

PPBE-S Framework Overview



Chief Finance Office

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Agenda

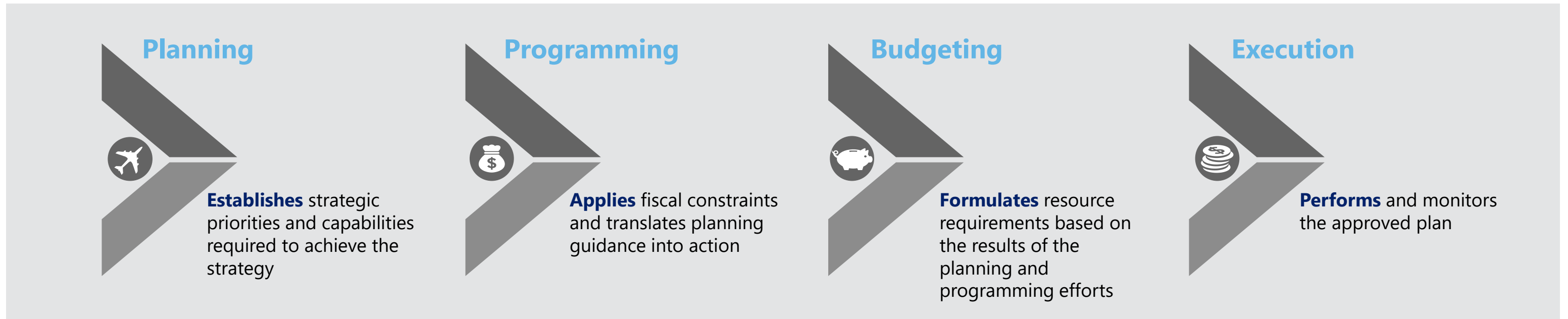
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PPBE-S Questions

- **How does a Program receive funding through the Budget Process?**
- **Why is one program prioritized higher over another?**
- **What is the timeline for when funding decisions are made?**

Overview of Planning, Programming, Budgeting, Execution and Strategy (PPBE-S)

PPBE-S is a process for driving resource allocation decisions across the enterprise and ensuring alignment of programs and activities to TSA's strategic objectives and priorities.



This framework serves to **streamline decisions** while still maintaining the integrity of information and allows analyses to **better inform budgetary decision milestones** at each phase.

Key PPBE-S Documents Developed by TSA*

Strategic Priorities and Planning Guidance (SPPG)

Establishes TSA's strategic, operational, and budgetary priorities over the Future Years Homeland Security Program (FYHSP)

Capital Investment Plan

Identifies and describes the capital investments required over the FYHSP to support the TSA Strategy

Resource Allocation Plan

Documents the proposed systematic allocation of resources required to achieve missions and objectives

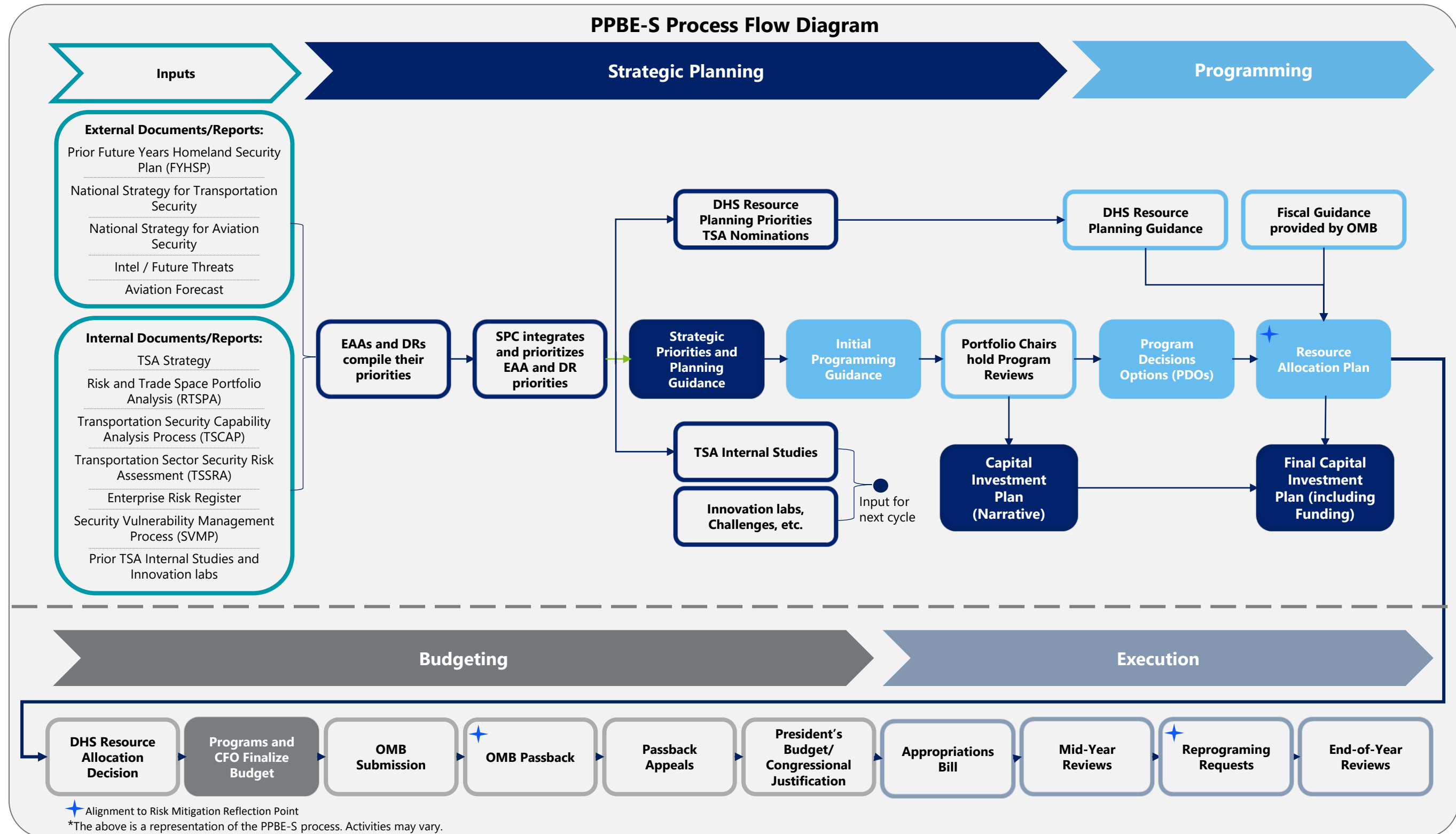
Budget

Outlines and provides justification for resource allocation by program given fiscal management guidance, rules, and constraints

*Not an exhaustive list

PPBE-S Process Flow

As the first phase within the PPBE-S process, Strategic Planning establishes TSA's outyear mission priorities and requirement focus areas, providing focused, timely, and strategic direction to inform TSA's budget development.



PPBE-S Timeline

The development of each phase of the PPBE-S process is cyclical as follows:

PPBE Budget Calendar

	FY	October	November	December	January	February	March	April	May	June	July	August	September
Planning	2024				BY+2 Planning Efforts - Development of Strategic Priorities and Planning Guidance								
Programming	2023	Portfolio Reviews (BY+1)			RAP Leadership Decision Making (BY+1)			RAP to DHS (BY+1)	Issue Teams and DMAG (BY+1)	RAD from DHS (BY+1)	Programming Plan for BY+2		
Budget Formulation	2022	OMB Briefings (BY)	OMB Passback (BY)	OMB MAX Data Entry & CJ Writing (BY)		CJ to Hill & Hearings (BY)	Hearings (BY)	Begin OMB Submission (BY+1)				OMB-J to DHS (BY+1)	OMB-J to OMB (BY+1)
Budget Execution	2021	Enacted Budget / Continuing Resolution (CY)	Prior Year Review (PY)	Allocations / Reallocations (CY)	Q1 Review (CY)		Prep for MY Review (CY)	Mid-Year Review (CY)	Reprogramming Submitted (CY)	Account Set-Up (BY)	Q3 Review (CY)	End of Year Reallocations (CY)	Operating Plans (BY)

Prior Year	2020
Current Year	2021
Budget Year	2022
Budget Year + 1	2023
Budget Year +2	2024

Programming Overview

TSA's Programming construct is organized into Portfolios with EAA Portfolio Chair representation.

TSA Portfolio Review Committee				
Personnel & Administration	Mission Support	Investment & Technology	Vetting & Enforcement	Screening & Operations
Finance Office	Enterprise Support	Enterprise Support	Operations Support	Operations Support
PORTFOLIOS				
Personnel & Administration	Mission Support	Investment & Technology	Vetting & Enforcement	Screening & Operations
Staffing Operations & Support - P&A	Staffing Operations & Support - MNS	Staffing Operations & Support - I&T	Staffing Operations & Support - V&E	Staffing Operations & Support - S&O
TSO Pay (Screening Workforce)	Commuter Benefits	Accessible Property Screening System (APSS)	Alien Flight Student Program (Mandatory Fee)	Air Cargo
Federal Air Marshal Service (FAMS)	Environmental Management	Advanced Imaging Technology (AIT)	Assessments	Air Cargo Screening Technology
TSA Contact Center	General Training	Advanced Technology (AT) Program	Assistant Federal Security Directors for Law Enforcement (AFSD-LE)	Biometrics
TV Studio	HQ Consolidation	Automated Screening Lanes (ASL)	Commercial Aviation and Airport (Fee)	Capability Development
Worker's Compensation	Inspection Systems	Credential Authentication Technology (CAT)	Consolidated Screening Gateway (CSG)	Checkpoint Operations
Working Capital Fund	Passenger Fee Data Portal and Service (PFDPs)	Electronic Baggage Screening Program (EBSP)	Crew and Other Vetting	Covert Testing
	Real Estate	Explosive Trace Detection (ETD)	FAMS Mission Scheduling and Notification System (MSNS)	Field Operations Management
	Specialized Security Training (SST)	Financial Systems	Federal Flight Deck Officer Program (FFDO)	Foreign Airport Assessment Program
	Time, Attendance, & Scheduling System	Information Technology Infrastructure Program (ITIP)	Freight Rail (Fee)	Foreign Cargo Security Programs
	TSA Academy	Maintenance Contractor IT Security Compliance	General Aviation at DCA (Fee)	Foreign TSA Representative Program
	Vehicle Fleet	OSC TSIF Information System (OTIS)	Hazmat Threat Assessment Program (HAZMAT) (Fee)	Innovation Task Force
		Passenger Screening Program (PSP)	Insider Threat	International Industry Representative (IIR)
		Passenger Screening Program (PSP) Legacy	Intelligence	National Explosives Detection Canine Team Program (NEDCTP)
		Personnel Futures Program (PFP)	Law Enforcement Officer (LEO) Reimbursement Program	Performance and Results Information System (PARIS)
		Security Technology Integrated Program (STIP)	Other Security Threat Assessment (Fee)	Performance Management Information System (PMIS)
			Pre-Check Application Program (Fee)	Pre-Clearance Program
			Public Transportation and Passenger Rail (Fee)	Regulatory Compliance
			Secure Flight	Screening Partnership Program (SPP)
			Security Services	Surface Screening Technology
			Technology Infrastructure Modernization (TIM)	Third Party Canine Air Cargo Screening Program
			Transportation Worker Identification Credential (TWIC) (Fee)	Transportation Security Sector Assistance (TSSA)
			Travelers Redress Inquiry Program (TRIP)	
			TSA Security Operations Center (TSOC)	
			Visible Intermodal Protection & Response (VIPR)	

Programming Overview

The Programming phase culminates in the Resource Allocation Plan (RAP) that is developed by the Portfolio Review Committee (PRC), which is chaired by the Chief Finance Office, Programming Section Chief.

Programming Process

Combines top down guidance with bottom up input to create a balanced, funded Resource Allocation Plan based on TSA's SPPG

Portfolio Review Committee

- Responsible for the review, evaluations, and recommendations of programming solutions during the Programming phase of the PPBE-S process.
- A committee of "honest brokers", who are empowered to put the needs of the TSA enterprise above partisan advocacy.

Purpose

- Develop a structured, repeatable process that helps to streamline budget decisions and the prioritization of projects and initiatives
- Inform the Budgeting phase, providing resourced Pricing and Programmatic adjustments that will provide defensible narratives for the Budget Phase

PRC Members

Chair, CFO Programming Section Chief

Portfolio Chair, Screening & Operations

Portfolio Chair, Vetting and Enforcement

Portfolio Chair, Mission Support

Portfolio Chair, Investment & Technology

Portfolio Chair, Personnel & Administration

Advisory Member, SP&I

Advisory Member, SO

Advisory Member, LE/FAMS

Advisory Member, RCA

Advisory Member, ES

Advisory Member, APM

Advisory Member, CoS

Advisory Member, IT

Budgeting Overview

The Budgeting phase culminates in the Budget Submission to Congress, that is developed by the Formulation Working Group (FWG), which is chaired by the CFO, Formulation Section Chief.

Budgeting Process

Involves the formulation and control of near-term resource requirements based on the results of the planning and programming efforts

Formulation Working Group

- Facilitating the review and evaluation of TSA's OMB and CJ narratives and to ensure they clearly articulate the **needs** of the agency
- Align, formulate, and prioritize TSA pricing and programmatic adjustments
- Defend leadership decisions and budget submissions to external stakeholders

Purpose

- Develop a structured, repeatable process that helps to streamline budget decisions and the prioritization of projects and initiatives
- Inform the Execution phase, providing an approved budget based on strategic alignment, and as the initial operating plan

FWG Members

Chair, CFO Formulation Section Chief

Budget & Execution Manager, Direct Reports

Budget & Execution Manager, OS

Budget & Execution Manager, ES

Budget & Execution Manager, LE/FAMS

Budget & Execution Manager, SO

Advisory Member, SP&I

Advisory Member, Portfolio Chair, SO

Advisory Member, Portfolio Chair, V&E

Advisory Member, Portfolio Chair, MS

Advisory Member, Portfolio Chair, OS

Advisory Member, Portfolio Chair, P&A

Execution Overview

The Execution phase begins at the start of the fiscal year and is the process by which performance of the planning, programming, and budgeting phases are translated into TSA capability.

Execution Process

Performs and monitors the approved plan based on the planning, programming, and budgeting phases as well as adjusting for emergent needs

Resource Working Group

- Responsible for execution of the TSA budget during the Execution phase of the PPBE process
- Makes recommendations for Current Year adjustments to senior leadership based on **emergent needs** of the agency

Purpose

- Supports measurement of performance to program-budget through periodic resource management reviews within the specific Fiscal Year
- Informs the Programming phase through annualizations of adjustments made in the Current Year

RWG Members

Chair, CFO Execution Branch Chief

Budget & Execution Manager, Direct Reports

Budget & Execution Manager, OS

Budget & Execution Manager, ES

Budget & Execution Manager, LE/FAMS

Budget & Execution Manager, SO

Advisory Member, SP&I

Advisory Member, Portfolio Chair, P&A

PPBE-S Deliverables

Each phase of the PPBE-S process has outputs as follows:

Major PPBE Deliverables

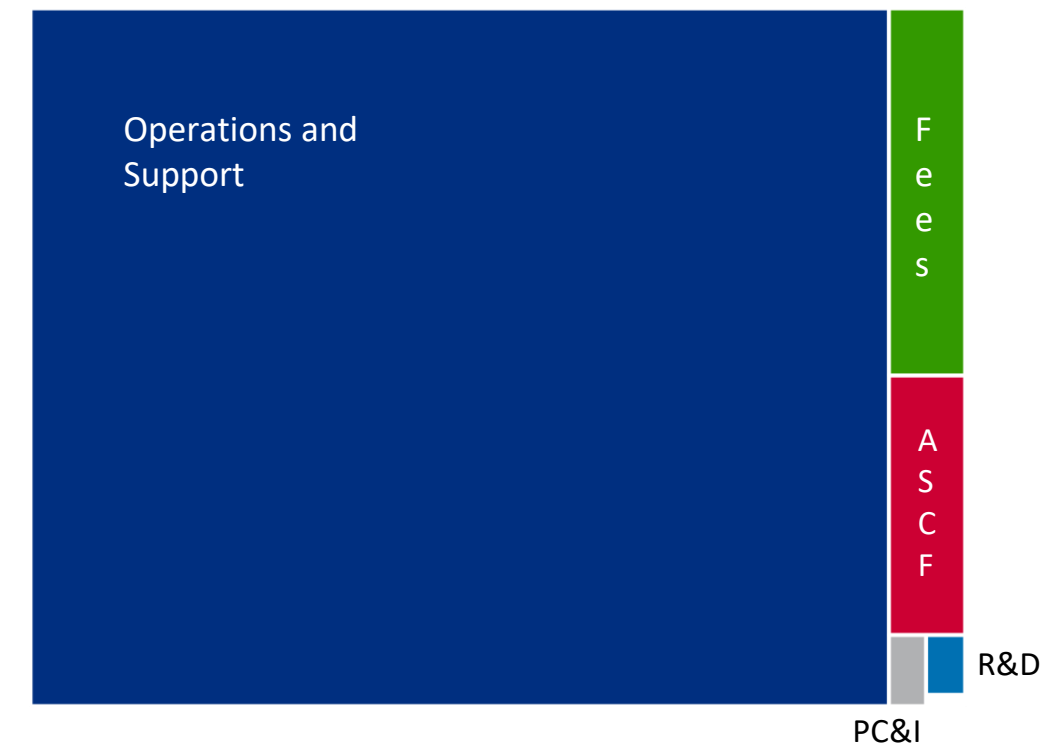
Phase	What	Primary	Secondary
Planning	Administrator's Intent Strategy	SP&I	CFO Budget Portfolio Chairs
Programming	Base Budget Reviews Resource Allocation Plan Issue Teams Winter Studies Resource Allocation Decision	CFO Budget	Portfolio Chairs
Budgeting	OMB Submission (OMB-J) OMB Briefings OMB Passback Congressional Budget Justification (CJ) Budget in Brief Roll-Out Hearing Prep (S1 and ADM) Questions for the Record (QFR) Getbacks	CFO Budget	Budget Execution Managers
Execution	Initial Operating Plans Apportionments Quarterly Reviews Monthly Execution Reporting Audit Performance Measures	CFO Budget	Budget Execution Managers
Strategy	Overall Messaging Congressional Engagement Policy Stakeholder Engagement DHS Strategic Review	TSA Leadership	EAs Counselors SP&I CFO Leg. Affairs

FY21 Budget Overview

- **Improve and Safeguard the Transportation System**
 - 45,384 Screener FTE; 1,103 domestic compliance inspectors; 108 international inspectors; 44 overseas transportation reps; 1,097 canine teams
 - Research & Development enhancements of \$3M for Emerging Alarm Resolution technologies and \$5M to develop Next Gen AIT systems
- **Commit to TSA's People**
 - Initiate comprehensive pay strategy for TSO workforce by implementing Service Pay and Phase 2 of Career Progression
- **Continue the Purchase and Install of Technology to Meet Emerging Threats**
 - Procure 493 CAT units to accelerate to Full Operating Capability (FOC)
 - Capital investments: Procure & install 30 Full-size CT units
 - Aviation Security Capital Fund (ASCF): Recapitalization of 2 Reduced-Size and 47 Medium-Speed Explosives Detection Systems (EDS)

FY21 President's Budget Request

- O&S (\$7.7B)
- PC&I (\$33.3M)
- ASCF (\$250M)
- R&D (\$29.5M)
- Credentialing Fees (\$353.9M)
- Alien Flight School (\$5.5M)



FY21 Summary

Significant Increases	Significant Decreases
<ul style="list-style-type: none"> • \$166M toward FY20 Pay Raise • \$44M for FERS Contribution • \$41M Awards Spending Increase • \$41M for 1% FY21 Pay Raise • \$47M for FY21 Volume Growth • \$24M for TSO Service Pay • \$12M for Career Progression • \$29M CT Procurement and Deployment • \$14M Airport Rent • FY21 PB Increases Passenger fee revenue by \$618M (with legislative proposals) 	<ul style="list-style-type: none"> • (\$131M) Delay in Hiring / FTE Reductions due to FY20 Pay Raise • (\$46M) Reduction to TSO Pay from FY20 Enacted Levels due to Tech Assist for Retention Incentives • (\$25M) Reduction to Screening Partnership Program Contracts – SFO Re-compete • (\$18M) Headquarters Relocation Costs • (\$11M) Contract and Travel Reductions • (\$10M) Consolidated Screening Gateway Adjustment Does not include FY20 Congressional Restorations: <ul style="list-style-type: none"> • Staffing at Exit Lanes, • LEO reimbursement program, • VIPR program



APPENDIX

TSA Appropriations

Operations and Support (O&S)

The [Operations and Support \(O&S\) appropriation](#) funds TSA's operating salaries and expenses and is a 2 year appropriation. This appropriation provides funding for TSA screening operations, including in-flight security, a strong security regulation and enforcement presence on-site at the Nation's commercial airports, multi-modal regulation compliance inspections and deterrence programs, and support for operational and headquarters personnel, systems and infrastructure.

Procurement, Construction, and Improvements (PC&I)

The [Procurement, Construction, and Improvements \(PC&I\) appropriation](#) provides TSA funds, above certain threshold amounts (\$250K for personal property and \$2M for Real Property), necessary for the manufacture, purchase, or enhancement of one or more assets prior to sustainment (conversion to O&S at that point) and is a 3 year appropriation.

Research and Development (R&D)

The [Research and Development \(R&D\) appropriation](#) funds necessary technology demonstration, prototype testing, and system development in support of passenger, baggage, and intermodal screening functions. This includes funding within this appropriation for work to be performed by the Innovation Task Force. This is a 2 year appropriation.

TSA Programs, Projects, and Activities

Aviation Screening Operations – Operations and Support

This PPA supports the core functions of TSA's frontline aviation security operations. This includes funding for the Screening Workforce, the National Explosives Detection Canine Team program, Screening Technology, Secure Flight, and programs that support screening capabilities, as well as field support for these efforts. TSA performs this function through the use of an intelligence-driven Risk-Based Security approach.

- **Screening Workforce** - Supports funding for the below Level 3 PPAs
 - Screener PC&B – Compensation & Benefits for TSOs (includes National Deployment Officers)
 - Screening Partnership Program – (Level 3 PPA) – Procures screening services from qualified private companies at TSA airports.
 - Screener Training and Other – (Level 3 PPA) – Provides resources to support new and recurring training requirements for the TSO workforce as well as other direct costs associated with screening operations (Screener Training, NDO Travel, Consumables, Uniforms, etc.)
- **Airport Management** - SFSD & Staff Operations, Non-Compliance HQ Operations, TSS-Es, and Airport/FSD Rent, Utilities, Janitorial, Fleet
- **Canines** - Funds Canine Handlers and Training/Program Support Costs
- **Screening Technology Maintenance** - Funds maintenance, program, support, and disposal of Transportation Screening Equipment (TSE) in the Nation's airports. Additionally, funds all purchases of TSE below the PC&I thresholds like Credential Authentication Technology.
- **Secure Flight** - Program mitigates known and unknown threats to aviation security by identifying high and low risk passengers and designating them for appropriate screening via watchlist matching and includes Traveler Redress Inquiry Program.

TSA Programs, Projects, and Activities

Other Operations and Enforcement – Operations and Support

Resources within this PPA provide for other key activities directly aligned to frontline operations and includes funding for Inflight Security, which includes funding for the Federal Air Marshals Service (FAMS) and Federal Flight Deck Officer (FFDO) and Crew Training, Aviation Regulation, Air Cargo, Intelligence and the TSA Operations Center (TSOC), and TSA's Vetting Programs.

- **Inflight Security** - FAMS, FFDO/Crew Training Programs
- **Aviation Regulation** – Provides law enforcement and regulatory presence at airports as well as an international component to foster consistency in worldwide security requirements and International Civil Aeronautical Organization baseline standards. (Domestic Aviation Inspectors, International Inspectors, International Operations, Law Enforcement Reimbursable Program)
- **Air Cargo** – Implementation of statutory requirements for ensuring the security of transportation systems and passengers when cargo is transported by air (domestic/international compliance, policy, and systems)
- **Intelligence and TSOC** – Funds to analyze transportation specific intelligence and TSA's Operations Center. Includes Field Intelligence Officers, and TSA Ops Center (TSOC)
- **Surface Programs** – Funding to protect the surface transportation system and ensure the freedom of movement and security of people and commerce. (Inspectors, VIPR, and Policy)
- **Vetting Programs** – Appropriated funds to undergo a Security Threat Assessment and/or FBI finger-print based Criminal History Records Check for crew vetting and aviation workers and domestic and mandatory fee funded programs for TWIC, HazMat, General Aviation @ DCA, Commercial Aviation and Airports, Other STAs, Air Cargo/CCSP, Precheck, Alien Flight School.

Mission Support – Operations and Support

The Mission Support program provides enterprise leadership, management, and business administrative services that sustain the day-to-day back office operations. Key capabilities include managing the agency's performance, finances, workforce, physical and personnel security, acquisition of goods and services, information technology, property and assets, communications, legal affairs, and administration.

- Requirements and Capabilities Analysis
- Chief Counsel
- Human Capital
- Headquarters Support (Contracting & Procurement, CFO, Public Affairs, Inspections, Civil Rights and Liberties, Professional Responsibility, HQ Rent, and Security)
- Information Technology

TSA Programs, Projects, and Activities

Procurement, Construction, and Improvement

- **Checkpoint Support** - funds major acquisitions that support activities related to the screening of passengers and their carry-on luggage at checkpoints in airports around the Nation.
 - Checkpoint Property Screening System (CPSS): This investment supports the procurement, deployment, and testing of CPSS systems, including Computed Tomography (CT) machines, for use at the airport checkpoint from FY 2020 into out-years for medium and full-size units. Procurements for these purposes in FY 2019 and prior were made under the Passenger Screening Program.
- **Checked Baggage** - funds major acquisitions that support activities related to TSA's checked baggage screening functions in airports around the Nation.
 - Electronic Baggage Screening Program (EBSP): EBSP identifies, tests, procures, deploys, installs, sustains, and recapitalizes Transportation Security Equipment across all Federalized airports to ensure 100 percent screening of checked baggage.
- **Aviation Security Capital Fund** - This mandatory account is sourced from the aviation passenger security fee and funds the purchase and installation of Explosives Detection Systems at airports across the United States. This funding is used primarily with appropriated funding under the Level II Checked Baggage PPA in the Electronic Baggage Screening Program.

TSA Programs, Projects, and Activities

Research and Development

- **Emerging Alarm Resolution Technologies** - initiative to conduct R&D activities to improve secondary resolution technologies. Current alarm resolution tools are limited in detection ability to screen across the full container types and rely heavily on manual processes by the Transportation Security Officer (TSO). Secondary screening countermeasures do not accurately resolve all alarms generated in primary screening, and certain threats may be incorrectly cleared because they are comprised of material that secondary countermeasures cannot detect.
- **On-Person Detection/Next Gen Advanced Imaging Technology (AIT) program** - develop and demonstrate modularized walk-through passenger systems to improve security effectiveness and operational efficiency in passenger screening, specifically On-Person Screening (OPS).
- **Innovation Task Force (ITF)** - conduct technology demonstrations, prototype testing, and system development in support of passenger, baggage, and intermodal screening functions for TSA's R&D appropriation. Work is performed by the ITF in collaboration with industry/manufacturers and airports in order to demonstrate new technologies, infrastructure, and configurations, which will improve aviation and transportation security processes throughout a traveler's journey. The identified solutions are tested and demonstrated in an operational environment in order to evaluate their viability and to inform requirements for potential future procurement and deployment.
- **Checkpoint Automation (CPAM) program, formerly known as Open Threat Assessment Platform (OTAP)** - seeks to define and develop an integrated countermeasures architecture, and automate screening functions with modular systems. This will improve TSA's security effectiveness and efficiency, creating an ability to serve increasing passenger flows while rapidly responding to emerging threats.

PPBE-S Information Model

Information Model used across all phases of the PPBE-S Framework

