

FSIS Enterprise Governance Board Project or Evaluation Review Request Form

Project Title: [_____]

[Enter title from 1a]

This form --which requests details of the project or evaluation request you are submitting through the FSIS Enterprise Governance process --will serve as the basis for the Enterprise Governance (EG) Boards to evaluate agency initiatives. It is the program area's opportunity to describe and justify the project or evaluation it is proposing. Instructions for completing this form are in the attached instructions. Please provide clear and concise information. All sections must be completed unless otherwise noted. Only signed submissions will be accepted for review.

Section One - Project Description

1a. Project Title:

Lead Program Area and Project Owner:

Submitter's Name, Job Title, and FSIS Program Area:

1b. Project Stage (Please select one):

☐ Amended Request

☐ Evaluation Request

☐ Project Initiation/Implementation

☐ Project Elimination

If this submission is for an amended request, please enter the EG Reference Number for the project:

1c. Please provide a brief description of the project:

1d. Project Sponsor AA's Signature: _____ Date: _____

Section Two - Alignment with FSIS Business Needs and Project Priority *[Criticality*]*

2a. Describe the project's goals and expected outcomes, and any agency business needs the project is anticipated to solve *[Benefits*]*:

2b. Describe this project's criticality to FSIS, including its potential impacts on the agency's mission, the agency's current capabilities in this area as well as needed capabilities and to what extent this project fills those needs. Also discuss why it should take precedence over other agency initiatives. Specifically, include any mandates, and links to FSIS's strategic plan and Annual Performance Plan. If this project will require additional funding, explain why it was not completed with your base funding *[Impact on the Mission, Current Capability, Needed Capability and Capability Shortfall*]*:

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[Enter title from 1a]

2c. Score the project's priority within FSIS (for example: 1, High; see description under 2c of instructions):

2d. To which type of IT investment is this proposal tied (please check appropriate box):

☐ MAJOR IT Investment (PHIS or Public Health Data Communications Infrastructure System (PHDCIS) infrastructure)

☐ NON-Major IT Investment (examples: ANet, EDW, FIMS, Hotline, LIMS, LSAS, etc.)

☐ This is not an IT investment

2e. If a major or non-major IT investment, will this request require a cost or schedule rebaseline? Y | N (select one)

☐ Yes

☐ No

Section Three - Information to Support Evaluation Request (Only Complete if you are requesting an evaluation. If not, then skip to Section Four.)

3a. What are you requesting be evaluated (please select one)?

☐ Program

☐ Guidelines

☐ Other _____

☐ Policy/Rules/Regulations

☐ Training

3b. Provide a brief description of this program, policy, etc., including its intended goals and objectives:

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[Enter title from 1a]

- ☐ Needs assessment - determines who needs the program or policy, how great the need is and what might work to meet the need
- ☐ Implementation - monitors and assesses program or policy delivery
- ☐ Process - assesses the process of delivering the program or policy including alternative delivery procedures
- ☐ Outcome evaluation - 1) were program or policy goals achieved, 2) did program or policy result in demonstrable effects on specifically defined outcomes, 3) impact of program or policy on larger organization --overall or net effects, 4) how efficient is program or policy with respect to cost.
- ☐ Other: _____

Section Four - Project or Evaluation Timeline

4a. Date for initiation and project duration [*Timeframe**]:

4b. List major project milestones and deadlines, adding rows as necessary [Timeframe*]:

[illegible]

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[Enter title from 1a]

Section Five - Resource Requirements: (If you are requesting an evaluation, only complete 5d-h.)

5a. Describe the estimated costs of the project *[Estimated Lifecycle Costs*]* for FY _____ to FY _____

One year costs for : FY _____ Amount _____

Out-year costs for FY _____ to FY _____ Amount _____

Future base funding increase (Y/N): ☐ Yes ☐ No Amount _____

Basis of estimated costs (for example, sources, assumptions and calculations): _____

5b. Provide the source for any needed funds:

☐ Existing program funds ☐ Additional, non-program area funds ☐ Combination (program and additional funds)

If additional funds are needed, explain why the initiative was not in your program area's fiscal year Spend Plan:

5c. Describe workforce impacts for resource estimates:

5d. Describe any new policies or policy revisions that will be necessary to implement the project or evaluation:

5e. Describe any technology required or impacted (select all that apply):

☐ Uses Existing ☐ Requires Revision of Existing ☐ Requires More of Existing
☐ Requires Revision to Planned ☐ Requires New ☐ N/A

5f. If this is an IT-focused project, describe how it is an effective and efficient IT data collection system that meets all Federal IT Personnel security requirements:

5g. Discuss the return -on -investment (ROI), including a description of both quantitative and qualitative benefits (include assumptions, calculations and stakeholders impacted. If preferred, include characterizations as attachments):

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[Enter title from 1a]

Section Five - (continued) Resource Requirements: (If you are requesting an evaluation, only complete 5d-h.)

5h. Score the expected ROI for the project (for example: 1, High; see description under 5h in instructions):

Section Six - Project Risks [Impact if approved and Impact if not approved*]:

6a. Describe the risks associated **with not moving forward** with and **with moving forward** with the initiative (be specific in severity and probability of the risks and stakeholders impacted by the risks):

6b. Score the project's overall risk, taking both the risks associated with not moving forward and with moving forward with the project into account (for example: 0, Extreme; see description under 6b in instructions):

Section Seven - Project Innovation

7a. On the basis of the definition under 7a in the instructions, do you consider this project innovative? (Y/N):

☐

Yes

☐

No

Section Eight - Proposed Project Scores

8a. Please complete the table below, checking the appropriate column (score) for each row (criteria) as scored above:

Criteria	Score (0 - 3)	Score Description (e.g., low, high) and Rationale
Priority (from 2c)		
Return-on-investment (from 5h)		
Risk (from 6b)		

8b. Total Score (add the score from each of the criteria):

FSIS Enterprise Governance Board Project or Evaluation Review Request Form - INSTRUCTIONS

This document provides instructions for completing the Enterprise Governance Review Request Form.

Section One - Project or Evaluation Request Description

- 1a.** Provide a title for the project, the program area that owns the project, and the name of the person in charge of shepherding this project through the enterprise governance process.
- 1b.** Designate whether this is an amended request which is a modification to an existing project that has already gone through the enterprise governance process; a new project (project initiation), project implementation (in this case, decisions have been made but coordination is needed for implementation), evaluation request or elimination request (e.g., a database, automated program, etc., that will be discontinued) which has not gone through any of the enterprise governance process.

If this form is for an amended request, please provide the EG Reference Number. For any other request that has not gone through the enterprise governance process, please complete as much of the form as possible. Submitters can work with the Enterprise Investment Board (EIB), Enterprise Architecture Board (EAB) and Enterprise Steering Board (ESB) if further details are needed (for example, if more **precise or detailed return-on-investment estimates or IT details are needed**).

Also indicate whether a phased-approach or options for partial completion of specific aspects of the project are possible if only partial funding is available.

If you are requesting an evaluation, submit the completed form to the Program Evaluation and Improvement Staff at PEISMailbox@fsis.usda.gov. PEIS staff will complete a review of the form and submit to the Governance Board for prioritization.

- 1c.** Please provide a brief description of the project being requested.
- 1d.** The signature of the Assistant Administrator of the program area that owns the project is required for all submissions.

Section Two - Alignment with FSIS Business Needs and Project Priority

- 2a.** Provide a brief description of the project. For example, if the project includes a purchase, specify what that purchase is (e.g., contractor support, equipment, salaries, travel, software, etc.). Also identify any IT components, if applicable. If you are requesting an evaluation, questions to be answered include the following: Why are you requesting an evaluation?; What important policy and/or program questions exist?; How can an evaluation address the problems?; Define any challenges (e.g., lack of data, union issues, etc.); and What will you do with the results of the evaluation?
- 2b.** Explain the importance or criticality of this project, including a paragraph that describes which FSIS strategic goals this initiative will support and what objectives and outcomes that will be produced as a result. For example, is it mandated, is it important for meeting FSIS's strategic goals or Annual Performance Plan priorities, and why it should take precedence over other agency priorities. If it requires additional funding, explain why it was not included in base funding and what priorities were funded ahead of this requirement.
- 2c.** Assign the project a priority score; assign the score according to the table below:

Score	Priority	Description or Example
0	Mandated	When a law or regulation includes specific direction, such as hiring a specified number of humane handling officers, or there has been a public commitment made by the administrator or higher. These projects are required to be implemented.
1	High	There is a strong strategic need for the project, such as an initiative related to a Presidential Directive or initiative, or it is inferred from laws, regulations or departmental directives.
2	Medium	The project is related to a departmental policy or non-frontline staffing issue.
3	Low	The project is desirable but not essential, more of a want than a need

- 2d.** Identify which type of IT investment this proposal is tied to by checking (✓) the appropriate box:

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- Check MAJOR if the proposal is related to PHIS or PHDICS.
- Check NON-MAJOR if it is another type of IT investment. (There are several Non-Major IT investments, although this list may change periodically. Currently, the list includes the Financial Processing Center General Support System (FPC GSS), AssuranceNet (Anet), FSIS Consumer Complaint Monitoring System II (CCMS II), FSIS Data Warehouse (DW), FSIS Incident Management System (FIMS), FSIS Label Submission and Approval System (LSAS), FSIS Performance Based Inspection System (PBIS), FSIS Human Resource GSS (HR GSS), FSIS Public Health Human Resource System (PHHRS), FSIS Residue Violation Information System (RVIS), FSIS Time Clock (Actual Time Automation (ATA), FSIS Web Services (WS), USDA Meat & Poultry Hotline (Hotline) and FSIS Lab General Support System (Lab GSS).
- Check "This is not an IT investment" if the proposal does not have an IT investment-related component.

(If you have a question regarding whether your proposal is a Major or Non-Major IT investment, you will need to contact OCIO for a technical review.)

2e. Based on the current schedule/critical path or approved cost estimate, indicate if this request will cause the IT project/initiative to

Section Three - Information to Support Evaluation Requests (Only complete if you are requesting an evaluation. If not, then skip to Section Four)

- 3a.** Identify the program, policy, guidelines, training, etc., that you want to be evaluated.
- 3b.** Explain what the intended goals and objectives are of the program, policy, etc., you want evaluated.
- 3c.** Provide information indicating what previous research or analysis has already been completed related to the program, policy, etc., that you are requesting be evaluated. Provide the dates that the analysis or research was completed, as applicable. This will help better inform the evaluation.
- 3d.** Confirm whether the program, policy, etc., that you want to be evaluated has been implemented and when. If the program, policy, etc., has not been implemented, provide the planned implementation date.
- 3e.** Identify the type of evaluation you are requesting. For example, do you need to evaluate how a program or policy was delivered (implementation), mechanisms for program delivery (process), or whether the program goals and objectives were achieved (outcome).

(If you have any questions regarding this section, please send an email to PEISMailbox@fsis.usda.gov.)

Section Four - Project Timeline

- 4a. and b.** Detail the timeline for the project, including when it is anticipated to begin, its duration, and all major milestones and their anticipated completion dates.

Section Five - Resource Requirements

This section details the proposed costs and benefits, and technological effects of the project. Be specific regarding sources, assumptions and calculations used in developing the proposed costs and benefits. (Note: For program areas that are requesting an evaluation, only complete 5d-h.)

The EIB can provide assistance and input into the cost and benefit estimates, particularly after project initiation when more precise or detailed return-on-investment estimates are needed. All justifications and relevant supporting documentation should be submitted to each program's assigned Budget Execution and Control Branch (BECB) Analyst. You should also initiate discussions with the Capital Planning/Cost Analysis Branch (CPCAB) to begin consideration of the costs and benefits associated with the project.

The EAB can provide assistance and input into the technology assessments, including after project initiation when more precise details about the potential effects on technology need to be determined. All IT development must be performed in accordance with

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FSIS policy on the Software Development Life Cycle and all IT development and operations and maintenance must adhere to FSIS, USDA and/or Federal guidance and policy.

5a. The description of the estimated costs should include a discussion of:

- How much the initiative will cost in the current fiscal year.
- Whether a portion of the proposed funding can be delayed to the next fiscal year.
- Whether this is a one-time only cost or there are one year + out-year costs, and what those out-year funding requirements associated with this initiative are (for example, \$20,000 each successive year for purchasing replacement equipment).

Do not include in this form any specifics about contractor names and other contractual details. If those details are required for other cost estimating purposes, please omit them here.

5b. Provide the source for the funds. That is, does the program area have sufficient funds for the project, will it need additional funds, or will it use a combination of existing and additional funds?

5c. Describe all workforce impacts of this project. For example, describe how many additional FTEs and contractors will be needed, and whether there are any effects on grades or bargaining-unit employees. Also list any potential associated costs, including costs to other program areas, such as maintenance or training costs.

5d. Describe any new policies or policy revisions that will be necessary to implement the project. This could affect the resource requirements.

5e. Describe any technology required or impacted. This will help the EAB evaluate the potential effects on IT systems.

5f. If this is an IT-related project, describe how it meets all Federal IT Personnel security and other Federal requirements.

5g. Return-on-Investment (ROI) is defined as the net benefits (total benefits - total costs) the Agency will receive as a result of undertaking this project or initiative. ROI can be measured in dollars (ROI \$ = total benefits - total costs) or percentage (ROI % = total benefits - total costs/total costs). ROI provides the Agency decision makers with measurable metrics to objectively choose amongst different investments that optimize taxpayer dollars. Costs and benefits may be of a quantitative nature (for example, dollars or hours required to perform mission) or may be qualitative, in which case their valuation may be harder to determine (for example, a reduced workload, improved accuracy or more reliable data). In the case of qualitative costs and benefits, when completing the form you should attempt to outline as much of the benefits as possible and make an initial subjective evaluation for scoring purposes.

(If you have questions regarding ROI, please contact CPCAB at CPCAB@fsis.usda.gov.)

5h. Assign the project an ROI score that takes both quantitative and qualitative ROI benefits into account. Assign the score according to the table below:

Score	ROI	Description or Example
0	Very High	For example, might lead to a significant reduction in foodborne illness, ROI realized within one year, there will be cost savings through monetary or time/level of effort.
1	High	For example, there will be an increase in data quality.
2	Moderate	For example, no cost savings to the agency are anticipated.
3	Low	For example, no significant or measurable impacts to the agency are anticipated.

Section Six - Project Risks

6a. Describe the risks associated with the project. A project's risk is a combination of the probability that a negative action or event will occur and the severity of that negative action or event for FSIS. The negative action or event could occur as a result of not moving forward with the project, or the result of moving forward with the project; describe both sources of risks in this section.

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When discussing the risks from **NOT UNDERTAKING** the project, for example, discuss any potential to:

- violate a law;
- negatively affect FSIS's mission;
- lead to a loss of potential funds or inefficient use of funds;
- decrease the agency's ability to meet its performance measures;
- lead to an inability to meet our departmental requirements and, subsequently, a reprimand by the department;
- result in a loss of application functionality (could be seen as decreasing return on prior investments) or miss an opportunity to consolidate systems that perform similar functions or have overlapping functionality;
- decrease the trust or confidence from, or diminish relations with internal (that is, all or a particular set of FSIS employees) or external stakeholders (for example, consumer groups, industry, Congress, or other government partners); or
- affect other initiatives that are interrelated with or dependent on this initiative (include information on other initiatives with similar or complementary goals).

When discussing the risks from **UNDERTAKING** the project, for example, discuss any potential to:

- violate a law or have a negative affect on FSIS's ability to regulate (for example, could the project lead to FSIS overstepping its legal authority or a departmental reprimand for overstepping FSIS's roles);
- increase financial risks or waste of funds, for example, if the project:
 - has low probability of being completed because of the likelihood of cost escalations,
 - is dependent on resources that might not be available, such as the availability of trained staff to conduct or oversee the project, adequate IT infrastructure to support the initiative or use the results of the initiative once completed;
- increase redundancies within the agency;
- affect labor relations (for example, the initiative might require negotiations with the bargaining unit);
- negatively affect other agency initiatives (for example, are there competing human capital needs such that the initiative would pull agency personnel away from other projects which are more critical); or
- IT risks (for example, could the project increase the vulnerabilities of the IT infrastructure by increasing the use of the IT systems beyond their capabilities or increase or broaden access to IT systems that could increase susceptibility to hacking or compromising security measures.)

- 6b.** Assign the project **one risk score** that reflects both the risks associated **with not** moving forward with the project and the risks associated **with** moving forward with the project.

Score	Risk	Description or Example
0	Extreme	For example, for example, mission Failure, violation of law.
1	High	For example, Loss of funds or opportunity, Mission Impact, Agency scored "Red" on Department Scorecard, inefficient use of funds.
2	Medium	For example, Minor impacts to Mission, Departmental reprimand
3	Low	For example, Non-Critical Application Enhancement (i.e. adding Spell Check to an existing functional application)

Section Seven - Project Innovation

- 7a.** An innovative project: (1) employs new or enhanced technology, processes and/or methodologies in FSIS, (2) results in a clear, tangible outcome on the Agency's public health regulatory mission, and (3) introduces this positive, measurable impact across multiple program areas or enterprise-wide.

Section Eight - Project Score

- 8a.** Check the appropriate box for each of the three criteria on the basis of the scores presented earlier in the form.

- 8b.** To calculate the total score, add the scores for each criterion. That is:

$$\text{Total Score} = (\text{Priority Score}) + (\text{Return-on-Investment Score}) + (\text{Risk Score})$$