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FY22 IT Budget – Capital Planning Guidance Summary of Changes

General Document Updates and Revisions

- 1) General formatting updates to in the headers, footers, content references, and elsewhere as necessary to designate this document as the new FY22 guidance.

Structural Updates and Revisions

	Section	Description
1)	Introduction	Removed all text and illustrations referencing the TBM framework’s phased implementation with the IT CPG guidance. As of the FY22 guidance, TBM reporting at the IT Tower and Cost Pool level is required.
2)	Agency-Level Reporting	Removed the IT Resource Statements reporting requirements.
3)	TBM IT Portfolio Reporting	Removed section as this was redundant to the more detailed TBM reporting requirements sections: 6.3 <i>IT Cost Pools – Operating Expenditures (OpEx)</i> and 6.4 <i>IT Towers</i>.
4)	What is the Systems Inventory?	Relocated the “PIV Enabled System” Y/N indicator field requirement to the AITPS reporting section to better identify the PIV enabled system within the IT portfolio.
5)	Risk Reports	Removed this section as it is redundant to other risk reporting requirements already established.
6)	Major IT Business Case Detail	- Updated the Projects Table C.1 by removing the following data field requirements for definition ambiguity: - Existing Metric ID - New Metric Description - Metric Target at Deployment - Unit of Measure - Measurement Condition - Updated the Projects Table C.1 by removing the following data field requirements for definition ambiguity: - Software Development Activity with Multiple Releases - Last Three Dates of Release to Production - Last Three Dates of Release to Test - Estimated Frequency of Rollback of Planned Releases - Estimated Time Between Code Creation and Releases - Mode of End User Engagement - End User Results
7)	Standard IT Investments Reports	Updated this section to reflect the completed implementation of the TBM reporting framework in the IT CPG/CPIC guidance.
8)	Output Standard Investments	Removed this section from FY22 guidance.
9)	Appendices	- Removed <i>Appendix A: Legal Regulatory Authorities</i> included in the FY21 guidance and replaced in FY22 guidance with updated <i>Appendix A: Coding Instructions for Administrative and Mission Support Shared or Centralized Solutions</i>. - Removed <i>Appendix C: Definitions</i> included in the FY21 guidance and replaced in FY22 guidance with a new <i>Appendix B: Technology Business Management (TBM) Taxonomy V 3.0 Definitions & IT CPG/CPIC Standard Investment Mapping</i>.

INTRODUCTION

This document provides the technical guidance and specific requirements outlined in [OMB Circular A-11](#) Section 55 that are required to report data on total IT funding with a detailed focus on analysis of major IT capital investments. The FY 2022 IT Budget – Capital Planning Guidance implements minor changes that build upon the successes from the IT Spending Transparency Cross-Agency Priority (CAP) Goal including continued implementation of the Technology Business Modernization (TBM) framework for standard categorization of IT spending.

Agencies identified in [OMB Circular A-11](#) Section 55.5, and outlined below, must submit their Agency IT Investment Portfolio Summary and Agency IT Portfolio Detail reports using the formats outlined in this guidance document. This data collection provides for the analysis, tracking, and evaluation of capital IT investments while providing for the analysis of Federal IT spending. The reports provided through the IT Capital Planning and Investment Control process represent the ongoing efforts to manage the investment in modern IT to meet mission needs, serves Federal customers, and effectively stewards taxpayer funds. This data collection is made publically available on the IT Dashboard at <https://itdashboard.gov>. Agencies should also begin the process to identify the cost-savings and quantify the increased efficiency as a result of IT investments.

GENERAL

1. Under what authority is this IT Budget - Capital Planning Guidance issued, and how does it relate to A-11 Section 55?

44 U.S.C. § 3602 directs the Administrator of the Office of Electronic Government to set strategic direction and oversee implementation of Agency IT governance activities. As such, Circular A-11 Section 55 provides general policy and requirements for Agency IT budget, Investment, and portfolio management; whereas, this Guidance includes more detailed information on technical requirements and submissions. This detailed information allows 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 other regular updates of IT budget and management information, and when are they due?

The Agency's IT budget and management submissions are executed in three distinct components. First, the Agency IT Portfolio Summary collects information for all Investments aligned to Part 1: Mission Delivery; Part 2: Mission Support Services; and Part 3: Standard IT Investments. Second, the Major IT Business Case is used to track the planning, budgeting, and management of all major Investments aligned to Part 1 and Part 2 of the Agency IT Portfolio Summary. Third, Standard IT Investment Reports for Investments corresponding to Part 3 of the Agency IT Portfolio Summary provide additional transparency into Standard IT Investments.

The following table displays the composite budget organization:

Agency IT Portfolio Summary
Part 1: IT Investments for Mission Delivery
Part 2: IT Investments for Mission Support Services
Part 3: Standard IT Investments
Agency Budget Accounts Summary

2.1 Annual Reporting

The following calendar dates satisfy the FY 2022 CPIC Requirements. Submissions are required by the end of the month unless otherwise directed by OMB:

August 2020	
DRAFT:	Agency IT Investment Portfolio Summary
VERIFY:	Required E-Gov/Line of Business (LoB) contribution levels are included in Agency Budget Plans.

September 2020	
DUE:	Agency IT Portfolio Summary and Agency IT Portfolio Summary Details
January 2021	
FINAL:	Agency IT Portfolio Summary and IT Portfolio Summary Details based on the President's Budget submission.
June 2021	
OPTIONAL:	Mid-Season Review

The Draft Agency IT Investment Portfolio Summary shall be completed by the Agency and submitted to OMB. This draft will constitute the Agency's proposal to OMB, providing a comprehensive list of all IT Investments that will be reported as part of the Agency's FY 2022 IT submission. The Draft Agency IT Investment Portfolio Summary shall be posted online to the [Draft Agency IT Investment Portfolio Summary OMB MAX.gov submission page](#). At a minimum, the Draft Agency IT Investment Portfolio Summary should include the Previous Unique Investment Identifier (UII), Current UII, Mission Support Services Investment Category, Shared Services Identifier, Part of Agency IT Portfolio Summary, Type of Investment, Investment Title, Investment Description, and Federal Enterprise Architecture (FEA) Business Reference Model (BRM) Services – Primary service area.

Details and instructions for submitting the verification of eGov/LoB are provided online on [MAX.gov](#).

For the FY 2022 cycle, the submission procedure will continue to include Submission Confirmation for both the Agency IT Portfolio Summary and Agency IT Portfolio Detail to promote consistency across Agency data in submissions. Submission of the confirmation for the Agency IT Portfolio Summary will automatically close the window for that submission and open the window for the Agency IT Portfolio Detail submissions. Submission Confirmation for the Agency IT Portfolio Detail submissions will also include validation of the data submitted to ensure that all required Agency IT Portfolio Detail data have been submitted.

All subsequent updates to the Agency IT Investment Portfolio Summary will be submitted to the Federal 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 Summary and Agency IT Portfolio Detail with the Agency CIO, CFO, and Senior Agency Official for Privacy (SAOP) as required by OMB Circular A-130 prior to submitting the approved version to OMB. For FY 2022, the IT Resource Statement budget artifact is not required to be submitted to OMB.

Additional updates to the Agency IT Portfolio Summary and Agency IT Portfolio Detail may be required after final budget decisions or if the Agency requests supplemental funds that require changes to improve reporting accuracy. While data is submitted to the ITDB, dates of public release of FY 2022 IT budget requests will be consistent with the release dates of the President's Budget along with an opportunity to submit additional updates, if applicable, to ensure alignment with Congressional Justification materials. Specific instructions and deadlines for submitting updates, corrections, and final submissions will be communicated to Agencies directly. 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 the Agency is required to submit a new or revised Agency IT Portfolio Summary as part of their supplemental request.

2.2 Regular Updates Reporting

- Updates to the IT Dashboard should be maintained to reflect the most current information available for performance metrics, risks, projects, and/or activities. Frequency of reporting is based on the contents of a given Investment. For example, an Investment with the required monthly performance metric for Operations and Maintenance (O&M) spending should have monthly performance actuals to report while Investments with only Development, Modernization, and Enhancement (DME) spending may be less regular in the updates they have available to submit.
- CIO Evaluation (per [40 U.S.C. § 11315 \(c\)\(2\)](#)) should be updated as soon as CIOs have completed their evaluations using the CIO Evaluation Report. There is no mandated reporting frequency; however, at a minimum, OMB expects that CIO evaluations will occur each time a TechStat occurs, a re-baseline is approved by the Agency head (See [M-10-27](#)), 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. These ratings are optional for all Investments that are not Type 01: Major Investments or Type 05: Standard IT Investments.
- Contracts Report and Systems Inventory List should be maintained to reflect the most current information available.
- Agencies should make every effort to maintain current data on the IT Dashboard. 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.).

3. How is IT spending categorized?

Agencies are required to submit all their IT budget-related costs to OMB through the Agency IT Portfolio Summary twice a year, initially in September to accompany the Agency Budget Request and then updated during the President's Budget process. The Agency's complete IT Portfolio must be reported for all Investments, regardless of type, including Type 03 Migration (transition-related activities and planned fee-for-service) and Type 04 Funding Transfer Investments (contributions to shared or centralized IT solutions). Any Agency providing a shared or centralized IT service or solution shall report migration-related costs separately from the spending allocated to maintain operations for current customers.

For the FY 2022 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 three parts:

Category		Description
Part 1	IT Investments for Mission Delivery	• Report IT Investments that directly support the delivery of the Agency's mission. • This information should map directly to the Agency's strategic and annual performance plan. • IT Investments may cover more than one Agency mission area reported in the mission area with oversight over the IT Investment.
Part 2	IT Investments for Mission Support Services	• Mission support services are comprised of activities that are common across all Agencies and include functional areas such as: ▪ Financial Management ▪ Human Resources Transactions

Category		Description
		▪ Contracting ▪ Travel ▪ Grants Management • Report all Investments for Mission Support Services specific to an Agency and IT Investments officially designated as shared or centralized services or solutions, such as E-Gov/LoB. • Appendix A provides a list of existing E-Gov/LoB Investments.
Part 3	Standard IT Investments Reports	• Report IT Investments for IT goods and services common to all Agencies. • Agencies are required to report Standard IT Investments aligned to: ▪ IT Security and Compliance ▪ Network, Data Center and Cloud ▪ End User ▪ Application ▪ Delivery • Standard IT Investments that align to Platform, Output, and IT Management do not require a report for FY2022. • Agencies are encouraged to follow commercial and government best practices for the categorization of these goods and services.

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 2021 Budget, the revised FY 2022 Agency IT Investment Portfolio Summary data must be compliant with the FY 2022 specified formats, or it will be rejected. The Agency must note “change in status” for each Investment, as compared to the final FY 2021 President’s Budget (January 2020 or most recent update). Changes must be identified and described in columns fifteen (15) and sixteen (16) 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 on the IT Dashboard. Note that the prior year (PY) funding should be updated to reflect the FY 2021 budgetary resources for the final FY 2022 President’s Budget. An OMB Budget Account code for all “Funding Sources” line items is required for every Investment.

Prior/Current/Budget Year Designations		
Prior Year	(PY)	2020
Current Year	(CY)	2021
Budget Year	(BY)	2022

AGENCY-LEVEL REPORTING

The Agency-level reporting sections include the requirements to be submitted only at the Agency's portfolio level and not for individual IT Investments.

AGENCY BUDGET ACCOUNTS SUMMARY

5. 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 on the Agency's IT submissions. To support FITARA implementation and drive increased CIO authorities, the goal is to increase the IT funding dollar amount that the CIO has direct oversight authority over each Budget Account.

The Agency Budget Accounts Summary is to be completed at the Agency level (i.e., not at a component organization level or at an individual Investment level) for the PY, current year (CY) and the budget year (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 Oversight Authority column, a dollar amount should be entered depicting the amount within the budget year that the Agency CIO (not a component-level CIO) has direct oversight 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 that are spent on IT. The combined Agency total funding for each year in the Agency Budget Accounts Summary Table should be the same as the Agency total funding in the Agency IT Investment Portfolio Summary for the same years.

Agency Budget Accounts Summary Table <i>Reported in the Millions (\$M)</i>					
Budget Account Code	CIO Oversight Authority 2022	Total Agency Funding Prior Year 2020	Total Agency Funding Current Year 2021	Total Agency Funding Budget Year 2022	Total Agency Budget Authority 2022
	(BY)	(PY)	(CY)	(BY)	(BY)

INVESTMENT-LEVEL REPORTING

To clarify the reporting requirements set forth in this Guidance, OMB is separating the sections based on reporting scale. The reports included in this section are required to be submitted for each individual Investment as applicable.

Investment reporting requirements vary based on two main factors: Part of Agency IT Portfolio Summary (Column 9 of the Agency IT Portfolio Summary) and Type of Investment (Column 12 of the Agency IT Portfolio Summary). Investment reporting requirements by Part and Type of Investment are detailed in the tables below. Guidance Sections marked as “Expected” are required from a policy perspective, however, the IT Dashboard will not block Submission Confirmation should an Agency have a justifiable reason for omitting a Guidance Section Report.

Investments are categorized as major, non-major, migration, funding transfer, or standard. Explanations of the investment categories are provided below.

- **Major IT Investment:** An IT investment requiring special management attention because of its importance to the mission or function of the government; significant program or policy implications; high executive visibility; high development, operating, or maintenance costs; unusual funding mechanism; or definition as major by the Agency’s CPIC process. OMB may work with the Agency to declare IT Investments as major IT Investments. Agencies must consult with assigned OMB Desk Officers and Resource Management Offices (RMOs) regarding which Investments are considered major.
- **Non-Major IT Investment:** Any IT investment in the Agency’s IT Portfolio that does not meet the definition of Major, Migration, Funding Transfer, or Standard IT Investment.
- **Migration Investment:** The migration costs associated with systems in a shared service partner Agency that are not captured by the Agency Lead when the partner Agency is migrating to the shared system.
- **Funding Transfer Investment:** The portion of funding a partner Agency provides to an IT Investment.
- **Standard IT Investment:** IT goods and services common to all Agencies. See also IT Security and Compliance, IT Management, Network, Data Center and Cloud, End User, Output, Application, Delivery, and Platform Standard IT Investments described in Appendix B.

Part 1: IT Investments for Mission Delivery:

	Type of Investment			
Guidance Section	1: Major	2: Non-Major	3: Migration	4: Funding Transfer
Agency IT Investment Portfolio Summary	Required	Required	Required	Required
CIO Evaluation Report	Expected	Optional	Optional	Optional
Systems Inventory List	Expected	Expected	N/A	N/A
Contracts Report	Expected	Expected	N/A	N/A
Major IT Business Case	Required	N/A	N/A	N/A

	Type of Investment			
Major IT Business Case Detail	Required	N/A	N/A	N/A

Part 2: IT Investments for Mission Support Services:

	Type of Investment			
Guidance Section	1: Major	2: Non-Major	3: Migration	4: Funding Transfer
Agency IT Investment Portfolio Summary	Required	Required	Required	Required
CIO Evaluation Report	Expected	Optional	Optional	Optional
Systems Inventory List	Expected	Expected	N/A	N/A
Contracts Report	Expected	Expected	N/A	N/A
Major IT Business Case	Required	N/A	N/A	N/A
Major IT Business Case Detail	Required	N/A	N/A	N/A

Part 3: Standard IT Investments:

	Type of Investment	
Guidance Section	4: Funding Transfer	5: Standard
Agency IT Investment Portfolio Summary	Required	Required
CIO Evaluation Report	Optional	Expected
Systems Inventory List	N/A	Expected
Contracts Report	N/A	Expected
Standard IT Investment Report	N/A	Required, if applicable

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).

6. What is the Agency IT Portfolio Summary?

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/LoB, Multi-Agency and/or Intra-Agency collaboration Investments, or Standard IT Investments, the total funding source amounts for an Investment must match the Investment line item. To that end, the Agency Lead Investment's Agency IT Investment Portfolio Summary 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 Agency IT Investment Portfolio Summary should include funding that is being transferred to the Agency Lead's Service Management Office (SMO) 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). As applicable, all investments should report Agency funding as well as partner inter/intra-Agency contributions. All budgetary data reported should reflect budgetary resources.

6.1 Budget Account Codes

Investments are funded by specific budget accounts assigned to each Agency. Agencies should use the following 10-digit number coding system to update or complete their OMB Budget Account identification code information for Investment funding sources.

OMB Budget Account Code Requirements		
Account Name	Entry Example (Numeric)	Description
Agency Code	123-xx-xxxx-x	The first three digits (e.g., 123) are your Agency Code (See: Appendix C of OMB Circular No. A-11)
Bureau Code	xxx-12-xxxx-x	The next two digits (e.g., 12) 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.
Budget Account Code	xxx-xx-1234-x	This is a four-digit OMB Budget Account Code (e.g., 1234) as used by the MAX.gov A-11 application where each Agency budget office provides budget information for the Budget Appendix. (See: Section 79.2 of OMB Circular No. A-11)
Transmittal Code	xxx-xx-xxxx-1	This is a single-digit (e.g., 1) Transmittal Code (See: Section 79.2 of OMB Circular No. A-11)

6.2 Standard Components in the IT Portfolio

CI #	Field Name	Description
1	Previous UII	This is the identifier depicting Agency code and unique investment number used to report the Investment in the previous FY 2021 Agency IT Portfolio Summary submission to OMB.

CI #	Field Name	Description
		- 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 should provide more than one entry.
2	Current UII <i>Primary Key for all Investments</i>	- 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. - 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, or reorganized. - If an IT Investment is retired, discontinued, or merged with another IT Investment, the UII persists with that IT Investment.
3	Investment Title	- 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.
4	Investment Description	- Description for each Investment. - This description should briefly explain the purpose of the Investment and what program(s) it supports, including the value to the public.
5	Shared Services Category	Variable element code (00) for all investments except codes: “24” E-Gov initiatives or an individual Agency’s participation in one of the E-Gov/LoB initiatives listed in Appendix A. “48” Any Multi-Agency (Inter- or Intra-Agency) IT collaboration or an individual Agency’s participation in one of these initiatives, such as use of a centralized FOIA portal.
6	Shared Services Identifier	- These four digits are applicable for all investments with a Shared Services Category of “24” or “48”. - A code will be specifically assigned for all E-Gov/LoB shared services in Appendix A, while Agencies should assign their own four-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 digits of the UII for investments starting with xxx-99999XXXX.
7	Mission Support Services Investment Category	- These two digits indicate the category of common Mission Support Services Investments by Federal Integrated Business Framework (FIBF) Service Area(s). - All non-Mission Support Services Investments should use Category 01. - Mission Support Services Investments may select more than one code where applicable. 01: Not Applicable 02: Financial Management 03: Human Resources 04: Procurement 05: Travel / Transportation 06: Grants Management 07: Other
8	Bureau Code	2-digit variable element code

CI #	Field Name	Description
		- 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. <i>Note: 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.</i>
9	Part of Agency IT Portfolio Summary	2-digit variable element code - These two digits indicate one of the three parts of the Agency IT Portfolio Summary, to which the investment belongs: 01: Part 1. IT Investments for Mission Delivery 02: Part 2. IT Investments for Mission Support Services 03: Part 3. IT Standard IT Investments
10	Standard IT Infrastructure and Management Category	- These two digits indicate the sub-category of Investments identified as Part 3: Standard IT Investments. - All Part 3 Investments should select one of the following codes other than “01: Not Applicable,” while all Part 1 and 2 Investments should select “01: Not Applicable.” 01: Not Applicable 02: IT Security and Compliance 03: IT Management 04: Network 05: Data Center and Cloud 06: End User 07: Output 08: Application 09: Delivery 10: Platform
11	Mission Delivery and Management Support Area	2-digit variable element code - 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 via email (ofcio@omb.eop.gov) to include: ○ Agency Code ○ Mission Delivery & Management Support Area
12	Type of Investment	2-digit variable element code - These two digits indicate the type of Investment being reported as follows: 01: <i>Major IT Investments</i> 02: <i>Non-major IT Investments</i> 03: <i>IT Migration Investment</i>: 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: <i>Funding Transfer Investments</i>: These are primarily used to indicate the partner contribution to a Lead Agency Investment through inter- or intra-Agency transfers. The description of the IT Investment should indicate the UII of the Lead Agency’s Investment. 05: <i>Standard IT Investments</i>.
13	National Security Systems	These two digits indicate whether the Investment is a National Security System per the Federal Information Security Management Act of 2002 (FISMA), 44 U.S.C. 3542(b)(2) as follows:

CI #	Field Name	Description
	Identifier	01: Non-National Security System Investment 02: National Security System Investment (these investments will not be publicly viewable on the IT Dashboard)
14	Public URL(s)	- List of URLs - List any website or digital service that is supported primarily by this Investment.
15	Change in Investment Status Identifier	- 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: 01: Upgraded from non-major to major IT Investment 02: Downgraded from major to non-major IT Investment 03: Split into multiple Investments 04: Consolidation of Investments 05: Reorganization 06: Eliminated by funding 07: Eliminated by split 08: Eliminated by consolidation 09: Eliminated by reorganization 10: New 11: No Change in Status <i>Note: For any new IT Standard Investment, use Change in Investment Status Identifier 05 (Reorganization). 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.</i>
16	Agency Description of Change in Investment Status	This is used when an indicator has been chosen for “Change in Investment Status Identifier” 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.
17	FEA BRM Services	- This is the three (3) digit code that indicates the predominant business function served by the Investment (not necessarily the Agency’s mission/business). - BRM version 3.1 contains the current mapping codes.
18	DME PY Funding	- FY20 prior year Agency funding amount reported in \$M. - Should indicate the FY20 prior year amount funded.
19	DME PY Contributions	- FY20 prior year contribution(s) amount reported in \$M. - Should indicate the FY20 prior year amount contributed from other Agencies.
20	DME CY Funding	- FY21 current year Agency funding amount reported in \$M. - Should indicate the FY21 current year funded amount.
21	DME CY Contributions	- FY21 current year contribution(s) amount reported in \$M. - Should indicate the FY21 current year amount contributed from other Agencies.
22	DME BY Funding	- FY22 budget year Agency funding amount reported in \$M. - Should indicate the FY22 budget year amount.
23	DME BY Contributions	- FY22 budget year contribution(s) amount reported in \$M. - Should indicate the FY22 budget year amount to be contributed from other Agencies.
24	DME BY Funding	FY22 budget year Agency budget authority amount reported in \$M.

CI #	Field Name	Description
	(Budget Authority Amount)	Should indicate the budget authority amount for the FY22 budget year.
25	O&M PY Funding	- FY20 prior year Agency funding amount reported in \$M. - Should indicate the FY20 prior year amount funded.
26	O&M PY Contributions	- FY20 prior year contribution(s) amount reported in \$M. - Should indicate the FY20 prior year amount contributed from other Agencies.
27	O&M CY Funding	- FY21 current year Agency funding amount reported in \$M. - Should indicate the FY21 current year funded amount.
28	O&M CY Contributions	- FY21 current year contribution(s) amount reported in \$M. - Should indicate the FY21 current year amount contributed from other Agencies.
29	O&M BY Funding	- FY22 budget year Agency funding amount reported in \$M. - Should indicate the FY22 budget year funded amount.
30	O&M BY Contributions	- FY22 budget year Agency contribution(s) amount reported in \$M. - Should indicate the FY22 budget year amount contributed from other Agencies.
31	O&M BY Funding (Budget Authority Amount)	- FY22 budget year Agency budget authority amount reported in \$M. - Should indicate the budget authority amount for the FY22 budget year.
32	Functional/ Business Sponsor Name	The Functional/Business Sponsor provides visibility for Agencies and OMB as to who the sponsor is for each investment within the IT portfolio.
33	Functional/ Business Sponsor Title	Title of the Functional/Business Sponsor.
34	Cloud Computing Alternatives Evaluation	- One-digit code. - This field 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 are required to 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: - This Investment or a portion of this Investment is leveraging cloud computing. - This Investment is migrating to the cloud. - This Investment is considering cloud computing. - Cloud computing has NOT been considered. - Cloud computing is NOT applicable for any portion of this Investment. - Cloud computing has been considered but was not selected. <i>Note: For Funding Transfer Investments (Investment Type "04"), this field does not need to be completed.</i>
35	Data Center Inventory ID	- The Agency unique identifier (or list of the identifiers) for any relevant data centers from your agency's data center inventory, which is submitted to OMB on a quarterly basis in conjunction with the Integrated Data Collection (IDC). - To be put in contact with your agency's IDC submitters and obtain a list of your agency's correct "Data Center IDs," email ofcio@omb.eop.gov.
36	Total Cloud (PaaS/IaaS) Amount	- Total current year cloud (PaaS/IaaS) Agency funded amount reported in \$M. - This should indicate the CY amounts associated with Platform as a Service (PaaS) and Infrastructure as a Service (IaaS) cloud service offerings for this

CI #	Field Name	Description
	(CY)	Investment. Previously this was asked for in the Agency Provisioned IT Services Spending Summary, which has been eliminated.
37	Total Cloud (SaaS) Amount (CY)	- Total current year cloud (SaaS) Agency funded amount reported in \$M. - This should indicate the CY amounts associated with Software as a Service (SaaS) cloud service offerings for this Investment. - Previously this was asked for in the Agency Provisioned IT Services Spending Summary, which has been eliminated.
38	Total Other Managed Services (non-cloud) Amount (CY)	- Total current year Other Managed Services (non-cloud) Amount (CY/2019) [\$M] - This should indicate the CY amounts associated with non-cloud managed services service offerings. - Previously this was asked for in the Agency Provisioned IT Services Spending Summary, which has been eliminated.
39	Planned Acquisitions [Yes, No]	- Indicate whether the Investment is planning to award a contract in the next 12 months. - This includes awarding new contracts or renewing an existing expiring contract; this does not include exercising an option year.
40	PIV Enabled Systems [Yes, No]	Are all systems in this Investment PIV-enabled systems (per HSPD-12 and OMB Memorandum M-11-11)? [Yes/No] Note: This data is only expected for Investments that will submit System Inventory Lists.

6.3 IT Cost Pools – Operating Expenditures (OpEx)

All applicable IT Cost Pool data (OpEx) is required in the FY 2022 submission year. This applies to all Agency Investment types. It is expected that total investment spending across the IT Cost Pools will generally match investment totals by DME and O&M. Agencies should reference *Appendix B for the TBM IT Tower & Cost Pool definitions and IT CPG/CPIC Standard Investment mapping table.*

IT Cost Pools (OpEx)	IT Cost Pool FY22 Reporting Column Table*		
	(Reported in \$M)		
	PY (FY20) Column #	CY (FY21) Column #	BY (FY22) Column #
Total Internal Labor Amount	41	42	43
Total External Labor Amount	44	45	46
Total Outside Services Amount	47	48	49
Total Hardware Amount	50	51	52
Total Software Amount	53	54	55
Total Facilities & Power Amount	56	57	58
Total Telecom Amount	59	60	61
Total Internal Services Amount	62	63	64
Total Other Amount	65	66	67

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6.4 IT Towers

It is expected that all applicable investment spending data across the IT Towers will generally match Investment totals by DME and O&M. This applies to all Investments types. Agencies should reference

Appendix B for the TBM IT Tower & Cost Pool definitions and IT CPG/CPIC Standard Investment mapping table.

IT Towers	IT Towers FY22 Reporting Column Table*		
	(Reported in \$M)		
	PY (FY20) Column #	CY (FY21) Column #	BY (FY22) Column #
Total IT Security & Compliance Amount	68	69	70
Total IT Management Amount	71	72	73
Total Network Amount	74	75	76
Total Data Center Amount	77	78	79
Total Compute Amount	80	81	82
Total Storage Amount	83	84	85
Total End User Amount	86	87	88
Total Output Amount	89	90	91
Total Application Amount	92	93	94
Total Delivery Amount	95	96	97
Total Platform Amount	98	99	100

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7. What is the CIO Evaluation Report?

Provide CIO numeric evaluation (1-5) for all Part 1 and Part 2 major IT Investments as well as Part 3 Standard IT Investments that reflect the CIO's best judgment of the current level of risk for an 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., CAOs, chief management 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.

When evaluating the level of risk associated with an Investment that creates, collects, uses, processes, stores, maintains, disseminates, discloses, or disposes of personally identifiable information, the CIO and Senior Agency Official for Privacy (SAOP) are required to work together to ensure that the evaluation considers the associated risk to individuals. The SAOP is the agency official responsible for managing privacy risks.

While CIOs have authority and responsibility over the entire IT portfolio, OMB is only requiring CIO evaluations to be reported for major IT Investments that relate to Mission Delivery and Mission Support Services Investments (Part 1 and Part 2 of the Agency IT Portfolio Summary) and Standard IT Investments (Part 3 of the Agency IT Portfolio Summary). Agencies may elect to provide CIO evaluations for other Investment types at their discretion. The following factors and supporting examples can be used to inform the CIO Evaluation for all Investment types:

Evaluation Factor	Supporting Examples
Risk Management	• Risks and associated impact are well understood by senior leadership. • Risk log is current and complete. • Risks are clearly prioritized. • Risk response plans are in place to manage risks.

Evaluation Factor	Supporting Examples
	Change control is established and communicated to all stakeholders (especially with system and process dependencies). <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.
Requirements/Outcomes Management	- Product delivery increments are small in duration and cost. - Investment objectives are clear and scope is controlled. - Outcomes and/or 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	- Acquisition strategy is defined and managed via an Integrated Program/Project Team, which includes all the relevant disciplines. - Accountable oversight official (e.g., COR, PM, etc.) receives key deliverables and reports, such as current status and risk logs. - Designated officials are providing appropriate management of contractors such that the government is monitoring, controlling, and mitigating the impact of any adverse contract performance. - Product demos are conducted and reviewed to ensure stakeholder requirements are being met throughout the systems development process.
Performance	- No significant projected deviations from planned cost, schedule, scope, cost savings/return on Investment, and value of the Investment metrics. - Lessons learned and best practices are incorporated and adopted.
Human Capital	- Qualified management and execution team for the IT Investments and/or contracts supporting the Investment. - Low turnover rate and hiring contingency in place.
Other	Other Agency or program specific factors that the CIO deems important to forecasting future success.

The Agency CIO rates each investment based on his or her best judgment, using a set of pre-established criteria. As a rule, the Evaluation should reflect the CIO's assessment of the risk and the Investment's ability to accomplish its goals. CIOs should consult with appropriate stakeholders in making their evaluation, such as CAOs, program managers, etc. Evaluation ratings are scored on a five-point risk scale, as follows:

CIO Risk Evaluation	Color
5 – Low Risk	Green
4 – Moderately Low Risk	Green
3 – Medium Risk	Yellow
2 – Moderately High Risk	Red
1 – High Risk	Red

The following fields will comprise the CIO Evaluation Report:

Clm #	Field Name	Description
1)	UII	Primary Key for all investments
2)	CIO Rating	CIO's risk rating assessment
3)	CIO Comments	CIO's commentary for the risk rating assessment

SYSTEMS INVENTORY LIST

8. What is the Systems Inventory?

Agencies should report all Information Systems funded by this Investment in the following tables. Systems data relates to Agency efforts including but not limited to category management, application rationalization, security patching, and asset inventory management.

Systems Inventory List (SIL) reporting allows for a many-to-many relationship between Investments and systems; a single system may be funded by multiple Investments with costs split among them, and a single Investment may fund multiple systems. Where single systems are funded by multiple Investments, Agencies should determine how to allocate relevant costs appropriately across those Investments. It is expected that some Investments may not fund a system.

For shared services, only the Lead Agency Investment is required to report the relevant system(s). For purposes of reporting in this table, only include systems currently in operation (i.e., post-deployment). A system may include multiple products. If practical, Agencies should leverage existing asset inventory solutions to generate this data.

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments]

Section B: Systems Inventory

Note: Systems Table B.1 below, report each system and sub-system funded by the Investment.

Systems Table B.1	
Column /Field	Data Description
1	System Unique Identifier Code The System Unique Identifier Code (SUIC) includes an Agency code and an eleven-digit unique identifier. XXX- xxxxxxxx- xxxx: The first three digits represent your Agency code (see Appendix C of OMB Circular No. A-11). xxx- XXXXXXXX- xxxx: The next seven digits serve as the system's unique identifier. xxx- xxxxxxxx- XXXX: The last four digits serve as the sub-system's unique identifier. This identifier should be system-generated and applied at the Agency level. [14-digit primary key for all systems]
2	System Name Agency internal name for system or sub-system, as applicable (e.g., Delphi, HUDCaps, AGMAX, etc.). [250 char max]

Systems Table B.1	
3	Initial Operating Year <i>The fiscal year in which the system was first deployed. [YYYY]</i>
4	System Function(s) <i>For administrative and mission support systems, provide all relevant service area functions associated with this system as defined by the Federal Integrated Business Framework (FIBF), e.g., “FFM.010” as applicable. [7 digit code for each function or N/A]</i>
5	Custom Developed <i>Indicate whether all components of the system were entirely custom developed within Government and do not contain any purchased products (e.g., commercial-off-the-shelf software, licensing, etc.). [Yes/No]</i>

For Product Table B.2 below, report the following data for every product (e.g., application software, middleware software, reporting products, servers, etc.) of each system and sub-system reported in Systems Table B.1 that indicated “No” in Column 5 “Custom Developed.” Systems and sub-systems may have one or more products that should be reported individually rather than included within broader license agreements.

Product Table B.2	
Field	Data Description
1	System Unique Identifier Code <i>[14-digit primary key for all systems]</i>
2	Product Name <i>Indicate the official product name (e.g., Enterprise Business Suite, Momentum, HCM). [250 char max]</i>
3	Vendor Name <i>Indicate the official vendor name (e.g., Oracle, SAP, CGI, GSA) for the specific product (i.e., non-integrated services). [250 char max]</i>
4	Version Number <i>Indicate the Product Name version number to at least the first minor version digit (e.g., 12.1, 9.2, etc.). [250 char max]</i>
5	Last Major Tech Refresh Date <i>Provide the date that the product last had a major refreshment, replacement, or addition of hardware or software (not patching). [MM-YYYY]</i>
6	Anticipated Major Tech Refresh Date <i>Provide, if applicable, the anticipated date that the product will have its next major refreshment, replacement or addition of hardware or software (not patching). [MM-YYYY]</i>
7	Product Expected End of Life <i>If there is no planned end of life, enter “N/A”. End of Life represents the date on which the vendor is no longer providing regular support (extended support for a software version for example is outside of the expected end of life) for a solution, or the original manufacturer is no longer manufacturing parts. [MM-YYYY or N/A]</i>

CONTRACTS REPORT

9. What is the Contracts Report?

The Contracts Report contains all contracts in direct support of an Investment and is collected in accordance with OMB's strategy to align Investment data with FPDS data in order to facilitate Agency and OMB engagement around critical points in contract or acquisition management. This collection may include contracts without a defined period of performance. Contract reporting does not include Inter-Agency Agreements (IAAs).

For all IT Investments, including major, non-major, and Standard IT Investments, the Contracts Report is required, if applicable. Investments should update these fields regularly throughout the reporting cycle.

Section A: General Information	
Column /Field	Description
1	UII <i>[12-digit primary key for all Investments]</i>
2	Reports Contracts Indicate whether this Investment is associated with existing Contracts. <i>[Yes/No]</i>

Section B: Contracts/Acquisitions	
Column /Field	Description
1	Procurement Instrument Identifier (PIID) The unique identifier for each contract, agreement, or order associated with this Investment (Federal Procurement Data Systems (FPDS) data element 1A). Enter PIID numbers for contracts, agreements, or orders both that have already been awarded. Completed and/or expired contracts do not need to be included. Data definitions can be found at Federal Procurement Data System . Please note that reference PIIDs should not be entered for this field. <i>Agencies should provide as many entries as applicable. [PIID by number/character as submitted to FPDS]</i>
2	Reference PIID For each PIID number reported for contract support obtained via an order or call, report the Reference PIID per FPDS instructions for element 1c. <i>Agencies should provide one entry per PIID reported as applicable; not all PIIDs will have a Reference PIID. [Reference PIID by number/character as submitted to FPDS]</i>

MAJOR IT BUSINESS CASE

10. What is the Major IT Business Case?

The Major IT Business Case is one component of the Agency's total budget justification (see Section 51.2 of OMB Circular A-11). OMB uses data reported in the Major IT Business Case to make decisions about budgetary resources consistent with the Administration's program priorities as well as 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.

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

The Agency IT Portfolio Summary 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 Enterprise Architecture (EA) and CPIC processes.

In keeping with the FY 2021 cycle, Business Cases are only required for Part 1 and Part 2 major IT Investments. Also in keeping with the FY 2021 cycle, Part 3 Standard IT Investments are not required to submit business cases though are required to submit Standard IT Investment Reports.

Together, the Major IT Business Case and Major IT Business Case Detail 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, the Investments 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.

10.1 How will Agencies manage IT capital assets/Investments?

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

1. The [Capital Programming Guide](#) of OMB Circular A-11 provides guidance on the principles and techniques for effective capital programming.
2. [OMB Circular A-11, Appendix J](#) explains the principles of financing capital asset acquisitions.
3. [OMB Circular 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](#) and 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 A-130](#), "Managing Information as a Strategic Asset."
- 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, Agency Strategic Reviews, 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 to the quarterly IDC process, per FITARA these should include:
 - the root causes of the high level of risk of the investment;
 - the extent to which these causes can be addressed; and
 - the probability of future success.
- 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. The Investments should be informed by and address performance gaps and goals identified in an Agency’s strategic plan, annual performance plan, EA Implementation Roadmap, and IT asset inventory.
- Initiate improvement to existing assets or acquisition of new assets only after considering alternative governmental source or private sector solutions. Agencies shall maintain an up-to-date comprehensive inventory of all IT systems, IT hardware and software assets at the Agency, bureau and program levels that includes details on the product, vendor, and version types.
- 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.
- Ensure that Investments are supported with the resources, plans, and practices to maintain modern, secure, and resilient IT. IT modernization should focus on improving mission performance while also potentially reducing costs, increasing efficiencies for agencies and citizens, and enhancing citizen engagement and satisfaction. Modern technology can be achieved through:
 - Iterative (e.g., agile) development practices should be used 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 iterative (e.g., agile) teams which allows for frequent reassessment in an incremental manner by implementing IT reforms based upon current guidance and best practices such as U.S. Digital Service Playbook, [TechFAR](#), modular development guidance, and Investment guidance.
 - Investments should focus on digital service delivery including both the migration of information collections and forms online along with the optimization of those services to meet customer needs.
 - 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.
 - Ensure a continuous linkage between Federal, Agency, and bureau EAs based on the

Agency strategic information resources management planning, 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 A-123, Appendix D](#).
- 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 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 Integrated Project Team (IPT) and the associated project charter (if applicable)
 - Acquisition Strategy
 - Investment-level alternative analysis and benefit-cost analysis
 - **Release Plan with budget baseline
 - **Product Backlog
 - **Sprint Plan with backlog and burn down chart
 - 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 required for standard Part 3: IT Infrastructure, IT Security and Management Investments have not been specified.

**Note: Release Plan, Product Backlog, and Sprint Plan are project level and not IT Investment level specific. These are required only for software development projects being managed using iterative (e.g., agile) methodology.

10.2 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 Detail 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 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 MAX.gov site: [Official FY 2022 Budget Guidance on IT Capital Planning](#). 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 months. Projects that do not involve software development are not required to leverage iterative/agile methodologies. All projects within Investments are required to use modular development principles. All major software development projects within Investments are required to incorporate contract terms that require the use of modular/iterative (e.g., agile) development principles.

Major IT Business Case Detail in major IT Investments shall establish cost, schedule, and performance targets for PY and CY. Furthermore, periodic performance metric updates for ongoing operations will vary according to the nature of the metric (e.g., reporting frequency), as indicated in Table D.2.

10.3 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?

For Multi-Agency Collaboration and Intra-Agency Shared Services Investments, the Agency Lead that provides services or coordination services to other Agencies or other units within their Agency will be primarily responsible for 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 Agency Lead's capital programming and budget process. The Agency Lead or SMO for Multi-Agency or Intra-Agency collaboration Investments is also responsible for ensuring that the Investment is included in their Agency IT Portfolio Summary. A SMO is a Federal organization between the agencies and commercial service providers with subject matter experts who drive standardization, integrate solutions, and respond to Agency concerns.

Specifically, the tracking of partner Agency funding, and related capital assets (e.g., migration Investments, SMO, supporting components) for Government-wide E-Gov/LoB Investments will be captured via the [OMB MAX Funding Tool for E-Gov-LoB Initiatives](#). Agency Leads for Government-wide E-Gov/ LoB Investments listed in Appendix A are required to submit Major IT Business Cases unless they obtain a waiver from OMB.

Agency Leads and SMOs are required to submit Major IT Business Cases using the UIIs listed in Appendix A. 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. 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 but only report their shared cost.

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. High risk Investments 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.

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.

10.4 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. Agencies should complete relevant sections based on the type of Major IT Investment as described in the tables in Investment-Level Reporting.

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

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments]

Section B: Investment Detail	
Column /Field	Description
1	Agency Strategic Objective/Priority Goal 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. You may locate the full list of current Agency Strategic objective and/or Agency Priority Goal alphanumeric identifier codes by downloading the spreadsheet available on performance.gov . Agencies should provide as many entries as applicable. [11 char]
2	Return on Investment Briefly describe the Investment’s quantitative and qualitative return on Investment (ROI), including primary and secondary costs and benefits (internal and external to the government) and outcomes achieved or planned. The quantitative analysis should compare the Investment’s planned life cycle cost with any projected or realized cost savings, cost avoidance, and relevant justifications. If no cost savings or avoidance are planned, compare the investment’s planned life cycle cost with a quantitative estimate of current or future benefits and their justification. Additionally, provide a qualitative analysis outlining any additional elements (i.e., legislative mandates, outstanding audit findings or material weakness, Presidential Directive) utilized in alternative selection and how this Investment will address those elements. The response in this field should provide the justification for continued funding of

Section B: Investment Detail	
Column /Field	Description
	this Investment. The results in Table D.1 should map to the Investment's planned outcomes and benefits as described in this section to demonstrate how the ROI is being realized by the Investment. <i>[3500 char]</i>
3	Elimination or Reduction 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 IT Investment Portfolio Summary for two years.) - Investment UII(s) [12-digit UII] - To Be Status [to be eliminated/to be reduced]
4	Current Shared Service Does the Investment currently include an intra- or inter-Agency shared service (common, shared, or centralized solution)? <i>[Yes/No]</i>
5	Future Shared Service Does the Investment plan to include an intra- or Inter-Agency shared service that it does not currently include (common, shared, or centralized solution)? <i>[Yes/No]</i>
6	Paperwork Reduction Act OMB Control Number(s) If systems contained in this Investment collect data from the public, please identify the OMB Control Numbers which authorize that data collection as per the Paperwork Reduction Act. Use Reginfo to identify information collection requests and OMB control numbers. Agencies can work with their Records Officers to determine the applicability.
7	PM Name Provide the name of the Investment-level project/program manager. <i>[250 char]</i>
8	PM Email Provide the e-mail address of the Investment-level project/program manager. <i>[250 char]</i>
9	PM Qualifications The qualification/experience level of the PM. Select one of the following: - FAC-P/PM(DAWIA-3) – Senior - FAC-P/PM(DAWIA-2) – Mid-Level - FAC-P/PM(DAWIA-1) – Entry Level - Other certification with 4 or more years of PM experience (within the last five years) - Other certification with between 2 and 4 years of PM experience (within the last five years) - Other certification with less than two years of PM experience (within the last five years) - No certification, but with 4 or more years of PM experience (within the last five years) - No certification, but with between 2 and 4 years of PM experience (within the last five years) - No certification, but with 2 or less 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 Table C.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 iterative (e.g., agile) fashion or other development methodology, for years beyond the budget year, please provide your best estimates for planning purposes, understanding that estimates for out-year costs will be less certain than estimates for the budget year 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 2020 President's Budget as your previous submission. When making comparisons, please ensure that you compare same-year-to-same-year (e.g., the FY 2020 level for 2020 versus the FY 2021 level for 2020). 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 2020	CY 2021	BY 2022	FY+ 1 2023	FY+ 2 2024	FY+ 3 2025	FY+4 & Beyond
Planning Costs								
DME (Excluding Planning) Costs								
DME (Including Planning) Govt. FTE Costs								
Sub-Total DME (Including Internal Labor/Govt. FTE Costs)								
O&M Costs								
O&M Internal Labor (Govt. FTE) Costs								
Sub-Total O&M Costs (Including Internal Labor/Govt. FTE Costs)								
Total Cost (Including Internal Labor/Govt. FTE Costs)								
Total Internal Labor (Govt. FTE) Costs								
Number of FTE rep by Cost								
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 = 2019</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 = 2027</i>	
3	Compare the funding levels for PY and CY to the final FY 2021 President's Budget for those same years. Briefly explain any significant changes. [500 char] <i>When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY2020 level for 2020 versus the FY 2021 level for 2020).</i>

MAJOR IT BUSINESS CASE DETAIL

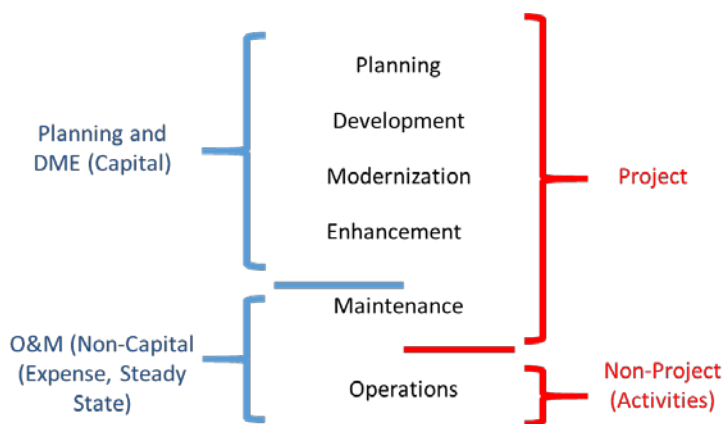
11. What is the Major IT Business Case Detail?

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.

Major IT Business Case Detail is used to provide OMB with Current Year (FY 2021) and Budget Year (FY 2022) 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



While project reporting is often focused on DME efforts, OMB has consistently maintained that maintenance-related projects (e.g., fixing or replacing existing infrastructure resulting in no enhancement or modernization) within O&M spending should also be reported. The graphic above displays the breakdown of DME and O&M spending that relates to project and non-project reporting. Not every O&M dollar spent should be incorporated within a project. However, large scale refreshes and other maintenance projects with a defined start and end date should be reported moving forward. OMB does not intend for Agencies to retroactively report old maintenance projects.

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

A: **General Information:** Enter basic information about the major IT Investment.

B: **Investment Risk:** Provide data for relevant risks related to the A-11 Risk Areas.

C: Project Plan and Execution Data:

C.1: **Projects:** Identify all of the Investment’s projects with activities occurring in CY and BY.

C.2: **Project Activities Table:** Outline the activities that are performed to achieve the outcome of each project.

D: Operational Data:

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

D.2: **Metrics Definitions:** Identify measures used for monitoring performance.

D.3: **Metrics Actuals:** Identify actual results for measures used for monitoring performance.

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments] Agency-provided UII, consistent with Agency IT Portfolio Summary.

Section B: 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 section should follow the Regular Updates Reporting schedule (see Section 2.2).

In Risk Table B, provide risk assessment information related to each of the 13 Risk Areas at the Investment level. Risk Area data should be consistent with what is included in management briefings or Agency status reviews on an ongoing basis. If the Investment is managing multiple individual risks within a single Risk Area, provide responses for the overall area on the basis of the individual risk with the highest probability and impact combined score. If multiple individual risks within a single Risk Area have the same combined score, report on the basis of the risk with the higher impact rating. The probability and impact combined score will be the product of the probability and impact estimates using the numerical designations for each probability and impact benchmark provided in Risk Table B.1; for example, a Risk Area with probability rated as “Low” (2) and impact rated as “High” (4) will have a combined risk score of 2 x 4 = 8. Include the following data in Table B.1:

Risk Table B.1	
Column /Field	Description
1	Risk Area Provide data for relevant risks related to the A-11 Risk Area below. Definitions of each Risk Area are provided in Appendix C. Risk Areas include: 1) Technology 2) Project Schedule and Resources 3) Business 4) Organizational and Change Management 5) Strategic 6) Security 7) Privacy 8) Data

Section B: Investment Risk	
	9) Integration 10) Project Team 11) Requirements 12) Cost 13) Project Management
2	Active Risk For each Risk Area listed in Column 1, indicate whether the Investment has identified at least one active risk. <i>[Yes/No]</i>
3	Risk Probability The likelihood that risk associated with each Risk Area will become realized as an issue. Investments should only report Risk Probability for Risk Areas that reported “Yes” in Column 2. <i>For the purposes of standard reporting across Agencies, the following probability benchmarks have been provided for each response to indicate the estimated likelihood that a given risk will become realized as an issue [Very Low, Low, Medium, High, Very High]:</i> 1) <i>Very Low – 0-10%,</i> 2) <i>Low – 11-30%,</i> 3) <i>Medium – 31-60%,</i> 4) <i>High – 61-90%,</i> 5) <i>Very High – 91-100%.</i>
4	Risk Impact The level of a potential negative impact for the Risk Area if realized as an issue. Investments should only report Risk Impact for Risk Areas that reported “Yes” in Column 2. <i>For the purposes of standard reporting across Agencies, the following impact benchmarks have been provided for each response to indicate the estimated detriment to Investment outcome objectives in the event that a given risk is realized as an issue [Very Low, Low, Medium, High, Very High]:</i> 1) <i>Very Low – little or no impact on achieving Investment objectives,</i> 2) <i>Low – some impact on achieving Investment outcome objectives, but has little or no impact on achieving the Agency’s mission</i> 3) <i>Medium – significant impact on achieving Investment outcome objectives, with moderate impact on the Agency’s ability to deliver core mission functions,</i> 4) <i>High – significant impact on both achieving Investment outcome objectives and the Agency’s ability to deliver core mission values but has little or no impact on the Government as a whole,</i> 5) <i>Very High – severe impact on executing the Agency’s core mission with ramifications for the Government as a whole.</i>
5	Mitigation Strategy/Contingency Plan For each Risk Area with a combined probability and impact score of a “6” or greater, provide a short description of each individual risk with a combined probability and impact score of “6” or greater along with both the Investment’s mitigation strategy for preventing each risk from becoming realized as an issue and the contingency plan should the mitigation strategy fail. The mitigation strategy and contingency plan should deal with methods for avoiding or pre-empting risk as well as addressing any realized issues. This field is optional for Risk Areas with scores of “5” or lower. Investments should only report Mitigation Strategy/Contingency Plan data for Risk Areas that reported “Yes” in Column 2. <i>[1000 char]</i>

Section B: Investment Risk
Section C: Project Plan and Execution Data

Tables C.1 and C.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 C.1 and C.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.
- Projects and activities commencing beyond the BY may also be reported, as available.

Include the following data in Table C.1:

Projects Table C.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. <i>Project names should include brief but sufficient wording to align to the project's goal. [100 Char]</i>
3	Project Goal Brief description of primary goal/outcome the project is planning to provide for the Investment upon completion. <i>[250 char]</i>
10	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 C.2). <i>[MM-DD-YYYY]</i>
11	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 C.2). <i>[MM-DD-YYYY]</i>
12	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 operations costs.
13	Primarily a Software Development or Deployment Project? Is developing or deploying software solutions a primary focus of this project? <i>[Yes/No]</i>

Each project listed in Table C.1 should have at least one associated activity. Please include any relevant project activities in Table C.2.

In Table C.2, describe, at a minimum, all project activities for projects in Table C.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 should produce usable functionality at intervals of no more than six months. "Actual Costs" should include all completed budgetary outlays for that activity, and for the activity to be considered complete, none should remain.

Project Activity Table fields 14-20 are only required when the following conditions are met:

1. Activity has an Actual Start Date
2. Activity has a Planned, Projected, or Actual Completion Date beyond 8/31/2019
3. Activity has no Parent Activities (see WBS Structure below Table C.2)

Include the following data in Table C.2:

Project Activity Table C.2	
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. [100 char]
3	Activity Description Describe what work is accomplished by the activity. [250 char]
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. <i>Note: 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]</i>
5	Start Date Planned The planned start date for the activity. This is the baseline value. [MM-DD-YYYY]
6	Start Date Projected If the activity has not yet started, enter the current planned start date of the activity. [MM-DD-YYYY]
7	Start Date Actual When the activity starts, enter the actual start date here. [MM-DD-YYYY]
8	Completion Date Planned The planned completion date for the activity. This is the baseline value. [MM-DD-YYYY]
9	Completion Date Projected If the activity has not yet completed, enter the current planned completion date of the activity. [MM-DD-YYYY]
10	Completion Date Actual When the activity ends, enter the actual completion date here. [MM-DD-YYYY]
11	Total Costs Planned The planned total cost for the activity. This is the baseline value. [\$M] <i>Note: For programs that are employing earned value management, Agencies should reflect "budget at completion" in the "Total Costs Planned" Column 11 and "estimated at completion" in the "Total Costs Projected" Column 12.</i>
12	Total Costs Projected When the activity is not yet completed, enter the current planned total cost of the activity. [\$M] <i>Note: For programs that are employing earned value management, Agencies should reflect "budget at completion" in the "Total Costs Planned" Column 11 and "estimated at completion" in the "Total Costs Projected" Column 12.</i>
13	Total Actual Costs When the activity ends, enter the total actual costs for the activity here. [\$M]

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. 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 occur 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:

Minimum Data Requirements for “Stand Alone” WBS Activities			
1)	Unique Project ID	6)	Planned/Projected/Actual Start Date
2)	Activity Name	7)	Planned/Scheduled Completion Date
3)	Activity Description	8)	Projected/Actual Completion Date
4)	Structure ID	9)	Planned/Budgeted Total Cost at Completion
5)	Planned Start Date	10)	Projected/Actual Total Cost at Completion

Completed activities must also have *Start Date Actual*, *Completion Date Actual*, and *Total Actual Costs*. 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 (Activity) ID	Start Date Planned	Planned Completion Date	Total Planned Costs
A	Design	A.2	2/1/2021	2/29/2021	\$2.5
A	Business Requirements	A.2.1	2/1/2021	2/10/2019	\$1.0
A	Technical Requirements	A.2.2	2/11/2021	2/20/2019	\$1.0
A	Architecture	A.2.3	2/21/2021	2/28/2019	\$0.5

**Note: ITPM best practices advises that all requirements gathering & validation activities precede the solution & technical design activities in order to ensure that stakeholders’ needs can be tracked during development and successfully met upon completion of the project. The table above is inaccurately sequencing activities and will be corrected in BY23 guidance.*

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.

Section D: Operational Data

Section D 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).

Operational Analysis Table D.1		
Date of Analysis	Analysis Results	Analysis Conclusion
[MM-DD-YYYY]	[Limit: 2500 char] Include a summary of the results including identified actions.	[Drop Down menu: continue as-is, initiate remediation action, initiate innovation action, initiate modernization/replacement action, initiate disposal action]

Operational Performance

Performance of operational Investments is continuously monitored to demonstrate the Investment is meeting the needs of the Agency, delivering expected value, and/or being modernized and replaced consistent with the Agency's Strategic Plan, Investment portfolio, enterprise architecture, risk management framework, acquisition strategy, and human capital plan. Measures used for monitoring performance should be as “outcome” based as possible rather than “output” based and should help benchmark Investment performance and trigger considerations of how the Investment's objectives could be better met, how costs could be reduced, and whether the organization should continue performing a particular function. The [OMB Capital Programming Guide](#) directs that operational performance metrics should seek to answer more subjective questions in the specific categories of:

- 1) **Customer Satisfaction (Process Results)** – Analysis should focus on whether the Investment supports the Investment’s customer processes as designed. The focus is on how well the Investment is delivering goods or services it was designed to deliver. Metrics appropriate for monitoring performance in this category might address the following:
 - Process execution (e.g., acquisition, efficiency, correctness, completeness, timing);
 - Product or service delivery (e.g., quality, timeliness, coverage, availability, satisfaction);
 - Technology functionality or usability (e.g., end-user satisfaction);
 - Increased access to innovative contractors and providers; and
 - Technology performance (e.g., service level agreements).
- 2) **Strategic and Business Results** – Analysis should focus on the effect the Investment has on the performing organization. The focus is on how well the Investment contributes to the organization’s achievement of strategic goals, fulfillment of its mission, and/or meeting service level agreements with its customers. Metrics appropriate for monitoring performance in this category would be specific to the strategic or business concern and would typically address effectiveness or the Investment contribution. Metrics appropriate for monitoring performance in this category might address the following:
 - Business process improvements or advances that support Agency priority goals and measures; and
 - Actions, time, or burden reduction in activities for either Federal users or American taxpayers using the tools.

- 3) **Financial Performance** – Analysis should focus on the comparison of current performance with a pre-established cost baseline. The Investment should also be subjected to a periodic review for reasonableness and cost efficiency. Metrics appropriate for monitoring performance in this category might address the following:
- Cost control (e.g., costs remaining within the specified constraints).
 - Cost reasonableness (e.g., with respect to the cost of similar Investments – benchmarks).
 - Cost efficiency (e.g., cost per unit – transaction, user, and query; especially units of business interest).
- 4) **Innovation** – Analysis should focus on identifying means of maintaining or improving Investment performance in terms of Customer Satisfaction, Strategic and Business Results, and Financial Performance. The focus is on how Investments might maintain with fewer resources or improve current performance through innovative processes such as: generating net new learnings (research and development), supporting buy/build marketplace health, promoting vendor independence and strategic flexibility, employing modularization, rationalizing architecture, and incentivizing high risk/low cost/high yield innovation projects within the Investment.
- 5) **Major Investments Only:** Of all the metrics in use to monitor Investment performance fully, report a minimum of five, drawing on those that best reflect the value of the Investment based upon the following:
1. *Customer Satisfaction (Process Results):* Provide a minimum of one metric that reflects this category.
 2. *Strategic and Business Results:* Provide a minimum of three metrics that reflects this category.
 - a. At least one of the metrics must have a monthly reporting frequency.
 - b. For Investments listed in Part 1 of the Agency IT Investment Portfolio Summary, at least one of these metrics must contribute to a Strategic Objective or Agency Priority Goal.
 3. *Financial Performance:* Reporting metrics that reflect this category is optional.
 4. *Innovation:* Reporting metrics that reflect this category is optional.
- (*Note: The fifth metric, or more as Agencies may report more than five metrics, can come from any category*)

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:

Performance Metrics Definitions Table D.2	
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)

Performance Metrics Definitions Table D.2	
Column /Field	Description
	for each metric. <i>[50 char]</i>
4	Performance Measurement Category Mapping Identify the measurement category, as shown above in this section’s instructions. <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 lifecycle? 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	2020 Target Metric target value from FY 2020, relative to the reporting frequency. <i>[numeric]</i>
7	2021 Target Metric target value for FY 2021, 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 using the appropriate alphanumeric identifier provided by performance.gov . <i>[11 char]</i>
11	Has the Metric Been Retired or Replaced? Indicate when performance metrics are no longer applicable for measuring investment management performance. Or the maturity of the project has entered into a new lifecycle/operational phase that requires new or additional performance metrics to replace existing, previously reported metrics in order to more accurately illustrate the performance management of the investment. <i>[y/n]</i>

Providing Actual Results

As actual results are measured at the appropriate frequency, they should be reported as new entries in Table D.3:

Metric Actual Results Table D.3	
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>

Metric Actual Results Table D.3	
Column /Field	Description
2	Actual Result Actual result measured. <i>[numeric]</i>
3	Date of Actual Result End date of the most recent reporting period. <i>[MM-DD-YYYY]</i>
4	Comment Comments for metrics that have not been met will be valuable for OMB and Agency Reviewers. <i>[500 char]</i>

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

STANDARD IT INVESTMENTS REPORTS

12. Standard IT Investments

Standard IT Investments have Standard IT Investment Report cost breakdowns tailored to the commodity IT data that they comprise. While Standard IT Investments are aligned to specific categories, it is expected that these Investments will comprise spending across multiple categories (e.g., a Network Standard IT Investment may include Network and Delivery spending). Existing Mission Delivery and Mission Support Services (Part 1 and 2) IT spending should not be included in Standard IT Investments. Reference *Appendix B for the TBM IT Tower & Cost Pool definitions and IT CPG/CPIC Standard Investment mapping table*.

Each Standard IT Investment Report will have its own reporting requirements. Please note that the reporting requirements for Standard IT Investments differ from those of major Investments; while PM qualifications are required to be reported within Major IT Business Case submissions, they are not required to be reported for any Standard IT Investment submissions.

Three Standard IT Investment categories do not require a report for FY2022:

1. *IT Management Standard IT Investment*: Includes those costs related to the planning, provisioning, and managing of an enterprise-wide IT management capability. An IT Management Standard IT Investment is created for each independently managed enterprise-wide IT Management capability within an Agency. These capabilities may include but are not limited to strategic planning, IT budgeting, enterprise architecture, and IT governance.
2. *Output Standard IT Investment*: An Output Standard IT Investment is an IT investment for the provisioning of an enterprise-wide independently-managed output capability including centralized printing and support materials management.
3. *Platform Standard IT Investment*: Includes the costs associated with the provisioning and operations and maintenance of platform capabilities.

13. IT Security and Compliance Standard IT Investment

IT Security and Compliance Standard IT Investment: Includes the costs associated with IT security, compliance, disaster recovery and the provisioning of SOC's.

Investment Usage: In the spirit and support of FISMA and FITARA, every organization managing a security program must report an IT Security and Compliance Standard IT Investment to provide visibility into costs and outcomes of its cybersecurity activities. These Investments should include bureau or Agency-wide IT security and compliance spending, such as Agency or component SOC's, not contained within specific program budgets.

Standard IT Investment Report: Yes.

Cybersecurity is a top priority for the Administration, and Agencies are required to report on their Standard IT Investments for IT Security and Compliance at the level at which they are managed and executed. For any Investment designated as an IT Security and Compliance Standard IT Investment (code “02” in Column 10 of the IT Investment Portfolio Summary), complete the following Investment report.

The following are the sections of the IT Security and Compliance Investment Report:

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments]

Section B: Security Operations Center Reporting

Each dollar spent should maintain or enhance security posture and reduce risks. In line with previous years, the security-related information collected through the CPIC process will be used in conjunction with information collected through multiple collections to gain a more complete understanding of agencies’ capabilities and resourcing. In a change from previous years, the information collected in the previously used Cybersecurity Costs and Capability table will be removed and replaced. Though the information was valuable in understanding how agencies budget for cybersecurity, the data collected was largely duplicative of information collected through the annual Cyber BDR, where they will remain due to additional reporting requirements that would be impractical to collect through the CPIC process for Agencies.

For this collection, agencies are asked to report budget information related to their SOC. These vital security hubs are at the epicenter of Federal cybersecurity, and gaining greater detail regarding their costs and operations is necessary to continue driving improvements in the protection of Federal systems and information. In Table B.1 Agency SOC, Agencies should report the following data in separate rows for each Agency-operated SOC included within this Standard IT Investment Report. As Section B now focuses exclusively on Agency SOC spending and management as a subset of Agency and bureau-level security and compliance spending, there is no expectation that the total spend reported in Section B should match the Investment’s total IT spend. Total costs reported in Table B.1 or B.2 are not required to equate to the total IT Security and Compliance Standard IT Investment or IT Security and Compliance spend across the IT Portfolio. Costs associated with these tables may equal or be a subset of Investment spending.

Table B.1 Agency SOC	
Column/Field	Description
1	SOC Identifier Provide the individual SOC name or numerical designation used by the Agency
2	Covered Entities [5 digit code] List of Federal organizations (e.g., Agencies, bureaus, components) for which the SOC provides security services <i>[Agency/Bureau code(s) from OMB Circular A-11 Appendix C. Please append Agency code before Bureau code, if applicable, e.g., USDA, Office of the Secretary is coded 005(Agency) 03 (Bureau) as “00503”]</i>
3	PY 2020 Amount [\$M]
4	PY 2020 Total Federal FTEs [Count]
5	PY 2020 Total Contractor FTEs [Count]
6	CY 2021 Amount [\$M]
7	CY 2021 Total Federal FTEs [Count]
8	CY 2021 Total Contractor FTEs [Count]

Table B.1 Agency SOC	
9	BY 2022 Amount [\$M]
10	BY 2022 Total Federal FTEs [Count]
11	BY 2022 Total Contractor FTEs [Count]
12	Performance Hours The number of operating hours per day during which the SOC executes upon core capabilities of a SOC, including detection, monitoring, analysis and investigation, and responding to potential incidents <i>[Number]</i>
13	Continuous Operations? Does the SOC operate continuously during weekends, holidays, and Agency closures? <i>[Yes, No]</i>

In Table B.2 Contracted SOC, Agencies should report the following data in separate rows for each instance in which this Investment contracts from a SOC service provider.

Table B.2 SOC as a Service	
Column/Field	Description
1	SOC Identifier Provide the individual SOC name or numerical designation used by the Agency
2	Service Provider Type Select whether the service provider is “Government” or “Private”
3	Provider Entity [3 digit code] The top-level Department or Agency which provides SOC services to the reporting Agency <i>(Note: Required only if Service Provider Type is “Government”)</i> <i>[Agency Code from OMB Circular A-11 Appendix C]</i>
4	Covered Entities [5 digit code] List of Federal organizations (e.g., Agencies, bureaus, components) for which the SOC provides security services <i>[Agency/Bureau code(s) from OMB Circular A-11 Appendix C. Please append Agency code before Bureau code, if applicable, e.g., USDA, Office of the Secretary is coded 005(Agency) 03 (Bureau) as “00503”]</i>
5	PY 2020 Amount [\$M]
6	CY 2021 Amount [\$M]
7	BY 2022 Amount [\$M]
8	Performance Hours The number operating hours per day during which the SOC executes upon core capabilities of a SOC, including detection, monitoring, analysis and investigation, and responding to potential incidents <i>[Number]</i>
9	Continuous Operations? Does the SOC operate continuously during weekends, holidays, and Agency closures? <i>[Yes, No]</i>

Section C: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the IT Security and Compliance Standard IT Investment Reports.

14. Network Standard IT Investment

Network Standard IT Investment: Includes those costs associated with the provisioning of an enterprise-wide wide-area network (WAN), local-area network (LAN), and metropolitan-area network (MAN) capabilities.

Investment Usage: Agencies should report Network Standard IT Investments at the WAN level. Agencies should report one Network Standard IT Investment for each WAN or MAN they manage but may report LANs together in one Investment if they are managed at the same level. Agencies should determine how best to include their LANs in their Investment reporting based on how they are managed (e.g., by region).

Standard IT Investment Report: Yes.

Where the Standard IT Investment Report lists reporting requirements referencing sections within the Major IT Business Case Detail, the Standard IT Investment should fully adhere to all reporting requirements described in those sections.

Agencies are required to create budget plans for their network and telecommunications capabilities using the Network Standard IT Investment type. Agencies should report their Enterprise Infrastructure Solution (EIS) transition costs within one or more Network Standard IT Investments. The scope of budget and performance data for this type of IT Investment is different from the mission/business Investment and the other specialty types of Investments. The data collected in the Network Standard IT Investment is tailored to capture data relevant only to that type of Investment.

Each Network Standard IT Investment shall report spending across the following categories of data:

Service Area	Service Description
Transition Services	Transition services related to the migration from Networkx/local network and telecommunications capabilities to EIS capabilities
Data Services	VPN, Ethernet, Optical Wavelength Services, SONET, Private Line, Dark Fiber, IP services
Voice Services	VoIP, Private Branch Exchange (PBX)
Legacy Voice Services	Traditional Voice services, Circuit Switched Data Service, Toll Free
Satellite Service	Satellite (mobile and fixed) primary communication and disaster communications
Managed Services	Managed Network Services, web conferencing services, Unified Communications, Integrated Performance Monitoring, Managed Mobility, Audio Conferencing, Video Conferencing
Service Related Equipment	Separately identifiable and separately priced hardware (e.g. router, switches), firmware, and software components, along with the installation (e.g. wiring), maintenance, relocation and/or removal of network services
Service Related Labor	Sum of both internal and external labor to deliver network or voice services not collected in other categories
Access Arrangements	Connects an Agency's location with dedicated, relatable bandwidth to the service provider's network. This service is a necessity for most EIS services.

The following are the fields in a Network Investment:

Section A: General Information	
Column/Field	Description
1	UII [12-digit primary key for all Investments]
2	Brief Description – Brief description of the organizational/geographic area or areas supported by the network that can clarify costs and metrics
3	Network Primary POC – The name of the managerial primary point of contact for this network's operations
4	Primary POC Email – The email address of the primary POC
5	Anticipated EIS Transition Date – The date by which it is expected to disconnect services from Networkx. If this network is not intending to transition to EIS, please

Section A: General Information
indicate such by identifying that it is not applicable, “N/A”.

Section B: Investment Cost Detail

Complete a table for each applicable Network Component.

Column/Field	Description
1	Network Component <i>Note:</i> Accepted responses in this field will be limited to the areas described above, specifically: • Transition Services • Data Services • VoIP Voice Services • Legacy Voice Services • Toll Free Voice Services • Managed Network Services • Satellite Services • Equipment & Cable and Wiring • Labor • Access Arrangements Definitions for these types can be found above.
2	PY 2020 Amounts [\$M]
3	CY 2021 Amounts [\$M]
4	BY 2022 Amounts [\$M]

Section C: Project Plan and Execution Data
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Please see [Section C of the Major IT Business Case Detail](#) section (Project Plan and Execution Data) for instructions on submissions for Projects under the Project Plan and Execution Data for Network Standard IT Investment Reports. Network Standard IT Investments should only report those project and activity fields that are applicable to the Investment.

Project Table C.1

Please see [Table C.1 of the Major IT Business Case Detail](#) section (Projects Table) for fields and instructions on submissions for Projects under the Project Plan and Execution Data for Network Standard IT Investment Reports. Examples of Projects that may be included in this table include:

- EIS transition
- Network consolidation initiatives
- Network cable replacement

Project Activity Table C.2

Please see [Table C.2 of the Major IT Business Case Detail](#) section (Project Activity Table) for fields and instructions on submissions for Activities under the Project Plan and Execution Data section of Network Standard IT Investment Reports as well as information on the reporting structure of Parent and Child Activities.

Section D: Performance Metrics

Please see [Section D of the Major IT Business Case Detail](#) section (Performance Metrics) for instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Network Standard IT Investment Reports. Network Standard IT Investments should only report those metrics that are applicable to the Investment.

Operational Analysis Table D.1

Please see [Table D.1 of the Major IT Business Case Detail](#) section (Operational Analysis) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Network Standard IT Investment Reports.

Metrics Definition Table D.2

Please see [Table D.2 of the Major IT Business Case Detail](#) section (Metrics Definition) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Network Standard IT Investment Reports.

Metric Actual Results Table D.3

Please see [Table D.3 of the Major IT Business Case Detail](#) section (Metric Actual Results) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Network Standard IT Investment Reports.

Section E: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the Network Standard IT Investment Reports.

15. Data Center and Cloud Standard IT Investment

Data Center Standard IT Investment: An IT investment for the provisioning of an enterprise-wide data center and/or cloud capability. Data centers are described in OMB Memorandum M-19-19 Update to Data Center Optimization Initiative.

Investment Usage: Agencies should report Data Center and Cloud Standard IT Investments at the most granular level available, such as by data center or cloud procurement. If this level of granularity is not available, Agencies should report at the bureau or Agency level and include all relevant data centers and/or cloud procurements at this level of management. Non-tiered data centers should be reported as part of other investments by including costs within the Data Center spend within the Agency IT Portfolio Summary.

Standard IT Investment Report: Yes.

The Data Center and Cloud Standard IT Investment Report lists reporting requirements referencing sections within the Major IT Business Case Detail, the Standard IT Investment should fully adhere to all reporting requirements described in those sections.

Data centers should be broken down to separate investments at the finest granularity possible by the Agency. For federated agencies, at a minimum, this should be separated into individual Investments for each component level organization. Data Center ID may include a list of Data Center IDs if this information is available for broken-out Investments.¹ This Investment may include multiple data centers

¹ These categorizations of data centers map to Agencies' quarterly IDC submissions, in which each record is identified as a tiered data center, a non-tiered data center, or a private-sector cloud instance, as per the definitions established in OMB M-16-19, "Data Center Optimization Initiative (DCOI)", August 1, 2016,

if the Agency is unable to break costs out separately and these data centers are managed together.

For the 2022 budget year submissions, performance metrics and measures for Data Center and Cloud Investments shall continue to be calculated by OMB from Agencies' quarterly IDC data center inventory submissions, in order to reduce Agency burden and ensure consistency and fidelity of those metrics. OMB will leverage the "Data Center ID" to combine performance and spending data for each individual data center or cloud instance.

15.1 Cost Mapping

The Data Center and Cloud Standard IT Investment Report type combines those costs associated with Data Center, Compute, Storage and Cloud.

- **Data Center:** Purpose-built physically separate and dedicated spaces that meet key criteria found in the most current Integrated Data Collection instruction.
- **Compute:** Physical servers running a version of Microsoft's Windows Server or the Linux operating system; IBM AS/400 platform; servers running vendor-specific, proprietary Unix operating systems (e.g., IBM AIX, Sun Solaris, HP UX); and traditional mainframe computers and operations running legacy operating systems.
- **Storage:** Offline storage resources used for archival, backup, and recovery efforts to prevent data loss or data corruption, support disaster recovery and compliance requirements of the distributed storage; includes mainframe offline storage (i.e., any storage resources used for archive, backup and recovery to support data loss, data corruption, disaster recovery, and compliance requirements of the mainframe storage).

Cloud: Cloud spending may be included in these categories. In order to separate cloud spending, the Investment Cost Detail section of this report asks for the disaggregation of cloud spending included in this Standard IT Investment Report. Cloud spending includes, but is not limited to: Virtual servers; includes hardware, software, labor, and support services and central storage such as SAN, NAS, and similar technologies for the distributed compute infrastructure; also includes the equipment, software, and labor to run and operate; includes mainframe online storage (i.e., attached storage arrays and the associated equipment, software, and labor) to run and operate.

15.2 Scenario Mapping

Data Center and Cloud Standard IT Investment Reports shall be captured at the physical location where the data center is located or, for cloud environments, at the management unit operating the cloud infrastructure. If this level of granularity in reporting is not available, Standard IT Investment Reports should be captured at the bureau or Agency level. This shall include relevant tiered data centers, including those housing high-performance computing (HPC)² capabilities. This Standard IT Investment type will accommodate Agencies' different data center infrastructure configurations as follows:

- **A Single Tiered Data Center:** In this scenario, the Agency is reporting this data center through the quarterly IDC with a Tier Classification equal to "Tiered". This data center requires a Data Center and Cloud Standard IT Investment Report. In addition, the Agency shall provide the Federal Real Property Profile ID (for physical data centers in owned or leased property) associated with their data center. Agencies with multiple tiered data centers shall submit spending on each data center data center *separately*.
- **A Tiered Data Center with High Performance Computing (HPC) Capabilities:** In this scenario the Agency is reporting this data center through the quarterly IDC with a Tier

https://obamawhitehouse.archives.gov/sites/default/files/omb/memoranda/2016/m_16_19_1.pdf, and in OMB's Quarterly IDC Instructions.

² Computing capabilities that are measured in floating point operations per second (FLOPS) typically either gigaFLOPS (10⁹) or teraFLOPS (10¹²).

Classification equal to “Tiered” and with a non-zero number of HPC nodes. This data center requires a Data Center and Cloud Standard IT Investment Report. In addition, the Agency shall provide the Federal Real Property Profile ID (for physical data centers in owned or leased property) associated with their data center with HPC capabilities.

- **Tiered Data Center with a Physical Location Connected to One or More Cloud Capabilities:** In this scenario the Agency is reporting this data center through the quarterly IDC with a Tier Classification equal to “Tiered” and the facility is connected to one or more cloud capabilities. For example, an Agency might manage some resources in-house, while hosting other key parts of their IT infrastructure as a public or managed service (also known as a hybrid cloud). This data center requires a Data Center and Cloud Standard IT Investment Report.
- **A Data Center that Consumes Data Center Shared Services from another Agency:** In this scenario the Agency is reporting this data center through the quarterly IDC with a Tier Classification equal to “Tiered” and the facility is connected to one or more cloud capabilities. As a result, the Agency would report spending associated with the Internal Services (i.e., federal managed service provider) costs.
- **A Data Center that Provides Data Center Shared Services to another Agency:** Federal government data centers that are providing data center shared services to another federal government Agency shall incorporate their costs for each Cost Pool associated with the data center.
- **A Cloud Data Center (also known as private-sector cloud or “the public cloud”):** This scenario includes IaaS and PaaS as well as HPC-equivalent cloud implementations not located on Federal facilities. SaaS costs will be captured under the End User Investment. The Agency shall incorporate their cost associated with their cloud data center. Agencies with multiple cloud data centers shall report spending on each instance *separately*.
- **A Non-Tiered Data Center with a Physical Location:** This scenario does not require submission of a Data Center and Cloud Standard IT Investment Report.

The “Data Center ID” identifier in OMB’s IDC will be used to connect Agencies’ data centers inventory and performance data. This will be combined with budget and spending data that will be captured in their Data Center and Cloud Standard IT Investment and associated Investment Reports to inform oversight and Investment decision-making by both the Agencies and OMB.

The following are the sections of the Data Center and Cloud Investment Report:

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments]
2	Data Center ID – The unique identifier from your Agency’s data center inventory, which is submitted to OMB on a quarterly basis in conjunction with the IDC. Your Agency's Data Center and Cloud Standard IT Investment Report must map to its corresponding IDC record by way of this identifier. To be put in contact with your Agency's IDC submitters and obtain a list of your Agency's correct "Data Center ID"s, email ofcio@omb.eop.gov . Agencies should provide as many entries as applicable or enter “N/A” if the Standard IT Investment relates solely to cloud capabilities and does not fund an Agency data center.

Section B: Investment Cost Detail

The table below shall be reported for each of the tiered and cloud data centers in each Agency’s inventory.

Column/Field	Description
1	Component <i>Note:</i> Accepted responses in this field will be limited to the areas described above, specifically: • Data Center (non-cloud costs) • Storage (non-cloud costs) • Compute (non-cloud costs)
2	PY 2020 Amounts [\$M]
3	CY 2021 Amounts [\$M]
4	BY 2022 Amounts [\$M]

Section C: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the Data Center and Cloud Standard IT Investment Reports.

16. End User Standard IT Investment

End User Standard IT Investment: Includes costs associated with the provisioning and support of an enterprise-wide end user capability.

Investment Usage: Agencies should report End User Standard IT Investments at the point of management.

Standard IT Investment Report: Yes.

There the Standard IT Investment Report lists reporting requirements referencing sections within the Major IT Business Case Detail, the Standard IT Investment should fully adhere to all reporting requirements described in those sections.

Agencies have the ability to determine the most appropriate level/approach in reporting Investments in this section. The crucial requirement is that the Investments are reported where they are managed. If, for example, software is acquired and deployed at the enterprise level, then a single Investment identifying the software that is managed in that manner makes sense. If there is a bureau, component, mode or sub-Agency that acquires and manages other off the shelf software to meet a local requirement, those acquisitions and their budget should be reported separately. The desire is to capture End User performance data within the Category Management sections of the IDC quarterly reporting process. The following are the sections of the End User Investment Report:

Section A: General Information	
Column /Field	Description
1	UII <i>[12-digit primary key for all Investments]</i>

Section B: Investment Cost Detail

The below table includes Investment components. This Investment may not have spending in all components; please complete the table based upon what is applicable for the scope of this Investment. The budget definition helps with Agencies in portfolio reviews, and will allow for alignment to appropriate strategic sourcing solutions.

Column /Field	Description
1	End User Component <i>Note:</i> Accepted responses in this field will be limited to the areas described above, specifically: • Workspace • Mobile Devices • End User Software • Network Printers • Conferencing & AV • IT Helpdesk • Deskside Support
2	Total PY 2020 Amounts [\$M]
3	Total CY 2021 Amounts [\$M]
4	Total BY 2022 Amounts [\$M]

Section C: Project Plan and Execution Data

Please see [Section C of the Major IT Business Case Detail](#) section (Project Plan and Execution Data) for instructions on submissions for Projects under the Project Plan and Execution Data for End User Standard IT Investment Reports. End User Standard IT Investments should only report those project and activity fields that are applicable to the Investment.

Project Table C.1

Please see [Table C.1 of the Major IT Business Case Detail](#) section (Projects Table) for fields and instructions on submissions for Projects under the Project Plan and Execution Data for End User Standard IT Investment Reports.

Project Activity Table C.2

Please see [Table C.2 of the Major IT Business Case Detail](#) section (Project Activity Table) for fields and instructions on submissions for Activities under the Project Plan and Execution Data section of End User Standard IT Investment Reports as well as information on the reporting structure of Parent and Child Activities.

Section D: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the End User Standard IT Investment Reports.

17. Application Standard IT Investment

Application Standard IT Investment: Includes the costs associated with the acquisition, development, management, and operation of software and applications. Application resources shared across the enterprise (e.g., testing personnel, integrated development environments, testing software) are included. Application resources specific to program IT investments (e.g., dedicated analysts and programmers) are not included. Application resources, tools, and services associated with development projects for the enterprise application capability itself are included.

Investment Usage: An Application Standard IT Investment is created for each independently managed enterprise-wide application capability within an Agency. For example, enterprise-wide application capabilities may be independently managed based on sub-agencies or technologies (e.g., mobile vs. web vs. mainframe). These capabilities may include but are not limited to Agency custom software

development programs

An Application Standard IT Investment is not created for an application capability that is provisioned as part of a program-specific IT investment. The expenditure of IT resources for such an Application capability is included with the program-specific IT investment. Application Part 3 Investments may exist for some Agencies in instances where Agency-level software development work is provided as an intra- and/or inter-Agency service.

Standard IT Investment Report: Yes.

The Standard IT Investment Report lists reporting requirements referencing sections within the Major IT Business Case Detail, the Standard IT Investment should fully adhere to all reporting requirements described in those sections.

The following are the sections of the Application Investment Report:

Section A: General Information	
Column /Field	Description
1	UII [12-digit primary key for all Investments]

Section B: Investment Cost Detail
--

The below table includes Investment components. Please complete the table based upon what is applicable for the scope of this Investment. The budget definition helps with Agencies in portfolio reviews, and will allow for alignment to appropriate strategic sourcing solutions.

Column /Field	Description
1	Application Component <i>Note:</i> Accepted responses in this field will be limited to the areas described above, specifically: • Application Development • Application Support & Operations • Business Software
2	Total PY 2020 Amounts [\$M]
3	Total CY 2021 Amounts [\$M]
4	Total BY 2022 Amounts [\$M]

Section C: Project Plan and Execution Data

Please see [Section C of the Major IT Business Case Detail](#) section (Project Plan and Execution Data) for instructions on submissions for Projects under the Project Plan and Execution Data for Application Standard IT Investment Reports. Application Standard IT Investments should only report those project and activity fields that are applicable to the Investment.

Project Table C.1

Please see [Table C.1 of the Major IT Business Case Detail](#) section (Projects Table) for fields and instructions on submissions for Projects under the Project Plan and Execution Data for Application Standard IT Investment Reports.

Project Activity Table C.2

Please see [Table C.2 of the Major IT Business Case Detail](#) section (Project Activity Table) for fields and instructions on submissions for Activities under the Project Plan and Execution Data section of Application Standard IT Investment Reports as well as information on the reporting structure of Parent and Child Activities.

Section D: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the Application Standard IT Investment Reports.

18. Delivery Standard IT Investment

Delivery Standard IT Investment: Includes costs to monitor, support, manage, and run IT operations and includes IT Service Management (ITSM) (excludes those ITSM costs associated with the End User Standard IT Investment).

Investment Usage: A Delivery Standard IT Investment is created for each independently managed enterprise-wide delivery capability within an Agency (e.g., PMOs, Customer Relationship Management (CRM) operation centers). For example, delivery capabilities may be independently managed based on sub-agencies or capability (e.g., IT service management vs. client management). Delivery capabilities include but are not limited to implementing and managing enterprise business solutions.

Standard IT Investment Report: Yes.

The Delivery Standard IT Investment Report lists reporting requirements referencing sections within the Major IT Business Case Detail, the Standard IT Investment should fully adhere to all reporting requirements described in those sections.

The following are the sections of the Delivery Investment Report:

Section A: General Information

Column /Field	Description
1	UII [12-digit primary key for all Investments]

Section B: Investment Cost Detail

The below table includes Investment components (IT Service Management, Program, Product, & Project Management, Client Management, and Operations Center).

Column /Field	Description
1	Delivery Component <i>Note:</i> Accepted responses in this field will be limited to the areas described above, specifically: - IT Service Management - Program, Product, & Project Management - Client Management - Operations Center
2	PY 2020 Amounts [\$M]
3	PY 2020 Total Federal FTEs [Count]
4	PY 2020 Total Contractor FTEs [Count]
5	CY 2021 Amounts [\$M]
6	CY 2021 Total Federal FTEs [Count]

Column /Field	Description
7	CY 2021 Total Contractor FTEs [Count]
8	BY 2022 Amounts [\$M]
9	BY 2022 Total Federal FTEs [Count]
10	BY 2022 Total Contractor FTEs [Count]

Section C: Performance Metrics

Please see [Section D of the Major IT Business Case Detail](#) section (Performance Metrics) for instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Delivery Standard IT Investment Reports. Delivery Standard IT Investments should only report those metrics that are applicable to the Investment. Examples of Delivery performance metrics may include:

- Customer satisfaction
- Cost benchmarks
- Network Operations Center monitoring
- Tier 2 and 3 Help Desk support efficacy

Operational Analysis Table C.1

Please see [Table D.1 of the Major IT Business Case Detail](#) section (Operational Analysis) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Delivery Standard IT Investment Reports.

Metrics Definition Table C.2

Please see [Table D.2 of the Major IT Business Case Detail](#) section (Metrics Definition) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Delivery Standard IT Investment Reports.

Metric Actual Results Table C.3

Please see [Table D.3 of the Major IT Business Case Detail](#) section (Metric Actual Results) for fields and instructions on submissions for Performance Metrics and Metrics Actuals under the Performance Metrics section of Delivery Standard IT Investment Reports.

Section D: Investment Risk

Please see [Section B of the Major IT Business Case Detail](#) (Investment Risk) for fields and instructions on submissions for risk data under the Delivery Standard IT Investment Reports.

APPENDIX A: CODING INSTRUCTIONS FOR ADMINISTRATIVE AND MISSION SUPPORT SHARED OR CENTRALIZED SOLUTIONS

Agency shared services Investments not included in the table below should report code “48” for the “Shared Services Category” field in the IT Portfolio Summary.

E-Gov and LoB Initiative Investments (Category Code “24”)				
E-Gov or LoB Initiative	Acronym	Responsible Agency	Includes	Identifier
Benefits.Gov	BG	Labor		0020
Budget Formulation and Execution LoB	BFELoB	Education		3200
E-Rulemaking*		GSA		0060
Federal PKI Bridge	FPKI	GSA		0090
Financial Management LoB	FMLoB	Treasury		1100
FOIA Portal		Justice		0099
Integrated Award Environment	IAE	GSA	Former IAE-Loans & Grants	0230
Geospatial LoB	GeoLoB	Interior		3100
Grants.Gov		HHS		0160
Human Resources LoB	HRLoB	OPM		1200
Performance Management LoB	PMLoB	GSA		0900
Security, Suitability, and Credentialing LoB	SSCLoB	OPM		1250

*E-Rulemaking is scheduled to transition Responsible Agency in FY 2021 from EPA to GSA.

A Partner Agency should list its Investment as Type 04 Funding Transfer and report funding in the Agency Funding fields. The Agency Lead should report both their Investment as a Type 01 Major Investment and funding from customers in the Agency Contribution fields.

**APPENDIX B: TECHNOLOGY BUSINESS MANAGEMENT (TBM) TAXONOMY V3.0
DEFINITIONS* & IT CPG/CPIC STANDARD INVESTMENT MAPPING**

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TBM IT Towers*	TBM IT Tower Definitions*	Standard Investment (IT CPG/CPIC)
Data Center	Data centers are purpose built facilities to securely house computer equipment. Data centers provide racks/cabinets, cabling, clean & redundant power, data connectivity, environmental controls including temperature, humidity and fire suppression, physical security and the people to run and operate the facility and its infrastructure.	Data Center & Cloud
Compute	Compute refers to both general and special-purpose devices and software that are programmed to carry out a set of arithmetic or logical operations. In essence, it provides the "brains" to process application and user requests. Compute includes a wide range of physical and virtual servers differentiated by platform and operating system. The compute tower should include all direct hardware, software, labor and outside service costs.	Data Center & Cloud
Storage	Storage provides centralized data storage and securely holds information and data to be retrieved later. Storage may hold data for application programs and codes, databases, files, media, email and many other forms of information. The storage tower includes distributed and mainframe storage that provides on-line storage for real-time access and archival storage solutions that may enable near-term retrieval or long-term archival capabilities. The storage tower excludes the internal storage included with a typical server configuration or end-user devices such as a laptop, desktop or mobile phone, or tablet.	Data Center & Cloud
Network	Network includes the data and voice equipment along with the transport methods to connect systems and people and to enable people to converse. Networks provide core connectivity within the enterprise data centers as well as connectivity to and access within office buildings and remote locations.	Network
Platform	Platform includes all costs associated with distribution and mainframe databases and middleware systems. Costs include DBMS software and tools, labor and outside services.	No Standard Investment
Output	Output includes the central print services to provide high-volume printing of customer bills, checks, product documentation or other customer support materials. Output also includes additional post print processing support (e.g. fold, stuff, apply postage, bundle).	No Standard Investment
End User	End User includes end user computing devices and support for end users. The scope includes costs to build, manage and run end user computing devices for the enterprise and deliver centralized support to end users.	End User
Application	The Application tower includes costs related to applications in the enterprise. The scope includes the cost of business software	Application

TBM IT Towers*	TBM IT Tower Definitions*	Standard Investment (IT CPG/CPIC)
	and the costs to develop, manage and run applications for the enterprise.	
Delivery	The Delivery tower includes the costs to monitor, support, manage and run IT operations for the enterprise and includes the IT Service Management (ITSM) functions.	Delivery
Security & Compliance	The Security & Compliance tower includes service costs related to IT security compliance and disaster recovery. The scope includes costs to define, establish, enforce, and measure security, compliance, and disaster recovery readiness for the enterprise.	Security & Compliance
IT Management	The IT Management tower includes costs to manage, administer and plan IT (services) for the enterprise. It includes executive management, strategic management, enterprise architecture, IT finance and vendor Management.	No Standard Investment

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TBM IT Cost Pool (OpEx)	TBM IT Sub-Cost Pool	TBM IT Cost Pool/Sub-Cost Pool* Definitions
Internal Labor		Internal labor includes the full range of personnel costs and activities required for delivering or supporting IT services - including direct operational activities, support and management and administrative activities.
	Expense	Employee wages, benefits, expenses & occupancy.
External Labor		External Labor includes the cost of external personnel required for delivering or supporting IT services - including direct operational activities, support, management and administrative activities.
	Expense	External contractor fees, travel, and expenses.
Outside Services		Outside Expenses include IT services purchased from external service providers including consulting services, managed services and public cloud services. Specific examples of outside services include: managed network services, cloud storage for end user backup, and externally provided email services.
	Consulting	External consulting project-based services.
	Managed Service Providers	External managed service providers.
	Cloud Service Providers	External public cloud service providers including IaaS, PaaS, and SaaS.
Hardware		Hardware includes all physical technology assets excluding property, office space or raised floor facilities. The range of assets varies by IT Resource Tower; examples include servers, PCs, storage arrays, network appliances, printers and so on. Where a device contains embedded software (firmware), for example in a network firewall, the cost should be reported as hardware even if the software can be upgraded for a separate fee.

	Expense	Hardware expense of non-capitalized purchases (e.g. spare parts, consumables or equipment below capitalization threshold).
	Lease	Hardware lease expenditures (e.g., hardware purchased through a supplier or financial services leasing agreement).
	Maintenance & Support	Hardware maintenance and support expenditures.
	Depreciation & Amortization	Hardware depreciation of capitalized purchases.
Software	Software includes the licensing, maintenance and support costs for all software including operating systems, middleware, databases, system management and administrative tools, desktop applications and utilities and business applications. Software costs include enterprise or per instance licenses, client-access licenses, maintenance/update costs, customization fees.	
	Expense	Software expense of non-capitalized software purchases.
	Lease	Software license expenditures for the use of non-SaaS provided software. SaaS subscriptions belong under Outside Services > Cloud Service Providers.
	Maintenance & Support	Software maintenance and support expenditures.
	Depreciation & Amortization	Software depreciation of capitalized software license purchases and software development efforts.
Facilities and Power	Facilities and Power costs include the floor space as well as the power, cooling, and other utilities costs, environmental control (fire suppression), power distribution, rack infrastructure, outside services and personnel costs related to managing the data center environment.	
	Expense	Data center space, power, security and other operating expenses (e.g., co-location facility services, electricity, water, etc.).
	Lease	Data center lease expenses.
	Maintenance & Support	Data center maintenance and support expenditures.
	Depreciation & Amortization	Data center depreciation of facility build and leasehold improvements (e.g., raised floor investments, power/PDU infrastructure, and rack build-out).
Telecom	Telecom is for all telecommunications charges, including leased line, domestic and international voice (including mobile), MPLS, ISP and other charges. Telecom costs include the circuits and any associated usage fees for providing voice and/or data telecommunication services between data centers, office locations, the internet and any customer, supplier or partner. This is typically transmission across the wide area network (WAN).	
	Expense	Voice and data network connectivity expenses including circuit and usage expenditures.
	Lease	Telecom lease expenditures.
	Maintenance & Support	Telecom maintenance and support expenditures.
	Depreciation & Amortization	Depreciation/amortization of any capitalized telecom expenditures; typically, this will show up under Hardware or Facilities depreciation/amortization.
Internal Services	Shared Services	Miscellaneous charges received from other internal shared service groups (e.g., HR service fees from the HR department).

		Real estate management fees for space and power should be included in the Facilities and Power cost pool.
Other	Other	Other miscellaneous or non-standard expenses.

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APPENDIX C: RISK ANALYSIS MATERIALS

The table below provides standard definitions for each Risk Area listed in [Major IT Business Case Detail Section B](#). The Risk Areas are the same as those presented in the [Capital Programming Guide](#) Appendix 5 in A-11 and incorporate elements from the GSA OSSPI Risk-Assessment-Tool for IT migrations.

IT CPG/CPIC Risk Table:

Risk Area	Definition
Technology	Risk(s) associated with technical functionality or IT tools.
Project Schedule & Resources	Risk(s) associated with the adequacy of the time estimated for completion of IT program milestones.
Business	Risk(s) associated with acquisition planning and contract management.
Organizational & Change Management	Risk(s) associated with the organizational/Agency/Government-wide cultural resistance to change and standardization.
Strategic	Risk(s) associated with the Investment's failure to achieve the Agency's strategic goals or to drive Agency priorities.
Security	Risk(s) associated with threats to the confidentiality, integrity, or availability of Agency information.
Privacy	Risk(s) to individuals associated with creating, collecting, using, processing, storing, maintaining, disseminating, disclosing, or disposing of Personally Identifiable Information (PII).
Data	Risk(s) associated with the data or information collection burden and accuracy.
Integration	Risk(s) associated with the integration of technology, people, and processes.
Project Team	Risk(s) associated with the investment having a team of qualified professionals with the necessary skills and experience to execute upon the project's goals, budget, and timelines.
Requirements	Risk(s) associated with the adequacy of requirements definition and agreement by relevant functional and technical subject matter experts.
Cost	Risk(s) associated with inadequate cost estimates during planning or unanticipated overruns.
Project Management	Risk(s) associated with an investment having qualified management, strong leadership, and effective communication.