Capital Planning & Investment Control Linking Performance and Budgeting for CPIC Programs

July 23, 2008

Presented by Teresa Allison

Introduction

Present Experience

- Principal Consultant for Portfolio Management, Fujitsu Consulting
- Department of Homeland Security - Offices of the CIO, CPO, and CFO
  - Work as part of team that manages an IT portfolio of over 80 investments
  - Reviews OMB 300 and conducts coaching sessions
  - Conducts CPIC training classes
  - Administers the ProSight system

Past Experience

- Seven years working in the field of Capital Planning and Investment Control
- Led Capital Planning at:
  - Transportation Security Administration
  - US Agency for International Development
- Wrote business cases for:
  - DHS –Terrorist Watch List
  - VHA – Patient Financial Services System
  - DOT – Financial Management Line of Business

Agenda

- Overview of the CPIC Performance Methodology
- Defining CPIC Processes
- Identifying CPIC Performance Measures & Goals
- Capturing CPIC Performance Results
- Developing a CPIC Strategy

The Case for the CPIC Performance Methodology

Scarce Resources

- CPIC Administrators are often responsible for managing portfolios with millions or billions of dollars yet are often allocated very small budgets for managing the overall CPIC program.

Performance Matters

- Establishing a track record can help the program identify areas of improvement, develop new strategies, demonstrate successes, show how resources are being utilized and pinpoint where resources are needed.

CPIC Performance Methodology

Step 1

Processes

- Identify activities and processes
- Identify process outputs

Step 2

Performance Measures & Goals

- Identify performance measures
- Set performance goals
- Identify performance baseline
- Develop plan for capturing performance results

Step 3

Performance Results

- Capture Performance results

-Statistics

-Surveys

-Facilitated sessions

Step 4

Strategy

- Develop strategy
- Draft master schedule
- Budget planning
- Resource planning

Processes

Step 1

Processes

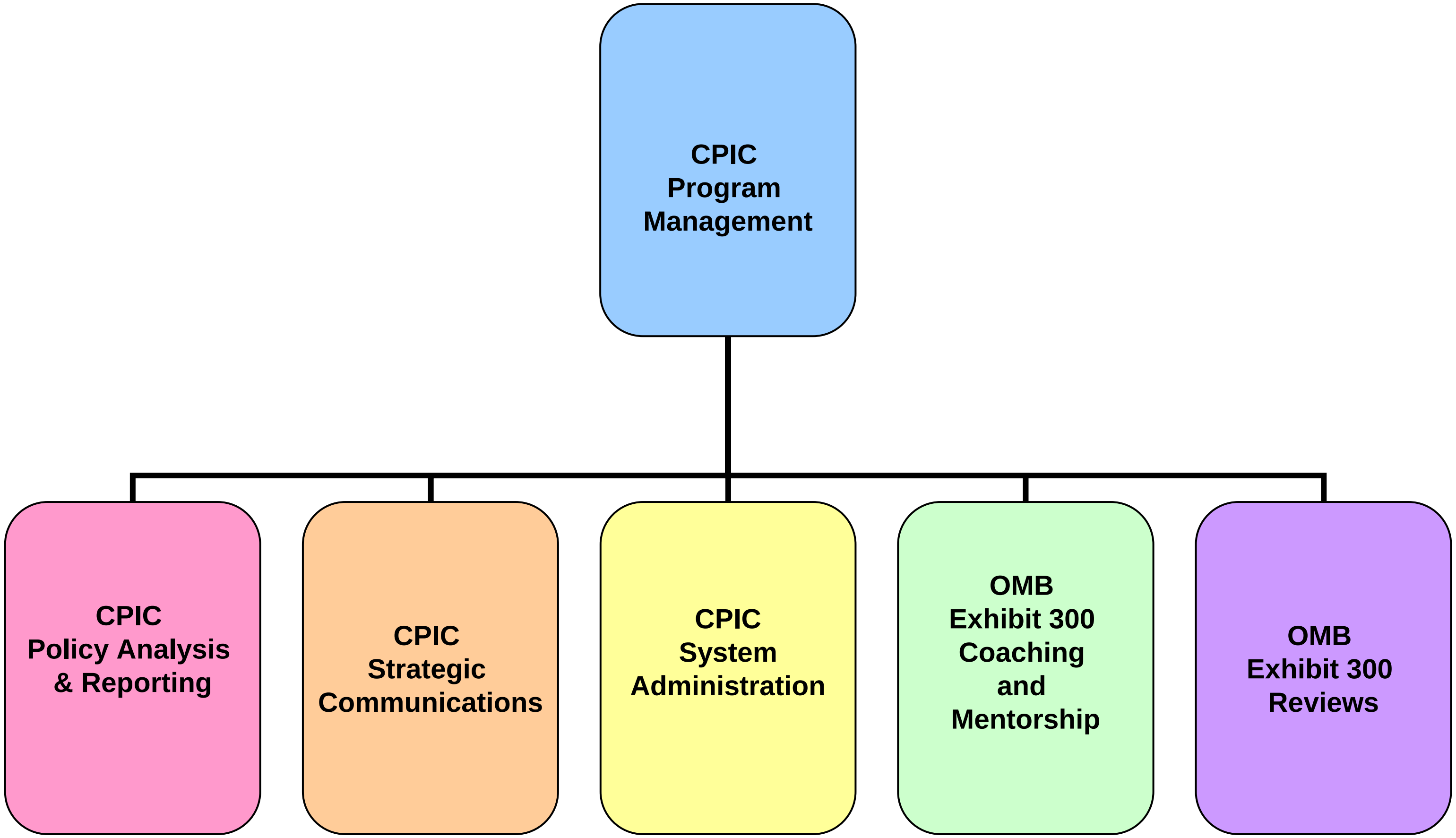
•Identify activities and processes

•Identify process outputs

Approach

- Identify key CPIC processes
- Meet with the team to discuss processes and key activities for each process
- Meet with the team to discuss key activities and outputs for each activity
- Document the processes, activities and outputs

Processes


CPIC
Program
Management
CPIC
Policy Analysis
& Reporting
CPIC
Strategic
Communications
CPIC
System
Administration
OMB
Exhibit 300
Coaching
and
Mentorship
OMB
Exhibit 300
Reviews

Processes

CPIC System Administration	Grant new user logins and passwords
	Conduct new user training
	Maintain master user list
	Conduct user support

Processes

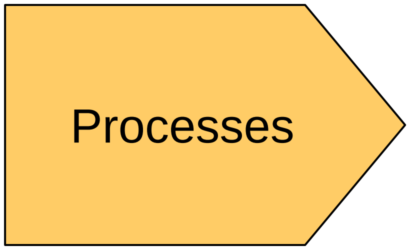
Conduct New User Training for CPIC System

Person(s) Involved	Process Steps	Decision Points	Hand-Offs	Documents Produced
Capital Planning Staff; New User	• Step 1: Complete "Create Account" Work Process. • Step 2: Ask the new user if they require or would like one-on-one CPIC system training. • Step 3: If training is not desired, please obtain email documentation and end process. • Step 4: If training is desired, schedule a session (30-60min) at either your workstation or the workstation of the new user (whichever they prefer; internet access is required). • Step 5: Before session, confirm with the user that they have username and password for use during the training. • Step 6: On the day of the training, print out two copies of the training slides, one for you and one for the trainee. The slides can be found in this folder: 2006\CPIC\ProSight Training • Step 7: Conduct training.	• Step 1: Gain approval from the CPIC Administrator before creating a new account. • Step 5: If the user has an email account, then they do not need approval. If the person does not have an email account, then the Help Desk Staff will send the new user request to the CPIC Administrator for approval before creating the new user account.	• Step 4: Send an email (with the Microsoft Word version of the form as an attachment) to helpdesk • Explain that the attached document is a request for a new user account.	• Steps 2, 3: " New User Access Form" • Step 10: Updates to " User List"

Processes

Outcomes

- Helps to define overall CPIC program scope
- Aids in defining processes, activities and outputs
- Documents processes so that when there are staff changes there are instructions for conducting activities
- Sets groundwork for measuring performance



Performance Measures & Goals

Step 2

Performance Measures & Goals

•Identify performance measures

•Set performance goals

•Identify performance baseline

•Develop plan for capturing performance results

Approach

- Meet with the team to review the processes, activities and outputs
- Conduct a brainstorming exercise to identify performance measures, goals and baselines
- Develop a plan for capturing the actual performance results

Performance Goals & Measures

CPIC Support (Processes and Activities)	CPIC Deliverables (Process Outputs)	CPIC Performance Measures
CPIC System Administration		
Grant new user logins and passwords	User login request forms	Number of new user login requests issued
Conduct new user training	New user training slide Presentation	Number of new users trained
	New user training survey	Customer satisfaction surveys indicating level of customer satisfaction with training
Maintain master user list	Master user list database	Number of master users maintained
Conduct user support	Issue tracking and resolution database	Number of calls received Number of issues resolved Number of issues not resolved

Performance Measures & Goals

Outcomes

- Helps define CPIC program performance baseline
- Helps define CPIC program performance measures
- Aids in defining CPIC program performance goals
- Creates a plan for capturing CPIC program performance

Performance Results

Step 3

Performance Results

•Capture Performance Results

-Statistics

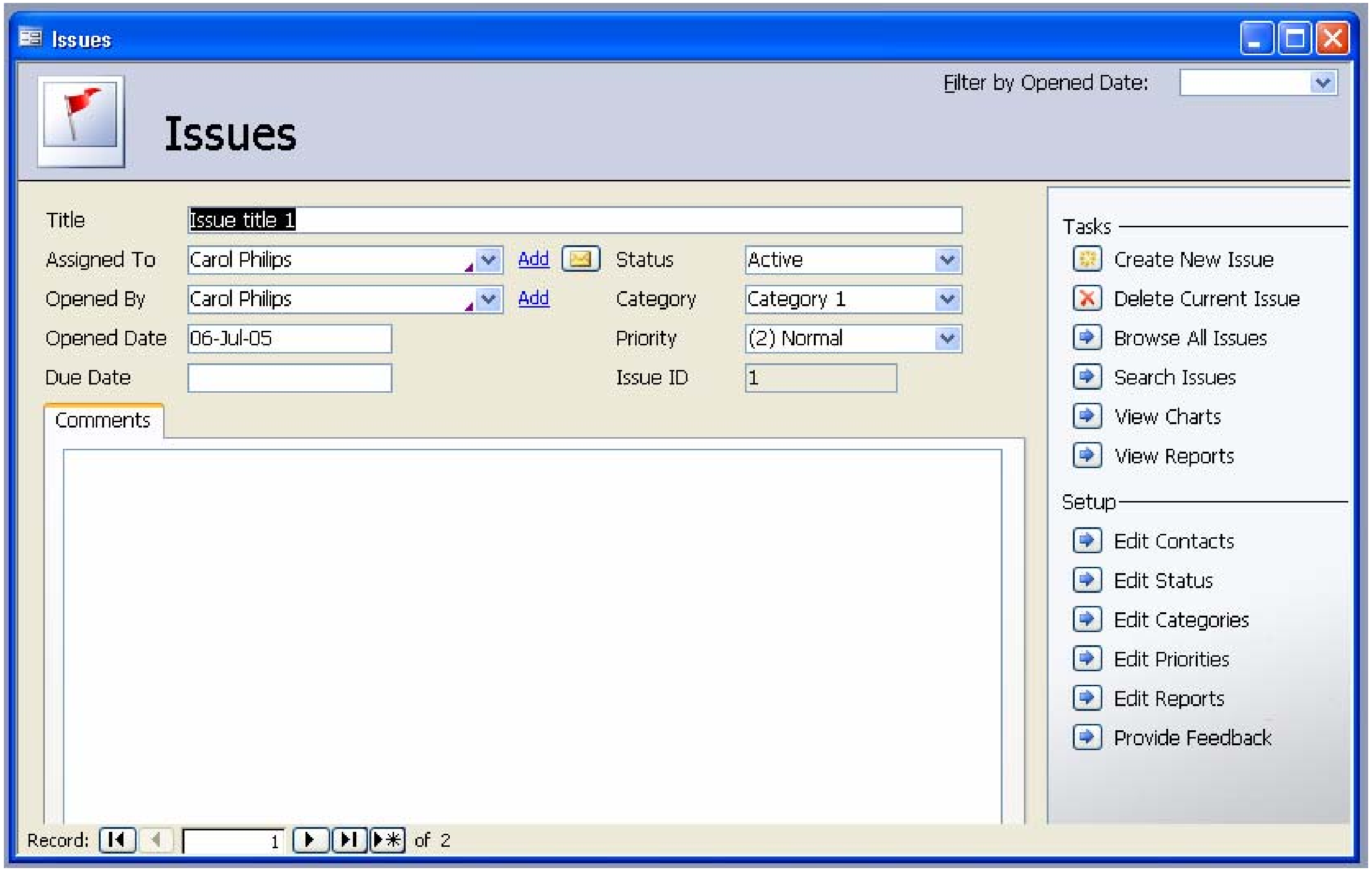
-Surveys

-Facilitated sessions

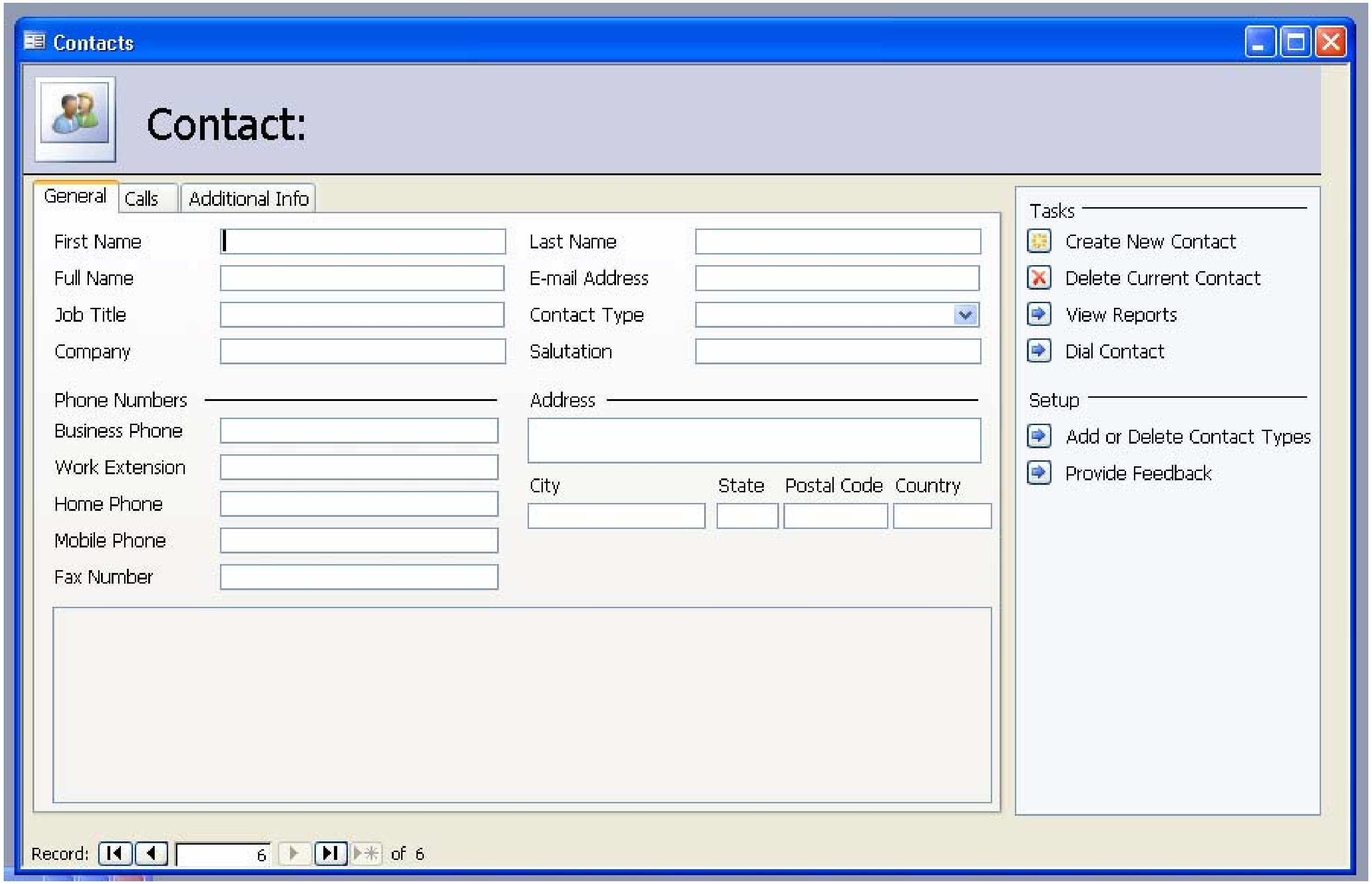
Approach

- Design databases or other means to capture statistics
- Capture statistics on a regular basis
- Design, test, and deliver surveys to stakeholders and customers
- Capture surveys results
- Design and deliver facilitated sessions to stakeholders and customers
- Capture facilitated session results

CPIC Issue Tracking Database



CPIC Contacts Database



Lessons Learned - Survey

48. Was the overall quality of the support you received during the FY08 OMB Exhibit 300 process improved over FY07? (Please answer only if you were also involved in the FY07 process)

	Response Percent	Response Count
Yes	**65.2%**	15
No	4.3%	1
Not Applicable	30.4%	7
answered question		**23**
skipped question		**15**

49. Did you feel like you had the resources available to you (through the CPST, Subject Matter Experts, and other sources) to effectively address any questions or concerns that you had?

	Response Percent	Response Count
Yes	**75.0%**	24
No	25.0%	8
answered question		**32**

Lessons Learned – Facilitated Sessions

Facilitated Session Design Capital Planning Stakeholders	
Agenda	**Process Design Notes**
Welcome and Agenda Overview (15 minutes)	•Review the purpose of the meeting and how the three hours will be spent •Facilitator will initiate introductions •Set the group ground rules •Clarify any parameters or limits that may impact the lessons learned activity •Clarify how empowered members are to use the lessons learned to make recommendations and create project plan for next year
Clarify the Focus (15 minutes)	•The facilitator will briefly provide the Capital Planning Staff, customer, and stakeholder with a list of activities from the current Budget Formulation Cycle •The facilitator will make sure that everyone is clear on what is being discussed
T-Chart (60 minutes)	•Members draw on their experience and any data gathered before session to respond to questions: •What are we doing really well, and what should we keep doing the same way? •What are we not doing well, and what needs to improve?
Wrap-up (60 minutes)	•The group members will work to develop and refine recommendations and create action plans

Sessions:

- Capital Planning Staff
- Stakeholders

Session Format:

- Trained Facilitator
- 2 ½ hour Session
- Agenda

Discussion Topics:

- Went Well
- Needs Improvement
- Action Items

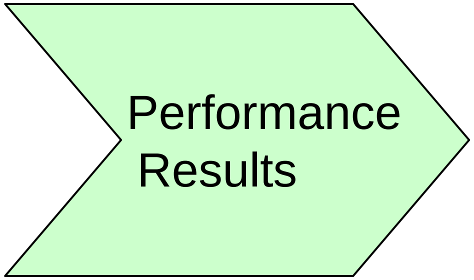
Performance Measures & Goals

CPIC System Administration				
Support Area	**Performance Measure**	**FY05** (3/1/05 – 8/31/05) **Actual Metric**	**FY06** (9/1/05 – 8/31/06) **Actual Metric**	**FY07** (9/1/06 – 8/31/07) **Target Metric**
Grant new user logins and passwords	Number of new users granted accounts	10	48	TBD in FY07
	Number of old users deactivated	7	65	TBD in FY07
Conduct new user training	Number of training sessions held	0	12	1 per new user located at TSA HQ
Maintain master user list.	Number of active users	75	58*	TBD in FY07
Conduct user support	Number of related troubleshooting requests processed	Not measured	149	TBD in FY07

Performance Results

Outcomes

- Provides a means for capturing CPIC program results
- Helps capture actual CPIC program performance results



Strategy

Step 4

Strategy

•Develop strategy

•Draft master schedule

•Budget planning

•Resource planning

Approach

- Analyze the performance results
- Meet with the team to review the results and develop strategy for the upcoming year
- Review the strategy along with budget and resources
- If required, reallocate budget and resources based on your strategy

CPIC Strategy & Master Schedule

CPIC Strategy for Upcoming Year

CPIC Program Management
- Create CPIC staff training program
- Create master CPIC schedule
- Request additional program funding

CPIC Policy Analysis and Reporting
- None

CPIC Strategic Communications
- Create weekly E-Newsletter
- Create CPIC web site
- Commence monthly stakeholder meetings

CPIC System Administration
- Implement latest version of CPIC software
- Create new training class for latest version of CPIC software

OMB 300 Coaching and Mentorship
- Add Federal Budgeting, Enterprise Architecture, and Performance Management class to the training curriculum
- Allocate more resources to OMB 300 coaching and mentoring sessions

OMB 300 Reviews
- Create new OMB 300 scoring template

Task Name	Duration	Start	Finish
CPIC Program Management	**304 days**	**Fri 9/1/06**	**Wed 10/31/07**
CPIC Planning Activities	283 days	Mon 10/2/06	Wed 10/31/07
Analysis of FY10 Lessons Learned Data	9 days	Mon 10/2/06	Thu 10/12/06
Develop FY11 Schedule	7 days	Thu 10/12/06	Fri 10/20/06
Finalize FY11 Plan	20 days	Mon 10/2/06	Fri 10/27/06
Finalize FY10 Performance Report	20 days	Mon 10/2/06	Fri 10/27/06
Start FY12 Planning Process	23 days	Mon 10/1/07	Wed 10/31/07
Meet to share best practices	0 days	Mon 12/18/06	Mon 12/18/06
Identify new FY09 OMB Exhibit 300s	20 days	Mon 10/16/06	Fri 11/10/06
Develop a checklist of required artifacts	20 days	Mon 10/16/06	Fri 11/10/06
Prioritize existing OMB Exhibit 300s based on weaknesses	20 days	Mon 10/16/06	Fri 11/10/06
CPIC On-Going Activities	261 days	Fri 9/1/06	Fri 8/31/07
Capture CPIC performance metrics	261 days	Fri 9/1/06	Fri 8/31/07
Issue Investment IDs	261 days	Fri 9/1/06	Fri 8/31/07
Conduct FISMA Mapping	261 days	Fri 9/1/06	Fri 8/31/07
Manage portfolio of major and non-major investments	261 days	Fri 9/1/06	Fri 8/31/07
CPIC Coordination	261 days	Fri 9/1/06	Fri 8/31/07
New CPIC Staff Training	78 days	Mon 10/16/06	Wed 1/31/07
Conduct other activities as required	261 days	Fri 9/1/06	Fri 8/31/07
CPIC Close Out Activities	277 days	Fri 9/8/06	Mon 10/1/07
Submit Final FY08 OMB Exhibit 300s to Agency/OMB	0 days	Tue 9/12/06	Tue 9/12/06
FY10 Lessons Learned Facilitated Session (CPIC Staff)	0 days	Fri 9/8/06	Fri 9/8/06
FY10 Lessons Learned Facilitated Session (SMEs)	0 days	Thu 9/21/06	Thu 9/21/06
FY10 Lessons Learned Survey (Project Managers)	10 days	Mon 9/18/06	Fri 9/29/06
Prepare FY11 OMB Exhibit 300 and 53 for Submission to OI	10 days	Mon 8/27/07	Fri 9/7/07
Submit Final FY09 OMB Exhibit 300s to Agency/OMB	0 days	Mon 9/10/07	Mon 9/10/07
FY09 Lessons Learned Facilitated Session (CPST)	0 days	Sat 9/8/07	Sat 9/8/07

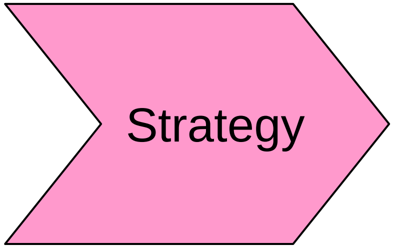
Resource Allocation

Support Area	Support Tasks	1 FTE	2 FTE	3 FTE	4 FTE	5 FTE
OMB 300 Coaching & Mentoring	Kick-Off Meetings	0	0	0	0	0
	OMB 300 Workshops/Training	0	0	0	0	0
	OMB 300 Coaching Sessions	0	0	0	0	0
	Subtotal	0	0	0	0	0
OMB 300 Reviews	OMB 300 Reviews	0	0	0	0	0
	OMB 300 Review Reports	0	0	0	0	0
	OMB 300 Feedback Sessions	0	0	0	0	0
	Subtotal	0	0	0	0	0
Unplanned Tasks	Unplanned Task #1	0	0	0	0	0
	Unplanned Task #2	0	0	0	0	0
	Unplanned Task #3	0	0	0	0	0
	Subtotal	0	0	0	0	0
Total	**Actual FTE Hours**	0	0	0	0	0
	Actual FTE Number	0.0	0.0	0.0	0.0	0.0
	Target FTE Hours	**1800**	**3600**	**5400**	**7200**	**9000**
	Target FTE Number	**1.0**	**2.0**	**3.0**	**4.0**	**5.0**
	Government FTEs Supported	0	0	0	0	0
		-1800	-3600	-5400	-7200	-9000

Strategy

Outcomes

- Helps to determine the strengths and weaknesses of the program
- Provides a strategy for the upcoming year
- Provides a master schedule of activities for the upcoming year
- Ensures budget and resources are allocated to support the strategy



Questions

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