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Summary of Changes

The following revises references to background information, and updates citations to reflect current guidance, including OMB Budget Guidance for FY 2016.

Large structural changes:

- Replaced the terms Ex53 and Ex300 with:
 - Ex53A = Agency IT Portfolio Summary
 - Ex53C = Agency Cloud Spending Summary
 - Ex300A = Major IT Business Case
 - Ex300B = Major IT Business Case Detail
- Added Agency IT Infrastructure Spending Summary
- Expanded Cloud Computing Spending totals for CY and BY to include Provisioned IT Services by DME and O&M
- Moved Legal Regulatory Authorities to Appendix A

Significant Updates to Agency IT Portfolio Summary requirements:

- Added language to require CFO/Budget Officer to support agency submission prior to submission to OMB
- Revised the list of agencies that are required to report via the IT Dashboard
- Updated definition for the primary FEA BRM services code (Column 13); the primary FEA BRM services code should now reflect the investments predominate and mission/business function
- Removed HSPD-12 cost question
- Removed Homeland Security Identifier question
- Removed references to previously reported Ex53D data
- Updated dropdown options for Column 39, Cloud Computing Alternative Evaluation
- Added column 39b and 39c to highlight that an investment is a Cloud Service Provider.
- Updated text for PY Cloud Computing Spending totals to include agency funding to outside agency cloud providers as well as Inter- and Intra-agency costs
- The data provided in the Exhibit 53D, “Agency IT Priority Investment Proposals” is no longer required

Significant Updates to Major IT Business Case requirements:

- Clarified language for reporting Intra-agency Shared Services Major IT Investments
- Added question to primary program in the Federal Program Inventory for alignment of each major IT investment
- Reconfigured connections between acquisition data and FPDS. Agency’s contract data will be viewable on the IT Dashboard when provided, but FPDS data will be viewable when agency data is not provided

Major IT Business Case Detail:

- Added two columns to the B.1 table for SDLC Methodology
- Added column to the B.1 table asking if each project had a production release every six months, and if not, why
- Revised Column 5 of the B.2 table to remove useable functionality and add other types of activities
- Added column to enable the “Closing” of project risks (B.3 table) and operational risks (C.2 table)
- Added column to the C.1 table to enable Performance Metrics to be “Retired”
- Removed “Target Met?” from C.1b table
- Realigned Performance Metrics (C.1a table) from the old PRM v2 to the Capital Programming Guide
- Added language requiring at least three open risks be identified for all active projects; where operational components exist, three operational risks must also be identified

Definitions:

- In order to ensure standard data reporting across all elements of the E-Gov Integrated Data Collection, OMB is establishing the “IDC Common Definitions.” Where possible, OMB is revising each element of the IDC to use this common set of definitions
- Created a separate document for the IDC Common Definitions

1. Why must I report on information technology (IT) investments?

The required information allows the agency and the Office of Management and Budget (OMB) to review and evaluate each agency's IT spending and to compare IT spending across the Federal Government. Specifically, the information helps the agency and OMB to:

- Provide a report on all IT investments for the agency, as required by the Clinger-Cohen Act of 1996;
- Understand and compare the amount spent on the development of new capabilities (Development, Modernization and Enhancement [DME], which may appropriately be treated as capitalized costs) and in support of operation and maintenance (O&M) for all agency IT investments; and
- Identify and report on agency financial management systems.

Agencies provide required information Regular (sometimes referred to as monthly) update, Quarterly, or Annually, depending on the data field and the type of underlying investment (Non-Major or Major). This information should be consistent with what is required in [Section 55 of OMB Circular A-11](#). In addition, as an output of the agency's internal IT Capital Planning and Investment Control (CPIC) process, the budget justification for IT must provide results-oriented information in the context of the agency's missions and operations, as expressed through its Enterprise Architecture (EA) and be supported by the agency's CFOs/Budget Officers. The budget justification, including the status and plans for information systems, should be consistent with the agency's IT Investment Portfolio Summary and Major IT Business Case submissions.

Investment costs must include all Federal budgetary resources (i.e., direct appropriation, collections, and transfers, and agency contributions) – see IDC Common Definitions. These investment costs and benefits must be formulated and reported to support the Clinger Cohen Act of 1996's requirement that the OMB Director shall submit to Congress a report on the net program performance benefits achieved as a result of major capital investments made by executive agencies in information systems and how the benefits relate to the accomplishment of the goals of the executive agencies.

2. How do I ensure that IT investments align with and support the agency's strategic plans?

An agency's IT investment management and reporting of IT investments must clearly demonstrate that each investment is needed to help meet the agency's strategic goals and mission as well as show how governance processes are used to plan, select, develop, implement, and operate IT investments. This must be demonstrated through Agency Major IT Business Cases' supporting documentation, Information Resource Management (IRM) Strategic Plan, Enterprise Roadmap, IT Capital Asset Summary, and Agency IT Portfolio Summary submissions. The agency must further demonstrate how the investment supports a business line or enterprise service performance goal as documented in the agency's EA and annual Enterprise Roadmap submission to OMB. Documents used to manage the planning, development, implementation, and operation of IT investments, and documents that demonstrate the outcomes of agency, branch, and bureau governance decisions, should be maintained and made readily available if requested by OMB.

The individual agency's IT Investment Portfolio Summary submissions are used to create an overall "Federal IT Investment Portfolio," which is published as part of the President's Budget. Agency and OMB portfolio reviews and Budget processes will ensure the selection of IT investments that support the agency's strategic objectives or performance goals, as captured in the agency's Strategic Plan and Annual Performance Plan.

3. How do I determine whether I must report?

Agencies must submit information on the Agency IT Portfolio Summary, Agency Cloud Spending Summary, and Major IT Business Case, using the format specified in this guidance, as applicable, for reporting of their IT budget and IT Management information. This requirement applies to any agency subject to Executive Branch review (see [OMB Circular A-11 Section 25.1](#)), unless otherwise directed.

The following agencies must submit to the IT Dashboard in FY 2016:

Department of Agriculture	Department of the Treasury
Department of Commerce	Department of Veterans Affairs
Department of Defense	U.S. Agency for International Development
Department of Education	U.S. Army Corps of Engineers
Department of Energy	Environmental Protection Agency
Department of Health and Human Services	General Services Administration
Department of Homeland Security	National Aeronautics and Space Administration
Department of Housing and Urban Development	National Archives and Records Administration
Department of the Interior	National Science Foundation
Department of Justice	Nuclear Regulatory Commission
Department of Labor	Office of Personnel Management
Department of State	Small Business Administration
Department of Transportation	Social Security Administration

Separate guidance may be issued, amending the above specifications regarding agency submissions, for non-CIO Council agencies.

The agency's Chief Information Officer must approve, the agency's CFO/Budget Officer must support, and the agency's IT capital planning office should coordinate and review all versions/revisions of the Agency IT Portfolio Summary, Agency Cloud Spending Summary, and Major IT Business Cases prior to submission to OMB.

4. What is included in Agency Annual IT Budget and Management Reporting?

The Agency IT Investment Portfolio Summary should include all of an agency's IT costs, including all major and non-major IT investments. For each submission, IT funding levels reported in the Agency IT Investment Portfolio Summary should be consistent with program-level funding and branch, bureau, and agency summary funding tables, as provided to OMB in the overall agency budget materials.

Investment funding sources must include all Federal budgetary sources of funding used (i.e., budget authority provided in direct appropriations, amounts available for obligation through collections of fees or other receipts, transfers from trust funds or other Federal sources, or via reimbursement, including payments for services). Agency investments cost and performance benefits must be formulated and reported in order to support the Clinger-Cohen Act's requirements.

Funding levels in the Agency IT Portfolio Summary and Major IT Business Case should be provided for PY, CY, and BY, as outlined below:

For:	Funding Levels in Agency IT Portfolio Summary for Preliminary Agency Requests	Funding Levels in Agency IT Portfolio Summary for President’s Budget Request to Congress
PY (2014)	FY 2014 Enacted/likely actual level	FY 2014 actual level
CY (2015)	Likely Enacted for FY 2015	Likely/Enacted for FY 2015
BY (2016)	Agency Request for FY 2016	President’s Budget Request for FY 2016

5. How is IT spending categorized?

IT spending should be divided into six major Parts of the Agency IT Portfolio Summary, as shown below.

Category	Description
Part 1. IT Investments for Mission Delivery Area and Management Support Area	Report IT investments that directly support an agency-designated mission delivery and management support area as well as the mission delivery and management support area they support. This information should map directly to the agency's strategic and annual performance plan. For IT investments that cover more than one agency, report in the mission area with oversight of the IT investment.
Part 2. IT Investments for Infrastructure, IT Security, Office Automation, and Telecommunications	IT investments for infrastructure, IT security, office automation, and telecommunications are reported in Part 2. Report all IT investments supporting common user systems, security, communications, and computing infrastructure. Each agency may have multiple major IT investments encompassing office automation, infrastructure, IT security, and telecommunications for the agency. These investments should be reported at the point of management and thus may be defined at the bureau level and/or by functional components of the infrastructure. These may involve multiple mission areas and include end-user systems and support, mainframes and servers services and support, and telecommunications services and support. All IT investments capturing shared services are to be reported as Part 2.
Part 3. IT Investments for EA, Capital Planning, and CIO Functions	List all EA, IT capital planning, and CIO function investments. IT capital planning and CIO function investments should not be categorized as major IT investments. Any capital planning and investment control process investments may be reported separately in this section; however, agencies should ensure that investments supporting multiple Part 3 functions have the correct primary FEA mapping in order to clearly distinguish the EA investments from other planning investments.
Part 4. IT Investments for Grants Management Systems	Report IT investments that support grants management operations.
Part 5. National Security Systems IT Investments	Report IT investments related to national security systems (Department of Defense only).
Part 6. Grants to State and Local IT Investments	Report total amounts for grants to state and local governments to be used for information technology.

6. How do I submit Annual, Quarterly, and Regular Update of IT Budget and Management information, and when is it due?

Agencies must submit materials for the annual, quarterly, and Regular Updates of IT Budget and Management information on the following schedule:

Annual Reporting:

- FY 2016 Draft Agency IT Investment Portfolio Summary submission: August 25, 2014
- FY 2016 Agency IT Investment Portfolio Summary, Cloud Spending Summary, and IT Infrastructure Spending Summary submissions: September 8, 2014 (tentative)
- FY 2016 Major IT investment Business Case submissions: September 12, 2014 (tentative)
 - Major IT investment Business Case submission window – September 9 - 12, 2014 (tentative)
- Final FY 2016 President’s Budget Agency IT Investment Portfolio Summary, Cloud Spending Summary, and IT Infrastructure Spending Summary submissions: early January 2015 (tentative)
- Final FY 2016 President’s Budget Major IT investment Business Case submissions: as requested): early February 2015 (tentative)

Quarterly Reporting: (separate instructions will be provided 30-45 days before the due date)

- May 31, 2014; August 31, 2014; November 30, 2014; February 28, 2015

Regular Updates Reporting:

- Major IT investment updates for risks, metrics, projects, and activities will be submitted to the IT Dashboard as soon as the data becomes available, or at least once per each calendar month.

Specifically, a draft version of the Agency IT Investment Portfolio Summary shall be completed by the agency and submitted to OMB. This draft will constitute the agency’s proposal to OMB on which major and non-major IT investments will be reported as part of the Agency’s FY 2016 Request. It also confirms the mapping of agency investments to agency architectures. The initial draft of the Agency IT Investment Portfolio Summary must conform to a template described later in this section, and emailed to egov@omb.eop.gov with a copy to the Agency E-Gov analyst by August 25, 2014. Specific steps for completing the submission will be available on the [OMB MAX Community IDC page](#). The completed draft version of the Agency IT Investment Portfolio Summary should be coordinated by the agency’s IT capital planning lead, approved by the Agency CIO and the agency’s budget office. At a minimum, the draft Agency IT Investment Portfolio Summary should include the legacy Unique Investment Identifiers (UIIs), current UII, investment name, investment description, and the FEA BRM Primary services mappings.

All subsequent updates to the Agency IT Investment Portfolio Summary will be submitted to the IT Dashboard or as otherwise directed. The agency IT capital planning office should coordinate and review all versions/revisions of the Agency IT Investment Portfolio Summary, Agency Cloud Spending Summary, and Major IT investment Business Cases prior to submission of the Agency CIO approved version to OMB.

Additional updates to the Agency IT Investment Portfolio Summary, Agency Cloud Spending Summary, and Major IT investment Business Cases may be required after final budget decisions, or if the agency requests supplemental funds that require changes to improve reporting accuracy. Specific instructions and deadlines for submitting updates, corrections, and final submissions of these exhibits will be available on the [OMB MAX Community IDC page](#). If an agency requests supplemental funds or reallocates funding within its authority, and these funding changes result in changes to the Agency’s IT Investment Portfolio Summary and its performance targets, then agencies should submit a new or revised version of the Agency IT Investment Portfolio Summary as part of their supplemental request.

7. If I submitted an Exhibit 53 last year, how do I revise it this year?

If the agency submitted an Exhibit 53 for the FY 2015 Budget, the revised FY 2016 Agency IT Investment Portfolio Summary data must be compliant with the FY 2016 specified formats or it will be rejected. The agency must note “change in status” for each investment, as compared to the final FY 2015 President’s Budget (February 2014 or most recent update). Changes must be identified and described in columns 9 and 10 of the Agency IT Investment Portfolio Summary.

It is important that the agency updates its Agency IT Investment Portfolio Summary to reflect the chart listed at the bottom of section 4. Note that the PY funding should be updated to reflect the FY 2014 Actuals for the final FY 2016 President’s Budget. An OMB Budget Account code for all 'Funding Sources' line items is required for every investment.

8. How is the Agency Annual IT Budget and Management Reporting organized?

The Agency Annual IT Budget and Management Reporting is composed of four sub-exhibits:

1. Agency IT Portfolio Summary - Includes IT investment budget, management, and architecture information.
2. Agency Cloud Spending Summary - Includes IT investment budget and management information by cloud computing deployment model and service model.
3. Agency IT Infrastructure Spending Summary - Includes a detailed spending breakout on all aspects of an Agency’s IT Infrastructure.
4. Major IT Business Case - Includes detailed IT Investment budget and management information for Major IT Investment.

Note: The data once required in the Exhibit 53B, “Agency IT Security Portfolio,” and the Exhibit 53D, “Agency IT Priority Investment Proposals” are no longer required through the Annual submission of IT Budget and Management information.

AGENCY IT PORTFOLIO SUMMARY

The President's Budget Agency IT Portfolio Summary is a complete report of all IT spending within the Agency. Investment costs are to be provided in **millions of dollars**, and reporting to three decimal places (precision to thousands of dollars) is recommended, although agencies may report up to six decimal places (whole dollars).

9. What must I report?

The Agency IT Portfolio Summary includes all funding for the IT investments from all funding sources. This means that for each investment, the agency must identify the funding source and budgetary resources, including the OMB Budget Account codes used for the investment. An agency should add as many funding source line items as are appropriate for the investment.

To avoid double counting or under counting for E-Gov and/or Multi-Agency collaboration investments, the total funding source amounts for an investment must match the investment line item. To that end, the Agency IT Portfolio Summary of the investment’s managing partner should only include funding from its own agency in the “Agency Funding” columns and include funds received from partner agencies in the “Contributions” columns. Likewise, Partner Agency’s IT Investment Portfolio Summary should include funding that is being transferred to the managing partner in its own “Agency Funding” columns (using the investment type: “04-Funding transfer investments). The Major IT Business Case will include all funding (both from the managing partner’s “Agency Funding” as well as the partner agency’s contributions).

Use the following 10-digit number coding system to update or complete your OMB MAX Budget account ID code information:

Entry	Description
XXX -xx-xxxx-x	The first three digits are your agency code (see Appendix C of OMB Circular A-11).
xxx- XX -xxxx-x	The next two digits are your bureau code (see Appendix C of OMB Circular A-11). Note that the “bureau” code embedded in the OMB account number for a funding source may not always refer to a “bureau” as the term is used elsewhere.
xxx-xx- XXXX -x	This is a four-digit account symbol for the appropriate MAX account (see Section 79.2 of OMB Circular A-11).
xxx-xx-xxxx- X	This is a single digit Transmittal Code (see Section 79.2 of OMB Circular A-11).

10. How is the Agency IT Portfolio Summary structured?

The Agency IT Portfolio Summary is organized into the following required columns. Detailed instructions for completing each column follow the column listing below.

- Column 1: Previous UII (12 digits required for all legacy investments)
- Column 2: Current UII (12-digit primary key for all investments)
- Column 3: Investment Category (2-digit code)
- Column 4: Bureau Code (2-digit code) (variable element)
- Column 5: Part of Agency IT Portfolio Summary (2-digit code) (variable element)
- Column 6: Mission Delivery and Management Support Area (2-digit code) (variable element)
- Column 7: Type of Investment (2-digit code) (variable element)
- Column 8: Line Item Descriptor (2-digit code) (variable element)
- Column 9: Change in Investment Status Identifier (2-digit code)

- Column 10: Agency Description of Change in Investment Status (limited to 255 characters)
- Column 11: Investment Title
- Column 12: Investment Description (limited to 255 characters)
- Column 13: FEA BRM Services – Primary service area (3-digit code)
- Column 14: FEA BRM Services – Secondary service area #1 (3-digit code)
- Column 15: FEA BRM Services – Secondary service area #2 (3-digit code)
- Column 16: FEA BRM Services – Secondary service area #3 (3-digit code)
- Column 17: FEA BRM Services – Secondary service area #4 (3-digit code)
- Column 18: Cross-Boundary Information Identifier (1-digit code)
- Column 19: Supports Information Sharing, Access, and Safeguarding (select all that apply)
- Column 20: DME [Planning, Development/Capital Spending] (PY/2014) Agency Funding (\$M)
- Column 21: DME [Planning, Development/Capital Spending] (PY/2014) Contributions (\$M)
- Column 22: DME [Planning, Development/Capital Spending] (CY/2015) Agency Funding (\$M)
- Column 23: DME [Planning, Development/Capital Spending] (CY/2015) Contributions (\$M)
- Column 24: DME [Planning, Development/Capital Spending] (BY/2016) Agency Funding (\$M)
- Column 25: DME [Planning, Development/Capital Spending] (BY/2016) Contributions (\$M)
- Column 26: O&M Spending (PY/2014) Agency Funding (\$M)
- Column 27: O&M Spending (PY/2014) Contributions (\$M)
- Column 28: O&M Spending (CY/2015) Agency Funding (\$M)
- Column 29: O&M Spending (CY/2015) Contributions (\$M)
- Column 30: O&M Spending (BY/2016) Agency Funding (\$M)
- Column 31: O&M Spending (BY/2016) Contributions (\$M)
- Column 32: Number of Government FTEs (BY/2016)
- Column 33: Percentage of Investment Cost for Government FTE (BY/2016)
- Column 34: Functional/Business Sponsor Name
- Column 35: Functional/Business Sponsor Title
- Column 36: Functional/Business Sponsor Phone Number
- Column 37: Functional/Business Sponsor Phone Number Extension
- Column 38: Functional/Business Sponsor E-mail
- Column 39a: Cloud Computing Alternatives Evaluation
- Column 39b: Does this Investment provide cloud services to Agency Components
- Column 39c: Does this Investment provide cloud services to other Federal or State/Local Entities
- Column 40: Cloud Computing Spending (PY)
- Column 41: DME Provisioned IT Services Spending (CY/2015) Agency Funding (\$M)
- Column 42: DME Provisioned IT Services Spending (CY/2015) Contributions (\$M)
- Column 43: DME Provisioned IT Services Spending (BY/2016) Agency Funding (\$M)
- Column 44: DME Provisioned IT Services Spending (BY/2016) Contributions (\$M)
- Column 45: O&M Provisioned IT Services Spending (CY/2015) Agency Funding (\$M)
- Column 46: O&M Provisioned IT Services Spending (CY/2015) Contributions (\$M)
- Column 47: O&M Provisioned IT Services Spending (BY/2016) Agency Funding (\$M)
- Column 48: O&M Provisioned IT Services Spending (BY/2016) Contributions (\$M)

11. How do I complete the Agency IT Portfolio Summary?

Each investment identified in the agency's IT Investment Portfolio Summary must have a Unique Investment Identifier (UII). The first two columns provide previous and current UII's 12-digit line number coding. Variable identifying information is provided in columns three through eight, to categorize investments.

Column	Description
1	Previous (UII) (12 digits required for all legacy investments) This is the identifier depicting agency code and unique investment number used to report the investment in the previous FY 2015 Exhibit 53 submission to OMB. Indicating the UII used for a previous submission allows cross-walk and historical analysis crossing FYs for tracking purposes. Previous UII is mandatory, with the exception of new investments. To indicate consolidations/splits/reorganizations, agencies can provide more than one entry and separate UIIs with commas.
2	Current UII (12-digit primary key for all investments) The Current UII includes an agency code and a nine-digit unique identifier. Variable information formerly included in the UII of previous years is not part of the UII primary key.
XXX- xxxxxxxxx	The first three digits represent your agency code (see Appendix C of OMB Circular A-11).
xxx- xxxxxxxxxxxx	The last nine digits serve as your unique identifier. This identifier should be system-generated and applied at the agency level. It will allow agencies up to one billion unique identifiers to associate with IT investments. Once used, the unique identifier must be retired. If an IT investment is retired, discontinued, or merged with another IT investment, the unique identifier persists with that IT investment. <i>Note:</i> "99999XXXX" codes are reserved for approved Multi-Agency investments, including E-Gov and Lines of Business (LoB) initiatives.
3	Investment Category (2-digit code) (variable element)
XX-xx-xx-xx-xx-xx	00: Code for all investments other than those coded "24" or "48" 24: E-Gov initiatives or an individual agency's participation in one of the E-Gov initiatives 48: Any Multi-Agency collaboration or an individual agency's participation in one of the Multi-Agency initiatives, excluding E-Gov initiatives
4	Bureau Code (2-digit code) (variable element)
xx-XX-xx-xx-xx-xx	The next two digits indicate the bureau code of the <u>investment</u> (see Appendix C of OMB Circular A-11). If this is a department-level or an agency-wide activity, use 00 as your bureau code. <i>Note:</i> this refers to the bureau with management responsibility for the IT investment, which may differ from the "bureau" code embedded in OMB budget accounts used when providing funding sources.

<p>5 xx-xx-XX-xx-xx -xx</p>	<p>Part of Agency IT Portfolio Summary (2-digit code) (variable element) These two digits indicate the six parts of the Agency IT Portfolio Summary: 01: Part 1. IT Investments for Mission Delivery and Management Support Area 02: Part 2. IT Investments for Infrastructure, IT Security, Office Automation, and Telecommunications 03: Part 3. IT Investments for EA, Capital Planning, and CIO Functions 04: Part 4. IT Investments for Grants Management Systems 05: Part 5. National Security Systems IT Investments (Department of Defense Only) 06: Part 6. Grants to State and Local IT Investments</p>
<p>6 xx-xx-xx-XX-xx-xx</p>	<p>Mission Delivery and Management Support Area (2-digit code) (variable element) These two digits indicate the mission delivery and management support areas. Agencies should assign a unique code for each mission delivery and management support area reported. Mission delivery and management support area 01 is reserved for IT investments for major financial management systems.</p>
<p>7 xx-xx-xx-xx-XX-xx</p>	<p>Type of Investment (2-digit code) (variable element) These two digits indicate the agency's type of investment. Select one of the following two digit codes according to the type of investment being reported: 01: Major IT investments (see IDC common definitions) 02: Non-major IT investments (see IDC common definitions) 03: IT migration investment: The portion of a larger asset and for which there is an existing business case for the overall asset. The description of the IT investment should indicate the UII of the major asset investment of the managing partner. 04: Funding transfer investments: These are primarily used for business cases for the major IT investment is reported in another agency's IT Investment Portfolio Summary. The description of the IT investment should indicate the UII of the major asset investment of the managing partner. Intra-agency collaboration can also use this investment type.</p>
<p>8 xx-xx-xx-xx-xx-XX</p>	<p>Line Item Descriptor (2-digit code) (variable element) These two digits identify the nature of the “line item” in the Agency IT Portfolio Summary structure. The digits represent the line number in both the XML format used for agencies on the IT Dashboard and the line number in an equivalent spreadsheet file (CSV or XLS file), for agencies not on the IT Dashboard: 00: Total investment title line, structurally the first line for reporting this particular investment 04: Funding source or appropriation 09: Any subtotal [Note - This value is only used only for agencies not on the IT Dashboard]</p>

9	<p>Change in Investment Status Identifier (2-digit code) This is used when an investment has a change in status (e.g., downgraded to non-major IT investment, eliminated, retired, consolidated, split) for the current budget submission relative to the previous budget cycle. The change of status should be indicated with one of the following reasons:</p> <ol style="list-style-type: none"> 1. Upgraded from non-major to major IT investment 2. Downgraded from major to non-major IT investment 3. Split into multiple investments (newly split investments must be included in the Agency IT Portfolio Summary, with new UIIs) 4. Consolidation of investments (the previous UIIs must be included in Column 1) 5. Reorganization 6. Eliminated by funding 7. Eliminated by split 8. Eliminated by consolidation 9. Eliminated by reorganization 10. New 11. No Change in Status
10	<p>Agency Description of Change in Investment Status (limited to 255 characters) This is used when an indicator has been chosen for “Change in Investment Status” in order to provide a description of the rationale for the change which may include impacted UIIs, specific references to legislative requirements, or governance board decisions and effective dates.</p>
11	<p>Investment Title This is a definitive title explaining the investment. For "funding source" information, provide the 10-digit OMB MAX Budget account code (OMB Circular A-11, Section 79.2). To the extent that they are not part of the name used by the agency, other identifiers such as bureaus or other numeric codes should not be included as part of an Investment Title.</p>
12	<p>Investment Description (limited to 255 characters) This is a short public-facing description (limited to 255 characters) for each investment (major, migration, partner contribution, and non-major). This description should explain the purpose of the investment and what program(s) it supports, including the value to the public. The description should be understandable to someone who is not an expert of the agency. If the investment is part of a Multi-Agency initiative or another business case, the agency should describe where that business case is located in the appropriate agency Budget submission (e.g., managing partner UII). For example, if the investment represents the agency's participation in one of the Presidential initiatives, the description should state this information and refer to the UII of the managing partner's business case.</p>
13	<p>FEA BRM Services – Primary service area (3-digit code) This is the three-digit code that indicates the predominant mission/business function served by the investment (not necessarily the mission/business of the Agency).</p> <p>If desired, up to four secondary service areas may be identified in columns 14, 15, 16, and 17. BRM version 3.1 contains the current mapping codes.</p>
14	<p>FEA BRM Services – Secondary service area #1 (3-digit code) If used, the second set of three digits indicates a secondary service associated with the investment. BRM version 3.1 contains the current mapping codes.</p>
15	<p>FEA BRM Services – Secondary service area #2 (3-digit code) If used, the third set of three digits indicates a secondary service associated with the investment. BRM version 3.1 contains the current mapping codes.</p>
16	<p>FEA BRM Services – Secondary service area #3 (3-digit code) If used, the fourth set of three digits indicates a secondary service associated with the investment. BRM version 3.1 contains the current mapping codes.</p>

17	<p>FEA BRM Services – Secondary service area #4 (3-digit code) If used, the fifth set of three digits indicates a secondary service associated with the investment. BRM version 3.1 contains the current mapping codes.</p>
18	<p>Cross-Boundary Information Identifier (1-digit code) This is an activity that crosses a bureau or agency boundary, including information sharing with international, state, local, tribal, industry, or non-governmental organization partners. If the investment supports reusable, standardized information exchanges, agencies must indicate which of the following were used:</p> <ol style="list-style-type: none"> 1. National Information Exchange Model (NIEM) 2. Universal Core (UCORE) 3. eXtensible Business Reporting Language (XBRL) 4. Other 0. None
19	<p>Supports Information Sharing, Access, and Safeguarding (select all that apply) This refers to an IT investment that supports the information sharing, access, and safeguarding mission areas of:</p> <ol style="list-style-type: none"> 1. The national network of state and major urban area fusion centers 2. Assured interoperability across Controlled Unclassified Information /Sensitive but Unclassified networks targeting Federal, state, local, and tribal law enforcement, public safety, homeland security, and intelligence personnel 3. Assured interoperability across classified SECRET networks 4. Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI) (terrorism-related criminal activity) 5. Alerts, Warnings and Notifications 6. Case and event deconfliction 0. None <p>If the investment supports one or more of these mission areas, indicate which one(s) by listing the corresponding number(s) listed above.</p>
20	<p>Development/Modernization/Enhancement (DME) (PY/2014) Agency Funding (\$M) This should indicate FY 2014 amount. See definition of DME in IDC Common Definitions.</p>
21	<p>DME (PY/2014) Contributions (\$M) This should indicate FY 2014 amount. See definition of DME in IDC Common Definitions.</p>
22	<p>DME (CY/2015) Agency Funding (\$M) This should indicate FY 2015 amount. See definition of DME in IDC Common Definitions.</p>
23	<p>DME (CY/2015) Contributions (\$M) This should indicate FY 2015 amount. See definition of DME in IDC Common Definitions.</p>
24	<p>DME (BY/2016) Agency Funding (\$M) This should indicate FY 2016 amount. See definition of DME in IDC Common Definitions.</p>
25	<p>DME (BY/2016) Contributions (\$M) This should indicate FY 2016 amount. See definition of DME in IDC Common Definitions.</p>
26	<p>O&M Spending (PY/2014) Agency Funding (\$M) This should indicate FY 2014 amount. See definitions of Operations and Maintenance (O&M) in IDC Common Definitions.</p>
27	<p>O&M Spending (PY/2014) Contributions (\$M) This should indicate FY 2014 amount. See definitions of Operations and Maintenance (O&M) costs in IDC Common Definitions.</p>

28	<p>O&M Spending (CY/2015) Agency Funding (\$M) This should indicate FY 2015 amount. See definitions of Operations and Maintenance (O&M) costs in IDC Common Definitions.</p>
29	<p>O&M Spending (CY/2015) Contributions (\$M) This should indicate FY 2015 amount. See definitions of Operations and Maintenance (O&M) costs in IDC Common Definitions.</p>
30	<p>O&M Spending (BY/2016) Agency Funding (\$M) This should indicate FY 2016 amount. See definitions of Operations and Maintenance (O&M) costs in IDC Common Definitions.</p>
31	<p>O&M Spending (BY/2016) Contributions (\$M) This should indicate FY 2016 amount. See definitions of Operations and Maintenance (O&M) costs in IDC Common Definitions.</p>
32	<p>Number of Government FTEs (BY/2016) This is the number of government FTE included in the BY funding. This applies to all investments, both major and non-major. If an FTE’s costs are included in the investment costs for BY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the investment (e.g., technical, managerial, functional).</p>
33	<p>Percentage of Investment Cost for Government FTE (BY/2016) This is the percentage of the total BY cost represented by the number of government FTEs. This applies to all investments, both major and non-major. If an FTE’s costs are included in the investment costs for BY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the investment (e.g., technical, managerial, functional).</p>
34	<p>Functional/Business Sponsor Name Name of the Functional/Business Sponsor</p>
35	<p>Functional/Business Sponsor Title Title of the Functional/Business Sponsor</p>
36	<p>Functional/Business Sponsor Phone Number Phone Number of the Functional/Business Sponsor</p>
37	<p>Functional/Business Sponsor Phone Number Extension Phone number extension of the Functional/Business Sponsor (Optional)</p>
38	<p>Functional/Business Sponsor E-mail Email address of the Functional/Business Sponsor</p>

39a	<p>Cloud Computing Alternatives Evaluation</p> <p>This specifies whether, as of the date of the submission, a cloud alternative was evaluated for the investment or components/systems within the investment, per the Cloud First policy. All investments should answer this question regardless of the overall lifecycle stage of the investment, as operational investments may consider performing such an evaluation during or as a result of an operational analysis. The evaluation should indicate one of the following answers:</p> <ol style="list-style-type: none"> 1. The agency evaluated a cloud alternative and chose a cloud alternative with a Public Deployment Model for some or all of the investment. 2. The agency evaluated a cloud alternative and chose a cloud alternative with a Private Deployment Model for some or all of the investment. 3. The agency evaluated a cloud alternative and chose a cloud alternative with a Community Deployment Model for some or all of the investment. 4. The agency evaluated a cloud alternative and chose a cloud alternative with Hybrid/Mixed Deployment Models for some or all of the investment. This option also applies if the investment contains more than one cloud alternative deployment model. 5. The agency evaluated a cloud alternative but did not choose a cloud alternative for any of the investment. 6. The agency did not evaluate a cloud alternative but plans to evaluate a cloud alternative by the end of the BY. 7. The agency did not evaluate a cloud alternative and does not plan to evaluate a cloud alternative by the end of the BY.
39b	Does this Investment provide, as a reimbursable or through a Working Capital Fund, cloud infrastructure or services to Agency Components. (Yes / No)
39c	Does this Investment provide, as a reimbursable or through a Working Capital Fund, cloud infrastructure or services to other Federal or State/Local Entities. (Yes / No)
40	<p>Cloud Computing Spending (PY/2014)</p> <p>This refers to implementation and operational costs directly attributable to the cloud computing systems within the investment for the specified year. This should include agency funding to outside agency cloud providers as well as Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.</p>
41	<p>DME Provisioned IT Services Spending (CY/2015) Agency Funding (\$M)</p> <p>This should indicate FY 2015 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include agency funding to outside agency providers.</p>
42	<p>DME Provisioned IT Services Spending (CY/2015) Contributions (\$M)</p> <p>This should indicate FY 2015 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.</p>
43	<p>DME Provisioned IT Services Spending (BY/2016) Agency Funding (\$M)</p> <p>This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include agency funding to outside agency providers.</p>
44	<p>DME Provisioned IT Services Spending (BY/2016) Contributions (\$M)</p> <p>This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.</p>
45	<p>O&M Provisioned IT Services Spending (CY/2015) Agency Funding (\$M)</p> <p>This should indicate FY 2015 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include agency funding to outside agency providers.</p>

46	O&M Provisioned IT Services Spending (CY/2015) Contributions (\$M)
	This should indicate FY 2015 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.
47	O&M Provisioned IT Services Spending (BY/2016) Agency Funding (\$M)
	This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include agency funding to outside agency providers.
48	O&M Provisioned IT Services Spending (BY/2016) Contributions (\$M)
	This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in IDC Common Definitions. This should include Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.

AGENCY CLOUD SPENDING SUMMARY

12. How do I report the Agency Cloud Computing Spending Summary?

The Agency Cloud Computing Spending Summary is to be completed at the agency level, not at the individual investment level. It is comprised of two tables to report the following data elements for each year (PY, CY, BY). Note that the sum of each year should match across the two tables and this sum should match the sum of the applicable columns 41 to 48 of the Agency IT Portfolio Summary.* For definitions of terms used, see [NIST Special Publication 800-146](#). Only costs directly attributable to cloud computing implementation, operations, or services should be reported into the cloud computer portion of the tables below. This may only be a portion of the total cost of contributing/associated investments.

Agency costs for cloud computing by deployment model, by year (Dollars in millions)

- **Public Cloud** portion of all agency cloud computing spending
- **Private Cloud** portion of all agency cloud computing spending
- **Community Cloud** portion of all agency cloud computing spending
- **Hybrid Cloud** portion of all agency cloud computing spending

Table A	PY (FY 2014)	CY (FY 2015)	BY (FY 2016)
Public Cloud			
Private Cloud			
Community Cloud			
Hybrid Cloud			
Other Provisioned Services (non-cloud)			

Agency costs for cloud computing by service model, by year (Dollars in millions)

- **Software as a Service (SaaS)** portion of all agency cloud computing spending
- **Platform as a Service (PaaS)** portion of all agency cloud computing spending
- **Infrastructure as a Service (IaaS)** portion of all agency cloud computing spending

Table B	PY (FY 2014)	CY (FY 2015)	BY (FY 2016)
SaaS			
PaaS			
IaaS			
Other Provisioned Services (non-cloud)			

Note: The sum of each column in Table (a) should equal the sum of its respective column in Table (b) and should be consistent with Agency IT Portfolio Summary reporting.*

*The sum of the FY 2015 column each table above should equal the sum of columns 41, 42, 45, 46 of the Agency IT Portfolio Summary. Likewise the sum of the FY 2016 column each table above should equal the sum of columns 43, 44, 47, 48 of the Agency IT Portfolio Summary. Investments that are identified as “04: Funding transfer investments” will be excluded from these sums as they are already included in the Managing Partners Contributions columns.

AGENCY IT INFRASTRUCTURE SPENDING SUMMARY

13. How do I report the Agency IT Infrastructure Spending Summary?

The Agency IT Infrastructure Spending Summary is to be completed at the agency level for the PY (not at the individual investment level) for all IT Infrastructures that the Agency owns and operates or obtained via services (i.e., where the infrastructure is neither owned nor operated by the agency but is procured via a services arrangement). It should include all of the infrastructure reported in Part 2 as well as the infrastructure used to support investments in the rest of the Agency IT Portfolio Summary (Parts 1, 3, 4, and 5). The sum of what is listed below should be the total cost of the agency’s entire infrastructure. Costs reported in the cost categories below should incorporate all of an agency’s processing environments (e.g., production, development, test, training, disaster recover/continuity of operations).

	IT Infrastructure Cost Category	Total PY (\$M)
Data Center	Data Center Labor	
	Data Center Software	
	Data Center Hardware	
	Data Center Electricity	
	Data Center Facility	
	Data Center Cloud or Other Services Contracts	
Telecom	Telecom Data	
	Telecom Voice	
	Telecom Other Service Contracts	
End User	Help Desk	
	Desktop and Laptop Systems	
	Mobile Devices	
	End User Other Service Contracts	

Definitions	
Data Center Labor Cost	<p>All Data Center labor costs should be consolidated and put in the Data Center Labor cost category. Labor costs associated with other cost categories (e.g., Telecom End User Support) should be included within the individual Telecom Data, Telecom Voice, Help Desk, Desktop and Laptop Systems, or Mobile Devices cost categories. Data Center Labor Cost includes the fully loaded cost of government FTEs (as defined by OMB Circular A-76) and contracted personnel associated with the operations and maintenance of a data center. If the responsibilities are a fraction of a person or several persons' time, just include that portion of the individuals' salary based on the fraction of the time they spend working on data center activities.</p> <p>In-sourced staff: Labor costs include salary, overtime pay, benefits, and “other” employee costs such as job-related travel. Costs for Information Security training, however, should be excluded, as should costs associated with reductions in workforce, relocations, or retirement.</p> <p>Contractor resources: Labor costs include the total spending for contractor staff that is supplemental to the agency staff and "operationally" managed by the in-house staff.</p> <p>For labor associated with outsourced services, spending details by category may not be available. They may need to be reported under a “services” category</p>
Data Center Software Cost	<p>Data Center Software Cost should include: server operating systems (both physical and virtual); virtualization and partitioning software; database and data management software; software dedicated to managing and maintaining storage systems; middleware; security software; IT management software; messaging and collaboration software; and software-related costs linked to planning, testing, quality control and quality assurance, and implementing disaster recovery.</p> <p>Data Center Software Cost should exclude: application software, virtual desktops or VDI (these should be reported in the end user cost categories).</p>
Data Center Hardware Cost	<p>Data Center Hardware costs should include: processors, storage devices, print devices, tape devices and other peripherals associated with mainframes and servers; as well as other miscellaneous devices needed to support the processing equipment including desktops, laptops, and mobile devices used by personnel supporting the data centers.</p> <p>Data Center Hardware costs should exclude: circuit or similar costs needed to connect to the network; this is considered network access and should be reported under the Telecom Data category. Costs for networking equipment (e.g., routers, switches, hubs, firewalls, and monitoring equipment) and costs to connect multiple data centers or processors/devices to each other should also be reported under the Telecom Data category.</p>
Data Center Electricity Cost	<p>Electricity used to power data center operations (e.g., servers, environmental, HVAC, lighting). Agencies may make estimates of Data Center Electricity or Data Center Facility of small data processing environments based on facility electrical/facility costs per square foot multiplied by the number of square feet of the data processing environment or by any other consistent, repeatable, justifiable method.</p>
Data Center Facility	<p>Include the costs for Data Center Occupancy including:</p>

Definitions	
Cost	<p>Costs for IT equipment floor space (e.g., raised and no-raised floor space used for IT equipment). This is often calculated as the size of the floor space (square footage) multiplied by the monthly rate for that space \times 12.</p> <p>Costs for office and/or other floor space: This captures the cost for the office space and/or other areas considered part of the data center that is not part of the raised floor space. This is often calculated as the amount of floor space in the data center minus the amount used for IT equipment, multiplied by the monthly rate for that space \times 12.</p> <p>Costs for other facility mechanicals and equipment: These include uninterruptible Power Supply (UPS), redundant power supplies, air conditioning/cooling equipment, power distribution equipment, generators, fuel, and cage access control devices.</p>
Data Center Cloud or Other Services Contracts	<p>Data Center Services: This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is given to an external service provider. The Agency IT Infrastructure Spending Summary should include cloud computing in each category spending totals. Costs for cloud computing also should be captured elsewhere in the Agency IT Portfolio Summary, but because cloud computing is part of IT infrastructure, those costs should also be included in the spending totals here. Include costs related to Infrastructure as a service (IaaS) and Platform as a Service (PaaS), but do not include Software as a Service (SaaS) costs. Include managed and/or outsourced services costs or Infrastructure that is procured as a service through a service contract that cannot be broken out into Data Center Labor, Data Center Software, Data Center Hardware, Data Center Electricity or Data Center Facility.</p>
Telecom Data Cost	<p>Includes telecommunications that are organized, procured and managed and/or operated by the Agency. Services may be provided for elements such as data communications through the Wide Area Network (WAN)/Local Area Network (LAN) and associated access/transport options, Trusted Internet Connection (TIC), non-desktop Audio and Video Teleconference (VTC), and associated communications infrastructure elements (e.g., Structured Cabling Costs).</p> <p>Include:</p> <ul style="list-style-type: none"> • Wide Area Network (WAN) is a private, public or hybrid geographically dispersed network. • Local Area Network (LAN) is a private, public, or hybrid local area network. • Trusted Internet Connection infrastructures, which provide a layer of consolidation and security for internet facing traffic. • Video Conferencing (VTC) is a collaborative meeting communications method. Only shared (non-desktop) locations should be included under telecom data unless the desktop instance is a part of a specialized VTC used for remote or ad hoc shared connectivity, typically utilizing Primary Rate Interface (PRI), Integrated Services Digital Network (ISDN), or Ethernet for connectivity. • Labor Costs including FTE, Contract Support, Managed Services, and Other elements. <p>Exclude:</p> <ul style="list-style-type: none"> • Help Desk Costs

Definitions	
Telecom Voice (non-mobile) Cost	<p>Includes telecommunications that are organized, procured and managed and/or operated by the Agency. Services may be provided for elements such as voice (voicemail, legacy voice service, and VoIP).</p> <p>Include:</p> <ul style="list-style-type: none"> • Voice Network/Services (WASP/WITS, Legacy Analogue/Digital Voice, Voice Mail, Conference Bridge, automated operator services, and VoIP) (excludes cellular or Blackberry Voice Service). • Labor Costs including FTE, Contract Support, Managed Services, and Other elements <p>Exclude:</p> <ul style="list-style-type: none"> • Help Desk Costs
Telecom Other Service Contracts	<p>This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is given to an external service provider.</p>
Help Desk Cost	<p>Help Desk Cost involves the operation of a service center to respond to government and contract employees' end user device and software support needs (includes, but is not limited to, costs related to employees, contractors, and ticket management software).</p>
Desktop and Laptop Systems Cost	<p>Consists of any of the following: desktops and laptops, printers (both individual and shared), print servers; and scanners. This category includes the local hardware and software (PC operating systems, office automation suites) cost associated with the device as well as any related support costs (excluding help desk).</p> <p>Include:</p> <ul style="list-style-type: none"> • Desktops and laptops • Virtual desktops • Peripherals (scanners, fingerprint scanners, etc.) • Software/Desktop Applications (PC operating systems, office automation suites) • Local printers, shared printers, fax machines or the cost of supplies (e.g., toner and paper) • Labor Costs including FTE, Contract Support, Managed Services, and Other elements <p>Exclude:</p> <ul style="list-style-type: none"> • Help Desk Costs • Application Software
Mobile Devices Cost	<p>Includes total non-desktop, non-laptop, and small form factor wireless end user device costs.</p> <p>Include:</p> <ul style="list-style-type: none"> • Hardware (including handsets, tablets, and wireless modems such as air cards) • Software • Maintenance • Service (including network service, such as cellular voice and data plans) • Labor Costs including FTE, Contract Support, Managed Services, and Other elements <p>Exclude:</p> <ul style="list-style-type: none"> • Help Desk Costs
End User Other Service Contracts	<p>This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is handed over to an external service provider.</p>

MAJOR IT BUSINESS CASE

14. What is the purpose of this guidance?

OMB provides specific policy, procedural, and analytic guidelines for planning, budgeting, acquisition, and management of major IT capital investments in addition to general guidance issued in [OMB Circular A-11](#) and [OMB Circular A-130](#).

The Agency IT Portfolio Summary, Agency Cloud Spending Summary, and Major IT Business Cases describe the justification, planning, and implementation of an individual capital asset included in the Agency IT Portfolio Summary and serve as key artifacts of the agency's EA and IT Capital Planning and Investment Control (CPIC) processes.

Together, the Major IT Business Cases and Major IT Business Case Details provide the budgetary and management information necessary for sound planning, management, and governance of IT investments. These documents help agencies explicitly align IT investments with strategic and performance goals, and ultimately provide value to the public by making investment and management information more transparent. As architecture-driven IT investments are funded in the "Select" phase, they move forward into the implementation phase where system development life cycle processes are followed and actual outputs, schedule, and operational performance expenditures are tracked against planned numbers using performance-based management processes.

15. How will agencies manage IT capital assets/investments?

The Capital Programming Guide of OMB Circular A-11 provides guidance on the principles and techniques for effective capital programming. [OMB Circular A-11, Appendix J](#) explains the principles of financing capital asset acquisitions. Section 8b of [OMB Circular A-130](#) establishes additional requirements for EAs, planning and control of information systems and IT investments, and performance management. Agencies must develop and implement a capital programming process to develop their capital asset portfolio and must:

- Evaluate and select capital assets that will support core mission functions performed by the Federal Government and which demonstrate projected returns on investment that are clearly equal to or better than alternative uses of available public resources. Specifically for IT, the investments should be informed by and should address performance gaps and goals identified in an agency's strategic plan, annual performance plan, and EA;
- Initiate improvement to existing assets or acquisition of new assets only when no alternative private sector or governmental source can more efficiently meet the need;
- Implement IT reforms such as adhering to [modular development principles](#) and the requirement to establish an Integrated Program/Project Team (IPT) prior to funding an IT investment;
- Simplify or otherwise redesign work processes to reduce costs, improve effectiveness, and maximize the use of commercial services and off-the-shelf technology;
- Assign a functional/business sponsor for each investment who is responsible for the program or function supported or implemented by the investment. The sponsor is responsible for expressing the value of, ensuring successful implementation of, and providing accurate and timely data for the IT investment to the agency CIO and OMB. Each major and non-major IT investment listed in Agency IT Portfolio Summary must include the name of the functional/business sponsor, title, phone number, and e-mail address;
- Reduce project risk by avoiding or isolating custom-designed components, using components that can be fully tested or prototyped prior to full implementation or production, and ensuring involvement and support of users in the asset design and testing of the asset;

- Structure major planning and acquisition into useful segments with a narrow scope and brief duration. These segments should make adequate use of competition and appropriately allocate risk between the Federal Government and contractor. The agency head must approve or define the cost, schedule, and performance goals for major acquisitions, and the agency's Chief Financial Officer must evaluate the proposed cost goals;
- Based on the Agency IRM Strategic Plan, Agency Leadership will ensure a continuous linkage between Federal, agency, and bureau EAs, demonstrating such consistency through alignment with the agency's Enterprise Roadmap and target architecture, compliance with agency business requirements and standards, as well as identification of milestones, as defined in the agency's EA transition strategy;
- Institute performance measures and management processes to monitor and compare actual performance to planned results. Agencies must use a performance-based acquisition management system or Earned Value Management System (EVMS), based on the American National Standards Institute / Electronic Industries Alliance (ANSI/EIA) Standard 748-B, to obtain timely information regarding the progress of capital investments, as defined in the Federal Acquisition Regulations (FAR). The system must also measure progress towards useful components in an independently verifiable basis in terms of cost, capability of the investment to meet specified requirements, timeliness, and quality;
- Per requirements of [Federal Acquisition Streamlining Act of 1994 \(FASA, Title V\)](#), agencies are expected to achieve, on average, 90 percent of the cost, schedule, and performance goals for major acquisitions. Through the TechStat process and as part of the Clinger-Cohen Act responsibility, Agency CIOs should review major acquisitions that have not achieved 90 percent of the goals to determine whether there is a continuing need and what corrective action, including termination, should be taken;
- Ensure that the planning and management of agency assets that are IT systems conform to the requirements of [OMB Circular A-130](#), "Management of Federal Information Resources";
- Ensure that agency assets that are financial management systems conform to the requirements of [OMB Circular A-127](#);
- Conduct post-implementation or post-occupancy reviews of capital programming and acquisition processes and projects to validate estimated costs and benefits and to document effective management practices (e.g., lessons learned) for broader use;
- Establish oversight mechanisms that require periodic review of operational capital assets to determine how mission requirements might have changed and whether the asset continues to fulfill ongoing and anticipated mission requirements, deliver intended benefits to the agency and customers, and meet user requirements;
- Provide Chief Information Officer (CIO) evaluations for all major IT investments which reflect the CIO's best judgment of the current level of risk for the investment in terms of its ability to accomplish its goals. The evaluation should be informed by the following factors, including, but not limited to: risk management, requirements management, contractor oversight, historical performance, human capital and other factors that the CIO deems important to forecasting future success. Each evaluation should include a narrative explanation when the rating has changed since the last evaluation; and

- Develop, maintain, and submit the following investment documents, artifacts, and associated metadata as required in technical guidance, for all major IT investments, as applicable. Provide updated versions (including date of last update) as significant changes are made or as available throughout the investment’s lifecycle. New Major Investments should submit the documents by the end of the month following the submission of the Final FY 2016 President’s Budget Major Investment Business Cases.
 - Risk management plan;
 - Investment charter, including IPT;
 - Investment-level alternative analysis and benefit-cost analysis;
 - Operational analyses (for operational or mixed life cycle systems);
 - Post implementation review results (investment level or project-specific); and,
 - Documentation of investment re-baseline management approval(s).

16. What other requirements does the Major IT Business Case Detail fulfill?

The Major IT Business Case Detail is designed to coordinate OMB’s collection of agency information for its reports to Congress, as required by the [Federal Acquisition Streamlining Act of 1994 \(FASA, Title V\)](#) and Clinger-Cohen Act of 1996. The Major IT Business Case should demonstrate support for the mission statements, long-term goals and objectives, and annual performance plans developed pursuant to the [Government Performance and Results Act – Modernization Act \(GPRMA\) of 2010](#). Major IT Business Case Detail on Major IT investments establishes reporting requirements through the IT Dashboard to ensure the proper execution of those investments against the established performance plans.

17. What must I report on Major IT Business Cases and Major IT Business Case Detail, and when?

The policy and budget justification principles in the Major IT Business Cases and Major IT Business Case Details apply to all agencies of the Executive Branch of the Federal Government that are subject to Executive Branch review (see [Section 25 of OMB Circular A-11](#)). Section 25 of OMB Circular A-11 gives OMB the authority to collect and review Business Cases for Major IT Investments. Such information can be found in section 18 of this document.

All information necessary to complete the Major IT Business Cases and Major IT Business Case Detail should already exist as part of the agency’s overall capital planning activities and within project- and program-specific documentation. The materials used to populate Major IT Business Cases and Major IT Business Case Detail should be readily available to OMB upon request.

Additional information on the submission process will be posted on the [OMB MAX Community IDC page](#). As always, pre-decisional and procurement-sensitive information will not be displayed to the public.

Projects within investments are encouraged to use [modular development principles](#). All projects (regardless of whether they use modular development principles) must produce usable functionality at intervals of no more than six months.

Major IT Business Case Details on Major IT Investments shall establish cost, schedule, and performance targets for CY and BY. Regular updates for risks, metrics, projects, and activities will be submitted to the IT Dashboard as soon as the data becomes available, and at least once per each calendar month. How periodic performance metrics updates for ongoing operations will be reported will vary according to the nature of the metric, as indicated in Table C1.A.

Multi-Agency Collaboration and Intra-Agency Shared Services Investments Major IT Business Cases and Major IT Business Case Detail

The managing partners (lead agency that provides services or coordination services to other agencies or other units within their Agency) will take the lead in completing and submitting the Multi-Agency collaboration or Intra-Agency shared services Major IT Business Cases and Major IT Business Case Detail, managing it through the managing partner's capital programming and budget process. The managing partners for Multi-Agency or Intra-Agency collaboration investments are also responsible for ensuring that the investment is included in the managing partner's Agency IT Portfolio Summary. It should include all necessary information from the partner agencies (customers who receive services from the managing partners) and should have been approved by all necessary partner organizations through the appropriate governance process.

Specifically, the tracking of partner agency funding, and related capital assets (e.g., migration investments, Centers of Excellence, Shared Service Centers, supporting components) for Government-wide E-Gov and Line of Business Investments, will be captured via an [OMB MAX E-Gov Funding Tool](#).

Partner agencies should reference the name and UII of the Multi-Agency/Intra-Agency shared services investment in the "Investment Description" field of their own partner Agency IT Portfolio Summary's'. Partner agencies should also ensure their activities and participation are included in the appropriate sections of the Multi-Agency Major IT Business Case. The entire Life Cycle Cost total for the investment, including funds provided by partner agencies, should be included in the Multi-Agency Collaboration or Intra-agency Shared Services Investments Business Case.

Investments that provide a service to other agencies but do not receive contributions from partner agencies should be reported as Multi-Agency Collaboration Investments.

Investments for Multi-Agency collaboration, shared services, and/or Lines of Business will be reflected in the managing partner's annual Enterprise Roadmap submission to OMB.

Managing partners that provide Multi-Agency services should ensure that funding is prioritized to accommodate building and obtaining approval of a shared architecture. Approval should be obtained through a working governance model that includes partner agencies, customers, and OMB.

OMB may require additional information from partner agencies related to the Multi-Agency collaboration Major IT Investments. When necessary, OMB will work with the managing partners to coordinate data requests.

18. How will OMB use Major IT Business Cases?

The Major IT Business Case is one component of the agency's total budget justification (see [Section 51.2 of OMB Circular A-11](#)). OMB uses data reported in the Major IT Business Case to make quantitative decisions about budgetary resources consistent with the Administration's program priorities as well as qualitative assessments about whether the agency's programming processes are consistent with OMB policies and guidance. OMB may request additional supporting information from agencies as necessary.

Major IT Business Case: IT Capital Asset Overview and Justification

Section A: General Information

- | | |
|--|---|
| 1. Investment Name: | <i>Note – Will be auto-populated from the Agency IT Portfolio Summary</i> |
| 2. UII. Unique Investment Identifier : | <i>[Limit: 13 char]</i> |

Section B: Investment Detail

1. Briefly describe the investment’s purpose, goals, and current or anticipated benefits (quantitative and/or qualitative). Include the investment’s specific contribution to mission delivery or agency management support functions and identify key customers, stakeholders, and other beneficiaries.

[Limit: 2500 char]

2. Based on the Agency IRM Strategic Plan, describe how the investment contributes to the agency target EA and its description in the Enterprise Roadmap. Include a description of how the investment includes or will achieve programmatic or technical innovation.

[Limit:2500 char]

3. Briefly describe the investment’s return on investment, including benefits internal and external to the government.

[Limit: 2500 char]

4. In the table below, indicate if the investment in whole or in part specifically addresses any of the following types of requirements:

Note: Where “Yes” is indicated, provide a brief description of the requirement and how the investment will meet the requirement. Include citations within descriptions, if available. Provide any URLs associated with each requirement. If citing the Agency Performance Plan, provide the applicable “PRM” code from the [Performance Reference Model](http://www.whitehouse.gov/omb/e-gov/FEA) (www.whitehouse.gov/omb/e-gov/FEA).

	Required by <i>[Yes/No]</i>	Description <i>[Limit: 1000 characters]</i>	URL(s) / PRM code (s) <i>[One or more]</i>
Legislative Mandate			<i>(URL required)</i>
Outstanding Audit Finding or Material Weakness			<i>(optional)</i>
Published Agency Strategic Plan/Annual Performance Plan			<i>[URL of Agency Strategic Plan] (optional)</i> <i>[PRM code for Annual Performance Plan] (required)</i>
Presidential Direction (i.e. Presidential Directive, Presidential Memorandum, or Executive Order)			<i>(URL required)</i>
Other Requirement			<i>(optional)</i>

5. Identify the foremost program supported by this investment, using the Program Code in the Federal Program Inventory Reference Table (<http://archive-goals.performance.gov/federalprograminventory> bottom of list on right side of the screen). If this investment does not primarily support a single program (e.g. provides Department-wide infrastructure, or supports multiple programs evenly), enter “No Primary Program.” [XXX-XXX or “000-000” for “No Primary Program”]

<p>6. Provide a description of the investment’s progress and accomplishments in the PY, including the investment’s overall performance against baseline goals, targets, significant milestones, or performance measures, and any corrective actions taken to address performance deficiencies.</p>	
<p><i>[Limit: 1000 char]</i></p>	
<p>7. Describe the investment’s objectives for the CY, BY, and budget out years, if available, including specific accomplishments to achieve, realize, or continue to achieve the benefits cited in question B.1 above.</p>	
<p><i>[Limit: 2500 char]</i></p>	
<p>8. If this investment will result in the elimination or the reduction of another major or non-major IT investment(s), please complete the following: (Eliminated or the reduced investments should be listed below until no longer appears in the Agency’s IT Investment Portfolio Summary. For most investments it takes two years before eliminated investments roll-off the Agency’s IT Investment Portfolio Summary.)</p>	
Investment UII (one or more)	To be Status
	<i>[to be eliminated/to be reduced]</i>
<p>9. Does the investment include the following?</p>	
	Check all that Apply
<input type="checkbox"/> 9.a A shared service (intra-or inter-agency—current and/or planned)	<i>[Yes/No]</i>
<input type="checkbox"/> 9.b PIV-enabled systems (per HSPD-12) (all systems currently PIV-enabled)	<i>[Yes/No]</i>
<input type="checkbox"/> (see OMB memo M-11-11)	
<input type="checkbox"/> 9.c APIs (application programming interfaces) consistent with the Digital Government Strategy	<i>[Yes/No]</i>
<p>10. Have the following requirements been incorporated into the acquisition planning documents and technical design for the new or modernizing components of this investment, consistent with the Open Data policy outlined in OMB memo M-13-13?</p> <p>Answer for each of the following requirements:</p>	
<p>10.a System design is scalable, flexible, and facilitates data extraction.</p> <p>(Capability for users to extract data in multiple formats and for a range of uses, including as internal and external needs change and potential uses not accounted for in the original design.)</p>	<i>[Yes/No]</i>
<p>10.b All data outputs associated with this system are or shall be accounted for in the Enterprise Data Inventory.</p>	<i>[Yes/No]</i>
<p>10.c All data outputs associated with this system meet the requirements described in part III, sections 1.a-d of M-13-13 (relating to machine-readability, open formats, data standards, open licenses, and use of common core metadata).</p>	<i>[Yes/No]</i>
<p>10.d Data schema and dictionaries are or shall be documented and shared with applicable internal partners and the public.</p>	<i>[Yes/No]</i>

If the answers to <u>ALL</u> of questions 10.a, 10.b, 10.c, and 10.d are “No,” then select <u>ONE</u> of the following	
10.e Not applicable, because this investment does not include any information systems which are new or preparing for modernization. <i>(Only check this if investment does not contain any DME in PY, CY, or BY)</i>	<i>[Yes/No]</i>
10.f Not applicable, because these requirements are not appropriate for this investment. Please explain why these requirements are not appropriate for this investment.	<i>[Limit: 2500 Char]</i>
10.g Agency CIO has not yet validated these requirements for this investment.	<i>[Yes/No]</i>

11. and 12. Provide any/all URLs related to the investment, using the columns/categories below to indicate how each URL is related to the investment and the extent of mobile optimization for each URL.

11. Relationship to Investment (Include all that apply, must check at least one box)							12. Mobile Optimization of URL (Do not answer for websites external to this investment, such as Data.gov or non-government websites, Otherwise check all that apply)	
URL <i>(as many as necessary)</i>	11.A Provides publicly accessible datasets produced by this investment	11.B Provides one or more publicly accessible API(s) to provide access to data from this investment	11.C Provides links to social media about this investment (e.g., blogging, social networking, podcasts, and other user generated content).	11.D Provides general information about this investment	11.E Provides general information about the business process or program served by this investment	11.F Link to mobile application associated with this investment	12.A Website designed primarily for users on mobile devices.	12.B Website uses responsive web design to improve user experience for users on mobile devices.
http://...	<i>[Yes/No]</i>	<i>[Yes/No]</i>	<i>[Yes/No]</i>	<i>[Yes/No]</i>	<i>[Yes/No]</i>	<i>Name of Mobile App</i> <i>[250 characters]</i>	<i>[Yes/No]</i>	<i>[Yes/No]</i>

13. Provide names and contact information for IPT members in the table below. If available, insert lines for other IPT members such as enterprise architects, capital planners, and performance specialists. The IT PM, business process owner/ Subject Matter Expert (SME), and contracting specialist must be Federal Government employees. The business process owner or SME may or may not be the same person listed as the functional/business sponsor on the Agency IT Portfolio Summary -- the functional/business sponsor may be a higher-level agency official or executive.

IPT Member Role	Name (Required for all members listed)	Phone Number (Required for PM)	Extension	E-mail (Required for PM)
IT PM	<i>[Limit: 250 char]</i>	<i>[10 digits, 0-9 only]</i>	<i>[Optional: 6 digits, 0-9 only]</i>	<i>[Limit: one e-mail only]</i>
Business Process Owner or SME		(optional)	(optional)	(optional)
Contracting Specialist		(optional)	(optional)	(optional)
IT Specialist		(optional)	(optional)	(optional)
IT Security Specialist		(optional)	(optional)	(optional)
(Optional: Insert other IPT members)		(optional)	(optional)	(optional)

Section C: Life Cycle Costs

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent all budgetary sources of funding, consistent with the Agency IT Portfolio Summary. Amounts are to be reported in **millions of dollars**. Variations from planned expenditures will be reflected in Table C.4 below, as well as in Table B.2 in the Major IT Business Case Detail. Federal personnel costs should be included only in the rows designated as "... Govt. FTE costs" and should be excluded from the other cost breakouts.

For Multi-Agency investments, this table should include all funding (both managing and partner agency contributions), and subsequently may not match figures provided in the Agency IT Portfolio Summary.

The costs associated with the entire life-cycle of the investment should be included in this report. For years beyond BY+1, please provide your best estimates for planning purposes, understanding that estimates for out-year spending will be less certain than estimates for BY+1 or earlier.

For lines in the table that ask for changes in your current submission compared to your most recent previous submission, please use the FY 2015 President’s Budget as your previous submission. When making comparisons, please ensure that you compare same-year-to-same-year (e.g., 2015 v. 2015). Significant changes from the previous submission should be reflected in an updated investment-level Alternatives Analysis, subject to OMB review.

	PY-1 & Prior	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 2019	BY+4 & Beyond
Planning Costs:								
DME (Excluding Planning) Costs:								
DME (Including Planning) Govt. FTE Costs:								
Sub-Total DME (Including Govt. FTE Costs):								
O&M Costs:								
O&M Govt. FTE Costs:								
Sub-Total O&M Costs (Including Govt. FTE Costs):								
Total Cost (Including Govt. FTE Costs):								
Total Govt. FTE costs:								
Number of FTE rep by costs:								
Total change from PY final President’s Budget (\$)								
Total change from PY Final President’s Budget (%)								

Note: Do not enter information for the dark gray cells (these will be calculated).

2.a.	In which year did or will this investment begin? (Specify year – e.g., PY-1 = 2013)?	
2.b.	In which year will this investment reach the end of its estimated useful life? (specify year – e.g., BY+5 = 2021)	

<input type="checkbox"/> 3. Compare the funding levels for PY and CY to the final FY 2015 President’s Budget for those same years. Briefly explain any significant changes. When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY15 level for 2014 versus the FY16 level for 2014).	<i>[Limit: 500 char]</i>
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4. Contract Obligation Schedule. Provide estimated contract obligations for PY-1 and Prior, PY, CY, and BY, identifying carry-over funds in the year they will be obligated. Amounts are to be reported in **millions of dollars**. Government FTEs should not be included in this table.

	PY-1 & Prior	PY 2014	CY 2015	BY 2016
Planning/DME				
O&M				

Section D: Acquisition/Contract Strategy

1. In the table below, provide all prime contracts (or task orders) for awarded or open solicitations for the investment (sub-award details are not required). Completed contracts and/or task orders should not be included in the table. Contracts in open solicitation should provide estimated data for all fields (for “Total Contract Value,” provide the estimated base contract costs and all anticipated option years). Data definitions can be found at www.usaspending.gov/learn#a2.

Information on Intra-Agency Agreements (IAA) or Memoranda of Understanding (MOU) is not required by OMB; however these may be tracked at the agency level.

For specifics, see note #1 below the table.

Field	Data Description	Optional for Awarded Contracts	Contract/ Task Order
Contract Status	(1) Awarded, (2) Pre-award, but post-solicitation		
Contracting Agency ID	Provide the contracting agency’s ID. This is required only if the contracting agency is different than the agency submitting the Exhibit. Use the agency’s 4-digit code as used in Federal Procurement Data System (FPDS).		
Procurement Instrument Identifier (PIID)	The unique identifier for each contract, agreement, or order, as shown on the contract document and on USASpending.gov. See www.usaspending.gov/learn#a2 for more information about PIIDs.		
Indefinite Delivery Vehicle Procurement Instrument Identifier (IDV PIID)	The unique identifier for each Indefinite Delivery Vehicles (IDV), such as a Government-wide Acquisition Contract (GWAC), Indefinite Delivery Contract (IDC), Federal Supply Schedule (FSS), Basic Ordering Agreement (BOA), or Blanket Purchase Agreement (BPA). This field is only required for IDVs. See www.usaspending.gov/learn#a2 for more information about IDV Procurement Instrument Identifiers.	Y	
Indefinite Delivery Vehicle (IDV) Agency ID	Provide the IDV agency ID. This is a code for an agency, but it does not necessarily represent the agency that issued the contract. Instead, it serves as part of the unique identification for Federal Procurement Data System IDV records.	Y	
Solicitation ID	Provide the identifier used to link transactions to solicitation information. See www.usaspending.gov/learn#a2 for more information.	Y	
Contract Value¹	Enter the Ultimate Contract Value (contract, task order, etc. represented by the IDV PIID) in millions, to two decimal places. For open solicitations, provide the estimated base contract costs and all anticipated option years. (FPDS element 3A)	Y	
Type of Contract/ Task Order (Pricing)¹	Provide information about the type of contract the investment is (e.g., fixed price, cost, cost plus, incentive, IDV, time and materials). See FAR Part 16 for more classifications. (FPDS element 6A)	Y	
Modular Approaches/ Contracting	Do acquisition planning, award, and management actions apply the principles and strategies described in “ Contracting Guidance to Support Modular Development ”? [Yes/No]		
EVM Required?	[Yes/No]		
Is the contract a Performance-Based Service Acquisition (PBSA)?¹	[Yes/No] Indicate whether the contract is a PBSA as defined by FAR Subpart 37.601. A PBSA describes the requirements in terms of results rather than the methods of performance of the work. (FPDS element 6F)	Y	

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Field	Data Description	Optional for Awarded Contracts	Contract/ Task Order
Effective date¹	Provide the actual or expected start date of the contract/task order that the parties have agreed on for the contract's requirements. [YYYY-MM-DD] (FPDS element 2B)	Y	
Actual or expected End Date of Contract/ Task Order¹	[YYYY-MM-DD] (FPDS element 2C)	Y	
Extent Competed¹	Choose one of the following options: (A) Full and open competition, (B) Not available for competition, (C) Not competed, (D) Full and open competition after exclusion of sources, (E) Follow on to competed action, (F) Competed under simplified acquisition procedures, (G) Not competed under simplified acquisition procedures, (CDO) Competitive Delivery Order, (NDO) Non-competitive Delivery Order (FPDS element 10A)	Y	
Contract Description	A brief description of the goods or services bought (for an award) or that are available (for an IDV). It may also include a short contract name for awarded contracts, as well as the name of the lead contractor, See www.usaspending.gov/learn?tab=FAQ#2 for more information.	Y	

¹ Note – If the PIID or IDV PIID match with www.usaspending.gov, these data elements will be automatically populated if there is not already data there and if the acquisition has been awarded. The IT Dashboard will only display the data pulled from USASpending.gov if these data elements are blank. If the agency enters data into these fields, (i.e. they are not blank) the Agency data will be displayed on the IT Dashboard, but the USASpending.gov data will still be available through the IT Dashboard Data Feed.

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

[Limit: 2500 char]

Major IT Business Case Detail

Major IT Business Case Detail is used to provide OMB with Budget Year (FY 2016) and Current Year (FY 2015) investment plans and performance data. Include in this exhibit, at a minimum, all projects, activities, and operations scheduled to commence or continue in the CY and/or BY. Information in the Major IT Business Case Detail is to be updated as soon as new data becomes available, but at a minimum once per calendar month.

In Major IT Business Case Detail, investments are described as:

- Investment
 - Projects
 - Activities
 - Operations

Report information about these areas in the following Major IT Business Case Detail sections:

A.1: General Information. Enter basic information about the major IT investment.

B.1: Projects. Identify all of the investment’s projects with activities occurring in the current FY.

B.2: Activities. Outline the activities that are performed to achieve the outcome of each project.

B.3: Project Risk. Identify significant risks to each project’s success.

C.1: Operational Performance Information. Identify performance targets and results for evaluating operations.

C.2: Operational Risk. Identify all significant risks to the investment achieving operational performance targets.

SECTION A: GENERAL INFORMATION

1. Investment Name: Agency-provided name of investment, consistent with Agency IT Portfolio Summary.
2. Investment UII: Agency-provided UII, consistent with Agency IT Portfolio Summary.

SECTION B: PROJECT PLAN AND EXECUTION DATA

Tables B.1 and B.2 are used to report all projects with activities underway in any portion of CY or BY, regardless of where the project occurs in the investment lifecycle (projects may be conducted in Planning, DME, and/or Maintenance). At a minimum, Tables B.1 and B.2 should include:

- Projects and activities that started in a previous fiscal year (PY and earlier) that have not been completed by the beginning of the CY;
- Projects and activities that are scheduled to start and finish in the CY and BY; and
- Projects and activities that are scheduled to start in the CY/BY, but won’t be completed until after BY.

Projects and activities commencing beyond the BY may also be reported, as available.

Include the following data in Table B.1:

1. **Unique Project ID:** An agency-specified number that uniquely identifies the project within the investment.
2. **Project Name:** Name used by the agency to refer specifically to the project.
3. **Objectives/Expected Outcomes:** Description of the project’s functionality, capability, or goal.
4. **Project Start Date:** Actual start date of in-progress projects or planned start of projects that have not yet begun (may be before the current FY or activities listed in Table B.2).
5. **Project Completion Date:** Planned date of completion of in-progress projects or actual completion date of projects that have been completed (may be after BY or completion date of activities listed in activities Table B.2).

6. **Project Life-cycle Cost:** Enter the total cost of all activities related to the project as described in OMB Circular A-131 (in \$ millions). This only includes costs for the project, and does not include O&M or other sustainment costs.
7. **System Development Life Cycle (SDLC) Methodology:** Which development methodology does this project use?
 - 1) Waterfall
 - 2) Spiral
 - 3) Iterative (Prototyping/Incremental)
 - 4) Agile
 - 5) Mixed
 - 6) Other
 - 7) Not Primarily a Software Development Project
8. **Other SDLC?** If you selected “Other” provide the name of the SDLC methodology this Project is using.
9. **PM Name:** Name of PM responsible for the success of the project.
10. **PM Level of Experience:** The years of applicable experience or the status of certification for the PM.
Available selections include:
 - 1) FAC-P/PM(DAWIA-3) – Senior
 - 2) FAC-P/PM(DAWIA-2) – Mid-Level
 - 3) FAC-P/PM(DAWIA-1) – Entry Level
 - 4) Other certification with 4 or more years of PM experience (within the last five years)
 - 5) Other certification with between 2 and 4 years of PM experience (within the last five years)
 - 6) Other certification with less than two years of PM experience (within the last five years)
 - 7) No certification, but with 4 or more years of PM experience (within the last five years)
 - 8) No certification, but with between 2 and 4 years of PM experience (within the last five years)
 - 9) No certification, but with less than two years of PM experience (within the last five years)
11. **PM Phone:** Phone number of the PM responsible for the success of the project.
- 11A. **PM Phone Extension:** Phone number extension of the PM responsible for the success of the project (optional).
12. **PM E-mail:** E-mail address of the PM responsible for the success of the project.
13. **Production Release every 6 months:** Does this Project have a production release at least every 6 months?
14. **Comment:** If this Project does not provide a production release at least every 6 months, please provide a rational as to why.

Table B.1														
Unique Project ID	Project Name	Objectives/ Expected Outcomes	Project Start Date	Project Completion Date	Project Life-Cycle Cost	SDLC Methodology	Other SDLC?	PM Name	PM Level of Experience	PM Phone	PM Extension	PM E-mail	Production Release Every 6 Months	Comment
										[10 digit]	[Optional]	[Limit: one e-mail only]	[Yes/No]	If No to the previous column, Why? [1,000 characters]

Include the following data in the Table B. 2

In Table B.2, describe, at a minimum, all activities for projects in Table B.1 that started in a previous FY (PY and earlier) and that have not been completed by the beginning of the CY, as well as activities that are scheduled to start in the current FY and BY. In line with modular development principles, each project must produce usable functionality at intervals of no more than six months. Include the following data in Table B.2:

1. **Unique Project ID:** An agency-specified number that uniquely identifies the project within this investment.
2. **Activity Name:** A short description consistent with the critical steps within the agency project management methodology.

3. **Activity Description:** Describe what work is accomplished by the activity.
4. **Structure ID:** Agency-specified identifier that indicates the work breakdown structure (WBS) the agency uses to associate the activity with other activities or a project. Provide this in the format of “x.x.x.x.x” where the first string is the Unique Project ID and each following string (separated by periods) matches the structure ID of a parent activity. See below for more guidance about parent and child activities expressed through this structure.
5. **Type of Activity:** This should only be provided for activities that do not have a child (i.e. lowest level) and that are active/open as of Oct 1, 2014. Not every project will have every type of activity listed below. Completion of this activity primarily provides:
 - 1) Conceptualization/Planning
 - 2) Requirements Gathering
 - 3) Design / User Experience (UX)
 - 4) Prototype
 - 5) Development
 - 6) Security Testing
 - 7) Iterative Testing
 - 8) Iterative Release
 - 9) Regression Testing
 - 10) User Acceptance Testing
 - 11) Development Operations (DevOps) / Configuration Management
 - 12) Quality Assurance
 - 13) Production Release
 - 14) Retirement
 - 15) This is not a software development related activity
 - 16) Other
6. **Start Date Planned:** The planned start date for the activity. This is the baseline value.
7. **Start Date Projected:** If the activity has not yet started, enter the current planned start date of the activity.
8. **Start Date Actual:** When the activity starts, enter the actual start date here.
9. **Completion Date Planned:** The planned completion date for the activity. This is the baseline value.
10. **Completion Date Projected:** If the activity has not yet completed, enter the current planned completion date of the activity.
11. **Completion Date Actual:** When the activity ends, enter the actual completion date here.
12. **Total Costs Planned:** The planned total cost for the activity. This is the baseline value.
13. **Total Costs Projected:** When the activity is not yet completed, enter the current planned total cost of the activity.
14. **Total Costs Actual:** When the activity ends, enter the actual total costs for the activity here.

Note: For programs that are employing earned value management, agencies should reflect “budget at completion” in the “Total Costs Planned” field and “estimated at completion” in the “Total Costs Projected” field for projected costs.

Table B.2													
A	B	C	D	E	F	G	H	I	J	K	L	M	N
Unique Project ID	Activity Name	Activity Description	Structure ID	Type of Activity	Start Date Planned	Start Date Projected	Start Date Actual	Completion Date Planned	Completion Date Projected	Completion Date Actual	Total Costs Planned	Total Costs Projected	Total Costs Actual

Reporting Parent and Child Activities (WBS Structure)

“Child” activities may be grouped under “Parent” activities to reflect the WBS used by the agency to manage the investment. If a WBS is not used by the agency, report the relationship between parent activities and child activities in “Structure ID” using this method.

When reporting an activity, enter the “Structure ID” as a period-delimited string consisting of the “Unique Project ID” and each nested parent activity between the project level and the child activity. The “Structure ID” to enter will vary depending on the activity’s WBS level.

Example: For child activity 3 which is part of parent activity 10, which in turn is part of parent activity 2, which in turn is part of Project A, enter: A.2.10.3

- Project A
 - Parent Activity 2
 - Parent Activity 10
 - Child Activity 3

There is no limit to the number of nested “child” and “parent” relationships allowed, and this depth may vary from activity to activity and from project to project.

If any of a parent activity's child activities occurs in the current FY, then all child activities of the parent activity must be reported, regardless of their timing. This is to ensure that a complete view of the parent activity is available.

All activities with no child activities must have, at a minimum, *Unique Project ID, Activity Name, Activity Description, Structure ID, Type of Activity, Start Date Planned, Start Date Projected (or Actual), Completion Date Planned, Completion Date Projected (or Actual), Total Costs Planned, and Total Costs Projected (or Actual)*.

Completed activities must also have *Start Date Actual, Completion Date Actual, and Total Costs Actual*. Any parent activities with a child activity must be completely described by the aggregate attributes of its child activities. In the [IT Dashboard](#), the cost and schedule information for parent activities will be based on the cost and schedule information of the lowest level of child activities reported. Agency-submitted cost and schedule information is not required for parent activities.

Unique Project ID	Activity Name	Structure ID	Start Date Planned	Completion Date Planned	Planned Total Costs	...
A	<i>Design</i>	A.2	2/1/2014	2/29/2014	\$2.5	
A	Business Requirements	A.2.1	2/1/2014	2/10/2014	\$1.0	
A	Technical Requirements	A.2.2	2/11/2014	2/20/2014	\$1.0	
A	Architecture	A.2.3	2/21/2014	2/29/2014	\$0.5	

Parent activities as highlighted are optional (Structure ID: A.2). Reported parent activities values will be ignored, as calculated values will be determined by aggregating the cost and schedule information reported in the child activities.

Project Risk

Risk assessments should include risk information from all stakeholders and should be performed at the initial concept stage and then monitored and controlled throughout the life cycle of the investment. A copy of the investment Risk Management Plan must be provided to OMB.

In Table B.3, list all significant project-related risks submitted for the investment that are currently open and provide risk assessment information. For all active projects a minimum of three open risks must be identified for each project. It is not necessary to address all 19 OMB Risk Categories. Consider the combination of the risk probability and the risk impact when identifying significant risks. Include the following data in Table B.3:

1. **Unique Project ID:** An agency-specified number that uniquely identifies a project within the investment. For each identified risk, list the associated Unique Project ID.
2. **Risk Name:** A short description that identifies a risk, the cause of the risk, and the effect that the risk may have on the project.
3. **Risk Category:** Select the relevant OMB risk category for each risk. Risk categories include: 1) Schedule, 2) Initial costs, 3) Life cycle costs, 4) Technical obsolescence, 5) Feasibility, 6) Reliability of systems, 7) Dependencies and interoperability between this investment and others, 8) Surety (asset protection) considerations, 9) Risk of creating a monopoly for future procurements, 10) Capability of agency to manage the investment, 11) Overall risk of investment failure, 12) Organizational and change management, 13) Business, 14) Data/info, 15) Technology, 16) Strategic, 17) Security, 18) Privacy, and 19) Project resources.
4. **Risk Probability:** The likelihood of a potential negative impact for the risk (Low, Medium, or High likelihood).
5. **Risk Impact:** The level of a potential negative impact for the risk (Low, Medium, or High impact).
6. **Mitigation Plan:** A short description of the plan or steps to mitigate the identified risk.
7. **Is this Risk Closed:** Check this box when the Project Risk is no longer useful for Investment management.

Table B.3						
Unique Project ID	Risk Name	Risk Category	Risk Probability	Risk Impact	Mitigation Plan	Is this Risk Closed?
	[Limit: 500 char]	[19 risk categories]	[Low, Medium, High]	[Low, Medium, High]	[char 500]	[Check Box]

SECTION C: OPERATIONAL DATA

Section C addresses operational activities that are not reported as a part of a project in Section B.

Operational Performance

Ongoing performance of operational investments are monitored to demonstrate the existing investment is meeting the needs of the agency, delivering expected value, and/or that the modernized and replaced consistent with the Agency's enterprise architecture. Measures should be as “outcome” based as possible rather than “output” based and should help the Investment benchmark its relative performance. The [OMB Capital Programming Guide](#) (page 44) directs that operational performance metrics should seek to answer more subjective questions in the specific areas of:

- Customer Satisfaction (Results);
- Strategic and Business Results;
- Financial Performance; and
- Innovation

Customer Satisfaction (Results) – Metrics should focus on whether the investment supports customer (internal and/or external) processes as designed. The focus is on how well the investment is delivering the goods or services it was designed to deliver at the level of quality and reliability needed.

Strategic and Business Results – Metrics should measure the effect the investment has on the Agency's mission and provide a measure of how well the investment contributes to achieving the Agency's strategic goals. Agency goals can consist of internally developed goals, externally developed goals (e.g. multiagency integrated systems), or goals mandated/imposed by an act of Congress or Presidential Directive.

Financial Performance – Metrics should compare current performance with a pre-established cost baseline. While financial performance is typically expressed as a quantitative measure, the investment should also be subjected to a periodic review for reasonableness and cost efficiency. This type of measure is often referred to as “cost per unit” measures. Possible examples include cost per transaction, cost per mailbox, or cost per query. Financial Performance measures are used in the Operational analysis and Alternatives analysis to compare possible alternatives and can also be used to validate the need for future investment.

Innovation – Metrics should focus on Research & Development (R&D) or prototyping activities. A possible example of a performance metric in the innovation category would be “# of successful prototypes”.

A minimum of five metrics must be reported, across three areas:

1. **Customer Satisfaction (Results):** Provide a minimum of three metrics that measure the effectiveness of the investment in delivering the desired service or support level. One metric should reflect customer results (e.g. service quality); another should reflect how processes and activities were improved to produce these results (e.g. productivity); and the other should reflect a technology metric (e.g. Reliability and Availability). At least one of these metrics must have a monthly reporting frequency.
2. **Strategic and Business Results:** Provide a minimum of one metric that measures how this investment contributes to the Strategic or Business need of the Agency. It should be outcome based and aligned to a published Strategic Plan or Business Plan.
3. **Financial Performance:** Provide a minimum of one metric that measures the reasonableness and cost efficiency of the investment.
4. **Innovation:** Investments are not required to report innovation metrics for every investment, however Agency's may choose to report under Innovation metrics category if they so choose.

All data will be displayed to the public on the IT Dashboard. Ensure that all metrics provided are publicly releasable.

Defining metrics:

Use the following table to define the attributes of each individual metric.

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	2014 Target	2015 Target	Measurement Condition	Reporting Frequency	Agency Strategic Goals/Agency Objective	Is the Metric Retired?
[Limit: XXX char]	[Limit: 500 char]	[Limit: 50 char]	[Measurement Category]	[numeric]	[numeric]	[Over target/ Under target]	[Monthly, Quarterly, Semi-Annual, Annual]	[PRM Code from PRM v3.0]	[Check Box]

- Metric ID:** Unique ID provided by agency for the metric. When reporting actual results (see below), use this ID to reference the correct metric.
- Metric Description:** Description to help the user understand what is being measured. In this field, describe the units used, any calculation algorithm used, and the definition or limits of the population or “universe” measured.
- Unit of Measure:** Brief indication of what quantity is measured (e.g. number, percentage, dollar value) for each metric.
- Performance Measurement Category Mapping:** Identify the measurement category, as shown above table C.1A.
- 2014 Target:** Metric target value from 2014, relative to the reporting frequency.
- 2015 Target:** Metric target value for 2015, relative to the reporting frequency.
- Measurement Condition:** Indicates whether a desired result would be 'over target' or 'under target'.
Over target = Trend should maintain or increase.
Under target = Trend should maintain or decrease.
- Reporting Frequency:** How often actual measurements will be reported (monthly, quarterly, semi-annually, or annually). Annual reporting frequencies are reserved for annual operating cost measures, performance measures associated with the agency’s annual performance plan, or other measures that can only be appropriately measured on an annual basis.
- Agency Strategic Goals/Agency Objective:** For annual reporting frequency metrics, agencies will be required to provide the cross agency priority (CAP) goal, agency priority goal (APG), strategic goal (SG), or agency objective (OBJ) associated with the metric, using the appropriate code in the [Performance Reference Model, version 3.0](#), dated August 3, 2012 (located on the FEA website).
- Is the Metric Retired?:** Check this box when performance metrics are no longer useful for Investment management.

Providing actual results:

As actual results are measured at the appropriate frequency, they should be reported as new entries in Table C.1B below.

- Metric ID:** Unique ID provided by agency for the metric. Use this ID to reference the correct metric.
- Actual Result:** Actual result measured.
- Date of Actual Result:** End date of the most recent reporting period.
- Comment:** Comments for metrics that have not been met will be valuable for Reviewer.

When adding a new metric, include historical actual result information as available.

Table C.1B			
Metric ID	Actual Result	Date of Actual Result	Comment
<i>[Limit: XXX char]</i>	<i>[numeric]</i>	<i>[date]</i>	<i>[500 char] (optional)</i>

Operational Risk

Risk assessments should include risk information from all stakeholders and should be performed at the initial concept stage and then monitored and controlled throughout the life cycle of the investment. A copy of the investment Risk Management Plan must be provided to OMB.

In Table C.2, list all significant operational related risks for the investment that are currently open and provide risk assessment information. If there are any components of these Investments that are in Operations, a minimum of three open risks must be identified. It is not necessary to address all 19 OMB Risk Categories. Consider the combination of the risk probability and the risk impact when identifying significant risks. Include the following data in Table C.2:

1. **Risk Name:** A short description that identifies the risk, the cause of the risk and the effect that the risk may have on the operational activity.
2. **Risk Category:** The relevant OMB Risk Category for each risk. Risk categories include: 1) Schedule, 2) Initial costs, 3) Life cycle costs, 4) Technical obsolescence, 5) Feasibility, 6) Reliability of systems, 7) Dependencies and interoperability between this investment and others, 8) Surety (asset protection) considerations, 9) Risk of creating a monopoly for future procurements, 10) Capability of agency to manage the investment, 11) Overall risk of investment failure, 12) Organizational and change management, 13) Business, 14) Data/info, 15) Technology, 16) Strategic, 17) Security, 18) Privacy, and 19) Project resources.
3. **Risk Probability:** The likelihood of a negative impact for the risk (Low, Medium, or High likelihood).
4. **Risk Impact:** The level of a potential negative impact for the risk (Low, Medium, or High impact).
5. **Mitigation Plan:** A short description of how to mitigate the risk.
6. **Is this Risk Closed:** Check this box when the Operational Risk is no longer useful for Investment management.

Table C.2					
Risk Name	Risk Category	Risk Probability	Risk Impact	Mitigation Plan	Is this Risk Closed?
<i>[Limit: 500 char]</i>	<i>[19 risk categories]</i>	<i>[Low, Medium, High]</i>	<i>[Low, Medium, High]</i>	<i>[Limit: 500 char]</i>	<i>[Check Box]</i>

Appendix A. What background information must I know?

The Federal Government must effectively manage its portfolio of capital assets to ensure scarce public resources are wisely invested. Capital programming integrates the planning, acquisition, and management of capital assets into the Budget decision-making process. It is intended to assist agencies in improving asset management and in complying with the results-oriented requirements of:

- The Clinger-Cohen Act of 1996, which requires agencies to use a disciplined capital planning and investment control (CPIC) process to acquire, use, maintain, and dispose of IT in alignment with the agency's EA planning processes. OMB policy for the management of Federal information resources is detailed in [Circular A-130](#), Management of Federal Information Resources.
- The Government Performance and Results Act (GPRA) of 1993, which establishes the foundation for Budget decision making to achieve strategic goals in order to meet agency mission objectives. Instructions for preparing strategic plans, annual performance plans, and annual program performance reports are provided in Part 6 of [OMB Circular A-11, Section 220](#).
- The [GPRA Modernization Act of 2010 \(P.L. 111-352\)](#), which requires quarterly performance assessments of Federal Government priorities and establishes agency Performance Improvement Officers and the Performance Improvement Council.
- The Federal Managers Financial Integrity Act of 1982, Chief Financial Officers Act of 1990 (CFO Act), and Federal Financial Management Improvement Act of 1996, which require accountability of financial and program managers for financial results of actions taken, control over the Federal Government's financial resources, and protection of Federal assets. OMB policies and standards for developing, operating, evaluating, and reporting on financial management systems are contained in [Circular A-127, Financial Management Systems](#) and [OMB Circular A-11, Section 52](#).
- The Paperwork Reduction Act of 1995, which requires agencies to perform their information resources management activities in an efficient, effective, and economical manner.
- The [Federal Information Security Management Act \(FISMA\) of 2002](#), which requires agencies to integrate IT security into their capital planning and EA processes, conduct annual IT security reviews of all programs and systems, and report the results of those reviews to OMB.
- The [E-Government Act of 2002 \(P.L. 107-347\)](#), which requires agencies to support government-wide E-Government (E-Gov) initiatives and to leverage cross-agency opportunities to further E-Gov. The Act also requires agencies to establish a process for determining which government information the agency intends to make available and accessible to the public on the Internet and by other means. In addition, the Act requires agencies to conduct and make publicly available privacy impact assessments (PIAs) for all new IT investments, administering information in an identifiable form collected from or about members of the public.
- The National Technology Transfer and Advancement Act of 1995 (P.L. 104-113) and [OMB Circular A-119](#), which state that voluntary consensus standards are the preferred type of standards for Federal Government use. When it would be inconsistent with law or otherwise impractical to use a voluntary consensus standard, agencies must submit a report to OMB through the National Institute of Standards and Technology (NIST) describing the reason(s) for the agency's use of government-unique standards in lieu of voluntary consensus standards.

- The Federal Records Act, which requires agencies to establish standards and procedures to ensure efficient and effective records management. The National Archives and Records Administration (NARA) issues policies and guidance for agencies to meet their records management goals and requirements. NARA also provides policies and guidance for planning and evaluating investments in electronic records management.
- The Privacy Act of 1974 (5 U.S.C. § 552a), which is an omnibus "code of fair information practices" that attempts to regulate the collection, maintenance, use, and dissemination of personal information by Federal executive branch agencies.
- [NIST Special Publication 800-146](#) concepts and definitions regarding cloud computing.
- Recent OMB IT policies and guidance, including:
 - [Federal Information Technology Shared Services Strategy](#)
 - [The Common Approach to Federal Enterprise Architecture](#)
 - [Contracting Guidance to Support Modular Development](#)
 - [The Federal Cloud Computing Strategy](#)
 - [Digital Government Strategy: Building a 21st Century Platform to Better Serve the American People](#)
 - [Security Authorization of Information Systems in Cloud Computing Environments \(FedRAMP\)](#)
 - [National Strategy for Information Sharing and Safeguarding](#)
 - [OMB memo M-11-29 – Chief Information Officer Authorities](#)
 - [OMB memo M-13-09 – Fiscal Year 2013 PortfolioStat Guidance: Strengthening Federal IT Portfolio Management](#)
 - [OMB memo M-13-13 – Open Data Policy-Managing Information as an Asset](#)
 - [OMB memo M-13-14 – Fiscal Year 2015 Budget Guidance](#)
 - [OMB memo M-14-03 – Enhancing the Security of Federal Information and Information Systems](#)
 - [OMB memo M-14-08 – Fiscal Year 2014 PortfolioStat](#)
- [Executive Order 13514, Federal Leadership in Environmental, Energy, and Economic Performance](#)
- [Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management](#)
- [Executive Order 13642, Making Open and Machine Readable the New Default for Government Information, May 9, 2013](#)
- [Executive Order 13587, Structural Reforms to Improve the Security of Classified Networks and the Responsible Sharing and Safeguarding of Classified Information](#)
- Federal Acquisition Regulation, including Subchapter B, Parts 5 through 12 and Part 23
- Federal Management Regulation, including Subchapters B and C
- Energy Independence and Security Act of 2007, including Sections 431 through 435 and 523 through 525
- Energy and Policy Act of 2005, including Sections 103, 104, 109, and 203