



A-11 FY2009

Sections 53 & 300

June 25, 2007





Summary of Changes - Exhibit 53

- Clarifies the definition of Budget Execution (section 53.4)
- Adds High Risk Project designations as new investment category for projects that are only portions of a larger consolidated investment (section 53.8).
- Adds new IPv6 column to exhibit 53 (section 53.8).
- Adds new HSPD-12 column to exhibit 53 (section 53.8).
- Adds new On High-Risk List column to exhibit 53 (section 53.8).
- Adds new Breach column to exhibit 53 (section 53.8).
- Adds new Segment Architecture column to exhibit 53 (section 53.8).
- Adds new Part 6, National Security Systems Investments to exhibit 53 (section 53.8).
- Changed Part 5. "Special Use IT Investments" to capture only IT Grants to State and Locals (section 53.8).



Changes to Exhibit 53

These columns are required for the 2008 exhibit 53, Agency IT Investment Portfolio:

- Column 1: 2007 UPI (23–digits required)
- Column 2: 2008 UPI (17–digits required for all)
- Column 3: Investment Title
- Column 4: Investment Description (limited to 255 characters)
- Column 5: Primary FEA Mapping - Line of Business or Service Type (3 digit code)
- Column 6: Primary FEA Mapping - Sub-Function or Service Component (3 digit code)
- Column 7: BF Percentage (%)
- Column 8: BE Percentage (%)
- Column 9: Financial Percentage (%)
- Column 10: IT Security (%)
- Column 11: Homeland Security Priority Identifier (select all that apply)
- Column 12: Development, Modernization, Enhancement (DME) (PY/2006) (\$M)
- Column 13: Development, Modernization, Enhancement (DME) (CY/2007) (\$M)
- Column 14: Development, Modernization, Enhancement (DME) (BY/2008) (\$M)
- Column 15: Steady State (SS) (PY/2006) (\$M)
- Column 16: Steady State (SS) (CY/2007) (\$M)
- Column 17: Steady State (SS) (BY/2008) (\$M)
- Column 18: Investment C&A Status (00,02,22,25,55)
- Column 19: Project Management Qualification Status (1, 2, 3, 4, 5, 6)

These columns are required for the 2009 exhibit 53, Agency IT Investment Portfolio:

- Column 1: 2008 UPI (17–digits required)
- Column 2: 2009 UPI (17–digits required for all)
- Column 3: Investment Title
- Column 4: Investment Description (limited to 255 characters)
- Column 5: Primary FEA Mapping - Line of Business or Service Type (3 digit code)
- Column 6: Primary FEA Mapping - Sub-Function or Service Component (3 digit code)
- Column 7: BF Percentage (%)
- Column 8: BE Percentage (%)
- Column 9: Financial Percentage (%)
- Column 10: IT Security (%)
- **Column 11: IPv6 (%)**
- **Column 12: HSPD-12 (\$M)**
- Column 13: Homeland Security Priority Identifier (select all that apply)
- Column 14: Development, Modernization, Enhancement (DME) (PY/2007) (\$M)
- Column 15: Development, Modernization, Enhancement (DME) (CY/2008) (\$M)
- Column 16: Development, Modernization, Enhancement (DME) (BY/2009) (\$M)
- Column 17: Steady State (SS) (PY/2007) (\$M)
- Column 18: Steady State (SS) (CY/2008) (\$M)
- Column 19: Steady State (SS) (BY/2009) (\$M)
- Column 20: Investment C&A Status (00, 02, 22, 25, 55)
- Column 21: Project Management Qualification Status (1, 2, 3, 4, 5, 6)
- **Column 22: On High-Risk List (Yes)**
- **Column 23: Breach (Yes)**
- **Column 24: Segment Architecture (1, 2, 3)**



Clarifies the definition of Budget Execution

- For the purposes of this exhibit, the total investment for Financial Management Systems is equal to the aggregated total of Budget Execution, Budget Formulations, and Financial Systems.
- Systems predominately supporting financial functions should be included in the first mission area, "Financial Management".
- If the IT investment reported is 100 percent financial, indicate "100" percent in the column.
- For mixed systems or investments, indicate the appropriate percentage that is financial.



High Risk Projects as new investment category

- This is meant for OMB High Risk Projects that require special attention from oversight authorities and the highest levels of agency management because:
 - 1) the agency has not consistently demonstrated the ability to manage complex projects;
 - 2) of the exceptionally high development, operating, or maintenance costs, either in absolute terms or as a percentage of the agency's total IT portfolio;
 - 3) it is being undertaken to correct recognized deficiencies in the adequate performance of an essential mission program or function of the agency, a component of the agency, or another organization, or
 - 4) delay or failure would introduce for the first time inadequate performance or failure of an essential mission program or function of the agency, a component of the agency, or another organization.
- If a High Risk Project is represented by an entire IT Investment, the IT Investment would be also known as a High Risk Investment.
- If a High Risk Project is represented as a part of a larger investment, the investment category should be label as “07” in the UPI. The amounts for this project should be reflected in the larger investment and in its own investment line. For calculation purposes only the larger investment will be used for the agency’s overall totals.



Adds new IPv6 & HSPD-12 columns to exhibit 53

- IPv6:
 - Provide an estimated percentage of the total BY IT investment associated with the agency's IPv6 implementation.
- HSPD-12:
 - Provide the amount of this investment's PY/2007 funding associated with the agency's HSPD-12 implementation (in \$millions).



On High-Risk List and Breach columns to exhibit 53

- On High-Risk List:
 - Please mark this column “Yes” if this is identified on the OMB High Risk List.
 - Leave this field blank if NA or No.
- Breach:
 - Please mark this column “Yes” if there has been a Category I incident reported to US-CERT involving any of the systems associated with this investment in PY/FY2007.
 - Leave this field blank if NA or No.
 - In this category, this would include loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for an other than authorized purpose have access or potential access to personally identifiable information, whether physical or electronic.
 - Details can be found in OMB Memorandum M-07-16, “Safeguarding Against and Responding to the Breach of Personally Identifiable Information.”



Adds new Segment Architecture column to exhibit 53

- Represents the status of the investment's alignment to the agency segment architecture process. The following responses are available:
 - (1) -> Indicates the investment is identified as supporting an **approved, complete** segment architecture
 - (2) -> Indicates the investment is part of an **incomplete or in-process** segment architecture
 - (3) -> Indicates the investment is part of a **planned, but yet to be initiated**, segment architecture

Note: The BRM Mode of Delivery lines of business and sub-functions are not valid for Primary FEA Mappings.



Adds new Part 6, National Security Systems Investments to exhibit 53

- Part 5. Grants to State and Local IT investments.
 - Report amounts for IT investments representing planning, development, enhancements or implementations of "Grants to State and Local". Agencies should only use this part to report "Grants to State and Local". Before using Part 5 for anything other than the previously identified, please check with your OMB representative.
- Part 6. National Security Systems investments.
 - Report amounts for IT investments representing planning, development, enhancements or implementations of National Security Systems. Only DoD may use this part.



Highlighted Changes for the Exhibit 300

- Adds new requirement to identify certification levels via the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM).
- Adds new question about relation to the GAO High Risk Areas.
- Merged the Performance Information Tables into a new Performance Information Table.
- Minor changes to the security and privacy status reporting tables.
- Adds new questions about segment architectures.
- Adds new questions about legacy system replacements.
- Simplified Cost and Schedule Performance section.



Identify certification levels via the Federal Acquisition Certification for Program and Project Managers

- Established to ensure general training and experience requirements for program and project managers are clearly identified for civilian agencies. The FAC-P/PM focuses on essential competencies needed for program and project managers; the program does not include functional or technical competencies, such as those for information technology, or agency-specific competencies. Defense agencies have a similar certification program under the Defense Acquisition Workforce Improvement Act. (www.whitehouse.gov/omb/procurement/workforce/fed_acq_cert_042507.pdf) (www.whitehouse.gov/omb/procurement/acq_wk/fac_contracting_program.pdf)
- Available options are:
 - Entry/Apprentice-level
 - Mid/Journeyman-level
 - Senior/Expert-level
 - DAWIA-Level-1
 - DAWIA-Level-2
 - DAWIA-Level-3
 - TBD (This is only available if a level has not already been determined, this will not be available after 4/25/2008)



Question about relation to the GAO High Risk Areas

- GAO High Risk Areas are listed in GAO's report. Please work with your budget office and OMB to determine if you have further questions.
- GAO's latest High-Risk report:
 - <http://www.gao.gov/new.items/d07310.pdf>
- Additional Information about GAO High Risk Series:
 - <http://gao.gov/docsearch/featured/highrisk.html>



Merged the Performance Information Tables

- Merged Table 1 and Table 2 (from prior year Exhibit 300) into one performance information table utilizing the FEA Performance Reference Model (PRM).
- At least one Measurement Indicator is required for each fiscal year for each of the four different Measurement Areas:
 - Mission and Business Results
 - Customer Results
 - Processes and Activities
 - Technology
- The PRM is available on: www.egov.gov as part of the Consolidated Reference Model.



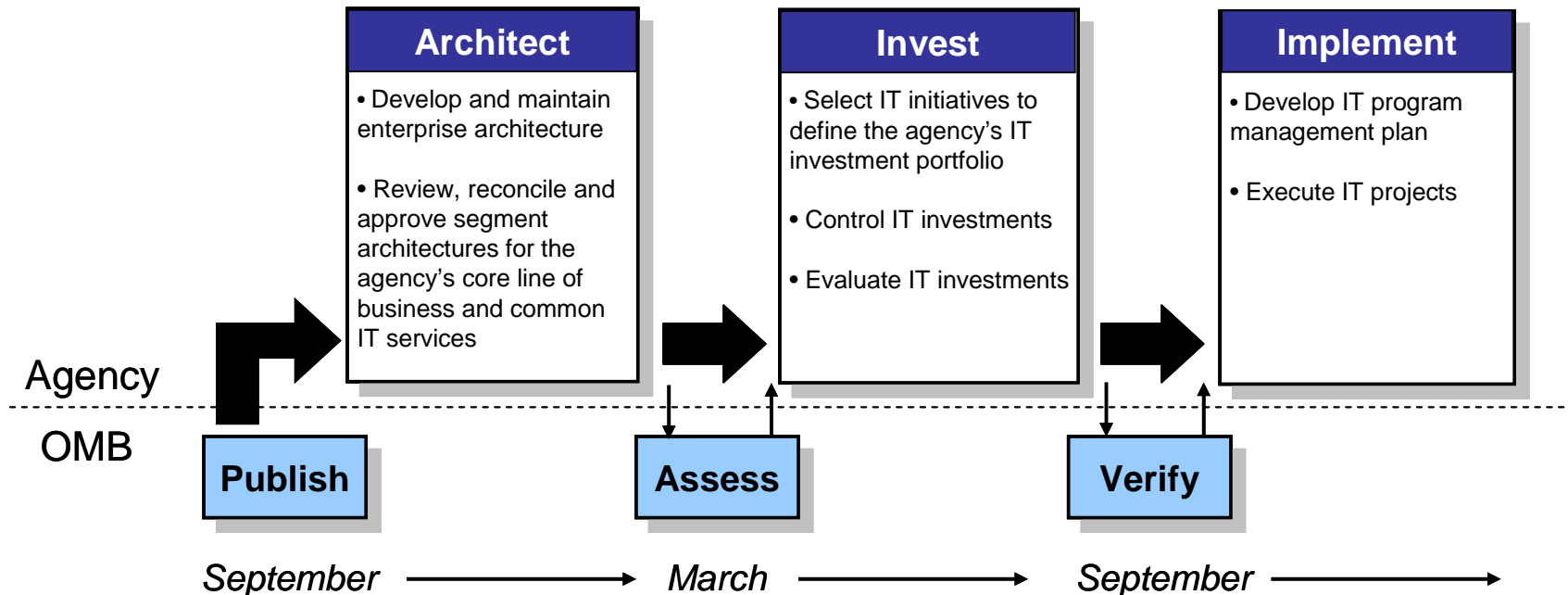
Changes to the security and privacy status reporting tables

- Security Updates
 - Adds clarification language to the Planning table. Planning table should be completed for all mixed lifecycle investments.
 - Further clarifies the intersection between security tables and privacy tables.
- Privacy Table
 - Agencies must provide one of the following:
 - Supporting privacy documents
 - Short narrative why the documents are not available



Questions about segment architectures

- Added question related to segment architecture:
 - Is this investment identified in a completed (contains a target architecture) and approved segment architecture?
 - If “yes”, provide the name of the segment architecture as provided in the agency’s most recent annual EA assessment.
- Architecture – Budget Schedule:





Additional Guidance: Enterprise Architecture

- EA Transition Strategy Question:
 - Ensure the investment name provided matches the name included in the agency’s EA Transition Strategy.
- Segment Architecture Question:
 - Ensure the segment architecture name provided matches the name included in the agency’s enterprise architecture.
- SRM Table:
 - The percentages in the “BY Funding Percentage” column can, but are not required to, add up to 100%.
 - However, they should not add up to more than 100%.



Questions about legacy system replacements

- Part II, Q5 & Part IV, Q9. Will the selected alternative replace a legacy system in-part or in-whole?
 - a. If “yes,” are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment?
(This investment, Legacy investment, Migration investment)
 - b. If “yes,” please provide the following information:
- b. List of Legacy Investment or Systems
 - Name of the Legacy Investment or Systems:
 - UPI: (if available)
 - Date of the System Retirement:



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Section 300

Part IV - Multi-Agency Section





Multi-Agency Section – Part I

- This now is applicable to any investment involving more than one agency
- Partner agency's supporting capital assets (e.g., service providers, centers of excellence, shared service centers, supporting components) should be submitted as regular agency capital assets
- Agencies proposing capital assets to support multi-agency initiatives should share their proposals with the Managing Partner for review in advance of submitting to OMB.
- Proposals recommended as part of the Managing Partner's solution should be included in the Managing Partner's exhibit 300 (Part IV-Section A, Question #2)
- The agency proposing the capital asset should submit an exhibit 300 using the appropriate kind of exhibit 300 (as defined in Part I-Section A, Question #6)
- Partner agencies with, or proposing, supporting capital assets for multi-agency collaboration (i.e. shared service centers, sales center, shared service providers, etc.) should use Part IV of the exhibit 300



Multi-Agency Section – Part I Tables

- Table 1 - Stakeholder Table:
 - As a joint exhibit 300, please identify all the agency stakeholders (all participating agencies, this should not be limited to agencies with financial commitment). **All agency stakeholders should be listed regardless of approval.** If the partner agency has approved this joint exhibit 300 please provide the date of approval.
- Table 2 - Partner Capital Assets within this Investment:
 - Provide the partnering strategies you are implementing with the participating agencies and organizations. Identify all partner agency capital assets supporting the common solution (section 300.7); Managing Partner capital assets should also be included in this joint exhibit 300. These capital assets should be included in the Summary of Spending table of Part I, Section B. **All partner agency migration investments (section 53.4) should also be included in this table. Funding contributions/fee-for-service transfers should not be included in this table. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53)**
- Table 3 - Partner Funding Strategies (\$millions):
 - For jointly funded initiative activities, provide in the “Partner Funding Strategies Table”: the name(s) of partner agencies; the Unique Project Identifier (UPI) of the partner agency investments; and the partner agency contributions for CY and BY. Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. **For non-IT fee-for-service amounts, the Partner exhibit 53 UPI can be left blank. (IT migration investments should not be included in this table).**



Selected Additional Information

- Budget of the United States Government Fiscal Year 2008:
<http://www.whitehouse.gov/omb/budget/fy2008/>
- Chapter 9: Information Technology Investments from the Analytical Perspectives of the Budget:
<http://www.whitehouse.gov/omb/budget/fy2008/pdf/spec.pdf>
- Report on Information Technology (IT) Spending for the Federal Government:
http://www.whitehouse.gov/omb/budget/fy2008/sheets/itspending_new.xls
- OMB Circular A-11, Preparation, Submission and Execution of the Budget:
http://www.whitehouse.gov/omb/circulars/a11/current_year/a11_toc.html
 - Section 53: http://www.whitehouse.gov/omb/circulars/a11/current_year/s53.pdf
 - Section 300 http://www.whitehouse.gov/omb/circulars/a11/current_year/s300.pdf
- The Official Web Site of the President's E-Gov Initiatives & LoBs:
<http://www.egov.gov>
- Federal Enterprise Architecture: <http://www.whitehouse.gov/omb/egov/a-1-fea.html>
- Information about EVMS: www.acq.osd.mil/pm & <http://www.cpm-pmi.org>
- Information about the PMA: <http://results.gov/>