



Federal Emergency Management Agency (FEMA) Financial Systems Modernization (FSM) Program

PERFORMANCE WORK STATEMENT (PWS)

Planning, Programming, Budget, and Execution (PPBE) System



FEMA

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TABLE OF CONTENTS

1	GENERAL INFORMATION	4
1.1	Background.....	4
1.2	PPBE Overview	4
1.2.1	Planning Phase.....	4
1.2.2	Programming Phase.....	5
1.2.3	Budgeting Phase.....	6
1.2.4	Execution Phase	6
1.2.5	FEMA's PPBE Framework.....	7
1.2.6	FEMA's PPBE Calendar	7
1.3	Scope	8
1.3.1	Implementation Timeline.....	8
1.4	References.....	9
1.4.1	Applicable Authorities:.....	9
1.4.2	Applicable References:.....	9
1.4.3	Information Security Laws, Regulations, Standards, and Guidance	10
2	SPECIFIC TASKS AND DELIVERABLES	12
2.1	Task 1 – Software Subscription	12
2.1.1	Software Subscription.....	12
2.1.2	Hardware/Infrastructure	12
2.1.3	Environments and Hosting.....	13
2.2	Task 2 – Implementation Services.....	13
2.2.1	Project Management	13
2.2.2	Functional Support.....	14
2.2.3	Testing Support.....	14
2.2.4	Training Support	15
2.2.5	Technical Support	15
2.2.6	Data Conversion.....	16
2.2.7	Cut-Over Support	16
2.2.8	Post-Production Support	16
2.3	Task 3 – Operations & Maintenance (O&M).....	16
2.3.1	Software Patching Support	17
2.3.2	Help Desk Support	17

2.3.3 Functional Support.....	17
2.3.4 Technical Support	18
3 DELIVERABLES.....	18
4 PERFORMANCE MEASURES	20
5 PERIOD OF PERFORMANCE.....	20
6 PLACE OF PERFORMANCE	20
7 CONTRACTOR PERSONNEL	21
7.1 Qualified Personnel	21
7.1.1 Project Management Experience.....	21
7.1.2 Implementation Experience.....	21
7.1.3 Subject Matter Experience.....	21
7.2 Key Personnel.....	21
7.3 Employee Identification	21
7.3.1 Visiting Government Facilities	22
7.3.2 Working On-Site at Government Facilities	22
7.4 Employee Conduct	22
7.5 Removing Employees for Misconduct or Security Reasons	22
8 HOURS OF OPERATION	22
9 TRAVEL.....	22
10 TASK ORDER POST AWARD CONFERENCE.....	23
11 PROGRESS REPORTS	23
12 PROGRESS MEETINGS	23
13 PAYMENT SCHEDULE	23
14 APPENDICES	23
APPENDIX A – DHS FINANCIAL MANAGEMENT SYSTEMS STANDARD (FMSS).....	23
APPENDIX B – FEMA PPBE FUNCTIONAL REQUIREMENTS.....	33
APPENDIX C – FEMA PPBE NON-FUNCTIONAL REQUIREMENTS	57
APPENDIX D – SECTION 508 REQUIREMENTS	62
APPENDIX E - RECORDS MANAGEMENT OBLIGATIONS.....	63
APPENDIX F - ENTERPRISE ARCHITECTURE.....	65
APPENDIX G - PRIVACY.....	66

1 GENERAL INFORMATION

The Federal Emergency Management Agency (FEMA) requires a Budgeting system that supports the Planning, Programming, Budgeting, and Execution (PPBE) framework. FEMA seeks Software as a Service (SaaS) which has the capability to import financial execution data to modernize our existing manual processes. The high-level goals of this system are intended to improve the speed and accuracy of producing multi-year funding plans, planning and fiscal guidance, required documents, tracking progress, measuring results and comprehensive reporting to ensure overall accountability throughout the PPBE process.

1.1 BACKGROUND

The FEMA mission is to support our citizens and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. The DHS Financial Accountability Act of 2004 established policies for the PPBE system. The system enables large multiple-mission government organizations to effectively plan for, request, and execute public funds. Currently, FEMA Office of the Chief Financial Officer (OCFO) uses commercial software (e.g. Microsoft Excel) and other business systems such as Spend Plan Reporting & Integration Tool (SPRINT) and Integrated Financial Management Information System (WebIFMIS), to perform the Planning, Programming, Budgeting and Execution functions for the Agency. The objective is to license a vendor COTS solution leveraging a SaaS (Software as a Service) model hosted on a FedRAMP certified cloud-based platform and an integrator with expertise to deliver the FEMA required capabilities.

1.2 PPBE OVERVIEW

DHS Directive Number 101-01 establishes PPBE as the system through which the DHS allocates resources among its constituent organizations and programs. The FEMA PPBE system aligns with DHS's decision-making processes and meets the Office of Management and budget's (OMB) requirement that agencies maintain a "comprehensive system that integrates analysis, planning, evaluation, and budgeting" to facilitate efficient and effective use of resources to advance an agency's mission, goals outcomes, and objectives¹. FEMA leadership utilizes PPBE to link strategic direction, resource allocation, and identification of performance measures and targets, as well as to monitor execution of strategy and adjust during regular reviews to maximize mission achievement. Based on this directive, FEMA uses PPBE as a framework for resource allocation decision making and to articulate program priorities. PPBE is a cyclic annual system consisting of four sequential but sometimes overlapping phases as follows:

1.2.1 Planning Phase

The Planning Phase initiates the new cycle of the PPBE system each year. The objective of the planning phase is to identify and communicate resource planning priorities to guide development of resource plans and conduct the analytic activities necessary to prepare for the subsequent Program and Budget Review (PBR) and to identify potential issues for further study during future cycles within the Future Years Homeland Security Program (FYHSP). FEMA's strategic and annual planning efforts articulate long-term strategic goals, identify performance goals, and determine annual priorities to advance the Agency's

¹ Office of Management and Budget, Circular No. A-11: Preparation, Submission and Execution of the Budget (June 2019). Section 31.1, page 1 of Section 31. Retrieved September 14, 2019 from OMB website:

<https://www.whitehouse.gov/wp-content/uploads/2018/06/a11.pdf>

strategic direction. The final outputs of the Planning phase are the FEMA Strategic Plan and an annual memorandum conveying planning guidance.

1.2.1.1 Strategic Planning

Strategic Planning involves development of the FEMA Strategic Plan, defining FEMA's strategic goals and objectives and what should be done to achieve them. FEMA Components may develop strategic plans to articulate how they will achieve mission success and implement responsibilities under the FEMA Strategic Plan.

1.2.1.2 Annual Planning

Annual Planning assesses how best to accomplish the FEMA Strategic Plan's long-term goals through resource decisions within the PPBE cycle's five year planning horizon. Involves annual review and adjustment of the Agency's priorities. Results in an annual memorandum from the FEMA Administrator conveying planning guidance to inform decision-making in the subsequent phases. FEMA Components develop annual plans that provide strategic context for informing their resource planning by defining priorities and identifying what must be resourced.

1.2.1.3 Performance

Performance is integral to defining FEMA's strategic direction. Includes establishment and subsequent review and adjustment of the Agency's performance goals. FEMA Components develop performance metrics to support and link to the agency-wide metrics to facilitate evaluation of progress.

1.2.2 Programming Phase

Programming Phase follows the planning phase. The objective of the programming phase is to translate resource planning priorities into specific resource allocation decisions articulated over a five-year period consistent with Secretarial and Administrator direction and the missions and goals of the FEMA Strategic Plan. Programming is initiated with the analysis of the planning phase products and ends with development of an integrated seven-year Resource Allocation Plan (RAP) to submit to DHS for decision-making leading to a final DHS Resource Allocation Decision (RAD).

1.2.2.1 Program Development

Program Development consists of the development and approval of the FEMA Resource Allocation Plan (RAP) for future years (FY+2 to FY+6). The RAP outlines future FEMA capabilities and capacities to achieve FEMA's strategic goals and objectives, within fiscal guidelines. Includes program analysis and development of alternatives as necessary.

1.2.2.2 Program Review

Program Review is conducted through the Program & Budget Review (PRB) process to examine resource plans against strategic and mission resource needs and fiscal budgeting limitations. FEMA Components prepare resource and performance plans. Analysis of the Component submissions enables the Program and Budget Executive Panel to decide between agency-wide alternatives for significant resource needs and crosscutting issues that require strategic resource rebalancing.

1.2.2.3 Performance

Performance establishes quantifiable measures and targets for gauging program outcomes to inform resource trade-off analysis and decisions. Emphasis for FEMA Components is on activity level measures to support justification of requirements and expected impacts.

1.2.3 Budgeting Phase

Budgeting Phase occurs concurrently with the programming phase. The objective of the budgeting phase is to develop a fully justified one-year budget submission for FEMA to the Department. The final output of the Budgeting Phase is the annual FEMA Congressional Justification. The enactment of an appropriation completes the Budgeting Phase. During the Budgeting Phase, FEMA translates the RAD into the detailed resource requests that will be included in FEMA's annual budget submission and develops justification documents to support the President's Budget request to Congress.

1.2.3.1 Budget Formulation

Budget Formulation involves translating the outputs of the Planning and Programming phases into specific, accurately priced priorities to be included in FEMA's budget request to OMB and to Congress. FEMA documents its resource requests in the Congressional Justification, which supports the President in meeting the legal requirement to submit a budget to Congress annually. Congress considers agency requests and uses the information included in the budget justification material to determine resource allocation among competing priorities. During the Budgeting phase, FEMA provides information to DHS, OMB, and Congress to facilitate review the Agency's budget request.

1.2.3.2 Performance

Performance supports budgeting by helping to explain the value of resources in terms of impacts and accomplishments that can be measured and tracked. Performance measures are therefore an integral element of a well-prepared budget justification case.

1.2.4 Execution Phase

Execution Phase begins at the start of the fiscal year. The objective of the execution phase is to responsibly expend resources and to account for cost and performance to determine if programs perform FEMA missions in the most cost-effective manner while ensuring that FEMA satisfies statutory and regulatory responsibilities as well as delivers the products and services that have been planned, programmed, budgeted, and approved through the justification process while adhering to legal, administrative, and policy restrictions. At the same time, a strategic review is conducted to assess, using evidence, progress on implementation of the strategic plan, and the FEMA performance measure results are published in the Annual Performance Report. Strategic review, program evaluation, execution review and other analyses inform the subsequent planning phase.

1.2.4.1 Resource Management

Resource Management involves evaluation of strategic progress, assessing program requirements, and adherence to spend plans, and results in funding adjustments to correct resource imbalances. Includes administratively controlling funds; supplying financial information to FEMA managers; reporting actual results; assessing the applicability of those results to the preparation of future resource plans and decisions and managing completion of annual financial program closeout activities. Quarterly Resource

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Reviews provide a forum for FEMA senior leaders to regularly assess budget execution and performance and make resource decisions accordingly during the current fiscal year.

1.2.4.2 Performance Measurement and Program Evaluation

Performance Measurement and Program Evaluation consists of the responsible program managers ensuring that programs are being carried out as authorized and appropriated. Ensures mission performance and other reviews are incorporated in PPBE decisions for adjustments during the execution year, serving as critical feedback to inform the next Planning and Programming phases (i.e., feedback loop for the PPBE cycle).

1.2.5 FEMA's PPBE Framework

FEMA's PPBE Framework includes all the PPBE phases along with their corresponding purpose and decision documents as shown in Figure 1 below.

Phase	Purpose	Decision documents
Planning	<ul style="list-style-type: none">Outlines the vision for the agencyDefines strategic, long-term, and annual priorities to inform programming, budgeting, and executionLooks both 7 years out and long-range strategies	<ul style="list-style-type: none">Strategic PlanAdministrator's Six-year DirectionRegulatory Priority ListPolicy and Doctrine Agenda
Programming	<ul style="list-style-type: none">Translates planning guidance into specific resource actions 7 years outAligns resources to plans and achievement of Agency goalsOrganizes requirements into programsIncorporates evaluation and analysis practices to prioritize resources based on capabilities and risks	<ul style="list-style-type: none">RAPPBRFinancial Decision Documents (FDDs)
Budgeting	<ul style="list-style-type: none">Translates results of planning and programming efforts into specific, properly priced priorities 1-2 years outCulminates in submission of President's Budget to Congress, through DHS and OMB	<ul style="list-style-type: none">Congressional JustificationPresident's Budget
Execution and Evaluation	<ul style="list-style-type: none">Defines the work required to deliver strategic program objectives in the current fiscal year, within resource constraintsMeasures progress toward strategic priorities, program requirements, and adherence to spend plan	<ul style="list-style-type: none">Financial statementsOperating PlansSpend PlansQuarterly Performance Reports

Figure 1 – FEMA's PPBE Framework

1.2.6 FEMA's PPBE Calendar

An example of FEMA's PPBE calendar is shown in Figure 2 using the FY15 PPBE Calendar. The calendar is synched with the Department and Office of Management and Budget (OMB) and other external deadlines.

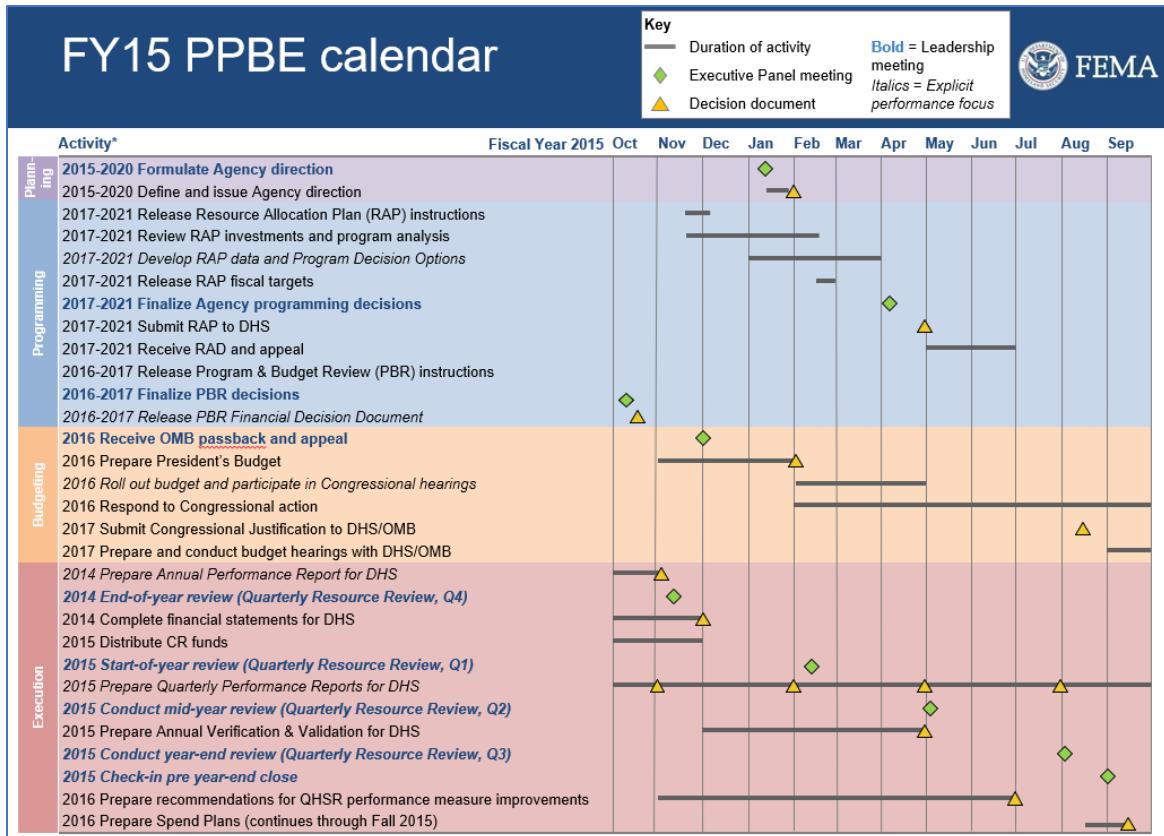


Figure 2 – FY15 PPBE Calendar

1.3 SCOPE

The purpose of this Performance Work statement (PWS) is to acquire a Firm Fixed Price (FFP) contract for a Planning, Programming, Budget, and Execution (PPBE) SaaS Solution that shall provide approximately 300 FEMA resource personnel with consistent, accurate, and timely decision support data and tool to streamline major recurring processes and enhance stakeholder product delivery and reporting. FEMA is seeking the following full system development life cycle service support:

- PPBE SaaS Solution (Cloud-based & FedRamp Certified)
- Implementation Services
- Operations & Maintenance Services and Support

1.3.1 Implementation Timeline

FEMA intends for there to be four (4) implementation Phases for this PPBE project, with Contractor performance on each phase overlapping one another.

The implementation phases are summarized below:

- Phase 1 – Foundational resource system with Planning and Programming functionality and PPBE structure (RAP, PBR, and FDDs)
- Phase 2 – Budget and execution of operating plans, spend plans, execution data importing, and analysis forecasting tool functionality

- Phase 3 – Performance management functionality
- Phase 4 – Financial statements

1.4 REFERENCES

1.4.1 Applicable Authorities:

- Public Law 108-330, DHS Financial Accountability Act, 14 Oct 04
- 44 U.S.C. 3506, Federal Agency Responsibilities
- Title 40, U.S.C., Section 11303, Performance-based and Results-based Management
- Title 40, U.S.C., Chapter 113, Responsibility for Acquisition of Information Technology
- Executive Order No. 12893, Principles for Federal Infrastructure Investments
- Executive Order No. 13450, Improving Government Program Performance

1.4.2 Applicable References:

- Department of Homeland Security (DHS) Management Directive (MD) 102- 01, Acquisition Management Directive, January 20, 2010
- DHS MD 1330, Planning, Programming, Budgeting and Execution
- DHS MD 1400, Investment Review Process
- DHS MD 4200.1, IT Capital Planning and Investment Control (CPIC) and Portfolio Management
- DHS Capital Planning and Investment Control (CPIC) Guide, Version 7.1, August 2010
- DHS CFO Financial Management Policy Manual (FMPM), Chapter 2, Planning, Programming, Budgeting and Execution
- DHS Directive 101-01, PPBE, 14 Jul 16
- DHS PPBE Instruction 101-01-001, 15 Jul 16
- DHS 102-01-103-01 Systems Engineering Life Cycle (SELC) Guidebook
- DHS Sensitive Systems Policy Document 4300A (as revised),
<https://www.dhs.gov/publication/dhs-4300a-sensitive-systems-handbook>
- Publications Annual Performance Report for Fiscal Years 2016 – 2018 (Sample),
<https://www.dhs.gov/publication/annual-performance-report-fiscal-years-2016-2018-0>
- FEMA Directive 259-3, FEMA PPBE Cycle, 5 Jan 15
- FEMA Directive 259-2, Budget Standardization, 5 Apr 17
- FEMA PPBE Instruction 259-3-1, 30 Nov 16
- FEMA FD 143-4, Program Acquisition and Enterprise Service Acquisition Review Process, May 24, 2011
- Office of Management and Budget (OMB), Circular A-11, Preparation, Submission and Execution of the Budget (July 2014)
- OMB, Circular A-123, Management's Responsibility for Internal Controls (December 21, 2004)
- OMB Circular A-127, Financial Management Systems
- OMB Circular A-130, Management of Federal Information Resources
- OMB Circular A-136, Financial Reporting Requirements
- OMB Instructions, Instructions for the Planning, Budgeting, Acquisition and Management of Non-IT Capital Assets
- OMB Capital Programming Guide

Note: Applicable authority and applicable reference documents will be made available upon request.

1.4.3 Information Security Laws, Regulations, Standards, and Guidance

The PPBE SaaS solution offering must be compliant with the following mandated requirements:

Information Security Laws, Regulation, Standards and Guidance	
Primary Sources	Overview
Federal Information Security Management Act of 2002 (FISMA 2002) DHS 4300A and DHS 4300B	<p>Establishes the foundation of information security in the Federal government. As the primary legislation governing federal information security programs, FISMA builds upon earlier legislation through added emphasis on the management dimension of information security. FISMA delegates responsibility to develop detailed information security standards and guidelines for federal information systems, with the exception of national security systems, to NIST.</p> <ul style="list-style-type: none">• FISMA designates OMB with the oversight of federal agencies' information security implementation.• FISMA provides a comprehensive framework for securing federal government information resources.
Federal Information Security Modernization Act of 2014 (FISMA 2014)	<p>The FISMA 2014 updates the Federal Government's cybersecurity practices by:</p> <ul style="list-style-type: none">• Codifying Department of Homeland Security (DHS) authority to administer the implementation of information security policies for non-national security federal Executive Branch systems, including providing technical assistance and deploying technologies to such systems;• Amending and clarifying the Office of Management and Budget (OMB) oversight authority over federal agency information security practices;• Requiring OMB to amend or revise OMB A-130 to "eliminate inefficient and wasteful reporting."
OMB Circular A-130 (Management of Federal Information Resources, Appendix III, Security of Federal Automated Information Resources)	<p>Establishes a minimum set of security controls to be included in federal information security programs, assigns federal agency responsibilities for the security of automated information, and links agency automated information security programs and agency management control systems. Security controls are the management, operational, and technical safeguards or countermeasures prescribed for an information system to protect the confidentiality, integrity, and availability of the system and its information.</p>
Information Technology Management	Supplements the information resources management

Information Security Laws, Regulation, Standards and Guidance	
Primary Sources	Overview
Reform Act of 1996 (Clinger-Cohen Act)	<p>policies contained in the PRA by establishing a comprehensive approach for executive agencies to improve the acquisition and management of their information resources and:</p> <ul style="list-style-type: none"> • Focus on information resource planning to support their strategic missions; • Implement a capital planning and investment control process that links to budget formulation and execution, and • Rethink and restructure the way they do their work before investing in information systems.
Standards and Guidance	Overview
NIST Federal Information Process Standards (FIPS) Csrc.nist.gov/publications/fips/index.html	<p>FIPS are developed in accordance with the FISMA. FIPS are approved by the Secretary of Commerce and are compulsory and binding for federal agencies. Since FISMA requires that federal agencies comply with these standards, agencies may not waive their use. See the following recent and relevant FIPS:</p> <ul style="list-style-type: none"> • FIPS PUB 199, Standards for Security Categorization of Federal Information and Information Systems • FIPS PUB 200, Minimum Security Requirements for Federal Information and Information Systems • FIPS PUB 201-1, Personal Identify Verification (PIV) of Federal Employees and Contractors
NIST Special Publications 800 Series Csrc.nist.gov/publications/nistpubs/index.html	<p>Guidance documents and recommendations are issued in the NIST Special Publication (SP) 800 series. The special publication 800 series reports on ITL's research, guidance, and outreach efforts in computer security, and it collaborative activities with industry, government, and academic organizations. Office of Management and Budget (OMB) policies (included OMB Memorandum, Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management) state that for other than national security program and systems, agencies must follow NIST standards and guidance. See the following relevant NIST Standards:</p> <ul style="list-style-type: none"> • NIST 800-37 – Guide for Applying the Risk Management Framework to Federal Information Systems • NIST 800-53 – Defines the baseline security controls, which are chosen from FIPS 199 and FIPS 200 • NIST 800-171 – Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations (SaaS)

Information Security Laws, Regulation, Standards and Guidance	
Primary Sources	Overview
Federal Risk and Authorization Management Program (FedRAMP)	<ul style="list-style-type: none">• NIST 800-95 – Guide to securing web services <p>FedRAMP is a result of the Cloud First policy issued in 2011 and OMB memo Security Authorization of Information Systems in Cloud Computing requiring the use of FedRAMP authorized cloud services by Federal agencies. FedRAMP is a centralized assessment program for Cloud Service Providers (CSPs) that mandate a security assessment be performed by a third-party assessment organization (3PAO) to provide Government cloud services (Infrastructure as a Service (IaaS), Platform as a Service (PaaS), or Software as a Service (SaaS)).</p>

2 SPECIFIC TASKS AND DELIVERABLES

The Contractor shall perform the following:

2.1 TASK 1 – SOFTWARE SUBSCRIPTION

The Contractor shall provide hosting services throughout all phases of the PPBE Program including integration & deployment, system cut-over and post production. The hosting services include:

2.1.1 Software Subscription

All software licensing required to meet the requirements outlined in the PWS (See Appendix B & C for detailed requirements). Vendors proposing shall have a FedRAMP Authorization at the time the vendor's proposal is received by FEMA Contracting. If vendor's proposal is received without a FedRAMP Authorization, then that vendor will be disqualified from competing.

Contractor shall deliver 100 initial licenses. Upon Authority to Operate (ATO) approval from FEMA, Contractor shall deliver 200 additional licenses for a total of 300 during the base period. One optional task is included for the purchase of additional user licenses. User licenses must be transferable between users and should not duplicate costs for users to have access in multiple environments. The licenses will be owned by FEMA and will be shared among FEMA's customer user base.

Software Subscription Deliverables:

- Software Subscription Certificate

2.1.2 Hardware/Infrastructure

The Contractor shall provide all hardware and infrastructure required to host the PPBE SaaS solution. Sample hardware and infrastructure items include, but are not limited to:

- Facilities (e.g., data center)
- Telecommunications
- Network operations

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- System administration
- Host-based intrusion detection
- Network-based intrusion detection
- Backup and recovery
- Monitoring of operating system, database, applications and network
- Support for installation of application patches and service-packs
- Physical database support and management
- User ID and password initial setups and resets
- System software patches and upgrades
- Hardware life cycle replacement
- Maintaining compliance with applicable federal standards

2.1.3 Environments and Hosting

The Contractor shall provide all required integrated implementation environments for all applications included in the PPBE SaaS solution and ensure that all environments can be promoted to one another (development to test and test to production). The Contractor shall not host any portion of the environment in facilities outside the contiguous United States, Alaska, Hawaii, and other U.S. Territories. At a minimum, Contractor shall provide the following environments:

- Production
- Development
- Testing
- Training

Environments and Hosting Deliverables:

- Service Level Agreement

2.2 TASK 2 – IMPLEMENTATION SERVICES

2.2.1 Project Management

The Contractor shall provide program management services throughout the lifecycle of the project.

Examples of services to be provided at a minimum include:

- Schedule Management
- Scope/Change Control Management
- Configuration Management
- Quality Management
- Organizational Change Management
- Strategic Communications
- Risk Management

The Contractor shall develop a project schedule to address implementation of the requirements identified in the PPBE Requirements List (Attachment A). The schedule shall identify at a minimum, in WBS format, the tasks to be completed, task duration, percent completed dependencies, critical path and milestones. The project schedule shall be updated on a weekly basis throughout the project lifecycle.

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The Contractor shall participate in progress meetings with FEMA's management and the Contracting Officer Representative (COR) to review and discuss the project.

Project Management Deliverables:

- Project Schedule
- Monthly Status Report
- Project Management Plan
- Quality Control Plan
- Transition Out Plan

2.2.2 Functional Support

The Contractor shall provide application configuration and shall provide a detailed solution design document to support and satisfy the requirements provided in the Appendix A and shall include functional specifications and business process flows.

Functional Support Deliverables:

- Requirements Traceability Matrix
- Solution Design Document
- Configuration Design Document
- "To Be" Process Flows

2.2.3 Testing Support

The Contractor shall develop, revise, maintain and publish an overall test strategy and test plan that shall govern the testing events required to successfully implement the PPBE solution. The test strategy shall encompass a mix of testing approaches, including:

Connectivity tests – testing activity designed to validate the continuity of network communications, accessibility, authentication and security controls. This testing activity will be performed by the contractor and will confirm that the PPBE SaaS solution can be accessed via the FEMA network.

Regression tests – tests that seek to identify new software issues, or regressions, in existing functional and non-functional areas of the system after enhancements, patches or configuration changes have been made to them. Regression testing will be performed by the contractor and will be in accordance with the government approved test plan.

User acceptance tests – testing conducted in conjunction with end users to determine if the documented requirements are met. User acceptance test events will be supported by the contractor using test scenarios and/or test scripts developed by the contractor.

Integration tests – demonstrates that the contractor configured PBPE solution satisfies all defined requirements and where individual units are combined and tested as a group versus the individual component. The contractor will perform integration testing for any interfaces developed as part of this effort and will be in accordance with the government approved test plan

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The test strategy and test plan shall include test objectives, assumptions, acceptance criteria, timeframes and responsibilities.

Testing Support Deliverables:

- Test Strategy
- Test Plan
- Test Scenarios
- Test Scripts
- Test Results Report

2.2.4 Training Support

The Contractor shall develop a Training Plan that outlines the objectives, needs, strategy and curriculum for training users on the PPBE solution. At a minimum the training plan will address the following:

- Target audience
- Training outline
- Training curriculum
- Proposed training delivery methods
- Materials, time, space requirements
- Training environment requirements
- Proposed schedules
- Training locations

The Contractor shall develop training materials and documentation to support end-user learning and deliver training that reflects common user interaction scenarios. Training delivery will address the unique implementation requirements of FEMA.

The Contractor shall be prepared to provide training in the following learning formats:

- Train-the-Trainer
- Instructor led classroom training (end user)
- Computer based training
- Live webinars

Training Support Deliverables:

- Training Plan
- Training Materials
- Training Delivery (Classroom, computer-based training, live webinars)

2.2.5 Technical Support

The Contractor shall develop and maintain technical specifications for all PBBE reports, interfaces, extensions and workflows. In addition, the Contractor shall provide technical support related to software updates to the PPBE solution, interfaces, reports and other processes to include the following:

- Application Database Management
- Software Enhancement Development

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- Report Development
- Software Upgrade Support
- Software Patch Analysis
- Interface Support

Technical Support Deliverables:

- Configuration Design Documentation
- IT Concept of Operations
- Technical Specifications
- Technical Release Notes
- Patch Analysis Report

2.2.6 Data Conversion

FEMA understands the level of effort required to convert data and is interested in converting only essential data required for the new system. FEMA will convert two years of historical execution data and current year data.

Data Conversion Deliverables:

- Data Conversion Plan

2.2.7 Cut-Over Support

The Contractor shall provide a plan that describes the transition from the development/test environment to the operational production environment, including transition of support activities from the implementation team to the operation and maintenance support team.

Cut-Over Support Deliverables:

- Cut-Over Plan
- Help Desk Plan

2.2.8 Post-Production Support

The Contractor shall provide post production support and knowledge transfer sessions to the operations and maintenance support team to ensure the seamless transition from implementation to production support. The Contractor shall also provide on-site end user support during the transition period to include issue troubleshooting and incident management.

Post-Production Support Deliverables:

- Knowledge Transfer Sessions

2.3 TASK 3 – OPERATIONS & MAINTENANCE (O&M)

The Contractor shall perform O&M support activities for the PPBE solution, including functional and technical support and security of the deployed solution. In addition, O&M support shall also include the following:

2.3.1 Software Patching Support

The Contractor shall provide a process for software patching (changes to the software that are fixes and changes in a future software release that is needed prior to implementing the new release) and software release management that addresses when new software releases will be installed and a process to communicate the changes included in the software release to the end users.

2.3.2 Help Desk Support

The Contractor shall provide Tier 2 and Tier 3 help desk support. The primary driver of this work is responding to incidents logged by both agency and other support team members. Incidents will be logged by authorized agency users in FEMA's approved incident management system. The breakout of the help desk support tiers is as follows:

- Tier 0 – Provided by the client and includes self-help.
- Tier 1 – Provided by FEMA staff and includes the capture of the issue in the incident management system and first level support.
- Tier 2 – Shared responsibility with the government and the Contractor
- Tier 3 – Contractor provided support implementing and resolving issues that require assistance from the software vendor.

FEMA staff will provide Tier 1 help desk support for the PPBE effort and the Contractor is not responsible for Tier 1 help desk support. If Tier 1 is unable to resolve the ticket, it is escalated to Tier 2.

The Contractor is responsible for supplemental Tier 2 support that includes providing guidance, training and support to the federal staff regarding production functionality. This is a shared responsibility with the government and the Contractor. The government will work collaboratively with the Contractor to prioritize incidents for resolution. The Contractor will be responsible for issue identification, analysis and resolution as part of the Tier 2 support and will be responsible for documenting the supporting information in the incident management system.

The following activities will be supported and completed by the Contractor:

- Work collaboratively with the federal level 2 support team to research and resolve issues.
- Capture and manage problem information in the incident support system
- Communicate with end users to obtain additional information related to the incident if the information provided is not sufficient.
- Assist in the development, implementation and update of service support processes to include service desk, incident management and problem management procedures.
- Communicate problem resolution with end users as part of knowledge transfer.
- Conduct requirements analysis and gap analysis between federal requirements and the Commercial off the shelf solution.
- Work with the software vendor (Tier 3) for those issues that are elevated for correction or enhancement.

2.3.3 Functional Support

The Contractor shall provide functional support related to software updates to the PPBE solution, interfaces, reports and other processes to include the following:

- Federally Mandated requirements
- Configuration Updates
- Updates to Functional Design Documentation
- Software Upgrades
- Desk Side Support
- Testing
- Training

2.3.4 Technical Support

The Contractor shall provide technical support related to software updates to the PPBE solution, interfaces, reports and other processes to include the following:

- Application Database Management
- Software Enhancement Development
- Report Development
- Software Upgrade Support
- Interface Support

Operations and Maintenance Deliverables:

- Service Level Agreement

3 DELIVERABLES

#	Task	Deliverable	Due Date	Frequency	Format
1	2	Kick-Off Meeting	3 work days after award	Once	TBD
2	2	Project Schedule	10 work days after award	Updated monthly	MS Project
3	2	Monthly Status Reports	10th calendar day of each month	Monthly	MS Word
4	2	Project Management Plan	Draft due XX Final due XX	Updated annually	MS Word
5	2	IT Security Plan	Draft due XX Final due XX	Updated annually	MS Word
6	2	Quality Control Plan	Draft due XX Final due XX	Updated annually	MS Word
7	2	Training Plan	In accordance with approved project schedule	As requested	MS Word
8	2	Test Strategy	In accordance with approved project schedule	As requested	MS Word
9	2	Test Plan	In accordance with approved project schedule	As requested	MS Word
10	2	Test Scenarios	In accordance with	As requested	MS

PPBE Software - PWS

#	Task	Deliverable	Due Date	Frequency	Format
			the approved project schedule		Excel/Word
11	2	Test Scripts	In accordance with the approved project schedule	As requested	MS Excel/Word
12	2	Test Results Report	In accordance with the approved project schedule	5 days after each scheduled test event, in accordance with the approved project schedule	MS Word
13	2	Convert list of Requirements into a Requirements Traceability Matrix (RTM) and maintain the RTM	In accordance with the project schedule	As requested	MS Excel
14	2	“To Be” Business Process Flows	In accordance with the project schedule	As requested	Visio
15	1	Software Subscription Certificate	TBD	TBD	TBD
16	1	IT Concept of Operations	TBD	As requested	MS Word
17	2	Help Desk Plan	In accordance with approved project schedule	As requested	MS Word
18	3	Service Level Agreement	In accordance with approved project schedule	As requested	MS Word
19	2	Configuration Management Plan	In accordance with the approved project schedule	As requested	MS Word
20	2	Data Conversion Plan	In accordance with the approved project schedule	As requested	MS Word
21	2	Cut Over Plan	In accordance with the approved project schedule	As Requested	MS Word
22	2	Transition Plan	In accordance with the approved project schedule	As requested	MS Word
23	1	Transition Out Plan	In accordance with the approved project schedule	As requested	MS Word

4 PERFORMANCE MEASURES

Performance Measures	Standard	Performance Threshold	Method of Surveillance
The Contractor shall employ a management approach that is consistent with project management best practices, to include program oversight/management to track, manage, and report on the schedule and performance status of this effort.	The Contractor shall provide a management approach that meets the model index of Capability Maturity Model Integration Level 3.	Project deliverables are standardized and repeatable across the program.	100% Inspection by the COR's review and feedback from appropriate government sources.
The Contractor shall prepare and submit task draft and final deliverables as dictated in the Deliverable section of the PWS.	The Contractor provides draft and final deliverables within the schedule specified, written and formatted as directed Deliverable section of the.	No more than 20% of all deliverables submitted for inspection/review shall be received late during the contract year.	100% Inspection by the COR's review and feedback from appropriate government sources.
The Contractor shall prepare and submit weekly status reports as dictated in the Deliverable section of the PWS.	The Contractor shall provide comprehensive weekly reports accurately reflecting progress, status, and any problems or issues encountered and recommend feasible resolutions.	No more than 10% of all reports submitted for inspection/review shall be in an untimely fashion.	100% Inspection by the COR's review and feedback from appropriate government sources.

5 PERIOD OF PERFORMANCE

Base Year	date of award – 12 months thereafter
Option Period One	12 months after base period expires
Option Period Two	12 months after option period one expires
Option Period Three	12 months after option period two expires

6 PLACE OF PERFORMANCE

The primary place of performance will be FEMA headquarters, located at 500 C Street, SW, Washington DC, 20472.

Resources may also be required to work out of the FEMA Winchester facility, located at 430 Market Street, Winchester, VA 22603.

Telework: As determined by the Contracting Officer's Representative (COR), Contractor employees may be required to work at an alternate place of performance (e.g. the Contractor's facility or another approved location within the local travel area) in cases of unforeseen conditions or contingencies (e.g., government closure due to inclement weather, etc.).

7 CONTRACTOR PERSONNEL

The Contractor shall advise and support the Government but shall not make final decisions or certification on behalf of the Government nor perform any inherently governmental functions. Contractor personnel shall clearly identify themselves as contractor employees in all interactions during contract performance. It is the responsibility of the Contractor to propose qualified Contractor personnel to perform all requirements specified in this PWS.

7.1 QUALIFIED PERSONNEL

The Contractor shall provide qualified personnel to perform all requirements specified in this PWS. Holistically, the personnel shall provide significant experience in all the areas aforementioned. The qualified personnel should have the necessary soft skills to be able to communicate (written and verbal) vital information to ensure success of the entire project management process. Personnel should be proficient with computer software such as Microsoft office, in particular Word, Excel, and Power Point.

The Contractor shall have proven experience in the following areas:

7.1.1 Project Management Experience

Project management experience, including the program manager, project manager(s) and all alternates. At a minimum, these resources will be expected to hold and maintain a current Project Management Professional (PMP) certification or equivalent.

7.1.2 Implementation Experience

Implementation experience with the proposed PPBE software solution including past performance implementing the solution within the Federal government.

7.1.3 Subject Matter Experience

All task related Subject Matter Experts (SME(s)) shall have the necessary in-depth experience to successfully execute the requirements within this PWS. Upon submission of proposed personnel, a list of all current certifications per person will be required.

7.2 KEY PERSONNEL

Key personnel assigned to this requirement shall be qualified and have proven experience to meet all task as applicable to their assignment. The Government in this PWS is defining Key personnel as all individuals who will be supporting in a primary capacity, to include full and part-time personnel.

Before replacing any personnel (ALL are considered as 'Key') the Contractor shall notify the Contracting Officer (CO) and Contracting Officer Representative (COR) no less than 15 business days in advance, submit written justification for replacement, and provide the name, resume, and qualifications of any proposed substitute(s). All proposed substitutes shall possess qualifications equal to or superior to those of the *Key* person being replaced, unless otherwise authorized by the Contracting Officer. The Contractor shall not replace *Key* Contractor personnel.

7.3 EMPLOYEE IDENTIFICATION

The Contractor shall comply with provisions of the SOW below.

7.3.1 Visiting Government Facilities

Contractor employees visiting Government facilities shall wear an identification badge that, at a minimum, displays the Contractor name, the employee's photo, name, clearance-level and badge expiration date. Visiting Contractor employees shall comply with all Government escort rules and requirements. All Contractor employees shall identify themselves as Contractors when their status is not readily apparent and display all identification and visitor badges in plain view above the waist at all times.

7.3.2 Working On-Site at Government Facilities

Contractor employees working on-site at Government facilities shall wear a Government issued identification badge. All Contractor employees shall identify themselves as Contractors when their status is not readily apparent (in meetings, when answering Government telephones, in e-mail messages, etc.) and display the Government issued badge in plain view above the waist at all times.

7.4 EMPLOYEE CONDUCT

Contractor's employees shall comply with all applicable Government regulations, policies and procedures (e.g., fire, safety, sanitation, environmental protection, security, "off limits" areas, wearing of parts of DHS uniforms, and possession of weapons) when visiting or working at Government facilities. The Contractor shall ensure Contractor employees present a professional appearance at all times and that their conduct shall not reflect discredit on the United States or the Department of Homeland Security. The Project Manager shall ensure Contractor employees understand and abide by Department of Homeland Security established rules, regulations and policies concerning safety and security.

7.5 REMOVING EMPLOYEES FOR MISCONDUCT OR SECURITY REASONS

The Government may, at its sole discretion (via the Contracting Officer*), direct the Contractor to remove any Contractor employee from DHS facilities for misconduct or security reasons. Removal does not relieve the Contractor of the responsibility to continue providing the services required under the contract. The Contracting Officer will provide the Contractor with a written explanation to support any request to remove an employee.

8 HOURS OF OPERATION

Contractor employees shall generally perform all work between the hours of 0600 and 1800 EST, Monday through Friday (except Federal holidays). However, there may be occasions when Contractor employees shall be required to work other than normal business hours, including weekends and holidays, to fulfill requirements under this PWS.

9 TRAVEL

Contractor travel may be required to support this requirement. All travel required by the Government outside the local commuting area (50 miles radius from place of performance) will be reimbursed to the Contractor in accordance with the Federal Travel Regulations. The Contractor shall be responsible for obtaining COR approval (electronic mail is acceptable) for all reimbursable travel in advance of each travel event.

10 TASK ORDER POST AWARD CONFERENCE

The Contractor shall attend a Post Award Conference with the Contracting Officer and the COR no later than 3 business days after the date of award. The purpose of the Post Award Conference, which will be chaired by the Contracting Officer, is to discuss technical and contracting objectives of this contract and review the Contractor's draft project plan. The Post Award Conference will be held at the Government's facility, located at 500 C Street SW Washington DC 20472, or via teleconference.

11 PROGRESS REPORTS

The Contractor shall provide a progress report on a weekly basis to the Government Program Manager and COR via electronic mail. This report shall include a summary of all Contractor work performed, an assessment of technical progress, schedule status, any travel conducted and any Contractor concerns or recommendations for the previous reporting period.

12 PROGRESS MEETINGS

The Contractor Project Manager shall be available to meet with the COR upon request to present deliverables, discuss progress, exchange information and resolve emergent technical problems and issues. These meetings are expected to take place at FEMA HQ location, but may also take place via teleconference.

13 PAYMENT SCHEDULE

A Payment Schedule, based on the Deliverables outlined in section 5 above, shall be provided as part of the proposal submission. The Government shall provide payment to the Contractor after delivery by the Contractor and acceptance by the Government, pursuant to the Delivery Terms. Payments shall only be made after the Government has inspected the Deliverable, the Contractor has corrected any deficiencies to the satisfaction of the Government, and the Government has provided final acceptance of the Deliverable.

14 APPENDICES

APPENDIX A – DHS FINANCIAL MANAGEMENT SYSTEMS STANDARD (FMSS)

The DHS FMSS provides the definition of the high-level requirements for the Enterprise Financial Management Systems. The table below defines the Budget Formulation to Execution (BF2E) taxonomies which FEMA used to develop requirements at level 1, 2, 3, and 4.

Level #	DHS Business Process Area	DHS Title	Definition
1	Budget Formulation to Execution	N/A	This business process encompasses the full lifecycle from budget formulation through final budget execution including all aspects of budget reporting. It focuses on collecting past year budget execution data, developing/submitting the proposed budget, and then distributing, tracking and controlling all funds authorized by statute,

Level #	DHS Business Process Area	DHS Title	Definition
			law, offsetting collection, sanction, policy or regulation.
1.1	Budget Formulation to Execution	Budget Formulation	This process includes the planning, preparation, and formulation of Components' budgets resulting from the management, analysis, and final creation of budget data in accordance with policy priorities and goals.
1.1.1	Budget Formulation to Execution	Prior Year Data Collection	Includes activities associated with collecting prior year budget data (object class level, authority levels, allotments, etc.), actual spending amounts, and variances either at the line item or Program, Project, and Activities (PPA) level, and entering prior year data in the Office of Management and Budget (OMB) Max system and the Homeland Security database.
1.1.1.1	Budget Formulation to Execution	Report obligations by program activity	OMB A-11 Process - includes object class codes Separate program activities into direct and reimbursable
1.1.1.2	Budget Formulation to Execution	Report budgetary resources available for obligation	OMB A-11 Process - indicate budget authority type from approved budget authority; enter policy and baseline budgetary resources data (budgetary resources by policy budget authority [discretionary and mandatory], budgetary resources by baseline budget authority [discretionary and mandatory]); and enter policy and baseline outlay data (discretionary outlays; mandatory outlays; outlays from new and prior authority)
1.1.1.3	Budget Formulation to Execution	Report change in obligated balances	OMB Process for Combined Reporting - report new unpaid obligations and deduct gross outlays; incorporate adjustments to unpaid obligations; and incorporate adjustments to uncollected customer payments.
1.1.1.4	Budget Formulation to Execution	Report net budget authority and outlays	Report mandatory and discretionary gross budget authority and outlays; report cash collections of offsetting collections; report changes in uncollected customer payments; report offsetting collections credited to expired accounts; report recoveries of prior year paid obligations; adjust gross budget authority; incorporate applicable offsets; and report net outlays.

Level #	DHS Business Process Area	DHS Title	Definition
1.1.1.5	Budget Formulation to Execution	Provide required memorandum information	Report supplementary information related to amount of appropriations used to liquidate deficiencies of lease payments; report supplementary information related to unobligated balances; report supplementary information related to investments in federal and non-federal securities; report supplementary information related to balances of contract authority, unavailable unobligated balances and discretionary mandated transfers; and report annual average number of beneficiaries who are served by Federal hospital insurance, supplementary medical insurance, unemployment insurance, and rail industry pension fund programs.
1.1.1.6	Budget Formulation to Execution	Report unfunded deficiencies that have not been liquidated	Identify unfunded deficiencies that have not yet been liquidated
1.1.2	Budget Formulation to Execution	Budget Review and Coordination	Includes activities associated with the budget review process. The budget review focuses on the review, validation, and balancing of the requirements and the preparation of the supporting materials for submission of the Component budget to DHS Headquarters (HQ) who then sends to OMB and Congress (Congressional Justification/President's Budget). This review examines the budget year and projects funding requirements through annualized, inflationary, and other appropriate adjustments, such as recording estimates including cost allocation or use rates across the FYHSP (Future Years Homeland Security Program).
1.1.2.1	Budget Formulation to Execution	Conduct Internal Base Budget Review (BPR) by Program Area	Identify workforce shaping strategies to achieve the personnel levels; identify the cost model/standard for pricing personnel; identify degree of forgoing recapitalization or investment to sustain operations; identify areas where higher risk is tolerated (compared to current operations) to support other priorities; identify the most significant cost drivers; and identify information technology cost saving strategies.

Level #	DHS Business Process Area	DHS Title	Definition
1.1.3	Budget Formulation to Execution	Resource Allocation Planning	Includes activities associated with the Resource Allocation Process (RAP) and Resource Allocation Decisions (RAD) processes such as: forecasting, projections, and what if analyses; adjusting cost allocations or use rates; breaking down payroll costs by position to support personnel budgeting; entering programmatic increases, new initiatives, reductions, or eliminations as Program Decision Options (PDO).
1.1.3.1	Budget Formulation to Execution	Develop Component Resource Allocation Plan (RAP)	Obtain resource allocation plan (RAP) instructions; develop RAP (RAP transmittal memo; system update [FYHSP, BFEM], attachment A - operational assets data call; attachment D - enterprise services [if applicable]; attachment E - summary table RAP submission template; attachment F - sensible funding proposal; attachment G - base budget review; and attachment H - capital investment exhibit); submit RAP to PA&E
1.1.3.2	Budget Formulation to Execution	Conduct the Program and Budget Review (BPR)	Receive Component RAP; PA&E analysis of RAP submission; CFO leadership and strategic review of RAP submissions; approve RAD for dissemination to Components; and disseminate RAD to Components.
1.1.4	Budget Formulation to Execution	Performance Planning	Includes activities associated with the Component program performance planning process to support Department missions, goals, and priorities within projected funding.
1.1.4.1	Budget Formulation to Execution	Manage Performance Measures	Establish linkage between DHS strategic plan, missions and individual performance measures; define performance measures; conduct performance measures improvement activities; capture and maintain performance measure information in FHSP system; establish performance targets; and engage other Components to develop cross-Component performance measures
1.1.5	Budget Formulation to Execution	Component Budget Submission	Includes activities associated with submitting Component budget to DHS HQ, HQ reconciliations, and submission of the HQ budget to OMB, Passback, and the Presidential Budget Submission and Congressional Justification Processes.

Level #	DHS Business Process Area	DHS Title	Definition
1.1.5.1	Budget Formulation to Execution	Submit Component Budget Estimates	Budget justification through Congressional Justification/President's Budget - submit OMB justification (OMBJ); submit OMB on OMBJ submission; receive OMB Passback details; Passback appeal process; provide finalized settlement memo; begin development of Congressional Justification (CJ); review and finalize Component CJs for each appropriation; and submit CJ/President's Budget.
1.2	Budget Formulation to Execution	Budget Execution	This process includes the management and distribution of funding at the appropriate levels based on the appropriation as well as obligating and expending funds, tracking spending, administratively controlling funds, assessing the applicability of results to the preparation of future plans, supplying financial information to DHS managers, and reporting budget status to OMB and Congress.
1.2.1	Budget Formulation to Execution	Budgetary Resource	Includes activities associated with the recording of resources as defined on lines 1 through 6 of the SF 132 -"Apportionment and Reapportionment Schedule". Examples of resources recorded are: enacted appropriations; spending authority from offsetting collections; continuing resolution (CR) and recoveries of prior year obligations.
1.2.1.1	Budget Formulation to Execution	Record Spending Authority from Offsetting Collections	Request and receive apportionment for anticipated budgetary resources from collections, use fees, reimbursements, and other income; develop budget operation/spend plan containing Program, Project, and Activity (PPA), FY Quarter, and organization allotments, program allocations, project suballocations, and activity suballocations; receive and process budget information and set up the funds control structure, levels, and accounting segments, including TAFS/PPA/FY Quarter and organization; establish spending authority and apportionment funding for revolving fund and allotted funding for organizations; and post appropriate budgetary, proprietary, and/or memorandum entries to the GL.

Level #	DHS Business Process Area	DHS Title	Definition
1.2.1.2	Budget Formulation to Execution	Record Special Authorities	Request and receive apportionment and Treasury Appropriation Fund Symbol (TAFS), including: contract authority, borrowing authority, financial accounts, liquidating accounts, and program accounts, approved budget authority from offsetting collections, OMB-approved apportionments, restrictions of use of offsetting collections from some reimbursable agreements, and Treasury warrants; develop budget operating/spend plan containing TAFS/Program Project activity (PPA)/FY quarter appropriation and apportionment information, and organization allotment and allocation information; request budget information be loaded into the financial system; receive and process request for loading budget information into the financial system; establish budgetary resource reporting attributes and accounting segments, including TAFS and organization; set up the funds control structure and levels; post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.1.3	Budget Formulation to Execution	Record a Continuing Resolution (CR) - Part 1	
1.2.1.4	Budget Formulation to Execution	Record a Continuing Resolution (CR) - Part 2	
1.2.2	Budget Formulation to Execution	Apportionment (Record Budget Authority)	Includes activities associated with the recording of the amounts from lines 8 through 11 of the SF 132 - "Application of Budgetary Resources". The apportionment divides amounts that are available for obligation by specific time periods (typically by quarters, but could be for an entire fiscal year), activities, projects, object classes or a combination thereof.

Level #	DHS Business Process Area	DHS Title	Definition
1.2.2.1	Budget Formulation to Execution	Record Budget Authority	Request and receive apportionment for each single year, multi-year, and no-year TAFS; develop budget operating/spend plan containing PPA, FY Quarter, and organization allotments, program allocations, project suballocations, and activity suballocations; receive and process budget information and set up the funds control structure, levels, and accounting segments, including TAFS/PPA/FY quarter and organization; establish spending authority and apportionment funding for all funding types for organizations; post appropriate budgetary, proprietary, and/or memorandum entries to the GL; revise budget operating/spend plan to correct program allocation exceeding organization allotment; receive and process revised budget operating/spend plan with correction of program allocation; post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.3	Budget Formulation to Execution	Funds Distribution	Includes activities associated with funds distribution as part of the budget execution cycle in which legally apportioned resources are distributed within an agency to support missions, programs, and other objectives. The process establishes multiple levels of budgetary control by allotting and sub-allotting apportioned resources for agency management, and records those transactions. Includes distributing funds per a Continuing Resolution, Component revenue, grants, and other sources.

Level #	DHS Business Process Area	DHS Title	Definition
1.2.3.1	Budget Formulation to Execution	Process Budget Allotments	Request and receive apportionment for each single year, multi-year, and no-year TAFS; develop budget operating/spend plan containing PPA, FY Quarter, and organization allotments, program allocations, project suballocations, and activity suballocations; receive and process budget information and set up the funds control structure, levels, and accounting segments, including TAFS/PPA/FY quarter and organization; establish spending authority and apportionment funding for all funding types for organizations; post appropriate budgetary, proprietary, and/or memorandum entries to the GL; revise budget operating/spend plan to correct program allocation exceeding organization allotment; receive and process revised budget operating/spend plan with correction of program allocation; post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.3.2	Budget Formulation to Execution	Process Budget Allocations and Suballocations	Request and receive apportionment for each single year, multi-year, and no-year TAFS; develop budget operating/spend plan containing PPA, FY Quarter, and organization allotments, program allocations, project suballocations, and activity suballocations; receive and process budget information and set up the funds control structure, levels, and accounting segments, including TAFS/PPA/FY quarter and organization; establish spending authority and apportionment funding for all funding types for organizations; post appropriate budgetary, proprietary, and/or memorandum entries to the GL; revise budget operating/spend plan to correct program allocation exceeding organization allotment; receive and process revised budget operating/spend plan with correction of program allocation; post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.4	Budget Formulation to Execution	Funds Control	Includes activities associated with validating and verifying the availability of unexpired and expired funds for spending transactions (e.g., commitments, obligations, and expenditures).

Level #	DHS Business Process Area	DHS Title	Definition
1.2.4.1	Budget Formulation to Execution	Establish Funds Control Structure	Request and receive apportionment for each single year, multi-year, and no-year TAFS; develop budget operating/spend plan containing PPA, FY Quarter, and organization allotments, program allocations, project suballocations, and activity suballocations; receive and process budget information and set up the funds control structure, levels, and accounting segments, including TAFS/PPA/FY quarter and organization.
1.2.5	Budget Formulation to Execution	Reprogramming and Transfer Authorization	Includes activities associated with processing reprogramming or transfer authorization requests. A reprogramming request is necessary whenever a Component wishes to use resources within an appropriation differently than enacted by Congress, such as a realignment of funding among Program, Project, or Activity (PPAs) within an account. Transfer authority is statutory authority provided by Congress to transfer budget authority from one appropriation or fund account to another. Transfer authority is required when resources are moved between appropriations.
1.2.5.1	Budget Formulation to Execution	Process Appropriation Transfer	Receive approval of appropriation transfer to another agency; receive and process appropriation transfer information; and post budgetary, proprietary, and/or memorandum entries to the GL
1.2.5.1a	Budget Formulation to Execution	Process Non-Expenditure Transfer	Receive approval of non-expenditure transfer from one program's appropriation fund to another program's appropriation fund; receive and process non-expenditure transfer information; and post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.5.2	Budget Formulation to Execution	Process Reprogramming Transaction	Receive approval of reprogramming request; receive and process reprogramming information; post appropriate budgetary, proprietary, and/or memorandum entries to the GL.
1.2.6	Budget Formulation to Execution	Rescissions	Includes activities associated with processing rescissions, preparing the rescission letter, listing the amount of the rescission, the legal authority, and the Treasury Account Symbol (TAS).
1.2.6.1	Budget Formulation to Execution	Process Rescission	Expired Funds: DHS HQs Initiate SF 1151 transfer in CARS Treasury System; Treasury approves and Component prepares and submits Component rescission apportionment; DHS HQs

Level #	DHS Business Process Area	DHS Title	Definition
			<p>review/approve SF 132 and sends to OMB; OMB review/approve and then Component submits rescission apportionment/warrant containing PPA, and organization allotments, program allocations, project sub allocations, and activity suballocations; receive and process updated budget information; modify spending authority and apportionment funding for all types of funds and allotted funding for organizations; post appropriate budgetary, proprietary, and/or memorandum entries to the GL</p> <p>Unexpired Funds: Component initiate rescission in CARS Treasury System; DHS HQs review/approve rescission warrant; Component submits rescission apportionment/warrant containing PPA, and organization allotments, program allocations, project sub allocations, and activity suballocations; receive and process updated budget information; modify spending authority and apportionment funding for all types of funds and allotted funding for organizations; post appropriate budgetary, proprietary, and/or memorandum entries to the GL</p>
1.2.7	Budget Formulation to Execution	Budget Monitoring	<p>Includes activities associated with providing oversight activities to ensure that budget authority and other resource allocations are used in accordance with the appropriation's intended purpose. In addition, includes conducting and providing budget performance reviews along with expenditure rates, funding forecasts, and variance calculation either at the line item or PPA level to senior management for decision making,</p>
1.2.7.1	Budget Formulation to Execution	Monitor Status of Program Funding	<p>Generate status of funds (SOF) report; compare current spending to spending levels reflected in current spend plan agreed to by offices; submit SOF report to Program Office for review and reference; and update outlays (1.2.8.4) and quarterly obligation personnel plan.</p>
1.2.7.2	Budget Formulation to Execution	Conduct Mid-Year Reviews	<p>DHS HQs issue mid-year review data call and template; Component receive mid-year review data call and template and completes template and obtains required reviews/approvals and submits to DHS HQs.</p>

Level #	DHS Business Process Area	DHS Title	Definition
1.2.8	Budget Formulation to Execution	Budget Formulation and Execution Reporting	Includes activities associated with the completion of Budgetary reports such as the Monthly Execution Report (MER), Monthly Obligation Plan (MOP), OMB budget data calls, Congressional mandates/ inquiries, status of funds, and other reports as needed.
1.2.8.1	Budget Formulation to Execution	Generate Monthly Execution Reports (MER)	Submit Component GTAS submission data; DHS HQs receives and generates input into APEX system; generate monthly execution report (MER); obtain and incorporate Component input on MER; and submit monthly MER to Senate and House Committees on Appropriations.
1.2.8.2	Budget Formulation to Execution	Generate Quarterly Obligation and Personnel Plans	DHS HQs issue data call and template to Components; Components receive data call and template and generate obligation plan by object class for contracts in excess of one million dollars; generate personnel plan; submit personnel plan to HQ budget who will review/approve obligation and personnel plan and submit to Congress.
1.2.8.3	Budget Formulation to Execution	Generate Monthly Reports on Fee Receipts	Components generate reports on fee receipts in aggregate and generate reports on fee receipts by account.
1.2.8.3a	Budget Formulation to Execution	Statement of Custodial Activity	Components generate fee receipts and DHS HQs approve for use; then Components generate reports on fee receipts by account and DHS HQs compile reports on fees receipts from Components and restricted amount above limits and send restricted amount above the limit to Treasury.
1.2.8.4	Budget Formulation to Execution	Outlay Planning and Reporting Quarterly	OMB/Treasury open MAX A-11 monthly outlay plan (MOP) exercise and Components prepare and update MOP for current & subsequent budget years and send approve MOP to DHS HQ for review/approval and release of MOP Exercise to OMB/Treasury; and Components receive final MOP Exercise.

APPENDIX B – FEMA PPBE FUNCTIONAL REQUIREMENTS

This section includes all the PPBE's standard business process requirements based on the DHS FMSS Taxonomy levels for the Budget Formulation to Execution (BF2E) business process. The following table includes FEMA's functional requirements that must be met by the software with the corresponding DHS FMSS Taxonomy levels.

#	L1/L2	L3	L4	Requirement Description
1	BF2E Budget Formulation	Prior Year Data Collection	Report Obligations by Program Activity	The system shall auto populate Description data from prior FY description data.
2	BF2E Budget Formulation	Prior Year Data Collection	Report Obligations by Program Activity	The system shall auto populate Cost Driver data from prior FY cost driver data.
3	BF2E Budget Formulation	Prior Year Data Collection	Report Obligations by Program Activity	The system shall populate timing Requirement of Award/Obligation with previous year data.
4	BF2E Budget Formulation	Prior Year Data Collection	Report Obligations by Program Activity	The system shall have the ability to capture and report on PC&I Budget and Funding Status dollars for reported obligations, unobligated balances and expenditures relative to "Planning and Acquisition Costs" only.
5	BF2E Budget Formulation	Prior Year Data Collection	Report Budgetary Resources Available for Obligation	The system shall update balances used for funds control to reflect changes in the status and amounts of commitments, obligations, expenditures, and available balances.
6	BF2E Budget Formulation	Prior Year Data Collection	Report Change in Obligated Balances	The system shall monitor amounts paid out of current-year funds to cover obligations made against a canceled account; and it must prevent payments that cumulatively exceed 1 percent of the current-year appropriation or the total amount available prior to close of the original appropriation.
7	BF2E Budget Formulation	Prior Year Data Collection	Report Net Budget Authority and Outlays	The system shall provide a variance report that compares planned obligations to actuals.
8	BF2E Budget Formulation	Prior Year Data Collection	Provide Required Memorandum Information	The system shall support the ability to add and structure congressional marks.
9	BF2E Budget Formulation	Prior Year Data Collection	Provide Required Memorandum Information	The system shall provide top line guidance by component.
10	BF2E Budget Formulation	Prior Year Data Collection	Provide Required Memorandum Information	The system shall provide support for planning by obligations and expenditures.

#	L1/L2	L3	L4	Requirement Description
11	BF2E Budget Formulation	Prior Year Data Collection	Provide Required Memorandum Information	The system shall provide congressional justification reports and tables as required.
12	BF2E Budget Formulation	Prior Year Data Collection	Provide Required Memorandum Information	The system shall meet all current OMB, Treasury and DHS requirements related to financial systems, information technology, and strategic, financial, budget formulation and execution and performance requirements of relevant statutes, including GPRAMA, OMB Circular A-11 and related circulars, OMB guidance as outlined in official memoranda.
13	BF2E Budget Formulation	Prior Years Data Collection	Provide Required Memorandum Information	The system shall have the ability to capture and report on Justification of Proposed Legislation Language.
14	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system should have the capability to setup accounting lines and Programs with additional required fields to capture attributes such as Disaster, Disaster Assistance, and start and end dates.
15	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall support the ability to build a programming change from the baseline.
16	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall support an organizational spend plan that supports program level fund planning across the organization and at the object class level of detail.
17	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall resolve issue with Program Codes with multiple PPA levels.
18	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide ways to look at consolidated spend plan data by pay subtotals (BOC ####, S&B, and/or AWRD), by fund code, program code, and organization code from all spend plans.

#	L1/L2	L3	L4	Requirement Description
19	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide the capability to build intermediate positions across the programming phases.
20	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide the ability to perform what-if analysis across plans and programs.
21	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide the ability to build programming options with title, justification, and other text-based attributes.
22	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide capability to review standard financial statements to include the Balance Sheet, Statement of Net Costs, Statement of Change in Net Position, Statement of Budgetary Resources, as well as the SF-133.
23	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide capability to organize and accept or reject programming changes.
24	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall provide a model to support agency programming and budget formulation business processes.
25	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall prevent the allotment and reuse of prior-year de-obligated balances in expired funds from being obligated in the current year.
26	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR)	The system shall have the ability to view & enter budget data in both the programming (horizontal) view and schedule B (vertical) view.

#	L1/L2	L3	L4	Requirement Description
			by Program Area	
27	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall have the ability to capture and report the following reports that compare the preliminary base budget versions to the final versions. (Program Review Base Budget (Oct – April), RAP (February – April), OMBJ (July – August), CJ (November – January))
28	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall have the ability to capture and report Prior FY to base FY Budget Change by Sub-PPA level identifying transfers, adjustments base and program changes for the sub-PPA.
29	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall have the ability to capture and report on Fiscal Year Schedule of WCF by PPA.
30	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall ensure commitments exist prior to creating an obligation to comply with commitment accounting where not exempted.
31	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall allow the user to enter programmatic increases, new initiatives, reductions, or eliminations as Program Decision Options.
32	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall allow increases and decrease to the approved funding level to be designated as program changes separately.
33	BF2E Budget Formulation	Budget Review and Coordination	Conduct Internal Base Budget Review (BPR) by Program Area	The system shall automatically track the development of each budget submission with documentation of all changes.

#	L1/L2	L3	L4	Requirement Description
34	BF2E Budget Formulation	Resource Allocation Planning	Develop Component Resource Allocation Plan (RAP)	The system shall support tracking of direct type of funds, for allocation level.
35	BF2E Budget Formulation	Resource Allocation Planning	Develop Component Resource Plan (RAP)	The system shall provide the ability to spread funding by project, appropriation, PPA, Funding Organization, task, managing unit, cost center based on FEMA control funding numbers at the Apportionment level.
36	BF2E Budget Formulation	Resource Allocation Planning	Conduct the Program and Budget Review (BPR)	The system shall support tracking of budget for reimbursable type of funds at the allocation level.
37	BF2E Budget Formulation	Resource Allocation Planning	Conduct the Program and Budget Review (BPR)	The system shall provide capability to track execution of annual budgets from a multi-dimensional perspective.
38	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system will have capabilities to capture and report on acquisition planning and actuals data by fiscal period at FEMA and PPA Investment levels.
39	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall support all FEMA funding sources, for budget planning and formulation, as well as all applicable statutory, regulatory, and other guidance.
40	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall provide the capability to record transactions against prior-year funds, both expired and unexpired, in the current year.
41	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall provide the automated capability to monitor the use of funds against legal statutory and administrative agency-imposed limitations.
42	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall provide seamless and traceable transition from first year of planning through year of execution.
43	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall have the capability to track the budget formulation of FEMA investments at all required levels by designated identifier.
44	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall have the ability to report on payroll planning and forecasting.

#	L1/L2	L3	L4	Requirement Description
45	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall have the ability to create dashboards containing report objects, such as charts, cross tabs, lists, as well as components such as images, and logos.
46	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall have capabilities to track budget plan calendar and workload planning for multiple responsible organizations.
47	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall configuration of business model that support the distribution and planning of funds.
48	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall collect, store, analyze, visualize, and report resource decisions against performance measures and outcomes.
49	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall allow the user to roll-over prior-year budget funds for multi-year and no-year money keeping track of all data elements.
50	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall allow for the tracking of spending actuals (maintained in the core accounting system) against planned.
51	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall allow for the tracking of actuals spending by PPA level 1 and PPA level 2 and object class against budget formulation.
52	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system must enable mapping of strategic performance and planning goals to budget formulation.
53	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall calculate and provide progress reports to determine FEMA's progress in completing the budget documents.
54	BF2E Budget Formulation	Performance Planning	Manage Performance Measures	The system shall maintain e-mail distribution lists resident in the FEMA's e-mail system.
55	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall support the establishment of a programming baseline from the prior president's budget submission.

#	L1/L2	L3	L4	Requirement Description
56	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall provide for preparation, printing, and electronic submission of schedules and data required by OMB Circular A-11, official OMB Budget Data Requests, and DHS Budget Data Requests.
57	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall provide features that aid in the selection, formatting, and printing of a complete budget submission, a single narrative, exhibit or supporting document, as well as look-up and other reference data used within the system.
58	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall provide authorized users the ability to mark one or more budget document components as final.
59	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall provide ability to submit final results to DHS HQ.
60	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall preserve final budget submissions, as well as locked scenarios, as unaltered snapshots, and shall make such snapshots available on demand and include an indexing to make searching easy.
61	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall lock as final a budget submission that has been marked completed by an authorized user and the submission will be maintained as final.
62	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall have the capability to print/publish budget submissions to various outputs such as a printer or an electronic file, and in various formats such as MS Word, PDF, XML, HTML and delimited text files.
63	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall have the ability to print/extract any lookup tables used during a budget submission.
64	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall have the ability to create, maintain and use templates based on FEMA, DHS, OMB, and Congressional guidance for each budget submission.
65	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall have the ability to create in their entirety the FEMA, DHS, OMB, and Congressional budget submissions.
66	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget	The system shall enable the entry and collection of information, comprised of text, data, or both, supportive of the annual budget submissions,

#	L1/L2	L3	L4	Requirement Description
	on		Estimates	budget data requests or other budget data needs.
67	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall allow authorized users to create a copy of a final budget submission with a new tracker number to make revisions and save.
68	BF2E Budget Formulation	Component Budget Submission	Submit Component Budget Estimates	The system shall allow and track each adjustment to approved funding levels to identify FEMA leadership decisions vs. DHS decisions vs. OMB decisions.
69	BF2E Budget Execution	Budgetary Resource	Record Spending Authority for Offsetting Collections	The system should validate that the actual collections/recoveries to anticipated collections/recoveries realized.
70	BF2E Budget Execution	Budgetary Resource	Record Spending Authority for Offsetting Collections	The system shall support automatic recording and tracking the realization of anticipated collections and recoveries.
71	BF2E Budget Execution	Budgetary Resource	Record Spending Authority for Offsetting Collections	The system shall have the ability to capture and report on Summary of Fee Collections and Carryover.
72	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall track such "final" document information as information source and use (e.g., to whom was the information provided).
73	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall support when an advance is required to realize actual reimbursable authority, the amount of funds made available must equal the amount of the advance received.
74	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall support recording and tracking the realization of previously anticipated reimbursable authority upon recognition of an unfilled customer order, when an advance is not required.
75	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall support recording and tracking the realization of actual reimbursable authority only upon receipt of an advance from a non-Federal source unless a law specifically allows realization of reimbursable authority without an advance.
76	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall reduce the amount of reimbursable authority available as customer orders are filled.

#	L1/L2	L3	L4	Requirement Description
77	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall record the realization of previously anticipated reimbursable authority upon recognition of an unfilled customer order, when an advance is not required.
78	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall provide the automated capability to monitor spending against the amount of reimbursable authority available in a given reimbursable agreement.
79	BF2E Budget Execution	Apportionment (Record Budget Authority)	Report Budget Authority	The system shall provide the ability to analyze, compare & contrast and track changes to Apportionment requests.
80	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall provide budgetary resource reporting attributes consistent with the budget execution activities as defined in OMB Circular No. A-11, and recorded in FAPS.
81	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall provide an authoritative source System of Record for FEMA's budgetary programming, budgeting, and execution resource data.
82	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall provide a solution that must check to see if the budgetary resource is exempt from Apportionment by fund type and exclude them from appropriation regulations.
83	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall prevent use of anticipated budgetary resources until they are realized, apportioned, and available for use.
84	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall prevent distributions of budget authority from exceeding the amount of funds available at the next highest level of budgetary resources.
85	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall integrate the Office of Policy and Program Analysis (OPPA) and Office of the Chief Financial Officer (OCFO) budget resource tracking processes.
86	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall include rules to specify appropriate controls for a given target including spending floors, ceilings, and contract authority.
87	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall in cases when recording the realization of previously anticipated reimbursable authority upon recognition of an unfilled customer order, when an advance is not required, the amount of funds made available must equal the amount of the unfilled customer order.

#	L1/L2	L3	L4	Requirement Description
88	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall in cases of recording and tracking the realization of previously anticipated reimbursable authority upon recognition of an unfilled customer order, when an advance is not required, the amount of funds made available must equal the amount of the unfilled customer order.
89	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall have the capability to track responses to a budget document request (e.g., data call, sub-component budget narrative) within the system against data call request.
90	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall have the ability to track resources by the categories identified in DHS' Future Year Homeland Security Program System (FYHSP).
91	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall have the ability to designate budget approval authority.
92	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall have the ability to capture and report on Summary of Reimbursable Resources.
93	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall have capability to record existing and new budgetary resources and uses of funds based on effective dates.
94	BF2E Budget Execution	Budgetary Resource	Record Special Authorities	The system shall capture, store, and report resource decisions throughout FEMA's Programming, Budgeting, and Execution cycle.
95	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall, under a Continuing Resolution (CR), modify direct and reimbursable funding portions of all allotments.
96	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall provide users with alternative methods in calculating CR allowances.
97	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall have the capability to track allotments under a Continuing Resolution (CR).
98	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall have the capability to modify direct and reimbursable funding portions of all allotments under a Continuing Resolution (CR).
99	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall have the capability to capture start and end date, amount, and public law number of a continuing resolution (CR).
100	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall have the ability to calculate CR obligation rate.
101	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall generate and maintain CR and annual apportionment requests.

#	L1/L2	L3	L4	Requirement Description
102	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall compute, allot and track allowances under a continuing resolution (CR) or similar situation.
103	BF2E Budget Execution	Budgetary Resource	Record a Continuing Resolution	The system shall allow for operations under a Continuing Resolution (CR) as well a quarterly allowance.
104	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system should ensure that there is no delay in receiving carryover amounts so that the budget authority and carryover amounts will be distributed at the same time at the start of each fiscal year.
105	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall support transactions for agreements with other agencies within the Budget Execution process.
106	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall support tracking of the budget for apportionment in case of Category A funds and of reimbursable type of funds.
107	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall support tracking of the budget by approved apportioned category and funding (direct, reimbursable, transfer) type.
108	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall support tracking of the budget at sub-allotment Level for reimbursable type of funds.
109	BF2E Budget Execution	Apportionment (Record Budget Authority)	Report Budget Authority	The system shall support recording and tracking changes to budget authority.
110	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall support collection transactions within the Budget Execution process.
111	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall record up to eight levels of funds distribution, including levels used for appropriation and apportionment of budget authority.
112	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall record funding based on related budget execution documents.
113	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall record budget authority defined in Office of Management and Budget (OMB) Circular No. A-11.
114	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall record anticipated budget authority, including anticipated reimbursements, collections, and recoveries.
115	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall provide the capability to modify budget data and retain historical budget transactions.
116	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall provide the capability to generate and update and perform analyses on the OMB Apportionment and Reapportionment Schedules

#	L1/L2	L3	L4	Requirement Description
				(SF132).
117	BF2E Budget Execution	Apportionment (Record Budget Authority)	Report Budget Authority	The system shall have the ability for timely and accurate reporting of FEMA and program level budget authority and fees, as well as lower-level funds tracking.
118	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall have features capable of generating and maintaining the annual Apportionment request.
119	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall distribute Budget Advisory and Funds Carryover Advisory information to the appropriate funds administrators including the distribution of the new fiscal years' budget authority (allotments and sub allotments) to the funding Lines of Accounting (LOA).
120	BF2E Budget Execution	Apportionment (Record Budget Authority)	Record Budget Authority	The system shall have the ability to maintain FEMA and program level budget authority and user fees, as well as lower-level funds tracking (e.g., PPA, Sub-PPA, project, task, sub-task, object class code, strategic goals and priorities)
121	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall support tracking of the budget for direct type of funds at sub-allotment Level.
122	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall support tracking of the budget for direct type of funds at allotment Level.
123	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall support creating configurable budget levels appropriation, apportionment, allotment, sub-allotment, allocations to record funds distributions in the Budget Execution process.
124	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall record the withdrawal (or cancellation) of unobligated allotments, sub allotments (both expired and unexpired), and lower level distributions by one or more accounting classification elements (parameters) at the end of a fiscal period or on demand as in rescissions.
125	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall provide the capability to record spending transactions at or below the level of funds distribution.
126	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall provide the capability to establish validity periods for apportionments and reapportionments for all apportionment categories to determine whether funds are available for allotment and consumption.

#	L1/L2	L3	L4	Requirement Description
127	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall manage the Advice of Allotment process.
128	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall have the ability to maintain allotted amounts over prescribed time periods based on user-defined algorithms.
129	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall capture the Budget Identification Number(BIN) as an additional attribute at all budget level transactions(Appropriation to Allocation) of the budget execution process.
130	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system shall be able to create, store, and revise program financial requirements, spending plans, procurement planning, and program justifications as part of budget activities for both budgetary and proprietary accounts.
131	BF2E Budget Execution	Funds Distribution	Process Budget Allotments	The system must evaluate all budget transactions to prevent deficiency condition that violates funds control in accordance with the respective account appropriation language.
132	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall support the capability of preventing reductions in budget authority from exceeding the dollar amount of budget authority distributed and unobligated at any level of the accounting classification.
133	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall support budget distribution, budgetary control, and budget execution business processes.
134	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall support an Accounting Classification Structure (ACS) to ensure that the sub-allotment process will show available budget amounts by Accounting line.
135	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall provide the capability to establish validity periods for allotments and sub allotments to determine whether funds are available for further distribution and consumption.
136	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall provide the capability to de-commit and de-obligate balances of budget authority so that reductions in budget authority can occur up to the unexpended balance.

#	L1/L2	L3	L4	Requirement Description
137	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall provide the capability to capture data related to financial, operating, and spending plans for any funded organization level or any other level of the accounting classification structure for the purposes of creating and maintaining lower level distributions of funds.
138	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall have capabilities to set targets/ceilings at a higher budget structure levels that can be distributed to lower budget structure levels.
139	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall enforce real-time funds check to prevent negative balance when distributing funds between budget levels.
140	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall enable distribution of funds from FEMA revenue, grants, and other sources.
141	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall allow modifications to both formal and informal funding distributions at any level in the accounting classification.
142	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall have the ability to create reports and files of distributed funds.
143	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system shall automate the SF-132 preparation process to support the determination of appropriated fund apportionments, reapportionments, and allocations.
144	BF2E Budget Execution	Funds Distribution	Process Budget Allocations and Sub allocations	The system must have the capability to transfer funds from discretionary to mandatory in case of no year disaster funds.
145	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall support refund transactions within the Budget Execution process.
146	BF2E Budget	Funds Control	Establish Funds Control	The system shall support recovery transactions within the Budget Execution process.

#	L1/L2	L3	L4	Requirement Description
	Execution		Structure	
147	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall summarize budget distribution amounts at multiple budget levels for each appropriation, apportionment, and allotted fund.
148	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall hold/reject processing invoices/vouchers for payment when there are no sufficient funds and generate messages informing the processor and the applicable funds certifier to transfer funds to process the pending invoices/vouchers.
149	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall ensure that the amount of funds made available must equal the amount realized.
150	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall determine whether funds are available based on the budget fiscal year on a spending document.
151	BF2E Budget Execution	Funds Control	Establish Funds Control Structure	The system shall provide the capability to manage and account for non-appropriated and non-apportioned funds (ie, Fees).
152	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to store and search appropriation and report language, highlight earmarks and create mappings to numeric values in both formulation and execution.
153	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to capture and report the previous FY and base FY Budget Changes by PPA Appropriation level.
154	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to capture and report the Executive Summary of Appropriation Exhibits.
155	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to capture and report on Object Class Breakout by Appropriation.
156	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to capture and report on Base Fiscal Year Investment Summary by Appropriation level.
157	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have a table to allow for data entry of multiple factors, inflation, methodologies and to indicate the appropriation, PPA level, and/or object to apply each individual factor.
158	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall enable closing of appropriation accounts at years end.
159	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The system shall have the ability to capture and report the previous FY and base FY Budget Changes by PPA and Appropriation level.

#	L1/L2	L3	L4	Requirement Description
160	BF2E Budget Execution	Reprogramming and Transfer Authorization	Process Appropriation Transfer	The System shall support various types of budget transfers between budget levels with approvals.
161	BF2E Budget Execution	Budget Monitoring	Monitor Status of Program Funding	The system shall establish year end closing accounts that will establish carry forward balances in the general ledger which keep track of all data elements that report on the balances.
162	BF2E Budget Execution	Budget Monitoring	Monitor Status of Program Funding	The system must enable mapping of strategic performance and planning goals to budget execution.
163	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall provide integration of execution information to support plan vs execution.
164	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall provide ability to integrate execution with the plan to build an integrated forecast.
165	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall have the ability to capture and report on PC&I Procurement Quantity by Year Information.
166	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall provide the user the capability to view budget execution data from multiple budget stages at the same time.
167	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall provide the ability to inform the strategic and operational planning process and link the results of these processes to the execution processes.
168	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system shall have the ability to integrate budget formulation and execution with FEMA performance metrics to enable informed investment and management decision-making, allowing FEMA to compare plans to actuals.
169	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Monthly Execution Reports (MER)	The system must report budget execution data.

#	L1/L2	L3	L4	Requirement Description
170	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Quarterly Obligation and Personnel Plans	The system shall track the balance advanced against an obligation.
171	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Quarterly Obligation and Personnel Plans	The system shall support agency thresholds and obligation targets.
172	BF2E Budget Execution	Budget Formulation and Execution Reporting	Generate Quarterly Obligation and Personnel Plans	The system shall allow user to change time Requirement of Award/Obligation from a drop-down list (Fixed or Flexible).
173	BF2E	Budget Formulation and Execution	General Requirement	The system will require the user to complete the detailed worksheet which will auto populate the SF132 but will have override functionality.
174	BF2E	Budget Formulation and Execution	General Requirement	The system shall have a fillable SF132 template and a detailed worksheet that provides the elements for each apportioned amount with a description.
175	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow for the SF132 and worksheet to be imported or uploaded to the OMB MAX system for transmittal.
176	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability to import the approved funding levels from the designated President's Budget to the object class level as the "baseline" and allow for adjustments to the baseline amount.
177	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow importing of approved budget formulation data for the effective budget year to initiate budget execution activities including prepopulating budget control numbers and/or approved funding levels at the appropriation, allotment, allocation and object class levels.
178	BF2E	Budget Formulation and Execution	General Requirement	The system shall support the ability to build an enacted position.
179	BF2E	Budget Formulation and Execution	General Requirement	The system shall structure a comprehensive data model to support the consolidation of financial statements.
180	BF2E	Budget Formulation and Execution	General Requirement	The system shall send notification on due dates based on calendar.
181	BF2E	Budget Formulation	General Requirement	The system shall publish positions using standard reporting.

#	L1/L2	L3	L4	Requirement Description
		and Execution		
182	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide authorized users with the tools and capability to create, populate, control and monitor funds authorization and execution.
183	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable authorized users to define additional specific algorithms applicable to specific budget scenarios.
184	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable an authorized user to label a document as "final," prohibiting any further changes to the document.
185	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow an authorized user to override a system-imposed template, link or calculation.
186	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable an authorized user to create, manage, use and alter templates for data entry/collection and budget document outputs.
187	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow for the development or recording of budget control numbers and/or approved funding levels for the Future Year Homeland Security Plan up to 10 budget years.
188	BF2E	Budget Formulation and Execution	General Requirement	The system must provide the option to exclude actual payroll expenditures from system funds control.
189	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable user with permission to populate, establish, and maintain documents and data associated with multiple budget cycles and stages simultaneously based on various scenarios spanning multiple years.
190	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to establish budget execution records from budget formulation records and vice versa leveraging all the budget formulation and execution documentation available in the budget tool.
191	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to crosswalk organizational structure across multiple fiscal years and allow for reorganization of budget structure.
192	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow users to create a fee structure/table to develop requirements for revenue forecasting.
193	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the ability to perform the statement crosswalk calculations to support automated statement translations.

#	L1/L2	L3	L4	Requirement Description
194	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable users to develop, store, manage, and readily access Congressional Testimony, briefing materials, key background materials, Transcript Questions, QFRs, Q&As, and other documents, including graphics.
195	BF2E	Budget Formulation and Execution	General Requirement	The system must identify transactions from projects that cite cancelling appropriations.
196	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide robust features for developing, managing, and estimating Investments at all levels of detail.
197	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide capability to aggregate plans to overall agency level of detail.
198	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide approval ability for approvals at the LOA level.
199	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on PC&I Planned Procurement Schedule Top 5 Contracts by Dollar Level.
200	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on PC&I Contract Status Top 5 Contracts by Dollar Level.
201	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow the user to break-down payroll costs by position, or the appropriate level of detail required, to support personnel budgeting.
202	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Object Class Breakout by PPA.
203	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to auto-update out-year tail impacts if a change is made in the BY. (it would be nice if this was optional/you could turn it on or off)
204	BF2E	Budget Formulation and Execution	General Requirement	The system shall populate table for cost-driver dollar amounts that will total FY LOA.
205	BF2E	Budget Formulation and Execution	General Requirement	The system shall populate FY18 Cost Driver and Description data.
206	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to manage the Congressional Question and Answer (Q&A) process.
207	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to link data and narrative within budget documents.

#	L1/L2	L3	L4	Requirement Description
208	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to estimate FTE/salary in combination with user defined variables and drivers and employee characteristics (including position, grade series).
209	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to add new data fields as new organizational units are added and/or organizational requirements change.
210	BF2E	Budget Formulation and Execution	General Requirement	The system shall have a Line Item Description for cost drivers.
211	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable user with permission to issue bulletins, data calls, including related guidance (e.g., definitions); for repeat or multi-year data calls.
212	BF2E	Budget Formulation and Execution	General Requirement	The system shall auto populate new or existing Requirement data.
213	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to estimate FTE/salary and expenses for the current year, budget year, and up to 9 additional years projections based on current or prior year values, trends and characteristics, in combination with user-defined variables and drivers.
214	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the ability to publish the complete budget or any portion of the budget in various file formats in a timely fashion (two hours).
215	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the capability to perform complex forecasting analysis based on historical data.
216	BF2E	Budget Formulation and Execution	General Requirement	The system shall the capability to integrate performance data with FEMA's budget data.
217	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide General Ledger budgetary account attributes consistent with the USSGL(US Standard General Ledger) attributes defined in the Treasury Financial Manual.
218	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow users to update Availability Footnote Codes (from SF 132) and create footnotes by Treasury Symbol.
219	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the capability of capturing GTAS Attributes for the budgetary accounts. The reference to the GTAS guidance is provided Https://www.fiscal.treasury.gov/fsservices/gov/acc/tg/gtas/gtas_home.htm .
220	BF2E	Budget Formulation	General Requirement	The system shall have the ability to capture the approved budgetary resources and supporting

#	L1/L2	L3	L4	Requirement Description
		and Execution		documents such as SF132s, SF1151s.
221	BF2E	Budget Formulation and Execution	General Requirement	The system shall support tracking of budget for reimbursable type of funds at the highest level appropriation.
222	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide capability to formulate annual budgets from a multi-dimensional perspective.
223	BF2E	Budget Formulation and Execution	General Requirement	The system shall include a robust capability to support forecasting, projections, and "what if" scenarios in support of the budget formulation process.
224	BF2E	Budget Formulation and Execution	General Requirement	The system must have an automated method for capturing data from invoices for reporting contractor FTE.
225	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability for a user to sort all budget report data on the screen.
226	BF2E	Budget Formulation and Execution	General Requirement	The system shall support end-to-end processing from budget setup through the spending process, the posting of transactions to the GL, and reporting.
227	BF2E	Budget Formulation and Execution	General Requirement	The system shall, following budget formulation and formalization, provide the means to automatically create required documents.
228	BF2E	Budget Formulation and Execution	General Requirement	The system must allow the development of managing and executing partner spend plans.
229	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to track and monitor fee process, projects, and collections.
230	BF2E	Budget Formulation and Execution	General Requirement	The system shall have strong analytic capabilities, including multi- dimensional analysis and data manipulation from any business perspective.
231	BF2E	Budget Formulation and Execution	General Requirement	The system must have the capability to analyze, forecast, and conduct complex analyses of budget and performance data (including payroll forecast out years).
232	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the ability to inform the strategic and operational planning process and link the results of these processes to the budget formulation.
233	BF2E	Budget Formulation and Execution	General Requirement	The system must report budgetary resources data.
234	BF2E	Budget Formulation	General Requirement	The system shall have the ability to capture and report on Justification of Program Changes – a brief

#	L1/L2	L3	L4	Requirement Description
		and Execution		description on the reasons for the program changes.
235	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Cost Drivers (Pay & Benefits) PPA level. Total PC&B amount divided by the FTE to identify the average costs over time. Identifies the reasons for cost growth relative to pay.
236	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Cost Drivers (Pay & Benefits) - Sub-PPA level (Excludes Reimbursables) identifies a subset of Exhibit K pay amount and should total this amount. Special categories are to identify key pay drivers relative to mission positions located in the Sub-PPA. PC&B amount divided by FTE to identify the average costs over time. Identify the reasons for cost growth relative to pay.
237	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Cost Drivers (Pay & Benefits) - Sub-PPA level (Excludes Reimbursables) identifies a subset of Exhibit K pay amount and should total this amount. Special categories are to identify key pay drivers relative to mission positions located in the Sub-PPA. PC&B amount divided by FTE to identify the average costs over time. Identify the reasons for cost growth relative to pay.
238	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Historical Collections by the Sub-PPA level to identify the historical collections of the identified fee, the rate of recovery, forecasting methodology and contingency plan (should be in BFEM).
239	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Project Description for R&D to identify projects being undertaken in the R&D appropriation. Provide a description, type of research, current year and budget year key events, prior year funding history of the project and display technical readiness level.
240	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide the ability to load the general ledger data into a consolidated model with data, account mappings, and agency standard metadata.
241	BF2E	Budget Formulation and Execution	General Requirement	The system shall provide support for the budget book.

#	L1/L2	L3	L4	Requirement Description
242	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability to validate selected control numbers cited in text against related exhibits and system tables.
243	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability to upload and maintain calendar of major budget events and data calls.
244	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability to report the top five main cost drivers for each PPA.
245	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability for user with appropriate permission to link stored documentation.
246	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to visualize/analyze trends.
247	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to save/compare builds between phases. (e.g., FY 21 build during the FY 20-24 RAP v FY 21 build during the FY 21-25 RAP)
248	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to save/compare builds between phases of a particular cycle. (e.g., FY 21 build during the RAP cycle with FY 21 build during the OMBJ, CJ, or enacted phases)
249	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to create or upload budget justification narrative formats, exhibits and tables consistent with Agency, Departmental and OMB guidance for the development and publication of budget documents.
250	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to conduct variance analysis between budgets and actuals.
251	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Permanent Positions by Grade.
252	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on PC&I General Information as approved by FEMA to include in the CJ.
253	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on crosscutting items of special interests.
254	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the ability to capture and report on Changes in Full Time Employment.
255	BF2E	Budget Formulation	General Requirement	The system shall have the ability to capture and report on Capital Investment and Construction

#	L1/L2	L3	L4	Requirement Description
		and Execution		Initiative Listing.
256	BF2E	Budget Formulation and Execution	General Requirement	The system shall have capability for user with permission to store and update agency goals and strategic priorities based on effective dates for use in all budget activities.
257	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable user to identify the "baseline".
258	BF2E	Budget Formulation and Execution	General Requirement	The system shall enable the comparison of prior data call responses and current data call responses, as well as user-specified edits.
259	BF2E	Budget Formulation and Execution	General Requirement	The system shall display warnings if there are any variances in targets/ceilings.
260	BF2E	Budget Formulation and Execution	General Requirement	The system shall design an error checking process to support agency and standard business rules.
261	BF2E	Budget Formulation and Execution	General Requirement	The system shall assist in the methodology of carryover apportionments and backup documentation.
262	BF2E	Budget Formulation and Execution	General Requirement	The system shall apply those rules to account code combinations, attribute values, and logic checks.
263	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow user to update the description data.
264	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow user to update cost driver data.
265	BF2E	Budget Formulation and Execution	General Requirement	The system shall allow user to change new or existing requirement data by selecting from a drop-down list.
266	BF2E	Budget Formulation and Execution	General Requirement	The system shall have the capability to compare adjustments with the original requests.

APPENDIX C – FEMA PPBE NON-FUNCTIONAL REQUIREMENTS

This section includes all the PPBE's non-functional requirements based on applicable DHS FMSS Taxonomy levels for the Budget Formulation to Execution (BF2E) business process. The following table includes non-functional requirements that must be met by the software.

#	Non-Functional Requirement Description
1	The system's workflow component shall allow for the flexible assignment of actions on any budget element within the system to one or more users/groups.

#	Non-Functional Requirement Description
2	The system shall provide links in notification to the document or the actual document sent via workflow process.
3	The system shall provide journal entry configuration with workflow to support journal entry postings and approval for reclassification transactions.
4	The system shall provide interactive workflow to orchestrate each step of the process.
5	The system shall provide configurable document workflow approval capability with configurable notification to users.
6	The system shall provide a workflow capability that supports security as well as approvals and management of the overall process.
7	The system shall have the ability to modify workflow approvers for documents not in "approved" state.
8	The system shall create report templates specific to programming and budget formulation workflows.
9	The system shall automate FEMA's budgetary programming, budget formulation, and budget justification workflows.
10	The system shall automate the federal budget development process for budgets developed from the "bottom, up" and the "top, down," with approval workflow.
11	The system shall have the ability retrieve workflow e-mail messages using common search criteria.
12	The system shall have workflow capabilities of routing and notifications within FEMA.
13	The system will enable the conversion of budget documents to meet DHS Section 508 compliance requirements.
14	The system should have the ability to import and export budget narrative and numerical data both in formatted and non-formatted documents and files.
15	The system shall have the ability to upload data via Excel file and export reports as excel files.
16	The system shall allow users to download and print reports, export data for updating DHS required investment tracking tools such as INVEST and FYHSP.
17	The system should be responsive to user actions within less than 3 seconds.
18	The system should be able to archive data for future extraction.
19	The system shall validate transactions as they are processed against targets stored in budget tables.
20	The system shall have role-based access controls (RBAC) with user activity audit tracking.
21	The system shall have capability to track user changes to documents while maintaining version-control.
22	The system shall allow revisions but must be recorded and tracked through system generated assignment of a change number or identifier.
23	The system shall support the use of footnotes in both tables and text.
24	The system shall support the creation of both standard and ad-hoc queries and reports.
25	The system shall support the creation and use of data-entry forms that meet industry standards for functionality and usability and provide validation features at the element and/or form levels.
26	The system shall solicit improvements and gain recommendations from industry.

#	Non-Functional Requirement Description
27	The system shall provide users the capability to download the document.
28	The system shall provide user permission based 'Find and Replace' capabilities aligned with Microsoft Word functionality to be used based on document type.
29	The system shall provide the capability to standardize and update with standard metadata.
30	The system shall provide the authorized user with the ability to assign and change metadata fields.
31	The system shall have the capability for authorized users to upload data to the system or download data from the system.
32	The system shall have features for managing application and data security complying with Agency and other Federal security standards as well as provide auditing and document version-control features.
33	The system shall provide the capability to manage a user-defined, multi-level, multi-dimensional hierarchical budget structure for use in analysis and reporting.
34	The system shall have industry standard printing control features such as Print Preview, One-Button Print, Print-Job Canceling, Print to File, transmit via e-Mail, and, Print Selected Pages.
35	The system shall have the capability to allow administrators and users to format at a local and global level throughout the budget documents.
36	The System shall have the ability to connect with enterprise level IT systems and exchange data.
37	The system shall have the ability to accept exhibits in numerous file formats and associate them at one or more levels within the budget hierarchy.
38	The system shall ensure that execution of system maintenance or repair as well as software, modification, or replacement of system, and application software requires administrator privilege.
39	The system shall provide a help/knowledge module that is customizable to the agency that includes ability to store job/training aids, instructions, and documentation to users to include context sensitive on-line help, usage guidelines, and single point contact information.
40	The system shall have intuitive user friendly and customizable error messages.
41	The system shall provide capabilities such as document "check in" and "check out" concept to retain data integrity of the shared document.
42	The system shall index all data by key words so that users can search throughout documents.
43	The system shall have the capability to use previous records as templates for new records, without overwriting old templates or information.
44	The system shall have cut-copy-and-paste features that can be used to move/copy data in or out of the system.
45	The system shall provide Single Sign-On capabilities using existing Agency Single Sign-On environment.
46	The system shall link to MS Office products so data in the documents are updated automatically as changes are made in the system.
47	The system shall incorporate drop down menus when applicable.
48	The system shall have user-defined and automated links to text and data within tables and exhibits.

#	Non-Functional Requirement Description
49	The system shall have the ability to view and print entire spend plan.
50	The system shall have the ability to validate data with system look-up tables, as well as against user-specified relationships across exhibits and/or text.
51	The system shall have clear, concise menus with easy access via the mouse or keyboard.
52	The system shall have capability to perform spell check.
53	The system shall have capabilities for multiple users to work on the same document in shared environment.
54	The system shall have the ability for users to access current and prior years' guidance documents, as well as context sensitive help (e.g., links and edit checks), while users are working within the system.
55	The system shall have the ability to archive historical data based on a pre-defined administrative schedule.
56	The system shall have the tools and capability to manage performance data.
57	The system shall have the ability to interface with the FEMA's e-mail system to implement system notifications, workflow processes and review/approval processes.
58	The system shall have 'Find and Replace' capabilities to be restricted by the current user's rights and system context. For a narrative/document, the 'Find and Replace' features should align with those provided in Microsoft Word.
59	The system shall have flexible auditing features to include the ability for an administrator to specify what budget elements will be tracked.
60	The system shall log and record access activity including all log-in/log-out attempts by user and workstation; user submitted data; initiated processes; system override events; and direct additions, changes or deletions to application-maintained data.
61	The system shall define, implement, and modify validation rules.
62	The system shall support the construction, maintenance and update of the structure for all budget tables required for budget formulation as well as the ability to add or archive budget tables. Budget tables can be deleted after 5 years by an Administrator
63	The system shall enable external files such as spreadsheets and word processing documents to be attached to budget forms and stored online.
64	The system shall support complete integration with other business areas to enable real-time updates to the budget when financial transactions are processed.
65	The system shall have the capability for user created online forms and templates with user defined attributes, data sources, and budget phase.
66	The system shall load actual data from FAPS and other data sources.
67	The system shall integrate with the FEMA core financial system.
68	The system shall integrate with FEMAs data warehouse systems.
69	The system shall have the ability to establish 'Review and Approve' workflow schedules to documents/numbers within the system. Examples include: Congressional Testimony and Q&As.
70	The system shall have workflow capabilities of routing and notifications within FEMA.
71	The system shall have ability to scale system to support up to 300+ simultaneous users
72	The system shall provide security configuration to segment activities and approvals.

#	Non-Functional Requirement Description
73	The system shall provide process for standardizing agency metadata into the common solution.
74	The system shall provide drill-back to support source system detail to support investigation.
75	The system shall provide capability to model economic assumptions and economic factors.
76	The system shall provide automated briefing chart capability and integration with MS Office.
77	The system shall provide ad-hoc and drillable reporting.
78	The system shall provide ability to generate standard reports using MS Office metrics.
79	The system shall notify everyone in the approval chain when a document is updated.
80	The system shall incorporate FEMA budget business rules in all calculations and shall support all calculations necessary to produce all required budget documents and exhibits.
81	The system shall have the ability to tag keywords within a document so searches can be performed by sources and categories/types.
82	The system shall have the ability to retain, manage, and present current and historical data (i.e. PY-1 through -4, PY, CY, BY, BY+1 through BY+8).
83	The system shall have the ability to meet the needs of a broad range of users, including "super-users" and occasional users in an intuitive, user-friendly way.
84	The system shall have the ability to interface with DHS' One Number system. (still in development, but intended to replace FYHSP)
85	The system shall have the ability to generate metadata in accordance with FEMA standards.
86	The system shall have the ability to detect duplicate entries and other common errors and correct them.
87	The system shall have capability to manage application and data integrity in compliance with Agency and other Federal security standards.
88	The system shall have capability for user with permission to add attachments to all budget formulation documents.
89	The system shall enable material from a variety of sources (e.g., MS Word, Excel, FEMA's data warehouse, center activity-based cost systems and financial system) to be incorporated into the templates.
90	The system shall demonstrate the ability to perform ad-hoc analysis as well as standardized reporting.
91	The system shall be interoperable with enterprise IT solutions such as the FEMA Data Exchange.
92	The system data shall meet all OMB, DHS, and FEMA requirements for reliability.
93	The system architecture shall ensure high availability (i.e. 99%).
94	The solution shall possess ETL functionality to enable data from disparate sources to be collected, integrated into, and analyzed using the solution's cost accounting/CPM functions without manual data entry.

APPENDIX D – SECTION 508 REQUIREMENTS

Section 508 of the Rehabilitation Act, as amended by the Workforce Investment Act of 1998 (P.L. 105-220) (codified at 29 U.S.C. § 794d) requires that when Federal agencies develop, procure, maintain, or use information and communications technology (ICT), it shall be accessible to people with disabilities. Federal employees and members of the public with disabilities must be afforded access to and use of information and data comparable to that of Federal employees and members of the public without disabilities.

1. All products, platforms and services delivered as part of this work statement that, by definition, are deemed ICT or that contain ICT shall conform to the revised regulatory implementation of Section 508 Standards, which are located at 36 C.F.R. § 1194.1 & Apps. A, C & D, and available at <https://www.gpo.gov/fdsys/pkg/CFR-2017-title36-vol3/pdf/CFR-2017-title36-vol3-part1194.pdf>. In the revised regulation, ICT replaced the term electronic and information technology (EIT) used in the original 508 standards.

Item that contains Information and Communications Technology (ICT): Electronic reports

Applicable Exception: N/A **Authorization #:** N/A

Applicable Functional Performance Criteria: Does not apply

Applicable 508 requirements for electronic content features and components (including Electronic documents; Electronic reports): Does not apply

Applicable 508 requirements for software features and components: Does not apply

Applicable 508 requirements for hardware features and components: Does not apply

Applicable 508 requirements for support services and documentation requirements:
Does not apply

2. When developing or modifying ICT for the government, the contractor shall ensure the ICT fully conforms to the applicable Section 508 Standards. When modifying a commercially available or government-owned ICT, the contractor shall not reduce the original ICT Item's level of Section 508 conformance.
3. When developing or modifying ICT that are delivered in an electronic Microsoft Office or Adobe PDF format, the contractor shall demonstrate conformance by providing Section 508 test results based on the Accessible Electronic Documents – Community of Practice (AED COP) Harmonized Testing Guidance at <https://www.dhs.gov/compliance-test-processes>.
4. Contractor personnel shall possess the knowledge, skills and abilities necessary to address the applicable revised Section 508 Standards for each ICT.
5. Exceptions for this work statement have been determined by DHS and only the exceptions described herein may be applied. Any request for additional exceptions shall be sent to the Contracting Officer and a determination will be made according to DHS Directive 139-05, Office of Accessible Systems and Technology, dated November 12, 2018 and DHS Instruction 139-05-001, Managing the Accessible Systems and Technology Program, dated November 20, 2018.

Instructions to Offerors

For each ICT Item that will be developed, modified, installed, configured, integrated, or hosted by the contractor pursuant to this contract, the offeror shall provide an acknowledgement of the Section 508 requirements and a detailed explanation of the Offerors plan to ensure conformance with the requirements. The Offeror shall also describe the evaluation methods that will be used to validate for conformance to the Section 508 Standards.

Acceptance Criteria

1. Before accepting items that contain Information and Communications Technology (ICT) that are developed, modified, or configured according to this contract, the government reserves the right to require the contractor to provide the following:
 - Accessibility test results based on the required test methods.
 - Documentation of features provided to help achieve accessibility and usability for people with disabilities.
 - Documentation of core functions that cannot be accessed by persons with disabilities.
 - Documentation on how to configure and install the ICT Item to support accessibility.
 - Demonstration of the ICT Item's conformance to the applicable Section 508 Standards, (including the ability of the ICT Item to create electronic content – where applicable).
2. Before accepting ICT required under the contract, the government reserves the right to perform testing on required ICT items to validate the offeror's Section 508 conformance claims. If the government determines that Section 508 conformance claims provided by the offeror represent a higher level of conformance than what is actually provided to the agency, the government shall, at its option, require the offeror to remediate the item to align with the offeror's original Section 508 conformance claims prior to acceptance.

APPENDIX E - RECORDS MANAGEMENT OBLIGATIONS

RECORDS MANAGEMENT COMPLIANCE CLAUSES

A. Applicability

This clause applies to all Contractors whose employees create, work with, or otherwise handle Federal records, as defined in Section B, regardless of the medium in which the record exists.

B. Definitions

“Federal record” as defined in 44 U.S.C. § 3301, includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.

The term Federal record:

1. includes FEMA records.
2. does not include personal materials.

3. applies to records created, received, or maintained by Contractors pursuant to their FEMA contract.

4. may include deliverables and documentation associated with deliverables.

C. Requirements

1. Contractor shall comply with all applicable records management laws and regulations, as well as National Archives and Records Administration (NARA) records policies, including but not limited to the Federal Records Act (44 U.S.C. chs. 21, 29, 31, 33), NARA regulations at 36 CFR Chapter XII Subchapter B, and those policies associated with the safeguarding of records covered by the Privacy Act of 1974 (5 U.S.C. 552a). These policies include the preservation of all records, regardless of form or characteristics, mode of transmission, or state of completion.
2. In accordance with 36 CFR 1222.32, all data created for Government use and delivered to, or falling under the legal control of, the Government are Federal records subject to the provisions of 44 U.S.C. chapters 21, 29, 31, and 33, the Freedom of Information Act (FOIA) (5 U.S.C. 552), as amended, and the Privacy Act of 1974 (5 U.S.C. 552a), as amended and must be managed and scheduled for disposition only as permitted by statute or regulation.
3. In accordance with 36 CFR 1222.32, Contractor shall maintain all records created for Government use or created in the course of performing the contract and/or delivered to, or under the legal control of the Government and must be managed in accordance with Federal law. Electronic records and associated metadata must be accompanied by sufficient technical documentation to permit understanding and use of the records and data.
4. FEMA and its contractors are responsible for preventing the alienation or unauthorized destruction of records, including all forms of mutilation. Records may not be removed from the legal custody of FEMA or destroyed except for in accordance with the provisions of the agency records schedules and with the written concurrence of the Head of the Contracting Activity. Willful and unlawful destruction, damage or alienation of Federal records is subject to the fines and penalties imposed by 18 U.S.C. 2701. In the event of any unlawful or accidental removal, defacing, alteration, or destruction of records, Contractor must report to FEMA. The agency must report promptly to NARA in accordance with 36 CFR 1230.
5. The Contractor shall immediately notify the appropriate Contracting Officer upon discovery of any inadvertent or unauthorized disclosures of information, data, documentary materials, records or equipment. Disclosure of non-public information is limited to authorized personnel with a need-to-know as described in the SOO. The Contractor shall ensure that the appropriate personnel, administrative, technical, and physical safeguards are established to ensure the security and confidentiality of this information, data, documentary material, records and/or equipment is properly protected. The Contractor shall not remove material from Government facilities or systems, or facilities or systems operated or maintained on the Government's behalf, without the express written permission of the Head of the Contracting Activity. When information, data, documentary material, records and/or equipment is no longer required, it shall be returned to FEMA control or the Contractor must hold it until otherwise directed. Items returned to the Government shall be hand carried, mailed, emailed, or securely electronically transmitted to the Contracting Officer or address

prescribed in the SOO. Destruction of records is EXPRESSLY PROHIBITED unless in accordance with Paragraph (4).

6. The Contractor is required to obtain the Contracting Officer's approval prior to engaging in any contractual relationship (sub-contractor) in support of this contract requiring the disclosure of information, documentary material and/or records generated under, or relating to, contracts. The Contractor (and any sub-contractor) is required to abide by Government and FEMA guidance for protecting sensitive, proprietary information, classified, and controlled unclassified information.
7. The Contractor shall only use Government IT equipment for purposes specifically tied to or authorized by the contract and in accordance with FEMA policy.
8. The Contractor shall not create or maintain any records containing any non-public FEMA information that are not specifically tied to or authorized by the contract.
9. The Contractor shall not retain, use, sell, or disseminate copies of any deliverable that contains information covered by the Privacy Act of 1974 or that which is generally protected from public disclosure by an exemption to the Freedom of Information Act.
10. The FEMA owns the rights to all data and records produced as part of this contract. All deliverables under the contract are the property of the U.S. Government for which FEMA shall have unlimited rights to use, dispose of, or disclose such data contained therein as it determines to be in the public interest. Any Contractor rights in the data or deliverables must be identified as required by FAR 52.227-11 through FAR 52.227-20.

APPENDIX F - ENTERPRISE ARCHITECTURE

All solutions and services shall meet DHS/FEMA Enterprise Architecture policies, standards, and procedures. Specifically, the contractor shall comply with the following HLS/FEMA EA requirements:

- All developed solutions and requirements shall be compliant with the HLS/FEMA EA.
- All IT hardware and software shall be compliant with the HLS/FEMA EA Technical Reference Model (TRM) Standards and Products Profile.
- Description information for all data assets, information exchanges and data standards, whether adopted or developed, shall be submitted to the Enterprise Data Management Office (EDMO) for review, approval and insertion into the DHS Data Reference Model and Enterprise Architecture Information Repository.
- Development of data assets, information exchanges and data standards will comply with the DHS Data Management Policy MD 103-01 and all data-related artifacts will be developed and validated according to DHS data management architectural guidelines.
- Applicability of IPv6 to DHS-related components (networks, infrastructure, and applications) specific to individual acquisitions shall be in accordance with the DHS Enterprise Architecture (per OMB Memorandum M-05-22, August 2, 2005) regardless of whether the acquisition is for modification, upgrade, or replacement. All EA-related component acquisitions shall be IPv6 compliant as defined in the U.S. Government Version 6 (USGv6) Profile (National Institute of Standards and Technology (NIST)

Special Publication 500-267) and the corresponding declarations of conformance defined in the USGv6 Test Program.

APPENDIX G - PRIVACY

SAFEGUARDING OF SENSITIVE INFORMATION (MAR 2015)

(a) *Applicability.* This clause applies to the Contractor, its subcontractors, and Contractor employees (hereafter referred to collectively as "Contractor"). The Contractor shall insert the substance of this clause in all subcontracts.

(b) *Definitions.* As used in this clause—

"Personally Identifiable Information (PII)" means information that can be used to distinguish or trace an individual's identity, such as name, social security number, or biometric records, either alone, or when combined with other personal or identifying information that is linked or linkable to a specific individual, such as date and place of birth, or mother's maiden name. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-personally identifiable information can become personally identifiable information whenever additional information is made publicly available—in any medium and from any source—that, combined with other available information, could be used to identify an individual.

PII is a subset of sensitive information. Examples of PII include, but are not limited to: name, date of birth, mailing address, telephone number, Social Security number (SSN), email address, zip code, account numbers, certificate/license numbers, vehicle identifiers including license plates, uniform resource locators (URLs), static Internet protocol addresses, biometric identifiers such as fingerprint, voiceprint, iris scan, photographic facial images, or any other unique identifying number or characteristic, and any information where it is reasonably foreseeable that the information will be linked with other information to identify the individual.

"Sensitive Information" is defined in HSAR clause 3052.204-71, Contractor Employee Access, as any information, which if lost, misused, disclosed, or, without authorization is accessed, or modified, could adversely affect the national or homeland security interest, the conduct of Federal programs, or the privacy to which individuals are entitled under section 552a of Title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy. This definition includes the following categories of information:

(1) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107- 296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, the applicable PCII Procedures Manual, as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security

(including the PCII Program Manager or his/her designee);

Sensitive Security Information (SSI), as defined in Title 49, Code of Federal Regulations, Part 1520, as amended, "Policies and Procedures of Safeguarding and Control of SSI," as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or his/her designee);

(2) Information designated as "For Official Use Only," which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person's privacy or welfare, the conduct of Federal programs, or other programs or operations essential to the national or homeland security interest; and

(3) Any information that is designated "sensitive" or subject to other controls, safeguards or protections in accordance with subsequently adopted homeland security information handling procedures.

"Sensitive Information Incident" is an incident that includes the known, potential, or suspected exposure, loss of control, compromise, unauthorized disclosure, unauthorized acquisition, or unauthorized access or attempted access of any Government system, Contractor system, or sensitive information.

"Sensitive Personally Identifiable Information (SPII)" is a subset of PII, which if lost, compromised or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. Some forms of PII are sensitive as stand-alone elements. Examples of such PII include: Social Security numbers (SSN), driver's license or state identification number, Alien Registration Numbers (A-number), financial account number, and biometric identifiers such as fingerprint, voiceprint, or iris scan. Additional examples include any groupings of information that contain an individual's name or other unique identifier plus one or more of the following elements:

- (1) Truncated SSN (such as last 4 digits)
- (2) Date of birth (month, day, and year)
- (3) Citizenship or immigration status
- (4) Ethnic or religious affiliation
- (5) Sexual orientation
- (6) Criminal History
- (7) Medical Information
- (8) System authentication information such as mother's maiden name, account passwords or personal identification numbers (PIN)

Other PII may be "sensitive" depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. In contrast, a business card or public telephone directory of agency employees contains PII but is not sensitive.

(c) *Authorities.* The Contractor shall follow all current versions of Government policies and guidance accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>, or available

upon request from the Contracting Officer, including but not limited to:

- (1) DHS Management Directive 11042.1 Safeguarding Sensitive But Unclassified (for Official Use Only) Information
- (2) DHS Sensitive Systems Policy Directive 4300A
- (3) DHS 4300A Sensitive Systems Handbook and Attachments
- (4) DHS Security Authorization Process Guide
- (5) DHS Handbook for Safeguarding Sensitive Personally Identifiable Information
- (6) DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program
- (7) DHS Information Security Performance Plan (current fiscal year)
- (8) DHS Privacy Incident Handling Guidance
- (9) Federal Information Processing Standard (FIPS) 140-2 Security Requirements for Cryptographic Modules accessible at <http://csrc.nist.gov/groups/STM/cmvp/standards.html>
- (10) National Institute of Standards and Technology (NIST) Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations accessible at <http://csrc.nist.gov/publications/PubsSPs.html>
- (11) NIST Special Publication 800-88 Guidelines for Media Sanitization accessible at <http://csrc.nist.gov/publications/PubsSPs.html>

(d) *Handling of Sensitive Information.* Contractor compliance with this clause, as well as the policies and procedures described below, is required.

(1) Department of Homeland Security (DHS) policies and procedures on Contractor personnel security requirements are set forth in various Management Directives (MDs), Directives, and Instructions. *MD 11042.1, Safeguarding Sensitive But Unclassified (For Official Use Only) Information* describes how Contractors must handle sensitive but unclassified information. DHS uses the term "FOR OFFICIAL USE ONLY" to identify sensitive but unclassified information that is not otherwise categorized by statute or regulation. Examples of sensitive information that are categorized by statute or regulation are PCII, SSI, etc. The *DHS Sensitive Systems Policy Directive 4300A* and the *DHS 4300A Sensitive Systems Handbook* provide the policies and procedures on security for Information Technology (IT) resources. The *DHS Handbook for Safeguarding Sensitive Personally Identifiable Information* provides guidelines to help safeguard SPII in both paper and electronic form. *DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program* establishes procedures, program responsibilities, minimum standards, and reporting protocols for the DHS Personnel Suitability and Security Program.

(2) The Contractor shall not use or redistribute any sensitive information processed, stored, and/or transmitted by the Contractor except as specified in the contract.

(3) All Contractor employees with access to sensitive information shall execute *DHS Form 11000-6, Department of Homeland Security Non-Disclosure Agreement (NDA)*, as a condition of access to such information. The Contractor shall maintain signed copies of the NDA for all employees as a record of compliance. The Contractor shall provide copies of the signed NDA to the Contracting Officer's Representative (COR) no later than two (2) days after execution of the form.

(4) The Contractor's invoicing, billing, and other recordkeeping systems maintained to support

financial or other administrative functions shall not maintain SPII. It is acceptable to maintain in these systems the names, titles and contact information for the COR or other Government personnel associated with the administration of the contract, as needed.

(e) *Authority to Operate.* The Contractor shall not input, store, process, output, and/or transmit sensitive information within a Contractor IT system without an Authority to Operate (ATO) signed by the Headquarters or Component CIO, or designee, in consultation with the Headquarters or Component Privacy Officer. Unless otherwise specified in the ATO letter, the ATO is valid for three (3) years. The Contractor shall adhere to current Government policies, procedures, and guidance for the Security Authorization (SA) process as defined below.

(1) Complete the Security Authorization process. The SA process shall proceed according to the *DHS Sensitive Systems Policy Directive 4300A* (Version 11.0, April 30, 2014), or any successor publication, *DHS 4300A Sensitive Systems Handbook* (Version 9.1, July 24, 2012), or any successor publication, and the *Security Authorization Process Guide* including templates.

(i) Security Authorization Process Documentation. SA documentation shall be developed using the Government provided Requirements Traceability Matrix and Government security documentation templates. SA documentation consists of the following: Security Plan, Contingency Plan, Contingency Plan Test Results, Configuration Management Plan, Security Assessment Plan, Security Assessment Report, and Authorization to Operate Letter. Additional documents that may be required include a Plan(s) of Action and Milestones and Interconnection Security Agreement(s). During the development of SA documentation, the Contractor shall submit a signed SA package, validated by an independent third party, to the COR for acceptance by the Headquarters or Component CIO, or designee, at least thirty (30) days prior to the date of operation of the IT system. The Government is the final authority on the compliance of the SA package and may limit the number of resubmissions of a modified SA package. Once the ATO has been accepted by the Headquarters or Component CIO, or designee, the Contracting Officer shall incorporate the ATO into the contract as a compliance document. The Government's acceptance of the ATO does not alleviate the Contractor's responsibility to ensure the IT system controls are implemented and operating effectively.

(ii) Independent Assessment. Contractors shall have an independent third party validate the security and privacy controls in place for the system(s). The independent third party shall review and analyze the SA package, and report on technical, operational, and management level deficiencies as outlined in *NIST Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations*. The Contractor shall address all deficiencies before submitting the SA package to the Government for acceptance.

Support the completion of the Privacy Threshold Analysis (PTA) as needed. As part of the SA process, the Contractor may be required to support the Government in the completion of the PTA. The requirement to complete a PTA is triggered by the creation, use, modification, upgrade, or disposition of a Contractor IT system that will store, maintain and use PII, and must be renewed at least every three (3) years. Upon review of the PTA, the DHS Privacy Office determines whether a Privacy Impact Assessment (PIA) and/or Privacy Act System of Records Notice (SORN), or modifications thereto, are required. The Contractor shall provide all support necessary to assist the Department in completing the PIA in a timely manner and shall ensure that project

management plans and schedules include time for the completion of the PTA, PIA, and SORN (to the extent required) as milestones. Support in this context includes responding timely to requests for information from the Government about the use, access, storage, and maintenance of PII on the Contractor's system, and providing timely review of relevant compliance documents for factual accuracy. Information on the DHS privacy compliance process, including PTAs, PIAs, and SORNs, is accessible at <http://www.dhs.gov/privacy-compliance>.

(2) *Renewal of ATO.* Unless otherwise specified in the ATO letter, the ATO shall be renewed every three (3) years. The Contractor is required to update its SA package as part of the ATO renewal process. The Contractor shall update its SA package by one of the following methods:

(1) Updating the SA documentation in the DHS automated information assurance tool for acceptance by the Headquarters or Component CIO, or designee, at least 90 days before the ATO expiration date for review and verification of security controls; or (2) Submitting an updated SA package directly to the COR for approval by the Headquarters or Component CIO, or designee, at least 90 days before the ATO expiration date for review and verification of security controls. The 90 day review process is independent of the system production date and therefore it is important that the Contractor build the review into project schedules. The reviews may include onsite visits that involve physical or logical inspection of the Contractor environment to ensure controls are in place.

(3) *Security Review.* The Government may elect to conduct random periodic reviews to ensure that the security requirements contained in this contract are being implemented and enforced. The Contractor shall afford DHS, the Office of the Inspector General, and other Government organizations access to the Contractor's facilities, installations, operations, documentation, databases and personnel used in the performance of this contract. The Contractor shall, through the Contracting Officer and COR, contact the Headquarters or Component CIO, or designee, to coordinate and participate in review and inspection activity by Government organizations external to the DHS. Access shall be provided, to the extent necessary as determined by the Government, for the Government to carry out a program of inspection, investigation, and audit to safeguard against threats and hazards to the integrity, availability and confidentiality of Government data or the function of computer systems used in performance of this contract and to preserve evidence of computer crime.

(4) *Continuous Monitoring.* All Contractor-operated systems that input, store, process, output, and/or transmit sensitive information shall meet or exceed the continuous monitoring requirements identified in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The plan is updated on an annual basis. The Contractor shall also store monthly continuous monitoring data at its location for a period not less than one year from the date the data is created. The data shall be encrypted in accordance with *FIPS 140-2 Security Requirements for Cryptographic Modules* and shall not be stored on systems that are shared with other commercial or Government entities. The Government may elect to perform continuous monitoring and IT security scanning of Contractor systems from Government tools and infrastructure.

(5) *Revocation of ATO.* In the event of a sensitive information incident, the Government may suspend or revoke an existing ATO (either in part or in whole). If an ATO is suspended or revoked in accordance with this provision, the Contracting Officer may direct the Contractor to take additional security measures to secure sensitive information. These measures may include restricting access to sensitive information on the Contractor IT system under this

contract. Restricting access may include disconnecting the system processing, storing, or transmitting the sensitive information from the Internet or other networks or applying additional security controls.

(6) *Federal Reporting Requirements.* Contractors operating information systems on behalf of the Government or operating systems containing sensitive information shall comply with Federal reporting requirements. Annual and quarterly data collection will be coordinated by the Government. Contractors shall provide the COR with requested information within three (3) business days of receipt of the request. Reporting requirements are determined by the Government and are defined in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The Contractor shall provide the Government with all information to fully satisfy Federal reporting requirements for Contractor systems.

(f) *Sensitive Information Incident Reporting Requirements.*

(1) All known or suspected sensitive information incidents shall be reported to the Headquarters or Component Security Operations Center (SOC) within one hour of discovery in accordance with *4300A Sensitive Systems Handbook Incident Response and Reporting* requirements. When notifying the Headquarters or Component SOC, the Contractor shall also notify the Contracting Officer, COR, Headquarters or Component Privacy Officer, and US-CERT using the contact information identified in the contract. If the incident is reported by phone or the Contracting Officer's email address is not immediately available, the Contractor shall contact the Contracting Officer immediately after reporting the incident to the Headquarters or Component SOC. The Contractor shall not include any sensitive information in the subject or body of any e-mail. To transmit sensitive information, the Contractor shall use *FIPS 140-2 Security Requirements for Cryptographic Modules* compliant encryption methods to protect sensitive information in attachments to email. Passwords shall not be communicated in the same email as the attachment. A sensitive information incident shall not, by itself, be interpreted as evidence that the Contractor has failed to provide adequate information security safeguards for sensitive information, or has otherwise failed to meet the requirements of the contract.

(2) If a sensitive information incident involves PII or SPII, in addition to the reporting requirements in *4300A Sensitive Systems Handbook Incident Response and Reporting*, Contractors shall also provide as many of the following data elements that are available at the time the incident is reported, with any remaining data elements provided within 24 hours of submission of the initial incident report:

- (i) Data Universal Numbering System (DUNS);
- (ii) Contract numbers affected unless all contracts by the company are affected;
- (iii) Facility CAGE code if the location of the event is different than the prime contractor location;
- (iv) Point of contact (POC) if different than the POC recorded in the System for Award Management (address, position, telephone, email);
- (v) Contracting Officer POC (address, telephone, email);
- (vi) Contract clearance level;
- (vii) Name of subcontractor and CAGE code if this was an incident on a subcontractor network;
- (viii) Government programs, platforms or systems involved;

- (ix) Location(s) of incident;
- (x) Date and time the incident was discovered;
- (xi) Server names where sensitive information resided at the time of the incident, both at the Contractor and subcontractor level;
- (xii) Description of the Government PII and/or SPII contained within the system;
- (xiii) Number of people potentially affected and the estimate or actual number of records exposed and/or contained within the system; and
- (xiv) Any additional information relevant to the incident.

(g) Sensitive Information Incident Response Requirements.

- (1) All determinations related to sensitive information incidents, including response activities, notifications to affected individuals and/or Federal agencies, and related services (e.g., credit monitoring) will be made in writing by the Contracting Officer in consultation with the Headquarters or Component CIO and Headquarters or Component Privacy Officer.
- (2) The Contractor shall provide full access and cooperation for all activities determined by the Government to be required to ensure an effective incident response, including providing all requested images, log files, and event information to facilitate rapid resolution of sensitive information incidents.
- (3) Incident response activities determined to be required by the Government may include, but are not limited to, the following:
 - (i) Inspections,
 - (ii) Investigations,
 - (iii) Forensic reviews, and
 - (iv) Data analyses and processing.
- (4) The Government, at its sole discretion, may obtain the assistance from other Federal agencies and/or third-party firms to aid in incident response activities.

(h) Additional PII and/or SPII Notification Requirements.

- (1) The Contractor shall have in place procedures and the capability to notify any individual whose PII resided in the Contractor IT system at the time of the sensitive information incident not later than 5 business days after being directed to notify individuals, unless otherwise approved by the Contracting Officer. The method and content of any notification by the Contractor shall be coordinated with, and subject to prior written approval by the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, utilizing the *DHS Privacy Incident Handling Guidance*. The Contractor shall not proceed with notification unless the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, has determined in writing that notification is appropriate.
- (2) Subject to Government analysis of the incident and the terms of its instructions to the Contractor regarding any resulting notification, the notification method may consist of letters to affected

individuals sent by first class mail, electronic means, or general public notice, as approved by the Government. Notification may require the Contractor's use of address verification and/or address location services. At a minimum, the notification shall include:

- (i) A brief description of the incident;
- (ii) A description of the types of PII and SPII involved;
- (iii) A statement as to whether the PII or SPII was encrypted or protected by other means;
- (iv) Steps individuals may take to protect themselves;
- (v) What the Contractor and/or the Government are doing to investigate the incident, to mitigate the incident, and to protect against any future incidents; and
- (vi) Information identifying who individuals may contact for additional information.

(i) *Credit Monitoring Requirements.* In the event that a sensitive information incident involves PII or SPII, the Contractor may be required to, as directed by the Contracting Officer:

- (1) Provide notification to affected individuals as described above; and/or
- (2) Provide credit monitoring services to individuals whose data was under the control of the Contractor or resided in the Contractor IT system at the time of the sensitive information incident for a period beginning the date of the incident and extending not less than 18 months from the date the individual is notified. Credit monitoring services shall be provided from a company with which the Contractor has no affiliation. At a minimum, credit monitoring services shall include:

- (i) Triple credit bureau monitoring;
- (ii) Daily customer service;
- (iii) Alerts provided to the individual for changes and fraud; and
- (iv) Assistance to the individual with enrollment in the services and the use of fraud alerts; and/or

(3) Establish a dedicated call center. Call center services shall include:

- (i) A dedicated telephone number to contact customer service within a fixed period;
- (ii) Information necessary for registrants/enrollees to access credit reports and credit scores;
- (iii) Weekly reports on call center volume, issue escalation (i.e., those calls that cannot be handled by call center staff and must be resolved by call center management or DHS, as appropriate), and other key metrics;
- (iv) Escalation of calls that cannot be handled by call center staff to call center management or DHS, as appropriate;
- (v) Customized FAQs, approved in writing by the Contracting Officer in coordination with the Headquarters or Component Chief Privacy Officer; and
- (vi) Information for registrants to contact customer service representatives and fraud resolution representatives for credit monitoring assistance.

(j) *Certification of Sanitization of Government and Government-Activity-Related Files and Information.* As part of contract closeout, the Contractor shall submit the certification to the COR

and the Contracting Officer following the template provided in *NIST Special Publication 800-88 Guidelines for Media Sanitization*.

INFORMATION TECHNOLOGY SECURITY AND PRIVACY TRAINING (MAR 2015)

Applicability. This clause applies to the Contractor, its subcontractors, and Contractor employees (hereafter referred to collectively as "Contractor"). The Contractor shall insert the substance of this clause in all subcontracts.

Security Training Requirements.

All users of Federal information systems are required by Title 5, Code of Federal Regulations, Part 930.301, Subpart C, as amended, to be exposed to security awareness materials annually or whenever system security changes occur, or when the user's responsibilities change. The Department of Homeland Security (DHS) requires that Contractor employees take an annual Information Technology Security Awareness Training course before accessing sensitive information under the contract. Unless otherwise specified, the training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later than October 31st of each year. Any new Contractor employees assigned to the contract shall complete the training before accessing sensitive information under the contract. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, initial training certificates for each Contractor and subcontractor employee shall be provided to the Contracting Officer's Representative (COR) not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31st of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

The DHS Rules of Behavior apply to every DHS employee, Contractor and subcontractor that will have access to DHS systems and sensitive information. The DHS Rules of Behavior shall be signed before accessing DHS systems and sensitive information. The DHS Rules of Behavior is a document that informs users of their responsibilities when accessing DHS systems and holds users accountable for actions taken while accessing DHS systems and using DHS Information Technology resources capable of inputting, storing, processing, outputting, and/or transmitting sensitive information. The DHS Rules of Behavior is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Unless otherwise specified, the DHS Rules of Behavior shall be signed within thirty (30) days of contract award. Any new Contractor employees assigned to the contract shall also sign the DHS Rules of Behavior before accessing DHS systems and sensitive information. The Contractor shall maintain signed copies of the DHS Rules of Behavior for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, the Contractor shall e-mail copies of the signed DHS Rules of Behavior to the COR not later than thirty (30) days after contract award for each employee. The DHS Rules of Behavior will be reviewed annually and the COR will provide notification when a review is required.

Privacy Training Requirements. All Contractor and subcontractor employees that will have access to Personally Identifiable Information (PII) and/or Sensitive PII (SPII) are required to take *Privacy at DHS: Protecting Personal Information* before accessing PII and/or SPII. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>.

Training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later than October 31st of each year. Any new Contractor employees assigned to the contract shall also complete the training before accessing PII and/or SII. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Initial training certificates for each Contractor and subcontractor employee shall be provided to the COR not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31st of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

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