

# **CIRCULAR NO. A-11**

## **PART 7**

# **PLANNING, BUDGETING, ACQUISITION, AND MANAGEMENT OF CAPITAL ASSETS**



**EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
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**SECTION 300—PLANNING, BUDGETING, ACQUISITION, AND MANAGEMENT OF CAPITAL ASSETS**

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Ex-300 Capital Asset Plan and Business Case Summary

**Summary of Changes**

Updates requirement to identify certification levels via the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) (section [300.4](#)) ([Ex 300, Part I, Sec A. 11](#)).

Clarifies the distinction between funding contributions and reimbursements (section [300.4](#)).

Updates requirements for performance-based acquisitions (section [300.4](#)).

Clarifies requirements for a multi-agency collaboration exhibit 300 (section [300.7](#)).

Updates PARTed program identification with selectable options ([Ex 300, Part I, Sec A. 14b](#)).

Changes to questions for section 508 compliance and acquisition plan status ([Ex 300, Part I, Sec C](#)).

Changes to questions for alternative analysis for breakeven and Federal quantitative benefits ([Ex 300 Part II, Sec A and Ex 300 Part IV, Sec A](#))

Adds table for Federal quantitative benefits for all investment required to complete PART II ([Ex 300 Part II, Sec A](#)).

Clarifies that fee-for-service reimbursements for shared service providers are to be included in Partner Funding Strategies Table ([Ex 300 Part IV, Sec A. 3](#)).

**300.1 What is the purpose of the section?**

Part 7 (section 300) of the Circular establishes policy for planning, budgeting, acquisition and management of Federal capital assets, and instructs you on budget justification and reporting requirements for major information technology (IT) investments and for major non IT capital assets. OMB provides procedural and analytic guidelines for implementing specific aspects of these policies as appendices and supplements to this Circular and in other OMB circulars. For IT, section 300 is a companion section to section [53](#).

For non IT capital assets contact your Resource Management Offices (RMOs) at OMB to determine if any additional budget justification and reporting requirements in addition to those outlined here.

### 300.2 Does the section apply to me?

The policy and budget justification and reporting requirements in this section apply to all agencies of the Executive Branch of the Government subject to Executive Branch review (see section [25](#)). An exhibit 300 must be submitted for all major investments in accordance with this section. Major IT investments also must be reported on your agency's exhibit 53 (see section [53](#)) and be consistent with what is reported in section 51.3.

### 300.3 What background information must I know?

The Federal Government must effectively manage its portfolio of capital assets to ensure scarce public resources are wisely invested. Capital programming integrates the planning, acquisition and management of capital assets into the budget decision-making process, and is intended to assist agencies in improving asset management and in complying with the results-oriented requirements of:

- The Energy Policy Act of 2005, Section 109, which requires that sustainable design principles are applied to the siting, design and construction of all new and replacement buildings and that new federal buildings be designed to achieve energy consumption levels that are at least 30 percent below the levels established in the 2004 International Energy Conservation Code for residential buildings or the ASHRAE Standard 90.1-2004 for non-residential buildings, if life-cycle cost-effective.
- The Federal Acquisition Streamlining Act of 1994, Title V (FASA V), which requires agencies to establish cost, schedule and measurable performance goals for all major acquisition programs, and achieve on average 90 percent of those goals.

Additional background information for Information Technology can be found in section [53.2](#).

### 300.4 What special terms should I know?

**Capital assets** means land, structures, equipment, intellectual property (e.g., software), and information technology (including IT service contracts) used by the Federal Government and having an estimated useful life of two years or more. See Appendix One of the [Capital Programming Guide](#) for a more complete definition of capital assets.

**Capital programming** means an integrated process within an agency for planning, budgeting, procurement and management of the agency's portfolio of capital assets to achieve agency strategic goals and objectives with the lowest life-cycle cost and least risk.

**Capital project (investment)** means the acquisition of a capital asset and the management of that asset through its life-cycle after the initial acquisition. Capital projects (investments) may consist of several useful segments.

**Contracting officer certification** means the highest current level of certification in contracting obtained by the contracting officer (CO) assigned to the acquisition. For defense agencies, indicate the CO's highest level of Defense Acquisition Workforce Improvement Act (DAWIA) certification in contracting. For civilian agencies, indicate the CO's highest level of Federal Acquisition Certification in Contracting (FAC-C), in accordance with [OMB memorandum](#), The Federal Acquisition Certification in Contracting Program, dated January 20, 2006. Available levels are 1, 2, or 3. To address the transition period, if the CO has not obtained a FAC-C, the agency must determine that the CO assigned to the effort has the competencies and skills necessary to support the acquisition.

**Cost saving** represents the reduction in actual expenditures below the projected level of costs to achieve a specific objective (as defined in [OMB Circular A-131](#)).

**Cost avoidance** represents results from an action taken in the immediate time frame that will decrease costs in the future (as defined in [OMB Circular A-131](#)).

**Earned value management (EVM)** is a project (investment) management tool effectively integrating the investment scope of work with schedule and cost elements for optimum investment planning and control. The qualities and operating characteristics of earned value management systems (EVMS) are described in American National Standards Institute (ANSI)/Electronic Industries Alliance (EIA) Standard –748–1998, *Earned Value Management Systems*, approved May 19, 1998. It was reaffirmed on August 28, 2002. Additional information on EVMS is available at [www.acq.osd.mil/pm](http://www.acq.osd.mil/pm).

**Energy Savings Performance Contract (ESPC)** means a contract (such as a task ordered by DOE and awarded to an energy service company) that provides for the performance of services for the design, acquisition, financing, installation, testing, operation, and maintenance and repair, of an identified energy, water conservation, or renewable energy measure or series of measures at one or more locations. Such contracts shall provide that the contractor must incur costs of implementing energy savings measures, including at least the cost (if any) incurred in making energy audits, acquiring and installing equipment, and training personnel in exchange for a predetermined share of the value of the energy savings directly resulting from implementation of such measures during the term of the contract. Payment to the contractor is contingent upon realizing a guaranteed stream of future energy and cost savings, with any savings in excess of that guaranteed by the contractor accruing to the Federal government

**Enhanced Use Leasing (EUL)**: Departments with specific statutory authority can require rent in the form of a reduction in the cost or free use of facilities or services for programs, monetary payments, or other in-kind consideration which enhances mission activity. The authority allows an agency to out-lease property and receive payment in cash or in kind (goods or services that result in direct cost savings to the government) from the lessee in exchange for the out-lease.

**Federal Acquisition Certification for Program and Project Managers (FAC-P/PM)** was established to ensure general training and experience requirements for program and project managers are clearly identified for civilian agencies. The FAC-P/PM focuses on essential competencies needed for program and project managers; the program does not include functional or technical competencies, such as those for information technology, or agency-specific competencies. Defense agencies have a similar certification program under the Defense Acquisition Workforce Improvement Act (DAWIA). Agencies must be compliant with FAC-P/PM starting in FY 2008. Available levels are Entry/Apprentice, Mid/Journeyman and Expert/Advanced for FAC-P/PM and 1, 2 and 3 for DAWIA. ([www.whitehouse.gov/omb/procurement/workforce/fed\\_acq\\_cert\\_042507.pdf](http://www.whitehouse.gov/omb/procurement/workforce/fed_acq_cert_042507.pdf)) ([www.whitehouse.gov/omb/procurement/acq\\_wk/fac\\_contracting\\_program.pdf](http://www.whitehouse.gov/omb/procurement/acq_wk/fac_contracting_program.pdf))

**Full funding** means appropriations are enacted sufficient in total to complete a useful segment (see definition below) of a capital project (investment) before any obligations may be incurred for the segment. Incrementally funding capital projects (investments) or useful segments without certainty if or when future funding will be available can result in poor planning, inadequate justification of assets acquisition, higher acquisition costs, project (investment) delays, cancellation of major projects (investments), the loss of sunk costs, and inadequate funding to maintain and operate the assets. Budget requests for full acquisition of capital assets must propose full funding (see section [31.5](#)).

**Interagency acquisition** means the use of the Federal Supply Schedules, a multi-agency contract (i.e., a task order or delivery order contract established by one agency for use by government agencies to obtain supplies and services, consistent with the Economy Act, 31 U.S.C. 1535), or a government-wide acquisition contract (i.e., a task-order or delivery-order contract for information technology established by one agency for government-wide use operated by an executive agent designated by OMB pursuant to section 11302(3) of the Clinger Cohen Act of 1996).

**Life-cycle costs** (see Supplement to Part 7—[Capital Programming Guide](#)).

**Major investment** means a system or acquisition requiring special management attention because of its importance to the mission or function of the agency, a component of the agency or another organization; is for financial management and obligates more than \$500,000 annually; has significant program or policy implications; has high executive visibility; has high development, operating, or maintenance costs; is funded through other than direct appropriations; or is defined as major by the agency's capital planning and investment control process. OMB may work with the agency to declare other investments as major investments. You should consult with your OMB representative about what investments to consider as "major," consult your agency budget officer or OMB representative. Systems not considered "major" are "non-major."

**Mixed life-cycle investment** means an investment having both development/modernization/enhancement (DME) and steady state components. For example, a mixed life-cycle investment could include a prototype or module of a system that is operational with the remainder of the system in DME stages; or, a service contract for steady state on the current system with a DME requirement for system upgrade or replacement.

**Multi-Agency Collaboration investments** means a set of systems or acquisitions requiring the efforts of more than one agency (multiple sub-agency efforts should not be identified as "Multi-Agency"). All E-Gov initiatives and Line of Business (LoB) initiatives are by definition Multi-Agency efforts. Due to the multi-agency impact, Multi-Agency Collaboration investments such as E-Gov and LoB initiatives are also by definition Major Investments and High-Risk Investments.

**Operational (steady state)** means an asset or a part of an asset with a delivered component performing the mission.

**Partner Agency funding contributions (contributions)** represent both the direct contribution (Cash contribution) in terms of agency funding contributions in support of the initiative and "In-Kind" contributions, i.e., the dollar equivalent of services contributed by the partner agency in support of the initiative (non-cash contribution), including Partner agency support in equipment, facilities, software, license fees, and dollar equivalent of FTEs. Migration costs should not be included, as these activities are more appropriately coordinated with the managing partner and covered by a migration investment.

**Partner Agency "fee-for-service" contributions** represents the direct reimbursements (Cash reimbursements) in terms of a "fee-for-service" relationship for a transactional service received by the initiative or reimbursements for capital assets under the oversight of the initiative.

**Performance-based acquisition management** means a documented, systematic process for program management, which includes integration of program scope, schedule and cost objectives, establishment of a baseline plan for accomplishment of program objectives, and use of earned value techniques for performance measurement during execution of the program. EVMS is required for those parts of the investment where developmental effort is required. This includes prototypes and tests to select the most cost effective alternative during the Planning Phase, the work during the Acquisition Phase, and any developmental, modification or upgrade work done during the Operational/Steady State Phase. EVMS is to be applied to both Government and contractor efforts and regardless of contract type. For operational/steady state systems, an operational analysis as discussed in Phase IV of the Capital Programming Guide is required. A performance-based acquisition (as defined in the Federal Acquisition Regulation 37.101) or contract/agreement with a defined quality assurance plan that includes performance standards/measures should be the basis for monitoring contractor or in-house performance of this phase. Information on this requirement can be found in [OMB Memorandum 05-23, Improving Information Technology \(IT\) Project Planning and Execution](#).

**Plan of Action and Milestone** As defined in [OMB Memorandum 02-01](#), a plan of action and milestones (POA&M), also referred to as a corrective action plan, is a tool that identifies tasks that need to be accomplished. It details resources required to accomplish the elements of the plan, any milestones in

meeting the task, and scheduled completion dates for the milestones. The purpose of the POA&M is to assist agencies in identifying, assessing, prioritizing, and monitoring the progress of corrective efforts for security weaknesses found in programs and systems.

**Planning** means preparing, developing or acquiring the information you will use to: design the investment; assess the benefits, risks, and risk-adjusted life-cycle costs of alternative solutions; and establish realistic cost, schedule, and performance goals, for the selected alternative, before either proceeding to full acquisition of the capital project (investment) or useful segment or terminating the investment. Planning must progress to the point where you are ready to commit to achieving specific goals for the completion of the acquisition before preceding to the acquisition phase. Information gathering activities may include market research of available solutions, architectural drawings, geological studies, engineering and design studies, and prototypes. Planning is a useful segment of a capital project (investment). Depending on the nature of the investment, one or more planning segments may be necessary.

During the planning phase, when contemplating a performance-based acquisition, agency program offices should evaluate their service requirement and determine:

- Whether a performance-related baseline problem exists (cost, quality, timeliness, impact to agency mission);
- The level of risk associated with the service not being optimally provided (importance to mission of the service being provided optimally);
- The level of confidence the agency has in its own " performance work statement or statement of objectives document" to solve the baseline problem;
- The amount of risk the agency wants to assume for managing the service impact on its own versus shifting to a vendor; and
- The readiness of the program to measure the impact of the service on its program performance goals/mission, as well as the readiness of Program staff to participate in the PBA process.

**Risk adjusted life-cycle costs** means the overall estimated cost for a particular investment alternative over the time period corresponding to the life of the investment, including direct and indirect initial costs plus any periodic or continuing costs of operation and maintenance that has been adjusted to accommodate any risk identified in the risk management plans. If project funding is to be requested for specific phases, segments or modules of the project, each of these parts will be risk adjusted for their individual life-cycle.

**Total Value of Contract/Task Order** means the current total value of the Contract or Task Order to acquire and operate the capital asset. For contracts/task orders shared by multiple capital assets, please provide only the current total value associated with the identified capital asset.

**Useful segment/module** means an economically and programmatically separate component of a capital investment that provides a measurable performance outcome for which the benefits exceed the costs, even if no further funding is appropriated.

**Utility Energy Service Contract (UESC)** is a contract between a Federal agency and a local utility providing energy, water, or sewage services, as well as provision of technical services and/or upfront project financing for energy efficiency, water conservation, and renewable energy investments, allowing Federal agencies to pay for the services over time, either on their utility bill, or through a separate agreement.

Additional budget terms and definitions are included in the Glossary in [Appendix J](#), "Principles of Budgeting for Capital Asset Acquisitions" and in section [53](#) (for IT).

### **300.5 How will agencies manage capital assets?**

The *Capital Programming Guide*, which supplements Part 7 of OMB Circular A-11, provides guidance on the principles and techniques for effective capital programming. [Appendix J](#) of this part explains the principles of financing capital asset acquisitions. Section 8b of OMB Circular A-130 establishes additional requirements for enterprise architectures (EAs), planning and control of information systems and technology investments and performance management. Agencies must develop, implement, and use a capital programming process to develop their capital asset portfolio, and must:

- Evaluate and select capital asset investments that will support core mission functions performed by the Federal Government, and demonstrate projected returns on investment that are clearly equal to or better than alternative uses of available public resources;
- Initiate improvements to existing assets or acquisitions of new assets only when no alternative private sector or governmental source can more efficiently meet the need;
- Simplify or otherwise redesign work processes to reduce costs, improve effectiveness, and make maximum use of commercial services and off-the-shelf technology;
- Reduce project risk by avoiding or isolating custom designed components, using components that can be fully tested or prototyped prior to full implementation or production, and ensuring involvement and support of users in the design and testing of the asset;
- Structure major acquisitions into useful segments with a narrow scope and brief duration, make adequate use of competition and appropriately allocate risk between Government and contractor. The Agency Head must approve or define the cost, schedule, and performance goals for major acquisitions, and the agency's Chief Financial Officer must evaluate the proposed cost goals;
- Ensure consistency with Federal, agency, and bureau EAs, demonstrating such consistency through compliance with agency business requirements and standards, as well as identification of milestones, as defined in the EA transition strategy;
- Institute performance measures and management processes monitoring and comparing actual performance to planned results. Agencies must use a performance-based acquisition management or earned value management system, based on the ANSI/EIA Standard 748, to obtain timely information regarding the progress of capital investments. The system must also measure progress towards milestones in an independently verifiable basis, in terms of cost, capability of the investment to meet specified requirements, timeliness, and quality. Agencies are expected to achieve, on average, 90 percent of the cost, schedule and performance goals for major acquisitions. Agency Heads must review major acquisitions not achieving 90 percent of the goals to determine whether there is a continuing need and what corrective action, including termination, should be taken;
- Ensure IT systems conform to the requirements of OMB Circular No. A-130, "Management of Federal Information Resources;"
- Ensure financial management systems conform to the requirements of OMB Circular No. A-127, "Financial Management Systems;"



- Conduct post-implementation or post-occupancy reviews of capital programming and acquisition processes, and projects to validate estimated benefits and costs, and document effective management practices, i.e., lessons learned, for broader use; and
- Establish oversight mechanisms requiring periodic review of operational capital assets to determine how mission requirements might have changed, and whether the asset continues to fulfill ongoing and anticipated mission requirements, deliver intended benefits to the agency and customers, and meet user requirements.

### **300.6 What other requirements does exhibit 300 fulfill?**

The Exhibit 300 is designed to coordinate OMB's collection of agency information for its reports to the Congress required by the Federal Acquisition Streamlining Act of 1994 (FASA Title V) and the Clinger-Cohen Act of 1996; to ensure the business case for investments are made and tied to the mission statements, long-term goals and objectives, and annual performance plans developed pursuant to the GPRA. For IT, exhibit 300s are designed to be used as one-stop documents for many of IT management issues such as business cases for investments, IT security reporting, Clinger Cohen Act implementation, E-Gov Act implementation, Government Paperwork Elimination Act implementation, agency's modernization efforts, and overall project (investment) management.

### **300.7 What must I report on exhibit 300 and when?**

It is important to understand, all information necessary to complete an exhibit 300 already exists as part of the agency's overall Information Resources Management activities and within project specific documentation. The materials used to populate the exhibit 300 should be readily available to OMB upon request.

The exhibit 300 must be submitted along with any other agency budget submissions (see section [25.5](#)) to, OMB by September 8, 2008. The exhibit 300 should be fully integrated with your agency's overall budget submission. For the next President's Budget, all reporting on IT must be submitted via OMB's IT Budget Submissions System (<https://max.omb.gov/itweb/itweb>). Agencies can either manually enter their exhibit 300 data into this system or upload files in XML format. All exhibit 300s and exhibit 53 (see section 53) must be electronically submitted from the OMB IT Budget Submissions System. Additional information regarding the submission process will be posted on [www.egov.gov](http://www.egov.gov). For capital projects (investments) other than IT, agencies are encouraged to submit the exhibit 300 electronically, following the same instructions provided above.

Following budget season, agencies should update their agency's exhibit 300s submitted during budget submission to reflect final Presidential decisions. In addition, this update should ensure that only publicly-releasable information is contained in the updated exhibit 300. While it is important to maintain this publicly-releasable exhibit 300, agencies should continuously maintain updated information about the projects contained in the exhibit 300. OMB may request this information at any time.

Agencies are required to post on their agency website, within 2 weeks of the release of the President's Budget, these updated exhibits reflecting final Presidential decisions (see section [22.6](#)). If you have any questions about what should be included in the version posted to your website, please contact your agency budget and FOIA offices. You may also contact your OMB representative. As a reminder, these products should be included in your Information Dissemination Product Inventories, Priorities, and Schedules. (More information about this can be found in [OMB M-05-04, Policies for Federal Agency Public Websites](#)).

If agencies request supplemental funds, which include changes to the agency's portfolio, as part of their supplemental request, agencies should submit new or revised exhibit 300s and exhibit 53 (see section [53](#)).

The information you must report will depend on the kind of investment the exhibit 300 is representing (see [Part I Section A - Question #6](#)).

#### *New Investments*

If you are reporting a new investment (i.e., proposed for BY or later) you must complete Parts I and II. Investments in initial concept or planning phase will have less detail and specificity than investments moving into the acquisition or operational phase. However, these investments should identify in life-cycle documentation the dates these issues will be addressed as the investment matures. Where prototypes are acquired as part of the planning process, the prototypes must be reported as full acquisitions. All of the areas on the exhibit 300 must be part of an agency's planning, and the exhibit 300 should be updated as soon as the information is known.

#### *Ongoing Investments*

If reporting an ongoing investment other than IT, only update sections as appropriate. If any of the cost, schedule or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion (EAC). Use the EVM system to identify the specific work packages where problems are occurring. Discuss why the problems occurred and corrective actions necessary to return the program as close as feasible to the current baseline goals.

#### *Security for Planned as well as Operational Systems*

Questions contained in Part I-Section E, "Security and Privacy" should be answered at the individual system level. Multiple contractor or agency systems may support or be part of the overall investment. Planned systems listed in Table 3, as well as operational systems listed in Table 4, should be included in the privacy table (Part I-Section E-Table 8). Security and privacy planning must proceed in parallel with the development of the system(s) to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system(s).

For existing Mixed-Life Cycle investments where enhancement is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). 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, valid testing and documentation associated with the existing system.

#### *Multi-Agency Collaboration Investments*

The managing partner (lead agency) will take the lead for completing the multi-agency exhibit 300, managing it through the lead agency's capital programming and budget process and submitting the exhibit 300 to OMB. The managing partner is also responsible for ensuring this exhibit 300 includes all necessary information from the partner agencies and has been approved by all necessary partner agencies through the appropriate governance process. The multi-agency exhibit 300 should include partner agency funding, related capital assets (e.g. migration investments, Centers of Excellence, Shared Service Centers, Supporting components), and milestones in Part IV of the exhibit 300. The managing partner Executive/Investment Committee should review and approve the multi-agency exhibit 300.

Partner agencies should report their participation in their exhibit 53 submissions as appropriate (see section [53](#)). Partner agencies should reference the name of the multi-agency exhibit 300 in the "Investment Description" field of each exhibit 53 line item related to the multi-agency exhibit 300. Partner agencies should also ensure their activities and participation are included in the appropriate sections of the multi-agency exhibit 300. The managing partner will include only the managing partner specific funds in their exhibit 53 submission(s), while the entire Summary of Spending Total for the investment, including funds provided by partner agency, should be included in the exhibit 300.

OMB may require additional information from partner agencies related to the multi-agency exhibit 300. When necessary, OMB will work with the managing partners to coordinate the requests.

*Multi-Agency Collaboration supporting components capital assets*

Partner agency's supporting capital assets (e.g., Service Providers, Centers of Excellence, Shared Service Centers, Supporting components) should be submitted as regular agency capital assets using exhibit 300s. Agencies proposing capital assets to support multi-agency initiatives should share their proposals with the managing partner for review. Proposals recommended as part of the Managing Partner's solution should be included in the Managing Partner's exhibit 300 (Part IV-Section A, Question #2). An agency with a recommended capital asset proposal should submit an exhibit 300 using the appropriate kind of exhibit 300 (as defined in Part I-Section A, Question #6). Partner agencies with or proposing supporting capital assets for multi-agency collaboration (i.e. shared service centers, sales center, shared service providers, etc.) should use Part IV of the exhibit 300.

*For Cost and Schedule Performance baseline changes*

All proposed changes to baselines should be submitted to OMB prior to your FY 2010 budget request; proposed changes should not be assumed approved. If your agency has any questions, please contact your OMB representative. All current approved baselines should be reflected in the exhibit 300.

**300.8 How will OMB use the exhibit 300s?**

The exhibit 300 is one component of your agency's total performance budget justification (see section [51.2](#)). OMB uses the exhibit 300 to make both quantitative decisions about budgetary resources consistent with the Administration's program priorities, and qualitative assessments about whether the agency's programming processes are consistent with OMB policy and guidance. OMB will be evaluating all elements of the business cases and will communicate the results of these evaluations in the course of the budget process. If additional supporting information is necessary, OMB will request from agencies the supporting evidence used to produce the exhibit 300. All information necessary to complete an exhibit 300 should already exist as part of the agency's overall Information Resources Management activities and within project specific documentation. The materials used to produce the exhibit 300 should be readily available to OMB upon request.

**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 5.3. 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.)

- Planning \_\_\_\_\_
- Full Acquisition \_\_\_\_\_
- Operations and Maintenance \_\_\_\_\_
- Mixed Life Cycle \_\_\_\_\_
- Multi-Agency Collaboration \_\_\_\_\_

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? Yes \_\_\_ No \_\_\_

a. If “yes,” what was the date of this approval? \_\_\_\_\_

10. Did the Project Manager review this Exhibit? Yes \_\_\_ No \_\_\_

11. Contact information of Program/Project Manager?  
Name \_\_\_\_\_  
Phone Number \_\_\_\_\_  
E-mail \_\_\_\_\_

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?

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

Yes \_\_\_ No \_\_\_

a. Will this investment include electronic assets (including computers)?

Yes \_\_\_ No \_\_\_

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

Yes \_\_\_ No \_\_\_

1. If "yes," is an ESPC or UESC being used to help fund this investment?

Yes \_\_\_ No \_\_\_

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

Yes \_\_\_ No \_\_\_

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

Yes \_\_\_ No \_\_\_

13. Does this investment directly support any of the PMA initiatives?

If "yes," check all that apply:

- Human Capital \_\_\_\_\_
- Budget Performance Integration \_\_\_\_\_
- Financial Performance \_\_\_\_\_
- Expanded E-Government \_\_\_\_\_
- Competitive Sourcing \_\_\_\_\_
- Faith Based and Community \_\_\_\_\_
- Real Property Asset Management \_\_\_\_\_
- Eliminating Improper Payments \_\_\_\_\_
- Privatization of Military Housing \_\_\_\_\_
- Research & Development Investment Criteria \_\_\_\_\_
- Housing & Urban Development Management & Performance \_\_\_\_\_
- Broadening Health Insurance Coverage through State Initiatives \_\_\_\_\_
- "Right Sized" Overseas Presence \_\_\_\_\_
- Coordination of VA & DoD Programs and Systems \_\_\_\_\_

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?)

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14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part](http://www.whitehouse.gov/omb/part).)

Yes \_\_\_ No \_\_\_

a. If "yes," does this investment address a weakness found during a PART review?

Yes \_\_\_ No \_\_\_

b. If "yes," what is the name of the PARTed program?

c. If "yes," what rating did the PART receive?

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15. Is this investment for information technology? Yes \_\_\_ No \_\_\_

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)
Level 1 \_\_\_
Level 2 \_\_\_
Level 3 \_\_\_

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 \_\_\_
(2) Project manager qualification is under review for this investment \_\_\_
(3) Project manager assigned to investment, but does not meet requirements \_\_\_
(4) Project manager assigned but qualification status review has not yet started \_\_\_
(5) No Project manager has yet been assigned to 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) Yes \_\_\_ No \_\_\_

19. Is this a financial management system? Yes \_\_\_ No \_\_\_

a. If "yes," does this investment address a FFMIA compliance area? Yes \_\_\_ No \_\_\_

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 FY 2010 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?
Yes \_\_\_
No \_\_\_
N/A \_\_\_

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?

Yes \_\_\_ No \_\_\_

Question 24 must be answered by all Investments:

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

Yes \_\_\_ No \_\_\_

**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.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b>									
<i>(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)</i>									
	<b>PY-1 and earlier</b>	<b>PY 2008</b>	<b>CY 2009</b>	<b>BY 2010</b>	<b>BY+1 2011</b>	<b>BY+2 2012</b>	<b>BY+3 2013</b>	<b>BY+4 and beyond</b>	<b>Total</b>
Planning:									
Acquisition :									
Subtotal Planning & Acquisition:									
Operations & Maintenance:									
<b>TOTAL:</b>									
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
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? Yes \_\_\_ No \_\_\_  
 a. If "yes," How many and in what year? \_\_\_\_\_
3. If the summary of spending has changed from the FY 2009 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/Task Orders Table:																
Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA Certification Level (Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? (Y/N)

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?

Yes \_\_\_\_\_  
 No \_\_\_\_\_  
 N/A \_\_\_\_\_

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?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. If "yes," what is the date?

1. Is it Current?

Yes \_\_\_\_\_ No \_\_\_\_\_

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 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 the next President's Budget.

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008		Mission & Business Results					
2008		Customer Results					
2008		Processes & Activities					
2008		Technology					
2009		Mission & Business Results					
2009		Customer Results					
2009		Processes & Activities					
2009		Technology					
2010		Mission & Business Results					
2010		Customer Results					
2010		Processes & Activities					
2010		Technology					
Etc.		Etc.					

**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? Yes \_\_\_ No \_\_\_
  - 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? Yes \_\_\_ No \_\_\_

<b>3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization – Security Table(s):</b>			
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)

4. Operational Systems – Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	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 Testing	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?

Yes \_\_\_ No \_\_\_

a. If “yes,” have those weaknesses been incorporated into the agency’s plan of action and milestone process?

Yes \_\_\_ No \_\_\_

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

Yes \_\_\_ No \_\_\_

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

**Details for Text Options:**  
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.  
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn’t a current and up to date SORN.  
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency’s EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency’s EA.

1. Is this investment included in your agency’s target enterprise architecture? Yes \_\_\_ No \_\_\_  
 a. If “no,” please explain why? \_\_\_\_\_

2. Is this investment included in the agency’s EA Transition Strategy? Yes \_\_\_ No \_\_\_  
 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? \_\_\_\_\_

3. Is this investment identified in a completed and approved segment architecture? Yes \_\_\_ 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>. \_\_\_\_\_

**4. Service Component Reference Model (SRM) Table :**

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

Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		

- 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 this column can, but are not required to, add up to 100%.

**5. Technical Reference Model (TRM) Table:**

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

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)

- 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)?

Yes \_\_\_ No \_\_\_

- a. If "yes," please describe.

\_\_\_\_\_

**Part II: Planning, Acquisition And Performance Information**

*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.*

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

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

1. Did you conduct an alternatives analysis for this investment? Yes \_\_\_ No \_\_\_
- 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. Alternatives Analysis Results:**

Use 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
Baseline	Status quo		
1 -			
2 -			
3 -			

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 (\$millions):**

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 & prior				
PY				
CY				
BY				
BY+1				
BY+2				
BY+3				
BY+4 & Beyond				
Total LCC Benefit			LLC = Life-cycle cost	

6. Will the selected alternative replace a legacy system in-part or in-whole?

Yes \_\_\_ No \_\_\_

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:

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



**Section B: Risk Management (All Capital Assets)**

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

- 1. Does the investment have a Risk Management Plan? Yes \_\_\_ No \_\_\_
  - 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? Yes \_\_\_ No \_\_\_
  - c. If “yes,” describe any significant changes: \_\_\_\_\_
  
- 2. If there currently is no plan, will a plan be developed? Yes \_\_\_ No \_\_\_
  - 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? Yes \_\_\_ No \_\_\_
  
- 2. Is the CV% or SV% greater than ± 10%? Yes \_\_\_ No \_\_\_  
(CV%= CV/EV x 100; SV%= SV/PV x 100)
  - a. If “yes,” was it the?
 

CV	
SV	
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? Yes \_\_\_ 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.

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

**Part III: For “Operation and Maintenance” investments ONLY (Steady State)**

*Part III should be completed only for investments identified as “Operation and Maintenance” (Steady State) in response to Question 6 in Part I, Section A above.*

**Section A: Risk Management (All Capital Assets)**

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

- 1. Does the investment have a Risk Management Plan? Yes \_\_\_ No \_\_\_
  - 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? Yes \_\_\_ No \_\_\_
  - c. If “yes,” describe any significant changes: \_\_\_\_\_
  
- 2. If there currently is no plan, will a plan be developed? Yes \_\_\_ No \_\_\_
  - a. If “yes,” what is the planned completion date? \_\_\_\_\_
  - b. If “no,” what is the strategy for managing the risks? \_\_\_\_\_

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

- 1. Was an operational analysis conducted? Yes \_\_\_ No \_\_\_
  - a. If “yes,” provide the date the analysis was completed. \_\_\_\_\_
  - b. If “yes,” what were the results? \_\_\_\_\_
  - c. If “no,” please explain why it was not conducted and if there are any plans to conduct an operational analysis in the future: \_\_\_\_\_
  
- 2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).
  - a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? \_\_\_\_\_

2. b Comparison of Plan vs. Actual Performance Table:					
Description of Milestone	Planned		Actual		Variance
	Completion Date (mm/dd/yyyy)	Total Cost (\$M)	Completion Date (mm/dd/yyyy)	Total Cost (\$M)	Schedule:Cost (# days:\$M)

**Part IV: Planning For “Multi-Agency Collaboration” ONLY**

*Part IV should be completed only for investments identified as an E-Gov initiative, an Line of Business (LOB) Initiative, or a Multi-Agency Collaboration effort. The “Multi-Agency Collaboration” choice should be select in response to Question 6 in Part I, Section A above. Investments identified as “Multi-Agency Collaboration” will complete only Parts I and IV of the exhibit 300.*

**Section A: Multi-Agency Collaboration Oversight (All Capital Assets)**

Multi-agency Collaborations, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

**1. Stakeholder Table:**

As a joint exhibit 300, please identify all the agency stakeholders (all participating agencies, this should not be limited to agencies with financial commitment). All agency stakeholders should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.

Partner Agency	Joint exhibit approval date

**2. Partner Capital Assets within this Investment:**

Provide the partnering strategies you are implementing with the participating agencies and organizations. Identify all partner agency capital assets (including shared service providers) supporting the common solution (section 300.7); Managing Partner capital assets should also be included in this joint exhibit 300. These capital assets should be included in the Summary of Spending table of Part I, Section B. All partner agency migration investments (section 53.4) should also be included in this table. Funding contributions/fee-for-service transfers should not be included in this table.(Partner Agency UPIs should also appear on the Partner Agency's exhibit 53)

Partner Agency	Partner Agency Asset Title	Partner Agency Exhibit 53 UPI (BY 2010)

**3. Partner Funding Strategies (\$millions):**

For jointly funded initiative activities, provide in the “Partner Funding Strategies Table”: the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY. Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)

Partner Agency	Partner exhibit 53 UPI (BY 2010)	CY Contribution	CY Fee-for-Service	BY Contribution	BY Fee-for-Service

An Alternatives Analysis for multi-agency collaborations should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. 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.

4. Did you conduct an alternatives analysis for this investment? Yes \_\_\_ No \_\_\_
- a. If “yes,” what is the date of the analysis? \_\_\_\_\_
- b. If “no,” what is the anticipated date this analysis will be completed? \_\_\_\_\_
- c. If no analysis is planned, please briefly explain why: \_\_\_\_\_

<b>5. Alternatives Analysis Results:</b>			
Use 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
Baseline	Status quo		
1 -			
2 -			
3 -			

6. Which alternative was selected by the Initiative Governance process and why was it chosen?
- a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.) \_\_\_\_\_
7. What specific qualitative benefits will be realized? \_\_\_\_\_

<b>8. Federal Quantitative Benefits (\$millions):</b>				
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 & prior				
PY				
CY				
BY				
BY+1				
BY+2				
BY+3				
BY+4 & Beyond				
Total LCC Benefit			LLC = Life-cycle cost	

9. Will the selected alternative replace a legacy system in-part or in-whole? Yes \_\_\_ No \_\_\_
- 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: \_\_\_\_\_

9b. 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? Yes \_\_\_ No \_\_\_
  - 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? Yes \_\_\_ No \_\_\_
  - c. If “yes,” describe any significant changes: \_\_\_\_\_
  
- 2. If there currently is no plan, will a plan be developed? Yes \_\_\_ No \_\_\_
  - a. If “yes,” what is the planned completion date? \_\_\_\_\_
  - b. If “no,” what is the strategy for managing the risks? \_\_\_\_\_

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

You should also periodically be measuring the performance of operational assets against the baseline established during the planning or full acquisition phase (i.e., operational analysis), and be properly operating and maintaining the asset to maximize its useful life. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

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.

Answer the following questions about the status of this investment. Include information on all appropriate capital assets supporting this investment except for assets in which the performance information is reported in a separate exhibit 300.

- 1. Are you using EVM to manage this investment? Yes \_\_\_ No \_\_\_
  - N/A (investment with ONLY O&M) \_\_\_
  - a. If “yes,” does the earned value management system meet the criteria in ANSI/EIA Standard – 748? Yes \_\_\_ No \_\_\_
  - b. If “no,” explain plans to implement EVM: \_\_\_\_\_
  - c. If “N/A,” please provide date operational analysis was conducted and a brief summary of the results: \_\_\_\_\_

**Questions #2 are NOT applicable for capital assets with ONLY O&M**

2. Is the CV% or SV% greater than ± 10%?  
 (CV%= CV/EV x 100; SV%= SV/PV x 100)

Yes \_\_\_ No \_\_\_

a. If “yes,” was it the?

CV \_\_\_\_\_  
 SV \_\_\_\_\_  
 Both \_\_\_\_\_

b. If “yes,” explain the causes of the variance:

c. If “yes,” describe the corrective actions:

\_\_\_\_\_  
 \_\_\_\_\_

**Questions #3-4 are applicable to ALL capital assets**

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

Yes \_\_\_ 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.

Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete	Agency Responsible for Activity
	Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy) Planned:Actual	Total Cost (\$M) Planned: Actual		Schedule: Cost (# days:\$M)				

