

**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:  | 9/10/2007                                   |
| 2. Agency:  | Department of Energy                        |
| 3. Bureau:  | Energy Programs                             |
| 4. Name of this Capital Asset:  | EE Corporate Management and Planning System |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)   | 019-20-01-12-01-1011-00                     |
| 6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)  | Mixed Life Cycle                            |
| 7. What was the first budget year this investment was submitted to OMB?   | FY2003                                      |
| 8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:  |   |
| <p>EERE needs to improve and provide a comprehensive capability for program managers and staff to easily make informed funding decisions on RD&amp;D investments, track all R&amp;D activities; monitor research progress; and quantify impacts, benefits, and costs to support DOE strategic goals and the President's Management Agenda. This ready access will better support the decision-making process. Enhanced capabilities and analysis of data can provide EERE managers with appropriate information when they need to know it, which allows for better oversight of federally-invested dollars and gauging RD&amp;D performance for all of EERE's RD&amp;D investments. EERE personnel will work with I-Manage teams during FY2008 to facilitate this interaction. CPS process and workflow will also be improved, utilizing findings from A-123 modeling and analysis efforts. CPS is critical for supporting EERE's strategic management framework and is responsive to the goals and objectives within EERE's Strategic Plan commitment to change the way it does business and support the objectives of its 10 mission programs and business administration offices. This investment meets several primary PMA Government Reform Objectives to be results oriented, link budget and management decisions to performance, ensure financial accountability, and eliminate redundant systems through consolidation. In 2004, EERE brought CPS online to replace four similar, non-interfacing, sector-specific budget execution systems (OPTIS, OITIS, BRUTIS, and Program Explorer), bringing business operations under one platform, and bolstering its goal for "one way of doing business." To fulfill EERE program mission information needs, CPS evolved to interface with field project management systems and corporate financial reporting systems. With CPS successfully closing EERE's performance gaps, OE and FE share this capability, demonstrating collaboration and re-use within the Energy LOB. CPS technology conforms to the DOE Information Technology Architecture and TRM and data elements are mapped to EA repository DRM. CPS is consistent with DOE's E-Government strategy.</p> |   |
| 9. Did the Agency's Executive/Investment Committee approve this request?  | Yes   |
| a. If "yes," what was the date of this approval?  | 9/6/2007                                    |
| 10. Did the Project Manager review this Exhibit?  | Yes   |
| 11. Contact information of Project Manager?   |   |
| Name  | Boron, David                                |
| Phone Number  | 202 586 0080                                |
| Email   | david.boron@ee.doe.gov                      |
| a. What is the current FAC-P/PM certification level of the project/program manager?   | DAWIA-Level-2                               |
| 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)   | No  |

Exhibit 300: EE Corporate Management and Planning System (Revision 11)

1. If "yes," is an ESPC or UESC being used to help fund this investment? No
2. If "yes," will this investment meet sustainable design principles? No
3. If "yes," is it designed to be 30% more energy efficient than relevant code?
13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Budget Performance Integration  
R and D Investment Criteria

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?)

EERE uses CPS for instituting BPI and RDIC through a systems management approach to program planning, budgeting, implementation, and evaluation. CPS provides the foundation for EERE, OE, and FE to collaborate and coordinate HQ, PMC, and national laboratories R&D activities. CPS assists EERE programs in the development and linking of their performance milestones to EERE and DOE strategic goals and investment targets to strategically accomplish their missions within the appropriated budget.

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).) No

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?

c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

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 or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) Yes

19. Is this a financial management system? No

a. If "yes," does this investment address a FFMIA compliance area? No

1. If "yes," which compliance area:

2. If "no," what does it address?

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

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	0
Software	3
Services	97
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 Lopez, Abel

Phone Number 202 586 5955  
 Title Freedom of Information & Privacy Acts Officer  
 E-mail abel.lopez@hq.doe.gov

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

**Section B: Summary of Spending (All Capital Assets)**

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.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0.319973	0.151422	0.129927	0.15					
Acquisition:	1.535338	0.858059	0.736251	0.85					
Subtotal Planning & Acquisition:	1.855311	1.009481	0.866178	1.00					
Operations & Maintenance:	9.419186	0.916192	1.066596	0.5					
TOTAL:	11.274497	1.925673	1.932774	1.50					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	1.467393	0.288593	0.303022	0.318172					
Number of FTE represented by Costs:	9	3	3	3					

Note: For the multi-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

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

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes: Closer scrutiny of federal spending is driving the need for Secretarial Offices to more closely manage their research investments and leverage collaborative opportunities where they exist. Previously identified FY2007-9 DME will be accelerated to complete in FY2007-8. The work outlined for FY2007-8 completes the joint development efforts started in FY2005 between the Office of Science and EERE, fulfilling EERE's mission need for tracking, monitoring, and reporting RD&D investments through national laboratories. The FY2009 DME efforts for the CPS involve collection of mission-oriented technical and costing information from our field stakeholders including the EERE Project Management Center and States. In addition, CPS will interface with future DOE corporate systems (STRIPES and SBS) to collect mission information. EERE project personnel will work with the I-Manage teams through FY2008 to facilitate this interaction. Finally, CPS process and workflow will be improved, based on the findings from A-123 modeling and analysis efforts.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

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Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	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)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/em ail)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
IM00001 SOM AEE2 CLIN02	Time and Materials	Yes	2/1/2005	2/1/2005	12/31/2006	2.733683	No	Yes	Yes	NA	No	Yes	Thornton, Patrick	202-287-1532 / Patrick.Thornton@pr.doe.gov	Level 3	
IM00001 SOM AEE2 CLIN03	Time and Materials	Yes	2/1/2005	2/1/2005	12/31/2006	1.86154	No	Yes	Yes	NA	No	Yes	Thornton, Patrick	202-287-1532 / Patrick.Thornton@pr.doe.gov	Level 3	
IM00102 7EE06 CLIN02	Time and Materials	Yes	1/1/2007	1/1/2007	12/31/2012	8.03408	No	Yes	Yes	NA	No	Yes	Thornton, Patrick	202-287-1532 / Patrick.Thornton@pr.doe.gov	Level 3	
IM00102 7EE06 CLIN03	Time and Materials	Yes	1/1/2007	1/1/2007	12/31/2012	5.47092	No	Yes	Yes	NA	No	Yes	Thornton, Patrick	202-287-1532 / Patrick.Thornton@pr.doe.gov	Level 3	

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:

Although earned value may not required for these contracts EERE does collect project management data from the contractors. Cost, schedule and performance information is collected monthly from the contractors and analyzed to determine earned value.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why:

Project managers utilized guidance prepared by the DOE Procurement Office to incorporate electronic and information technology standards in the acquisition process ensuring Section 508 compliance.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes

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

3/29/2005

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

**Section D: Performance Information (All Capital Assets)**

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 or qualitative 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](http://www.egov.gov). The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Customer Results	Customer Benefit	Customer Satisfaction	Ratio of obligations (\$) to approved funding plan (\$) by May	60.70%	Increase ratio to 66.77% by May 2005	68.40%
2005	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Mission and Business Results	Administrative Management	Facilities, Fleet, And Equipment Management	Percent of program commitments issued to the Project Management Center by January 31	55%	55%	55%
2005	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness	Percent of Annual Performance Targets met	80%	Meet over 80% of Annual Performance Targets by end of FY 2005	83%
2005	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources	Processes and Activities	Financial (Processes and Activities)	Financial Management	Ratio of end uncosted obligations (\$) to total obligations (\$) by end of fiscal	39%	Decrease to 35.1% by end of FY 2005	34.16%

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	management strategy that meets DOE's mission needs.				year			
2005	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Technology	Effectiveness	User Satisfaction	User requests reduced requiring code changes	788	Decrease to 709 by end of FY 2005	659
2006	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Customer Results	Customer Benefit	Customer Satisfaction	Ratio of obligations (\$) to approved funding plan (\$) by May	68.40%	Increase ratio to 75.24% by May 2006	66.7%, target reached between June and July 2006
2006	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness	Percent of Annual Performance Targets met	80%	Meet over 80% of Annual Performance Targets by end of FY 2006	92.9%
2006	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution	Percent of program commitments issued to the Project Management Center by January 31	55%	Increase to 60.5% by January 31	60%
2006	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Processes and Activities	Financial (Processes and Activities)	Costs	Ratio of end uncostered obligations (\$) to total obligations (\$) by end of fiscal year	34.16%	Decrease to 30.74% by end of FY 2006	38.98%
2006	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Technology	Effectiveness	User Satisfaction	User requests reduced requiring code changes	659	Decrease to 593 by end of FY 2006	588
2007	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Customer Results	Customer Benefit	Customer Satisfaction	Ratio of obligations (\$) to approved funding plan (\$) by June	66.7%	Increase ratio to 73.37% by June 2007	69.26%, target reached between June and July 2007
2007	GOAL 1.1 Energy Diversity – Increase our energy options and reduce	Mission and Business Results	Energy	Energy Conservation and Preparedness	Percent of Annual Performance Targets met	80%	Meet over 80% of Annual Performance Targets by end of FY 2007	83% as of second quarter

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.							
2007	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution	Percent of program commitments issued to the Project Management Center by January 31	60%	Issue at least 60% of program commitments by January 31, 2007	78%
2007	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Ratio of end uncosted obligations (\$) to total obligations (\$) by end of fiscal year	38.98%	Decrease ratio to 42.878% by end of FY 2007	56.22% as of July 2007
2007	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Technology	Effectiveness	User Satisfaction	User requests reduced requiring code changes	588	Decrease to 529 by end of FY 2007	181 As of August 2007
2008	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Customer Results	Customer Benefit	Customer Satisfaction				
2008	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness				
2008	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution				
2008	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Processes and Activities	Cycle Time and Resource Time	Cycle Time				

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Technology	Effectiveness	User Satisfaction				
2009	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Customer Results	Customer Benefit	Customer Satisfaction				
2009	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness				
2009	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution				
2009	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Processes and Activities	Financial (Processes and Activities)	Financial Management				
2009	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Technology	Effectiveness	User Satisfaction				
2010	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Customer Results	Customer Benefit	Customer Satisfaction				
2010	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to	Mission and Business Results	Energy	Energy Conservation and Preparedness				

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	disruption and increasing the flexibility of the market to meet U.S. needs.							
2010	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution				
2010	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Processes and Activities	Financial (Processes and Activities)	Financial Management				
2010	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission				
2011	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Customer Results	Customer Benefit	Customer Satisfaction				
2011	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness				
2011	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution				
2011	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE’s mission needs.	Processes and Activities	Financial (Processes and Activities)	Financial Management				
2011	GOAL 5.5 Resources – Develop and institutionalize a	Technology	Effectiveness	User Satisfaction				

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	fully, integrated resources management strategy that meets DOE's mission needs.							
2012	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Customer Results	Customer Benefit	Customer Satisfaction				
2012	GOAL 1.1 Energy Diversity – Increase our energy options and reduce dependence on foreign fuel supplies, thereby reducing vulnerability to disruption and increasing the flexibility of the market to meet U.S. needs.	Mission and Business Results	Energy	Energy Conservation and Preparedness				
2012	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Mission and Business Results	Planning and Resource Allocation	Budget Execution				
2012	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Processes and Activities	Financial (Processes and Activities)	Financial Management				
2012	GOAL 5.5 Resources – Develop and institutionalize a fully, integrated resources management strategy that meets DOE's mission needs.	Technology	Effectiveness	User Satisfaction				

**Section E: Security and Privacy (IT Capital Assets only)**

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables

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(Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:
  - a. If "yes," provide the "Percentage IT Security" for the budget year:
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.

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
CPS			

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
CPS							

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?
  - a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?
  - a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.
7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
CPS	No	No	No, because the system does not administer information in identifiable form about employees, contractors or members of the public.	No	No, because the system is not a system of records.

**Details for Text Options:**  
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.  
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.  
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

**Section F: Enterprise Architecture (EA) (IT Capital Assets only)**

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate 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

a. If "no," please explain why?

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. EE Corporate Management and Planning System (Transition Strategy section 2.2.7.5.3, page 101)

b. If "no," please explain why?

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

a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment. Planning & Resource Allocation

**4. Service Component Reference Model (SRM) Table:**  
 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.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
CPS Data Mart	Supports a subset of CPS transactional data warehouse within EERE	Back Office Services	Data Management	Data Mart	Data Mart	019-60-02-00-01-5000-04	Internal	
CPS Data Warehouse	Supports the archiving and storage of CPS transactional data	Back Office Services	Data Management	Data Warehouse			No Reuse	
CPS Internal Controls	Support the CPS methods and procedures used by the EERE to safeguard its assets, produce accurate accounting data and reports, contribute to efficient operations, and encourage staff to adhere to management policies and mission requirements	Back Office Services	Financial Management	Internal Controls			No Reuse	
CPS Ad Hoc Reporting	Supports the use of dynamic CPS reports on an as needed basis	Business Analytical Services	Reporting	Ad Hoc	Ad Hoc	019-60-02-00-01-5000-04	Internal	
CPS Standardized / Canned Reporting (internal system)	Supports the use of pre-conceived or pre-written internal CPS system reports	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	
CPS Standardized / Canned Reporting	Supports the use of pre-conceived or pre-written CPS reports	Business Analytical Services	Reporting	Standardized / Canned	Standardized / Canned	019-60-02-00-01-5000-04	Internal	
CPS Program / Project Management	Manages and controls mission and business	Business Management Services	Management of Processes	Program / Project Management			No Reuse	

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<b>4. Service Component Reference Model (SRM) Table:</b>								
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 <a href="http://www.egov.gov">http://www.egov.gov</a> .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	administration efforts within EERE							
CPS Partner Relationship Management	Provide a framework to manage the effective collaboration between EERE and its business partners.	Customer Services	Customer Relationship Management	Partner Relationship Management			No Reuse	
CPS Information Retrieval	Allow access to CPS data and information for use by EERE and its stakeholders	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	
CPS Information Sharing	Support the use of CPS-created documents and data in a multi-user environment for use by EERE and its stakeholders	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	
CPS Query	Support retrieval of CPS records that satisfy specific query selection criteria	Support Services	Search	Query			No Reuse	

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

b. 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.

c. '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.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

<b>5. Technical Reference Model (TRM) Table:</b>				
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 (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Access Control	Component Framework	Data Management	Database Connectivity	
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	
Standardized / Canned	Component Framework	Presentation / Interface	Content Rendering	
Standardized / Canned	Component Framework	Presentation / Interface	Content Rendering	
Standardized / Canned	Component Framework	Presentation / Interface	Content Rendering	
Standardized / Canned	Component Framework	Presentation / Interface	Static Display	
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	
Information Sharing	Service Access and Delivery	Service Transport	Service Transport	
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	
Query	Service Platform and Infrastructure	Database / Storage	Database	
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	
Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	
Internal Controls	Service Platform and Infrastructure	Database / Storage	Database	
Partner Relationship Management	Service Platform and Infrastructure	Database / Storage	Database	

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**5. Technical Reference Model (TRM) Table:**

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 (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Identification and Authentication	Service Platform and Infrastructure	Database / Storage	Database	
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	
Information Sharing	Service Platform and Infrastructure	Delivery Servers	Web Servers	
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Standardized / Canned	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Internal Controls	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Partner Relationship Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Identification and Authentication	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Program / Project Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Standardized / Canned	Service Platform and Infrastructure	Support Platforms	Platform Independent	

a. 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

b. 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.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? No

a. If "yes," please describe.

**Exhibit 300: Part II: Planning, Acquisition and Performance Information**

**Section A: Alternatives Analysis (All Capital Assets)**

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes
  - a. If "yes," provide the date the analysis was completed? 3/15/2006
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

<b>2. Alternative Analysis Results:</b>			* Costs in millions
Use the results of your alternatives analysis to complete the following table:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Alternative 1: Data Integration and Alignment of Existing Systems

- Makes full use of Office of Science and Energy Efficiency and Renewable Energy (EERE) existing system investments
- Introduces no disruption to current operations
- Maximum advantage of user familiarity with current applications while introducing new application with extended functions and features
- Uses workflow to route data through the National Laboratories and site office/Project Management Center
- Gives Labs the option to manage their data in their local systems and feed it into existing systems
- Focuses training mainly on financial staff where most users are already familiar
- Complements EERE plans to have National Laboratory Principal Investigators engaged for agreement data management
- Requires minimal additional user licenses
- Leverages existing Computer Based Training for basic functionality
- Provides portfolio management capability

4. What specific qualitative benefits will be realized?

Secretarial Offices can more closely align and manage their research investments and leverage collaborative opportunities.

The Office of Science and Office of Energy Efficiency and Renewable Energy will be able to exchange data on collaborative R&D activities; coordinate and manage their collaborative R&D efforts; track funding decisions; monitor research progress; quantify impacts, benefits, and costs; and make project funding decisions based on performance and the analysis of alternate technologies trade-offs.

Reduces redundant activities, allows management to gain a portfolio perspective on basic and applied research investments, and improves the overall management of our applied energy and R&D portfolio.

5. Will the selected alternative replace a legacy system in-part Yes or in-whole?

- a. If "yes," are the migration costs associated with the Migration Investment migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.

b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement
EE State Grant Administration (WinSAGA)	019-20-04-00-01-1030-00	9/30/2008

**Section B: Risk Management (All Capital Assets)**

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed 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.

1. Does the investment have a Risk Management Plan? Yes
- a. If "yes," what is the date of the plan? 8/13/2007
- b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? Yes
- c. If "yes," describe any significant changes:

In view of the projected DME plans, the CPS Risk Plan has been updated to account for and mitigate, minimize or otherwise avoid schedule and cost impacts that may result from the scheduled work. Risks associated with integrating mission-based financial assistance functionality; data collection; and an interface with our field stakeholders, including the Project Management Center, national laboratories, and state organizations have been added.

2. If there currently is no plan, will a plan be developed?
- a. If "yes," what is the planned completion date?
- b. If "no," what is the strategy for managing the risks?

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

The FY2007-9 work is to update and enhance the capabilities of an existing investment. Basic functionalities will not be affected. The risk-adjusted schedule and its associated costs for this latest DME effort prepared by the contractors is based on their previous experience with earlier CPS developmental efforts and other developmental activities of a similar nature. Previous CPS developmental efforts were completed within cost and schedule.

**Section C: Cost and Schedule Performance (All Capital Assets)**

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

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%? (CV%= CV/EV x 100; SV%= SV/PV x 100) No
- a. If "yes," was it the CV or SV or both?
- b. If "yes," explain the causes of the variance:
- c. If "yes," describe the corrective actions:
3. Has the investment re-baselined during the past fiscal year? Yes
- a. If "yes," when was it approved by the agency head? 8/6/2007

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4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Operations and Maintenance			12/31/2004	9/30/2004	\$1.566375	\$1.247542	92	\$0.318833	100%
2	Development			12/31/2004	12/31/2004	\$0.669377	\$0.471231	0	\$0.198146	100%
1.1	Deployment			12/31/2003	11/25/2003	\$0.233497	\$0.161148	36	\$0.072349	100%
1.2	Development			12/31/2004	12/31/2004	\$0.43588	\$0.310083	0	\$0.125797	100%
3	Operations and Maintenance			9/30/2005	9/30/2005	\$2.23875	\$2.387056	0	\$-0.148306	100%
4	Development			12/31/2005	12/31/2005	\$0.230368	\$0.207869	0	\$0.022499	100%
2.1	Application Upgrades			12/31/2005	12/31/2005	\$0.072954	\$0.073576	0	\$-0.000622	100%
2.2	Interfaces			12/31/2005	12/31/2005	\$0.157414	\$0.134293	0	\$0.023121	100%
5	Operations and Maintenance			9/30/2006	9/30/2006	\$1.20425	\$1.20425	0	\$0	100%
7	Operations and Maintenance			9/30/2007		\$0.91619	\$0.62101		\$-0.007163	67%