

Information Technology (IT) Reporting Format and Requirements for the BY 2017 Budget Submission







Based on the Office of Management and Budget BY 2017 IT Portfolio Guidance

June 2015



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1. PURPOSE

This guide has been prepared by the U.S. Department of Energy (DOE) Office of the Chief Information Officer (OCIO) to provide Department-wide Budget Year (BY) 2017 Information Technology (IT) Portfolio Summary, the Agency Provisioned IT Services Spending Summary (formerly the Agency Cloud Spending Summary) and the IT Infrastructure Spending Summary reporting instructions and is consistent with the Office of Management and Budget (OMB) requirements. OMB uses the Agency's Portfolio Summary, Provisioned IT Services Spending Summary, and the IT Infrastructure Spending Summary to create an overall "IT Investment Portfolio" published as part of the President's Budget.

Because IT activities significantly impact the Department's ability to accomplish its mission and business functions, it is important to identify and coordinate IT activities being planned by all elements of the Department. The purpose of the Department's IT Portfolio reporting instructions is to provide guidance on OMB's reporting requirements for IT investments and establish the processes to be used in completing these requirements. By completing these requirements, DOE meets the Clinger-Cohen Act of 1996 requirements to provide a full and accurate accounting of IT investments for the agency.

Federal agencies are required to submit an annual IT Portfolio Summary, Provisioned IT Services Spending Summary, IT Infrastructure Spending Summary, and Major IT Business Cases for major IT investments (as applicable).

2. DATA ENTRY INTO ECPIC

The <u>Electronic Capital Planning and Investment Control (eCPIC)</u> system is a government-owned, web-based application that is used by Federal agencies to support their IT Capital Planning and Portfolio Management processes. This includes managing investment portfolios and preparing budget data for submission to the OMB. eCPIC is used to capture IT investment data for submission to OMB. The OCIO will review the data and provide feedback to the Program/Staff Office (PSO) prior to final submission to OMB. The OCIO provides training and instructional materials for eCPIC. Prospective system users should attend eCPIC training prior to using the system.

In order to access eCPIC, please contact the eCPIC Help Desk at (202) 586-5437.

IT Portfolio Summary, Provisioned IT Services Spending Summary, and IT Infrastructure Spending Summary – Each PSO should update existing investment data or create new investments, if needed, in eCPIC. For investments supported by multiple organizations, the program leading the effort will provide a single - investment entry in eCPIC. To avoid double counting, no other organization that contributes to a collaborative (consolidated) investment should report an investment in eCPIC for their portion of that collaborative (consolidated). Each contributing program must ensure that its share of the total investment cost is reported to the lead program for inclusion in the IT Portfolio Summary report.

Major IT Business Case— Each PSO should update existing business case data, and/or create a new business case, if needed. The business case should demonstrate a direct connection to the <u>DOE Strategic Plan</u>, provide adequate justification for selecting the chosen alternative, and provide realistic cost and schedule goals and measurable performance benefits.



The OMB IT Dashboard is a website enabling Federal agencies, industry, and the general public to view details of federal IT investments. The purpose of the IT Dashboard is to provide information on the effectiveness of government IT programs and to support decisions regarding the investment and management of resources. The IT Dashboard provides access to individual Major IT investments, including projects and activities associated with an investment (displayed monthly), and the Department's IT Portfolio (displayed annually). The IT Dashboard is used by the Administration and Congress to make budget and policy decisions.

Refer to the eCPIC Resource Library for IT Budget and Integrated Data Collection (IDC) common definition of terms. Additional budget terms and definitions are included in the Glossary in OMB Circular A-11, Appendix J, "Principles of Budgeting for Capital Asset Acquisitions."

Please contact the <u>eCPIC Help Desk</u> at (202) 586-5437 for assistance with eCPIC, or the <u>DOE CPIC</u> <u>mailbox</u> for any questions related to the agency's IT investment reporting requirements.

3. HOW THE IT PORTFOLIO IS ORGANIZED

The IT Portfolio is composed of three parts:

- 1. Agency IT Portfolio Summary IT investment budget and architecture information;
- 2. Agency Provisioned IT Services Spending Summary -- IT investment budget information by cloud computing deployment model and service model; and
- 3. Agency IT Infrastructure Spending Summary total Agency IT infrastructure spend (includes Parts I 4 of the IT Portfolio Summary).

4. AGENCY IT PORTFOLIO SUMMARY

The Agency IT Portfolio Summary is a report of all IT investments and funding across the Department and must include all major and non-major investments. Funding levels in the Agency IT Portfolio Summary should be provided for Prior Year (PY), Current Year (CY), and Budget Year (BY), as outlined below:

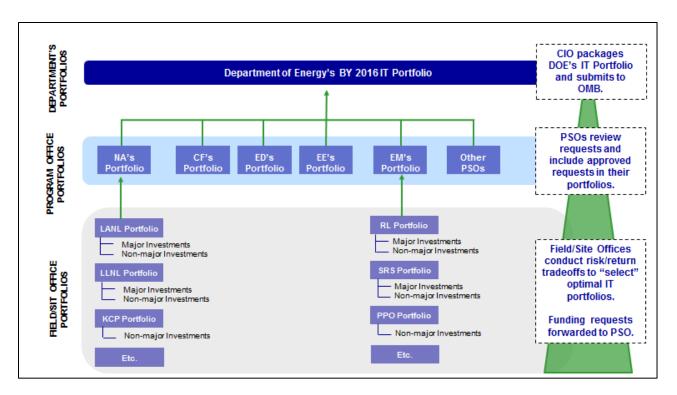
| For: | Funding levels in Agency IT Portfolio Summary should be: | | | |
|--------------------------|--|--|--|--|
| PY (201 <mark>5</mark>) | 201 <mark>5</mark> Enacted/likely actual level, to be updated with actuals for | | | |
| _ | the final FY 201 <mark>7</mark> President's Budget | | | |
| CY (201 <mark>6</mark>) | Likely Enacted for 201 <mark>6</mark> | | | |
| BY (201 <mark>7</mark>) | The agency's request, consistent with OMB FY 2017 Budget Guidance | | | |

These levels should be consistent with program level funding and agency summary of funding tables. Note that the PY funding should be updated to reflect the 2015 Actuals for the final FY 2017 President's Budget.

The Agency IT Portfolio Summary is created when Field/Site/Lab offices analyze the cost and benefits of all proposed investments to select the optimal IT portfolio and forward funding requests to Headquarters PSOs to review requests and include approved requests in their portfolios. The OCIO packages the Department's Agency IT Portfolio Summary and submits to OMB.

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The Agency IT Portfolio Summary has six major parts:

Part 1: IT Investments for Mission Delivery and Management Support

Consistent with agency strategic and annual performance plans, report the amounts for IT investments directly supporting an agency-designated mission delivery area or management support area. Mission delivery is programs or activities that execute the agency mission. Management support is activities such as human resource management, financial management, command and control. Report each mission area in which IT investments are funded, itemizing the "major" and "non-major" IT investments within each mission area.

The only mandatory mission area defined by OMB is Financial Management, and it must be reported as the first mission area. Report all IT investments for major financial management systems in this area. Include in each financial management investment short description a count of the number of federal full time equivalents (FTEs) supporting the system.

Part 2: IT Investments for Infrastructure, Office Automation, and Telecommunications Report all IT investments supporting planning, development, modernization, enhancement, operation, and maintenance of common user systems such as IT infrastructure and IT security. These investments usually involve multiple mission areas and should include End User Services and Support, Mainframes and Servers Services and Support, and Telecommunications Services and Support. Report IT security initiatives and investments not directly tied to a major investment on a separate line identified as "non-major". Section 7 provides additional guidance on how to report infrastructure investments.

Part 3: IT Investments for Enterprise Architecture, Capital Planning and CIO Functions Report amounts for IT investments supporting strategic management of IT operations (e.g., business process redesign efforts not part of an individual investment, enterprise architecture

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development, capital planning and investment control processes, procurement management, and IT policy development and implementation). IT investments in this part of Agency IT Portfolio Summary should include costs for Chief Information Officer (CIO) functions.

Part 4: Investments for Grants Management Systems

Report amounts for IT investments that represent planning, development, modernization, enhancement, maintenance and operation of grants management systems.

Part 5: National Security Systems IT Investments
Part 6: Grants to State and Local IT Investments

Not used by DOE

Each DOE investment reported must be classified into Parts 1, 2, 3, or 4.

Component Descriptions and Instructions

In order to begin the process of Agency IT Portfolio Summary reporting, IT investments must be identified. IT investments include any of the following categories:

- Projects that develop new IT systems or capabilities,
- Maintenance and operation of existing IT capabilities or infrastructure,
- Generalized IT management investments such as the development of enterprise architectures.

After identifying the IT investments, the next step is to recognize and understand what reporting information is required. Understanding the Agency IT Portfolio Summary reporting components is important because it will ensure all required information is gathered for each investment. Appendix A provides information on where to access OMB's final BY 2017 IT Budget – Capital Planning Guidance document which provides a listing and detailed description of each of the 54 required columns of the Agency IT Portfolio Summary.



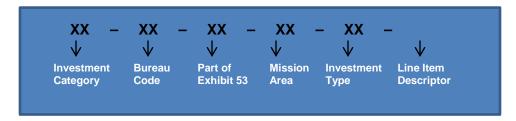
Unique Investment Identifier (UII): All new and existing investments are assigned a 12 digit number called a UII. Each investment has a UII for identification and tracking purposes. The UII is system generated and required for all investments. The "019" Agency Code indicates all Department of Energy investments.

Previous UII: (12 digits required for all legacy investments)

Unique code reported in the previous BY Agency IT Portfolio Summary submission to OMB allowing crosswalk and historical analysis crossing FYs for tracking purposes. To indicate consolidations/splits/reorganizations, agencies can provide more than one entry and separate UIIs with commas. Previous UII is **mandatory**, with the exception of new investments. PSOs should contact the eCPIC Help Desk with questions regarding the UII.

Current UII: (12 digit primary key for all investments)

Each investment is required to report six 2-digit codes for investment information:



| UII Fields | Description | | | | |
|--------------|---|--|--|--|--|
| Investment | 00 = Code for all investments other than those coded "24" or "48." | | | | |
| Category | 24 = E-Gov initiatives or an individual agency's participation in one of the E-Gov | | | | |
| | initiatives. | | | | |
| | 48 = Any multi-agency collaboration or an individual agency's participation in one of the | | | | |
| | multi-agency initiatives, excluding E-Gov initiatives | | | | |
| Bureau Code | 05= National Nuclear Security Administration | | | | |
| (for | 10= Environmental and Other Defense Activities (EM, LM, HSS) | | | | |
| Investment) | 20= Energy Programs (EE, EIA, FE, NE, OE, SC) | | | | |
| | 50= Power Marketing Administrations (SEPA, SWPA, WAPA) | | | | |
| | 60= Departmental Administration (CN, GC, HG, IG, IM, CF, HR, MA, PA) | | | | |
| | 99= Inter-Agency Projects | | | | |
| | 00= Department Level or Agency-wide Activity | | | | |
| Part of the | 01 = Part 1: Mission Delivery and Management Support Area | | | | |
| Agency IT | 02 = Part 2: Infrastructure, Office Automation, and Telecommunications | | | | |
| Portfolio | 03 = Part 3: Enterprise Architecture, Capital Planning and CIO Functions | | | | |
| Summary | 04 = Part 4: Grants Management Systems | | | | |
| | 05 = Part 5: National Security Systems Not used by DOE | | | | |
| | 06 = Part 6: Grants to State and Local | | | | |
| Mission Area | 01=Financial Management | | | | |
| | 11=National Nuclear Security Administration (NNSA) | | | | |
| | 12=Energy Efficiency & Renewable Energy (EE) | | | | |
| | 13=Energy Information Administration (EIA) | | | | |
| | 15=Environmental Management (EM) | | | | |
| | 16=Fossil Energy (FE) | | | | |



| | 17=Other Corporate Management (IM, CF, HR, MA and other DOE Staff Offices) |
|------------|---|
| | 18= Nuclear Energy (NE) |
| | 21=Science (SC) |
| | 23=Power Marketing Administrations (WAPA, SWPA, and SEPA) |
| | 24=Environmental Health, Safety, and Security (EHSS) |
| | 25=Enterprise Assessments (EA) |
| | 31=Legacy Management (LM) |
| | 32=Electronic Delivery and Energy Reliability (OE) |
| | 99=Inter-Agency Projects |
| Investment | 01=Major IT Investment |
| Type | DOE Criteria: Cumulative steady state or mixed life cycle funding of \$25 million or more across PY, CY, and BY; OMB directed portfolio IT investments; Requires special management attention because of its importance to the mission or function of the agency; Significant program or policy implication; High executive visibility; High development, operating, or maintenance costs; or Funded through other than direct appropriations. (Every major investment identified on the Agency IT Portfolio Summary must have an approved Major IT Business Case). |
| | 02=Non-major IT Investment DOE Criteria: (Classify investment as "non-major" if it doesn't qualify as major investment as defined in the above criteria.) |
| | 03=IT Migration Investment Represents a portion of a larger asset and for which there is an existing business case for the overall asset. Description of the IT investment should indicate the UPI of the major asset investment of the managing partner. |
| | OA Barton Array Frank's Contribution |
| | 04=Partner Agency Funding Contribution Represents resources provided by partner agency for a joint effort for more than one agency and is used to identify investments where the business case for the major IT investment is reported in another agency's IT Portfolio Summary. Description of the IT investment should indicate the UII of the major asset investment of the managing partner. |
| Line Item | Identify the nature of the line item in the Agency IT Portfolio Summary structure. The |
| Descriptor | Line Item Descriptor is automatically generated in eCPIC. |
| | 00 = Total investment title line, structurally the first line for reporting this particular |
| | investment. |
| | |
| | 04 = Funding source or appropriation |
| | |

Change in Status Identifier: (drop-down) Required for identifying investments' status. Select from options related to upgrade, downgrade, split, consolidation, reorganization, elimination, new, or no change in status.

Note: PSOs should confirm the selected status is for the current BY submitted (i.e., if the investment was reported as "new" during the BY16 submission, it should be reported as "no change in status" in the BY17 submission.)

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Agency Description of Change in Investment Status: (255 characters) Mandatory field used when an indicator has been chosen for "Change in Investment Status" to provide more description of the rationale for the change. This field must end in a period (.).

Investment Title: Clear, definitive title explaining the investment. If the investment title has changed, include the previous name in parentheses. Follow the DOE IT investment naming convention by starting each investment title with the prefix of the sponsoring organization (e.g., IM Office Automation (formerly Office Computers)

Investment Federal, M&O, or Mixed: (drop-down) DOE required fields have been incorporated into the IT Portfolio Summary in order to identify investments as Federal, M&O or Mixed. If funding for an investment is Mixed (Federal and M&O), users are to provide the percentage of Federal funding. The percentage field is blank and entries should not exceed 100 and be represented as a whole number. The field will not accept a decimal.

DOE Program or Staff Office: (drop-down) Select a Program Office for each investment.

DOE Location: (drop-down) Select the primary location where this investment's work is performed. This is an additional internal field for OCIO reporting purposes. **Note:** If you do not see your Program Office or DOE Location, please contact the <u>eCPIC Help Desk</u>.

OMB Short Description (required): (255 characters) This is a short public-facing description for each investment explaining its purpose and what program(s) it supports, including the value to the public. It should be understandable to someone who is not an expert of the agency. If the investment is part of a multi-agency initiative or part of another business case the description should state this information and refer to the UII of the appropriate business case. This description is displayed on the Federal IT Dashboard and <u>must</u> end in a period (.) when entered in eCPIC.

Internet Protocol version 6 (IPv6): (DOE internal requirement) IT investments should account for IPv6 as part of their budget submission. PSOs should identify percentage of investment funding allocated to IPv6 (major and non-major investments) for PY, CY, and BY. In addition, Major IT Investments should incorporate the deployment of IPv6 in their business cases and milestone tables. Please direct questions to IPv6@hq.doe.gov.

Cross-Boundary Information Sharing Identifier: (drop-down) Activity that crosses a bureau or agency boundary, including information sharing with international, state, local, tribal, industry, or non-governmental organization partners. If the investment supports reusable, standardized information exchanges indicate which were used: 1) NIEM, 2) UCORE, 3) XBLR, 4) Other, 0) None.

Supports Information Sharing and Access: (select all that apply – updated dropdown options to be consistent with the Information Sharing Environment (ISE) guidance) This refers to an IT investment supporting the information sharing, access, and safeguarding mission focus areas and/or standards and technology categories:

Mission Focus Areas:

- 1. State and Regional Information Sharing Environments (including but not limited to requests for information, deconfliction, national fusion center strategy implementation, and trafficking in persons)
- 2. Watchlisting and Screening of Known or Suspected Terrorists
- 3. Transnational Organized Crime
- 4. Domain Awareness (e.g. maritime domain, air domain, critical infrastructure)



- 5. Cybersecurity Information Sharing
- 6. First Responder Incident Management

Standards and Technology:

- 7. Project Interoperability (information interoperability standards and architecture)
- 8. Federated Identity, Credential, and Access Management
- 9. Shared Sensitive But Unclassified Information Services (government-wide or used by state, local, tribal, territorial governments, or the private sector)
- 0. None

Functional/Business Sponsor: The agency official 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. The designated person may (or may not) be the same as the "Business Process owner/Subject Matter Expert" listed for a major investment on the Major IT Business Case under Integrated Program Team. Each major and non-major investment listed in the Agency IT Portfolio Summary must include the name of the functional/business sponsor as well as the individual's title, phone number (omit dashes in eCPIC), and e-mail address (in eCPIC include @ symbol and a .gov or .com).

Cloud Computing Alternatives Evaluation: (drop-down) As of the date of the submission, indicate whether a cloud alternative was evaluated for the investment or components/systems within the investment, per the Cloud First policy. All investments should answer this question regardless of the overall lifecycle stage of the investment, as operational investments may consider performing such an evaluation during or as a result of an operational analysis. This evaluation should indicate one of the following answers:

- 1. The agency evaluated a cloud alternative and chose a cloud alternative with a Public Deployment Model for some or all of the investment.
- 2. The agency evaluated a cloud alternative and chose a cloud alternative with a Private Deployment Model for some or all of the investment.
- 3. The agency evaluated a cloud alternative and chose a cloud alternative with a Community Deployment Model for some or all of the investment.
- 4. The agency evaluated a cloud alternative and chose a cloud alternative with Hybrid/Mixed Deployment Models for some or all of the investment. This option also applies if the investment contains more than one cloud alternative deployment model.
- 5. The agency evaluated a cloud alternative but did not choose a cloud alternative for any of the investment.
- 6. The agency did not evaluate a cloud alternative but plans to evaluate a cloud alternative by the end of the BY.
- 7. The agency did not evaluate a cloud alternative and does not plan to evaluate a cloud alternative by the end of the BY.

Does this Investment provide, as a reimbursable or through a Working Capital Fund, cloud infrastructure or services to Agency Components? (Yes/No)

Does this Investment provide, as a reimbursable or through a Working Capital Fund, cloud infrastructure or services to other Federal or State/Local Entities? (Yes/No)



Federal Enterprise Architecture (FEA) Business Reference Model (BRM) Services – (drop-down) The BRM is the three-digit code that indicates the predominant mission/business function served by the investment (not necessarily the mission/business of the Agency). IT investments are mapped to the BRM to identify opportunities for collaboration, shared services, and solution reuse. The first three-digit code is mandatory and indicates the primary service area. Secondary mappings are optional. If desired, up to four optional secondary service areas may be identified. BRM version 3.1 is the current version. DO NOT select duplicative BRM service mappings for an investment.

Life Cycle Costs: Investments should break-out Development/Modernization/Enhancement (DME) and Operations & Maintenance (O&M) funding requests by PY, CY, and BY. **Costs should be entered in thousands in eCPIC**, and entered into the following categories as applicable:

Agency Funding: Reports the agency's budgetary resources for a given investment for PY (201<mark>5</mark>), CY (201<mark>6</mark>), and BY (201<mark>7</mark>).

Contributions (PY) /Expected Contributions (CY and BY): Includes both monetary contributions and fees for services provided by partner agencies to managing partners or shared service providers of a multi-agency collaboration. Contributions should only apply to multi-agency collaboration. Actual contributions should be reported for PY (2015), as well as expected contributions for CY (2016) and BY (2017).

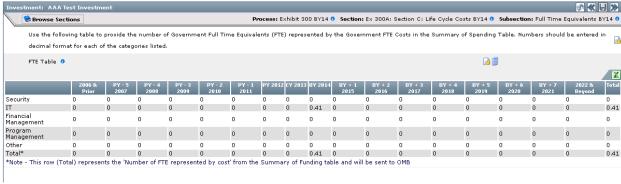
For detailed definition of DME and O&M, please refer to the eCPIC Resource Library for the Integrated Data Collection (IDC) common definition of terms.

Government FTE Number and Percentage of Investment Cost: This is the number of government FTEs included in the PY, CY, and BY funding and the percentage of the total PY, CY, and BY investment cost represented by the number of government FTE. This applies to all investments, both major and nonmajor. If an FTE's costs are included in the investment costs for PY, CY, or BY, the FTE or portion of the FTE should be reported, regardless of the FTE's role in the investment (technical, managerial, functional, or governance). PSOs should verify FTEs are reported consistently. Below is the Life Cycle Cost table in eCPIC where the Government FTE costs:

| | PY - 6 2006 and Prior | PY - 5 2007 | PY - 4 2008 | PY - 3 2009 | PY - 2 2010 | PY - 1 2011 | PY 2012 | CY 2013 | BY 2014 | BY + 1 2015 | BY + 2 2016 | BY + 3 2017 | BY + 4 2018 | BY + 5 2019 | BY + 6 2020 | BY + 7 2021 | BY + 8 2022 and Beyond | Total |
|--------------------------------|--------------------------------|----------------|----------------|----------------|----------------|----------------|------------|---------|------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|---------------------------------|-------|
| Planning Costs | | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| DME (Excluding Planning) Cos | ts | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Planning Govt. FTE Costs | | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| DME (Excluding Planning) Gov | t. FTE C | osts | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Sub-Total DME Costs (Including | ng Govt. | FTE) | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| O&M Costs | | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 400 | 410 | 420 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1230 |
| Disposition Costs (optional) | | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 0&M Govt. FTE Costs | | | | | | | | | | | | | | | | | | |
| Obligations | 0 | 0 | 0 | 0 | 0 | 0 | 50 | 50 | 50 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 150 |
| Sub-Total OSM Costs (Includi | na Govet | FTF\ | | _ | | | | | | _ | | | | | | _ | | |

Below is the FTE table in eCPIC. The ".41" represents 41% of an FTE's time is spent on this investment. PSOs should verify the FTE costs in the Life Cycle Cost Table align with the FTE count in the FTE table.





For example, this represents an average FTE cost of \$121,951 (50K/.41 = \$121,951). An average FTE cost should range between \$70K - \$250K.



Funding Source: (drop-down) For each investment (major and non-major), provide the funding source and budgetary resources. An agency should add as many funding source line items as are appropriate for the investment. **For each reported year, the sum of all funding source(s) amounts for an investment must equal its total investment costs.** Report amounts in thousands when entering in eCPIC for all fiscal years. For example: \$18,000 = 18 or \$1,500,000 = 1500

Below is the Funding Source table in eCPIC.





5. AGENCY PROVISIONED IT SERVICES SPENDING SUMMARY

The Agency Provisioned IT Services Spending Summary is to be completed at the agency level, not at the individual investment level. The Agency Provisioned IT Services Spending Summary is comprised of two tables to report the following data elements for each year (PY, CY, BY). Note that the sum of each year should match across the two tables and this sum should match the sum of the applicable Provisioned IT Services Spending columns 43 to 54 of the Agency IT Portfolio Summary. For definitions of Cloud terms used in the Agency Provisioned IT Services Spending Summary, see NIST Special Publication 800-146. Only costs directly attributable to cloud computing implementations, operations or services should be reported, which may only be a portion of the total cost of contributing/associated investments.

PSOs should complete the following information in Tables A and B in eCPIC:

Costs for Provisioned IT Services by cloud computing deployment model, by year (Dollars in millions)

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

| Table A | PY (FY 201 <mark>5</mark>) | CY (FY 201 <mark>6</mark>) | BY (FY 201 <mark>7</mark>) |
|----------------------|-----------------------------|-----------------------------|-----------------------------|
| Public Cloud | | | |
| Private Cloud | | | |
| Community Cloud | | | |
| Hybrid Cloud | | | |
| Other Provisioned | | | |
| Services (non-cloud) | | | |

Costs for Provisioned IT Services by cloud computing service model, by year (Dollars in millions)

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

| Table B | PY (FY 201 <mark>5</mark>) | CY (FY 201 <mark>6</mark>) | BY (FY 201 <mark>7</mark>) |
|----------------------|-----------------------------|-----------------------------|-----------------------------|
| SaaS | | | |
| PaaS | | | |
| IaaS | | | |
| Other Provisioned | | | |
| Services (non-cloud) | | | |

(The sum of all cells in Table (a) should equal the sum of all cells in Table (b) and should be consistent with Agency IT Portfolio Summary reporting.)



Note: The cloud computing costs are entered in the Agency IT Portfolio Summary and will auto populate what will become the Agency Provisioned IT Services Spending Summary. The sum of the PY (FY 2015) column should equal the sum of the Provisioned IT Services Spending columns 43, 44, 49, 50 of the Agency IT Portfolio Summary. The sum of the CY (FY 2016) column should equal the sum of the Provisioned IT Services Spending columns 45, 46, 51, 52 of the Agency IT Portfolio Summary. Likewise the sum of the BY (FY 2017) column should equal the sum of the Provisioned IT Services Spending columns 47, 48, 53, 54 of the Agency IT Portfolio Summary. The Agency Provisioned IT Services Spending (Cloud Spending) Summary should describe agency funding for IT investments (not agency contributions).

The Agency Provisioned IT Services Spending Summary should describe agency funding for IT investments, to include agency funding to outside agency cloud providers as well as Inter-Agency contributions from other agencies and Intra-Agency from within the Agency.

Provisioned IT Service (OMB definition): Provisioned IT Service is a new category of funds that must be reported as appropriate. A "Provisioned IT Service" refers to an IT service that is (1) owned, operated, and provided by an outside vendor or external government organization (i.e., not managed, owned, operated, and provided by the procuring organization) and (2) consumed by the agency on an as-needed basis. Provisioned IT services are considered subcategories of DME and O&M. Examples of Provisioned IT Service may include the purchase of E-Gov Line of Business from another Federal Agency, or the purchase of SaaS, PaaS, IaaS from a private service provider, or the purchase of shared services or cloud services. Provisioned IT Service excludes Software Licenses but includes both Intra and Inter Shared Services.

<u>DOE guidance:</u> As it pertains to the OCIO, most of the IT services provided by IM-60 should be considered "Provisioned IT Services" since most/all are provided "intra"-agency. Programs should concur that IM-60 should report these services on their behalf.

For "cloud" based services, any supplemental support to a cloud-based solution doesn't have to be included in the cloud totals, e.g., in-house support to manage content, etc. The work/costs should be easily separated when reporting.

For additional guidance regarding examples of Provisioned IT Services, please refer to the OMB's Provisioned IT Services Examples and Rules of Thumb_6_27_2014 file in eCPIC's Resource Library.



6. AGENCY IT INFRASTRUCTURE SPENDING SUMMARY

The Agency IT Infrastructure Spending Summary is to be completed at the agency level (not at the individual investment level) for the PY (2015) and the CY (2016) for all IT Infrastructures that the Agency owns and operates or obtained via services (i.e., where the infrastructure is neither owned nor operated by the agency but is procured via a services arrangement). It should include all of the infrastructure reported in Part 2 as well as the infrastructure used to support investments in the rest of the Agency IT Portfolio Summary (Parts 1, 3 and 4). Each row is mutually exclusive of the others, and the sum of what is listed in the table below should represent the total cost of all IT resources in the agency's entire infrastructure. Costs reported in the cost categories below should incorporate all of an agency's processing environments (e.g., production, development, test, training, disaster recovery/continuity of operations, FTEs, etc.).

Detailed definitions of the IT Infrastructure Cost Categories follow. Also, refer to the eCPIC Resource Library for IT Budget and Integrated Data Collection (IDC) common definition of terms.

| | IT Infrastructure Cost Category | Total PY (\$M) | Total CY (\$M) |
|-------------------|-------------------------------------|-------------------|-------------------|
| | Data Center Labor | | |
| | Data Center Software | | |
| | Data Center Hardware | | |
| <mark>Data</mark> | Data Center Electricity | | |
| <u>Center</u> | Data Center Facility | | |
| | Data Center Migration | | |
| | Data Center Cloud or Other Services | | |
| | Contracts | | |
| | Telecom Data | | |
| Telecom | Telecom Voice | | |
| | Telecom Other Service Contracts | | |
| | Help Desk | | |
| End User | Desktop and Laptop Systems | | |
| End Oser | Mobile Devices | | |
| | End User Other Service Contracts | | |



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



| Electricity used to power data center operations (e.g., servers, environmental, HVAC, |
|--|
| lighting). Agencies may make estimates of Data Center Electricity or Data Center Facility of small data processing environments based on facility electrical/facility costs per square foot multiplied by the number of square feet of the data processing environment or by any other consistent, repeatable, justifiable method. |
| Include the costs for Data Center Occupancy including: |
| Costs for IT equipment floor space (e.g., raised and no-raised floor space used for IT equipment). This is often calculated as the size of the floor space (square footage) multiplied by the monthly rate for that space × 12. |
| Costs for office and/or other floor space: This captures the cost for the office space and/or other areas considered part of the data center that is not part of the raised floor space. This is often calculated as the amount of floor space in the data center minus the amount used for IT equipment, multiplied by the monthly rate for that space × 12. |
| Costs for other facility mechanicals and equipment: These include uninterruptible Power Supply (UPS), redundant power supplies, air conditioning/cooling equipment, power distribution equipment, generators, fuel, and cage access control devices. |
| Includes non-recurring costs for migrating and transitioning from one data center hosting environment and/or provider to another. Examples of items to be considered for reporting in this cost category include but are not limited to: Planning, preparation for, and management of transition Contracting, procurement, establishing SLAs, OLAs, and/or MOUs associated with the transition Performing detailed asset discovery, inventory, and dependency mapping Reengineering/modifications to meet destination site requirements Obtaining temporary or additional capacity (compute, storage, networking) required to accomplish transition Orchestration and coordination of transition Data backup, relocation, restoration, and/or synchronization Updating operational processes and documentation Benchmarking/characterizing performance pre and post transition Testing and validation Troubleshooting Training Security certifications/re-certifications Travel Shipping Insurance Disposal of assets no longer required after transition |
| Disposal of assets no longer required after transition HR expenses for retaining, relocating, retiring, and retraining personnel |
| |



| - | | |
|---|--|---|
| | Data Center Cloud or Other Services Contracts | Data Center Services: This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is given to an external service provider. The Agency IT Infrastructure Spending Summary should include cloud computing in each category spending totals. Costs for cloud computing also should be captured elsewhere in the Agency IT Portfolio Summary, but because cloud computing is part of IT infrastructure, those costs should also be included in the spending totals here. Include costs related to Infrastructure as a service (IaaS) and Platform as a Service (PaaS), but do not include Software as a Service (SaaS) costs. Include managed and/or outsourced services costs or Infrastructure that is procured as a service through a service contract that cannot be broken out into Data Center Labor, Data Center Software, Data Center Hardware, Data Center Electricity or Data Center Facility. |
| | Telecom Data Cost | Includes telecommunications that are organized, procured and managed and/or operated by the Agency. Services may be provided for elements such as data communications through the Wide Area Network (WAN)/Local Area Network (LAN) and associated access/transport options, Trusted Internet Connection (TIC), non-desktop Audio and Video Teleconference (VTC), and associated communications infrastructure elements (e.g., Structured Cabling Costs). Include: • Wide Area Network (WAN) is a private, public or hybrid geographically dispersed network. • Local Area Network (LAN) is a private, public, or hybrid local area network. • Trusted Internet Connection infrastructures, which provide a layer of consolidation and security for internet facing traffic. • Video Teleconferencing (VTC) is a collaborative meeting communications method. Only shared (non-desktop) locations should be included under telecom data unless the desktop instance is a part of a specialized VTC used for remote or ad hoc shared connectivity, typically utilizing Primary Rate Interface (PRI), Integrated Services Digital Network (ISDN), or Ethernet for connectivity. • Labor Costs including FTE, Contract Support, Managed Services, and Other elements. Exclude: • Help Desk Costs |
| | Telecom Voice (non-mobile) Cost | Includes telecommunications that are organized, procured and managed and/or operated by the Agency. Services may be provided for elements such as voice (voicemail, legacy voice service, and VoIP). Include: • Voice Network/Services (WASP/WITS, Legacy Analogue/Digital Voice, Voice Mail, Conference Bridge, automated operator services, and VoIP) (excludes cellular or Blackberry Voice Service). • Labor Costs including FTE, Contract Support, Managed Services, and Other elements Exclude: • Help Desk Costs |
| | Telecom Other Service Contracts | This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is given to an external service provider. |



| | T T |
|--|--|
| Help Desk Cost | Help Desk Cost involves the operation of a service center to respond to government and contract employees' end user device and software support needs (includes, but is not limited to, costs related to employees, contractors, and ticket management software). |
| Desktop and Laptop Systems Cost | Consists of any of the following: desktops and laptops, printers (both individual and shared), print servers; and scanners. This category includes the local hardware and software (PC operating systems, office automation suites) cost associated with the device as well as any related support costs (excluding help desk). Include: Desktops and laptops Virtual desktops Peripherals (scanners, fingerprint scanners, etc.) Software/Desktop Applications (PC operating systems, office automation suites) Local printers, shared printers, fax machines or the cost of supplies (e.g., toner and paper) Labor Costs including FTE, Contract Support, Managed Services, and Other elements Exclude: Help Desk Costs Application Software |
| Mobile Devices Cost | Includes total non-desktop, non-laptop, and small form factor wireless end user device costs. Include: • Hardware (including handsets, tablets, and wireless modems such as air cards) • Software • Maintenance • Service (including network service, such as cellular voice and data plans) • Labor Costs including FTE, Contract Support, Managed Services, and Other elements Exclude: • Help Desk Costs |
| End User Other Service Contracts | This includes fees for services (e.g., outsourced/managed services, maintenance contracts) in which the full operational responsibility is handed over to an external service provider. |

7. DOE INTERNAL GUIDANCE:

7.1. Reducing IT Portfolio Reporting

In an effort to streamline the reporting process and reduce the IT Portfolio, PSOs are encouraged to consolidate their IT investments where appropriate.

Scenario 1: PSOs should de-select/remove investments reporting zero funding for PY 201<mark>5</mark>, CY 201<mark>6</mark> and BY 201<mark>7</mark> from their IT portfolio.

Scenario 2: PSOs with investments reporting funding for PY 2015, but are reporting zero funding for CY 2016 and BY 2017 and are being rolled-up/consolidated into other investments, the PY 2015 funding will be rolled-up/consolidated into the other investments' PY 2015 total. As a result, the original investments reflecting zero funding for PY 2015, CY 2016, and BY 2017 will be removed from the IT Portfolio Summary.

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7.2. Infrastructure, Office Automation and Telecommunications Investments

DOE Guidance: All non-OCIO Energy Information Technology Services (EITS formerly DOECOE) infrastructure investments should be reported in the manner in which they are managed by the Program Office. The investment can be reported as an individual major or non-major line item in Part 2 (Infrastructure).

The following section provides guidance for reporting:

a. Review Infrastructure Investments Submitted in BY 2016 Portfolio

Each site/location should review the infrastructure investments that were submitted in the BY 2016 portfolio. This information should be used to determine if new investments should be added or deleted from the list.

b. Classify and Name Investments by Organizational Code and Service Lines

Investments should be categorized and classified by sponsoring organization and service line. The following naming convention should be used when entering investment information:

- The first part of the naming convention should identify the organizational code for the sub-investment.
- The second part of the naming convention should identify the service line (i.e., Telecommunications Networks, Telephony Services, Application & Data Hosting/Housing, Enterprise Collaboration Services, Office Automation and Cyber Security) associated with the sub-investment. If multiple sub-investments exist within the same organization and service line, then a descriptive suffix should be added to the service line. (Example: RL Telecommunications Networks Main LAN, RL Telecommunications Networks Testbed LAN)\
- Each site/location should submit a separate non-major investment per service line, resulting
 in, if applicable, a maximum of six non-major investments for each site/location under the
 PSO area of responsibility. If sites have multiple significant efforts within a single category,
 each effort should be identified as a non-major investment with a short description that
 explains the distinction among the efforts.

c. Classify Investments by OMB Infrastructure Category

OMB has identified four categories for reporting infrastructure investments. <u>Appendix B</u> provides a crosswalk to illustrate how the four categories align with DOE's six service lines and additional definitions and examples of infrastructure investments.

Each infrastructure investment should identify the OMB infrastructure category it is related to by listing the two letter code provided below into the OMB Short Description field:

- End User Systems and Support = ES
- Mainframes and Servers Services and Support = MS
- Telecommunications Systems and Support = TS
- Cyber Security= CS

For example, if an infrastructure investment is currently classified under the Office Automation service line, it should have "ES" typed into the OMB Short Description field. For those offices at Headquarters that obtain OCIO EITS, only report <u>one non-major investment</u> for EITS services at headquarters.



7.3. Identity, Credential, and Access Management (ICAM) Investment

Agency IT Portfolio Summary Reporting Requirements: To ensure all investments are accurately reported and selected into the ICAM portfolio, please send an email to ICAM-IPT@hq.doe.gov with a list of the HSPD-12/ICAM investments that are required at your locations.

Offices should report ICAM project/activity costs in eCPIC on a monthly basis to support IT Dashboard and Quarterly Control Review reporting.

Background: The DOE ICAM Initiative addresses DOE Order 206.2, *Identity, Credential, and Access Management*, as well as Homeland Security Presidential Directive - 12 (HSPD-12), Office of Management and Budget (OMB) mandates (M-04-04, M-05-24, and M-11-11), and Federal Chief Information Officer Council (Federal ICAM Roadmap and Implementation Guidance [FICAM Roadmap]). The DOE ICAM goals and objectives are:

- Share identity information across DOE organizations as well as with external DOE entities
- Embrace identity credentials at all Levels of Assurance as defined in M-04-04 (to include DOE and other Federal Agencies' HSPD-12, PIV-I, non-PIV, and external credentials approved by GSA's Trust Framework Provider Adoption Process) for access to DOE facilities and information systems
- Foster an enterprise and interoperable access management approach that links DOE physical access control systems (PACS) and logical access control systems (LACS) to a federated access management infrastructure
- Streamline the provisioning, updating, and de-provisioning of access to DOE systems to
 ensure DOE personnel have access to facilities, application, and information to which they are
 entitled

ICAM investments (including HSPD-12 and PKI) should be reported in September as a single business case for the Department. This section provides guidance to DOE headquarters, and program offices when collecting and reporting their ICAM investments in the Agency IT Portfolio Summary. The goal is to collect all information on all efforts to meet ICAM objectives. The OCIO will collect ICAM investment information from the Program Offices; Program Offices should arrange for roll up reporting to the Program Office level.

Investments to include in the Consolidated ICAM portfolio: Each Program Office should report a single investment that includes all activities required to accomplish the DOE Enterprise ICAM Initiative.

| Enterprise ICAM Services | Activities would include any involvement a program office, a staff office, or a site has in the establishment of enterprise ICAM Services to include, but not limited to: Enterprise Identity Data Broker (EIDB), Enterprise Access Management Service (EAMS), Enterprise Federation, Enterprise Credentialing Services, Enterprise Validation Services, Enterprise Privilege Management Services, and Enterprise PKI. |
|-----------------------------|--|
| Identity Data Management | Activities associated within a program office, a staff office, or a site in identifying and integrating the appropriate authoritative data sources with the Enterprise Identity Data Broker . |



| Credentials | Activities would include, but not limited to, those associated with issuance of HSPD-12 Credentials to a new population set covered under DOE O 206.2 or activities for establishing badging capabilities for the populations not required to have HSPD-12 Credentials per DOE O 206.2 (Paragraph 4c(1)). HSS will report HSPD-12 credential costs. Program offices should report only costs associated with Local Site Specific Only credentials, efforts to expand the HSPD-12 to new populations, or new credential capabilities for populations that DOE O 206.2 does not require to have the HSPD-12 Credential. |
|--|--|
| Logical Access: Mandatory PIV Logon | Activities associated with the implementation of the mandatory PIV logon requirement to networks. This is narrowly scoped to implementing technologies and processes in the environment so that HSPD-12 Credential is required for logon to the network from local computers as well as remote access (to include VPN, VDI), etc. |
| Logical Access: Applications | Activities associated with implementing applications and systems within scope of DOE O 206.2. Although enterprise access management services will be available, some sites may implement local access management solutions for their local applications and those activities should be included in the investment. Activities should include the plans for updating applications and/or integrating with access management solutions to address the requirements in DOE O 206.2 (Paragraph 4d(2)) to include accepting HSPD-12 Credentials, PIV-I, and trusted federated access credentials via TFPAP. |
| Physical Access | Activities associated with upgrading and/or deploying new technologies and processes in the environment to support the HSPD-12 Credential for physical access per DOE O 206.2 (Paragraph 4d(3)) to facilities within scope of DOE O 206.2. |
| PKI | DOE O 206.2 provides flexibility for DOE sites to establish their own PKI capabilities. Per DOE O 206.2 (Paragraph 4f(1)), the PKI must be part of the trusted U.S. Federal PKI Common Policy Framework if the intent is to use the PKI to facilitate interoperability and electronic communication within DOE or to other Federal Agencies. Activities to track include DOE sites that have existing DOE PKI Certification Authorities that plan to migrate and/or transition to the DOE Enterprise PKI solution. Activities to track also include the establishment PKI services that are compliant with the U.S. Federal PKI Common Policy Framework but are not part or associated with the DOE Enterprise PKI solution. |
| Digital Signatures and Encryption | Activities associated with transitioning to the HSPD-12 Credential for digital signatures and encryption, as well as activities for incorporating the use of PKI based digital signatures with systems and electronic forms. |



8. DATA SUBMISSION LOGISTICS

This section provides logistics for investment owners to submit their data to their PSOs for submissions to the OCIO for review and feedback.

In the chart below, each organization's senior IT manager who owns a portfolio of IT investments in eCPIC will be responsible for updating, reviewing and certifying via email to DOE CPIC mailbox that their organization's submission is complete for OCIO review. After the OCIO review, PSOs will be notified if the submission is satisfactory or if further modifications are necessary.

Note: The proposed dates are subject to change, pending final guidance from the Office of the Chief Financial Officer and the OMB.

| Due Date | Responsible Party | Action |
|-------------------------------|--|--|
| 7/8 | Headquarters, eCPIC Investment owners, and Portfolio owners | PSO's preliminary BY 2017 IT Portfolio and Agency Provisioned IT Services Spending Summary (Cloud Spending) due to the OCIO. Provide the names of any new, upgraded or downgraded major IT investment(s) to DOE.CPICmailbox@hq.doe.gov . |
| 7/9 - 7/20 7/14 COB eCPIC | OCIO | OCIO reviews preliminary BY 2017 IT Portfolio data and Agency Provisioned IT Services Spending Summary (Cloud Spending) and provides Performance Improvement Plan (PIP) feedback to PSOs by 7/20 COB. |
| Lock-out | | eCPIC v7.2 upgrade and migration to the BY 2017 template |
| 7/21 eCPIC Unlocked | PSOs | |
| <mark>7/21 – 7/31</mark> | | PSOs to incorporate feedback from OCIO preliminary review. |
| 8/3 – 8/10 | OCIO | OCIO reviews BY 2017 IT Portfolio, Agency Provisioned IT Services Spending Summary (Cloud Spending), IT Infrastructure Spending Summary, and Major IT Business Cases. OCIO provides PIP feedback to PSOs by 8/10 COB. |
| 8/11 – 8/17 | PSOs | PSOs to incorporate feedback from OCIO review in the new BY 2017 Template. |
| 8/18 – 8/27 COB | OCIO | OCIO provides final review of BY 2017 IT Portfolio, Agency Provisioned IT Services Spending Summary (Cloud Spending), IT Infrastructure Spending Summary, and Major IT Business Cases. |
| 8/28 Temporary eCPIC Lock-out | OCIO | eCPIC v7.3 upgrade with final schema validations. |
| 8/31 | OCIO | OCIO to submit draft BY 2017 IT Portfolio to OMB for system testing and portfolio validation against new BY 2017 reporting requirements. |
| <mark>8/31</mark> | OCIO | OCIO to submit August IDC data to OMB. |
| <mark>9/1 – 9/9</mark> | PSOs | PSOs to incorporate feedback from OCIO final review. |
| 9/9 COB Lock-out | OCIO | eCPIC Lock-out in preparation of the final BY 2017 IT Portfolio, Agency Provisioned IT Services Spending Summary (Cloud Spending), IT Infrastructure Spending Summary, and Major IT Business Cases submission. |
| <mark>9/14</mark> | OCIO | BY 2017 IT Portfolio, Agency Provisioned IT Services Spending Summary |

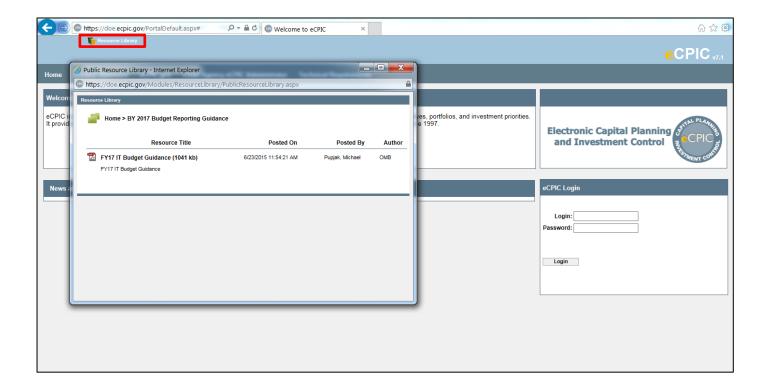
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| Due Date | Responsible Party | Action |
|---|----------------------|--|
| | | (Cloud Spending), and IT Infrastructure Spending Summary submitted to OMB's IT Dashboard. |
| <mark>9/15 – 9/18</mark> | OCIO | BY 2017 Major IT Business Cases submission to OMB's IT Dashboard. |
| <mark>11/30</mark> | <mark>OCIO</mark> | OCIO to submit November IDC data to OMB. |
| early January 201 <mark>6</mark> (tentative) | OCIO | Final President's Budget Request BY 2017 IT Portfolio, Agency Provisioned IT Services Spending Summary (Cloud Spending), and IT Infrastructure Spending Summary due to OMB. |
| early February 201 <mark>6</mark> (tentative) | OCIO | Final President's Budget Request Major IT Business Cases due to OMB. |
| end of March 2016 (tentative) | PSOs | BY <mark>2017</mark> Major IT Business Cases submit supporting artifacts for new investments for submission to OMB's MAX site. |
| Ongoing | PSOs | BY 2017 Major IT Business Cases submit updated versions of supporting artifacts for existing investments - [including date of last update] as a) significant changes are made, b) within 30 days of its presentation to an Agency's governance board review (e.g. IRB/CIO review), or c) as available throughout the investment's lifecycle. |

9. APPENDIX A: AGENCY IT PORTFOLIO SUMMARY COLUMNS

The Agency IT Portfolio Summary is organized into 54 columns, which can be found in OMB's final BY 2017 A-11 IT Budget Guidance document, beginning on page 8. The pdf file represented in the screenshot below has been uploaded to eCPIC's Resource Library. Click on the "Resource Library" icon and navigate to the BY 2017 Budget Reporting Guidance folder.





10. APPENDIX B: INFRASTRUCTURE SERVICE LINE DEFINITIONS AND EXAMPLES

| OMB Infrastructure Categories | DOE Service Line | Definition | Example |
|---|---------------------------------------|---|---|
| Telecommunications Systems and Support (TS) | Telecommunications Networks | All IT investments required to support network communications between Wide Area Networks (WAN), Metropolitan Area Networks (MAN), Campus Area Networks (CAN), and Local Area Networks (LAN). All IT investments required to provide networking services within a building, campus, data center or Center, including hardware, software, and services (including wireless LANs, remote access, Domain naming services, network management, X500/directory services). | Commercial ISP (WANs) Agency WAN Converged Voice/video/data networks Wide Area Networks Metropolitan Area Networks Campus Area Networks Local Area Networks Internet access services Maintenance (COTs and SLAs) NOCs / NMCs |
| | Telephony Services | All elements that provide voice services to users including hardware, software, services and communications. | Telephones local and long distance services 2-way radio Cell Phones Services Facsimile Services FTS services International services Voice Teleconferencing Calling cards 800 # service Voice over IP PBXs Voice mail Public Address (PA) Emergency Warning System Satellite Phones Unified messaging Wireless support |
| Mainframes and Servers Services and Support (MS) | Application & Data Hosting/Housing | Application services provide an end service to end-users. Application services include the development, operations and maintenance of applications that are not desktop services. Includes IT investments in hardware (not a part of a datacenter), software and services required to provide application services remote from a desktop and not provided by a Data Center. This includes design, development, help and other support, operations and maintenance. | Includes but is not limited to: Application hosting/housing Application development Database hosting/housing Database development Datacenters e-Forms Standard Agency-wide Administrative Systems Web services internal to Agency or Bureau (to include GP applications with a web frontend) General Purpose IT Support of Missions/Projects |



| ONAD leafing at an an | DOE Coming I'm | D-fi-i+i | F |
|--------------------------------------|--------------------------------------|---|---|
| OMB Infrastructure | DOE Service Line | Definition | Example |
| Categories | | A data center is a collection of IT hardware and software that is used for multiple purposes, and often related to, computing services. Furthermore, these resources are usually funded and operated as a shared resource with management dedicated to operating the center. Mass storage systems should be included as a data center unless the mass storage is integrated into some other IT facility. Includes: Data storage (digital data storage services, including hardware, software and services) Web services provided to citizens by the Agency (all costs: HW/SW, design maintenance and support) Externally focused websites (not internally focused websites) IT investments to support software engineering services | IT Support for Centralized Services (data center, servers, mass storage, web services, e- mail, etc.) Center Web Services Public Web Portal Data dictionary (XML and other) and directory services focused on facilitating web access to information Integrated development Environments Requirements Development and Management Software Configuration Management Software / System Test Modeling |
| | Enterprise Collaboration Services | All investments required to support video and video distribution and video conferencing services used by the Agency or Bureau to include hardware, software and support services - not including LAN or WAN. IT investments to provide email, instant messaging, and collaborative tools. | Video Services Administrator Video VITS Digital video production equipment/facilities Conference Room A/V support Video distribution systems, Digital TV (DTV) Project and HDTV All Email, Calendaring Wireless PDA/Handheld (i.e.: Blackberry) Pagers Advanced Engineering Environment (AEE) Electronic Work Environment Initiative Video over IP ISOWAN Center E-mail WebEx E-Room Secure video Audio conferencing |
| End User Systems and Support (ES) | Office Automation | Desktop computing services to users to include all general purpose, desktop computing hardware and software (OS, | Desktop computers Laptop computers Suites software Graphics software |



| OMB Infrastructure Categories | DOE Service Line | Definition | Example |
|----------------------------------|------------------|--|---|
| Categories | | applications and utilities) components and services (including design, build, operations, support, and maintenance services). Includes peripherals/printers and multipurpose help desks. Does not include email, calendaring client and servers, and desktops whose primary use is mission specific. | IT asset management Network peripheral devices Admin – Policy/Procedures Software licensing Help Desk Operating systems Software (e.g., word processing, spreadsheet, presentation, project management, browser, etc.) |
| Cyber Security (CS) | Cyber Security | All IT investments to provide shared security services. | Certificates / Digital Signatures Digital Certificate Authentication SSL Platform/Desktop Firewalls services Platform/Desktop Antivirus Services Scanning/Penetration Tests Desktop Personal Firewall Supporting Security Services Firewalls specify policies about what traffic may or may not enter a particular computer network. An IDS (Intrusion Detection System) monitors patterns of traffic and signals an alert once it deems that an attack has taken place. An IDS can be network-based or host-based, passive or reactive, and can rely on either misuse detection or anomaly detection. |



11. APPENDIX C: HOW TO ACCESS OR ADD A RESOURCE TO AN INVESTMENT OR PORTFOLIO

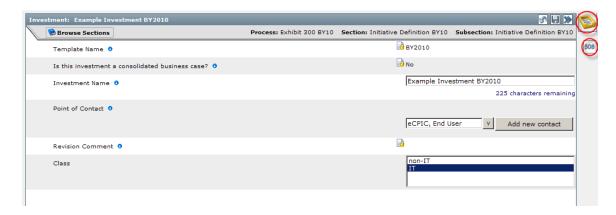
11.1. Investment Resources

eCPIC provides a **Resource Library** that allows users to access and download reference materials from anywhere in the application, including the Home Page. Users with the "Create" Right can access a resource from the Resource Library of an investment, and a portfolio.

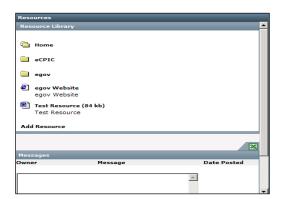
11.2. Accessing Investment Resources

To Access Investment Resources from within an investment:

Click on the Toggle Resource List icon (). The Resource List icon will appear on the side of the investment.
 There will also be the () icon.



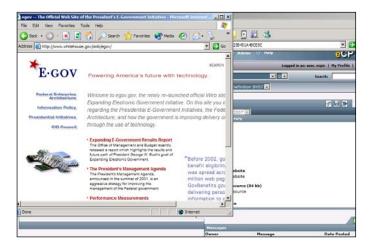
2. Mouse over either icon to show the **Resource Library** and investment **Messages**. The **Resource Library** window contains a list of Resources that relate specifically to the investment.





Note: Once users click on the Toggle Resource, they can click on the top bar of the Resource Library window and drag it where they would like. Once users have dragged the window they can release the click from the icon. Click on the icon or outside the box to close the pop-up window. If users click on the 508 icon, they will not be able to drag the window. Instead, the Resource Library will appear to the right in a locked position. Click on the 508 icon again to close the window. This will show both the Resource Library and 508 icons once again.

3. Click on a **Resource Title** to open the resource in a separate browser window. The browser window can be resized and kept open as users continue to review or edit the investment data.

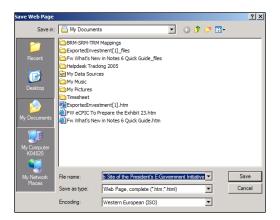


- 4. From the address bar in the new window, highlight the **Name** of the file.
- 5. Click on File.
- 6. Select Save As.



A File download or Save Web Page screen will appear:





- 7. Select the location to save the file and name the file.
- 8. Click **Save** to save the document.

11.3. Access Portfolio Resources

To Access Portfolio Resources from within a portfolio:

1. From within a Portfolio, click on the **Toggle Resource List** icon (). The Resource List icon will appear on the side of the portfolio. There will also be an icon.



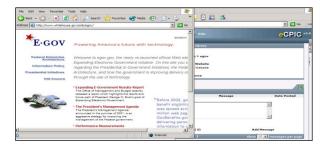
2. Move the mouse over either the icon to view the Resource Library and a Messages field to show the Resource Library and Portfolio Messages. The Resource Library window contains a list of Resources that relate specifically to the portfolio.



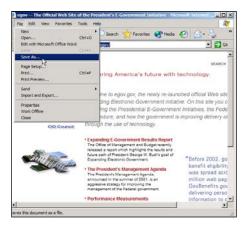


Note: Once users click on the Toggle Resource, they can click on the top bar of the Resource Library window and drag it where they would like. Once users have dragged the window where they would like it, they release the click from the icon. Click on the icon or outside the box to close the pop-up window. If users click on the 508 icon, they will not be able to drag the window. Instead, the Resource Library will appear to the right in a locked position. Click on the 508 icon again to close the window. This will show both the Resource Library and 508 icons once again.

3. Click on a **Resource Title** to open the resource in a separate browser window. The browser window can be resized and kept open as users continue to review the portfolio data.

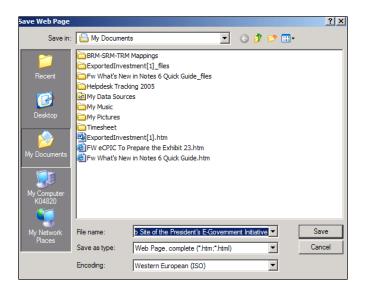


- 4. From the address bar in the new window, highlight the **Name** of the file.
- 5. Click on **File**.
- 6. Select **Save As**.



A File download or Save Webpage screen will appear:





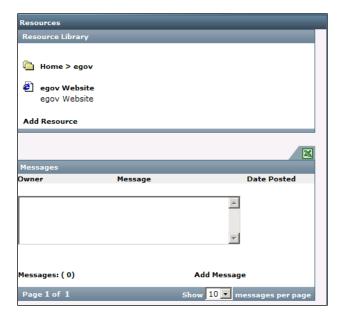
- 7. Select the location that to save the file and Name the file.
- 8. Click **Save** to save the document.

Add an Investment or a Portfolio Resource

With the "Create" Right for the Resource Library, users will be able to add Resources to the Resource Library of an Investment and a Portfolio.

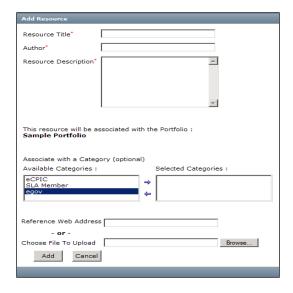
- From within an investment or a portfolio for which users would like to add a resource, click on the Toggle Resource List icon (). The Resource List icon will appear on the side of the investment or portfolio. There will also be the icon.
- 2. Mouse over either icon to view the Resource Library and a Messages box to show the Resource Library and Investment Messages. The Resource Library window contains a list of Resources that relate specifically to the investment or portfolio.





Note: Once users click on the Toggle Resource, they can click on the top bar of the Resource Library window and drag it where they would like. Once users have dragged the window where they would like it, they release the click from the icon. Click on the icon or outside the box to close the pop-up window. If users click on the 508 icon, they will not be able to drag the window. Instead, the Resource Library will appear to the right in a locked position. Click on the 508 icon again to close the window. This will show both the Resource Library and 508 icons once again.

3. In the Resource Library window, click **Add Resource**. The Add Resource form will appear:



4. In the Add Resource form, enter the Title, Author, and Description.

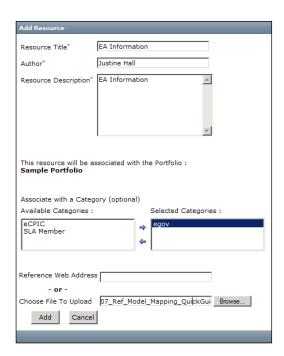


5. If there are Resources Categories available, users will see them listed in the 'Available Category' box. Users can associate the Resource with a category by highlighting the specific category and clicking the arrow to move it to the 'Selected Category' box.

To remove a category from the 'Selected Category', highlight the category and click on the arrow to move it back in the 'Available Category' box.

Note: Holding 'Shift' while selecting categories will highlight multiple categories at one time in the order which they are listed. Holding 'Ctrl' while selecting names, will allow users to highlight a category and select other categories that may not be in order.

- 6. If adding a Web link, enter the address in the 'Reference Web Address' field. (Don't forget to add the http://to the beginning of the link)
- 7. If adding a document, click **Browse** and navigate to find the appropriate file.



8. After all information is complete, click **Add**. The Resource will now be associated with the investment or portfolio and any Category specified.







12. APPENDIX D: LIST OF ACRONYMS

| | ACRONYMS |
|---------|--|
| ACRONYM | DESCRIPTION |
| A/V | Audio/Video |
| AEE | Advanced Engineering Environment |
| AR | Advanced Research Projects Agency - Energy |
| AU | Office of Associate Under Secretary for Environment, Health, Safety and Security |
| BRM | Business Reference Model |
| BY | Budget Year |
| CAN | Campus Area Network |
| CF | Office of Chief Financial Officer |
| CI | Assistant Secretary for Congressional and Intergovernmental Affairs |
| COE | Common Operating Environment |
| COTS | Commercial-Off-The-Shelf |
| CS | Cyber Security |
| CY | Current Year |
| DME | Development/Modernization/Enhancement |
| DOE | Department of Energy |
| DOECOE | DOE Common Operating Environment |
| DTV | Digital TV |
| EA | Office of Independent Enterprise Assessments |
| EAMS | Enterprise Access Management System |
| eCPIC | electronic Capital Planning and Investment Control |
| ED | Office of Economic Impact and Diversity |
| EE | Assistant Secretary for Energy Efficiency and Renewable Energy |
| E-Gov | E-Government |
| EIA | Energy Information Administration |
| EIDB | Enterprise Identity Data Broker |
| EITS | Energy Information Technology Services |
| EM | Assistant Secretary for Environmental Management |
| EPSA | Office of Energy Policy and Systems Analysis |
| ES | End User Systems and Support |
| FE | Assistant Secretary for Fossil Energy |
| FEA | Federal Enterprise Architecture |
| FICAM | Federal ICAM |
| FTS | Federal Telecommunications System |
| FY | Fiscal Year |
| FTE | Full-Time Equivalent |
| GC | Office of General Counsel |
| GP | General Purpose |
| HC | Office of Chief Human Capital Officer |
| HDTV | High Definition TV |
| HG | Office of Hearings and Appeals |
| HSPD-12 | Homeland Security Presidential Directive 12 |
| HVAC | Heating, Ventilation, and Air-Conditioning |



| | ACRONYMS |
|---------|---|
| ACRONYM | DESCRIPTION |
| HW | Hardware |
| IA | Assistant Secretary for International Affairs |
| IaaS | Infrastructure as a Service |
| ICAM | Identity, Credential, and Access Management |
| IDC | Integrated Data Collection |
| IDS | Intrusion Detection System |
| IE | Office of Indian Energy Policy and Programs |
| IG | Office of Inspector General |
| IM | Office of Chief Information Officer |
| IN | Office of Intelligence and Counterintelligence |
| IP | Internet Protocol |
| IPv6 | Internet Protocol version 6 |
| IRB | Internal Review Board |
| ISDN | Integrated Services Digital Network |
| ISOWAN | Isolated Wide Area Network |
| ISE | Information Sharing Environment |
| ISP | Internet Service Provider |
| IT | Information Technology |
| LACS | Logical Access Control Systems |
| LAN | Local Area Network |
| LM | Office of Legacy Management |
| LP | Loans Program Office |
| M&O | Management and Operating |
| MA | Office of Management |
| MAN | Metropolitan Area Network |
| MAX | https://max.omb.gov/ |
| MOU | Memorandum of Understanding |
| MS | Mainframes and Servers Services and Support |
| NNSA | National Nuclear Security Administration |
| NE | Assistant Secretary for Nuclear Energy |
| NIEM | National Information Exchange Model |
| NMC | Network Monitoring Center |
| NOC | Network Operations Center |
| O&M | Operations and Maintenance |
| OCIO | Office of Chief Information Officer |
| OE | Assistant Secretary for Electricity Delivery and Energy Reliability |
| OLA | Operational Level Agreement |
| OMB | Office of Management and Budget |
| OS | Operating System |
| PA | Office of Public Affairs |
| PA | Public Address |
| PaaS | Platform as a Service |
| PACS | Physical Access Control Systems |
| PBX | Private Branch Exchange |
| | - |



| | ACRONYMS |
|---------|--|
| ACRONYM | DESCRIPTION |
| PIP | Performance Improvement Plan |
| PIV | Personal Identity Verification |
| PKI | Public Key Infrastructure |
| PRI | Primary Rate Interface |
| PY | Prior Year |
| PSO | Program and Staff Office |
| SaaS | Software as a Service |
| SB | Office of Small and Disadvantaged Business Utilization |
| SC | Office of Science |
| SEPA | Southeastern Power Administration |
| SLA | Service Level Agreement |
| SSL | Secure Sockets Layer |
| SW | Software |
| SWPA | Southwestern Power Administration |
| TIC | Trusted Internet Connection |
| TFPAP | Trust Framework Provider Adoption Process |
| TS | Telecommunications Systems and Support |
| UCore | Universal Core |
| UII | Unique Investment Identifier |
| UPI | Unique Project Identifiers |
| UPS | Uninterruptible Power Supply |
| VDI | Virtual Desktop Infrastructure |
| VITS | Video Teleconferencing System |
| VoIP | Voice over Internet Protocol |
| VPN | Virtual Private Network |
| VTC | Video Teleconference |
| WAN | Wide Area Network |
| WAPA | Western Area Power Administration |
| WASP | Washington Area Switch Program |
| WITS | Washington Interagency Telecommunications System |
| XBLR | eXtensible Business Reporting Language |
| XML | EXtensible Markup Language |