

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview (All Capital Assets)

1. **Date of Submission:** 2009-06-15 17:19:20
2. **Agency:** 023
3. **Bureau:** 30
4. **Name of this Investment:** Regulatory Information Service Center (ROCIS II) - Dashboard
5. **Unique Project (Investment) Identifier:** 023-30-01-06-01-1060-00
6. **What kind of investment will this be in FY 2011?:** Mixed Life Cycle
  - Planning
  - Full Acquisition
  - Operations and Maintenance
  - Mixed Life Cycle
  - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2001 or earlier
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; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

OMB's Office of Information and Regulatory Affairs (OIRA) and GSA's Regulatory Information Service Center (RISC) are developing and operating a new information system, the RISC/OIRA Consolidated Information System (ROCIS), to support and integrate 3 different but related functions. One module of ROCIS replaced and improved upon the system that was used to compile and publish the semiannual Unified Agenda of Federal Regulatory and Deregulatory Actions from 1999 to 2003. Two additional modules of ROCIS replaced 2 mainframe systems at the Executive Office of the President Data Center, created during the 1980's, that OIRA had used to manage reviews of regulations under Executive Order 12866 and of information collections under the Paperwork Reduction Act. Both of these review processes previously relied on paper submissions by agencies to OIRA. ROCIS converts these two key Executive oversight processes from paper to Internet-based, electronic processes, eliminating large quantities of paperwork. It also provides public access to regulatory information previously unavailable to the public. The old systems were closed down when the corresponding new systems became available for use. ROCIS supports the President's Management Initiative for Expanded Electronic Government. It is a collaborative project that includes multiple agencies, using e-business technologies. ROCIS improves on the functionality of OIRA's old mainframe systems by providing electronic submission of documents from Federal agencies; electronic processing of documents within OIRA and RISC; electronic document management, workflow management, record-keeping and archiving; a single comprehensive database of regulation data (merging of data for EO review and Unified Agenda processing); linkage between regulations and information collections; accessibility to persons with disabilities as required by Section 508; expanded availability of economic data on the benefits and costs of regulations; greater transparency of OIRA's business processes; and interoperability with other Federal agency data systems, including linkage to the governmentwide electronic commenting system for rulemaking (the e-Rulemaking Initiative), which serves all Federal regulatory agencies and the public. Remaining DME includes completing some enhancements to ROCIS that were deferred in order to meet OIRA's schedule needs, plus modernization of some components to keep the system running efficiently and ensure security.

  - a. **Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

**9. Did the Agency’s Executive/Investment Committee approve this request? \***

a. If "yes," what was the date of this approval? \*

**10. Contact information of Program/Project Manager?**

- Name: \*
- Phone Number: \*
- Email: \*

**11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? \***

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

**12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):**

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

**a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): \***

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

**1.**

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	\$0.0	\$0.0	\$0.0	*	*	*	*	*
Acquisition:	*	\$0.4	\$0.3	\$1.0	*	*	*	*	*
Subtotal Planning & Acquisition:	*	\$0.4	\$0.3	\$1.0	*	*	*	*	*
Operations & Maintenance:	*	\$0.9	\$1.0	\$1.2	*	*	*	*	*
Disposition Costs (optional):	*	\$0.0	\$0.0	\$0.0	*	*	*	*	*
<b>SUBTOTAL:</b>	*	\$1.3	\$1.3	\$2.2	*	*	*	*	*
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	*	\$0.3	\$0.2	\$0.2	*	*	*	*	*
Number of FTE represented by Costs:	*	\$2.0	\$2.0	\$2.0	*	*	*	*	*
<b>TOTAL(including FTE costs)</b>	*	\$3.6	\$3.5	\$4.4	*	*	*	*	*

**2. If the summary of funding has changed from the FY 2010 President’s Budget request, briefly explain those changes:**

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Section C: Acquisition/Contract Strategy (All Capital Assets)

1. **Table 1: Contracts/Task Orders Table**

Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
GST0007 AC4218 ROCIS Enhancements	Firm-fixed price	Y	2007-10-01	2007-10-01	2008-09-30	\$0.4	N	Y	Y	*	*
GS0008P D0271 (Fall 2008 Agenda)	Firm-fixed price	Y	2008-07-01	2008-07-01	2008-11-30	\$0.1	N	Y	Y	*	*
GSV0008 PD0235 (ROCIS O&M)	Firm-fixed price	Y	2008-06-01	2008-06-01	2009-02-28	\$0.2	N	Y	Y	*	*
GST007A C4230 ROCIS COOP/Ba ckup Support	Firm-fixed price	Y	2007-10-01	2007-10-01	2008-09-30	\$0.1	N	Y	Y	*	*
GS00T06 ACA2152 (ROCIS System Adjustme nts)	Firm-fixed price	Y	2008-08-13	2008-08-13	2009-08-12	\$0.4	N	Y	Y	*	*
Not Available (Web Page Feasibility )	Firm-fixed price	N	2009-06-22	2009-06-30	2009-09-30	\$0.0	N	Y	Y	*	*
Not Available (Fall 2009 Agenda)	Firm-fixed price	N	2009-07-01	2009-07-01	2009-11-30	\$0.1	N	Y	Y	*	*
GS00A09 AAC0061 (Spring 2009 Agenda)	Firm-fixed price	Y	2009-02-20	2009-03-01	2009-06-30	\$0.1	N	Y	Y	*	*
Not Available (ACSI Customer Survey)	Firm-fixed price	N	2009-03-01	2009-03-01	2010-02-28	\$0.0	N	Y	Y	*	*
GS00A09 AAC0072 (ROCIS Operatio ns &	Firm-fixed price	Y	2009-03-11	2009-03-30	2010-03-29	\$0.5	N	Y	Y	*	*

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
Maintenance 2009)											
Not Available (Onsite Support)	Firm-fixed price	N	2009-08-01	2009-08-01	2010-07-31	\$0.2	N	Y	Y	*	*
Not Available (ROCIS Operations & Maintenance 2010)	Firm-fixed price	N	2010-03-30	2010-03-30	2011-03-29	\$0.6	N	Y	Y	*	*
Not Available (Spring 2010 Agenda)	Firm Fixed Price	N	2010-02-01	2010-02-01	2010-06-30	\$0.1	N	Y	Y	*	*
Not Available (Fall 2010 Agenda)	Firm Fixed Price	N	2010-07-01	2010-07-01	2010-11-30	\$0.1	N	Y	Y	*	*
Not Available (ACSI Customer Survey)	Firm Fixed Price	N	2010-03-01	2010-03-01	2011-02-28	\$0.1	N	Y	Y	*	*
Not Available (Onsite Support)	Firm Fixed Price	N	2010-08-01	2010-08-01	2011-07-31	\$0.2	N	Y	Y	*	*
Not Available (ROCIS COOP/Ba ckup Support 2010))	Firm Fixed Price	N	2009-10-01	2009-10-01	2010-09-30	\$0.1	N	Y	Y	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? \*

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

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Customer Results	Customer Satisfaction	Satisfaction as indicated by survey of Unified Agenda module users	Spotty results from outdated surveys of agency users of Unified Agenda module. Will use 2007 data for baseline in future years	Baseline for the Unified Agenda module	Survey conducted in June and July 2007. OIRA stakeholders rated 100% overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)
2007	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Mission and Business Results	Executive Functions	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	At least 95% of agencies, as of 9/30/2007	100% of regulatory reviews formally requested in quarters 1-3 of FY 2007 were submitted electronically. 98% of information collection reviews submitted electronically
2007	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA regulatory review time	58 days for FY 2005	Improve by 5%	56 days for CY 2006. 63 days for quarters 1-3 of FY 2007. 56 days for Q3 of FY 2007
2007	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA information collection review time	Average review time = 70 days, as of 9/30/2003	Improve by 3%	50 days for FY 2007 (67 days for ICs; 12 days for nonsubstantive changes)
2007	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Technology	Availability	% of time system is operationally available excluding scheduled maintenance	95%	Maintain at least 98%	98%

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Customer Results	Customer Satisfaction	Customer satisfaction as indicated by survey of regulatory review module users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)	Establish usable baseline for the regulatory review module	Measure to be replaced by American Customer Satisfaction Index (ACSI) data on the ROCIS public website, beginning after Q3 of FY 2008. ACSI satisfaction summary = 72 for Sept. 2008, the first month of usable data.
2008	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Mission and Business Results	Executive Functions	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	At least 95% of agencies, as of 9/30/2007	100% in Q4 of FY 2008
2008	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA regulatory review time	58 days for FY 2005	Maintain improved performance level	64 days through Q3 of FY 2008. 60 days in Q4 of FY 2008.
2008	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA information collection review time	70 Days, as of 9/30/2003	Maintain improved performance level	53 days through Q4 of FY 2008 (71 days for ICs; 14 days for nonsubstantive changes)
2008	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Technology	Availability	% of time system is operationally available	95%, established in 2006	Maintain at least 98%	98%

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Customer Results	Customer Satisfaction	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)	Establish usable baseline for the ROCIS public website	Previous baseline measure to be replaced by American Customer Satisfaction Index (ACSI) data on the ROCIS public website, beginning after Q3 of FY 2008. ACSI satisfaction summary = 73 for April 2009; 70 for May; and 64 for June.
2009	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Mission and Business Results	Executive Functions	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	At least 95% of agencies, as of 9/30/2008	100% in Q3 of FY 2009.
2009	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Maintain improved performance level	Reg reviews: 29 days in Q3 of FY 2009. Info collection reviews: 49 days in Q3 of FY 2009 (65 days for ICs; 18 days for nonsubstantive changes).
2009	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Technology	Availability	% of time system is operationally available	95%, established in 2006	Maintain at least 98%	98%
2010	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative	Customer Results	Customer Satisfaction	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users	Maintain improved performance level	Previous baseline measure to be replaced by American Customer Satisfaction Index (ACSI) data on the ROCIS public website,



Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	operations.				rated 100% favorable (71%) or neutral (29%)		beginning after Q3 of FY 2008
2010	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Mission and Business Results	Executive Functions	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	Maintain improved performance level	TBD
2010	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Processes and Activities	Efficiency	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Maintain improved performance level	TBD
2010	4.Innovation:Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	Technology	Availability	% of time system is operationally available	95%, established in 2006	Maintain improved performance level	TBD

## Part II: Planning, Acquisition And Performance Information

### Section A: Cost and Schedule Performance (All Capital Assets)

#### 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline

Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Prior to FY 2005	\$6.4	\$9.4	2001-02-01	2001-02-01	2006-09-29	2006-09-29	0.00%	100.00%
O&M FY 2010	\$1.2	\$0.1	2009-10-01	2009-10-01	2011-07-31		8.00%	8.00%
FY 2010 DME	\$1.3	\$0.0	2009-10-01	2009-10-01	2010-09-30		2.00%	2.00%
O&M FY 2011	*	*	2010-10-01		2011-11-30		0.00%	0.00%
O&M FY 2012	*	*	2011-10-01		2012-11-30		0.00%	0.00%
ROCIS O&M (FY05-FY07)	\$1.9	\$1.8	2004-10-01	2004-10-01	2008-03-31	2008-03-31	0.00%	100.00%
FY2005 DME (Excluding Phase 2 Development)	\$0.8	\$0.6	2004-10-01	2004-10-01	2005-09-30	2005-09-30	0.00%	100.00%
FY 2006 DME (Excluding Phase 2 Development)	\$0.3	\$0.3	2005-10-01	2005-10-01	2006-09-30	2006-09-30	0.00%	100.00%
FY 2007 DME	\$0.7	\$0.7	2006-10-01	2006-10-01	2007-09-30	2007-09-30	0.00%	100.00%
O&M FY 2008	\$1.0	\$1.0	2007-10-01	2007-10-01	2009-02-28	2008-11-30	0.00%	100.00%
FY 2008 DME	\$0.5	\$0.5	2007-10-01	2007-10-01	2008-09-30	2008-09-30	0.00%	100.00%
O&M FY 2009	\$1.0	\$0.8	2008-10-01	2008-10-01	2010-07-31		80.00%	80.00%
FY 2009 DME	\$0.4	\$0.4	2008-10-01	2008-10-01	2010-01-02		99.00%	99.00%

\* - Indicates data is redacted.