

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	Agency Total IT Investment Portfolio										27.014	14.525	5.697	83.168	85.110	72.455	
001-00-01-00-0000-00	001-00-01-00-00-0000-00	Part 1. IT Systems by Mission Area										13.100	9.600	0.000	25.915	24.934	15.353	
001-00-01-03-00-0000-00	001-00-01-03-00-0000-00	Information Sharing										13.100	9.600	0.000	9.584	9.593	0.000	

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
	001-00-00-0000-00	Agency Total IT Investment Portfolio											1.500000	1.500000	0.000000	2,222.;
	001-00-01-0000-00	Part 1. IT Systems by Mission Area											0.000000	0.000000	0.000000	
	001-00-02-0000-00	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.;
	001-02-01-1230-01-07-2342-404-139-405-999	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.