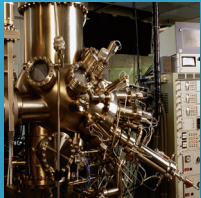




U.S. DEPARTMENT OF COMMERCE BUDGET IN BRIEF



FISCAL YEAR
2021

**The
Department of Commerce
Budget in Brief**

Fiscal Year 2021

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Secretary of Commerce

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Unless otherwise noted, all dollar amounts are in thousands

The total Full-Time Equivalent Employees (FTEs) reflect the total number of straight-time hours (i.e., not including overtime or holiday hours) worked by employees divided by the number of compensable hours applicable to each fiscal year. Annual leave, sick leave and compensatory time off and other approved leave categories are considered to be “hours worked” for the purposes of defining FTE employment.

Departmental Overview

Promoting Job Creation and Economic Growth

The mission of the U.S. Department of Commerce is to create the conditions for economic growth and opportunity. It promotes job creation and economic growth by ensuring fair and reciprocal trade, providing the data necessary to support commerce and Constitutional democracy, and fostering innovation by setting standards and conducting foundational research and development.

FY 2021 BUDGET IN CONTEXT

The U.S. Department of Commerce's FY 2021 Budget requests \$7.9 billion in discretionary funding, a \$7.3 billion or 48 percent decrease from the FY 2020 enacted level. The FY 2021 Budget Request prioritizes and protects investments in core government functions such as completing the 2020 Decennial Census, enforcing our trade laws, and taking steps to combat unfair trading practices; providing leadership in space commerce; supporting research and development in cutting edge technologies like artificial intelligence and quantum computing, that will support the industries of the future; sustaining current weather satellites to provide vital forecast information for significant weather events; cutting red tape to help American businesses prosper; and, supporting ongoing satellite acquisition and vessel recapitalization efforts to ensure the National Oceanic and Atmospheric Administration will have the necessary assets to conduct its weather, fisheries, coastal, and research missions.

Complete the 2020 Decennial Census

The Budget provides \$1.6 billion, a decrease of almost \$5.9 billion from the FY 2020 enacted level, for the U.S. Census Bureau operations. The Budget supports the completion of the 2020 Decennial Census through a combination of carryover and \$812.4 million in new appropriations in FY 2021. Following a decade of planning and execution, the Census Bureau will ramp down the massive coordination of people and infrastructure that supported the 2020 Decennial Census. The Bureau will release data used to redistrict congressional seats and make decisions about Federal funding.

Combating Unfair Trade Practices

To support the Administration's aggressive approach to a global market that allows U.S. businesses to compete fairly, the Budget provides \$474 million for the International Trade Administration (ITA). The Budget will help ITA's enforcement and compliance program conduct reviews of existing antidumping and countervailing duty orders to ensure the robust enforcement of our trade laws. The Budget supports the modernization of the Committee on Foreign Investment in the United States (CFIUS) to implement the Foreign Investment Risk Review Modernization Act (FIRRMA).

The Budget also provides \$137.7 million for the Bureau of Industry and Security (BIS). This funding will augment the Bureau's efforts to curtail illegal exports of sensitive products and technologies while facilitating secure trade with U.S. allies and close partners. The Budget continues to support the investigations under Section 232 of the Trade Expansion Act of 1962 and includes resources to ensure timely review of exclusion requests from Section 232 trade actions.

Sustaining Satellites and Vessels

The National Oceanic and Atmospheric Administration's (NOAA) FY 2021 Budget of \$4.6 billion prioritizes core government functions that promote national security and public safety and support economic opportunity.

This Budget supports the necessary activities of sustaining current weather satellites to provide vital forecast information for significant weather events, and in deep space to provide data used to generate warnings for damaging solar events.

This Budget provides \$108.1 million for the continued development of NOAA's Space Weather Follow On (SWFO) mission. This allows the SWFO satellite to stay on schedule and launch with a NASA research mission, thereby eliminating the need for an additional launch and saving taxpayer dollars.

The Budget also provides resources to create a more efficient and effective satellite architecture of the future, with targeted investments in commercial satellite data and data infrastructure improvements. In addition, this Budget supports ongoing vessel and aircraft fleet recapitalization efforts, including \$75 million for the acquisition and construction of new NOAA ships.

Finally, this NOAA Budget supports: maintaining National Weather Service forecasting capabilities while promoting efficient and effective operations; continuing to rebuild fisheries; recapitalizing the NOAA fleet to continue at-sea data collection; and, accelerating mapping of the US EEZ and Alaska.

Helping American Businesses Prosper

The Budget includes \$111.9 million to support the Bureau of Economic Analysis (BEA) fulfill its mission to preserve the timeliness, relevance and accuracy of the many key economic Gross Domestic Product (GDP) indicators and related data that it produces in an objective and cost-effective manner.

Minority-owned businesses face unique challenges in obtaining the capital and support necessary to start and operate businesses. The Minority Business Development Agency (MBDA) is solely dedicated to addressing these challenges and helping minority businesses thrive. To further this mission, the Budget proposes \$10.3 million to refocus the operations of MBDA as a policy office that is positioned to advocate for minority businesses across all Federal programs.

Supporting Research and Development of Critical Technologies

With a request of \$737.5 million, the FY 2021 Budget supports the National Institute of Standards and Technology's (NIST) mission to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. These programs encompass advanced manufacturing and material measurements; quantum science, engineering, and metrology; and artificial intelligence. FY 2021 funding also enables NIST to advance U.S. innovation and technological development, as part of an all-of-Government approach to ensure the United States leads the world in areas of artificial intelligence (AI), quantum information science, advanced manufacturing, and next generation communications technologies like 5G. The Budget doubles NIST's AI funding, in order to accelerate the development and adoption of AI technologies and help ensure AI enabled systems are interoperable, secure, and reliable. The Budget also proposes the creation of a second NIST-funded advanced manufacturing institute to collaborate with industry and ensure that innovations developed in the United States are also manufactured in the United States rather than in other countries.

The Budget continues to support the National Telecommunications and Information Administration (NTIA) in representing the United States' interests at multi-stakeholder forums on internet governance and digital commerce with a \$72.2 million request, which includes \$25 million to modernize spectrum management systems, enabling the United States to more efficiently satisfy industry's need for additional spectrum and prepare the nation to transition to 5G.

The United States Patent and Trademark Office (USPTO) seeks authority to spend fee collections of \$3.7 billion. The USPTO continues to fulfill its mission by fully supporting the strategic and management priorities of issuing reliable and predictable intellectual property (IP) rights; shortening patent application pendency; enhancing patent administrative appeal and post-grant processes; fine tuning trademark operations; conducting outreach, education and engagement both domestically and internationally; promoting and protecting patent and trademark IP rights; and, investing in information technology stabilization and modernization.

Advancing American Leadership in Commercial Space

The Budget provides \$15 million for the Office of Space Commerce that enables the Department to provide leadership in advancing the Administration's ambitious agenda to promote the United States as the flag of choice for commercial space operations. This is essential to technological innovation, economic growth, jobs, national security, and rejuvenating the American passion for space exploration.

Eliminating Duplicative Programs, Cutting Red Tape, and Improving Operations

The Budget supports the orderly closure of the Economic Development Administration (EDA), which has negligible measurable impacts and duplicates other Federal programs. Many of EDA's programs have not been authorized by the Congress for decades and multiple administrations have called for their reform. By eliminating EDA, the Budget saves over \$300 million from the FY 2020 enacted level.

The Budget also eliminates Federal funding for the Manufacturing Extension Partnership (MEP) program within NIST, which subsidizes up to half the cost of state centers that provide consulting services to small- and medium-sized manufacturers.

This budget proposal saves \$146 million from the FY 2020 enacted level and directs MEP centers to transition solely to non-Federal revenue sources as originally intended when the program was established. The Budget includes wind-down costs associated with these closures.

This Budget also helps fulfill the President's commitment to advance the vision of a Federal Government that spends taxpayer dollars more efficiently and effectively and to provide necessary services in support of National priorities while reducing deficits.

Finally, the Budget maintains investments continuing the implementation of modern capabilities to support administrative management systems (financial management, acquisitions, property), an enterprise data warehouse, and business intelligence reporting solutions across Commerce.

Departmental Management

The mission of Departmental Management (DM) is to develop and implement policy affecting U.S. and international activities as well as the internal goals and operations of the Department. DM serves as the primary liaison with the executive branch, legislative affairs, and private sector groups. DM also acts as the management and administrative control point for the Department.

DM accomplishes its mission through the following activities:

- The **Salaries and Expenses (S&E)** account provides funding for the Office of the Secretary, the Office of the Deputy Secretary, and support staff.
- The **Renovation and Modernization** account addresses major building infrastructure deficiencies and security weaknesses.
- The **Nonrecurring Expenses Fund** account funds Commerce's Business Applications Solution (BAS) project. This includes activities to support administrative management systems (financial management, acquisition, and property), enterprise data warehouse, and business intelligence reporting solutions across Commerce.
- The **Working Capital Fund (WCF)** finances, on a reimbursable basis, Department-wide administrative functions that are more efficiently performed on a centralized basis, such as legal, enterprise services, security, human resources, financial management, building management, information technology, and procurement services.

DM's mission priorities are to provide overall leadership, policy direction, and coordination of bureau programs in furtherance of the Department's mission. In addition, DM provides administrative oversight and operational support in the development, acquisition, deployment, operation and security of information technology, including Cybersecurity. DM also ensures the effective management and security of the facilities and property; recruitment, training, retention, management of a diverse and highly effective workforce; and effective management of fiscal resources as well as business processes to support the Department's mission.

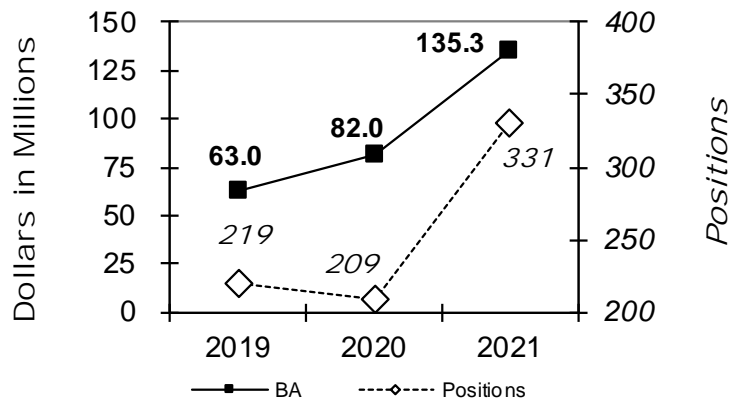
In 2021, DM continues to fulfill its mission by leveraging its highly effective workforce to find alternative solutions to work smarter while maintaining a high-level of customer service. The Salaries and Expenses appropriation provides funding for the development and implementation of Departmental policies, 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 2021 request establishes the Office of Space Commerce within DM. The total request of \$15 million and 24 positions allows the Department to carry out the directives received from the Administration and the National Space Council to take on further responsibilities relating to the commercial space industry.

Base funding is requested for the Renovation and Modernization of the Herbert C. Hoover Building (HCHB) to continue to support five positions and the associated costs to benefits, rent, utilities, supplies, and training. In FY 2021 the renovation and modernization account will utilize unobligated balances to 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.

The Department's Nonrecurring Expenses Fund (NEF) requests funding for Commerce's Business Applications Solutions (BAS) project to continue activities to support administrative management systems (financial management, acquisition, and property), enterprise data warehouse and business intelligence reporting solutions across Commerce.

The NEF account also enables the transfer of unobligated balances of expired discretionary funds appropriated from the General Fund of the Treasury to the Department of Commerce. The funds deposited in this account shall be available for

Budget Authority and Positions



Departmental Management

information and business technology system modernization and facilities infrastructure improvements necessary for the operation of the Department.

The DM WCF's mission is to provide central services to the Department's bureaus in the most efficient and economical manner possible. The 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. It operates as a revolving fund and does not receive a yearly appropriation, but instead charges services directly to the customer bureaus.

Summary of Appropriations

| | 2019 | 2020 | 2021 | Increase |
|---|---------------|----------------|-----------------|-------------------|
| | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>(Decrease)</u> |
| <u>Discretionary Appropriation</u> | | | | |
| Salaries and Expenses | \$63,000 | \$61,000 | \$96,134 | \$35,134 |
| Renovation and Modernization | 0 | 1,000 | 1,123 | 123 |
| Non Recurring Expenses Fund | 0 | 20,000 | 38,038 | 18,038 |
| Total, Appropriation | 63,000 | 82,000 | 135,295 | 53,295 |
| <u>Budget Authority</u> | | | | |
| Salaries and Expenses | 63,000 | 61,000 | 96,134 | 35,134 |
| Renovation and Modernization | 0 | 1,000 | 1,123 | 123 |
| Non Recurring Expenses Fund | 0 | 20,000 | 38,038 | 18,038 |
| Total, Budget Authority | 63,000 | 82,000 | 135,295 | 53,295 |
| <u>Mandatory Appropriation</u> | | | | |
| Gifts & Bequests Trust Fund | 1,000 | 1,000 | 1,000 | 0 |
| Total, Mandatory Appropriation | 1,000 | 1,000 | 1,000 | 0 |
| <u>Positions</u> | | | | |
| Salaries and Expenses - Direct | 214 | 195 | 282 | 87 |
| Salaries and Expenses - Reimbursable | 77 | 90 | 60 | (30) |
| Renovation and Modernization - Direct | 5 | 5 | 5 | 0 |
| Non Recurring Expenses Fund | 0 | 9 | 44 | 35 |
| Working Capital Fund - Reimbursable | 698 | 725 | 725 | 0 |
| Total | 994 | 1,024 | 1,116 | 92 |
| <u>Full-Time Equivalent Employment</u> | | | | |
| Salaries and Expenses - Direct | 168 | 173 | 257 | 84 |
| Salaries and Expenses - Reimbursable | 75 | 88 | 58 | (30) |
| Renovation and Modernization - Direct | 5 | 5 | 5 | 0 |
| Non Recurring Expenses Fund | 0 | 7 | 33 | 26 |
| Working Capital Fund - Reimbursable | 554 | 626 | 620 | (6) |
| Total | 802 | 899 | 973 | 74 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|------------------------------|-------------------------------|--|------------------|-------------------------|
| Salaries and Expenses | Operations and Administration | Office of Space Commerce | 13 | \$10,900 |
| Salaries and Expenses | Operations and Administration | Investigation and Threat Management Division Contracts | 0 | 3,408 |
| Salaries and Expenses | Operations and Administration | Continuity of Operations and Government Enabling Technology | 0 | 2,300 |
| Salaries and Expenses | Operations and Administration | Continuity of Operations Facility - Ongoing Operations Maintenance | 0 | 1,185 |
| Salaries and Expenses | Operations and Administration | Centralized FOIA Record Search with De-duplication and Analytics | 2 | 470 |
| Salaries and Expenses | Operations and Administration | Security Program/Plans, Programs and Compliance Policy Support | 1 | 251 |
| Salaries and Expenses | Operations and Administration | Case Management, E-Discovery, and Litigation Hold Platform | 0 | 250 |
| Salaries and Expenses | Operations and Administration | Non-Supervisory Senior Budget Analyst | 1 | 190 |
| Renovation and Modernization | Operations and Administration | Equipment and Contractual Services Increase | 0 | 77 |
| Nonrecurring Expenses Fund | Operations and Administration | Continuing Implementation of the Business Application Solutions | 35 | 17,111 |
| Total, Increases | | | 52 | \$36,142 |

Decreases

None

Terminations

None

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|---|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 195 | \$61,000 |
| Adjustments to Base | | | | |
| Transfer from DM WCF and A&R Account | | | 59 | 9,278 |
| Transfer from NOAA ORF | | | 11 | 4,100 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$725 | | |
| FY 2021 Pay raise | | 175 | | |
| Increase in awards | | 390 | | |
| One less compensable day | | (111) | | |
| Civil Service Retirement System (CSRS) | | (16) | | |
| Federal Employees' Retirement System (FERS) | | 334 | | |
| Thrift Savings Plan (TSP) | | 5 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 23 | | |
| Health insurance | | 60 | | |
| Employee Compensation Fund | | 54 | | |
| Travel - Per Diem | | 3 | | |
| Rent payments to GSA | | 194 | | |
| NARA | | (5) | | |
| Working Capital Fund | | 147 | | |
| General Pricing Level Adjustment: | | | | |
| Transportation of things | | 1 | | |
| Communications, utilities and miscellaneous charges | | 3 | | |
| Printing and reproduction | | 2 | | |
| Other services | | 151 | | |
| Supplies and materials | | 6 | | |
| Equipment | | 9 | | |
| Continuous Diagnostics and Mitigation Charges | | 40 | | |
| Enterprise Services | | 237 | | |
| HCHB utilities | | 34 | | |
| Commerce Business System | | 330 | | |
| Federal Protective Service | | 11 | | |
| Subtotal, other changes | 0 | 2,802 | | |
| Total, Adjustments to Base | | | 70 | 16,180 |
| 2021 Base | | | 265 | 77,180 |
| Program Changes | | | 17 | 18,954 |
| 2021 Appropriation | | | 282 | 96,134 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|-----------|-----------|----------|---------------|-----------|---------------------|----------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| Direct Obligations | | | | | | | | |
| Operations and Administration | 195 | \$61,000 | 265 | \$77,180 | 282 | \$96,134 | 17 | \$18,954 |
| Total Direct Obligations | 195 | 61,000 | 265 | 77,180 | 282 | 96,134 | 17 | 18,954 |
| Reimbursable Authority | 90 | 115,427 | 60 | 110,050 | 60 | 110,050 | 0 | 0 |
| TOTAL OBLIGATIONS | 285 | 176,427 | 325 | 187,230 | 342 | 206,184 | 17 | 18,954 |
| FINANCING | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | (90) | (115,427) | | | (60) | (110,050) | | |
| Subtotal, financing | (90) | (115,427) | | | (60) | (110,050) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 195 | 61,000 | | | 282 | 96,134 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|--------------------------------------|-----------|----------|---------------------|----------|
| | Positions | Amount | Positions | Amount |
| Operations and Administration | 265 | \$77,180 | 17 | \$18,954 |
| Office of Space Commerce | | | 13 | +10,900 |

The budget request of \$15 million and 24 positions for the Office of Space Commerce consists of \$4.1 million and 11 positions reallocated from NOAA Operations, Research and Facilities appropriation and \$10.9 million and 13 positions 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.

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

Security and Intelligence – Investigation and Threat Management Division - Contracts 0 +3,408

This request will fund contracts and memorandum of understanding within the Office of Investigation and Threat Management Division. This division mission is to implement processes and procedures for conducting eligibility for employment, granting security clearance, and safeguarding classified, sensitive documents, protective services and policies, programs and oversight.

Continuity of Operations and Government – Enabling Technology 0 +2,300

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. The FY 2021 request for \$2.3 million includes all telecommunications, equipment, service and support to implement the site Information Technology infrastructure.

Departmental Management

Continuity of Operations Facility – Ongoing Operations and Maintenance 0 +1,185

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. 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.

Centralized FOIA Record Search with Reduplication & Analytics Capabilities +2 +470

This increase is requested to provide eDiscovery and records management tools to assist with the centralized searching and deduplication of records required for responding to FOIA requests. This increase also requests two FOIA Search Analysts who would support the centralized searching of emails and documents for the Office of the Secretary (OS).

Security Program / Plans, Programs and Compliance Policy Support +1 +251

This request will enhance the Office of Security mission by providing a dedicated person to oversee policy and management. This position will also coordinate with the Chief Information Officer (OCIO) about credential integration into the overall enterprise Identity and Access Management (IAM).

Office of General Counsel Case Management E-Discovery and Litigation Hold Platform 0 +250

This increase is requested to provide an ediscovery platform for preserving, analyzing, and producing electronically-stored information for use in litigation and maintaining litigation holds. Such a system would alleviate the need for ad hoc discovery approaches that vary with each new litigation matter and would bring the Department in line with the best practices within the legal system. The procurement of one or more software platforms will assist in the preservation, processing, review, analysis, and production phases.

Senior Budget Analyst +1 +190

This increase is requested to provide the Office of Budget (OB) with a non-supervisory Senior Budget Analyst (GS-15) for centralized budget management and policy duties. This position would ensure the compliance and updating of all formulation and execution data calls, updating the office's DAO and budget handbook, and the compliance of policy decisions to follow administration guidance such as OMB Circular A-11.

Appropriation: Renovation and Modernization

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 5 | \$1,000 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$22 | | |
| FY 2021 Pay raise | | 5 | | |
| Increase in awards | | 8 | | |
| One less compensable day | | (3) | | |
| Civil Service Retirement System (CSRS) | | 0 | | |
| Federal Employees Retirement System (FERS) | | 10 | | |
| Thrift Savings Plan (TSP) | | 0 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 1 | | |
| Health insurance | | 1 | | |
| Rent payments to GSA | | 1 | | |
| General Pricing Level Adjustments: | | 1 | | |
| Subtotal, other changes | 0 | 46 | | |
| 2021 Base | | | 5 | 1,046 |
| Program Changes | | | 0 | 77 |
| 2021 Appropriation | | | 5 | 1,123 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|------------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Renovation & Modernization | 5 | \$1,000 | 5 | \$1,046 | 5 | \$1,123 | 0 | \$77 |
| Obligations | 5 | 5,266 | 5 | 16,036 | 5 | 16,113 | 0 | 77 |
| Total Authority | 5 | 1,000 | 5 | 1,046 | 5 | 1,123 | 0 | 77 |
| Total Obligations | 5 | 5,266 | 5 | 16,036 | 5 | 16,113 | 0 | 77 |
| Financing | | | | | | | | |
| Unobligated balance, start of year | | (32,280) | | (28,014) | | (28,014) | | |
| Unobligated balance, end of year | | 28,014 | | 13,024 | | 13,024 | | |
| TOTAL BUDGET AUTHORITY/ | 5 | 1,000 | 5 | 1,046 | 5 | 1,123 | 0 | 77 |
| APPROPRIATION | | | | | | | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|----------------|----------------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Renovation and Modernization Project | 5 | \$1,046 | 0 | +\$77 |
| HCHB Contract Services and Equipment | | | 0 | +77 |

This request will increase the account by \$77,000 for equipment and contractual services. This will enable the department to continue its focus towards more efficient building systems such as heating, ventilation, air conditioning, and lighting.

In FY 2021, HCHB Renovation and Modernization plans to commence construction on Phase 5 utilizing carry forward unobligated balances. 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."

Appropriation: Nonrecurring Expenses Fund

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 9 | \$20,000 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$36 | | |
| FY 2021 Pay raise | | 9 | | |
| Increase in awards | | 24 | | |
| Full-year cost in 2021 of positions financed for part-year in 2020 | | 474 | | |
| One less compensable day | | (5) | | |
| Civil Service Retirement System (CSRS) | | (1) | | |
| Federal Employees Retirement System (FERS) | | 16 | | |
| Thrift Savings Plan (TSP) | | 0 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 1 | | |
| Health insurance | | 3 | | |
| Rent payments to GSA | | 2 | | |
| General Pricing Level Adjustments: | | 368 | | |
| Subtotal, other changes | 0 | 927 | | |
| 2021 Base | | | 9 | 20,927 |
| Program Changes | | | 35 | 17,111 |
| 2021 Appropriation | | | 44 | 38,038 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Nonrecurring Expenses Fund | 9 | \$20,000 | 9 | \$20,927 | 44 | \$38,038 | 35 | \$17,111 |
| TOTAL BUDGET AUTHORITY/ APPROPRIATION | 9 | 20,000 | 9 | 20,927 | 44 | 38,038 | 35 | 17,111 |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---------------------------------------|------------------|-----------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Nonrecurring Expenses Fund | 9 | \$20,927 | +35 | +\$17,111 |
| Business Application Solutions | | | +35 | +17,111 |

This request will continue implementation activities started in FY20 and supports one of the Department's top priorities. Implementation activities include: data modeling, gap remediation design and implementation, demonstration labs, application configuration, interface designing and building, data warehouse and reporting design and building, archiving solution design and building, user acceptance testing and training, data conversion design and implementation and legacy system transition support. Estimates indicate that once all bureaus have been deployed, the overall cost for operations and maintenance activities will be less than current costs. Longer term benefits of BAS and this program increase request include: improved data quality and full data transparency across financial, acquisitions, asset, travel, grants, and human resource management; enhanced data analytics with the ability to provide timely and accurate reports to both internal and external stakeholders/leaders; and improved operational efficiency through commercial solutions, standardized configurations, and streamlined business practices.

Operating Fund: Working Capital Fund

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 725 | \$253,106 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$2,513 | | |
| FY 2021 Pay raise | | 608 | | |
| Increase in awards | | 811 | | |
| Full year cost in 2021 of positions financed for part-year in 2020 | | 261 | | |
| One less compensable day | | (383) | | |
| Civil Service Retirement System (CSRS) | | (55) | | |
| Federal Employees' Retirement System (FERS) | | 1,184 | | |
| Thrift Savings Plan (TSP) | | 16 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 88 | | |
| Health insurance | | 218 | | |
| Travel - Per Diem | | 6 | | |
| Rent payments to GSA | | 147 | | |
| General Pricing Level Adjustment | | | | |
| Transportation of things | | 2 | | |
| Rental payments to others | | 0 | | |
| Communications, utilities and miscellaneous charges | | 80 | | |
| Printing and reproduction | | 15 | | |
| Other services | | 2,531 | | |
| Supplies and materials | | 32 | | |
| Equipment | | 36 | | |
| Subtotal, other changes | 0 | 8,110 | | |
| 2021 Base | | | 725 | 261,216 |
| Program Changes | | | 0 | (858) |
| 2021 Operating Level | | | 725 | 260,358 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|------------|----------------|---------------|----------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| OPERATING LEVEL | | | | | | | | |
| Operations and Administration | 725 | \$260,276 | 725 | \$261,216 | 725 | \$260,358 | 0 | (\$858) |
| TOTAL OPERATING LEVEL | 725 | 260,276 | 725 | 261,216 | 725 | 260,358 | 0 | (858) |
| FINANCING | | | | | | | | |
| Unobligated balance, start of year | | (7,170) | | | | | | |
| Subtotal, financing | | (7,170) | | | | 0 | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 725 | 253,106 | | | 725 | 260,358 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|--------------------------------------|-----------|-----------|---------------------|---------|
| | Positions | Amount | Positions | Amount |
| Operations and Administration | 725 | \$261,216 | 0 | (\$858) |

Identity Access Management

0 +4,295

This request will provide an identity authentication process that will ensure that the proper people have the appropriate access to technology resources, thus improving the Department’s cybersecurity posture and protecting high-value assets from fraud. This request will also meet the requirements outlined in HSPD-12 and by OMB to enhance security, increase government efficiency, reduce identity fraud, and protect personal privacy.

Continuing Diagnostics and Mitigation

+3 +4,000

This request will meet the requirements of the CDM program, a mandatory Department of Homeland Security Program and the Department’s #1 cybersecurity priority. This request ensures the Agency dashboard is implemented and serves as a useful tool in helping to assess the Department’s cybersecurity posture, by providing funding for the additional cost of CDM Phase 2 software licenses, anticipated cost increases for Phase 1 software and hosting renewals, and three additional personnel to manage the program.

Office of Security Organizational Structure

+3 +1,474

This request will fund three Office of Security positions: (1) One to lead Bureau specific field office programs; (2) One to lead the Information Security program; (3) and one to lead the Emergency Management Team. This request will contribute to the effectiveness and readiness of Continuity and Emergency Management programs and ensure that policies, plans, and execution meet Presidential and National Security Policy.

Emerging Technology / Enterprise Architecture

+6 +1,387

This request will fund the Department’s Emerging Technology / Enterprise Architecture to develop the strategy and governance process concerning information technology investments, programs, and projects. This request will enable the program to be brought into compliance with GAO, OMB and statutory requirements, and the strategy and governance will reduce duplication in IT investments, programs, and projects, thus driving down costs and increasing security.

Census Headquarters - Personnel Security Realignment

+5 +1,086

This request will fund the realignment of five positions from the Census Investigative Services operations to the Office of Security Working Capital Fund Project 0141 to reincorporate personnel security activities for the Census Bureau within the Office of Security. Funding this request will improve efficiencies and accountability by consolidating security processing of employees into an organizational unit under direct oversight and review of the Office of Security.

Office of Security (OSY) - Security Compliance

+4 +955

This request will fund four positions : 3 positions to establish / maintain the Department’s security policy and programs to implement existing Executive Orders, Public Laws, and other security-related government regulations, and 1 position to manage Departmental client / security specialist training and development, and security/emergency management policies.

ServiceNow Portal Migration

0 +687

This request will migrate the Enterprise Services (ES) Portal architecture from two ServiceNow instances administered by separate vendors to a centralized ServiceNow Portal, thus resulting in immediate cost savings by removing duplicative development between the two ServiceNow instances. The migration also provides an architecture that allows the Portal to support additional Human Resources, Acquisition, Information Technology, and Financial Management operations, thus significantly improving customer experience, and providing better architecture and optimal system functionality.

NOAA Satellite Operation Facility / Pacific Rim Security

+3 +588

This request is for two Security Specialists: one in Honolulu, Hawaii and one in Newport, Oregon. These Security Specialists will provide onsite security support for the Satellite Operation Facility program and Marine Operations Center Pacific and NMFS Newport Research Station, respectively.

| | | |
|--|---|------|
| HCHB High Voltage Switchgear & Fire Alarm Maintenance | 0 | +460 |
|--|---|------|

This request will fund mandated life safety and code compliance and provide 24/7/365 emergency response for fire alarm activations and power outages in the HCHB. Without the required test, inspection maintenance, repair, and emergency response, the HCHB would not be legally allowed to be occupied.

| | | |
|--|----|------|
| Office of Security BIS Security Support | +2 | +421 |
|--|----|------|

This request is for two security specialists to establish and maintain security services for the Bureau of Industry and Security in the Washington, DC area, thus strengthening the Department's security posture.

| | | |
|----------------------------------|---|------|
| Hyperion Software Upgrade | 0 | +400 |
|----------------------------------|---|------|

This request will allow the Department to upgrade to the updated version of Hyperion. Hyperion is used to complete annual reporting requirements to Treasury for use in the completion of the Governmentwide Financial Statements. The current version of Hyperion used by the Department puts the Department at risk of losing data due to system glitches or errors occurring in the current version of Hyperion, which could prevent the Department from completing Financial Reporting deliverables in accordance with statutory deadlines.

| | | |
|--|----|------|
| Hiring Support (Accountability Officer, CAPS Program Manager) | +2 | +396 |
|--|----|------|

This request will fund a designated program manager for the Commerce Alternative Personnel System (CAPS) to explore other flexibilities and options for CAPS that will enable the Department to realize the full potential and impact of CAPS in recruiting, hiring, and retaining top talent, and for reducing the time to hire. The request will also support the DOC Human Capital Independent Audit Program by providing an increased emphasis on auditing the efficiency and effectiveness of human capital programs.

| | | |
|---|---|------|
| Security Modernization Contract Expansion for the HCHB | 0 | +338 |
|---|---|------|

This request will fund a contract for the maintenance of occupant land mobile radios and radio headend components, increase existing locksmith services, and increase guard force staffing to strengthen the protection of the HCHB.

| | | |
|---|----|------|
| Workers Compensation Program Manager | +1 | +187 |
|---|----|------|

This request will fund a Workers Compensation Program Manager, a position that is a priority and mission critical to the Department's Office of Occupational Safety & Health (OOSH). The position will support WC policy development and implementation at the Department level, provide support to Bureau WC programs for compliance with the Federal Employees Compensation Act (FECA), 20 CFR and applicable Executive Orders regarding WC, and function as an effective resource restoration and retention source, which saves the Department and its bureaus money.

| | | |
|---|---|------|
| E2 Solutions Travel System Enhancement | 0 | +100 |
|---|---|------|

This request will fund a system enhancement to the E2 system, allowing the Department to configure the system to better align with Departmental travel policy and only have the 300% cap on per diem levied on lodging (rather than on the sum of lodging and M&IE). This will allow for more accurate travel documentation. Having this enhancement would create efficiencies in travel preparation and processing and provide a system edit check to ensure compliance.

| | | |
|--|------|---------|
| Transfer Positions and Amount to DM Salaries and Expenses | (29) | (5,885) |
|--|------|---------|

This request will realign funds from Departmental Management (DM) Working Capital Fund (WCF) to Departmental Management Salaries and Expenses (S&E) account. The funds will be transferred from all Bureaus into the DM S&E as a one-time permanent transfer. The proposal includes moving funds from three different projects across two different offices. The three projects that would be realigned to DM are: Executive Direction's Executive Protection Unit, Executive Direction's Office of Public Affairs, and the Office of Acquisition Management's Grants Management.

| | | |
|---|---|----------|
| Contractual Services and Equipment Reduction | 0 | (11,747) |
|---|---|----------|

This request for a decrease will reduce supplies, equipment and contractual services.

Direct Costs by Office

| Offices | <u>Positions</u> | <u>Amount</u> |
|--|------------------|----------------|
| Human Resources Management | 60 | \$17,517 |
| Civil Rights | 21 | 4,739 |
| Financial Management | 51 | 32,078 |
| Security | 143 | 36,755 |
| Facilities and Environmental Quality | 80 | 24,703 |
| Acquisition Management | 9 | 3,023 |
| Privacy and Open Government | 5 | 1,161 |
| General Counsel | 238 | 38,438 |
| Chief Information Officer | 57 | 59,591 |
| Chief Financial Officer/Assistant Secretary for Administration | 1 | 198 |
| Enterprise Services | 60 | 42,155 |
| Executive Direction | 0 | 0 |
| Total Working Capital Fund | 725 | 260,358 |

Distribution by Bureau

| Bureaus | <u>FY 2021 Amount</u> |
|--|---------------------------|
| Departmental Management | \$14,005 |
| Office of the Inspector General | 3,193 |
| Economic Development Administration | 3,832 |
| Bureau of the Census | 53,575 |
| Bureau of Economic Analysis | 3,208 |
| International Trade Administration | 39,056 |
| Bureau of Industry and Security | 15,328 |
| Minority Business Development Agency | 5,037 |
| National Oceanic and Atmospheric Administration | 66,389 |
| U.S. Patent and Trademark Office | 12,118 |
| National Institute of Standards and Technology | 29,333 |
| National Technical Information Service | 1,826 |
| National Telecommunications and Information Administration | 8,359 |
| Total Commerce Bureaus | 255,259 |
| Other Agencies and WCF Carryforward | 5,099 |
| Total Working Capital Fund | 260,358 |

Performance Indicators

The following table shows the DM performance indicators and its related Departmental Strategic Goal and Objective. Additional details appear in the Annual Performance Plan and Report Back up section at the end of the DM segment of the Department of Commerce budget.

| Goal 5: Deliver Customer-Centric Service Excellence | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Objective 5.1: Engage Commerce Employees | | | | |
| Score on the Employee Engagement index | 71% | 73% | 73% | 73% |
| Score on the New Inclusion Quotient | 66% | 67% | 68% | 68% |
| Percentage of high-volume processes with customer feedback elements | 100% | 100% | 100% | 100% |
| Number of repeat significant deficiencies and / or material weaknesses remaining within one year of determination | 0 | 1 | 0 | 0 |
| Audit opinion score | 1 | 1 | 1 | 1 |
| For each administrative / business system, score for maintain compliance and alignment with OMB initiatives | 1 | 1 | 1 | 1 |
| Veteran Hires | 23.2% | 13.3% | 22.7% | TBD |
| Mission-Critical Occupation Staffing | 5% | 3% | 5% | 5% |
| Permanent Attrition | 7% | 5% | 7% | 7% |
| Hiring Timeline | 65 | 105 | 65 | 65 |
| Candidate Quality | 70% | 60% | 70% | 70% |
| Disability Hires | 14.0% | 27.1% | 14.5% | TBD |
| Percentage of Mission-Performance indicator targets met | 75% | 87% | 75% | 75% |
| Objective 5.2: Accelerate Information Technology Modernization | | | | |
| Cybersecurity Cross-Agency Priority Goal average for the Department | 95% | 100% | 95% | 95% |
| Cost / Schedule Overruns (Actual = % of Est) | 100% | 20% | 100% | 100% |
| Continuous Monitoring (% of ongoing near real-time awareness and assessment of security risks) | 95% | 96% | 95% | 95% |
| Strong Authentication (% of users having access to Federal information systems) | 100% | 95% | 92% | 92% |
| Trusted Internet Connection Consolidation - % Consolidated | 100% | 100% | 100% | 100% |
| Trusted Internet Connection Capabilities (% NOAA TIC Service meets requirements) | 100% | 100% | 100% | 100% |
| Security Compliance Reviews | 20 | 3 | 20 | 20 |

Departmental Management

| Objective 5.3: Consolidate Functions for Cost Savings | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Dollars (percentage) awarded using high-risk contracting authorities | 46.9% | 24.0% | 46.9% | 46.9% |
| Savings achieved thru more effective acquisition practices (millions) | \$16.9 | \$81.4 | \$41.1 | \$46.4 |
| Normal Priority Personnel Action Requests completed on time | 98% | 92% | 98% | 98% |
| Request-to-Award Acquisition Transactions completed in 120 days or less | 100% | 100% | 100% | 100% |
| Managed Print Service Calls at Commerce headquarters answered in one hour or less | 95% | 98% | 95% | 95% |

Office of Inspector General

The mission of the Office of Inspector General (OIG) is to improve the programs and operations of the Department of Commerce through independent and objective oversight. OIG's oversight helps the Department improve the integrity of its operations and programs; ensures their efficient and effective operation; provides stakeholders with independent assessments of those operations and identifies the need for corrective action; and combats fraud, waste, and abuse. OIG provides the results of its oversight to stakeholders such as the Secretary of Commerce, the Department's senior leaders, Congress, and the American taxpayers.

OIG has authority to inquire into all program and administrative activities of the Department, including those performing under contracts, grants, cooperative agreements, and other financial assistance awards. The Inspector General Act of 1978 (P.L. 95-452), as amended, and other legislation authorizes the specific functions and programs that make up these activities.

OIG supervises and conducts independent and objective audits and other reviews of Department programs and activities to ensure they operate economically, efficiently, and effectively. OIG performs work both planned and in response to Congressional or Departmental requests – covering such areas as financial controls, operational efficiencies, information systems, program performance, and major acquisitions.

OIG investigates alleged or suspected fraud, waste, abuse, and misconduct by Departmental employees, contractors, recipients of financial assistance, and others involved in the Department's programs and operations. OIG's most significant areas of criminal investigation are contract and grant fraud, employee misconduct, and support for other law enforcement offices.

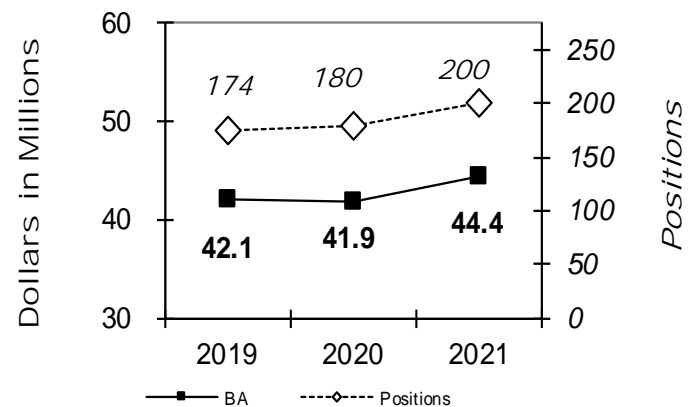
In FY 2021, OIG requests a total of \$44.4 million—\$35.5 million in direct appropriations; as well as transfers of \$1.3 million from the National Oceanic and Atmospheric Administration for satellite oversight, \$3.6 million from the Census Bureau, \$2 million from the Public Safety Trust Fund (PSTF) for the oversight of First Responder Network Authority (FirstNet), and \$2 million from the U.S. Patent and Trademark Office.

OIG's funding level of \$43.4 million supports an oversight program that focuses on the most serious management and performance challenges facing the Department. OIG's most recent *Top Management and Performance Challenges Facing the Department of Commerce* report identified the 2020 Census, environmental satellite programs, deployment of the Nationwide Public Safety Broadband Network, management of intellectual property rights, cybersecurity, trade enforcement and promotion, oversight of disaster assistance funding, and acquisition management. This funding level will enable OIG to:

- Continue work on criminal and civil investigations.
- Conduct annual audits of the Department's financial statements and information security program and practices.
- Conduct annual risk-based audits/reviews of DOC offices, programs, and activities, in which reports and recommendations for improving DOC's operations are issued.
- Maintain the OIG Hotline to monitor and process allegations of fraud, waste, abuse, or mismanagement.

The additional \$1 million in direct appropriations will enable OIG to expand its capacity to provide oversight of Department Bureaus and programs.

Budget Authority and Positions



Summary of Appropriations

| Appropriation | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|--------------------------------|-----------------------|------------------------|-------------------------|-------------------------------|
| Operations and Administration | \$32,744 | \$33,000 | \$35,520 | \$2,520 |
| Total, Appropriation | 32,744 | 33,000 | 35,520 | 2,520 |
| Transfers: | | | | |
| From Census | 3,556 | 3,556 | 3,556 | 0 |
| From NOAA | 1,302 | 1,302 | 1,302 | 0 |
| From USPTO | 1,500 | 2,000 | 2,000 | 0 |
| From EDA ¹ | 1,000 | 0 | 0 | 0 |
| From PSTF for FirstNet | 2,000 | 2,000 | 2,000 | 0 |
| Total, Budget Authority | 42,102 | 41,858 | 44,378 | 2,520 |

Positions

| | | | | |
|---|------------|------------|------------|-----------|
| Operations and Administration - Direct ² | 174 | 180 | 200 | 20 |
| Operations and Administration - Reimbursable | 1 | 1 | 1 | 0 |
| Total | 175 | 181 | 201 | 20 |

Full-Time Equivalent Employment

| | | | | |
|---|------------|------------|------------|-----------|
| Operations and Administration - Direct ² | 146 | 157 | 188 | 31 |
| Operations and Administration - Reimbursable | 1 | 1 | 1 | 0 |
| Total | 147 | 158 | 189 | 31 |

¹ The transfer from EDA is pursuant to the FY 2019 Additional Supplemental Appropriations for Disaster Relief Act (P.L. 116-20).

² In 2019, OIG conducted a workforce planning effort to identify mission-critical skills gaps and emerging requirements. To close these gaps, OIG developed a staffing plan that increases its base staffing level from 180 positions in FY 2020 to 194 positions in FY 2021. This growth is funded in large part by reallocating resources from contract support to OIG personnel. Additionally, OIG requests a program increase of 6 new positions to expand its capacity to provide oversight of Department Bureaus and programs.

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Sub activity | Positions | Budget Authority |
|-------------------------|----------------|---|-----------|------------------|
| OIG | OIG | Increased Oversight of Critical DOC Vulnerabilities | 6 | \$1,000 |
| Total, Increases | | | 6 | \$1,000 |

Decreases

None

Terminations

None

Highlights of Budget Changes

Appropriation: Office of Inspector General

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 180 | \$33,000 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (31) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$634 | | |
| FY 2021 Pay raise | | 190 | | |
| Increase in awards | | 210 | | |
| One less compensable day | | (108) | | |
| Civil Service Retirement System (CSRS) | | (10) | | |
| Federal Employees' Retirement System (FERS) | | 401 | | |
| Thrift Savings Plan (TSP) | | 4 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 35 | | |
| Health insurance | | 62 | | |
| Travel - Per diem | | 5 | | |
| Rent payments to GSA | | 5 | | |
| Working Capital Fund | | 93 | | |
| General Pricing Level Adjustment | | | | |
| Other services | | 6 | | |
| Supplies and materials | | 2 | | |
| Equipment | | 4 | | |
| Continuous Diagnostics and Mitigation Charges | | 14 | | |
| HCHB utilities | | 4 | | |
| Additional positions from reallocation of resources ¹ | 14 | 0 | | |
| Subtotal, other changes | 14 | 1,551 | | |
| Total, Adjustments to Base | | | 14 | 1,520 |
| 2021 Base | | | 194 | 34,520 |
| Program Changes | | | 6 | 1,000 |
| 2021 Appropriation | | | 200 | 35,520 |

¹ In 2019, OIG conducted a workforce planning effort to identify mission-critical skills gaps and emerging requirements. To close these gaps, OIG developed a staffing plan that increases its staffing level from 180 positions in FY 2020 to 200 positions in FY 2021, including the program increase of 6 positions. This growth is funded in large part by reallocating resources from contract support to OIG personnel.

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------------|--------------|----------|-----------|----------|---------------|----------|---------------------|---------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| Direct Obligations | | | | | | | | |
| Inspector General | 180 | \$49,702 | 194 | \$43,378 | 200 | \$44,378 | 6 | \$1,000 |
| Total Direct Obligations | 180 | 49,702 | 194 | 43,378 | 200 | 44,378 | 6 | 1,000 |
| Reimbursable Authority | 1 | 3,500 | 1 | 3,500 | 1 | 3,500 | 0 | 0 |
| TOTAL OBLIGATIONS | 181 | 53,202 | 195 | 46,878 | 201 | 47,878 | 6 | 1,000 |
| FINANCING | | | | | | | | |
| Unobligated balances, start of year | | (7,844) | | | | | | |
| Offsetting Collections | (1) | (3,500) | | | (1) | (3,500) | | |
| Subtotal, financing | (1) | (11,344) | | | (1) | (3,500) | | |
| TOTAL BUDGET AUTHORITY | 180 | 41,858 | | | 200 | 44,378 | | |
| Transfers from other accounts | | (8,858) | | | | (8,858) | | |
| TOTAL APPROPRIATION | 180 | 33,000 | | | 200 | 35,520 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|------------------------------------|------------|-----------------|---------------------|-----------------|
| | Positions | Amount | Positions | Amount |
| Office of Inspector General | 194 | \$43,378 | +6 | +\$1,000 |

OIG requests an increase of \$1 million and 6 positions to expand its capacity to provide oversight of Department Bureaus and programs. These additional resources would close critical gaps in oversight of the Department's cybersecurity posture, information technology acquisitions, and trade enforcement efforts. Specifically, this funding will enable OIG to hire dedicated auditors and computer scientists to conduct audits and evaluations to assess the Department's cloud infrastructure security controls, IT systems acquisition, development, and sustainment, and activities to promote and secure trade. The Department's cybersecurity vulnerabilities are continuously on the rise as cyber attacks from bad actors around the world become more frequent and increasingly sophisticated, and Bureaus are more susceptible to cyber attacks than ever before.

Performance Indicators

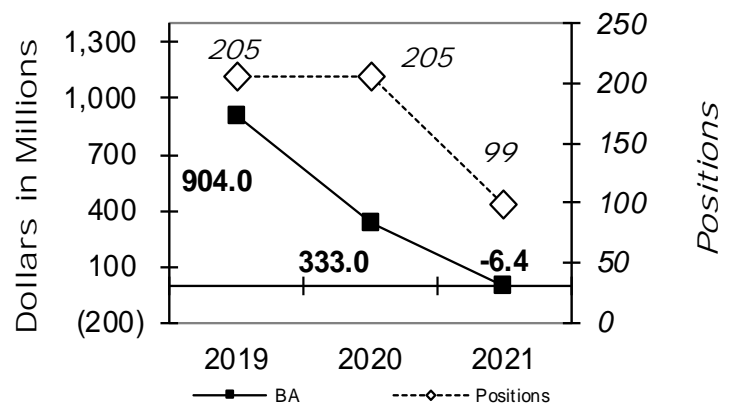
The following table shows OIG's performance indicators and their related Departmental Goal and Objective. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the OIG segment of the Department of Commerce budget.

| Goal 5: Deliver Customer-Centric Service Excellence | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Objective 5.3: Consolidate Functions for Cost Savings | | | | |
| % of OIG recommendations accepted by Departmental and Bureau management | 95% | 100% | 95% | 95% |
| Dollar value of financial benefits identified by OIG (millions) | \$70 | \$292 | \$70 | \$70 |
| % of investigative cases completed within 365 days | 70% | 72% | 70% | 70% |

Economic Development Administration

The Administration's 2021 Budget builds on the President's commitment to advance the vision of a Federal Government that spends taxpayer dollars more efficiently and effectively and to provide necessary services in support of key National priorities while reducing deficits. It also identifies the savings and efficiencies needed to keep the Nation on a responsible fiscal path. The Administration has made the necessary tradeoffs and choices inherent in pursuing these goals. This means changing the role and size of the Federal Government and prioritizing the programs that provide a good return for the taxpayer, as well as those that serve the most critical functions, while consolidating or eliminating duplicative, ineffective or less critical programs. Many difficult decisions were necessary to reach the funding level provided in this budget, and the elimination of the Economic Development Administration (EDA) is one of them.

Budget Authority and Positions



In support of these goals, the EDA FY 2021 Budget requests program decreases to provide offsets to rebuild the military and make critical investments in the Nation's security. This Budget requests approximately \$31.6 million to cover the costs associated with closing down the agency.

In light of the proposal to close down EDA, the Administration is also including in the general provisions for the Department of Commerce, specific language to allow for the defederalization of its Revolving Loan Fund grants. This language is necessary for the orderly closedown of EDA's operations. Without the authority, EDA or any successor operating unit within the Department, would have to administer and monitor these grants in perpetuity because the Federal interest in this type of grant does not end. This is a change to EDA's authorizing statute that the Department would pursue even if EDA were not eliminated in order to reduce costly grantee reporting requirements and burdensome agency oversight on Revolving Loan Funds that are successful and have demonstrated a strong track record of compliance and effectiveness.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|--|-----------------------|------------------------|-------------------------|-------------------------------|
| Salaries and Expenses | \$39,000 | \$40,500 | \$31,593 | (\$8,907) |
| Economic Development Assistance Programs | 865,000 | 292,500 | (38,000) | (330,500) |
| Total, Appropriation / Budget Authority | 904,000 | 333,000 | (6,407) | (339,407) |
| Rescission or Cancellation of Unobligated Balances ^{/1} | 10,000 | 17,000 | 38,000 | 21,000 |
| <u>Positions</u> | | | | |
| Salaries and Expenses - Direct | 205 | 205 | 99 | (106) |
| Salaries and Expenses - Reimbursable | 0 | 0 | 0 | 0 |
| Total | 205 | 205 | 99 | (106) |
| <u>Full-Time Equivalent Employment</u> | | | | |
| Salaries and Expenses - Direct | 172 | 184 | 99 | (85) |
| Salaries and Expenses - Reimbursable | 0 | 0 | 0 | 0 |
| Total | 172 | 184 | 99 | (85) |

^{/1} Rescission or proposed cancellation of unobligated balances is non-disaster funding only.

Summary of Program Increases, Decreases and Terminations

Increases

None

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|-----------------------|-------------------------------|------------------|-------------------------|
| Salaries and Expenses | Salaries and Expenses | Grant Operations | (106) | (\$11,525) |
| Total, Decreases | | | | (\$11,525) |

Terminations

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|--|---|-------------------------------|------------------|-------------------------|
| Economic Development Assistance Programs | Research and Evaluation | | 0 | (\$1,500) |
| Economic Development Assistance Programs | STEM Apprenticeship Pilot Program | | 0 | (2,000) |
| Economic Development Assistance Programs | Technical Assistance | | 0 | (9,500) |
| Economic Development Assistance Programs | Trade Adjustment Assistance | | 0 | (13,000) |
| Economic Development Assistance Programs | Assistance to Nuclear Closure Communities | | 0 | (15,000) |
| Economic Development Assistance Programs | Assistance to Coal Communities | | 0 | (30,000) |
| Economic Development Assistance Programs | Regional Innovation | | 0 | (33,000) |
| Economic Development Assistance Programs | Partnership Planning | | 0 | (33,000) |
| Economic Development Assistance Programs | Economic Adjustment Assistance | | 0 | (37,000) |
| Economic Development Assistance Programs | Public Works | | 0 | (118,500) |
| Total, Terminations | | | 0 | (\$292,500) |

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 205 | \$40,500 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (183) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$644 | | |
| FY 2021 Pay raise | | 156 | | |
| Increase in awards | | 243 | | |
| One less compensable day | | (98) | | |
| Civil Service Retirement System (CSRS) | | (26) | | |
| Federal Employees' Retirement System (FERS) | | 320 | | |
| Thrift Savings Plan | | 8 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 56 | | |
| Health insurance | | 62 | | |
| Employee Compensation Fund | | 22 | | |
| Travel - Per Diem | | 3 | | |
| Rent payments to GSA | | 267 | | |
| Working Capital Fund | | (7) | | |
| General Pricing Level Adjustment | | | | |
| Other services | | 1,070 | | |
| Supplies and materials | | 1 | | |
| Continuous Diagnostic Mitigation Charges | | 7 | | |
| Enterprise Services | | 55 | | |
| HCHB utilities | | 12 | | |
| Federal Protective Service | | 6 | | |
| Subtotal, other changes | | <u>2,801</u> | | |
| Total, Adjustments to Base | 0 | | 0 | 2,618 |
| 2021 Base | | | 205 | 43,118 |
| Program Changes | | | (106) | (11,525) |
| 2021 Appropriation | | | 99 | 31,593 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| Direct Obligations | | | | | | | | |
| Salaries and Expenses | 205 | \$39,000 | 205 | \$43,118 | 99 | \$31,593 | (106) | (\$11,525) |
| Total Direct Obligations | 205 | 39,000 | 205 | 43,118 | 99 | 31,593 | (106) | (11,525) |
| Reimbursable Authority | 0 | 4,000 | 0 | 4,000 | 0 | 1,000 | 0 | (3,000) |
| TOTAL OBLIGATIONS | 205 | 43,000 | 205 | 47,118 | 99 | 32,593 | (106) | (14,525) |
| FINANCING | | | | | | | | |
| Offsetting collections | 0 | (4,000) | | | 0 | (1,000) | | |
| Subtotal, financing | 0 | (4,000) | | | 0 | (1,000) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 205 | 39,000 | | | 99 | 31,593 | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|------------------------------|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Salaries and Expenses | 205 | \$43,118 | (106) | (\$11,525) |

This funding level supports the elimination of EDA and covers the anticipated costs associated with closing down the agency such as severance payments, lump sum leave payments, termination fees, legal fees, and other costs. The closedown plan includes the reduction of staff through involuntary separation and the transfer to a successor operating agency within the DOC the monitoring and servicing of open grants and loans until their closeout date. EDA estimates it will take an additional seven years to close the approximately 2,900 grants projected to be open at the end of FY 2020. There will be continued costs to the successor organization monitoring and servicing EDA's grants and loans until they are all closed. After the grants are closed, there is post-close-out work that will need to occur through the useful life of the projects, often up to 20 years. This monitoring will also need to be performed by the successor operating agency within DOC designated to assume EDA's grant and management functions.

Appropriation: Economic Development Assistance Programs

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 0 | \$292,500 |
| 2021 Base | 0 | 292,500 |
| Program Changes | 0 | (330,500) |
| 2021 Appropriation | 0 | (38,000) |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|--------------|----------------|------------|----------------|---------------|----------------|---------------------|------------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| Direct Obligations | | | | | | | | |
| Public Works | 0 | \$125,000 | 0 | \$125,000 | 0 | \$0 | 0 | (\$125,000) |
| Partnership Planning | 0 | 33,000 | 0 | 33,000 | 0 | 0 | 0 | (33,000) |
| Technical Assistance | 0 | 10,200 | 0 | 10,200 | 0 | 0 | 0 | (10,200) |
| Research and Evaluation | 0 | 1,565 | 0 | 1,565 | 0 | 0 | 0 | (1,565) |
| Trade Adjustment Assistance | 0 | 13,000 | 0 | 13,000 | 0 | 0 | 0 | (13,000) |
| Economic Adjustment Assistance | 0 | 41,346 | 0 | 41,346 | 0 | 0 | 0 | (41,346) |
| Assistance to Coal Communities | 0 | 31,200 | 0 | 31,200 | 0 | 0 | 0 | (31,200) |
| Regional Innovation | 0 | 33,692 | 0 | 33,692 | 0 | 0 | 0 | (33,692) |
| Assistance to Nuclear Closure Communities | 0 | 15,000 | 0 | 15,000 | 0 | 0 | 0 | (15,000) |
| STEM Apprenticeship Pilot Program | 0 | 2,000 | 0 | 2,000 | 0 | 0 | 0 | (2,000) |
| Disaster Supplemental (P.L. 115-123) | 0 | 124,385 | 0 | 124,385 | 0 | 0 | 0 | (124,385) |
| Disaster Supplemental (P.L. 116-20) | 0 | 350,000 | 0 | 350,000 | 0 | 237,000 | 0 | (113,000) |
| TOTAL OBLIGATIONS | 0 | 780,388 | 0 | 780,388 | 0 | 237,000 | 0 | (543,388) |
| FINANCING | | | | | | | | |
| Recoveries | | (20,870) | | | | (33,203) | | |
| Unobligated balance, start of year | | (745,515) | | | | (250,297) | | |
| Unobligated balance, end of year | | 250,297 | | | | 2,500 | | |
| Rescission or cancellation of unobligated balances ^{/1} | | 17,000 | | | | 38,000 | | |
| Transfer to other accounts | | 11,200 | | | | 6,000 | | |
| TOTAL APPROPRIATION | 0 | 292,500 | | | 0 | 0 | | |

/1 Rescission or proposed cancellation of unobligated balances is non-disaster funding only.

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|------------------|----------------------------|--------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Economic Development Assistance Programs | 0 | \$292,500 | 0 | (\$330,500) |

The Administration proposed eliminating EDA and is not requesting funding for its grant programs in FY 2021. The Administration proposed a cancellation of \$38 million from unobligated balances of prior appropriations and recoveries in FY 2021.

Performance Indicators

The table below shows the EDA performance Indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Back up section at the end of the EDA segment of the Department of Commerce budget.

| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|-------------|-------------|-------------|-----------------------------|
| Objective 1.2: Advance Innovation | | | | |
| Number economic development grants made to communities and regions to help build the capacity to support the manufacturing-related activities and needs of businesses | 122 | 120 | 108 | NA (due to EDA elimination) |
| Dollar amount of economic development grants made to communities and regions to help build the capacity to support the manufacturing-related activities and needs of business (millions) | \$136.8 | \$151.6 | \$136.4 | NA (due to EDA elimination) |
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.3: Promote Domestic Commerce and the U.S. Industrial Base | | | | |
| Number of economic development grants made to communities and regions to help build the capacity to support the innovation-related activities and needs of businesses. | 211 | 282 | 254 | NA (due to EDA elimination) |
| Dollar amount of economic development grants made to communities and regions to help build the capacity to support the innovation-related activities and needs of businesses (millions). | \$110.6 | \$178.2 | \$160.4 | NA (due to EDA elimination) |
| Objective 2.4: Increase U.S. Exports | | | | |
| Number of economic development grants made to communities and regions to help build the capacity to support the export-related activities and needs of businesses | 84 | 57 | 51 | NA (due to EDA elimination) |
| Dollar amount of economic development grants made to communities and regions to help build the capacity to support the export-related activities and needs of businesses (millions). | \$96.2 | \$75.7 | \$68.2 | NA (due to EDA elimination) |
| Objective 2.5: Increase Inward Investment into the U.S. | | | | |
| Number of economic development grants made to communities and regions to help build the capacity to attract FDI. | 35 | 39 | 35 | NA (due to EDA elimination) |
| Dollar amount of economic development grants made to communities and regions to help build the capacity to attract FDI (millions). | \$43.6 | \$70.2 | \$63.2 | NA (due to EDA elimination) |

| Goals 1 and 2: Accelerate American Leadership, and Enhance Job Creation | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|--------------------------------|--------------------------------|--------------------------------|--------------------------------|
| Objectives: 1.2 – Advance Innovation 2.3 – Promote Domestic Commerce and the U.S. Industrial Base 2.4 – Increase U.S. Exports 2.5 – Increase Inward Investment into the U.S. | | | | |
| Private sector dollars invested in distressed communities as a result of EDA investments | \$350 M from FY 2016 funding | \$1,331 M from FY 2016 funding | \$350 M from FY 2017 funding | \$403 M from FY 2018 funding |
| | \$391 M from FY 2013 funding | \$1,673 M from FY 2013 funding | \$440 M from FY 2014 funding | \$606 M from FY 2015 funding |
| | \$1,303 M from FY 2010 funding | \$4,775 M from FY 2010 funding | \$1,122 M from FY 2011 funding | \$1,051 M from FY 2012 funding |
| Jobs created or retained in distressed communities as a result of EDA investments | 7,779 from FY 2016 funding | 7,166 from FY 2016 funding | 7,436 from FY 2017 funding | 8,464 from FY 2018 funding |
| | 9,082 from FY 2013 funding | 16,082 from FY 2013 funding | 10,093 from FY 2014 funding | 13,729 from FY 2015 funding |
| | 31,667 from FY 2010 funding | 27,903 from FY 2010 funding | 26,784 from FY 2011 funding | 24,697 from FY 2012 funding |
| % of economic development districts and Indian tribes implementing projects from the CEDS process that lead to private investment and jobs | 95.0% | 53.8% | 95.0% | N/A |
| % of substate jurisdiction members actively participating in the economic development district program | 89.0% | 83.6% | 89.0% | N/A |
| % of University Center (UC) clients taking action as a result of UC assistance | 75.0% | 57.1% | 75.0% | 75.0% |
| % of those actions taken by UC clients that achieve the expected results | 83.0% | 77.8% | 83.0% | 83.0% |
| % of Trade Adjustment Assistance Centers (TAACs) clients taking action as a result of TAAC assistance | 90.0% | 89.5% | 90.0% | 90.0% |
| % of those actions taken by TAAC clients that achieve the expected results | 95.0% | 90.4% | 95.0% | 95.0% |

Bureau of the Census

The mission of the Bureau of the Census (Census) is to serve as the leading source of quality data about the Nation's people and economy.

To accomplish this mission, Census measures and disseminates information about the Nation's dynamic economy, society, and institutions, fosters economic growth and advancing scientific understanding, and facilitates informed decisions. It does this through the following appropriations:

The **Current Surveys and Programs** appropriation provides for monthly, quarterly, and annual surveys, and other programs that are used for planning by both the public and private sectors. Census's Current Economic Statistics programs include twelve principal economic indicators and profile U.S. businesses and government organizations. Current Demographic Statistics programs provide detailed and integrated information on the social, demographic, economic, and housing conditions of the United States, including measures of income, poverty, and health insurance.

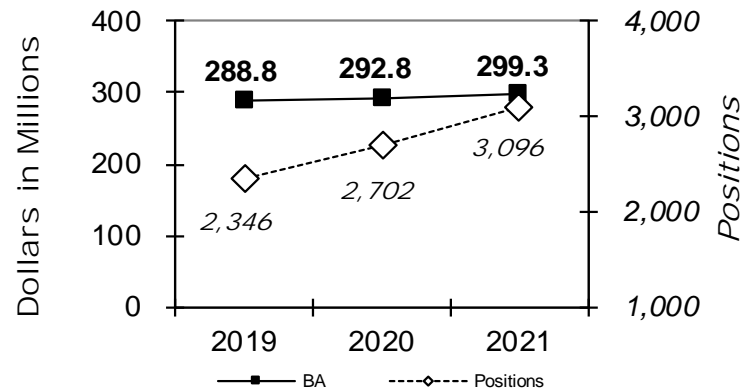
The **Periodic Censuses and Programs** appropriation funds the Decennial Census, which is conducted every ten years, and the Economic Census, and the Census of Governments, which are conducted every five years. It also funds the American Community Survey (ACS), which produces annual, detailed community-level demographic socio-economic estimates, permitting the Decennial Census to collect only minimal demographic information. It also funds the Geographic Support program, which provides the address lists, geospatial data products, and processing systems that support all Census Bureau programs, as well as local governments and businesses that use Census Bureau place-based data. Finally, the Enterprise Data Collection and Dissemination Systems programs provide critical systems infrastructure to Census Bureau surveys and censuses.

The Medicare, Medicaid, and State Children's Health Insurance Program Bill (P.L. 106-113) established and funded (through mandatory appropriations) the State Children's Health Insurance Program (SCHIP). The SCHIP produces statistically reliable annual state estimates on the number of low-income children who do not have health insurance coverage. Information from the SCHIP is used to allocate funds to states based on estimates from the March Income Supplement to the Current Population Survey (CPS). The SCHIP program was reauthorized by the Children's Health Insurance Program Reauthorization Act of 2009 (P.L. 111-3).

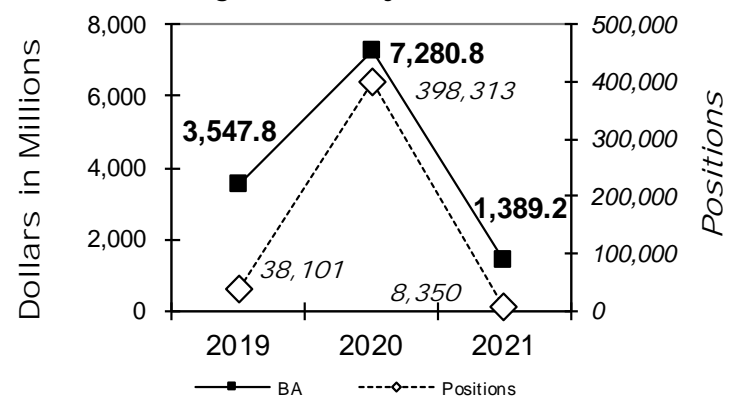
The **Working Capital Fund (WCF)** is a revolving fund account funded by contributions from appropriated and reimbursable accounts used to finance services within Census, which are more efficiently performed on a centralized basis. The WCF also includes funds received by Census to perform work for other Federal agencies, state and local governments, foreign governments, and the private sector.

As FY 2020 ends, a monumental decade-long undertaking will be entering its critical final act. In FY 2021, the Census Bureau will launch the post-enumeration operations for the 2020 Census and release data for apportionment and redistricting. It will also finalize the last data releases of the 2017 Economic Census and begin activities for the 2022 Economic Census and Census of Governments. The Budget Request supports continued efforts to collect and

Current Surveys and Programs
Budget Authority and Positions



Periodic Censuses and Programs
Budget Authority and Positions

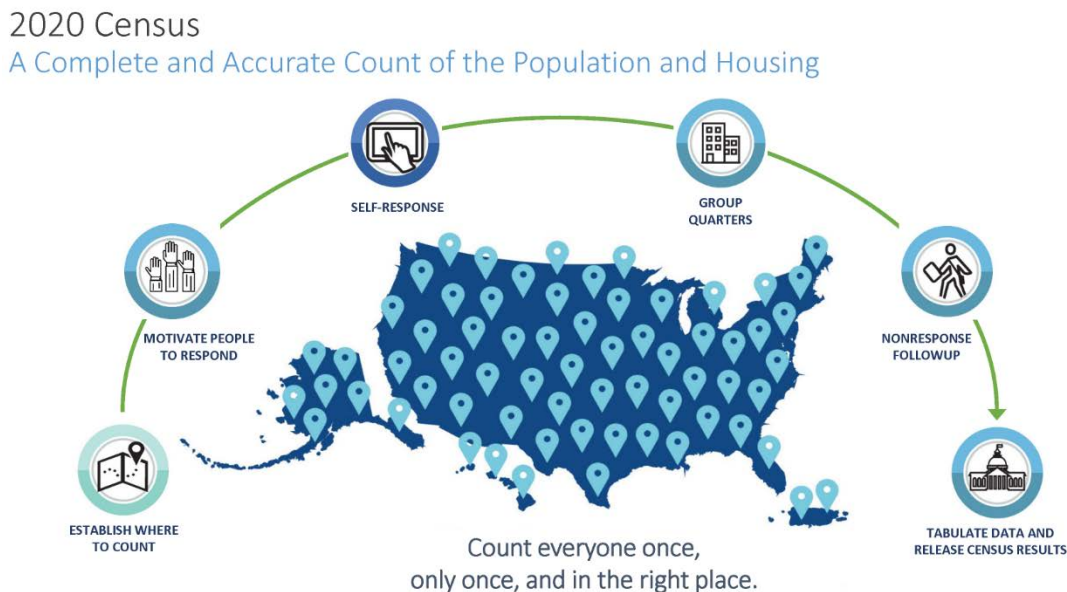


release monthly, quarterly, and annual statistics. However, as the Census Bureau moves beyond the major operations of the 2020 Census, it must look to the future. Current methods and data collection systems developed in the 20th century continue to provide critical statistics on the health and performance of the economy, the demographic composition of our society, and have allowed the agency to meet its Constitutional and mission mandates well. Unfortunately, the current stovepipe methods of individual, sample survey collection and dissemination methods are inefficient and unsustainable. The Census Bureau faces new headwinds that will require it to evolve: declining response rates, respondents that are less willing to engage with traditional survey designs, and greater disclosure risks due to the proliferation of non-governmental data sets and a growing field of data science.

To address these challenges, the Census Bureau is beginning a multi-year process of transforming its organization and operations from a 20th century survey-centric model to a 21st century data-centric model that blends survey data with administrative and alternative digital data sources. The initiatives proposed in this request lay the groundwork for that transformation by providing enterprise-wide infrastructure for data management, survey sample frames, user-centric dissemination systems, and enhanced administrative records research. The request also keeps the Census Bureau's data confidentiality promise to the American people through support for improved disclosure avoidance methods and management. These initiatives are a first step toward maximizing efficiency and maintaining data quality by organizing operations around the data collection lifecycle and the types of data that America needs, irrespective of the survey that collects those data.

The FY 2021 budget includes a proposal to transfer up to \$208 million in unobligated balances from prior year appropriations in the Periodic Censuses and Programs appropriation to the Census Bureau's Working Capital Fund. These funds would be used to reconfigure the Census Bureau's headquarters space at the Suitland Federal Center in Suitland, Maryland, to accommodate the proposed relocation of the Bureau of Labor Statistics; to support the proposed move of the Census Bureau's National Processing Center in the Jeffersonville, Indiana, area; and, to replace generators that provide emergency power to the Bowie Computing Center in Bowie, Maryland, and are at the end of their useful lives. **These balances will be transferred only to the extent that they are not needed for 2020 Census operations.**

The President's FY 2021 Budget Request enables the Department of Commerce to achieve its goal of generating jobs, increasing trade, and advancing scientific understanding by providing timely, relevant, trusted, and accurate data needed by policymakers and public and private decision makers.



Summary of Appropriations

| | 2019 | 2020 | 2021 | Increase |
|--|------------------|------------------|------------------------------|--------------------|
| | <u>Actuals</u> | <u>Enacted</u> | <u>Estimate</u> ¹ | <u>(Decrease)</u> |
| <u>Discretionary Appropriations</u> | | | | |
| Current Surveys and Programs | \$270,000 | \$274,000 | \$279,268 | \$5,268 |
| Periodic Censuses and Programs | 3,551,388 | 7,284,319 | 1,392,709 | (5,891,610) |
| Total Appropriation | 3,821,388 | 7,558,319 | 1,671,977 | (5,886,342) |
| <u>Permanent Appropriations</u> | | | | |
| State Children's Health Insurance Program | 20,000 | 20,000 | 20,000 | 0 |
| Sequestration from Mandatory Program | (1,240) | (1,180) | 0 | 1,180 |
| <u>Transfers</u> | | | | |
| Transfer from PC&P to other accounts | (3,556) | (3,556) | (3,556) | 0 |
| <u>Budget Authority</u> | | | | |
| Current Surveys and Programs | 288,760 | 292,820 | 299,268 | 6,448 |
| Periodic Censuses and Programs | 3,547,832 | 7,280,763 | 1,389,153 | (5,891,610) |
| Total Budget Authority | 3,836,592 | 7,573,583 | 1,688,421 | (5,885,162) |

¹ In addition to the totals listed in the Summary of Appropriations table above, the Budget proposes a cancellation of \$88.644 million of recoveries from prior years in the Periodic Censuses and Programs account.

Positions and Full-Time Equivalent Employment

| | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase (Decrease) |
|---|-----------------------|------------------------|-------------------------|------------------------|
| Positions | | | | |
| Current Surveys and Programs - Direct Discretionary, Total | | | | |
| Full Time Permanent | 1,493 | 1,477 | 1,437 | (40) |
| Other Than Full Time Permanent | 546 | 759 | 726 | (33) |
| Subtotal | 2,039 | 2,236 | 2,163 | (73) |
| Periodic Censuses and Programs - Direct Discretionary, Total | | | | |
| Full Time Permanent | 3,177 | 3,837 | 4,094 | 257 |
| Other Than Full Time Permanent | 34,924 | 394,476 | 4,256 | (390,220) |
| Subtotal | 38,101 | 398,313 | 8,350 | (389,963) |
| Total, Discretionary Positions | 40,140 | 400,549 | 10,513 | (390,036) |
| Current Surveys and Programs - Direct Mandatory, Total | | | | |
| Full Time Permanent | 138 | 73 | 198 | 125 |
| Other Than Full Time Permanent | 169 | 393 | 735 | 342 |
| Subtotal | 307 | 466 | 933 | 467 |
| Working Capital Fund - Reimbursable, Total | | | | |
| Full Time Permanent | 1,920 | 1,482 | 2,049 | 567 |
| Other Than Full Time Permanent | 3,750 | 3,964 | 3,620 | (344) |
| Subtotal | 5,670 | 5,446 | 5,669 | 223 |
| Total, Positions | 46,117 | 406,461 | 17,115 | (389,346) |
| Civilian Full-Time Equivalent Employment | | | | |
| Current Surveys and Programs - Direct Discretionary, Total | | | | |
| Full Time Permanent | 1,252 | 1,377 | 1,337 | (40) |
| Other Than Full Time Permanent | 270 | 252 | 219 | (33) |
| Subtotal | 1,522 | 1,629 | 1,556 | (73) |
| Periodic Censuses and Programs - Direct Discretionary, Total | | | | |
| Full Time Permanent | 2,921 | 3,315 | 3,532 | 217 |
| Other Than Full Time Permanent | 6,536 | 55,743 | 2,329 | (53,414) |
| Subtotal | 9,457 | 59,058 | 5,861 | (53,197) |
| Total, Discretionary FTE | 10,979 | 60,687 | 7,417 | (53,270) |
| Current Surveys and Programs - Direct Mandatory, Total | | | | |
| Full Time Permanent | 68 | 51 | 92 | 41 |
| Other Than Full Time Permanent | 118 | 144 | 115 | (29) |
| Subtotal | 186 | 195 | 207 | 12 |
| Working Capital Fund - Reimbursable, Total | | | | |
| Full Time Permanent | 1,336 | 1,341 | 1,439 | 98 |
| Other Than Full Time Permanent | 1,483 | 1,347 | 1,425 | 78 |
| Subtotal | 2,819 | 2,688 | 2,864 | 176 |
| Total, FTE | 13,984 | 63,570 | 10,488 | (53,082) |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Title | Positions | Budget Authority |
|--------------------------------|--|--|------------|------------------|
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Enterprise Data Lake | 40 | \$22,263 |
| Periodic Censuses and Programs | Geographic Support | Geographic Support – Census Frames | 69 | 12,674 |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Enterprise Dissemination Services - Center for Enterprise Dissemination Services and Consumer Innovation | 16 | 11,584 |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Data Ingest and Collection for the Enterprise | 41 | 10,124 |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Administrative Records Research and Integration - Administrative Records Research | 23 | 5,038 |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Enterprise Dissemination Services - Disclosure Avoidance | 20 | 4,780 |
| Periodic Censuses and Programs | Economic Statistics Programs | Periodic Economic Statistics - Economic Census | (15) | 3,469 |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Enterprise Dissemination Services – Data Curation | 4 | 510 |
| Total, Increases | | | 198 | \$70,442 |

Decreases

| Appropriation | Budget Program | Title | Positions | Budget Authority |
|--------------------------------|--|--|------------------|----------------------|
| Current Surveys and Programs | Current Demographic Statistics | Household Surveys - Survey of Income and Program Participation | (73) | (\$9,135) |
| Current Surveys and Programs | Current Demographic Statistics | Household Surveys - Supplemental Poverty Measure | 0 | (2,000) |
| Periodic Censuses and Programs | Demographic Statistics Programs | Decennial Census - 2020 Census | (378,385) | (5,885,396) |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Census Enterprise Data Collection and Processing | (126) | (85,506) |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Enterprise Dissemination Services - Data Access Dissemination System | (16) | (15,990) |
| Periodic Censuses and Programs | Economic Statistics Programs | Periodic Economic Statistics - Census of Governments | 17 | (689) |
| Periodic Censuses and Programs | Enterprise Data Collection and Dissemination Systems | Administrative Records Research and Integration - Administrative Records Clearinghouse | (4) | (510) |
| Total, Decreases | | | (378,587) | (\$5,999,226) |

Terminations

None

Highlights of Budget Changes

Appropriation: Current Surveys and Programs

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 2,236 | \$274,000 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (550) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$5,525 | | |
| FY 2021 Pay raise | | 1,439 | | |
| Increase in awards | | 1,390 | | |
| One less compensable day | | (719) | | |
| Civil Service Retirement System (CSRS) | | (122) | | |
| Federal Employees' Retirement System (FERS) | | 2,164 | | |
| Thrift Savings Plan (TSP) | | (44) | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 143 | | |
| Health insurance | | 380 | | |
| Employees' Compensation Fund | | 1 | | |
| Travel - Per Diem | | 9 | | |
| Rent payments to GSA | | 160 | | |
| Postage | | 27 | | |
| NARA | | (497) | | |
| Working Capital Fund | | 3,976 | | |
| General Pricing Level Adjustment: | | | | |
| Transportation of things | | 4 | | |
| Rental payments to others | | 2 | | |
| Communications, utilities and miscellaneous charges | | 53 | | |
| Printing and reproduction | | 9 | | |
| Other services | | 796 | | |
| Supplies and materials | | 14 | | |
| Equipment | | 27 | | |
| Continuous Diagnostic and Mitigation Charges | | 823 | | |
| Enterprise Services | | 1,045 | | |
| Commerce Business System | | 348 | | |
| Subtotal, other changes | 0 | 16,953 | | |
| Total, Adjustments to Base | | | 0 | 16,403 |
| 2021 Base | | | 2,236 | 290,403 |
| Program Changes | | | (73) | (11,135) |
| 2021 Appropriation | | | 2,163 | 279,268 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| DISCRETIONARY OBLIGATIONS | | | | | | | | |
| Current Surveys and Statistics | | | | | | | | |
| Current Economic Statistics | 1,268 | \$184,678 | 1,268 | \$195,990 | 1,268 | \$195,990 | 0 | \$0 |
| Current Demographic Statistics | 968 | 89,322 | 968 | 94,413 | 895 | 83,278 | (73) | (11,135) |
| Total, Discretionary Obligations | 2,236 | 274,000 | 2,236 | 290,403 | 2,163 | 279,268 | (73) | (11,135) |
| MANDATORY OBLIGATIONS | | | | | | | | |
| State Children's Health Insurance Program | 466 | 18,820 | 933 | 20,000 | 933 | 20,000 | 0 | 0 |
| Total, Mandatory Obligations | 466 | 18,820 | 933 | 20,000 | 933 | 20,000 | 0 | 0 |
| TOTAL DIRECT OBLIGATIONS | 2,702 | 292,820 | 3,169 | 310,403 | 3,096 | 299,268 | (73) | (11,135) |
| FINANCING | | | | | | | | |
| Less Permanent Appropriation | (466) | (18,820) | | | (933) | (20,000) | | |
| TOTAL DISCRETIONARY BUDGET AUTHORITY / APPROPRIATION | 2,236 | 274,000 | | | 2,163 | 279,268 | | |

Highlights of Program Changes**Current Surveys and Statistics**

| | Base | | Increase / Decrease | |
|---------------------------------------|------------------|-----------------|---------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Current Demographic Statistics | 968 | \$94,413 | (73) | (\$11,135) |

Supplemental Poverty Measure (-\$2,000, 0 Positions) – The FY 2021 Budget includes a planned decrease associated with the completion of the research study funded in FY 2020 to evaluate and improve the supplemental poverty measure.

Survey of Income and Program Participation (SIPP) (-\$9,135, -73 Positions) – The Census Bureau will conduct research in FY 2021 on financially-sustainable collection methods or alternative sources of comparable data on the economic well-being of Americans and program participation.

Additionally, the Census Bureau will conduct SIPP data collection for a sample of approximately 31,900 households. This sample size will produce statistically sound information at the national level, but it limits the ability to provide statistically reliable estimates for some programs and small demographic groups. The Census Bureau will continue to implement operational and methodological efficiencies to several surveys and programs, while preserving the fundamental social and economic data that inform effective public and private decision-making.

The SIPP program also is supported by Survey of Program Dynamics (SPD) funding, which is incorporated into the overall SIPP operation. The SPD funding is designated to supplement the SIPP program in providing a source of detailed socioeconomic data from a national sample of households, with a focus on the low-income population, which is more likely to receive benefits or assistance from welfare programs.

Appropriation: Periodic Censuses and Programs

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|---|------------------|---------------|------------------|--------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 386,509 | \$7,284,319 |
| Transfer to OIG | | | | (3,556) |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (999) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$8,603 | | |
| FY 2021 Pay raise | | 2,171 | | |
| Full-year cost in 2021 of positions financed for part of year in 2020 | | 3,266 | | |
| Increase in awards | | 2,159 | | |
| Change compensable day | | (1,088) | | |
| Civil Service Retirement System (CSRS) | | (180) | | |
| Federal Employees' Retirement System (FERS) | | 3,199 | | |
| Thrift Savings Plan (TSP) | | (65) | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 216 | | |
| Health insurance | | 585 | | |
| Employees' Compensation Fund | | 1 | | |
| Travel - Per Diem | | 9 | | |
| Rent payments to GSA | | 299 | | |
| Postage | | 227 | | |
| Transportation of things | | 17 | | |
| Rental payments to others | | 5 | | |
| Communications, utilities and miscellaneous charges | | 123 | | |
| Printing and reproduction | | 65 | | |
| Other services | | 3,980 | | |
| Supplies and materials | | 28 | | |
| Equipment | | 99 | | |
| Enterprise Services | | 3,319 | | |
| Subtotal, other changes | 0 | 27,038 | | |
| Total, Adjustments to Base | | | 0 | 26,039 |
| 2021 Base | | | 386,509 | 7,306,802 |
| Program Changes | | | (378,316) | (5,917,649) |
| Transfer to OIG | | | | 3,556 |
| 2021 Appropriation | | | 8,193 | 1,392,709 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|----------------|------------------|----------------|------------------|---------------|------------------|---------------------|--------------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| DIRECT OBLIGATIONS | | | | | | | | |
| Economic Statistics programs | | | | | | | | |
| Periodic Economic Statistics | 662 | \$141,377 | 662 | \$145,014 | 664 | \$147,794 | 2 | \$2,780 |
| Demographic statistics programs | | | | | | | | |
| Decennial Census ¹ | 396,997 | 6,711,795 | 385,193 | 7,046,218 | 6,808 | 1,160,822 | (378,385) | (5,885,396) |
| Geographic Support | 313 | 62,563 | 313 | 63,635 | 382 | 76,309 | 69 | 12,674 |
| Enterprise Data Collection and Dissemination Systems | 341 | 171,221 | 498 | 232,935 | 496 | 185,228 | (2) | (47,707) |
| TOTAL DIRECT OBLIGATIONS | 398,313 | 7,086,956 | 386,666 | 7,487,802 | 8,350 | 1,570,153 | (378,316) | (5,917,649) |
| FINANCING | | | | | | | | |
| Recoveries | | 0 | | (88,644) | | (88,644) | | |
| Unobligated balance, start of year | (11,804) | (1,171,592) | (157) | (1,365,399) | (157) | (1,365,399) | | |
| Unobligated balance, transferred to other accounts (+) | | 0 | | 208,000 | | 208,000 | | |
| Unobligated balance, end of year | | 1,365,399 | | 0 | | 0 | | |
| Unobligated balance, expiring | | 0 | | 976,399 | | 976,399 | | |
| Unobligated balance, canceled | | 0 | | 88,644 | | 88,644 | | |
| TOTAL BUDGET AUTHORITY | 386,509 | 7,280,763 | 386,509 | 7,306,802 | 8,193 | 1,389,153 | | |
| Transfer to OIG | | 3,556 | | 3,556 | | 3,556 | | |
| TOTAL APPROPRIATION | 386,509 | 7,284,319 | 386,509 | 7,310,358 | 8,193 | 1,392,709 | | |

¹ Pursuant to the Consolidated Appropriations Act, 2020, Congress provided \$6.696 billion in 2020 to support the Decennial Census, including \$669 million dedicated towards Secretarial contingency needs that may arise during the Census operation, such as major disasters or other unforeseen risks realized, and \$263 million in additional sensitivity risks to support additional pay increases and any reduction in self-response rates beyond the current projections of the Census Bureau. Combined with funding provided in prior year appropriations, the Census Bureau has \$7.9 billion available to support the 2020 decennial operation. The Budget appendix that accompanies the President's Budget does not assume obligation of contingency funds because they are not associated with planned costs or operations. However, if these funds are needed due to an unexpected increase in costs, these funds will remain available to--and be used by--the Census Bureau to carry out its constitutional mandate.

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|--|------------|------------------|---------------------|-----------------|
| | Positions | Amount | Positions | Amount |
| Economic Statistics Programs / Periodic Economic Statistics | 662 | \$145,014 | +2 | +\$2,780 |
| Economic Census | 620 | 132,489 | (15) | +3,469 |

Fiscal Year 2021 represents the second year of the 2022 Economic Census cycle. Efforts in FY 2021 include finalizing the last releases related to the 2017 Economic Census and ramping up the planning, development, and monitoring of activities related to the 2022 Economic Census. This includes finalizing the content to be collected in the 2022 Economic Census, and activities related to the development of systems and processes that will be needed for instrument design, data collection, data processing, and data dissemination.

Major activities in FY 2021 include the continued review of data related to the 2017 Economic Census final data releases, including data on products, data on franchises and comparative and bridge statistics between the 2012 and 2017 Economic Census data. Final data releases for the 2017 Economic Census are scheduled to complete by the end of the first quarter of FY 2022. Analytical review and publication activities include verifying changes in company reporting patterns, macro review of all data, outlier review, documentation of findings, and preparation of tabulated data. Staff prepare data for delivery to the public by reviewing pre-released publications, gaining approvals, updating metadata tables, and ensuring quality standards are met. Research and development work needed to implement the Census Bureau's new requirements for confidential data protection will continue in FY 2021 for the 2022 Economic Census, as

well as general planning and project management for the 2022 survey cycle. In collaboration with data users and stakeholders, staff will work to finalize content to be collected for the 2022 Economic Census, as well as update systems used for collection and processing of the 2022 Economic Census data. Staff will build relationships with respondent stakeholders, and design systems necessary for efficient data collection and processing in preparation for the data collection operations in FY 2023.

Census of Governments **42** **\$12,525** **+17** **(\$689)**

FY 2021 is the second year of the five-year cycle for the 2022 Census of Governments. Efforts in FY 2021 focus on research and development, outreach, and planning activities. The program will initiate content review of public sector surveys. Additionally, the program will leverage usage for administrative record data collection and the Center for Enterprise Dissemination Services and Consumer Innovation (CEDSCI) for dissemination to increase cost-effectiveness. The Census Bureau will also continue to develop and implement more effective data editing strategies to increase efficiencies in data processing.

Major activities in FY 2021 include the progress towards 100% electronic collection using administrative records, innovative strategies for data collection and review activities, improving how data are collected, received and processed, as well as how the program completes data review and analysis. This reduces cost and burden for mail operations, allowing the program to focus data review efforts on the cases that most impact data quality.

Additionally, the review of data user feedback from the 2017 Census of Governments and a complete and comprehensive review of public sector surveys content will improve the next iteration of the Census of Governments' data gathering and dissemination processes.

Incremental improvements to the standardized dissemination tools such as the Application Programming Interface (API) and CEDSCI, will increase data availability for data users and improve the data user experience, which should accelerate the release schedule, as well as increase and improve data products compared to the 2017 Census of Governments.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|--------------------|----------------------------|----------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Demographic Statistics Programs / Decennial Census</u> | 385,193 | \$7,046,218 | (378,385) | (\$5,885,396) |
| 2020 Census | | | (378,385) | (5,885,396) |

As FY 2020 comes to an end, a monumental decade-long undertaking will be entering its critical final act. The peak operations of the 2020 Census will be at or near their ending points as the Census Bureau moves swiftly into the post-enumeration activities required to meet its Constitutional and statutory deadlines. Foremost among these, the Census Bureau will fulfill its Constitutional mandate when it delivers data on the apportionment of congressional seats to the President by December 2020 and redistricting data to the states by March 31, 2021. Several significant field operations will be ongoing at the start of FY 2021, most notably the coverage and quality operations, including the post-enumeration survey, which will independently measure and later report the accuracy of the 2020 Census. These key operations will help to ensure that responses are as accurate as possible and then that the accuracy of the 2020 Census is measured and reported to the public in a timely manner. The success of these operations is paramount to the measurement of the success of the entire 2020 Census.

With data quality, security, and confidentiality squarely in our focus, the estimated nearly 147 million housing unit responses from the 2020 Census peak operations will continue through processing, editing, disclosure avoidance, storage, and preparation for publishing. These rigorous processes, both in the field and at headquarters, will ensure that the data from the 2020 Census is secure in all manners and ready to be tabulated, aggregated, and presented to the public. With apportionment counts due to the President by December 31, 2020, and redistricting data due to the states prior to April 1, 2021, there is not a moment to spare.

Soon after operations end, the massive coordination of people, IT, and infrastructure necessary to conduct the enumeration of every person living in the United States will begin the complex process of ramping down, as hundreds of thousands of field and office staff are released, 248 Area Census Offices (ACOs) are closed, and all the associated devices and equipment are decommissioned over the course of the late part of FY 2020 and first half of FY 2021. The transition of the 52 systems of the 2020 Census to their post-2020 Census state will also occur as their operational need ends.

The funding request for FY 2021 reflects all the costs necessary to conduct and achieve a complete and accurate 2020 Census through to its Constitutionally mandated deliveries to the American people. This Budget Request is informed by the 2020 Census Lifecycle Cost Estimate, which has been completed in line with the Government Accountability Office's best practices for cost estimation. Failure to receive the funding requested for the entirety of this work, will impact the

results of the 2020 Census. An accurate decennial census is imperative because of the role this data plays in shaping the political landscape and informing the policymaking process. Most importantly, the decennial census underpins the apportionment of seats in the House of Representatives allocated to the States. Any failure to deliver the apportionment counts and redistricting data on their statutory schedules would be a failure to the American people. Any failure to properly handle the data, people, infrastructure, and systems following the 2020 Census would jeopardize the immense trust the public has in the Census Bureau, as it carries out its fundamental mission. Any failure to glean all the information possible from the operation of the 2020 Census and learn as much as possible, looking ahead to continued improvement for operations across the Census Bureau, including future decennial censuses, would waste a once-in-a-decade opportunity to further refine the Census Bureau's stewardship of the American people's mission, data, and taxpayer dollars for years and decades to come.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|----------------------------------|------------------|-----------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Geographic Support</u> | 313 | \$63,635 | +69 | +\$12,674 |

In an age of big data, global companies use data science technologies to generate improved customer service methods that streamline data collection to better understand customer needs. The Census Bureau has yet to fully harness these currently existing technologies, but the Census Bureau will reduce respondent burden by improving data infrastructure and realigning already existing data from multiple sources into complete universe frames or complete count of persons, places, jobs, or businesses. Currently, the Census Bureau has numerous sample and product frames used by programs for different purposes, leading to inefficiencies, redundancies, and duplication. In FY 2021, the Census Frames initiative, which will integrate full count data on persons, places, and the economy for streamlined use by all Census Bureau surveys, censuses, and official products, will be launched.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Enterprise Data Collection and Dissemination Systems</u> | 498 | \$232,935 | (2) | (\$47,707) |
| <u>Administrative Records - Research and Integration</u> | 25 | \$4,820 | +19 | +\$4,528 |

Administrative Records Research (+\$5,038, +23 Positions) – The Administrative Records Research initiative will establish an enterprise-wide capability to expand the use of administrative records to improve sample survey operations, data quality, and data products across the Census Bureau. The costs of collecting survey data are rising and response rates continue to decline. The Census Bureau must continue to develop alternatives to survey data collection, including using a variety of administrative data to supplement or replace survey responses. This effort requires dedicated and systematic research using administrative data. Administrative records will be systematically evaluated as a source to create or augment survey frames, to optimize respondent contact strategies and minimize non-response, to reduce respondent burden, to serve as a replacement for data provided by respondents or as a supplemental source to enhance editing routines, and to create integrated data products. For example, previous research using the American Community Survey has demonstrated success and promise in matching administrative records to respondent data in topical areas such as housing and income for missing values or replacement. However, additional research is needed to fully understand and optimize the impact of integrating administrative records for a specific survey item into survey operations and processing. This initiative will create a team of employees and contractors to identify new population and housing administrative data sources, and to develop expertise in integrating these and other administrative data, across the data collection life cycle, into Census Bureau surveys. Funding will support innovative research in areas, such as matching, administrative data linkage, modeling respondent values, and may identify new data sources.

On an annual basis, the Census Bureau will identify the highest value administrative records initiatives across the Bureau for exploration. The initial focus will include the potential applications of the use of those records to supplement data collected by the American Community Survey. As the program develops, the focus will shift to other surveys. This research will examine certain high-priority areas such as income or housing, as the Census Bureau seeks to improve data quality through the use of administrative data to adjust for non-response and reporting error. This initiative will provide key stakeholders and program managers with better information for the accomplishment of program objectives.

Administrative Records Clearinghouse (-\$510, -4 Positions) – This reduction is proposed as a partial offset to the budget increase requested for the Center for Enterprise Dissemination and Consumer Information. This slight reduction in planned administrative records infrastructure development in the areas of project development, data acquisition, quality control, processing, and information and research management enables fulfillment of higher priority objectives in the CEDSCI program.

| | | | | |
|--|------------|-----------------|------------|---------------|
| Enterprise Dissemination Services | 162 | \$70,019 | +24 | +\$884 |
|--|------------|-----------------|------------|---------------|

Center for Enterprise Dissemination Services and Consumer Innovation (CEDSCI) (+\$11,584, +16 Positions) --

In FY 2021, CEDSCI will deliver all products for the 2020 Decennial Census data, American Community Survey (ACS), the Economic Census, and other major programs and data products according to the Census Bureau's data release schedule. CEDSCI will also decommission American Fact Finder (AFF), and transition previously published data sets and products to the platform. CEDSCI will continue at full staffing levels and lead and manage the program in the areas of requirements, systems development, integration, and testing; conduct dissemination operations, and continue proper contractor oversight and program management. This includes working with program stakeholders to disseminate data products according to production schedules while also providing direct customer feedback to better refine those products. The platform will continually collect, analyze, and respond to customer feedback as a means to improve services and keep pace with the rapidly evolving requirements of novice, experienced, and advanced data users. The program will also begin preliminary Disclosure Avoidance Modernization activities. These research and evaluation activities are in response to the continuously increasing availability of many different types of both public and private data sets, that along with increased data analytics usage presents the increasing possibility of respondent identification. In FY 2021, CEDSCI will be fully operational and will continue to refine and deliver a high-performance system, complete with a responsive and modern user interface, a series of highly available and well documented API services.

Disclosure Avoidance (+\$4,780, +20 Positions) – The advent of “big data,” faster computing, and the public's desire for increased amounts of granular data will continue to have profound effects on the ways in which Federal statistical agencies release data. For example, the exponential growth in big data could not only make it easier to develop alternative data sets, but also easier to re-identify individuals in existing data sets, which would violate legal protections of respondents under Title 13. These developments make it more difficult for the Census Bureau to ensure that the data it releases protects respondent confidentiality. To address the foundational needs to provide disclosure protection of our respondents, the Census Bureau has undertaken a multi-year effort. Current efforts focus on fundamental research and applications critical to the development of a disclosure protection system to provide privacy protection for the 2020 Census. In FY 2021, the Census Bureau will lay the groundwork to ensure that by mid-decade, it has tools to enable a robust production-level disclosure protection platform that will serve the needs of many Bureau data programs. Specifically, in FY 2021, work will focus on the development and implementation of tools and software critical to the success of this platform.

Data Curation (+\$510, +4 Positions) – In FY 2021, the program includes funding for Data Curation activities that will enhance the comparability of economic and demographic data over time and across programs; improve data analytics and the efficiency of data accessibility across the enterprises; preserve historical information and metadata about censuses and surveys; and support the scientific replication of research results that are essential to addressing the “reproducibility crisis” that has recently impacted a wide range of economic and demographic research activities. The effort will prototype a system-wide metadata catalog of data and publications and an easily accessible, indexed, and searchable archive of data sets and research publications. This initiative also supports the creation of a cross-organizational team that will review recommended content, standards, and accessibility for this archive.

Data Access and Dissemination System (-\$15,990, -16 Positions) – In FY 2021, as the Census Bureau continues to implement the CEDSCI capabilities, the American Fact Finder will be decommissioned.

| | | | | |
|---|------------|-----------------|--------------|-------------------|
| Census Enterprise Data Collection and Processing | 126 | \$85,506 | (126) | (\$85,506) |
|---|------------|-----------------|--------------|-------------------|

In FY 2020, the Census Enterprise Data Collection and Processing (CEDCaP) program focused on capabilities supporting 2020 Census operations. In FY 2021, after successfully deploying CEDCaP capabilities for the 2020 Census, the CEDCaP program will transition to the Data Ingest and Collection for the Enterprise (DICE) program to support data collection activities for Census Bureau censuses and surveys. The only funding requested for CEDCaP is for scale-up, which is requested in the 2020 Census PPA.

| | | | | |
|--|------------|-----------------|------------|------------------|
| Data Ingest and Collection for the Enterprise | 157 | \$59,000 | +41 | +\$10,124 |
|--|------------|-----------------|------------|------------------|

The Data Ingest and Collection for the Enterprise (DICE) program is a follow-on effort of the Census Enterprise Data Collection and Processing (CEDCaP) program to integrate the remaining Census Bureau censuses and surveys for the enterprise, and incorporates lessons learned from 2020 Census operations. While the 2020 Census is unique from a scale and operational perspective, certain capabilities are applicable to all survey operations. DICE will assess and leverage, wherever possible, the CEDCaP capabilities that were developed and used in the 2020 Census, as well as existing current survey systems, to determine the best approach to deliver an enterprise set of capabilities. DICE is a new way of doing business that focuses on minimizing redundancy associated with multiple data collection systems and

platforms to support different modes of collection/ingestion, lowering complexity, and avoiding duplicative costs for the Census Bureau's business and household data collection operations. For example, there are three systems currently in use for questionnaire design. DICE would provide a single solution. DICE positions the Census Bureau's Information Technology (IT) to implement Survey Life Cycle (SLC) capabilities focusing on data collection activities, reengineered business processes, and new technologies more quickly across the Enterprise.

The scope of the DICE program includes all data collection activities for the enterprise. In addition to the scope of CEDCaP's data collection efforts, DICE will also include the data collection functionality associated with the ingestion of commercial and administrative data sets for use by Census Bureau censuses and surveys. All data collected by DICE will be processed and stored in the Enterprise Data Lake for access and use by the business units for the production of Census Bureau statistics. The Enterprise Data Lake is an initiative requested in FY 2021, which, when integrated with DICE, simplifies the Enterprise Data Collection and Processing Architecture to promote efficiency across the Census Bureau.

Software development in the DICE Program will be organized into incremental improvements and deployments throughout FY 2021 as defined during the transition planning phase of CEDCaP in FY 2019 and FY 2020. FY 2021 incremental development efforts will focus on the data collection and ingest systems that will support the 2022 Economic Census and any additional current surveys determined feasible during the transition planning phase. Specific system capabilities of focus will include questionnaire design and metadata, paper data capture, internet response, computer assisted telephone interviewing, operational control, and electronic correspondence. At the time of this budget submission, the DICE Program is in concept development, and a Rough Order of Magnitude estimate, which is based upon initial scope and schedule estimates, aided in the development of this budget submission. As a result, the budget estimate and implementation schedule will likely change as the program becomes more mature.

| | | | | |
|-----------------------------|----------|------------|------------|------------------|
| Enterprise Data Lake | 0 | \$0 | +40 | +\$22,263 |
|-----------------------------|----------|------------|------------|------------------|

- The Enterprise Data Lake (EDL) is an enterprise-wide, big data management platform that will modernize data storage and data analysis capabilities across all of its directorates with appropriate roles based access control. This EDL will support the Census Bureau's data and analytical needs in a secure, scalable, high-performing storage and computing cloud environment with appropriate backups to the Census datacenter. This platform will increase the Bureau's capability to ingest the ever-increasing volume of administrative records, improve the quality of data products and apply disclosure avoidance to protect PII data as required by Title 13, Title 26, and other data protection laws. The EDL is also aligned with the Federal Cloud Computing Strategy (Cloud Smart), using cloud-based technologies for large-scale data management and analytics processing. The EDL program will leverage Big Data technologies that will enable the Census Bureau to promote data access and sharing inside Census and with its survey partners, improve cross-agency use, and enhance privacy and confidentiality practices as mandated in the Foundations for Evidence-Based Policymaking Act of 2018 (P.L. 115-435). The EDL will also support the "Open, Public, Electronic and Necessary, (OPEN) Government Data Act" by making Census Bureau data products more accessible and transparent to researchers.
- The EDL will be designed to improve access and use of various types and large amounts of economic and demographic data, enable the ingest of an extensive variety of non-survey-based source data, and integrate and analyze survey and administrative data efficiently and accurately using cloud, big data analytics, artificial intelligence and machine learning technologies. It will also enable pilot applications of new technologies and methods for the protection of privacy and confidentiality. In FY 2021 the EDL, building on the successful decennial data lake which houses the 2020 Census data, will be engineered as the platform to integrate the 2020 Census data for use with other survey and administrative data to conduct research or produce economic, geographic, and demographic data products suitable for evidence based policy making. Funding this initiative will enable the Census Bureau to capitalize on the work already done and the lessons learned in building the decennial data lake. It will consolidate currently decentralized data management and storage systems, dispersed security and privacy implementations, and resolve technology limitations across the survey and data lifecycle.

The program will build several capabilities to ingest survey and third party data, no matter the format, ensure that data are traceable from responses submitted to surveys to the final datasets, and use an on-demand secure cloud environment for speedy analysis of large datasets. It will update code, build required access controls and tracking for Title 13 and Title 26 data, and ensure data and code disaster recovery and long-term storage. It will improve linkages between data collected for the various economic and demographic surveys including the 2020 Census and increase speed in producing data products in multiple formats.

Performance Indicators

The following table shows the Census Bureau performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the Census segment of the Department of Commerce budget.

| | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|--|--|---|--|
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base | | | | |
| Produce new data and information products through the Opportunity Project using rapid technology development sprints | Complete 10 new products by external organizations using this approach | Completed 11 new products | Complete 10 new products by external organizations using this approach | Complete 10 new products by external organizations using this approach |
| Goal 4: Fulfill Constitutional Requirements and Support Economic Activity | | | | |
| Objective 4.1: Conduct a Complete and Accurate Decennial Census | | | | |
| 2020 Decennial planned operational efficiencies and program milestones met | <ul style="list-style-type: none"> 1) Conduct the In-Field Address Canvassing Operations for 2020 Decennial Census 2) Open Area Census Offices 3) Ensure 2020 Census Architecture and IT Roadmap reflects the latest Census system design 4) Deliver updated 2020 Census Operational Plan 5) Complete Authorization to Operate process related to the 2020 Census as scheduled with less than 15% of Plans of Action and Milestones exceeding their completion date | <ul style="list-style-type: none"> 1) Conducted the In-Field Address Canvassing Operations for 2020 Decennial Census 2) Opened Area Census Offices 3) Ensured that the 2020 Census Architecture and IT Roadmap reflected the latest Census system design 4) Delivered updated 2020 Census Operational Plan 5) Completed Authorization to Operate process related to the 2020 Census as scheduled with less than 15% of Plans of Action and Milestones exceeding their completion date | <ul style="list-style-type: none"> 1) Conduct 2020 Census 2) Deployment of non-CEDCaP systems | <ul style="list-style-type: none"> 1) Release Apportionment counts to the President of the United States 2) Release Census data below the state level for use in redistricting efforts 3) Release Census data products for use by the public 4) Close remaining RCCs and ACOs 5) Complete Coverage Measurement 6) Continue preliminary planning for the 2030 Census program proposal |

| | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|--|--|--|--|
| <p>Objective 4.1: Conduct a Complete and Accurate Decennial Census AND</p> <p>Objective 4.2: Provide Accurate Data to Support Economic Activity</p> | | | | |
| <p>Milestones met in developing Census IT enterprise to enhance collection, processing, and dissemination of data</p> | <p>1) Deploy CEDCaP systems supporting the early 2020 Census Operations, including Address Canvassing</p> <p>2) Develop next-generation dissemination platform for production release in FY 2020</p> | <p>1) Deployed CEDCaP systems supporting the early 2020 Census Operations, including Address Canvassing</p> <p>2) Developed next-generation dissemination platform for production release in FY 2020</p> | <p>1) Deploy CEDCaP systems in support of peak 2020 Census operations</p> <p>2) CEDSCI Usability Score of 46</p> <p>3) Begin transition to new dissemination system</p> <p>4) Disseminate data products on time according to the 2020 Master Release Schedule (CEDSCI)</p> | <p>1) Begin development of DICE systems in support of the 2022 Economic Census operations</p> <p>2) Complete at least four Program Incremental Deployments with a total of 60 features completed and accepted (CEDSCI)</p> <p>3) CEDSCI Usability Score of 56</p> <p>4) Disseminate data products on time according to the 2020 Master Release Schedule (CEDSCI)</p> |
| <p>Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public</p> | <p>85% of key products: Economic, Geographic, and Demographic</p> | <p>100% of key products: Economic, Geographic, and Demographic</p> | <p>85% of key products: Economic, Geographic, and Demographic</p> | <p>85% of key products: Economic, Geographic, and Demographic</p> |
| <p>Objective 4.2: Provide Accurate Data to Support Economic Activity</p> | | | | |
| <p>Complete key activities in support of the Economic Census and Census of Governments on time (NEW)</p> | <p>Majority of key activities completed by the end of the fiscal year:</p> <p>1) Economic Census and</p> <p>2) Census of Governments</p> | <p>Completed majority of key activities by the end of the fiscal year:</p> <p>1) Economic Census and</p> <p>2) Census of Governments</p> | <p>Majority of key activities completed by the end of the fiscal year:</p> <p>1) Economic Census and</p> <p>2) Census of Governments</p> | <p>Majority of key activities completed by the end of the fiscal year:</p> <p>1) Economic Census and</p> <p>2) Census of Governments</p> |
| <p>Number of principal economic indicators released on time</p> | <p>120</p> | <p>120</p> | <p>120</p> | <p>120</p> |
| <p>American Community Survey data products released as scheduled (NEW)</p> | <p>ACS data products released as scheduled</p> | <p>All ACS data products were released as scheduled</p> | <p>ACS data products released as scheduled</p> | <p>ACS data products released as scheduled</p> |

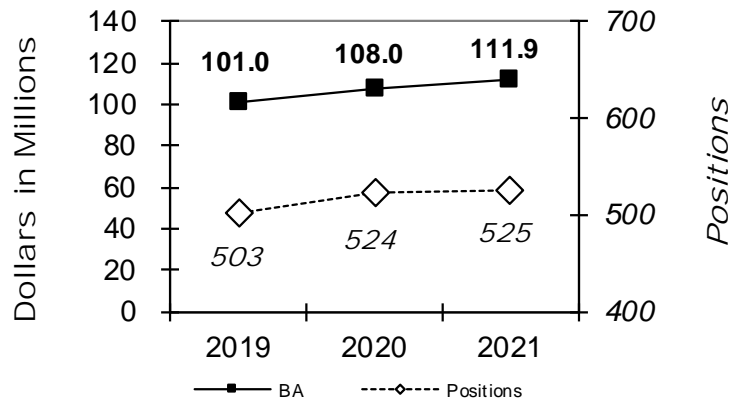
Bureau of Economic Analysis

Bureau of Economic Analysis (BEA). Although a relatively small agency, BEA produces some of the most closely watched and influential economic indicators, such as gross domestic product (GDP) and the trade balance, that directly affect decisions made by policy makers, business leaders and the American public. BEA is an independent, principal Federal statistical agency that promotes a better understanding of the U.S. economy by providing timely, relevant and accurate economic accounts data in an objective and cost-effective manner. BEA's economic accounts present valuable information on U.S. economic growth, regional economic development, inter-industry relationships and the Nation's position in the world economy. Some of the widely used statistical measures produced by BEA include GDP, personal income and outlays, corporate profits, GDP by state and by metropolitan area, balance of payments and GDP by industry. These statistics are used by Federal, state and local governments for budget development and projections; by the Federal Reserve for monetary policy; by the business sector for planning and investment; and by the American public to follow and understand the performance of the Nation's economy.

In FY 2021, BEA will continue to fulfill its mission to preserve the timeliness, relevance, and accuracy of economic statistics in an objective and cost-effective manner. Strategies to achieve this are outlined in BEA's strategic plan. In addition to fulfilling its current mission, the Bureau will continue to develop statistics on a wide range of topics including the size of the outdoor recreation economy, digital economy, distribution of personal income, and GDP for Puerto Rico. BEA continues to support the Administration's proposal to reorganize the Bureau of Labor Statistics alongside BEA and the Census Bureau within the Department of Commerce. This effort will increase operational efficiencies; reduce respondent burden; enhance privacy protections; and improve data quality and availability. BEA will continue to work with the Census Bureau and BLS in identifying next steps in fulfilling this proposal in FY 2021.

Under Secretary for Economic Affairs. The FY 2021 Budget continues to support the Under Secretary for Economic Affairs and nine staff positions in carrying out official oversight responsibilities of BEA and the Census Bureau in recognition of the criticality of and heightened attention to major initiatives within these Bureaus, such as the 2020 Decennial Census. The Under Secretary for Economic Affairs will continue to provide leadership and policy guidance to the Department's economic and statistical community. As the chief economic advisor to the Secretary, the Under Secretary also provides analysis on economic developments, domestic fiscal and monetary policies, and analyzes economic conditions and policy initiatives of major trading partners. BEA also requests funding for the position of Chief Data Officer (CDO). In accordance with the Evidence-Based Policymaking Act of 2018, the CDO will coordinate and oversee lifecycle data management at the Department, including leading the Commerce Data Governance Board, and ensure that the data and data service needs of Commerce's Bureaus are met.

Budget Authority and Positions



Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|---|-----------------------|------------------------|-------------------------|-------------------------------|
| Salaries and Expenses | \$101,000 | \$107,990 | \$111,855 | \$3,865 |
| Total Appropriation / Budget Authority | 101,000 | 107,990 | 111,855 | 3,865 |
| <u>Positions</u> | | | | |
| Salaries and Expenses - Direct | 503 | 524 | 525 | 1 |
| Salaries and Expenses - Reimbursable | 11 | 10 | 14 | 4 |
| Total | 514 | 534 | 539 | 5 |
| <u>Full-Time Equivalent Employment</u> | | | | |
| Salaries and Expenses - Direct | 494 | 510 | 511 | 1 |
| Salaries and Expenses - Reimbursable | 11 | 10 | 14 | 4 |
| Total | 505 | 520 | 525 | 5 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|-----------------------------|------------------------|-----------|------------------|
| Salaries and Expenses | Bureau of Economic Analysis | Chief Data Officer | 1 | \$250 |
| Total, Increases | | | 1 | \$250 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|-----------------------------|------------------------|-----------|------------------|
| Salaries and Expenses | Bureau of Economic Analysis | Program Adjustments | 0 | (\$590) |
| Total, Decreases | | | | (\$590) |

Terminations

None

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 524 | \$107,990 |
| Adjustments to Base | | | | |
| Transfer to Department Management, Salaries and Expenses Account | | | | (125) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$1,835 | | |
| FY 2021 Pay raise | | 444 | | |
| Increase in awards | | 578 | | |
| One less compensable day | | (297) | | |
| Civil Service Retirement System (CSRS) | | (41) | | |
| Federal Employees' Retirement System (FERS) | | 855 | | |
| Thrift Savings Plan | | 12 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 35 | | |
| Health insurance | | 160 | | |
| Employees' Compensation Fund | | (24) | | |
| Travel: Per Diem | | 2 | | |
| Rental payments to GSA | | 30 | | |
| Working Capital Fund | | 151 | | |
| General Pricing Level Adjustments | | | | |
| Transportation of things | | 1 | | |
| Communications, utilities, and miscellaneous charges | | 12 | | |
| Other services | | 364 | | |
| Supplies and materials | | 32 | | |
| Equipment | | 13 | | |
| Continuous Diagnostics and Mitigation Charges | | 40 | | |
| Enterprise Services | | 127 | | |
| Subtotal, other changes | 0 | 4,330 | | |
| Total, Adjustments to Base | | | 0 | 4,205 |
| 2021 Base | | | 524 | 112,195 |
| Program Changes | | | 1 | (340) |
| 2021 Appropriation | | | 525 | 111,855 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|------------|----------------|---------------|----------------|---------------------|--------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| Direct Obligations | | | | | | | | |
| Bureau of Economic Analysis | 515 | \$104,905 | 515 | \$108,990 | 515 | \$108,400 | 0 | (\$590) |
| Under Secretary for Economic Affairs | 9 | 3,085 | 9 | 3,205 | 10 | 3,455 | 1 | 250 |
| Total Direct Obligations | 524 | 107,990 | 524 | 112,195 | 525 | 111,855 | 1 | (340) |
| Reimbursable Authority | 10 | 2,223 | 13 | 2,266 | 14 | 2,266 | 1 | 0 |
| TOTAL OBLIGATIONS | 534 | 110,213 | 537 | 114,461 | 539 | 114,121 | 2 | (340) |
| FINANCING | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | | (1,812) | | | | (1,813) | | |
| Non-Federal sources | | (411) | | | | (453) | | |
| Subtotal, financing | 0 | (2,223) | | | 0 | (2,266) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 534 | 107,990 | | | 539 | 111,855 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|---|------------|------------------|---------------------|----------------|
| | Positions | Amount | Positions | Amount |
| Bureau of Economic Analysis | 524 | \$112,195 | 1 | (\$340) |
| Under Secretary for Economic Affairs | | | 1 | +\$250 |
| BEA requests \$.250 million to fund the Chief Data Officer. | | | | |
| Bureau of Economic Analysis - Program Adjustments | | | | (590) |

Performance Indicators

The following table shows BEA's performance indicators and its related Departmental Strategic Goal and Objective. Additional details appear in the Annual Performance Plan and Report Back up section at the end of the BEA segment of the Department of Commerce budget.

| Goal 4: Fulfill Constitutional Requirements and Support Economic Activity | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|-------------|-------------|-------------|-------------|
| Objective 4.2: Provide Accurate Data to Support Economic Activity | | | | |
| Reliability of delivery of economic data (number of scheduled releases issued on time) | 65 | 65 | 70 | 70 |
| Customer satisfaction (on a 5-point scale) | 4.0 | 4.1 | 4.0 | 4.0 |
| Percent of GDP estimates correct | 85% | 94% | 85% | 85% |
| Complete all major milestones related to improving economic accounts | 100% | 100% | 100% | 100% |
| Milestones met in releasing new economic indicators | 100% | 100% | 100% | 100% |

International Trade Administration

The mission of the International Trade Administration (ITA) is to create prosperity by strengthening the international competitiveness of U.S. industry, promoting trade and investment, and ensuring fair trade and compliance with trade laws and agreements.

ITA accomplishes its mission through the integrated efforts of four organizational units and their mission priorities:

Industry and Analysis: Industry and Analysis (I&A) provides unique sectoral and analytical expertise that underpins United States Government (USG) objectives on competitiveness, trade policy, and trade promotion. I&A also makes data, analytical tools, and market intelligence easily available to U.S. businesses and government agencies to empower informed decision-making on complex trade issues and level the playing field for U.S. firms. I&A plays a unique role in the U.S. Government by:

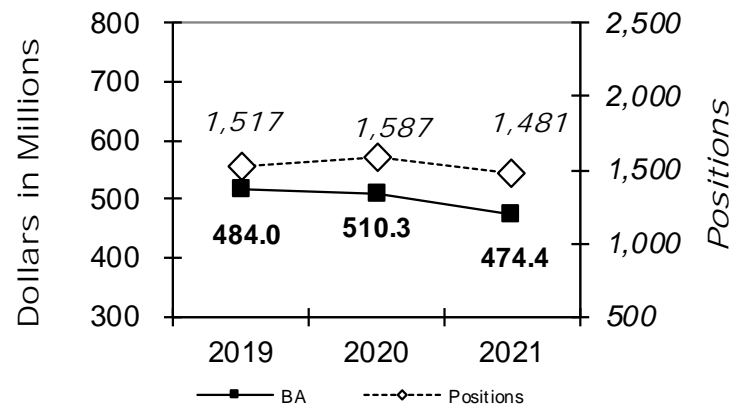
- Employing industry, standards, and economic expertise to advocate for the removal of the barriers to U.S. products and services in foreign markets;
- Providing expert economic analysis to model complex policy responses to unfair trade practices and ensure that policy responses to unfair foreign trade actions support U.S. companies and American workers;
- Coordinating the Department's participation on the interagency Committee on Foreign Investment in the United States (CFIUS);
- Developing innovative market intelligence products that provide critical information directly to the public and businesses to inform decision making and help companies succeed in foreign markets; and,
- Ensuring that thousands of businesses can continue transferring data to foreign markets through the design and administration of the U.S.-European Union and U.S.-Swiss Privacy Shield Programs and by preventing data localization rules that would unfairly disadvantage U.S. business in other markets.

Enforcement and Compliance: Enforcement and Compliance (E&C) takes prompt, aggressive action against unfair foreign trade practices and foreign-government imposed trade barriers by enforcing U.S. trade laws, monitoring and seeking compliance with existing trade agreements, and aiding in the negotiation of new trade agreements to address trade-impeding and trade-distorting practices. The E&C unit:

- Defends U.S. manufacturers, workers, and farmers against injurious dumped and unfairly subsidized imports by conducting investigations and reviews under the U.S. antidumping duty (AD) and countervailing duty (CVD) laws, and ordering the collection of duties to offset the unfair trading practices of foreign governments and exporters;
- Develops and executes programs and policies that reduce the prevalence of market distortions in foreign government activities that can lead to unfair trade practices;
- Supports U.S. exporters and investors subject to foreign government trade and investment barriers by ensuring foreign government compliance with international trade agreement obligations;
- Coordinates the representation of U.S. commercial interests in designated bilateral, multilateral, and regional trade and investment negotiations, in addition to overseeing the formulation and implementation of policies related to a wide range of trade agreement topics; and,
- Provides technical support, analysis, and recommendations to Bureau of Industry and Security with respect to requests for exclusion from Section 232 duties on imports of steel and aluminum products.

Global Markets: Global Markets (GM) provides a comprehensive suite of export promotion services and market access advocacy for U.S. firms, and promotes investment in the United States. GM delivers these services through a network of domestic, overseas, and headquarters offices, giving U.S. business and state and local entities unparalleled access to a network of international trade experts. The GM unit:

Budget Authority and Positions



International Trade Administration

- Fosters and implements the Administration's trade agenda, and protects and defends American business interests abroad;
- Identifies, reduces, and removes market barriers and unfair trading practices, so U.S. companies can compete and win in the global marketplace, and creates and sustains jobs related to exports in communities across the United States;
- Links U.S. exporters to global opportunities and distribution channels, especially small and medium-sized enterprises (SMEs); and,
- Attracts inward investment into the United States.

GM is integral to the U.S. Government's interagency effort to develop and implement market access and compliance strategies to remove foreign trade barriers, enforce trade agreements, and promote U.S. business growth in global markets.

Executive Direction and Administration: Executive Direction and Administration (ExAd) supports both enforcement and compliance with U.S. trade laws, and U.S. trade and investment expansion. ExAd does this through executive leadership; strategic planning to ensure efficient and effective execution and management of resources; and, the integration and coordination of policy and operations across ITA. ExAd directs information management and information technology strategy; provides development and maintenance services on the platforms that enable the ITA mission and management functions; and, ensures continuous operation and maintenance of the network infrastructure.

In FY 2021, ITA will strengthen trade enforcement and compliance including anti-dumping and countervailing duty investigations, while at the same time rescaling the agency's export promotion and trade analysis activities. To complement these efforts, ITA is implementing plans to transform ITA operations to strengthen outcomes, improve efficiency, and meet trade and investment priorities. ITA's transformational actions will be rooted in maximizing the delivery of ITA's full value to clients, providing timely and actionable information and service to U.S. business (particularly SMEs), eliminating or reducing lower-priority functions and activities, strengthening higher priority activities, and modernizing information management.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|---|-----------------------|------------------------|-------------------------|-------------------------------|
| Operations and Administration | \$484,000 | \$510,250 | \$474,407 | (\$35,843) |
| Total Appropriation | 484,000 | 510,250 | 474,407 | (35,843) |
| Reimbursable - Fees | 11,000 | 11,000 | 11,102 | 102 |
| Total, Budget Authority | 495,000 | 521,250 | 485,509 | (35,741) |
| <u>Positions</u> | | | | |
| Operations and Administration - Direct | 1,517 | 1,587 | 1,481 | (106) |
| Operations and Administration - Reimbursable | 50 | 48 | 50 | 2 |
| Total | 1,567 | 1,635 | 1,531 | (104) |
| <u>Full-Time Equivalent Employment</u> | | | | |
| Operations and Administration - Direct | 1,516 | 1,533 | 1,427 | (106) |
| Operations and Administration - Reimbursable | 32 | 32 | 34 | 2 |
| Total | 1,548 | 1,565 | 1,461 | (104) |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------------|----------------------------|----------------------------|-----------|------------------|
| Operations and Administration | Enforcement and Compliance | Enforcement and Compliance | 0 | \$3,000 |
| Operations and Administration | Enforcement and Compliance | Enforcement and Compliance | 8 | 2,000 |
| Total, Increases | | | 8 | \$5,000 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------------|----------------|------------------------|--------------|-------------------|
| Operations and Administration | Global Markets | Global Markets | (114) | \$(55,284) |
| Total, Decreases | | | (114) | \$(55,284) |

Terminations

None

Highlights of Budget Changes

Appropriation: Operations and Administration

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 1,587 | \$510,250 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (1,813) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$7,655 | | |
| FY 2021 Pay raise | | 1,866 | | |
| Increase in awards | | 1,859 | | |
| One less compensable day | | (874) | | |
| Civil Service Retirement System(CSRS) | | (38) | | |
| Federal Employees' Retirement System(FERS) | | 1,502 | | |
| Thrift Savings Plan | | 11 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 66 | | |
| Health insurance | | 53 | | |
| Employee Compensation | | (20) | | |
| Travel - Domestic per diem | | 55 | | |
| Travel - Foreign per diem | | 128 | | |
| Rent payments to GSA | | 200 | | |
| NARA | | 3 | | |
| Working Capital Fund | | 867 | | |
| General Pricing Level Adjustment: | | | | |
| Transportation of things | | 86 | | |
| Rental payments to others | | 11 | | |
| Communications, utilities, and miscellaneous charges | | 41 | | |
| Printing and reproduction | | 27 | | |
| Other services | | 1,306 | | |
| Supplies and materials | | 84 | | |
| Equipment | | 147 | | |
| Continuous Diagnostics and Mitigation Charges | | 118 | | |
| Enterprise Services | | 271 | | |
| HCHB utilities | | 82 | | |
| Commerce Business System | | 37 | | |
| Capital Security Cost Sharing Program | | 159 | | |
| International Cooperative Administrative Support Services | | 552 | | |
| Subtotal, other changes | 0 | 16,254 | | |
| Total, Adjustments to Base | | | 0 | 14,441 |
| 2021 Base | | | 1,587 | 524,691 |
| Program Changes | | | (106) | (50,284) |
| 2021 Appropriation | | | 1,481 | 474,407 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|--------------|----------------|---------------|----------------|---------------------|-----------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| Direct Budget Authority | | | | | | | | |
| Industry and Analysis | 243 | \$62,450 | 243 | \$67,218 | 243 | \$67,218 | 0 | \$0 |
| Enforcement and Compliance | 359 | 91,800 | 359 | 98,375 | 367 | 103,375 | 8 | 5,000 |
| Global Markets | 865 | 333,000 | 865 | 335,604 | 751 | 280,319 | (114) | (55,284) |
| Executive Direction / Administration | 120 | 23,000 | 120 | 23,495 | 120 | 23,495 | 0 | 0 |
| Total Direct Budget Authority | 1,587 | 510,250 | 1,587 | 524,691 | 1,481 | 474,407 | (106) | (50,284) |
| Reimbursable Authority | 48 | 28,366 | 48 | 28,366 | 50 | 28,468 | 2 | 102 |
| TOTAL OBLIGATIONS | 1,635 | 538,616 | 1,635 | 553,057 | 1,531 | 502,875 | (104) | (50,182) |
| FINANCING | | | | | | | | |
| Less Fee collections | | (11,000) | | | | (11,102) | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | 48 | (17,366) | | | 48 | (17,366) | | |
| Subtotal, financing | 48 | (28,366) | | | 48 | (28,468) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 1,683 | 510,250 | | | 1,579 | 474,407 | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|---------------|----------------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Enforcement and Compliance</u> | 359 | 98,375 | +8 | +\$5,000 |

Review Requests for Exclusion from Section 232 Tariff Exclusions 0 +3,000

Request will provide additional funding to ITA for detailee staff, research and analysis contractors and product and industry experts who examine exclusion requests, objections by U.S. producers and rebuttals/surrebuttals in connection with Section 232 tariffs on imported steel and aluminum products.

Managing Antidumping Duty and Countervailing Duty Administrative Review Workload +8 +2,000

Request will provide additional funding to support its efficacious conduct of administrative reviews and other proceedings in connection with enforcement of the growing number of U.S. antidumping duty (AD) and countervailing duty (CVD) orders against unfairly traded imports.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|------------------------------|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Global Markets</u> | 865 | \$333,000 | (114) | (\$55,284) |

Rescale Export Promotion and Trade Barrier Efforts (114) (55,284)

ITA will rescale Global Markets export promotion and trade analysis efforts by reducing personnel worldwide and closing overseas and domestic offices. Rescaling the ITA network across the world will reduce fixed operational expenses. To accomplish this rescaling, ITA estimates the need to close 32 offices overseas, 18 offices domestically, and reduce personnel.

Performance Indicators

The following table shows the ITA performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the ITA segment of the Department of Commerce budget.

| Goal 2: Enhance Job Creation | 2019 Target | 2019 Actual | 2020 Target | 2020 Actual |
|--|-------------|-------------|--------------|-------------|
| Objective 2.4: Increase U.S. Exports | | | | |
| Number of U.S. exporters assisted | 30,000 | 29,557 | 30,000 | 35,000 |
| Percentage of U.S. Exporter clients that achieved their export objectives | 74% | 78% | 78% | 78% |
| Number of ITA-facilitated foreign government actions benefitting U.S. companies and industry | NEW | NEW | 450 | 490 |
| Number of Commercial Diplomacy / Advocacy Written Impact Narratives (WINS) | 300 | 470 | Discontinued | |
| Objective 2.5: Increase Inward Investment into the U.S. | | | | |
| Number of investment clients assisted | 3,800 | 6,471 | 6,500 | 6,500 |
| Goal 3: Strengthen U.S. Economic and National Security | | | | |
| Objective 3.1: Enforce the Nation's Trade and Security Laws | | | | |
| Trade barriers removed, reduced, or avoided | 136 | 142 | 130 | 130 |
| Number of trade agreement compliance cases resolved successfully | 36 | 37 | 37 | 38 |

Bureau of Industry and Security

The Bureau of Industry and Security (BIS) mission is to meet the policy challenges created where business and national security interests intersect. BIS balances these interests through a robust export control system. BIS obtains consensus among international partners and conducts outreach to U.S. and foreign businesses to limit export control violations. BIS also works with industry to protect the health and vitality of the U.S. defense industrial base, resulting in a stronger U.S. economy.

BIS recognizes that advancements in technology and the interconnectedness of economies make our national security challenges more complex than ever before. In today's global environment, integrated markets have enabled foreign adversaries to exploit trade relationships to undermine U.S. national security. Our adversaries are attempting to increase illicit procurement of items to build weapons of mass destruction, advance destabilizing military modernization goals, support terrorist activities, and oppress millions of innocent citizens. BIS works to strengthen export controls on countries and entities within those countries of national security and foreign policy concern to address existing and emerging security threats. To align BIS's enforcement mission with the Department of Justice's "China Initiative" and address the whole of government approach to countering China effort, BIS requests \$2.642 million for new analytical and law enforcement tools, analysts, and agents to protect U.S. technology from misappropriation and punish violators that seek to acquire such technology contrary to U.S. national security and foreign policy interests. Under the authorities in the Export Control Reform Act of 2018 (ECRA), BIS continues its lead role to work with industry on identifying and reviewing emerging and foundational technologies, while exerting jurisdiction over new technologies. The Bureau requests \$1.046 million to implement this capability. Today's advancements in technology are used to deceive or falsify information during investigations. To stay ahead of adversarial technology, BIS requests \$1.312 million to keep pace with the increase in forensic data and technological advancements in computing and analytics.

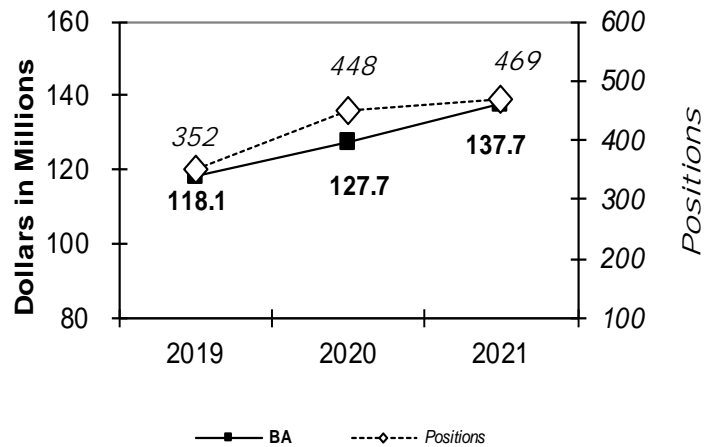
Protecting National Security - BIS has intensified its efforts to address national security threats, including those posed by Iran's unrelenting and illicit attempts to gain U.S. technology and commodities. BIS continues to factor Russia's and China's military modernization programs into policies and enforcement approaches while placing an emphasis on thwarting their attempts to acquire western dual-use and emerging technologies for military purposes. With these critical areas as a focus, BIS works to ensure that appropriate controls are placed on dual-use and military items and participates in multilateral export control regimes focusing on preventing the diversion of items with weapons of mass destruction applications and militarily useful technologies to unauthorized actors. This is done while advancing a level playing field for U.S. companies competing in the world marketplace. In addition, BIS educates industry and foreign partners to promote compliance with export controls, while vigorously investigating and prosecuting violators of those controls.

While the administration of export control is critical, enforcement of the Export Administration Regulations (EAR) is also an essential aspect of BIS's mission. Enforcement encourages compliance, prevents and deters violators, disrupts illicit activities, and brings violators to justice. BIS's law enforcement approach evaluates the parties engaged in the export, reexport, and the transfer of sensitive commodities, software, and technology; as well as the proposed end uses, end users, and destinations. BIS also actively enforces prohibitions related to certain foreign boycotts.

Promoting U.S. Competitiveness - BIS is actively engaged with businesses to protect the overall health of the U.S. defense industrial base, to promote competition, and to eliminate barriers that foster single-point domestic sources or reliance on foreign suppliers. The Bureau's activities include: conducting industry sector surveys and analyses; investigating threats to national security from imports; participating in the interagency Committee on Foreign Investments in the United States (CFIUS) process; and, administering the Defense Priorities and Allocations System.

BIS will continue to evaluate and strengthen its current export control programs and practices as the global trade environment is evolving in complexity, opportunity, and risk. The women and men in BIS will continue to meet the challenges of protecting U.S. national security and promoting U.S. industrial competitiveness.

Budget Authority and Positions



Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase/ <u>Decrease</u> |
|--|-----------------------|------------------------|-------------------------|------------------------------|
| Operations and Administration | \$118,050 | \$127,652 | \$137,664 | \$10,012 |
| TOTAL, Budget Authority / Appropriation | 118,050 | 127,652 | 137,664 | 10,012 |

Positions

| | | | | |
|--|-----|-----|-----|----|
| Operations and Administration - Direct | 352 | 448 | 469 | 21 |
| Operations and Administration - Reimbursable | 2 | 5 | 5 | 0 |
| Total | 354 | 453 | 474 | 21 |

Civilian Full-Time Equivalent Employment

| | | | | |
|--|-----|-----|-----|----|
| Operations and Administration - Direct | 349 | 448 | 464 | 16 |
| Operations and Administration - Reimbursable | 2 | 5 | 5 | 0 |
| Total | 351 | 453 | 469 | 16 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------------|-----------------------|------------------------------------|-----------|------------------|
| Operations and Administration | Export Administration | Enhanced Export Compliance | 5 | \$1,046 |
| Operations and Administration | Export Enforcement | Enhanced Computer Evidence Program | 3 | 1,312 |
| Operations and Administration | Export Enforcement | China & Emerging Technology | 8 | 2,642 |
| Total, Increases | | | 16 | \$5,000 |

Decreases

None

Terminations

None

Highlights of Budget Changes

Appropriation: Operations and Administration

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|---|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 448 | \$127,652 |
| <u>Adjustments to Base</u> | | | | |
| Transfer to the Department Management, Salaries and Expense Account | | | | (431) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$1,727 | | |
| FY 2021 Pay raise | | 556 | | |
| Full-year cost in 2021 of positions financed for part-year in 2020 | 5 | 657 | | |
| Award Increase | | 485 | | |
| Change in compensable days | | (283) | | |
| Civil Service Retirement System (CSRS) | | (26) | | |
| Federal Employees Retirement System (FERS) | | 909 | | |
| Thrift Savings Plan | | 11 | | |
| Federal Insurance Contribution Act (FICA) - OASDI | | 48 | | |
| Health insurance | | 147 | | |
| Employees Compensation Fund | | (66) | | |
| Travel - Per diem | | 5 | | |
| Rental payments to GSA | | 134 | | |
| NARA Storage & Maintenance | | (11) | | |
| Working Capital Fund | | 672 | | |
| Continuous Diagnostics and Mitigation (CDM) | | 25 | | |
| Enterprise Services (ES) Direct Billing | | 71 | | |
| General Pricing Level Adjustment | | | | |
| Transportation of things | | 4 | | |
| Communications, utilities, and miscellaneous charges | | 40 | | |
| Printing and reproduction | | 2 | | |
| Other Services | | 285 | | |
| Supplies and materials | | 18 | | |
| Equipment | | 33 | | |
| Subtotal, other changes | 5 | 5,443 | | |
| Total, Adjustments to Base | | | 5 | 5,012 |
| 2020 Base | | | 453 | 132,664 |
| Program Changes | | | 16 | 5,000 |
| 2021 Appropriation | | | 469 | 137,664 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|------------|----------------|---------------|----------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| Direct Obligations | | | | | | | | |
| Management & Policy Coordination | 27 | \$6,184 | 27 | \$7,440 | 27 | \$7,440 | 0 | \$0 |
| Export Administration | 198 | 55,057 | 203 | 56,675 | 208 | 57,721 | 5 | 1,046 |
| Export Enforcement | 223 | 66,411 | 223 | 68,549 | 234 | 72,503 | 11 | 3,954 |
| Total Direct Obligations | 448 | 127,652 | 453 | 132,664 | 469 | 137,664 | 16 | 5,000 |
| Reimbursable Authority | 5 | 3,100 | 5 | 3,100 | 5 | 3,100 | 0 | 0 |
| TOTAL OBLIGATIONS | 453 | 130,752 | 458 | 135,764 | 474 | 140,764 | 16 | 5,000 |
| FINANCING | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | (5) | (1,250) | | | (5) | (1,250) | | |
| Non-Federal sources | | (1,850) | | | | (1,850) | | |
| Subtotal, financing | (5) | (3,100) | | | (5) | (3,100) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 448 | 127,652 | | | 469 | 137,664 | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|-----------------------------------|------------------|-----------------|----------------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Export Administration | 203 | \$56,675 | +5 | +\$1,046 |
| Enhanced Export Compliance | | | +5 | +1,046 |

Supporting the Presidential, Secretarial, and Administration priorities and Export Control Reform Act of 2018 (ECRA) implementation to advance national security and overall economic competitiveness and enhance overall export compliance efforts. BIS continues to identify and review emerging and foundational technologies (as directed in ECRA Sec. 1758) and exert jurisdiction over new subsets of technologies.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--------------------------------------|------------------|---------------|----------------------------|----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Export Enforcement | 223 | 68,549 | +11 | \$3,954 |
| China and Emerging Technology | | | +8 | +2,642 |

The Administration has prioritized strategies to combat China's destabilizing actions, including national security threats and acquisition of emerging technology and satellite technology security to support its destabilizing military modernization efforts via the "Made in China 2025" and civil-military integration strategies. To align BIS's enforcement mission with the Department of Justice's "China Initiative" and address this whole-of-government effort, BIS seeks new analytical and law enforcement tools, analysts, and agents to protect U.S. technology from misappropriation and punish violators that seek to acquire such technology contrary to U.S. national security and foreign policy interests.

| | | | | |
|---|--|--|-----------|---------------|
| Enhanced Computer Evidence Program | | | +3 | +1,312 |
|---|--|--|-----------|---------------|

In today's environment of advanced technology, the detection of export control violations and identification of individual and corporate violators is driving the need for increased forensic investigative capabilities. Successful investigations of foreign firms that have developed procurement systems as well as organizational structures designed to deceive or reflect falsified information, require specialized tools and expertise in forensic analysis for such things as trace evidence, photographic images, key financial records, relevant phone numbers, and associated names.

Performance Indicators

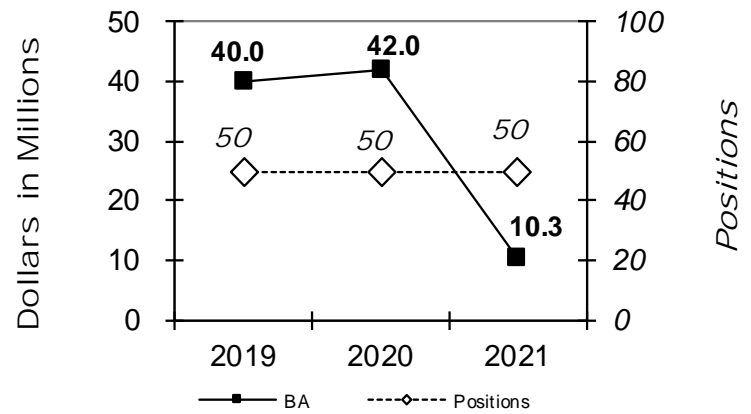
The table below shows the BIS performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the DM segment of the Department of Commerce budget.

| | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base | | | | |
| Number of industrial base surveys, data, and analysis distributed to Federal agencies and critical sectors | 90% | 94% | 90% | 90% |
| Goal 3: Strengthen U.S. Economic and National Security | | | | |
| Objective 3.1: Enforce the Nation's Trade Laws and Security Laws | | | | |
| Number of export transactions completed under the new authority of Commerce export licenses and license exceptions | 150,000 | 161,425 | 160,000 | 165,000 |
| Percent of licenses requiring interagency referral, referred within nine days | 98% | 90% | 98% | 98% |
| Percent of attendees rating seminars highly | 93% | 96% | 93% | 93% |
| Number of End-Use Checks completed | 850 | 1,171 | 1,020 | 1,020 |
| Median processing time for new regime regulations (months) | 2 | 1 | 2 | 2 |
| Percent of declarations received from U.S. industry in accordance with Chemical Weapons Convention timelines that are processed in time for the U.S. to meet treaty obligations | 100% | 100% | 100% | 100% |
| Percent of electronic export transactions reported in the Automated Export System in compliance with the Export Administration Regulations | 99% | 99% | 99% | 99% |
| Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge | 1,200 | 1,802 | 1,200 | 1,200 |
| Number of exporters educated and trained through outreach activities | 25,000 | 36,325 | 25,000 | 25,000 |
| Percent of licenses requiring ITU report referred by EE within ten Executive Order days | 90% | 94% | 90% | 90% |

Minority Business Development Agency

The mission of the Minority Business Development Agency (MBDA) is to promote the growth of minority owned businesses through the mobilization and advancement of public and private sector programs, policy, and research. MBDA accomplished this mission by funding a network of centers that provide Minority Business Enterprises (MBEs) a variety of business assistance services. Through its direct Federal client services and its network of funded centers, MBDA: (1) fostered the expansion of opportunities for minority-owned businesses in the global marketplace; (2) identified sources of financial capital for minority-owned firms; (3) developed and upgraded electronic tools to provide access to growth markets through automated matching of MBEs to public and private sector opportunities; (4) provided management and technical assistance to minority-owned businesses; and (5) advocated for the increased use of electronic commerce and new technologies by MBEs.

Budget Authority and Positions



In FY 2021, the Administration proposes to make a shift in its spending priorities and programmatic focus. This operational change, with a policy focus, will provide a new foundation to ensure that minority entrepreneurs have access to the resources they need to create jobs and drive our Nation's prosperity.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase/ <u>Decrease</u> |
|--|-----------------------|------------------------|-------------------------|------------------------------|
| Minority Business Development | \$40,000 | \$42,000 | \$10,281 | (\$31,719) |
| TOTAL, Budget Authority / Appropriation | 40,000 | 42,000 | 10,281 | (31,719) |
| <u>Positions</u> | 37 | 50 | 50 | 0 |
| <u>Full-Time Equivalent Employment</u> | 37 | 50 | 50 | 0 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------------|-------------------------------|------------------------|-----------|------------------|
| Minority Business Development | Minority Business Development | ATB | 0 | \$423 |
| Total, Increases | | | 0 | \$423 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------------|-------------------------------|---|-----------|-------------------|
| Minority Business Development | Minority Business Development | Transfer to Departmental Management Salaries and Expenses Account | 0 | (\$66) |
| Minority Business Development | Minority Business Development | Policy Re-orientation | 0 | (32,142) |
| Total, Decreases | | | 0 | (\$32,208) |

Terminations

None

Highlights of Budget Changes

Appropriation: Minority Business Development

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 50 | \$42,000 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (66) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$143 | | |
| FY 2021 Pay raise | | 35 | | |
| Increase in awards | | 46 | | |
| One less compensable day | | (24) | | |
| Civil Service Retirement System (CSRS) | | (3) | | |
| Federal Employees Retirement System (FERS) | | 65 | | |
| Thrift Savings Plan (TSP) | | 1 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 11 | | |
| Health insurance | | 13 | | |
| Rent payments to GSA | | (7) | | |
| Working Capital Fund | | 34 | | |
| General Pricing Level Adjustments | | | | |
| Transportation of things | | 3 | | |
| Rental payments to others | | 155 | | |
| Communications, utilities and miscellaneous charges | | 4 | | |
| Printing and reproduction | | 2 | | |
| Equipment | | 4 | | |
| Continuous Diagnostics and Mitigation Charges | | 4 | | |
| Enterprise Services | | 7 | | |
| Workers compensation | | (4) | | |
| Subtotal, other changes | | <u>489</u> | | |
| | 0 | | | |
| Total, Adjustments to Base | | | <u>0</u> | <u>423</u> |
| 2021 Base | | | 50 | 42,423 |
| Program Changes | | | 0 | (32,142) |
| 2021 Appropriation | | | 50 | 10,281 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|-----------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Minority Business Development | 50 | \$42,000 | 50 | \$42,423 | 50 | \$10,281 | 0 | (\$32,142) |
| TOTAL BUDGET AUTHORITY/ | <u>50</u> | <u>42,000</u> | <u>50</u> | <u>42,423</u> | <u>50</u> | <u>10,281</u> | <u>0</u> | <u>(32,142)</u> |
| APPROPRIATION | | | | | | | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--------------------------------------|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Minority Business Development | 50 | \$42,423 | 0 | (\$32,142) |
| Policy re-orientation | | | | (32,142) |

In 2021, MBDA requests a program change of -\$32.1 million and 0 FTE. The remaining \$10.3 million and 50 FTEs will be used more efficiently and effectively to ensure that Minority Business Enterprises (MBEs) are included in the economic growth of the Nation. In 2021, MBDA will make a shift in its spending priorities and programmatic focus. Taxpayers' dollars invested in MBDA will transition its return on investment - from serving *individual* minority business enterprises (MBEs) to removing obstacles to the growth of the *entire minority business community*. This operational change will provide a new foundation to ensure that minority entrepreneurs have access to the resources they need to create jobs and drive our Nation's prosperity.

The Budget for MBDA will focus on:

- Measuring and rewarding the effectiveness of public and private sector programs and policies that contribute to the growth of MBEs;
- Leveraging Federal funds through public-private-partnerships to broaden outreach to MBEs;
- Exploring market-driven, programmatic synergies to better assist MBEs; and,
- Streamlining assistance for MBEs.

Performance Indicators

The following table shows the MBDA performance indicators and its related Departmental Strategic Goal and Objective. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the MBDA segment of the Department of Commerce budget.

| Goal 2: Enhance Job Creation | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|-------------|-------------|-------------|--------------|
| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base | | | | |
| Policy papers related to Minority Business | 3 | 3 | 3 | 3 |
| Dollars leveraged through minority business manufacturing and export activity | 624 | 1,111 | 624 | Discontinued |
| Number of jobs created through minority business manufacturing and export activity | 1,325 | 1,450 | 1,325 | Discontinued |
| Dollar Value of Contracts | 2,000 | 2,400 | 2,000 | Discontinued |
| Dollar Value of Financing | 1,000 | 1,253 | 1,000 | Discontinued |
| Jobs Created and Retained | 7,500 | 7,551 | 7,500 | Discontinued |

National Oceanic and Atmospheric Administration

The mission of the National Oceanic and Atmospheric Administration (NOAA) is to provide daily weather forecasts, severe storm warnings, and climate monitoring along with fisheries management, coastal restoration, and the supporting of marine commerce. NOAA's products and services support economic vitality and affect more than one-third of America's gross domestic product. NOAA's dedicated scientists use cutting-edge research and high-tech instrumentation to provide citizens, planners, emergency managers and other decision makers with reliable information they need when they need it. The FY 2021 Budget is built off of the Consolidated Appropriations Act, 2020 (P.L. 116-93).

NOAA accomplishes this mission through two primary accounts, **Operations, Research and Facilities (ORF)** and **Procurement, Acquisition and Construction (PAC)** and several lesser accounts,

noted at the end of this section: ORF and PAC make up over 98 percent of the total FY 2021 NOAA Budget. In FY 2021, NOAA requests a total of \$3,165.1 million for ORF and \$1,466.7 million for PAC. ORF and PAC consist of the following seven activities and their corresponding mission priorities:

National Ocean Service (NOS): NOS is preparing for a future of higher intensity coastal storms, increased demands on the marine transportation system, rapid changes in climate and marine ecology, and expanding offshore and coastal development. NOS observes, measures, assesses, and manages the Nation's coastal, ocean and Great Lakes resources; protects marine and coastal areas; provides critical navigation products and services (e.g., real time observations, nautical charts); and prepares for and responds to natural disasters and emergencies. The benefits of NOS' products and services include increased coastal economic activity, resilient coastal communities, and enhanced ecosystem services. The FY 2021 Budget requests \$404.1 million for NOS (across all appropriations).

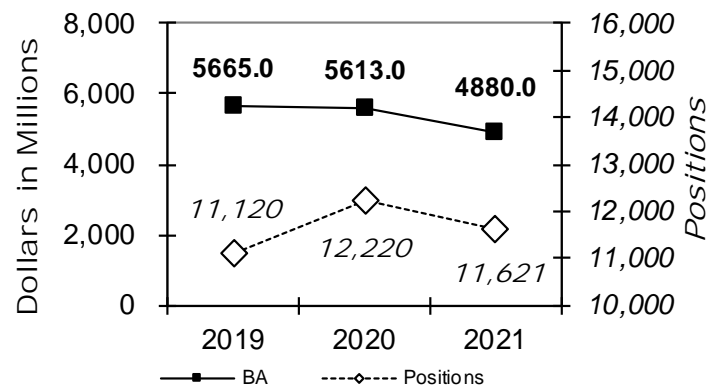
National Marine Fisheries Service (NMFS): NMFS uses sound science and an ecosystem-based approach to management to support productive and sustainable fisheries; safe sources of seafood; the recovery and conservation of protected species; and healthy ecosystems. NMFS manages 479 marine and anadromous fish stocks within the U.S. Exclusive Economic Zone (EEZ) as well as invertebrates, sea turtles, marine mammals, and other marine and coastal species and their habitats. The FY 2021 Budget requests \$869.8 million for NMFS (across all appropriations).

Oceanic and Atmospheric Research (OAR): OAR seeks to improve the understanding of changes in the Earth's environment. OAR's science enables NOAA to fulfill its diverse mission, both today and into the future. OAR supports laboratories and programs across the United States and collaborates with external partners. OAR research contributes to accurate weather forecasts, enables communities to plan for and respond to climate events such as drought, and enhances the protection and management of the Nation's coastal and ocean resources. The FY 2021 Budget requests \$352.7 million for OAR.

National Weather Service (NWS): NWS provides weather, water, and climate forecasts and warnings for the protection of life and property and enhancement of the national economy. NWS is the official and authoritative U.S. voice for issuing warnings during life-threatening weather situations. NWS forecasters issue public, aviation, marine, fire weather, climate, space weather, river and flood forecasts and warnings every day. Each year, NWS collects about 76 billion observations and issues approximately 1.5 million forecasts and 50,000 warnings. NWS data and products are publicly available through a national information database. The FY 2021 Budget requests \$1,120.3 million for NWS.

National Environmental Satellite, Data, and Information Service (NESDIS): NESDIS provides timely access to global environmental data from satellites and other sources to promote, protect and enhance the Nation's economy, security, environment and quality of life. NESDIS launches and operates NOAA's satellites, and manages the product development and distribution of the corresponding data. NOAA satellites support the weather forecasting enterprise by providing the timely, high quality data upon which model outputs are based. While providing real-time operations and data services, NESDIS also develops the next generation of satellites in order to continue meeting its primary mission essential functions

Budget Authority and Positions



without incurring gaps in coverage. The FY 2021 Budget requests \$1,504.0 million for NESDIS.

Mission Support (MS): Mission Support services provide the planning, administrative, financial, procurement, information technology, human resources, acquisitions and grants, and infrastructure services that are essential to safe, timely, and effective execution of the NOAA mission. NOAA Mission Services and Management and Executive Leadership provide centralized executive management, as well as policy formulation and direction, to all of NOAA's Staff and Line Offices. The NOAA Facility Program is the focal point for facility planning, project planning formulation and development, and project management oversight to support critical NOAA mission requirements. The FY 2021 Budget requests \$323.0 million for MS.

Office of Marine and Aviation Operations (OMAO): OMAO supports an array of specialized ships and aircraft that play a critical role in the in-situ collection of oceanographic, atmospheric, hydrographic, and fisheries data in support of NOAA's environmental and scientific missions. OMAO also administers the NOAA-wide Diving Program and Small Boat Program and is composed of civilians and the NOAA Commissioned Corps uniformed officers. The FY 2021 Budget requests \$363.8 million for OMAO (across all appropriations).

Other NOAA Accounts

The **Pacific Coastal Salmon Recovery Fund** finances state, tribal and local conservation initiatives to help recover threatened and endangered Pacific salmon populations. The FY 2021 Budget includes \$0 funding for this program. The agency will continue its Federal commitment to advancing Pacific salmon and steelhead recovery and Tribal treaty fishing rights through other NOAA programs as resources allow.

Fisheries Disaster Assistance helps address the environmental and economic effects of a commercial fishery failure. If the Secretary determines that a fishery disaster has occurred, Congress may appropriate funds for disaster assistance, which are administered by the Secretary. The FY 2021 Budget includes \$0.3 million for this account.

NOAA uses the **Fishermen's Contingency Fund** to compensate domestic fishermen for the damage or loss of fishing gear and resulting economic loss due to obstructions related to oil and gas exploration, development, and production in the Outer Continental Shelf. The funds come from fees collected annually by the Secretary of the Interior from the holders of leases, explorations, permits, easements, and rights of way. The FY 2021 Budget includes \$0.35 million for this Fund.

The **Foreign Fishing Observer Fund** provides observer coverage of foreign fishing activities within the 200-mile U.S. EEZ using fees collected from owners and operators of foreign fishing vessels.

The **Fisheries Finance Program Account** promotes building sustainable fisheries by providing long-term, fixed-rate financing to U.S. citizens who otherwise qualify for financing or refinancing. Types of activities for financing include the reconstruction, reconditioning, and, in some cases, the purchasing of fishing vessels, shoreside processing, aquaculture, mariculture facilities, and the purchase of individual fishing quota (IFQ).

The **Promote and Develop (P&D) American Fishery Products & Research Pertaining to American Fisheries Fund** has been funded through a transfer from the Department of Agriculture of thirty percent of customs receipts on imported fisheries products. Funds from P&D are transferred to ORF to offset some of the costs of fisheries research and management. The FY 2021 Budget transfers \$183.8 million in P&D funds to ORF and includes \$0 for the Saltonstall-Kennedy Grant Program. The Budget also includes a proposal to directly appropriate mandatory funding to DOC, rather than transferring amounts based on customs receipts from USDA. The Administration will formalize these changes through a legislative proposal to be transmitted at a later date. This request is part of a broader reform proposed for USDA's Section 32 program.

Damage Assessment and Restoration Revolving Fund (DARRF) receives proceeds from claims against responsible parties, as determined through court settlements or agreements, for damages to natural resources for which NOAA serves as trustee. NOAA uses the funds to respond to hazardous materials spills in the coastal and marine environments by conducting damage assessments, providing scientific support during litigation, and using recovered damages to restore injured resources.

The **Federal Ship Financing Fund** manages the loan guarantee portfolio that existed prior to the enactment of the Federal Credit Reform Act of 1990.

The **Limited Access System Administration Fund (LASAF)** uses fees to recover the incremental costs of management, data collection, and enforcement of Limited Access Privilege Programs. NOAA deposits these fees into the LASAF and are not to exceed 3 percent of the ex-vessel value of fish harvested under any such program. A Regional

Council can consider, and may provide, a program to collect royalties for the initial or any subsequent distribution of allocations; revenues from these royalties are deposited in the LASAF. The LASAF shall be available, without appropriation or fiscal year limitation, only for the purposes of administering the central registry system; and administering and implementing the Magnuson-Stevens Act in the fishery in which the fees were collected.

The **Environmental Improvement and Restoration Fund** provides grants to Federal, state, private, or foreign organizations or individuals to conduct research activities on or relating to the fisheries or marine ecosystems in the North Pacific Ocean, Bering Sea, and Arctic Ocean.

The **Marine Mammal Unusual Mortality Event Fund** provides funds to support investigations and responses to unusual marine mammal mortality events.

The **Medicare-Eligible Retiree Healthcare Fund** finances the cost of TRICARE retirement health care benefits accrued by the active duty members of the NOAA Commissioned Corps. The Ronald W. Reagan National Defense Authorization Act for 2005 (P.L. 108-375) provided permanent, indefinite appropriations to finance these costs for all uniformed service members.

NOAA Corps Commissioned Officers Retirement provides a measure of financial security after release from active duty for uniform service members and their survivors. It is an important factor in the choice of a career in the uniformed services and is mandated by Federal statutes under Title 10, United States Code. NOAA transfers retirement pay funds to the Coast Guard, which handles the payment function for retirees and annuitants. Health care funds for non-Medicare-eligible retirees, dependents, and annuitants are transferred to the U.S. Public Health Service, which administers the health care program.

The **Western Pacific Sustainable Fisheries Fund** can only be used to support the conservation and management objectives under a marine conservation plan developed for the region by the appropriate governor and the Western Pacific Regional Fishery Management Council. This fund receives amounts from any permit payment received for foreign fishing and fines and penalties from violations within the U.S. EEZ around Johnston Atoll, Kingman Reef, Palmyra Atoll, and Jarvis, Howland, Baker and Wake Islands.

The **Fisheries Enforcement Asset Forfeiture Fund** allows the Secretary of Commerce to pay certain enforcement-related expenses from fines, penalties, and forfeiture proceeds received for violations of the Magnuson-Stevens Act, or of any other marine resource law enforced by the Secretary. NOAA deposits fines, penalties, and forfeiture proceeds into this Fund, and subsequently uses them to pay for enforcement-related expenses.

The **Sanctuaries Enforcement Asset Forfeiture Fund** receives proceeds from civil penalties and forfeiture claims against responsible parties, as determined through court settlements or agreements, for violations of NOAA sanctuary regulations. NOAA holds these amounts in sanctuary site-specific accounts from year to year and spends them on resource protection within the sanctuary site where the penalty or forfeiture occurred. These actions may include all aspects of law enforcement (from equipment to labor), community oriented policing programs, and other resource protection and management measures such as the installation of mooring buoys or restoration of injured resources.

The **North Pacific Fishery Observer Fund** provides observer coverage for the North Pacific Groundfish Observer Program (NPGOP). This observer program places all vessels and processors in the groundfish and halibut fisheries off Alaska into one of two observer coverage categories: (1) a full coverage category, and (2) a partial coverage category. NOAA collects fees and uses them to pay for observer coverage on vessels and processors in the partial coverage category in the following year.

The **Gulf Coast Ecosystem Restoration Science, Observation, Monitoring and Technology Fund** provides funding for the NOAA RESTORE Act Science Program. This program initiates and sustains an integrative, holistic understanding of the Gulf of Mexico ecosystem and support, to the maximum extent practicable, restoration efforts and the long-term sustainability of the ecosystem, including its fish stocks, fishing industries, habitat, and wildlife through ecosystem research, observation, monitoring, and technology development.

In FY 2021, NOAA requests \$4,634.0 million in total discretionary appropriations and \$57.9 million in mandatory appropriations.

Summary of Appropriations

| <u>Appropriation</u> | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>(Decrease)</u> |
|--|------------------|------------------|------------------|-------------------|
| Operations, Research & Facilities (ORF) | \$3,717,567 | \$3,763,939 | \$3,165,124 | (\$598,815) |
| Procurement, Acquisition & Construction (PAC) | 1,780,349 | 1,530,890 | 1,466,669 | (64,221) |
| Fishermen's Contingency Fund | 15 | 349 | 349 | 0 |
| Fisheries Finance Program Account | 0 | 0 | 0 | 0 |
| Pacific Coastal Salmon Recovery | 65,000 | 65,000 | 0 | (65,000) |
| Marine Mammal Unusual Mortality Event Fund | 0 | 0 | 0 | 0 |
| Fisheries Disaster Assistance Fund | 165,000 | 0 | 300 | 300 |
| Medicare-Eligible Retiree Healthcare Fund | 1,449 | 1,497 | 1,591 | 94 |
| Total Appropriation | 5,729,380 | 5,361,675 | 4,634,033 | (727,642) |
| Transfers / Other: | | | | |
| ORF: FROM: Promote & Develop Fishery Products | 157,980 | 174,774 | 183,834 | 9,060 |
| PAC: TO OIG | (1,302) | (1,302) | (1,302) | 0 |
| P&D: TO ORF | (157,980) | (174,774) | (183,834) | (9,060) |
| P&D: FROM Department of Agriculture (mandatory) | 157,980 | 183,834 | 183,834 | 0 |
| P&D: Previously unavailable and temporarily reduced | 426 | (1,051) | 0 | 1,051 |
| Total, Transfers / Other | 157,104 | 181,481 | 182,532 | 1,051 |
| Mandatory Accounts | | | | |
| Damage Assessment & Restoration Revolving Fund | 3,526 | 5,853 | 6,000 | 147 |
| Fisheries Finance Program Account | 8,083 | 4,841 | 0 | (4,841) |
| Environmental Improvement and Restoration Fund | 6,585 | 6,883 | 4,361 | (2,522) |
| Federal Ship Financing Fund | 0 | 0 | 0 | 0 |
| Foreign Fishing Observer Fund | 0 | 0 | 0 | 0 |
| NOAA Corps Retirement Pay | 28,926 | 30,075 | 30,075 | 0 |
| Western Pacific Sustainable Fisheries Fund | 627 | 384 | 587 | 203 |
| Limited Access System Administration Fund | 13,913 | 14,468 | 14,593 | 125 |
| Sanctuaries Enforcement Asset Forfeiture Fund | 15 | 120 | 120 | 0 |
| Fisheries Enforcement Asset Forfeiture Fund | 5,113 | 3,941 | 3,914 | (27) |
| North Pacific Fishery Observer Fund | 3,457 | 3,504 | 3,971 | 467 |
| Spectrum Efficient National Surveillance Radar | 0 | 0 | 0 | 0 |
| Spectrum Pipeline | 0 | 0 | 0 | 0 |
| Gulf Coast Ecosystem Restoration, Science, Observation, Monitoring & Technology Fund | 0 | 0 | 0 | 0 |
| Total Budget Authority | 5,956,729 | 5,613,225 | 4,880,186 | (733,039) |
| Mandatory Funds | 228,651 | 252,852 | 247,455 | (5,397) |
| Discretionary Budget Authority | | | | |
| Operations, Research & Facilities (ORF) | 3,875,547 | 3,938,713 | 3,348,958 | (589,755) |
| P&D Net Transfers | (157,980) | (174,774) | (183,834) | (9,060) |
| Procurement, Acquisition & Construction (PAC) | 1,779,047 | 1,529,588 | 1,465,367 | (64,221) |
| Fishermen's Contingency Fund | 15 | 349 | 349 | 0 |
| Fisheries Finance Program Account | 0 | 0 | 0 | 0 |
| Pacific Coastal Salmon Recovery | 65,000 | 65,000 | 0 | (65,000) |
| Marine Mammal Unusual Mortality Event Fund | 0 | 0 | 0 | 0 |
| Fisheries Disaster Assistance Fund | 165,000 | 0 | 300 | 300 |
| Medicare-Eligible Retiree Healthcare Fund | 1,449 | 1,497 | 1,591 | 94 |
| Total, Discretionary Budget Authority | 5,728,078 | 5,360,373 | 4,632,731 | (727,642) |
| Offsetting Receipts | | | | |
| Fisheries Finance Negative Subsidy Receipt Account | (8,000) | (8,000) | (7,626) | 374 |

Civilian and Military Positions

| | 2019 | 2020 | 2021 | Increase |
|--|---------------|----------------|-----------------|-------------------|
| <u>Civilian</u> | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>(Decrease)</u> |
| Operations, Research & Facilities (ORF) - Direct | 10,390 | 11,428 | 10,845 | (583) |
| Procurement, Acquisition & Construction (PAC) - Direct | 343 | 392 | 379 | (13) |
| Promote & Develop American Fishery Products - Direct | 3 | 3 | 0 | (3) |
| Pacific Coastal Salmon Recovery Fund - Direct | 1 | 2 | 0 | (2) |
| Fisheries Disaster Assistance - Direct | 0 | 0 | 2 | 2 |
| Limited Access System Administration Fund - Direct | 25 | 40 | 40 | 0 |
| Gulf Coast Ecosystem Restoration Fund Appropriation - Direct | 1 | 1 | 1 | 0 |
| ORF - Reimbursable | 472 | 496 | 496 | 0 |
| Damage Assessment & Restoration Revolving Fund | 30 | 30 | 30 | 0 |
| <u>Military</u> | | | | |
| ORF - Direct | 322 | 320 | 320 | 0 |
| PAC - Direct | 5 | 4 | 4 | 0 |
| TOTAL | 11,592 | 12,716 | 12,117 | (599) |

Civilian and Military Full-Time Equivalent Employment

| | 2019 | 2020 | 2021 | Increase |
|--|---------------|----------------|-----------------|-------------------|
| <u>Civilian</u> | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>(Decrease)</u> |
| Operations, Research & Facilities (ORF) - Direct | 10,331 | 11,093 | 10,657 | (436) |
| Procurement, Acquisition & Construction - Direct | 341 | 388 | 375 | (13) |
| Promote & Develop American Fishery Products - Direct | 3 | 3 | 0 | (3) |
| Pacific Coastal Salmon Recovery Fund - Direct | 1 | 2 | 0 | (2) |
| Fisheries Disaster Assistance - Direct | 0 | 0 | 1 | 1 |
| Limited Access System Administration Fund - Direct | 25 | 40 | 40 | 0 |
| Gulf Coast Ecosystem Restoration Fund Appropriation - Direct | 1 | 1 | 1 | 0 |
| ORF - Reimbursable | 472 | 468 | 468 | 0 |
| Damage Assessment & Restoration Revolving Fund | 30 | 30 | 30 | 0 |
| <u>Military Full-Time Equivalent Employment</u> | | | | |
| ORF - Direct | 309 | 320 | 320 | 0 |
| PAC - Direct | 5 | 4 | 4 | 0 |
| TOTAL | 11,518 | 12,349 | 11,896 | (453) |

*2019 Actual Civilian ORF – Direct Positions and FTE include 2 mandatory. 2019 Actual Civilian PAC – Direct Positions and FTE include 3 mandatory.

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|----------------|--|-----------|------------------|
| ORF | NOS | Ocean Mapping the EEZ and Charting in Alaska and the Arctic | 0 | \$8,514 |
| ORF | NOS | Increase Funding for Regional Ocean Data Platforms | 0 | 2,500 |
| ORF | NMFS | Observers and Training (non-narrative) | 0 | 126 |
| FDAF | NMFS | Fisheries Disaster Assistance | 2 | 300 |
| ORF | OAR | Earth Prediction Innovation Center (EPIC) Increase | 0 | 7,000 |
| ORF | OAR | Establish Tornado Warning Improvement and Extension Program (TWIEP) | 0 | 3,200 |
| ORF | OAR | National Oceanographic Partnership Program (NOPP) | 0 | 534 |
| ORF | NWS | Data Sharing for WIGOS/GBON | 0 | 4,000 |
| ORF | NWS | Enhancing the World Meteorological Organization Information System | 0 | 1,000 |
| ORF | NWS | Establish National Weather Service Pilots | 0 | 2,000 |
| PAC | NESDIS | GOES-R Series Sustainment | 0 | 30,444 |
| PAC | NESDIS | Cooperative Data and Rescue Services | 0 | 3,500 |
| PAC | NESDIS | Space Weather Follow On | 0 | 44,115 |
| PAC | NESDIS | Data-source Agnostic Common Services | 0 | 5,015 |
| PAC | NESDIS | Commercial Weather Data Pilot | 0 | 5,000 |
| PAC | NESDIS | Commercial Data Purchase | 0 | 10,000 |
| ORF | MS | Workplace Violence Prevention and Response Program | 13 | 1,700 |
| ORF | MS | Business Applications Solutions (BAS) and Administrative Systems Program Management Office | 0 | 500 |
| ORF | MS | Facilities Maintenance | 0 | 7,607 |
| PAC | MS | Evaluate and Address Northwest Facilities Issues | 0 | 20,500 |
| PAC | OMAO | Unmanned Systems Acquisitions | 0 | 2,000 |
| Total, Increases | | | 15 | \$159,555 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|---------------|----------------|--|-----------|------------------|
| ORF | NOS | NOAA IOOS (non-narrative) | 0 | (\$111) |
| ORF | NOS | Geodesy Base (non-narrative) | 0 | (232) |
| ORF | NOS | Tide & Current Data Base (non-narrative) | 0 | (211) |
| ORF | NOS | Physical Oceanographic Real Time System Decrease | 0 | (1,000) |
| ORF | NOS | Hydrographic Survey Priorities/Contracts | 0 | (5,051) |
| ORF | NOS | Reduce Integrated Ocean Observing System Regional Observation Grants | 0 | (19,556) |
| ORF | NOS | Reduce Response and Restoration Activities | 0 | (725) |
| ORF | NOS | Reduce Marine Debris Program Activities | 0 | (1,522) |
| ORF | NOS | Eliminate Funding Support for Integrated Water Prediction | 0 | (2,576) |
| ORF | NOS | Coastal Zone Management and Services (non-narrative) | 0 | (198) |
| ORF | NOS | Reduce Funding for Coral Reef Restoration and Threat Abatement Initiatives | 0 | (3,661) |
| ORF | NOS | Reduce Sanctuary Operations | 0 | (2,463) |

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|---------------|----------------|--|-----------|------------------|
| ORF | NMFS | ESA and MMPA Permitting Capacity | 0 | (3,392) |
| ORF | NMFS | Right Whale Recovery | 0 | (3,048) |
| ORF | NMFS | Species Recovery Grants Program | 0 | (1,010) |
| ORF | NMFS | Atlantic Salmon (non-narrative) | 0 | (248) |
| ORF | NMFS | Hatchery Genetic Management Plans | 0 | (3,763) |
| ORF | NMFS | Fisheries Science Activities | 0 | (6,176) |
| ORF | NMFS | Northeast Groundfish Research | 0 | (2,500) |
| ORF | NMFS | Fisheries Surveys and Stock Assessments | 0 | (10,442) |
| ORF | NMFS | Cooperative Research Program | 0 | (2,916) |
| ORF | NMFS | Northeast At Sea Monitors and North Pacific Observers | 0 | (11,241) |
| ORF | NMFS | Fisheries Management Programs and Services | 0 | (3,029) |
| ORF | NMFS | Electronic Monitoring & Reporting (EM/ER) Implementation | 0 | (2,700) |
| ORF | NMFS | National Catch Share Program | 0 | (3,975) |
| ORF | NMFS | Seafood Import Monitoring Program Implementation | 0 | (1,200) |
| ORF | NMFS | Aquaculture | 0 | (2,402) |
| ORF | NMFS | Columbia River Hatcheries and Pacific Salmon Treaty | 0 | (21,595) |
| ORF | NMFS | Regional Councils and Fisheries Commissions | 0 | (1,878) |
| ORF | NMFS | Enforcement | 0 | (1,862) |
| ORF | NMFS | Sustainable Habitat Management | 0 | (4,836) |
| ORF | OAR | Laboratories and Cooperative Institutes Decrease (Climate) | 0 | (6,570) |
| ORF | OAR | Laboratories and Cooperative Institutes Decrease (Weather and Air Chemistry) | 0 | (6,860) |
| ORF | OAR | U.S. Weather Research Program (USWRP) Decrease | 0 | (6,486) |
| ORF | OAR | Tornado Severe Storm Research/PAR Decrease | 0 | (1,020) |
| ORF | OAR | Joint Technology Transfer Initiative (JTII) Decrease | 0 | (11,997) |
| ORF | OAR | Laboratories and Cooperative Institutes Decrease (Oceans, Coasts, and Great Lakes) | 0 | (5,335) |
| ORF | OAR | Ocean Exploration Decrease | 0 | (10,146) |
| ORF | OAR | Integrated Ocean Acidification Decrease | 0 | (5,947) |
| ORF | OAR | Sustained Ocean Observations and Monitoring Decrease | 0 | (8,107) |
| ORF | OAR | R&D HPC Cloud Computing Services Decrease | 0 | (1,609) |
| PAC | OAR | High Performance Computing (HPC) Decrease | 0 | (1,000) |
| ORF | NWS | Decrease National Mesonet Program | 0 | (4,200) |
| ORF | NWS | Reduce Marine Observations | 0 | (1,500) |
| ORF | NWS | Reduce Marine Observations Tropical Atmosphere Ocean Platform | 0 | (1,300) |
| ORF | NWS | Reduce Upper Air Observations | 0 | (1,655) |
| ORF | NWS | Reduce Ships Observations Data Buy | 0 | (500) |
| ORF | NWS | Reduce NEXRAD Radome & Tower Maintenance | 0 | (1,000) |
| ORF | NWS | Reduce Weather and Ocean Platform Buoys | 0 | (1,200) |
| ORF | NWS | Establishment of Regional Enterprise Application Development and Integration Teams | (84) | (11,917) |
| ORF | NWS | Slow Advanced Hydrologic Prediction Services Expansion | 0 | (2,000) |
| ORF | NWS | Central Processing (non-narrative) | 0 | (249) |
| ORF | NWS | Reduce NWS Workforce | (248) | (15,000) |
| ORF | NWS | Reduce Tsunami Warning Program | (25) | (11,000) |
| ORF | NWS | Consolidate Climate Prediction Center/Weather Prediction Center | (8) | (1,200) |

National Oceanic and Atmospheric Administration

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|----------------|---|--------------|--------------------|
| ORF | NWS | Reduce the Office of Water Prediction Center Staffing Support | 0 | (1,500) |
| ORF | NWS | Analyze, Forecast and Support (non-narrative) | 0 | (249) |
| ORF | NWS | Reduce the NOAA Weather Radio Transmitters | 0 | (1,750) |
| ORF | NWS | Reduce the Investment in Numerical Weather Prediction Models | 0 | (2,101) |
| ORF | NWS | Science Technology and Integration (non-narrative) | 0 | (249) |
| PAC | NWS | Reduce SLEP for NEXRAD | 0 | (550) |
| PAC | NWS | Observations (non-narrative) | 0 | (182) |
| PAC | NWS | Reduce Research and Development High Performance Computing | 0 | (4,400) |
| PAC | NWS | Central Processing (non-narrative) | 0 | (249) |
| ORF | NESDIS | OSPO Deferred and Extended Maintenance | 0 | (5,032) |
| ORF | NESDIS | Decrease Data Products Developed | 0 | (1,021) |
| ORF | NESDIS | NCEI External Grant Reduction | 0 | (4,589) |
| PAC | NESDIS | Polar Weather Satellites Decrease | 0 | (87,165) |
| PAC | NESDIS | Satellite Ground Services | 0 | (4,237) |
| ORF | MS | Executive Leadership (non-narrative) | 0 | (249) |
| ORF | MS | NMFS Operations Contract | 0 | (1,000) |
| PAC | MS | Facilities Maintenance and Construction | 0 | (35,203) |
| ORF | OMAO | Reduce DAS Performed | 0 | (2,760) |
| ORF | OMAO | Eliminate Atmospheric Rivers Flight Hours | 0 | (1,500) |
| ORF | OMAO | Reduce Aircraft Operations | 0 | (762) |
| ORF | OMAO | Unmanned Systems | 0 | (7,563) |
| ORF | OMAO | Reduce Pilot Training and Recruitment | 0 | (1,500) |
| PAC | OMAO | Decrease in Progressive Lifecycle Maintenance | 0 | (6,300) |
| Total, Decreases | | | (365) | (\$413,428) |

Terminations

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|---------------|----------------|---|-----------|------------------|
| ORF | NOS | Eliminate and Reduce Congressionally Directed Grants to Joint Ocean and Coastal Mapping Centers | 0 | \$(2,500) |
| ORF | NOS | Eliminate Congressionally Directed Regional Geospatial Modeling Grants | 0 | (8,000) |
| ORF | NOS | Termination of the National Centers for Coastal Ocean Science | (110) | (37,103) |
| ORF | NOS | Eliminate NCCOS Competitive Funding Support for Research on Ecological Threats | 0 | (19,000) |
| ORF | NOS | Eliminate Coastal Zone Management Grants | 0 | (77,000) |
| ORF | NOS | Eliminate Federal Funding Support for the Title IX Fund | 0 | (33,000) |
| ORF | NOS | Eliminate Federal Funding Support for NERRS | 0 | (27,500) |
| ORF | NOS | Eliminate Research Grants for Monuments | 0 | (1,000) |
| PAC | NOS | Eliminate Federal Funding Support for NERRS Construction | 0 | (4,500) |
| ORF | NMFS | Prescott Grant Program | 0 | (4,000) |
| ORF | NMFS | Antarctic Research | (12) | (2,967) |
| ORF | NMFS | Interjurisdictional Fisheries Grants | (2) | (3,365) |
| ORF | NMFS | Cooperative Enforcement Program | 0 | (18,500) |
| ORF | NMFS | Fisheries Habitat Grants | 0 | (14,723) |
| PCSRF | NMFS | Pacific Coastal Salmon Recovery Fund | (2) | (65,000) |

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|----------------------------|----------------|--|--------------|--------------------|
| ORF | OAR | AOML Climate Research Termination | (20) | (5,057) |
| ORF | OAR | Arctic Research Elimination (Climate Laboratories and Cooperative Institutes)) | 0 | (1,940) |
| ORF | OAR | Arctic Research Elimination (Regional Climate Data and Information) | 0 | (3,745) |
| ORF | OAR | Eliminate Climate Competitive Research Funding | (10) | (22,797) |
| ORF | OAR | Eliminate Climate Competitive Research Subactivity | (15) | (43,087) |
| ORF | OAR | Air Resources Laboratory Closure | (35) | (4,979) |
| ORF | OAR | Vortex-Southeast Termination | 0 | (4,966) |
| ORF | OAR | Infrasonic Weather Monitoring Research Termination | 0 | (1,000) |
| ORF | OAR | Genomics Termination | 0 | (1,880) |
| ORF | OAR | National Sea Grant College Program Termination | (18) | (87,198) |
| PAC | OAR | Mississippi State Partnership Termination | 0 | (15,000) |
| ORF | NWS | Terminate Aviation Science Research to Operations (Analyze, Forecast and Support) | 0 | (1,806) |
| ORF | NWS | Terminate Hydrology and Additional Water Resources | 0 | (6,000) |
| ORF | NWS | Terminate COASTAL ACT | 0 | (5,000) |
| ORF | NWS | Terminate Aviation Science Research to Operations (Science Technology and Integration) | 0 | (1,000) |
| PAC | NWS | Eliminate Integrated Water Prediction High Performance Computing | 0 | (4,172) |
| ORF | NESDIS | Regional Climate Services Termination | 0 | (6,000) |
| ORF | MS | Office of Education Grants | (7) | (21,434) |
| ORF | MS | NOAA Bay-Watershed Education and Training (B-WET) Regional Program | (4) | (7,750) |
| Total, Terminations | | | (235) | (\$562,969) |

Highlights of Budget Changes

Appropriation: Operations, Research and Facilities

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|----------------|------------------|--------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 11,748 | \$3,763,939 |
| Transfer from Promote & Develop Fishery Products & Research | | | | 174,774 |
| Adjustments to Base | | | | |
| Transfers | | | | |
| NOS transfer from PAC Marine Sanctuaries Construction | 0 | \$462 | | |
| MS transfer to PAC from ORF Mission Services and Management | 0 | (1,000) | | |
| NESDIS transfer from PAC for Operations | 13 | 22,375 | | |
| To Departmental Management | (11) | (6,320) | | |
| Subtotal, Transfers | | | 2 | 15,517 |
| Adjustments | | | 0 | 17,500 |
| Financing - Recoveries | | | 0 | (27,500) |
| Other Changes | | | | |
| FY 2020 Pay raise | | 43,892 | | |
| FY 2021 Pay raise | | 11,377 | | |
| Increase in awards | | 7,216 | | |
| Full year cost in 2021 of positions financed for part-year in 2020 | | 712 | | |
| One less compensable day | | (5,656) | | |
| Civil Service Retirement System (CSRS) | | (1,111) | | |
| Federal Employees' Retirement System (FERS) | | 17,220 | | |
| Thrift Savings Plan (TSP) | | 317 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 1,317 | | |
| Health insurance | | 3,906 | | |
| Employees' Compensation Fund | | (469) | | |
| Travel - Per Diem | | 284 | | |
| Rent payments to GSA | | 2,516 | | |
| Postage | | 9 | | |
| NARA | | (48) | | |
| Working Capital Fund | | 4,164 | | |
| General Pricing Level Adjustment: | | | | |
| Transportation of things | | 266 | | |
| Rental payments to others | | 591 | | |
| Communications, utilities and miscellaneous charges | | 1,312 | | |
| Printing and reproduction | | 79 | | |
| Other services | | 19,268 | | |
| Supplies and materials | | 1,780 | | |
| Equipment | | 802 | | |
| Continuous Diagnostics and Mitigation Services | | 1,576 | | |
| Enterprise Services | | 205 | | |
| HCHB utilities | | 9 | | |
| Commerce Business System | | 436 | | |
| Federal Protective Service | | 2 | | |
| Grants | | 1,288 | | |
| Ship and aircraft fuel costs | | 1,226 | | |
| Subtotal, other changes | 0 | 114,486 | | |
| Total, Adjustments to Base | | | 2 | 120,003 |
| 2021 Base | | | 11,750 | 4,058,716 |
| Program Changes | | | (585) | (709,758) |
| 2021 Total Requirements | | | 11,165 | 3,348,958 |
| Transfer from Promote & Develop Fishery Products & Research | | | 0 | (183,834) |
| 2021 Appropriation | | | 11,165 | 3,165,124 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|---------------|------------------|---------------|------------------|---------------|------------------|---------------------|------------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| Direct Obligations | | | | | | | | |
| National Ocean Service | 1,243 | \$598,956 | 1,243 | \$612,431 | 1,133 | \$381,036 | (110) | (\$231,395) |
| National Marine Fisheries Service | 3,082 | 947,657 | 3,082 | 973,317 | 3,068 | 841,675 | (14) | (131,642) |
| Oceanic & Atmospheric Research | 764 | 548,384 | 764 | 556,737 | 666 | 326,745 | (98) | (229,992) |
| National Weather Service | 4,282 | 1,065,701 | 4,282 | 1,102,252 | 3,917 | 1,036,876 | (365) | (65,376) |
| National Environmental Satellite, Data and Information Service | 648 | 260,739 | 650 | 286,634 | 650 | 269,992 | 0 | (16,642) |
| Mission Support | 746 | 290,361 | 746 | 302,339 | 748 | 281,713 | 2 | (20,626) |
| Office of Marine and Aviation Operations | 983 | 274,490 | 983 | 282,581 | 983 | 268,496 | 0 | (14,085) |
| TOTAL DIRECT OBLIGATIONS | 11,748 | 3,986,288 | 11,750 | 4,116,291 | 11,165 | 3,406,533 | (585) | (709,758) |
| Reimbursable Authority | 472 | 242,000 | 496 | 242,000 | 496 | 242,000 | 0 | 0 |
| TOTAL OBLIGATIONS | 12,220 | 4,228,288 | 12,246 | 4,358,291 | 11,661 | 3,648,533 | (585) | (709,758) |
| FINANCING | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | (472) | (194,760) | (496) | (194,760) | (496) | (194,760) | 0 | 0 |
| Non-Federal sources | | (47,240) | | (47,240) | | (47,240) | 0 | 0 |
| Deobligations | | (17,500) | | (27,500) | | (27,500) | 0 | 0 |
| Subtotal, Financing | (472) | (259,500) | (496) | (269,500) | (496) | (269,500) | 0 | 0 |
| TOTAL BUDGET AUTHORITY | 11,748 | 3,968,788 | 11,750 | 4,088,791 | 11,165 | 3,379,033 | (585) | (709,758) |
| NOAA Corps retirement Pay | | (30,075) | | (30,075) | | (30,075) | 0 | 0 |
| Transfers | | (174,774) | | (183,834) | | (183,834) | 0 | 0 |
| TOTAL APPROPRIATION | 11,748 | 3,763,939 | 11,750 | 3,874,882 | 11,165 | 3,165,124 | (585) | (709,758) |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|--------------------------------------|--------------|------------------|---------------------|--------------------|
| | Positions | Amount | Positions | Amount |
| <u>National Ocean Service</u> | 1,243 | \$612,431 | (110) | (\$231,395) |

Ocean Mapping the EEZ and Charting in Alaska and the Arctic 0 +8,514

NOAA requests funding to support the Presidential Memorandum on Ocean Mapping of the United States Exclusive Economic Zone and the Shoreline and Nearshore of Alaska. This effort is complementary to NOAA's Office of Oceanic and Atmospheric Research request, allowing for cross-Line Office activities to address the Presidential Memorandum.

Eliminate and Reduce Congressionally Directed Grants to Joint Ocean and Coastal Mapping Center 0 (2,500)

NOAA proposes to discontinue new funding awards for the joint ocean and coastal mapping centers in Mississippi and New Hampshire. NOAA will continue to support these efforts through its Coast Survey Development Laboratory, which explores and develops survey, geospatial data management, and cartographic technologies, and other Navigation, Observation and Positioning programs.

Eliminate Congressionally Directed Regional Geospatial Modeling Grants 0 (8,000)

NOAA requests to terminate the Regional Geospatial Modeling Grant program. NOAA will continue to support a range of other regional geospatial requirements through NOS's Coastal Zone Management and Services and Navigation, Observations and Positioning program activities.

Physical Oceanographic Real-Time System Decrease 0 (1,000)

NOAA requests to decrease funding for its Physical Oceanographic Real-Time System (PORTS®) program. NOAA will continue to work with local maritime community partners on these issues.

Hydrographic Survey Priorities/Contracts 0 (5,051)

NOAA requests to reduce the acquisition of hydrographic data from contract surveys. NOAA will continue to acquire hydrographic survey data from contract surveyors with the remaining funds in support of safe and efficient transportation and commerce.

Reduce Integrated Ocean Observing System - Regional Observation Grants 0 (19,556)

NOAA requests to reduce grants to the IOOS Regional Observations Program. NOAA will continue to support the 11 IOOS Regional Associations at the reduced funding level.

Reduce Response and Restoration Activities 0 (725)

NOAA requests to reduce the funding available for response and restoration activities, particularly for the training program. While this will reduce the quantity and quality of staff trained, NOAA will continue to prioritize responses to oil spills, chemical accidents, and other emergencies in coastal areas.

Reduce Marine Debris Program Activities 0 (1,522)

NOAA requests to reduce the funding available for removal and research marine debris grants available for local partners. NOAA will work to find efficiencies to continue its important marine debris reduction, prevention, research, monitoring, and removal activities with the remaining funds available.

Terminate National Centers for Coastal Ocean Service (110) (37,103)

NOAA requests to begin the phased termination of the National Centers for Coastal Ocean Science (NCCOS). NOAA will retain \$8.9 million of funding and personnel to sustain key components of the NCCOS science portfolio; specifically, harmful algal bloom, hypoxia, and pathogen research, prevention, and forecasting; habitat and species forecasting; and marine aquaculture siting science and tool development.

Eliminate NCCOS Competitive Funding Support for Research on Ecological Threats 0 (19,000)

NOAA proposes to eliminate the NCCOS Competitive Research program, which provides grants to academic institutions to conduct ecological research that advances NOAA's missions.

Increase funding for Regional Ocean Data Platforms 0 +2,500

NOAA requests an increase for regional ocean data portals to implement Executive Order 13840, Ocean Policy to Advance the Economic, Security, and Environmental Interest of the United States (June 2018). Regional ocean data portals will provide ocean-related Federal data and information to the public to inform regional, coastal, and ocean management decision-making across the United States.

Eliminate Funding Support for Integrated Water Prediction 0 (2,576)

NOAA proposes to eliminate funding for the NOS portion of the Integrated Water Prediction (IWP) project. With this reduction, NOS will continue to engage in the NOAA Water Team but would curtail development of new products and services for end users.

Eliminate Coastal Zone Management Grants 0 (77,000)

NOAA requests a decrease to eliminate grants within the Coastal Zone Management (CZM) Program that support actions of states and other grantees authorized under the Coastal Zone Management Act (CZMA). NOAA will continue to support states' participation in the National CZM program by reviewing and supporting implementation of states' management plans, supporting Federal consistency reviews, and providing technical assistance services.

| | | |
|--|------------------|----------------------------|
| Eliminate Federal Funding Support for the Title IX Fund | 0 | (33,000) |
| NOAA requests to eliminate Federal funding support for Title IX of the National Oceans and Coastal Security Act, which allows grants to be awarded through a partnership between the National Fish and Wildlife Foundation (NFWF) and NOAA. | | |
| Reduce Funding for Coral Reef Restoration and Threat Abatement Initiatives | 0 | (3,661) |
| NOAA proposes to decrease funding for coral reef restoration and threat abatement initiatives. In FY 2021, NOAA will continue to work with its partners to protect and restore coral reefs, prioritizing traditional methods of coral reef restoration that are the most cost-effective. | | |
| Eliminate Federal Funding Support for NERRS | 0 | (27,500) |
| NOAA proposes to discontinue NOAA grants to state agencies and academic institutions that support operations of the National Estuarine Research Reserve System (NERRS). Under this proposal, NOAA will continue to provide national-level system coordination and in-kind support to state agencies and academic institutions that choose to continue operating the reserves using state funds. | | |
| Reduce Sanctuary Operations | 0 | (2,463) |
| NOAA requests a decrease to the Sanctuaries and Marine Protected Areas Program. The program would reduce scalable costs in areas such as contracts and supplies. NOAA will support all its authorizations, maintain its unique capabilities, support continued implementation of management plans across the National Marine Sanctuary System, and continue engaging coastal communities and stakeholders to promote science-based stewardship of designated areas at the lower funding level. | | |
| Eliminate Research Grants for Monuments | 0 | (1,000) |
| NOAA requests a decrease to eliminate Federal funding for Marine Sanctuaries research grants for Marine National Monuments. These Congressionally directed grants provide funding for competitive research and management grants for the Papahānaumokuākea Marine National Monument. | | |
| Other Reductions | 0 | (752) |
| NOAA requests small decreases to Navigation, Observations, and Positioning; and Coastal Zone Management and Services which will impact those programs by less than \$0.25 million of each subactivity. | | |
| | <u>Base</u> | <u>Increase / Decrease</u> |
| | <u>Positions</u> | <u>Amount</u> |
| <u>National Marine Fisheries Service</u> | 3,082 | \$973,317 |
| ESA and MMPA Permitting Capacity | 0 | (3,392) |
| This request reduces the additional resources provided in FY 2020 to work with Federal partners to improve coordination and efficiency of consultations within the permitting processes. While it will decrease consultation and permitting capacity that supports requirements of the Endangered Species Act (ESA) and the Marine Mammal Protection Act (MMPA), NMFS will continue to meet its responsibilities within base resources. | | |
| Prescott Grant Program | 0 | (4,000) |
| This request will eliminate funding for the Prescott Grants Program, which provides grants or cooperative agreements to eligible stranding network participants for recovery and treatment (i.e., rehabilitation) of stranded marine mammals, data collection from living or dead stranded marine mammals, and facility upgrades, operations costs, and staffing needs. | | |
| Right Whale Recovery | 0 | (3,048) |
| This request reduces the additional funds provided in FY 2020 for research, development, and conservation efforts of the North Atlantic Right Whale (NARW). The budget includes \$8.6 million in dedicated funds to continue efforts to support right whale recovery. | | |

| | | |
|--|------|----------|
| Species Recovery Grants Program | 0 | (1,010) |
| This request will decrease support for conservation and recovery of marine and anadromous species through the Species Recovery Grant Program. This level of funding will still allow NMFS to continue to adequately support our state and tribal partners in species recovery. | | |
| Hatchery Genetic Management Plans (HGMPs) | 0 | (3,763) |
| This request reduces the Congressionally directed resources provided in FY 2020 to work with partners to help expedite HGMP reviews. | | |
| Fisheries Science Activities | 0 | (6,176) |
| This request will reduce programmatic support for science activities in NMFS science centers and headquarters program offices. | | |
| Northeast Groundfish Research | 0 | (2,500) |
| This request will eliminate funding provided in FY 2020 appropriations for New England groundfish research. NOAA recently completed studies on the effects of changing climatic conditions and warming waters on the fishery, including stock health and natural mortality through ten research projects. | | |
| Antarctic Research | (12) | (2,967) |
| This request will eliminate funding for NOAA's Antarctic Ecosystem Research Program and discontinue research at the Southwest Fisheries Science that related to the U.S. Antarctic Marine Living Resources (AMLR) Convention Act and the Convention for the Conservation of Antarctic Marine Living Resources (CCAMLR). | | |
| Fisheries Surveys and Stock Assessments | 0 | (10,442) |
| This request reduces the additional funding provided in FY 2020 for targeted fisheries surveys and assessments in the Gulf of Mexico and South Atlantic. NOAA will continue to conduct surveys and produce stock assessments nationwide as part of its national stock assessment process. | | |
| Cooperative Research Program | 0 | (2,916) |
| This request reduces funding for the Cooperative Research program, which will lead to approximately ten fewer projects funded in FY 2021. The program will continue to execute cooperative research with industry, fishermen, and other stakeholders. | | |
| Northeast At Sea Monitors and North Pacific Fishery Observers | 0 | (11,241) |
| This request will reduce the additional funding provided in FY 2020 appropriations for the Northeast At-Sea Monitoring Program (ASM) and North Pacific Observing Program. The FY 2021 budget includes \$6.3 million for the program, and NOAA will continue to cover costs to maintain core capabilities of this program. | | |
| Fisheries Management Programs and Services | 0 | (3,029) |
| This request will reduce funding for lower priority fisheries management activities. NMFS will continue to carry out high priority activities. | | |
| Electronic Monitoring & Reporting (EM/ER) Implementation | 0 | (2,700) |
| This request will reduce the additional funding provided in FY 2020 for data collection and catch and effort validation to support timely implementation of electronic logbooks for the federally permitted charter-for-hire sector in the Gulf of Mexico. The request will also decrease funding in the NMFS Enforcement activity for State and Federal enforcement activities of electronic logbooks in this sector. | | |
| National Catch Share Program | 0 | (3,975) |
| This request will reduce support for catch share programs. NOAA will continue to support catch share programs and will prioritize the most critical activities. | | |

| | | |
|---|-----|----------|
| Seafood Import Monitoring Program Implementation | 0 | (1,200) |
| This request will reduce the additional funding provided in FY 2020 for specific implementation requirements of the Seafood Import Monitoring Program (SIMP). | | |
| Aquaculture | 0 | (2,402) |
| This request reduces funding for NMFS to coordinate and streamline interagency marine aquaculture permitting requirements. NOAA will continue to focus on aquaculture science and streamlined permitting with remaining funds. | | |
| Columbia River Hatcheries and Pacific Salmon Treaty | 0 | (21,595) |
| This request will reduce the additional funds provided in FY 2020 for Mitchell Act hatcheries and implementation of new Pacific Salmon Treaty requirements. | | |
| Regional Councils and Fisheries Commissions | 0 | (1,878) |
| This request will reduce funding for the three Interstate Marine Fisheries Management Commissions. | | |
| Interjurisdictional Fisheries Grants | (2) | (3,365) |
| This request will eliminate interjurisdictional fisheries grants program. These grants are non-competitive, formula-based. | | |
| Enforcement | 0 | (1,862) |
| This request will reduce the additional funding provided in FY 2020 for increased enforcement capacity (-\$1,262) and for State enforcement activities related to the charter-for-hire sector in the Gulf of Mexico (-\$600). | | |
| Cooperative Enforcement Program | 0 | (18,500) |
| This request will eliminate funding to support the Cooperative Enforcement Program (CEP). These JEAs provide funds to state and U.S. territorial law enforcement agencies to perform enforcement services in support of Federal regulations. | | |
| Sustainable Habitat Management | 0 | (4,836) |
| This request will reduce additional funding provided in FY 2020 for Sustainable Habitat Management. Of this amount, NOAA will reduce Essential Fish Habitat (EFH) consultations by \$3.0 million and other activities, such as ensuring fish passage at hydropower dams licensed by FERC or identifying and conserving deep water corals, by \$1.8 million. NMFS will continue to perform EFH consultations with available resources. | | |
| Fisheries Habitat Grants | 0 | (14,723) |
| This request will eliminate grants for habitat restoration projects. NOAA will end its financial support for partnerships and grants provided through the Community-based Restoration Program but will continue to provide technical expertise and leadership to states, tribes, and local communities, as well as other programs and Federal agencies implementing fishery and coastal habitat restoration project. | | |
| Fisheries Disaster Assistance | +2 | +300 |
| This request will bolster NOAA staffing necessary to execute the Fisheries Disaster Assistance program. This request will improve NOAA's response to fishery disaster declarations and ensure funds are used in the most effective manner. | | |
| Other Reductions | 0 | (248) |
| NOAA requests small decreases to Atlantic Salmon which will impact those programs by less than \$0.25 million of each subactivity. | | |
| Other Increases | 0 | +126 |
| NOAA requests small increases to Observers and Training which will impact those programs by less than \$0.25 million of each subactivity. | | |

| | Base | | Increase / Decrease | |
|---|------------|------------------|---------------------|--------------------|
| | Positions | Amount | Positions | Amount |
| Oceanic and Atmospheric Research | 764 | \$556,737 | (98) | (\$229,992) |
| AOML Climate Research Termination | | | (20) | (5,057) |
| This request will terminate funding for climate-related research and observations at the Atlantic Oceanographic & Meteorological Laboratory (AOML). This decrease will not close AOML however; AOML's other work funded through weather and oceans PPAs includes critical research of hurricanes, ocean observation, and oceans and coastal systems will continue. | | | | |
| Laboratories and Cooperative Institutes Decrease | | | 0 | (6,570) |
| This request will reduce funding for activities in the Climate Laboratories and Cooperative Institutes, including the Experimental, Seasonal to Decadal (S2D) Predictions activities that are intended to minimize gaps in forecasting capabilities and identified as benefiting from short-term funding in FY 2020. | | | | |
| Arctic Research Elimination | | | 0 | (1,940) |
| This request will eliminate Arctic research within the Climate Laboratories & Cooperative Institutes Subactivity. NOAA will terminate improvements to sea ice modeling and predictions and other Arctic research products, including future scenarios for changes to Arctic Ocean sea-ice extent, ecosystem and fisheries vulnerabilities, and ocean acidification. | | | | |
| Arctic Research Elimination | | | 0 | (3,745) |
| This request will eliminate Arctic research within the Regional Climate Data & Information Subactivity. NOAA will terminate improvements to sea ice modeling and predictions and other Arctic research products, including future scenarios for changes to Arctic Ocean sea-ice extent, ecosystem and fisheries vulnerabilities, and ocean acidification. | | | | |
| Eliminate Climate Competitive Research Funding | | | (10) | (22,797) |
| This request will eliminate climate competitive research activities in the Regional Climate Data and Information Subactivity, terminating the Regional Integrated Sciences and Assessments Program (RISA) program, and eliminating NOAA's portion of the funding for the National Climate Assessment (NCA). NOAA will continue to provide support for the NCA through other PPAs. | | | | |
| Eliminate Climate Competitive Research Subactivity | | | (15) | (43,087) |
| This request will terminate the Climate Program Office (CPO), with the exception of the National Integrated Drought Information System (NIDIS) program. It will also reduce competitive research grants to cooperative institutes, universities, NOAA research laboratories, and other partners. | | | | |
| Air Resources Laboratory Closure | | | (35) | (4,979) |
| This request will close the Air Resources Laboratory. It will eliminate ARL's research on air chemistry, mercury deposition, and atmospheric dispersion of harmful materials, as well as ARL's observational data collection that is being used to study and project effects of air chemistry on human health and the environment. | | | | |
| Vortex-Southeast Termination | | | 0 | (4,966) |
| This request will terminate Vortex-Southeast (VORTEX-SE), a project that seeks to improve tornado forecasts in the southeastern U.S. Building on this priority work, in FY 2021 NOAA requests an increase to establish the congressionally mandated Tornado Warning Improvement and Extension Program (TWIEP) to advance NOAA's tornado observing systems, thunderstorm-scale computer models, and risk communication approaches. | | | | |
| Laboratories and Cooperative Institutes Decrease | | | 0 | (6,860) |
| This request will reduce funding for weather research activities identified as benefiting from short-term funding in FY 2020. | | | | |
| Earth Prediction Innovation Center (EPIC) Increase | | | 0 | +7,000 |
| This request will increase support for the Earth Prediction Innovation Center (EPIC), allowing EPIC to expand the community support it provides for Unified Forecast System (UFS) applications, accelerating research to operations to | | | | |

research (R2O2R), and leveraging innovation from the Weather Enterprise using a cloud-based development environment.

Establish Tornado Warning Improvement and Extension Program (TWIEP) 0 +3,200

This request will establish a Tornado Warning Improvement and Extension Program (TWIEP), as directed in Section 103 of the Weather Research and Forecasting Innovation Act of 2017, to improve the accuracy and timeliness of tornado forecasts, predictions, and warnings.

Infrasonic Weather Monitoring Research Termination 0 (1,000)

With this reduction, NOAA will conclude infrasonic monitoring research. NOAA has completed an evaluation of this technology using congressionally directed funding in FY 2016 through FY 2020.

U.S. Weather Research Program (USWRP) Decrease 0 (6,486)

This request will decrease the funding for activities in USWRP identified as benefiting from short-term funding in FY 2020, as NOAA shifts its focus to EPIC to accelerate research to improve weather models.

Tornado Severe Storm Research/PAR Decrease 0 (1,020)

This request will decrease the funding used to advance priority activities in Tornado/Severe Storm Research line. NOAA will prioritize the remaining funding to continue evaluation of the Phased Array Radar (PAR) technology as a possible cost-effective replacement for aging weather radars.

Joint Technology Transfer Initiative (JTTI) 0 (11,997)

NOAA will decrease the dedicated funding used to transition research activities within NOAA and the weather enterprise into NWS operations through testing, demonstrating, and partnerships with external partners.

Genomics Termination 0 (1,880)

With this reduction, NOAA will eliminate the environmental genomics program at the Atlantic Oceanographic and Meteorological Laboratory (AOML).

Laboratories and Cooperative Institutes Decrease 0 (5,335)

This request will reduce funding for activities in the Ocean, Coasts, & Great Lakes Laboratories and Cooperative Institutes identified as benefiting from short-term funding in FY 2020,

National Sea Grant College Program Terminations (18) (87,198)

With this reduction, NOAA will terminate the National Sea Grant College Program Base and the Marine Aquaculture Program.

Ocean Exploration Decrease 0 (10,146)

This request will decrease extramural ocean exploration and research efforts. However, within its base program, NOAA will reprioritize activities to support the Presidential Memorandum on Ocean Mapping.

Integrated Ocean Acidification Decrease 0 (5,947)

This request will reduce funding for the Integrated Ocean Acidification Program. NOAA will continue to support the highest priority research within OA that improves our understanding of ocean and coastal acidification (OA) and its impacts on marine resources, coastal communities, and economies.

Sustained Ocean Observation and Monitoring Decrease 0 (8,107)

This request will reduce external grant funding for the global ocean observing system.

National Oceanographic Partnership Program 0 +534

This request will increase NOAA's support for the interagency National Oceanographic Partnership Program (NOPP), increasing the stable dedicated funding source that is used to leverage other NOAA programs for this extramural, competitively-awarded partnership-based research program.

R&D HPC Cloud Computing Services Decrease 0 (1,609)

This request will reduce funding toward NOAA's expansion of cloud and community computing capability.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|--------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>National Weather Service</u> | 4,282 | \$1,102,252 | (365) | (\$65,376) |

National Mesonet Program 0 (4,200)

NOAA proposes this decrease which will reduce funding for the National Mesonet Program. The decrease will sustain a core set of ongoing activities and procurement of non-Federal surface and near-surface mesonet observational data from external partners, which will strengthen this private/public partnership.

Increase Data Sharing for Integrated Global Observing System and

Global Basic Observing Network 0 +4,000

NOAA proposes this increase which will improve the frequency and reliability of observational data used to generate weather and water forecasts, watches, and warnings; improve interoperability with international partners' and enable the results of successful research and development to be fully transitioned and implemented into NWS operations.

Reduce Marine Observations 0 (1,500)

NOAA proposes this reduction to the scope and operations of marine observations. NOAA will maintain its full array of 39 Deep-ocean Assessment and Reporting of Tsunamis (DART) moorings to support the tsunami mission but will remove 17 of the 210 NOAA Water Level Observation Network (NWLON stations and NOAA's contribution to the US Geological Survey Seismic network which also supports the tsunami mission.

Reduce Marine Observations Tropical Atmosphere Ocean Platform 0 (1,300)

NOAA proposes this reduction to the Tropical Atmosphere Ocean Platform. This decrease will reduce the 55-buoy array by 15 while maintaining 80 percent availability for the remaining network.

Reduce Upper Air Observations 0 (1,655)

NOAA will reduce the geographic scope and purchase of observations performed by aircraft and will eliminate the aircraft observations over other parts of the oceans and in other continents. NOAA will reduce the number of reserve radiosondes, to an amount needed for daily operations only.

Reduce Ship Observations Data Buy 0 (500)

NOAA will reduce the purchase of commercial ship observations data by 23 percent. NOAA will continue to be reliant on an extreme sparse Volunteer Observing Ship network to support its forecast and warning responsibilities in all its areas of maritime responsibility, and it will miss the opportunity of increasing the level of data available in data spare areas.

Reduce NEXRAD Radome & Tower Maintenance Services 0 (1,000)

NOAA proposes this decrease to the NEXRAD and Tower Maintenance Services contract. This reduction may slow some routine repair and maintenance to future years. NEXRAD and Tower repair and maintenance are necessitated by damage from lightning strikes, high winds, hail, vandalism, and normal degradation.

Reduce Weather and Ocean Platform Buoys 0 (1,200)

NOAA will eliminate seven buoys that are farthest from U.S. shores in the tropical Atlantic Ocean and are the most costly to operate, while maintaining 80 percent availability for the remaining nine buoys in the tropical Atlantic.

Establishment of Regional Enterprise Application Development and Integration Teams (84) (11,917)

NOAA proposes to initiate a phased consolidation of the NWS 122 Information Technology Officers (ITO) located at each WFO. Consolidating IT support functions is a critical part of evolving the NWS, including a right-sized workforce and appropriate organizational structure.

| | | |
|---|---|---------|
| Slow Advanced Hydrologic Prediction System Expansion | 0 | (2,000) |
|---|---|---------|

NOAA will slow the expansion of new technology at AHPS forecast locations, reducing training and implementation support. NOAA will delay/forgo aspects of research and development efforts to address limitations in HEFSv1.

| | | |
|-----------------------------|-------|----------|
| Reduce NWS Workforce | (248) | (15,000) |
|-----------------------------|-------|----------|

This program change request reduces forecast personnel by implementing recommendations outlined in NWS' Operations and Workforce Analysis (OWA) which will enable NWS to continue to evolve and build a Weather-Ready Nation. The OWA recognizes inherent inefficiencies associated with the rigid field office structure of NWS and provides various recommendations to make the agency more effective and efficient to protect lives and property.

| | | |
|---------------------------------------|------|----------|
| Reduce Tsunami Warning Program | (25) | (11,000) |
|---------------------------------------|------|----------|

NOAA will merge the Pacific Tsunami Warning Center in Hawaii and the National Tsunami Warning Center in Alaska. NOAA proposes to continue to fund critical operational tsunami program components to ensure high-quality tsunami watches, warnings, and advisories at one center.

| | | |
|--|---|---------|
| Terminate Aviation Science Research to Operations | 0 | (1,806) |
|--|---|---------|

In coordination with the proposed program change in the Science and Technology Integration activity, NOAA will terminate aviation science research and development and R2O transition efforts. With this reduction, NOAA will maintain current levels of operational aviation weather forecast products and services, but will terminate efforts to complete, develop and implement aviation tools and capabilities that support the Next Generation Air Transportation System (NextGen).

| | | |
|--|-----|---------|
| Consolidate Climate Prediction Center/Weather Prediction Center Functions | (8) | (1,200) |
|--|-----|---------|

NOAA will consolidate functions at the National Centers for Environmental Prediction (NCEP) Climate Prediction Center (CPC) and Weather Prediction Center (WPC). The consolidation will result in creating one national center that will span the continuum of prediction services through existing sub-seasonal and seasonal time domains, eliminate overlap between the transition at the weather and climate scale domains, improve efficiency, promote consistency in presenting data and forecast information, and base products on monthly and seasonal predictions of temperature and precipitation.

| | | |
|--|---|---------|
| Reduction to Office of Water Prediction Center Staffing Support | 0 | (1,500) |
|--|---|---------|

NOAA will maintain the current staffing levels within the Water Prediction Operations Division (WPOD) at the Office of Water Prediction (OWP) located at the National Water Center (NWC). This decrease will delay meeting Full Operating Capability (FOC) as previously directed in the *Consolidated Appropriations Act, 2020*.

| | | |
|---|---|--------|
| Enhancing the World Meteorological Organization Information System | 0 | +1,000 |
|---|---|--------|

NOAA proposes this increase to bring the U.S. Global Information System Center (GISC) up to the World Meteorological Organization's (WMO) new standards for information sharing. This request will provide for the acquisition of new hardware and software to support the WMO systems, located in College Park, MD, and Boulder, CO.

| | | |
|---|---|---------|
| Reduction in NOAA Weather Radio Transmitters | 0 | (1,750) |
|---|---|---------|

NOAA will reduce the number of NOAA Weather Radio (NWR) transmitters by 27 percent, from 1,030 to 754. NOAA will initiate the termination of 276 NWR transmitters at targeted locations based on combined lease, telecom, utilities, and maintenance costs, as well as taking into account high populated areas, including urban areas with greater cell phone coverage and other means of warning communication services.

| | | |
|---|---|---------|
| Reduce the Investment in Numerical Weather Prediction Modeling | 0 | (2,101) |
|---|---|---------|

NOAA will decelerate investments that would transition advanced modeling research into operations for improved warnings and forecasts. NOAA proposes to slow down the development of the Next Generation Global Prediction System (NGGPS) and Hurricane Forecast Improvement Project (HFIP) by reducing grants for collaborative research activities and NOAA's testbeds.

Terminate Hydrology and Additional Water Resources 0 (6,000)

NOAA proposes to terminate the external grants, which supported collaboration with external academic partners to improve fine and large-scale measurements of snow depth and soil moisture data that can be used to expand and improve the National Water Model (NWM).

Terminate COASTAL Act 0 (5,000)

NOAA proposes to terminate the actions associated with the implementation of the *Consumer Option for an Alternative System to Allocate Losses (COASTAL) Act of 2012*. This termination includes the efforts to develop the capability to produce detailed “post-storm assessments” in the aftermath of a damaging tropical cyclone that strikes the U.S. or its territories. This also terminates efforts to create a Coastal Wind and Water Event Database (CWWED) to provide the public access to “covered data” (the observations collected during the storm to assist with the assessment).

Terminate Aviation Science Research to Operations 0 (1,000)

NOAA proposes to terminate aviation science research and development and research into operations (R20) transition efforts within the NWS. NWS will maintain the current level of operational aviation weather forecast products and services. The termination will include automated aviation forecast verification tools, digital aviation service tools, collaborative aviation weather statements (CAWS), local aviation model statistical guidance, and integrated support for impacting air-traffic environment (INSITE) tools.

Establish National Weather Service Pilots 0 +2,000

NOAA will accelerate the Evolve Initiative efforts focusing on NWS model technology that is foundational to the Collaborative Forecast Process (CFP), specifically, the National Blend of Models (NBM) a primary science and technology tool that will enable the CFP by allowing forecasters the ability to have a scientifically valid common starting point for forecasts. NWS will continue to focus on improving efficiency and effectiveness of forecasting in support of Impact-based Decision Support Services (IDSS) and to maintain operational capability with reduced overall resources.

Other Reductions 0 (747)

NOAA requests small decreases to Central Processing; Analyze, Forecast and Support; and Science Technology and Integration which will impact those programs by less than \$0.25 million of each subactivity.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>National Environmental Satellite, Data, and Information Service</u> | 650 | \$286,634 | 0 | (\$16,642) |

OSPO Deferred and Extended Maintenance 0 (5,032)

NOAA will decrease satellite operations and maintenance through a decrease to support activities by deferring and extending maintenance schedules. NOAA will prioritize operational and primary satellite support activities.

Decrease Data Products Developed 0 (1,021)

NOAA will reduce the number of Product Development Readiness & Application (PDR&A) data products, applications, techniques, and systems developed, and will continue to focus on calibration and validation in order to provide accurate products to customers.

Regional Climate Services Termination 0 (6,000)

NOAA will terminate Regional Climate Services, to include termination of the Regional Climate Centers.

NCEI External Grant Reduction 0 (4,589)

NOAA will reduce grants provided to the Cooperative Institutes at the University of Colorado in Boulder, University of Maryland at College Park, North Carolina State University, and Mississippi Sea Grant. This decrease will limit the National Centers for Environmental Information (NCEI)’s science innovation efforts, reducing the quantity of products and services, and impacting users particularly in the business sectors.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Mission Support</u> | 746 | \$302,339 | +2 | (\$20,626) |
| Workplace Violence Prevention and Response Program | | | +13 | +1,700 |
| NOAA requests an increase for the Workplace Violence Prevention and Response Program to expand education and critical services. | | | | |
| Business Applications Solutions (BAS) and Administrative Systems Program Management Office | | | 0 | +500 |
| NOAA requests an increase to support the successful implementation of the Department of Commerce-wide Business Applications Solutions (BAS) system. | | | | |
| NMFS Operations Contract | | | 0 | (1,000) |
| This request eliminates additional funds provided in FY 2020 appropriations to enter into a contract with an independent organization to evaluate efficiencies that can be made to NMFS budgetary operations. | | | | |
| Office of Education Grants | | | (7) | (21,434) |
| Eliminate funding for the Competitive Education Grants Program (\$3,050), and the Educational Partnership Program for Minority Serving Institutions (EPP/MSI) (\$17,200) within the Office of Education and reduce funds for the Office of Education (\$1,184). Remaining funds for the Office of Education of \$1,108 will support a centralized office focused on coordinating and improving the performance of NOAA's numerous activities in STEM education. | | | | |
| NOAA Bay-Watershed Education and Training (B-WET) Regional Program | | | (4) | (7,750) |
| Terminate the Bay-Watershed Education and Training (B-WET) Regional Program. | | | | |
| Facilities Maintenance | | | 0 | +7,607 |
| NOAA requests funds for deferred maintenance and repair (DM&R) projects at NOAA-owned properties. | | | | |
| Other Reductions | | | 0 | (249) |
| NOAA requests a small decrease to Executive Leadership which will impact those programs by less than \$0.25 million of each subactivity. | | | | |
| | <u>Base</u> | | <u>Increase / Decrease</u> | |
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Office of Marine and Aviation Operations</u> | 983 | \$252,506 | 0 | (\$14,085) |
| Reduce DAS Performed | | | 0 | (2,760) |
| NOAA requests a decrease in funding which will reduce the number of days at sea (DAS). NOAA will ensure the program continues to support OMAO's highest priority maintenance and repair needs. | | | | |
| Eliminate Atmospheric Rivers Flight Hours | | | 0 | (1,500) |
| NOAA requests a decrease to reduce additional congressionally-directed funds provided in FY 2020 for the monitoring of atmospheric rivers. | | | | |
| Reduce Aircraft Operations | | | 0 | (762) |
| NOAA requests a decrease to aircraft operations. To accommodate increased operational costs, OMAO will reduce aircraft operations by approximately 370 flight hours. | | | | |
| Unmanned Systems | | | 0 | (7,563) |
| NOAA requests to a decrease to the Unmanned System Operations Program. This reduction will decrease unmanned | | | | |

National Oceanic and Atmospheric Administration

systems research and the acquisition of data from unmanned maritime systems, while continuing to increase the application and use of unmanned aircraft and marine systems in every area of NOAA.

Reduce Pilot Training and Recruitment

0 (1,500)

NOAA requests a decrease to pilot training and recruitment. NOAA proposes to decrease additional funds provided by Congress in FY 2020 to further efforts to recruit and train NOAA Corps pilots.

Detailed Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|--------------|------------------|--------------|------------------|---------------|------------------|---------------------|------------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| NATIONAL OCEAN SERVICE | | | | | | | | |
| Navigation, Observations & Positioning | 635 | \$230,456 | 635 | \$235,823 | 635 | \$207,676 | 0 | (\$28,147) |
| Coastal Science & Assessment | 278 | 101,000 | 278 | 104,412 | 168 | 46,062 | (110) | (58,350) |
| Ocean & Coastal Management & Services | 330 | 267,500 | 330 | 272,196 | 330 | 127,298 | 0 | (144,898) |
| TOTAL, NOS | 1,243 | 598,956 | 1,243 | 612,431 | 1,133 | 381,036 | (110) | (231,395) |
| NATIONAL MARINE FISHERIES SERVICE | | | | | | | | |
| Protected Resource Science & Management | 851 | 200,664 | 851 | 207,668 | 851 | 192,207 | 0 | (15,461) |
| Fisheries Science & Management | 1,806 | 615,845 | 1,806 | 630,750 | 1,792 | 554,490 | (14) | (76,260) |
| Enforcement | 253 | 74,023 | 253 | 76,292 | 253 | 55,930 | 0 | (20,362) |
| Habitat Conservation & Restoration | 172 | 57,125 | 172 | 58,607 | 172 | 39,048 | 0 | (19,559) |
| TOTAL, NMFS | 3,082 | 947,657 | 3,082 | 973,317 | 3,068 | 841,675 | (14) | (131,642) |
| OCEANIC & ATMOSPHERIC RESEARCH | | | | | | | | |
| Climate Research | 269 | 169,500 | 269 | 167,099 | 224 | 83,903 | (45) | (83,196) |
| Weather & Air Chemistry Research | 255 | 133,634 | 255 | 141,900 | 220 | 114,792 | (35) | (27,108) |
| Ocean, Coastal, & Great Lakes Research | 226 | 228,500 | 226 | 230,833 | 208 | 112,754 | (18) | (118,079) |
| Innovative Research & Technology | 14 | 16,750 | 14 | 16,905 | 14 | 15,296 | 0 | (1,609) |
| TOTAL, OAR | 764 | 548,384 | 764 | 556,737 | 666 | 326,745 | (98) | (229,992) |
| NATIONAL WEATHER SERVICE | | | | | | | | |
| Observations | 698 | 229,862 | 698 | 237,644 | 698 | 230,289 | 0 | (7,355) |
| Central Processing | 228 | 97,980 | 228 | 102,538 | 144 | 88,372 | (84) | (14,166) |
| Analyze, Forecast & Support | 2,861 | 513,556 | 2,861 | 531,535 | 2,580 | 500,780 | (281) | (30,755) |
| Dissemination | 81 | 76,843 | 81 | 79,112 | 81 | 78,362 | 0 | (750) |
| Science & Technology Integration | 414 | 147,460 | 414 | 151,423 | 414 | 139,073 | 0 | (12,350) |
| TOTAL, NWS | 4,282 | 1,065,701 | 4,282 | 1,102,252 | 3,917 | 1,036,876 | (365) | (65,376) |
| NATIONAL ENVIRONMENTAL, SATELLITE, DATA & INFORMATION SERVICE | | | | | | | | |
| Environmental Satellite Observing Systems | 423 | 199,097 | 425 | 223,538 | 425 | 217,485 | 0 | (6,053) |
| National Centers for Environmental Intelligence | 225 | 61,642 | 225 | 63,096 | 225 | 52,507 | 0 | (10,589) |
| TOTAL, NESDIS | 648 | 260,739 | 650 | 286,634 | 650 | 269,992 | 0 | (16,642) |
| MISSION SUPPORT | | | | | | | | |
| Executive Leadership | 125 | 27,078 | 125 | 28,273 | 125 | 28,024 | 0 | (249) |
| Mission Services & Management | 585 | 155,934 | 585 | 159,963 | 598 | 161,163 | 13 | 1,200 |
| IT Security | 20 | 15,079 | 20 | 15,378 | 20 | 15,378 | 0 | 0 |
| Payment to DoC Working Capital Fund | 0 | 62,070 | 0 | 66,389 | 0 | 66,389 | 0 | 0 |
| Office of Education | 16 | 30,200 | 16 | 30,292 | 5 | 1,108 | (11) | (29,184) |
| Facilities Maintenance | 0 | 0 | 0 | 2,044 | 0 | 9,651 | 0 | 7,607 |
| TOTAL, MISSION SUPPORT | 746 | 290,361 | 746 | 302,339 | 748 | 281,713 | 2 | (20,626) |
| OFFICE OF MARINE & AVIATIONS OPERATIONS | | | | | | | | |
| Marine Operations & Maintenance | 853 | 194,000 | 630 | 166,099 | 630 | 163,339 | 0 | (2,760) |
| Aviations Operations | 120 | 37,750 | 73 | 30,466 | 73 | 28,204 | 0 | (2,262) |
| Unmanned System Operations | 10 | 12,665 | 8 | 12,793 | 8 | 5,230 | 0 | (7,563) |
| NOAA CORPS | 0 | 0 | 272 | 43,148 | 272 | 41,648 | 0 | (1,500) |
| TOTAL, OMAO | 983 | 244,415 | 983 | 252,506 | 983 | 238,421 | 0 | (14,085) |

National Oceanic and Atmospheric Administration

| | 2020 Estimate | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|----------------------------------|---------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL, DIRECT OBLIGATIONS | 11,748 | \$3,956,213 | 11,750 | \$4,086,216 | 11,165 | \$3,376,458 | (585) | (\$709,758) |
| Reimbursable Authority | 472 | 242,000 | 496 | 242,000 | 496 | 242,000 | 0 | 0 |
| TOTAL OBLIGATIONS | 12,220 | 4,198,213 | 12,246 | 4,328,216 | 11,661 | 3,618,458 | (585) | (709,758) |
| FINANCING | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | (472) | (194,760) | (496) | (194,760) | (496) | (194,760) | 0 | 0 |
| Non-Federal sources | | (47,240) | | (47,240) | | (47,240) | 0 | 0 |
| Deobligations | | (17,500) | | (27,500) | | (27,500) | 0 | 0 |
| Subtotal, Financing | (472) | (259,500) | (496) | (269,500) | (496) | (269,500) | 0 | 0 |
| TOTAL BUDGET AUTHORITY | 11,748 | 3,938,713 | 11,750 | 4,058,716 | 11,165 | 3,348,958 | (585) | (709,758) |
| TRANSFERS / OTHER: | | | | | | | | |
| From PDF | | (174,774) | | (183,834) | | (183,834) | 0 | 0 |
| TOTAL APPROPRIATION | 11,748 | 3,763,939 | 11,750 | 3,874,882 | 11,165 | 3,165,124 | (585) | (709,758) |

Appropriation: Procurement, Acquisition and Construction

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|--------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 396 | \$1,530,890 |
| Adjustments to Base | | | | |
| Transfers to ORF | | | | |
| Transfer to OIG | | (\$1,302) | | |
| NOS transfer to ORF Sanctuaries & Marine Protected Areas | | (462) | | |
| MS transfer to NOAA Construction | | 1,000 | | |
| NESDIS to ORF Office of Satellite & Product Operations | (13) | (22,375) | | |
| Total Transfers | | | (13) | (23,139) |
| Adjustments | | | | |
| Restoration of FY 2020 deobligations | | 13,000 | | |
| Rescission | | | | |
| Total, Adjustments | | | 0 | 13,000 |
| Financing | | | | |
| Recoveries of prior year obligations | | (13,000) | | (13,000) |
| Total Adjustments to Base | | | (13) | (23,139) |
| 2021 Base | | | 383 | 1,507,751 |
| Program Changes | | | | (42,384) |
| Total Requirements | | | 383 | 1,465,367 |
| Transfer to OIG | | | | 1,302 |
| 2021 Appropriation | | | 383 | 1,466,669 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|------------------|------------|------------------|---------------|------------------|---------------------|-----------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| NATIONAL OCEAN SERVICE | | | | | | | | |
| Construction | | | | | | | | |
| National Estuarine Research Reserve Construction | 0 | \$4,500 | 0 | \$4,500 | 0 | \$0 | 0 | (\$4,500) |
| Marine Sanctuaries Construction Base | 0 | 3,000 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL NOS | 0 | 7,500 | 0 | 4,500 | 0 | 0 | 0 | (4,500) |
| OCEANIC & ATMOSPHERIC RESEARCH | | | | | | | | |
| Systems Acquisition: Research Supercomputing | 0 | 42,000 | 0 | 42,000 | 0 | 26,000 | 0 | (16,000) |
| NATIONAL WEATHER SERVICE | | | | | | | | |
| Systems Acquisition | | | | | | | | |
| Observations | 0 | 16,250 | 0 | 16,250 | 0 | 15,518 | 0 | (732) |
| Central Processing | 23 | 66,761 | 23 | 66,761 | 23 | 57,940 | 0 | (8,821) |
| Dissemination | 0 | 9,934 | 0 | 9,934 | 0 | 9,934 | 0 | 0 |
| Subtotal, Systems Acquisition | 23 | 92,945 | 23 | 92,945 | 23 | 83,392 | 0 | (9,553) |
| Construction: Facilities Construction & Major Repairs | 0 | 10,000 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL NWS | 23 | 102,945 | 23 | 92,945 | 23 | 83,392 | 0 | (9,553) |
| NATIONAL ENVIRONMENTAL SATELLITE, DATA & INFORMATION SERVICE | | | | | | | | |
| Systems Acquisition | | | | | | | | |
| Geostationary Satellites - R | 68 | 304,056 | 68 | 304,056 | 68 | 334,500 | 0 | 30,444 |
| Polar Weather Satellites | 142 | 745,000 | 142 | 745,000 | 142 | 657,835 | 0 | (87,165) |
| Cooperative Data & Rescue Services (CDARS) | 4 | 11,350 | 4 | 10,900 | 4 | 14,400 | 0 | 3,500 |
| Space Weather Follow On | 11 | 64,000 | 11 | 64,000 | 11 | 108,115 | 0 | 44,115 |
| COSMIC 2/GNSS RO | 2 | 5,892 | 2 | 5,892 | 2 | 5,892 | 0 | 0 |
| Satellite Ground Services | 73 | 55,707 | 60 | 38,509 | 60 | 39,287 | 0 | 778 |
| Projects, Planning & Analysis | 25 | 31,000 | 14 | 15,941 | 14 | 15,941 | 0 | 0 |
| Geostationary Earth Orbit (GEO) | 0 | 0 | 0 | 10,000 | 0 | 10,000 | 0 | 0 |
| Systems/Services Architecture & Engineering (SAE) | 24 | 33,990 | 35 | 34,322 | 35 | 49,322 | 0 | 15,000 |
| Subtotal, Systems Acquisition | 349 | 1,250,995 | 336 | 1,228,620 | 336 | 1,235,292 | 0 | 6,672 |
| Construction: Satellite CDA Facility | 0 | 2,450 | 0 | 0 | 0 | 0 | 0 | 0 |
| OIG Transfer | 0 | (1,302) | 0 | (1,302) | 0 | (1,302) | 0 | 0 |
| TOTAL, NESDIS | 349 | 1,252,143 | 336 | 1,227,318 | 336 | 1,233,990 | 0 | 6,672 |
| MISSION SUPPORT | | | | | | | | |
| NOAA Construction | 0 | 40,000 | 0 | 55,988 | 0 | 41,285 | 0 | (14,703) |
| OFFICE OF MARINE & AVIATION OPERATIONS | | | | | | | | |
| Platform Capital Improvements & Tech Infusion | 11 | 23,000 | 11 | 23,000 | 11 | 18,700 | 0 | (4,300) |
| Vessel Recapitalization | 13 | 75,000 | 13 | 75,000 | 13 | 75,000 | 0 | 0 |
| Aircraft Recapitalization | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL, OMAO | 24 | 98,000 | 24 | 98,000 | 24 | 93,700 | 0 | (4,300) |
| TOTAL OBLIGATIONS | 396 | 1,542,588 | 383 | 1,520,751 | 383 | 1,478,367 | 0 | (42,384) |
| Deobligations | 0 | (13,000) | 0 | (13,000) | 0 | (13,000) | 0 | 0 |
| TOTAL BUDGET AUTHORITY | 396 | 1,529,588 | 383 | 1,507,751 | 383 | 1,465,367 | 0 | (42,384) |
| Transfer to OIG | 0 | 1,302 | 0 | 1,302 | 0 | 1,302 | 0 | 0 |
| TOTAL APPROPRIATION | 396 | 1,530,890 | 383 | 1,509,053 | 383 | 1,466,669 | 0 | (42,384) |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--------------------------------------|------------------|----------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>National Ocean Service</u> | 0 | \$4,500 | 0 | (\$4,500) |

Eliminate Federal Funding Support for NERRS Construction 0 (4,500)

NOAA requests to eliminate Federal funding support to states for National Estuarine Research Reserve System land acquisition and construction. NOAA will continue to provide national-level system coordination and in-kind support to state governments that choose to continue operating the reserves using state funds.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Oceanic and Atmospheric Research</u> | 0 | \$42,000 | 0 | (\$16,000) |

Mississippi State Partnership Termination 0 (15,000)

With this reduction, NOAA will terminate the Mississippi State University Partnership established by congressionally directed requirements to develop a dedicated high performance computing facility in collaboration with partners with existing high performance computing expertise and scientific synergies.

Research Supercomputing Decrease 0 (1,000)

With this reduction, NOAA will decrease funding to the NOAA Research and Development (R&D) High Performance Computing System (HPCS) as NOAA strategically shifts to greater utilization of commercially-provided cloud computing services.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|-----------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>National Weather Service</u> | 23 | \$92,945 | 0 | (\$9,553) |

Service Life Extension Program for NEXRAD 0 (550)

NOAA proposes a planned decrease for the Service Life Extension Program (SLEP) to sustain aging Next Generation Weather Radar (NEXRAD) infrastructure. This reflects the award of major contracts on the pedestal and shelter refurbishments, and generator replacement projects, now in deployment.

Eliminate Integrated Water Prediction High Performance Computing 0 (4,172)

NOAA proposes this decrease which will eliminate high performance computing funding for Integrated Water Prediction (IWP) capability.

Reduce Research and Development High Performance Computing 0 (4,400)

NOAA proposes this decrease which will reduce the NWS contribution to NOAA's Research and Development High Performance Computing System (R&D HPCS). NOAA proposes to eliminate the "Jet" supercomputing system and associated contract support in Boulder, CO and reduce NWS's supercomputing use and associated contract support in Fairmont, WV.

Other Reductions 0 (431)

NOAA requests a small decrease to Observations and Central Processing which will impact those programs by less than \$0.25 million of each subactivity.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|--------------------|----------------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>National Environmental Satellite, Data & Information Service</u> | 336 | \$1,227,318 | 0 | +\$6,672 |

GOES-R Series Sustainment 0 +30,444

This increase will continue sustainment of the GOES-R Series ground system, including replacement of the IBM servers.

Polar Weather Satellites Decrease 0 (87,165)

The remaining funds will be used to continue the build of the JPSS-2 instruments and spacecraft, continue JPSS-2 satellite level integration and testing, and continue the development of the spacecraft and instruments for JPSS-3 and JPSS-4.

Cooperative Data and Rescue Services 0 +3,500

The increase will continue the USAF Hosted Payload Solutions firm fixed price contract for a scheduled launch in August 2021 of the Argos-4 Advanced Data Collection System instrument.

Space Weather Follow On (SWFO) 0 +44,115

The increase will continue development of instruments and spacecraft contracts and continue work with National Aeronautics and Space Administration (NASA) to launch the Space Weather Follow On Earth-Sun Lagrange 1 (L1) mission as a rideshare with NASA's Interstellar Mapping and Acceleration Probe (IMAP) launch.

Data-source Agnostic Common Services 0 +5,015

This increase will enable utilization of essential data and observations from an increasingly capable and diverse array of partner and commercial systems to meet mission requirements in a cost-effective manner. New and legacy products will be transitioned to a cloud architecture to increase efficiencies and enable advance processing capabilities.

Satellite Ground Services 0 (4,237)

The requested decrease will continue support for satellite ground services and will not impact performance measures. The implementation of Data-source Agnostic Common Services (see requested program change increase) will increase satellite ground services performance and efficiencies.

Commercial Weather Data Pilot (CWDP) 0 +5,000

This increase will enable NOAA to continue to assess new capabilities available on the commercial market, and test commercially available capabilities based on market research.

Commercial Data Purchase 0 +10,000

Increase will allow NOAA to purchase commercial Global Navigation Satellite System (GNSS) Radio Occultation (RO) data for operational use. It will also support continued development of the infrastructure and capability to securely import, transfer, process, and store external data from commercial partners for operational use.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|-------------------------------|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Mission Support</u> | 0 | \$55,988 | 0 | (\$14,703) |

Evaluate and Address Northwest Facilities Issues 0 +20,500

NOAA requests funds to evaluate and address facilities needs in the Northwest region as part of its efforts to develop a Strategic Facilities Master Plan for 2030. This initiative aims to evaluate options to relocate functions at the Montlake Lab, which will soon be affected by a massive highway reconstruction project in Seattle, and for consolidating small Washington offices. The strategy will strengthen footprint alignment to mission requirements while reducing facilities-related costs for owned and leased properties. facilities across GSA Region 10 (Alaska, Washington, Oregon and Idaho).

Facilities Maintenance and Construction 0 (35,203)

NOAA proposes a decrease for deferred maintenance and construction. NOAA will prioritize the remaining \$20,785 in NOAA Construction (excluding requested funds for implementation of the Northwest/Alaska Regional Footprint Study) for its highest priority facilities maintenance (both regular and deferred) and recapitalization needs.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|-----------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Office of Marine & Aviation Operations</u> | 24 | \$98,000 | 0 | (\$4,300) |

Decrease in Progressive Lifecycle Maintenance 0 (6,300)

NOAA requests a decrease in funds for capital repairs to NOAA's ship fleet. Funding provided in FY 2018 and FY 2019

are helping to address the deferred maintenance backlog on NOAA vessels. Funds provided in FY 2021 will be used to meet priority at-sea requirements and improve Fleet support to NOAA’s mission-critical nautical charting, bathymetric mapping, fisheries research, ecosystem assessments, coastal-ocean circulation, and oceanographic and atmospheric research.

Unmanned Systems Acquisitions 0 +2,000

NOAA requests funding for the acquisition and maintenance of unmanned systems (UxS), ensuring consistency in the way that NOAA’s fleet of ships and aircraft, and UxS are standardized, centrally maintained, and mission ready. The majority of this request will be used to acquire ship and shore-based deployment infrastructure and UxS systems and platforms.

Appropriation: Pacific Coastal Salmon Recovery

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 2 | \$65,000 |
| Adjustments | 0 | 0 |
| 2021 Base | 2 | 65,000 |
| Program Changes | (2) | (65,000) |
| 2021 Appropriation | 0 | 0 |

This account funds state, tribal and local conservation initiatives to help recover Pacific salmon populations. State and local recipients of this funding provide matching contributions of at least thirty-three percent of Federal funds. In addition, NOAA makes funds available to tribes that do not require matching dollars. The Administration has proposed to eliminate this account in the FY 2020 President’s Budget.

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 2 | \$65,000 | 2 | \$65,000 | 0 | \$0 | (2) | (\$65,000) |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Pacific Coastal Salmon Recovery | 2 | \$65,000 | (2) | (\$65,000) |

The Administration has proposed to eliminate this account in the FY 2021 President’s Budget.

Appropriation: Fisheries Disaster Assistance Fund

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 0 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 0 |
| Program Changes | 2 | 300 |
| 2021 Appropriation | 2 | 300 |

This account helps address the environmental and economic effects of a commercial fishery failure. If the Secretary determines that a fishery disaster has occurred, Congress may appropriate funds for disaster assistance, which are administered by the Secretary.

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 0 | \$0 | 0 | \$0 | 2 | \$300 | 2 | \$300 |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|---------------|----------------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Fisheries Disaster Assistance Fund | 0 | \$0 | 2 | \$300 |

This request will bolster NOAA staffing necessary to execute the Fisheries Disaster Assistance program. NOAA will use these funds to process fisheries disaster requests in a timely manner and provide additional oversight and review of the grant program. This request will improve NOAA's response to fishery disaster declarations and ensure funds are used in the most effective manner.

Appropriation: Fishermen's Contingency Fund

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 0 | \$349 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 349 |
| Program Changes | 0 | 0 |
| 2021 Appropriation | 0 | 349 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 0 | \$349 | 0 | \$349 | 0 | \$349 | 0 | \$0 |

The Fishermen's Contingency Fund is authorized under Section 402 of Title IV of the Outer Continental Shelf Lands Act Amendments of 1978. NOAA compensates U.S. commercial fishermen for damage or loss of fishing gear, vessels, and resulting economic loss caused by obstructions related to oil and gas exploration, development, and production in any area of the Outer Continental Shelf (OCS). The funds used to provide this compensation are derived from fees collected on an annual basis by the Secretary of the Interior from the holders of leases, exploration permits, easements, or rights-of-way in areas of the OCS. This activity is funded totally through user fees. Disbursements can be made only to the extent authorized in appropriation acts.

Appropriation: Fisheries Finance Program Account

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|----------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 0 | \$4,841 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 4,841 |
| Program Changes | 0 | (4,841) |
| 2021 Appropriation | 0 | 0 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 0 | \$4,841 | 0 | \$0 | 0 | \$0 | 0 | \$0 |

The Fisheries Finance Program (FFP) is a national loan program that makes long-term, fixed-rate financing available to U.S. citizens who otherwise qualify for financing or refinancing. Types of activities for financing include the reconstruction, reconditioning, and, in some cases, the purchasing of fishing vessels, shoreside processing, aquaculture, mariculture facilities, and the purchase of individual fishing quota (IFQ). The FFP also provides fishery-wide financing to ease the transition to sustainable fisheries through its fishing capacity reduction programs and provides financing to fishermen who fish from small vessels and entry-level fishermen to promote stability and reduce consolidation in already rationalized fisheries. Additionally, FFP can provide loans for fisheries investments of Native American Community Development Quota (CDQ) groups.

The FFP operates under the authority of Title XI of the Merchant Marine Act of 1936, as amended (46 USC 53701); Section 303(a) of the Sustainable Fisheries Act amendments to the MSA; and, from time to time FFP-specific legislation. The overriding guideline for all FFP financings is that they cannot contribute or be construed to contribute to an increase in existing fish harvesting.

Appropriation: Promote and Develop Fisheries Products

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|---------------------------------------|------------------|---------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 3 | \$0 |
| <u>Transfers</u> | | | | |
| From Department of Agriculture | | 183,834 | | |
| To NOAA ORF | | (174,774) | | |
| Total, Transfers | | | 0 | 9,060 |
| <u>Adjustments</u> | | | | |
| Temporarily Reduced | | (10,846) | | |
| Appropriations Previously Unavailable | | 9,795 | | |
| Other Adjustments | (3) | (8,009) | | |
| Total, Adjustments | | | (3) | (9,060) |
| 2021 Base | | | 0 | 0 |
| Program Changes | | | 0 | 0 |
| Total Requirements | | | 0 | 0 |
| <u>Transfers</u> | | | | |
| From Department of Agriculture | | (183,834) | | |
| To NOAA ORF | | 183,834 | | |
| Total, Transfers | | | | 0 |
| Temporarily Reduced | | | | 10,846 |
| Appropriations Previously Unavailable | | | | (10,846) |
| 2021 Appropriation | | | 0 | 0 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---------------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY | 3 | \$8,009 | 0 | \$0 | 0 | \$0 | 0 | \$0 |
| TRANSFERS | | | | | | | | |
| From Department of Agriculture | (3) | (183,834) | | | | (183,834) | | |
| To NOAA ORF | | 174,774 | | | | 183,834 | | |
| Appropriations Previously Unavailable | | (9,795) | | | | (10,846) | | |
| Temporarily Reduced | | 10,846 | | | | 10,846 | | |
| TOTAL APPROPRIATION | 0 | 0 | | | 0 | 0 | | |

The Promote and Develop account funds are derived from a transfer of thirty percent of duties on imported fisheries products from the Department of Agriculture (USDA). Funds from this account are transferred to offset the appropriations for fisheries research and management in the ORF account. For FY 2021, NOAA requests \$0 funding for the Saltonstall-Kennedy Grant Program. NOAA estimates that a total of \$183,834,000 will be transferred from the Department of Agriculture to the Promote and Develop account. After accounting for sequestration, \$183,834,000 will be transferred from the Promote and Develop account to the ORF account.

The complex process of transferring customs duties receipts from the USDA to the Department of Commerce (DOC) to partially fund fishery activities is neither transparent to the public nor consistent with general federal budgeting practices. In the place of customs receipts and to increase transparency, the Budget proposes to directly appropriate funding to DOC. These funds will be provided to DOC without further appropriation and are available for the same purposes as previous receipt-funded activities. Within DOC, an initial \$184 million will be provided to the Promote and Develop program in FY 2021 equal to the level of funding that would otherwise have been provided by USDA and adjusted annually in future years. The Administration will formalize these changes through a legislative proposal to be transmitted at a later date. This request is part of a broader reform proposed for USDA's Section 32 program.

Appropriation: Marine Mammal Unusual Mortality Event Fund

Summary of Requirements

| | Summary | |
|---------------------------|-----------|------------|
| | Positions | Amount |
| 2020 Enacted | 0 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 0 |
| Program Changes | 0 | 0 |
| 2021 Appropriation | 0 | 0 |

The Marine Mammal Protection Act Section 405 (16 USC 1421d) established the Marine Mammal Unusual Mortality Event Fund. NMFS established the Marine Mammal Health and Stranding Response Program, and its Working Group on Unusual Marine Mammal Mortality Events in response to the death of more than 700 bottlenose dolphins on the East Coast of the United States in 1987-88. This program determines when an unusual mortality event is occurring and directs responses to such events. NOAA will make available funding from this account to members of the Marine Mammal Stranding Network for costs incurred in investigating the death of marine mammals. To date, Congress has appropriated funding for UMEs on one occasion in 2005. Some of those funds were transferred to the National Fish and Wildlife Foundation (NFWF) since they have the ability to quickly distribute funds within 30 days of invoicing to our partners during an UME.

Appropriation: Medicare-Eligible Retiree Healthcare Fund

Summary of Requirements

| | Summary | |
|---------------------------|-----------|----------------|
| | Positions | Amount |
| 2020 Enacted | 0 | \$1,497 |
| Adjustments | 0 | 94 |
| 2021 Base | 0 | 1,591 |
| Program Changes | 0 | 0 |
| 2021 Appropriation | 0 | 1,591 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---------------------------------|--------------|---------|-----------|---------|---------------|---------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY / | 0 | \$1,497 | 0 | \$1,591 | 0 | \$1,591 | 0 | \$0 |
| APPROPRIATION | | | | | | | | |

This account funds the cost of TRICARE retirement health care benefits accrued by the active duty members of the NOAA Commissioned Corps. The *Ronald W. Reagan National Defense Authorization Act for 2005* (P.L. 108-375) provided permanent, indefinite (discretionary) appropriations to finance these costs for all uniformed service members.

Appropriation: Limited Access System Administration Fund

Summary of Requirements

| | Summary | |
|-------------------------------------|-----------|-----------------|
| | Positions | Amount |
| 2020 Mandatory Appropriation | 40 | \$14,456 |
| Adjustments | 0 | 146 |
| 2021 Base | 40 | 14,602 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 40 | 14,602 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---------------------------------------|--------------|---------------|-----------|----------|---------------|---------------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY | 40 | \$14,468 | 40 | \$14,593 | 40 | \$14,593 | 0 | \$0 |
| Appropriations previously unavailable | | (865) | | | | (853) | | |
| Temporarily Reduced | | 853 | | | | 862 | | |
| TOTAL APPROPRIATION | 40 | 14,456 | | | 40 | 14,602 | | |

Under the authority of the *Magnuson-Stevens Act*, Section 304(d)(2)(A), NMFS must collect a fee to recover the incremental costs of management, data collection, and enforcement of Limited Access Privilege programs. Funds collected under this authority are deposited into the Fund. Fees cannot exceed three percent of the ex-vessel value of fish harvested under any such program. The Fund is available, without appropriation or fiscal year limitation, only for the purposes of administrating the central registry system and administering and implementing the MSA in the fishery in which the fees were collected.

Appropriation: Foreign Fishing Observer Fund

Summary of Requirements

| | Summary | |
|-------------------------------------|-----------|------------|
| | Positions | Amount |
| 2020 Mandatory Appropriation | 0 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 0 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 0 |

The Foreign Fishing Observer Fund is financed through fees collected from owners and operators of foreign fishing vessels fishing within the U.S. EEZ (such fishing requires a permit issued under the MSA). This includes longline vessels fishing in the Atlantic billfish and shark fishery and other foreign vessels fishing in the EEZ. The fund is used by NOAA to pay salaries, administrative costs, data editing and entry, and other costs incurred in placing observers aboard foreign fishing vessels. The observer program is conducted primarily through contracts with the private sector. NOAA places these observers aboard foreign fishing vessels to monitor compliance with U.S. fishery laws and to collect fishery management data. Amounts available in the fund can be disbursed only to the extent and in amounts provided in appropriation acts. In FY 1985, Congress approved the establishment of a supplemental observer program. The program provided that foreign vessels without Federally funded observers are required to obtain the services of private contractors certified by the Secretary of Commerce.

Appropriation: Damage Assessment and Restoration Revolving Fund**Summary of Requirements**

| | <u>Summary</u> | |
|-------------------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Mandatory Appropriation | 30 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 0 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 30 | 0 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---------------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY | 30 | \$5,853 | 30 | \$6,000 | 30 | \$6,000 | 0 | \$0 |
| TRANSFERS | | | | | | | | |
| From Department of Interior | | (6,000) | | | | (6,000) | | |
| Appropriations Temporarily Reduced | | 354 | | | | 354 | | |
| Appropriations Previously Unavailable | | (207) | | | | (354) | | |
| TOTAL APPROPRIATION | 30 | 0 | | | 30 | 0 | | |

Established in 1990 under section 1012(a) of the *Oil Pollution Act*, this fund facilitates oil and hazardous material spill response, as well as assessment and restoration activities for damages to natural resources for which NOAA serves as trustee. The Fund retains sums transferred by responsible parties or government entities for future use. The sources of these funds are settlements and awards by the courts. Receipts from settlements are expected to be \$10.0 million in FY 2021.

Appropriation: Federal Ship Financing Fund**Summary of Requirements**

| | <u>Summary</u> | |
|-------------------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Mandatory Appropriation | 0 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 0 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 0 |

The Federal Ship Financing Fund is the liquidating account necessary for the collection of premiums and fees of the loan guarantee portfolio that existed prior to FY 1992. Administrative expenses for management of the loan guarantee portfolio were charged to the Federal Ship Financing Fund prior to the enactment of the *Federal Credit Reform Act of 1990*. Administrative expenses are charged to the ORF account.

Appropriation: Environmental Improvement and Restoration Fund

Summary of Requirements

| | <u>Summary</u> | |
|-------------------------------------|------------------|----------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Mandatory Appropriation | 0 | \$7,315 |
| Adjustments | | (2,681) |
| 2021 Base | 0 | 4,634 |
| Program Change | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 4,634 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY | 0 | \$6,883 | 0 | \$4,361 | 0 | \$4,361 | 0 | \$0 |
| Permanently Reduced | | 432 | | | | 273 | | |
| TOTAL APPROPRIATION | 0 | 7,315 | | | 0 | 4,634 | | |

The Environmental Improvement and Restoration Fund (EIRF) was created by the *Department of Interior and Related Agencies Appropriations Act of 1998* for the purpose of carrying out marine research activities in the North Pacific. These funds will provide grants to Federal, state, private, or foreign organizations or individuals to conduct research activities on or relating to the fisheries or marine ecosystems in the North Pacific Ocean, Bering Sea, and Arctic Ocean.

Appropriation: Western Pacific Sustainable Fisheries Fund

Summary of Requirements

| | <u>Summary</u> | |
|-------------------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Mandatory Appropriation | 0 | \$375 |
| Adjustments | 0 | 225 |
| 2021 Base | 0 | 600 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 600 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| TOTAL BUDGET AUTHORITY | 0 | \$384 | 0 | \$587 | 0 | \$587 | 0 | \$0 |
| Previously Unavailable | | (31) | | | | (22) | | |
| Temporarily Reduced | | 22 | | | | 35 | | |
| TOTAL APPROPRIATION | 0 | 375 | | | 0 | 600 | | |

Section 204(e) of the 2006 amendments to the MSA authorizes the establishment of the Western Pacific Sustainable Fisheries Fund. The purpose of this Fund is to allow foreign fishing within the U.S. EEZ in the Western Pacific through a Pacific Insular Area Fishery Agreement. Before entering into such an Agreement, the Western Pacific Fishery Management Council must develop a Marine Conservation Plan that provides details on uses for any funds collected by the Secretary of Commerce. Marine Conservation Plans must also be developed by the Governors of the Territories of Guam and American Samoa and of the Commonwealth of the Northern Mariana Islands and approved by the Secretary or designee.

The Western Pacific Sustainable Fisheries Fund serves as a repository for any permit payments received by the Secretary for foreign fishing within the U.S. EEZ around Johnston Atoll, Kingman Reef, Palmyra Atoll, and Jarvis, Howland, Baker and Wake Islands, sometimes known as the Pacific remote island areas (PRIA). In the case of violations by foreign vessels occurring in these areas, amounts received by the Secretary attributable to fines and penalties are deposited into the Western Pacific Sustainable Fisheries Fund to be used for fisheries enforcement and for implementation of a marine conservation plan. Additionally, any funds or contributions received in support of conservation and management objectives under a Marine Conservation Plan for any Pacific Insular Area other than American Samoa, Guam, or the Northern Mariana Islands are deposited in the Western Pacific Sustainable Fisheries Fund.

Appropriation: Fisheries Enforcement Asset Forfeiture Fund

Summary of Requirements

| | Summary | |
|-------------------------------------|-----------|----------------|
| | Positions | Amount |
| 2020 Mandatory Appropriation | 0 | \$3,914 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 3,914 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 3,914 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------|--------------|--------------|-----------|---------|---------------|--------------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY | 0 | \$3,941 | 0 | \$3,914 | 0 | \$3,914 | 0 | \$0 |
| Previously Unavailable | | (258) | | | | (231) | | |
| Temporarily Reduced | | 231 | | | | 231 | | |
| TOTAL APPROPRIATION | 0 | 3,914 | | | 0 | 3,914 | | |

Section 311(e)(1) of the MSA authorizes the Secretary of Commerce to pay certain enforcement-related expenses from fines, penalties, and forfeiture proceeds received for violations of the MSA, MMPA, *National Marine Sanctuaries Act*, or any other marine resource law enforced by the Secretary. Pursuant to this authority, NOAA has established a Civil Monetary Penalty/Asset Forfeiture Fund (AFF) where these proceeds are deposited. When Congress established the AFF it was deemed appropriate to use these proceeds to offset in part the costs of administering the Enforcement program. Expenses funded through this source include: costs directly related to the storage, maintenance, and care of seized fish, vessels, or other property during a civil or criminal proceeding; expenditures related directly to specific investigations and enforcement proceedings such as travel for interviewing witnesses; enforcement-unique information technology infrastructure; and annual interagency agreement and contract costs for the administrative adjudication process, including Administrative Law Judges. FY 2020 Enacted reflects a rescission of \$5.0 million from unobligated balances.

Appropriation: Sanctuaries Enforcement Asset Forfeiture Fund

Summary of Requirements

| | Summary | |
|-------------------------------------|-----------|--------------|
| | Positions | Amount |
| 2020 Mandatory Appropriation | 0 | \$120 |
| Adjustments | 0 | 0 |
| 2021 Base | 0 | 120 |
| Program Change | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 120 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------|--------------|------------|-----------|--------|---------------|------------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY | 0 | \$120 | 0 | \$120 | 0 | \$120 | 0 | \$0 |
| Previously Unavailable | | 0 | | | | 7 | | |
| Temporarily Reduced | | (7) | | | | (7) | | |
| TOTAL APPROPRIATION | 0 | 113 | | | 0 | 120 | | |

Sanctuaries Enforcement Asset Forfeiture Fund receives proceeds from civil penalties and forfeiture claims against responsible parties, as determined through court settlements or agreements, for violations of NOAA sanctuary regulations. Penalties received are held in sanctuary site-specific accounts from year to year and spent on resource protection within the sanctuary site where the penalty or forfeiture occurred. Funds are expended for resource protection purposes which may include all aspects of law enforcement (from equipment to labor), community oriented policing programs, and other resource protection and management measures such as the installation of mooring buoys or restoration of injured resources

Appropriation: North Pacific Fishery Observer Fund**Summary of Requirements**

| | Summary | |
|-------------------------------------|-----------|----------------|
| | Positions | Amount |
| 2020 Mandatory Appropriation | 0 | \$3,500 |
| Adjustments | 0 | 500 |
| 2021 Base | 0 | 4,000 |
| Program Change | 0 | 0 |
| 2021 Mandatory Appropriation | 0 | 4,000 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------|--------------|--------------|-----------|---------|---------------|--------------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY | 0 | \$3,504 | 0 | \$3,971 | 0 | \$3,971 | 0 | \$0 |
| Previously Unavailable | | (211) | | | | (207) | | |
| Temporarily Reduced | | 207 | | | | 236 | | |
| TOTAL APPROPRIATION | 0 | 3,500 | | | 0 | 4,000 | | |

On January 1, 2013, the restructured North Pacific Groundfish Observer Program went into effect and made important changes to how observers are deployed, how observer coverage is funded, and the vessels and processors that must have some or all of their operations observed. Coverage levels are no longer based on vessel length and processing volume; NMFS now has the flexibility to decide when and where to deploy observers based on a scientifically defensible deployment plan. The observer program places all vessels and processors in the groundfish and halibut fisheries off Alaska into one of two observer coverage categories: (1) full coverage category and (2) partial coverage.

Vessels and processors in the full coverage category ($\geq 100\%$ observer coverage) will obtain observers by contracting directly with observer providers. Vessels and processors in the partial coverage category ($< 100\%$ observer coverage) will no longer contract independently with an observer provider and will be required to carry an observer when they are selected through the Observer Declare and Deploy System. Additionally, landings from all vessels in the partial coverage category will be assessed a 1.25 percent fee on standard ex-vessel prices of the landed catch weight of groundfish and halibut. The fee percentage is set in regulation and will be reviewed periodically by the North Pacific Council after the second year of the program. The money generated by this fee will be used to pay for observer coverage on the vessels and processors in the partial coverage category in the following year.

NMFS expects approximately \$4.0 million to be collected in fees from the FY 2020 season, to be used in FY 2021 for observer coverage.

Appropriation: Gulf Coast Ecosystem Restoration, Science, Observation, Monitoring and Technology Fund

Summary of Requirements

| | <u>Summary</u> | |
|-------------------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Mandatory Appropriation | 1 | \$0 |
| Adjustments | 0 | 0 |
| 2021 Base | 1 | 0 |
| Program Change | 0 | 0 |
| 2021 Appropriation | 1 | 0 |

The Gulf Coast Ecosystem Restoration Science, Observation, Monitoring and Technology Fund provides funding for the NOAA RESTORE Act Science Program. The purpose of this program is to initiate and sustain an integrative, holistic understanding of the Gulf of Mexico ecosystem and support, to the maximum extent practicable, restoration efforts and the long-term sustainability of the ecosystem, including fish stocks, fishing industries, habitat, and wildlife through ecosystem research, observation, monitoring, and technology development.

To ensure the best use of resources, the Program will coordinate with existing Federal and state science and technology programs, including other activities funded under the RESTORE Act, Section 1604 of the RESTORE Act authorized funding for the Program using 2.5 percent of the Gulf Coast Restoration Trust Fund.

Performance Indicators

The following table shows the NOAA performance Indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the NOAA segment of the Department of Commerce budget.

| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|--------------|--------------|
| Objective 1.1: Expand Commercial Space Activities | | | | |
| Number of workshops, reports, and other tools produced to facilitate growth and advancement of the U.S. commercial space industry | 4 | 4 | 4 | 6 |
| Number of space policy related decision processes, rulemakings, statements, or other governmental activities influenced/led by Commerce (NEW) | 16 | 16 | 16 | 20 |
| Milestones achieved in expanding capabilities (including staff) and transitioning SSA functions to DOC (NEW) | 10% | 10% | 25% | 50% |
| Number of external stakeholders engaged on space commerce policy issues (NEW) | NA | NA | 400 | 600 |
| Number of external stakeholder requests for support fulfilled (NEW) | NA | NA | 40 | 80 |
| Number of engagements with the commercial space industry or within major space policy decision processes | 16 | 16 | Discontinued | Discontinued |
| Staff hired and trained to facilitate transition | 4 | 4 | Discontinued | Discontinued |
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.1: Increase Aquaculture Production | | | | |
| Number of fishermen, seafood processors and aquaculture industry personnel who modify their practices using knowledge gained in fisheries sustainability and seafood safety | 15,000 | 23,000 | 15,000 | 0 |
| Annual economic and societal benefits from Sea Grant activities as measured by jobs created/retained (reported by each individual Sea Grant College) | 10,000 | 7,600 | 10,000 | 0 |
| Annual economic and societal benefits from Sea Grant activities as measured by businesses created/retained (reported by each individual Sea Grant College) | 2,000 | 1,600 | 2,000 | 0 |
| | \$400M | \$523M | \$400M | \$0M |
| Number of projects advanced that improve the efficiency and predictability of the federal permitting process | NA | 16 | 21 | 33 |
| Annual number of aquaculture research projects completed that address key production challenges | NA | 57 | 57 | 73 |
| Objective 2.2: Reduce and Streamline Regulation | | | | |
| Average number of days to complete informal ESA Section 7 consultation | 50 | 40 | 50 | 50 |

| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|----------------------|----------------------|----------------------|----------------------|
| Percent of top 175 U.S. seaports with access to Physical Oceanographic Real-Time Systems (PORTS®), which improves the safety and efficiency of marine transportation | 43% | 43% | 44% | 44% |
| Fish Stock Sustainability Index (FSSI 2) (cumul) *FSSI/ 3 | 760.5 | 758.5 | 777* | 788.5* |
| Percent of stocks for which the catch is below the specified Annual Catch Limit (ACL) (cumulative) | 84% | 88.3% | 89.7% | 90.7% |
| Percentage of FSSI fish stocks with adequate population assessments and forecasts (cumulative) **Mix of stocks changing for FY20 and FY21 | 56.8% | 56.8% | 69.1%** | 70.3%** |
| Percentage of protected species stocks with adequate population assessments and forecasts (cumulative) | 25.3% | 22.3% | 26.7% | 28.8% |
| Number of protected species designated as threatened, endangered, or depleted with stable or increasing population levels (cumulative) | 30 (out of 93) | 30 (out of 94) | 30 (out of 95) | 30 (out of 95) |
| Percentage and number of actions ongoing or completed to recover endangered and threatened species (cumulative) | 2,330/4,674 49.9% | 2,358/4,623 51.1% | 2,385/4,802 49.7% | 2,412/4,802 50.2% |
| Number of open environmental reviews that exceed regulatory or statutory deadlines | 50 | 74 | 60 | 60 |
| Percent of Seafood Inspection Monitoring Program (SIMP) audits that are compliant | NA | 64% | 80% | 90% |
| Number of youth participating in hands-on learning in national marine sanctuaries | 52,000 | 68,895 | 50,000 | 50,000 |
| Number of volunteer hours supporting science, education, and public engagement programs to raise awareness and meet science needs of national marine sanctuaries | 133,000 | 117,746 | 125,000 | 125,000 |
| Number of natural resource environments managed by the Office of National Marine Sanctuaries in which water, habitat, and living resource quality is stable or improving | 10 | 9 | Discontinued | Discontinued |
| Sanctuary and Monument reporting areas that can adequately assess resource condition (NEW) | 82% | 82% | 82% | 82% |
| Sanctuary and Monument natural resources (water, habitat and biota) being maintained or improved (NEW) | 47% | 47% | 47% | 47% |
| Sanctuary and Monument reporting areas providing resource services at an acceptable level (NEW) | 71% | 71% | 71% | 71% |
| Number of natural resource environments managed by the Office of National Marine Sanctuaries in which water, habitat, and living resource quality is stable or improving | 10 | 9 | Discontinued | Discontinued |
| Goal 3: Strengthen U.S. Economy and National Security | | | | |
| Objective 3.3: Reduce Extreme Weather Impacts | | | | |
| Annual number of peer-reviewed publications related to environmental understanding and prediction | 3,387 | 3,171 | 2,370 | 2,370 |
| Number of NOAA datasets made openly available via Partners' cloud platforms to the public, America's Weather Enterprise and other environmental information stakeholders (cumulative) | 60 | 74 | 100 | 150 |
| U.S. temperature forecast skill | 26 | 35 | 26 | 27 |

National Oceanic and Atmospheric Administration

| | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|------------------------|------------------------|------------------------|------------------------|
| Key milestones completed on time for satellites and ship deployments | 2 SAT 1 SHIPS | 2 SAT 1 SHIPS | 2 SAT 2 SHIPS | 2 SAT 0 SHIPS |
| Base Funded Days-at-Sea for NOAA Ships <i>*Adjusted in FY20 to Total DAS</i> | 2,124 | 1,719 | 2,759* | 2,670* |
| Percentage of data processed and delivered to operational users from NOAA managed satellites | 98.5% | 99.4% | 98.5% | 98.5% |
| Severe weather warnings for tornadoes – Storm based lead time (minutes), Accuracy (%), and False Alarm Ratio (FAR) (%) | 13 Min / 72 A / 71 FAR | 10 Min / 64 A / 70 FAR | 13 Min / 72 A / 71 FAR | 13 Min / 72 A / 71 FAR |
| Severe weather warnings for flash floods - Lead time (minutes) and Accuracy (%) | 65 Min / 76 A | 65 Min / 77 A | 65 Min / 76 A | 65 Min / 76 A |
| Hurricane forecast track error (48 hour) | 62 | TBD | 59 | 57 |
| Hurricane forecast intensity error (48 hour) | 12 | TBD | 12 | 11 |
| Accuracy (%) (threat score) of Day 1 precipitation forecasts | 33 | 37 | 34 | 34 |
| Lead time (hours) and accuracy (%) for winter storm warnings | 20 hrs / 90% | 21 hrs / 82% | 20 hrs / 90% | 20 hrs / 90% |
| Accuracy (%) of forecast for marine wind speed / wave height | 79% / 82 ht | 82% / 85 ht | 80% / 83 ht | 80% / 83 ht |
| Accuracy (%) and FAR (%) of forecasts of ceiling and visibility (3 miles / 1000 feet) (aviation forecasts) | 65 A / 38 FAR | 64 A / 33 FAR | 65 A / 38 FAR | 65 A / 38 FAR |
| Geomagnetic storm forecast accuracy (%) | 57 | 62 | 58 | 59 |
| Number of communities that utilize Digital Coast | 5,000 | 6,840 | 5,000 | 5,000 |
| Percentage of U.S. coastal states and territories demonstrating annual improvement in resilience capacity to weather and climate hazards | 77% | 77% | 77% | 77% |
| Percent of all coastal communities susceptible to harmful algal blooms verifying use of accurate HAB forecasts | 23% | 23% | 23% | 23% |
| Hydrographic data acquired to support safe and efficient maritime commerce and for community resilience to storms and other coastal hazards (square nautical miles) | 2,279 | 8,745 | 2,279 | 2,319 |
| Percent of U.S. and territories surveyed to improve vertical reference system for modernized height / elevation data (cumulative) | 79% | 79% | 87% | 96% |
| Annual number of OAR R&D products transitioned to a new stage(s) (development, demonstration, or application). | 65 | 65 | 125 | 75 |
| Annual number of NOAA partnerships with the private sector (# of Cooperative Research and Development Agreements executed) | 8 | 14 | 16 | 9 |
| Reduction in gap between high-performance computing deployed and what is needed to meet modeling requirements (in petaflops) | 17 | 17.8 | 18 | 20 |
| Subseasonal Temperature Skill Score | 35 | 40 | 36 | 36 |
| Customer Satisfaction Index (CSI) | 80 | 86 | 80 | 80 |
| Global Ensemble Forecast System (GEFS) length of forecast considered accurate (days) | 9.5 | 9.8 | 10.0 | 10.25 |
| Percentage of ingested environmental data safely archived to ensure consistent long-term stewardship and usability of the data (per National Archives and Records Administration (NARA) standards | 98% | 98% | 98% | 98% |
| Annual Number of Ocean Acidification Observations collected by the National Ocean Acidification Observing Network | 7,817 | 7,211 | 7,300 | 7,300 |

| | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|-------------|-------------|-------------|-------------|
| Annual Number of Ocean Acidification Observations transmitted to NOAA | 70% | 71% | 70% | 70% |
| Percent of deepwater ocean (>200m) of U.S. Exclusive Economic Zone (EEZ) mapped (cumulative) | 53% | 51% | 51% | 53% |
| Annual number of sites characterized in the U.S. Exclusive Economic Zone (EEZ) | 100 | 135 | 100 | 100 |
| Number of forecast and mission improvements, based on The Weather Research and Forecasting Innovation Act of 2017, to weather applications at operational US weather services and in the US weather commercial sector. | 15 | 12 | 5 | 3 |
| Key milestones completed on time for aircraft acquisitions (NEW) | 2 | 2 | 2 | 1 |
| Global Forecast System (GFS) 500 hPA Anomaly Correlation: Length of Forecast Considered Accurate (NEW) | 8.4 | 8.4 | 9.0 | 9.5 |
| Percent Extended Range Climate Prediction Center Outlooks exceeding threshold (outlooks) – All Temperature-Precipitation / All Temperature / All Precipitation | 78, 80, 75 | 78, 81, 75 | 78, 81, 75 | 79, 82, 76 |
| Percent Long Range Climate Prediction Center Outlooks exceeding threshold: – Temperature/Precipitation Outlooks, All Temperature Outlooks, All Precipitation Outlooks (NEW) | 48, 60, 36 | 50, 64, 36 | 48, 60, 36 | 48, 60, 36 |
| Percent Extended and Long Range Climate Prediction Center Outlooks exceeding threshold (outlooks) – All Temperature-Precipitation / All Temperature / All Precipitation | 75, 80, 70 | 76, 80, 73 | 75, 80, 70 | 75, 81, 71 |
| Number of new partner observing systems data sources included in operational product and service generation (NEW) | NA | NA | NA | 2 |
| Number of StormReady Communities (cumulative) (NO TARGETS) | NA | 3,191 | NA | NA |
| Number of TsunamiReady Communities (cumulative) (NO Targets) | NA | 216 | NA | NA |

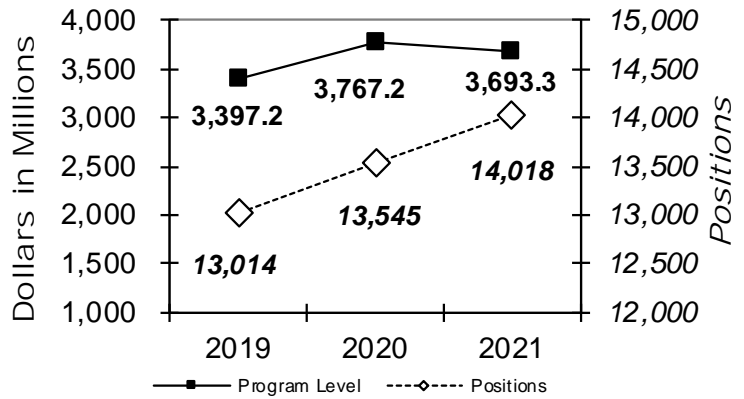
* Annual Hurricane Season begins June 1 and ends November 30. The final values are produced after a verification and validation period. Calendar Year (CY) 2019 Hurricane GPRA will be available in April 2020.

U.S. Patent and Trademark Office

The mission of the U.S. Patent and Trademark Office (USPTO) is to foster innovation, competitiveness, and job growth in the United States by conducting high quality and timely patent and trademark examination and review proceedings in order to produce reliable and predictable intellectual property rights (IP); guide IP policy and improve IP rights protection; and deliver IP information and education worldwide.

USPTO accomplishes this mission through its two distinct business lines, **Patents and Trademarks**, which administer the patent and trademark laws. These laws provide protection to inventors and businesses for their inventions and brands. The laws also encourage innovation and entrepreneurship in the United States through the preservation, classification, and dissemination of patent and trademark information. In addition to the examination of applications for patents and trademark registrations, the USPTO provides technical advice and information to Federal agencies on IP matters and trade-related aspects of IP rights, and assists foreign governments in establishing regulatory and enforcement mechanisms to meet their international obligations related to the protection of IP.

Program Level and Positions



In FY 2021, the USPTO continues to fulfill its mission by fully supporting the strategic and management priorities of issuing reliable and predictable IP rights; optimizing patent and trademark application pendency; enhancing patent administrative appeal and post-grant processes; fine tuning trademark operations, including trademark administrative appeal and trial processes; conducting outreach, education and engagement both domestically and internationally; promoting and protecting patent and trademark IP rights; and investing in our information technology (IT) stabilization and modernization.

Summary of Appropriations

| | 2019 Actual | 2020 Enacted | 2021 Estimate | Increase (Decrease) |
|---|----------------|-----------------|------------------|------------------------|
| Appropriations | | | | |
| New Offsetting Coll. / Program Level | \$3,398,740 | \$3,769,152 | \$3,695,295 | (\$73,857) |
| Fee Collections | (3,398,740) | (3,769,152) | (3,695,295) | 73,857 |
| Total Appropriation | 0 | 0 | 0 | 0 |
| Transfer to IG | (1,500) | (2,000) | (2,000) | 0 |
| Budget Authority | | | | |
| New Offsetting Coll. / Program Level | 3,397,240 | 3,767,152 | 3,693,295 | (73,857) |
| Base Fee Collections | (3,398,740) | (3,769,152) | (3,695,295) | 73,857 |
| Budget Authority Temporarily Unavailable | 0 | 0 | 0 | 0 |
| Total Budget Authority | (1,500) | (2,000) | (2,000) | 0 |
| Positions - Reimbursable | 13,014 | 13,545 | 14,018 | 473 |
| Full-Time Equivalent Employment - Reimbursable | 12,328 | 12,965 | 13,510 | 545 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|----------------------------|---|---|------------|------------------|
| Salaries and Expenses | Patent Program | Patent Examining | 417 | \$27,974 |
| Salaries and Expenses | Patent Program | Patent Information Resources | 0 | 25,876 |
| Salaries and Expenses | Mission Support Program | IT Infrastructure and IT Support Services | 0 | 17,527 |
| Salaries and Expenses | Trademark Program | Trademark Examining | 52 | 5,164 |
| Salaries and Expenses | Mission Support Program | Mission Support Information Resources | 0 | 3,443 |
| Salaries and Expenses | Intellectual Property Policy Protection and Enforcement Program | IPR Attaché Program | 0 | 1,744 |
| Salaries and Expenses | Intellectual Property Policy Protection and Enforcement Program | Policy, External Affairs and Administrative Support | 0 | 1,181 |
| Salaries and Expenses | Intellectual Property Policy Protection and Enforcement Program | IP PP&E Information Resources | 0 | 433 |
| Salaries and Expenses | Trademark Program | Trademark Appeals and Inter Partes Proceedings | 1 | 262 |
| Salaries and Expenses | Mission Support Program | Financial Management Services | 1 | 112 |
| Salaries and Expenses | Intellectual Property Policy Protection and Enforcement Program | Global Intellectual Property Academy (GIPA) | 0 | 70 |
| Salaries and Expenses | Mission Support Program | Legal Services | 1 | 49 |
| Subtotal, Increases | | | 472 | \$83,834 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|----------------------------|-------------------------|---|-----------|-------------------|
| Salaries and Expenses | Trademark Program | Trademark Information Resources | 1 | \$(39,365) |
| Salaries and Expenses | Mission Support Program | Miscellaneous General Expense | 0 | (4,853) |
| Salaries and Expenses | Mission Support Program | Human Resource Management and Administrative Services | 1 | (1,417) |
| Salaries and Expenses | Patent Program | Patent Trial and Appeals | (1) | (1,290) |
| Salaries and Expenses | Mission Support Program | Executive Direction and Communications | 0 | (600) |
| Subtotal, Decreases | | | 1 | \$(47,526) |

Terminations

None

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | Detailed | | Summary | |
|--|-----------|----------|---------------|------------------|
| | Positions | Amount | Positions | Amount |
| FY 2020 Enacted | | | | \$0 |
| 2020 Estimated Fee Collections | | | 13,545 | 3,769,152 |
| Other Income/Recoveries | | | | 40,500 |
| USPTO Funding from Operating Reserve | | | | (119,587) |
| Funds currently available, 2020 | | | 13,545 | 3,690,065 |
| FY 2020 Transfer to DOC OIG | | | | (2,000) |
| FY 2020 Base | | | 13,545 | 3,688,065 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$10,755 | | |
| FY 2021 Pay raise | | 13,112 | | |
| Full year cost in 2021 for positions financed for part-year in FY 2020 | | 39,345 | | |
| One less compensable day | | (10,042) | | |
| Civil Service Retirement System (CSRS) | | (699) | | |
| Federal Employees' Retirement System (FERS) | | 23,003 | | |
| Thrift Savings Plan | | 200 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 594 | | |
| Health insurance | | 3,345 | | |
| Travel - Per diem | | 135 | | |
| Rent payments to GSA | | 1,936 | | |
| Postage | | 59 | | |
| NARA | | (282) | | |
| Working Capital Fund | | 1,396 | | |
| General Pricing Level Adjustment: | | | | |
| Transportation of things | | 5 | | |
| Rental payments to others | | 333 | | |
| Communications, utilities, and miscellaneous charges | | 468 | | |
| Printing and reproduction | | 3,225 | | |
| Other services | | 9,956 | | |
| Supplies and materials | | 900 | | |
| Equipment | | 5,022 | | |
| Continuous Diagnostics and Mitigation Charges | | 896 | | |
| Enterprise Services | | (422) | | |
| Other Compensation Adjustments | | 38,437 | | |
| Post Retirement Benefits to OPM | | 6,316 | | |
| Subtotal, Other Changes | 0 | 147,993 | | |
| 2021 Base | | | 13,545 | 3,836,058 |
| Program Changes | | | 473 | 36,308 |
| TOTAL REQUIREMENTS | | | 14,018 | 3,872,366 |
| Total Offsetting Fee Collections | | | | (3,695,295) |
| Other Income/Recoveries | | | | (40,500) |
| Transfer to OIG | | | | 2,000 |
| USPTO Funding to Operating Reserve | | | | (138,571) |
| 2021 NET APPROPRIATION | | | 14,018 | 0 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / (Decrease) | |
|--------------------------------------|---------------|------------------|---------------|------------------|---------------|------------------|-----------------------|---------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| REQUIREMENTS | | | | | | | | |
| Patents | 11,999 | \$3,200,343 | 11,999 | \$3,324,737 | 12,418 | \$3,395,728 | 418 | \$70,991 |
| Trademarks | 1,331 | 411,065 | 1,331 | 432,275 | 1,385 | 394,524 | 54 | (37,751) |
| IP Policy Enforcement and Protection | 214 | 76,657 | 214 | 79,046 | 215 | 82,114 | 1 | 3,068 |
| TOTAL REQUIREMENTS | 13,545 | 3,688,065 | 13,545 | 3,836,058 | 14,018 | 3,872,366 | 473 | 36,308 |
| FINANCING | | | | | | | | |
| Fees | | (3,769,152) | | | | (3,695,295) | | |
| Other Income /Recoveries | | (40,500) | | | | (40,500) | | |
| USPTO funding to Operating Reserve | | 119,587 | | | | (138,571) | | |
| Subtotal Financing | 0 | (3,690,065) | | | 0 | (3,874,366) | | |
| TOTAL BUDGET AUTHORITY | 13,545 | (2,000) | | | 14,018 | (2,000) | | |
| Transfer to DOC OIG | | 2,000 | | | | 2,000 | | |
| TOTAL APPROPRIATION | 13,545 | 0 | | | 14,018 | 0 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|----------------|---------------|--------------------|---------------------|------------------|
| | Positions | Amount | Positions | Amount |
| Patents | 11,006 | \$2,569,000 | +416 | +\$52,559 |

Patent Examining +417 +27,974

Optimize the workforce by hiring approximately 750 examiners (roughly 353 over attrition levels) with production support to align examination capacity with incoming workload, and inventory levels. The hiring will allow the USPTO to continue progressing toward pendency targets and issuing reliable and predictable patents, while addressing the anticipated growth in application filings.

Patent Trial and Appeals (1) (1,290)

Leverage existing Patent Trial and Appeal Board (PTAB) staffing and production incentives, gradually declining in total staff to adequately balance evolving workload projections and enhanced operations to meet statutory trial proceeding deadlines.

Patent Information Resources 0 +25,876

Progressing with IT modernization improvements in the Patent IT Portfolio, focusing resources on development and deployment of new IT capabilities and retiring legacy systems after substantially advancing Office-wide stabilization efforts.

| | Base | | Increase / Decrease | |
|-------------------|--------------|------------------|---------------------|-------------------|
| | Positions | Amount | Positions | Amount |
| Trademarks | 1,136 | \$299,076 | +54 | (\$33,939) |

Trademark Examining +52 +5,164

Optimize the workforce by hiring 65 examining attorneys (37 over attrition levels) with policy and production support to align trademark application examination capacity with revised growth estimates, while continuing to meet high quality and pendency targets.

Trademark Appeals and Inter-Partes Proceeding +1 +262

Increase Trademark Trial and Appeal Board (TTAB) staffing by 1 position to align capacity with projected workload.

Trademark Information Resources +1 (39,365)

A lower level of investment in Trademark IT after a peak in FY 2020, while managing FY 2021 stabilization and modernization plans for Trademark IT systems and the staff necessary to support those efforts.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|------------------|----------------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>IP Policy and Enforcement</u> | 128 | \$44,248 | 0 | +\$3,428 |
| Policy, External Affairs and Administrative Support | | | 0 | +1,181 |
| Increase funding to maintain IP policy business operations and existing interagency agreements. | | | | |
| Global Intellectual Property Academy (GIPA) | | | 0 | +70 |
| Increase funding to maintain IP policy business operations and training. | | | | |
| IPR Attaché Program | | | 0 | +1,744 |
| Increase funding to further expand the attaché program. | | | | |
| IP, PE&P Information Resources | | | 0 | +433 |
| Increase funding to maintain existing IT systems for IP performance activities. | | | | |
| | | | | |
| | <u>Base</u> | | <u>Increase / Decrease</u> | |
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Mission Support</u> | 1,275 | \$923,734 | +3 | +\$14,260 |
| Executive Direction & Communications | | | 0 | (600) |
| This request will continue to fund current programs at a steady state, which include efforts to educate the public on the importance of the American system of IP protection at targeted outreach events. | | | | |
| Financial Management Service | | | +1 | +112 |
| Increase staffing to meet agency needs in the critical area of fee forecasting. | | | | |
| Human Resource Management & Administrative Services | | | +1 | (1,417) |
| This request will continue to fund current programs at a steady state, along with an increase of one position to aid the Office in supporting the management of its multi-million dollar asset inventory. | | | | |
| Legal Services | | | +1 | +49 |
| Increase staffing to support an increased workload in the OED and provide the resources necessary to continue administering OED programs, as well as additional outreach efforts. | | | | |
| Mission Support Information Resources | | | 0 | +3,443 |
| Increase investment in the IT Infrastructure and Mission Support Portfolio with a focus on legal and equal employment management functions. | | | | |
| IT Infrastructure & IT Support Services | | | 0 | +17,527 |
| Increase investment in the IT Infrastructure and Mission Support Portfolio with a focus on the USPTO's hardware refresh cycle. | | | | |
| Miscellaneous General Expense | | | 0 | (4,853) |
| Continue operations in all mission support areas to fulfill the duties and planned programming needed to implement the mission-critical activities of the Office. Program changes reflect offsets caused by reductions to rent projections and non-recurring projects. | | | | |

Performance Indicators

The following table shows the USPTO performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the USPTO segment of the Department of Commerce budget.

| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Objective 1.3: Strengthen Intellectual Property Protection | | | | |
| Number of people, including foreign government officials and U.S. stakeholders, trained on best practices to protect and enforce intellectual property | 4,500 | 9,854 | 5,000 | 5,000 |
| Patent average first action pendency (months) | 14.7 | 14.7 | 16.1 | 16.2 |
| Patent average total pendency (months) | 24.0 | 23.8 | 23.7 | 23.9 |
| Patent first action completed within 14 months (percent) | 47.0 | 45.0 | 39.0 | 39.0 |
| Patent Statutory Compliance Metrics: | | | | |
| Statute 35 USC 101 | 97.0% | 97.7% | 97.0% | TBD |
| Statute 35 USC 102 | 95.0% | 94.2% | 95.0% | TBD |
| Statute 35 USC 103 | 93.0% | 89.9% | 93.0% | TBD |
| Statute 35 USC 112 | 93.0% | 91.0% | 93.0% | TBD |
| Trademark average first action pendency (months) | 2.5 to 3.5 | 2.6 | 2.5 to 3.5 | 2.5 to 3.5 |
| Trademark average total pendency (months) | 12.0 | 9.3 | 12.0 | 12.0 |
| Trademark first action compliance rate | 95.5% | 96.4% | 95.5% | 95.5% |
| Trademark final compliance rate | 97.0% | 97.4% | 97.0% | 97.0% |
| Trademark exceptional office action (percent) | 45.0% | 54.5% | 50.0% | 50.0% |
| Goal 3: Strengthen U.S. Economic and National Security | | | | |
| Objective 3.1: Enforce the Nation's Trade Laws and Security Laws | | | | |
| Percentage of prioritized countries for which intellectual property country teams have made progress on at least 3 of the 4 performance criteria: 1) institutional improvements of IP office administration for advancing IP protection; 2) institutional improvements of IP enforcement entities; 3) improvements in IP laws and regulations; and, 4) establishment of government-to-government cooperative mechanisms | 66.0% | 66.0% | 66.0% | 66.0% |

National Institute of Standards and Technology

The National Institute of Standards and Technology (NIST) mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. NIST is authorized by the NIST Organic Act (15 USC 271), which outlines major roles for NIST in promoting national competitiveness and innovation.

NIST's FY 2021 Budget Request is \$737.5 million, \$296.5 million below the FY 2020 enacted level.

NIST accomplishes this mission and addresses its priorities through the following activities:

Scientific and Technical Research and Services (STRS):

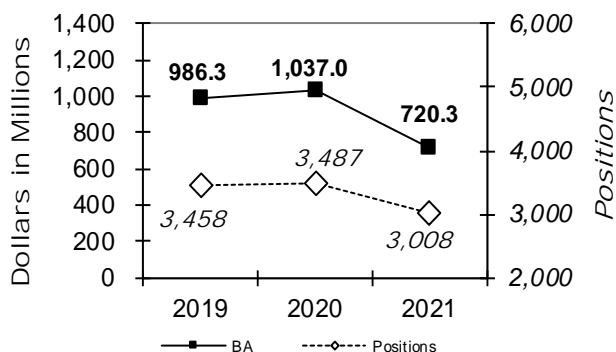
FY 2021 Budget Request for STRS is \$652 million, \$102 million below the FY 2020 enacted level. For more than 115 years, NIST has maintained the national standards of measurement, a role that the U.S. Constitution assigns to the Federal government to ensure fairness in the marketplace. NIST was founded in 1901 and is one of the nation's oldest physical science laboratories. Today, the NIST laboratory programs work at the frontiers of measurement science to ensure that the U.S. system of measurements is firmly grounded in sound scientific and technical principles. The NIST Laboratories address increasingly complex measurement challenges, ranging from the very small (quantum devices for sensing and advanced computing) to the very large (vehicles and buildings), and from the physical infrastructure to the virtual (cybersecurity and the internet of things). As new technologies develop and evolve, NIST's measurement research and services remain critical to national defense, homeland security, trade, and innovation.

Industrial Technology Services (ITS): The FY 2021 Budget Request is \$25.3 million, \$136.7 million below the FY 2020 enacted level. The account funds two programs:

- **Manufacturing USA:** The FY 2021 Budget Request for Manufacturing USA is \$25.3 million, \$9.3 million above the FY 2020 enacted level. Manufacturing USA, previously referred to as the National Network for Manufacturing Innovation, serves to create effective robust manufacturing research infrastructure for U.S. industry and academia to solve industry-relevant problems. Manufacturing USA consists of linked Institutes for Manufacturing Innovation with common goals, but unique concentrations. In an Institute, industry, academia, and government partners leverage existing resources, collaborate, and co-invest to nurture manufacturing innovation and accelerate commercialization. The Budget proposes to initiate a second NIST-funded Manufacturing USA Institute while discontinuing dedicated funding to DOC's first institute, the National Institute for Innovation in Manufacturing Biopharmaceuticals.
- **Hollings Manufacturing Extension Partnership (MEP):** The FY 2021 Budget Request continues the discontinuation of Federal funding for the MEP program, a reduction of \$146 million from the FY 2020 enacted level. The Hollings MEP program is a Federal-state-industry partnership that provides U.S. manufacturers with access to technologies, resources, and industry experts. The MEP program consists of Manufacturing Extension Partnership Centers located across the country that work directly with their local manufacturing communities to strengthen the competitiveness of our Nation's domestic manufacturing base. In FY 2021, no Federal funding will be provided for MEP Centers and the Centers will be required to rely on non-Federal funding.

Construction of Research Facilities: The FY 2021 Budget Request for CRF is \$60.2 million, \$57.8 million below the FY 2020 enacted level. The President's Budget provides funds for the basic maintenance of NIST's current facilities. In addition, the FY 2021 Budget Request proposes: (1) to receive financing from the Federal Capital Revolving Fund (FCRF) to fund large-dollar, Federally-owned, civilian real property capital projects; and (2) to provide specific budget enforcement rules for the FCRF that would allow it to function similar to capital budgets used by private companies and State and local governments. The FCRF will be housed in the General Services Administration (GSA). This proposal incorporates principles that are central to the success of capital budgeting by State and local governments: a limit on total funding for capital investment, annual decisions on the allocation of funding for capital projects, and spreading the acquisition cost over 15 years in the discretionary operating budgets of the purchasing agencies.

Budget Authority and Positions



The FY 2021 Budget Request proposes to use the FCRF to fund the \$294 million renovation of NIST Building 1 in Boulder, Colorado. In accordance with the principles and design of the FCRF, the FY 2021 Budget requests appropriations language designating the renovation as a project to be funded out of the FCRF along with 1/15 of the renovation costs, or \$19.6 million, for the first-year repayment back to the FCRF.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|---|-----------------------|------------------------|-------------------------|-------------------------------|
| Scientific and Technical Research and Services | \$724,500 | \$754,000 | \$652,027 | (\$101,973) |
| Industrial Technology Services | 155,000 | 162,000 | 25,252 | (136,748) |
| Construction of Research Facilities | 106,000 | 118,000 | 60,244 | (57,756) |
| Total Appropriation | 985,500 | 1,034,000 | 737,523 | (296,477) |
| Transfers / Other | | | | |
| Transfers of funds from Election Assistance | 1,250 | 1,500 | 1,250 | (250) |
| Transfers of funds from DoJ to OLES, STRS | 1,500 | 1,500 | 1,500 | 0 |
| Cancellation of anticipated recoveries (ITS) | 0 | 0 | (20,000) | (20,000) |
| Unobligated balance rescission (ITS) | (2,000) | 0 | 0 | 0 |
| Budget Authority | | | | |
| Scientific and Technical Research and Services | 727,250 | 757,000 | 654,777 | (102,223) |
| Industrial Technology Services | 153,000 | 162,000 | 5,252 | (156,748) |
| Construction of Research Facilities | 106,000 | 118,000 | 60,244 | (57,756) |
| Total Budget Authority | 986,250 | 1,037,000 | 720,273 | (316,727) |
| Positions | | | | |
| Scientific and Technical Research and Services - Direct | 2,557 | 2,586 | 2,188 | (398) |
| Industrial Technology Services - Direct | 99 | 99 | 18 | (81) |
| Construction of Research Facilities - Direct | 116 | 116 | 116 | 0 |
| Working Capital Fund - Reimbursable | 686 | 686 | 686 | 0 |
| Total | 3,458 | 3,487 | 3,008 | (479) |
| Full-Time Equivalent Employment | | | | |
| Scientific and Technical Research and Services - Direct | 2,377 | 2,486 | 2,088 | (398) |
| Industrial Technology Services - Direct | 85 | 96 | 16 | (80) |
| Construction of Research Facilities - Direct | 100 | 110 | 110 | 0 |
| Working Capital Fund - Reimbursable | 607 | 686 | 686 | 0 |
| Total | 3,169 | 3,378 | 2,900 | (478) |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|------------------------------------|---|-----------|------------------|
| STRS | Laboratory Programs | Measurement Tools and Testbeds to Power the Industries of the Future (IoTf) | 24 | \$27,415 |
| CRF | Construction and Major Renovations | GSA Federal Capital Revolving Fund Annual Payments Increase | 0 | 19,600 |
| ITS | Manufacturing USA | Fund an Additional DOC Manufacturing USA Institute | 0 | 9,068 |
| Total, Increases | | | 24 | \$56,083 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|---|---|--------------|--------------------|
| STRS | Laboratory Programs | Laboratory Programs Reduction | (391) | \$(115,461) |
| CRF | Construction and Major Renovations | Building One Renovation Decrease | 0 | (43,000) |
| CRF | Construction and Major Renovations | Safety, Capacity, Maintenance and Major Repairs Reduction | 0 | (36,536) |
| STRS | Standards Coordination and Special Programs | Standards Coordination and Special Programs Reduction | (25) | (34,366) |
| STRS | Corporate Services | Corporate Services Programmatic Decrease | (6) | (5,802) |
| Total, Decreases | | | (422) | \$(235,165) |

Terminations

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|----------------------------|--|--|-------------|--------------------|
| ITS | Hollings Manufacturing Extension Partnership Program | Hollings Manufacturing Extension Partnership Program | (81) | \$(146,853) |
| Total, Terminations | | | (81) | \$(146,853) |

Highlights of Budget Changes

Appropriation: Scientific and Technical Research and Services

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 2,586 | \$754,000 |
| Adjustments to Base | | | | |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (998) |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$11,876 | | |
| FY 2021 Pay raise | | 2,874 | | |
| Increase in awards | | 2,935 | | |
| One less compensable day | | (1,455) | | |
| Civil Service Retirement System (CSRS) | | (213) | | |
| Federal Employees' Retirement System (FERS) | | 4,359 | | |
| Thrift Savings Plan (TSP) | | 61 | | |
| Federal Insurance Contribution Act (FICA) - OASDI | | 238 | | |
| Health insurance | | 1,080 | | |
| Employees' Compensation Fund | | 2 | | |
| Travel - Per Diem | | 74 | | |
| Rent payments to GSA | | 3 | | |
| NARA | | (16) | | |
| Working Capital Fund | | 1,016 | | |
| General pricing level adjustment | | | | |
| Transportation of things | | 19 | | |
| Communications, utilities, and miscellaneous charges | | 118 | | |
| Printing and reproduction | | 14 | | |
| Other services | | 2,302 | | |
| Supplies and materials | | 402 | | |
| Equipment | | 807 | | |
| Continuous Diagnostics and Mitigation Charges | | 389 | | |
| Enterprise Services | | (134) | | |
| Commerce Business System | | 294 | | |
| Electricity rate increase | | 75 | | |
| Natural Gas rate decrease | | 38 | | |
| Scientific journal subscriptions | | 81 | | |
| Subtotal, other changes | 0 | 27,239 | | |
| Total Adjustments to Base | | | 0 | 26,241 |
| 2021 Base | | | 2,586 | 780,241 |
| Program Changes | | | (398) | (128,214) |
| 2021 APPROPRIATION | | | 2,188 | 652,027 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|--------------|----------------|---------------|----------------|---------------------|------------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Laboratory Programs | 2,346 | \$657,267 | 2,346 | \$679,378 | 1,979 | \$592,582 | (367) | (\$86,796) |
| Corporate Services | 29 | 17,311 | 29 | 17,762 | 23 | 11,960 | (6) | (5,802) |
| Standards Coordination and Special Programs | 211 | 82,422 | 211 | 83,101 | 186 | 50,235 | (25) | (32,866) |
| TOTAL BUDGET AUTHORITY | 2,586 | 757,000 | 2,586 | 780,241 | 2,188 | 654,777 | (398) | (125,464) |
| FINANCING | | | | | | | | |
| Transfers from EAC | | (1,500) | | | | (1,250) | | |
| Transfers from DoJ | | (1,500) | | | | (1,500) | | |
| TOTAL APPROPRIATION | 2,586 | 754,000 | | | 2,188 | 652,027 | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|-----------------------------------|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>Laboratory Programs</u> | 2,346 | \$679,378 | (367) | (\$88,046) |

Measurement Tools and Testbeds to Power the Industries of the Future (IoTF)

+24 +27,415

NIST requests \$27.4 million to create measurement tools and testbeds to support deploying, at scale, the technologies that will power the Industries of the Future and define the economy of the 21st century and beyond. The focal point of these investments (\$25 million) is accelerating the development and adoption of artificial intelligence (AI) technologies to ensure they are interoperable, secure, and reliable. The IoTF request also invests \$1.4 million for standards development efforts for 5G to ensure that the U.S. maintains global leadership with regards to advanced communications standards. The IoTF request includes \$1 million to accelerate efforts to develop profiles for Position, Navigation and Timing (PNT) in accordance with the Administration's efforts to support Strengthening National Resilience through Responsible Use of Positioning, Navigation, and Timing Services.

Laboratory Programs Reduction

(391) (115,461)

To meet the topline funding levels proposed in the FY 2021 President's Budget Request and support the Administration's stated priorities for Industries of the Future (IoTF) in quantum information science, artificial intelligence, advanced communications, advanced manufacturing, and biotechnology -- NIST reevaluated the reductions previously proposed by the Administration to ensure that NIST could continue to provide the broadest portfolio of measurement science standards possible, while preserving and increasing efforts relevant to quantum science, artificial intelligence, and microelectronics. To accomplish this NIST will have to make substantial reductions to its current R&D and program portfolio that impact work in advanced materials, physical infrastructure and resilience, and areas across NIST. The funding for the NIST laboratory programs will be reduced by \$115.5 million and this reduction proposes the elimination of 391 employees. Of those employees, over 350 come from NIST's scientific workforce, a roughly 15 percent reduction of NIST's technical workforce. The request for laboratory programs is approximately a 15 percent reduction from currently enacted levels.

Corporate Services

29 \$17,762 (6) (\$5,802)

Corporate Services Programmatic Decrease

(6) (5,802)

Consistent with NIST's priority to focus resources on the laboratory programs, NIST is proposing reductions to Corporate Services by approximately 33 percent, a reduction of \$5.8 million. NIST relies on centralized Information Technology (IT) support to provide secure, centrally managed IT infrastructure resources which leads to improved measurement methods, standards advance, reference data, and research results benefiting numerous sectors of the U.S. economy. In support of this mission, NIST maintains a Network Roadmap which is a phased, prioritized approach for upgrading the network and maintaining performance consistent with its mission requirements. NIST will reduce its plans to purchase contractual support to install only the most critically-needed IT infrastructure improvements to upgrade its network capacity to enable large-scale data transfers. To preserve its support to the core programs in our laboratories, NIST will also reduce staff and funding levels of contractual services that support NIST's business systems which are an integral part of DOC's vision for consolidation and modernization of its business systems.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|-----------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Standards Coordination and Special Programs | 211 | \$83,101 | (25) | (\$34,366) |
| Standards Coordination and Special Programs Reduction | | | (25) | (34,366) |

Consistent with NIST's priority to focus resources on the laboratory programs, NIST is proposing reductions to Standards Coordination and Special Programs by 41 percent, a reduction of \$34.4 million. The Standards Coordination and Special Programs houses two cross-NIST activities managed by the Associate Director for Laboratory Programs: crosscutting R&D programs, and documentary standards coordination and policy development. The proposed reductions will largely eliminate external R&D partnerships that expand and broaden the impact of the NIST Laboratory R&D programs. They will also eliminate crosscutting R&D program management functions of the Special Programs Office, leaving the individual NIST laboratories responsible for remaining intramural work to take on those responsibilities.

Appropriation: Industrial Technology Services

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 99 | \$162,000 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$502 | | |
| FY 2021 Pay raise | | 121 | | |
| Increase in awards | | 123 | | |
| One less compensable day | | (61) | | |
| Civil Service Retirement System (CSRS) | | (7) | | |
| Federal Employees' Retirement System (FERS) | | 181 | | |
| Thrift Savings Plan (TSP) | | 2 | | |
| Federal Insurance Contribution Act (FICA) - OASDI | | 8 | | |
| Health Insurance | | 45 | | |
| Employees' Compensation Fund | | (14) | | |
| Travel - Per Diem | | 3 | | |
| General Pricing Level Adjustment | | | | |
| Communications, utilities, and miscellaneous charges | | 2 | | |
| Other services | | 116 | | |
| Supplies and materials | | 4 | | |
| Equipment | | 7 | | |
| Electricity / Natural Gas rate increase | | 5 | | |
| Subtotal, other changes | 0 | 1,037 | | |
| 2021 Base | | | 99 | 163,037 |
| Program Changes | | | (81) | (137,785) |
| 2021 APPROPRIATION | | | 18 | 25,252 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|------------|----------------|---------------|---------------|---------------------|------------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Hollings Manufacturing Extension Partnership Program | 81 | \$146,000 | 81 | \$146,853 | 0 | \$0 | (81) | (\$146,853) |
| Manufacturing USA | 18 | 16,000 | 18 | 16,184 | 18 | 25,252 | 0 | 9,068 |
| Anticipated Recoveries | | | | (20,000) | | (20,000) | 0 | 0 |
| TOTAL BUDGET AUTHORITY / | 99 | 162,000 | 99 | 143,037 | 18 | 5,252 | (81) | (137,785) |
| Restoration of Cancellation of Anticipated Recoveries | | | | 20,000 | | 20,000 | 0 | 0 |
| APPROPRIATION | 99 | 162,000 | 99 | 163,037 | 18 | 25,252 | (81) | (137,785) |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|------------------|----------------------------|--------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Hollings Manufacturing Extension Partnership | 81 | \$146,853 | (81) | (\$146,853) |

The FY 2021 Budget eliminates Federal funding for MEP. Should additional resources be needed to effectuate the wind-down of the program, NIST will use recoveries from prior-year obligations and unobligated balances within the Industrial Technology Services appropriation.

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|---|------------------|-----------------|----------------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Manufacturing USA | 18 | \$16,184 | 0 | +\$9,068 |
| Fund an Additional DOC Manufacturing USA Institute | | | 0 | +9,068 |

This request will fund an additional Manufacturing USA Institute. The request will help expand Manufacturing USA, which was created by Congress to strengthen U.S. manufacturing. Manufacturing USA promotes direct and broad collaboration on industry relevant research and development to make sure that innovations developed in the U.S. are also manufactured in the U.S. rather than other countries. Institutes will facilitate the adoption of new manufacturing technologies, tools, and methodologies that make U.S. manufacturers more competitive. Manufacturing USA emphasizes outreach and engagement with small and medium sized manufacturing enterprises. With the increased funding, Department of Commerce (DOC) will be able to establish an additional industry-driven Innovation Institutes. These Institutes bridge a key market failure in the U.S. innovation ecosystem, which is even more pronounced in advanced manufacturing. U.S. manufacturers individually are challenged to fund these technological development functions, and small manufacturers especially struggle with individually investing in prototyping and scale up of new technologies and products.

Appropriation: Construction of Research Facilities

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|---|------------------|---------------|------------------|------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 116 | \$118,000 |
| Other Changes | | | | |
| FY 2020 Pay raise | | \$419 | | |
| FY 2021 Pay raise | | 101 | | |
| Increase in awards | | 107 | | |
| One less compensable day | | (51) | | |
| Civil Service Retirement System (CSRS) | | (7) | | |
| Federal Employees' Retirement System (FERS) | | 153 | | |
| Thrift Savings Plan (TSP) | | 2 | | |
| Federal Insurance Contribution Act (FICA) - OASDI | | 9 | | |
| Health Insurance | | 38 | | |
| Employees' Compensation Fund | | (10) | | |
| General Pricing Level Adjustment | | | | |
| Transportation of things | | 1 | | |
| Other services | | 1,111 | | |
| Supplies and materials | | 23 | | |
| Equipment | | 284 | | |
| Subtotal, other changes | 0 | 2,180 | 116 | 120,180 |
| 2021 Base | | | 116 | 120,180 |
| Program Changes | | | 0 | (59,936) |
| 2021 APPROPRIATION | | | 116 | 60,244 |

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|------------------------------------|--------------|----------------|------------|----------------|---------------|---------------|---------------------|-----------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| BUDGET AUTHORITY | | | | | | | | |
| Construction and Major Renovations | 116 | \$118,000 | 116 | \$120,180 | 116 | \$60,244 | 0 | (\$59,936) |
| TOTAL BUDGET AUTHORITY / | 116 | 118,000 | 116 | 120,180 | 116 | 60,244 | 0 | (59,936) |
| APPROPRIATION | | | | | | | | |

Highlights of Program Changes

| | <u>Base</u> | | <u>Increase / Decrease</u> | |
|--|------------------|------------------|----------------------------|-------------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| Construction and Major Renovations | 116 | \$120,180 | 0 | (\$59,936) |
| GSA Federal Capital Revolving Fund Annual Payments Increase | | | 0 | +19,600 |

The FY 2021 President's Budget Request proposes: (1) to create a Federal Capital Revolving Fund (FCRF) to fund large-dollar, Federally-owned, civilian real property capital projects; and (2) provide specific budget enforcement rules for the FCRF that would allow it to function, in effect, like State and local government capital budgets. The FCRF will be housed in the General Services Administration (GSA). This proposal incorporates principles that are central to the success of capital budgeting at the State and local level -- a limit on total funding for capital investment, annual decisions on the allocation of funding for capital projects, and spreading the acquisition cost over 15 years in the discretionary operating budgets of agencies that purchase the assets. The FY 2021 Budget proposes to use the FCRF concept to fund the renovation of NIST's Building 1 in Boulder, Colorado, estimated at \$294 million including furniture, fixtures and equipment. In accordance with the principles and design of the FCRF, the FY 2021 Budget requests appropriations language designating NIST's renovation as a project to be funded out of the FCRF along with 1/15 of the purchase price, or \$19.6 million, for the first-year repayment back to the FCRF.

Building One Renovation Decrease 0 \$43,000 0 (43,000)

NIST requests a decrease in the amount of \$43 million to reflect the one-time construction drop out for the Building 1 renovation project.

Safety, Capacity, Maintenance and Major Repairs Reduction 0 (36,536)

At the FY 2021 reduced base funding level, NIST would defer Safety, Capacity, Maintenance and Major Repairs (SCMMR) projects from FY 2021 to FY 2022 to include critical site and facility infrastructure projects necessary for routine facility operations. The request of \$40.6 million will primarily fund annual fixed costs for salaries, recurring contracts, capital asset management, and planning/support costs. Funds would be realigned to address high priority emergency projects that may arise unexpectedly.

Appropriation: Working Capital Fund

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|--------|-----------|--------|---------------|--------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 686 | \$0 | 686 | \$0 | 686 | \$0 | 0 | \$0 |

Public Safety Communications Research Fund (PSCRF)

NIST will continue to execute mandatory resources provided under the Middle Class Tax Relief and Job Creation Act of 2012 through the NIST Public Safety Communications Research Fund to help develop cutting-edge wireless technologies for public safety users, as part of the National Wireless Initiative included in the Act.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Estimate</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|---|-----------------------|-------------------------|-------------------------|-------------------------------|
| Wireless Innovation Fund | \$0 | \$0 | \$0 | \$0 |
| Positions | 78 | 80 | 80 | 0 |
| Full-Time Equivalent Employment - Reimbursable | 82 | 85 | 80 | (5) |

Highlights of Budget Changes

Appropriation: Wireless Innovation Fund

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 80 | \$0 |
| 2021 Base | 80 | 0 |
| Program Changes | 0 | 0 |
| 2021 APPROPRIATION | 80 | 0 |

Performance Indicators

The following table shows the NIST performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the NIST segment of the Department of Commerce budget.

| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|--|-------------------|-------------|-------------|-------------|
| Objective 1.2: Advance Innovation | | | | |
| International adoption of NIST Quantum SI Standards | 4 | 5 | 5 | 6 |
| Relative citation impact of NIST-authored publications | 1.3 | 1.69 | 1.3 | 1.3 |
| Number of businesses using NIST research facilities | 300 | 491 | 300 | 300 |
| Dollar amount of co-investment by non-Federal sources in DOC-supported Manufacturing USA institutes (millions) | \$20 ¹ | \$30 | \$42.5 | \$40.5 |
| Goal 3: Strengthen U.S. Economic and National Security | | | | |
| Objective 3.2: Enhance the Nation's Cybersecurity | | | | |
| Number of companies and organizations exposed to NCCOE produced cybersecurity practice guides and other products | 6,000 | 8,995 | 10,000 | 11,500 |
| Number of resources derived from the Cybersecurity Framework | 80 | 133 | 150 | 175 |
| Cumulative number of collaborators on NCCoE projects | 140 | 190 | 205 | 215 |

¹ In Q3 of FY 2019 Manufacturing USA Institute NIIMBLE (National Institute for Innovation in Manufacturing Biology) adjusted the budget based on the actual Federal expenditure, which led to a decrease in projected non-Federal co-investment from \$29M to \$20M.

National Technical Information Service

The mission of the National Technical Information Service (NTIS) is to provide innovative data services to Federal agencies, through agile partnerships with the private sector, to advance Federal data priorities, promote economic growth, and enable operational excellence. NTIS moves quickly, bringing industry-leading partners to government agency customers at the velocity of the government's needs. NTIS reports to the Secretary of Commerce through the National Institute of Standards and Technology. NTIS operates a revolving fund for the payment of all expenses incurred.

NTIS' mission priorities are to:

- Design, test, analyze, and demonstrate the application of Federal data and data services, either alone or in some combination with non-Federal data;
- Leverage the private sector's knowledge and expertise in managing data and data sets;
- Help create suites of products, platforms and services that meet the needs of businesses, innovators, government agencies or others; and,
- Enhance data discovery, usability, interoperability, standards, analytics, and forecasting, or data infrastructure and security.

In FY 2021, NTIS continues to fulfill its mission by providing innovative data services aligned with its data mission.

Summary of Appropriations

| <u>Appropriation</u> | 2019 <u>Actual</u> | 2020 <u>Estimate</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|---|-----------------------|-------------------------|-------------------------|-------------------------------|
| NTIS Revolving Fund | \$0 | \$0 | \$0 | \$0 |
| Positions | 75 | 42 | 60 | 18 |
| Full-Time Equivalent Employment - Reimbursable | 61 | 42 | 60 | 18 |

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | <u>Summary</u> | |
|---------------------------|------------------|---------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Estimate | 42 | \$0 |
| 2021 Base | 60 | 0 |
| Program Changes | 0 | 0 |
| 2021 Appropriation | 60 | 0 |

Performance Indicators

The following table shows the NTIS performance indicators and its related Departmental Strategic Goals and Objectives. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the NTIS segment of the Department of Commerce budget.

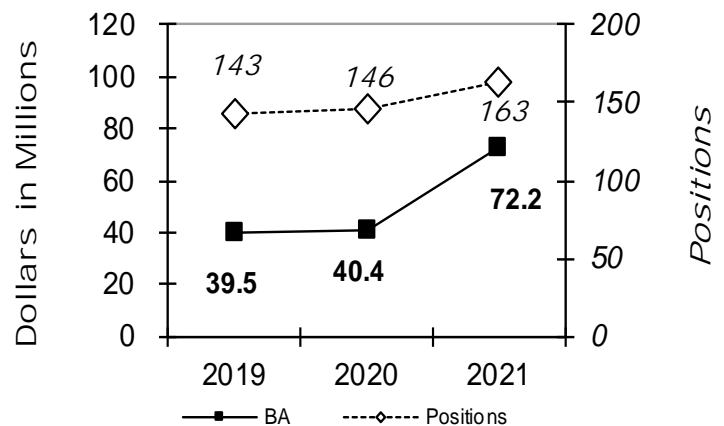
| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|-------------|-------------|-------------|-------------|
| Objective 1.2: Advance Innovation | | | | |
| Number of new public private projects (or Government – Industry projects) entered into under the Joint Venture (JV) Authority per year | 5 | 15 | 10 | 15 |
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.2: Reduce and Streamline Regulations | | | | |
| Yearly average number of days required to complete public-private projects (or Government – Industry projects) entered into under the Joint Venture (JV) Authority | 110 | 126 | 100 | 90 |
| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base; and, Goal 4: Fulfill Constitutional Requirements and Support Economic Activity Objective 4.2: Provide Accurate Data to Support Economic Activity | | | | |
| Total investment by the Federal Government on the new public-private projects (or Government – Industry projects) entered into under the Joint Venture (JV) Authority per year (millions) | \$3.0 | \$34.8 | \$10.0 | \$20.0 |

National Telecommunications and Information Administration

The mission of the National Telecommunications and Information Administration (NTIA) is to advise the President on communication and information policy. NTIA's mission priorities include:

- Developing domestic and international communications and information policy for the executive branch;
- Ensuring the efficient and effective management and use of spectrum by Federal agencies;
- Performing state-of-the-art communications research, engineering, and planning;
- Administering and managing broadband grant programs; and,
- Establishing a nationwide interoperable public safety broadband network.

Budget Authority and Positions



2021 Budget Request: NTIA's 2021 Budget Request is \$72.2 million. These funds support the critical role NTIA plays in advising the President on communications and information policy issues. NTIA's programs and policymaking focus on expanding the availability of spectrum for all users, managing Federal spectrum programs effectively and efficiently, and identifying innovative approaches to increase spectrum access and sharing opportunities. This Budget also provides the resources to ensure that the internet remains an engine for continued economic growth, which promotes a 21st century internet economy across America, with particular focus on expanding broadband access and adoption in rural America.

Domestic and International Policies: NTIA's policy program resources include \$11.3 million and 39 positions. The internet is the greatest engine of communications and commerce the world has ever known. NTIA's domestic and international policies work to preserve the internet's openness and its cultural and economic potentials while advancing key U.S. interests. NTIA coordinates Executive Branch communications policy and represents the Administration's policy to independent agencies such as the Federal Communication Commission (FCC) and the Federal Trade Commission (FTC). NTIA policy must be positioned to meet the growing complexity of the internet environment, as the world becomes more interconnected via rapid growth of the internet, the globalization of information technology services and equipment, and as governance of the internet becomes an increasingly geopolitical issue. NTIA carries out its diverse programs and services, using and promoting multi-stakeholder approaches to lead U.S. policymakers, domestic industry, foreign governments, and international organizations in addressing internet and digital economy policymaking, standards development, and governance issues. By advocating for market-driven policies and multi-stakeholder initiatives, NTIA supports online commerce, greater employment opportunities, and better quality of life for all Americans.

Spectrum Management: NTIA's spectrum management program resources include \$32.7 million and 44 positions. The tremendous growth in demand for wireless broadband by consumers, businesses, and government agencies requires innovative approaches to increase spectrum access to commercial and Federal users. NTIA also supports the commercial sector's development of next generation wireless services by evaluating and ensuring the efficient use of spectrum by Government users, recommending reallocation for commercial use where possible, and promoting sharing between commercial and government users. NTIA promotes the best possible and most efficient use of the nation's limited spectrum resources across the Federal Government to satisfy the congressionally mandated missions of all Federal agencies in support of national defense, homeland security, law enforcement, and public safety. Working with the Federal Communications Commission (FCC), NTIA coordinates international and domestic spectrum access requirements, identifies and reallocates spectrum bands for commercial use, updates spectrum policies, and develops long-range spectrum management plans. NTIA collaborates with the State Department and other interested agencies to advance U.S. interests and positions related to international spectrum issues, conferences, and negotiations.

Advanced Communications Research: NTIA's advanced communications research program resources include \$11.7 million and 50 positions. Communications research plays a critical role identifying innovative approaches to increase spectrum access and sharing opportunities. This request includes resources for NTIA's Institute for Telecommunication Sciences (ITS) which provides scientific research on spectrum capability, spectrum management approaches (e.g.,

spectrum sharing) and spectrum-enabled technology development and testing for both Federal agencies and private industry partners. NTIA has a statutory directive to further scientific knowledge related to telecommunications, particularly with respect to radio spectrum. NTIA is expanding collaborative research and development in advanced communications technologies to support commercial and government applications. This work will advance research, development, testing, and evaluation to enhance wireless efficiencies.

Broadband: NTIA’s broadband program resources include \$16.2 million and 29 positions. Broadband has become integral in fueling a dynamic economy, driving commerce, enriching education, enhancing healthcare, and improving public safety. The 2021 Budget continues to address demand by state, local, and tribal governments for technical assistance and hands-on guidance in bringing broadband to American communities across the nation. NTIA will continue to respond to the demand for technical services and broadband leadership efforts by partnering with unserved and underserved communities, so that they can attract new business investments and spur economic growth. NTIA’s strategy capitalizes on strong relationships with broadband providers, municipal organizations, innovation economy firms, non-profit organizations, foundations, and other Federal stakeholders. BroadbandUSA also leads the efforts to augment the nation’s understanding of broadband availability through mapping the current state of broadband access nationwide, including identification of existing infrastructure and gaps. This mapping effort supports U.S. policymakers and government agencies with more accurate, timely, and granular data to make better informed funding decisions and to more efficiently determine the best opportunities for efficient deployment of broadband infrastructure in rural areas.

Public Safety Communications: NTIA will fulfill its statutory responsibilities for public safety communications through this discretionary program. The program funding in this Budget totals \$0.3 million and 1 position. As communication technologies continue to evolve, our nation’s 911 call centers are unable to keep pace with the technological advancements, threatening the integrity of our nation’s emergency communications systems. NTIA’s program will provide the technical expertise and coordination support necessary to enable our nation’s 911 systems to upgrade from analog to Internet Protocol (IP)-based systems, commonly referred to as Next Generation 911 (NG911). With this new program, NTIA will provide the necessary leadership and technical support for the NG911 efforts.

Summary of Appropriations

| Appropriation | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|--|-----------------------|------------------------|-------------------------|-------------------------------|
| Salaries and Expenses | \$39,500 | \$40,441 | \$72,203 | \$31,762 |
| Total, Appropriation / Budget Authority | 39,500 | 40,441 | 72,203 | 31,762 |
| <u>Positions</u> | | | | |
| Salaries and Expenses - direct | 127 | 146 | 163 | 17 |
| Salaries and Expenses - reimbursable | 128 | 159 | 159 | 0 |
| Total | 255 | 305 | 322 | 17 |
| <u>Full-Time Equivalent Employment</u> | | | | |
| Salaries and Expenses - direct | 122 | 146 | 158 | 12 |
| Salaries and Expenses - reimbursable | 128 | 159 | 159 | 0 |
| Total | 250 | 305 | 317 | 12 |

Summary of Program Increases, Decreases and Terminations

Increases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|-------------------------------------|------------------------|-----------|------------------|
| Salaries and Expenses | Spectrum Management | | 6 | \$25,000 |
| Salaries and Expenses | Advanced Communication Research | | 5 | 3,000 |
| Salaries and Expenses | Domestic and International Policies | | 6 | 2,100 |
| Salaries and Expenses | Public Safety | | 1 | 308 |
| Total, Increases | | | 18 | \$30,408 |

Decreases

| Appropriation | Budget Program | Activity / Subactivity | Positions | Budget Authority |
|-------------------------|-------------------------------------|------------------------|------------|------------------|
| Salaries and Expenses | Broadband Programs | | (1) | \$(331) |
| Salaries and Expenses | Advanced Communications Research | | | (34) |
| Salaries and Expenses | Spectrum Management | | | (29) |
| Salaries and Expenses | Domestic and International Policies | | | (25) |
| Total, Decreases | | | (1) | \$(419) |

Terminations

None

Highlights of Budget Changes

Appropriation: Salaries and Expenses

Summary of Requirements

| | <u>Detailed</u> | | <u>Summary</u> | |
|--|------------------|---------------|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | | | 146 | \$40,441 |
| Transfer to Departmental Management, Salaries and Expenses Account | | | | (111) |
| Other Changes | | | | |
| 2020 Pay raise | | \$538 | | |
| 2021 Pay raise | | 134 | | |
| Increase in awards | | 150 | | |
| One less compensable day | | (74) | | |
| Civil Service Retirement System (CSRS) | | (8) | | |
| Federal Employees' Retirement System (FERS) | | 213 | | |
| Thrift Savings Plan | | 2 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 18 | | |
| Health insurance | | 37 | | |
| Travel - Per Diem | | 6 | | |
| Rent payments to GSA | | 3 | | |
| Postage | | 1 | | |
| NARA | | (11) | | |
| Working Capital Fund | | 220 | | |
| General Pricing Level Adjustment: | | | | |
| Communications, utilities, and miscellaneous charges | | 2 | | |
| Printing and reproduction | | 1 | | |
| Other services | | 246 | | |
| Supplies and materials | | 4 | | |
| Equipment | | 33 | | |
| Continuous Diagnostics and Mitigation Charges | | 49 | | |
| Enterprise Services | | 185 | | |
| HCHB utilities | | 24 | | |
| Subtotal, other changes | 0 | 1,773 | | |
| 2021 Base | | | 146 | 42,214 |
| Program Changes* | | | 17 | 29,989 |
| 2021 APPROPRIATION | | | 163 | 72,203 |

*Transfer included in program changes

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---|--------------|----------------|------------|---------------|---------------|----------------|---------------------|---------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| Direct Obligations | | | | | | | | |
| Domestic & International Policies | 33 | \$8,823 | 33 | \$9,224 | 39 | \$11,299 | 6 | \$2,075 |
| Spectrum Management | 38 | 7,255 | 38 | 7,728 | 44 | 32,699 | 6 | 24,971 |
| Advanced Communications Research | 45 | 8,180 | 45 | 8,715 | 50 | 11,681 | 5 | 2,966 |
| Broadband Programs | 30 | 16,183 | 30 | 16,547 | 29 | 16,216 | (1) | (331) |
| Public Safety Communications | 0 | 0 | 0 | 0 | 1 | 308 | 1 | 308 |
| Total Direct Obligations | 146 | 40,441 | 146 | 42,214 | 163 | 72,203 | 17 | 29,989 |
| Reimbursable Authority | 159 | 66,082 | 159 | | 159 | 53,054 | 0 | 53,054 |
| TOTAL OBLIGATIONS | 305 | 106,523 | 305 | 42,214 | 322 | 125,257 | 17 | 83,043 |
| FINANCING | | | | | | | | |
| Unoblig. bal. start of year | | | | | | | | |
| Offsetting collections from: | | | | | | | | |
| Federal funds | (157) | (65,614) | | | (157) | (52,679) | | |
| Non-Federal sources | (2) | (468) | | | (2) | (375) | | |
| Subtotal, financing | (159) | (66,082) | | | (159) | (53,054) | | |
| TOTAL BUDGET AUTHORITY / APPROPRIATION | 146 | 40,441 | | | 163 | 72,203 | | |

Highlights of Program Changes

| | Base | | Increase / Decrease | |
|---|-----------|----------------|---------------------|-----------------|
| | Positions | Amount | Positions | Amount |
| Domestic & International Policies | 33 | \$9,224 | +6 | +\$2,075 |
| Manage and Mitigate U.S. Telecommunications Infrastructure | | | +6 | +2,075 |

NTIA proposes a program increase of \$2,075,000 and 6 positions in the Domestic and International Policies program. This increase will enable the agency to defend and support the growing efforts to oversee, mitigate, and manage supply chain risks to our nation's telecommunications infrastructure. The advancement of the Internet of Things has increased the reliance on the communications infrastructure to support a vast array of daily functions. NTIA will drive and support the nation's efforts to promote and protect our economic and national security in the fast approaching 5G environment.

| | Base | | Increase / Decrease | |
|----------------------------|-----------|----------------|---------------------|------------------|
| | Positions | Amount | Positions | Amount |
| Spectrum Management | 38 | \$7,728 | 6 | +\$24,971 |

NTIA proposes a program increase of \$24,971,000 and 6 positions to begin the modernization of NTIA's antiquated spectrum management system built over 30 years ago. The current systems are inadequate to execute NTIA's spectrum functions in a timely manner and limits NTIA's ability to accommodate advanced technologies, such as deploying 5G, advancing space commerce, and securing government missions by investing in its spectrum management IT infrastructure. With these resources, NTIA will create a secure, flexible, and automated spectrum management with the key outcomes of an enterprise architecture; provide a secure system environment; improve the integrity and confidentiality of data; enable cross-domain capabilities; develop advanced analytical tools; reduce "white space" between spectrum assignments; reengineer business processes; and automate workflows.

| | Base | | Increase / Decrease | |
|---|-----------|---------|---------------------|----------|
| | Positions | Amount | Positions | Amount |
| Advanced Communications Research | 45 | \$8,715 | +5 | +\$2,966 |

NTIA proposes a program increase of \$2,966,000 and 5 positions at NTIA’s Institute for Telecommunications Sciences within the Advanced Communications Research program. This program increase will cover the upgrade and maintenance of the current LTE equipment and technology that is not equipped with 5G capabilities or other next generation communication technologies. Upgrades, replacements, and procurement of cutting-edge research equipment are required to position the lab for research and testing of the next generation of technologies for 5G and beyond. This request includes new, replaced, or upgraded equipment, such as an enhanced core network, network emulators, end-user devices, measurement equipment, and mmWave hardware. Additionally, this request includes 5 positions to manage the procurement, calibration, integration, and optimization of the equipment over the five-year period. This program allows for the study of 5G technology that will lay the foundation to transition to next generation 5G and beyond.

| | Base | | Increase / Decrease | |
|---------------------------|-----------|----------|---------------------|---------|
| | Positions | Amount | Positions | Amount |
| Broadband Programs | 30 | \$16,547 | (1) | \$(331) |

Improve Nation’s Mapping of Broadband Availability (1) (331)

NTIA proposes a program decrease within Broadband Programs of \$331,000 and 1 position to support the new Public Safety Communications PPA.

| | Base | | Increase / Decrease | |
|-------------------------------------|-----------|--------|---------------------|--------|
| | Positions | Amount | Positions | Amount |
| Public Safety Communications | 0 | \$0 | +1 | +\$308 |

Public Safety Communications Program +1 +308

NTIA proposes to allocate \$308,000 and 1 position to support NG911. NTIA’s public safety communications program will provide the critical leadership and support for the coordination, interoperability, transition, and technical resources for our nation’s public safety agencies in their adoption and implementation of advanced communications technologies. NTIA continues to have critical work to perform a strategic assessment of progress in nationwide NG911 deployment, develop a strategic roadmap for continued progress with program metrics for future years, respond to inquiries and requests for assistance from the 911 community, and help develop policy recommendations for the Executive branch and Congress on NG911 matters.

Public Safety Broadband Network

The Middle Class Tax Relief Act of 2012, P.L.112-96, established the Public Safety Trust Fund (PSTF), the Network Construction Fund, and the State and Local Implementation Fund and provided \$7 billion to establish a nationwide-interoperable public safety broadband network (NPSBN) for first responders. The NPSBN network will provide public safety 21st century communication tools to help save lives, solve crimes, and keep our communities and emergency responders safe. The investment is now supported by proceeds from specified spectrum auctions conducted by the Federal Communications Commission (FCC), with all proceeds net of certain costs deposited into the PSTF. Funding will be expended in support of programs specified in the Act, including the development of the public safety broadband network in the 700 MHz band and research and development of standards, technologies, and applications to advance wireless public safety and communications.

The Act also provided \$135 million for a grant program to provide resources to assist regional, state, regional, local, and tribal government entities as they plan for the nationwide public safety broadband network (PSBN) being developed by FirstNet. This funding provides recipients with the resources to work with stakeholders throughout the state or territory to identify needs, gaps, and priorities for public safety wireless broadband. This work will also help recipients prepare for consultation with FirstNet.

Summary of Appropriations

Appropriation, Mandatory

| | 2019 | 2020 | 2021 | Increase |
|--|---------------|----------------|-----------------|-------------------|
| | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>(Decrease)</u> |
| <u>Public Safety Trust Fund</u> | | | | |
| Public Safety Trust Fund | \$2,881 | \$48,000 | \$2,000 | (\$46,000) |
| FirstNet - Administrative | 1,729 | 250 | 250 | 0 |
| NTIA Program Administration & Implementation | 2,041 | 5,655 | 5,088 | (567) |
| Next Generation 911 | 340 | 400 | 543 | 143 |
| Total Obligations | 6,991 | 54,305 | 7,881 | (46,424) |
| Adjustment for unobligated balances | (1,025) | | | 0 |
| Mandatory Appropriation | 5,966 | 54,305 | 7,881 | (46,424) |
| <u>State and Local Implementation Fund</u> | | | | |
| State and Local Implementation Grant Fund Administration | 22,968 | 2,369 | 2,485 | 116 |
| Mandatory, Reimbursable Project | 22,968 | 2,369 | 2,485 | 116 |
| <u>Network Construction Fund</u> | | | | |
| First Responder Network Authority | 35,402 | 53,140 | 4,000 | (49,140) |
| NTIA Opt-Out | 0 | 0 | 0 | 0 |
| Mandatory, Reimbursable Project | 35,402 | 53,140 | 4,000 | (49,140) |
| <u>First Responder Network Authority</u> | | | | |
| Offsetting collections (Fees transferred by network partner) | 30,997 | 448,711 | 120,000 | (328,711) |
| Spending authority from offsetting collections | 30,997 | 448,711 | 120,000 | (328,711) |

Positions

| | | | | |
|-------------------------------------|------------|------------|------------|----------|
| Public Safety Trust Fund | 6 | 6 | 6 | 0 |
| State and Local Implementation Fund | 4 | 5 | 5 | 0 |
| Network Construction Fund | 0 | 0 | 0 | 0 |
| First Responder Network Authority | 200 | 258 | 258 | 0 |
| Total | 210 | 269 | 269 | 0 |

Full-Time Equivalent Employment

| | | | | |
|--|------------|------------|------------|----------|
| Public Safety Trust Fund - Direct | 6 | 6 | 6 | 0 |
| State and Local Implementation Fund - Direct | 4 | 5 | 5 | 0 |
| Network Construction Fund - Direct | 0 | 0 | 0 | 0 |
| First Responder Network Authority - Reimbursable | 200 | 258 | 258 | 0 |
| Total | 210 | 269 | 269 | 0 |

Highlights of Budget Changes

Appropriation: Public Safety Trust Fund

Summary of Requirements

| | <u>Summary</u> | |
|--|------------------|-----------------|
| | <u>Positions</u> | <u>Amount</u> |
| 2020 Enacted | 6 | \$54,305 |
| 2021 Base | 6 | 7,881 |
| Program Changes | 0 | 0 |
| 2021 Mandatory Budget Authority | 6 | 7,881 |

Comparison by Activity

| OBLIGATIONS | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|---------------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| Public Safety Trust Fund | 0 | \$48,000 | 0 | \$2,000 | 0 | \$2,000 | 0 | \$0 |
| First Responder Network Authority | 0 | 250 | 0 | 250 | 0 | 250 | 0 | 0 |
| Program Administration & Implementati | 5 | 5,655 | 5 | 5,088 | 5 | 5,088 | 0 | 0 |
| Next Generation E-911 (NTIA) | 1 | 400 | 1 | 543 | 1 | 543 | 0 | 0 |
| TOTAL OBLIGATIONS | 6 | 54,305 | 6 | 7,881 | 6 | 7,881 | 0 | 0 |
| TOTAL MAN. BUDGET AUTHORITY | 6 | 54,305 | | | 6 | 7,881 | | |

Appropriation: State and Local Implementation Fund

Comparison by Activity

| REIMBURSABLE AUTHORITY | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| State and Local Implementation Program | 5 | \$2,369 | 5 | \$2,485 | 5 | \$2,485 | 0 | \$0 |
| TOTAL REIMBURSABLE AUTHORITY | 5 | 2,369 | 5 | 2,485 | 5 | 2,485 | 0 | 0 |
| TOTAL MAN. BUDGET AUTHORITY | 5 | 2,369 | | | 5 | 2,485 | | |

Appropriation: Network Construction Fund

Comparison by Activity

| Reimbursable Authority | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------------|--------------|---------------|------------|---------------|---------------|---------------|---------------------|---------------|
| | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> | <u>Pos</u> | <u>Amount</u> |
| First Responder Network | 0 | \$53,140 | 0 | \$4,000 | 0 | \$4,000 | 0 | \$0 |
| NTIA/Opt-out | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL REIMBURSABLE AUTHORITY | 0 | 53,140 | 0 | 4,000 | 0 | 4,000 | 0 | 0 |
| TOTAL MAN. BUDGET AUTHORITY | 0 | 53,140 | | | 0 | 4,000 | | |

Appropriation: First Responder Network Authority

Comparison by Activity

| | 2020 Enacted | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|-------------------------------------|--------------|-----------|-----------|-----------|---------------|-----------|---------------------|--------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| REIMBURSABLE AUTHORITY | | | | | | | | |
| First Responder Network | 258 | \$448,711 | 258 | \$120,000 | 258 | \$120,000 | 0 | \$0 |
| TOTAL REIMBURSABLE AUTHORITY | 258 | 448,711 | 258 | 120,000 | 258 | 120,000 | 0 | 0 |
| TOTAL MAN. BUDGET AUTHORITY | 258 | 448,711 | | | 258 | 120,000 | | |

Performance Indicators

The following table shows the NTIA performance indicators and its related Departmental Strategic Goal and Objective. Additional details appear in the Annual Performance Plan and Report Backup section at the end of the NTIA segment of the Department of Commerce budget.

| Goal 1: Accelerate American Leadership | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
|---|---------------------------|---------------------------|---------------------------|---------------------------|
| Objective 1.2: Advance Innovation | | | | |
| Number of times research publications are downloaded annually | 7,000 | 7,300 | 7,000 | 7,000 |
| Successfully completed deliverables under reimbursable agreements (on time, on budget and accepted) | 95% | 100% | 95% | 95% |
| Percentage of timely implementation of National Spectrum Strategy within 3 years | NEW | N/A | 50% | 35% |
| Percentage of Federal frequency assignments in AWS-3 bands that have vacated or shared spectrum, according to approved transition plans | NEW | N/A | 15% | 30% |
| Create a pipeline of spectrum for mission-critical government services and commercial providers | 66% | 70% | Discontinued | |
| Percentage of spectrum assignments transitioned on time, based on approved plans | 75% | 96% | Discontinued | |
| Goal 2: Enhance Job Creation | | | | |
| Objective 2.3: Strengthen Domestic Commerce and the U.S. Industrial Base | | | | |
| Percentage of NTIA positions substantially adopted or successful at international meeting | 75% | 89% | 75% | 75% |
| In coordination with DOC operating units, conduct outreach activities with government, industry and multi-stakeholder groups to identify and address privacy and global free flow of information issues | 6 | 10 | 6 | 6 |
| Number of pilot states providing data to NTIA to populate Congressionally-mandated broadband map | 8 | 8 | 8 | 14 |
| Communities to which NTIA provides technical assistance | 170 | 175 | 193 | 193 |
| Projected impact on the number of K-12 schools, students, and hospitals in areas where NTIA is providing broadband project support (Community Anchor Institutions / K-12s /Hospitals) | 7,000 / 3,150,000 / 1,250 | 7,000 / 3,200,000 / 1,500 | 7,700 / 3,400,000 / 1,350 | 7,700 / 3,400,000 / 1,350 |

National Telecommunications and Information Administration

| | | | | |
|--|-------------|-------------|-------------|-------------|
| Goal 3: Strengthen U.S. Economic and National Security | | | | |
| Objective 3.4: Deploy Public Safety Broadband | 2019 Target | 2019 Actual | 2020 Target | 2021 Target |
| Percentage of public safety adoption targets achieved | NEW | | 50% | 60% |
| Percentage of planned coverage achieved (% of 2023 target) | 20% | 20% | 60% | 80% |
| Percentage of States and territories that will continue critical coordination activities regarding wireless broadband and FirstNet beyond NTIA's availability of grant funds | NEW | NEW | 33% | 50% |
| Improve public safety by extending enhanced wireless broadband service to rural populations | NEW | NEW | 18% | 5% |
| Goal 5: Deliver Customer-Centric Service Excellence | | | | |
| Objective 5.1: Engage Commerce Employees | | | | |
| Percentage of ITD services are available to NTIA stakeholders, reducing downtime | NEW | NEW | 85% | 99% |
| Percentage of invoices reviewed, approved and submitted to NIST within 7 business days | NEW | NEW | 75% | 90% |
| Improve existing processes every six-month intervals to achieve a more streamlined workflow and greater efficiency | NEW | NEW | 25% | 25% |

Department of Commerce Funding and Employment

| | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|-------------------------------|-----------------------|------------------------|-------------------------|-------------------------------|
| BUDGET AUTHORITY | | | | |
| Discretionary ¹ | \$12,325,312 | \$15,216,327 | \$7,913,933 | (\$7,302,394) |
| Mandatory | 254,377 | 326,977 | 276,336 | (50,641) |
| TOTAL BUDGET AUTHORITY | 12,579,689 | 15,543,304 | 8,190,269 | (7,353,035) |
| OUTLAYS, NET | | | | |
| Discretionary | 9,870,000 | 15,382,000 | 10,521,000 | (4,861,000) |
| Mandatory | (3,904,000) | (4,147,000) | (4,228,000) | (81,000) |
| TOTAL OUTLAYS, NET | 5,966,000 | 11,235,000 | 6,293,000 | (4,942,000) |

1. This includes Disaster Assistance for EDA and NOAA in FY 2019.

Positions and Full-Time Equivalent Employment

| | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Increase <u>(Decrease)</u> |
|--|-----------------------|------------------------|-------------------------|-------------------------------|
| POSITIONS | | | | |
| Civilian Direct | | | | |
| Full-Time Permanent | 21,313 | 23,289 | 22,397 | (892) |
| Other than Full-Time Permanent | 35,470 | 395,235 | 4,982 | (390,253) |
| Subtotal | 56,783 | 418,524 | 27,379 | (391,145) |
| Civilian Reimbursable | | | | |
| Full-Time Permanent | 13,830 | 14,396 | 14,863 | 467 |
| NOAA Corp | | | | |
| Full-Time Permanent | 327 | 324 | 324 | 0 |
| Working Capital Fund | | | | |
| Full-Time Permanent | 3,304 | 2,893 | 3,460 | 567 |
| Other than Full-Time Permanent | 3,750 | 3,964 | 3,620 | (344) |
| Subtotal | 7,054 | 6,857 | 7,080 | 223 |
| Civilian - Mandatory | | | | |
| Full-Time Permanent | 194 | 144 | 269 | 125 |
| Other than Full-Time Permanent | 169 | 393 | 735 | 342 |
| Subtotal | 363 | 537 | 1,004 | 467 |
| TOTAL POSITIONS | 78,357 | 440,638 | 50,650 | (389,988) |
| FULL-TIME EQUIVALENT EMPLOYMENT (FTE) | | | | |
| Civilian Direct | | | | |
| Full-Time Permanent | 20,420 | 22,083 | 21,308 | (775) |
| Other than Full-Time Permanent | 6,806 | 55,995 | 2,548 | (53,447) |
| Subtotal | 27,226 | 78,078 | 23,856 | (54,222) |
| Civilian Reimbursable | | | | |
| Full-Time Permanent | 13,110 | 13,770 | 14,309 | 539 |
| NOAA Corp | | | | |
| Full-Time Permanent | 314 | 324 | 324 | 0 |
| Working Capital Fund | | | | |
| Full-Time Permanent | 2,497 | 2,653 | 2,745 | 92 |
| Other than Full-Time Permanent | 1,483 | 1,347 | 1,425 | 78 |
| Subtotal | 3,980 | 4,000 | 4,170 | 170 |
| Civilian - Mandatory | | | | |
| Full-Time Permanent | 352 | 393 | 432 | 39 |
| Other than Full-Time Permanent | 118 | 144 | 115 | (29) |
| Subtotal | 470 | 537 | 547 | 10 |
| TOTAL, FTE | 45,100 | 96,709 | 43,206 | (53,503) |

Budget Authority — FY 2019, FY 2020 and FY 2021

| | 2019 | 2020 | 2021 | Change |
|--|-------------------|-------------------|------------------|--------------------|
| | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>2020 - 2021</u> |
| <u>DISCRETIONARY</u> | | | | |
| Departmental Management | 63,000 | 82,000 | 135,295 | 53,295 |
| Office of the Inspector General | 42,102 | 41,858 | 44,378 | 2,520 |
| Economic Development Administration ¹ | 914,000 | 333,000 | 31,593 | (301,407) |
| Bureau of the Census | 3,817,832 | 7,554,763 | 1,668,421 | (5,886,342) |
| Bureau of Economic Analysis | 101,000 | 107,990 | 111,855 | 3,865 |
| International Trade Administration | 495,000 | 521,250 | 485,509 | (35,741) |
| Bureau of Industry & Security | 118,050 | 127,652 | 137,664 | 10,012 |
| Minority Business Development Agency | 40,000 | 42,000 | 10,281 | (31,719) |
| National Oceanic & Atmospheric Administration ¹ | 5,720,078 | 5,352,373 | 4,625,105 | (727,268) |
| United States Patent & Trademark Office | (1,500) | (2,000) | (2,000) | 0 |
| National Institute of Standards & Technology | 988,250 | 1,037,000 | 740,273 | (296,727) |
| National Technical Information Service | 0 | 0 | 0 | 0 |
| National Telecommunications & Information Admin. | 39,500 | 40,441 | 72,203 | 31,762 |
| Cancellation / Rescissions of PY Unobligated Balances | (12,000) | (22,000) | (146,644) | (124,644) |
| TOTAL, DISCRETIONARY* | 12,325,312 | 15,216,327 | 7,913,933 | (7,177,750) |
| *Includes Offsetting receipts: | | | | |
| NOAA: Fisheries finance, negative subsidy | (8,000) | (8,000) | (7,626) | 374 |
| <u>MANDATORY</u> | | | | |
| Departmental Management | 1,000 | 1,000 | 1,000 | 0 |
| Bureau of the Census | 20,000 | 20,000 | 20,000 | 0 |
| National Oceanic & Atmospheric Administration | 228,651 | 252,852 | 247,455 | (5,397) |
| National Telecommunications & Information Admin. | 5,966 | 54,305 | 7,881 | (46,424) |
| SUBTOTAL, MANDATORY | 255,617 | 328,157 | 276,336 | (51,821) |
| <u>Mandatory Sequestered</u> | | | | |
| Bureau of the Census | (1,240) | (1,180) | 0 | 1,180 |
| TOTAL MANDATORY | 254,377 | 326,977 | 276,336 | (50,641) |
| TOTAL DEPARTMENT OF COMMERCE | 12,579,689 | 15,543,304 | 8,190,269 | (7,228,391) |

1. This includes Disaster Assistance for EDA and NOAA in FY 2019.

Outlays — FY 2019, FY 2020 and FY 2021

| | 2019 | 2020 | 2021 | Change |
|--|--------------------|--------------------|--------------------|--------------------|
| | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>2020 - 2021</u> |
| <u>DISCRETIONARY</u> | | | | |
| Departmental Management | \$82,000 | \$114,000 | \$143,000 | \$29,000 |
| Office of the Inspector General | 33,000 | 51,000 | 48,000 | (3,000) |
| Economic Development Administration | 264,000 | 615,000 | 546,000 | (69,000) |
| Bureau of the Census | 2,552,000 | 6,158,000 | 2,157,000 | (4,001,000) |
| Bureau of Economic Analysis | 104,000 | 107,000 | 112,000 | 5,000 |
| International Trade Administration | 466,000 | 479,000 | 478,000 | (1,000) |
| Bureau of Industry & Security | 113,000 | 146,000 | 135,000 | (11,000) |
| Minority Business Development Agency | 37,000 | 43,000 | 27,000 | (16,000) |
| National Oceanic & Atmospheric Administration | 5,280,000 | 6,412,000 | 5,617,000 | (795,000) |
| United States Patent & Trademark Office | (79,000) | (31,000) | 215,000 | 246,000 |
| National Institute of Standards & Technology | 982,000 | 1,199,000 | 945,000 | (254,000) |
| National Technical Information Service | 0 | 2,000 | 21,000 | 19,000 |
| National Telecommunications & Information Admin. | 36,000 | 87,000 | 77,000 | (10,000) |
| TOTAL, DISCRETIONARY | 9,870,000 | 15,382,000 | 10,521,000 | (4,861,000) |
| Offsetting receipts: | | | | |
| NOAA: Fisheries finance, negative subsidy | 1,000 | 4,000 | 8,000 | 4,000 |
| <u>MANDATORY</u> | | | | |
| Departmental Management | 0 | 1,000 | 1,000 | 0 |
| Bureau of the Census | 19,000 | 19,000 | 20,000 | 1,000 |
| National Oceanic & Atmospheric Administration | (5,000) | 148,000 | 184,000 | 36,000 |
| National Institute of Standards & Technology | 43,000 | 48,000 | 55,000 | 7,000 |
| National Telecommunications & Information Admin. | 1,430,000 | 1,515,000 | 1,508,000 | (7,000) |
| Subtotal | 1,487,000 | 1,731,000 | 1,768,000 | 37,000 |
| Offsetting receipts | (5,391,000) | (5,878,000) | (5,996,000) | (118,000) |
| TOTAL MANDATORY | (3,904,000) | (4,147,000) | (4,228,000) | (81,000) |

Permanent Positions — FY 2019, FY 2020 & FY 2021

| | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Change <u>2020 - 2021</u> |
|--|-----------------------|------------------------|-------------------------|------------------------------|
| Departmental Management | 994 | 1,024 | 1,116 | 92 |
| Office of the Inspector General | 175 | 181 | 201 | 20 |
| Economic Development Administration | 205 | 205 | 99 | (106) |
| Bureau of the Census | 45,810 | 405,995 | 16,182 | (389,813) |
| Bureau of Economic Analysis | 514 | 534 | 539 | 5 |
| International Trade Administration | 1,567 | 1,635 | 1,531 | (104) |
| Bureau of Industry & Security | 354 | 453 | 474 | 21 |
| Minority Business Development Agency | 37 | 50 | 50 | 0 |
| National Oceanic & Atmospheric Administration | 11,536 | 12,645 | 12,046 | (599) |
| United States Patent & Trademark Office | 13,014 | 13,545 | 14,018 | 473 |
| National Institute of Standards & Technology | 3,458 | 3,487 | 3,008 | (479) |
| National Technical Information Service | 75 | 42 | 60 | 18 |
| National Telecommunications & Information Admin. | 255 | 305 | 322 | 17 |
| TOTAL¹ | 77,994 | 440,101 | 49,646 | (390,455) |

1. Includes Discretionary Direct and Reimb., Full-Time Permanent and Other than Full-Time Permanent Positions. Excludes Mandatory positions

Full-Time Equivalent Employment - FY 2019, FY 2020 & FY 2021

| | 2019 <u>Actual</u> | 2020 <u>Enacted</u> | 2021 <u>Estimate</u> | Change <u>2020 - 2021</u> |
|--|-----------------------|------------------------|-------------------------|------------------------------|
| Departmental Management | 802 | 899 | 973 | 74 |
| Office of the Inspector General | 147 | 158 | 189 | 31 |
| Economic Development Administration | 172 | 184 | 99 | (85) |
| Bureau of the Census | 13,798 | 63,375 | 10,281 | (53,094) |
| Bureau of Economic Analysis | 505 | 520 | 525 | 5 |
| International Trade Administration | 1,548 | 1,565 | 1,461 | (104) |
| Bureau of Industry & Security | 351 | 453 | 469 | 16 |
| Minority Business Development Agency | 37 | 50 | 50 | 0 |
| National Oceanic & Atmospheric Administration | 11,462 | 12,278 | 11,825 | (453) |
| United States Patent & Trademark Office | 12,328 | 12,965 | 13,510 | 545 |
| National Institute of Standards & Technology | 3,169 | 3,378 | 2,900 | (478) |
| National Technical Information Service | 61 | 42 | 60 | 18 |
| National Telecommunications & Information Admin. | 250 | 305 | 317 | 12 |
| TOTAL¹ | 44,630 | 96,172 | 42,659 | (53,513) |

1. Includes Discretionary Direct and Reimb., Full-Time Permanent and Other than Full-Time Permanent FTE. Excludes Mandatory FTE

Bridge from FY 2020 and FY 2021 Appropriations to FY 2020 and FY 2021 Budget Authority

| | FY 2020 <u>Enacted</u> | FY 2021 <u>Estimate</u> | Change <u>2020 - 2021</u> |
|--|---------------------------|----------------------------|------------------------------|
| <u>ANNUAL APPROPRIATIONS ACT</u> | \$15,222,327 | \$8,044,724 | (\$7,177,603) |
| <u>Transfers / Other:</u> | | | |
| Transfer from Election Assistance Commission to NIST | 1,500 | 1,250 | (250) |
| Transfer from DoJ to NIST | 1,500 | 1,500 | 0 |
| Transfer from FirstNet to OIG | 2,000 | 2,000 | 0 |
| Cancellation of Unobligated Balances | (22,000) | (146,644) | (124,644) |
| ITA Fees | 11,000 | 11,102 | 102 |
| *TOTAL, DISCRETIONARY BUDGET AUTHORITY | 15,216,327 | 7,913,932 | (7,302,395) |
| *Includes NOAA Offsetting Receipts | (8,000) | (7,626) | 374 |
| MANDATORY | | | |
| Departmental Management | 1,000 | 1,000 | 0 |
| Bureau of the Census | | | |
| State Children's Health Insurance Program | 18,820 | 20,000 | 1,180 |
| National Oceanic & Atmospheric Administration | | | |
| Damage Assessment & Restoration Revolving Fund | 5,853 | 6,000 | 147 |
| Fisheries Finance Program Account | 4,841 | 0 | (4,841) |
| Environmental Improvement & Restoration Fund | 6,883 | 4,361 | (2,522) |
| Sanctuaries Asset Forfeiture Fund | 120 | 120 | 0 |
| Transfer to P&D from Dept. of Agriculture | 182,783 | 183,834 | 1,051 |
| NOAA Commissioned Officer Corp Retirement | 30,075 | 30,075 | 0 |
| Limited Access System Administration Fund | 14,468 | 14,593 | 125 |
| Western Pacific Sustainable Fisheries | 384 | 587 | 203 |
| Fisheries Asset Forfeiture Fund | 3,941 | 3,914 | (27) |
| North Pacific Observer Fund | 3,504 | 3,971 | 467 |
| National Telecommunications and Information Admin. | 54,305 | 7,881 | (46,424) |
| TOTAL, MANDATORY BUDGET AUTHORITY | 326,977 | 276,336 | (50,641) |
| DEPARTMENT OF COMMERCE BUDGET AUTHORITY | 15,543,304 | 8,190,268 | (7,353,036) |

Comparison of FY 2021 Estimate with FY 2019 Actual and FY 2020 Enacted

| | 2019 Actual | | 2020 Enacted | | 2021 Estimate | | Increase / Decrease | |
|---|---------------|-------------------|----------------|-------------------|---------------|------------------|---------------------|--------------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| DEPARTMENTAL MANAGEMENT | | | | | | | | |
| Salaries & Expenses | 214 | \$63,000 | 195 | \$61,000 | 282 | \$96,135 | 87 | \$35,135 |
| HCHB Renovation & Modernization | 5 | 0 | 5 | 1,000 | 5 | 1,123 | 0 | 123 |
| Non Recurring Expenses Fund | 0 | 0 | 9 | 20,000 | 44 | 38,038 | 35 | 18,038 |
| DM Working Capital Fund | 698 | 0 | 725 | 0 | 725 | 0 | 0 | 0 |
| Subtotal, DM | 917 | 63,000 | 934 | 82,000 | 1,056 | 135,296 | 122 | 53,296 |
| OFFICE OF THE INSPECTOR GENERAL | 174 | 32,744 | 180 | 33,000 | 200 | 35,520 | 20 | 2,520 |
| ECONOMIC DEVELOPMENT ADMINISTRATION | | | | | | | | |
| Salaries & Expenses | 205 | 39,000 | 205 | 40,500 | 99 | 31,593 | (106) | (8,907) |
| Economic Development Assistance Programs | 0 | 875,000 | 0 | 292,500 | 0 | 0 | 0 | (292,500) |
| Subtotal, EDA | 205 | 914,000 | 205 | 333,000 | 99 | 31,593 | (106) | (301,407) |
| BUREAU OF THE CENSUS | | | | | | | | |
| Current Surveys & Programs | 2,039 | 270,000 | 2,236 | 274,000 | 2,163 | 279,268 | (73) | 5,268 |
| Periodic Censuses & Programs | 38,101 | 3,551,388 | 386,509 | 7,284,319 | 8,193 | 1,392,709 | (378,316) | (5,891,610) |
| CENSUS Working Capital Fund | 5,670 | 0 | 5,446 | 0 | 5,669 | 0 | 223 | 0 |
| Subtotal, Census | 45,810 | 3,821,388 | 394,191 | 7,558,319 | 16,025 | 1,671,977 | (378,166) | (5,886,342) |
| BUREAU OF ECONOMIC ANALYSIS | | | | | | | | |
| Salaries & Expenses | 503 | 101,000 | 524 | 107,990 | 525 | 111,855 | 1 | 3,865 |
| INTERNATIONAL TRADE ADMINISTRATION | | | | | | | | |
| Operations & Administration | 1,517 | 484,000 | 1,587 | 510,250 | 1,481 | 474,407 | (106) | (35,843) |
| BUREAU OF INDUSTRY & SECURITY | | | | | | | | |
| Operations & Administration | 352 | 118,050 | 448 | 127,652 | 469 | 137,664 | 21 | 10,012 |
| MINORITY BUSINESS DEVELOPMENT AGENCY | | | | | | | | |
| Minority Business Development | 37 | 40,000 | 50 | 42,000 | 50 | 10,281 | 0 | (31,719) |
| NATIONAL OCEANIC & ATMOSPHERIC ADMIN. | | | | | | | | |
| Operations, Research & Facilities | 10,712 | 3,717,567 | 11,748 | 3,763,939 | 11,165 | 3,165,124 | (583) | (598,815) |
| Procurement, Acquisition & Construction | 348 | 1,780,349 | 396 | 1,530,890 | 383 | 1,466,669 | (13) | (64,221) |
| Fishermen's Contingency Fund | 0 | 15 | 0 | 349 | 0 | 349 | 0 | 0 |
| Pacific Coastal Salmon Recovery | 1 | 65,000 | 2 | 65,000 | 0 | 0 | (2) | (65,000) |
| Fisheries Disaster Mitigation Fund | 0 | 165,000 | 0 | 0 | 0 | 300 | 0 | 300 |
| Fisheries Finance, Negative Subsidy Receipts | 0 | (8,000) | 0 | (8,000) | 0 | (7,626) | 0 | 374 |
| Medicare Eligible Retiree Healthcare Fund | 0 | 1,449 | 0 | 1,497 | 0 | 1,591 | 0 | 94 |
| Subtotal, NOAA | 11,061 | 5,721,380 | 12,146 | 5,353,675 | 11,548 | 4,626,407 | (598) | (727,268) |
| PATENT & TRADEMARK OFFICE | | | | | | | | |
| Salaries & Expenses | 13,014 | 0 | 13,545 | 0 | 14,018 | 0 | 473 | 0 |
| NATIONAL INSTITUTE OF STANDARDS & TECHNOLOGY | | | | | | | | |
| Scientific & Technical Research & Services | 2,557 | 724,500 | 2,586 | 754,000 | 2,188 | 652,027 | (398) | (101,973) |
| Industrial Technology Services | 99 | 155,000 | 99 | 162,000 | 18 | 25,252 | (81) | (136,748) |
| Construction of Research Facilities | 116 | 106,000 | 116 | 118,000 | 116 | 60,244 | 0 | (57,756) |
| NIST Working Capital Fund | 686 | 0 | 686 | 0 | 686 | 0 | 0 | 0 |
| Subtotal, NIST | 3,458 | 985,500 | 3,487 | 1,034,000 | 3,008 | 737,523 | (479) | (296,477) |
| NATIONAL TECHNICAL INFORMATION SERVICE | | | | | | | | |
| | 75 | 0 | 42 | 0 | 60 | 0 | 18 | 0 |
| NATIONAL TELECOMMUNICATIONS & INFO. ADMIN. | | | | | | | | |
| Salaries & Expenses | 127 | 39,500 | 146 | 40,441 | 163 | 72,203 | 17 | 31,762 |
| CANCELLATION / RESCISSIONS | | | | | | | | |
| | | (12,000) | | (22,000) | | (146,644) | | (124,644) |
| TOTAL, DEPARTMENT OF COMMERCE¹ | 77,250 | 12,308,562 | 427,485 | 15,200,327 | 48,702 | 7,898,081 | (378,783) | (7,302,246) |

Summary of Requirements with Detail of Adjustments to Base and Built-In Changes

| | <u>2021 Estimate</u> | | | |
|---|----------------------|---------------|------------------|---------------------|
| | <u>Detailed</u> | | <u>Summary</u> | |
| | <u>Positions</u> | <u>Amount</u> | <u>Positions</u> | <u>Amount</u> |
| <u>2020 Enacted</u> | | | 413,257 | \$15,200,327 |
| 2020 Estimate (Fee Collections) | | | 13,545 | 3,769,152 |
| Other Income / Recoveries (USPTO) | | | | 40,500 |
| USPTO Funding from operating reserve | | | | (119,587) |
| Fisheries Finance Negative Subsidy Receipts | | | | 8,000 |
| Cancellation / Rescissions from EDA and NOAA | | | | 22,000 |
| <u>Transfers</u> | | | | |
| From Department of Agriculture (PDF) | | \$183,834 | | |
| FY Transfer to DOC OIG (FirstNet) | | 2,000 | | |
| Total, Transfers | | <hr/> | | 185,834 |
| Adjustments to Base | | | | |
| <u>Adjustments</u> | | | | |
| Restoration of FY 2020 Recoveries (NOAA) | | 13,000 | | |
| Technical Adjustments (NOAA) | (3) | 8,534 | | |
| Total, Adjustments | | <hr/> | (3) | 21,534 |
| <u>Financing:</u> | | | | |
| Recoveries of prior year obligations (NOAA) | | | | (40,500) |
| <u>Transfers</u> | | | | |
| To DM S&E from DM WCF / A&R | 30 | 1,752 | | |
| Total Transfers | | <hr/> | 30 | 1,752 |
| <u>Other Changes</u> | | | | |
| FY 2020 Pay raise | | 95,531 | | |
| FY 2021 Pay raise | | 34,765 | | |
| Increase in Awards | | 17,923 | | |
| Full-year cost in 2021 of positions financed for part-year in FY 2020 | 5 | 44,454 | | |
| One less compensable day | | (20,949) | | |
| Civil Service Retirement System (CSRS) | | (2,508) | | |
| Federal Employees' Retirement System (FERS) | | 54,904 | | |
| Thrift Savings Plan (TSP) | | 527 | | |
| Federal Insurance Contributions Act (FICA) - OASDI | | 2,819 | | |
| Health insurance | | 9,977 | | |
| Employees' Compensation Fund | | (527) | | |
| Travel: | | | | |
| Domestic Per diem | | 593 | | |
| Foreign Per diem (ITA) | | 128 | | |
| Rent payments to GSA | | 5,743 | | |
| Postage | | 323 | | |
| NARA | | (867) | | |
| Working Capital Fund | | 12,729 | | |

| | 2021 Estimate | | | |
|---|---------------|----------------|----------------|--------------------|
| | Detailed | | Summary | |
| | Positions | Amount | Positions | Amount |
| General pricing level adjustment | | | | |
| Transportation of things | | \$406 | | |
| Rental payments to others | | 1,097 | | |
| Communications, utilities, and miscellaneous | | 2,179 | | |
| Printing and reproduction | | 3,426 | | |
| Other services | | 41,326 | | |
| Supplies and materials | | 3,298 | | |
| Equipment | | 7,292 | | |
| Continuous Diagnostics and Mitigation Charges | | 3,981 | | |
| Enterprise Services | | 4,966 | | |
| HCHB Utilities | | 165 | | |
| Commerce Business System | | 1,445 | | |
| Federal Protective Service | | 19 | | |
| <u>Bureau-unique other changes</u> | | | | |
| Additional positions from reallocation of resources (OIG) | 14 | 0 | | |
| International Cooperative Administrative Support Services (ICASS) (ITA) | | 552 | | |
| Capital Security Cost Sharing Program (CSCSP/MCSP) (ITA) | | 159 | | |
| Ship and Aircraft fuel costs (NOAA) | | 1,226 | | |
| Grants (NOAA) | | 1,288 | | |
| Scientific journal subscriptions (NIST) | | 81 | | |
| Electricity rate increase (NIST) | | 78 | | |
| Natural gas rate decrease (NIST) | | 40 | | |
| Post-Retirement Benefits to OPM (USPTO) | | 6,316 | | |
| Other compensation adjustments (USPTO) | | 38,437 | | |
| Subtotal, other changes | 19 | 373,342 | | |
| Total Adjustments to Base | | | 75 | 356,239 |
| 2021 Base | | | 426,877 | 19,462,465 |
| Program Changes | | | (378,861) | (7,349,913) |
| Total Requirements | | | 48,016 | 12,112,552 |
| Offsetting Fee Collections (USPTO) | | | | (3,695,295) |
| Other Income (USPTO) | | | | (40,500) |
| Funding to operating reserve (USPTO) | | | | (138,571) |
| Fisheries Finance, Negative Subsidy Receipts | | | | (7,626) |
| Cancellations from EDA, Census, and NIST | | | | (146,644) |
| Transfers | | | | |
| FY 2021 Transfer to DOC OIG from FirstNet | | | | (2,000) |
| Transfer from Department of Agriculture (NOAA) | | | | (183,834) |
| 2021 Appropriation | | | 48,016 | \$7,898,081 |

Comparison by Bureau of Adjustments to Base, FY 2021 Estimate and Program Changes

| Discretionary Accounts | Net Adjustments To Base | | 2021 Base | | 2021 Estimate | | Increase / Decrease | |
|--|-------------------------|----------------|----------------|-------------------|---------------|-------------------|---------------------|--------------------|
| | Pos | Amount | Pos | Amount | Pos | Amount | Pos | Amount |
| BUREAU | | | | | | | | |
| Departmental Management | 70 | \$17,154 | 1,004 | \$99,154 | 1,056 | \$135,296 | 52 | \$36,142 |
| Office of the Inspector General | 14 | 1,520 | 194 | 43,378 | 200 | 44,378 | 6 | 1,000 |
| Economic Development Administration | 0 | 2,618 | 205 | 335,618 | 99 | 31,593 | (106) | (304,025) |
| Bureau of the Census | 0 | 42,442 | 394,191 | 7,597,205 | 16,025 | 1,668,421 | (378,166) | (5,928,784) |
| Bureau of Economic Analysis | 0 | 4,205 | 524 | 112,195 | 525 | 111,855 | 1 | (340) |
| International Trade Administration | 0 | 14,441 | 1,587 | 524,691 | 1,481 | 474,407 | (106) | (50,284) |
| Bureau of Industry and Security | 5 | 5,012 | 453 | 132,664 | 469 | 137,664 | 16 | 5,000 |
| Minority Business Development Agency | 0 | 423 | 50 | 42,423 | 50 | 10,281 | 0 | (32,142) |
| National Oceanic & Atmospheric Admin. | (14) | 89,200 | 12,135 | 5,633,407 | 11,548 | 4,816,565 | (587) | (816,842) |
| Patent and Trademark Office | 0 | 147,993 | 13,545 | 3,836,058 | 14,018 | 3,872,366 | 473 | 36,308 |
| National Technical Information Service | 0 | 0 | 42 | 0 | 60 | 0 | 18 | 0 |
| National Inst. of Standards & Technology | 0 | 29,458 | 2,801 | 1,063,458 | 2,322 | 737,523 | (479) | (325,935) |
| National Telecommunications and Info. Admin. | 0 | 1,773 | 146 | 42,214 | 163 | 72,203 | 17 | 29,989 |
| TOTAL REQUIREMENTS | 75 | 356,239 | 426,877 | 19,462,465 | 48,016 | 12,112,552 | (378,861) | (7,349,913) |
| Offsetting Fee Collections (USPTO) | | | | | | (3,695,295) | | |
| Other Income (USPTO) | | | | | | (40,500) | | |
| Funding to operating reserve (USPTO) | | | | | | (138,571) | | |
| Fisheries Finance, Negative Subsidy Receipts | | | | | | (7,626) | | |
| Cancellations from EDA, Census, and NIST | | | | | | (146,644) | | |
| FY 2021 Transfer to DOC OIG from FirstNet | | | | | | (2,000) | | |
| Transfer from Department of Agriculture (NOAA) | | | | | | (183,834) | | |
| 2021 APPROPRIATION | | | | | 48,016 | 7,898,081 | | |

Budget Authority by Function

| | 2019 | 2020 | 2021 | Change |
|--|-------------------|-------------------|------------------|--------------------|
| | <u>Actual</u> | <u>Enacted</u> | <u>Estimate</u> | <u>2020 - 2021</u> |
| DISCRETIONARY APPROPRIATIONS | | | | |
| 050 DEFENSE-RELATED ACTIVITIES | | | | |
| 054 Defense-related activities | | | | |
| Bureau of Industry and Security | \$39,350 | \$39,891 | \$40,900 | \$1,009 |
| 300 NATURAL RESOURCES AND ENVIRONMENT | | | | |
| 306 Other natural resources | | | | |
| National Oceanic & Atmospheric Administration | 5,877,632 | 5,526,096 | 4,808,939 | (717,157) |
| 370 COMMERCE AND HOUSING CREDIT | | | | |
| 376 Other advancement and regulation of Commerce | | | | |
| Departmental Management | 63,000 | 82,000 | 135,295 | 53,295 |
| Inspector General | 42,102 | 41,858 | 44,378 | 2,520 |
| Bureau of the Census | 3,817,832 | 7,554,763 | 1,668,421 | (5,886,342) |
| Bureau of Economic Analysis | 101,000 | 107,990 | 111,855 | 3,865 |
| International Trade Administration | 495,000 | 521,250 | 485,509 | (35,741) |
| Bureau of Industry and Security | 78,700 | 87,761 | 96,764 | 9,003 |
| Minority Business Development Agency | 40,000 | 42,000 | 10,281 | (31,719) |
| National Oceanic & Atmospheric Administration | (157,554) | (173,723) | (183,834) | (10,111) |
| Patent and Trademark Office | (1,500) | (2,000) | (2,000) | 0 |
| National Institute of Standards & Technology | 988,250 | 1,037,000 | 740,273 | (296,727) |
| National Telecommunications & Information Administration | 39,500 | 40,441 | 72,203 | 31,762 |
| Subtotal, Commerce and Housing Credit | 5,506,330 | 9,339,340 | 3,179,145 | (6,160,195) |
| 450 COMMUNITY AND REGIONAL DEVELOPMENT | | | | |
| 452 Area and regional development | | | | |
| Economic Development Administration | 914,000 | 333,000 | 31,593 | (301,407) |
| TOTAL, DISCRETIONARY¹ | 12,337,312 | 15,238,327 | 8,060,577 | (7,177,750) |
| MANDATORY APPROPRIATIONS | | | | |
| 300 NATURAL RESOURCES AND ENVIRONMENT | | | | |
| 302 Conservation and land management | | | | |
| National Oceanic & Atmospheric Administration | 6,585 | 6,883 | 4,361 | (2,522) |
| 306 Other natural resources | | | | |
| National Oceanic & Atmospheric Administration | 46,365 | 50,396 | 50,668 | 272 |
| Subtotal, Natural Resources and Environment | 52,950 | 57,279 | 55,029 | (2,250) |
| 370 COMMERCE AND HOUSING CREDIT | | | | |
| 376 Other advancement & regulation of Commerce | | | | |
| Departmental Management | 1,000 | 1,000 | 1,000 | 0 |
| Bureau of the Census | 18,760 | 18,820 | 20,000 | 1,180 |
| National Oceanic & Atmospheric Administration | 175,701 | 195,573 | 192,426 | (3,147) |
| National Telecommunications & Information Administration | 5,966 | 54,305 | 7,881 | (46,424) |
| Subtotal, Commerce and Housing Credit | 201,427 | 269,698 | 221,307 | (48,391) |
| TOTAL, MANDATORY | 254,377 | 326,977 | 276,336 | (50,641) |
| TOTAL, DEPARTMENT OF COMMERCE | 12,591,689 | 15,565,304 | 8,336,913 | (7,228,391) |

1. Amounts do not include cancellations / rescissions from EDA, Census, and NIST, and includes Disaster funding from EDA and NOAA in FY 2019

Authorizing Legislation Required for 2021

| | FY 2021 Request |
|--|--------------------|
| APPROPRIATION AND ACTIVITY | |
| <u>Economic Development Administration</u> | |
| <i>Salaries and Expenses</i> | 31,593 |
| Proposed language changes: For necessary expenses of an orderly closedown of the Economic Development Administration, including, but limited to, severance costs for personnel and on-going administration, oversight and monitoring of grants and loans previously awarded by the Economic Development Administration. | |
| <i>Economic Development Assistance Programs (Public Works, Partnership Planning, Technical Assistance, Research and Evaluation, and Economic Adjustment Assistance Programs)</i> | 0 |
| <i>Economic Development Assistance Programs (Trade Adjustment Assistance Program)</i> | 0 |
| <i>Economic Development Assistance Programs (Investing in Manufacturing Communities Fund and Regional Export Challenge Programs)</i> | 0 |
| In addition to amounts made available to the Economic Development Administration under the heading "Salaries and Expenses", unobligated balances previously appropriated under this heading, to remain available until expended, for purposes of the closure of the Economic Development Administration, including but not limited to, ongoing administration, oversight and monitoring of grants and loans previously awarded by the Economic Development Administration, whether expended by the Economic Development Administration or a successor operating unit within the Department of Commerce: provided, that such funds will be available to such successor operating unit in addition to any other amounts that may be appropriated for the necessary expenses of such operating unit from whatever source. | |
| Subtotal, EDA | |
| <u>Bureau of Industry and Security</u> | |
| Export Administration Act of 1979, P.L. 106-508, expired 8/20/01 | 137,664 |
| <u>International Trade Administration</u> | |
| Export Promotion, P.L. 103-392, expired 9/30/96 | 326,026 |
| <u>National Institute of Standards & Technology</u> | |
| National Institute of Standards & Technology Authorization Act of 2010, P.L. 111-358, expired 9/30/2013 | |
| <i>Scientific & Technical Research & Services</i> | 652,027 |
| <i>Industrial Technology Services</i> | 25,252 |
| <i>Construction of Research Facilities</i> | 60,244 |
| Subtotal, NIST | 737,523 |

National Oceanic and Atmospheric Administration

Operations, Research and Facilities

National Ocean Service

| | |
|--|----------|
| Coral Reef Conservation Act, P.L.106-562, expired 9/30/04 | \$26,107 |
| Coastal Zone Management Act, P.L. 104-150, expired 9/30/99 | 46,269 |
| Marine Protection, Research, Preservation & Sanctuaries Act Title II & III, P.L.106-513, expired 9/30/05 | 54,922 |

National Marine Fisheries Service

| | |
|--|---------|
| Endangered Species Act Amendments of 1988, P.L. 100-478, expired 9/30/92 | 152,805 |
| Marine Mammal Protection Act, P.L. 103-238, expired 9/30/99 | 42,726 |
| NOAA Marine Fisheries Program Authorization Act, P.L. 104-297, expired 9/30/00 | 130,143 |
| Interjurisdictional Fisheries Act, P.L. 109-479, expired 9/30/12 | 2,081 |
| Magnuson-Stevens Fishery Conservation and Management Act , P.L. 109-479, expires 9/30/13 | 497,280 |
| Estuary Restoration Act, P.L.110-114, expires 9/30/2012 | 1,000 |

Oceanic and Atmospheric Research

| | |
|---|--------|
| National Sea College Program, P.L.107-299, expires 9/30/08 | 0 |
| Ocean Exploration 33 USC 3406; P.L. 111-11, expires 9/30/15 | 32,096 |
| Federal Ocean Acidification Research and Monitoring Act of 2009 33 USC 3708; P.L. 111-11, expired 9/30/2012 | 8,227 |

Subtotal, NOAA

993,656

National Telecommunications and Information Administration

Salaries and Expenses

| | |
|---|--------|
| Telecommunications Authorization Act of 1992, P.L. 102-538, expired 9/30/93 | 72,203 |
|---|--------|

TOTAL, AUTHORIZATION REQUIRED

2,298,665

PROGRAMS AUTHORIZED

5,599,416

TOTAL, DEPARTMENT OF COMMERCE APPROPRIATIONS

7,898,081