

PBGC – Consolidated Financial Systems (CFS)

[redacted]
Agency: 012

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: **Sep 8, 2008**
2. Agency: **012**
3. Bureau: **12**
4. Name of this Capital Asset: **PBGC – Consolidated Financial Systems (CFS)**
5. Unique Project (Investment) Identifier: **012-12-01-01-01-2075-00**
6. What kind of investment will this be in FY2010? **Operations and Maintenance**
7. What was the first budget year this investment was submitted to OMB? **FY2004**
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: **On October 1 2006, the PBGC deployed the CFS as the PBGC-wide financial management (FM) system that integrates three logical general ledger systems; three modules (Accounts Payable, Purchasing, & Fed Admin (Funds Control)); and their related interfaces into one web-based application, also known as Oracle Federal Financials. The CFS is integral to the PBGC's operations because it helps address several performance gaps, including: (1) long-standing audit findings issued by the PBGC OIG on security, systems integration, and compliance with OMB Circular A-127, Financial Management Systems; (2) President's Management Agenda, specifically Improved Financial Performance and Budget Performance Integration; (3) PBGC's strategic goals, including providing exceptional service to customers and stakeholders and effective and efficient stewardship of PBGC resource automating required financial reports; (4) assisting the PBGC in continuing to meet accelerated financial reporting requirements and timeframes; (5) laying the foundation to upgrade outdated technology; and (6) enhancing functionality. The CFS achieves the above by providing accurate and timely financial data and improved internal controls to ensure the safety of PBGC financial assets; ensuring compliance with Federal laws and regulations; supporting the operational processes, procedures and systems to handle variable workloads and reduce costs. Further modernization is needed to upgrade and integrate systems that account for the investments of terminated pension plan assets; and integrate solutions for stand-alone systems, such as for travel and procurement, SPS, and pension plan data. These efforts are on hold pending**

the completion of a FM segment architecture (FMSA). The FMSA is a joint effort between the Financial Operations Department and Office of Information Technology. The scope includes all PBGC financial management systems. The FMSA's intent is to employ a structured methodology to develop segment architectures that will lead to identifying and planning financial technology recommendations for implementation and alternatives analysis for business cases. The FMSA began in August 2008 and is scheduled for completion during FY 2009. After the FMSA is completed, PBGC management believes it will be in a better position to make strong business cases to support future IT investments for its financial management systems.

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

a. If "yes," what was the date of this approval? **Aug 1, 2008**

10. Did the Project Manager review this Exhibit? **yes**

11. Contact information of Program/Project Manager?

Name **David Trumble**

Phone Number **202-326-4000 [redacted]**

E-mail **trumble.david@pbgc.gov**

a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager? **Waiver Issued**

b. When was the Program/Project Manager Assigned? **Jan 31, 2007**

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? **Sep 30, 2009**

12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project. **no**

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) **no**

1. If "yes," is an ESPC or UESC being used to help fund this investment? **[Not answered]**

2. If "yes," will this investment meet sustainable design principles? **[Not answered]**

3. If "yes," is it designed to be 30% more energy efficient than relevant code? **[Not answered]**

13. Does this investment directly support one of the PMA initiatives? **yes**

**Budget Performance Integration
Financial Performance**

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? **Budget and Performance Integration: CFS**

provides improved reporting of resources used and provides accountability for results to the program managers. Financial Performance: CFS supports improved financial performance through timely and accurate reporting of administrative and programmatic functions and through improved capabilities to achieve clean audit opinions by increasing: financial integrity/auditability, error reduction, strength of internal control, and web-based technology.

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? **yes**
 - b. If "yes," what is the name of the PARTed program? **10002382 - Pension Benefit Guaranty Corporation**
 - c. If "yes," what rating did the PART receive? **Moderately Effective**
15. Is this investment for information technology? **yes**

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) **Level 2**
17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(1) Project manager has been validated as qualified for this investment**
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)? **no**
19. Is this a financial management system? **yes**
- a. If "yes," does this investment address a FFMIA compliance area? **yes**
 - 1. If "yes," which compliance area: **Financial Systems Integration per OMB Circular A-127, Financial Management Systems**
 - 2. If "no," what does it address? **[Not answered]**
 - 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 **Consolidated Financial Systems (CFS) Retiring Systems – Performance Accounting (PA); Trust Plan Ledger (TPL); & Financial Reporting System (FRS)**
20. What is the percentage breakout for the total FY2010 funding request for the following?

Hardware	0
Software	0
Services	100
Other	0

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**

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

Name	Philip Hertz
Phone Number	202-326-4000 [redacted]
Title	Assistant General Counsel
E-mail	hertz.philip@pbgc.gov

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**

Section B: Summary of Spending

1.

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:	0.6	0	0.2	0	0	0	0	0	1
Acquisition:	10.6	0	0	0	0	0	0	0	10.6
Subtotal Planning & Acquisition:	11.2	0	0.2	0	0	0	0	0	11.6
Operations & Maintenance:	4.318	2.27	2.29	2.49	2.29	2.29	2.29	2.29	20.328
TOTAL:	15.518	2.27	2.49	2.49	2.29	2.29	2.29	2.29	31.928
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.162	0.043	0.36	0.351	0.042	0.042	0.042	0.042	1.084
Number of FTE represented by Costs:	1	0	3	2	0	0	0	0	6

2. Will this project require the agency to hire additional FTE's? **no**

a. If "yes", How many and in what year? **[Not answered]**

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes: **Planning & Acquisition – Most of the \$8.4 million decrease relates to funding for anticipated projects included in last year's Exhibit 300 that has been removed in this Exhibit 300 including: (1) TIGER, a Business Process Reengineering effort that planned to integrate the PBGC's stand-alone Trust Accounting System and the Portfolio Accounting Manager to account for investments of terminated defined benefit pension plans and (2) efforts to fully integrate remaining stand-alone systems. All CFS DM&E has been put on hold pending the FMSA and resulting alternatives analysis, as discussed in the Overview. Any budgeted DM&E is being used for DM&E efforts related to the Premium Accounting Investment. Operations & Maintenance – The \$3.528 increase in Operations & Maintenance costs represents a more accurate estimate of these costs after the first year of deployment. Government FTE costs – The \$2.181 million decrease is related to the reduction in FTE and DM&E costs. The PBGC recognizes the need to manage the projects more closely to avoid cost overruns and schedule delays by implementing more aggressive and recurring risk management; more accurate independent government estimates to evaluate contractor**

proposals; EVM for early warnings of cost/schedule delays; and use of performance based contracts, where possible. The PBGC would also like to point out that this investment includes costing estimates and milestones to modernize the investment's systems and refresh the infrastructure. Under separate investments, PBGC is upgrading and standardizing its infrastructure including key decisions relating to PBGC's hardware, software, licensing, servers, communications, networking devices, storage, etc. This investment's modernization and refresh activities include all services needed to migrate to PBGC's to-be infrastructure obtained and maintained through separate investments

Section C: Acquisition/Contract Strategy

Contracts/Task Orders Table:	
Contract or Task Order Number	CT-05-0746
Type of Contract/Task Order (In accordance with FAR Part 16)	Time & Materials
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 30, 2005
Start date of Contract/Task Order	Oct 1, 2005
End date of Contract/Task Order	Sep 30, 2010
Total Value of Contract/ Task Order (\$M)	19.762
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Greg Smith
CO Contact information (phone/email)	202-326-4000 [redacted] smith.greg@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CT -04-0691
Type of Contract/Task Order (In accordance with FAR Part 16)	Labor Hour
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 30, 2004
Start date of Contract/Task Order	Oct 1, 2004
End date of Contract/Task Order	Mar 31, 2009
Total Value of Contract/ Task Order (\$M)	3.006
Is this an Interagency Acquisition?	no
Is it performance based?	No
Competitively awarded?	Yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Mary Brewin
CO Contact information (phone/email)	202-326-4000 [redacted] Brewin.Mary@PBGC.Gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	Proposed Contract - Follow-on support for CFS
Type of Contract/Task Order (In accordance with FAR Part 16)	Labor Hours
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Feb 28, 2009
Start date of Contract/Task Order	Mar 1, 2009
End date of Contract/Task Order	Sep 30, 2014
Total Value of Contract/ Task Order (\$M)	[redacted]
Is this an Interagency Acquisition?	no
Is it performance based?	yes
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Mary Brewin
CO Contact information (phone/email)	202-326-4000 [redacted] Brewin.Mary@PBGC.Gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	Proposed Contract - Follow-on support for CFS
Type of Contract/Task Order (In accordance with FAR Part 16)	Time & Material
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Aug 31, 2010
Start date of Contract/Task Order	Sep 1, 2010
End date of Contract/Task Order	Sep 30, 2014
Total Value of Contract/ Task Order (\$M)	[redacted]
Is this an Interagency Acquisition?	no
Is it performance based?	Yes
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Greg Smith
CO Contact information (phone/email)	202-326-4000 [redacted] smith.greg@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: **Contract CT-05-0746 was negotiated in a competitive procurement. The contract has several components, including a: Firm Fixed Price component for delivery of the General Ledger and O&M and labor hour component for development of the Reports and the Purchasing module. EVM was tracked for Stages II and V involving development of the reports and the purchasing module. For CT-04-0691, steady state projects are not required to track and report EVM according to the criteria set forth by the PMO for reporting EVM. PBGC's project manager does manage cost, schedule, and performance on this contract by assessing progress reports using invoice tracking, and performing on-site observations against project schedules and proposal milestones as documented in MS Project Plan and Excel budgeting spreadsheets. Also, future proposed CFS contracts will include EVM requirements.**
2. Do the contracts ensure Section 508 compliance? **yes**
 - a. Explain why not or how this is being done? **PBGC addresses Section 508 compliance in two ways. It is a mandatory requirement enforced by the PBGC's Contracting Officer for all IT related procurements. PBGC's ITSLCM also requires the Infrastructure Administration group to conduct 508 compliance reviews on all new systems before implementation. Any new financial software must have an application interface that complies with the software application standards in Section 508 of the Rehabilitation Act as detailed in 36 CFR 1194, Subpart B.**
3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? **yes**
 - a. If "yes," what is the date? **Aug 8, 2008**
 1. Is it Current? **yes**
 - b. If "no," will an acquisition plan be developed? **[Not answered]**
 1. If "no," briefly explain why: **[Not answered]**

Section D: Performance Information

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	Maintain an unqualified opinion	Q1 FY2009
2008	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	91% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2009
2008	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	86% of internal travel vouchers paid within 30 calendar days	5% improvement over baseline	Q1 FY2009
2008	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	FY 2006 baseline on financial systems	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year.	Q1 FY2009
2009	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	Maintain an unqualified opinion	Q1 FY2010
2009	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	92% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2010
2009	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	91% of internal travel vouchers paid within 30 calendar days	3% improvement over baseline	Q1 FY2010
2009	Effective and	Technology	Operations and	% over or under	Baseline will	Maintain	Q1 FY2010

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Efficient Stewardship of PBGC Resources		Maintenance Costs	O&M baseline budget	be determined by prior year results	baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	
2010	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	Maintain an unqualified opinion	Q1 FY2011
2010	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	93% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2011
2010	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	94% of internal travel vouchers paid within 30 calendar days	1% improvement over baseline	Q1 FY2011
2010	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	Baseline will be determined by prior year results	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	Q1 FY2011
2011	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	Maintain an unqualified opinion	Q1 FY2012
2011	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	94% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2012
2011	Effective and Efficient	Processes and Activities	Productivity	% of internal travel vouchers	95% of internal	1% improvement	Q1 FY2012

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Stewardship of PBGC Resources			paid within 30 calendar days	travel vouchers paid within 30 calendar days	t over baseline	
2011	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	Baseline will be determined by prior year results	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	Q1 FY2012
2012	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	Maintain an unqualified opinion	Q1 FY2013
2012	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	95% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2013
2012	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	96% of internal travel vouchers paid within 30 calendar days	1% improvement over baseline	Q1 FY2013
2012	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	Baseline will be determined by prior year results	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	Q1 FY2013
2013	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	an unqualified opinion	Q1 FY2014
2013	Effective and Efficient	Customer Results	Timeliness	% of invoices paid within 30	96% of invoices paid	1% improvement	Q1 FY2014

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Stewardship of PBGC Resources			calendar days	within 30 calendar days of receipt	t over baseline	
2013	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	97% of internal travel vouchers paid within 30 calendar days	1% improvement over baseline	Q1 FY2014
2013	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	Baseline will be determined by prior year results	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	Q1 FY2014
2014	Effective and Efficient Stewardship of PBGC Resources	Mission and Business Results	Financial Management	Obtain an Unqualified Audit Opinion	Prior Year Unqualified Financial Audit Opinion	an unqualified opinion	Q1 FY2015
2014	Effective and Efficient Stewardship of PBGC Resources	Customer Results	Timeliness	% of invoices paid within 30 calendar days	96% of invoices paid within 30 calendar days of receipt	1% improvement over baseline	Q1 FY2015
2014	Effective and Efficient Stewardship of PBGC Resources	Processes and Activities	Productivity	% of internal travel vouchers paid within 30 calendar days	97% of internal travel vouchers paid within 30 calendar days	1% improvement over baseline	Q1 FY2015
2014	Effective and Efficient Stewardship of PBGC Resources	Technology	Operations and Maintenance Costs	% over or under O&M baseline budget	Baseline will be determined by prior year results	Maintain baseline budget for operating year – adjusted for inflation, O&M budget will rise year over year	Q1 FY2015

Section E: Security and Privacy

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment?: **yes**
 - a. If "yes," provide the "Percentage IT Security" for the budget year: **7**
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? **yes**

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 certification and accreditation (C&A) update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
<i>There are no Systems in Planning.</i>			

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date Completed: C&A	What standards were used for the Security Controls tests?	Date Completed: Security Control Testing	Date the contingency plan tested
Consolidated Financial Systems	Contractor and Government	Moderate	yes	Jun 29, 2007	FIPS 200 / NIST 800-53	Jul 31, 2008	Feb 3, 2007

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? **yes**
 - a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? **yes**
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? **no**
 - a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. **[Not answered]**
7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? **All PBGC information systems identified above are operated and managed jointly by federal employees and contractor teams reporting to PBGC federal employees. PBGC contractual requirements provide for inspection of all new or renovated contractor hosting sites. When contractor external facilities are inspected, an inspection report is produced for the contractor, which identifies security deficiencies, if any,**

associated with physical, personnel, management, and operational controls. When deficiencies are found, follow-up inspections are conducted to review the deficiencies identified in the preceding inspection to verify if progress has been made by the contractor to resolve those deficiencies. Furthermore, PBGC federal employees and contractors are subject to suitability background investigations. New federal employees and contractors are issued roles of conduct; required to take computer security awareness orientation; and provided instruction on incident reporting procedures. Annually, federal employees and contractors are required to take refresher security awareness training. Role-based training is conducted during employee position training. Role-based training is conducted by PBGC's Enterprise Security Team following orientation and annually thereafter for positions related to the Designated Approving Authority, Information System Owner, System Administrators, and Project Managers. Electronic security compliance is monitored by the OIT security team through routine checking of user ID account activity for suspicious or high-risk behavior. If such behavior is identified, the Contracting Officer is notified immediately to begin remediation procedures. PBGC also conducts user account recertification annually.

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Internet Link or Explanation	Is a System of Records Notice (SORN) required for this system?	Internet Link or Explanation
Consolidated Financial Systems	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	yes	http://www.gpoaccess.gov/privacyact/index.html
Trust Interface System (TIS)	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Portfolio Accounting Manager (PAM)	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Integrated Present Value Future Benefits System Interface	no	yes	http://www.pbgc.gov/docs/PIA-IPVFB%209-7-07.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Fiscal Year File functionality	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Payroll Interface	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Budget Interface	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Comprizon (Procurement)	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html

8. Planning & Operational Systems - Privacy Table:

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Internet Link or Explanation	Is a System of Records Notice (SORN) required for this system?	Internet Link or Explanation
Interface					
FedTraveler Interface	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	yes	http://www.gpoaccess.gov/privacyact/index.html
Invoice tracking functionality	no	yes	http://www.pbgc.gov/docs/pia-cfs.pdf	no	http://www.gpoaccess.gov/privacyact/index.html
Electronic vendor invoicing	yes	no	No, not required at this time	no	No, not required at this time

Section F: Enterprise Architecture (EA)

Is this investment included in your agency's target enterprise architecture? **yes**

a. If "no," please explain why? **[Not answered]**

1. Is this investment included in the agency's EA Transition Strategy? **yes**

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

b. If "no," please explain why? **[Not answered]**

2. Is this investment identified in a completed and approved segment architecture? **no**

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>. **[Not answered]**

4. Service Component Reference Model (SRM) Table :

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Financial Management	Auditing	[Not answered]	[Not answered]	No Reuse	46
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements,	Financial Management	Billing and Accounting	[Not answered]	[Not answered]	No Reuse	1

4. Service Component Reference Model (SRM) Table :

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
	external reports, and Fed Admin Module (Funds Control)						
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Financial Management	Expense Management	[Not answered]	[Not answered]	No Reuse	1
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Financial Management	Internal Controls	[Not answered]	[Not answered]	No Reuse	1
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated	Financial Management	Payment / Settlement	[Not answered]	[Not answered]	No Reuse	1

4. Service Component Reference Model (SRM) Table :

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
	disbursements, external reports, and Fed Admin Module (Funds Control)						
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Financial Management	Payroll	[Not answered]	[Not answered]	No Reuse	1
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Reporting	Ad Hoc	[Not answered]	[Not answered]	No Reuse	1
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module,	Reporting	Standardized / Canned	[Not answered]	[Not answered]	No Reuse	1

4. Service Component Reference Model (SRM) Table :

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
	automated disbursements, external reports, and Fed Admin Module (Funds Control)						
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Security Management	Access Control	[Not answered]	[Not answered]	No Reuse	1
Consolidated Financial Systems (CFS)	This application provides all the major facets of financial accounting CFS includes the general ledger, accounts payable module, purchase order module, automated disbursements, external reports, and Fed Admin Module (Funds Control)	Security Management	Identification and Authentication	[Not answered]	[Not answered]	No Reuse	1
Trust Ledger	Accounting system for tracking Trusted assets from Plans	Asset / Materials Management	Property / Asset Management	Data Warehouse	012-12-01-05-01-2075-00	Internal	5
Trust Ledger	Accounting system for tracking	Financial Management	Billing and Accounting	[Not answered]	[Not answered]	No Reuse	20

4. Service Component Reference Model (SRM) Table :

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
	Trusted assets from Plans						
Trust ledger	Accounting system for tracking Trusted assets from Plans	Financial Management	Internal Controls	[Not answered]	[Not answered]	No Reuse	20

5. Technical Reference Model (TRM) Table:

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	Oracle
Access Control	Component Framework	Security	Supporting Security Services	Active directory
Identification and Authentication	Component Framework	Security	Supporting Security Services	Active directory
Invoice / Requisition Tracking and Approval	Service Access and Delivery	Delivery Channels	Internet	Momentum
Payment / Settlement	Service Access and Delivery	Service Transport	Service Transport	Sterling Commerce Connect: Direct
Information Retrieval	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Procurement	Service Interface and Integration	Integration	Middleware	webMethods Integration Platform
Payroll	Service Interface and Integration	Interoperability	Data Transformation	Hyperion SQR Server
Expense Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Warehouse	Component Framework	Data Interchange	Data Exchange	XML/SOAP
Data Warehouse	Component Framework	Data Management	Database Connectivity	JDBC/ADO.NET
Data Warehouse	Component Framework	Security	Certificates / Digital Signatures	SSL
Data Warehouse	Component Framework	Security	Supporting Security Services	WS Security
Property / Asset Management	Component Framework	Data Interchange	Data Exchange	XML/SOAP

5. Technical Reference Model (TRM) Table:

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Property / Asset Management	Component Framework	Data Management	Database Connectivity	JDBC/ADO.NET
Property / Asset Management	Component Framework	Security	Certificates / Digital Signatures	SSL
Property / Asset Management	Component Framework	Security	Supporting Security Services	WS Security
Auditing	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory / Active Directory
Billing and Accounting	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory / Active Directory
Internal Controls	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory / Active Directory
Auditing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle 10gAS, .NET
Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle 10gAS, .NET
Internal Controls	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle 10gAS, .NET

6. Will the application leverage existing components and/or applications across the Government (i.e., USA.Gov, Pay.Gov, etc)? **no**
- a. If "yes," please describe. [**Not answered**]

PART III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Risk Management (All Capital Assets)

1. Does the investment have a Risk Management Plan? **yes**
 - a. If "yes," what is the date of the plan? **Jul 30, 2008**
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? **yes**
 - c. If "yes," describe any significant changes: **The PBGC recognizes the need to manage the projects more closely to avoid cost overruns and schedule delays by implementing more aggressive and recurring risk management; more accurate independent government estimates to evaluate contractor proposals; EVM for early warnings of cost/schedule delays; and use performance based contracts, where possible. The PBGC developed a Risk Management Plan (RMP) for this investment. RMP is based on industry best practice from the PMBOK® and CMMI, PBGC's ITSLCM, and guidance from PBGC's CPIC team. This process ensures comprehensive and proactive risk management throughout the project lifecycle. The specific goals of risk management for this investment are to: (1) develop a shared vision based on common purpose, shared ownership and collective commitment to success; (2) foster an atmosphere of collaboration and teamwork in which the PBGC stakeholders work cooperatively to achieve a common goal—pooling talent, skills and knowledge; (3) promote a forward-looking view where managers and team members look toward the future, identify uncertainties and anticipate potential outcomes; (4) weigh opportunity against risk and recognize both the potential value of opportunity and the potential impact of adverse effects, such as cost overrun, time delay, or failure to meet product specifications; (5) encourage open communication and the free-flow of information between all levels; (6) make risk management an integral and vital part of project management; and (7) provide the team with the tools and infrastructure to manage risks collaboratively. This year, the PBGC identified 89 risks covering the 19 OMB risk areas and five PBGC identified risk areas. Overall investment exposure was identified and the risk probability level and impact was established for each risk. Risk monitoring was also established to include several channels, such as weekly executive sponsorship status meetings; weekly project team meetings; periodic director investment review meetings; and periodic executive management committee investment review meetings.**

2. If there currently is no plan, will a plan be developed? **[Not answered]**
 - a. If "yes," what is the planned completion date? **[Not answered]**
 - b. If "no," what is the strategy for managing the risks? **[Not answered]**

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

1. Was operational analysis conducted? **yes**
 - a. If "yes," provide the date the analysis was completed. **Aug 8, 2008**
 - b. If "yes," what were the results? **The CFS is integral to the PBGC's operations because it helps address several performance gaps, including: (1) long-standing audit findings issued by the PBGC OIG on security, systems integration, and compliance with OMB Circular A-127, Financial Management Systems; (2) President's Management Agenda, specifically Improved Financial Performance and Budget Performance Integration; (3) PBGC's strategic goals, including providing exceptional service to customers and stakeholders and effective and efficient stewardship of PBGC resource automating required financial reports; (4) assisting the PBGC in continuing to meet accelerated financial reporting requirements and timeframes; (5) laying the foundation to upgrade outdated technology; (6) enhancing functionality; and (7) reducing life cycle costs for a savings of approximately \$2.25 million. The CFS achieves the above by providing accurate and timely financial data and improved internal controls to ensure the safety of PBGC financial assets; ensuring compliance with Federal laws and regulations; supporting the operational processes, procedures and systems to handle variable workloads and reduce costs. Further modernization is needed to upgrade and integrate systems that account for the investments of terminated pension plan assets; and integrate solutions for stand-alone systems, for travel; procurement; SPS and pension plan data. These efforts are on hold pending the completion of a FMSA. The FMSA is a joint effort between the Financial Operations Department and Office of Information Technology. The scope includes all PBGC financial management systems. The FMSA's intent is to employ a structured methodology to develop segment architectures that will lead to identifying and planning financial technology recommendations for implementation and alternatives analysis for business cases. The FMSA began in August 2008 and is scheduled for completion during FY 2009. After the FMSA is completed, PBGC management believes it will be in a better position to make strong business cases to support future IT investments for its financial management systems, as discussed in Part 1, Question 8.**
 - c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: **[Not answered]**
2.
 - a. **What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor Only**

2. b Comparison of Plan vs. Actual Performance Table:								
Description of Milestone	Planned		Actual				Variance	
	Planned Completion Date	Total Cost (\$M) Estimated	Completion Date Planned: Actual		Total Cost (\$M) Planned: Actual		Schedule: Cost (# days: \$M)	
FY2007 & Prior CFS Planning	Sep 30, 2007	0.56	Sep 30, 2007	0.56	0	0	FY2007 & Prior CFS Planning	Sep 30, 2007
FY2007 & Prior CFS DME Acquisition	Sep 30, 2007	9.907	Sep 30, 2007	9.907	0	0	FY2007 & Prior CFS DME Acquisition	Sep 30, 2007
FY2007 & Prior CFS O&M	Sep 30, 2007	4.04	Sep 30, 2007	3.93	0	0.11	FY2007 & Prior CFS O&M	Sep 30, 2007
FY2007 & Prior CFS Security Activities	Sep 30, 2007	1.02	Sep 30, 2007	1.01	0	0.01	FY2007 & Prior CFS Security Activities	Sep 30, 2007
FY2007 & Prior CFS Program Management (FTE Cost)	Sep 30, 2007	0.162	Sep 30, 2007	1.125	0	-0.963	FY2007 & Prior CFS Program Management (FTE Cost)	Sep 30, 2007
FY2008 Planning	Sep 30, 2008	0.8	Sep 30, 2008	0	0	0	FY2008 Planning	Sep 30, 2008
FY2008 DME Acquisition	Sep 30, 2008	2.5	Sep 30, 2008	0	0	-0.022	FY2008 DME Acquisition	Sep 30, 2008
FY2008 CFS O&M	Sep 30, 2008	2.1	Sep 30, 2008	2.122	0	0	FY2008 CFS O&M	Sep 30, 2008
FY2008 CFS Security Activities	Sep 30, 2008	0.147	Sep 30, 2008	0	0	0	FY2008 CFS Security Activities	Sep 30, 2008
FY2008 PBGC CFS Program Management	Sep 30, 2008	0.043	Sep 30, 2008	0.3	0	-0.257	FY2008 PBGC CFS Program Management	Sep 30, 2008
FY2009 Planning	Sep 30, 2009	0.2	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2009 Planning	Sep 30, 2009
FY2009 PBGC CFS Program Management (FTE)	Sep 30, 2009	0.361	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2009 PBGC CFS Program Management (FTE)	Sep 30, 2009
FY2009 O&M	Sep 30, 2009	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2009 O&M	Sep 30, 2009
FY2009 O&M Security	Sep 30, 2009	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2009 O&M Security	Sep 30, 2009

2. b Comparison of Plan vs. Actual Performance Table:								
Description of Milestone	Planned		Actual				Variance	
	Planned Completion Date	Total Cost (\$M) Estimated	Completion Date Planned: Actual		Total Cost (\$M) Planned: Actual		Schedule: Cost (# days: \$M)	
FY2010 Planning	Sep 30, 2010	0.2	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2010 Planning	Sep 30, 2010
FY2010 PBGC CFS Program Management (FTE)	Sep 30, 2010	0.351	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2010 PBGC CFS Program Management (FTE)	Sep 30, 2010
FY2010 O&M	Sep 30, 2010	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2010 O&M	Sep 30, 2010
FY2010 O&M Security	Sep 30, 2010	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2010 O&M Security	Sep 30, 2010
FY2011 PBGC CFS Program Management (FTE)	Sep 30, 2011	0.042	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2011 PBGC CFS Program Management (FTE)	Sep 30, 2011
FY2011 O&M	Sep 30, 2011	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2011 O&M	Sep 30, 2011
FY2011 O&M Security	Sep 30, 2011	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2011 O&M Security	Sep 30, 2011
FY2012 PBGC CFS Program Management (FTE)	Sep 30, 2012	0.042	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2012 PBGC CFS Program Management (FTE)	Sep 30, 2012
FY2012 O&M	Sep 30, 2012	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2012 O&M	Sep 30, 2012
FY2012 O&M Security	Sep 30, 2012	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2012 O&M Security	Sep 30, 2012
FY2013 PBGC CFS Program Management (FTE)	Sep 30, 2013	0.042	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2013 PBGC CFS Program Management (FTE)	Sep 30, 2013
FY2013 O&M	Sep 30, 2013	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2013 O&M	Sep 30, 2013
FY2013 O&M Security	Sep 30, 2013	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2013 O&M Security	Sep 30, 2013
FY2014 PBGC CFS Program Management (FTE)	Sep 30, 2014	0.043	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2014 PBGC CFS Program Management (FTE)	Sep 30, 2014
FY2014 O&M	Sep 30, 2014	2.152	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2014 O&M	Sep 30, 2014

2. b Comparison of Plan vs. Actual Performance Table:								
Description of Milestone	Planned		Actual				Variance	
	Planned Completion Date	Total Cost (\$M) Estimated	Completion Date Planned: Actual		Total Cost (\$M) Planned: Actual		Schedule: Cost (# days: \$M)	
FY2014 O&M Security	Sep 30, 2014	0.138	[Not answered]	[Not answered]	[Not answered]	[Not answered]	FY2014 O&M Security	Sep 30, 2014

