

# PBGC - Premium Accounting

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

## Section A: Overview

1. Date of submission: **Sep 10, 2006**
2. Agency: **012**
3. Bureau: **12**
4. Name of this Capital Asset: **PBGC - Premium Accounting**
5. Unique Project (Investment) Identifier: **012-12-01-01-01-2065-00**
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? **FY2007**
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: **PBGC's Capital Planning and Investment Control executive management has decided that a complete redesign of the Premium Accounting system and business process must be done. As it currently exists, the Premium Accounting System (PAS) relies heavily on manual processes. Beyond reducing the unnecessary expense and delays involved with an aging manual system, the Premium & Practitioner System redesign project will move the premium payment process into a new phase of customer service and will facilitate integration with other PBGC financial accounting systems. The redesign of the Premium Accounting system will provide an on-line transaction based system that will be able to process hardcopy (paper) premium filings as well as electronically filed premiums submitted over the Web. The proposed architecture of the new Premium & Practitioner System (PPS) will enable the system to interface with My Plan Administration Account (My PAA), which is the front-end application for the premium system. My Plan Administration Account (My PAA), PBGC's Web-based application for practitioners to file electronically,, transfers data to the premium system for processing. My PAA provides several e-filing options that enable premium filers to electronically file in accordance with PBGC's mandatory e-filing regulation that was effective July 1, 2006. This regulation requires large plans to e-file for plan years beginning plan year 2006 and for all plans to e-file for plan years beginning 2007. My PAA will continue to be enhanced to incorporate legislative requirements and to provide desired features which better meet the business needs of premium filers. My PAA supports the President's Management Agenda to expand electronic government and contributes to more accurate and timely premium filings, more accurate and timely invoices and notices, improved business operations, and reduced mailing costs for our customers.**
9. Did the Agency's Executive/Investment Committee approve this request? **yes**

- a. If "yes," what was the date of this approval? **May 10, 2006**
10. Did the Project Manager review this Exhibit? **yes**
11. Contact information of Project Manager?
- Name **Scott Byrum (PPS); Daryl Ott (MyPAA)**
- Phone Number **202-326-4130; 202-326-4130**
- E-mail **byrum.scott@pbgc.gov; ott.daryl@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? **no**
- Expanded E-Government**
- Financial Performance**
- a. Briefly describe how this asset directly supports the identified initiative(s)?
- Financial Performance: improves accuracy of premium data, reduces cost of administration; reduces amount of time needed to determine premium income, receivables and payables, to meet the accelerated reporting objectives. Expanded E-Government: creates a central repository for data, reduces reporting burden for practitioners, enables PBGC to share information with other government agencies. Web-based front-end app used by filers to submit premium filings under mandatory e-filing regulation.**
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part](http://www.whitehouse.gov/omb/part).) **yes**
- 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 Corporation**
- c. If "yes," what rating did the PART receive? **Moderately Effective**
15. Is this investment for information technology? **yes**

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) **Level 2**
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(1) Project manager has been validated as qualified for this investment**
18. Is this investment 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? **yes**
  - a. If "yes," does this investment address a FFMIA compliance area? **no**
    1. If "yes," which compliance area: **Integration of Financial Systems**
    2. If "no," what does it address? **[Not answered]**
  - b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52 **Premium Accounting System (PAS)**
20. What is the percentage breakout for the total FY2008 funding request for the following?  
Hardware**1**  
Software**1**  
Services**98**  
Other**0**
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? **n/a**
22. Contact information of individual responsible for privacy related questions:

Name **Philip Hertz**

Phone Number **202-326-4000**

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? **yes**

## Section B: Summary of Spending

1.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	<b>PY-1 and earlier</b>	<b>PY 2006</b>	<b>CY 2007</b>	<b>BY 2008</b>	<b>BY+1 2009</b>	<b>BY+2 2010</b>	<b>BY+3 2011</b>	<b>BY+4 and beyond</b>	<b>Total</b>
Planning:	6.76	0.83	0	0	0	0	0	0	7.59
Acquisition:	7	7.25	1.61	2.17	2.33	2.04	2.01	1.98	26.39
Subtotal Planning & Acquisition:	13.76	8.08	1.61	2.17	2.33	2.04	2.01	1.98	33.98
Operations & Maintenance:	1.51	1.06	1.76	1.84	2.1	2.39	2.42	2.45	15.53
<b>TOTAL:</b>	<b>15.27</b>	<b>9.14</b>	<b>3.37</b>	<b>4.01</b>	<b>4.43</b>	<b>4.43</b>	<b>4.43</b>	<b>4.43</b>	<b>49.51</b>
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	0.39	0.4	0.4	0.4	0.42	0.42	0.43	0.44	3.3
Number of FTE represented by Costs:	4	4	4	4	4	4	4	4	32

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: **No significant change**

Section C: Acquisition/Contract Strategy

1. @import url( /itweb/resources/app.css );

<b>Contracts/Task Orders Table:</b>	
<b>Contract or Task Order Number</b>	CT-03-0681
<b>Type of Contract/Task Order</b>	CPFF
<b>Has the contract been awarded</b>	yes

<b>If so what is the date of the award? If not, what is the planned award date?</b>	Aug 1, 2003
<b>Start date of Contract/Task Order</b>	Aug 1, 2003
<b>End date of Contract/Task Order</b>	Sep 30, 2007
<b>Total Value of Contract/ Task Order (\$M)</b>	4.44
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	no
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	yes
<b>Does the contract include the required security &amp; privacy clauses?</b>	no
<b>Name of CO</b>	Kay Rison
<b>CO Contact information</b>	202-326-4000, rison.kay@pbgc.gov
<b>Contracting Officer Certification Level</b>	3
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	yes
<b>Contract or Task Order Number</b>	TBD
<b>Type of Contract/Task Order</b>	FFP
<b>Has the contract been awarded</b>	no
<b>If so what is the date of the award? If not, what is the planned award</b>	Sep 29, 2006

<b>date?</b>	
<b>Start date of Contract/Task Order</b>	Sep 29, 2006
<b>End date of Contract/Task Order</b>	Sep 30, 2010
<b>Total Value of Contract/ Task Order (\$M)</b>	8
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	yes
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	yes
<b>Does the contract include the required security &amp; privacy clauses?</b>	no
<b>Name of CO</b>	Kay Rison
<b>CO Contact information</b>	202-326-4000, rison.kay@pbgc.gov
<b>Contracting Officer Certification Level</b>	3
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	yes
<b>Contract or Task Order Number</b>	DO-01-030-0195
<b>Type of Contract/Task Order</b>	T&M
<b>Has the contract been awarded</b>	yes
<b>If so what is the date of the award? If not, what is the planned award date?</b>	Aug 29, 2003

<b>Start date of Contract/Task Order</b>	Aug 29, 2003
<b>End date of Contract/Task Order</b>	Sep 30, 2007
<b>Total Value of Contract/ Task Order (\$M)</b>	2.17
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	no
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	no
<b>Does the contract include the required security &amp; privacy clauses?</b>	no
<b>Name of CO</b>	Kay Rison
<b>CO Contact information</b>	202-326-4000, rison.kay@pbgc.gov
<b>Contracting Officer Certification Level</b>	3
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	yes
<b>Contract or Task Order Number</b>	GS35F4594G
<b>Type of Contract/Task Order</b>	T&M
<b>Has the contract been awarded</b>	yes
<b>If so what is the date of the award? If not, what is the planned award date?</b>	Apr 1, 2006
<b>Start date of Contract/Task Order</b>	Apr 1, 2006

<b>End date of Contract/Task Order</b>	Sep 30, 2008
<b>Total Value of Contract/ Task Order (\$M)</b>	2.86
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	no
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	no
<b>Does the contract include the required security &amp; privacy clauses?</b>	yes
<b>Name of CO</b>	Kay Rison
<b>CO Contact information</b>	202-326-4000, rison.kay@pbgc.gov
<b>Contracting Officer Certification Level</b>	3
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	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: **The PAS contract does not report EV since it is a contract on steady state of maintenance and requires minimal development effort. Therefore the PAS contract does not meet any of the criteria set forth by the PMO office for reporting earned value.**
3. Do the contracts ensure Section 508 compliance? **yes**
  - a. Explain why: **Section 508 compliance is an explicit, mandatory requirement of the PPS. The system will be JFMIP compliant, and fully meets the following technical requirement: provide an application interface that complies with the software application standards required by Section 508 of the Rehabilitation Act, as detailed in 36 CFR 1194, Subpart B.**
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, 2003**

- b. If "no," will an acquisition plan be developed? [Not answered]  
 1. If "no," briefly explain why: [Not answered]

Section D: Performance Information

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned performance Metric (Target)	Performance Metric Results (Actual)
<i>There are no performance goals.</i>					

Performance Information Table 2:						
Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	3%	99% (expected)
2006	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	New baseline in 2006	68%
2006	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	New baseline in 2006	87% (expected)
2006	Technology	Functionality	Filings submitted electronically (E-Filing)	1%	4%	5% (expected)
2007	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD
2007	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	N/A	TBD

2007	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	3%	TBD
2007	Technology	Functionality	% of Premium Filings submitted electronically (E-Filing)	1%	29%	TBD
2008	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD
2008	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	N/A	TBD
2008	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	5%	TBD
2008	Technology	Functionality	% of Premium Filings submitted electronically (E-Filing)	1%	89%	TBD
2009	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD
2009	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	N/A	TBD
2009	Technology	Functionality	% of Premium Filings submitted electronically (E-Filing)	1%	94%	TBD
2010	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD
2010	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	1%	TBD
2010	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	10%	TBD
2010	Technology	Functionality	% of Practitioner Transactions submitted Electronically (E-Filing)	1%	94%	TBD
2011	Mission and Business	Collections and	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD

	Results	Receivables				
2011	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	2%	TBD
2011	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	11%	TBD
2011	Technology	Functionality	% of Premium Filings submitted electronically (E-Filing)	1%	94%	TBD
2012	Mission and Business Results	Collections and Receivables	% of Premium Filings and Payments posted within 30 days of receipt	87%	12%	TBD
2012	Customer Results	Customer Satisfaction	ACSI Score for Premium Filer Service	68%	2%	TBD
2012	Processes and Activities	Timeliness	% of premium refunds, waivers and reconsiderations processed within 45 days.	85%	12%	TBD
2012	Technology	Functionality	% of Premium Filings submitted electronically (E-Filing)	1%	94%	TBD

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: **2**
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**

<b>3. Systems in Planning - Security Table:</b>			
<b>Name of System</b>	<b>Agency/ or Contractor Operated System?</b>	<b>Planned Operational Date</b>	<b>Planned or Actual C&amp;A Completion Date</b>
Premium and Practitioner System - PPS	Contractor and Government	Sep 30, 2007	Sep 1, 2007

**4. Operational Systems - Security Table:**

<b>Name of System</b>	<b>Agency/ or Contractor Operated System?</b>	<b>NIST FIPS 199 Risk Impact level</b>	<b>Has C&amp;A been Completed, using NIST 800-37?</b>	<b>Date C&amp;A Complete</b>	<b>What standards were used for the Security Controls tests?</b>	<b>Date Complete(d) : Security Control Testing</b>	<b>Date the contingency plan tested</b>
Premium Accounting System (PAS)	Contractor and Government	Moderate	yes	May 9, 2003	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
My Premium Accounting Account (MyPAA)	Contractor and Government	Moderate	yes	Mar 9, 2004	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. OMB's approval is 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 PPS 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? **Not applicable, PBGC believes: none of these systems will be operated outside of PBGC control.**

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?
PAS	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
My PAA	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
PPS	yes	2. No.	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? [**Not answered**]
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. **Premium Practitioner System; MyPAA**
  - b. If "no," please explain why? [**Not answered**]

### 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		
PPS	Premium Collection and processing accounting system	Financial Management	Revenue Management	[Not answered]	[Not answered]	No Reuse	100
PPS	Premium Collection and processing accounting system	Financial Management	Auditing	[Not answered]	012-12-01-01-01-2065-00	Internal	100
PPS	Premium Collection and processing accounting system	Financial Management	Billing and Accounting	[Not answered]	012-12-01-01-01-2065-00	Internal	100
PPS	Premium Collection and processing accounting system	Financial Management	Payment / Settlement	[Not answered]	012-12-01-01-01-2065-00	Internal	100
MyPAA	Customer facing website for electronic filing of premiums due PBGC and the management of customer information related to premium filings	Financial Management	Credit / Charge	[Not answered]	[Not answered]	No Reuse	100
MyPAA	Customer facing website for electronic filing of premiums due PBGC and the management of customer information	Customer Initiated Assistance	Self-Service	[Not answered]	[Not answered]	No Reuse	100

	related to premium filings	e		ed]			
MyP AA	Customer facing website for electronic filing of premiums due PBGC and the management of customer information related to premium filings	Customer Relationship Management	Contact and Profile Management	[Not answered]	[Not answered]	No Reuse	100
MyP AA	Customer facing website for electronic filing of premiums due PBGC and the management of customer information related to premium filings	Content Management	Content Publishing and Delivery	[Not answered]	[Not answered]	No Reuse	100
IPS	Image processing and storage system for PBGC documents	Document Management	Document Conversion	[Not answered]	012-12-01-05-01-2075-00	Internal	0
IPS	Image processing and storage system for PBGC documents	Document Management	Document Imaging and OCR	[Not answered]	012-12-01-05-01-2075-00	Internal	0
IPS	Image processing and storage system for PBGC documents	Document Management	Indexing	[Not answered]	012-12-01-05-01-2075-00	Internal	0
IPS	Image processing and storage system for PBGC documents	Document Management	Library / Storage	[Not answered]	012-12-01-05-01-2075-00	Internal	0
IPS	Image processing and storage system for PBGC documents	Records Management	Document Classification	[Not answered]	012-12-01-05-01-2075-00	Internal	0
IPS	Image processing and storage system for PBGC documents	Records Management	Record Linking /	[Not answered]	012-12-01-	Internal	0

		ment	Associati on	ans wer ed]	05-01- 2075- 00		
eAL G	Letter generation and management service	Routing and Scheduli ng	Outbound Correspo ndence Managem ent	[No t ans wer ed]	012- 12-01- 05-01- 2075- 00	Internal	0

#### 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
Computers / Automation 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
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	Service Interface and Integration	Interoperability	Data Format / Classification	XML
Data Exchange	Service Interface and Integration	Interface	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 Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Oracle 10gAS, IIS
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay
Network 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; PVCS Version Manager
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. [**Not answered**]
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). **No specific software is required.**

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? **Apr 14, 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: [**Not answered**]

<b>2. Alternatives Analysis Results:</b>			
<b>Alternative Analyzed</b>	<b>Description of Alternative</b>	<b>Risk Adjusted Lifecycle Costs estimate</b>	<b>Risk Adjusted Lifecycle Benefits estimate</b>
Baseline	Status quo	27.77	21.74
Alternative #1 (Recommended Approach)	Complete business process redesign, complete PAS redesign; implement as a COTS / custom solution. Enhance MyPAA to implement of mandatory premium e-filing, to be in compliance with legislation, address customer feedback, improve customer compliance / satisfaction, and realize maximum benefits and cost savings (e.g., improve premium collections with online notices and processes). In addition, continue with "steady state" including updates to each year's premium	34.23	43.26

	filing requirements.		
Alternative 2	Continue as usual; apply changes (bug fixes and enhancements) to PAS.. Continue with “steady state” including items incorporating each year’s new basic premium filing requirements and application maintenance and support. Implement most minimal enhancements to support mandatory premium e-filing.	24.03	18.2

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **For this investment, Alternative 1 was chosen. Implementing the new PPS and enhancing My PAA will result in the following improvements: improved accuracy (of premium records), improved timeliness (filings, refunds, invoices, notices), improved efficiency (of internal processing, lowered system maintenance requirements), faster collections, and improved customer satisfaction. In addition, the investment on PPS and MyPAA will support PBGC’s mandatory e-filing regulation that was effective 7/1/2006 (in accordance with the President’s Management Agenda to expand electronic government). Large plane must e-file starting plan year 2006; while all plans must e-file starting plan year 2007. Net Present Value (NPV): 6.5 Return on Investment (ROI): 120% Payback Period: 5 years 5 months**
4. What specific qualitative benefits will be realized? **The following benefits will be realized: less documents to data capture/scan, less suspended transactions, less data corrections, less manual review of notices prior to mailing, less printing and postage costs, and additional premiums and late payment charges collected sooner.**

#### Section B: Risk Management

1. Does the investment have a Risk Management Plan? **yes**
  - a. If "yes," what is the date of the plan? **Aug 15, 2005**
  - 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? **[Not answered]**
  - a. If "yes," what is the planned completion date? **[Not answered]**
  - b. If "no," what is the strategy for managing the risks? **[Not answered]**
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: **A revised Risk Management Plan is currently under development with an anticipated completion date of 03/31/2007. The PA 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 Risk Management Early Warning / Legal Matter Management 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)? **1.75**
  - b. What is the Earned Value (EV)? **1.76**
  - c. What is the actual cost of work performed (AC)? **1.74**
  - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor Only**
  - e. "As of" date: **Sep 29, 2006**
3. What is the calculated Schedule Performance Index (SPI= EV/PV)? **0.99**
4. What is the schedule variance (SV = EV-PV)? **0.01**
5. What is the calculated Cost Performance Index (CPI = EV/AC)? **1**
6. What is the cost variance (CV = EV-AC)? **0.02**
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? [**Not answered**]
  - b. If "yes," explain the variance: [**Not answered**]
  - c. If "yes," what corrective actions are being taken? [**Not answered**]
  - d. What is most current "Estimate at Completion"? **8.39**
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? [**Not answered**]

**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)				
1. Definition	Dec 12, 2003	0.75	Dec 12, 2003	Dec 12, 2003	0.75	0.53	0	0.22	100
2. Plan	Jun 4, 2004	2.75	Sep 29, 2006	Sep 29, 2006	0.83	0.83	0	0	100
2a. Detailed Functional Design	Jan 31, 2006	1.16	Feb 15, 2006	Feb 15, 2006	0.5	0.5	0	0	100
2b. Detailed Functional Design Updates	Sep 5, 2006	0.15	Sep 5, 2006	Sep 5, 2006	0.15	0.15	0	0	100
2c. SOW for development RFP	May 1, 2006	0.1	May 1, 2006	May 1, 2006	0.1	0.1	0	0	100
2d. Bidders evaluation report	Sep 29, 2006	0.08	Sep 29, 2006	Sep 29, 2006	0.08	0.08	0	0	100
3. Implementation & Post Implementation Support	Dec 31, 2004	3.1	Dec 31, 2007	[Not answered]	4.9	0.49	[Not answered]	4.41	10
4. IV&V	Jul 31, 2007	0.6	Jul 31, 2007	[Not answered]	0.7	[Not answered]	[Not answered]	[Not answered]	0
5. 2006 O&M (PAS)	Sep 29, 2006	1.06	Sep 29, 2006	Sep 29, 2006	1.06	0.42	0	0.64	100

6. 2007 PPS Development	Nov 30, 2007	1.17	Nov 30, 2007	[Not answered]	1.17	[Not answered]	[Not answered]	[Not answered]	0
7. 2007 PAS Maint and PAS Data Conversion & Clean Up	Sep 28, 2007	1.06	Sep 30, 2007	[Not answered]	1.06	[Not answered]	[Not answered]	[Not answered]	0
8. 2008 O&M	Dec 31, 2008	1.14	Dec 31, 2008	[Not answered]	1.14	[Not answered]	[Not answered]	[Not answered]	0
9. 2008 Development	Dec 31, 2008	1.9	Dec 31, 2008	[Not answered]	1.9	[Not answered]	[Not answered]	[Not answered]	0
10. 2009 O&M	Dec 31, 2009	1.35	Dec 31, 2009	[Not answered]	1.35	[Not answered]	[Not answered]	[Not answered]	0
11. 2009 Development	Dec 31, 2009	1.66	Dec 31, 2009	[Not answered]	1.66	[Not answered]	[Not answered]	[Not answered]	0
12. 2010 O&M	Dec 31, 2010	1.61	Dec 31, 2010	[Not answered]	1.61	[Not answered]	[Not answered]	[Not answered]	0
13. 2010 Development	Dec 31, 2010	1.4	Dec 31, 2010	[Not answered]	1.4	[Not answered]	[Not answered]	[Not answered]	0
14. 2011 O&M	Dec 30, 2011	1.61	Dec 31, 2011	[Not answered]	1.61	[Not answered]	[Not answered]	[Not answered]	0
15. 2011 Development	Dec 30, 2011	1.4	Dec 31, 2011	[Not answered]	1.4	[Not answered]	[Not answered]	[Not answered]	0
16. 2012 O&M	Dec 31, 2012	1.61	Dec 31, 2012	[Not answered]	1.61	[Not answered]	[Not answered]	[Not answered]	0
17. 2012 Development	Dec 31, 2012	1.4	Dec 31, 2012	[Not answered]	1.4	[Not answered]	[Not answered]	[Not answered]	0

