

## **Instructions for Homeland Security Data Collection**

### Introduction

In the 2014 budget process, homeland security (HS) funding levels were identified by appropriations account in the MAX A-11 database. Concurrent with MAX A-11 data entry, agencies completed and submitted a separate activity-level database detailing the programs for which HS funding was requested. This data was used to develop the detailed analysis of Homeland Security that was published as chapter 24 of the Analytical Perspectives volume, as required by section 889 of the Homeland Security Act of 2002.

**For the 2015 Budget, homeland security estimates will continue to be reported in the MAX and Homeland Security databases. Preliminary estimates of your Agency's Homeland Security funding must be completed concurrently with your fall budget submission, pursuant to A-11.** Specific timelines and due dates for the submission of HS data will be provided separately to Homeland Security Database (HSDB) users. To expedite this process, OMB has re-deployed the HSDB internet-based data collection tool to simplify submission and review of this information. This document describes how to obtain access to the system and how to use it to provide your agency's information to OMB.

### Point of Contact

All questions regarding this data collection should be submitted to [HSDB@omb.eop.gov](mailto:HSDB@omb.eop.gov).

### Obtaining Access to the Homeland Security Database

The 2015 Homeland Security Data Collection Exercise (HSDB or "the database") will be available via the internet for approved users. In order to be granted access, you will first need to register for the application on the OMB MAX Homepage (<https://max.omb.gov/maxportal>). Once here, you will need to do one of the following steps:

- If you already have a MAX Homepage account (e.g., for MAX A-11, PART, etc.), login to your account. From your "User Home" page, click on the "MAX Applications" tab, and then click on the "Modify My Applications" button. From here, scroll down to "New Applications" section and find "Homeland Security Data Collection Exercise." Click the "Add" button next to the application name (DO NOT click the "Add as Admin" button, or you will be denied permission for the application).
- If you do not yet have a MAX Homepage account, click on the "Register Here" link at the top of the page. Fill out the online form with your information. Scroll down the page and find the sentence that says, "If you need access to MAX data collection applications, please click on the "Signup for Applications" button for a listing of available applications." Click on the "Signup for Applications" button, which will provide a listing of applications for which you may request access. Check the box to the left of the "Homeland Security Data Collection Exercise" application (DO NOT click the "As Admin" box to the right of the title, or you will be denied permission for the application). Finally, click the "Submit" button at the bottom of the page. At this time, you will receive further registration instructions. Please follow these instructions.

No matter which step you take, once you have completed the above, please confirm via email ([HSDB@omb.eop.gov](mailto:HSDB@omb.eop.gov)) that you require access to HSDB for official business purposes, and how you plan to use data in HSDB -- e.g. you work in the OCFO budget office of Agency X and must submit homeland security funding data for your agency. If you require "write" access in addition

to "read", please indicate the need and provide an explanation for the need. Failure to transmit the confirmation email will result in the non-approval of your registration.

Once you have gained access to OMB’s MAX Homepage and submitted your request for access to the database, an OMB administrator will contact you or your agency’s database point of contact via email to finalize the process.

Through the MAX Homepage, you can also request access to the MAX system and MAX applications such as the database, manage your user information, and create and reset your password for logging into the database (both under the “Manage Your Password” link near the top of the page).

The Concept of Activity-Level Data

To support various analyses of HS estimates, OMB must collect funding and program information at both the account and the activity level. For this exercise, "activity" means a set of programs or projects that make up a coherent effort, at a level of detail sufficient for the EOP, comptrollers, and Congressional auditors to analyze federal spending on HS activities. OMB has purposely left the definition of "activity" to the interpretation of respondent agencies, to allow for flexibility in responses. Agencies should work with their OMB examiners to determine the appropriate level of aggregation for reporting. A general rule of thumb is to break out activities to the smallest, self-contained unit. Since this information may only be available within bureaus, agency comptrollers should work closely with bureau and program managers to collect the data. (Agencies that would like to consult past activity-level submissions but do not have that information should contact their OMB examiner.)

The Administration is interested in improving the quality and usefulness of the data in the HS database. To that end, agencies should:

- Review and update their past activity titles to make certain they describe identifiable agency activities;
- Review and update activity descriptions to ensure that they describe the activity in a clear, concise, and detailed manner; and
- Include internal notes in the account-level funding description such as formulas used to derive HS funding levels, and not in the activity description.

Examples of Activity-Level Reporting

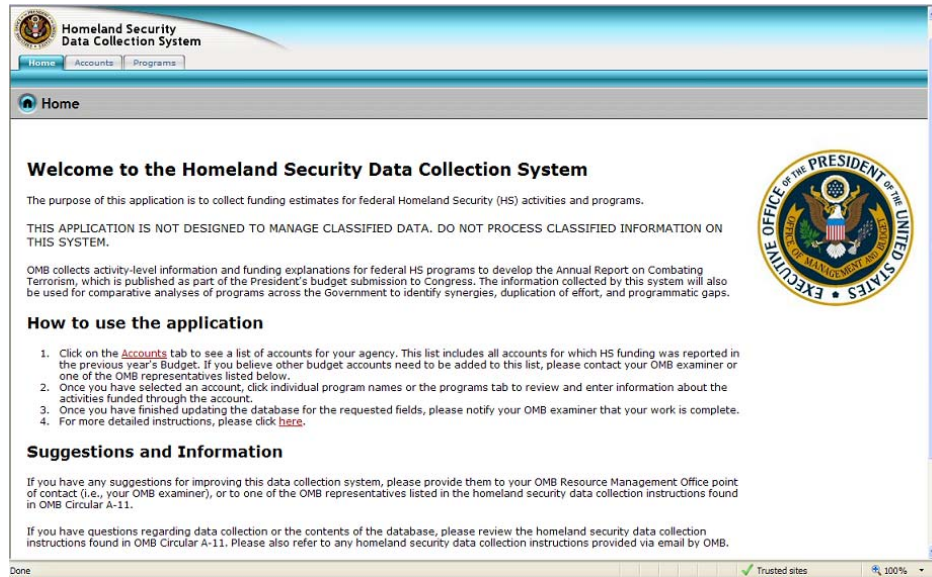
<b>Overly Aggregated Details</b>	<b>Overly Disaggregated Details*</b>	<b>Appropriate Activity Level</b>
Vaccine research	5,000 test tubes for use in next-generation anthrax vaccine research.	Research on a next-generation anthrax vaccine.
Computer security	Hackerblock version 7.3 firewall software development	Computer firewalls, including development, purchase, operation and maintenance
First responder grants	80 radios for Smallville, USA Volunteer Fire Department	Communications equipment for first responders

\*Note: agencies are encouraged to include detailed activity descriptions in the program comments

Entering Data into the Database

To access the database, you must establish a user account using the MAX homepage. Please see the section “Obtaining Access to the Homeland Security Database”, above.

Once you have been provided with a user account and password, you can connect to the database at <https://max.omb.gov/exercise-hs/home>. You will see the following screen:



At the top center of the screen, you will see your user name. At the top right of the screen, you will see the “Logout” link, which you should click to logout of the application when you are finished using the database for the session. The additional text on the main page of the database explains, at a high level, how the application works.

To see the list of budget accounts for which Homeland Security funding was reported in the past, click on the “Accounts” tab near the top of the screen. You will move to the following screen:

Account Number	Bureau	Account	Funding Description
<a href="#">009-10-9911</a>	Food and Drug Administration	Salaries and expenses	Includes food safety inspections, research, and increased laboratory security; all non-DHS.
<a href="#">009-15-0350</a>	Health Resources and Services Administration	Health resources and services	Funds for HRSA CIP and COOP activities.
<a href="#">009-17-0390</a>	Indian Health Services	Indian Health Services	CIP and COOP funding only.
<a href="#">009-20-0943</a>	Centers for Disease Control and Prevention	Disease control, research, and training	Implements larger amount of funding, but those funds are requested in the OS-PHSSEF.
<a href="#">009-25-9915</a>	National Institutes of Health	National Institutes of Health	Basic and applied bioterrorism related research, including next generation diagnostics and therapeutics (specifically includes next generation anthrax vaccine). Also includes funding for new and upgraded facilities for this research.
<a href="#">009-30-1362</a>	Substance Abuse and Mental Health Services Administration	Substance abuse and mental health services	COOP funding only.
<a href="#">009-33-1700</a>	Agency for Healthcare Research and Quality	Health care policy and research	Includes less than \$1 million in Homeland Security funding in FY 2003.
<a href="#">009-38-8005</a>	Centers for Medicare and Medicaid Services	Federal hospital insurance trust fund	CIP and COOP funding only.
<a href="#">009-70-1536</a>	Administration for Children and Families	Children and families services programs	Very small CIP and COOP funding only.
<a href="#">009-75-0142</a>	Administration on Aging	Aging services	Includes less than \$1 million in Homeland Security funding for FY 2003.

This screen lists the accounts to which you have access. The account numbers, which are listed down the left side of the screen, are clickable links. To help identify accounts, both the bureau and account name are listed next to the account number. The description of programs funded in the account is listed in the right-most column, and is for your use only; the funding description field is not published in any analyses.

The OMB account number should be familiar to you. This number identifies the appropriations account in which the funding has been requested in the budget. The OMB account number has three parts, which can be described as AAA-BB-CCCC. The AAA part represents the Agency code, BB represents the Bureau code, and CCCC represents the appropriation account code. For additional information about OMB account numbers, please see OMB circular A-11 section 79 ([http://www.whitehouse.gov/sites/default/files/omb/assets/a11\\_current\\_year/s79.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a11_current_year/s79.pdf)).

If an account is not included on your agency's list but you think it should be, please contact your OMB examiner. Database users are not able to add accounts by themselves; this has to be done by the database administrator following a request from the appropriate OMB examiner on behalf of the user.

### Edit Account Screen

Once you select a particular account (by clicking on the account number) you will be taken to the following screen, from which you can edit account details or edit and add activities and programs:

The screenshot shows the 'Edit Account' interface for the account '0911 - Salaries and expenses'. The interface includes a navigation bar at the top with buttons for 'Home', 'Accounts', and 'Programs'. Below this is a breadcrumb trail: 'Home > Accounts > Programs'. The main content area is divided into several sections:

- Account Reporting Buttons:** Located at the top left, these buttons allow users to view and print summary information for the active account and the agency.
- Account Title Information:** Located at the top center, it displays the account title: 'HOMELAND SECURITY AND OVERSEAS COMBATING TERRORISM ACCOUNT LEVEL TOTALS (BA IN MILLIONS)'.
- Account Navigation:** Located at the top right, it provides a list of available accounts for selection.
- OMB Account number:** Located on the left side, it shows the hierarchical structure of the account: '0911 - Salaries and expenses' under 'Food and Drug Administration' under 'Department of Health and Human Services'.
- Aggregate funding levels:** A table showing funding levels for FY05 and FY06, including Enacted, Supplement, and Request amounts.
- Account funding description:** A text box providing a detailed description of the account's funding.
- Save/Cancel buttons:** Located at the bottom of the funding description box, these buttons allow users to save changes or cancel the edit.
- Activity-Level Details:** A table at the bottom showing program-level details, including Program Name, Spending Type, and funding levels for FY05 and FY06.

The following sections describe the various parts of the interface and how they are used:

① The account report buttons, at the top of the screen, allow you to view and print summary information for the active account and the agency for which accounts are available. There are five reports available, each is described below:

- The Account Summary report provides the aggregated total funding by spending type (MAX line number) at the top of the report, while the detailed, activity-level information is shown in the lower section. Note that the activity-level information is ordered first by the 2003 National Strategy for Homeland Security Mission Area<sup>1</sup>, and

<sup>1</sup> The National Strategy for Homeland Security was revised in 2007, at which time the 2003 Mission Areas were consolidated into the following three Goals: 1) prevent and disrupt terrorist attacks; 2) protect the American people, critical infrastructure, and key resources; and 3) respond to and recover from incidents that do occur. While

then by Program Name. Totals are calculated for all activity-level data by spending type and by Mission Area. You can print out this report by setting your print options for “Landscape” and the paper size to “Legal.”

- The Mission Area Summary report provides a summary of all funding for the agency to which you have access. The data is organized by budget account and National Strategy Mission Area. You can print out this report by setting your print options to “Portrait.”
- The Program Summary report provides a summary of all funding for the agency to which you have access. The data is organized by budget account and displays all programs included in the database. You can print out this report by setting your print options to “Portrait.”
- The Program by Mission Summary report combines the data of the Program Summary and Mission Area Summary into a single report. This report organizes the data by budget account and mission area, showing all programs assigned to each mission. You can print out this report by setting your print options to “Portrait.”
- The Agency Summary report provides a high-level summary of all funding reported for the Agency to which you have access. Agency-wide totals are aggregated by National Strategy Mission Area, CIP/COOP/Other classification, WMD classification, and R&D classification. You can print out this report by setting your print options to “Portrait.”

② The account title information includes the Agency, Bureau, and Account Titles. These titles correspond to the actual organizational entities represented by the account numbers. The account title fields are locked and can not be changed in this database.

③ The account navigation list, on the right side of the Edit Account screen, shows you the list of accounts available for your agency and the account in which you are currently working (shaded in gray). You can move between accounts by clicking on the appropriate account number.

④ The account number fields are locked and can not be changed in this database. Homeland Security funding shown for the account should correspond to the budget authority for the appropriation account depicted.

⑤ The aggregate funding levels represent the total funding for Homeland Security activities in the account. These fields, which change depending on the type of funding reported in the activities section of the database, display the summarized funding level that should be entered into the MAX database. Further discussion of entering activity-level funding estimates, including definitions of Homeland Security activities, is included below.

⑥ The account funding description provides a brief overview of the Homeland Security activities that are funded through this account. Any internal comments such as methodological descriptions should be included in this area. This is the only field on this screen that users can modify.

⑦ Once you have made the necessary edits to the account-level information, you must click the “Save” button in order to save your changes. If you have made a mistake and would like to discard your changes and restore the original data, click the “Cancel” button.

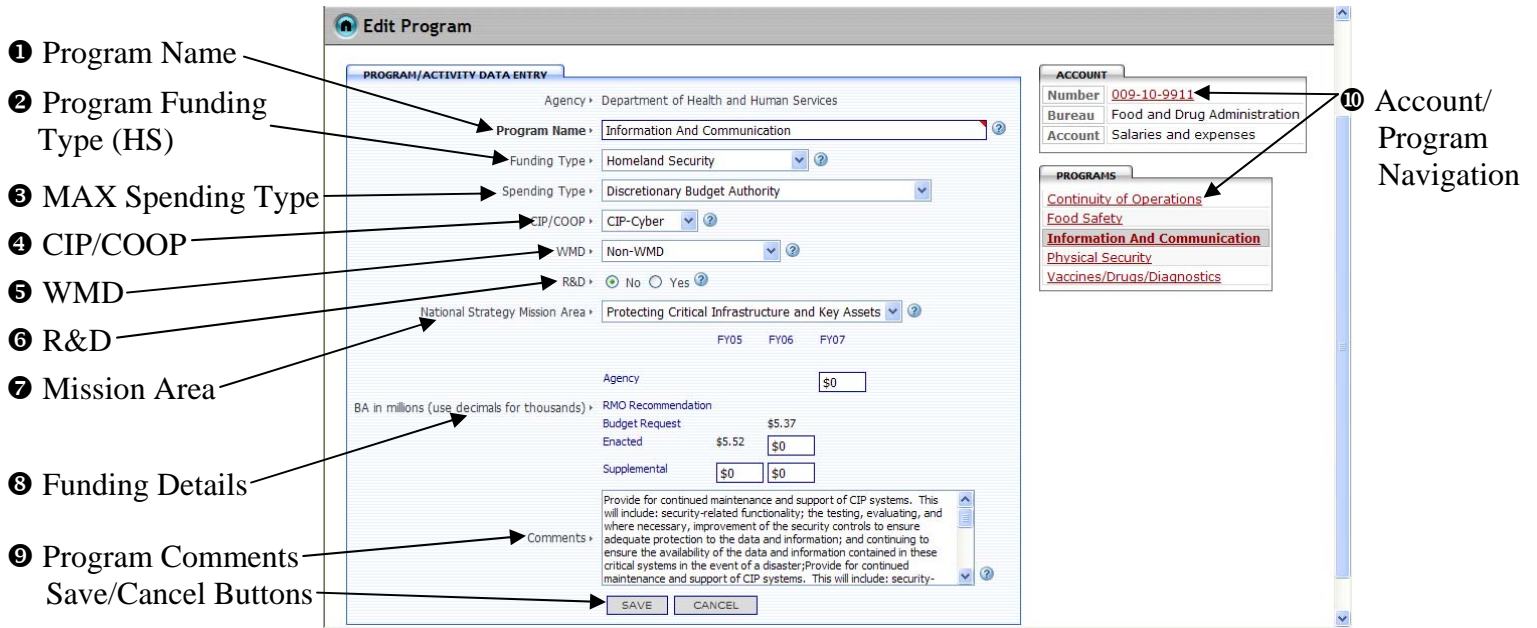
⑧ The activity-level section of the database interface is where you enter detailed information that generates the account totals shown on the Homeland Security lines. To modify or input

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homeland security funding amounts are published under the three 2007 goals, homeland security data is reported into the database using the original 2003 mission areas for continuity and granularity.

additional activity/program level information, click on the name of any activity to display the Edit Program screen:

Edit Program Screen:



1 First, determine the Activity/Program Name and enter it into the first space on the interface. As discussed above, an important part of this exercise is determining the appropriate level at which data will be reported.

2 In the next field, the only option available for reporting is “Homeland Security.” Future data collection efforts may expand the number of categories available in this field, however there is no current legal requirement to report any activities other than those dedicated to HS programs.

All HS funding levels must be developed by agency budget offices in conjunction with OMB examiners, and should represent the most current estimates available.

3 The MAX Spending Type field describes the type of funding included in the account, such as discretionary budget authority, mandatory budget authority, or spending authority from offsetting collections. The associated MAX line number is listed in parentheses. Definitions for various line numbers are in A-11 section 82 ([http://www.whitehouse.gov/sites/default/files/omb/assets/a11\\_current\\_year/s82.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a11_current_year/s82.pdf)).

4 The next field offers the choice between whether the funding is for Critical Infrastructure Protection (CIP) activities, Continuity of Operations (COOP) activities, or Other activities (non-CIP and non-COOP). Critical Infrastructure Protection (CIP) funding includes all activities or programs focused on protecting federal assets and private-sector assets of significance to the national infrastructure and captured under the National Infrastructure Protection Plan (NIPP). Only programs covered by the NIPP can be classified as CIP funding in the HS database. COOP refers to the capability of federal agencies to perform essential functions during any emergency or situation that may disrupt normal operations. If CIP or COOP is selected for this field, then funding should be exclusively for either CIP or COOP activities.

CIP activities should be further disaggregated into efforts associated with enhancing the physical (CIP-P) or cyber (CIP-C) security of public and private sector assets. Within physical security

programs, include the protection key assets such as national monuments and icons. Within cybersecurity programs, include information systems that are so vital to the nation that their incapacitation or destruction would have a debilitating impact on national security, national economic security, and/or national public health or safety.

⑤ The WMD field indicates whether the funding is used to defend against or combat Weapons of Mass Destruction (WMD). As part of the 2015 data collection exercise, the specific weapon technology on which the program is focused must also be specified, if WMD-related funding is selected. In past exercises, this field did not require specificity for weapon type, so previously reported data must be updated to reflect that information. For this exercise, the term "weapons of mass destruction" means any weapon or device that is intended, or has the capability, to cause death or serious bodily injury to a significant number of people through the release, dissemination, or impact of: toxic or poisonous chemicals or their precursors, a disease or organism, or radiation or radioactivity. If the activity is specified as WMD-related, the entire amount of funding shown should be exclusively for programs focused on combating WMD.

⑥ The Yes/No option button for Research and Development (R&D) indicates whether the funding is for efforts to produce technologies to detect, deter, prevent, treat, remediate, or attribute terrorist attacks and also should be marked as appropriate. If "Yes" is selected, the entire amount of funding shown should be exclusively for R&D programs. For this exercise, the term Research and Development includes efforts up to and including the production of a functioning prototype – this encompasses all basic and applied research; demonstration and validation of the technology; and engineering and manufacturing development to produce a prototype. For example, Department of Defense programs would include funding in categories 6.1, 6.2, 6.3, and 6.4. Please note that funding to take prototypes to operational system development is not included in the R&D definition for this exercise.

⑦ The National Strategy Mission Area field offers a choice between the six critical mission areas identified in the 2003 National Strategy for Homeland Security: Intelligence and Warning, Border and Transportation Security, Domestic Counterterrorism, Protecting Critical Infrastructure and Key Assets, Defending against Catastrophic Threats, and Emergency Preparedness and Response. For this field, select the critical mission area that best describes the activity or program reported on the line. While in-depth discussions of the critical mission areas are included in the 2003 National Strategy for Homeland Security, summary descriptions are provided below:

- ***Intelligence and Warning.*** Terrorism depends on surprise. This mission area includes intelligence programs and warning systems that can detect terrorist activity before it manifests itself in an attack so that proper preemptive, preventive, and protective action can be taken. Specifically, this mission area is made up of efforts to identify, collect, analyze, and distribute source intelligence information or the resultant warnings from intelligence analysis.
- ***Border and Transportation Security.*** This mission area includes border (including immigration activities) and transportation security programs designed to fully integrate homeland security requirements into existing domestic transportation systems. Since current systems are inextricably intertwined with the global transport infrastructure, virtually every community in America is connected to the global transportation network by the seaports, airports, highways, pipelines, railroads, and waterways that move people and goods into, within, and out of the Nation. This mission area focuses on innovative programs to promote the efficient and reliable flow of people, goods, and services across borders, while preventing terrorists from targeting and/or using transportation conveyances or systems to deliver implements of destruction.

- ***Domestic Counterterrorism.*** This mission area incorporates federal funding for any law enforcement programs (including State, Local, or Regional) that investigate and prosecute criminal activity and now assign priority to preventing and interdicting terrorist activity within the United States. It includes all homeland security programs – both traditional and nontraditional – that identify, halt, prevent, and, where appropriate, prosecute terrorists in the United States. It also includes pursuit not only of the individuals directly involved in terrorist activity, but also their sources of support: the people and organizations that knowingly fund the terrorists and those that provide them with logistical assistance.
- ***Protecting Critical Infrastructure and Key Assets.*** An attack on one or more pieces of our critical infrastructure may disrupt entire systems, cause significant damage and impact other dependent infrastructure. Programs that improve protection of the individual pieces and the interconnecting systems that make up our critical infrastructure belong in this mission area. Any funding for programs associated with the physical or cyber security of federal assets also belongs in this mission area. This mission area also include programs designed to protect America’s key assets, which are those unique facilities, sites, and structures whose disruption or destruction could have significant consequences across multiple dimensions, including national monuments and icons.

America’s critical infrastructure and key assets encompass a large number of sectors, the 17 most important of which were outlined in the recently-published National Strategy for the Physical Protection of Critical Infrastructure and Key Assets:

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|--|--|
| ○ Agriculture and Food                       | ○ Banking and Finance                    |
| ○ Drinking Water and Water Treatment Systems | ○ Chemicals and Hazardous Materials      |
| ○ Public Health and Healthcare               | ○ Postal and Shipping                    |
| ○ Emergency Services                         | ○ Information Technology                 |
| ○ Defense Industrial Base                    | ○ National Monuments and Icons           |
| ○ Telecommunications                         | ○ Nuclear Reactors, Materials, and Waste |
| ○ Energy                                     | ○ Dams                                   |
| ○ Transportation Systems                     | ○ Government Facilities                  |
|  | ○ Commercial Facilities                  |

- ***Defending against Catastrophic Threats.*** This mission area includes Homeland Security programs that involve protecting against, detecting, deterring, or mitigating the terrorist use of weapons of mass destruction, including understanding terrorists’ efforts to gain access to the expertise, technology, and materials needed to build chemical, biological, radiological, and nuclear weapons. In addition, this mission area includes funding for efforts or planning to decontaminate buildings, facilities, or geographies after a catastrophic threat.
- ***Emergency Preparedness and Response.*** This mission area includes programs that prepare to minimize the damage and recover from any future terrorist attacks that may occur despite our best efforts at prevention. This includes programs that help to plan, equip, train, and practice the response capabilities many different response units (including first responders, such as police officers, firefighters, emergency medical providers, public works personnel, and emergency management officials) ready to mobilize without warning for any emergency. This area also includes programs that will consolidate federal response plans and build a national system for incident management in cooperation with state and local government including emergency preparedness and response efforts to engage the private sector and the American people.



⑧ The Funding Details fields are for the collection of the funding associated with the combination of variables identified in the other fields for activity/program. Note that appropriations should be split between regular appropriations and supplemental appropriations. Enter the amount of funding in millions, with thousands represented as decimal values (e.g., \$24,199,000 would be entered as 24.199). Please contact your OMB examiner if you have revisions to any amounts that are locked (i.e., “read-only”).

⑨ The Comments field in this interface is for your explanation the activity or programs funded by the listed amounts. Use this section to explain the funding in greater detail, or explain the components that make up the reported activity. Since this field includes information that may not have been recently updated, please make sure the program/activity comments are timely and accurately explain the purpose of the funding shown.

Once you have made the necessary edits to the activity-level information, you must click the “Save” button in order to save your changes. If you have made a mistake and would like to discard your changes and restore the original data, click the “Cancel” button.

⑩ The Account/Program navigation frames on the right-hand side of the screen allow you to easily navigate back to the Account-level screen (by clicking on the account number) or between multiple programs (by clicking on the program name) if the account has them.

## Adding a New Activity/Program

Add Program button

Don't forget to give your program a name!

To add a new activity or program, simply click on the “Add Program” button, which is displayed when the “Programs” tab is clicked. Alternatively, you can select the “Add Program” link at the top of the programs list on the “Edit Account” page.

Be sure to give your new activity/program a name and to fill in all of the appropriate information. Also, don't forget to click the “Save” button to make sure your new program is included in the list of activities for the account.

## Informing OMB that your data is complete and Logging out

Once you have completed entering your data into the database, call or email your OMB program examiner to let them know you have finished your data entry.

Finally, at the end of your session, don't forget to click “Logout.” This will disconnect you from the database. The “Logout” button is at the top right of the screen, as shown below:

Don't forget to Logout!

**Homeland Security Data Collection System**

Home Accounts Programs

Edit Account Account Details Mission Area Summary Program by Mission Summary Program Summary Agency Summary

### Edit Account

**HOMELAND SECURITY AND OVERSEAS COMBATING TERRORISM ACCOUNT LEVEL TOTALS (BA IN MILLIONS)**

(009) Agency Department of Health and Human Services

(10) Bureau Food and Drug Administration

(9911) Account Salaries and expenses

	FY05 Enacted	FY05 Supplement	FY06 Request	FY06 Enacted	FY06 Supplement	FY07 Agency	FY07 Request
HS, Discretionary Budget Authority	\$223	\$0	\$253	\$0	\$0	\$0	\$0

Account-Level Funding Description: Includes food safety inspections, research, and increased laboratory security: all non-DHS.

SAVE CANCEL

**DEPARTMENT OF HEALTH AND HUMAN SERVICES ACCOUNTS**

Account Number	Account
<b>009-10-9911</b>	<b>Salaries and expenses</b>
009-15-0350	Health resources and services
009-17-0390	Indian Health Services
009-20-0943	Disease control, research, and training
009-25-9915	National Institutes of Health
009-30-1362	Substance abuse and mental health services
009-33-1700	Health care policy and research
009-38-8005	Federal hospital insurance trust fund
009-70-1536	Children and families service programs
009-75-0142	Aging services programs
009-90-9912	General departmental management
009-91-9941	HHS service and supply fund