

PBGC - Participant Services

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 - Participant Services**
5. Unique Project (Investment) Identifier: **012-12-01-05-01-2075-00**
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? **FY2004**
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 investment (1) operates and maintains the suite of business systems that are used by the PBGC to provide benefits administration and payment services to over 1,100,000 citizens who are vested participants in pension plans that PBGC has trusted; it also (2) modernizes and enhances several key investment components to improve PBGC's customer service and reduce its operating costs. This investment consists of 9 components: (1) Benefit Payments (Paying Agent Bank); (2) Spectrum/Participant Records Information Systems Management (PRISM) Re-Engineering: One of PBGC's key initiatives is to re-engineer (i.e., consolidate and modernize) the PRISM applications into the new Spectrum system which is designed to integrate with the Commercial Off-The-Shelf (COTS) Customer Relationship Management (CRM) system resulting in an "Unified Desktop"; (3) Customer Relationship Management (CRM): The enhancements planned for FY 2006-FY2007 integrate CRM with the new Spectrum system, improving not only staff efficiency, but also, providing a much more complete view of the participant to the PBGC's customer-service staff; (4) Image Processing System (IPS); (5) Participant Administration Maintenance Team (PAMT)/PRISM: This activity provides operational maintenance for the PRISM (Participant Records & Information System Management) suite of applications; (6) My Pension Benefit Account (MyPBA): provide Internet self-service for PBGC participants. The current investment will produce a much greater degree of integration between MyPBA and the elements of the Unified Desktop (CRM and Spectrum.); (7) ARIEL is a COTS system that calculates defined-benefit pension-plan benefits, and has been modified somewhat to meet the unique needs of the PBGC; (8) Case Management System (CMS) remakes the legacy Case Administration System for managing trusted plans; (9) Data Acquisition: This project modernizes the PBGC's automated methods for acquiring participant data from companies sponsoring**

trusted pension plans, and will deliver a highly automated means of loading data needed to calculate benefits. The performance gap that this investment keeps from widening is continuing benefits administration for over 1.6 million citizens who are participants in the over 3,000 terminated pension plans PBGC has trusted, on an aging legacy database infrastructure. With FY 2008 funding PBGC will begin to re-design the underlying participant database - an activity that will take years to complete.

9. Did the Agency's Executive/Investment Committee approve this request? **yes**

a. If "yes," what was the date of this approval? **Jun 15, 2006**

10. Did the Project Manager review this Exhibit? **yes**

11. Contact information of Project Manager?

Name **Anand Kothari**

Phone Number **202-326-4000**

E-mail **Kothari.anand@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

Competitive Sourcing

Financial Performance

a. Briefly describe how this asset directly supports the identified initiative(s)?

Financial Performance: Modernizing reduces legacy maintenance costs, reduces workarounds to compensate for limitations and inflexibility, and improve controls over financial transactions. Competitive Sourcing: Moves risk from to the Contractor under the Paying Agent component which is being re-competed as a Performance Based Contract. Expanding E-Gov: My PBA provides participants with personalized on-line self-service centers, and will integrate with the ARIEL component.

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.) **yes**
- If "yes," does this investment address a weakness found during a PART review? **no**
 - If "yes," what is the name of the PARTed program? **Pension Benefit Guaranty Corporation**
 - If "yes," what rating did the PART receive? **Moderately Effective**
15. Is this investment for information technology? **no**

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**
- If "yes," does this investment address a FFMI compliance area? **yes**
 - If "yes," which compliance area: **Section 2, Section 4**
 - If "no," what does it address? **[Not answered]**
 - 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 **PRISM; CAS**
20. What is the percentage breakout for the total FY2008 funding request for the following?
- Hardware**2**
- Software**8**
- Services**90**
- 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.

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 2006	CY 2007	BY 2008	BY+1 2009	BY+2 2010	BY+3 2011	BY+4 and beyond	Total
Planning:	0.5	0.2	0.2	0.2	0.2	0.2	0.2	0.2	1.9
Acquisition:	8.6	9.8	9.3	11.1	11.2	5.9	6.1	6	68
Subtotal Planning & Acquisition:	9.1	10	9.5	11.3	11.4	6.1	6.3	6.2	69.9
Operations & Maintenance:	11.6	24.3	23.7	24	23.2	25.6	25.6	25.6	183.6
TOTAL:	20.7	34.3	33.2	35.3	34.6	31.7	31.9	31.8	253.5
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.4	0.4	0.4	0.5	0.5	0.4	0.4	0.4	3.4
Number of FTE represented by Costs:	3	3	3	4	4	3	3	3	26

- 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 changes.**

Section C: Acquisition/Contract Strategy

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

Contracts/Task Orders Table:	
Contract or Task Order Number	CT-05-0742
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 29, 2005
Start date of Contract/Task Order	Sep 29, 2005
End date of Contract/Task Order	Sep 28, 2010
Total Value of Contract/ Task Order (\$M)	9
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Ms. Spottswood
CO Contact information	202-326-4160
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes

Contract or Task Order Number	CT-02-0630
Type of Contract/Task Order	CPFF
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Sep 27, 2002
Start date of Contract/Task Order	Sep 27, 2002
End date of Contract/Task Order	Dec 31, 2006
Total Value of Contract/ Task Order (\$M)	21.9
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	202-326-4160
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes

Contract or Task Order Number	CT-02-0641
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Aug 30, 2002
Start date of Contract/Task Order	Aug 30, 2002
End date of Contract/Task Order	Sep 30, 2007
Total Value of Contract/ Task Order (\$M)	8
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Spottswood
CO Contact information	202-326-4160
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-01-0612

Type of Contract/Task Order	IDIQ
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 28, 2001
Start date of Contract/Task Order	Sep 28, 2001
End date of Contract/Task Order	Sep 30, 2006
Total Value of Contract/ Task Order (\$M)	44.9
Is this an Interagency Acquisition?	no
Is it performance based?	yes
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Janice Johnson
CO Contact information	202-326-4130
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-03-0667
Type of Contract/Task Order	Labor Hour

Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Jan 3, 2003
Start date of Contract/Task Order	Jan 3, 2003
End date of Contract/Task Order	Dec 31, 2008
Total Value of Contract/ Task Order (\$M)	24.1
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	no
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Janice Johnson
CO Contact information	202-326-4130
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	CT-04-0685
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes

If so what is the date of the award? If not, what is the planned award date?	Sep 20, 2004
Start date of Contract/Task Order	Sep 20, 2004
End date of Contract/Task Order	Sep 30, 2009
Total Value of Contract/ Task Order (\$M)	10
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Janice Johnson
CO Contact information	202-326-4130
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	PBGC01-DO-03-0175
Type of Contract/Task Order	Labor Hour
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award	Sep 22, 2003

date?	
Start date of Contract/Task Order	Sep 22, 2003
End date of Contract/Task Order	Sep 30, 2008
Total Value of Contract/ Task Order (\$M)	14
Is this an Interagency Acquisition?	yes
Is it performance based?	no
Competitively awarded?	no
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Robert Herting
CO Contact information	202-326-4160
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	yes
Contract or Task Order Number	PBGC01-DO-06-0169
Type of Contract/Task Order	Labor Hour
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	May 31, 2006

Start date of Contract/Task Order	May 31, 2006
End date of Contract/Task Order	Sep 30, 2011
Total Value of Contract/ Task Order (\$M)	8
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Greg Smith
CO Contact information	202-326-4160
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	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: **Only a few of the listed contracts provided DME that is greater than the PBGC's established \$500,000 threshold for requiring EV. Those contracts are as follows: CT-02-0641, CT-04-0685, PBGC01-DO-03-0175, PBGC01-DO-06-0169. These contracts support the PRISM re-engineering, CRM, MyPBA and CMS development work**
3. Do the contracts ensure Section 508 compliance? **yes**
 - a. Explain why: **Section 508 compliance is an explicit, mandatory requirement enforced by the Corporation's contracting officer and wholly supported by its General Counsel and its Chief Technology Officer. In order to comply with PBGC requirements, any user software acquired (or developed)by the Corporation must 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? **Oct 31, 2005**
 - 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)
2007	Provide responsive, timely and accurate services to participants in trustee plans	American Customer Satisfaction Index	TBD	ACSI 84 on a 0-100 scale The following are an example of the drivers that once weighted and averaged are equal to the above score Customer Care = 85 Automated Phone system = 74 Concern Resolution = 81 Benefit Estimates = 74 Written Communication = 85	TBD
2007	Provide responsive, timely and accurate services to participants in trustee plans	American Customer Satisfaction Index	TBD	ACSI 78 on a 0-100 scale	TBD
2008	Provide responsive, timely and accurate services to participants in trustee plans	American Customer Satisfaction Index:	TBD	ACSI 84 on a 0-100 scale The following are an example of the drivers that once weighted and averaged are equal to the above score Customer Care = 85 Automated Phone system = 74 Concern Resolution = 81 Benefit Estimates = 74 Written Communication = 85	TBD

2008	Provide responsive, timely and accurate services to participants in trusteed	American Customer Satisfaction Index	TBD	ACSI 78 on a 0-100 scale	TBD
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Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2007	Mission and Business Results	General Retirement and Disability	Average time between trusteeship and benefit determination	2.7 years	+5% (increase)	TBD
2007	Customer Results	Customer Satisfaction	ACSI	ACSI 84 on a 0-100 scale	ACSI to Maintain FY2004 baseline of 84 for retirees receiving monthly benefits	TBD
2007	Processes and Activities	Customer Services	Percentage of participant inquiries resolved on first contact	50%	+30% (increase)	TBD
2007	Technology	Efficiency	Percentage of Urgent incident reports resolved in 2 hours	75%	+10% (increase)	TBD
2008	Mission and Business Results	General Retirement and Disability	Average time between trusteeship and benefit determination	2.7 years	-20% (decrease)	TBD
2008	Customer Results	Customer Satisfaction	ACSI	ACSI 84 on a 0-100 scale	ACSI to Maintain FY2004 baseline of 84 for retirees receiving monthly benefits	TBD

2008	Processes and Activities	Customer Services	Percentage of participant inquiries resolved on first contact	50%	+35% (increase)	TBD
2008	Technology	Efficiency	Percentage of Urgent incident reports resolved in 2 hours	75%	+17% (increase)	TBD
2009	Mission and Business Results	General Retirement and Disability	Average time between trusteeship and benefit determination	2.7 years	-5% (decrease)	TBD
2009	Customer Results	Customer Satisfaction	ACSI	ACSI 80 on a 0-100 scale	ACSI to Maintain FY2004 baseline of 78 for Customer Contact Center	TBD
2009	Processes and Activities	Customer Services	Percentage of participant inquiries resolved on first contact	50%	+5% (increase)	TBD
2009	Technology	Efficiency	Percentage of Urgent incident reports resolved in 2 hours	75%	+2% (increase)	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**

3. Systems in Planning - Security Table:			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
CMS	Contractor and Government	Jun 28, 2007	May 30, 2007

4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
eALG	Government Only	Moderate	yes	Jul 30, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
IPS	Contractor and Government	Moderate	yes	Jul 30, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
CAS	Contractor and Government	Moderate	yes	Sep 30, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
PRISM	Contractor and Government	Moderate	yes	Nov 1, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
ARIEL	Contractor Only	Moderate	yes	Jan 28, 2005	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
CRM	Contractor and Government	Moderate	yes	Apr 25, 2005	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
MyPBA	Contractor and Government	Moderate	yes	Jun 23, 2003	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
ACT	Contractor and Government	Moderate	yes	Mar 5, 2004	FIPS 200 / NIST 800-53	Oct 13, 2006	Aug 12, 2006
Archive	Contractor and Government	Moderate	yes	Mar 5, 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 Administar, IPVFB, PRISM/Spectrum and CAS/CMS 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?
MyP	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act

B A					system of records was not substantially revised in FY 06.
A CT	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
Ar chi ve	no	2. No.	2. No, because a PIA is not yet required to be completed at this time.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
eA L G	no	2. No.	2. No, because a PIA is not yet required to be completed at this time.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
IP S	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
C AS	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
A RI EL	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
C R M	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
C M S	yes	3. No, because the system does not contain, process, or transmit	2. No, because a PIA is not yet required to be	yes	3. No, because the existing Privacy Act system of records was

		personal identifying information.	completed at this time.		not substantially revised in FY 06.
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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. **Unified Desktop**
 - 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		
PRISM	Participant benefit management and payment processing system.	Data Management	Data Integration	[Not answered]	[Not answered]	No Reuse	100
PRISM	Participant benefit management and payment processing system.	Financial Management	Internal Controls	[Not answered]	[Not answered]	No Reuse	100
Paying Agent (State	Payment disbursement processing for plan participants	Financial Management	Payment / Settlement	[Not answered]	[Not answered]	No Reuse	100

Street Corporation)		ment	ent	swere d]			
Case Administration System (CAS)	CAS supports Pension Plan terminations and the management and tracking of plan terminations	Human Capital / Workforce Management	Team / Org Management	[Not answered]	[Not answered]	Internal	100
Case Administration System (CAS)	CAS supports Pension Plan terminations and the management and tracking of plan terminations	Tracking and Workflow	Process Tracking	[Not answered]	[Not answered]	Internal	100
Case Administration System (CAS)	CAS supports Pension Plan terminations and the management and tracking of plan terminations	Tracking and Workflow	Case Management	[Not answered]	[Not answered]	Internal	100
Case Administration System (CAS)	CAS supports Pension Plan terminations and the management and tracking of plan terminations	Collaboration	Task Management	[Not answered]	[Not answered]	Internal	100
ARIEL	Provides individual benefit valuation and determination based on plan criteria.	Analysis and Statistics	Mathematical	[Not answered]	[Not answered]	No Reuse	100
ARIEL	Provides individual benefit valuation and determination based on plan criteria.	Reporting	Standardized / Canned	[Not answered]	[Not answered]	No Reuse	100
MyPBA	Customer facing self-service website for	Customer	Self-	[N	[Not	No	100

	requesting participant services	r Initiated Assistan ce	Service	ot an sw ere d]	ans wered]	Reuse	
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Call Center Manage ment	[N ot an sw ere d]	[Not ans wered]	No Reuse	100
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Contact and Profile Manage ment	[N ot an sw ere d]	[Not ans wered]	No Reuse	100
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Custome r / Account Manage ment	[N ot an sw ere d]	[Not ans wered]	No Reuse	100
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Custome r Analytic s	[N ot an sw ere d]	[Not ans wered]	No Reuse	100
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Custome r Feedbac k	[N ot an sw ere d]	[Not ans wered]	No Reuse	100
CRM	Internal customer service request processing system	Custome r Relation ship Manage ment	Partner Relation ship Manage ment	[N ot an sw ere	[Not ans wered]	No Reuse	100

		ment		d]			
PBGC Website	Customer facing internet site that contains Plan specific content for participants	Content Management	Content Publishing and Delivery	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Document Management	Document Conversion	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Document Management	Document Imaging and OCR	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Document Management	Indexing	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Document Management	Library / Storage	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Records Management	Document Classification	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Records Management	Record Linking /	[Not answered]	[Not answered]	Internal	100

			Association	swere d]			
IPS	Service center for storage of internal and external records and documents.	Routing and Scheduling	Inbound Correspondence Management	[Not answered]	[Not answered]	Internal	100
IPS	Service center for storage of internal and external records and documents.	Routing and Scheduling	Outbound Correspondence Management	[Not answered]	[Not answered]	Internal	100
Active Directory	Microsoft provided service for managing identity and network authentication.	Security Management	Identification and Authentication	[Not answered]	012-12-00-01-2155-00	Internal	0
OID	Oracle internet directory is a LDAP repository that replicates the Active Directory store to provide for Single Sign-on access control to Oracle and Java applications.	Security Management	Access Control	[Not answered]	012-12-00-01-2155-00	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
Case Management	Component	Business	Platform	Java / Linux

	Framework	Logic	Independent	
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
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory / Active Directory

Procurement	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Computers / Automation Management	Service Access and Delivery	Service Transport	Hosting	Internal
Network Management	Service Access and Delivery	Service Transport	Service Transport	HTTP, HTTPS
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

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? **May 5, 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**]

2. Alternatives Analysis Results:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Complete Re-Development of Legacy Systems	Fully address the performance gap by complete re-development of Participant Services Systems and continued maintenance and operation of back-office components (IPS, PAMT, Paying Agent). Particular features: (1) Unified Desktop with major releases of: in-bound channel tracking, Enhanced workflow; CTI/IVR integration and outgoing correspondence tracking with minor releases of bug fixes, implementation of deferred and new user requirements, oracle application upgrades and maintenance.	215.3	229.2
Significant Redevelopment of Legacy Systems	Closing performance gap by realizing performance improvements in the longer term. Critical elements are the limitations and inflexibilities of the legacy systems (PRISM, CAS) that hamper operations today and require the introduction of workarounds and compensating controls. Staged re-engineering of the key components of the Participant Services Systems- utilizing COTS, and continued maintenance and operation of back-office components (IPS, PAMT, Paying Agent)	191.7	221.8
Esseential Redevelopment of Legacy	Close critical elements of the gap while minimizing impact on the budget. Replaces PRISM Benefits, which is a significant source of the limitations and inflexibility previously described, and also partially replaces CAS	185.9	210.5

Systems	functionality with CMS, thus eliminating the limitations on case administration imposed by the legacy application. It also begins integrating MyPBA with CRM to enable customer requests received via the web, telephone, letter, and e-mail to be tracked together.		
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3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **Under all three alternatives, the benefits are similar: improved staff efficiency through the elimination of the legacy PRISM application (which is composed of 19 separate modules, each of which executes as an independent application); improved customer contact center (Call Center) efficiency through consolidation of customer requests in the CRM system; reduced Call Center and higher-level support requirements through customer self-service via the MyPBA system; improve management and administration of PBGC cases through the new CMS application; lower systems maintenance costs through replacement of old legacy software with modern software organized as services or provided as COTS. The magnitude and timing of the realization of the benefits varies, of course. Alternative 3 was chosen for its lower cost and ability to meet the most important of PBGC's service objectives with acceptable risk. Alternative 3 will allow access to ARIEL benefits statements through MyPBA (i.e., Internet access by participants to benefits statements previously available only in hard copy), provide a GUI for actuaries using ARIEL (improving their productivity), automate the accessibility of trusteed pension plan information through MyPBA (lower costs per plan made accessible), integrate MyPBA with the Unified Desktop (participant contacts made via the Internet tracked with other participant contacts and services through CRM), integrate mail capture through IPS (scanning and imaging of participant mail) with CRM to consolidate tracking, and retire components of the legacy PRISM system (reducing maintenance costs.) Alternative 3 was also chosen in order to optimize the PBGC's overall IT portfolio, particularly in FY 2006 and FY 2007. Given the needs for new or modernized IT systems to support other vital portions of the PBGC's business, PBGC made its choice in order to present a total agency budget request that was balanced and met the immediate needs of its business areas. According to our cost-benefit analysis, through FY 2011 the ROI for Alternative #1 is 106%, for Alternative #2 is 116% and for Alternative #3 was 113%.**
4. What specific qualitative benefits will be realized? **Improve vitally needed operational flexibility at cost of modest operational risk: for FY 2008 and FY 2009, this alternative will shift all but absolutely essential maintenance resources to beginning the re-design of the legacy GENESIS database, which was first deployed in 1996.**

Section B: Risk Management

1. Does the investment have a Risk Management Plan? **no**
 - a. If "yes," what is the date of the plan? **[Not answered]**

- b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? [**Not answered**]
 - c. If "yes," describe any significant changes: [**Not answered**]
- 2. If there currently is no plan, will a plan be developed? **yes**
 - a. If "yes," what is the planned completion date? **Mar 31, 2007**
 - 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 Risk Management Plan is currently under development with an anticipated completion date of 03/31/2007. The Participant Services 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)? **9.588**
 - b. What is the Earned Value (EV)? **9.446**
 - c. What is the actual cost of work performed (AC)? **9.553**
 - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor Only**
 - e. "As of" date: **Oct 31, 2006**
- 3. What is the calculated Schedule Performance Index (SPI= EV/PV)? **0.99**
- 4. What is the schedule variance (SV = EV-PV)? **-0.142**
- 5. What is the calculated Cost Performance Index (CPI = EV/AC)? **0.99**

6. What is the cost variance (CV = EV-AC)? **0.106**
7. 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? [**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"? **9.6**
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)	Percent Complete			
PRISM (SPECTRUM): Pre-Development & BPR (Note: outside EVM)	Aug 1, 2005	5.4	Aug 1, 2005	[Not answered]	5.4	[Not answered]	[Not answered]	[Not answered]	100
PRISM (SPECTRUM): Design	Dec 30, 2005	0.5	Dec 30, 2005	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	100
PRISM (SPECTRUM): Development (Release 1)	Feb 28, 2006	0.9	Feb 28, 2006	[Not answered]	0.9	[Not answered]	[Not answered]	[Not answered]	100
PRISM (SPECTRUM): Test, Train & Implement (Release 1)	Oct 31, 2006	0.8	Oct 31, 2006	[Not answered]	0.8	1.3	120	0.5	75
PRISM (SPECTRUM): Design,	Apr 30,	2.1	Apr	[Not	2.	[Not	[Not	[Not	0

Development, Test, Train, Implement (Release 2)	2007		30, 2007	answered]	1	answered]	answered]	answered]	
PRISM (SPECTRUM) MODERNIZATION: requirements & processes	[Not answered]	[Not answered]	Dec 31, 2007	[Not answered]	4	[Not answered]	[Not answered]	[Not answered]	0
PRISM (SPECTRUM) MODERNIZATION: Re-engineer legacy apps,	[Not answered]	[Not answered]	Sep 30, 2008	[Not answered]	7	[Not answered]	[Not answered]	[Not answered]	0
PRISM (SPECTRUM) MODERNIZATION: establish new target database, develop new apps	[Not answered]	[Not answered]	Sep 30, 2009	[Not answered]	11.5	[Not answered]	[Not answered]	[Not answered]	0
CRM: Design & Develop	Feb 28, 2006	2.7	Feb 28, 2006	[Not answered]	2.7	[Not answered]	[Not answered]	[Not answered]	100
CRM: Test, Train, Implement	Jun 30, 2006	0.9	Jun 30, 2006	[Not answered]	0.9	[Not answered]	[Not answered]	[Not answered]	100
CMS: Design, Develop, Test, Implement	Apr 30, 2007	4	Apr 30, 2007	[Not answered]	4	[Not answered]	[Not answered]	[Not answered]	75