

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information and Justification

This guidance (April 2007) is for non-IT capital asset projects for the FY 2009 budget submission. Updates include providing this guidance, clarifying some terminology, revising the fiscal years, shortening the document by removing instructions, and adding note fields for additional remarks.

OMB relies on the Exhibit 300s to make budget decisions, i.e., start or continue a project. DOE projects provide substantial national contributions. The Exhibit 300 should reflect the importance and performance of the projects and “tell the story.” The Capital Programming Guide should be observed as part of OMB requirements. For additional information, refer to http://www.whitehouse.gov/omb/circulars/a11/current_year/a11_toc.html. Supplemental information for the OMB examiner may be submitted with an Exhibit 300. They must be clearly identified as being part of the OMB submission with the project name and ID on each title page.

Capital asset projects, including Major Items of Equipment (MIE) and EM cleanup projects, with a Total Project Cost (TPC) greater than or equal to \$5M are subject to DOE O 413.3A and are not constrained to any specific element of the budget structure, (e.g., operating expense).

Submit the Exhibit 300s for projects greater than or equal to \$20M.

Herein,

FY PY = FY 2007;

FY CY = FY 2008; and

FY BY = FY 2009.

New Investments – If reporting a new investment (i.e., proposed for BY or later), complete Parts I and II. Investments in initial concept or planning phase will have less detail and specificity than investments moving into the acquisition or operational phase. However, these investments should identify in life-cycle documentation the dates these issues will be addressed as the investment matures. Where prototypes are acquired as part of the planning process, the prototypes must be reported as full acquisitions. All of the areas on the exhibit 300 must be part of the planning, and the exhibit 300 should be updated as soon as the information is known.

Ongoing Investments – If reporting an ongoing investment, only update sections as appropriate. If any of the cost, schedule or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion (EAC). Use the EVM system to identify the specific work packages where problems are occurring. Discuss why the problems occurred and corrective actions necessary to return the program as close as feasible to the current baseline goals.

The Exhibit 300 template is a MS Word document, password protected, and utilizes the “Forms” capability. All data must be entered in the shaded form fields/boxes. In an effort to be consistent, further tailoring of the form is discouraged; however, the POC may be contacted for the password.

Section A: Overview

1. Date of Submission:..... 8/1/2007

State current date.

2. Agency: Department of Energy

Should be “Department of Energy.”

3. Program: -

State program name and subprogram (as applicable), e.g., Office of Science/Basic Energy Science.

4. Project Name: -

State project name and site (as applicable), e.g., SNM Component Requalification Facility at Pantex Plant. Project name and site should be same as budget documentation, associated PDS (if PDS is required), and PARS.

5. Project ID: -

Project ID should be same as budget documentation, associated PDS (if PDS is required), and PARS.

6. What kind of investment will this be in FY BY?

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

E-Gov/LoB Oversight

State project current status. Should be either “planning” and/or “full acquisition”; otherwise, contact the designated point of contact in the budget call.

terminology:

Planning means preparing, developing or acquiring the information you will use to: design the investment; assess the benefits, risks, and risk-adjusted life-cycle costs of alternative solutions; and establish realistic cost, schedule, and performance goals, for the selected alternative, before either proceeding to full acquisition of the capital project (investment) or useful segment or terminating the investment. Planning must progress to the point where you are ready to commit to achieving specific goals for the completion of the acquisition before preceding to the acquisition phase. Information gathering activities may include market research of available solutions, architectural drawings, geological studies, engineering and design studies, and prototypes. Planning is a useful segment of a capital project (investment). Depending on the nature of the investment, one or more planning segments may be necessary.

Full Acquisition includes procurement and implementation of a project, which occurs after planning activities are mature and baseline and cost and performance goals are established.

Operations and Maintenance occurs when investment is operational and only needs to perform maintenance to remain stable.

Mixed life-cycle investment means an investment having both development/modernization/enhancement (DME) and steady state components. For example, a mixed life-cycle investment could include a prototype or module of a system that is operational with the remainder of the system in DME stages; or, a service contract for steady state on the current system with a DME requirement for system upgrade or replacement.

E-Gov/LoB Oversight is used by the Managing Partner/Agency for multi-agency initiatives.

7. What was the first budget year this investment was submitted to OMB?..... FY

State fiscal year investment was initially submitted to OMB. In general, this may be when CD-0 was approved.

8. Provide a brief summary and justification:

The most recent DOE O 413.3A approved Critical Decision is CD- that was approved on with a Total Project Cost (TPC) or preliminary cost estimate range of .

Initial statement should provide status of the project, e.g., information concerning the most recent CD approval.

Statement should address how this project addresses an identified performance gap. It should answer “What is it that DOE cannot do now, that they will be able to do with this investment?” or, if project is on-going, “What could DOE no longer do if this investment were cancelled?”

9. Did the Acquisition Executive approve this request? Yes No
 a. If “yes,” what was approval date of this approval?

The AE should have reviewed this request. If a major system project, the program PSO or PMSO should have reviewed this request. State the latest CD approval date that was approved by the AE. If project has CD-2 approval and has a BCP, state the latest BCP approval date that was approved by the AE.

10. Did the Federal Project Director review this Exhibit? Yes No

The FPD should have reviewed this request.

11. Contact information of Federal Project Director?

Name: -
 Phone Number: -
 E-mail: -
 PMCDP Certification Level: ... -

FPD information should be same as PARS and OECM’s Deputy Secretary report.

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes No
 a. Will this investment include electronic assets (including computers)? Yes No
 b. Is this investment for new construction or major retrofit of a Federal building or facility? Yes No
 i. If “yes,” is an ESPC or UESC being used to help fund this investment? Yes No
 ii. If “yes,” will this investment meet sustainable design principles? Yes No
 iii. If “yes,” is it designed to be 30% more energy efficient than relevant code? Yes No

The Energy Policy Act of 2005, Section 109, which requires that sustainable design principles are applied to the siting, design and construction of all new and replacement buildings and that new federal buildings be designed to achieve energy consumption levels that are at least 30 percent below the levels established in the 2004 International Energy Conservation Code for residential buildings or the ASHRAE Standard 90.1-2004 for non-residential buildings, if life-cycle cost effective.

Consistent with DOE O 413.3A requiring compliance to sustainable environmental stewardship throughout the CD process, observe Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management and the implementation instructions that was developed in consultation with OMB. For additional information, refer to http://www1.eere.energy.gov/femp/about/eo_fedmgmt.html.

Apply life-cycle cost-effective, sustainable principles, defined per the *Guiding Principles for Federal Leadership in High Performance and Sustainable Buildings*, to the siting, design, and construction of DOE buildings. Incorporate sustainable principles into project feasibility studies and/or at the earliest stages of project planning. These requirements apply to construction of new DOE buildings; new, renegotiation, or extension of leases for Federal occupancy; and major renovation projects. A sustainable siting, design, or construction measure is considered life-cycle cost effective in the methodology defined in 10 CFR Part 436, subpart A, if it meets the requirements for life cycle cost effectiveness on an individual basis, within a bundled set of measures, or within the whole building design. DOE sites are encouraged to meet the sustainable building requirements of Executive Order 13423 through the use of independent third-party certification, such as the U.S. Green Building Council's LEED® rating system and the use of independent commissioning authorities. The DOE including the NNSA should strive to achieve the Gold LEED certification on all construction projects as a minimum standard. Due to the flexible nature of these systems however, certification to these rating systems does not necessarily translate into meeting all the requirements of the *Guiding Principles*. To do so, agencies are encouraged to require certain "credits" within each rating system that parallel the requirements in the *Guiding Principles*.

terminology:

Energy savings performance contract (ESPC) means a contract providing for the performance of services for the design, acquisition, financing, installation, testing, operation, and, where appropriate, maintenance and repair of an identified energy or water conservation measure or series of measures at one or more locations. Future energy savings are guaranteed by the contractor and the contractor is paid by the government over time from the savings resulting from reduced energy bill payments.

Utility Energy Efficiency Service Contract (UESC) means a local utility providing up-front project financing of energy efficiency and related measures, and then having Federal agencies pay for the services over time, either on their utility bill, or through a separate demand-side management agreement. See FAR Part 41 for more information.

13. Does this investment directly support one of the PMA initiatives? If “yes,” check all that apply:

- Human Capital
- Budget Performance Integration
- Financial Performance
- Expanded E-Government
- Competitive Sourcing
- Faith Based and Community
- Real Property Asset Management
- Eliminating Improper Payments
- Privatization of Military Housing
- Research & Development Investment Criteria
- Housing & Urban Dev. Management & Performance
- Broadening Health Insurance Coverage through State Initiatives
- “Right Sized” Overseas Presence
- Coordination of VA & DoD Programs and Systems

The President’s Management Agenda (PMA) contains five government-wide and nine agency-specific goals to improve federal management and deliver results that matter to the American people. For additional information, refer to <http://www.energy.gov/pma.htm>.

In coordination with program’s management, check only the applicable PMA initiatives.

14. Does this investment support a program assessed using the PART?..... Yes No
- a. If “yes,” does this investment address a weakness found during a PART review?..... Yes No
- b. If “yes,” what is the name of the PARTed program? -
- c. If “yes,” what rating did the PART receive? -

The Program Assessment Rating Tool (PART) assesses each program’s purpose, links to the Strategic Plan, management decision-making, and performance results. For additional information, refer to <http://www.energy.gov/about/performance.htm>.

15. Is this investment for information technology? Yes No

Should be “No.”

Section B: Summary of Spending

1. Provide the total estimated life-cycle cost for this investment by completing the following table.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are planning purposes only and do not represent budget decisions)									
	FY PY-1 and earlier	FY PY	FY CY	FY BY	FY BY+1	FY BY+2	FY BY+3	FY BY+4 and beyond	Total
Planning:									
Acquisition:									
Subtotal									

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are planning purposes only and do not represent budget decisions)									
Planning & Acquisition:									
Operations & Maintenance:									
TOTAL:									
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs									
No. of FTE represented by Costs:									

notes:

If project does not have CD-2 approval, state in the notes field “THIS IS A PRELIMINARY COST ESTIMATE. PROJECT DOES NOT HAVE A PERFORMANCE BASELINE. The preliminary cost estimate range (excludes O&M) is \$xxxM to \$yyyM.”

Provide the total estimated life-cycle cost for this investment by completing the 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.

O&M should be same as the PDS section 8 (if PDS is required).

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.

terminology:

Life-cycle costs (see Supplement to Part 7—Capital Programming Guide, excerpt “The cost of a capital asset is its full life-cycle cost, including all direct and indirect costs for planning, procurement (purchase price and all other costs incurred to bring it to a form and location suitable for its intended use), operations and maintenance (including service contracts), and disposal.”).

2. Will this project require the agency to hire additional FTEs? Yes No
 a. If “yes,” how many and in what fiscal year?

State if additional FTEs are required to execute the project.

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

Explanation should be linked to applicable risk management issues.

Section C: Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment.

Contracts/Task Orders Table																	
Contract or Task Order Number	Type of Contract/Task Order	Has the contract been awarded? (Y/N)	Is 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)	CO 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)	
-	-	-															

notes:

List all major prime contracts (e.g., M&O) or task orders for the specific project. If M&O or prime(s) manage the project, list the sub-contract and the project specific contract(s) or task order(s).

terminology:

Total Value of Contract/Task Order means the current total value of the Contract or Task Order to acquire and operate the capital asset. For contracts/task orders shared by multiple capital assets, please provide only the current total value associated to the identified capital asset. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included

Interagency acquisition means the use of the Federal Supply Schedules, a multi-agency contract, or a government-wide acquisition contract.

Performance-based acquisition management means a documented, systematic process for program management, which includes integration of program scope, schedule and cost objectives, establishment of a baseline plan for accomplishment of program objectives, and use of earned value techniques for performance measurement during execution of the program.

Enhanced Use Leasing (EUL): Departments with specific statutory authority can require rent in the form of a reduction in the cost or free use of facilities or services for programs, monetary payments, or other in-kind consideration which enhances mission activity. This authority allows an agency to out-lease property and receive payment in cash or in kind (goods or services that result in direct cost savings to the government) from the lessee in exchange for the out-lease.

Contracting officer certification means the highest current level of certification in contracting obtained by the contracting officer (CO) assigned to the acquisition. For civilian agencies, indicate the CO’s highest level of Federal Acquisition Certification in Contracting (FAC-C), in accordance with OMB memorandum, The Federal Acquisition Certification in Contracting Program, dated January 20, 2006. Available levels are 1, 2, or 3. The FAC-C is a new program that civilian agencies are in the process of implementing. To address the transition period, if the CO has not obtained a FAC-C, the agency must determine that the CO assigned to the effort has the competencies and skills necessary to support the acquisition.

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:

-

If EVMS certification has been certified by, reviewed by, or scheduled to be reviewed by OECM, state EVMS certification status.

3. Do the contracts ensure Section 508 compliance?..... N/A Yes No
 a. Explain why:

-

Applicable to non-IT capital asset projects. For additional information, refer to <http://www.section508.gov>.

In 1998, Congress amended the Rehabilitation Act to require Federal agencies to make their electronic and information technology accessible to people with disabilities. Inaccessible technology interferes with an individual's ability to obtain and use information quickly and easily. Section 508 was enacted to eliminate barriers in information technology, to make available new opportunities for people with disabilities, and to encourage development of technologies that will help achieve these goals. The law applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology. Under Section 508 (29 U.S.C. ‘ 794d), agencies must give disabled employees and members of the public access to information that is comparable to the access available to others.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes No
 a. If “yes,” what is the date?.....
 b. If “no,” will an acquisition plan be developed?..... Yes No
 i. If “no,” briefly explain why:

-

Question refers to the Acquisition Plan not the Acquisition Strategy. The process of choosing the best capital asset starts with the development of a strategy to review the market and ends with the development of an acquisition plan that outlines the best approach to acquire the recommended asset. For additional information, refer to the Capital Programming Guide and the FAR.

Section D: Performance Information

The Federal Acquisition Streamlining Act of 1994, Title V (FASA V), which requires agencies to establish cost, schedule and measurable performance goals for all major acquisition programs, and achieve on average 90 percent of those goals.

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 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

Alternatives Analysis Results			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate

Alternative analysis results should be same as CD-1 documentation, e.g., approved Acquisition Strategy.

terminology:

Risk adjusted life-cycle costs means the overall estimated cost for a particular investment alternative over the time period corresponding to the life of the investment, including direct and indirect initial costs plus any periodic or continuing costs of operation and maintenance that has been adjusted to accommodate any risk identified in the risk management plans. If project funding is to be requested for specific phases, segments or modules of the project, each of these parts will be risk adjusted for their individual life-cycle.

3. Which alternative was selected by the Acquisition Executive and why was it chosen?

-

Consider commenting on viability of noncapital alternatives and use of existing assets.

4. What specific qualitative benefits will be realized?

-

State qualitative benefits from the investment.

Section B: Risk Management

Risk management is an essential element of every project. Consistent with DOE O 413.3A, project 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 No
 - a. If “yes,” what is the date of the plan?.....
 - b. Has the Risk Management Plan significantly changed since last submission to OMB? Yes No
 - c. If “yes,” describe any significant changes:

-

If project has CD-1 approval, there should be a RMP. State the date of the latest approved plan. It is important to state any significant changes to the risk identification, analysis, planning, handling, or monitoring. It is also important to elaborate on the higher level risks from current status leading to FY BY.

- 2. If there currently is no plan, will a plan be developed? Yes No
 - a. If “yes,” what is the planned completion date?
 - b. If “no,” what is the strategy for managing the risks?

-

Leave fields blank if answer to question 1 is “No.” In general, provide answers to question 2 if project does not have CD-1 approval, and the answer to question 2 should be “Yes.”

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

Summarize risks as related to the life cycle and investment schedule.

Section C: Cost and Schedule Performance

Complete this section only if project has CD-2 approval.

The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs).

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?..... Yes No
2. Answer the following questions about current cumulative cost and schedule performance.
 - a. What is the Planned Value (PV)?..... \$0
 - b. What is the Earned Value (EV)? \$0
 - c. What is the actual cost of work performed (AC)?..... \$0
 - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?..... -
 - e. "As of" date:.....
3. What is the calculated Schedule Performance Index (SPI = EV/PV)? 0.00
4. What is the schedule variance (SV = EV-PV)? \$0.00
5. What is the calculated Cost Performance Index (CPI = EV/AC)?..... 0.00
6. What is the cost variance (CV = EV-AC)?..... \$0
7. Is the CV% (= CV/EVx100) or SV% (=SV/PVx100) greater than ± 10%? Yes No
 - a. If "yes," what is the?
 - CV 0%
 - SV..... 0%
 - both..... -
 - b. If "yes," what corrective actions are being taken?
 -
 - c. What is the most current "Estimate at Completion (EAC)"? \$0

EVM data should be same as PARS.

8. Have any significant changes been made to the baseline during the past fiscal year? Yes No
 - a. If "yes," when was it approved by OMB?.....

Significant changes should be same or elaborate on the associated PDS section 1 (if PDS is required).

9. Comparison of Initial Baseline and Current Approved Baseline: Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline.

Comparison of Initial Baseline and Current Approved Baseline									
Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		
	Planned Completion Date	Total Cost (\$M) Estimate	Completion Date Planned	Completion Date Actual	Total Cost (\$M) Planned	Total Cost (\$M) Actual	Schedule (# days)	Cost (\$M)	Percent Complete

notes:

Complete table only if project has CD-2 approval. The “Description of Milestone” and “Percent Complete” fields are required. Indicate ‘0’ for any milestone no longer active. Initial baseline corresponds with CD-2 approval. State all CD and major milestones.