

Exhibit 300 (BY2009)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-05-23
2. Agency:	015
3. Bureau:	57
4. Name of this Capital Asset:	Fiscal Management 09
5. Unique Project Identifier:	015-57-01-01-01-3060-00
<i>6. What kind of investment will this be in FY2009?</i>	
Operations and Maintenance	
<i>7. What was the first budget year this investment was submitted to OMB?</i>	
FY2009	
<i>8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.</i>	
<p>The OCC Fiscal Management 09 investment is a steady state system which integrates all major OCC financial management systems based on best practices of industry and Government. In 2005-2006, the original Fiscal Management investment business case was built around the strategy to move the OCC financial management systems support to the Bureau of the Public Debt's Administrative Resource Center (ARC). The business case for moving to ARC for platform services was developed after consideration of several key factors such as the quality and capability of ARC's Oracle and PRISM system solution as opposed to the instability of the OCC's PeopleSoft Financial System; ARC's low conversion and ongoing maintenance costs; and OMB guidance strongly supporting the use of shared service providers among other factors. However, because of issues that were beginning to emerge during the transition, an assessment team was appointed by OCC to perform a review of the ARC migration project. After the review the assessment team recommended that OCC terminate the migration project for several reasons which included implementation schedule delays, OCC's interface requirements and significant ARC cost increases. In the interim OCC learned that the issue of instability related to PeopleSoft Financial Systems had been corrected and that Oracle will continue to support People Soft for the next several years. Thus the assessment team concluded that the OCC can remain with the current steady system with no migration for the next several years. Since the FY05-06 business case is no longer applicable as a result of the assessment teams' recommendations and OCC's concurrence with the recommendation, OCC has developed a new business case to present to OMB titled 'Fiscal Management 09'. The project team is working to update or is completing the update of artifacts associated with the new business case as a result of this changed strategy. The investment as described in this 300 business case continues to meet the OCC and Treasury strategic goal of preserving the integrity of financial systems and it is in alignment with current OCC Enterprise Architecture. The investment is the integration of all major OCC financial management systems based on the best practices of industry and government and has transitioned from commercial GAAP to FedGAAP accounting rules. Its core components include commercial-off-the-shelf products.</p>	
<i>9. Did the Agency's Executive/Investment Committee approve this request?</i>	
yes	
<i>9.a. If "yes," what was the date of this approval?</i>	
2007-08-16	
<i>10. Did the Project Manager review this Exhibit?</i>	
yes	
<i>11. Project Manager Name:</i>	
Vlasov, Marina	
<i>Project Manager Phone:</i>	
202-875-5071	
<i>Project Manager Email:</i>	
Marina.Vlasov@occ.treas.gov	
<i>11.a. What is the current FAC-P/PM certification level of the project/program manager?</i>	

TBD	
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	
yes	
12.a. Will this investment include electronic assets (including computers)?	
yes	
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
no	
13. Does this investment directly support one of the PMA initiatives?	
yes	
If yes, select the initiatives that apply:	
Financial Performance	
Human Capital	
13.a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)	
In an effort to support the President's Management Agenda, components of this investment were reengineered and realigned with the PMA #1 "Human Capital" and #3 and "Financial Performance". The automation of several components will enhance the fair presentation of the financial position of the OCC and the results of it's operations and cash flows, thereby reducing the time it takes to process, record, and report financial data and to make this information available for decision making.	
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?	
no	
15. Is this investment for information technology?	
yes	
16. What is the level of the IT Project (per CIO Council's PM Guidance)?	
Level 1	
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)	
(1) Project manager has been validated as qualified for this investment	
18. Is this investment identified as high risk on the Q4 - FY 2007 agency high risk report (per OMB memorandum M-05-23)?	
no	
19. Is this a financial management system?	
yes	
19.a. If yes, does this investment address a FFMIA compliance area?	
yes	
19.a.1. If yes, which compliance area:	
* Preparation of financial statements and other required financial and budget reports * Provide reliable and timely financial information * Account for their assets reliably * Consistent with federal accounting standards and the SGL.	
19.b. If yes, please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A11 section 52.	
Management and Accountability Reporting Tool (\$SMART) Travel Expense Reporting System (TERS) Time and Attendance (eTime) OCRMS (Relocation Management System)	
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	
Hardware	0
Software	0
Services	100
Other	0

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

no

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

Name

Jim Devlin

Phone Number

202 874 5013

Title

Chief Privacy Officer (CPO)

Email

Jim.Devlin@occ.treas.gov

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

no

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

no

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

	PY-1 & Earlier	PY	CY
	-2006	2007	2008
Planning Budgetary Resources	0.000	0.000	0.000
Acquisition Budgetary Resources	0.000	0.000	0.000
Maintenance Budgetary Resources	0.000	0.000	2.335
Government FTE Cost	0.000	0.000	0.152
# of FTEs	0	0	2

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding Measurement Area and Measurement Grouping identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2008	Preserve the Integrity of Financial Systems	Mission and Business Results	Reporting and Information	Percent of financial discrepancies corrected before month-end	0%	80%	To be reported end of FY08
2	2008	Preserve the Integrity of Financial Systems	Customer Results	Accuracy of Service or Product Delivered	Percentage of customers surveyed report very satisfied with the application	No baseline has been established	80% of customers report very satisfied	To be reported end of FY08
3	2008	Preserve the Integrity of Financial Systems	Processes and Activities	Knowledge Management	Percent of \$SMART users formally trained in functional knowledge of \$SMART	20%	40% Trained	Results to be provided end of FY08
4	2008	Preserve the Integrity of Financial Systems	Technology	Reliability	Percent of end user issues remediated or eliminated by end of each quarter	70%	80%	Results to be provided each quarter FY08
5	2009	Preserve the Integrity of Financial Systems	Mission and Business Results	Reporting and Information	Percent of financial discrepancies corrected before month-end	Results from FY08 Measure	85%	Provided at the end of FY09
6	2009	Preserve the Integrity of Financial Systems	Customer Results	Accuracy of Service or Product Delivered	Percent of customers surveyed report very satisfied with the application	Results from FY08 Survey	85% of customers very satisfied	Results to be provided end of FY09
7	2009	Preserve the Integrity of Financial Systems	Processes and Activities	Knowledge Management	Percent of \$SMART users formally trained in functional knowledge of \$SMART	To be provided end FY08	50% Trained	Not observed at this time.
8	2009	Preserve the Integrity of Financial Systems	Technology	Reliability	Percent of end user issues remediated or eliminated by end of each quarter	Baseline from FY08	85%	Results to be provided each quarter FY09

9	2010	Preserve the Integrity of Financial Systems	Mission and Business Results	Reporting and Information	Percent of financial discrepancies corrected before month-end	Results from FY09 Measurement	87%	Results to be provided end of FY10
10	2010	Preserve the Integrity of Financial Systems	Customer Results	Accuracy of Service or Product Delivered	Percentage of customers surveyed report very satisfied with the application	Results from FY09 Survey	90% of customers very satisfied	Results to be provided end of FY10
11	2010	Preserve the Integrity of Financial Systems	Processes and Activities	Knowledge Management	Percent of \$SMART users formally trained in functional knowledge of \$SMART	To be provided end FY09	60% Trained	Results to be provided end of FY10
12	2010	Preserve the Integrity of Financial Systems	Technology	Reliability	Percent of end user issues remediated or eliminated by end of each quarter	Baseline from FY09	88%	Results to be provided each quarter FY10

EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

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

yes

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

yes

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

Fiscal Management

2.b. If no, please explain why?

The EA Transition Plan has not been finalized as of the date of this submission. There will be an approved plan in the near future. The OCC EA Program Charter was just recently approved and the follow-on program documentation is in the pipeline.

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

no

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

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Billing and Accounting	Support the charging, collection and reporting of an organization's accounts	Financial Management	Billing and Accounting			No Reuse	50
2	Payroll	Involve the administration and determination of employees compensation	Financial Management	Payroll			No Reuse	30
3	Expense Management	Support the management and reimbursement of costs paid by employees or an organization	Financial Management	Expense Management			No Reuse	10
4	Payment/Settlement	Support the process of account payable	Financial Management	Payment / Settlement			No Reuse	10

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

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Billing and Accounting	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
2	Billing and Accounting	Service Access and Delivery	Access Channels	Collaboration / Communications	Electronic Mail(E-Mail)
3	Billing and Accounting	Service Access and Delivery	Delivery Channels	Intranet	Microsoft IE6.0
4	Billing and Accounting	Service Access and Delivery	Service Requirements	Legislative / Compliance	Authentication/Single Sign-on (SSO)
5	Billing and Accounting	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Mail Transfer Protocol (SMTP)
6	Billing and Accounting	Service Access and Delivery	Service Transport	Service Transport	Lightweight Directory Access Protocol (LDAP)
7	Billing and Accounting	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS OS Windows 2000

8	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Web Servers	BEA Weblogic 8.0, BEA Tuxedoe 8.0
9	Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management and Issue Management
10	Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	MS RDBMS 2000
11	Billing and Accounting	Service Access and Delivery	Service Transport	Supporting Network Services	Domain Name System (DNS)
12	Billing and Accounting	Service Access and Delivery	Service Transport	Supporting Network Services	Hyper Text transfer Protocol Secure (HTTPS)
13	Billing and Accounting	Service Access and Delivery	Service Transport	Supporting Network Services	File Transfer Protocol (FTP)
14	Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Issue Management
15	Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Test Management	Functional/Business Testing
16	Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	SQL Server 2000
17	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
18	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM)
19	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk drive
20	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Micro Processor
21	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disk (RAID)
22	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Asynchronous Transfer Mode (ATM)
23	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
24	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Token Ring
25	Billing and Accounting	Component Framework	Presentation / Interface	Static Display	Hyper Text Markup Language (HTML)
26	Billing and Accounting	Component Framework	Presentation / Interface	Static Display	Portable Document Framework (PDF/A/X)
27	Billing and Accounting	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
28	Billing and Accounting	Component Framework	Data Management	Database Connectivity	Object Linking and Embedding/Database (OLLE/DB)
29	Billing and Accounting	Service Interface and Integration	Interoperability	Data Format / Classification	Electronic Data Interchange (EDI)
30	Billing and Accounting	Service Interface and Integration	Interoperability	Data Format / Classification	Crystal Report
31	Billing and Accounting	Service Interface	Interoperability	Data Format /	MS Excel

	Accounting	and Integration		Classification	
32	Expense Management	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
33	Expense Management	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
34	Expense Management	Service Access and Delivery	Service Transport	Service Transport	Hyper Text Transfer Protocol (HTTP)
35	Expense Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
36	Expense Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	HQPSFINSQL01
37	Expense Management	Service Platform and Infrastructure	Database / Storage	Database	SQL Server 7.0
38	Expense Management	Component Framework	Presentation / Interface	Content Rendering	PDF 5.0
39	Expense Management	Component Framework	Data Interchange	Data Exchange	Simple Object Access Protocol (SOAP)
40	Expense Management	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
41	Expense Management	Component Framework	Data Management	Database Connectivity	MS - SQL 7 Client
42	Expense Management	Service Interface and Integration	Interoperability	Data Format / Classification	eXtensible Markup Language (XML)
43	Expense Management	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema
44	Expense Management	Service Interface and Integration	Interface	Service Description / Interface	WEB Services Description Language (WSDL)
45	Payment / Settlement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
46	Payment / Settlement	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer
47	Payment / Settlement	Component Framework	Business Logic	Platform Dependent	Visual Basic
48	Payment / Settlement	Component Framework	Business Logic	Platform Dependent	VB Script
49	Payroll	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Client Concentrator
50	Payroll	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
51	Payroll	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
52	Payroll	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
53	Payroll	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Visual Studio.NET
54	Payroll	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Visual C#.NET

55	Payroll	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Hub, Switch, Router, NIC, Gateway, DSL, Firewall
56	Payroll	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP)
57	Payroll	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .NET (ASP.NET)
58	Payroll	Component Framework	Business Logic	Platform Independent	JavaScript & Java Servlet (JST 53)
59	Payroll	Component Framework	Business Logic	Platform Dependent	C Sharp (C#)
60	Payroll	Service Interface and Integration	Integration	Middleware	Active Data Objects .NET (ADO.NET)

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

no

PART THREE

RISK

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

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

1. Does the investment have a Risk Management Plan?

yes

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

2006-11-28

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

yes

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

Yes, the risk management plan has changed. The significant change is the result of a different strategy OCC has implemented based on the recommendations of an OCC assessment team. This recommendation terminated the migration of Fiscal Management to BPD and has retained the investment in a steady state mode on its current platform with no migration plans for several years. Thus the new risk management plan focuses on vulnerabilities related to steady statement investments such as technical obsolescence and interoperability among other risks. This new risk identification and management plan is being finalized during the 1st QTR FY08 and will be attached to the ProSight Resource Library.

COST & SCHEDULE

1. Was operational analysis conducted?

no

1.c. If no, please explain why it was not conducted and if there are any plans to conduct operational analysis in the future.

Fiscal Management was scheduled for migration to the Bureau of Public Debt's Center of Excellence in FY08. In the 2nd Quarter of FY07 the business unit decided not to proceed with the migration and to postpone all migration activities until further notice. The financial system will be accessed in it's as is state and a decision on next steps in anticipated prior to the end of FY08. The CPIC team will be preping this investment for an operational analysis in the interim.