

# Exhibit 300 FY2008

## FY2008 Exhibit 300

### PART I: SUMMARY INFORMATION AND JUSTIFICATION

*In Part I, complete Sections A, B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.*

#### Section A: Overview (All Capital Assets)

*The following series of questions are to be completed for all investments.*

**I. A. 1. Date of Submission:**

2006-09-08

**I. A. 2. Agency:**

005

**I. A. 3. Bureau:**

68

**I. A. 4. Name of this Capital Asset:**

*(short text - 250 characters)*

FAIS

**I. A. 5. Unique ID: (For IT investments only, see section 53. For all other, use agency ID system.)**

005-68-01-51-01-0061-00-114-042

**I. A. 6. What kind of investment will this be in FY2008?**

*(Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)*

Acquisition

**I. A. 7. What was the first budget year this investment was submitted to OMB?**

FY2006

**I. A. 8. Provide a brief summary and justification for this investment, including a brief description of how this, closes in part or in whole, an identified agency performance gap:**

*(long text - 2500 characters)*

The Food Aid Information System (FAIS) will be the integrated database application that will contain all information related to FAS food aid activities and will assist FAS in carrying out its functions related to food aid. FAIS will provide budgetary controls for food aid programs and a means of estimating and updating commodity and freight pricing for approved agreements. This will allow agreement cost estimates to be consistently derived and updated up through the actual costs for the procurement and shipment phases. This improvement to the performance gap will permit food aid budgeting to reduce the value of reserves held due to price changes. FAIS will permit timely and accurate information on the status of food aid programmed for current and past years. Presently on-going requests for program status reports require the preparation of ad hoc reports and cross checking for accuracy among several offices. This causes delays in the availability of the information and reduces the timeliness and usefulness of the data obtained. FAIS will permit timely and accurate accountability of activities conducted by grant recipients as specified in specific food aid agreements. Presently, these monitoring reports do not interface with other agreement data. As a result, commodity and funds tracking are problematic. FAIS will handle the receipt of food aid grant applications through the Government-wide Grants.gov web-site. FAIS will allow food aid grant applicants a web interface to FAIS, allowing grant applicants to monitor the status of their applications and grant agreements. FAIS will facilitate the evaluation of food aid grant proposals by maintaining evaluation criteria and by managing the flow of proposal-related work among the various offices responsible for evaluating and commenting upon specific aspects of each proposal. FAS will provide access to FAIS via the USDA eAuthentication system. FAIS will transmit information to and receive information from the computer applications of other food aid partner organizations through electronic data exchanges. These data exchanges will eliminate redundant data entry and will increase data integrity between systems. Currently, most information exchanged between food aid partners takes place manually which results in degraded data integrity, and decreases the ability to reconcile information maintained in one application with information contained in another.

**I. A. 9. Did the Agency's Executive/Investment Committee approve this request?**

yes

**I. A. 9. a. If "yes", what was the date of this approval?**

2006-09-06

**I. A. 10. Did the Project Manager review this Exhibit?**

yes

## **I. A. 11. Contact information of Project Manager?**

**I. A. 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.**

yes

**I. A. 12. a. Will this investment include electronic assets (including computers)?**

yes

**I. A. 12. b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)**

no

**I. A. 12. b. 1. If "yes", is an ESPC or UESC being used to help fund this investment?**

**I. A. 12. b. 2. If "yes", will this investment meet sustainable design principles?**

**I. A. 12. b. 3. If "yes", is it designed to be 30% more energy efficient than relevant code?**

**I. A. 13. Does this investment support one of the PMA initiatives?**

yes

**I. A. 13. a. If "yes", check all that apply:**

Budget Performance Integration  
Expanded E-Government  
Faith Based and Community  
Eliminating Improper Payments

**I. A. 13. b. Briefly describe how this asset directly supports the identified initiative(s).**

*(medium text - 500 characters)*

BPI: More accurate budget estimates developed based on prior year's costs and market trends. eGov: Grant applications received via Grants.gov; Data transmitted via B2B rather than manually; Grant applicants allowed real-time interaction with FAS. FBCI: Website allows FBC groups to compete for grants on equal footing with other eligible organizations; PMA goals captured and accurately reported on. EIP: Institute mgt controls through automated notices; Enable security measures controlling access.

**I. A. 14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?**

*(For more information about the PART, visit [www.whitehouse.gov/omb/part](http://www.whitehouse.gov/omb/part).)*

yes

**I. A. 14. a. If "yes", does this investment address a weakness found during the PART review?**

yes

**I. A. 14. b. If "yes", what is the name of the PARTed Program?**

*(short text - 250 characters)*

Credit and Competitive Grant Programs

**I. A. 14. c. If "yes", what PART rating did it receive?**

Moderately Effective

**I. A. 15. Is this investment for information technology? (see section 53 for definition)**

yes

**I. A. 16. What is the level of the IT Project (per CIO Council's PM Guidance)?**

*Level 1 - Projects with low-to-moderate complexity and risk. Example: Bureau-level project such as a stand-alone information system that has low- to-moderate complexity and risk. Level 2 - Projects with high complexity and/or risk which are critical to the mission of the organization. Examples: Projects that are part of a portfolio of projects/systems that impact each other and/or impact mission activities. Department-wide projects that impact cross-organizational missions, such as an agency-wide system integration that includes large scale Enterprise Resource Planning (e.g., the DoD Business Mgmt Modernization Program). Level 3 - Projects that have high complexity, and/or risk, and have government-wide impact. Examples: Government-wide initiative (E-GOV, President's Management Agenda). High interest projects with Congress, GAO, OMB, or the general public. Cross-cutting initiative (Homeland Security).*

Level 2

**I. A. 17. What project management qualifications does the Project Manager have? (per OMB's PM Guidance):**

*(1) - The project manager assigned for this investment has been validated as qualified in accordance with OMB PM Guidance.; (2) - The project manager assigned for this investment is in the process of being validated as qualified in accordance with OMB PM Guidance.; (3) - The project manager assigned for this investment is not validated as qualified in accordance with OMB PM Guidance.; (4) - The qualifications for the project manager named have not been evaluated.; (5) - No project manager is currently assigned for this investment.; (6) - N/A -- This is not an IT investment.*

(1) Project manager has been validated as qualified for this investment

**I. A. 18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?**

no

**I. A. 19. Is this a financial management system?**

no

**I. A. 19. a. If "yes", does this investment address a FFMIA compliance area?**

**I. A. 19. a. 1. If "yes" which compliance area?**

*(short text - 250 characters)*

**I. A. 19. a. 2. If "no", what does it address?**

*(medium text - 500 characters)*

**I. A. 19. b. If "yes", please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52**

*(long text - 2500 characters)*

**I. A. 20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)**

**I. A. 20. a. Hardware**

1

**I. A. 20. b. Software**

7

**I. A. 20. c. Services**

92

**I. A. 20. d. Other**

0

**I. A. 21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?**

yes

**I. A. 22. Contact information of individual responsible for privacy related questions:**

**I. A. 22. a. Name**

(short text - 250 characters)

Sally Klusaritz

**I. A. 22. c. Title**

(short text - 250 characters)

Deputy Director for Public Affairs

**I. A. 22. d. Email**

(short text - 250 characters)

sally.klusaritz@fas.usda.gov

**I. A. 23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?**

no

**Section B: Summary of Funding**

**I. B. 1. Provide the total estimated life-cycle cost for this investment by completing the following table.**

All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Note: For the cross-agency investments, this table should include all funding (both managing and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

	PY-1 Spending Prior to 2006	PY 2006	CY 2007	BY 2008					
Planning	0	0	0	0					
Acquisition	0.28	1.04	3.56	0					
Subtotal Planning & Acquisition	0.28	1.04	3.56	0					
Operations & Maintenance	0	0	0	0					
TOTAL	0.28	1.04	3.56	0					
Government FTE Costs	0.05	0.11	0.11	0.11					
Number of FTE represented by cost	0.4	1	1	1					

**I. B. 2. Will this project require the agency to hire additional FTE's?**

no

0

There has been no change.

[illegible]

**I. D. 1. Table 1**

(Character Limitations: Strategic Goal(s) Supported - 250 Characters; Performance Measure - 250 Characters; Actual/baseline (from Previous Year) - 250 Characters; Planned Performance Metric (Target) - 250 Characters; Performance Metric Results (Actual) - 250 Characters; Measurement Indicator - 250 Characters; Baseline - 250 Characters; Planned Improvement to the Baseline - 250 Characters; Actual Results - 250 Characters)

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2005	Mission and Business Results	Determine the number of data exchanges between FAS and other Food Aid partners	Unknown number of data exchanges between FAS and other Food Aid partners	Identify the number of data exchanges between FAS and other Food Aid partners	154 data interactions identified via the USFARMS project

**I. D. 2. Table 2**

Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2007	Technology	External Data Sharing	Specific data interactions between food aid partners requiring automation in order to deliver planned benefits.	The number of specific data interaction between food aid partners requiring automation in order to deliver planned benefits is unknown.	Identify all required electronic data exchanges to implement automated funds control.	Will be determined at end of Phase I
2008	Technology	External Data Sharing	Specific data interactions between food aid partners requiring automation in order to deliver planned benefits	The cost to automate the required data interactions is unknown.	Identify costs for all required electronic data exchanges to implement automated funds control.	Will be determined during acquisition of Phase II.
2009	Technology	External Data Sharing	The number of data interactions with food aid partners	Of approximately 35 interactions in which FAS exchanges food aid data with food aid partners, only 3 are electronic. All other exchanges are conducted via FAX, hard-copy, or e-mail	Increase to 50% of the total number of interactions with other food aid partners, the number of interactions that are electronic	Results will be measured when the FAIS is implemented, in FY 2009
2009	Technology	Efficiency	Identical information keyed into multiple computer applications.	Internal and external stake-holders must re-enter the same information into multiple computer applications.	One manual point of origination in the system, for each data element.	Results will be measured when the FAIS is implemented, in FY 2009
2009	Processes and Activities	Cycle Time	Amount of time to process and approve grant application.	It currently requires, on average, 6 months from the approval of a grant application to the signing of a food aid agreement and 3 months from appropriation and/or funds apportionment to process and approve applications for food aid.	Work-flow functionality of the FAIS will decrease the amount of time required to generate and process an agreement by 10%	Results will be measured when the FAIS is implemented, in FY 2009
2009	Processes and Activities	Savings and Cost Avoidance	Amount of time required to perform funds control	It currently requires 3 hours per week, with both FSA and FAS staff in consultation, to perform funds control on commodity purchases	Program cost data will be available real-time.	Results will be measured when the FAIS is implemented, in FY 2009
2009	Customer Results	Access	The capability for grant applicants to access their own information.	There is currently no functionality that allows grant applicants access to their own grant information.	100% of grant recipients will be able to manage their own grant information.	Results will be measured when the FAIS is implemented, in FY 2009
2009	Customer Results	Access	The capability to receive grant applications via Grants.gov.	0 food aid grant applications are currently received via the grants.gov mechanism	Increase to 100% the number of electronic grant applications that are received through grants.gov	Results will be measured when the FAIS is implemented, in FY 2009
2009	Mission and Business Results	International Development and Humanitarian Aid	Amount of funds held in reserve.	Up to \$2 million is held in reserve in both the Food for Progress program and the Food for Education program, and tens of millions may be held in reserve in the Title I program.	Improved funds control capability will allow a reduction in the size of reserves, in the food aid programs, by 50%.	Results will be measured when the FAIS is implemented, in FY 2009
2009	Mission and Business	International Development	Food Aid Targeting Effectiveness Ratio	USDA's Economic Research Service calculates the Food Aid Targeting	When the USDA/FAS	Results will be measured when

	Results	and Humanitarian Aid		Effective Ratio using its Food Security Assessment Model. The results from the assessment model are expected in FY 2007. FAS will determine a baseline after it receives the results.	determines the baseline in FY 2007, the planned improvement will be established.	the baseline is established and the FAIS has been implemented in FY 2009.
2010	Mission and Business Results	International Development and Humanitarian Aid	Amount of funds held in reserve.	Up to \$2 million is held in reserve in both the Food for Progress program and the Food for Education program, and tens of millions may be held in reserve in the Title I program.	Improved funds control capability will allow a reduction in the size of reserves, in the food aid programs by 75%.	Results will be measured at the end of FY 2010.

## Section F: Enterprise Architecture (EA)

*In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.*

### I. F. 1. Is this investment included in your agency's target enterprise architecture?

yes

#### I. F. 1. a. If "no", please explain why? (long text - 2500 characters)

### I. F. 2. Is this investment included in the agency's EA Transition Strategy?

no

#### I. F. 2. a. If "yes", provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. (medium text - 500 characters)

Food Aid Information System

#### I. F. 2. b. If "no" please explain why? (long text - 2500 characters)

USDA is in the process of developing a Transition Strategy that should be in place for the calendar year 2007 annual OMB EA Assessment. This investment will likely be listed under its own name and link to nutrition assistance and international humanitarian assistance efforts.

### I. F. 3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

*FEA SRM Component - Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM. FEA Service Component Reused - A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission. Internal or External Reuse? - 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government. Funding Percentage - Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service. (Character Limitations: Agency Component Name - 250 Characters; Agency Component Description - 500 Characters)*

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused - Component Name	FEA Service Component Reused - UPI	Internal or External Reuse?	BY Funding Percentage
Grants.gov	Grant applications will be entered via grants.gov	Development and Integration	Enterprise Application Integration	Enterprise Application Integration	005-03-02-00-01-8003-00	External	0
Data exchange/integration	Commodity purchase data will be transmitted and received electronically.	Development and Integration	Enterprise Application Integration	Enterprise Application Integration		No Reuse	0

eAuthentication	The service will validate and authenticate participants to use the system.	Security Management	Identification and Authentication	Identification and Authentication	005-03-02-00-01-8003-00	Internal	0
Cooperating Sponsor Self-Service	Cooperating sponsors will have a user id and password and be able to track grant applications.	Customer Initiated Assistance	Self-Service	Self-Service		No Reuse	0
Freight Shipping and Tracking	The Freight Shipping module allows FAS/Export Credits staff to monitor food aid shipments and approve vessels carrying food aid cargo.	Tracking and Workflow	Process Tracking	Process Tracking		No Reuse	0
Shipping Document Imaging	An electronic repository of document images related to the individual food aid shipments will be maintained.	Document Management	Document Review and Approval	Document Review and Approval		No Reuse	0
Performance Monitoring and Reporting	Performance information will be captured and reported.	Management of Processes	Performance Management	Performance Management		No Reuse	0
Adhoc reports	Adhoc and standard canned reports will provide information about effectiveness of proposals and/or food aid in general.	Reporting	Ad Hoc	Ad Hoc		No Reuse	0

**I. F. 4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.**

*FEA SRM Component - Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications. Service Specification - In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate. (Character Limitations: Service Specification (i.e., vendor and product name) - 250 characters)*

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e., vendor and product name)
Enterprise Application Integration	Service Interface and Integration	Integration	Enterprise Application Integration	
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Identification and Authentication	Component Framework	Security	Supporting Security Services	
Self-Service	Service Platform and Infrastructure	Access Channels	Web Browser	
Self-Service	Service Platform and Infrastructure	Access Channels	Database	
Process Tracking	Service Platform and Infrastructure	Access Channels	Database	
Process Tracking	Service Platform and Infrastructure	Access Channels	Web Browser	
Document Review and Approval	Service Platform and Infrastructure	Access Channels	Web Browser	
Document Review and Approval	Service Platform and Infrastructure	Access Channels	Database	
Knowledge Capture	Service Platform and Infrastructure	Access Channels	Database	
Knowledge Capture	Service Platform and Infrastructure	Access Channels	Web Browser	
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	

**I. F. 5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?**

yes

**I. F. 5. a. If "yes", please describe.**

(long text - 2500 characters)

FAIS will accept grant applications from Grants.gov.

**I. F. 6. Does this investment provide the public with access to a government automated information system?**

yes

**I. F. 6. a. If "yes", does customer access require specific software (e.g., a specific web browser version)?**

no

**I. F. 6. a. 1. If "yes", provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).**

(medium text - 500 characters)

## **PART II: PLANNING, ACQUISITION AND PERFORMANCE INFORMATION**

Part II should be completed only for investments which in FY2008 will be in "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments, i.e., selected one of these three choices in response to Question 6 in Part I, Section A above.

### **Section A: Alternatives Analysis (All Capital Assets)**

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

**II. A. 1. Did you conduct an alternatives analysis for this project?**

yes

**II. A. 1. a. If "yes", provide the date the analysis was completed?**

2005-06-30

**II. A. 1. b. If "no", what is the anticipated date this analysis will be completed?**

**II. A. 1. c. If no analysis is planned, please briefly explain why:**

(long text - 2500 characters)

**II. A. 2. Use the results of your alternatives analysis to complete the following table:**

(Character Limitations: Alternative Analyzed - 500 characters; Description of Alternative - 500 Characters)

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Cost Estimate	Risk Adjusted Lifecycle Benefits Estimate
3	A COTS application that can be configured to satisfy 70% of the functional requirements. The remaining 30% of the requirements satisfied through customization of the COTS application.	17.421	16.6

**II. A. 3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?**

(medium text - 500 characters)

Alternative 3 was selected because it appears to provide the needed functionality at the most cost-effective price.

**II. A. 4. What specific qualitative benefits will be realized?**

(long text - 2500 characters)

By implementing automated, real time funds control, FAIS will reduce the size of the food aid program reserves to allow more food aid programming, contributing to USDA's strategic goal of reducing the number of hungry people in the world by half. Automated funds control will also improve efficiencies by eliminating the need to perform this work manually, using spreadsheets and other

"cuff records". FAIS will provide real-time information about the FAS "food aid pipeline" allowing for quicker response time to the Administration and to Congress. This investment will reduce costs and improve efficiencies by exchanging data between agencies electronically. This will allow the data to be entered only once, reducing duplication of effort, eliminating data entry errors and providing updated information expeditiously. Currently, the information flow between food aid partners/agencies is largely paper-based. This requires each agency to fax information to other agencies, requiring the receiving agency to manually enter the data into their system. FAIS will provide work-flow management functionality that will improve efficiencies by tracking the location of food aid proposals and draft agreements in the approval chain. Qualitative benefits will be further defined when Booz Allen delivers its Benefits Analysis report in December of 2006. In addition, the preliminary risk adjusted lifecycle benefits estimates will be validated and refined in the Benefits Analysis report. These findings will be incorporated into the FAIS Exhibit 300 once they are received.

## **Section B: Risk Management**

*You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.*

### **II. B. 1. Does the investment have a Risk Management Plan?**

yes

#### **II. B. 1. a. If "yes", what is the date of the plan?**

2006-08-22

#### **II. B. 1. b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?**

no

#### **II. B. 1. c. If "yes", describe any significant changes:**

*(long text - 2500 characters)*

### **II. B. 2. If there currently is no plan, will a plan be developed?**

#### **II. B. 2. a. If "yes", what is the planned completion date?**

#### **II. B. 2. b. If "no", what is the strategy for managing the risks?**

*(long text - 2500 characters)*

### **II. B. 3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:**

*(long text - 2500 characters)*

Each risk was analyzed to determine the likelihood of occurrence and the expected impact of occurrence to arrive at a risk value. The sum of all risk values is the value at which the project would be terminated due to cost overruns.