

Exhibit 300 FY2011

DOTXX071: DOT eGrants

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

Description: In Part I, complete Sections A, B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.

I.A. Overview (All Capital Assets)

Description: The following series of questions are to be completed for all investments.

I.A.1. Date of Submission:	2009-09-09
I.A.2. Agency:	021
I.A.3. Bureau:	04
I.A.4. Name of this Investment: Description: (Up to 250 characters)	DOTXX071: DOT eGrants
I.A.5. Unique Project (Investment) Identifier: Description: For IT investment only, see section 53.9. For all other, use agency ID system.	021-04-04-14-01-1326-00
I.A.6. What kind of investment will this be in FY2011? Description: Please NOTE: Investments moving to O&M in FY2011, with Planning/Acquisition activities prior to FY2011 should not select O&M. These investments should indicate their current status.	Mixed Life Cycle
I.A.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. Description: (Up to 2500 characters)	The DOT eGrants efforts will address OMB's GMLoB initiative and PL 106-107 to streamline Federal grant making by automating paper-based grant programs, providing complete grants management capabilities, increasing efficiency of grants management and reporting, and reducing grants management life cycle costs. The DOT eGrants environment currently employs many mechanisms to manage its programs, manual and automated. While many systems address the specific needs of those grants programs, none provide complete end-to-end grants management capabilities. Since 2006, numerous 'current-state' analyses have been conducted on the DOT grants environment which informed a complete picture of DOT business needs for grants management. Last year's 300 submission suggested that DOT would explore migrating to the Health & Human Services' Administration for Children & Families' (ACF) OMB-approved COE grant service, GrantSolutions. After completing 3 fit-gap analyses (FHWA, FAA, FTA), it was clear that HHS GrantSolution.gov is not currently capable of supporting all needs. However, this solution has been able to support some discretionary programs; FRA and PHMSA are currently engaged in an inter-agency agreement with HHS-ACF COE and using GrantSolutions (HHS/ACF UPI: 009-70-04-00-01-1356-24). DOT is also engaged in another inter-agency agreement with HHS-ACF to use grants.gov for the "find and apply" function for many programs (HHS/ACF UPI: 009-00-01-99-01-0160-24). Because ACF does not meet all of DOT's needs, current efforts are also underway to refine the grants management modernization plan at DOT. To develop a department wide strategy, DOT will revisit past studies, use the information to develop a rational approach for consolidating systems, and leverage existing systems across DOT, while using the HHS/ACF solution as appropriate. The solution will include robust reporting functionalities to satisfy recovery reporting requirements, in addition to grants management oversight capabilities. In the meantime, DOT has also replaced its information reporting system (GIS) to increase reporting capabilities, data visualization, and comply with new and potential recovery reporting requirements. The DOT eGrants effort is led by the Office of the Senior Procurement Executive with assistance from program managers in the Office of the Chief Information Officer (OCIO) and Office of the Chief Financial Officer.
I.A.8.a. Enter dates for approved rebaselining, alternative analysis, and risk management plan and risk register information. Description: 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. (Up to 500 characters)	The alternatives analysis, risk management plan and risk register will be prepared as the modernization plan is updated.
I.A.9. Did the Agency's Executive/Investment Committee approve this request?	yes
I.A.9.a. If "yes," what was the date of this approval?	2008-04-24
I.A.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):	
I.A.12.a. Financial Management System Table	
I.A.12.b. 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):	Not a core financial system - does not need to comply with FFMIA

I.B. Summary of Funding (Budget Authority for Capital Assets)

I.B.1. Summary of Funding Table

Description: 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. Funding for all costs associated with the entire life-cycle of the investment should be

included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

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.

I.B.1.a. Summary of Spending for Project Phases (Reported in Millions)

	PY-1 and earlier	PY 2009	CY 2010	BY 2011
Planning	\$4.182	\$0.890	\$0.822	\$0.812
Acquisition	\$13.207	\$0.175	\$0.150	\$0.350
Subtotal Planning and Acquisition	\$17.389	\$1.065	\$0.972	\$1.162
Operations and Maintenance	\$55.150	\$12.426	\$11.793	\$12.541
Disposition Costs (Optional)	\$0.000	\$0.000	\$0.000	\$0.000
SUBTOTAL	\$72.539	\$13.491	\$12.765	\$13.703
Government FTE Costs	\$5.660	\$1.963	\$2.437	\$2.933
TOTAL	\$78.199	\$15.454	\$15.202	\$16.636

I.B.1.b. Summary of Spending for Project Phases (Government FTE Costs Only)

	PY-1 and earlier	PY 2009	CY 2010	BY 2011
Number of FTE represented by Costs	34	14	18	19

I.B.2. If the summary of funding has changed from the FY2010 President's budget request, briefly explain those changes:
Description: (Up to 2500 characters)

The BY2011 E 300 contains more child investments than the E 300 submitted for BY2010. In order to give a more consolidated picture of grants investments across the Department, the Otrak system (a grants auditing system), the grants.gov MOU with HHS, and the GMLOB PMO MOU with NSF were rolled up into this investment, increasing the dollar values from the BY2010 submission. Also, the costs for several DOT programs to use the HHS/ACF grantsolutions.gov COE grant system starting in 2009 were also rolled up in to this consolidated eGrants E 300.

I.D. Performance Information (All Capital Assets)

I.D.1. Performance Information Table.

Description: 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 and the relevant Agency Segment Architecture. The investment must discuss its performance measures in support of the agency's mission and strategic goals as outlined in the corresponding Segment Architecture. Performance measures (indicators) must be provided. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>. The table can be extended to include performance measures for years beyond the next President's Budget.

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator
2007	Organizational Excellence	Processes and Activities	Financial Management	FMIS: Percentage reduction of unexpended balance
2007	Organizational Excellence	Processes and Activities	Compliance	FTA: Consolidation of operations of TEAM system in new Headquarters building
2007	Organizational Excellence	Technology	Reliability	FTA: Port to new hardware
2007	Safety	Technology	Availability	FTA: Increase COOP requirements
2007	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available
2007	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2007	Safety	Processes and Activities	Security	NHTSA: Renew Security Accreditation
2007	Safety	Technology	User Requirements	NHTSA: System Usage by Grantees
2008	Organizational Excellence	Customer Results	Customer Satisfaction	FMIS: Increase the number of reports available in spreadsheet format to FMIS users.

2008	Organizational Excellence	Mission and Business Results	Facilities, Fleet, and Equipment Management	FTA: Grants.gov application portal services to other Agencies
2008	Organizational Excellence	Customer Results	Customer Training	FTA: Increase training success
2008	Organizational Excellence	Customer Results	Accuracy of Service or Product Delivered	FTA: Upgrade database software
2008	Safety	Processes and Activities	Complaints	NHTSA: Ability to resolve all user complaints.
2008	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available
2008	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2008	Safety	Technology	Availability	NHTSA: System usage by grantees
2009	Safety	Processes and Activities	Complaints	NHTSA: Ability to resolve all user complaints.
2009	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available
2009	Safety	Processes and Activities	Complaints	NHTSA: Investigating Reported Problems
2009	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2009	Safety	Technology	Availability	NHTSA: System Usage by grantees
2010	Organizational Excellence	Customer Results	Customer Satisfaction	FMIS: Increase the number of reports available in spreadsheet format to FMIS users.
2010	Organizational Excellence	Mission and Business Results	Facilities, Fleet, and Equipment Management	FTA: Grants.gov application portal services to other Agencies
2010	Organizational Excellence	Customer Results	Customer Training	FTA: Increase training success
2010	Safety	Processes and Activities	Complaints	NHTSA: Ability to resolve all user complaints.
2010	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available
2010	Safety	Processes and Activities	Complaints	NHTSA: Investigating Reported Problems
2010	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2010	Safety	Processes and Activities	Security	NHTSA: Renew Security Accreditation
2010	Safety	Technology	User Requirements	NHTSA: System Usage by Grantees
2011	Organizational Excellence	Technology	Accessibility	FTA: system to system interface with grants.gov
2011	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2011	Safety	Processes and Activities	Security	NHTSA: Renew Security Accreditation
2011	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available
2012	Organizational Excellence	Technology	Accessibility	FTA: system to system interface with grants.gov
2012	Safety	Mission and Business Results	Ground Transportation	NHTSA: Number of grantees for Motorcycle Safety Programs
2012	Safety	Processes and Activities	Security	NHTSA: Renew Security Accreditation
2012	Safety	Customer Results	Delivery Time	NHTSA: Days to make Grant Funds available

I.F. Enterprise Architecture (EA) (IT Capital Assets only)

Description: 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.

Have the requisite investment-level architecture documentation requirements (e.g., reference model mappings, FTF mappings, etc.) for this investment been documented in the corresponding Segment Architecture? For detailed guidance regarding segment architecture requirements, please refer to <http://www.whitehouse.gov/omb/e-gov/>. See this guidance also regarding the reporting of six digit codes corresponding to agency segment architectures in Exhibit 53, and, for limited cases determined by the Chief Architect, reporting an investment alignment with multiple segments.

I.F.1. Is this investment included in your agency's target enterprise architecture? yes no

Part IV: Planning for "Multi-Agency Collaboration" ONLY

Description: Part IV should be completed only for investments identified as an E-Gov initiative, a Line of Business (LOB) Initiative, or a Multi-Agency Collaboration effort. The "Multi-Agency Collaboration" choice should be selected in response to Question 6 in Part I, Section A above. Investments identified as "Multi-Agency Collaboration" will complete only Parts I and IV of the exhibit 300.

IV.A. Multi-Agency Collaboration Oversight (All Capital Assets)

Description: Multi-agency Collaborations, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

IV.A.1. Stakeholder Table

Description: As a joint exhibit 300, please identify all the agency stakeholders (all participating agencies, this should not be limited to agencies with financial commitment). All agency stakeholders should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.

IV.A.5. Does this investment replace any legacy systems investments?

Description: Disposition costs (costs of retirement of legacy systems) may be included as a category in Part I, Section B, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.