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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 2018.

Large structural changes:

- Updated text to be consistent with modified A-11 Section 55.
- Updated IT spending categories to now be limited to four categories.
- Added requirement for Agency Budget Account Summary.
- Clarified Agency regular update requirements; reiterated that there is no monthly update requirement, while emphasizing that Agencies are to update the dashboard within 30 days from a change in status of various elements of the Investment.
- Added Standard IT Investments.

Updates to Agency IT Investment Portfolio Summary requirements:

- Question 3: Added Investment Category for USSM-designated shared services.
- Question 10: Added Investment Category for National Security Systems.
- Question 32, 34, & 36: Changed FTE percent to FTE cost for PY, CY, and BY.
- Question 40, 41, and 42: Removed Functional/Business Sponsor phone number, extension, and e-mail.
- Question 42a, 42b, and 42c: Replaced with new Question 39 containing updated language to reflect decisions on usage of cloud computing.
- Questions 52, 53, and 54: Added new questions for Agency IT security spending costs.
- Question 55: Added new question to collect Agency End of Life spending costs.

Updates to Agency Provisioned IT Service Summary requirements:

- Removed requirement for Agencies to report costs for Provisioned IT services by cloud computing service models.

Updates to Agency Data Center Spending Summary requirements:

- Removed all Telecom and End User fields, along with the Data Center Migration and Other Service Contracts fields.

Significant Updates to Major IT Business Case requirements:

- Updated guidance to specify that Investment artifact submission will be only upon request.
- Question 6: Updated language to remove description of corrective actions.
- Updated Section D to include a second table for planned acquisitions.
- Added Section E for Systems Inventory (Administrative Services and Support Systems only).
- Added Section F for Cost & Capabilities (IT Security and Compliance Standard Investment).

Significant Updates to Major IT Business Case Detail requirements:

- Provided framework for agile-based project activities.
- Updated language to include description of operational analysis last date and results.
- Consolidated Project and Operational Risk reporting into single table for Investment-level Risk reporting.

Other:

- Updated Appendix A. Legal Regulatory Authorities to reference US Code, where applicable.
- Updated Appendix B. Added USSM Officially Designated Shared Services with OMB E-Gov and Line of Business Initiatives.
- Added Appendix C. Added a list of common IT Budget – Capital Planning definitions.
- Added Appendix D: Added IT Security definitions.

1. How does the IT Budget – Capital Planning Guidance relate to A-11 Section 55?

Office of Management and Budget (OMB) [Circular A-11 Section 55](#) provides the policy and requirements associated with IT budget, information technology (IT) Investment, and IT portfolio management, whereas the IT Budget – Capital Planning Guidance includes technical requirements and more details related to the requirements. The required information allows the Agency and OMB to review and evaluate each Agency's IT spending and to compare IT spending across the Federal Government.

2. How do I submit annual, quarterly, and regular updates of IT budget and management information, and when is it due?

The Agency's IT Budget and Management information is composed of two parts, the Agency IT Portfolio Summary and the Major IT Business Case. The following tables display the composite budget organization:

Agency IT Portfolio Summary	
Agency IT Investment Portfolio Summary	Part 1: IT Investments for Mission Delivery
	Part 2: IT Investments for Administrative Services and Support Systems
	Part 3: IT Investments for IT Infrastructure, IT Security, and IT Management
	Part 4: IT Investments for Grants and Other Transferred Funding to Non-Federal Organizations for IT
Agency Provisioned IT Services Spending Summary	
Agency Data Center Spending Summary	
Agency Budget Accounts Summary	

Cybersecurity is a top priority for the Administration, and Agencies are now required to report on their standard Investments for IT Security and Compliance at the level that it is managed and executed. In the spirit and support of Federal Information Security Management Act (FISMA) and Federal Information Technology Acquisition Reform Act (FITARA), every organization managing a security program must now report a business case to provide visibility of costs and outcomes of its cybersecurity activities. The intent is not a single, consolidated business case for IT Security and Compliance across the Agency, rather individual Investments reflecting the point at which they are managed. For the security Investments that currently exist and have been reporting Major IT Business Cases, Agencies can individually appeal section exceptions to their respective OMB desk officer in writing (via e-mail).

Major IT Business Case		All Investments (Except Security)	Existing Security Investment*	New Security Investment*
IT Business Case Overview	Section A: General Information	X	X	X
	Section B: Investment Details	X	X	
	Section C: Life Cycle Costs	X	X	
	Section D: Acquisition/Contract Strategy	X	X	X
	Section E: Systems Inventory (Administrative Services and Support Systems only)	(Only applicable to Administrative Services and Support Systems Investments)		
	Section F: IT Security Costs & Capabilities (for IT Security and Compliance Investments only)		X	X
	Section A: General Overview	X	X	

Major IT Business Case		All Investments (Except Security)	Existing Security Investment*	New Security Investment*
Major IT Business	Section B: Project Plan and Execution Data	X	X	
Case Details	Section C: Operational Data	X	X	

Note: Major IT Business Case sections marked with an “X” are required submissions for that type of Investment.

Note: For cyber programs run by a central office or entity, the budget data needs to be included in an Agency Office of the Chief Information Officer (OCIO) Security and Compliance Investment as a contribution in order to capture the full cost of security at the enterprise level. Component-level cyber programs should also complete a security business case for services they manage and/or operate and NOT for the funds transferred to the enterprise level to pay for enterprise-wide solutions.

Agencies shall submit materials for the annual, quarterly, and regular updates of IT budget and management information on the following schedule:

2.1 Annual Reporting:

Due to the nature of the transition year, the timing for the IT Budget Submissions is different than a traditional year. In September (specific dates not determined), Agencies will submit a current services budget (M-16-10: *Requirements for the FY 2018 Budget Process*) rather than the typical budget request. OMB is continuing to make efforts to drive alignment between Agencies’ overall budget and IT budget submissions. The transition year revised schedule for the FY 2018 Budget Process is listed below:

- Verification that the required E-Gov/LoB contribution levels are being included in the Agency’s budget plans: **August 26, 2016**;
- FY 2018 Draft Agency IT Investment Portfolio Summary submission: **September 9, 2016**;
- FY 2018 Draft Agency Budget Accounts Summary submission: **September 9, 2016 for PY only** (this should reflect FY 2016 enacted/likely actual level consistent with guidance in A-11 Section 55);
- FY 2018 Agency IT Portfolio Summary submission (including the Agency IT Investment Portfolio Summary, Agency Provisioned IT Spending Summary, Agency Data Center Spending Summary, and Agency Budget Accounts Summary): **September 26-30, 2016**
- FY 2018 Major IT Investment Business Case submissions:
 - For existing major Investments: **October 3-14, 2016** (tentative);
 - For new major Investments, including Security and Compliance Investments: **November 14-18** (tentative);
- Certification of “IT Resource Statements”, based on FITARA requirements: **December 1, 2016**; and
- Final FY 2018 President’s Budget submissions (To Be Determined).

Specifically, a draft version of the Agency IT Investment Portfolio Summary shall be completed by the Agency and submitted to OMB as a Microsoft (MS) Excel file. This draft will constitute the Agency’s proposal to OMB, providing a comprehensive list of all IT Investments that will be reported as part of the Agency’s FY 2018 IT submission. It also confirms the mapping of Agency Investments to Agency architectures. The initial Draft Agency IT Investment Portfolio Summary is due September 9, 2016 and shall be posted online to the [Draft Agency IT Investment Portfolio Summary OMB MAX submission page](#). Additionally, the Draft Agency Budget Accounts Summary, for PY 2016 only, is due September 9, 2016 and shall be posted online to the [Draft Agency Budget Accounts Summary OMB MAX submission page](#). Specific steps for completing the submissions will be available on the [OMB MAX Community Integrated Data Collection \(IDC\) page](#). At a minimum, the Draft Agency IT Investment Portfolio Summary should include the Previous Unique Investment Identifier (UII), Current UII, Investment

Category, Shared Services Identifier, Part of Agency IT Portfolio Summary, Type of Investment, Investment Title, Investment Description, and FEA BRM Services – Primary service area.

All subsequent updates to the Agency IT Investment Portfolio Summary will be submitted to the IT Dashboard (ITDB) or as otherwise directed. The Agency IT capital planning office should coordinate and review all versions/revisions of any section/part of the Agency IT Portfolio and Major IT Business Case prior to submission of the Agency Chief Information Officer (CIO) -approved version to OMB.

Additional updates to the Agency IT Portfolio 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 (as this is typically outside of the regular IDC schedule these will be special instructions on the IDC). If an Agency requests supplemental funds, approves additional funding, or reallocates funding within its authority and these funding changes result in changes to any part of the Agency IT Portfolio Summary, then Agencies should submit a new or revised Agency IT Portfolio Summary as part of their supplemental request.

With reference to the requirements in Circular A-11, Sec. 51.3, CIOs should, in conjunction with their Agency's submission of Current Services baseline budget data, provide the certifications needed to demonstrate compliance with the Federal IT Acquisitions Reform Act (FITARA). Agencies are also required to post a copy of these certifications, hereby termed their "IT Resource Statements", to the following [IT Resource Statements \(BY 2018\) MAX submission page](#). OMB expects that this copy will be posted no later than, December 1, 2016. For the Final FY 2018 President's Budget, Agencies should update and re-post their IT Resource Statements on the same MAX page. The IT Resource Statements should include: (1) a statement from the CIO affirming that the CIO has reviewed and approved major IT Investments as part of planning budgetary estimates for all years of the Agency's Current Services baseline; (2) a statement from the Chief Financial Officer (CFO) and CIO affirming that the CIO had a significant role in reviewing planned IT support for major programs and significant increases and decreases in IT resources reflected in the Agency's Current Services baseline budget submission, and (3) a statement from the CIO and CFO that the IT Portfolio (Section 55.6) includes appropriate estimates of all IT resources included the Agency's Current Services baseline.

2.2 Quarterly Reporting:

The IDC will be collected based upon the following quarterly submission schedule (separate instructions will be provided 30-45 days before the due date, and the windows for data entry will be longer):

- May 31, 2016; August 31, 2016; November 30, 2016; and February 28, 2017.

2.3 Regular Updates Reporting:

- Major IT Investment updates for performance metrics, risks, projects, and/or activities will be provided to the ITDB as soon as the data becomes available (see Appendix C for a description of major IT Investments).
- CIO Evaluation (per [40 U.S.C. § 11315 \(c\)\(2\)](#)) should be updated as soon as CIOs have completed their evaluations. There is no mandated reporting frequency; however, OMB does expect at a minimum that these evaluations will occur each time a TechStat occurs, a rebaseline is approved by the Agency head, when the business cases are submitted to OMB in the Agency budget request, and when the business cases are prepared for the President's Budget release.
- When providing updates to the ITDB, OMB expects that updates are provided within 30 days from the corresponding event (e.g. TechStat sessions, baseline changes, CIO evaluations, status change in projects/activities, status change to the risk information, etc.).

At any given time, when OMB or the Agency CIO, or the Agency Inspector General (IG) determines data reported on the ITDB is not timely and reliable, the CIO (in consultation with the Agency head) must notify their OMB desk officer in writing (via e-mail) and the Agency IG. In addition, within 30 days of this determination, the CIO will collaborate with OMB to develop an improvement plan to address the deficiencies. The plan should include a root cause analysis, timeline to resolve, brief description on how the Agency plans to resolve the issue, and lessons learned. Furthermore, the CIO will communicate the steps being taken to execute the improvement plan and will provide updates on the progress to OMB and the Agency IG on the quarterly basis until the identified deficiency is resolved.

3. How is IT spending categorized?

Agencies are required to submit all of their IT budget-related costs to OMB annually. The Agency's complete IT Portfolio must be reported for all major and non-major IT Investments, including migration-related and funding contributions to IT shared services. The service provider shall report migration-related costs separately to maintain operations for current customers. For the FY 2018 President's Budget submission, IT funding levels reported in the Agency IT Portfolio Summary should be consistent with the Agency's budget materials and should be categorized based upon the following four (4) parts:

Category	Description
Part 1. IT Investments for Mission Delivery	Report IT Investments that directly support the delivery of the Agency's mission. Investments in this part should be listed by the Agency-designated mission delivery areas. This information should map directly to the Agency's strategic and annual performance plan. For IT Investments that cover more than one mission, report in the mission area with oversight over the IT Investment.
Part 2. IT Investments for Administrative Services and Support Systems	Administrative services are comprised of activities that are common across all Agencies and include functional areas such as financial management, human resources, acquisitions, and grants management. Report all Investments for Administrative Services and Support Systems specific to an Agency, and IT Investments officially designated as shared services and E-Gov/ Line of Business (LoB). Per OMB M-16-11, officially designated shared service providers (SSPs) include Agencies previously designated by the Department of Treasury's (Treasury) Office of Financial Innovation and Transformation (FIT), the Office of Personnel Management's (OPM) HR Line of Business (HRLoB) as well as any SSPs designated by the General Services Administration's (GSA) Office of Unified Shared Services Management (USSM). Appendix B provides a list of these Investments, SSPs, and E-Gov/LoBs. Agencies must report IT Investments that are contributing towards an SSP or E-Gov/LoB Investment. The SSPs, including those non-designated by USSM, must report IT Investments made in support of the migration of a customer Agency as well as IT Investment made to support ongoing operations.
Part 3. IT Investments for IT Infrastructure, IT Security, and IT Management	Report IT Investments for IT Infrastructure, IT Security, and IT Management. This section should include all IT Infrastructure, Telecommunications, Hosting, IT Security, End User Services, and all IT Management including CIO and senior leadership for IT strategy and planning, enterprise architecture, capital planning, IT vendor management, and IT budget/finance. For the FY 2018 submission, Agencies must report two standard IT Investments; IT Security and Compliance (as a major) and IT Management (as a non-major). Additional standardized Investments will be required for the FY 2019 cycle. Definitions are included in Appendix C. These Investments should be reported at the point of management and thus may be defined at the bureau level and/or by functional components, or at the Agency level if the Investments are managed for the enterprise. Consequently, there may likely exist more than one of the same type of standard Investment submitted by Agencies, particularly by federated Agencies, that are

Category	Description
	managing standard Investments at lower than the enterprise level.
Part 4. IT Investments for Grants and Other Transferred Funding to Non-Federal Organizations for IT	Report total amounts for grants and other transferred funding to non-federal organizations (i.e. state and local governments) to be used for IT. Part 4 does not relate to Agency grants management systems (reported in Part 2).

Note: National Security Systems (previously Part 5) should be aligned with the appropriate part above, and will be delineated using Investment identifier (02) within column/field 10.

4. If I submitted an Agency IT Portfolio Summary last year, how do I revise it this year?

If the Agency submitted an Agency IT Portfolio Summary for the FY 2017 Budget, the revised FY 2018 Agency IT Investment Portfolio Summary data must be compliant with the FY 2018 specified formats or it will be rejected. The Agency must note “change in status” for each Investment, as compared to the final FY 2017 President’s Budget (February 2016 or most recent update). Changes must be identified and described in columns twelve (12) and thirteen (13) of the Agency IT Investment Portfolio Summary.

It is important that the Agency updates its Agency IT Investment Portfolio Summary to reflect current IT Investment data. Note that the PY funding should be updated to reflect the FY 2016 Actuals for the final FY 2018 President’s Budget. An OMB Budget Account code for all 'Funding Sources' line items is required for every Investment.

AGENCY IT INVESTMENT PORTFOLIO SUMMARY

The President's Budget Agency IT Portfolio Summary is a complete report of all IT resources within the Agency. Investment costs are to be provided in **millions of dollars (\$M)**. Reporting to three (3) decimal places (precision to thousands of dollars) is recommended, although Agencies may report up to six (6) decimal places (whole dollars).

5. What must I report?

The Agency IT Portfolio Summary includes all IT resources 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. Agencies 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, the 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 Budget Account identification code information for IT Investment funding sources:

Entry	Description
XXX-xx-xxxx-x	The first three (3) digits are your Agency code (See: Appendix C of OMB Circular No. A-11).
xxx-XX-xxxx-x	The next two (2) digits are your bureau code (See: Appendix C of OMB Circular No. A-11). Note: The “bureau” code embedded in the OMB account number for a funding source might not always refer to a “bureau” as the term is used elsewhere.
xxx-xx-XXXX-x	This is a four (4) -digit account code for the OMB budget account, as used by the MAX A-11 application where Agency budget offices provide budget information for the Budget Appendix. (See: Section 79.2 of OMB Circular No. A-11).
xxx-xx-xxxx-X	This is a single (1) digit Transmittal Code (See: Section 79.2 of OMB Circular No. A-11).

6. How do I complete the Agency IT Investment Portfolio Summary?

Each Investment identified in the Agency's IT Investment Portfolio Summary must have a UII. The first two (2) columns correspond to the Previous UII’s and the Current UII’s 12-digit coding. Varied identifying information in columns three (3) through eight (8) is used to categorize Investments.

Column /Field	Description
1	<p>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 2017 Agency IT Portfolio Summary submission to OMB. Indicating the UII used for a previous submission allows cross-walk and historical analysis spanning FYs. 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.</p>
<p>2</p> <p>XXX- xxxxxxxxx</p> <p>xxx- xxxxxxxxx</p>	<p>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.</p> <p>The first three (3) digits represent your Agency code (see Appendix C of OMB Circular No. A-11).</p> <p>The last nine (9) 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 from use for any future new Investment and should remain unchanged for any continuing Investment that is not split, consolidated, reorganized. If an IT Investment is retired, discontinued, or merged with another IT Investment, the unique identifier persists with that IT Investment.</p>
3	<p>Shared Services Category [2-digit code] (variable element)</p> <ul style="list-style-type: none"> 00: Code for all Investments other than those coded “24”, “36” or “48” 24: E-Gov initiatives or an individual Agency's participation in one of the E-Gov/LoB initiatives 36: SSPs (and their customers) previously designated by Treasury’s FIT and OPM’s HRLoB as well as any providers designated by the USSM. Agency contributions to FMLoB and HRLoB should use code 24, not code 36. 48: Any Multi-Agency (Inter- or Intra-Agency) collaboration or an individual Agency’s participation in one of these initiatives. This includes shared services not officially designated by USSM and excludes E-Gov/LoB initiatives and USSM designated shared services.
4	<p>Shared Services Identifier [4-digit code]</p> <p>These four digits are applicable for all Investments with a Shared Services Category of 24, 36 or 48. A code will be specifically assigned for all E-Gov/LoB and USSM designated shared services in Appendix B, while Agencies should assign their own four (4) -digit unique codes for Multi-Agency initiatives using the “48” shared services category. This code represents the same 4-digit identifier previously provided in the last nine (9) digits of the UII for Investments starting with xxx-99999XXXX.</p>
5	<p>Bureau Code [2-digit code] (variable element)</p> <p>The two digits indicate the bureau code of the Investment (see Appendix C of OMB Circular No. A-11). If this is a department-level or an Agency-wide activity, use “00” as your bureau code.</p> <p><i>Note:</i> This field 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>
6	<p>Part of Agency IT Portfolio Summary [2-digit code] (variable element)</p> <p>These two digits indicate the four parts of the Agency IT Portfolio Summary:</p> <ul style="list-style-type: none"> 01: Part 1. IT Investments for Mission Delivery 02: Part 2. IT Investments for Administrative Services and Support Systems 03: Part 3. IT Investments for IT Infrastructure, IT Security, and IT Management 04: Part 4. IT Investments for Grants and Other Transferred Funding to Non-Federal Organizations for Information Technology

Column /Field	Description
7	<p>Standard IT Infrastructure and Management Category <i>[2-digit code]</i></p> <p>These two digits indicate the sub-category of Investments identified as Part 3: IT Investments for IT Infrastructure, IT Security, and IT Management. For FY 2018 Agencies must report two standard Investments; IT Security programs should be reflected within an Investment called IT Security & Compliance and use Category 02, and all CIO Function Investments previously reported in Part 3 should be consolidated into a single Investment called IT Management and use Category 03. All other Investments should use the Not Applicable Category 01. OMB intends to introduce additional standard Investments for the FY 2019 cycle.</p> <p>01: Not Applicable 02: IT Security & Compliance 03: IT Management</p>
8	<p>Mission Delivery and Management Support Area <i>[2-digit code] (variable element)</i></p> <p>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. Agencies shall provide a reference table for mission areas to ofcio@omb.eop.gov to correspond to each submission of the IT Portfolio Summary.</p>
9	<p>Type of Investment <i>[2-digit code] (variable element)</i></p> <p>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:</p> <p>01: Major IT Investments 02: Non-major IT Investments 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 to indicate the partner contribution to an Investment in another Agency's IT Investment Portfolio Summary. The description of the IT Investment should indicate the UII of the managing partner Investment. Intra-Agency collaboration should also use this Investment type.</p>
10	<p>National Security Systems Identifier <i>[2-digit code]</i></p> <p>These two digits indicate whether the Investment is a National Security System. Select one of the following two digit codes according to the type of Investment being reported:</p> <p>01: Non-National Security System Investment 02: National Security System Investment</p>
11	<p>Line Item Descriptor <i>[2-digit code] (variable element)</i></p> <p>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 ITDB and the line number in an equivalent spreadsheet file (CSV or XLS file), for Agencies not on the ITDB:</p> <p>00: Total Investment title line, structurally the first line for reporting this particular Investment 04: Funding source or appropriation 09: Any subtotal</p>

Column /Field	Description
12	<p>Change in Investment Status Identifier <i>[2-digit code]</i></p> <p>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 4. Consolidation of Investments 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 <p><i>Note:</i> For any new Standard IT Infrastructure and Management Investment, new IT Security and Compliance (02) Investment, or new IT Management (03) Investment, use Investment Status Identifier 10 (New). Investments that have been split (Change in Investment Status Identifier 3) must be included in the Agency IT Portfolio Summary, with new UIIs in the Current UII field. Investments that have been consolidated (Change in Investment Status Identifier 4) must include their Previous UII in column 1.</p>
13	<p>Agency Description of Change in Investment Status</p> <p>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. <i>[255 char]</i></p>
14	<p>Investment Title</p> <p>This is a text field to provide the Investment title. 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>
15	<p>Investment Description</p> <p>This is a short public-facing description (limited to 255 characters) for each Investment. 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 an E-Gov or Shared Service initiative, the description should state this information and refer to the Current UII of the managing partner's business case. <i>[255 char]</i></p>
16	<p>FEA BRM Services – Primary service area</p> <p>This is the three (3) -digit code that indicates the predominant business function served by the Investment (not necessarily the mission/business of the Agency).BRM version 3.1 contains the current mapping codes. <i>[3-digit code]</i></p>

Column /Field	Description
17	<p>Cross-Boundary Information Identifier [1-digit code]</p> <p>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. More information can be found at www.ise.gov. The goal of this question is to quantify efforts to develop and advance interoperability-based shared services and information across distributed and decentralized communities of interest, based on common mission requirements, semantic interoperability requirements, and the need to bridge and enforce security, privacy, and related policy constraints. If the Investment supports reusable, standardized information exchanges leveraging recognized controlled and managed vocabularies; and/or automated approach to federating trust frameworks and enforcing security, privacy and related policy controls (based on National Institute of Standards and Technology (NIST) 800-53) across boundaries Agencies must indicate which of the following are planned to be used or were used:</p> <ol style="list-style-type: none"> 1. Information Sharing Environment Core Interoperability Framework 2. National Information Exchange Model (NIEM) & the Common Profile 3. Other 4. None <p><i>Note:</i> If the Investment supports both “1” and “2”, select “1”.</p>
18	<p>Supports the Anti-Terrorism-Related Information Sharing Environment [select all that apply]</p> <p>This is an activity that supports Agency efforts to develop, integrate, and reuse anti-terrorism-related mission capabilities and technical services. Terrorism-related is defined as terrorism, homeland security, weapons of mass destruction, and crimes with a national security concern. Targeted capabilities are in most instances dual use, meaning that they are integrated into Agency Enterprise Architectures (EAs) to support many or most of an Agencies missions, including but not limited to anti-terrorism-related efforts. More information can be found at www.ise.gov. The goal of this question is to conduct inventory and support reuse and appropriate interoperability across Investments aligned with the anti-terrorism-related ISE. Investment supports: State and Regional Information Sharing Environments (including but not limited to requests for information, deconfliction, national fusion center strategy implementation, and trafficking in persons).</p> <ol style="list-style-type: none"> 1. Aligning and integrating field-based intelligence and information sharing entities (i.e., Fusion Centers; High Intensity Drug Trafficking Centers; RISS Centers; Joint Terrorism Task Forces; and related entities or task forces) 2. Integration into the Sensitive but Unclassified network federation using the interoperability guidance and criteria promulgated by the SBU Technical Advisory Committee 3. Request for Information, including event or case/subject (or target entity) law enforcement or criminal intelligence deconfliction 4. Alerts, warnings or notifications 5. Law enforcement, homeland security or criminal intelligence incident reporting (including Suspicious Activity Reporting) 6. Other 7. None <p><i>Note:</i> If the Investment supports one or more of these mission areas, indicate which one(s) by listing the corresponding number(s) listed above.</p>
19	<p>Development, Modernization, and Enhancement (DME) (PY/2016) Agency Funding [\$M]</p> <p>This should indicate FY 2016 amount. See definition of DME in Appendix C.</p>

Column /Field	Description
20	DME (PY/2016) Contributions [\$M] This should indicate the FY 2016 amount contributed from other Agencies. See definition of DME in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
21	DME (CY/2017) Agency Funding [\$M] This should indicate FY 2017 amount. See definition of DME in Appendix C.
22	DME (CY/2017) Contributions [\$M] This should indicate the FY 2017 amount contributed from other Agencies. See definition of DME in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
23	DME (BY/2018) Agency Funding [\$M] This should indicate FY 2018 amount. See definition of DME in Appendix C.
24	DME (BY/2018) Contributions [\$M] This should indicate the FY 2018 amount contributed from other Agencies. See definition of DME in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
25	Operations and Maintenance (O&M) Spending (PY/2016) Agency Funding [\$M] This should indicate FY 2016 amount. See definition of O&M in Appendix C.
26	O&M Spending (PY/2016) Contributions [\$M] This should indicate the FY 2016 amount contributed from other Agencies. See definition of O&M in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
27	O&M Spending (CY/2017) Agency Funding [\$M] This should indicate FY 2017 amount. See definition of O&M in Appendix C.
28	O&M Spending (CY/2017) Contributions [\$M] This should indicate the FY 2017 amount contributed from other Agencies. See definition of O&M in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
29	O&M Spending (BY/2018) Agency Funding [\$M] This should indicate FY 2018 amount. See definition of O&M in Appendix C.
30	O&M Spending (BY/2018) Contributions [\$M] This should indicate the FY 2018 amount contributed from other Agencies. See definition of O&M in Appendix C. For Funding Transfer Investments (Investment Type “04”), this field should be 0.
31	Number of Government Full Time Equivalents (FTEs) (PY/2016) This is the number of government FTEs included in the PY funding associated with the Investment. This applies to all Investments, both major and non-major. If an FTE’s costs are included in the Investment costs for PY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the Investment (e.g., technical, managerial, functional, or governance).
32	Total Government FTE Cost (PY/2016) [\$M] This is the total PY cost represented by the number of government FTEs associated with the Investment. This applies to all Investments, both major and non-major. If an FTE’s costs are included in the Investment costs for PY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the Investment (e.g., technical, managerial, functional, or governance). FTE cost should reflect the fully loaded cost of government FTEs (as defined by OMB Circular A-76). For major IT Investments, the total FTE costs reported in this field should match the total FTE costs listed on the life cycle cost table in the major business case.

Column /Field	Description
33	<p>Number of Government FTEs (CY/2017) This is the number of government FTEs included in the CY funding associated with the Investment. This applies to all Investments, both major and non-major. If an FTE’s costs are included in the Investment costs for CY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the Investment (e.g., technical, managerial, functional, or governance).</p>
34	<p>Total Government FTE Cost (CY/2017) [\$M] This is the total CY cost represented by the number of government FTEs associated with the Investment. This applies to all Investments, both major and non-major. If an FTE’s costs are included in the Investment costs for CY, the FTE or portion of the FTE should be reported, regardless of the FTE’s role in the Investment (e.g., technical, managerial, functional, or governance). FTE cost should reflect the fully loaded cost of government FTEs (as defined by OMB Circular A-76). For major IT Investments, the total FTE costs reported in this field should match the total FTE costs listed on the life cycle cost table in the major business case.</p>
35	<p>Number of Government FTEs (BY/2018) This is the number of government FTEs included in the BY funding associated with the Investment. 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, or governance).</p>
36	<p>Total Government FTE Cost (BY/2018) [\$M] This is the total BY cost represented by the number of government FTEs associated with the Investment. 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, or governance). FTE cost should reflect the fully-loaded cost of government FTEs (as defined by OMB Circular A-76). For major IT Investments, the total FTE costs reported in this field should match the total FTE costs listed on the life cycle cost table in the major business case.</p>
37	<p>Functional/Business Sponsor Name The Functional/Business Sponsor is defined in Appendix C, and provides visibility for Agencies and OMB as to who the sponsor is for each Investment within the IT portfolio.</p>
38	<p>Functional/Business Sponsor Title Indicate the title of the Functional/Business Sponsor.</p>
39	<p>Cloud Computing Alternatives Evaluation [one-digit code] This specifies whether, as of the date of the submission, the Investment, or a component of the Investment, is leveraging, considering, migrating or posing as a candidate for cloud computing. All Investments should answer this question regardless of the overall life cycle stage of the Investment, as operational Investments should consider cloud computing alternatives during or as a result of an operational analysis. Select one of the following answers:</p> <ol style="list-style-type: none"> 1. This Investment or a portion of this Investment is leveraging cloud computing. 2. This Investment is migrating to the cloud. 3. This Investment is considering cloud computing. 4. Cloud computing has NOT been considered. 5. Cloud computing is NOT applicable for any portion of this Investment. 6. Cloud computing has been considered but was not selected. <p><i>Note:</i> For Funding Transfer Investments (Investment Type “04”), this field does not need to be completed.</p>

Column /Field	Description
40	DME Provisioned IT Services Spending (PY/2016) Agency Funding [\$M] This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
41	DME Provisioned IT Services Spending (PY/2016) Contributions [\$M] This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Inter-Agency contributions from other Agencies and Intra-Agency from within the Agency.
42	DME Provisioned IT Services Spending (CY/2017) Agency Funding [\$M] This should indicate FY 2017 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
43	DME Provisioned IT Services Spending (CY/2017) Contributions [\$M] This should indicate FY 2017 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Inter-Agency contributions from other Agencies and Intra-Agency from within the Agency.
44	DME Provisioned IT Services Spending (BY/2018) Agency Funding [\$M] This should indicate FY 2018 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
45	DME Provisioned IT Services Spending (BY/2018) Contributions [\$M] This should indicate FY 2018 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Inter-Agency contributions from other Agencies and Intra-Agency from within the Agency.
46	O&M Provisioned IT Services Spending (PY/2016) Agency Funding [\$M] This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
47	O&M Provisioned IT Services Spending (PY/2016) Contributions [\$M] This should indicate FY 2016 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include inter-Agency contributions from other Agencies and intra-Agency from within the Agency.
48	O&M Provisioned IT Services Spending (CY/2017) Agency Funding [\$M] This should indicate FY 2017 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
49	O&M Provisioned IT Services Spending (CY/2017) Contributions [\$M] This should indicate FY 2017 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Inter-Agency contributions from other Agencies and intra-Agency from within the Agency.
50	O&M Provisioned IT Services Spending (BY/2018) Agency Funding [\$M] This should indicate FY 2018 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include Agency funding to outside Agency providers.
51	O&M Provisioned IT Services Spending (BY/2018) Contributions [\$M] This should indicate FY 2018 amount. See definitions of Provisioned IT Services Spending in Appendix C. This should include inter-Agency contributions from other Agencies and intra-Agency from within the Agency.

Column /Field	Description
52	<p>Total IT Security Spending (PY/2016) Agency Funding [\$M] This should indicate the FY 2016 security costs associated with each IT Investment. All Investments should report the total cost for IT security within the Investment. For major IT Security and Compliance Investments the total Investment cost and total security cost will likely match. The intent is to capture the security costs specific to the Investment that are not captured within the IT Security and Compliance Investments costs.</p>
53	<p>Total IT Security Spending (CY/2017) Agency Funding [\$M] This should indicate the FY 2017 security costs associated with each IT Investment. All Investments should report the total cost for IT security within the Investment. For major IT Security and Compliance Investments the total Investment cost and total security cost will likely match. The intent is to capture the security costs specific to the Investment that are not captured within the IT Security and Compliance Investments costs.</p>
54	<p>Total IT Security Spending (BY/2018) Agency Funding [\$M] This should indicate the FY 2018 security costs associated with each IT Investment. All Investments should report the total cost for IT security within the Investment. For major IT Security and Compliance Investments the total Investment cost and total security cost will likely match. The intent is to capture the security costs specific to the Investment that are not captured within the IT Security and Compliance Investments costs.</p>
55	<p>End of Life Spending (CY/2017) [\$M] For Investments that include any component; technology, application, or infrastructure, that is end-of-life, this amount should correspond to the amount currently being spent (in the CY). This should include both Agency funding and funds contributed to this Investment. This is not applicable to Funding Transfer Investments (Investment Type “04”). See end of life definition in Appendix C.</p>

AGENCY PROVISIONED IT SERVICES SPENDING SUMMARY

7. How do I report the Agency Provisioned IT Services Spending Summary?

The Agency Provisioned IT Services Spending Summary is to be completed at the Agency level, not at the individual Investment level. Note that the sum of each year should match the sum of the applicable columns 40 to 51 of the Agency IT Portfolio Summary. Only costs directly attributable to cloud computing implementation, operations, or services should be reported into the cloud computer portion of the table below. This may only be a portion of the total cost of contributing/associated Investments. For definitions of terms used, see [NIST Special Publication 800-146](#).

Agency costs for Provisioned IT Services by cloud computing deployment model, by year [\$M]

- **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

Note: The “Other Provisioned Services (non-cloud)” category should include all non-cloud Agency-managed provisioned services costs by year.

Cloud Category	PY (FY 2016)	CY (FY 2017)	BY (FY 2018)
Public Cloud			
Private Cloud			
Community Cloud			
Hybrid Cloud			
Other Provisioned Services (non-cloud)			

AGENCY DATA CENTER SPENDING SUMMARY

8. How do I report the Agency Data Center Spending Summary table?

For the upcoming submission, the Agency Data Center Spending Summary table is being adjusted to simply collect the funding levels associated with data centers in order to inform the Data Center Optimization Initiative reporting metrics. This is to be completed for costs that the Agency incurs for data center assets that the Agency owns and operates or obtains 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 3 as well as the infrastructure used to support Investments in the rest of the Agency IT Portfolio Summary (Parts 1 and 2). Each row is mutually exclusive of the others.

IT Infrastructure spending remains a high priority and will continue to be a focus. The intent is to fully eliminate this Summary next year, as the intent is for standard IT Investments to exist for all IT Portfolio Summary Part 3 spending. This year standard Investments for IT Security and Compliance and IT Management are being introduced. Next year, standard Investments for physical and virtual IT infrastructure that span Part 3 in its entirety will be introduced. These new standard Investments will be communicated prior to next year’s guidance release so that Agencies have time to adjust and report accordingly. OMB is cognizant that in order for Agencies to shift the way IT costs are reported, existing requirements need to be relaxed to free up time to implement changes and provide the most accurate data possible, which is why the reporting requirement for this Summary has been reduced. Agencies should continue capturing their IT costs in whatever Investment structure they have currently in place and, once standard Investments are identified, put a migration strategy in place to be able to report against the standard Investments for the FY 2019 cycle.

Data Center Cost Category	Total PY (\$M)	Total CY (\$M)
Data Center Labor		
Data Center Software		
Data Center Hardware		
Data Center Electricity		
Data Center Facility		

Definitions	
Data Center Labor	<p>Data Center Labor costs include all costs 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’s or several persons’ time, report the portion of the individuals’ salary multiplied by the fraction of their time 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 might not be available. In these cases, those costs should be reported under a “services” category.</p>
Data Center Software	<p>Data Center Software costs 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</p>

Definitions	
	<p>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 costs <u>exclude</u> application software and virtual desktops or VDI.</p>
Data Center Hardware	<p>Data Center Hardware costs <u>include</u> 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 <u>exclude</u> circuit or similar costs needed to connect to the network, 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.</p>
Data Center Electricity	<p>Data Center Electricity costs <u>include</u> all electricity used to power data center operations (e.g., servers, environmental, HVAC, lighting). For small data processing environments, Agencies may estimate Data Center Electricity costs by computing electrical costs per square foot and multiplying by the number of square feet of the data processing environment, or by any other consistent, repeatable, justifiable method.</p>
Data Center Facility	<p>Data Center Facility costs <u>include</u>:</p> <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 costs for the Uninterruptible Power Supply (UPS), redundant power supplies, air conditioning/cooling equipment, power distribution equipment, generators, fuel, and cage access control devices.</p>

AGENCY BUDGET ACCOUNTS SUMMARY

9. How do I report the Agency Budget Accounts Summary?

The Agency Budget Accounts Summary provides an orientation of IT funding levels associated with Budget Accounts/Funding Sources listed for each IT Investment in the Agency IT Investment Portfolio Summary. This summary focusing on the Budget Accounts orientation serves as a tool for Agency CIOs and CFOs to collaborate and jointly certify the Agency’s IT submissions. To support FITARA implementation and drive increased CIO authorities, the intent is that the IT funding dollar amount that the CIO has direct authority over within each Budget Account will increase over time.

The Agency Budget Accounts Summary is to be completed at the Agency level (NOT at the individual Investment level) for the PY, CY and the BY. It should include all budget accounts that fund IT across the entire Agency, comprehensive of all component level organizations, for Agency funding only, not the amounts included in contribution funding columns in the Agency IT Investment Portfolio Summary. While budget account codes are listed within each IT Investment, this table summarizes the total IT funding levels within each account and the CIO’s authority for each. For the CIO Authority column, a dollar amount should be entered depicting the amount within the BY that the Agency CIO (not a component-level CIO) has direct authority over and decision making authority over, within the total IT funding level listed for each budget account. The amounts should include all funding sources (see the definition of Funding Sources in Appendix C) that are spent on IT, including FTEs and Provisioned IT services. The combined Agency total funding (DME and O&M) for each year in this table should be the same as the Agency total funding in the IT Investment Portfolio Summary for the same years.

Budget Account Code	CIO Authority (in dollar value for BY)	PY 2016		CY 2017		BY 2018	
		DME	O&M	DME	O&M	DME	O&M

MAJOR IT BUSINESS CASE

10. 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 No. A-11](#) and [OMB Circular No. A-130](#).

The Agency IT Portfolio Summary and Major IT Business Cases (including Business Case and Business Case Detail) 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 Case and Major IT Business Case Details provide the budgetary and management information necessary for sound planning, management, and governance of major 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" CPIC phase, they move forward into the implementation phase. The system development life cycle processes are then followed and actual outputs, schedule, and operational performance expenditures are tracked against planned numbers using performance-based management processes as part of the CPIC "Control" Phase.

11. How will Agencies manage IT capital assets/Investments?

There are three (3) primary OMB Circulars that describe the complete set of requirements regarding the management of IT resources.

1. The [Capital Programming Guide](#) of OMB Circular No. A-11 provides guidance on the principles and techniques for effective capital programming.
2. [OMB Circular No. A-11, Appendix J](#) explains the principles of financing capital asset acquisitions.
3. [OMB Circular No. A-130](#) establishes additional requirements for EAs, planning and control of information systems and IT Investments, IT Governance, and performance management.

These requirements include but are not limited to the following objectives of the CPIC processes for their portfolio of IT resources:

- Implement the strategies and requirements of and manage the full scope of decisions related to all Agencies' IT described in [FITARA](#), Title VIII Subtitle D of the National Defense Authorization Act (NDAA) for Fiscal Year 2015, Pub. L. No. 113-291.
- Ensure that the planning and management of Agency IT resources fully implement the requirements of [OMB Circular No. A-130](#), "Management of Federal Information Resources."
- Ensure that covered Agencies shall continue to provide information to the ITDB, as detailed within this guidance, which is issued annually in conjunction with the release of [OMB Circular A-11](#). As a part of that guidance, Agency engagements including PortfolioStat, FedStat, OMB and/or Agency-led TechStat reviews, and Desk Officer Reviews will be used to meet FITARA requirements. Per OMB M-15-14:

- TechStat Sessions - A TechStat is a face-to-face, evidence-based accountability review of an IT program with Agency leadership. TechStat sessions are a tool for getting ahead of critical problems in an Investment, turning around underperforming Investments, or terminating Investments if appropriate. For all Agency-led TechStat reviews of Investments, the Agency shall contact ofcio@omb.eop.gov with the subject line, “[Agency Acronym] TechStat Notification,” at least two weeks ahead of the TechStat session. Agencies shall follow the Agency’s TechStat policy and procedures based on the CIO.gov [TechStat Toolkit](#) when managing TechStat sessions. Agencies shall report the outcomes and outputs of all TechStat sessions quarterly, to include a root cause analysis of performance issues, corrective action plans which address these causes, and a timeline for implementing the corrective actions. More detailed reporting guidance is included in the quarterly IDC instructions.
- Evaluate and select capital assets that will support core mission functions performed by the Federal Government and that 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 after considering alternative private sector or governmental source solutions. .
- Implement IT reforms based upon current guidance and best practices such as U.S. Digital Service Playbook, [TechFAR](#), modular development guidance, Investment and forthcoming agile development guidance.
- Assign an Agency functional/business sponsor (separate from the PM) 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 name and title.
- Encourage agile development whenever possible to ensure that solutions are delivered using an iterative approach through close collaboration with product owners and business sponsors who are embedded in agile teams which allows for frequent reassessment in an incremental manner.
- Encourage agile development and digitization where ever possible. Digitization is an alternative delivery method to automation. “digitization” is purposely and deliberately differentiated from “automation,” a process which has been underway for decades.
 - Automation can be characterized as the use of information technology to speed up existing business processes and interactions, and often can bring significant computing power to assist in performing tasks which would otherwise require excessive amounts of labor and resources. Examples of automation include payroll processing, performing bookkeeping and financial calculations, and even first and second generation web forms that largely mirror the paper forms and business practices upon which they were originally based.
- Digitization is fundamentally different from automation in that one of its core premises is to prioritize customer experience and in doing so, erases the traditional barriers to information access that are bound to outdated architecture such as human organization structures, physical storage of data, or business process constraints. Another core premise of automation is that the

power of information technology and the use of user and ecosystem interaction data can, and should be harnessed to redefine, optimize, and personalize the experiences by which agencies interact both internally and externally. Quite often, digitization harnesses newer forms of technology (such as mobile, sensors, social media, metadata, shared services, etc.) to deliver a differentiated and personalized end-user experience. 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 the contractor. The Agency CIO must approve or define the cost, schedule, and performance goals for major acquisitions, and the Agency's CFO must evaluate the proposed cost goals.
- Based on the Agency Information Resources Management (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. Each methodology should have a set of measures that are consistent, appropriate, and tailored to that methodology.
- Achieve, on average, 90 percent of Agency cost, schedule, and performance goals for major acquisitions, per requirements of [Federal Acquisition Streamlining Act of 1994 \(FASA, Title V\)](#). Through the TechStat process and as part of the Clinger-Cohen Act responsibility, Agency Heads 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 Agencies' financial management systems conform to the requirements of [OMB Circular No. 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.
- Develop, maintain, and submit within five (5) business days (upon OMB request) the following Investment artifacts for all major IT Investments, as applicable:
 - Risk management plan and risk register
 - Investment charter, including IPT
 - Investment-level alternative analysis and benefit-cost analysis
 - Operational analyses (for operational and mixed life cycle systems)
 - Post implementation review results (Investment level or project-specific)

- Documentation of Investment re-baseline management approval(s)
- Documentation/justification of an Investment’s elimination due to funding, consolidation, reorganization, or split

Note: Specific artifacts for Security and Compliance Investments have not been specified.

12. What is the CIO Evaluation?

Provide CIO numeric evaluation (1-5) for all major IT Investments that reflect the CIO’s best judgment of the current level of risk for the Investment in terms of its ability to accomplish its goals (per [40 U.S.C. § 11315 \(c\)\(2\)](#)). The evaluation could 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. CIOs should consult with appropriate stakeholders (e.g. Chief Acquisition Officers, program managers, customers, etc.) in making their evaluation. Each evaluation should include a narrative explanation when the numerical rating has changed since the last evaluation; and a numeric rating based on the aforementioned factors.

The following factors and supporting examples can be used to inform the CIO Evaluation:

Evaluation Factor	Supporting Examples
Risk Management	<ul style="list-style-type: none"> ● Risks and associated impact are well understood by senior leadership. ● Risk log is current and complete. ● Risks are clearly prioritized. ● Mitigation plans are in place to address risks. ● Change control is established and communicated to all stakeholders (especially with system and process dependencies). <p><i>Note:</i> Risk management implies that active risks are being managed and mitigated accordingly. Active risks include, but are not limited to funding cuts and staffing changes.</p>
Requirements Management	<ul style="list-style-type: none"> ● Investment objectives are clear and scope is controlled. ● Requirements are clear and validated. ● Stakeholders are actively involved in the requirements process per appropriate methodology. ● Product backlog is prioritized periodically based on recent release and stakeholder feedback.
Contractor Oversight	<ul style="list-style-type: none"> ● Acquisition strategy is defined and managed via an Integrated Program/Project Team. ● Agency receives key reports, such as earned value, current status, and risk logs. ● Agency is providing appropriate management of contractors such that the government is monitoring, controlling, and mitigating the impact of any adverse contract performance.
Performance	<ul style="list-style-type: none"> ● No significant projected deviations from planned cost, schedule, scope, and value metrics. ● Lessons learned and best practices are incorporated and adopted.
Human Capital	<ul style="list-style-type: none"> ● Qualified management and execution team for the IT Investments and/or contracts supporting the Investment. ● Low turnover rate and hiring contingency in place.
Other	<ul style="list-style-type: none"> ● Other factors that the CIO deems important to forecasting future success.

13. 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 \(GPRA-MA\) of 2010](#). Major IT Business Case Detail on Major IT Investments establishes reporting requirements through the ITDB to ensure the proper execution of those Investments against the established performance plans. The IT Security and Compliance Investment data informs Agency leadership and OMB on the IT Security risk posture and the IT Security spend on Agency IT Security programs.

14. What must I report in the Major IT Business Case and Major IT Business Case Detail, and when?

The policy and budget justification principles in the Major IT Business Case 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 Clinger-Cohen Act of 1996). [Section 25 of OMB Circular No. A-11](#) details this authority to collect and review Business Cases for Major IT Investments.

All information necessary to complete the Major IT Business Case 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 Case 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, IT security-sensitive, and procurement-sensitive information will not be displayed to the public.

All software development projects must produce usable functionality at intervals of no more than six (6) months. All major development projects within Investments are required to use modular/agile development principles.

Major IT Business Case Details on major IT Investments shall establish cost, schedule, and performance targets for PY and CY.

Periodic performance metrics updates for ongoing operations will vary according to the nature of the metric, as indicated in Table C1.A.

For major Investments designated as IT Security and Compliance Standard Investments (code "02" in Column 7 of the IT Investment Portfolio Summary), complete Major IT Business Case Section D and F only. For major Investments not designated as an IT Security and Compliance Standard Investment (codes "01" or "03" in Column 7 of the IT Investment Portfolio Summary), complete both the Major IT Business Case Sections A through D and Major IT Business Case Details sections A through C. For Investments designated as Administrative Services and Support Systems Investments (code "02" in Column 6 of the IT Investment Portfolio Summary) complete both the Major IT Business Case Sections A-E and Major IT Business Case Details sections A-C (see MAJOR IT BUSINESS CASE table on page 3).

15. How will Multi-Agency Collaboration and Intra-Agency Shared Services Investments be captured in the Major IT Business Case 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 Case and Major IT Business Case Detail, managing it through the managing partner’s capital programming and budget process. The managing partner for Multi-Agency or Intra-Agency collaboration Investments is also responsible for ensuring that the Investment is included in the their 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 Providers, supporting components) for Government-wide E-Gov and Line of Business Investments, will be captured via the [OMB MAX Funding Tool for E-Gov-LoB Initiatives](#). Managing Partners for Government-wide E-Gov/ LoB Investments listed in Appendix B are required to submit Major IT Business Cases unless they obtain a waiver from OMB.

Shared Service Providers are required to submit Major IT Business Cases using the UIIs listed in Appendix B. Agencies with significant Investments in financial management, human resources, grants, or acquisitions systems, and/or services that would either provide new or modify existing capabilities to be used government-wide or that would duplicate those already available are required to submit a Major IT Business Case. To help guide OMB funding determinations, the USSM will provide recommendations to OMB on whether customer and provider strategies align with the government-wide shared service approach. When an Agency selects a USSM designated Shared Service Provider for migration, the lead in completing and submitting the Major IT Business Case will switch from the customer to the provider. The provider is responsible for coordinating with the customer to provide the total cost of migration. The customer Agency will still include this Investment in their Agency IT Portfolio Summary and reference the Current UII of the provider Agency in the “Investment Description” field.

During the development of the shared services Major IT Business Case and Major IT Business Case Detail, Agencies are encouraged to utilize the [USSM M3 Playbook](#). The M3 Playbook was created using leading practices and lessons learned from previous migration efforts to increase the likelihood of successful migrations. The USSM will monitor Investments to ensure Agencies are following the disciplined processes outlined in the M3 Playbook and assess project risk in partnership with OMB. Agencies are encouraged to submit the documentation identified in the M3 Playbook for each phase of the Investment for review. High risk Investment as identified by the USSM in partnership with OMB will be required to receive approval from OMB prior to advancing to the next phase as identified in the M3 Playbook. OMB may require additional information related to these Investments and will work with the customer and provider Agencies to coordinate data requests.

Partner Agencies should reference the name and Current UII of the Multi-Agency/Intra-Agency shared services Investment in the “Investment Description” field of their own partner Agency IT Portfolio Summary. 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 LoBs 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.

16. How will OMB use the 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 No. 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.

17. What fields are included and how do I complete the Major IT Business Case?

Each Investment identified in the Major IT Business Case must have a UII. The Major IT Business Case captures data on the strategic relevance, planning, budgeting, and technical capability for Agency Major IT Investments. Section A refers to the Investment UII’s 12-digit coding. Section B includes additional fields concerning how the Investment relates to and supports the Agency mission, its cost effectiveness, and a description of leadership. Section C includes fields relevant to Investment past, current, and out-year budgeting. Section D concerns Investment current and planned contract acquisition strategy. Section E includes fields for capturing Systems data for Administrative Services and Support Systems IT Investments. Section F pertains to Cost and Capabilities data for Agency IT Security and Compliance Standard Investments. Agencies should complete relevant sections based on the type of Major IT Investment as described in that chart on page 3.

The following are the sections of the Major IT Business Case:

Section A: General Information	
Column /Field	Description
1	Investment Name <i>Note:</i> This field will be auto-populated from the Agency IT Portfolio Summary.
2	UII (12-digit primary key for all Investments)

Section B: Investment Detail	
Column /Field	Description
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. <i>[2500 char]</i>
2	Provide at least one Agency Strategic objective code (A-11 Section 230) and/or Agency Priority Goal code (A-11 Section 250) that this Investment aligns to on performance.gov . If this Investment aligns to more than one Agency strategic objective code and/or Agency Priority goal code list all that apply. If your Agency does not report to performance.gov please use “0”. You may locate the full list of current Agency Strategic objective codes by downloading the spreadsheet available on performance.gov . <i>[5 digits]</i>
3	Briefly describe the Investment’s return on Investment, including benefits (internal and external to the government), and outcomes achieved or planned. <i>[2500 char]</i>

Section B: Investment Detail					
Column /Field	Description				
4	Provide specific requirements for this Investment (i.e. legislative mandates, outstanding audit findings or material weakness, Presidential Directive) and how this Investment will meet the requirement. Additionally, provide any applicable URLs to associated requirements. [2500 char]				
5	Identify the foremost program supported by this Investment, using the Program Code in the Federal Program Inventory Reference Table . 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”]				
6	If this Investment eliminates or reduces another major or non-major IT Investment(s), please list the Investment(s) and their status as represented below. (Eliminated or reduced Investments should be listed until removed from the Agency’s IT Investment Portfolio Summary. Most eliminated Investments should remain in the Agency’s IT Investment Portfolio Summary for two years.)				
	<table border="1"> <tr> <td>Investment U#(s)</td> <td>[12-digit U#]</td> </tr> <tr> <td>To Be Status</td> <td>[to be eliminated/to be reduced]</td> </tr> </table>	Investment U#(s)	[12-digit U#]	To Be Status	[to be eliminated/to be reduced]
Investment U#(s)	[12-digit U#]				
To Be Status	[to be eliminated/to be reduced]				
7	Does the Investment include:				
	<table border="1"> <tr> <td>A shared service (Intra- or Inter-Agency—current and/or planned)?</td> <td>[Yes/No]</td> </tr> <tr> <td>Are all systems in this Investment PIV-enabled systems (per HSPD-12 and OMB Memorandum M-11-11)?</td> <td>[Yes/No]</td> </tr> </table>	A shared service (Intra- or Inter-Agency—current and/or planned)?	[Yes/No]	Are all systems in this Investment PIV-enabled systems (per HSPD-12 and OMB Memorandum M-11-11)?	[Yes/No]
A shared service (Intra- or Inter-Agency—current and/or planned)?	[Yes/No]				
Are all systems in this Investment PIV-enabled systems (per HSPD-12 and OMB Memorandum M-11-11)?	[Yes/No]				
8	Public URL(s): Provide any public facing URLs associated with this Investment, including APIs (if applicable). List as many URLs as apply, https://...				
9	PM Name: Provide the name of the Investment-level project manager. [250 char]				
10	PM Email: Provide the e-mail of the Investment level project manager. [250 char]				
11	<p>PM Qualifications The qualification/experience level of the PM (per OMB M-04-19). Select one of the following:</p> <ol style="list-style-type: none"> 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) 				

Section C: Life Cycle Costs

Provide the total estimated life cycle cost for this Investment by completing the following table. All totals represent all IT resources and budgetary sources of funding, consistent with the Agency IT Portfolio Summary. Totals are to be reported in **millions of dollars**. Variations from planned expenditures will be reflected in Tables B.2.1 and B.2.2 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 other costs.

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.

To the degree possible, the costs associated with the entire life cycle of the Investment should be included in this table. Whether solutions being developed in an agile fashion or other development methodology, 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 2017 President’s Budget as your previous submission. When making comparisons, please ensure that you compare same-year-to-same-year (e.g., the FY16 level for 2016 versus the FY17 level for 2016). Significant changes from the previous submission should be reflected in an updated Investment-level Alternatives Analysis, subject to OMB review.

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

	PY-1 & Prior	PY 201 6	CY 201 7	BY 201 8	BY+ 1 2019	BY+ 2 2020	BY+ 3 2021	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 (%)								

Table/Field	Description
2.a.	In which year did or will this Investment begin? [YYYY] <i>Specify a year, e.g. PY-1 = 2015</i>
2.b.	In which year will this Investment reach the end of its estimated useful life? [YYYY] <i>Specify a year, e.g. BY+5 = 2023</i>
3	Compare the funding levels for PY and CY to the final FY 2017 President’s Budget for those same years. Briefly explain any significant changes. [500 char]

Table/Field	Description
	<i>When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY16 level for 2016 versus the FY17 level for 2016).</i>

Section D: Acquisition/Contract Strategy

Existing Contracts

In the table below, provide all awarded prime contracts (or task orders) for the Investment (sub-award details are not required). Planned contracts/procurements in pre-award are not to be included. Completed contracts do not need to be included. Data definitions can be found at https://www.fpds.gov/fpdsng_cms/index.php/en/worksite.html.

For contract details like contract value and contract types, OMB will pull the authoritative data from FPDS.gov. If the Investment IPT has questions regarding the data pulled from FPDS, the IPT lead should contact the contract specialist on the IPT with questions.

Field	Data Description
Procurement Instrument Identifier (PIID)	The unique identifier for each contract, agreement, or order (FPDS data element 1A).
Referenced PIID	The unique identifier for the Indefinite Delivery Vehicles (IDV), such as a Government-wide Acquisition Contract (GWAC), Indefinite Delivery Contract, Federal Supply Schedule (FSS), Basic Ordering Agreement (BOA), or Blanket Purchase Agreement (BPA) under which the contractor support was obtained. This field is only required for IDVs and is FPDS data element 1C.
Modular Approaches/ Contracting	Information if acquisition planning, award, and management actions apply the principles and strategies described in “ Contracting Guidance to Support Modular Development ”? [Yes/No]
Agile Development EVM Required?	Does this contract employ agile development techniques? [Yes/No]
Purpose of needing this procurement.	A brief description of the purpose of the award, the goods or services to be obtained under the award, and how they fit in the overall project. <i>While the description in FPDS could be used, OMB requests the Investment IPT provide a summary description for this field to supplement the FPDS data as the IPT information will provide more details.</i> [500 char]
IT Lease	If this acquisition/contract contains a lease (as defined by OMB Circular A-11 Appendix-B), what kind of lease does this contract include? Select from: <ul style="list-style-type: none"> • Lease-purchase without substantial private risk • Lease-purchase with substantial private risk • Capital lease • Operating lease • Other
Information Security Clause	Does this contract include information security clauses regarding the use, storage or other processing of data? [Yes/No]

Acquisition Strategy

For planned procurements for this Investment (including those in any pre-award phase, to include active solicitation) please provide the following table. Information on planned Intra-Agency Agreements (IAA) or Memoranda of Understanding (MOU) should be included in table 2 of this section.

Field	Data Description
Description of the planned contract support	A brief description of the planned purpose of contract or Inter-Agency support, the expected outcomes to be obtained, the support to be acquired (goods or services) and which project outcome or goal will be met or supported by this contract support. [1000 char]
Anticipated award date or	[MM/DD/YYYY]

IAA/MOU signature	
Length of planned period of support	What is the expected time frame for which this support is needed (please express in terms of base time frame and options? <i>[e.g. 90 days, 180 days, 1 year, 2 years, 5 years]</i> [20 char]
Anticipated Value	The anticipated value of the required support.
Modular Approaches/ Contracting	Does the acquisition planning, award, and management approach apply the principles and strategies described in “ Contracting Guidance to Support Modular Development ”? <i>[Yes/No]</i>
Will there be Agile Development	Does this contract or suite of contracts or IAA or MOU employ agile development techniques? <i>[Yes/No]</i>
Will EVM be Required?	<i>[Yes/No]</i>
Potential sources	What existing sources (schedules, BPAs, contracts, Inter-Agency collaborations, or other shared services) or shared services have been considered as potential solutions or sources to meet this need? <i>[CIOSP3, Schedule 70, etc.]</i> [500 char]
Provider engagement	What strategies are being considered or have been performed to reach out to innovative providers [i.e. market engagement, RFI’s, Industry Days, etc]? <i>[Market engagement, RFIs, industry days, etc.]</i> [1000 char]
IT Lease	Might this planned procurement contain a lease (as defined by OMB Circular A-11 Appendix-B)? <i>[Yes/No]</i> <i>Note: Agencies are required to submit to their OMB representatives leasing and other non-routine financing proposals for review of the scoring impact and budget requirements (see A-11 Appendix B—Budgetary Treatment of Lease-Purchases and Leases of Capital Assets).</i>

If the planned contract support or shared service replaces an existing contract arrangement, provide the existing contract(s) that this procurement will replace/restructure or supplement. For each existing contract provide the following:

Field	Data Description
PIID	The unique identifier for each contract, agreement, or order, (FPDS data element 1A)
Referenced PIID	The unique identifier for the 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) under which the contractor support was obtained. This field is only required for IDVs. And is FPDS data element 1C

Section E: Systems Inventory (Administrative Services and Support Systems only)

For Investments designated as Part 2 - Administrative Services and Support Systems in column 6 (by entering code “02”) of the IT Investment Portfolio Summary, provide a list of systems included in this Investment.

Note: Responses to this field are per FISMA definitions.

Field	Data Description
System Name	[250 char]
Initial Operating Year	[YYYY]
Last Major Tech Refresh Date	[MM/DD/YYYY]
End of Contracted Support	[MM/DD/YYYY]
Average # of users per month	[10 digit integer]

Section F: Costs and Capabilities (for IT Security and Compliance Standard Investment(s) only)

Cybersecurity is a top priority for the Administration, and Agencies are now required to report on their standard Investments for IT Security and Compliance at the level that it is managed and executed. In the spirit and support of FISMA and FITARA, every organization managing a security program must now report a business case to provide visibility of costs and outcomes of its cybersecurity activities. The intent is not a single, consolidated business case for IT Security and Compliance across the Agency, rather individual Investments reflecting the point at which they are managed.

Each dollar spent should maintain or enhance security posture and reduce risks. The intent of this business case is to align budget with performance measures that drive cybersecurity outcomes, an outcome which will be achieved using data provided in this business case in combination with Agency-reported FISMA metrics. Agencies have long reported their performance on metrics tied to the fulfillment of FISMA, which has allowed OMB to analyze performance over time. During the FY 2017 President’s Budget Process, OMB began tying both FISMA metrics and Agency-reported spending on cybersecurity efforts to the NIST Cybersecurity Framework. Aligning these data collections allowed OMB to better understand how Agencies were distributing their cybersecurity resources and compare these results to Agency performance on the associated FISMA metrics. The IT Security and Compliance Investment Business Case will further this effort, allowing even greater understanding of how Agency and bureau budgeting behavior is driving cybersecurity performance in key areas. The table below provides Agencies and bureaus with the ability to report cyber spending at the sub-component/tool level. OMB understands the need for maximum Agency flexibility in budgeting for cybersecurity and urges Agencies to use this business case as a tool to clearly explain the value derived from bureau-level and Agency-wide Investments in IT Security and Compliance.

Each record in the table below should represent a unique security capability that corresponds to a NIST Framework Category (see <http://www.nist.gov/cyberframework/>). The total spending for a given category will be aggregated based on the spending reported under the capabilities for that category. If no capabilities are reported for a NIST Framework Category, there will be zero spending associated with that category.

For any Investment designated as an IT Security and Compliance Standard Investment (code “02” in Column 7 of the IT Investment Portfolio Summary), complete the following table:

Column	Description
1	<p>NIST Framework Category</p> <p>Each capability will be mapped to one of the 5 categories below:</p> <ul style="list-style-type: none"> 1) Identify 2) Protect 3) Detect

	4) Respond
	5) Recover
2	<p>Capability List the capability associated with the spending in the PY, CY and/or BY years. Agencies are not required to submit a record for each capability or NIST Framework Category; however, at the Agency level, Agencies should try to ensure they provide at least one Capability for each NIST Framework Category. To facilitate more complete reporting, each NIST Framework Category includes an <i>Other</i> capability category Agencies may utilize for cybersecurity costs that would not have otherwise been accounted for. Agency spending in any specific <i>Other</i> capability category should not exceed \$10 million. If the reported spending exceeds \$10 million, Agencies should break the Investment into smaller, individual components and describe them in greater detail. The descriptions of each capability are included in Appendix D.</p>
3	<p>Purpose/Outcome Describe the purpose and intended outcomes from money spent on the reported capability. Also describe any expected fluctuations in spending across the 3 years. <i>[1000 char]</i></p>
4	<p>PY 2016 Total Indicate the total PY 2016 spending on the reported capability.</p>
5	<p>CY 2017 Total Indicate the total CY 2017 planned spending on the reported capability.</p>
6	<p>BY 2018 Total Indicate the total BY 2018 planned spending on the reported capability.</p>

MAJOR IT BUSINESS CASE DETAIL

Major IT Business Case Detail is used to provide OMB with Current Year (FY 2017) and Budget Year (FY 2018) 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 should reflect current status; therefore, the Federal ITDB should be updated as soon as the data becomes available for continuous updates.

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.
- A.2: **Investment Risk:** Identify all open risks to the Investment.
- B.1: **Projects:** Identify all of the Investment’s projects with activities occurring in CY and BY.
- B.2: **Activities:** Outline the activities that are performed to achieve the outcome of each project.
- C.1: **Operational Performance Information:** Identify performance targets and results for evaluating operations.

Section A.1: General Information	
Column /Field	Description
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 A.2: Investment Risk

Risk assessments should include both project and operational risk information from all stakeholders and should be performed throughout the life cycle of the Investment. This sections should follow the Regular Updates Reporting schedule (see Section 2.3).

In Table A.2, list active risks at the Investment level and provide risk assessment information. The risks listed should be consistent with what is included in management briefings or Agency status reviews on an ongoing basis. It is not necessary to address all 19 OMB Risk Categories. There are not a specified number of risks for Agencies to include for each Investment. Include the following data in Table A.2:

Column /Field	Description
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 Investment. [500 char]
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 19) Project resources
3	Risk Probability The likelihood of a negative impact for the risk. <i>[Low, Medium, High]</i>
4	Risk Impact The level of a potential negative impact for the risk. <i>[Low, Medium, High]</i>
5	Mitigation Plan A short description of how to mitigate the risk. <i>[500 char]</i>

Section B: Project Plan and Execution Data

Tables B.1, B.2.1, and B.2.2 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 life cycle (projects may be conducted in Planning, DME, and/or Maintenance). At a minimum, Tables B.1, B.2.1 and B.2.2 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; and
- Projects and activities that start and finish in the CY and BY **or** start but do not finish in CY or BY.

If the Investment/program uses an automated tool for requirements gathering, tracking, planning, or management, identify the automated tool. Projects and activities commencing beyond the BY may also be reported, as available.

Include the following data in Table B.1:

Column /Field	Description
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.2.1). <i>[MM/DD/YYYY]</i>
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.2.1). <i>[MM/DD/YYYY]</i>
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

Column /Field	Description
	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	Production Release every 6 months Does this Project have a production release containing useable functionality at least every 6 months? [Yes, No, N/A]
10	Comment If this Project does not provide a production release at least every 6 months, please provide a rationale as to why.
11	When was the last date that a revised product was deployed to production? This question collects information on how frequently changes to the system are deployed. A change can mean a new or removed feature, a patch, or a bug fix that was deployed via a change in the system’s application code. If a system is under version control, this date can be easily determined by looking at the date on which the most recent commit to the production version of the codebase was made. If there has not yet been a release to production, provide the projected first production deployment date. This field is not required for SDLC Methodology 7 “Not Primarily a Software Development Project.” [MM/DD/YYYY]

Each project listed in table B.1 should have at least one associated activity. Please include any relevant non-agile project activities in Table B.2.1 and include agile project activities in Table B.2.2.

Project Activity Table B.2.1

In Table B.2.1, describe, at a minimum, all non-agile project 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 software development project must produce usable functionality at intervals of no more than six (6) months. Include the following data in Table B.2.1:

Column /Field	Description
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. [x.x.x.x.x]
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 October 1, 2015. Not every project will have every type of activity listed

Column /Field	Description
	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	Critical Path Is this activity on the critical path of the successful completion of the project. <i>[Yes/No]</i>
7	Start Date Planned The planned start date for the activity. This is the baseline value.
8	Start Date Projected If the activity has not yet started, enter the current planned start date of the activity.
9	Start Date Actual When the activity starts, enter the actual start date here.
10	Completion Date Planned The planned completion date for the activity. This is the baseline value.
11	Completion Date Projected If the activity has not yet completed, enter the current planned completion date of the activity.
12	Completion Date Actual When the activity ends, enter the actual completion date here.
13	Total Costs Planned The planned total cost for the activity. This is the baseline value. <i>[\$M]</i> <i>Note:</i> 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.
14	Total Costs Projected When the activity is not yet completed, enter the current planned total cost of the activity. <i>[\$M]</i> <i>Note:</i> 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.
15	Total Costs Actual When the activity ends, enter the actual total costs for the activity here. <i>[\$M]</i>

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. Agencies are encouraged to report a transparent view of the Investment baseline on the Federal ITDB (at least Level 3 of the WBS). Levels 1 and 2 typically do not provide enough information to describe the work to be accomplished in short enough duration that early warnings of Investment performance can be identified ([M-10-27](#)).

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 that 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 ITDB, 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	2/1/2015	2/29/2015	\$2.5	
A	Business Requirements	A.2.1	2/1/2015	2/10/2015	\$1.0	
A	Technical Requirements	A.2.2	2/11/2015	2/20/2015	\$1.0	
A	Architecture	A.2.3	2/21/2015	2/29/2015	\$0.5	

Parent activities like the one highlighted above (Structure ID: A.2) are optional. 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 Activity Table B.2.2

If agile methodology is being used, the below table can be leveraged as an alternative to Table B.2.1. This table is being added as an optional alternative to table B.2.1 for agile-based development projects. It is consistent with OMB’s forthcoming agile guidance and comes at Agencies’ request for an agile-friendly alternative to report performance. Either table B.2.1 or B.2.2 should be used to enter project activity data; the same project should not appear in both tables. In Table B.2.2, describe, at a minimum, all agile project 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. The terms and concepts in Table B.2.2 are based on the Agile Scrum Methodology. If you are using another agile methodology, still complete the table in line with the Agile Scrum Methodology.

Column /Field	Description
1	Unique Project ID An Agency-specified number that uniquely identifies the project within this Investment.
2	Release Name (Activity Name) Feature as defined in Product Backlog.
3	Release Number Iteration/Feature as defined in Product Backlog.
4	Release Description (Activity Description)
5	Start Date Planned Release start date planned. [MM/DD/YYYY]
6	Start Date Projected Release start date projected. [MM/DD/YYYY]
7	Start Date Actual Release start date actual. [MM/DD/YYYY]
8	Completion Date Planned Release completion date planned. [MM/DD/YYYY]
9	Completion Date Projected Release completion date projected. [MM/DD/YYYY]
10	Completion Date Actual Release completion date actual. [MM/DD/YYYY]
11	Total Costs Planned Total cost planned for the release. [\$M]
12	Total Costs Projected Total cost projected for the release. [\$M]
13	Total Costs Actual Total cost actual for the release. [\$M]
14	NPI Number of planned iterations/sprints in the release.
15	NPE Number of planned Epics (fraction of an Epic is acceptable).
16	NCE Number of completed Epics in a release (fraction of an Epic is acceptable).
17	NCI Number of completed iterations/sprints in a release.
18	DTC How many direct technical contributors are on the project (inclusive of government or contractor engineers and designers that contribute directly to the code base; this number might not equate to the total FTE at the Investment level).
19	DPC How many other staff contribute directly to the project (inclusive of government or contractor project managers, testers, agile coaches, and others; this number might not equate to the total FTE at the Investment level).

Section C: Operational Data

Section C applies to operational and mixed life-cycle Investments with operational components. It focuses on operational analysis results and performance metrics.

Operational Analysis

Provide the date and results of the last Operational Analysis (for operational and mixed life cycle systems/Investments).

Date of Analysis	Analysis Results
[MM/DD/YYYY]	[Limit: 2500 char]

Operational Performance

Ongoing performance of operational Investments is monitored to demonstrate the existing Investment is meeting the needs of the Agency, delivering expected value, and/or that the modernized and replaced systems are 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. 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. 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 exceptional customer services.

Strategic and Business Results – Metrics should measure the effectiveness and the efficiency of the Investment in meeting its Agency’s mission, strategic objectives and or priority goals, as well as its technical ability to deliver at the level of quality and reliability needed by the customer/end user.

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, cost per user, or cost per query, etc. 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 true Research and Development (R&D) or prototyping activities. A possible example of a performance metric in the innovation category would be “number of new ideas per employee”.

A minimum of five (5) metrics must be reported, across three (3) areas:

1. **Customer Satisfaction (Results):** Provide a minimum of one (1) metric that reflects results (i.e. service quality, end user satisfaction) with respect to the impact to major stakeholders (customers, affected citizens, inter and Intra-Agency end users).
2. **Strategic and Business Results:** Provide a minimum of three (3) metrics that measure how this Investment contributes to the Strategic Objectives/Agency Priority Goals or business need of the Agency. These could come in two different areas. At least one Strategic and Business Results metric must have a monthly reporting frequency.
 - a. **Effectiveness** –quantified desired effect the Investment has on the Agency’s mission or business needs (e.g. processing speed, processing quality, backlog reduction, mission outcomes, business outcomes, etc.)

- b. **Efficiency** - quantified desired effect the Investment has on the Agency’s operational/technical needs (e.g. reliability, availability, throughput, response time/latency, utilization, etc.)
- 3. **Financial Performance:** Provide a minimum of one (1) 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 Agencies may choose to report under Innovation metrics category if they so choose. ([M-14-11](#))

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

Defining Metrics

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

Table C.1.A	
Column /Field	Description
1	Metric ID Unique ID provided by Agency for the metric. When reporting actual results (see below), use this ID to reference the correct metric. <i>[numeric]</i>
2	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. <i>[500 char]</i>
3	Unit of Measure Brief indication of what quantity is measured (e.g. number, percentage, dollar value) for each metric. <i>[50 char]</i>
4	Performance Measurement Category Mapping Identify the measurement category, as shown above table C.1A. <i>[Measurement Category]</i>
5	Agency Baseline Capability What was the quantitative value of your Agency’s capability per this metric prior to this Investment’s life cycle. If your Agency has not measured this capability before, you may leave this field blank; otherwise, provide the numeric value of the historic capability measurement.
6	2016 Target Metric target value from 2016, relative to the reporting frequency. <i>[numeric]</i>
7	2017 Target Metric target value for 2017, relative to the reporting frequency. <i>[numeric]</i>
8	Measurement Condition Indicates whether a desired result would be “over target,” indicating that the trend should maintain or increase, or “under target,” indicating that the trend should maintain or decrease. <i>[Over target/Under target]</i>
9	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. <i>[Monthly, Quarterly, Semi-Annual, Annual]</i>
10	Agency Strategic Objective or Priority Goal Each Investment must have at least one active metric in the Strategic and Business Results category (of any reporting frequency) tied to the foremost Agency strategic objective (SO), or Agency priority goal (APG) (as required by A-11 Section 230 and Section 250 respectively). Provide that code for the associated metric, <u>using the appropriate code on performance.gov</u> . Agencies that are not required to report to performance.gov may use the “0” code. <i>[Goal Code]</i>
11	Is the Metric Retired?

Table C.1.A	
Column /Field	Description
	Check this box when performance metrics are no longer useful for Investment management. [Check Box]

Providing actual results

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

Table C.1.B	
Column /Field	Description
1	Metric ID Unique ID provided by Agency for the metric. When reporting actual results (see below), use this ID to reference the correct metric. [numeric]
2	Actual Result Actual result measured. [numeric]
3	Date of Actual Result End date of the most recent reporting period. [MM/DD/YYYY]
4	Comment Comments for metrics that have not been met will be valuable for OMB and Agency Reviewers. [500 char] (optional)

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