

## 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:** 2010-03-18 18:58:48
2. **Agency:** 028
3. **Bureau:** 00
4. **Name of this Investment:** OCFO: Oracle Administrative Accounting/JAAMS 1.0
5. **Unique Project (Investment) Identifier:** 028-00-01-01-01-1001-00
6. **What kind of investment will this be in FY 2011?:** Operations and Maintenance
  - Planning
  - Full Acquisition
  - Operations and Maintenance
  - Mixed Life Cycle
  - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB? \***
8. **Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

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 SRA/Oracle on Demand (OOD)/SAVVIS. Our FY11 budget includes funding for hosting, administration, Oracle technical support and application management services, 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's budget request. SBA awarded the LMAS BPA to SRA to host SBA's Oracle Federal Financials and help SBA modernize and integrate its loan systems with Oracle Federal Financials. SBA will continue to use a private share service provider for hosting, administration and application management by following the FMLoB guidelines.

  - a. **Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**
9. **Did the Agency's Executive/Investment Committee approve this request? \***
  - a. **If "yes," what was the date of this approval? \***
10. **Contact information of Program/Project Manager?**
  - **Name:** \*
  - **Phone Number:** \*
  - **Email:** \*
11. **What project management qualifications does the Project Manager have? (per FAC-P/PM)? \***
  - Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this

investment.

- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

**12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):**

| Financial management system name(s) | System acronym | Unique Project Identifier (UPI) number |
|-------------------------------------|----------------|--|
| *                                   | *              | *                                      |

**a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): \***

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

**1.**

| Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES<br>(REPORTED IN MILLIONS)<br>(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) |                 |         |         |         |           |           |           |                 |       |
|--|-----------------|---------|---------|---------|-----------|-----------|-----------|-----------------|-------|
|  | PY1 and earlier | PY 2009 | CY 2010 | BY 2011 | BY+1 2012 | BY+2 2013 | BY+3 2014 | BY+4 and beyond | Total |
| Planning:  | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| Acquisition:   | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| Subtotal Planning & Acquisition:   | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| Operations & Maintenance:  | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| Disposition Costs (optional):  | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| <b>SUBTOTAL:</b>   | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| <b>Government FTE Costs should not be included in the amounts provided above.</b>  |                 |         |         |         |           |           |           |                 |       |
| Government FTE Costs   | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| Number of FTE represented by Costs:  | *               | *       | *       | *       | *         | *         | *         | *               | *     |
| <b>TOTAL(including FTE costs)</b>  | *               | *       | *       | *       | *         | *         | *         | *               | *     |

**2. If the summary of funding has changed from the FY 2010 President’s Budget request, briefly explain those changes:**

\*

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

1. **Table 1: Contracts/Task Orders Table**

| Contract or Task Order Number | Type of Contract/ Task Order (In accordance with FAR Part 16) | 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) |
|-------------------------------|---|-------------------------------------|--|------------------------------------|----------------------------------|---|---|--------------------------------|------------------------------|--|-------------------------------|
| SBAHQ08A0043                  | FFP: Firm Fixed Price   | Y                                   | 2008-09-24   | 2008-09-29                         | 2018-09-30                       | \$22.1                                  | *   | *                              | *                            | *  | *                             |
| SBAHQ09F0103                  | FFP: Firm Fixed Price   | Y                                   | 2009-05-08   | 2009-05-19                         | 2010-05-18                       | \$0.3                                   | *   | *                              | *                            | *  | *                             |

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:

\*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? \*

a.If "yes," what is the date? \*

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported  | Measurement Area | Measurement Grouping | Measurement Indicator                                    | Baseline                    | Target   | Actual Results  |
|-------------|--|------------------|----------------------|--|-----------------------------|--|---|
| 2009        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | number of material weaknesses attributed to oracle/jaams | 0                           | 0  | a major portion of the year the metric was not tracked with the prior hosting contract. we will track for fy 2010.  |
| 2009        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | trouble tickets resolution time                          | resolution time not tracked | 90% of the time trouble tickets are resolved within the agreed upon time | 0   |
| 2009        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | patch management   | patch management            | 0  | developed a patch management plan and patches are analyzed and applied within one quarter and if not applied patches are tracked through the vulnerability tracking spreadsheet. 99.68% |
| 2009        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | system availability                                      | system availability         | system available 99.5% of time   | average system availability as of june 30, 2009 is 99.74%   |
| 2010        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | number of material weaknesses attributed to oracle/jaams | 0                           | 0  | tbd   |
| 2010        | Ensure that all SBA programs operate at  | *                | *                    | trouble tickets resolution time                          | resolution time not tracked | 90% of the time trouble tickets are resolved                             | tbd   |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported  | Measurement Area | Measurement Grouping | Measurement Indicator                                    | Baseline                    | Target   | Actual Results |
|-------------|--|------------------|----------------------|--|-----------------------------|--|----------------|
|             | maximum efficiency and effectiveness by providing them with high quality executive leadership and support services   |                  |                      |  |                             | within agreed  |                |
| 2010        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | patch management   | patch management            | 0  | tbd            |
| 2010        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | system availability                                      | system availability         | system available 99.5% of time   | tbd            |
| 2011        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | number of material weaknesses attributed to oracle/jaams | 0                           | 0  | tbd            |
| 2011        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | trouble tickets resolution time                          | resolution time not tracked | 90% of the time trouble tickets are resolved within the agreed upon time | tbd            |
| 2011        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | patch management   | patch management            | 0  | tbd            |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported  | Measurement Area | Measurement Grouping | Measurement Indicator                                    | Baseline                    | Target   | Actual Results |
|-------------|--|------------------|----------------------|--|-----------------------------|--|----------------|
| 2011        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | system availability                                      | system availability         | system available 99.5% of time   | tbd            |
| 2012        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | number of material weaknesses attributed to oracle/jaams | 0                           | 0  | tbd            |
| 2012        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | trouble tickets resolution time                          | resolution time not tracked | 90% of the time trouble tickets are resolved within the agreed upon time | tbd            |
| 2012        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | patch management   | patch management            | 0  | tbd            |
| 2012        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | system availability                                      | system availability         | system available 99.5% of time   | tbd            |
| 2013        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and                  | *                | *                    | number of material weaknesses attributed to oracle/jaams | 0                           | 0  | tbd            |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported  | Measurement Area | Measurement Grouping | Measurement Indicator           | Baseline                    | Target   | Actual Results |
|-------------|--|------------------|----------------------|---------------------------------|-----------------------------|--|----------------|
|             | support services   |                  |                      |                                 |                             |  |                |
| 2013        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | trouble tickets resolution time | resolution time not tracked | 90% of the time trouble tickets are resolved within the agreed upon time | tbd            |
| 2013        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | patch management                | patch management            | 0  | tbd            |
| 2013        | Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services | *                | *                    | system availability             | system availability         | system available 99.5% of time   | tbd            |

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

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

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline  |                    |                   |                    |                   |                         |                        |                          |                         |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones   | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY15 | *                  | *                 | 2014-10-01         |                   | 2015-09-29              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - UNISYS maintenance , Licensing, Upgrade and Consulting                        | \$3.3              | \$2.0             | 2002-10-01         | 2002-10-01        | 2003-09-29              | 2003-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Transition to new ASP   | \$0.2              | \$0.2             | 2003-07-14         | 2003-07-14        | 2003-09-29              | 2003-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Hosting, Consulting and upgrade to Oracle Release 11i                         | \$1.6              | \$1.6             | 2003-10-01         | 2003-10-03        | 2004-09-29              | 2004-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY18 | *                  | *                 | 2017-10-02         |                   | 2018-09-28              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher                   | *                  | *                 | 2016-10-03         |                   | 2017-09-29              |                        | 0.00%                    | 0.00%                   |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline  |                    |                   |                    |                   |                         |                        |                          |                         |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones   | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| availability FY17   |                    |                   |                    |                   |                         |                        |                          |                         |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY16 | *                  | *                 | 2015-10-01         |                   | 2016-09-29              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY14 | *                  | *                 | 2013-10-01         |                   | 2014-09-29              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY13 | *                  | *                 | 2012-10-01         |                   | 2013-09-27              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY12 | *                  | *                 | 2011-10-03         |                   | 2012-09-28              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY09 | \$2.9              | \$2.7             | 2008-10-01         | 2008-10-01        | 2009-09-29              | 2009-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA   | \$1.3              | \$1.1             | 2006-10-02         | 2006-10-01        | 2007-09-28              | 2007-09-30             | 100.00%                  | 100.00%                 |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline   |                    |                   |                    |                   |                         |                        |                          |                         |
|--|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones  | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| AMS 1.0 -  |                    |                   |                    |                   |                         |                        |                          |                         |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Cross-servicing, license migration and consulting                                    | \$1.2              | \$2.1             | 2005-10-03         | 2005-10-01        | 2006-09-29              | 2006-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Cross-servicing and consulting   | \$1.1              | \$1.1             | 2004-10-01         | 2004-10-01        | 2005-09-29              | 2005-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 08       | \$1.3              | \$1.3             | 2007-10-01         | 2007-10-01        | 2008-09-29              | 2008-09-30             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 11 Qtr 1 | *                  | *                 | 2010-10-01         |                   | 2010-12-31              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 11 Qtr 2 | *                  | *                 | 2011-01-03         |                   | 2011-03-31              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or                                 | *                  | *                 | 2010-04-01         |                   | 2010-06-30              |                        | 0.00%                    | 0.00%                   |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline   |                    |                   |                    |                   |                         |                        |                          |                         |
|--|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones  | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| higher availability FY 11 Qtr 3  |                    |                   |                    |                   |                         |                        |                          |                         |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 11 Qtr 4 | *                  | *                 | 2010-07-01         |                   | 2010-09-30              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 10 qtr 1 | \$0.7              | \$0.7             | 2009-10-01         | 2009-10-01        | 2009-12-31              | 2009-12-31             | 100.00%                  | 100.00%                 |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 10 qtr 2 | \$0.8              | \$0.2             | 2010-01-01         | 2010-01-01        | 2010-03-31              |                        | 85.94%                   | 65.62%                  |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 10 qtr 3 | *                  | *                 | 2010-04-01         |                   | 2010-06-30              |                        | 0.00%                    | 0.00%                   |
| PROJ: Oracle Administrative Accounting/JA AMS 1.0 - Host and maintain the financial system with 99.5% or higher availability FY 10 Qtr 4 | *                  | *                 | 2010-07-01         |                   | 2010-09-30              |                        | 0.00%                    | 0.00%                   |

\* - Indicates data is redacted.