

Exhibit 300 (BY2010)

PART ONE

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OVERVIEW

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1. Date of Submission:  
2009-04-10

2. Agency:  
015

3. Bureau:  
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4. Name of this Capital Asset:  
Consolidated Enterprise Identity Management (EIDM) Project

5. Unique Project Identifier:  
015-00-01-13-01-5202-00

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?  
FY2009

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.

The Consolidated Enterprise Identity Management (EIDM) Program addresses the Treasury/OMB mandate to develop an overarching business case that will report on all identity management initiatives at Treasury. This will be done in four phases: Phase 1 included gathering cost data for Homeland Security Presidential Directive-12 (HSPD-12) Program. Phase 2 includes gathering data for Treasury Enterprise Directives Service (TEDS); Secure Extranet Gateway (SEG); Treasury Self Administrative Service (TSAS); Public Key Infrastructure (PKI); and Bureau non-enterprise-wide identity management activities. In Phase 3, the Consolidated EIDM program office will develop an enterprise identity management knowledge base of the current related systems to establish standards which will be used for formulating, promoting, and facilitating the approval of identity management enterprise solutions, and consolidating, integrating, and/or enhancing identity management sectors will lead to increased performance and security. Phase 4 will be approving and overseeing enterprise solutions to identity management activities at Treasury.

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

9.a. If "yes," what was the date of this approval?  
2007-08-16

10. Did the Program/Project Manager review this Exhibit?  
yes

11. Program/Project Manager Name:

Program/Project Manager Phone:

Program/Project Manager Email:

11.a. What is the current FAC-P/PM certification level of the project/program manager?  
Senior/Expert/DAWIA-Level 3

11.b. When was the Program/Project Manager Assigned?  
2008-01-01

11.c. What date did the Program/Project Manager receive the FACP/PM certification? If the certification has not been issued, what is the anticipated date for certification?  
2008-09-08

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

yes

12.a. Will this investment include electronic assets (including computers)?

yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

no

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

yes

If yes, select the initiatives that apply:

Expanded E-Government

13.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?)

The EIdM supports the Expanded E-Gov initiative by improving security, by reducing the cost of identity management, and by making access to and protection of information more reliable and available through electronic means.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?

no

15. Is this investment for information technology?

yes

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

Level 2

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

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

18. Is this investment identified as high risk on the Q4 - FY 2008 agency high risk report (per OMB memorandum M-05-23)?

yes

19. Is this a financial management system?

No

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Area	Percentage
Hardware	22
Software	3
Services	60
Other	16

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?

yes

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

Name

Phone Number

Title

Email

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

## SUMMARY OF SPEND

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.

All amounts represent Budget Authority

Note: For the cross-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.

Cost Type	Py-1 & Earlier -2007	PY 2008	CY 2009	BY 2010
<b>Planning Budgetary Resources</b>	0.000	29.014	0.000	0.000
<b>Acquisition Budgetary Resources</b>	0.000	27.012	31.296	43.182
<b>Maintenance Budgetary Resources</b>	0.000	5.982	17.350	17.533
<b>Government FTE Cost</b>	0.000	18.947	16.037	13.945
<b># of FTEs</b>	0	0	44	55

Note: For the cross-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

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes.

This consolidated investment now includes additional components.

## PERFORMANCE

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 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 the next President's Budget.

	<b>Fiscal Year</b>	<b>Strategic Goal Supported</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
<b>1</b>	2009	Management and Organizational Excellence	Processes and Activities	Efficiency	reduction in the number of redundant systems	TBD in FY 2008	TBD in FY 2008	
<b>2</b>	2009	Management and Organizational Excellence	Customer Results	Customer Satisfaction	Percentage of access interoperability among Treasury Bureaus	0	9%	
<b>3</b>	2009	Management and Organizational Excellence	Technology	Availability	Percentage of TEDS/PKI availability	99.7%	less than 97.7%	
<b>4</b>	2009	Management and Organizational Excellence	Mission and Business Results	Security Management	Percentage of access failures	TBD in FY 2009	5%	
<b>5</b>	2010	Management and Organizational Excellence	Processes and Activities	Efficiency	reduction in the number of redundant systems	Less than the FY 2009 actual	Based on FY 2009	
<b>6</b>	2010	Management and Organizational Excellence	Customer Results	Customer Satisfaction	Percentage of access interoperability among Treasury Bureaus	9%	18%	
<b>7</b>	2010	Management and Organizational Excellence	Technology	Availability	Percentage of TEDS/PKI availability	99.7%	less than 97.7%	
<b>8</b>	2010	Management and Organizational Excellence	Mission and Business Results	Security Management	Percentage of access failures	5%	10%	
<b>9</b>	2011	Management and Organizational Excellence	Processes and Activities	Efficiency	reduction in the number of redundant systems	Less than FY2010 actual	Based on FY 2010	
<b>10</b>	2011	Management and Organizational Excellence	Customer Results	Customer Satisfaction	Percentage of access interoperability among Treasury Bureaus	18%	45%	
<b>11</b>	2011	Management and Organizational Excellence	Technology	Availability	Percentage of TEDS/PKI availability	99.7%	less than 99.7%	
<b>12</b>	2011	Management and Organizational Excellence	Mission and Business Results	Security Management	Percentage of access failures	10%	15%	
<b>13</b>	2012	Management and	Processes and Activities	Efficiency	Reduction in the number of hours	Less than FY 2011	Based on FY 2011	

		Organizational Excellence			required to enroll agency personnel and contractors for PIV cards	actual		
14	2012	Management and Organizational Excellence	Customer Results	Customer Satisfaction	Percentage of access interoperability among Treasury Bureaus	99.7%	less than 99.7%	
15	2012	Management and Organizational Excellence	Technology	Availability	Percentage of TEDS/PKI availability	45%	73%	
16	2012	Management and Organizational Excellence	Mission and Business Results	Security Management	Percentage of access failures	15%	20%	
17	2013	Management and Organizational Excellence	Processes and Activities	Efficiency	reduction in the number of redundant systems	Less than FY 2012 actual	Based on FY 2012	
18	2013	Management and Organizational Excellence	Customer Results	Customer Satisfaction	Percentage of access interoperability among Treasury Bureaus	99.7%	less than 99.7%	
19	2013	Management and Organizational Excellence	Technology	Availability	Percentage of TEDS/PKI availability	73%	100%	
20	2013	Management and Organizational Excellence	Mission and Business Results	Security Management	Percentage of access failures	20%	25%	

### Enterprise Architecture

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In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates 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
2. Is this investment included in the agency's EA Transition Strategy?  
yes
  - 2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.  
Consolidated Identity Management
3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?  
yes
  - 3.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.  
648-000

4. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

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

Reused Name and UPI: 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.

Internal or External Reuse?: 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.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Logical Access Control for Agency network application authentication	Uses submitted credentials to authenticate user's identity	Security Management	Identification and Authentication			No Reuse	61
2	Physical Access Control for Agency facilitates management	Support use of PIV card for access to applications and facilities	Security Management	Access Control			No Reuse	17
3	Audit Trail Analysis and Reporting	Support the detection of unauthorized access to a government physical and logical access points	Security Management	Audit Trail Capture and Analysis			No Reuse	3
4	Key Management/PKI	Manages PKI certificates and revocation lists	Security Management	Digital Signature Management	Identification and Authentication		Internal	10
5	Enrollment	enables employees and contractors to enroll for a standard and HSPD-12 and PIV compliant	Customer Initiated Assistance	Reservations / Registration	Reservations / Registration	023-30-01-12-01-1050-00	External	9

5. 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: 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.

Service Specification: 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.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	FIPS 201-1 Personal Identity Verification (PIV)
2	Identification and Authentication	Component Framework	Security	Certificates / Digital Signatures	Treasury PKI
3	Identification and Authentication	Component Framework	Security	Certificates / Digital Signatures	Treasury PKI, Digital Certificate Authentication
4	Identification and Authentication	Component Framework	Data Interchange	Data Exchange	Treasury Technical Standards Profile
5	Identification and Authentication	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	Treasury Technical Standards Profile
6	Identification and Authentication	Component Framework	Security	Supporting Security Services	Treasury Technical Standards Profile
7	Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Treasury Enterprise Directory System
8	Identification and Authentication	Service Access and Delivery	Access Channels	Web Browser	Treasury Technical Standards Profile
9	Reservations / Registration	Service Access and Delivery	Access Channels	Web Browser	Treasury Technical Standards Profile
10	Reservations / Registration	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	GSA Leased Registration and Enrollment Stations
11	Audit Trail Capture and Analysis	Service Access and Delivery	Access Channels	Other Electronic Channels	Treasury Technical Standards Profile
12	Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Independent Platform	J2EE1.4, Linux, and or Solaris 10
13	Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Dependent Platform	CICS, Dot Net 2.0 and or Windows XP
14	Audit Trail Capture and Analysis	Service Platform and Infrastructure	Delivery Servers	Web Servers	Hypertext Transfer protocol (HTTP) 1.1
15	Audit Trail Capture and Analysis	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN), FIPS 201-Personal Identity Verification (PIV)
16	Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	Treasury PKI

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

yes

6.a. If yes, please describe.

This investment implements the Homeland Security Presidential Directive 12 (HSPD-12), a cross-government mandate at Treasury. It leverages efforts by NIST, GSA, and other agencies as well as E-Authentication E-government initiative. This investment will be interlinked with the Federal Bridge for cross-certification of PKI certificates.

## PART TWO

### RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop 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.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2008-07-21

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

yes

1.c. If yes, describe any significant changes:

This consolidated investment now includes additional components.

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

The (Investment) has adopted a risk strategy in accordance with the Treasury information systems development life cycle methodology. The project management process (Investment) risks are identified and tracked at a system level by the Bureau and the overall strategy for the investment. Mitigation approaches are developed for each identified risk based on the assigned probability of occurrences and its impact. The risks factors are closely monitored along with control of labor and costs, which has been incorporated into the overall cost of each milestone, to mitigate potential risks and re-evaluated at appropriate control gates such as design reviews or test reviews and adjustments are made if necessary.

#### **COST & SCHEDULE**

1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2. Is the CV% or SV% greater than  $\pm 10\%$ ?

no

3. Has the investment re-baselined during the past fiscal year?

no