

PBGC - IT Infrastructure

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification

Section A: Overview

1. Date of submission: **Sep 11, 2006**
2. Agency: **012**
3. Bureau: **12**
4. Name of this Capital Asset: **PBGC - IT Infrastructure**
5. Unique Project (Investment) Identifier: **012-12-02-00-01-2155-00**
6. What kind of investment will this be in FY2008? **Mixed Life Cycle**
7. What was the first budget year this investment was submitted to OMB? **FY2003**
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: **The investment provides computer networking, telecommunications, & general support systems for 2,300 PBGC Federal & contractor personnel at the Washington, DC headquarters, 13 Field Benefit Administration offices, several actuarial contractor sites, and a growing body of remote-access users. Program elements are: Infrastructure Operations; Infrastructure Engineering; Telecommunications Operations & Support; Integration & Testing; User Support; Information Security; & Infrastructure Hardware and Software. PBGC needs to improve reliability in the face of aging infrastructure and increased workload. The past few years brought a great increase in activity that required a 35% staff increase, with attendant demands on infrastructure. Infrastructure must also support Continuity of Operations (COOP) at alternate facilities and mandatory IPv6 & E-Authentication cross-agency initiatives listed in the Federal Transition Framework (FTF). Improvements specifically support Agency Goals 2& 3: provide exceptional service to customers & stakeholders; exercise effective & efficient stewardship of PBGC resources. The investment will simplify PBGC's IT infrastructure, and provide monitoring of servers, data communications equipment & services, allowing centralized analysis & reporting on capacity, volume, & uptime to more efficiently manage PBGC's infrastructure. It will provide central auditing/reporting; begin standardization of security policy enforcement; monitor all user access credentials through an enterprise view; increase productivity by automating access-rights; decrease risk to internal security breaches; provide a single point of security administration for password synchronization, reset & propagation; and provide automated work flow environment for account administration. It reduces operational costs because it enables new business processes & initiatives to share hardware, software and data. The design yields platform neutrality enabling support of diverse applications, thus improving**

efficiencies. The infrastructure program provides an estimated \$3.7 M in productivity increases, due to fewer system outages, based on prior years' outages of 40 hours x 2,300 staff x \$40 per hour. Finally it will allow initial compliance efforts related to OMB's Infrastructure Optimization Initiative and will support the Agency's Pandemic Flu initiative.

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

a. If "yes," what was the date of this approval? **Jun 29, 2006**

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

11. Contact information of Project Manager?

Name **Marc Felton**

Phone Number **202-326-4000**

E-mail **felton.marc@pbgc.gov**

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) [**Not answered**]

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**

Expanded E-Government

a. Briefly describe how this asset directly supports the identified initiative(s)? **EEG: EI underpins PBGC E-Gov initiatives that ease access for citizens to government services, regardless of physical location, such as MyPBA and MyPAA. It directly supports use of IT to make government more efficient and citizen-centered as well as beginning compliance with OMB's Infrastructure Optimization Initiative. EI is also the electronic transaction/storage infrastructure required by GPEA. EI supports the PMA vision and goal to be efficient, citizen-centered and results-oriented.**

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit

www.whitehouse.gov/omb/part.) **yes**

a. If "yes," does this investment address a weakness found during a PART review? **no**

- b. If "yes," what is the name of the PARTed program? **Pension Benefit Guaranty Program**
 - 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. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(4) Project manager assigned but qualification status review has not yet started**
- 18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)? **no**
- 19. Is this a financial management system? **no**
 - a. If "yes," does this investment address a FFMIA compliance area? [**Not answered**]
 - 1. If "yes," which compliance area: [**Not answered**]
 - 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 [**Not answered**]
- 20. What is the percentage breakout for the total FY2008 funding request for the following?
 - Hardware**10**
 - Software**15**
 - Services**75**
 - Other[**Not answered**]
- 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
Title	Deputy General Counsel/Chief Privacy Officer
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? **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 2006	CY 2007	BY 2008	BY+1 2009	BY+2 2010	BY+3 2011	BY+4 and beyond	Total
Planning:	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.2	1.5
Acquisition:	14.3	4.75	6.58	8.49	10.7	10.7	10.7	10.7	76.92
Subtotal Planning & Acquisition:	14.4	4.95	6.78	8.69	10.9	10.9	10.9	10.9	78.42
Operations & Maintenance:	30.5	41.02	40.63	39.39	39.2	39.2	39.2	39.2	308.34
TOTAL:	44.9	45.97	47.41	48.08	50.1	50.1	50.1	50.1	386.76
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	4.6	4.6	5.2	5.4	5.5	5.6	5.8	5.9	42.6
Number of FTE represented by Costs:	41	41	41	41	41	41	41	41	328

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 FY2007 President's budget request, briefly explain those changes: **Yes. In reviewing the makeup of the investment PBGC discovered that some costs in Operations and Maintenance had been omitted. Resources were also shifted from Acquisition to O & M.**

Section C: Acquisition/Contract Strategy

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Contracts/Task Orders Table:	
Contract or Task Order Number	CT-04-0692 Cexec
Type of Contract/Task Order	CPFF
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	Sep 30, 2008
Total Value of Contract/ Task Order (\$M)	22.3
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	Michele Gray
CO Contact information	gray.michell@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes

Contract or Task Order Number	CT-01-0603 Serco/RCI
Type of Contract/Task Order	LH
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 29, 2006
Start date of Contract/Task Order	Sep 30, 2006
End date of Contract/Task Order	Sep 29, 2007
Total Value of Contract/ Task Order (\$M)	9
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	Michele Gray
CO Contact information	gray.michele@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-02-0618 BAE CTS

Type of Contract/Task Order	CPFF
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 29, 2002
Start date of Contract/Task Order	Sep 30, 2002
End date of Contract/Task Order	Mar 31, 2007
Total Value of Contract/ Task Order (\$M)	30
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	Kay Rison
CO Contact information	rison.kay@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-03-0668 BAE CC
Type of Contract/Task Order	CPFF

Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 29, 2003
Start date of Contract/Task Order	Sep 30, 2003
End date of Contract/Task Order	Sep 30, 2099
Total Value of Contract/ Task Order (\$M)	0.001
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	Kay Rison
CO Contact information	rison.kay@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-04-0707 Keane QA
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes

If so what is the date of the award? If not, what is the planned award date?	Jul 5, 2004
Start date of Contract/Task Order	Jul 6, 2004
End date of Contract/Task Order	Jul 5, 2008
Total Value of Contract/ Task Order (\$M)	15
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	Talisa Spottswood
CO Contact information	spottswood.talisa@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-05-0739 TechGuard
Type of Contract/Task Order	LH
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award	Sep 29, 2005

date?	
Start date of Contract/Task Order	Sep 30, 2005
End date of Contract/Task Order	Sep 30, 2099
Total Value of Contract/ Task Order (\$M)	0.001
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	Kay Rison
CO Contact information	rison.kay@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CITC
Type of Contract/Task Order	CPAF
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, 2007

Start date of Contract/Task Order	Mar 1, 2007
End date of Contract/Task Order	Sep 20, 2012
Total Value of Contract/ Task Order (\$M)	100
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?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	rison.kay@pbgc.gov 202-326-4000
Contracting Officer Certification Level	NA
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes

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: **As of Fiscal Year 2007, earned value is required on all contracts that have a development, modernization and enhancement portion projected to exceed the Agency threshold for EVM, currently \$500,000.00. Contractor EVM performance is currently monitored using Agency processes and procedures and will be monitored using an ANSI/EIA Standard 748-compliant system after 1 April 2007.**
3. Do the contracts ensure Section 508 compliance? **yes**
 - a. Explain why: **Section 508 compliance is an explicit, mandatory part of all PBGC contracts, including development of new infrastructure systems. Among mandatory technical requirements are: provide application interface compliant with software application standards required by Section 508 of Rehabilitation Act, as detailed in 36 CFR 1194, Subpart B. QA reviews**

contractor test plans for completeness and traceability to requirements. During System and User Acceptance Testing, 508 compliance is tested & assured.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? **yes**
 - a. If "yes," what is the date? **Sep 30, 2005**
 - b. If "no," will an acquisition plan be developed? [**Not answered**]
 1. If "no," briefly explain why: **N/A**

Section D: Performance Information

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned performance Metric (Target)	Performance Metric Results (Actual)
2007	Information technology investments support the achievement of corporate business strategies	Approximately 0.5% unscheduled network downtime	Achieved 0.5 % unscheduled network downtime	Maintain 0.5% unscheduled network downtime	Data to be compiled at end of reporting period
2008	Information technology investments support the achievement of corporate business strategies	Approximately 0.5% unscheduled network downtime	Data to be compiled at end of FY-2007 reporting period	Maintain 0.5% unscheduled network downtime	Data to be compiled at end of FY-2008 reporting period
2009	Information technology investments support the achievement of corporate business strategies	Approximately 0.5% unscheduled network downtime	Data to be compiled at end of FY-2008 reporting period	Maintain 0.5% unscheduled network downtime	Data to be compiled at end of FY-2009 reporting period

Performance Information Table 2:						
Fis	Measure	Measu	Measurement	B	Planned Improvement to the Baseline	Act

Cal Year	ment Area	remen t Grouping	Indicator	as el in e		ual Res ults
2006	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	81%	1% increase in percentage of customers who rate Help Desk Services above average or excellent	82%
2006	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	61.5%	2% increase in percentage of urgent incidents closed within two hours	67.3%
2006	Processes and Activities	Complaints	Average monthly number of Help Desk customers who register complaints	27	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	27
2006	Technology	Availability	% of network and system downtime	0.5%	Maintain 0.5%	0.5%
2007	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	82%	1% increase in percentage of customers who rate Help Desk Services above average or excellent	TBD
2007	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	67.3%	2% increase in percentage of urgent incidents closed within two hours	TBD
2007	Processes and Activities	Complaints	Average monthly number of Help Desk customers who register complaints	27	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	TBD
2007	Technology	Availability	% of network and system downtime	0.5%	Maintain 0.5%	TBD
2008	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	TBD	% of customers who rate Help Desk Services above average or excellent	TBD

2008	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	T B D	2% increase in percentage of urgent incidents closed within two hours	T B D
2008	Processes and Activities	Complains	Average monthly number of Help Desk customers who register complaints	T B D	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	T B D
2008	Technology	Availability	% of network and system downtime	T B D	Maintain 0.5%	T B D
2009	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	T B D	1% increase in percentage of customers who rate Help Desk Services above average or excellent	T B D
2009	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	T B D	2% increase in percentage of urgent incidents closed within two hours	T B D
2009	Processes and Activities	Complains	Average monthly number of Help Desk customers who register complaints	T B D	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	T B D
2009	Technology	Availability	% of network and system downtime	T B D	Maintain 05.0%	T B D
2010	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	T B D	1% increase in percentage of customers who rate Help Desk Services above average or excellent	T B D
2010	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	T B D	2% increase in percentage of urgent incidents closed within two hours	T B D
2010	Processes and Activities	Complains	Average monthly number of Help Desk customers who register	T B D	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff	T B D

			complaints		growth.	
2010	Technology	Availability	% of network and system downtime	T B D	Maintain 0.5%	TB D
2011	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	T B D	1% increase in percentage of customers who rate Help Desk Services above average or excellent	TB D
2011	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	T B D	2% increase in percentage of urgent incidents closed within two hours	TB D
2011	Processes and Activities	Complaints	Average monthly number of Help Desk customers who register complaints	T B D	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	TB D
2011	Technology	Availability	% of network and system downtime	T B D	Maintain 0.5%	TB D
2012	Customer Results	Customer Satisfaction	% of customers who rate Help Desk Services above average or excellent	T B D	1% increase in percentage of customers who rate Help Desk Services above average or excellent	TB D
2012	Mission and Business Results	Help Desk Services	% of urgent incidents closed within two hours	T B D	2% increase in percentage of urgent incidents closed within two hours	TB D
2012	Processes and Activities	Complaints	Average monthly number of Help Desk customers who register complaints	T B D	10% reduction in average monthly number of Help Desk customers who register complaints, adjusted for staff growth.	TB D
2012	Technology	Availability	% of network and system downtime.	T B D	Maintain 0.5%	TB D

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: **0.09**
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 - Security Table:			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
Novell - NAL replacement	Government Only	Mar 7, 2007	Mar 6, 2007
IPV6	Government Only	Jun 30, 2008	Jun 29, 2008

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 C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
Oracle 8i	Government Only	Moderate	yes	Mar 27, 2006	FIPS 200 / NIST 800-53	Jun 1, 2006	Aug 12, 2006
Oracle 9i	Government Only	Moderate	yes	Mar 27, 2006	FIPS 200 / NIST 800-53	Jun 1, 2006	Aug 12, 2006
Oracle 10g AS	Government Only	Moderate	yes	Mar 29, 2007	FIPS 200 / NIST 800-53	Jun 1, 2006	Aug 12, 2006
Oracle 9i AS	Government Only	Moderate	yes	Sep 30, 2003	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Remote	Government	Moderate	yes	Sep 23,	FIPS 200 / NIST	Oct 13, 2006	Aug 12,

Access	Only			2005	800-53		2006
Unix	Government Only	Moderate	yes	Oct 7, 2005	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Active Directory	Government Only	Moderate	yes	Dec 5, 2003	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Internet	Government Only	Moderate	yes	Jan 30, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Novell	Government Only	Moderate	yes	Dec 23, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Linux	Government Only	Moderate	yes	Jan 14, 2005	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006

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? **yes**
 - a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. **Yes, a request of \$2.7 million was requested but not approved, pending further information. Of that \$2.7 million, \$1.5 million was requested to make various improvements to PBGC's enterprise-wide information security program and to complete eight additional C&As during FY2007. The remainder of the request related to smart cards, data encryption and two-factor authentication. Additionally, during January 2007, PBGC management will begin a strategic review of security requirements and funding, in order to decide the funding schedule and possible funding sources for the improvements and C&As needed. PBGC has made substantial progress by hiring a third party Information Security vendor to assist in developing an effective Risk Management Program and performing Independent Validation and Verification (IV&V) on new and in progress C&A efforts. While in this role, the Vendor also performed a gap analysis comparing PBGC's security program to all OMB, NIST Special Publications, and**

FISMA information security guidelines, and then mapped them back to PBGC's information security reportable condition. This analysis served as a baseline for planned Risk Management activities upgrading PBGC's security program to include Risk Management and Certification and Accreditation. The IV&V vendor is also assisting PBGC in developing system specific/ enterprise-level Security Plans of Action and Milestones. The systems listed in this investment have been certified and accredited as listed. PBGC will re-certify the Internet and Novell during FY2007. The other systems listed will receive C&A's as they are prioritized and aligned with the strategic planning process scheduled from January to April 2007.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? **Although PBGC considers this question to be not applicable because none of the systems listed will be operated out of PBGC's control, PBGC has implemented various security requirements and procedures relating to contractor staff. All contractor access to any PBGC system must be approved by the system owner, the COTR and the Federal manager responsible for the business area in which the system resides. Additionally, PBGC submits all contractor personnel - based on their roles and level of system access - for appropriate background checks and investigations. Contractor personnel are included in annual security training and their general use of the systems is monitored in the same fashion as Federal access with controls in areas such as intrusion detection and access.**

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?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Novell - NAL replacement	no	3. No, because the system does not contain, process, or transmit personal identifying information.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
IPV6	yes	3. No, because the system does not contain, process, or transmit personal identifying information.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
Orac	no	1. Yes.	1. Yes.	no	5. No, because

le 8i					the system is not a Privacy Act system of records.
Oracle 9i	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
Oracle 10g AS	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
Oracle 9i AS	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
Remote Access	no	3. No, because the system does not contain, process, or transmit personal identifying information.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
Unix	no	4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
Active Directory	no	4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
Internet	no	3. No, because the system does not contain, process, or transmit personal identifying information.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.

Novell	no	4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
Linux	no	4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.

Section F: Enterprise Architecture (EA)

1. Is this investment included in your agency's target enterprise architecture? **yes**
 - a. If "no," please explain why? **n/a**
2. 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. **Enterprise Infrastructure**
 - b. If "no," please explain why? **n/a**

3. 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		
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Customer Relationship Management	Customer Feedback	[Not answered]	[Not answered]	No Reuse	1
Service	OIT help desk for tracking and	Customer	Assistanc	[No	[No	No	1

Center	managing Internal user support issues. COTS product from HP	Initiated Assistance	e Request	t answered]	t answered]	Reuse	
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	No Reuse	1
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Customer Relationship Management	Customer Analytics	[Not answered]	[Not answered]	No Reuse	1
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Customer Relationship Management	Call Center Management	[Not answered]	[Not answered]	No Reuse	1
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Customer Preferences	Alerts and Notifications	[Not answered]	[Not answered]	No Reuse	1
Service Center	OIT help desk for tracking and managing Internal user support issues. COTS product from HP	Systems Management	Issue Tracking	[Not answered]	[Not answered]	No Reuse	1
Novell/Microsoft/Unix/Linux	Operating Systems	Organizational Management	Network Management	[Not answered]	[Not answered]	No Reuse	1
Asset Center	COTS product from HP that tracks and helps manage computer and network equipment inventory	Supply Chain Management	Inventory management	[Not answered]	[Not answered]	No Reuse	1

Asset Center	COTS product from HP that tracks and helps manage computer and network equipment inventory	Asset / Materials Management	Property / Asset Management	[Not answered]	[Not answered]	No Reuse	1
SAN	Storage area network facility for storing documents, databases and records.	Document Management	Library / Storage	[Not answered]	[Not answered]	No Reuse	1
Storage Tec	Tape backup system	Data Management	Loading and Archiving	[Not answered]	[Not answered]	No Reuse	1
Storage Tec	Tape backup system	Data Management	Data Recovery	[Not answered]	[Not answered]	No Reuse	1
Oracle Warehouse Builder	Oracle database services provide for data ETL and cleansing services.	Data Management	Data Exchange	[Not answered]	[Not answered]	No Reuse	1
Oracle Warehouse Builder	Oracle database services provide for data ETL and cleansing services.	Data Management	Extraction and Transformation	[Not answered]	[Not answered]	No Reuse	1
Oracle Warehouse Builder	Oracle database services provide for data ETL and cleansing services.	Data Management	Data Warehouse	[Not answered]	[Not answered]	No Reuse	1
Trillium	Trillium provides for data profiling, cleansing and conversion.	Data Management	Data Cleansing	Data Cleansing	[Not answered]	Internal	1

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Router-controlled WAN and SSL for internet	New FEA SRM Component = Encryption	Security Management	NEW	[Not answered]	[Not answered]	No Reuse	1
Active Directory	Microsoft-provided LDAP service	Security Management	Identification and Authentication	[Not answered]	[Not answered]	No Reuse	1
Active Directory	Microsoft-provided LDAP service New FEA SRM Component = Verification	Security Management	NEW	[Not answered]	[Not answered]	No Reuse	1
Active Directory	Microsoft-provided LDAP service New FEA SRM component = Role/Privilege Management	Security Management	NEW	[Not answered]	[Not answered]	No Reuse	1
Active Directory	Microsoft-provided LDAP service New FEA SRM Component = User Management	Security Management	NEW	[Not answered]	[Not answered]	No Reuse	1
Oracle Internet Directory (OID)	Oracle internet directory provided for single sign-on access control for e-business suite and Java-base applications.	Security Management	Access Control	[Not answered]	[Not answered]	No Reuse	1
Real Secure and Symantec	Provides for virus scanning and intrusion detection.	Security Management	Intrusion Detection	[Not answered]	[Not answered]	No Reuse	1
Microsoft Exchange	Desktop email system Outlook coupled with back-end Exchange server.	Collaboration	Email	[Not answered]	[Not answered]	No Reuse	1

				wered]	wered]		
Altiris - Carbon Copy	Desktop management system for distributing software.	Systems Management	Software Distribution	[Not answered]	[Not answered]	No Reuse	1
Altiris - Carbon Copy	Desktop management system for distributing software.	Systems Management	Remote Systems Control	[Not answered]	[Not answered]	No Reuse	1
TSCensus	Monitoring and managing software licenses	Systems Management	License Management	[Not answered]	[Not answered]	No Reuse	1
HP Openview	COTS software from HP that provides network, component and service monitoring.	Systems Management	System Resource Monitoring	[Not answered]	[Not answered]	No Reuse	1

4. Technical Reference Model (TRM) Table:

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Network Management	Component Framework	Business Logic	Platform Dependent	.NET/Windows 2000
Case Management	Component Framework	Business Logic	Platform Independent	Java/Linux
Data Exchange	Component Framework	Data Interchange	Data Exchange	XML/SOAP
Data Integration	Component Framework	Data Management	Database Connectivity	JDBC/ADO.NET

Content Publishing and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	ASP.NET
Content Publishing and Delivery	Component Framework	Presentation / Interface	Static Display	HTML
Content Publishing and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	JSP/JSF
Content Publishing and Delivery	Component Framework	Presentation / Interface	Content Rendering	HTML
Identification and Authentication	Component Framework	Security	Certificates / Digital Signatures	SSL
Identification and Authentication	Component Framework	Security	Supporting Security Services	WS Security
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	IE 6.0
Network Management	Service Access and Delivery	Delivery Channels	Extranet	TCP/IP
Network Management	Service Access and Delivery	Delivery Channels	Internet	TCP/IP
Network Management	Service Access and Delivery	Delivery Channels	Intranet	TCP/IP
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory/Active Directory
Procurement	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Computers / Automation Management	Service Access and Delivery	Service Requirements	Hosting	Internal

Network Management	Service Access and Delivery	Service Transport	Service Transport	HTTP,HTTPS
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	DHCP
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	DNS
Network Management	Service Access and Delivery	Service Transport	Service Transport	TCP/IP
Enterprise Application Integration	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle BPEL
Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	PL/SQL, Net8
Enterprise Application Integration	Service Interface and Integration	Interface	Service Description / Interface	WSDL, API
Data Exchange	Component Framework	Interoperability	Data Format / Classification	XML
Data Exchange	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema
Computers / Automation Management	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Computers / Automation Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Document Imaging and OCR	Service Platform and Infrastructure	Database / Storage	Database	Filenet, Optical Image Storage
Computers / Automation Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle 10gAS, .NET
Computers / Automation	Service Platform and Infrastructure	Delivery Servers	Web Servers	Oracle 10gAS, IIS

Management				
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Oracle JDeveloper
Software Development	Service Platform and Infrastructure	Software Engineering	Modeling	All Fusion, Oracle JDeveloper
Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	Mercury Interactive
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Peregrine
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000/2003, Windows .NET
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Independent	Linux

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? **no**
 - a. If "yes," please describe. **n/a**
6. Does this investment provide the public with access to a government automated information system? **yes**
 - a. If "yes," does customer access require specific software (e.g., a specific web browser version)? **no**
 1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access

this investment by any software (i.e. to ensure equitable and timely access of government information and services). **N/A**

Part II: Planning, Acquisition And Performance Information

Section A: Alternatives Analysis

1. Did you conduct an alternatives analysis for this project? **yes**
 - a. If "yes," provide the date the analysis was completed? **Oct 31, 2006**
 - b. If "no," what is the anticipated date this analysis will be completed? [**Not answered**]
 - c. If no analysis is planned, please briefly explain why: **n/a**

2. Alternatives Analysis Results:			
Alter native Analy zed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Altern ative 1	This is recommended alternative comprised within this exhibit. The benefits estimate relates only to that portion of the benefits that is most directly quantifiable and does not include O+M costs as a benefit, although there is no feasible alternative to operating PBGC's IT infrastructure.	386.5	22.2
Altern ative 2	This alternative relates to PBGC's effort to develop a Combined Infrastructure and Technology Contract. This contract was designed to consolidate four current contracts that provide support to the enterprise infrastructure. This contract would have replaced portion of the current O+M of this investment. The lifecycle cost estimate is based on a projected cost of \$30 M per year for 6 years. The benefits estimate is incomplete because the CITC process was not completed, as detailed below.	180	10
Altern ative 3	This alternative encompasses the costs of continuing to operate the O+M portion of the Enterprise Infrastructure investment but without funding the DME portion. Given that the O+M portion of EI comprises PBGC entire IT foundation, there is no realistic alternative to at least continuing to operate the systems and infrastructure currently in place. The lifecycle benefit is listed as equal to	308.34	308.34

	the costs due to this.		
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3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **Alternative 1 was chosen to allow for at least some level of DME relating to this investment. Changes in application methodology, such as the move from "thick client" client server applications to web-based application portals, and changes in infrastructure technology require PBGC to go beyond mere replacement of aging infrastructure in response to "break-fix" situations, and even beyond purchase of additional infrastructure components due to growth-driven capacity increases. Introducing those items requires some level of engineering, which forms the primary portion of the DME aspect of this investment. PBGC's alternatives analysis was completed but will be subject to review due to change in leadership. The CITC alternative might have been chosen instead but PBGC's CIO resigned in May of 2006. The next immediate acting CIO retired in October of 2006. It was decided during that time that a decision of this magnitude would legitimately be the purview of the incoming permanent CIO.**
4. What specific qualitative benefits will be realized? **The investment will simplify PBGC's IT infrastructure, and provide monitoring of servers, data communications equipment & services, allowing centralized analysis and reporting on capacity, volume and uptime to more efficiently manage PBGC's infrastructure. It will provide central auditing/reporting; begin standardization of security policy enforcement; monitor all user access credentials through an enterprise view; increase productivity by automating access-rights; decrease risk to internal security breaches; provide a single point of security administration for password synchronization, reset and propagation; and provide automated work flow environment for account administration. It reduces operational costs because it enables new business processes and initiatives to share hardware, software and data. The design yields platform neutrality enabling support of diverse applications, thus improving efficiencies. It will also improve both internal staff and external customer experiences by allowing for more efficient processing and fewer system outages.**

Section B: Risk Management

1. Does the investment have a Risk Management Plan? **no**
 - a. If "yes," what is the date of the plan? **[Not answered]**
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? **no**
 - c. If "yes," describe any significant changes: **[Not answered]**
2. If there currently is no plan, will a plan be developed? **yes**
 - a. If "yes," what is the planned completion date? **Mar 31, 2007**
 - b. If "no," what is the strategy for managing the risks? **[Not answered]**

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: **A Risk Management Plan is currently under development with an anticipated completion date of 03/31/2007. The Enterprise Infrastructure project manager will work within the allocated budget to determine activities that can be supported for the year. The budget will be divided into areas of support, which will be aligned with the project schedule. The schedule will track activities relating to risk, specifically: MOUs and ISAs, OMB reporting, application and data releases, partner working groups and meetings, and overall project management. Each of Enterprise Infrastructure fiscal year goals will be tracked in the project schedule so as to ensure on-time and on-budget delivery. The investment's scope, schedule, and cost will be reviewed and baseline through the initiative's oversight and governance procedures. In addition, the milestones will be reported to OMB through the OMB Dashboard and Milestone reporting process. The tasks' scope and completion are validated, and the cost and schedule are tracked using earned value management. Section B of this Exhibit 300 will be included in the enterprise plans of actions of milestones (POA&M).**

Section C: Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard - 748? **no**
2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):
 - a. What is the Planned Value (PV)? **4.95**
 - b. What is the Earned Value (EV)? **6.56**
 - c. What is the actual cost of work performed (AC)? **6.56**
 - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor and Government**
 - e. "As of" date: **Sep 30, 2006**
3. What is the calculated Schedule Performance Index (SPI= EV/PV)? **1.33**
4. What is the schedule variance (SV = EV-PV)? **1.61**
5. What is the calculated Cost Performance Index (CPI = EV/AC)? **1**
6. What is the cost variance (CV = EV-AC)? **1**
7. Is the CV% or SV% greater than $\pm 10\%$? (CV%= CV/EV x 100; SV%= SV/PV x 100) **no**
 - a. If "yes," was it the? **Both**
 - b. If "yes," explain the variance: **The variance is due to an increase in actual cost versus planned cost for one component of the DME portion from approximately \$200K to approximately \$3 M. This was partially off-set by a reduction in another component of the DME portion but not totally. The**

increase was required to support the largest application development and deployment effort in the Agency's history.

- c. If "yes," what corrective actions are being taken? **The major corrective action being taken is to use the SLCM to more accurately capture infrastructure support cost related to major application development and deployment efforts.**
 - d. What is most current "Estimate at Completion"? **6.56**
8. Have any significant changes been made to the baseline during the past fiscal year? **no**
- a. If "yes," when was it approved by OMB? **n/a**

9. Comparison of Initial Baseline and Current Approved Baseline:									
Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date	Total Cost (\$M) Estimated	Completion Date Planned/Actual		Total Cost (\$M) Planned/Actual		Schedule/Cost (# days/\$M)		
Planning	Sep 30, 2005	0.2	Sep 30, 2005	Sep 30, 2005	0.2	0.1	0	-0.1	100
Acquisition	Sep 30, 2005	10	Sep 30, 2005	Sep 30, 2005	10	10	0	0	100
Maintenance	Sep 30, 2005	32.5	Sep 30, 2005	Sep 30, 2005	32.5	32.5	0	0	100
Infrastructure Modernization FY-2006	Sep 30, 2006	4.95	Sep 30, 2006	Sep 30, 2006	4.95	6.56	0	1.61	100
Infrastructure Operations FY-2006	Sep 30, 2006	41.02	Sep 30, 2006	Sep 30, 2006	41.02	[Not answered]	[Not answered]	[Not answered]	100
Infrastructure Modernization FY-2007	Sep 30, 2007	6.78	Sep 30,	[Not answered]	6.78	[Not answered]	[Not answered]	[Not answered]	25

2007			2007	ed]		ed]	ed]	ed]	
Infrastructure Operations FY-2007	Sep 30, 2007	40.63	Sep 30, 2007	[Not answered]	40.63	[Not answered]	[Not answered]	[Not answered]	25
Infrastructure Modernization FY-2008	Sep 30, 2008	8.69	Sep 30, 2008	[Not answered]	8.69	[Not answered]	[Not answered]	[Not answered]	0
Infrastructure Operations FY-2008	Sep 30, 2008	39.39	Sep 30, 2008	[Not answered]	39.39	[Not answered]	[Not answered]	[Not answered]	0