

**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:  | 9/15/2008   |
| 2. Agency:  | Environmental Protection Agency                   |
| 3. Bureau:  | Office Of Administration And Resources Management |
| 4. Name of this Capital Asset:  | EPA Personnel Access and Security System (EPASS)  |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)   | 020-00-01-16-01-6026-00                           |
| 6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)   | Mixed Life Cycle                                  |
| 7. What was the first budget year this investment was submitted to OMB?   | FY2007  |
| 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:  |   |
| <p>Homeland Security Presidential Directive (HSPD) 12, "Policy for a Common Identification Standard for Federal Employees and Contractors", directs all Federal agencies to use a common Smartcard for physical and logical/IT access. The Directive has both security policy and technical requirements. The National Institute of Standards and Technology (NIST) developed FIPS 201, "Personal Identity Verification of Federal Employees and Contractors", technical standards for deployment of the Smartcard which, once in use, will provide a common basis for authenticating the identity of employees and contractors among and between Federal agencies. To fully comply with HSPD-12, EPA and other Federal agencies and departments must meet two separate Personal Identity Verification (PIV) requirements outlined in the FIPS 201 standards. PIV-I addresses the fundamental control and security objectives outlined in HSPD-12, including personal identity proofing, registration and enrollment of Federal employees and contractors. PIV-II provides detailed technical specifications to support the control and security objectives of PIV-I as well as interoperability of credentials among Federal agencies and departments when implemented in FY2007. EPA implementation of HSPD-12 will fill HSPD-12 performance gaps. The EPASS solution includes badges, badge readers, and associated hardware and software necessary to permit access to EPA's physical infrastructures nationwide and electronic authentication of employees from other Federal agencies. The first budget year submission for this investment was FY2007. There are costs shown in the spending table for FY06, which were re-programmed by EPA to allocate costs to begin this investment before EPASS was approved its own funds. EPASS Identity Management System (IDMS) has been renamed EPASS Workflow Management System (WFMS) to better describe its function as a work flow engine and not an identity management system, which is used to authorize individuals for logical access. To minimize technical complexity and challenges, EPASS is being implemented in phases. The first phase was the implementation of the CMS and WFMS and the interface between those two systems in order to issue the PIV cards. Subsequent phases include the Physical Access Control Systems (PACS), which will be implemented at each EPA facility at the rate of about 5-8 per year. This includes the hardware and software necessary to read and authenticate the PIV cards for physical access.</p> |   |
| 9. Did the Agency's Executive/Investment Committee approve this request?  | Yes   |
| a. If "yes," what was the date of this approval?  | 8/28/2008   |
| 10. Did the Project Manager review this Exhibit?  | Yes   |
| 11. Contact information of Program/Project Manager?   |   |
| Name  |   |
| Phone Number  |   |
| Email   |   |
| a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?   | Waiver Issued                                     |
| b. When was the Program/Project Manager Assigned?   | 8/1/2005  |
| c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?  | 8/28/2009   |

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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)? Yes

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?

2. If "yes," will this investment meet sustainable design principles?

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: Expanded E-Government

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?)

EPASS supports 3 e-gov initiatives: sharing information between agencies; automating processes to reduce costs internally; and undertaking a federal PKI to promote digital signatures for transactions within the federal government, between government and businesses, and between government and citizens. EPA is using ORC, a government-approved PKI shared services provider. EPASS is also leveraging two cross-government programs, e-QIP and e-Clearance, for background check information.

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?

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 3

17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? No

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

1. If "yes," which compliance area:

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

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

Hardware	33
Software	23
Services	44

Other 0

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:

Name

Phone Number

Title

E-mail

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

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 (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 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	2.539	1.309	0.676	0.428					
Acquisition:	5.762	3.926	2.479	2.139					
Subtotal Planning & Acquisition:	8.301	5.235	3.155	2.567					
Operations & Maintenance:	0.456	1.309	1.352	1.711					
TOTAL:	8.757	6.544	4.507	4.278					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	1.615	0.558	0.545	0.567					
Number of FTE represented by Costs:	12	4	4	4					

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?

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

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

**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.

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Contracts/Task Orders Table:																* Costs in millions
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)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA 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)
EP-W-05-024 Task Order 030	CPIF	Yes	3/30/2006	3/30/2006	4/14/2009	0.278	No	Yes	Yes	NA	Yes	Yes				
GS-35F-4997G TO15	T and M	Yes	3/17/2008	3/17/2008	3/17/2012	10.2	No	Yes	Yes	NA	Yes	Yes				
TBD	T and M											Yes				
EP08H001546	FFP	Yes	1/17/2008	1/17/2008	1/16/2009	0.195	No	No	Yes	NA	No	Yes				
EP08H000750 (Montgomery, AL)	FFP	Yes	5/28/2008	5/28/2008	5/28/2009	0.067	No	No	Yes	NA	No	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:

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why not or how this is being done? We plan to use the GSA Approved Products Lists (APL), the EPA Electronic Information Technology (EIT) Procurement Checklist, and other information available at [www.intranet.epa.gov/accessibility/](http://www.intranet.epa.gov/accessibility/) to procure Section 508 compliant products. EPA is installing Section 508 compliant badge readers for physical access; the badge readers emit a loud beep for who are visually impaired and also change light colors for those who are hearing impaired.

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

a. If "yes," what is the date? 1/19/2007

1. Is it Current? Yes

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 the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Cross-Goal Strategies	Customer Results	Timeliness and Responsiveness	Response Time	Time required to activate/deactivate employee access to EPA Security Level 4 facility.	None	Establish Baseline	5 minutes
2007	Cross-Goal Strategies	Mission and Business Results	Administrative Management	Security Management	Percent compliance with requirements of PIV Level II electronic automation standards at EPA Security Level 4 facilities.	0% (0 facilities)	10% (5 facilities)	10% initiated (5 facilities), 2% completed (1 facility)
2007	Cross-Goal Strategies	Processes and Activities	Cycle Time and Timeliness	Cycle Time	Time required to issue credentials to EPA employees and/or contractors for access to EPA Security Level 4 facilities and FIPS-199 information systems.	None	Establish Baseline	1 hour
2007	Cross-Goal Strategies	Technology	Efficiency	System Response Time	Time required to activate/deactivate employee access to EPA Security Level 4 facilities or FIPS-199	None	Establish Baseline	3 days

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					information systems.			
2008	Cross-Goal Strategies	Customer Results	Timeliness and Responsiveness	Delivery Time	Time required from when the subject is enrolled to when the subject is issued his/her EPASS badge.	None	Establish Baseline	Actual results will be reported 10/30/2008.
2008	Cross-Goal Strategies	Mission and Business Results	Administrative Management	Security Management	Percent of eligible Federal and non Federal personnel issued an EPASS badge.	14%	100%	Actual results will be reported 10/30/2008.
2008	Cross-Goal Strategies	Processes and Activities	Management and Innovation	Innovation and Improvement	Time required to upgrade a facility to use EPASS badges for physical access after the assessment of the facility is complete.	None	Establish Baseline	Actual results will be reported 10/30/2008.
2008	Cross-Goal Strategies	Technology	Efficiency	Technology Improvement	Percent of EPA facilities where risk is reduced through the upgrading of the PACS to industry standard and modern security technology for electronic authentication.	2%	10%	Actual results will be reported 10/30/2008.
2009	Cross-Goal Strategies	Customer Results	Timeliness and Responsiveness	Delivery Time	Percent reduction in the time required from when the subject is enrolled to when the subject is issued his/her EPASS badge.	0%	5%	Actual results wActual results will be reported 10/30/2009.
2009	Cross-Goal Strategies	Mission and Business Results	Administrative Management	Security Management	Percent of new eligible Federal and non-Federal personnel issued an EPASS badge.	None	100%	Actual results wActual results will be reported 10/30/2009.
2009	Cross-Goal Strategies	Processes and Activities	Management and Innovation	Innovation and Improvement	Percent reduction in the time required to upgrade a facility to use EPASS badges for physical access after the assessment of the facility is complete.	0%	5%	Actual results will be reported 10/30/2009.
2009	Cross-Goal Strategies	Technology	Efficiency	Technology Improvement	Percent of EPA facilities where risk is reduced through the upgrading of the PACS to industry standard and modern security technology for electronic authentication.	10%	20%	Actual results will be reported 10/30/2009.
2010	Cross-Goal Strategies	Customer Results	Timeliness and Responsiveness	Delivery Time	Entry access time for non-EPA federal government employees at EPA-owned level 3 and 4 facilities.	5%	10%	Actual results will be reported 10/30/2010.
2010	Cross-Goal Strategies	Mission and Business Results	Administrative Management	Security Management	Percent of new eligible Federal and non-Federal personnel issued an EPASS badge.	None	100%	Actual results will be reported 10/30/2010.
2010	Cross-Goal	Processes and	Management	Innovation and	Percent	5%	10%	Actual results

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Strategies	Activities	and Innovation	Improvement	reduction in the time required to upgrade a facility to use EPASS badges for physical access after the assessment of the facility is complete.			will be reported 10/30/2010.
2010	Cross-Goal Strategies	Technology	Efficiency	Technology Improvement	Percent of EPA facilities where risk is reduced through the upgrading of the PACS to industry standard and modern security technology for electronic authentication.	20%	30%	Actual results will be reported 10/30/2010.

**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: 3
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)
PACS 1 - Cincinnati PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1 - Ft. Meade PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1 - Montgomery PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1 - New Region 1 Headquarters PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1- Potomac Yard PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1 - Region 2 Headquarters and Edison PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 1 - Region 6 Headquarters PACS	Contractor and Government	1/30/2009	1/15/2009

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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)
PACS 1 - Region 8 Headquarters PACS	Contractor and Government	1/30/2009	1/15/2009
PACS 2 - Las Vegas PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 10 Headquarters PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 3 Headquarters PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 4 Headquarters and Athens PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 5 Headquarters PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 7 Headquarters PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Region 9 Headquarters PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 2 - Research Triangle Park PACS	Contractor and Government	9/30/2009	9/15/2009
PACS 3 - PACS for 5 to 8 EPA Locations	Contractor and Government	9/30/2010	9/15/2010
PACS 4 - PACS for 5 to 8 EPA Locations	Contractor and Government		
PACS 5 - PACS for 5 to 8 EPA Locations	Contractor and Government		
PACS 6 - PACS for 5 to 8 EPA Locations	Contractor and Government		
PACS 7 - PACS for 5 to 8 EPA Locations	Contractor and Government		
PACS 8 - PACS for 5 to 8 EPA Locations	Contractor and Government		

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, Other, N/A)	Date Completed: Security Control Testing	Date the contingency plan tested
EPASS CMS	Contractor and Government	Moderate	yes	10/25/2006	FIPS 200 / NIST 800-53	6/11/2008	11/6/2007
EPASS Interface	Contractor and Government	Moderate	yes	12/12/2007	FIPS 200 / NIST 800-53	6/11/2008	11/6/2007
EPASS WFMS	Contractor and Government	Moderate	yes	1/25/2007	FIPS 200 / NIST 800-53	6/11/2008	11/6/2007

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?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? Yes

EPASS is not requesting an increase in IT security funding; question 6 is answered yes in order to add content in this field to explain the relationship between EPASS and OASIS:

In the Privacy table, there is a reference to OASIS, which is a separate EPA system that EPASS leverages. OASIS contains the personnel clearance information that is required by EPASS in order to issue the PIV card. Because OASIS contains personal identifying information (PII) that is leveraged by EPASS, it is included in the Privacy table below.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

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
EPASS CMS	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
EPASS Interface	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
EPASS WFMS	Yes	Yes	<a href="http://www.epa.gov/priv">http://www.epa.gov/priv</a>	Yes	<a href="http://www.epa.gov/priv">http://www.epa.gov/priv</a>

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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
			acy/assess/oasis.htm		acy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Cincinnati PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Ft. Meade PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Montgomery PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - New Region 1 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Potomac Yard PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Region 2 Headquarters and Edison PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Region 6 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 1 - Region 8 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Las Vegas PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 10 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 3 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 4 Headquarters and Athens PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 5 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 7 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm
PACS 2 - Region 9 Headquarters PACS	Yes	Yes	http://www.epa.gov/privacy/assess/oasis.htm	Yes	http://www.epa.gov/privacy/notice/epa-19.htm and http://www.epa.gov/privacy/notice/epa-41.htm

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
PACS 2 - Research Triangle Park PACS	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 3 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 4 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 5 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 6 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 7 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</a>
PACS 8 - PACS for 5 to 8 EPA Locations	Yes	Yes	<a href="http://www.epa.gov/privacy/assess/oasis.htm">http://www.epa.gov/privacy/assess/oasis.htm</a>	Yes	<a href="http://www.epa.gov/privacy/notice/epa-19.htm">http://www.epa.gov/privacy/notice/epa-19.htm</a> and <a href="http://www.epa.gov/privacy/notice/epa-41.htm">http://www.epa.gov/privacy/notice/epa-41.htm</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. EPA Personnel Access and Security System (EPASS)

b. If "no," please explain why?

3. Is this investment identified in a completed and approved segment architecture? No

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. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>.

Exhibit 300: EPA Personnel Access and Security System (EPASS) (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)
EPASS (CMS)	Includes PIV cards providing a mobile cryptographic platform: CMS and hardware security modules performing cryptographic operations with EPASS badge	Support Services	Security Management	Cryptography			No Reuse	8
EPASS (CMS)	Cryptographic shared service provider (SSP) issuing digital certificates for EPASS badge	Support Services	Security Management	Digital Signature Management			No Reuse	9
EPASS (WFMS/CMS/Interface)	Application providing a high assurance level of identity for those who access Agency physical and logical resources. Systems included- WFMS, WFMS-OASIS interface, Biometric collection, distribution and storage	Support Services	Security Management	Identification and Authentication	Identification and Authentication	020-00-01-16-02-0623-00	Internal	83

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)
Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	
Cryptography	Component Framework	Security	Supporting Security Services	
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	

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., USA.gov, Pay.Gov, etc)?

a. If "yes," please describe.

The EPASS system will be designed to be compatible with other HSPD-12 systems under development at other federal agencies. This compatibility will ensure that persons presenting a properly credentialed PIV badge that can be electronically authenticated

Exhibit 300: EPA Personnel Access and Security System (EPASS) (Revision 9)

at an EPA physical facility will be allowed an appropriate level of physical access to EPA resources. In addition, it will ensure that EPA employees' badges can be electronically authenticated in a consistent manner with other federal agencies when requesting physical access to the resources under control of said external federal agency.

**Exhibit 300: Part II: Planning, Acquisition and Performance Information**

**Section A: Alternatives Analysis (All Capital Assets)**

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?      Yes
  - a. If "yes," provide the date the analysis was completed?      7/19/2006
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

<b>2. Alternative Analysis Results:</b>				* Costs in millions
Use the results of your alternatives analysis to complete the following table:				
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate	
Alternative 1: Minimum FIPS-201 Compliance	This alternative requires the least alteration of infrastructure and IT assets. This solution includes: -EPASS badges will meet FIPS-201 standards. Only required data elements will be encoded on EPASS badge. -EPA will be capable of electronically authenticating FIPS-201 compliant badges issued by other Federal Agencies for physical access to all EPA facilities. -EPASS badge holders can electronically authenticate to EPA FIPS-199 high security systems using two-factor authentication.	41.87	0.89	
Alternative 2: Smarter Card Identity Management	Provides a solution that can be extended to include logical access to non-FIPS-199 systems. This solution will include: -EPASS badges will meet FIPS-201 standards. Only required data elements will be encoded on badge. -EPA will be capable of electronically authenticating FIPS-201 compliant badges issued by other Federal Agencies for physical access to all EPA facilities. - EPASS badge holders can electronically authenticate to EPA s network using two-factor authentication.	42.34	31.26	
Alternative 3: Smarter Directory Identity Management	Extends a common infrastructure solution to all EPA security and IT systems. This solution includes: - EPASS badges will meet FIPS-201 standards. Only required data elements will be encoded on badge. - EPA will be capable of electronically authenticating FIPS-201 compliant badges issued by other Federal Agencies for physical access to all EPA facilities. -Single sign-on for all EPA networks and applications is achieved by leveraging the EPASS badge with EPA EA.	51.87	111.53	

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Alternative 3 is the selected alternative for closing the performance gap. The primary factor used to select Alternative 3 is alignment with current IT architectures and goals of the Agency. EPA has been making strong progress in implementing its Office of Management and Budget (OMB)-approved technical and applications architecture. This calls for the creation of central IT standards and solutions that can be leveraged repeatedly by the different offices and groups in EPA.

A secondary factor used in the selection of Alternative 3 is that it is the only solution that is expected to produce a positive ROI. Alternative 3 is the alternative that is expected to continue to increase the Agency's ROI most significantly each year after full implementation (estimated annual benefits are projected at approximately \$34 million annually after all EPA systems migrate to the EPASS solution by the end of this investment), while at the same time greatly increasing the Agency's capabilities in the

Exhibit 300: EPA Personnel Access and Security System (EPASS) (Revision 9)

areas of physical and logical security versus the other Alternatives. The results are in line with the savings and ROI reported by Gartner Research for similar type systems deployed in the commercial sector.

4. What specific qualitative benefits will be realized?

<b>5. Federal Quantitative Benefits</b>				
What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0	0.6	N/A	- ID and Security Administration. - Reduced Help Desk Activity: - Simplified Systems Development.
PY 2008	0	4.57	N/A	- ID and Security Administration. - Reduced Help Desk Activity: - Simplified Systems Development.
CY 2009	0	8.2	N/A	- ID and Security Administration. - Reduced Help Desk Activity: - Simplified Systems Development.
BY 2010	0	11.15	N/A	- ID and Security Administration. - Reduced Help Desk Activity: - Simplified Systems Development.
Total LCC Benefit	0		LCC = Life-cycle Cost	

6. Will the selected alternative replace a legacy system in-part or in-whole?

<b>5b. List of Legacy Investment or Systems</b>		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement

**Section B: Risk Management (All Capital Assets)**

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? 8/11/2006
  - 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?

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

Once risks are identified, evaluated, and prioritized, the team or team lead responsible for each risk assesses the budgetary impact the risk could have on the project should it materialize. The appropriate team lead then estimates the anticipated financial impact (e.g., what will it cost if the risk materializes) and provides a description justifying how that dollar value was computed. The team lead then multiplies the anticipated financial risk by the probability of the risk occurring, to calculate the necessary budgetary resources that would be required to respond to the risk should it occur. Costs presented in this submission have been risk-adjusted.

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

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones

in the initial baseline, as well as milestones in the current baseline.

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

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) No

a. If "yes," was it the CV or SV or both?

b. If "yes," explain the causes of the variance:

c. If "yes," describe the corrective actions:

3. Has the investment re-baselined during the past fiscal year? No

a. If "yes," when was it approved by the agency head?

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4. 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. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
2.1	Complete Certification and Accreditation (C&A) activities for EPASS components (including Security Test and Evaluation (ST&E) or Security Assessment Testing, and risk assessment)	10/16/2006	\$0.23	10/16/2006	1/23/2007	\$0.23	\$0.25	-99	(\$0.02)	100%
2.2	Complete risk assessment and security plan for EPASS solution components	10/16/2006	\$0.10	10/16/2006	1/23/2007	\$0.10	\$0.12	-99	(\$0.01)	100%
3.1	Complete PIV-I Implementation	10/27/2008	\$0.13	10/27/2008	9/30/2007	\$0.13	\$0.47	393	(\$0.34)	100%
3.2	Complete Alternatives Analysis and Acquisition Strategy	9/30/2006	\$0.18	9/30/2006	9/30/2007	\$0.18	\$0.11	-365	\$0.07	100%
3.3	Complete Privacy Analysis and Impact Assessment Activities	9/30/2006	\$0.13	9/30/2006	10/30/2006	\$0.13	\$0.06	-30	\$0.07	100%
3.4	Analyze, acquire and Install Identity Proofing and Registration Equipment	10/27/2008	\$3.37	10/27/2008		\$3.37	\$1.30		\$1.91	95%
4.2	Analyze, acquire, and install Card Management System	10/23/2006	\$0.65	10/23/2006	10/23/2006	\$0.66	\$0.19	0	\$0.46	100%
4.3	Analyze, acquire, and install the Workflow Management System	1/10/2007	\$1.01	1/10/2007	1/10/2007	\$1.01	\$1.38	0	(\$0.38)	100%
4.6	Complete a Post Implementation Review (PIR) of the EPASS solution	9/30/2007	\$0.05							
Project Totals										