

8. OMB SUBMISSION

The OMB Submission module provides eCPIC users with an easy way to group investments logically into packages, where they can be managed throughout the year and in the final steps before submission to OMB.

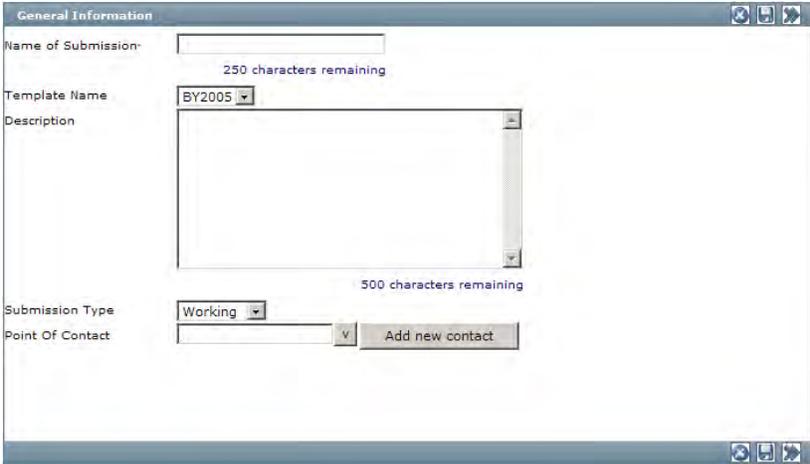
8.1 Add Submission Package

To Add a Submission Package:

1. Click on the **OMB Submission** module.
2. Click the **New OMB Submission** icon  to open the *General Information* form for OMB packages.



The General Information form will appear:



3. Enter the **Name of Submission**. (*Required field*).
4. Select the **Template Name** from the drop-down. *OMB Submission Packages must be associated with a template in order to determine which Exhibit 53 requirements to use.*

Note: Once an OMB Package has been associated with a template, this association cannot be changed. When adding items to a package, only items associated with the same template can be saved within the OMB Package.

5. Enter a **Description** for the package.
6. Enter the **Submission Type**.
7. Enter the **Point of Contact**. Click on the drop-down arrow to make a selection. If no names appear or if the POC is not listed, then click on the **Add new contact** button and fill in the required information. If no contact is selected, the creator of the OMB Package will populate the field.

The screenshot shows a web form titled "General Information" for an OMB Submission. The form contains the following fields and controls:

- Name of Submission:** A text input field containing "Agency OMB Submission" with a "229 characters remaining" indicator below it.
- Template Name:** A dropdown menu currently set to "BY2009".
- Description:** A text area containing the text "This Submission Package contains the following investments; Investment A, Investment B, Investment C and Investment D" with a "383 characters remaining" indicator below it.
- Submission Type:** A dropdown menu currently set to "Working".
- Point Of Contact:** A dropdown menu currently set to "eCPIC, End User" with a small "v" icon to its right. To the right of this field is a button labeled "Add new contact".

8. Click on the **Next** arrow  to save information to the database and proceed to the *OMB Package Investments* screen. Can also choose to **Save**  the information without moving forward or **Cancel**  to remove all data entered.

8.2 Edit General Information

To Edit General Information:

1. Click on the **OMB Submission** module.
2. Click on the **OMB Submission Name** to edit.
3. From within an OMB Package, click on the **Update** icon  in the OMB Submission Package toolbar. The General Information form will appear:

The screenshot shows a 'General Information' window with the following fields:

- Name of Submission:** Agency OMB Submission (229 characters remaining)
- Template Name:** BY2009
- Description:** This Submission Package contains the following investments; Investment A, Investment B, Investment C and Investment D (383 characters remaining)
- Submission Type:** Working
- Point Of Contact:** eCPIC, End User (with an 'Add new contact' button)

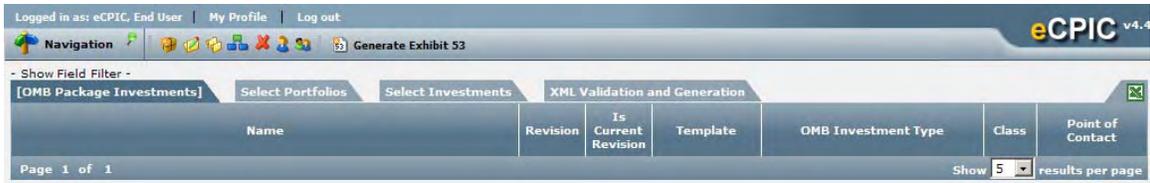
4. Make the appropriate changes.
5. Click **Save**  to save the data or **Next**  to save the data and move to the *OMB Package Investments* screen or **Cancel**  to undo any data entered.

This screenshot is identical to the previous one, but the description text has been updated to: "This Submission Package contains the following investments; Investment A, Investment B, Investment C, Investment D and Investment E". The character count for the description field is now 369 characters remaining.

8.3 Add Investments to Package

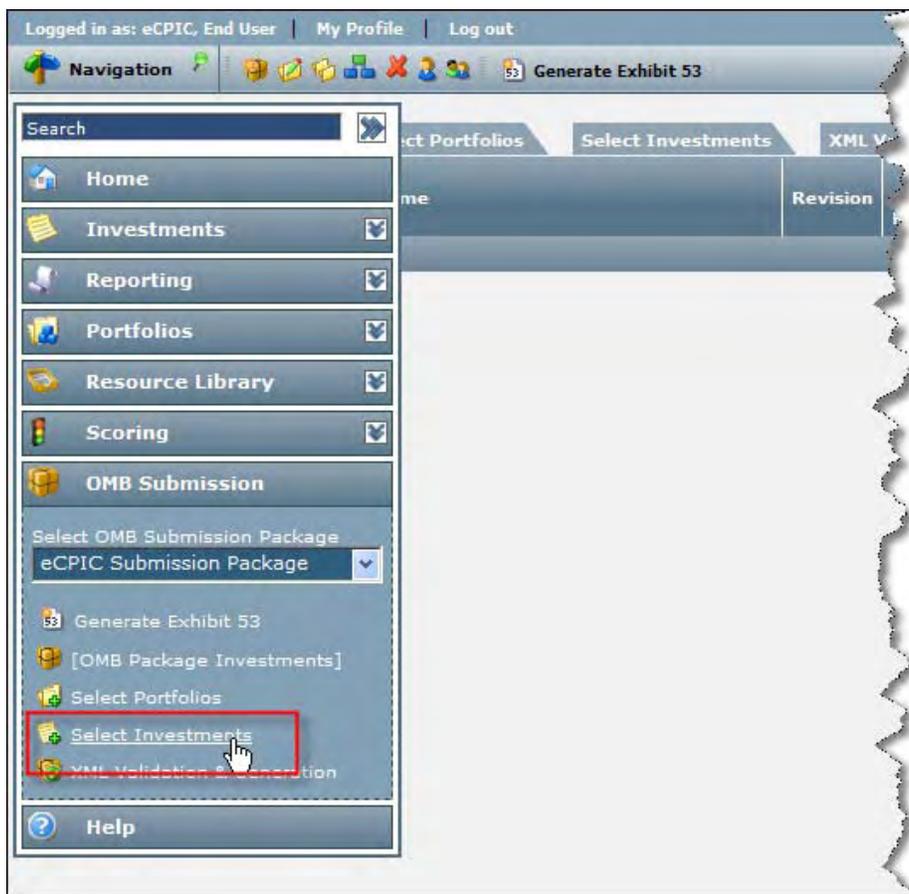
From the OMB Submission module, users can add investments to a Submission Package individually or as a group (*within a Portfolio*).

1. Click on the **OMB Submission** module.
2. Click on the **OMB Submission Name** to add investments and/or portfolios. The OMB Package Investments screen will appear:



The page will be blank when first creating a Submission Package. However, once investments and/or portfolios have been added, the page will show a listing of investments and/or portfolios that are assigned to the package.

3. Click on the **Select Investments** link from within the navigation tree.



The Select Investments screen will appear:

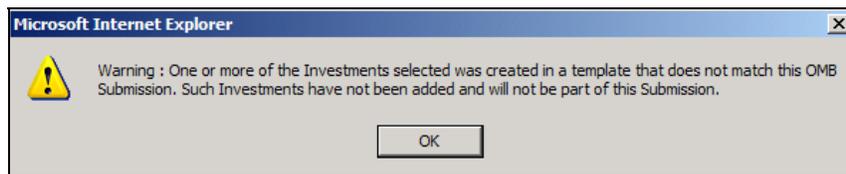
Select	Name	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input type="checkbox"/>	Demo Investment 1	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	Demo Investment 2	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	Investment A	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment B	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment C	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment D	BY2009	01 - Major Investment		2	IT	User, eCPIC

A listing of all investments that are accessible will be listed.

4. Check the investments that will be assigned to a package.

Select	Name	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input type="checkbox"/>	Demo Investment 1	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	Demo Investment 2	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input checked="" type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	Investment A	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment B	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment C	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment D	BY2009	01 - Major Investment		2	IT	User, eCPIC

Note: The user can only add investments that have the same template as the OMB Submission Package. If users try to add investments that have a different template, a warning message will pop-up.



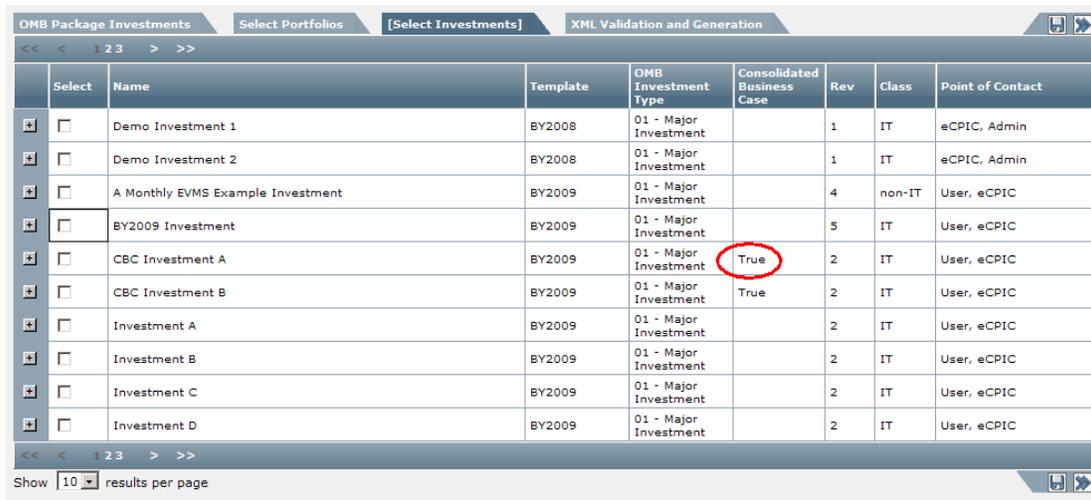
- Click **Save**  to save the investments. *The page navigator can be used to move to the next page.* Clicking on the **Next** arrow  will save information and return to the OMB Package Investments screen.

Once the investments have been saved, they will be viewable from the **OMB Package Investments** screen.

8.4 Add Consolidated Business Case to Package

From the OMB Submission module, users can add consolidated business cases to a Submission Package, for inclusion in the Exhibit 53.

- Click on the **OMB Submissions** module.
- Click on the **OMB Submission Name** to add a consolidated business case.
- Click the **Select Investments** link. The Select Investments screen will appear:



Select	Name	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input type="checkbox"/>	Demo Investment 1	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	Demo Investment 2	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	Investment A	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment B	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment C	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment D	BY2009	01 - Major Investment		2	IT	User, eCPIC

Notice that any investments that are already assigned to the package will be checked.

- Check the consolidated business case(s) that will be added.

There is a Consolidated Business Case column which allows users to identify the consolidated investments easily. In the column a ‘True’ will appear if it is a consolidated business case.

Clicking on the ‘True’ link in the Consolidated Business Case column will direct users to the View Child Investments list that contains all of its children. This helps keep track of investments relationship to other investments and helps avoid selecting a parent and its child investments into the same OMB Package.

[View Child Investments]		Select Child Investments		List Consolidated Business Case Child Investments			
Child Investment Name	Template	OMB Investment Type	Class	Rev.	Point of Contact		
A Monthly EVMS Example Investment	BY2009	01 - Major Investment	non-IT	4	User, eCPIC		
BY2009 Investment	BY2009	01 - Major Investment	IT	5	User, eCPIC		

Page 1 of 1 Show 10 results per page

Note: The warning message that appears when selecting a consolidated business case and its children for selection into an OMB Package is just to ensure users will not double count an investment while performing analysis on the OMB Package. Though the application warns users when this occurs, it will not prevent them from doing so. If users select OK to acknowledge the warning message, they will receive it again each time that they access the OMB Package contents.

5. Click **Save**  to save the investments. *The page navigator can be used to move to the next page.* Clicking on the **Next** arrow  will save information and return to the *OMB Package Investments* screen.

Once the consolidated investments have been saved, they will be viewable from the **OMB Package Investment** screen.

8.5 Link to Investments

To Access an Investment from an OMB Package:

1. Click on the **OMB Submissions** module.
2. Click on the **OMB Submission Name** that contains the investment to access. The OMB Package Investments screen will appear:

[OMB Package Investments]		Select Portfolios		Select Investments		XML Validation and Generation		
Name	Revision	Is Current Revision	Template	OMB Investment Type	Class	Point of Contact		
Investment A	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC		
Investment B	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC		
Investment C	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC		
Investment D	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC		
Investment E	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC		

Page 1 of 1 Show All results per page

3. Click on the **Investment Name**. The *Initiative Definition* section of that investment will appear:

8.6 Remove Investments

To Remove Investments:

1. Click on the **OMB Submissions** module.
2. Click on the **OMB Submission Name** from which an investment(s) will be removed.
3. Click on the **Select Investments** tab. The Select Investments screen will appear:

Select	Name	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input type="checkbox"/>	Demo Investment 1	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	Demo Investment 2	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment A	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment B	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input type="checkbox"/>	Investment C	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment D	BY2009	01 - Major Investment		2	IT	User, eCPIC

4. **Uncheck** the investment(s) to be removed from the OMB Package.
5. Click **Save**  to save the changes. *The page navigator can be used to move to the next page.* Clicking on the **Next** arrow  will save information and return to the OMB Package Investments screen.

8.7 Revisions for OMB Submission Packages

Once users have selected an investment into an OMB Submission Package, that particular revision will remain in the OMB Package even if a revision is made to the investment.

In order to select the current working copy:

1. Click on the **OMB Submission** module.
2. Click on the **OMB Submission Name** that the correct revision will be added to.
3. Click on the **Select Investments** link. The Select Investments screen will appear:

Select	Name	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input type="checkbox"/>	Demo Investment 1	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	Demo Investment 2	BY2008	01 - Major Investment		1	IT	eCPIC, Admin
<input type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment A	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment B	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment C	BY2009	01 - Major Investment		2	IT	User, eCPIC
<input checked="" type="checkbox"/>	Investment D	BY2009	01 - Major Investment		2	IT	User, eCPIC

Notice that the investment that has been revised will not be checked for selection as it was before.

4. Click on the (+) to the left of the Investment that has been revised. This expands the view to show all past investments.
5. **Uncheck** the previous revision and check the revision that one wants to be a part of the OMB Submission Package.
6. Click **Save**  to save the data or **Next**  to save the data and return to the *OMB Submission Investments* screen.

Instead of utilizing the expandable/collapsible fields to select an investment revision, users also have the ability to select the revision by clicking on the Revision Number.

7. Under the Revision column, click on the **Revision Number** of the investment to see a listing of all the revisions made to the investment. The Revision Number specifies how many revisions there are for the investment. The Select Revision list will appear:

Select	Name	Revision	Template	Revision Comment
<input checked="" type="checkbox"/>	Investment C	2	BY2009	
<input type="checkbox"/>	Investment C	1	BY2008	
<input type="checkbox"/>	Investment C	0	BY2007	BY2008 Revision

The investment checked will be the version that was first selected for the package.

8. **Uncheck** the previous revision and check the revision that will be part of the OMB Submission Package.

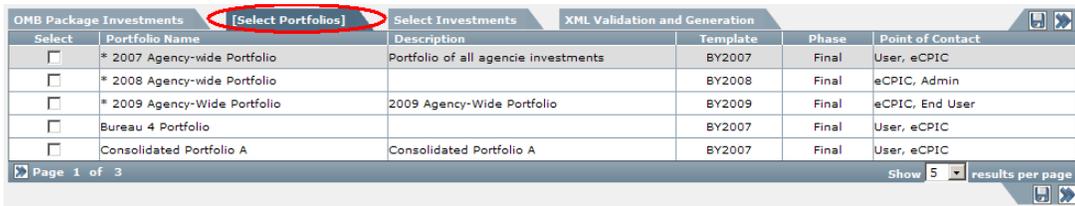
Users can also select to have both versions be part of the package if they are within the same template.

9. Click the **Next** arrow  to return to the Select Investments screen. Notice that the investment is now checked for selection.

8.8 Add Portfolios to Package

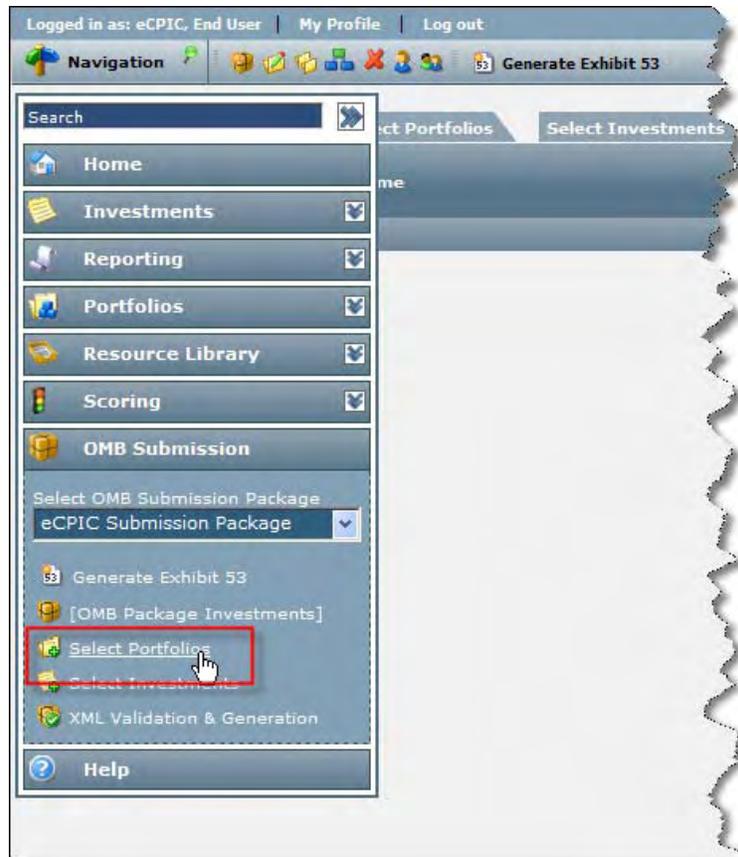
From the OMB Submission module, users can add investments as they have been grouped into portfolios.

1. Click on the **OMB Submission** module.
2. Click on the **Submission Name** to add a portfolio.
3. Click on the **Select Portfolios** tab.



Select	Portfolio Name	Description	Template	Phase	Point of Contact
<input type="checkbox"/>	* 2007 Agency-wide Portfolio	Portfolio of all agency investments	BY2007	Final	User, eCPIC
<input type="checkbox"/>	* 2008 Agency-wide Portfolio		BY2008	Final	eCPIC, Admin
<input type="checkbox"/>	* 2009 Agency-Wide Portfolio	2009 Agency-Wide Portfolio	BY2009	Final	eCPIC, End User
<input type="checkbox"/>	Bureau 4 Portfolio		BY2007	Final	User, eCPIC
<input type="checkbox"/>	Consolidated Portfolio A	Consolidated Portfolio A	BY2007	Final	User, eCPIC

Note: You may also click on the Navigation Tree and click on Select Portfolios.



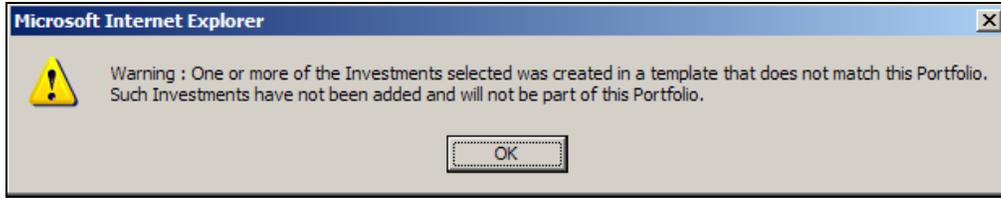
The Select Portfolios screen will appear:

Select	Portfolio Name	Description	Template	Phase	Point of Contact
<input type="checkbox"/>	* 2007 Agency-wide Portfolio	Portfolio of all agencies investments	BY2007	Final	User, eCPIC
<input type="checkbox"/>	* 2008 Agency-wide Portfolio		BY2008	Final	eCPIC, Admin
<input type="checkbox"/>	* 2009 Agency-Wide Portfolio	2009 Agency-Wide Portfolio	BY2009	Final	eCPIC, End User
<input type="checkbox"/>	Bureau 4 Portfolio		BY2007	Final	User, eCPIC
<input type="checkbox"/>	Consolidated Portfolio A	Consolidated Portfolio A	BY2007	Final	User, eCPIC

Page 1 of 3 Show 5 results per page

4. Check the portfolios to add to the OMB Package. Uncheck the portfolios to be remove.

Note: Users can only add portfolios to OMB Packages that have the same template as the OMB Package they are adding to. If trying to add a portfolio that doesn't have the same template as the OMB Package, a warning message will be displayed.



5. Click **Save**  to save the changes. *The page navigator can be used to move to the next page.* Clicking on the **Next** arrow  will save information and return to the *OMB Package Investments* screen. Clicking on the **Back** arrow  will navigate back to the main list OMB Submissions.

Once the portfolios have been saved, they investments that are in the portfolio will be viewable from the **OMB Package Investment** screen.

Note: If a consolidated business case or a portfolio has the same investment associated with each to be a part of the package, then that investment will appear twice in the *OMB Package Investments* screen.

8.9 Remove Portfolios

To Remove Portfolios:

1. Click on the **OMB Submissions** module.
2. Click the **OMB Submission Name** from which Portfolios will be removed.
3. Click the **Select Portfolios tab**. The Select Portfolios screen will appear:

Select	Portfolio Name	Description	Template	Phase	Point of Contact
<input type="checkbox"/>	* 2007 Agency-wide Portfolio	Portfolio of all agency investments	BY2007	Final	User, eCPIC
<input type="checkbox"/>	* 2008 Agency-wide Portfolio		BY2008	Final	eCPIC, Admin
<input checked="" type="checkbox"/>	* 2009 Agency-Wide Portfolio	2009 Agency-Wide Portfolio	BY2009	Final	eCPIC, End User
<input type="checkbox"/>	Bureau 4 Portfolio		BY2007	Final	User, eCPIC
<input type="checkbox"/>	Consolidated Portfolio A	Consolidated Portfolio A	BY2007	Final	User, eCPIC

Page 1 of 3 Show 5 results per page

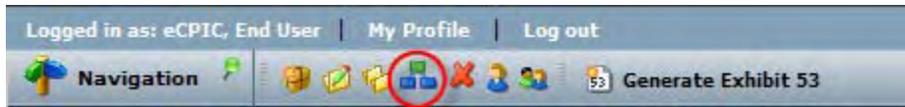
4. **Uncheck** the Portfolios to be removed from the OMB Package.
5. Click **Save**  to save the changes. *The page navigator can be used to move to the next page.* Clicking on the **Next** arrow  will save information and return to the *OMB Package Investments* screen. Clicking on the **Back** arrow  will navigate back to the main list OMB Submissions.

Note: If users want to delete and investment from a Portfolio or select a different investment revision that is in a Portfolio, they must do so not only in the OMB Submission Package, but also from within the Portfolio module. This will prohibit the deleted investment or wrong revision of an investment from appearing in the Exhibit 53.

8.10 OMB Submission Package Redundancy Check

In previous versions of eCPIC, a check would be made to the OMB Submission packages to determine if any investment data had been included twice due to its inclusion in a CBC. To avoid repeated warnings and improve performance, this check is no longer made every time a OMB Submission Package page is loaded. Now, users have the option to run this check at their convenience. The Redundancy Check icon () in the toolbar will perform this check.

Below is the OMB Submission toolbar containing the Redundancy Check icon.



8.11 OMB Submission Views

The Standard View for the OMB Submission module consists of the OMB Submission Name, Revision, Template, OMB Investment Type, Class, and Point of Contact.

Select	Name ▲	Template	OMB Investment Type	Consolidated Business Case	Rev	Class	Point of Contact
<input checked="" type="checkbox"/>	A Monthly EVMS Example Investment	BY2009	01 - Major Investment		4	non-IT	User, eCPIC
<input type="checkbox"/>	BY09 Investment Example	BY2009	01 - Major Investment		0	IT	eCPIC, Admin
<input type="checkbox"/>	BY2009 Investment	BY2009	01 - Major Investment		5	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment A	BY2009	01 - Major Investment	True	2	IT	User, eCPIC
<input type="checkbox"/>	CBC Investment B	BY2009	01 - Major Investment	True	2	IT	User, eCPIC

Note: Users can sort the results by clicking on the column header. This will sort the results in ascending order. An arrow will appear next to the header indicating that the column that is being sorted by. Click on the arrow or heading again and the results will be sorted in descending order.

8.12 Assign User/Group Permissions

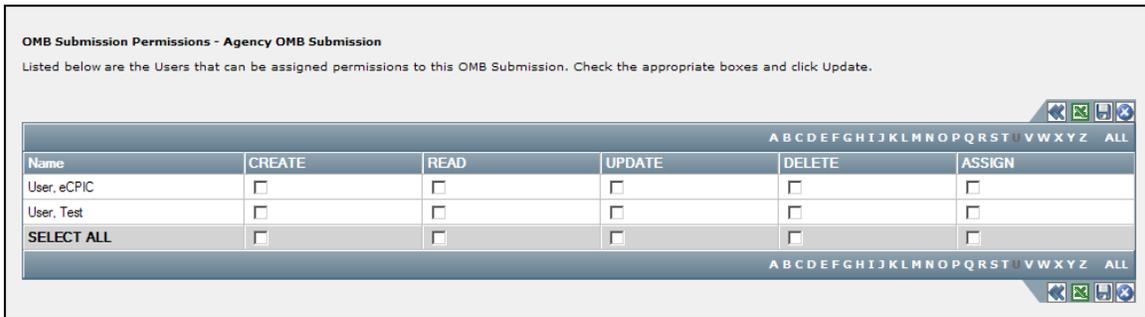
If users possess the ‘Assign Permissions’ RIGHTS to the OMB Submission module or ‘Assign Permissions’ PERMISSIONS to a specific OMB Submission, they will see the **User**  and **Group Permissions**  icons in the OMB Package toolbar. These icons are used to launch the forms that allow users to grant or deny access to the OMB Package.

Note: When users create a new OMB Package, they are automatically granted all permissions to it. This includes ‘Create’, ‘Read’, ‘Update’, ‘Delete’ and Assign Permissions access.

8.12.1 Assign User Permissions

To Assign User Permissions for an OMB Package:

1. From within the OMB Package that ‘Assign Permissions’ will be added, click on the **User Permissions** icon (). The OMB Submission Permissions screen will appear:



Name	CREATE	READ	UPDATE	DELETE	ASSIGN
User, eCPIC	<input type="checkbox"/>				
User, Test	<input type="checkbox"/>				
SELECT ALL	<input type="checkbox"/>				

The form displays user names and checkboxes for each type of access to the investment. (*Create, Read, Update, Delete, Assign Permissions*).

2. **Check** the boxes that correspond to the level of access users that will be granted. If the intent is to deny access to a user that is currently able to access the OMB Package, then **Uncheck** the box. Can also check the **Select All** checkbox to select all the users on one page at once.
3. Click **Update** to save changes before changing screens (*or moving to the next page of users*).

8.12.2 Assign Group Permissions

To Assign Group Permissions for an OMB Submission:

1. From within the OMB Submission that ‘Assign Permissions’ will be added, click on the **Group Permissions** icon (👤). The OMB Submissions Permissions screen will appear:

OMB Submission Permissions - Agency OMB Submission

Listed below are the Groups that can be assigned permissions to this OMB Submission. Check the appropriate boxes and click Update.

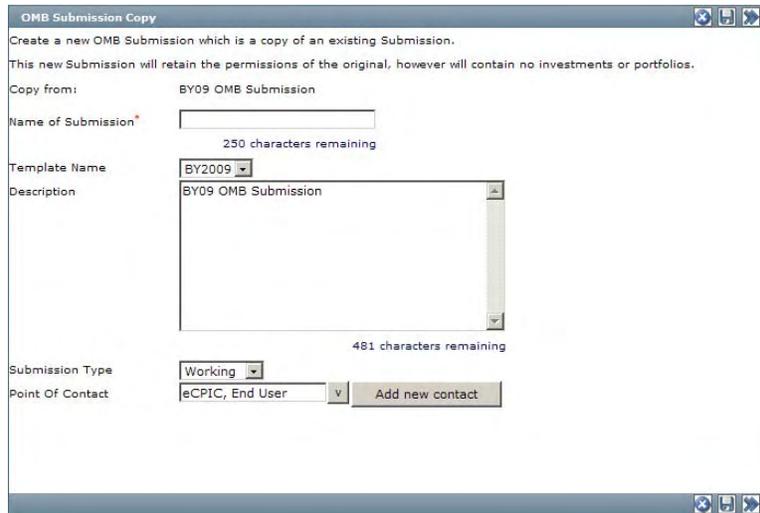
Name	CREATE	READ	UPDATE	DELETE	ASSIGN
eCPIC Group	<input type="checkbox"/>				
SELECT ALL	<input type="checkbox"/>				

The form displays group names and checkboxes for each type of access to the investment. (*Create, Read, Update, Delete, Assign Permissions*).

2. **Check** the boxes that correspond to the level of access that will be granted. If the intent is to deny access to a group that is currently able to access the OMB Package, then **Uncheck** the box. Can also check the **Select All** checkbox to select all the groups on one page at once.
3. Click **Update** to save changes before changing screens (*or moving to the next page of groups*).

8.13 OMB Submission Copy Capability

1. Select an existing OMB Submission.
2. Click on the OMB Submission Copy (📄) icon.
3. The OMB Submission Copy Screen will now appear



4. Once the desired data has been filled out/selected, click on the save () or () icon. The user will be directed to the OMB Package Investments section of the new OMB Submission

8.14 Exhibit 53 Validation and Exclusion Report

eCPIC can validate an OMB Submission Package’s Exhibit 53 against a series of business logic rules in the Exhibit 53 Validation and Exclusion report. This report will help agencies catch and correct issues that could prevent submission to ITWeb as well as catch potential data inconsistencies within the Exhibit 53. The report checks the investments within the OMB Submission package against a series of rules that have been predetermined by the CMC. The Exhibit 53 Validation and Exclusion report provides a detailed explanation of which business logic rules each investment violated. The report also indicates which investments have been selected as part of the submission but which are not included on the Exhibit 53 due to a data omission in that investment. For each template, Administrators have the ability to activate or deactivate individual business logic rules as well as alter the severity level of those rules.

8.14.1 Execute the Exhibit 53 Validation and Exclusion Report

Users can execute an Exhibit 53 report from within an OMB Submission package via the OMB Submission Module. To generate an Exhibit 53 Validation and Exclusion report:

1. Click on the **OMB Submission Module**
2. Select the appropriate Submission Package for validation
3. Click the **Validate Exhibit 53 icon**



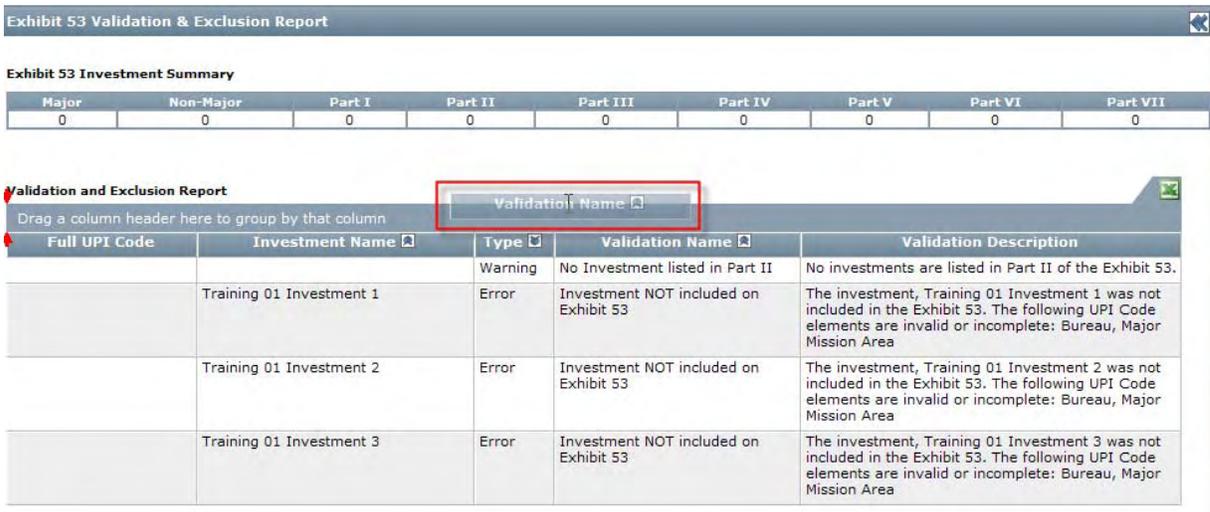
The Validation and Exclusion Report will appear, listing the investments that have violated business logic warnings or errors, and also those investments that were selected as part of the submission but which are not included on the Exhibit 53 due to a data omission within that investment.

Note: The Validate Exhibit 53 icon also appears on screen as an option when a user attempts to generate an Exhibit 53. However, it is not necessary to generate a validation report prior to generating an Exhibit 53.

8.14.1.1 Grouping and Sorting an Exhibit 53 Validation and Exclusion Report

The Exhibit 53 Validation and Exclusion report is automatically sorted by investment name, and type so that each of a particular investment’s violations are listed together in order of severity. Once a user has generated an Exhibit 53 Validation and Exclusion report, they can change the report’s grouping and sorting defaults by manipulating the column headers in the report.

To group by a particular column heading from within the report, drag the appropriate column header into the space marked **Drag a column header here to group by that column**



To sort by a particular column heading from within the report, click the name of the appropriate column header

Exhibit 53 Validation & Exclusion Report

Exhibit 53 Investment Summary

Major	Non-Major	Part I	Part II	Part III	Part IV	Part V	Part VI	Part VII
0	0	0	0	0	0	0	0	0

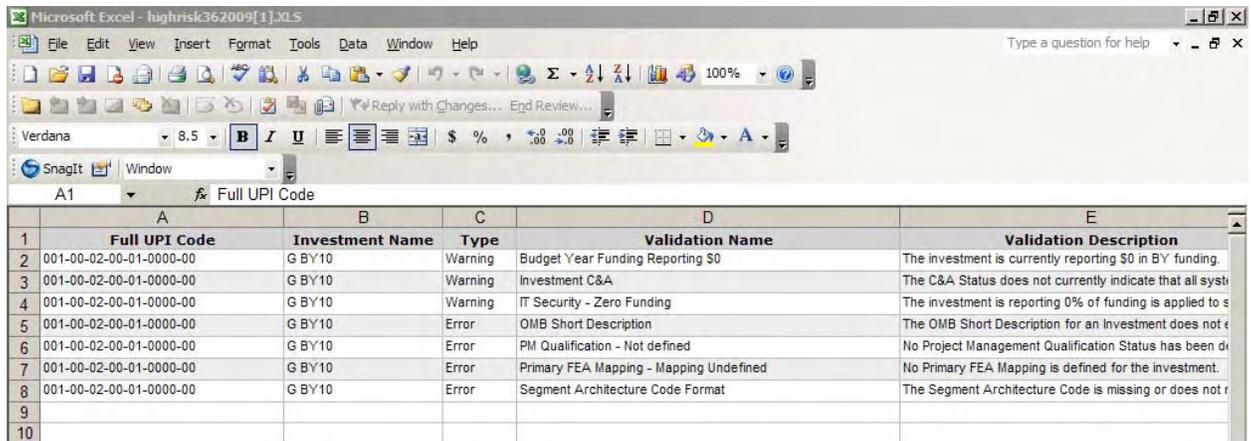
Validation and Exclusion Report

Validation Name	Full UPI Code	Investment Name	Type	Validation Description
Validation Name : Investment NOT included on Exhibit 53 (3)				
		Training 01 Investment 1	Error	The investment, Training 01 Investment 1 was not included in the Exhibit 53. The following UPI Code elements are invalid or incomplete: Bureau, Major Mission Area
		Training 01 Investment 2	Error	The investment, Training 01 Investment 2 was not included in the Exhibit 53. The following UPI Code elements are invalid or incomplete: Bureau, Major Mission Area
		Training 01 Investment 3	Error	The investment, Training 01 Investment 3 was not included in the Exhibit 53. The following UPI Code elements are invalid or incomplete: Bureau, Major Mission Area
Validation Name : No Investment listed in Part II (1)				
			Warning	No investments are listed in Part II of the Exhibit 53.

8.14.1.2 Exporting an Exhibit 53 Validation and Exclusion Report

Exhibit 53 Validation and Exclusion reports can be exported to Microsoft Excel in the same way that other reports and tables are exported in eCPIC. To export the Validation and Exclusion report:

1. From within the report, click on the **Excel** () icon to export the data to an Excel spreadsheet.
2. Select to **Open** the document or **Save** the document to the local computer. The data will now be populated within an Excel spreadsheet. Users will be able to modify data using typical Excel functionalities.



	A	B	C	D	E
	Full UPI Code	Investment Name	Type	Validation Name	Validation Description
1					
2	001-00-02-00-01-0000-00	G BY10	Warning	Budget Year Funding Reporting \$0	The investment is currently reporting \$0 in BY funding.
3	001-00-02-00-01-0000-00	G BY10	Warning	Investment C&A	The C&A Status does not currently indicate that all systems are operational.
4	001-00-02-00-01-0000-00	G BY10	Warning	IT Security - Zero Funding	The investment is reporting 0% of funding is applied to security.
5	001-00-02-00-01-0000-00	G BY10	Error	OMB Short Description	The OMB Short Description for an investment does not exist.
6	001-00-02-00-01-0000-00	G BY10	Error	PM Qualification - Not defined	No Project Management Qualification Status has been defined.
7	001-00-02-00-01-0000-00	G BY10	Error	Primary FEA Mapping - Mapping Undefined	No Primary FEA Mapping is defined for the investment.
8	001-00-02-00-01-0000-00	G BY10	Error	Segment Architecture Code Format	The Segment Architecture Code is missing or does not match the required format.
9					
10					

8.15 Generate Exhibit 53

Within the OMB Submissions module, users can generate an Exhibit 53 that will run based on OMB requirements. They also have the ability to select different options to run the Exhibit 53 with alternate data.

1. From within an OMB Submission Package, click the **Ex 53** icon . The Exhibit 53 Budget Year Options will appear:

Exhibit 53 Options

Display financial total columns

Display funding sources for both major and non-major investments

Display Part 7. NON-IT

Budget Year:

*Do not select any options in order to produce an Exhibit 53 for OMB Submission

Note: Default options reflect Exhibit 53 format for submission to the Office of Management and Budget. If no options are changed, the Exhibit 53 will be run based on the OMB version of the Exhibit 53 for the corresponding OMB Submission Package template year.

2. Click **Run Exhibit 53**. The Exhibit 53 will appear with all the information selected or in the format needed for OMB.

The Following is an example of how the OMB Exhibit 53 will appear:

Exhibit 53																		
2007 UPI	2008 UPI (17-digits required for all)	Investment Title	Investment Description (limited to 255 characters)	Primary FEA Mapping (BRM or SRM)		Percentage (%)				Homeland Security	DME (\$M)			Steady State (\$M)			Investment C&A	Project Management
				Line of Business or Service Type (3 digit code)	Sub-Function or Svc Component (3 digit code)	BF	BE	Financial	IT Security	Priority Identifier (Select all that apply)	PY	CY	BY	PY	CY	BY	Status (00,02,22,25,55)	Qualification Status (1,2,3,4,5,6)
	001-00-00-0000-00	Agency Total IT Investment Portfolio									27.210	27.014	14.525	76.963	83.168	85.110		
001-00-01-00-00-0000-00	001-00-01-00-00-0000-00	Part 1. IT Systems by Mission Area									12.400	13.100	9.600	64.824	63.811	63.609		
001-00-01-03-00-0000-00	001-00-01-03-00-0000-00	Information Sharing									12.400	13.100	9.600	47.505	47.480	48.268		

Below are the descriptions of each option available in the Exhibit 53 follows:

1. **Display financial total columns-** Will display the Totals (DME/SS) from the Funding Source table in the PY, BY and CY. Selecting this option, will add a PY, BY and CY column to the Exhibit 53.

Exhibit 53 Options

Display financial total columns

Display funding sources for both major and non-major investments

Display Part 7. NON-IT

Budget Year:

*Do not select any options in order to produce an Exhibit 53 for OMB Submission

Exhibit 53																
2008 UPI	2009 UPI (17-digits required for all)	Investment Title	Investment Description (limited to 255 characters)	Primary FEA Mapping (BRM or SRM)		Percentage (%)					HSPD-12 (\$M)	Homeland Security	DME (\$M)			
				Line of Business or Service Type (3 digit code)	Sub-Function or Svc Component (3 digit code)	BF	BE	Financial	IT Security	IPv6			PY	Priority Identifier (Select all that apply)	PY	CY
	001-00-00-0000-00	Agency Total IT Investment Portfolio											29.294000	16.844000	6.558000	2,222
	001-00-01-0000-00	Part 1. IT Systems by Mission Area											13.100000	9.600000	0.000000	
	001-00-01-0000-00	Financial Management											0.000000	0.000000	0.000000	
	001-01-01-1234-00	BY2009 Investment	OMB Short Description of Investment. This is my short description text.OMB Short Description of Investment. This is my short description text.OMB Short Description of Investment. This is my short description text.OMB Short Description of Investment. This is my short description text.OMB Short Description of Investment. This			0.0	0.0	0.0	0.0	0.0	0.000000	2,3,4	0.000000	0.000000	0.000000	
	001-00-01-03-0000-00	Information Sharing											13.100000	9.600000	0.000000	
	001-01-01-03-1122-00	Investment E	This is the OMB Short Description for Investment E.	111	033	0.0	0.0	0.0	15.0	0.0	0.000000	2	0.000000	0.000000	0.000000	
	001-04-01-03-1475-00	Investment B	Redesign, expand and implement a database program to collect, store, analyze, manage, and publish data on government-wide allowance and benefits for all civilian employees .	403	253	0.0	0.0	0.0	5.0	0.0	0.000000	1,2,3	13.100000	9.600000	0.000000	
	001-00-01-04-0000-00	Governance											0.000000	0.000000	0.000000	

The section circled above is the Funding Sources data that is associated with the investment above it.

3. **Display Part 7, NON-IT-** Displays Part 7 of the Exhibit 53. This will display if users have selected **NON-IT** in the *Exhibit 53 Part* field found in the *Descriptive Information* section and the *Background* sub-section.

Exhibit 53 Options

Display financial total columns

Display funding sources for both major and non-major investments

Display Part 7, NON-IT

Budget Year:

*Do not select any options in order to produce an Exhibit 53 for OMB Submission

001-00-05-00-0000-00-000-000	001-00-05-00-00-0000-00	Part 5. IT Grants to State and Locals (optional)										0.000	0.000	0.000	0.000	0.000	0.000		
001-00-07-00-0000-00-000-000	001-00-07-00-00-0000-00	Part 7. NON-IT										0.000	0.000	0.000	37.831	37.896	38.675		
001-01-01-03-01-112-00-111-033	001-01-07-00-02-112-00-111-033	Investment E	This is the OMB Short Description for Investment E.	111	033	0	0	0.0	15.0	2	0.000	0.000	0.000	37.831	37.896	38.675		25	

- Budget Year-** This drop-down allows users to generate an Exhibit 53 using a variable/dynamic BY. Using a variable/dynamic BY will allow users to create variations of Exhibit 53 reports for future years as they wait for the new template to be provided. Once users select a year, the Exhibit 53 is built based on the year selected. By default, the Budget Year will be set to the BY that matches the template.

The following is an Exhibit 53 built with a Budget Year of 2009. The Exhibit 53 will now show the data as follows: BY=2009, CY=2008 and PY=2007. The data is pulled from the *Summary of Spending* table and the *Funding Source* table for columns 2009, 2008, and 2007 regardless of the labels. In order to see the outcomes of the variable/dynamic BY, data must be in the cells for the 2009, 2008, and 2007 columns.

Exhibit 53 Options

Display financial total columns

Display funding sources for both major and non-major investments

Display Part 7. NON-IT

Budget Year: 2009

*Do not select any options in order to produce an Exhibit 53 for OMB Submission

Exhibit 53																		
2007 UPI	2008 UPI (17-digits required for all)	Investment Title	Investment Description (limited to 255 characters)	Primary FEA Mapping (BRM or SRM)		Percentage (%)			Homeland Security	DME (\$M)			Steady State (\$M)			Investment C&A Status (00,02,22,25,55)	Project Management Qualification Status (1,2,3,4,5,6)	
				Line of Business or Service Type (3 digit code)	Sub-Function or Svc Component (3 digit code)	BF	BE	Financial		IT Security	Priority Identifier (Select all that apply)	PY	CY	BY	PY			CY
	001-00-00-00-0000-00-000-000	Agency Total IT Investment Portfolio																
	001-00-01-01-0000-00-000-000	Part 1. IT Systems by Mission Area																
	001-00-01-03-00-0000-00-000-000	Information Sharing																

Notice that the totals in the DME and Steady State Columns have shifted to the left to reflect the updated budget year. Compare to the Exhibit 53 example in Step 3 of Section 8.12.

Note: *To see how the Exhibit 53 is sorted and how each field is populated, see the Exhibit 53 Information document.*

8.15.1 Reporting High Risk Children Investments

In addition to the new column, “On High-Risk List”, OMB is requiring that projects and investments that are part of a consolidated investment and are on the agency’s high risk list be reported as a separate line item underneath their consolidated investment. When a high risk project is reported on the Exhibit 53 as part of a consolidated investment, it will be designated with the same UPI as the consolidated investment. However, it will use an “07” designation on the Investment Part (as prescribed by BY09 OMB A-11 Guidance).

eCPIC implements this new requirement through the use of Consolidated Business Cases. Investments that answer the question “Is this investment identified as "high risk" on the Q4-Previous Year (PY) agency high risk report (per OMB Memorandum M-05-23)?” as “Yes” and are a child of a CBC reported on the Exhibit 53 will be added automatically as a line item below the CBC Investment line.

Due to this new requirement from OMB, Agencies will be required to break out the financial information for projects within consolidated investments in order for high risk projects to appear on the Exhibit 53 in eCPIC. This can be done by making the consolidated investment a CBC within eCPIC, and adding each of the projects within it as a child investment. The financial data from the child investments will roll up to the consolidated investment and any of the child projects that are listed as “High Risk” will appear on the Exhibit 53.

Note: Only child investments that are one level deep will be considered for listing as a High Risk child investment. If a CBC is reported in the Exhibit 53, and it contains a child CBC which in turn contains a High Risk investment, this “grandchild” investment will NOT be reported as a High Risk investment on the Exhibit 53.

8.15.1.1 High Risk Investment UPI Codes on Exhibit 53

The UPI that is listed in the Initiative Definition Section of the workflow will be ignored for Exhibit 53 reporting purposes. When added to the Exhibit 53, the child investment will automatically be given the same UPI as the CBC investment, only with a “07” Investment Part indicator.

Exhibit 53																	
2008 UPI	2009 UPI (17-digits required for all)	Investment title	Investment Description (limited to 255 characters)	Primary FEA Mapping (BRM or SRM)		Percentage (%)					HSPD-12 (\$M)	Homeland Security	DME (\$M)				
				Line of Business or Service Type (3 digit code)	Sub-Function or Svc Component (3 digit code)	BF	BE	Financial	IT Security	IPv6			PY	Priority Identifier (Select all that apply)	PY		CY
	001-00-00-00-00-0000-00-000	Agency Total IT Investment Portfolio												1.500000	1.500000	0.000000	2,222.;
	001-00-01-00-00-0000-00-000	Part 1. IT Systems by Mission Area												0.000000	0.000000	0.000000	
	001-00-02-00-00-0000-00-000	Part 2. IT Infrastructure and Office												1.500000	1.500000	0.000000	2,222.;
	001-03-02-00-01-1230-01-1230-404-139	CBC Investment B	Radio communications capability for emergency worldwide voice communications.	404	139	0.0	0.0	0.0	0.0	0.0	0.000000			1.500000	1.500000	0.000000	2,222.;
	001-02-01-1230-01-2342-404-139-405-999	A Monthly EVMS Example Investment		406	999	0.0	0.0	0.0	0.0	0.0	0.000000	1,3,4		1.500000	1.500000	0.000000	2,222.;
	001-01-1230-01-1230-404-139	BY2009 Investment	OMB Short Description of Investment. This is my short description text.OMB Short Description of Investment. This is my short description text.			0.0	0.0	0.0	0.0	0.0	0.000000	2,3,4		0.000000	0.000000	0.000000	

8.15.2 Exhibit 53 Part VI – National Security System investments

For BY09 A-11 Guidance, OMB has added a new Exhibit Part option, Part VI, for National Security Systems. Part VI is for reporting amounts for IT Investments representing planning, development, enchantments or implementations of National Security Systems. This part is for DoD investments only. Previously this information was reported within Part V of the Exhibit 53. As of BY09 A-11 Guidance, these investments should no longer be reported in Part V, but broken out as separate line items in Part VI.

8.16 Validate and Generate XML Documents

Within eCPIC, there are certain business rules that are ran against the data in the investment. The Validation report will allow users to see what data is not filled out correctly or is missing.

This method ensures that all information is valid according to OMB before generating the XML document. The report list how many issues were found, the type of problem, a description of the problem, and the section and sub-section the problem is located found.

The XML Validation and Generation link is located in the OMB Package Investments screen of the OMB Submissions module. The Validation and Generation allows users to validate each investment OMB Package contains against the Exhibit 300 Schema.

1. Click on the **OMB Submission** module.
2. Click on an **OMB Submission Name** that will be validated.
3. Click on the **XML Validation and Generation** link.

[OMB Package Investments]							
Select Portfolios		Select Investments		XML Validation and Generation			
Name	Revision	Is Current Revision	Template	OMB Investment Type	Class	Point of Contact	
Investment A	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC	
Investment B	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC	
Investment C	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC	
Investment D	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC	
Investment E	1	Yes	BY2008	01 - Major Investment	IT	User, eCPIC	

Page 1 of 1 Show All results per page

The XML Validation and Generation screen will appear:

[OMB Package Investments]						
Select Portfolios		Select Investments		XML Validation and Generation		
Select	Title	Revision	Type	Last Validated	Status	
<input type="checkbox"/>	Investment A	1	01 - Major Investment		?	
<input type="checkbox"/>	Investment B	1	01 - Major Investment		?	
<input type="checkbox"/>	Investment C	2	01 - Major Investment		?	
<input type="checkbox"/>	Investment D	2	01 - Major Investment		?	
<input type="checkbox"/>	Investment E	1	02 - Non-Major Investment		?	
<input type="checkbox"/>	Select All					

Page 1 of 1 Show 10 results per page

In the XML Validation and Generation screen, users will see the list of investments that are part of the OMB Package. The table on this screen displays the Title (*Investment Name*), Revision Number, the Type and the Date that it was *last* validated against the XML Schema.

The Validation Status will be one of the four possibilities:

- ? **Unknown:** The gray question mark indicates that the status is unknown. If this symbol appears in the status column, and there is no date in the Last Validated column, the investment has never been validated against the schema. If the investment has a status of “unknown,” but also displays a Last Validated date, it means that the investment’s status may have changed since the last validation. The status changes based on whether updates have been made to the investment since the Last Validated date.
- ✘ **Schema Validation Failed:** This icon indicates that the investment, when exported to XML, is not valid against the schema. When users click on this icon, a validation report will appear, itemizing the problems that cause the document to be invalid.
- ✘ **Business Logic Validation Failed:** This icon indicates that the investment, when exported to XML, is valid against the schema, but has some business logic

validation warnings. *(The rules for business logic validation are provided below.)* Clicking on this icon will pop-up a validation report itemizing the business logic warnings found.

Note: An XML document can still be generated when the Business Logic Validation Fails.

- ✔ **Schema and Business Logic Validation:** This icon indicates that the validation did not produce any error or warnings.

If users have access to the contents of the OMB Submission Package, each investment name will serve as a link that pops up a summary page for the investment. This allows users with access to an investment to review it before generating the corresponding XML document.

4. **Check** the boxes next to the investments to validate. Mark **Select All** to validate in bulk.
5. Click on the **XML** icon ().

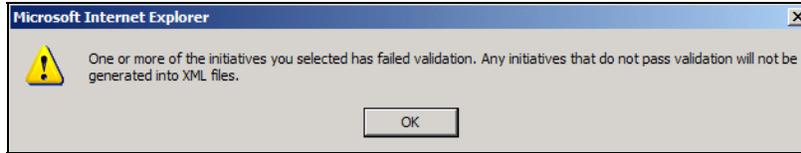
OMB Package Investments		Select Portfolios	Select Investments	[XML Validation and Generation]	
Select	Title	Revision	Type	Last Validated	Status
<input checked="" type="checkbox"/>	Investment A	1	01 - Major Investment		
<input type="checkbox"/>	Investment B	1	01 - Major Investment		
<input type="checkbox"/>	Investment C	2	01 - Major Investment		
<input type="checkbox"/>	Investment D	2	01 - Major Investment		
<input type="checkbox"/>	Investment E	1	02 - Non-Major Investment		
<input type="checkbox"/>	Select All				

Page 1 of 1 Show 10 results per page

A pop-up window will appear while the investments are being validated. This informs users that the application is working to process the request.



Note: When one or more of the investments has failed Schema Validation, the user will be informed through a pop-up warning message. If an investment fails validation, its corresponding XML file will not generate.



When the  icon is displayed, the investment has failed schema validation. This icon acts as a link to a pop-up window that displays a detailed validation report. A Schema Validation is classified as an ‘Error’, while a Business Logic Validation is classified as a ‘Warning’. Both types of problems will be listed on this report.

Count	Type	XML Errors	Location(s) in the Workflow (Section - Subsection)
1	Error	The 'What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?' element has an invalid value according to its data type. This field cannot be blank	II.C: Cost and Schedule Performance BY08 - Earned Value BY08 III.B: Cost and Schedule Performance BY08 - Performance Baseline BY08 IV.C: Cost and Schedule Performance BY08 - Earned Value BY08

2	Warning	There are 3 systems defined in the Planning & Operational Systems - Privacy Table, but 2 systems total between the Systems in Planning - Security and Operational Systems - Security Tables. The number of systems in the privacy table should be equal to the number of systems in the two Security tables.	I.E: Security and Privacy BY08 - Privacy: Planning & Operational Systems BY08
---	---------	--	---

There are two types of problems that can be found from this report.

Schema Validation: This problem is classified as an ‘Error’. *Errors* will keep users from generating the XML. They will have to go to the location of the Error and modify the data.

Business Logic Validation: This problem is classified as a ‘Warning’. *Warnings* will allow users to generate the XML. However, it will assist in reviewing the business case for issues that may need to be reviewed.

8.17 List of Business Rules

For BY08 and on, Business Rules can be managed by the System Administrator and can be deactivated and activated to validate against the XML.

Name of Rule	Logic
Alternatives Analysis Date	The investment indicates that the alternatives analysis is more than three years old. [Applies to BY2008 and beyond]

Alternatives Analysis: Risk Adjusted Cost and Risk Adjusted Benefit	This investment specifies a value other than 0 for either 'Risk Adjusted Lifecycle Costs estimate' and 'Risk Adjusted Lifecycle Benefits estimate' [Applies to BY2008 and beyond]
Budget Authority Percentage Total	Checks that the sum of 'Provide the Percent Budget Formulation (BF) for the budget year', 'Provide the Percent Budget Execution (BE) for the budget year' and 'Provide the Percentage Financial Management for the budget year' is less than 100. Note: This will produce an Error, not a Warning, on XML Validation. [Applies to BY2009 and beyond]
Contracting Officer Assigned	A contracting officer is assigned to the investment, so the contracting officer's name should also be specified. [Applies to BY2007 and Prior]
Contracting Officer Certification Level	Indicates which contracts, within the Contracts/Task Order table, have indicated whether the agency has determined that the CO assigned has the competencies and skills necessary to support the acquisition, even after indicating the Contracting Officer Certification Level (and not selecting N/A). [Applies to BY2008 and beyond]
Contracts Strategy Table CO Information Assigned	Each row of the Contracts Strategy table should contain the contact information of the Contracting Officer. This should include both a phone number and an email address. [Applies to BY2008 and beyond]
Contracts/Task Order Table: Future Contracts and Acquisitions	The investment does not have any contracts that have answered No to the question Has the contract been awarded and therefore may not have future contracts listed. Future contracts and acquisitions should be indicated. [Applies to BY2008 and beyond]
Contracts/Task Order Table: Start date of Contract/Task Order	Each row of the Contracts Strategy table should contain the start date of the contract or task order. [Applies to BY2010 and beyond]
DME Budgetary Resources equals BAC	The DME subtotal (Subtotal Planning & Acquisition) from the Summary of Spending table should match the dollar amount listed for the Budget At Completion (BAC). [Applies to BY2007 and Prior]
Electronic Transactions in GPEA Plan	The investment indicates it implements electronic transactions and/or record keeping, so it should also be indicated in the GPEA plan. [Applies to BY2007 and Prior]
Exhibit 53 Part 1 Investment Does Not Have a Mission Area Assigned	The investment is designated as an "IT Investments by Mission Area" for the Exhibit 53 Part so an Exhibit 53 Major Mission Area should be specified. The investment will not appear in the Exhibit 53 until a Mission Area has been selected. [Applies to all budget years]
FEA PRM: Measurement Area	Checks that each FEA PRM Measurement Area has at least one row that maps to it. Note: This will produce a Error, not a Warning, on XML Validation. [Applies to BY2009 and beyond]
FEA Primary Mapping as BRM Mode of Delivery	The BRM Line of Business selected as the FEA Primary Mapping should not fall within Mode of Delivery. [Applies to all budget years]
FFMIA Compliance	The investment addresses an FFMIA compliance Area, so the compliance area should be indicated. [Applies to all budget years]

FISMA Review Weaknesses	The investment indicates weaknesses were found during a FISMA Review, therefore it should indicate whether those weaknesses have been incorporated into the agency's corrective action plan. [Applies to BY2007 and Prior]
Funding Request Breakout Percentage Equals 100	The percentage breakout for the FY funding request for hardware, software, service, and other does not total 100%. [Applies to all budget years]
Homeland Security	The investment is designated as supporting Homeland Security, so at least one Homeland Security mission area should be designated. [Applies to BY2007 and Prior]
I.H / Performance Baseline Export Detail Level	The Administrator has set the I.H. Detail Level configuration to a number other than 0, therefore all tasks in the I.H and Performance Baseline tables below that level will be excluded from the export. [Applies to all budget years]
IPT Assigned	The investment indicates an Integrated Project Team (IPT) is assigned to the investment, so the IPT's skill set should be specified. [Applies to BY2007 and Prior]
Legacy Systems	The investment indicates legacy systems if the alternatives analysis specifies that it will replace legacy systems. [Applies to BY2009]
National Critical Asset	The investment indicates it represents a National Critical Asset, therefore it should also indicate if it is an Agency Mission Critical Asset. [Applies to BY2007 and Prior]
Number of Alternatives Specified	A total of 4 (3 for BY2007 and prior) alternatives should be included for the investment. [Applies to all budget years]
Number of Systems in Security vs. Privacy Tables	The number of items in the Planning Systems - Security Table plus the number of items in the Operational Systems - Security Table should match the number of items in the Planning & Operational Systems Privacy Table. [Applies to BY2008 and beyond]
OMB Approved Baselines	The investment indicates that the data contained in the I.H.2 table has not been approved by the OMB; therefore there should not be any data to report in the I.H.4 table. [Applies to BY2007 and Prior]
OMB Short Description Punctuation	Ensures that the OMB Short Description appropriately ends with a period. This check ensures that punctuation has been added to the end of this description field as it is required by ITWeb for Exhibit 53 submission. [Applies to BY2008 and beyond]
Operational Systems: C&A Date	Indicates which systems, within the Operational Systems table, have a C&A more than three years old. [Applies to BY2008 and beyond]
Operational Systems: Contingency Controls Date	Indicates which systems, within the Operational Systems table, have a Contingency Controls Date more than a year old. [Applies to BY2008 and beyond]
Operational Systems: Control Testing Date	Indicates which systems, within the Operational Systems table, have a Control Testing Date more than a year old. [Applies to BY2008 and beyond]
Operational Systems: Mixed Life Cycle Investments	This investment is designated as Mixed Life Cycle for the question 'What kind of investment will this be in this Budget Year?' and therefore should have Operational Systems. [Applies to BY2008 and beyond]

Operational Systems: O&M Budgetary Resources	This investment indicates O&M (Operations & Maintenance) budgetary resources for CY/BY in the Summary of Spending table and therefore should have systems listed in the Operational Systems table. [Applies to BY2008 and beyond]
Operational Systems: Operations and Maintenance Investment	This investment is designated as an O&M investment for the question 'What kind of investment will this be in this Budget Year?' and therefore should have Systems in Planning. [Applies to BY2008 and beyond]
PART Review	The investment indicates that a PART review has been conducted; therefore it should also indicate whether the investment addresses any weaknesses found. [Applies to BY2007 and Prior]
PRM Alignment	The investment is in Operations and Maintenance (DME for BY2007 and prior), so it should align to the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). [Applies to all budget years]
Partner Funding Strategies Totals Balance	The Current Year (CY) and Budget Year (BY) partner funding totals are consistent with the SOS BY and CY Totals. [Applies to BY2008 and beyond]
Performance Baseline: Current Baseline Planned Costs (As reported in XML 300)	The investment should indicate milestones with Current Baseline Planned Costs in the Performance Baseline table and these totals should be consistent with SOS Totals. [Applies to BY2008 and beyond]
Performance Baseline: Current Baseline Planned Costs (Top Level Milestones Only)	The investment should indicate milestones with Current Baseline Planned Costs in the Performance Baseline table and these totals should be consistent with SOS Totals. [Applies to BY2008 and beyond]
Performance Baseline: Initial Baseline Planned Costs (As reported in XML 300)	The investment should indicate milestones with Initial Baseline Planned Costs in the Performance Baseline table and these totals should be consistent with SOS Totals. [Applies to BY2008 and beyond]
Performance Baseline: Initial Baseline Planned Costs (Top Level Milestones Only)	The investment should indicate milestones with Initial Baseline Planned Costs in the Performance Baseline table and these totals should be consistent with SOS Totals. [Applies to BY2008 and beyond]
Project Manager Assigned	A Project Manager is assigned to this investment, so the Project Manager's name, roles, qualifications and contact information should also be specified. [Applies to BY2007 and Prior]
Risk Management Plan Date	The investment indicates that the risk management plan is more than three years old. [Applies to all budget years]
SOS BY	The total Budget Year (BY) budgetary resources dollar amount from the Summary of Spending does not match the total BY dollar amount in the Funding Source Table. [Applies to all budget years]
SOS CY	The total Current Year (CY) budgetary resources dollar amount from the Summary of Spending does not match the total CY dollar amount in the Funding Source Table. [Applies to all budget years]
SOS PY	The total Previous Year (PY) budgetary resources dollar amount from the Summary of Spending does not match the total PY dollar amount in the Funding Source Table. [Applies to all budget years]

SOS Total	The overall total budgetary resources dollar amount from the Summary of Spending does not match the overall total dollar amount in the Funding Source Table. [Applies to all budget years]
SRM Funding Percentage	The sum of the BY Funding Percentage for each row in Service Component Reference Model (SRM) Table should total 100%. [Applies to BY2008 and beyond]
Sponsor Assigned	A Sponsor is assigned to the investment, so the Sponsor's name and contact information should be specified. [Applies to BY2007 and Prior]
System Breach Incidents	The investment indicates system breach incidents if Category I breach incident has occurred. [Applies to BY2009]
Systems in Planning: C&A Date and Operational Date	System C&A Completion date should be prior to the planned operational date. [Applies to BY2008 and beyond]
Systems in Planning: DME Budgetary Resources	This investment indicates DME (Subtotal Planning & Acquisition) budgetary resources for CY/BY in the Summary of Spending table and therefore should have systems listed in the Systems in Planning table. [Applies to BY2008 and beyond]
Systems in Planning: Full Acquisition Investments	This investment is designated as a Full Acquisition investment for the question 'What kind of investment will this be in this Budget Year?' and therefore should have Systems in Planning. [Applies to BY2008 and beyond]
Systems in Planning: Mixed Life Cycle Investments	This investment is designated as Mixed Life Cycle for the question 'What kind of investment will this be in this Budget Year?' and therefore should have Systems in Planning. [Applies to BY2008 and beyond]
Systems in Planning: Planning Investments	This investment is designated as a Planning investment for the question 'What kind of investment will this be in this Budget Year?' and therefore should have Systems in Planning. [Applies to BY2008 and beyond]
TRM Relation to SRM	Each mapping in the Technical Reference Model (TRM) should have a relation to the SRM specified. [Applies to all budget years]

8.18 Generate XML in Bulk

Once the investment has passed XML Schema Validation, it will generate the XML documents and place them in the **web/export XML** directory on the eCPIC web server. Each file is named using the following convention: **BY2007_UPIcode.xml**.

Please note, again, that users WILL be able to generate XML files for investments even if they do not pass Business Logic Validation. While warning messages may appear to alert user that they may have not filled out the OMB-required fields properly, they will not prevent users from being able to generate XML.