

PBGC – IT Business Transformation (ITBT)

[redacted]

Agency: 012

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: **Sep 8, 2008**
2. Agency: **012**
3. Bureau: **12**
4. Name of this Capital Asset: **PBGC - IT Business Transformation**
5. Unique Project (Investment) Identifier: **012-12-03-00-01-1028-00**
6. What kind of investment will this be in FY2010? **Mixed Life Cycle**
7. What was the first budget year this investment was submitted to OMB? **FY2008**
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: **PBGC's IT Business Transformation (ITBT) is a critical initiative designed to significantly improve effectiveness, efficiency, governance & risk management of PBGC's IT assets. ITBT was initiated in FY2008 with an estimated \$32.4 M budget for its 5 year phased improvements. Program costs have been funded through re-prioritizing of existing IT funds and realignment of existing FTE staff. Using IT Infrastructure 300 Performance based contracts with a robust scope, schedule, and cost management will ensure effective management of IT budget. PBGC relies substantially on information systems to maintain solvency of the nation's pension programs, as such, an IT Risk Assessment was performed to provide perspectives on inherent IT risks and key performance gaps using COBIT Framework. COBIT provides the framework to achieve objectives needed to invest, manage and control IT resources using a structured set of processes, delivering the required information to ensure alignment to business requirements for effective governance, management and control. The ITBT program is organized into five PBGC IT competencies: Capital Planning, EA, Security, IT Governance, and Infrastructure. PBGC identified seven critical areas for alignment improvement: 1) IT skills & systems to better mitigate potential economic risks; 2) Increase responsiveness to rapidly changing business needs; 3) Increase system access demands; 4) Systems capacity forecasting to meet surge levels; 5) Improve the IT decision-making process; 6) Increase the IT organizational maturity level; 7) Implement and operationalize a robust Information Security Program. The need for transformational change is evident; the rate of pension plan acquisition**

continues to accelerate, internal and external demand for scarce information technology resources is expanding; and privacy and security concerns continue to grow. The ITBT Program is designed to effect transformational change in IT processes, methods, and capabilities to improve agility and alignment with business strategy. Mitigation actions have been established for the top 30% of risks identified by the risk assessment and organized into projects within the ITBT Program. Key projects associated with ITBT include: ITBT Strategic Planning; Technology Portfolio Management; Enterprise Architecture Development; Implementation of an IT Services Provider Business Model; Security Program Enhancements; IT Customer Service Enhancement.

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

a. If "yes," what was the date of this approval? **Aug 1, 2008**

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

11. Contact information of Program/Project Manager?

Name	Velma Briscoe
Phone Number	202-326-4000 [redacted]
E-mail	briscoe.velma@pbgc.gov

a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager? **Waiver Issued**

b. When was the Program/Project Manager Assigned? **May 1, 2008**

c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification? **Sep 8, 2008**

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)? **no**

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) **no**

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? **yes**

**Human Capital
Expanded E-Government**

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? **ITBT supports Human Capital by improving strategic management of IT staff, IT skills development, and**

increasing cost savings and customer service through common processes and accountability. ITBT also supports Expanded E-Government by ensuring PBGC Enterprise Architecture conforms to FEA requirements. Cross-agency sharing is promoted by using the EPA's Security LOB, and developing an integrated program lifecycle methodology to small agencies targeted for 1st draft completion in Q2 2009.

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**
- a. If "yes," does this investment address a weakness found during a PART review? **yes**
 - b. If "yes," what is the name of the PARTed program? **10002382 - Pension Benefit Guaranty Corporation**
 - c. If "yes," what rating did the PART receive? **Moderately Effective**
15. Is this investment for information technology? **yes**

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) **Level 2**
17. In addition to the answer in 11(a), 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 2008 agency high risk report (per OMB Memorandum M-05-23)? **no**
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: **[Not answered]**
 - 2. If "no," what does it address? **[Not answered]**
 - b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52 **[Not answered]**
20. What is the percentage breakout for the total FY2010 funding request for the following?
- | | |
|----------|------------|
| Hardware | 0 |
| Software | 0 |
| Services | 100 |
| Other | 0 |
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? **n/a**

22. Contact information of individual responsible for privacy related questions:

Name	Philip Hertz
Phone Number	202-326-4000 [redacted]
Title	Assistant General Counsel
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**

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

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 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	1.3	1.183	0.624	0.634	0.052	0.052	0.052	0.052	3.949
Acquisition:	8.5	1.29	2.72	2.74	0.644	0.644	0.644	0.644	17.826
Subtotal Planning & Acquisition:	9.8	2.473	3.344	3.374	0.696	0.696	0.696	0.696	21.775
Operations & Maintenance:	0	3.593	3.554	3.72	2.536	2.636	1.136	1.136	18.311
TOTAL:	9.8	6.066	6.898	7.094	3.232	3.332	1.832	1.832	40.086
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0	0.672	0.961	0.77	0.998	0.998	0.472	0.472	5.343
Number of FTE represented by Costs:	0	2	4	3	5	5	2	2	23

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 FY2009 President's budget request, briefly explain those changes: **ITBT identified a summation error in its 2008 submission and has corrected this issue for its 2009 submission. Correction of this error did not affect spending amounts by year. Total program costs are forecasted to decrease by approximately 3 million due to greater efficiencies and effectiveness realized in our CPIC competency projects. CPIC projects continue to complete ahead of cost and schedule targets. As a result, investments in CPIC are reduced for FY 2009 and beyond. FY 2008 spending was approximately \$6.5 million less than planned due to two major factors: 1) better than forecasted performance by our CPIC competency projects and 2) early termination of an underperforming contractor in early April. Approximately \$3.5 million has shifted to 2009 execution and is reflected in the 2010 DME. All line items have been refined to reflect sustaining program investments in years 2011 and beyond, however this refinement does not impact 2009 and BY 2010. Government FTE's were adjusted, by a factor of 100%, to address the program's requirement for senior level resource involvement due to the**

**transformational nature of the program, the program's corporate visibility,
and the increasing demand for PBGC-specific expertise.**

Section C: Acquisition/Contract Strategy

1.

Contracts/Task Orders Table:	
Contract or Task Order Number	EPMD-Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 1, 2008
Start date of Contract/Task Order	Oct 1, 2008
End date of Contract/Task Order	Sep 30, 2009
Total Value of Contract/ Task Order (\$M)	[redacted]
Is this an Interagency Acquisition?	no
Is it performance based?	yes
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	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	GS-35F-4545G
Type of Contract/Task Order (In accordance with FAR Part 16)	Labor Hours
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 27, 2006
Start date of Contract/Task Order	Sep 27, 2006
End date of Contract/Task Order	Sep 29, 2009
Total Value of Contract/ Task Order (\$M)	2.179
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?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	GS-06F-0265Z-PBGC01-DO-07-0303
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 30, 2007
Start date of Contract/Task Order	Sep 30, 2007
End date of Contract/Task Order	Sep 30, 2010
Total Value of Contract/ Task Order (\$M)	2.326
Is this an Interagency Acquisition?	no
Is it performance based?	yes
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	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CPIC-Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 1, 2010
Start date of Contract/Task Order	Oct 1, 2010
End date of Contract/Task Order	Sep 30, 2015
Total Value of Contract/ Task Order (\$M)	[redacted]
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CPIC-Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Sep 20, 2008
Start date of Contract/Task Order	Oct 1, 2008
End date of Contract/Task Order	Sep 30, 2013
Total Value of Contract/ Task Order (\$M)	[redacted]
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CPIC-Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 1, 2010
Start date of Contract/Task Order	Oct 1, 2010
End date of Contract/Task Order	Sep 30, 2015
Total Value of Contract/ Task Order (\$M)	[redacted]
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	EA- Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 1, 2008
Start date of Contract/Task Order	Oct 1, 2008
End date of Contract/Task Order	Sep 30, 2009
Total Value of Contract/ Task Order (\$M)	[redacted]
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	EA- Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 1, 2008
Start date of Contract/Task Order	Oct 1, 2008
End date of Contract/Task Order	Sep 30, 2009
Total Value of Contract/ Task Order (\$M)	[redacted]
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	DO-08-0069
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Jan 18, 2008
Start date of Contract/Task Order	Jan 18, 2008
End date of Contract/Task Order	Jan 17, 2012
Total Value of Contract/ Task Order (\$M)	7.914
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	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	EA-Proposed
Type of Contract/Task Order (In accordance with FAR Part 16)	Firm Fixed Price
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Jan 18, 2008
Start date of Contract/Task Order	Jan 18, 2008
End date of Contract/Task Order	Jan 17, 2012
Total Value of Contract/ Task Order (\$M)	3.53
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?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CT-06-0757
Type of Contract/Task Order (In accordance with FAR Part 16)	Labor Hours
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Apr 4, 2006
Start date of Contract/Task Order	Apr 4, 2006
End date of Contract/Task Order	Feb 28, 2009
Total Value of Contract/ Task Order (\$M)	6.45
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?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	DO-06-0205
Type of Contract/Task Order (In accordance with FAR Part 16)	Labor Hours
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Nov 1, 2006
Start date of Contract/Task Order	Nov 1, 2006
End date of Contract/Task Order	Oct 31, 2009
Total Value of Contract/ Task Order (\$M)	0.832
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?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CT-05-0739
Type of Contract/Task Order (In accordance with FAR Part 16)	Time & Material
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Aug 1, 2005
Start date of Contract/Task Order	Aug 1, 2005
End date of Contract/Task Order	Jul 31, 2009
Total Value of Contract/ Task Order (\$M)	2.34
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?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Susan Taylor
CO Contact information (phone/email)	202-326-4100 [redacted] taylor.susan@pbgc.gov
Contracting Officer FAC-C or DAWIA Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

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: **A number of the contracts listed above are firm fixed price contracts, EVM was not a part of contract requirement, however, OIT is requesting contracts to utilize Primavera to produce EVM. For future contracts, OIT will require all contracts to produce EVM. Furthermore, PBGC has established standard language included in all IT contracts to use Primavera for tracking and reporting EVM when the DME portion of the contract exceeds the agency threshold of \$500K.**
3. Do the contracts ensure Section 508 compliance? **yes**
 - a. Explain why not or how this is being done? **Section 508 compliance is an explicit, mandatory part of all PBGC contracts as detailed in 36 CFR 1194, Subpart B.**
4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? **yes**
 - a. If "yes," what is the date? **Jul 3, 2008**
 1. Is it Current? **yes**
 - 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							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	# of Major Systems and GSS establish baseline C&As in accordance with (FISMA & NIST	# of C&As completed is 0 of the 11 C&As required in accordance with (FISMA & NIST)	# of C&As completed is 1 of the 11 C&As required in accordance with (FISMA & NIST)	1
2008	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Customer Results	Information Security	# of Major Systems and GSS establish baseline C&As in accordance with (FISMA & NIST)	13	13 of 14	13
2008	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	# out of a total 15 select COBIT processes implemented with a targeted COBIT maturity Level 3 - defined as "Processes are documented and communicated"	0 of 15	2 of 15	2 of 15
2008	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	IT Contribution to Process, Customer, or Mission	# out of 8 select COBIT control processes (subset of 15 total) that focus in the areas of "Plan and Organize" and "Monitor and Evaluate" achieve COBIT maturity Level 3 - defined as "Processes are documented and communicated"	6 of 8 = Level 1	2 of 8 = Level 2	Level 2
2008	Goal 3 – Exercise effective & efficient stewardship of PBGC’s	Mission and Business Results	IT Contribution to Process, Customer, or Mission	# out of 7 select COBIT control processes (subset of 15 total) that focus in the areas of	5 of 7 = Level 1	2 of 7 = Level 2	Level 2

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	resources s			"Acquire & Implement" and "Deliver & Support" achieve COBIT maturity Level 3 - defined as "Processes are documented and communicated"			
2009	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	Expand NIST 800-53 Security controls to SSP & Hybrid for initial 11 NIST families for all major applications	Common Controls Implemented for 11 NIST 800-53 Families	11 Families expanded for SSP & Hybrid by July 31,2009	Data to be compiled Q1 2010
2009	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture Use Implementation Level	EA Program Defined and Implemented	Enterprise Architecture formally used to establish and prioritize IT Activities	Data to be compiled Q1 2010
2009	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Capital Planning	Internal General Accountability Office IT Investment Management Assessment Level 2	Level 1	Level 2	Data to be compiled Q1 2010
2009	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 1	Level 2	Data to be compiled Q1 2010
2009	Agency Goal 2 – Provide exceptional service to customers and stakeholders Agency Goal 3 – Exercise	Customer Results	IT Infrastructure Maintenance	% improvement in contractor staff cost performance	The baseline will be determined in Q1 of FY 2009	1% increase in contractor staff cost performance	Data to be compiled during FY2010 Q1

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	effective & efficient stewardship of PBGC's						
2009	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC's resources	Customer Results	IT Infrastructure Maintenance	% increase in 1st call resolution	The baseline will be determined in Q1 FY 2009	5% improvement	Data to be compiled during FY2010 Q1
2009	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC's resources	Customer Results	IT Infrastructure Maintenance	ITIL Process Maturity Level where 1=Initial/Adhoc, Level 2 = Defined and Documented, Level 3=Implemented & Trained, Level 4 = Measured and Managed	Baseline to be determined Q1 FY 2009	Level 2	Data to be compiled during FY2010 Q1
2009	Goal 3 – Exercise effective & efficient stewardship of PBGC's resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSCLM developed: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 2	Level 3	Data will be compiled Q1 FY 2010
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC's resources	Processes and Activities	Information Security	Implement common controls for the remaining 6 families for all major applications and general support systems with 90 days after the implementation of the selected sourcing solution	11 Common & SSP & Hybrid NIST 800-53 Families Defined & Implemented	Common Controls Implemented for 17 NIST families	Data to be compiled Q1 FY 2011

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture use implementation level	EA formally used to establish and prioritize IT activities	EA formalized use extended to at least one additional business area	Data to be compiled Q1 FY 2011
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	Capital Planning	Internal General Accountability Office IT Investment Management Assessment Level 3	Level 2	Level 3	Data to be compiled Q1 FY 2011
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance processes capability at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 2	Level 3	Data to be compiled Q1 FY 2011
2010	Goal 2 – Provide exceptional service to customers and stakeholders; Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% improvement in contractor staff cost performance	1%	3%	Data to be compiled Q1 FY 2011
2010	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s	Processes and Activities	IT Infrastructure Maintenance	ITIL Process Maturity Level where 1=Initial/Adhoc, Level 2 = Defined and Documented, Level 3=Implemented & Trained, Level	Level 2	Level 3	Data to be compiled during FY2011 Q1

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	resources			4 = Measured and Managed			
2010	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% Increase in 1st call resolution	5%	7%	Data to be compiled during FY2011 Q1
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 2	Level 3	Data will be compiled Q1 FY 2011
2010	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSLCM defined at Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 3	Data will be compiled Q1 FY 2011
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	1). % of high vulnerabilities mitigated by defined timeframe 2). % of users received information security training 3). % of new system C&A prior to implementation 4). Average frequency of audit records reviewed for inappropriate	The baseline will be determined at the end of 2011 once the Security assessment is complete	The target will be determined at the end of 2011 once the Security assessment is complete	Data to be compiled Q1 FY 2012

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture use implementation level	Use extended to at least one major business area	Formal use extended to 2 additional business areas	Data to be compiled Q1 FY 2012
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	Capital Planning	Internal General Accountability Office IT Investment Management Assessment" Level 3.x	Level 3	Level 3x	Data to be compiled Q1 FY 2012
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 4	Data to be compiled Q1 FY 2012
2011	Goal 2 – Provide exceptional service to customers and stakeholders Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% improvement in contractor staff cost performance	3%	5%	Data to be compiled Q1 FY 2012
2011	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Customer Results	IT Infrastructure Maintenance	% increase in 1st call resolution	7%	10%	Data to be compiled during FY2012 Q1
2011	Agency Goal 2 – exceptional	Technology	IT Infrastructure Maintenance	ITIL Process Maturity Level	Level 3	Level 4	Data to be compiled

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources			where 1 = Initial/Adhoc, Level 2 = Defined and Documented, Level 3 = Implemented & Trained, Level 4 = Measured and Managed			during FY2012 Q1
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSLCM defined at: Level 1 = Initial/Adhoc Level 2 = Defined and Documented Level 3 = Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 4	Data will be compiled Q1 FY 2012
2011	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance process operating at: Level 1 = Initial/Adhoc Level 2 = Defined and Documented Level 3 = Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 4	Data will be compiled Q1 FY 2012
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	1). % of high vulnerabilities mitigated by defined timeframe 2). % of users received information security training 3). % of new system C&A prior to implementation 4). Average frequency of audit records reviewed for inappropriate	The baseline will be determined at the end of 2012 once the Security assessment is complete	The target will be determined at the end of 2012 once the Security assessment is complete	Data to be compiled Q1 of FY 2013

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				activities			
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture use implementation level	Formal use extended to 2 business areas	Formal use extended to 2 additional business areas	Data to be compiled Q1 of FY 2013
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	Capital Planning	Internal General Accountability Office IT Investment Management Assessment" Level 3.x	Level 3	Level 3x	Data to be compiled Q1 of FY 2013
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 4	Data to be compiled Q1 of FY 2013
2012	Goal 2 – Provide exceptional service to customers and stake Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources holders	Technology	IT Infrastructure Maintenance	% increase in contractor staff cost performance	5%	5%	Data to be compiled Q1 of FY 2013
2012	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% increase in 1st call resolution	10%	Maintain 10%	Data to be compiled during FY2013 Q1
2012	Agency Goal 2	Technology	IT Infrastructure	ITIL Process	Level 4	Maintain	Data to be

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	– exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources		Maintenance	Maturity Level where 1=Initial/Adhoc, Level 2 = Defined and Documented, Level 3=Implemented & Trained, Level 4 = Measured and Managed		Level 4	compiled during FY2013 Q1
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSLCM defined at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data will be compiled Q1 FY 2013
2012	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance processes defined at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data will be compiled Q1 FY 2013
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	1). % of high vulnerabilities mitigated by defined timeframe 2). % of users received information security training 3). % of new system C&A prior to implementation 4). Average frequency of audit records reviewed for inappropriate	The baseline will be determined at the end of 2013 once the Security assessment is complete	The target will be determined at the end of 2013 once the Security assessment is complete	Data to be compiled Q1 FY 2014

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				activities			
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture use implementation level	Formal use extended to 2 business areas	Full agency use	Data to be compiled Q1 FY 2014
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	Capital Planning	Internal General Accountability Office IT Investment Management Assessment" Level 3.x	Level 3	Level 3x	Data to be compiled Q1 FY 2014
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 3	Level 4	Data to be compiled Q1 FY 2014
2013	Goal 2 – Provide exceptional service to customers and stakeholders Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Customer Results	IT Infrastructure Maintenance	% increase in 1st call resolution	10%	Maintain 10%	Data to be compiled Q1 FY 2014
2013	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	ITIL Process Maturity Level where 1=Initial/Adhoc, Level 2 = Defined and Documented, Level 3= Implemented & Trained, Level 4 = Measured and Managed	Level 4	Maintain Level 4	Data to be compiled during FY2014 Q1

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2013	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% increase in contractor staff cost performance	5%	5%	Data to be compiled during FY2014 Q1
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSLCM defined at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data will be compiled Q1 FY 2014
2013	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance process defined at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and	Level 4	Level 4	Data will be compiled Q1 FY 2014
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Security	1). % of high vulnerabilities mitigated by defined timeframe 2). % of users received information security training 3). % of new system C&A prior to implementation 4). Average frequency of audit records reviewed for inappropriate activities	The baseline will be determined at the end of 2014 once the Security assessment is complete	The target will be determined at the end of 2014 once the Security assessment is complete	Data to be compiled Q1 FY 2015

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Enterprise Architecture	Architecture use implementation level	Full agency use	Maintain full agency use	Data to be compiled Q1 FY 2015
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Mission and Business Results	Capital Planning	Internal General Accountability Office IT Investment Management Assessment" Level 3.x	Level 3	Level 3x	Data to be compiled Q1 FY 2015
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance processes defined at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data to be compiled Q1 FY 2015
2014	Goal 2 – Provide exceptional service to customers and stakeholders Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% increase in contractor staff cost performance	5%	5%	Data to be compiled Q1 FY 2015
2014	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	% increase in 1st call resolution	10%	Maintain 10% improvement level	Data to be compiled during FY2015 Q1

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2014	Agency Goal 2 – exceptional service to customers and stakeholders Agency Goal 3 – effective & efficient stewardship of PBGC’s resources	Technology	IT Infrastructure Maintenance	ITIL Process Maturity Level where 1=Initial/Adhoc, Level 2 = Defined and Documented, Level 3=Implemented & Trained, Level 4 = Measured and Managed	Level 4	Maintain Level 4	Data to be compiled during FY2015 Q1
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	ITSLCM defined at Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data will be compiled Q1 FY 2015
2014	Goal 3 – Exercise effective & efficient stewardship of PBGC’s resources	Processes and Activities	Information Management	Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 4	Level 4	Data will be compiled Q1 FY 2015
2009	Goal 3 - Exercise effective & efficient stewardship of PBGC’S resources	Processes and Activities	Enterprise Architecture	Architecture: completion	As-Is, Target and Transition Plan Defined	Exhibit 53 major investments mapped to PRM, BRM, SRM & TRM	Data to be compiled Q1 FY 2010
2010	Goal 3 - Exercise effective & efficient stewardship of PBGC’S resources	Processes and Activities	Enterprise Architecture	Architecture: completion	Exhibit 53 major investments mapped to PRM, BRM, SRM, & TRM	All Exhibit 53 investments mapped to PRM, BRM, SRM & TRM	Data to be compiled Q1 FY 2011
2011	Goal 3 - Exercise effective &	Processes and Activities	Enterprise Architecture	Architecture: completion	Architecture defined at Level 4 or	Maintain defined architecture	Results to be compiled Q1 FY 2012

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	efficient stewardship of PBGC'S resources				greater	at Level 4 or greater	
2012	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture: completion	Architecture defined at Level 4 or greater	Maintain architecture at Level 4 or greater	Data to be compiled Q1 2013
2013	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture: completion	Architecture defined at level 4 or greater	Maintain architecture definition at level 4 or greater	Data to be compiled Q1 FY 2014
2014	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture: completion	Architecture defined at level 4 or greater	Architecture definition maintained at level 4 or greater	Data to be compiled in Q1 2015
2009	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	Baseline to be established Q1 FY 2009	Method established for evaluating EA program value and benefits	Data to be compiled Q1 FY 2010
2010	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	Method established for evaluating EA program value and benefits	Formal reports on EA program results produced	Data to be compiled Q1 FY 2011
2011	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	Formal reports on EA results produced	Report results integrated into EA program	Data to be compiled Q1 FY 2012
2012	Goal 3 - Exercise effective & efficient	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	Formal reports produced and results	Maintain and improve EA program results	Data to be compiled Q1 FY 2013

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	stewardship of PBGC'S resources				integrated into EA program		
2013	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	EA Program maintained and improved	EA Program maintained and improved	Data to be compiled Q1 FY 2014
2014	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	Enterprise Architecture	Architecture demonstrates results	EA program maintained and improved	EA program maintained and improved	Data to be compiled Q1 FY 2015
2009	Goal 3 - Exercise effective & efficient stewardship of PBGC'S resources	Processes and Activities	IT Contribution to Process, Customer, or Mission	Governance processes at: Level 1=Initial/Adhoc Level 2 = Defined and Documented Level 3= Implemented & Trained Level 4 = Measure and Managed	Level 1	Level 2	Data to be compiled Q1 FY 2010

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: 7
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 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 certification and accreditation (C&A) update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
<i>There are no Systems in Planning.</i>			

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 Completed: C&A	What standards were used for the Security Controls tests?	Date Completed: Security Control Testing	Date the contingency plan tested
<i>There are no Operational Systems.</i>							

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? **no**
 - a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? **no**
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? **no**
 - a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. **Not Applicable - ITBT is not directly addressing systems weaknesses as this program is a process, capability, and organizational strategic improvement initiative**
7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? **PBGC has implemented a stringent set of requirements to ensure contractor compliance with security procedures. Specifically, IT related contracts contain security policy and procedures clauses outlining compliance requirements. Contractors sign non-disclosure**

and conflict of interest statements to protect the intellectual property of PBGC. Additionally, all contractors must attend the same basic security awareness training as PBGC personnel. PBGC has implemented NIST 800-53 guidelines associated with personnel security and as such has instituted security risk ratings for all contractors involved with IT systems. These security risk ratings identify the level of security background checks for IT contractors. All contractors involved with systems development and maintenance must comply with PBGC's ITSLCM which is directly cross-referenced to PBGC IT Security Policies & Procedures. ITSLCM and the Information Security Policies have specific security artifacts and deliverables. Formal sanctions are defined and documented for contractor violations of security policies and procedures.

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?	Internet Link or Explanation	Is a System of Records Notice (SORN) required for this system?	Internet Link or Explanation
<i>There are no Planning & Operational Systems.</i>					

Section F: Enterprise Architecture (EA)

Is this investment included in your agency's target enterprise architecture? **yes**

a. If "no," please explain why? **[Not answered]**

1. 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. **IT Business Transformation**

b. If "no," please explain why? **[Not answered]**

2. Is this investment identified in a completed and approved segment architecture? **no**

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>. **[Not answered]**

4. 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		
<i>There are no Service Components.</i>							

5. Technical Reference Model (TRM) Table:

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
<i>There are no mappings to Technical Reference Models</i>				

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

a. If "yes," please describe. **EPA's Information Security LoB: PBGC is leveraging the EPA ISS LoB (ASSERT), to implement an integrated solution for FISMA reporting. ASSERT will be used for systems inventory management, risk identification, control tailoring, continuous monitoring of POA&M tasks, management oversight, and FISMA reporting compliance. It will further compliance with FISMA through the development and implementation of new or major enhancement to applications and general support systems. The projected timeline of implementation is September, 2009. IT developed a framework that integrates Security, EA, CPIC and the**

System Lifecycle Methodology. We plan to make that available to small agencies. The target first draft is to be completed by Q2, 2009.

PART II: PLANNING, ACQUISITION AND PERFORMANCE INFORMATION

Section A: Alternatives Analysis

1. Did you conduct an alternatives analysis for this investment? **yes**
 - a. If "yes," provide the date the analysis was completed? **May 14, 2007**
 - 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
1 - Baseline	Status quo - no change. Maintaining the 'as-is' would not address critical Federal regulations across CPIC, Security, EA, and Governance competency areas. Additionally, planned capabilities would be adversely impacted. Total cost of ownership would accelerate.	90	0
2 - Treat Symptoms: Provide low-cost, short-term fixes to limit damage from the most critical risk impacts.	This risk mitigation alternative would develop a risk mitigation plan to address the most critical issues only. This is considered the minimum action necessary and would tend to only treat symptoms contributing to risks for a short time period (12 to 18 months)	4.4	0
3 - Omnibus Fix: Establish long-term process and organizational improvements reducing residual risk associated with 20 COBIT elements identified currently as High Risks resulting in mature processes and marginal or low risk in all 34 COBIT elements.	Correct High Risk areas in: Strategic Plan, IT processes org. & relationships; Comm'n Mgmt; Managing Quality & Projects; Assess/Manage IT Risks; Identify/Acquire/Maintain Automated Solutions; Acq./Maintain IT Infrastructure; Procure Resources; Manage IT Investments; Manage SLAs; Mng. Performance Capacity, Data, Env. & Ops; Ensure Continuous Service, Security & Regulatory Compliance; Identify/Allocate Costs; Monitor/Eval. IT Performance/Internal Control; Provide IT Governance VMM=170.	36.7	0
4 -IT Business. Transformation (ITBT) (Select): Focus on process & org'nal reforms: value in improving process maturity & reducing risks vs. cost. Creates opp'ty for residual effects of	Full scope transformation of COBIT framework processes: Define IT Strategic Plan, Information Architecture, IT processes organization, & relationships; Manage Projects; Assess/Manage IT Risks; Identify/Acquire/Maintain Automated Solutions; Acquire/Maintain IT Infrastructure; Manage IT Investments, Service Levels, Performance, Capacity, & Data; Ensure Continuous Service, Systems Security & Regulatory	32.4	0

improved delivery of IT Service to support performance goals.	Compliance; Monitor/Evaluate IT Performance. VMM=541.41.		
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3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **Alt 4 ITBT was selected as the most cost-effective solution & the best strategic fit with OIT as it most effectively addressed mitigating IT risks, achieving long-term gains, & results within available capacity. Using COBIT framework, four alternatives were evaluated on the basis of value returned through reduced risk & costs, the longevity of anticipated benefits, & PBGC's capacity to implement the necessary reforms, using OMB's Value Measuring Methodology (VMM). On 5/14/07, the PBGC Executives reviewed the analysis & implementation plans. Alt.2 addressed risk symptoms & documented some processes, but scored low as it did not resolve underlying issues & problems which would likely recur within 5 years. Alt.3 would significantly improve processes in 28 of 34 COBIT elements, but costs & risks of this omnibus approach outweighed value gained. Alternative 4: ITBT garnered strong support from the new CIO & Executives to transform PBGC's approach to IT by implementing mature planning & operating processes, aligning IT resources with business needs, enhancing IT capabilities, achieving efficiencies & effectiveness in IT operations, & risk avoidance. It also streamlines enterprise business processes & data integration; project status transparency for timely milestone decisions and minimizes business impact due to IT service disruption. ITBT program costs are covered by restructuring existing funds and contracts and realignment of existing FTE staff.**

a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.) **2010**

4. What specific qualitative benefits will be realized? **The IT Business Transformation will significantly improve PBGC's value from its IT spending. 1). It will mitigate information security issues identified as reportable conditions in PBGC audits and bring PBGC into compliance with Federal Information Management Security Act (FISMA) requirements. 2). It will also create the capability needed for PBGC to experience minimal business impact in the event of an IT service disruption, including the ability to resist and recover from failures due to error, deliberate attack, or disaster. 3).It will provide needed clarity in roles, responsibility and accountability for IT staff and stakeholders. 4). It will enable OIT to more rapidly and cost-effectively meet PBGC business requirements, and increase OIT accountability for supporting PBGC business priorities. 5).It will reduce risks of financial loss and non-compliance with laws due to records management issues thereby focusing on risk avoidance. 6). It will define processes, strategies, and standards needed to streamline business processes and improved data integration across the enterprise. 7). It will provide transparency of project status & timely project management decisions at critical milestones, resulting in delivery of quality projects on-time and on-budget. In summary, the IT Business Transformation is a holistic change that aligns IT spending with the agency's strategic needs by addressing the way in which IT services are administered. Core benefits are already being realized from this program: 1) The Strategic portfolio review held in January 2008, enabled visibility of IT investments at PBGC, allowing the agency to identify**

investments that satisfy its strategic goals and eliminate duplication. Additionally, management can now apply performance metrics that monitor expected return on investment and project alignment. It is a single source of information to facilitate evaluating, priority and balance. 2) PBGC's first IT Strategic Plan was delivered ahead of schedule in September 2007 and reorganization of IT was performed to improve service and fiscal responsibility; 3) On June 12, 2008, PBGC achieved full C&A certification of its major application portfolio. Additionally, all 300 level programs were removed from the OMB watch list; 4) Baseline Technical Architecture Assessment was performed and the details captured in the Infrastructure Exhibit 300; and 4) Common and consistent capital planning processes were introduced.

5. Federal Quantitative Benefits (\$millions):				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY-1 and Prior	0	0	[Not answered]	CPIC program did not exist in FY 2007 or earlier. IT Governance (strategic planning/alignment and performance measurement) is under development. Security program under development
PY	0	7.8	[Not answered]	\$500 - \$8 M: The Investment Control process caused one investment to assess alternatives before deciding the appropriate path forward. The IT Select process required the Benefit Calculation investment team to provide solid benefit and cost information before obligating funds. The EA program prevented several redundancies. The EA process for the Benefit Calculation segment assisted in determining the complexities of the required solution & provided defensible alternatives to address gaps.
CY	0	14.847	[Not answered]	\$5 - \$15M: The IT select process is requiring investments to complete EA, AA/BCA before making a solution decision. The new process is expected to identify a number of investments whose overspend would likely have gone unnoticed. PBGC has 13 major systems. One integrated security program, results cost avoidance of \$6.000M per year. The EA program is providing direct support to utilize the EA Methodology to develop required artifacts and get appropriate level buy in from the users.
BY	0	15.847	[Not answered]	\$5 - \$16 M: The CPIC program, executive oversight, and project/program management practices will avoid project cancellations and inefficiencies. PBGC will avoid the cost of unplanned start ups, duplicative investments and will remediate redundant work. PBGC has 13 major systems. One integrated security program, results cost avoidance of \$6.000M per year. The EA program, strategic planning and IT governance practices will avoid inefficiencies, redundant efforts, and non-integrated solutions.
BY+1	0	15.847	[Not answered]	\$5 - \$16 M: The CPIC program, executive oversight, and project/program management practices will avoid project cancellations and inefficiencies. PBGC will avoid the cost of unplanned start ups,

5. Federal Quantitative Benefits (\$millions):				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				duplicative investments and will remediate redundant work. PBGC has 13 major systems. One integrated security program, results cost avoidance of \$6.000M per year. The EA program, strategic planning and IT governance practices will avoid inefficiencies, redundant efforts, and non-integrated solutions.
BY+2	0	9.847	[Not answered]	\$5 - \$10 M: The CPIC program, executive oversight, and project/program management practices will avoid project cancellations and inefficiencies. PBGC will avoid the cost of unplanned start ups, duplicative investments and will remediate redundant work. PBGC has 13 major systems. An integrated security program, results cost avoidance of \$6.000M per year. The EA program, strategic planning processes and IT governance practices will avoid project inefficiencies and redundant efforts.
BY+3	0	9	[Not answered]	\$5 - \$10 M: The CPIC program, executive oversight, and project/program management practices will avoid inefficiencies. PBGC will avoid the cost of unplanned start ups, duplicative investments and redundant work. PBGC has 13 major systems and set up one integrated security program, results cost avoidance of \$6.000M per year. The EA program, strategic planning processes and IT governance practices will avoid inefficiencies, redundant efforts, and non-integrated solutions.
BY+4 and Beyond	0	9	[Not answered]	\$5 - \$10 M: The CPIC program, executive oversight, and project/program management practices will avoid inefficiencies. PBGC will avoid the cost of unplanned start ups, duplicative investments and redundant work. PBGC has 13 major systems and set up one integrated security program, results cost avoidance of \$6.000M per year. The EA program, strategic planning processes and IT governance practices will avoid inefficiencies, redundant efforts, and non-integrated solutions.
Total LCC Benefit	0	82.188		LCC = Life-cycle cost

6. Will the selected alternative replace a legacy system in-part or in-whole? **no**
- a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment? **[Not answered]**
 - b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment or Systems	UPI if available	Date of the System Retirement
<i>There are no Legacy Investment or Systems.</i>		

Section B: Risk Management (All Capital Assets)

1. Does the investment have a Risk Management Plan? **yes**
 - a. If "yes," what is the date of the plan? **May 23, 2007**
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? **no**
 - c. If "yes," describe any significant changes: **A new Risk Review Committee was appointed for the investment. 5 additional categories of risk were added and all risk descriptions, risk impacts and risk mitigations were reviewed and updated.**
2. If there currently is no plan, will a plan be developed? **[Not answered]**
 - a. If "yes," what is the planned completion date? **[Not answered]**
 - b. If "no," what is the strategy for managing the risks? **[Not answered]**
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: **The initial Risk Management Plan (RMP) was established in 5/23/2007. Risks have been re-assessed, and the updates to the RMPs made, as of July 9, 2008. The Risk Management plan involves continuous assessment and management of risks associated with this investment and re-baselining when significant events occur, such as award of new contracts, modification to existing contracts, evaluation of Federal staff's skills, and achievement of milestones. Using a scoring formula, risks were scored based on schedule and cost impact and probability. The risks identified were directly tied back to the WBS (costs & schedule) and were analyzed for impact and mitigation at a granular level. Risks, such as staff availability, staff skills, the organization's capacity to implement and adapt change, etc. were identified and documented during the development of the WBS and cost estimates to produce a risk-adjusted cost and schedule, achievable by the PBGC. Risks are managed by each project area. Nearly twelve (12) risks rated as high, have been identified. The categories include project resources, procurement, organizational change management, conflicting priorities and user's acceptance. There have been delays in acquiring resources (contract and FTEs) due to prolonged acquisitions and lengthy HR hiring processes. Existing resources were re-aligned based on the IT priorities and available skill sets. Communication plans are under development to improve IT program level communication. Resource allocation and current priorities are being evaluated consistently. The program management procedures have been modified since the first submission. The program's progress will be reviewed by monitoring schedules and cost, risks and issues on a monthly basis. Additionally, briefings to the OIB (Executive Management) will be delivered as part of the milestone review process on a quarterly or requested basis. This investment will utilize Primavera to report schedule and cost variance for all projects. The projected timeframe is Q2, 2009. Cost and schedule variance will be monitored closely. Project modification/change management process will be followed to correct incurring variances and scope changes.**

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

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? **[Not answered]**
 - b. If "yes," explain the causes of the variance: **[Not answered]**
 - c. If "yes," describe the corrective actions **[Not answered]**
3. Has the investment re-baselined during the past fiscal year? **no**
 - a. If "yes," when was it approved by the agency head? **[Not answered]**

4. 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)		
Conduct IT Risk Assessment & Deliver Report (POA&M – CTO-6, OIT-47)	Jan 29, 2007	0.394	Jan 29, 2007	Mar 29, 2007	0.394	0.394	44	0	100
ITBT Program Planning	Sep 30, 2007	0.376	Sep 30, 2007	Sep 30, 2007	0.376	0.376	0	0	100
PBGC IT Strategic Plan & Annual Update Process Established	Sep 30, 2008	2.12	Apr 30, 2009	[Not answered]	2.12	[Not answered]	[Not answered]	[Not answered]	80
Enterprise Information Architecture Program Implemented	Jun 30, 2008	1.24	Jun 30, 2008	Oct 31, 2008	1.24	[Not answered]	[Not answered]	[Not answered]	84
IT Processes, Organization and Relationships (IT Management) Framework Established	Jun 30, 2009	1.3	Jun 30, 2009	[Not answered]	1.3	[Not answered]	[Not answered]	[Not answered]	20
IT Investment Management Framework Established	Jun 30, 2010	0.6	Jun 30, 2010	Sep 30, 2008	0.6	0.744	638	0.144	100
IT Risk Management Process and Risk Coordinator Established	Sep 30, 2010	0.28	Sep 30, 2010	[Not answered]	0.28	[Not answered]	[Not answered]	[Not answered]	0
Revised Project Management Process	Sep 30, 2011	0.24	Sep 30,	[Not answered]	0.24	[Not answered]	[Not answered]	[Not answered]	0

4. 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)		
Deployed			2011				red]	red]	
Revised ITSLCM Process Deployed	Sep 30, 2010	0.98	Sep 30, 2010	[Not answered]	0.98	[Not answered]	[Not answered]	[Not answered]	0
Revised IT Infrastructure Plan Established	Jun 30, 2009	0.6	Jun 30, 2009	[Not answered]	0.6	[Not answered]	[Not answered]	[Not answered]	15
SLAs for Critical Services and an Update & Monitoring Process Established	Mar 31, 2011	0.62	Mar 31, 2011	[Not answered]	0.62	[Not answered]	[Not answered]	[Not answered]	10
IT Performance and Capacity Management Process in Coordination with SLAs	Sep 30, 2010	0.64	Sep 30, 2010	[Not answered]	0.64	[Not answered]	[Not answered]	[Not answered]	10
IT Disaster Recover Plan and Annual Training, Testing and Exercise Program Established	Mar 31, 2009	1.32	Mar 31, 2009	Mar 1, 2008	1.32	1.32	394	0	100
All Major Systems and GSS have Current and Complete C&As	Mar 31, 2008	1.34	Mar 31, 2008	Jun 12, 2008	1.34	1.34	73	0	100
IT Data Management Framework Established	Jun 30, 2010	0.82	Jun 30, 2010	[Not answered]	0.82	[Not answered]	[Not answered]	[Not answered]	50
IT Performance Accountability Reporting Established	Sep 30, 2011	0.64	Sep 30, 2011	[Not answered]	0.64	[Not answered]	[Not answered]	[Not answered]	0
Regulatory Monitoring Process Established	Dec 31, 2009	0.24	Dec 31, 2009	[Not answered]	0.24	[Not answered]	[Not answered]	[Not answered]	0