

Table 3. CPIC Decision Criteria and Score Sheet (contd.)



Table 3: CPIC Decision Criteria and Score Sheet
Mandatory Reference for ADS Chapter 577

Revision Date: 07/13/2005
Responsible Office: M/MPPA
File Name: 577mab_071305

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Table 3. CPIC Decision Criteria and Score Sheet (contd.)

Acronym	Meaning
COTS	Commercial-off-the-Shelf
CPIC	Capital Planning and Investment Control
DK	Don't Know
EA	Enterprise Architecture
IT	Information Technology
M/IRM	USAID Bureau for Management, Office of Information Resources Management
N/A	Not Applicable
NPV	Net Present Value
PIA	Privacy Impact Assessment
PM	Project Management
PMP	Project Management Professional
ROI	Return on Investment
USAID	US Agency for International Development
Y/N	Yes/No

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Scoring Guidance for All Questions (Topics 1, 2, 3, and 4)

Each Subcommittee member (i.e., “reviewer”) must evaluate and score the business case on all decision criteria in the score sheet, as follows:

A. General

- Assign a score to each topic category or subcategory, per instructions in the columns labeled “Initial Recommended Score” and “Final Score.”
- Critically review each investment and assign subjective scores, reflecting his or her experience and business perspective.
- Be prepared to explain his or her scores to other reviewers.

B. Additional Information

1. Questions printed in *italics* represent those requiring specialized knowledge of USAID’s IT technical or regulatory environment. The CPIC Subcommittee Chair may, at his or her discretion, designate a Technical Panel to prepare and present background information on the italicized questions, an assessment of the investment in relation to such questions, and a suggested score with rationale to the CPIC Subcommittee. Each Subcommittee member must draw his or her own conclusions about the information and provide a final score for each question.
2. Questions printed in **bold** represent those for which the reviewers are not likely to need technical advice or information. Each Subcommittee member must draw his or her own conclusions and provide initial recommended and final scores for each question.
3. The reviewer is urged to note on the scoring sheet, and bring to the attention of the CPIC Subcommittee, any factors outside the scoring criteria or business case that influence his or her recommended score.

Table 3. CPIC Decision Criteria and Score Sheet (contd.)

C. Initial and Final Scoring

1. Initial Scoring for Business Questions (bold)

- a. Each reviewer must assign initial recommended scores to each business-focused category or subcategory and submit the scores to the CPIC Subcommittee Chair by the due date.
- b. Option: Reviewers may also score the technically focused criteria at that time if they choose. (See below.)

2. Initial Assessment and Suggestions for Technically Focused Decision Criteria (*italics*)

- a. The Subcommittee Chair may convene a Technical Panel of experts to prepare an assessment and suggested scoring for technically focused decision criteria.
- b. The Technical Panel must submit its assessments and suggested scores to the Subcommittee Chair by the due date.
- c. The Subcommittee Chair will convene a Technical Panel presentation for the CPIC Subcommittee reviewers shortly after the due date, to provide their assessments and recommendations to the Subcommittee.

3. Final Scoring for All Questions

- a. Each CPIC Subcommittee reviewer will consider the Technical Panel's assessments and suggestions, assign his or her own final scores to the technically focused decision criteria, and send them to the Subcommittee Chair.
- b. The Subcommittee Chair will convene another meeting of the Subcommittee to review Summary Sheet 1 ("Reviewer Scores for an Investment Proposal") and any significant differences between reviewer scores as required in ADS 577.3.5.3.c.
- c. At that time, Subcommittee reviewers will finalize and submit their scores for all technical and business-oriented decision criteria.
- d. The Chair will then create additional summary sheets per ADS 577.3.5.4.

D. Additional Scoring Guidance for Topics 1, 2, and 3 (Value, Risk, and Cost):

- The questions in Topics 1, 2, and 3 are grouped into categories and subcategories for scoring purposes.
- The reviewer assigns a score to the category or subcategory, considering his or her answers to all the questions in that group.
- A higher score implies a better investment than a lower score.
- No Recommended or Final Score may exceed the Total Possible Score for the category or subcategory.

Background: The CPIC Subcommittee has written the questions so that (1) they can be answered by "Yes", "No," and "Not Applicable"; and (2) the answers have consistent meanings. A "Yes" means that the business case is consistent with best practices, Federal policy, or the Subcommittee's assumptions about conditions for the success of IT investments. A "No" means that the business case isn't consistent with such practices, policies, or assumptions. "Not Applicable" means that the question isn't applicable to the business case. Therefore, in general, if the answers to questions in a subcategory or category tend to be positive, the reviewer would assign more points than if the answers to the questions tend to be negative.

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If the answers to questions in a category or subcategory tend to be	The reviewer
Yes	Assigns more points to the category or subcategory than if the answers tend to be “No.” However, the reviewer must not assign more points than the Total Possible Score to that category or subcategory.
No	Assigns fewer points to the category or subcategory than if the answers tend to be “Yes.” However, the reviewer must not assign a score that is less than zero.
Not Applicable	Does not consider the “Not Applicable” criteria in assigning a score.

Each reviewer is ultimately responsible for his or her own assessment of the business case, including factors that might not be addressed in the scoring criteria or in the business case itself, and is, therefore, ultimately responsible for his or her own scores.

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Investment Title: _____

Executive Sponsor: _____

Reviewer Name: _____

Review Date: _____

USAID Topics and Scoring Criteria

1. Topic: VALUE

Definition: Demonstration of tangible or measurable benefits resulting from the application of the requested investment.

Driver: Does the investment address a mission performance need?

Total Possible Points for the Topic (out of 100): 50

Subcategory Number, Title, and Definition	Scoring Criteria Questions and Cross Reference to Exhibit 300 Business Case *[Cross references have been updated as of 5/24/2005, and are based on draft OMB Circular No. A-11 (2005)]	Subcategory – Total Possible Score	Initial Recommended Score	Final Score (After Tech Panel presentation & Subcommittee discussions)
1.1 Relevance to Agency Mission (The extent to which the investment would help USAID achieve its development and humanitarian relief objectives.)	1.1.1 Is the investment clearly linked to Agency mission and strategic goals? (See Exhibit 300, Section I.B.)	<i>30 points for “Relevance to Agency Mission” Subcategory</i>	<i>Reviewer: Assign a single initial score to the subcategory.</i>	<i>Reviewer: Assign a single final score to the subcategory.</i>
	1.1.2 Is it clear who the stakeholders and customers are? (See Exhibit 300, Section I.B.)			
	1.1.3 Does the business case make it clear what benefit the stakeholders and customers would gain if the investment were implemented? (See Exhibit 300, Section I.B.)			
	1.1.4 Has each alternative explored for this investment been adequately considered in terms of USAID’s performance requirements, priorities, and business needs? (See Exhibit 300, Sections I.B.3 and I.E.)			

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<p><i>1.2 EA Relationships (Evidence that the investment has been identified as necessary by the Enterprise Architecture.)</i></p>	<p><i>1.2.1 Has this investment been identified as necessary in the Agency’s Enterprise Architecture? (See Exhibit 300, Section II.A.1.)</i></p>	<p><i>10 points for “EA Relationships” Subcategory</i></p>	<p><i>Technical Panel will provide a suggested score for the subcategory.</i></p>	<p><i>Assign a single final score to the subcategory</i></p>
	<p><i>1.2.2 Has the investment been cross-referenced to the Federal Enterprise Architecture model? (See Exhibit 300, Section II.A.1.)</i></p>			
	<p><i>1.2.3 Is the solution integrated with other systems supporting the workflow of the business function? (See Exhibit 300, Section I.B.9.)</i></p>			
<p><i>1.3 Return on Investment (ROI) (The relationship between the funds invested in an initiative and the financial benefits the initiative will generate. A financial management approach used to explain how well a project delivers benefits in relationship to its cost.)</i></p>	<p><i>1.3.1 Has ROI been calculated for this investment, such as net present value (NPV)? Is it positive? (See Exhibit 300, Section I.E.3A.)</i></p>	<p><i>10 points for “Return on Investment” Subcategory</i></p>	<p><i>Technical Panel will provide a suggested score for the subcategory.</i></p>	<p><i>Assign a single final score to the subcategory</i></p>
	<p><i>1.3.2 Has any other benefit analysis, such as a cost benefit analysis (CBA) or payback period analysis, been conducted for this investment? If yes, does the analysis show that net savings exceed expected costs? (See Exhibit 300, Section I.E.3B.)</i></p>			
	<p><i>1.3.3 Does the projected ROI reflect such risk factors as the project’s technical complexity, the Agency’s management capacity, the likelihood of cost overruns, and the consequences of under- or non-performance? (See Exhibit 300, Section I.E.)</i></p>			

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	1.3.4 <i>Does the ROI reflect actual returns observed through pilot projects and prototypes? (See Exhibit 300, Section I.E.)</i>			
	1.3.5 <i>Has the sponsor identified specific measurable and sustainable efficiencies to be gained in the business process resulting from this investment? (See Exhibit 300, Section I.E.2.)</i>			

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2. Topic: RISK

Definition: Factors that could occur during an investment’s life cycle, could jeopardize the success of the investment, and could be addressed through alternative courses of action. This topic includes the risks to successful implementation of the investment and the risks to successful Agency operations.

Driver: Will the project be implemented within cost and schedule goals and accomplish its performance objectives?

Total Possible Points for the Topic (out of 100): 25

Subcategory Number, Title, and Definition	Scoring Criteria Questions and Cross Reference to Exhibit 300 Business Case *[Cross references have been updated as of 5/24/2005, and are based on draft OMB Circular No. A-11 (2005)]	Subcategory – Total Possible Score	Initial Recommended Score	Final Score (After Tech Panel Presentation & Subcommittee Discussions)
RISK CATEGORY 1	Cross Reference for all Risk Questions: Exhibit 300, Part I, Section I.F and other sections where noted.	<i>8 points for all of Risk Category 1</i>	<i>Technical Panel will provide a suggested score for Risk Category 1</i>	<i>Reviewer: Assign a single final score for Risk Category 1</i>
2.1 <i>Technology (Risk associated with immaturity of commercially available technology; uniqueness of the technical solution; and technical problems associated with large projects.)</i>	2.1.1 <i>Does the project include the use of technology that is well-known and that has been used before in USAID? (See Exhibit 300, Part I, Section I.F.)</i>			
	2.1.2 <i>Does the project include the use of commercial-off-the-shelf (COTS) solutions? If not, does it minimize the use of custom-designed components to reduce the technical risk? (See Exhibit 300, Part I, Section I.F.)</i>			
	2.1.3 <i>Would the investment be implemented in phased, successive chunks that are narrow in scope and brief in duration? (See Exhibit 300, Part I, Section I.F.)</i>			
2.2 <i>Definitional Risk (i.e., Risk of project failure due to ambiguous requirements)</i>	2.2.1 <i>Are the project requirements documented and clearly written? (See Exhibit 300, Part I, Section I.F.)</i>			
	2.2.2 <i>Are the project requirements highly predictable and defined with certainty? (See Exhibit 300, Part I, Section I.F.)</i>			

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<i>2.3 Dependencies and Interoperability Between this Investment and Others</i>	<i>2.3.1 Does the successful implementation of this project appear to be independent of other project schedule, funding, or technical constraints? (See Exhibit 300, Part I, Section I.F.)</i>			
RISK CATEGORY 2				
2.4 Organizational and Change Management (Factors related to organizational change that would jeopardize the program effectiveness targeted by the investment.)	2.4.1 Is USAID capable of carrying out the organizational changes required for the project to achieve its intended results (i.e., user and business requirements)? (See Exhibit 300, Part I, Section I.F.)	<i>10 points for all of Risk Category 2</i>	<i>Reviewer: Assign a single initial score for Risk Category 2</i>	<i>Reviewer: Assign a single final score for Risk Category 2</i>
	2.4.2 If the project will have a significant impact on the way most staff members do their work, have the change management risks been sufficiently minimized? (See Exhibit 300, Part I, Section I.F.)			
2.5 Business Risk (Potential negative impact of the investment on the agency’s ability to accomplish its business objectives.)	2.5.1 Does the proposal identify the business problem it would address and provide an appropriate, credible solution? (See Exhibit 300 Sections I.A. (Description) and I.B (Justification))			
	2.5.2 Do you believe that the proposed technical solution will yield greater results than a non-technical solution? (See Exhibit 300, Part I, Section I.F.)			

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RISK CATEGORY 3				
2.6 Schedule Risk (Factors that would jeopardize the project schedule.)	2.6.1 If the project sponsor or manager have identified factors that might prevent scheduled completion, have they provided a credible plan for mitigating those risks? (See Exhibit 300, Part I, Section I.F.)	<i>7 points for all of Risk Category 3</i>	<i>Reviewer: Assign a single initial score for Risk Category 3</i>	<i>Reviewer: Assign a single final score for Risk Category 3</i>
2.7 Resource Risk (Does the Agency have sufficient or adequate resources to ensure successful completion and achievement of benefits?)	2.7.1 Do you believe there is a high probability of staying within the projected life-cycle cost? If not, please note your concerns. (See Exhibit 300, Sections I.E, Alternatives Analysis, and I.G, Acquisition Strategy.) CONCERNS:			
	2.7.2 Capability of the Agency to manage the investment. (See the following Exhibit 300 Cross References for the following questions: Performance-Based Management System - Part I, Section I.H.1; Project (Investment) Management (PM) (Part I, Sections I.D and I.H; and Overall business case)			
	2.7.2.1 Does the success of the project depend on minimal implementation of new or untested skills, management capabilities, or experience among USAID staff?			

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	<p>2.7.2.2 Does the proposal include credible steps to ensure that the new or untested skills, capabilities, or experience will be developed among USAID staff?</p>			
	<p><i>2.7.2.3 Does USAID have appropriately trained and experienced project/program management staff available to successfully manage the project? (“Appropriately trained staff” could include those who have Project Management Professional (PMP) certification. “Appropriately experienced staff” could include those who have demonstrated successful experience in requirements development, program and project management, contract management, change management, communications, risk management, and interpersonal skills, IT specifications development, and testing for a project whose value was greater than \$5 million.)</i></p>			

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3. Topic: COST

Definition: Assessment of the extent to which key cost factors have been considered in the cost estimate.

Total Possible Points for the Topic (out of 100): 25

Subcategory Number & Title	Scoring Criteria Questions and Cross Reference to Exhibit 300 Business Case *[Cross references have been updated as of 5/24/2005, and are based on draft OMB Circular No. A-11 (2005).]	Subcategory – Total Possible Score	Initial Recommended Score	Final Score (After Tech Panel presentation & Subcommittee discussions)
3.1 <i>Life-Cycle Cost</i>	<p>3.1.1 <i>Does the proposal include cost estimates for:</i></p> <ul style="list-style-type: none"> - <i>Hardware, software, and telecommunications needed to develop and implement the system?</i> - <i>In-house and contractor personnel required to develop, implement, and maintain the system?</i> - <i>Change management costs?</i> <p>(See Exhibit 300, Part I. Summary of Spending for Project Stages; Section I.G.8, Acquisition Costs; and Section I.H.2, Original Baseline, Cost & Schedule Goals.)</p>	25 points for the subcategory	Technical Panel will provide a suggested score for the subcategory.	Reviewer: Assign a single final score for the subcategory
	<p>3.1.2 <i>Does the cost estimate include all years of the projected life cycle? (See Exhibit 300, Section I.A, Project Description, and sections noted above.)</i></p>			

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	4.1.2 <i>Has the investment completed a Privacy Impact Assessment (PIA), if required? (See Exhibit 300, Part II, Section II.B.5.)</i>	Y/N, N/A, or Don't Know	<i>Technical Panel will suggest a rating - Yes, No, Not Applicable (N/A), or Don't Know</i>	<i>Reviewer: Indicate final rating – Yes, No, N/A, or Don't Know</i>
4.2 <i>Alternatives</i> (Assessment of the potential investment against alternative methods to achieve the same functional need.)	4.2.1 <i>Have viable E-Gov solutions been considered as alternatives to this proposal? Does this investment provide for functionality that is unavailable through the E-Gov solutions? (See Exhibit 300, Part I, Section I.B.4.)</i>	Y/N or Don't Know	<i>Technical Panel will suggest a rating - Yes, No, or Don't Know</i>	<i>Reviewer: Indicate final rating – Yes, No, or Don't Know</i>
4.3 Government Function Consideration (Determination of whether or not the proposed investment supports a core/priority mission function that needs to be performed by the Federal government and that no alternative private sector or governmental source can efficiently support the function.)	4.3.1 Does this investment include: - Partnership with another agency, or - Use of another agency's IT functionality? (See Exhibit 300, Part I, Sections I.B.7 and I.B.7.)	Y/N or Don't Know	<i>Reviewer: Indicate initial rating - Yes, No, or Don't Know</i>	<i>Reviewer: Indicate final rating - Yes, No, or Don't Know</i>
	4.3.2 If it does not include use of another agency's IT functionality or a partnership, is there an adequate explanation?	Y/N, N/A or Don't Know	<i>Reviewer: Indicate initial rating - Yes, No, Not Applicable (N/A), or Don't Know</i>	<i>Reviewer: Indicate final rating - Yes, No, N/A, or Don't Know</i>
	4.3.3 Does the investment increase the Agency's internal effectiveness and	Y/N or Don't Know	<i>Reviewer: Indicate initial rating – Yes, No, or Don't Know</i>	<i>Reviewer: Indicate final rating – Yes, No,</i>

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	efficiency or contribute to the Agency’s ability to deliver better services to citizens, business, or other government agencies? (See Exhibit 300, Part I, Sections I.B.8 and I.C.)			<i>or Don’t Know</i>
4.4 “Ease of Use” and Section 508 Compliance (Is the investment accessible to Federal employees and, where appropriate, members of the public?)	4.4.1 <i>Has the technology solution recommended for investment been assessed for Section 508 accessibility considerations for people with disabilities?</i> (See Exhibit 300, Part I, Section I.G.7, Acquisition Strategy.)	Y/N or Don’t Know	<i>Technical Panel will suggest a rating - Yes, No, or Don’t Know</i>	<i>Reviewer: Indicate final rating - Yes, No, or Don’t Know</i>

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