Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission:	7/27/2007
2. Agency:	Department of State
3. Bureau:	A/Dcp Diplomatic Contingency Programs Office
4. Name of this Capital Asset:	Foreign Assistance Coordination and Tracking System (FACTS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	014-00-01-01-01-1687-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)	Planning

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:

To ensure that the foreign assistance is used as effectively as possible, the Director of U.S. Foreign Assistance (F) is developing a coordinated approach to planning and managing those funds, which totaled $26 billion in FY2007. This strategy will be the basis for multi-year country assistance strategies and operational plans, which are integrated into the Foreign Assistance Framework.

The Foreign Assistance Coordination and Tracking System (FACTS) will facilitate planning at the country level to ensure that assistance is aligned with U.S. foreign policy objectives, and to enhance State and USAID's ability to monitor performance and report to Congress and other stakeholders. The FACTS system will allow both State and USAID to quickly gather and analyze funding in various ways to respond to required OMB and Congressional reports and frequently asked questions

In FY 2008, FACTS will cover every operating unit in USAID and State that implements foreign assistance funds. The system may be expanded in future years to cover other USG agencies involved in the implementation of these foreign assistance accounts to provide a comprehensive picture of U.S. foreign assistance. In FY 2008, some information is expected to be input into the system for HIV programs by the Centers for Disease Control and Peace Corps. With regard to Department of State integration with FACTS, the Joint Planning and Performance System (JPPS) includes systems related to planning, a Global Affairs Dashboard, and a Statement of Net Cost module. With the exception of FACTS II, the other systems included under JPPS will move to full operations and maintenance (O&M) in FY 2009.

Consistent with the aims of foreign assistance reform, FACTS provides valuable data to help provide a comprehensive picture to management of US global assistance. All of the systems under JPPS help integrate resource and performance information at the mission, bureau, and agency level. The systems enabled more flexible and frequent entry of data, providing timely and accurate data for decision makers and further strengthening the President's Management Agenda of budget and performance integration. There is no existing unified system that captures the entire scope and depth of information to be provided by FACTS.

FACTS will be the central USG data system combining all government planning, tracking and results reporting of foreign assistance funds over which F has authority, into one central repository.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	8/24/2007
10. Did the Project Manager review this Exhibit?	Yes
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?	Yes
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
1. If "yes," is an ESPC or UESC being used to help fund this investment?	

    2. If "yes," will this investment meet sustainable design principles?

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

13. Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Budget Performance Integration Financial Performance Expanded E-Government
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.)	Yes
a. If "yes," does this investment address a weakness found during a PART review?	No
b. If "yes," what is the name of the PARTed program?	
c. If "yes," what rating did the PART receive?	
15. Is this investment for information technology?	Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)	(2) Project manager qualification is under review for this investment
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23)	No
19. Is this a financial management system?	Yes
a. If "yes," does this investment address a FFMIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	Improved Financial Management; Timely and Useful Information; Budget Formulation

    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

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?	N/A
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	No

Question 24 must be answered by all Investments:

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Exhibit 300: Foreign Assistance Coordination and Tracking System (FACTS) (Revision 0)

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
2008	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	Percentage of users of FACTS updating information more than 4 times per year	0	35%	TBD
2008	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	Average length of time for help desk responses to be resolved	0	36 hours	TBD
2008	Strengthening Consular and Management Capabilities	Customer Results	Service Accessibility	Automation	Availability of a central and automated performance and strategic planning system for Foreign Assistance	No such system exists	Launch of a central system in FY2008	TBD
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	International Affairs and Commerce	International Development and Humanitarian Aid	Percentage of the Foreign Assistance Budget (150 Account) captured in one central data system	53%	90%	TBD
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Management and Innovation	Compliance	Usage of FACTS to comply with federal or Congressional reporting requirements	0	Produce 4 federal reports: PART, PAR, CBJ, and CN	TBD
2008	Strengthening Consular and Management Capabilities	Technology	Information and Data	External Data Sharing	Number of external requests for data answered using the FACTS II system	0	25	TBD
2008	Strengthening Consular and Management Capabilities	Technology	Information and Data	Internal Data Sharing	Number of users accessing FACTS Info	0	1000	TBD

Section E: Security and Privacy (IT Capital Assets only)

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	**(b) Is this a new system? (Y/N)**	**(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)**	**(d) Internet Link or Explanation**	**(e) Is a System of Records Notice (SORN) required for this system? (Y/N)**	**(f) Internet Link or Explanation**
CORPS	No	No	The system does not contain any PII	No	The system is not a Privacy Act system of records.
FACTS I	No	No	The system does not contain any PII	No	The system is not a Privacy Act system of records.
FACTS II	Yes	No	The system does not contain any PII	No	The system is not a Privacy Act system of records.
JPPS	No	No	The system does not contain any PII	No	The system is not a Privacy Act system of records.
Details for Text Options: Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted. Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN. Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the

agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?   Yes

    a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy?   No

    a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.   FACTS II

    b. If "no," please explain why?

FACTS II is a new investment was not included in the EA Transitions Strategy. It will be included in future EA Transitions Strategies

4. Service Component Reference Model (SRM) Table:
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.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Data Warehouse	Defines the set of capabilities that support the archiving and storage of large volumes of data.	Back Office Services	Data Management	Data Warehouse			No Reuse	35
Data Mining	Provide for the efficient discovery of non-obvious, valuable patterns and relationships within a large collection of data.	Business Analytical Services	Knowledge Discovery	Data Mining			No Reuse	15
		Business Analytical Services	Knowledge Discovery	Data Mining			No Reuse	0
Ad Hoc	Defines the set of capabilities that support the use of dynamic reports on an as needed basis.	Business Analytical Services	Reporting	Ad Hoc			No Reuse	30
Information Retrieval	Defines the set of capabilities that allow access to data and information for use by an organization and its stakeholders.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	20

    a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

    b. 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.

    c. '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.

    d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:
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 (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Ad Hoc	Component Framework	Business Logic	Platform Independent	SQL, .Net, and Delphi
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	SQL, .Net, and Delphi
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Information Retrieval	Service Access and Delivery	Delivery Channels	Extranet	USAID Extranet (ALLNET)
Information Retrieval	Service Interface and Integration	Interface	Service Description / Interface	.Net and Tibco
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	SQL
Data Mining	Service Platform and Infrastructure	Database / Storage	Database	SQL
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	SQL

   a. 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

   b. 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.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?   No

   a. If "yes," please describe.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section B: Risk Management (All Capital Assets)

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.

1. Does the investment have a Risk Management Plan?   Yes

   a. If "yes," what is the date of the plan?   1/1/2008

   b. Has the Risk Management Plan been significantly   No
changed since last year's submission to OMB?

c. If "yes," describe any significant changes:

Please refer to Risk Management Plan (Excel spreadsheet) in (personal, created) Resources.

2. If there currently is no plan, will a plan be developed?   Yes

   a. If "yes," what is the planned completion date?   1/1/2008

   b. If "no," what is the strategy for managing the risks?

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

The Alternatives Analysis is being developed as of 7/25/07. In developing the cost for each alternative considered, a detailed analysis of six alternative strategies for delivering FACTS II was considered. The methodology used the Function Point Cost Estimate generated from FACTS II requirements as the initial cost for each considered alternative.