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:	9/7/2007
2. Agency:	Department of Transportation
3. Bureau:	Office of the Secretary
4. Name of this Capital Asset:	DOTXX070: DOT IT Combined Infrastructure
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	021-04-02-00-01-1010-00
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.)	Mixed Life Cycle
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 Department of Transportation (DOT) Combined IT Infrastructure investment is a mixed lifecycle investment that aggregates DOT IT infrastructure and office automation expenditures into a single submission. There are currently 43 investments from 12 subordinate administrations and agencies that contribute to this consolidated investment. This includes 14 investments which account for subordinate Operating Administration participation in the DOT Common Operating Environment and their investment in Common IT Services that are available across the Department. This consolidated investment supports the Improved Financial Performance, Expanded Electronic Government, and Budget & Performance Integration goals of the President's Management Agenda as well as the Secretary's goals of providing safe, reliable and efficient transportation systems. This investment also includes alternative criteria and performance results of the recently completely DOT IT Infrastructure Consolidation Project as well as FAA IT consolidation and cost containment efforts. The investment excludes infrastructure telecommunications services that are considered to be mission-specific (National Airspace System). Those investments are listed as separate Exhibit 300s in Part I of the Budget Year 2009 Exhibit 53 for DOT.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	6/26/2003
10. Did the Project Manager review this Exhibit?	Yes

11. Contact information of Project Manager?

Name	Meers, Christine
Phone Number	Redacted
Email	christine.meers@dot.gov
a. What is the current FAC-P/PM certification level of the project/program manager?	Senior/Expert-level
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?	No
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: Competitive Sourcing

    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.)   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 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)   Yes

19. Is this a financial management system?   No

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

        1. If "yes," which compliance area: N/A

        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 FY2009 funding request for the following? (This should total 100%)

Hardware	25.000000
Software	25.000000
Services	25.000000
Other	25.000000

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	Carcirieri, Pamela
Phone Number	Redacted
Title	DOT Privacy Officer
E-mail	pamela.carcireri@dot.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:	38.097	3.446	0.416	0.1194	Redacted	Redacted	Redacted	Redacted	Redacted
Acquisition:	151.789	48.363	24.092	14.9421	Redacted	Redacted	Redacted	Redacted	Redacted
Subtotal Planning & Acquisition:	189.886	51.809	24.508	15.0615	Redacted	Redacted	Redacted	Redacted	Redacted
Operations & Maintenance:	321.573	147.862	181.647	183.2878	Redacted	Redacted	Redacted	Redacted	Redacted
TOTAL:	511.459	199.671	206.155	198.3493	Redacted	Redacted	Redacted	Redacted	Redacted
Government FTE Costs should not be included in the amounts provided above.								
Government FTE Costs	67.556	28.571	30.996	33.7905	Redacted	Redacted	Redacted	Redacted	Redacted
Number of FTE represented by Costs:	46	59	78	38	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   No
FTE's?

    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:

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)
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Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	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:

The project to consolidate Common IT Services is complete. The contracts shown in this section are general support contracts administered by individual operating administrations for Operating Administration specific applications and operations.

3. Do the contracts ensure Section 508 compliance?   Yes

    a. Explain why:

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

    a. If "yes," what is the date?   8/18/2004

    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	Technology	Financial (Technology)	Operations and Maintenance Costs	Desktop support costs and desktop computer costs.	FY 2003, OST spent $4,900 per user for desktop support.	Lower desktop support costs to $2,500 or less by FY 2007. Establish DOT BPA to provide desktop computers at economy-of-scale pricing.	COE desktop support costs have been reduced from $4,900 per desktop annually to $3,500 in FY 2004 through FY 2006, representing a cost reduction of 29 percent. COE desktop support costs will be reduced from $3,500 to $2,500 per desktop in FY 2007
2005	Organizational Excellence	Technology	Quality	Compliance and Deviations	Percent of consolidated IT infrastructure resources across DOT. Reduced number of different platforms. Age of platforms. Number of shared functions and resources. Number and frequency of changes. Number of breakdowns due to a lack of preventive maint	Infrastructure is managed and procured separately by each Operating Administration	By March 2006, consolidate 100% of IT infrastructure management and procurement resources across DOT, excluding the FAA.	Infrastructure management and procurement has been significantly reduced. Applications server facilities have been reduced from 11 to 3.
2006	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Consolidated Infrastructure availability 24x7 throughout the fiscal year. Time lag of resolution of a service level	Separate IT Infrastructure availability levels for the DOT Headquarters and the Operating	COE availability rate will be at least 98.0% (24x7), exclusive of planned maintenance	COE availability is 99%. Abandon rate is 7%. First call resolution rate is 74% Customer satisfaction is

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					change request. Frequency of customer satisfaction surveys. Time lag to resolve a service level issue.	Administrations 24x7. No systematic measurement of customer satisfaction.	periods. Customer satisfaction with centralized services will exceed 90%. Call abandon rate will not exceed 10%. First call resolution will be at least 65%	93%
2006	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Consolidated Infrastructure availability 24x7 throughout the fiscal year. Time lag of resolution of a service level change request. Frequency of customer satisfaction surveys. Time lag to resolve a service level issue.	Separate IT Infrastructure availability levels for the DOT Headquarters and the Operating Administrations 24x7.	Through the implementation of the DOT COE, the consolidated IT infrastructure availability rate will be at least 98.5% (24x7) in FY 2006, exclusive of planned maintenance periods.	The Common Operating Environment was extended to the Operating Administrations in 2006. Migration of common IT services to COE complete May 2006.
2006	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Cycle Time	% of eligible DOT customers serviced	0% of the consolidated IT infrastructure has been established. At present DOT Headquarters and each Operating Administration provide their own IT infrastructure services.	By May 2006, 100% of eligible HQ customers will receive IT infrastructure services throughout the DOT from the COE.	As of May 2006, all eligible HQ customers (except FAA) receive Common IT Services via the DOT Common Operating Environment
2006	Organizational Excellence	Technology	Financial (Technology)	Licensing Costs	Percent of COE IT enterprise licensing and DOT-wide support service agreements.	100% of COE desktops will have software procured through DOT enterprise licensing agreements.	Lower IT enterprise licenses, equipment BPA's, and support costs by 5% in FY 2007	Savings through enterprise licensing are being achieved as administrations enter the COE. Savings data will not be available until next budget cycle when all IT procurements are combined.
2007	Organizational Excellence	Mission and Business Results	Information and Technology Management	Information Management	Ratio of IT infrastructure support spending ($) to mission/operating spending. Percentage of variance between budgets, forecasts and actual costs. Percentage reduction in information service rates.	Over $85M per fiscal year is being spent on Comon IT Services infrastructure support throughout DOT (excluding the FAA).	Lower IT infrastructure support spending to less than $70M throughout DOT. Within legal constraints, transfer savings to mission/operating activities.	Common IT Services spending has been reduced to estimated 66M for FY09.
2007	Organizational Excellence	Technology	Efficiency	Improvement	Co-location of Operating Administration application servers	Application servers are housed in 11 different facilities	Co-locate all application servers to a single facility by FY 2007	Application servers facilities have been reduced to three.

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: 21.96

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)**
Redacted	Redacted	Redacted	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	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	9/11/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	7/31/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	3/8/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/11/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	7/5/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	9/13/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	7/3/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	2/28/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	1/13/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	10/16/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	7/25/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	2/28/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	8/31/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/6/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	12/9/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	12/9/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	12/9/2006
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Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	12/9/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/12/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	5/9/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/21/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	5/9/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	4/30/2007

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	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	4/3/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	10/26/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	5/16/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	
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Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	5/16/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	3/29/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	5/17/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	8/3/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	8/4/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/1/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	9/6/2007
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	6/27/2006
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	9/30/2007

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
Initiative: FAAXX101: NEXGEN	No	No	N/A because the system does not contain, process, or transmit personal identifying information	No	N/A because the system is not a privacy act system of records.
Initiative: FAAXX199: ATO LAN	No	No	N/A because the system does not contain, process, or transmit personal identifying information	No	N/A because the system is not a privacy act system of records.
Initiative: FAAXX202: AHR LAN	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	Yes	
Initiative: FAAXX220: AST LAN	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal	No	

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**
			employees and agency contractors.		
Initiative: FAAXX231: ABA LAN	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	Yes	
Initiative: FAAXX261: ARP LAN	No	No	N/A because the system does not contain, process, or transmit personal identifying information	No	
Initiative: FAAXX298: FAA CSIRC Infrastructure	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX298: FAA CSIRC Antivirus System (eTrust AV Servers)	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX375: Aeronautical Center Office Automation	No	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	Yes	
Initiative: FAAXX409: Aviation Training Network (ATN)	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX464: CMEL LAN	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX620: ASH HQ LAN	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX620: ASH LANs	Yes	No	No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.	No	
Initiative: FAAXX700: ARC LAN	No	No	N/A because the system does not contain, process, or transmit personal identifying information	No	
Initiative: FHWAX034: User Profile and Access Control System (UPACS)	No	Yes	http://www.dot.gov/pia/fhwa_upacs	No	http://www.dot.gov/pia/fhwa_upacs#_Toc58752610
Initiative: FHWAX040: FHWA ITD Application and Oracle Database Servers	No	No		No	
Initiative: FHWAX040: FHWA ITD Web Servers	No	No		No	
Initiative: FHWAX040: FHWA MS Exchange Electronic Mail System	No	No		No	

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**
Initiative: FHWAX040: FHWA Network/LAN/WAN	No	No		No	
Initiative: FHWAX040: FHWA Office Automation	No	No		No	
Initiative: FHWAX040: FHWA Video Conferencing System	No	No		No	
Initiative: FRAXX306: Infrastructure-WAN and Infrastructure System	No	No	No, because the system does not contain, process, or transmit personal identifying information.	No	
Initiative: MARAD015: Common Content Environment (CCE)	No	No		No	
Initiative: MARAD015: Enclave 1 - Ballast Water Initiative, Deepwater Ports Licensing, American Fisheries, Press Clips Search, Purchase Card Reconciliation System, Small Vessel Waiver Program	No	No		No	
Initiative: MARAD015: Enclave 2 – BITS, Crew Manifest Database, Port Conveyance	No	No		No	
Initiative: MARAD015: Enclave 3 – Portal, Cargo Handling (CHCP)	No	No		No	
Initiative: MARAD015: Enclave 4 – Inland Waterways Intermodal Cooperative Program (IWICP), Inland Waterways Research Project (IWRP), International Maritime Statistics Forum and Membership Directory (IMSF), Marine Highway Initiative (MHI), formerly Short Sea Shipping, Vessel Status Card	No	No		No	
Initiative: MARAD015: Enclave 5 – Amicus Attorney, CAPOS, Financial Review and Contract Surveillance System (FRACS), Lloyd's Register/Fair Play's Enhanced Register on CD and The Lloyd's Maritime Database, Lloyd's Register/Fair Play's World Shipping Encyclopedia, Port Import Export Reporting Service (PIERS), Personnel Management Information System (PMIS), Safety Management Information Systems (SMIS), Payroll Labor Distribution, Freebalance	No	Yes		Yes	
Initiative: MARAD015: Enclave 6 – CatXpress, Electronic Invoice System (EIS), FOIA Express Ideas-PD, RSTARS (with NS5/RMS), RMS - (formerly Nautical Systems 5 (NS5))	No	No		No	
Initiative: MARAD015: Enclave 7 – Mariner Tracking System (MTS)/Mariner Oversight System (MOS), Maritime Service Compliance System (MSCS), Ship	No	Yes		Yes	

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
Manager Performance Evaluation and Appraisal System (SM-PEAS), CPPMS					
Initiative: MARAD015: Enclave 8 – VOA	No	No		No	
Initiative: MARAD015: MARAD Field Offices WAN	No	No		No	
Initiative: MARAD015: United States Merchant Marine Academy LAN	No	No		Yes	
Initiative: NHTSA008: VEHICLE RESEARCH AND TEST CENTER (VRTC) COMPUTER SYSTEM	No	No	No, because the system does not contain, process, or transmit personal identifying information.	No	
Initiative: OIGXX001: Transportation Inspector General Reporting (TIGR)	No	Yes		Yes	
Initiative: OIGXX002 US DOT/OIG Infrastructure	No	No	No, because the system does not contain, process, or transmit personal identifying information.	No	
Initiative: RITAX013: Volpe ADP Institutional Support Service	No	No		No	
Initiative: RITAX016: TSI Infrastructure	No	No		No	
Initiative: STBXX003: STB LAN	No	No		No	
Initiative: XXXXX777: DOT Common Operating Environment	No	Yes	http://www.dot.gov/pia/ost_dotitcoe.htm	No	

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.   DOTXX070: Combined IT Infrastructure

    b. If "no," please explain why?

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.   Enterprise Services Segment

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)
Computers/Automation Management	Defines the set of capabilities that support the management of management of computers, networks, and telecommunication services	Back Office Services	Asset / Materials Management	Computers / Automation Management			No Reuse	0
Data Cleansing	Support the maintenance and administration of data.	Back Office Services	Data Management	Data Classification			No Reuse	0
Data Exchange	Defines the set of capabilities that support the interchange of information between multiple systems or applications.	Back Office Services	Data Management	Data Exchange			No Reuse	0
Data Warehousing	Defines the capabilities that support the archiving, storage and retrieval of large volumes of data	Back Office Services	Data Management	Data Warehouse			No Reuse	0
Intrusion Detection	Defines the set of capabilities that support the dection of illegal entrance into a computer system	Back Office Services	Development and Integration	Data Integration			No Reuse	0
Data Mining	Allow DOT to analyze data from different perspectives and summarize it into useful information by finding correlations or patterns. Enhances shared use of data and summaries across the department and with external agengies	Business Analytical Services	Analysis and Statistics	Forensics	Data Mining		No Reuse	0
Ad Hoc Reporting	Defines the set of capabilities that support the use of dynamic reports on an as needed basis	Business Analytical Services	Reporting	Ad Hoc			No Reuse	0
Standardized Reporting	Defines the set of capabilities that support the use of templates or preconceived/prewritten reports.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	0
Change Management	Defines the set of capabilities that control the process for updates or modifications to existing software or business processes of an organization.	Business Management Services	Management of Processes	Change Management			No Reuse	0
Program/Project Management	Defines the set of capabilities for the management and control of a particular effort of an	Business Management Services	Management of Processes	Program / Project Management			No Reuse	0

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)
	organization.							
Quality Management	Defines the set of capabilities intended to help determine the level that a product or service satisfies certain requirements.	Business Management Services	Management of Processes	Quality Management			No Reuse	0
Requirements Management	Defines the set of capabilities for gathering, analyzing and fulfilling the needs and prerequisites of an organization's efforts.	Business Management Services	Management of Processes	Requirements Management			No Reuse	0
Network Management	Defines the set of capabilities involved in monitoring and maintaining a communications network in order to diagnose problems, gather statistics and provide general usage.	Business Management Services	Organizational Management	Network Management			No Reuse	0
Online Help	Defines the set of capabilities that enable the customer to receive technical assistance electronically	Customer Services	Customer Initiated Assistance	Online Help			No Reuse	0
Information Retrieval	Defines the set of capabilities that allow access to data and information for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0
Information Sharing	Defines the set of capabilities that support the use of documents and data in a multi-user environment for use by an organization and its stakeholders.	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	0
Knowledge Distribution and Delivery	Defines the set of capabilities that support the transfer of knowledge to the end customer.	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	0
Email	Defines the set of capabilities that support the transmission of memos and messages over a network	Support Services	Collaboration	Email			No Reuse	0
Community Management	Defines the set of capabilities that support the administration of online groups that share common interests.	Support Services	Communication	Community Management			No Reuse	0
Query	Defines the set of capabilities	Support Services	Search	Query			No Reuse	0

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)
	that support retrieval of records that satisfy specific query selection criteria.							
Access Control	Defines the set of capabilities that support the management of permissions for logging onto a computer or network.	Support Services	Security Management	Access Control			No Reuse	0
Audit Trail	Defines the set of capabilities that support the identification and monitoring of activities within an application or system.	Support Services	Security Management	Audit Trail Capture and Analysis			No Reuse	0
Identification & Authentication	Defines the set of capabilities that support obtaining information for security purposes about parties attempting to log on to a system or application and the validation of those parties	Support Services	Security Management	Identification and Authentication			No Reuse	0
Intrusion Dection	Defines the set of capabilities that the dection of illegal entrance into a computer system	Support Services	Security Management	Intrusion Detection			No Reuse	0
Intrusion Prevention	Defines the set of capabilities that support the granting of permission to users or groups of users to computers, applications, or networks. Also prevents non-authorized users from gaining access to same.	Support Services	Security Management	Intrusion Prevention			No Reuse	0
Remote Systems Control	Defines the set of capabilities that allow remote access to computers, networks and applications	Support Services	Systems Management	Remote Systems Control			No Reuse	0

   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)
Software Development	Component Framework	Business Logic	Platform Dependent	Redacted
Data Exchange	Component Framework	Data Management	Database Connectivity	Redacted
Identification and Authentication	Component Framework	Presentation / Interface	Static Display	Redacted
Network Management	Component Framework	Presentation / Interface	Static Display	Redacted
Email	Service Access and Delivery	Access Channels	Collaboration / Communications	Redacted
Query	Service Access and Delivery	Access Channels	Collaboration / Communications	Redacted
Shared Calendaring	Service Access and Delivery	Access Channels	Collaboration / Communications	Redacted
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	Redacted
Information Sharing	Service Access and Delivery	Access Channels	Web Browser	Redacted
Remote Systems Control	Service Access and Delivery	Access Channels	Wireless / PDA	Redacted
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Redacted
Computers / Automation Management	Service Access and Delivery	Service Requirements	Hosting	Redacted
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Network Management	Service Access and Delivery	Service Transport	Service Transport	Redacted
Email	Service Access and Delivery	Service Transport	Supporting Network Services	Redacted
Email	Service Access and Delivery	Service Transport	Supporting Network Services	Redacted
Email	Service Access and Delivery	Service Transport	Supporting Network Services	Redacted
Data Exchange	Service Interface and Integration	Integration	Enterprise Application Integration	Redacted
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Redacted
Data Exchange	Service Interface and Integration	Interoperability	Data Format / Classification	Redacted
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	Redacted
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Redacted
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Web Servers	Redacted
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redacted
Intrusion Detection	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redacted
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redacted
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Redacted
Data Exchange	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Redacted
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Redacted
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Independent	Redacted
Remote Systems Control	Service Platform and Infrastructure	Support Platforms	Wireless / Mobile	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   No
applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

    a. If "yes," please describe.

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?   8/16/2005

    b. If "no," what is the anticipated date this analysis will be completed?

    c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results:			* 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**
Redacted	Redacted	Redacted	Redacted
Redacted	Redacted	Redacted	Redacted
Redacted	Redacted	Redacted	Redacted
Redacted	Redacted	Redacted	Redacted

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

Redacted

4. What specific qualitative benefits will be realized?

Redacted

5. Will the selected alternative replace a legacy system in-part or in-whole?   No

    a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.   This Investment

    b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
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?   8/4/2003

    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:

Life cycle costs were risk-adjusted by 20% to compensate for additional resources should the consolidation project incur delays. This adjustment was identified as a standard industry practice by the consultant contracted to advise on consolidation benefits

and practices as set forth under Alternative 1 (OST-Managed Consolidation). Funding for this project was cut in FY 2005 and DOT reverted to Alternative 2 (Federated Consolidation) where the Operating Administrations bore the costs of consolidation. Because they had not previously identifed this requirement in budget requests, the necessary resources came from existing administration IT operating funds.

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?   No

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)   Yes

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

    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?

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			
Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
2	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
3	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
4	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
5	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
6	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
7	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
8	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
9	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
10	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
11	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
12	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
13	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	100.00%
14	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	0.00%
15	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	0.00%
16	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	0.00%
17	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	0.00%
18	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	0.00%
Project Totals		Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted	Redacted