Exhibit 300 (BY2009)

PART ONE	
OVERVIEW	
1. Date of Submission:	2006-11-07
2. Agency:	015
3. Bureau:	05
4. Name of this Capital Asset:	Securities Management
5. Unique Project Identifier:	015-05-01-11-01-7003-00

6. What kind of investment will this be in FY2009?
Planning
7. What was the first budget year this investment was submitted to OMB?
FY2009
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 Office of Debt Management (ODM) provides advice and analysis to senior Treasury officials, related to: the Treasury's debt management policy, the marketing of Treasury and federally-related securities, and financial market research; produces Treasury's official yield curve and setting interest rates for Federal borrowing and lending programs; and advises on regulation of the Government securities market. The Securities Management and Retrieval Technology (SMART) is the primary system for accomplishing ODM's core functions. SMART is a data warehouse that has several interconnected applications. The system consists of over 60 reports, 80 forms, 120 PL/SQL modules, and 60 Oracle Discoverer Workbooks. ProForma is a separate system of the Securities view of the SMART data. The long-term ProForma model currently generates 20 reports that provide interest costs, marketable debt outstanding, gross issue and maturity amounts, and cash financing requirements of the government. The model also incorporates growth of Fed investment in Treasury securities and makes assumptions about Fed reinvestment behavior that allows results to be calculated and displayed for amounts of outstanding Treasury debt. Because SMART and ProForma were previously considered two separate systems under the consolidated infrastructure, historical costs are associated with the non-major investment. With these modifications ProForma, a rider system to SMART, will be combined and reported as a major investment. A study was performed in FY 2006 to assist in determining the best course of action to accomplish this.
9. Did the Agency's Executive/Investment Committee approve this request?
yes
9.a. If "yes," what was the date of this approval?
2007-08-16
10. Did the Project Manager review this Exhibit?
yes
11. Project Manager Name:
Pietrangeli, Fred
Project Manager Phone:
202-622-0695
Project Manager Email:
caroline.watson@do.treas.gov
11.a. What is the current FAC-P/PM certification level of the project/program manager?
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?	
no	
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?)	
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)	
(4) Project manager assigned but qualification status review has not yet started	
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?	
no	
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	
Dale Underwood	
Phone Number	
202-622-0876	
Title	
Privacy Act Officer	
Email	
dale.underwood@do.treas.gov	
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	
yes	
24. Does this investment directly support one of the GAO High Risk Areas?	
no	

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	0.000
Government FTE Cost	0.000	0.000	0.000
# of FTEs	0	0	0

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?

yes

2.a. If "yes," how many and in what year?

At least 3 FTE in FY 2009.

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

This investment did not exist prior to FY 2009, therefore there was no summary of spending in the FY 2008 President's budget request.

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	2009	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Financial Sector Oversight	Improve efficiency by Reduced reporting errors	# of errors in 2009	100% accuracy	
2	2009	Manage the U.S.	Customer Results	Response Time	Respond to Sr. management	# of management	100 % on time	

#	Year	Goal						
		Government's Finances Effectively			on time 100% of the time	requests in 2009		
3	2009	Manage the U.S. Government's Finances Effectively	Processes and Activities	Productivity	Increase productivity 10%	Establish in FY 2009	FY 2009 time & motion results	
4	2009	Manage the U.S. Government's Finances Effectively	Technology	Reliability	Reduce average borrowing rate to US Government over previous year	FY 2008	Lower than 2008	
5	2010	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Financial Sector Oversight	Improve efficiency by Reduced reporting errors	# of errors in 2010	100% accuracy	
6	2010	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Respond to Sr. management on time 100% of the time	# of management requests in 2010	100 % on time	
7	2010	Manage the U.S. Government's Finances Effectively	Processes and Activities	Productivity	Increase productivity 30% by 2012	costs savings/avoidace determined in 2009	30% by 2012	
8	2010	Manage the U.S. Government's Finances Effectively	Technology	Reliability	Reduce average borrowing rate to US Government over previous year	FY 2009	Lower than 2009	
9	2011	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Financial Sector Oversight	Improve efficiency by Reduced reporting errors	# of errors in 2011	100% accuracy	
10	2011	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Respond to Sr. management on time 100% of the time	# of management requests in 2011	100 % on time	
11	2011	Manage the U.S. Government's Finances Effectively	Processes and Activities	Productivity	Increase productivity 30% by 2012	costs savings/avoidace determined in 2010	30% by 2012	
12	2011	Manage the U.S. Government's Finances Effectively	Technology	Reliability	Reduce average borrowing rate to US Government over previous year	FY 2010	Lower than 2010	

13	2012	Manage the U.S. Government's Finances Effectively	Mission and Business Results	Financial Sector Oversight	Improve efficiency by Reduced reporting errors	# of errors in 2012	100% accuracy	
14	2012	Manage the U.S. Government's Finances Effectively	Customer Results	Response Time	Respond to Sr. management on time 100% of the time	# of management requests in 2012	100 % on time	
15	2012	Manage the U.S. Government's Finances Effectively	Processes and Activities	Productivity	Increase productivity 30% by 2012	costs savings/avoidace determined in 2011	30% by 2012	
16	2012	Manage the U.S. Government's Finances Effectively	Technology	Reliability	Reduce average borrowing rate to US Government over previous year	FT2011	Lower than 2011	

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.

Securities Management And Retrieval Technology/ProForma

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	Decision Support	Decision support	Business Intelligence	Decision Support and Planning			No Reuse	15
2	Decision Support	Decision Support	Analysis and Statistics	Mathematical			No Reuse	20
3	Decision Support	Decision Support	Knowledge Discovery	Modeling			No Reuse	20
4	Decision Support	Decision Support	Reporting	Standardized / Canned			No Reuse	20
5	Decision Support	Decision Support	Visualization	Graphing / Charting			No Reuse	5
6	Decision Support	Decision Support	Data Management	Data Warehouse			No Reuse	20

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	Decision Support and Planning	Component Framework	Data Management	Reporting and Analysis	

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

no

PART TWO

RISK

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

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

1. Does the investment have a Risk Management Plan?

no

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

no

2. If there is currently no plan, will a plan be developed?

yes

2.a. If yes, what is the planned completion date?

2009-09-30

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

Risks were not included in the original estimates based on a feasibility study. They will be included and costs adjusted before development begins.

COST & SCHEDULE
1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?
no
2. Is the CV% or SV% greater than ± 10%?
no
3. Has the investment re-baselined during the past fiscal year?
no