

**Exhibit 300 (BY2009)**

<b>PART ONE</b>	
<b>OVERVIEW</b>	
<b>1. Date of Submission:</b>	2007-06-01
<b>2. Agency:</b>	015
<b>3. Bureau:</b>	10
<b>4. Name of this Capital Asset:</b>	Automated Standard Application for Payments (ASAP)
<b>5. Unique Project Identifier:</b>	015-10-01-14-01-1455-00
<i>6. What kind of investment will this be in FY2009?</i>	
Mixed Life Cycle	
<i>7. What was the first budget year this investment was submitted to OMB?</i>	
FY2008	
<i>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.</i>	
<p>ASAP is used by Federal Program Agencies (FPAs) to make grant payments and to reimburse Financial Agents for financial services performed on behalf of the Government. It was initially selected by the CFO Council as one of the two grant payment systems approved for use. ASAP supports the grant payment needs of FPAs, Federal cash management regulations (CMIA 90, DCIA, P.L. 106-107), President's Management Agenda, OMB E-Government Strategy of 2002, Inter-Agency Electronic Grant Committee, Treasury and FMS strategic goals, and helps close identified performance gaps within Treasury. ASAP supports the governmentwide financial-management mission of FMS and enhances FPAs' ability to exercise sound financial management practices and controls. The ASAP investment closes the percentage of payments made electronically gap identified by Treasury. Since FY07 began, the Department of Commerce, Economic Development Administration and Department of Interior, Minerals Management Service converted to ASAP. One hundred percent of their grant payments are made electronically. ASAP also contributes to Treasury achieving 100% towards its annual performance metric Percentage of Payments Made Accurately and On Time. The ASAP investment is linked directly with two FMS Strategic Goals (thus two Treasury Goals): Goal #1 - Provide Federal Payments Timely and Accurately, Move Toward an All-Electronic Treasury for Payments, and Determine the Optimal Payment Mechanism and Goal #6 - Establish Policies and Processes to Facilitate the Integration of E-commerce Technologies into FMS' Business Programs and Infrastructure. The primary functionality of ASAP is to make Federal payments electronically through ACH for next day payments and Fedwire for same day payment mechanisms. The ACH and Fedwire payment capabilities enable recipients to timely and accurately receive Federal funding electronically through optimal payment mechanisms. ASAP has also enabled FMS to promote and expand the use of electronic commerce technologies within the Federal financial community. ASAP's enhanced functionality is necessary to meet executive, legislative, and FMS mandates. The design efficiencies and complete functionality of this investment prevent a return of disparate payment systems that increase the number of Federal cash drawdown systems for grantees throughout the Federal Government and the high costs associated with the development and maintenance of multiple systems.</p>	
<i>9. Did the Agency's Executive/Investment Committee approve this request?</i>	
yes	
<i>9.a. If "yes," what was the date of this approval?</i>	
2007-08-16	
<i>10. Did the Project Manager review this Exhibit?</i>	
yes	
<i>11. Project Manager Name:</i>	
<i>Project Manager Phone:</i>	
<i>Project Manager Email:</i>	

11.a. What is the current FAC-P/PM certification level of the project/program manager?
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.
yes
12.a. Will this investment include electronic assets (including computers)?
yes
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
13. Does this investment directly support one of the PMA initiatives?
yes
If yes, select the initiatives that apply:
Expanded E-Government
Financial Performance
13.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?)
ASAP expands use of Internet providing online payment and electronic certification of payment data for Federal grantors and grantees. It streamlines administration of payment processes using e-business and cash mgmt functionalities to improve financial performance. ASAP uses e-authentication to securely disburse funds and requires DUNS to participate in e-Grants initiatives. ASAP is a collaborative project that includes agencies, governments (state, local, tribal) and driven by citizen needs.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?
yes
14.a. If yes, does this investment address a weakness found during the PART review?
no
14.b. If yes, what is the name of the PARTed program?
Financial Management Service Payments
14.c. If yes, what rating did the PART receive?
Effective
15. Is this investment for information technology?
yes
16. What is the level of the IT Project (per CIO Council's PM Guidance)?
Level 3
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)
(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as high risk on the Q4 - FY 2007 agency high risk report (per OMB memorandum M-05-23)?
yes
19. Is this a financial management system?
yes
19.a. If yes, does this investment address a FFMA compliance area?
yes
19.a.1. If yes, which compliance area:
Financial Systems Requirements, Accounting Standards, and Standard General Ledger at the Transaction Level
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 A11 section 52.

Automated Standard Application for Payments - ASAP

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

<b>Hardware</b>	0
<b>Software</b>	0
<b>Services</b>	80
<b>Other</b>	20

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

22. Contact information of individual responsible for privacy related questions.

Name

Phone Number

Title

Email

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

yes

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

no

**SUMMARY OF SPEND**

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.

All amounts represent Budget Authority

	<b>PY-1 &amp; Earlier</b>	<b>PY</b>	<b>CY</b>
	<b>-2006</b>	<b>2007</b>	<b>2008</b>
<b>Planning Budgetary Resources</b>	3.129	0.706	0.981
<b>Acquisition Budgetary Resources</b>	17.505	3.381	4.213
<b>Maintenance Budgetary Resources</b>	8.023	6.596	7.671
<b>Government FTE Cost</b>	8.050	2.066	2.034
<b># of FTEs</b>	102	24	23

Note: For the cross-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?

no

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes.

N/A

**PERFORMANCE**

*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 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](http://www.egov.gov). The table can be extended to include performance measures for years beyond FY 2009.*

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2007	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Payments	Maintain percentage of ASAP EFT payments made accurately (i.e., as directed by Federal agency and payment recipient) and on time (i.e., based on requested settlement date)	100% of Federal Agency (FA) approved ASAP EFT payments made accurately and on-time	Maintain 100% accuracy and timeliness	100% accurate and timely payments made through 4th Quarter 2007
2	2007	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Percent of ASAP Help Desk calls from the call queuing system responded to timely.	85% of Help Desk calls in the call queuing systems were answered within 60 seconds in FY 06.	Answer at least 90% of Help Desk calls in the call queuing system within 60 seconds.	84% of calls we answered within 60 seconds in 1st Quarter, 93% in 2nd the quarter, 93% in the 3rd quarter and 93% in the 4th quarter. The annual rate was 90.23% answered within 60 seconds.
3	2007	Manage the U.S.	Processes and Activities	Savings and Cost Avoidance	Achieve FMS FTE salary	\$0 Cost Savings	Planned FTE cost savings of	\$5,245 cost

		Government's Finances Effectively			savings through automation of Recipient Organization enrollment. Recipient Organization enrollment will move from an internal manual process to an external self-enrollment process using the Internet.	at the end of FY 2006.	\$19,100	savings achieved through 1st Quarter 2007, \$16,446 cost savings achieved through 2nd Quarter 2007, \$19,214 cost savings achieved through 3rd Quarter 2007, \$22,322 cost savings achieved through 4th Quarter 2007.
4	2007	Manage the U.S. Government's Finances Effectively	Technology	Availability	Maintain percentage of system availability to users (M-F, 08:00 - 23:59 Eastern Time)	System 100% available to users.	Maintain 100% system availability.	System available 99.9% of the time through 4th Quarter 2007.
5	2008	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Payments	Maintain percentage of ASAP EFT payments made accurately (i.e., as directed by Federal agency and payment recipient) and on time (i.e., based on requested settlement date)	100% of FA approved ASAP EFT payments made accurately and on-time	Maintain 100% accuracy and timeliness	To be reported at the end of FY 2008
6	2008	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Percent of ASAP Help Desk calls from the call queuing system responded to timely.	90% of Help Desk calls in the call queuing systems were answered within 60 seconds in FY 07.	Answer at least 90% of Help Desk calls in the call queuing system within 60 seconds.	To be reported at the end of FY 2008

7	2008	Manage the U.S. Government's Finances Effectively	Processes and Activities	Savings and Cost Avoidance	Achieve FMS FTE salary savings through automation of Recipient Organization enrollment. Recipient Organization enrollment will move from an internal manual process to an external self-enrollment process using the Internet.	\$22,322 cost savings in FY2007	Planned FTE cost savings of \$24,701.	To be reported at the end of FY 2008
8	2008	Manage the U.S. Government's Finances Effectively	Technology	Availability	Maintain percentage of system availability to users (M-F, 08:00 - 23:59 Eastern Time)	System 99% available to users in FY2007.	Maintain 100% system availability.	To be reported at the end of FY 2008
9	2009	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Payments	Maintain percentage of ASAP EFT payments made accurately (i.e., as directed by Federal agency and payment recipient) and on time (i.e., based on requested settlement date)	100% of FA approved ASAP EFT payments made accurately and on-time	Maintain 100% accuracy and timeliness	To be reported at the end of FY 2009
10	2009	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Percent of ASAP Help Desk calls from the call queuing system responded to timely.	90% of Help Desk calls in the call queuing systems were answered within 60 seconds in FY 07.	Answer at least 90% of Help Desk calls in the call queuing system within 60 seconds.	To be reported at the end of FY 2009
11	2009	Manage the U.S. Government's Finances Effectively	Processes and Activities	Savings and Cost Avoidance	Achieve FMS FTE salary savings through automation of Recipient Organization enrollment. Recipient Organization enrollment will move from an	\$24,701 cost savings	Planned FTE cost savings of \$25,559.	To be reported at the end of FY 2009

					internal manual process to an external self-enrollment process using the Internet.			
12	2009	Manage the U.S. Government's Finances Effectively	Technology	Availability	Maintain percentage of system availability to users (M-F, 08:00 - 23:59 Eastern Time)	System 100% available to users.	Maintain 100% system availability.	To be reported at the end of FY 2009
13	2010	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Payments	Maintain percentage of ASAP EFT payments made accurately (i.e., as directed by Federal agency and payment recipient) and on time (i.e., based on requested settlement date)	100% of FA approved ASAP EFT payments made accurately and on-time	Maintain 100% accuracy and timeliness	To be reported at the end of FY 2010
14	2010	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Percent of ASAP Help Desk calls from the call queuing system responded to timely.	90% of Help Desk calls in the call queuing systems were answered within 60 seconds in FY 07.	Answer at least 90% of Help Desk calls in the call queuing system within 60 seconds.	To be reported at the end of FY 2010
15	2010	Manage the U.S. Government's Finances Effectively	Processes and Activities	Savings and Cost Avoidance	Achieve FMS FTE salary savings through automation of Recipient Organization enrollment. Recipient Organization enrollment will move from an internal manual process to an external self-enrollment process using the Internet.	\$25,559 cost savings	Planned FTE cost savings of \$26,449.	To be reported at the end of FY 2010
16	2010	Manage the U.S. Government's Finances Effectively	Technology	Availability	Maintain percentage of system availability to users (M-F, 08:00 - 23:59	System 100% available to users.	Maintain 100% system availability.	To be reported at the end of FY 2010

					Eastern Time)			
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**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.

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

yes

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

yes

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

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3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?

yes

3.a. If yes, provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

Central Fiscal Operations Segment Architecture Roadmap (FMS)

4. 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/>.

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.

Reused Name and UPI: 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.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	TWAI/FRIT - ASAP Payment Transfer		Data Management	Data Exchange	Data Exchange	015-00-02-00-01-1070-00	Internal	1
2	FRIT - ASAP Database Management		Data Management	Data Recovery	Data Recovery		External	2
3	TWAI/FRIT - ASAP Data Persistence		Data Management	Data Warehouse	Data Warehouse	015-00-02-00-01-1070-00	Internal	4
4	TWAI/FRIT- ASAP Web interface to Mainframe Database		Development and Integration	Data Integration	Data Integration	015-00-02-00-01-1070-00	Internal	2
5	TWAI/FRIT -	ASAP has integrated	Development	Legacy	Legacy	015-00-	Internal	3



	Enterprise Application Integration	the legacy mainframe for payment service functions.	and Integration	Integration	Integration	02-00-01-1070-00		
6	TWAI - Development Environment		Development and Integration	Software Development	Software Development	015-00-02-00-01-1070-00	Internal	3
7	TWAI - Support and Security Services	ASAP contains multiple internal controls such as identification and authentication, logical access controls, public access controls, and audit trails.	Financial Management	Internal Controls	Internal Controls	015-00-02-00-01-1070-00	Internal	1
8	FRIT - Payment/Settlement	ASAP provides a mechanism by which grant recipients can make payment requests in a secure fashion.	Financial Management	Payment / Settlement	Payment / Settlement		External	4
9	Change Management	ASAP follows the change management process outlined in the CM Plan. Tools used : Telelogic's CM Synergy/Change Synergy and Remedy.	Management of Processes	Change Management			No Reuse	2
10	ASAP Configuration Management		Management of Processes	Configuration Management			No Reuse	2
11	Governance Policy Management	ASAP follows all required IT Governance Policies promoting sound management of IT investments using an integrated, structured approach as outlined in the Office of Management and Budget (OMB) and Department of the Treasury guidelines.	Management of Processes	Governance / Policy Management			No Reuse	2
12	Program/Project Management	The ASAP project is well managed by a highly qualified (PMP certified, MBA, Six Sigma Certified, etc.) Integrated Project Team	Management of Processes	Program / Project Management			No Reuse	4
13	Quality/Test Management	The quality of work performed is measured utilizing the reports generated from the	Management of Processes	Quality Management			No Reuse	5

		Change Synergy and Quality Center tools.						
14	Risk Management	ASAP tracks risks related to the project. ASAP risk documents can be found in the ASAP project library.	Management of Processes	Risk Management			No Reuse	1
15	Online Help	ASAP provides customer initiated assistance via an electronic interface.	Customer Initiated Assistance	Online Help			No Reuse	0
16	Online Tutorials	ASAP provides an electronic/interactive interface to educate and assist customers.	Customer Initiated Assistance	Online Tutorials			No Reuse	1
17	ASAP Enrollment	ASAP allows for users to self enroll.	Customer Initiated Assistance	Reservations / Registration			No Reuse	11
18	Issue Tracking	ASAP tracks issues related to the project. ASAP issue documents can be found in the ASAP project library.	Systems Management	Issue Tracking			No Reuse	1
19	ASAP Alerts and Notifications	ASAP provides customers with broadcast messages and online notifications when critical transactions have been processed or system anticipated and unanticipated changes occur.	Customer Preferences	Alerts and Notifications			No Reuse	3
20	Call Center Management	ASAP has multiple resources dedicated to managing a help desk call center for users.	Customer Relationship Management	Call Center Management			No Reuse	16
21	Contact and Profile Management	ASAP provides management functions for Recipient Organization and Financial Institution contact and profile information	Customer Relationship Management	Contact and Profile Management			No Reuse	2
22	Customer/Account Management	ASAP contains an entire module dedicated to establishing, maintaining, and controlling Recipient Accounts	Customer Relationship Management	Customer / Account Management			No Reuse	5
23	Customer Feedback	ASAP supports customer/user	Customer Relationship	Customer Feedback			No Reuse	2

		meetings and ASAP Customer Board feedback via onsite, telephone, and video conferencing.	Management					
24	Surveys	Surveys on usage and desired functionality are usually conducted at customer/user meetings and ASAP Customer Board meetings via onsite, conference calls, and video conferencing.	Customer Relationship Management	Surveys			No Reuse	0
25	TWAI -ASAP Email	ASAP sends an e-mail to users as a notification of a pending transaction that requires immediate attention.	Collaboration	Email	Email	015-00-02-00-01-1070-00	Internal	1
26	Certification and Accreditation	ASAP complies with FISMA requirements for certification and accreditation.	Security Management	Certification and Accreditation			No Reuse	3
27	Voice Communication	ASAP contains tutorials with audio features for improved instruction.	Communication	Voice Communications			No Reuse	1
28	TWAI - Cryptography	ASAP uses encryption to enforce confidentiality of Sensitive But Unclassified financial data.	Security Management	Cryptography	Cryptography	015-00-02-00-01-1070-00	Internal	2
29	TWAI - Fiscal Service Certificate Authority	ASAP uses digital signatures to enforce non-repudiation and to trace ownership of ASAP account funding to the individual who conducted the funding transaction.	Security Management	Digital Signature Management	Digital Signature Management	015-00-02-00-01-1070-00	Internal	5
30	Voice Communication	ASAP provides limited functionality (like initiating payments, etc) via the Voice Response system.	Communication	Voice Communications			No Reuse	2

5. 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.*


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

yes

6.a. If yes, please describe.

The ASAP application will leverage existing components and applications across the Government. One component that ASAP currently leverages is the Treasury Web Application Infrastructure (TWA). The TWA is an environment that is managed by FMS and hosts a number of FMS applications. A portion of ASAP resides on TWA components including various servers and other hardware and software. This sharing of components lowers IT costs for FMS and allows ASAP to rely on FMS and Federal Reserve Bank resource experts for service. One of ASAP's future milestones is to interface with the Shared Accounting Module (SAM) application. This application is a repository of all valid Agency Location Codes (ALCs). The future milestone will allow ASAP to leverage the SAM application in order to retrieve ALC information as it relates to new Federal program agencies. Another of ASAP's future milestones is to interface with the FedDebt application. This application reviews payment data in order to determine whether payments should be offset due to delinquent Federal debt. The future milestone will allow ASAP to leverage the FedDebt application in order to allow for the offset of payments made to individuals. ASAP is also scheduled to leverage the Treasury Cash Management System (TCMS) for the reporting of transaction data, in the future.

## PART TWO

### RISK

*You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop 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.*

*Answer the following questions to describe how you are managing investment risks.*

1. Does the investment have a Risk Management Plan?

yes

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

2007-03-31

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

yes

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

ASAP's Risk Management Plan (RMP) has undergone significant form and content changes since the BY08 submission to OMB. As for form, the RMP now defines how risks are analyzed: with qualitative and quantitative measures. The RMP defines the various responses that are available per risk and also describes how risks will be monitored and controlled. A formal risk register is described and included in the new RMP, and a list of meaningful acronyms and definitions is included as well. ASAP's RPM includes a formal Risk Register. It is the primary tool used to capture, assess, and monitor risks that have been identified by members of the ASAP team. The proper use of the Risk Register is vital to the ASAP project as its proper use ensures that the risks are managed in accordance with the agreed-upon strategy. Nineteen risk categories are included in the Risk Register and each of the risk categories has been updated to illustrate pertinent risk(s). Since last year's submission, the most significant change to the risk categories are that two new schedule risks have been added that have a severity level of '9', which is the highest severity level for a risk category. The first of these new schedule risks is that a large subset of ASAP users have been provisioned in such a way as to jeopardize their ability to use PKI (digital signatures) by the required time designated for roll-out. ASAP's response plan is to work closely with all associated entities to re-provision the affected users so that they can use this functionality according to schedule. The second of these new schedule risks is that the Rapid Application Development (RAD) software development methodology is being used for the first time. It will be used to develop ASAP Release 5.0 with the first phase beginning in May 2007. As the ASAP development team begins using this new software development methodology, the response plan is to work closely with FMS RAD staff to ensure against schedule slippage, scope creep, or excessive cost variance. Another change from last year's submission worth noting is the scope, schedule, and cost risks associated with the Department of Housing

and Urban Development's conversion to ASAP for their grant payments. The baseline includes two milestones dedicated to this effort. Given the recent decision by the Dept of Education to not convert to ASAP, we feel that it is only prudent to include these risks as they may severely affect the baseline if they come to fruition.

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

The ASAP investment properly manages and controls risks associated with cost estimation and scheduling. The Summary of Spending or planned life cycle costs for the ASAP investment are risk adjusted. The risk adjustment percentages were derived through a comprehensive analysis, conducted by appropriate stakeholders, and addressed 11 primary risks and 8 IT project risks as tracked in the project's risk register (see attached documents) and reported in previous E-300 reporting. An additional risk component for "market risk" was also added. Additional factors related to a SWOT analysis were also considered to take into account the levels of risk associated with the external changing landscape of the Federal grants payment line of business, as well as other internal factors associated with software development and maintenance efforts. Investment risks are reflected in the schedule through incorporating flexibility into the start and end dates of each milestone as well as through adopting the Rapid Application Design (RAD) IT development methodology. RAD consists of six distinct phases and promotes an absolute 120 business-day time box that is sacrosanct. By building flexibility into the schedule, it enables ASAP to adjust the critical start and end dates of tasks required to support the DME milestone. This strategy allows satisfactory time for any preliminary research required before the first RAD phase as well as slack time during the Deploy phase for FISMA testing and control management procedures required prior to implementation. Risk adjustments for life cycle costs and schedule variances lessened the impact of uncertainties and contribute to reporting tolerable cost and schedule variances as ASAP has done and will continue to do.

### **COST & SCHEDULE**

*1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?*

yes

*2. Is the CV% or SV% greater than  $\hat{A} \pm 10\%$ ?*

no

*3. Has the investment re-baselined during the past fiscal year?*

yes

*3.a. If yes, when was it approved by the agency head?*

2007-06-21