

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

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

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

- 1. Date of Submission: 9/11/2007
- 2. Agency: Small Business Administration
- 3. Bureau: Chief Financial Officer
- 4. Name of this Capital Asset: OCFO: Oracle Administrative Accounting/JAAMS 1.0
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 028-00-01-01-01-1001-00
- 6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) Operations and Maintenance
- 7. What was the first budget year this investment was submitted to OMB? FY2001 or earlier

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

SBA uses Oracle Federal Financials, a Financial Management System for Administrative Accounting. It is the system of record for the funding and expenditure of SBA's administrative funds. This system is currently hosted by CORIO/IBM. In FY07, SBA continued to use CORIO/IBM for hosting. Our FY09 budget includes funding for hosting, application management, licensing maintenance cost and user training.

SBA has initiated the Loan Modernization program (See Exhibit 300 for LMAS) that along with modernizing SBA's loan systems will integrate them to Oracle Federal Financials. This will result in Integrated Financial Management System that complies with Federal Credit Reform Act and FSIO's Core Financial System requirements for loan accounting. The cost for integrating modernized loan systems with Oracle Federal Financials is included in LMAS budget request. SBA is currently following the 'Seven Steps to Performance based Acquisition using SOO' methodology to acquire the services of public or private shared service provider who not only will host SBA's Oracle Federal Financials but also will help SBA modernize and integrate its loan systems with Oracle Federal Financials. This acquisition will be completed by the end of FY08. So, starting FY09, SBA will use public or private share service provider for hosting and application management by following the FMLoB guidelines.

- 9. Did the Agency's Executive/Investment Committee approve this request? Yes
  - a. If "yes," what was the date of this approval? 7/19/2006
- 10. Did the Project Manager review this Exhibit? Yes
- 11. Contact information of Project Manager?
  - a. What is the current FAC-P/PM certification level of the project/program manager? TBD
- 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
  - 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? No
    - 2. If "yes," will this investment meet sustainable design principles? No
    - 3. If "yes," is it designed to be 30% more energy

efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Budget Performance Integration  
Financial Performance

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

Oracle Administrative Accounting/JAAMS 1.0 supports the PMA initiatives through the accuracy and timeliness of the financial information maintained in Oracle financials.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part.](http://www.whitehouse.gov/omb/part.)) No

a. If "yes," does this investment address a weakness found during a PART review? No

b. If "yes," what is the name of the PARTed program?

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

15. Is this investment for information technology? Yes

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 2

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

(1) Project manager has been validated as qualified for this investment

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

No

19. Is this a financial management system?

Yes

a. If "yes," does this investment address a FFIA compliance area?

Yes

1. If "yes," which compliance area:

Agency-Wide Information Systems Controls

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

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

Oracle Administrative Accounting System/JAAMS 1.0

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

|          |           |
|----------|-----------|
| Hardware | 0.000000  |
| Software | 0.000000  |
| Services | 96.000000 |
| Other    | 4.000000  |

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:

Question 24 must be answered by all Investments:

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

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

| Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES<br>(REPORTED IN MILLIONS)                            |                  |         |         |         |           |           |           |                 |       |
|--|------------------|---------|---------|---------|-----------|-----------|-----------|-----------------|-------|
| (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) |                  |         |         |         |           |           |           |                 |       |
|  | PY-1 and earlier | PY 2007 | CY 2008 | BY 2009 | BY+1 2010 | BY+2 2011 | BY+3 2012 | BY+4 and beyond | Total |
| Planning:  | 0                | 0       | 0       | 0       |           |           |           |                 |       |
| Acquisition:   | 0                | 0       | 0       | 0       |           |           |           |                 |       |
| Subtotal Planning & Acquisition:   | 0                | 0       | 0       | 0       |           |           |           |                 |       |
| Operations & Maintenance:  | 7.211            | 0.964   | 1.061   | 2.799   |           |           |           |                 |       |
| TOTAL:   | 7.211            | 0.964   | 1.061   | 2.799   |           |           |           |                 |       |
| <b>Government FTE Costs should not be included in the amounts provided above.</b>                    |                  |         |         |         |           |           |           |                 |       |
| Government FTE Costs   | 0.91             | 0.238   | 0.258   | 0.267   |           |           |           |                 |       |
| Number of FTE represented by Costs:  | 3                | 3       | 3       | 3       |           |           |           |                 |       |

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

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

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

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

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

| Contracts/Task Orders Table:               |                              |                                     |  |                                    |                                  |   |  |                                |                              |  |                               |  |               |                                      |   | * Costs in millions   |
|--|------------------------------|-------------------------------------|--|------------------------------------|----------------------------------|---|--|--------------------------------|------------------------------|--|-------------------------------|--|---------------|--------------------------------------|---|---|
| Contract or Task Order Number              | Type of Contract/ Task Order | Has the contract been awarded (Y/N) | If so what is the date of the award? If not, what is the planned award date? | Start date of Contract/ Task Order | End date of Contract/ Task Order | Total Value of Contract/ Task Order (\$M) | Is this an Interagency Acquisition ? (Y/N) | Is it performance based? (Y/N) | Competitively awarded? (Y/N) | What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A) | Is EVM in the contract? (Y/N) | Does the contract include the required security & privacy clauses? (Y/N) | Name of CO    | CO Contact information (phone/email) | Contracting Officer Certification Level (Level 1,2,3,N/A) | If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N) |
| Hosting Services (SBAHQ-03-F-0215)         | Firm-Fixed Price             | Yes                                 | 7/11/2003  | 7/11/2003                          | 9/29/2008                        | 2.436                                     | No   | Yes                            | Yes                          | NA   | No                            | Yes  | Strong, Janet | 202-205-7037 / janet.strong@sba.gov  | N/A   | Yes   |
| Oracle Technical Support (SBAHQ-05-C-0031) | Firm Fixed Price             | Yes                                 | 9/28/2005  | 9/30/2005                          | 9/29/2009                        | 1.11                                      | No   | Yes                            | Yes                          | NA   | Yes                           | Yes  | Strong, Janet | 202-205-7037 / janet.strong@sba.gov  | N/A   | Yes   |

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

The contract was awarded to Corio/IBM for hosting application services as a firm-fixed price contract. There are currently SLAs in place which are measured each contract month and cover the following: 1/availability of the production application, 2/service request response times for severity 1, 2, 3 problems, and 3/ transaction performance. EVM was not a requirement when contract was initially awarded.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why:

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

a. If "yes," what is the date? 9/4/2007

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

1. If "no," briefly explain why:

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

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov). The table can be extended to include performance measures for years beyond FY 2009.

| Performance Information Table |  |                              |                              |                           |  |          |        |                |
|-------------------------------|--|------------------------------|------------------------------|---------------------------|--|----------|--------|----------------|
| Fiscal Year                   | Strategic Goal(s) Supported  | Measurement Area             | Measurement Category         | Measurement Grouping      | Measurement Indicator  | Baseline | Target | Actual Results |
| 2007                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Mission and Business Results | Financial Management         | Reporting and Information | Number of material weaknesses attributed to Oracle/JAAMS 1.0 |          |        |                |
| 2007                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Technology                   | Reliability and Availability | Availability              | % of time system is available is 99.5% or greater            |          |        |                |
| 2008                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Mission and Business Results | Financial Management         | Reporting and Information | Number of material weaknesses attributed to Oracle/JAAMS 1.0 |          |        |                |
| 2008                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and                  | Technology                   | Reliability and Availability | Availability              | % of time system is available is 99.5% or greater            |          |        |                |

| Performance Information Table |  |                              |                              |                           |  |          |        |                |
|-------------------------------|--|------------------------------|------------------------------|---------------------------|--|----------|--------|----------------|
| Fiscal Year                   | Strategic Goal(s) Supported  | Measurement Area             | Measurement Category         | Measurement Grouping      | Measurement Indicator  | Baseline | Target | Actual Results |
|                               | support services   |                              |                              |                           |  |          |        |                |
| 2009                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Customer Results             | Customer Benefit             | Customer Satisfaction     | Customer Satisfaction  |          |        |                |
| 2009                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Mission and Business Results | Financial Management         | Reporting and Information | Number of material weaknesses attributed to Oracle/JAAMS 1.0 |          |        |                |
| 2009                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Processes and Activities     | Cycle Time and Resource Time | Cycle Time                | Timeliness   |          |        |                |
| 2009                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Technology                   | Reliability and Availability | Availability              | % of time system is available is 99.5% or greater            |          |        |                |
| 2010                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Customer Results             | Customer Benefit             | Customer Satisfaction     | Customer Satisfaction  |          |        |                |
| 2010                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Mission and Business Results | Financial Management         | Reporting and Information | Number of material weaknesses attributed to Oracle/JAAMS 1.0 |          |        |                |
| 2010                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Processes and Activities     | Cycle Time and Resource Time | Cycle Time                | Timeliness   |          |        |                |
| 2010                          | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | Technology                   | Reliability and Availability | Availability              | % of time system is available is 99.5% or greater            |          |        |                |

| Performance Information Table |   |                  |                      |                      |                       |          |        |                |
|-------------------------------|---|------------------|----------------------|----------------------|-----------------------|----------|--------|----------------|
| Fiscal Year                   | Strategic Goal(s) Supported               | Measurement Area | Measurement Category | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|                               | executive leadership and support services |                  |                      |                      |                       |          |        |                |

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

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

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

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

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

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

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment? Yes
  - a. If "yes," provide the "Percentage IT Security" for the budget year: 5.000000
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 C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems) |
|  |  |                          |   |

| 4. Operational Systems - Security Table:   |  |   |  |                     |   |  |                                  |
|--|--|---|--|---------------------|---|--|----------------------------------|
| Name of System                             | Agency/ or Contractor Operated System? | NIST FIPS 199 Risk Impact level (High, Moderate, Low) | Has C&A been Completed, using NIST 800-37? (Y/N) | Date Completed: C&A | What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A) | Date Complete(d): Security Control Testing | Date the contingency plan tested |
| Oracle Administrative Accounting/JAAMS 1.0 | Contractor Only                        | Moderate  | Yes  | 9/30/2006           | FIPS 200 / NIST 800-53  | 9/30/2006                                  | 5/1/2007                         |

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? Yes
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.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? Audit accounts against personnel actions (terminations) monthly. Remove/disable any existing accounts for terminated employees monthly. Verify contract employees have completed security awareness training annually. Verify audit policies are established and controlled by the CISO daily. IBM monitors firewall audit logs daily. SBA and IBM both perform continuous monitoring and investigating of IDS log/alerts. Compile incident data and report incidents to Fedcirc, including viruses, spam, and any others monthly. Conduct FISMA Self Assessment on an adhoc basis. Complete security certification and accreditation every three years. Maintain list of vulnerabilities and status in the FISMA INFOSEC database and report status quarterly. Verify monitoring of security controls in the system and changes to the system yearly. Report significant changes to the CISO continuously. Conduct C&A activities continuously. Verify JAAMS unique userid to user and user authenticated password annually. Test the COOP and System Recovery Plans (SRP) for the JAAMS system servers annually. Provide contingency training with COOP/SRP test annually. Review the system security plan and planning documents annually. Verify organization updates every three years. Conduct vulnerability scans using Foundstone quarterly. Ensure our Application Service Provider (ASP) has completed a SAS 70 certification and security requirements pertaining to GSA on an adhoc basis.

SBA has contracted with Corio/IBM since July 2003 to host SBA's Oracle Administrative Accounting/JAAMS 1.0 system. The Oracle applications and database are hosted by the cross-servicing vendor at Tempe, Arizona. Security requirements pertaining to GSA contracts are applicable to the ASP contract. SBA performs site-visits to monitor and validate the contractor's security procedures, etc., and issued an updated Certification and Accreditation in September 2006. In addition, Corio/IBM has a SAS 70 certification.

| 8. Planning & Operational Systems - Privacy Table:  |                                 |   |   |  |   |
|---|---------------------------------|---|---|--|---|
| (a) Name of System  | (b) Is this a new system? (Y/N) | (c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N) | (d) Internet Link or Explanation  | (e) Is a System of Records Notice (SORN) required for this system? (Y/N) | (f) Internet Link or Explanation  |
| Oracle Administrative Accounting/JAAMS 1.0  | No                              | Yes   | <a href="http://www.sba.gov/idc/groups/public/documents/sba_program_office/foia_jaams.pdf">http://www.sba.gov/idc/groups/public/documents/sba_program_office/foia_jaams.pdf</a> | Yes  | <a href="http://www.sba.gov/aboutsba/sbaprograms/foia/papias/index.html">http://www.sba.gov/aboutsba/sbaprograms/foia/papias/index.html</a> |
| <b>Details for Text Options:</b>  |                                 |   |   |  |   |
| Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.                     |                                 |   |   |  |   |
| Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN. |                                 |   |   |  |   |
| Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.   |                                 |   |   |  |   |

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

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

- 1. Is this investment included in your agency's target enterprise architecture? Yes
  - a. If "no," please explain why?
  
- 2. Is this investment included in the agency's EA Transition Strategy? Yes
  - a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. This investment is identified in the Transition Migration and Sequencing Plan in the Transition Strategy (Name & Location/Exhibit):  
Joint Accounting and Administrative Management System (JA2MS) 1.0, described in Exhibit 4-9.
  - b. If "no," please explain why?
  
- 3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? No
  - a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

| 4. Service Component Reference Model (SRM) Table:   |
|---|
| Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <a href="http://www.egov.gov">http://www.egov.gov</a> . |

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| Agency Component Name     | Agency Component Description  | FEA SRM Service Domain       | FEA SRM Service Type | FEA SRM Component (a)     | Service Component Reused Name (b) | Service Component Reused UPI (b) | Internal or External Reuse? (c) | BY Funding Percentage (d) |
|---------------------------|---|------------------------------|----------------------|---------------------------|-----------------------------------|----------------------------------|---------------------------------|---------------------------|
| Data Exchange             | Support the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered.  | Back Office Services         | Data Management      | Data Exchange             |                                   |                                  | No Reuse                        | 46                        |
| Activity-Based Management | Support a defined, specific set of finance-related tasks for a given objective.   | Back Office Services         | Financial Management | Activity-Based Management |                                   |                                  | No Reuse                        | 0                         |
| Auditing                  | Support the examination and verification of records for accuracy.   | Back Office Services         | Financial Management | Auditing                  |                                   |                                  | No Reuse                        | 0                         |
| Billing and Accounting    | Support the charging, collection and reporting of an organization's accounts.   | Back Office Services         | Financial Management | Billing and Accounting    |                                   |                                  | No Reuse                        | 10                        |
| Credit/ Charge            | Support the use of credit cards or electronic funds transfers for payment and collection of products or services.   | Back Office Services         | Financial Management | Credit / Charge           |                                   |                                  | No Reuse                        | 10                        |
| Debt Collection           | Support the process of accounts receivable.   | Back Office Services         | Financial Management | Debt Collection           |                                   |                                  | No Reuse                        | 10                        |
| Expense Management        | Support the management and reimbursement of costs paid by employees or an organization.   | Back Office Services         | Financial Management | Expense Management        |                                   |                                  | No Reuse                        | 10                        |
| Internal Controls         | Support the methods and procedures used by the organization to safeguard its assets, produce accurate accounting data and reports, contribute to efficient operations, and encourage staff to adhere to management policies and mission requirements. | Back Office Services         | Financial Management | Internal Controls         |                                   |                                  | No Reuse                        | 4                         |
| Payment/Settlement        | Support the process of accounts payable.  | Back Office Services         | Financial Management | Payment / Settlement      |                                   |                                  | No Reuse                        | 10                        |
| Payroll                   | Involve the administration and determination of employees compensation.   | Back Office Services         | Financial Management | Payroll                   |                                   |                                  | No Reuse                        | 0                         |
| Ad-Hoc                    | Support the use of dynamic reports on an as needed basis.   | Business Analytical Services | Reporting            | Ad Hoc                    |                                   |                                  | No Reuse                        | 0                         |
| OLAP                      | Support the analysis of information that has been summarized into   | Business Analytical Services | Reporting            | OLAP                      |                                   |                                  | No Reuse                        | 0                         |

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| <b>4. Service Component Reference Model (SRM) Table:</b>  |  |                              |                         |   |                                   |                                  |                                 |                           |
|---|--|------------------------------|-------------------------|---|-----------------------------------|----------------------------------|---------------------------------|---------------------------|
| Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <a href="http://www.egov.gov">http://www.egov.gov</a> . |  |                              |                         |   |                                   |                                  |                                 |                           |
| Agency Component Name   | Agency Component Description   | FEA SRM Service Domain       | FEA SRM Service Type    | FEA SRM Component (a)                       | Service Component Reused Name (b) | Service Component Reused UPI (b) | Internal or External Reuse? (c) | BY Funding Percentage (d) |
|   | multidimensional views and hierarchies.  |                              |                         |   |                                   |                                  |                                 |                           |
| Standardized/Canned   | Support the use of pre-conceived or pre-written reports.   | Business Analytical Services | Reporting               | Standardized / Canned                       |                                   |                                  | No Reuse                        | 0                         |
| Business Rule Management  | Manage the enterprise processes that support an organization and its policies.   | Business Management Services | Management of Processes | Business Rule Management                    |                                   |                                  | No Reuse                        | 0                         |
| Change Management   | Control the process for updates or modifications to the existing documents, software or business processes of an organization. | Business Management Services | Management of Processes | Change Management                           |                                   |                                  | No Reuse                        | 0                         |
| Configuration Management  | Control the hardware and software environments, as well as documents of an organization.                                       | Business Management Services | Management of Processes | Configuration Management                    |                                   |                                  | No Reuse                        | 0                         |
| Invoice/ Requisition Tracking and Approval  | Support the identification of where a shipment or delivery is within the business cycle.                                       | Business Management Services | Supply Chain Management | Invoice / Requisition Tracking and Approval |                                   |                                  | No Reuse                        | 0                         |
| Ordering/ Purchasing  | Allow the placement of request for a product.  | Business Management Services | Supply Chain Management | Procurement                                 |                                   |                                  | No Reuse                        | 0                         |
| Categorization  | Allow classification of data and information into specific layers or types to support an organization.                         | Digital Asset Services       | Knowledge Management    | Categorization                              |                                   |                                  | No Reuse                        | 0                         |
| Information Retrieval   | Allow access to data and information for use by an organization and its stakeholders.  | Digital Asset Services       | Knowledge Management    | Information Retrieval                       |                                   |                                  | No Reuse                        | 0                         |
| Information Sharing   | Support the use of documents and data in a multi-user environment for use by an organization and its stakeholders.             | Digital Asset Services       | Knowledge Management    | Information Sharing                         |                                   |                                  | No Reuse                        | 0                         |
| Knowledge capture   | Facilitate collection of data and information.   | Digital Asset Services       | Knowledge Management    | Knowledge Capture                           |                                   |                                  | No Reuse                        | 0                         |
| Knowledge Distribution and Delivery   | Support the transfer of knowledge to the end customer.   | Digital Asset Services       | Knowledge Management    | Knowledge Distribution and Delivery         |                                   |                                  | No Reuse                        | 0                         |
| Process Tracking  | Allow the monitoring of activities within the business cycle.  | Process Automation Services  | Tracking and Workflow   | Process Tracking                            |                                   |                                  | No Reuse                        | 0                         |
| Email   | Support the transmission of memos and messages over a network.   | Support Services             | Collaboration           | Email                                       |                                   |                                  | No Reuse                        | 0                         |
| Classification  | Support  | Support Services             | Search                  | Classification                              |                                   |                                  | No Reuse                        | 0                         |

Exhibit 300: OCFO: Oracle Administrative Accounting/JAAMS 1.0 (Revision 9)

| <b>4. Service Component Reference Model (SRM) Table:</b>  |  |                        |                      |                                   |                                   |                                  |                                 |                           |
|---|--|------------------------|----------------------|-----------------------------------|-----------------------------------|----------------------------------|---------------------------------|---------------------------|
| Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <a href="http://www.egov.gov">http://www.egov.gov</a> . |  |                        |                      |                                   |                                   |                                  |                                 |                           |
| Agency Component Name   | Agency Component Description   | FEA SRM Service Domain | FEA SRM Service Type | FEA SRM Component (a)             | Service Component Reused Name (b) | Service Component Reused UPI (b) | Internal or External Reuse? (c) | BY Funding Percentage (d) |
|   | selection and retrieval of records organized by shared characteristics in content or context.  |                        |                      |                                   |                                   |                                  |                                 |                           |
| Query   | Support retrieval of records that satisfy specific query selection criteria  | Support Services       | Search               | Query                             |                                   |                                  | No Reuse                        | 0                         |
| Access Control  | Support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management. | Support Services       | Security Management  | Access Control                    |                                   |                                  | No Reuse                        | 0                         |
| Audit Trail Capture and Analysis  | Support the identification and monitoring of activities within an application, system, or network.   | Support Services       | Security Management  | Audit Trail Capture and Analysis  |                                   |                                  | No Reuse                        | 0                         |
| Identification and Authentication   | Support obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users.   | Support Services       | Security Management  | Identification and Authentication |                                   |                                  | No Reuse                        | 0                         |

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

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

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

| <b>5. Technical Reference Model (TRM) Table:</b>   |                             |                          |                                |   |
|--|-----------------------------|--------------------------|--------------------------------|---|
| To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment. |                             |                          |                                |   |
| FEA SRM Component (a)  | FEA TRM Service Area        | FEA TRM Service Category | FEA TRM Service Standard       | Service Specification (b) (i.e., vendor and product name)                       |
| Business Rule Management   | Component Framework         | Business Logic           | Platform Independent           | Java based APIs, etc  |
| Data Exchange  | Component Framework         | Data Management          | Database Connectivity          | Open architecture   |
| Information Retrieval  | Component Framework         | Data Management          | Reporting and Analysis         | Oracle tools  |
| Access Control   | Component Framework         | Security                 | Supporting Security Services   | Secure Shell (SSH)  |
| Email  | Service Access and Delivery | Access Channels          | Collaboration / Communications | Email notifications are automatically generated                                 |
| Data Exchange  | Service Access and Delivery | Delivery Channels        | Intranet                       | Oracle applications are web-enabled and are available to SBA users nation-wide. |
| Data Exchange  | Service Access and Delivery | Service Requirements     | Hosting                        | Corio/IBM is SBA's Application  |

Exhibit 300: OCFO: Oracle Administrative Accounting/JAAMS 1.0 (Revision 9)

| <b>5. Technical Reference Model (TRM) Table:</b>   |                                     |                                 |                                    |  |
|--|-------------------------------------|---------------------------------|------------------------------------|--|
| To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment. |                                     |                                 |                                    |  |
| <b>FEA SRM Component (a)</b>   | <b>FEA TRM Service Area</b>         | <b>FEA TRM Service Category</b> | <b>FEA TRM Service Standard</b>    | <b>Service Specification (b)<br/>(i.e., vendor and product name)</b>     |
|  |                                     |                                 |                                    | Service Provider for the Oracle accounting applications effective 9/2/03 |
| Business Rule Management   | Service Interface and Integration   | Integration                     | Enterprise Application Integration | Document Type Definition (DTD)   |
| Data Exchange  | Service Interface and Integration   | Integration                     | Middleware                         | Database Access: NET8  |
| Data Exchange  | Service Interface and Integration   | Integration                     | Middleware                         | Database Access: PL/SQL  |
| Data Exchange  | Service Interface and Integration   | Interface                       | Service Description / Interface    | Application Program Interface (API) / Protocol                           |
| Data Exchange  | Service Interface and Integration   | Interface                       | Service Description / Interface    | Automated interface processes with other company/agency systems          |
| Data Exchange  | Service Platform and Infrastructure | Database / Storage              | Database                           | Oracle 9i  |
| Data Exchange  | Service Platform and Infrastructure | Delivery Servers                | Application Servers                | Oracle application servers   |
| Configuration Management   | Service Platform and Infrastructure | Software Engineering            | Software Configuration Management  | Hosting - IBM  |
| Change Management  | Service Platform and Infrastructure | Software Engineering            | Software Configuration Management  | Hosting - IBM iSRVCE   |
| Activity-Based Management  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Auditing   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Billing and Accounting   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Credit / Charge  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Debt Collection  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Expense Management   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Internal Controls  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Payment / Settlement   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Payroll  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Ad Hoc   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| OLAP   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Standardized / Canned  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Invoice / Requisition Tracking and Approval  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Ordering / Purchasing  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Process Tracking   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Classification   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Query  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Audit Trail Capture and Analysis   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Identification and Authentication  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Categorization   | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Information Sharing  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Knowledge Capture  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |
| Knowledge Distribution and Delivery  | Service Platform and Infrastructure | Support Platforms               | Platform Dependent                 | Oracle Federal Financials 11.5.9   |

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

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

a. If "yes," please describe.

The Oracle Administrative Accounting System/JAAMS 1.0 will leverage the following components and/ or applications:

eTravel  
CCR Interface - Oracle 11.5.10  
PAY.gov

**Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)****Section A: Risk Management (All Capital Assets)**

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan? Yes
  - a. If "yes," what is the date of the plan? 10/10/2006
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
  - c. If "yes," describe any significant changes:
  
2. If there currently is no plan, will a plan be developed?
  - a. If "yes," what is the planned completion date?
  - b. If "no," what is the strategy for managing the risks?

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

1. Was operational analysis conducted? No
  - a. If "yes," provide the date the analysis was completed.
  - b. If "yes," what were the results?
  
  - c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:  
We are in the process of initiating an Operational Analysis and it should be completed by March 31, 2008.
  
2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).
  - a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor and Government
  - b. Comparison of Plan vs. Actual Performance Table:

| Comparison of Plan vs. Actual Performance Table |  |                              |                 |                              |                 |                   |           |
|---|--|------------------------------|-----------------|------------------------------|-----------------|-------------------|-----------|
| Milestone Number                                | Description of Milestone   | Planned                      |                 | Actual                       |                 | Variance          |           |
|   |  | Completion Date (mm/dd/yyyy) | Total Cost(\$M) | Completion Date (mm/dd/yyyy) | Total Cost(\$M) | Schedule (# days) | Cost(\$M) |
| 1   | UNISYS maintenance , Licensing, Upgrade and Consulting   | 9/30/2003                    | \$3.305         | 9/30/2003                    | \$2             | 0                 | \$1.305   |
| 2   | Complete Post Implementation Review (**Note: Funding for PIR in OCIO budget; not a direct cost to JA2MS) | 3/31/2003                    | \$0             | 12/6/2002                    | \$0             | 115               | \$0       |
| 3   | Transition to new ASP  | 9/30/2003                    | \$0.192         | 9/30/2003                    | \$0.192         | 0                 | \$0       |
| 4   | Hosting,Consulting and upgrade to Oracle Release 11i   | 10/29/2004                   | \$1.578         | 9/30/2004                    | \$1.578         | 29                | \$0       |
| 5   | Cross-servicing and consulting   | 9/30/2005                    | \$0.826         | 9/30/2005                    | \$0.783         | 0                 | \$0.043   |
| 7   | Cross-servicing, license migration and consulting  | 9/30/2006                    | \$0.864         | 9/30/2006                    | \$1.799         | 0                 | \$-0.935  |
| 8   | Cross-servicing, license renewal and consulting  | 9/30/2007                    | \$0.932         |                              |                 |                   |           |
| 9   | Cross-servicing, license renewal and consulting  | 9/30/2008                    |                 |                              |                 |                   |           |
| 10  | Cross-servicing, license renewal and consulting  | 9/30/2009                    |                 |                              |                 |                   |           |
| 11  | Cross-servicing, license renewal and consulting  | 9/30/2010                    |                 |                              |                 |                   |           |
| <b>Project Totals</b>                           |  | <b>9/30/2010</b>             |                 | <b>9/30/2006</b>             |                 | <b>1461</b>       |           |