

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: 9/4/2007
2. Agency: Department of Transportation
3. Bureau: Research & Innovative technology Administration
4. Name of this Capital Asset: RITAX004: Intermodal Transportation Data Base (previously BTSXX004)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 021-53-01-14-01-1220-00
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? FY2002
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:

TranStats is a Congress-mandated system for disseminating intermodal transportation data in a format suitable for analysis and catering to the needs of decision-makers and transportation researchers. It consists of a Data Warehouse, a Web Site (<http://www.transtats.bts.gov>) for public distribution, and an intranet to provide internal data analysis service. In FY2002, TranStats completed its development and went into the operations and maintenance phase of its lifecycle. TranStats was deemed mission critical by Office of Secretary of Transportation International and Aviation Affairs (OSTX) in their analyses that help formulate aviation policies affecting a trillion-dollar industry. TranStats was rebaselined in FY2005 and due to BTS budget cut in the Transportation Re-Authorization Bill (SAFETEA LU, 12/20/2005). Based on the newly defined RITA BTS strategic goals, TranStats reduced its O&M scope and placed its first priority on scheduled releases of timely, user-friendly, and high-quality airline data. In FY2005, TranStats became part of the Total Quality Management (TQM) task force to improve airline data quality, an effort jointly sponsored by OSTX and RITA BTS. The task force identified these performance gaps in airline data collection, processing, and dissemination:

 - 1) The reporting carriers submit data in variegated formats, forcing a lot of manual processing.
 - 2) The support tables used by RITA BTS to validate and process data lack internal consistency and referential integrity.
 - 3) Internal data release is not complete, nor timely.
 - 4) Data gaps are identified in OST Docket 1998-4043, which calls for a complete re-engineering of how airline TRAFFIC and O&D will be reported to DOT.

TranStats was tasked to address gaps 1 to 3. It started project planning and a pilot project for web-filing in FY2005 to address Gap #1 and in FY 2006 started initial work on support table cleanup and maintenance (Gap#2) and Auto Flow (Gat #3). In FY2007, a new rebaseline request was granted to complete all the three enhancement tasks planned for 2007 through 2009 and put the project into mixed mode. FY2009 will be the year when new enhancements will be completed and deployed in full.

Of the three new enhancements, FY2007 experienced some delay because of the late submission and ratification of the rebaseline. However, the schedule delay will not exceed 10% and will be meeting the requirements and goals set by OSTX and other customers for the year.
9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 9/1/2006
10. Did the Project Manager review this Exhibit? Yes
11. Contact information of Project Manager?

Name Yao, Fusheng

Phone Number redacted

Email fusheng.yao@dot.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? No

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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? No

b. If "yes," what is the name of the PARTed program? BTS (Transportation Statistics Program)

c. If "yes," what rating did the PART receive? Moderately Effective

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 1

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? No

a. If "yes," does this investment address a FFMIA compliance area? No

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

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

Hardware	0.000000
Software	0.000000
Services	100.000000
Other	

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? Yes

22. Contact information of individual responsible for privacy related questions:

Name Monniere, Robert

Phone Number redacted
 Title Privacy Officer
 E-mail Robert.Monniere@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:	0	0	0.05	0	redacted	redacted	redacted	redacted	redacted
Acquisition:	8.54	0.25	0.205	0.268	redacted	redacted	redacted	redacted	redacted
Subtotal Planning & Acquisition:	8.54	0.25	0.255	0.268	redacted	redacted	redacted	redacted	redacted
Operations & Maintenance:	5.258	0.6	0.71	0.935	redacted	redacted	redacted	redacted	redacted
TOTAL:	13.798	0.85	0.965	1.203	redacted	redacted	redacted	redacted	redacted
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	2.53	0.72	0.691	0.791	redacted	redacted	redacted	redacted	redacted
Number of FTE represented by Costs:	20	4	4	4	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.

Exhibit 300: RITAX004: Intermodal Transportation Data Base (previously BTSXX004) (Revision 13)

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	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:

- 3. Do the contracts ensure Section 508 compliance? Yes
 - a. Explain why: Tasks include government web site development and maintenance.

- 4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes
 - a. If "yes," what is the date? 3/20/2007
 - b. If "no," will an acquisition plan be developed? Yes
 - 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 Quality	Accuracy of Service or Product Delivered	All data errors flagged. Work with the customers and OAI to resolve the flagged errors.	Not measured before	Over 99% errors flagged; over 50% resolved.	Over 99% errors are flagged routinely (including new released airline data); over 80% of errors resolved.
2005	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Timely release of airline data (weekly for OSTX and government users; monthly or quarterly as scheduled for the general public).	95% for scheduled releases; 100% for White House, Congress, and OSTX special requests	98% and 100% respectively	99% and 100% respectively
2005	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Timely release of airline data (weekly for OSTX and government users; monthly or quarterly as scheduled for the general public).	95% for scheduled releases; 100% for White House, Congress, and OSTX special requests	98% (improved) and 100% (maintained) respectively	99% and 100% respectively
2005	Organizational Excellence	Mission and Business Results	Public Affairs	Customer Services	Number of databases available to the users	15 hosted databases (analyzable and downloadable via the TranStats web application) + 73 linked databases (with data profile and links to the data owners' websites)	20 hosted databases + 73 linked databases	19 hosted databases + 73 linked databases (hosted databases further reduced due to budget cut)
2005	Organizational	Processes and	Management	Compliance	# of process	Two new	Maintain and	1 process of

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Excellence	Activities	and Innovation		improvements that lead to measurable cost savings and reduction in processing time	processes (data release streamline and data check) introduced in 2004	improve streamline and data check processes developed in 2004 and start developing 3 new processes.	data validation implemented; 1 process of carrier decode table management is in the working (scheduled for completion in 2006); 1 process of auto flow dependent on ARDIS O&M schedules. Schedule extended because of resource reduction.
2005	Organizational Excellence	Technology	Reliability and Availability	Availability	% of time TranStats web site is available to end users	90%	93%	95%
2005	Organizational Excellence	Technology	Reliability and Availability	Availability	% of time TranStats data warehouse is available to end users	95%	98%	98%
2006	Organizational Excellence	Customer Results	Customer Benefit	Customer Impact or Burden	Number of carriers filing data over the internet	0	9+	5
2006	Organizational Excellence	Customer Results	Service Quality	Accuracy of Service or Product Delivered	All data errors flagged. Work with the customers and OAI to resolve the flagged errors.	99%	Over 99%	Over 99%
2006	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Timely release of airline data (daily for OSTX and government users; monthly or quarterly as scheduled for the general public).	96%	99% & 100% respectively	99%
2006	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	OSTX required data release	Weekly	Daily	Daily autoflow
2006	Organizational Excellence	Mission and Business Results	Public Affairs	Customer Services	Number of hosted and linked databases available to the users	19 hosted databases (analyzable and downloadable via the TranStats web application) + 73 linked databases (with data profile and links to the data owners' websites)	25 hosted databases + 73 linked databases	25+73 (9 with scheduled releases) as of June 2006
2006	Organizational Excellence	Processes and Activities	Management and Innovation	Compliance	# of process improvements that lead to measurable cost savings and reduction in processing time	Scheduled releases need 3 to 5 days of processing and validation	Scheduled releases can be processed and validated less than 3 days.	Scheduled releases processed by an average of 2.8 days
2006	Organizational Excellence	Technology	Reliability and Availability	Availability	% of time TranStats web site is available to end users	95%	95%	98%
2007	Organizational Excellence	Customer Results	Customer Benefit	Customer Impact or Burden	Number of carriers filing data via the internet	5	24+	5 (Web filing rule making is in progress)
2007	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Timely release of airline data (daily for OSTX and government users; monthly	98% and 99%	99% and 100% respectively	96% and 98% (DOT Headquarters Move interrupts service)

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					or quarterly as scheduled for the general public).			
2007	Organizational Excellence	Mission and Business Results	Public Affairs	Customer Services	Number of hosted and linked databases available to the users	25 hosted databases (analyzable and downloadable via the TranStats web application) + 73 linked databases (with data profile and links to the data owners' websites)	26 + 73 (Add a new National Ferry Database as mandated by Congress)	26 + 73
2007	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Efficiency	measurable cost savings and reduction in processing time	Restricted data are updated weekly	Restricted data are updated daily (except for weekends)	Restricted data are updated daily (except for weekends)
2007	Organizational Excellence	Technology	Reliability and Availability	Availability	% of time TranStats web site is available to end users	95%	95%	94% (interrupted by DOT Headquarters move)
2008	Organizational Excellence	Customer Results	Customer Benefit	Customer Impact or Burden	# of carriers filing data via the internet	5	20+ (Pilot)	TBD 10/30/2008
2008	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	% of time scheduled data are released on time	96% and 98% respectively	Over 98% for public and over 99% for OSTX	TBD 10/30/2008
2008	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	% of web queries performed in 15 sec. or less	90%	90%	TBD 10/30/2008
2008	Organizational Excellence	Mission and Business Results	Public Affairs	Customer Services	Number of hosted and linked databases available to the users	26 hosted databases (analyzable and downloadable via the TranStats web application) + 73 linked databases (with data profile and links to the data owners' websites)	27 + 73 (Add a Congestion database for BTS Analysis)	TBD 10/30/2008
2008	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Productivity	# of process improvements that lead to measurable cost savings and reduction in processing time	Autoflow of T100 and F41 completed	Completed autoflow according to project milestones; completed Airport support table cleanup	TBD 10/30/2008
2008	Organizational Excellence	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	% of time TranStats web site is available to the public	94%	Over 96%	TBD 10/30/2008
2008	Organizational Excellence	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	% of time internal database is available to users	98%	Over 99%	TBD 10/30/2008
2009	Organizational Excellence	Customer Results	Customer Benefit	Customer Impact or Burden	# of carriers filing data via the internet	Actual of 2008	65+	TBD 10/30/2009
2009	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Time lapse between data processed and data released for internal users	weekly/monthly	daily	TBD 10/30/2009
2009	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	Time lapse between data processed and data available to internal users	weekly/monthly	daily	TBD 10/30/2009
2009	Organizational Excellence	Customer Results	Timeliness and Responsiveness	Delivery Time	% of time scheduled data	Over 98% for public and over	Over 98% for public and over	TBD 10/30/2009

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					are released on time	99% for OSTX	99% for OSTX	
2009	Reduced Congestion	Mission and Business Results	Public Affairs	Customer Services	Number of hosted and linked databases available to the users	27 hosted databases (analyzable and downloadable via the TranStats web application) + 73 linked databases (with data profile and links to the data owners' websites)	27 + 73 (Expand the Congestion database to cover more metropolitan areas)	TBD 10/30/2009
2009	Organizational Excellence	Processes and Activities	Productivity and Efficiency	Productivity	# of contractor hours reduced due to completion of e-filing applications, which eliminate the need for keying data from hard copies.	1/4 contractor person year	0 contractor person year for keying data	TBD 10/30/2009
2009	Organizational Excellence	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	% of time TranStats web site is available to end users	Actual of 2008	Over 96%	TBD 10/30/2009
2009	Organizational Excellence	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	% of time internal database is available to users	Over 99%	Over 99%	TBD 10/30/2009

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: 4.50
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	redacted

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

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

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

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

redacted

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
Support Table Maintenance Application	Yes	No	This is a internal supportable maintenance system. It does not accept external data and contains no personal identifying information.	No	
TranStats	No	No	TranStats is a disseminating channel and a portal for transportation data. The system does not collect data, nor does it process, or disseminate personal identifying information.	No	
Web Filing	Yes	No	The system accepts data from airlines and does not contain, process, or transmit personal identifying information.	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. RITAX004: Intermodal Transportation Data Base (TranStats)

b. If "no," please explain why?

For the first version of the DOT Transition Strategy provided to OMB in February 2006, the Department chose to focus on those areas where new development was taking place, placing an emphasis on the transitional aspects of the Department. At that time, this investment was in steady state. 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 RITA's Intermodal Transportation Database (TranStats) 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? No

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

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)
TranStats Data Cleansing	Databases housed by the TranStats system where a data checking and error flag process has been established for each data release.	Back Office Services	Data Management	Data Cleansing			Internal	10
TranStats Data Warehouse	Databases housed by the TranStats System organized and indexed for quick access and exploration of data in the magnitude of hundreds of millions of records.	Back Office Services	Data Management	Data Warehouse			Internal	20
TranStats Meta Data Management	Databases housed by the TranStats system supported by metadata created by transportation experts and statisticians, based on user requirements.	Back Office Services	Data Management	Meta Data Management			Internal	10
TranStats Mathematical Analysis	Applications and tools hosted on the TranStats website (www.transtats.bts.gov) that allow summary data exploration (including one-way, crosstabs and time series) of most of the databases hosted on the	Business Analytical Services	Analysis and Statistics	Mathematical			No Reuse	10

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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)
	TranStats system with a number specialized applications developed to dynamically summarize and present data of a special nature, such as Border Crossing and Ferry data.							
TranStats Decision Support and Planning	Airline data preprocessed with metadata accessible via intranet and 3rd party applications in support of decision making by the OSTX-50 of the Department of Transportation.	Business Analytical Services	Business Intelligence	Decision Support and Planning			No Reuse	15
TranStats Ad Hoc Reports	Applications and tools hosted on the TranStats website (www.transtats.bts.gov) that allow summary data exploration (including crosstabs and time series) of most of the databases hosted on the TranStats system with a number specialized applications developed to summarize and present data of a special nature, such as Border Crossing and Ferry data.	Business Analytical Services	Reporting	Ad Hoc			No Reuse	10
TranStats Grapning/Charting	Applications and tools hosted on the TranStats website (www.transtats.bts.gov) that present data summary both in tables and charts.	Business Analytical Services	Visualization	Graphing / Charting			Internal	5
TranStats Content Publishing and Delivery	TranStats web dissemination of data and statistics	Digital Asset Services	Content Management	Content Publishing and Delivery			Internal	10
TranStats Knowledge Distribution and Delivery	TranStats web dissemination of data and statistics	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			Internal	10

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)
Content Publishing and Delivery	Component Framework	Business Logic	Platform Independent	Redacted
Content Publishing and Delivery	Component Framework	Data Management	Database Connectivity	Redacted
Knowledge Distribution and Delivery	Component Framework	Data Management	Database Connectivity	Redacted
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Content Publishing and Delivery	Service Access and Delivery	Delivery Channels	Internet	Redacted
Mathematical	Service Access and Delivery	Delivery Channels	Internet	Redacted
Knowledge Distribution and Delivery	Service Access and Delivery	Delivery Channels	Intranet	Redacted
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Service Transport	Redacted
Content Publishing and Delivery	Service Access and Delivery	Service Transport	Service Transport	Redacted
Data Warehouse	Service Interface and Integration	Integration	Enterprise Application Integration	Redacted
Meta Data Management	Service Interface and Integration	Integration	Middleware	Redacted
Ad Hoc	Service Interface and Integration	Integration	Middleware	Redacted
Graphing / Charting	Service Interface and Integration	Integration	Middleware	Redacted
Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Graphing / Charting	Service Platform and Infrastructure	Delivery Servers	Application Servers	Redacted
Decision Support and Planning	Service Platform and Infrastructure	Delivery Servers	Application Servers	Redacted
Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Redacted
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Redacted
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Redacted
Content Publishing and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Redacted
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	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.

The new web filing system will be part of the TRANSTATS system, reusing its web application and sybase data functions to provide service to ARDIS.

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? 5/15/2006
 - 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

- 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 No or in-whole?
 - 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.
 - 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? 6/29/2007
 - 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:
 Costs required by risk mitigation have been built in from the initial planning or rebaselining in the previous years. The TranStats system has been developed with scalability and robustness, following the industry best practice, for example, separate and redundant development, test, and production environments and separate application and data warehouse servers. This explains the relatively large initial investment (\$8 million) and the ease and speed of system adaptation to changing scope and goals. For the new developments scheduled from FY2007 to FY2009, we have incorporated a system-integration test, a user

Exhibit 300: RITAX004: Intermodal Transportation Data Base (previously BTSXX004) (Revision 13)
acceptance test, and a roll-out and user feedback period for each of the components, with associated costs added up to \$70,000 (\$10,000 for e-filing, \$60,000 for Support table cleanup and maintenance applications). The \$70,000 cost is spread over the three year DME period, with the major costs fall on FY2009 when all developments will be integrated into the existing system and deployed for production.

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) No
 - a. If "yes," was it the CV or SV or both?
 - b. If "yes," explain the causes of the variance:
 - c. If "yes," describe the corrective actions:
3. Has the investment re-baselined during the past fiscal year? Yes
 - a. If "yes," when was it approved by the agency head? 8/30/2006

Exhibit 300: RITAX004: Intermodal Transportation Data Base (previously BTSXX004) (Revision 13)

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	redacted