Exhibit 3OO: 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:	8/23/2007
2. Agency:	Department of Transportation
3. Bureau:	Federal Aviation Administration
4. Name of this Capital Asset:	FAAXX228: COST ACCOUNTING SYSTEM (CAS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	021-12-01-01-01-1080-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)	Operations and Maintenance
7. What was the first budget year this investment was submitted to OMB?	FY2003

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The FAA lacked the ability to report the full cost of producing intermediate and end-user products and services. As there is no way for our major accounting system, DELPHI, to provide this information, the Cost Accounting System (CAS) was designed to fill this gap. The CAS lets our managers determine the costs of products and services we offer to our customers. CAS traces, assigns, aggregates, and allocates the costs from the organization incurring the cost to the organization, product, or service benefiting from the expenditure. From this data, the Agency is able to compute the cost of specific services such as takeoffs, landings, weather briefings, etc.

The CAS has three primary components - A front-end control system, PeopleSoft Projects, and the Reports Analysis and Distribution System. The front-end is a custom built Oracle database that is the common entry point for all of the cost and operational data. This data is loaded into a PeopleSoft Projects cost accounting system. Once that application processes the data, the Business Objects-based Reports Analysis and Distribution System (RADS) makes the data available to managers.

The CAS project manager has taken the PMP certification training and passed the certification exam on 8/17/07.

CPIC Review Status - CAS is currently in the Operation & Maintenance phase of the CPIC process. CAS conducts regular meetings with the points of contact for each Line of Business to determine and assess any needed improvements and report on the status of upcoming improvements. These reviews determine if and how any mission requirements may have changed and whether the investment continues to fulfill ongoing and anticipated mission requirements. The primary focus of the reviews is on the cost, schedule, and performance of the investment to ensure conformance with plans.

We entered the O&M (Steady State) phase at the end of FY06. All dollars from this point and in future FY's will be allocated to Operate and Maintain CAS. CAS received JRC approval of its baseline in August 07. The Strategic Goal supported by CAS is Organizational Excellence

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	8/31/2007
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Project Manager?	
Name	Sanders, Frank
Phone Number	Redacted
Email	franklin.sanders@faa.gov
a. What is the current FAC-P/PM certification level of the project/program manager?	TBD
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?	No

If "yes," check all that apply:

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?)

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.)	Yes
a. If "yes," does this investment address a weakness found during a PART review?	Yes
b. If "yes," what is the name of the PARTed program?	ATS
c. If "yes," what rating did the PART receive?	Adequate
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 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)	(1) Project manager has been validated as qualified for this investment
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23)	No
19. Is this a financial management system?	Yes
a. If "yes," does this investment address a FFMIA compliance area?	Yes
1. If "yes," which compliance area:	System Requirements for Managerial Cost Accounting
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

Cost Accounting System (CAS)

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	5.000000
Software	5.000000
Services	90.000000
Other	0.000000
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	Mauney, Carla
Phone Number	Redacted
Title	Privacy Officer
E-mail	carla.mauney@faa.gov
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 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	2.98	0	0	0	Redacted	Redacted	Redacted	Redacted	Redacted
Acquisition:	33.0931	0	0	0	Redacted	Redacted	Redacted	Redacted	Redacted
Subtotal Planning & Acquisition:	36.0731	0	0	0	Redacted	Redacted	Redacted	Redacted	Redacted
Operations & Maintenance:	19.09041	6.153	6.873	7.112	Redacted	Redacted	Redacted	Redacted	Redacted
TOTAL:	55.16351	6.153	6.873	7.112	Redacted	Redacted	Redacted	Redacted	Redacted
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	10.5636	0.854	0.986	1.014	Redacted	Redacted	Redacted	Redacted	Redacted
Number of FTE represented by Costs:	46	6	6	6	Redacted	Redacted	Redacted	Redacted	Redacted

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?   No

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

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

Redacted

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.

Contracts/Task Orders Table:															* Costs in millions
Contract or Task Order Number	Type of Contract/ Task Order	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 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)
Redacted																

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:

In FY06, CAS developed an Earned Value Manage POAM, which was to be used to ensure that all activities met the EVM ANSI 748 standard. However, the decision for CAS to go fully Steady State in FY07 prevented us from transitioning the remaining development activities to meet the standard. An operational analysis was conducted in FY07 by using the FAA's directed process and addressed:

• Original investment expectations including performance, investment and operating costs, schedules, benefits and technical capability
• Actual investment results (e.g. operational performance, end-user satisfaction, investment and operating costs, technical capability, impact on mission and program measures, unanticipated benefits)
• Cost and schedule deviations
• Environmental changes that affected the investment (e.g., political, operational, economic, or technical conditions)
• Original business case assumptions that justified the investment program
• Expected next steps for the investment program
• Conclusions and lessons learned
• Recommendations to senior management

Although each of the contracts is Time and Material, there is a long association with our contractors, where we have worked out tacit agreements that risk of failure to achieve these goals will be assumed by the party responsible for the non-achievement. There have been instances where failure to achieve schedule goals was due to increase in scope on the part of the government. In these cases, the government assumed the risk. There have also been cases where the contractor has failed to satisfy approved requirements. In these instances, the contractor has assumed the risk. This understanding has worked well and with FAA management oversight and frequent meetings with the contractors, has protected the government against unnecessary risk.

3. Do the contracts ensure Section 508 compliance?   Yes

    a. Explain why: In accordance with FAA's Section 508 Procurement SOPs, the following Section 508 standards apply; CAS does and will comply with each: 1194.21 Software Applications & Operating Systems, 1194.22 Web-based Information &Applications, 1194.23 Telecommunication Products, 1194.24 Video & Multimedia Products, 1194.25 Self-Contained & Closed Products, 1194.26 Desktop & Portable Computers, 1194.31 Functional Performance Criteria, Information, Documentation & Support. All future releases will be tested.

4. Is there an acquisition plan which has been approved in accordance with agency requirements?   Yes

    a. If "yes," what is the date?   7/30/2007

    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. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	Organizational Excellence	Customer Results	Service Accessibility	Availability	# of users program is available/accessible to (Line's of Business's)	The Cost Accounting System (CAS) report contains all of the agency data and has 2 of the 4 Lines of Business left to	The CAS is implemented in all 4 Lines of Business. Improve Organizational Excellence	This goal was not met. CAS is still implemented in 2 of the 4 required Agency Lines

Performance Information Table							
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
					implement for reporting			
2005	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Error Free CAS Reports, where accuracy is defined as the report output not matching the specification defined by the user	In FY04, 520 out of 548 total CAS reports are error-free, which is 95% of CAS reports overall	Reduce the Number of Reports with errors by 10%. Improve Organizational Excellence.	In FY05, this goal was met with 523 out of 548 CAS reports error-free.
2005	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Calculation of user fees	User fees are based on costs that include labor costs derived from staffing standards	User fees are based on actual labor costs derived from labor distribution reporting. Improve Organizational Excellence.	Since CAS only provides the data to calculate user fees, and it does not actually calculate these user fees, this goal is not relevant.
2005	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Productivity	Frequency in which we deliver data in support of the production of Statement of Net Cost by Strategic Goal	In FY03 & FY04, data was delivered once per year to produce the Statement of Net Cost by Strategic Goal	Increase the number of times per year data is delivered to produce the Statement of Net Cost by Strategic Goal to four. Improve Organizational Excellence.	Data was delivered three times to produce the FY 2005 Statement of Net Costs by Strategic Goal.
2005	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY04, CAS is available 95% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence	This goal was met with unscheduled downtime being reduced by 5% and CAS being available 95.25% of the time.
2006	Organizational Excellence	Customer Results	Service Accessibility	Availability	# of users program is available/accessible to (Line's of Business's)	The Cost Accounting System (CAS) contains data from 2 Lines of Business with 2 remaining to implement.	The CAS is implemented in all 4 Lines of Business. Improve Organizational Excellence	This goal has been met. CAS in implemented in all 4 Lines of Business.
2006	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Error-free CAS reports	In FY 05, 523 out of 548 total CAS reports are error-free, which is 95% of CAS reports overall.	Reduce the number of reports with errors by 20%. Improve Organizational Excellence.	In FY 06, this goal was met, with 528 out of 548 total CAS reports being error free.
2006	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	cost avoidance/savings	Total cost of unfunded Strategic Plan initiatives	Combine financial & operational data & analysis from CAS, to identify 30% of the total cost avoidance or savings used to fund unfunded 2004-2008 FAA Flight Plan initiatives in conjunction with other Cost-control programs. Improve Organization Excel	Due to changes in the direction of the CAS program, this goal is no longer relevant.
2006	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Provide data used in support of the calculation of user fees	Data used in the calculation of user fees are based on FY1999 costs and need to be updated.	Update data used in support of calculating user fee rates based on FY04 & FY05 data. Improve Organizational Excellence.	This goal is no longer applicable as we are aligning the systems goals to the business goals.
2006	Organizational	Mission and	Financial	Accounting	Cost avoidance /	Total cost of	Combine	Due to changes

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Excellence	Business Results	Management		savings	unfunded Strategic Plan initiatives	financial & operational data & analysis from CAS, to identify 30% of the total cost avoidance or savings used to fund unfunded 2004-2008 FAA Flight Plan initiatives in conjunction with other agency wide cost control program initiatives. Imp	in the direction of the CAS program, this goal is no longer relevant
2006	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Productivity	Number of reports	In FY05, CAS produced 548 reports in the form of excel spreadsheets.	Reduce the number of reports from 548 excel spreadsheets to 365 excel spreadsheets and 15 dynamic on-line report outputs	This goal was met: the number of reports in Excel spreadsheets was reduced to 365, and 15 reports were moved to dynamic on-line report output.
2006	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY05, CAS is available 95.25% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence.	This goal was met. Unscheduled downtime was reduced by 5% and CAS was available 95.49% of the time.
2007	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Error-free CAS reports	In FY 06, 523 out of 548 total CAS reports are error-free, which is 95% of CAS reports overall.	Continue to reduce the number of reports with errors by 20%. Improve Organizational Excellence	This goal is no longer applicable as we are aligning the system goals to the business goals
2007	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor distribution reporting compliance rate	In FY2006, 90% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Improve compliance to 92%	The results of compliance will be reported at the end of FY07
2007	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Provide data used in support of the calculation of user fees	CAS provided data used in the calculation of user fees based on FY2006 costs and needs to be updated.	Update data used in support of calculating user fee rates based on FY2007. Improve Organizational Excellence.	This goal is no longer applicable as we are aligning the system goals to the business goals.
2007	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY07.
2007	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In Q4 FY 06, only produced CAS reports within 79 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline (45 days) for each quarter	The timeliness of reports produced will be reported at the end of FY07.
2007	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Productivity	Number of reports	In FY06, CAS produced 365	Reduce the number of excel	This goal is no longer applicable

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
						reports in the form of excel spreadsheets	spreadsheet reports from FY2006 by 1%	as we are aligning the system goals to the business goals.
2007	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY06, CAS is available 95.49% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence.	System availability will be evaluated throughout the remainder of FY 2007 and for comparison to FY 2006.
2008	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor Distribution Reporting compliance rate	In FY2007, 92% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Improve compliance to 95%	The results of compliance will be reported at the end of FY08.
2008	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY08
2008	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In Q4 FY 06, only produced CAS reports within 79 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline for each quarter (38 days).	The timeliness of reports produced will be reported at the end of FY08.
2008	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY07, CAS is available 95.71% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence	System availability will be evaluated throughout the remainder of FY 2008 and for comparison to FY 2007
2009	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor distribution reporting compliance rate	In FY2008, 95% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Sustain compliance at 95%	The results of compliance will be reported at the end of FY09
2009	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY09
2009	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In Q4 FY 06, only produced CAS reports within 79 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline for each quarter (30 days).	The timeliness of reports produced will be reported at the end of FY09.
2009	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled Downtime	In FY08, CAS is available 95.93% of the	Reduce unscheduled downtime by	System availability will be evaluated

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
						time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	5%. Improve Organizational Excellence.	throughout the remainder of FY 2009 and for comparison to FY 2008.
2010	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor distribution reporting compliance rate	In FY2009, 95% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Sustain compliance at 95%	The results of compliance will be reported at the end of FY10.
2010	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY10.
2010	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In FY2006, only produced CAS reports within 45 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline for each month, except for year end (30 days)	The timeliness of reports produced will be reported at the end of FY10.
2010	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY09, CAS is available 96.13% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence.	System availability will be evaluated throughout the remainder of FY 2010 and for comparison to FY 2009.
2011	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor distribution reporting compliance rate	In FY2010, 95% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Sustain compliance at 95%	The results of compliance will be reported at the end of FY11.
2011	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY11.
2011	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In FY2006, only produced CAS reports within 45 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline for each month, except for year end (30 days)	The timeliness of reports produced will be reported at the end of FY11.
2011	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY10, CAS is available 96.32% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled	Reduce unscheduled downtime by 5%. Improve Organizational Excellence.	System availability will be evaluated throughout the remainder of FY 2011 and for comparison to FY 2010.

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
						downtime		
2012	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Labor distribution reporting compliance rate	In FY2011, 95% of (Labor Distribution Reporting) LDR hours are charged to valid projects and activities	Sustain compliance at 95%	The results of compliance will be reported at the end of FY12.
2012	Organizational Excellence	Mission and Business Results	Financial Management	Accounting	Unqualified audit opinion	In prior fiscal years, produced a Statement of Net Cost from the Cost Accounting System that supported the achievement of a clean audit opinion on FAA financial statements	Sustain the routine production of a Statement of Net Cost for obtaining a clean opinion on the financial statement audit	Audit results will be listed at the end of FY12.
2012	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timely delivery of CAS reports	In FY2006, only produced CAS reports within 45 days of the end of a quarter in the third quarter	Streamline production processes to deliver reports by the deadline for each month, except for year end (30 days)	The timeliness of reports produced will be reported at the end of FY12.
2012	Organizational Excellence	Technology	Reliability and Availability	Availability	Unscheduled downtime	In FY10, CAS is available 96.51% of the time (based on 5 business days/week and 12 hours per day) due to unscheduled downtime	Reduce unscheduled downtime by 5%. Improve Organizational Excellence.	System availability will be evaluated throughout the remainder of FY 2012 and for comparison to FY 2011.

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   Yes
and integrated into the overall costs of the investment:

    a. If "yes," provide the "Percentage IT Security" for the   1.17
budget year:

2. Is identifying and assessing security and privacy risks a part   Yes
of the overall risk management effort for each system

supporting or part of this investment.

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)
Redacted			

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 Complete(d): Security Control Testing	Date the contingency plan tested
Redacted							

5. Have any weaknesses, not yet remediated, related to any of   Yes
the systems part of or supporting this investment been
identified by the agency or IG?

    a. If "yes," have those weaknesses been incorporated into   Yes
the agency's plan of action and milestone process?

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

    a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will
remediate the weakness.

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

Redacted

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
CAS	No	No	CAS does not receive, contain, process, or make available for query at either the user or systems admin level any PII information. The system does not contain, process, or transmit personal indentifying information about members of the public. Even though it has personal identifying information, the system contains information solely about federal employees and agency contractors. A PIA is not required.	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
Details for Text Options: 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.   Cost Accounting System (CAS)

    b. If "no," please explain why?

For the first version of the DOT Transition Strategy provided to OMB in February 2006, the Department chose focus on those areas where new development was taking place, placing an emphasis on the transitional aspects of the Department. With that in mind, those investments existing in O&M (Steady State), although integral parts of the Department's Enterprise Architecture, were not included within the scope of the initial release of the Transition Strategy. It is intended that those investments, such as the CAS will be included in subsequent releases of the Department's Transition Strategy.

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?   Yes

    a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.   DOT Financial Management

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

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)
Data Management	Defines the set of capabilities that support the usage, processing and general administration of unstructured information.	Back Office Services	Data Management	Extraction and Transformation			No Reuse	25
Internal Controls	Defines the set of capabilities that support the methods and procedures used by the organization to safeguard its assets, produce accurate accounting data and reports, contribute to efficient operations, and encourage staff to adhere to management policies and mission requirements.	Back Office Services	Financial Management	Internal Controls			No Reuse	25
OLAP	Defines the set of capabilities that support the analysis of information that has been summarized into multidimensional views and hierarchies.	Business Analytical Services	Reporting	OLAP			No Reuse	25
Standardized / Canned	Defines the set of capabilities that support the use of pre-conceived or pre-written reports.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	25

    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%.

5. Technical Reference Model (TRM) Table:
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)
Standardized / Canned	Component Framework	Business Logic	Platform Independent	Redacted
Standardized / Canned	Service Access and Delivery	Access Channels	Web Browser	Redacted
Internal Controls	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Internal Controls	Service Interface and Integration	Integration	Enterprise Application Integration	Redacted
Internal Controls	Service Interface and Integration	Interface	Service Description / Interface	Redacted
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	Redacted
OLAP	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Internal Controls	Service Platform and Infrastructure	Database / Storage	Storage	Redacted

    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., FirstGov, Pay.Gov, etc)?   No

    a. If "yes," please describe.

Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Risk Management (All Capital Assets)

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

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?   7/24/2007

    b. Has the Risk Management Plan been significantly   No
changed since last year's submission to OMB?

      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?

Section B: Cost and Schedule Performance (All Capital Assets)

1. Was operational analysis conducted?   Yes

    a. If "yes," provide the date the analysis was completed.   7/30/2007

    b. If "yes," what were the results?

The Operational Analysis, completed on July 30, 2007, was focused on the delivery of reports via CAS, and the extent to which CAS continues to meet user needs. The operational analysis was based on a review of existing documents and user interviews. CAS supports management of costs with reliable financial data, to support the department of achieving green status on the PMA.

A stakeholder analysis indicated that CAS reports were useful when they accurately reflected the organization in question, but that with line of business re-organizations, CAS requires updates to be fully useful. These updates are scheduled for CAS 8.3 to be released late in FY 2007. The other delivery issue is the time required to generate quarterly reports, which is also being addressed by the CAS PMO. The effect of managing changes against a strict annual budget was discussed as a contributing factor to the time that is required to make significant changes. Further elaboration of the change request process to clarify delivery times for changes would also be appropriate.

In terms of technical performance, CAS is prone to delays in availability of data that are longer at the beginning of the fiscal year, and which decrease through the course of the year. Some of these delays are seasonal - e.g., having to run two sets of reports in the fourth quarter - and some are technical and quickly rectified. While these delays do affect staff, the administrative nature of CAS offsets the criticality of the delay.

In terms of cost, CAS is managed to a strict budget in two cost areas: contract support and hardware & software maintenance. Maintenance is a fairly steady cost per year at approximately $800k, and the balance of the costs are from government and contractor labor.

CAS is supporting the overall performance goals reflected in the OMB 300 submission, and the milestone delivery performance is, broadly, the delivery of a system which is up and running, consistent with the results noted above for data availability. A standard risk management approach is used to ensure system delivery, until such times as CAS is replaced with Delphi technology. This change is currently planned for FY 12.

Overall, the operational analysis indicated that continued operation of CAS, until it can be replaced with Delphi capabilities, remains the most appropriate approach for supporting FAA business needs.

    c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

The CAS will be Steady State in FY07. An operational anyalysis is planned to be conducted and completed by March 07, by using the FAA's Post Implementation Review (PIR) process. PIR process will address:
- Original investment expectations including performance, investment and operating costs, schedules, benefits and technical capability
- Actual investment results (e.g. operational performance, end-user satisfaction, investment and operating costs, technical capability, impact on mission and program measures, unanticipated benefits)
- Cost and schedule deviations
- Environmental changes that affected the investment (e.g., political, operational, economic, or technical conditions)
- Original business case assumptions that justified the investment program

- Expected next steps for the investment program
- Conclusions and lessons learned
- Recommendations to senior management

2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).

    a. What costs are included in the reported Cost/Schedule   Contractor and Government
Performance information (Government Only/Contractor
Only/Both)?

    2.b Comparison of Plan vs. Actual Performance Table: Redacted

Comparison of Plan vs. Actual Performance Table							
Milestone Number	**Description of Milestone**	**Planned**		**Actual**		**Variance**	
		Completion Date (mm/dd/yyyy)	Total Cost($M)	Completion Date (mm/dd/yyyy)	Total Cost($M)	Schedule (# days)	Cost($M)
Redacted							