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:
- 2. Agency:
- 3. Bureau:
- 4. Name of this Capital Asset:
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)
- 6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)
- 7. What was the first budget year this investment was submitted to OMB?
- 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:
- 9. Did the Agency's Executive/Investment Committee approve this request?
 - a. If "yes," what was the date of this approval?
- 10. Did the Project Manager review this Exhibit?
- 11. Contact information of Program/Project Manager?

Name

Phone Number

Email

- a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?
- b. When was the Program/Project Manager Assigned?
- c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?
- 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?
- a. Will this investment include electronic assets (including computers)?
- b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)
- 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?

If "yes," check all that apply:

- a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)
- 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.)
- a. If "yes," does this investment address a weakness found during a PART review?
 - 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?

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)
- 17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)
- 18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23)
- 19. Is this a financial management system?
- a. If "yes," does this investment address a FFMIA compliance area?
 - 1. If "yes," which compliance area:
 - 2. If "no," what does it address?
- 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
- 20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware

Software

Services

Other

- 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?
- 22. Contact information of individual responsible for privacy related questions:

Name

Phone Number

Title

E-mail

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas?

Section B: Summary of Spending (All Capital Assets)

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.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:									
Acquisition:									
Subtotal Planning & Acquisition:									
Operations & Maintenance:									
TOTAL:									
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs									
Number of FTE represented by Costs:									

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

- 2. Will this project require the agency to hire additional FTE's?
 - a. If "yes," How many and in what year?
- 3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/T	ask Orders T	able:												* Co	sts in millions
Contract or Task Order Number			If so what is the date of the award? If not, what is the planned award date?	Contract/	End date of Contract/	Contract/	Interagenc y	performanc	Competitiv	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact	Contracting Officer FAC-C or DAWIA Certificatio n Level	assigned has the competenci

- 2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:
- 3. Do the contracts ensure Section 508 compliance?
- a. Explain why not or how this is being done?
- 4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?
 - a. If "yes," what is the date?
 - 1. Is it Current?
 - b. If "no," will an acquisition plan be developed?
 - 1. If "no," briefly explain why:

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 the next President's Budget.

Performance In	formation Table	1						
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results

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

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

- 1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment?:
- a. If "yes," provide the "Percentage IT Security" for the budget year:
- 2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment?

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):							
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)				

4. Operational Sys	4. Operational Systems - Security Table:								
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)		Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, Other, N/A)	Date Completed: Security Control	Date the contingency plan tested		

- 5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?
- a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?
- 6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?
- a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.
- 7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

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		

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

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			
an explanation why the SORN has not been published or why there isn't a current and up to date SORN.								
Note: Working links mus	t be provided to specific	documents not general p	rivacy websites. Non-wo	rking links will be conside	red 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?
 - a. If "no," please explain why?
- 2. Is this investment included in the agency's EA Transition Strategy?
- a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.
 - b. If "no," please explain why?

4. Service Component Reference Model (SRM) Table:

- 3. Is this investment identified in a completed and approved segment architecture?
- a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to http://www.egov.gov.

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. Service Service Agency FEA SRM FEA SRM FEA SRM BY Funding Component Component Component Component Service External **Reused Name** Reused UPI Service Type Component (a) Percentage (d) Reuse? (c) Name Description Domain

- 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:							
of 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)			

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)			

- 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., USA.gov, Pay.Gov, etc)?
 - a. If "yes," please describe.

5. Technical Reference Model (TRM) Table:

Central Contractor Registration, Excluded Parties Listing System, Electronic Subcontracting Reporting Service, Federal Agency Registration, Federal Business Opportunities, Federal Technical Data Solution, Federal Procurement Data-System Next Generation, Online Representations and Certifications Application, Wage Determinations Online, USAJOBS.gov, Grants.gov, and GoLearn.gov

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

Section A: Alternatives Analysis (All Capital Assets)

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

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.

- 1. Did you conduct an alternatives analysis for this project?
 - a. If "yes," provide the date the analysis was completed?
- b. If "no," what is the anticipated date this analysis will be completed?
 - c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results: Use the results of your alternatives ana	Alternative Analysis Results: the results of your alternatives analysis to complete the following table: * Costs in millions the results of your alternatives analysis to complete the following table:							
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate					

- 3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
- a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)
- 4. What specific qualitative benefits will be realized?

5. Federal Quantitative Benefits What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:						
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance		
PY - 1 2007 & Prior						
PY 2008						
CY 2009						
BY 2010						
BY + 1 2011						
BY + 2 2012						
BY + 3 2013						
BY + 4 2014 & Beyond						
Total LCC Benefit			LCC = Life-cycle Cost			

- 6. Will the selected alternative replace a legacy system in-part or in-whole?
- a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment?
 - b. If "yes," please provide the following information:

5b. List of Legacy Investment or Systems						
Name of the Legacy Investment of Systems UPI if available Date of the System Retirement						

5b. List of Legacy Investment or Systems										
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement								

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?
 - a. If "yes," what is the date of the plan?
- b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?
- c. If "yes," describe any significant changes:
- 2. If there currently is no plan, will a plan be developed?
 - a. If "yes," what is the planned completion date?
 - 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:

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

- 1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?
- 2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)
 - a. If "yes," was it the CV or SV or both?
 - b. If "yes," explain the causes of the variance:
 - c. If "yes," describe the corrective actions:
- 3. Has the investment re-baselined during the past fiscal year? No
- a. If "yes," when was it approved by the agency head?

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		
		Planned Completion Date (mm/dd/yyy y)	Total Cost (\$M)	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule		Percent
			Estimated	Planned	Actual	Planned	Actual	(# days)	Cost (\$M)	Complete