidating commodity services across bureaus to gain economies of scale, improve service delivery, and improve customer satisfaction. As part of this effort, six IT shared services were identified and prioritized for deployment in the FY2016-FY2017 timeframe. As these IT shared services are deployed, OCIO will focus on the delivery and measurement of achieved functionality and improvements in customer satisfaction and value delivered to our customers and stakeholders.</p> <p>CYBER: The successful implementation of each program critical to the Department’s missions depends on the adequacy and security of the Department’s information technology systems. If systems security were to be compromised, the effective accomplishment of the Department’s mission would be in jeopardy. The Department follows the NIST Risk Management Framework (RMF) process to ensure that information and systems are adequately protected throughout their lifecycle. This includes a rigorous assessment of security controls to provide the necessary assurance that an information system can securely process, store, or transmit information. The assessment encompasses all management, operational, and technical controls that protect a system. By following the RMF process, the Department continuously monitors the status of its systems and the adequacy of the controls.</p> <p>In FY 2017, the Department of Commerce (DOC) worked aggressively to enhance its IT security posture and improve its performance in the Cyber Security Cross Agency Priority (CyberCAP) areas as well as other FISMA areas. An enterprise view of the real-time security posture of DOC’s systems is being enabled through the Enterprise Cybersecurity Monitoring and Operations (ECMO) program and Enterprise Security Operations Center (ESOC). Additional monitoring tools are currently being deployed and integrated in FY 2017 and FY 2018 as a result of DOC’s participation in the DHS’s Continuous Diagnostics and Mitigation (CDM) program. DOC met six Anti-Phishing and Malware Defense (APMD) metrics by deploying new network protection tools as well as making a phishing exercise tool available at the enterprise level. DOC will continue to improve its APMD performance through enhanced training exercises and use of additional tools and supporting processes for anti –virus protection, intrusion prevention systems, scanning mobile devices, and the implementation of an enterprise Dynamic Execution Environment (DEE). DOC made progress in Strong Authentication / PIV use through stricter enforcement of technical requirements to use PIV for logical access. A PIV-interoperability solution has been identified to aid in providing PIV badges to DOC populations that were previously unable to receive them. Additional improvements will be realized through DOC’s ongoing efforts to cultivate a culture of analytics and IT security awareness.</p>
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A. Cost / Schedule Overruns								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	All investments within 10% of cost and schedule.	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%	IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%
Actual	75% of major IT investments had cost/schedule overruns and performance shortfalls averaging less than 10%	On average, for its major IT investments in the development stage, the Department achieved its cost target of being within 10% variance (under budget) and was within a 25% schedule variance.	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.		
Status	Not Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Maintain Standard, Stable trend.							
Explanation for not met in FY 2018	There are investments / projects – primarily IT infrastructure and modernization projects – that are chronically behind schedule and over budget that bring the overall average variance of the Department’s major investments down. The variance typically occurs when a management decision is made to add new or consolidate projects and change the priority and resources left available for current primarily infrastructure projects or budgetary constraints hinder cost and scheduling targets.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	Senior leadership will continue to partner with the bureau CIOs to define a ‘living and sustainable’ IT Modernization plan and framework. Additionally, bureau CIOs are committed to the adoption of industry best practices and improved corrective action strategies.							
Notes	Major Investments with chronic or exceptionally high cost and schedule variances will be brought in for TechSTAT and/or Commerce IT Review Board Reviews. In addition, we will evaluate whether it is appropriate to develop a formal department wide policy laying out the criteria for when re-baselining is valid.							
Information Gaps	None							

B. Continuous Monitoring								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)
Actual		Enterprise Security Operations Center achieved functional initial operating capability on 9/25/2014. Current deployment of enterprise monitoring capability at 113% of projected deployment.	The Enterprise Security Operations Center is operating 24X7 and is ingesting data feeds from NOAA, DOC HQ, NTIA and BEA. The Enterprise Cybersecurity Monitoring & Operations (ECMO) deploys continuous Monitoring Agents on 100% of targeted assets for FY16. Hardware Asset Management - 76%; Software Asset Management:84%; Vulnerability Management:74%; Configuration Management:91%	The Enterprise Security Operations Center reached complete operational capability in August 2016 and is now ingesting data feeds from all Commerce bureaus Hardware Asset Management:71%; Software Asset Management: 77%; Vulnerability Management: 91%; Configuration Management: 99%; Overall:79% (based on average of all individual ISCM metrics)	The Enterprise Security Operations Center implemented a Departmental Incident Management System to report, track, and manage all Commerce cyber incidents. Hardware Asset Management:83%; Software Asset Management: 81%; Vulnerability Management: 92%; Configuration Management: 96%;	The Enterprise Security Operations Center implemented a Departmental Incident Management System to report, track, and manage all Commerce cyber incidents. Hardware Asset Management:83%; Software Asset Management: 81%; Vulnerability Management: 92%; Configuration Management: 96%;		
Status		Met	Met	Not Met	Met	Met		
Trend	Stable trend.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Notes	DHS Continuing Diagnostics and Mitigation (CDM) Task Order 2 for hardware and software asset management and Vulnerability and Secure configuration management tools and services was awarded on 9/21/15. Currently the awardee, Northrup Grumman, is in the process of designing and deploying Phase 1 (CRED MGMT) tools throughout DOC bureaus. Phase 2 (PRIV MGMT) contractor, KCG-ManTech, is conducting design meeting with DOC bureaus with deployments scheduled to begin and is dependent on CDM deployment schedule, as resources are limited.							
Information Gaps	None							

C. Strong Authentication								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Percentage of systems in production with valid Accreditation and Authorization (A&A) is 100%	Strong Authentication - ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)	Strong Authentication- ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)	Strong Authentication – ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)
Actual	99% of systems in production with valid Accreditation and Authorization	Strong Authentication aggregated totals for non-privileged and privileged access is 72% as of 9/29/2014 which represents a 100% increase from FY2013.	Privileged users:86% Unprivileged users:81%	Privileged users: 90% Unprivileged users: 86%	Privileged users: 97% Unprivileged users: 89%	Privileged users: 97% Unprivileged users: 89%		
Status	Met	Met	Met	Exceeded	Met (Unprivileged: Exceeded, Privileged: Not met)	Met (Unprivileged: Exceeded, Privileged: Not met)		
Trend	Maintain standard, stable trend.							
Adjustments to Targets	Targets mandated by OMB							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

D. Trusted Internet Connection Consolidation								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)	Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)
Actual		TIC Consolidation 100% via MTIPS for all OUs except NOAA who is in process of establishing TICAP services	TIC Consolidation is at 98% via MTIPS and TICAP.	TIC Consolidation is at 100% via MTIPS and TICAP for all bureaus.	TIC Consolidation is at 100% via MTIPS and TICAP for all bureaus.	TIC Consolidation is at 100% via MTIPS and TICAP for all bureaus.		
Status		Met	Met	Met	Met	Met		
Trend	Stable trend.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

E. Trusted Internet Connection Capabilities								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)
Actual		NOAA TIC 2.0 compliance at 87.5%, planned date to reach 100% is 9/30/2015.	NOAA's TIC 2.0 compliance at 83% (43/52) based on critical controls and planned to be 98% in Q2FY16	NOAA's TIC 2.0 compliance at 85% (44/52) based on the DHS FY16 TIC Capability Validation (TCV) report critical controls	NOAA's TIC 2.0 compliance at 98% (59/60) based on the DHS FY17 TIC Capability Validation (TCV) report critical controls	NOAA's TIC 2.0 compliance at 98% (59/60) based on the DHS FY17 TIC Capability Validation (TCV) report critical controls		
Status		Met	Not Met	Not Met	Met	Met		
Trend	Stable							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

F. Security Compliance Reviews								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Perform IT Security compliance review of all OUs and 30 assessments	Perform IT Security compliance review of all OUs and 22 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments
Actual	Security compliance review of all OUs and 34 assessments	Completed Security compliance reviews of all OUs and 22 assessments	Completed Security Compliance Reviews of all OUs and 15 assessments	Conducted 87 analyses, reviews, and assessments and compliance checks for participating bureaus.	Conducted 27 analyses, reviews, and assessments, including an RMF Continuous Monitoring Check of all 270 Department of Commerce FISMA-reportable systems.	Conducted 393 analyses, reviews, and assessments, including an RMF Continuous Monitoring Check of all 270 Department of Commerce FISMA-reportable systems.		
Status	Met	Met	Met	Met	Met	Exceeded		
Trend	Maintain standard, stable trend.							
Adjustments	None							
Additional Action(s) to achieve FY 2020 target	None							
Information Gaps	None							

Indicators (OHRM)	A. Mission-Critical Occupation Staffing B. Permanent Attrition C. Hiring Timeline D. Candidate Quality E. Disability Hires F. Veteran Hires
Objective	5.1: Engage Commerce Employees
Category	Supporting
Type	Outcome
Description	These indicators represent a combination of measures focusing 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.

A. Mission-Critical Occupation Staffing								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		5%	5%	5%	5%	5%	5%	5%
Actual		5%	10%	8%	9%	9%		
Status		Met	Met	Met	Met	Met		
Trend	Varying.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	Staffing targets for the five Government-wide MCOs (Economists, IT Specialists, Contract Specialists, HR Specialists, and Auditors) are tracked on a quarterly basis in the HRstat Report and reviewed with CHCO, Deputy CHCO, and Principal HR Managers for management awareness/decisions. Additionally, Staffing Resource Charts are submitted to OPM annually, containing staffing targets for all 23 Commerce MCOs SES/SL/ST positions, and most recently cybersecurity positions for up to four years out. These are also shared with the different stakeholders across the Department.							
Notes	An average 5% deviation from a given target equates to a staffing level of 95% to 105% of what would be the 100% target. An average deviation of 10% (or 90% to 110% of what would be the 100% target) is considered met for the purposes of this report. In HRstat, an average deviation of 10% is considered "almost met."							
Information Gaps	None							

B. Permanent Attrition (rate of permanent employees that intentionally separated, without agency incentive or action)								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	11%	11%	7%	7%	7%	7%	7%	7%
Actual	6%	7%	7%	7%	7%	5%		
Status	Exceeded	Exceeded	Met	Met	Met	Exceeded		
Trend	Varying							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	Permanent attrition data is tracked quarterly as part of the HRstat report and reviewed with CHCO and Principal HR Managers for management awareness/decisions.							
Notes	Indicator began in FY 2013. During FY 2015, the measure parameters were refined to better align with employee engagement by excluding nature of action codes, such as death and separations initiated by agency action, that do not reflect an employee's deliberate desire and intention to leave the agency. Based on the analysis of Commerce-wide and Government data, the target was revised in FY 2015.							
Information Gaps	None							

C. Hiring Timeline (Average number of calendar days to complete hiring actions)								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	80	65	65	65	65	65	65	65
Actual	103	91	88	101	89	92		
Status	Not Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation for not met in FY 2018	The 27 days beyond the target can be mostly attributed to issuing the official job offer (13 days longer); issuing the tentative offer and acceptance (8 days longer than OPM standard); the time the job announcement remained open (6 days longer).							
Actions to be taken to correct not meeting targets	Quarterly HRstat reviews, including sharing of Department, HR office, and bureau-level hiring timeline data, will continue to be held with the Principal HR Managers and Chief Human Capital Officer.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	Hiring timeline data is tracked quarterly as part of the HRstat report and reviewed with CHCO and Principal HR Managers for management awareness/decisions.							
Information Gaps	None							

D. Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job)								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		70%	70%	70%	70%	70%	70%	70%
Actual	62%	63%	64%	62%	54%	57%		
Status		Met	Met	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation for not met in FY 2018	This target is based on the % of managers that provided a rating of 8 or higher on a scale of 1 - 10 to the question "Applicants referred had the skills to perform the job" in the Chief Human Capital Officer's Management Satisfaction Survey. Only 57% of managers that answered the survey provided a rating of 8 or higher in this question, therefore not meeting the target of 70%							
Actions to be taken to correct not meeting targets	Quarterly HRstat reviews, including sharing of Department, HR office, and bureau-level candidate quality data, will continue to be held with the Principal HR Managers and Chief Human Capital Officer.							
Adjustments to Targets	None							
Additional Action(s) to achieve FY 2020 target	Candidate quality data is tracked quarterly as part of the HRstat report and reviewed with CHCO and Principal HR Managers for management awareness/decisions.							
Information Gaps	None							

E. Disability Hires (Percentage of new hires that have a disability)								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		9.0%	10.0%	12.5%	13.0%	13.5%	14.0%	14.5%
Actual	12.3%	7.3%	12.3%	15.1%	21.9%	24.6%		
Status		Not Met	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to Targets	The FY 2019 target has been established as 14.0% and the FY 2020 target as 14.5% based on incremental increases of .5% between FY 2016 to FY 2020							
Additional Action(s) to achieve FY 2020 target	Disability new hires and targeted disability new hires data is tracked quarterly as part of the HRstat report and reviewed with CHCO and Principal HR Managers for management awareness/decisions.							
Information Gaps	None							

F. Veteran Hires (Percentage of new hires that are veterans)								
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target		16.4%	20.2%	27.5%	25.9	23.2%	TBD	TBD
Actual	13.4%	12.5%	13.7%	13.9%	10.2%	13.9%		
Status		Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation for not met in FY 2018	While there was a notable increase in veterans hiring over the previous FY, the Department did not reach the veterans hiring goal due to limited resources to target and recruit veterans for opportunities throughout the Department. Additionally, the Department's Veterans Employment Program Manager position was vacant the entire fiscal year, impacting our ability to provide focused oversight and management of the Veterans Employment Program.							
Actions to be taken to correct not meeting targets	The agency hired a full time Veterans Employment Program Manager who will work with Veterans Services Organizations, bureau Selective Placement Program Coordinators, HR Professionals and hiring officials to develop action plans for increasing veteran's employment throughout the Department. Strategies to maximize resources and tools to support targeted recruitment will also be implemented.							
Adjustments to Targets	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 previous year's actual hiring rate, the FY 2019 target will not be established until after FY 2018, and the FY 2020 target will not be established until after FY 2019.							
Additional Action(s) to achieve FY 2020 target	A selection has been made to fill the Veterans Employment Program Manager vacancy. The incumbent, who came on board in early FY 2019, will be leading the strategic efforts for increasing employment of veterans throughout the Department. A new Veterans Employment Operational Plan will be finalized and implemented outlining actions on recruitment and retention strategies. The Department will continue to use special appointing authorities and non-competitive hiring procedures to recruit and expedite on-boarding of veterans.							
Information Gaps	None							

Proposed New Indicators

Indicator	Percentage of Mission Performance Indicator Targets Met							
Objective	5.1 – Engage Commerce Employees							
Category	Strategic Plan							
Type	Outcome							
Description	The average of all indicators reported Department-wide. The results of this indicator lags one year after the results of all the indicators within the Department.							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target								75%
Actual								
Status								
Trend	Not enough data							
Planned Actions to Achieve Targets	Monitoring of progress through the development of the Sept. draft APPR, the February Congressional APPR, and the Annual Strategic Review							
Notes	This measure is also used in the SES performance management process							
Information Gaps	New measures introduced in a fiscal year can create a negative trend but are needed to provoke innovation							
Reason for New Indicator	Assess progress in achieving planned results							
Indicator(s) being replaced	None							

Resource Requirements Table

	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual
Strategic Goal 5: Operational Excellence					
Total Budget Authority					
Direct	51.9	55.5	56.0	58.0	58.0
Reimbursable	94.8	91.7	102.3	98.1	93.6
Total	146.7	147.2	158.3	156.1	151.6
Total Positions	271	253	270	273	281

	FY 2018 Enacted	FY 2019 Annualized CR	FY 2020 Base	Increase / Decrease	FY 2020 Request
Strategic Goal 5: Deliver Customer-Centric Service Excellence					
Total Budget Authority					
Direct	63.0	63.0	64.9	14.2	79.1
Reimbursable	100.9	106.0	109.9	0.0	109.9
IT Modernization	0.0	0.0	0.0	22.0	22.0
Total	163.9	169.0	174.8	36.2	211.0
Total Positions	286	286	286	22	308