

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification

Section A: Overview

- Date of submission: **Sep 10, 2007**
- Agency: **100**
- Bureau: **55**
- Name of this Capital Asset: **MAX Budget Information Systems**
- Unique Project (Investment) Identifier: **100-55-01-01-01-0001-00**
- What kind of investment will this be in FY2009? **Operations and Maintenance**
- What was the first budget year this investment was submitted to OMB? **FY2001 or earlier**
- 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: **OMB's MAX Budget Systems provide an integrated platform for the collection, retrieval, manipulation, presentation, and publication of budget data. The system is used extensively throughout the year. The Budget Systems are built upon an ANSI-compliant integrated relational database that maintains the wide range of budgetary data necessary to meet OMB's multiple production and policy support demands. The database includes hundreds of budget "versions" encompassing current and past policy, baseline, program and financing, object class, character class, credit, federal employment, financial management, program assessment, congressional action, and special budget exercise data. A priority is placed on flexibility to respond to evolving information requirements. The database is designed to allow OMB analysts to use off-the-shelf information technology tools to analyze a wide array of information. Detailed data for the President's Budget is officially collected Government-wide through the MAX A-11 data entry system according to guidance published in OMB Circular No. A-11. The data is displayed in detail and at varying levels of aggregation in the President's Budget that is sent to the Congress and made available to the public annually. Decision support components (called the MAX Decision Support System, or MAX DSS) are used to respond to OMB's dynamic data collection, reporting, and analytical budget modeling needs. MAX DSS is used for tracking congressional appropriations actions ("Bill Tracking"), budget formulation decisions ("Fall Scorekeeping"), budget deficit projection reports, CBO comparisons, and numerous special exercises such as modeling continuing resolutions, bi-partisan budget negotiations, tracking the President's investments, homeland security, and emergency disaster-related spending (e.g., Hurricane Katrina relief). The MAX Budget Systems also form the basis for many Budget Formulation and Execution Line of Business initiatives, including: authentication and authorization (thru MAX Homepage Single-Signon), collaboration (thru the MAX Federal Community), and data collection and tracking. The annual MAX budget request is subject to internal administrative review, including coordination among OMB stakeholder offices and direct review by OMB's senior policy official for internal administration, who is also the head of OMB's Investment Review Board.**
- Did the Agency's Executive/Investment Committee approve this request? **yes**
- Did the Project Manager review this Exhibit? **yes**
- Contact information of Project Manager?
 - Name **Andrew Schoenbach**
 - E-mail **ASchoenbach@OMB.EOP.GOV**

sustainable techniques or practices for this project. **yes**

Will this investment include electronic assets (including computers)? **yes**

- Does this investment directly support one of the PMA initiatives? **yes**

Budget Performance Integration
Financial Performance
Human Capital
Expanded E-Government

Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? **The MAX Budget Systems directly support the Budget Formulation and Execution Egov Line of Business through policy leadership, technology leadership, tools, and services for several LoB initiative areas, including agency budget systems, government-wide collaboration, data collection and tracking, integration of budgeting with financial management, integration of budgeting and performance, and human capital. The systems also contribute by supporting PARTWeb, ITWeb, and special exercises.**

- 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.) **no**
- Is this investment for information technology? **yes**

For information technology investments only:

- What is the level of the IT Project? (per CIO Council PM Guidance) **Level 1**
- 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**
- Is this investment or any project(s) within this investment identified as "high risk" on the Q4-FY 2007 agency high risk report (per OMB Memorandum M-05-23)? **yes**
- Is this a financial management system? **no**
- What is the percentage breakout for the total FY2009 funding request for the following?
Hardware **3**
Software **3**
Services **94**
Other **0**

- 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? **yes**
- Contact information of individual responsible for privacy related questions:

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Title **Chief, Budget Systems Branch**
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- Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? **yes**
- Does this investment directly support one of the GAO High Risk Areas? **no**

Section B: Summary of Spending

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)				
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)				
	PY-1 and earlier	PY 2007	CY 2008	BY 2009
Planning:	1	0.2	0.3	0.3
Acquisition:	8	0.3	0.4	0.4
Subtotal Planning & Acquisition:	9	0.5	0.7	0.7
Operations & Maintenance:	36	3.4	3.3	3.4
TOTAL:	45	3.9	4	4.1
Government FTE Costs should not be included in the amounts provided above.				
Government FTE Costs	25	1.9	1.9	2
Number of FTE represented by Costs:	180	12	12	12

- Will this project require the agency to hire additional FTE's? **no**

Section C: Acquisition

- Do the contracts ensure Section 508 compliance? **yes**

Explain why: **MAX applications are migrating to Web-based platforms which are 508 compliant and all contract vehicles have specific language requiring compliance.**

- For additional information about this acquisition please see: usaspending.gov

Section D: Performance Information

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government	Mission and Business Results	Budget Formulation	Budget Appendix Text Automation - expand the number of agency chapters developed using the electronic application instead of manual markup.	9 agency chapters.	Add 13 additional chapters.	Completed.

	programs.						
2008	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Mission and Business Results	Budget Formulation	Budget Appendix Text Automation - expand the number of agency chapters developed using the electronic application instead of manual markup.	Twenty-two agency chapters are collected electronically.	All remaining agency chapters collected electronically for the FY09 Budget (during FY08)	[N/A]
2009	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Mission and Business Results	Budget Formulation	Budget Appendix Text Automation - expand the number of agency chapters developed using the electronic application instead of manual markup.	All agency chapters collected electronically.	All Appendix agency and non-agency chapters are automated.	[N/A]
2007	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Processes and Activities	Innovation and Improvement	Enhanced OMB IT capabilities for conducting budget data collection and issue tracking activities through better tools for data sharing and collaboration, both within OMB and with the agencies.	Within OMB, most RMOs use standalone spreadsheets and a very few use stand-alone MS Access databases for tracking activities. Collaboration and sharing is limited to shared network drives. With agencies, collaboration is limited to e-mail.	Analyze requirements and conduct one or more pilots of potential tools and processes that enhance capabilities for data sharing and collaboration between OMB RMOs and BRD, and OMB and agencies.	Completed. Pilots of the new web-based data collection tools included the successful collection of the Earmarks baseline database in 10 weeks and agency estimates of earmarks in Congressional action on Appropriations bills.

2008	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Processes and Activities	Innovation and Improvement	Enhanced OMB IT capabilities for conducting budget data collection and issue tracking activities through better tools for data sharing and collaboration, both within OMB and with the agencies.	Within OMB, most RMOs use standalone spreadsheets and a very few use stand-alone MS Access databases for tracking activities. Collaboration and sharing is limited to shared network drives. With agencies, collaboration is limited to e-mail.	At least four data collection exercises are automated.	[N/A]
2009	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Processes and Activities	Innovation and Improvement	Enhanced OMB IT capabilities for conducting budget data collection and issue tracking activities through better tools for data sharing and collaboration, both within OMB and with the agencies.	Within OMB, most RMOs use standalone spreadsheets and a very few use stand-alone MS Access databases for tracking activities. Collaboration and sharing is limited to shared network drives. With agencies, collaboration is limited to e-mail.	At least 8 data collection exercises are automated. Tools exist to enable rapid development of exercises.	[N/A]
2007	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Technology	IT Contribution to Process, Customer, or Mission	MAX Report Writer Replacement Initiative – maintainability of budget reports.	Most of the 800 existing reports continue to use the existing outdated 25 year old report writer tool. Representative reports from a few categories of reports have been converted.	Conversion of additional report categories and a multi-year plan for conversion of the remaining reports.	Completed

2008	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Technology	IT Contribution to Process, Customer, or Mission	MAX Report Writer Replacement Initiative – maintainability of budget reports.	Most of the 800 existing reports continue to use the existing outdated 25 year old report writer tool. Representative reports from a few categories of reports have been converted.	25% of budget reports are either retired or converted.	[N/A]
2009	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Technology	IT Contribution to Process, Customer, or Mission	MAX Report Writer Replacement Initiative – maintainability of budget reports.	Most of the 800 existing reports continue to use the existing outdated 25 year old report writer tool. Representative reports from a few categories of reports have been converted.	50% of budget reports are either retired or converted.	[N/A]
2007	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Customer Results	Customer Satisfaction	MAX A-11 Data Structure Redesign - develop a budget concepts subsystem and prepare an implementation plan.	MAX system is entirely reliant on the relationship between line numbers and concepts. These are extremely complex, little understood, and in-house knowledge on the relationships is diminishing.	Develop an application that will manage the budget concepts relationships and institutionalize the knowledge and business rules.	Completed
2008	Develop, enact and implement the	Customer Results	Customer Satisfaction	MAX A-11 Data Structure Redesign - Implement	MAX business rules subsystem is extremely	Develop a redesign for the business rules	[N/A]

	President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.			budget concepts subsystem developed in FY07. Redesign the edit and balance business rules subsystem redesign and prepare an implementation plan for FY09.	complex and not shareable with agency systems.	subsystem that better manages the complexity and shareable with agencies as a service.	
2009	Develop, enact and implement the President's Budget, shifting resources to higher priority and more effective uses; and improve the effectiveness and efficiency of government programs.	Customer Results	Customer Satisfaction	MAX A-11 Data Structure Redesign - Implement budget concepts subsystem developed in FY07. Redesign the edit and balance business rules subsystem redesign and prepare an implementation plan for FY09.	Data required for input to the MAX system has to be re-keyed from information stored in agency budget and financial management systems	Develop a data format and that will allow agencies to remotely validate data from their budget and financial management systems and load it directly into the MAX system.	[N/A]

Section E: Security and Privacy

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
MAX Budget Systems	no	no	The system does not contain, process or transmit personal identifying information.	no	Not a Privacy Act system of record.

Section F: Enterprise Architecture (EA)

- Is this investment included in your agency's target enterprise architecture? **yes**
- Is this investment included in the agency's EA Transition Strategy? **yes**

If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. **MAX Budget Systems**

- Is this investment identified in a completed (contains a target architecture) and approved segment architecture? **yes**

If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment. **Budget Formulation and Execution**

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		
MAX bulk load	Automated data load from agency budget systems	Data Management	Data Exchange	[N/A]	[N/A]	No Reuse	0
MAX Financial Data Import	Importing financial data into MAX	Financial Management	Billing and Accounting	[N/A]	[N/A]	External	0
MAX Reporting	OMB-wide Actuate reporting system	Records Management	Standardized / Canned	[N/A]	[N/A]	Internal	4
MAX Security	SSO with custom authentication	Security Management	Identification and Authentication	[N/A]	[N/A]	External	2

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

If "yes," please describe. **OMB serves as policy lead for the Budget Formulation and Execution Budget Formulation and Execution Line of Business (BFELoB). The BFE LoB was created in February 2006 to build modern, interoperable, flexible, cost effective, and optimized solutions supporting all phases of the formulation and execution of the Federal Budget and linking budget formulation, execution, planning, performance, and financial information as part of a "budget of the future". OMB's strategic direction is to align its MAX Budget Systems with the BFELoB and the FMLoB. In addition, the MAX system is aligning it's authentication components with the E-authentication initiative to implement a federated single sign-on architecture and government-wide HSPD-12.**

Part III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Risk Management

- Does the investment have a Risk Management Plan? **yes**

If "yes," what is the date of the plan? **Jun 30, 2005**

- Has the Risk Management Plan been significantly changed since last year's submission to OMB? **no**

Section B: Cost and Schedule Performance

- Was operational analysis conducted? **yes**
 - a. If "yes," provide the date the analysis was completed. **Jun 30, 2007**
 - b. If "yes," what were the results? **Following each budget season, a comprehensive series of after-action reviews and surveys was performed involving OMB BRD, OMB RMO, and agency staff. These reviews included meetings with the Budget Officers Advisory Council MAX Users group and coordinating with OMB's annual A-11 review process. (Since MAX is not made available to the public, the public was not surveyed). Out of these reviews and surveys, lists of corrective, adoptive, and perfective maintenance actions were compiled, prioritized, and are on track for implementation for budget season.**
 - c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: **[N/A]**

- What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor Only**

2. b Comparison of Plan vs. Actual Performance Table:						
Description of Milestone	Planned		Actual		Variance	
	Completion Date	Total Cost (\$M)	Completion Date	Total Cost (\$M)	Schedule:Cost (# days/\$M)	
MAX A-11 Data Collection Support, Maintenance, and Application Updates - Provide support through the FY 2008 Budget process. Incorporate corrective, adaptive, and perfective maintenance items in time for FY 2009 Budget.	Sep 20, 2007	0.3	Sep 30, 2007	0.3	0	0
Budget Appendix Text Automation - Implement 9 additional agencies in full production utilization in FY08 Budget. Make preparatons to add all remaining agencies for FY09 Budget.	Sep 30, 2007	0.1	Sep 30, 2007	0.1	0	0
MAX Report Writer Replacement Initiative - configure and implement production environment for new report writer COTS software. Train report writer group and convert several initial report categories.	Dec 31, 2006	0.2	Dec 31, 2006	0.2	0	0
MAX A-11 Simplification and Client Data Structure Redesign - Perform feasibility study on Budget Concepts redesign.	Jun 30, 2008	0.1	[N/A]	[N/A]	[N/A]	[N/A]
Web-based Data Collection Initiative: Analyze requirements and conduct one or more pilots of potential tools and processes that enhance capabilities for data sharing and collaboration between OMB RMOs and BRD, and OMB and agencies.	Sep 30, 2007	0.4	Sep 30, 2007	0.4	0	0