

Exhibit 300: Capital Asset Plan and Business Case Summary**Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

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| 1. Date of Submission: | 9/10/2007 |
| 2. Agency: | Department of State |
| 3. Bureau: | Bureau Of Political-Military Affairs |
| 4. Name of this Capital Asset: | Exhibit 300 - Defense Trade Application System |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) | 014-00-01-05-01-1398-00 |
| 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 |

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 purpose of this section is to present the summary and justification of the Defense Trade Application System (DTAS) Business Case for the Department of State (DoS) Fiscal Year FY 2009 budget submission. DTAS is an effective web-based export license application system critical to national security. DTAS is composed of three major subsystems. D-Trade, the most visible DTAS sub-system was formally rolled out by then Secretary of State Collin Powell, February 18, 2004. D-Trade has shown itself to be a paperless, user-friendly and security-sensitive defense technology export licensing review and approval system. D-Trade is important because it's one of many integrated parts within the U.S. national security system that controls the export of defense items and technologies. D-Trade is also part of the president's management agenda, which advances effective government through e-government.

The second component of DTAS is T-RECS, the Trade Registration, Enforcement and Compliance System (T-RECS). T-RECS provides for the support of compliance activities required of those companies obtaining export licenses. T-RECS is designed around Federal Enterprise Architecture (FEA) application of MS.Net technology. The T-RECS was deployed as a Proof of Concept for user review, testing and component database interface evaluations in September 2005, and has been implemented for case data collection.

The third component of DTAS is DTAR, the Defense Trade Archive Repository. DTAR is a working subsystem that implements electronic storage of applications for the DTAS data management requirements. It leverages existing expertise in the PM and VC Bureaus to operate high speed scanners, R/Ware and KM systems for identifiable cost savings. It is NARA approved and delivers long-term unit cost reductions to DDTC that will restrain the growth rate for operating costs.

In total, these component of DTAS support our critical efforts to control international traffic in arms as required by the International Traffic in Arms control Regulations (ITAR) 22 CFR 120-130. The new DTAS subsystems and processes do not simply speed up old processes. They represent changes the ways in which we document, review, managed, and approved defense trade and technology distributions that improve the overall security of the United States and its allies.

- | | |
|---|-----------|
| 9. Did the Agency's Executive/Investment Committee approve this request? | Yes |
| a. If "yes," what was the date of this approval? | 8/28/2007 |
| 10. Did the Project Manager review this Exhibit? | Yes |
| 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:

Human Capital
Expanded E-Government

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? No

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) No

19. Is this a financial management system? No

a. If "yes," does this investment address a FFIA 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

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? No

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:

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

Exhibit 300: Exhibit 300 - Defense Trade Application System (Revision 6)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	Promoting Economic Growth and Prosperity	Customer Results	Timeliness and Responsiveness	Response Time	Median number of days required to process staffed D-Trade license applications for referred cases using D-Trade.	30 days median processing time for D-Trade cases for 2004	Decrease processing time for by 1 day per quarter for FY 2005	End of 3rd qtr 2005 - shows median D-Trade referred cases are now taking 25 days to process.
2005	Promoting Economic Growth and Prosperity	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	Percent (%) of all referred and non-referred license applications Processed using D-Trade	1.2 % - FY 2004	Increase by 1% per quarter for FY 2005	Number of cases processed has increased steadily in each quarter in FY 2005. Seven (7 %) of cases were being processed using D-Trade by the end of the 3rd quarter 2005.
2005	Promoting Economic Growth and Prosperity	Processes and Activities	Management and Innovation	Innovation and Improvement	% of Approved referred and non-referred cases signed electronically	0 cases signed in FY 2004 - no e-signature D-Trade system module was in operation	1% of DSP-5 cases to be signed electronically by 4th QTR 2005	3rd QTR 2005 data - shows 400 cases signed electronically. This is approximately .3 % of cases.
2005	Promoting Economic Growth and Prosperity	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Increasing % of new DDTC Registrants Using D-Trade to submit DSP5s electronically	1% of new registrants used D-Trade to submit DSP-5s in FY 2004	1% increase per quarter for FY 2005	5% of New registrants are using D-Trade to submit DSP-5s at the end of 3rd QTR 2005
2006	Promoting Economic Growth and Prosperity	Customer Results	Timeliness and Responsiveness	Response Time	Median number of days required to process staffed D-Trade license applications for referred cases using D-Trade.	End of FY 05 median result [Note: Medians times are used per GAO report, GAO-01-528 that discusses how licenses times can be significantly improved by a few emergency case or lengthened by a small number of difficult policy cases.	Continue to decrease the number of days required to process a case at a steady rate until this reaches a median of 20 days per case/per month.	http://www.pmd.dtc.state.gov/process/time.htm For FY 06 - an unstable measure, the high range variations (48-24) for staffed cases has a median processing time = 36 days; far lower times for non-staffed cases - median - 13.4 days.
2006	Promoting Economic Growth and Prosperity	Mission and Business Results	Information and Technology Management	Information Management	Percent (%) of all DSP-5 referred and non-referred license applications submitted to DDTC using D-Trade.	FY 05 calculated 10% of DSP-5 cases processed using D-Trade	Increase the percent of the total of DSP-5 and all cases submitted for processing using D-Trade by 1 % per quarter	D-Trade received approximately 60% of DSP-5 D-Trade cases for the 4th quarter of FY 2006. D-Trade submission increased relative to the legacy and paper submission with FY. All DSP 5 submissions are being received via D-Trade for 2007.
2006	Promoting Economic Growth and Prosperity	Mission and Business Results	Information and Technology Management	Information Management	Percent of all Cases examined by DDTC, submitted to D-Trade.	End of FY 2005 results. (approximately 5%)	2 % per FY quarter.	Results for 4th quarter were up over 3rd quarter of FY06. D-Trade submissions (all) were 3460 or 28% of the total of 12256 submissions for 4th quarter FY06.
2006	Promoting Economic Growth and Prosperity	Processes and Activities	Management and Innovation	Innovation and Improvement	% of Approved referred and non-referred cases signed electronically	End of FY 05 result of 3%	FY 06 QTR 1 - 1% of cases to be signed electronically; QTR 2 -2% of DSP-5 cases to	D-Trade has delivered excellent results. D-Trade submissions (all) are now signed

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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
							be signed electronically; QTR 3 - 5% of cases to be signed electronically; QTR 4 - 8% of cases to be signed electronically	electronically when completed and licenses are approved. [4th Qtr. 2006 - 3460 or 28% of the total of 12256 submissions for 4th quarter FY06.
2006	Promoting Economic Growth and Prosperity	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Number of new DDTC Registrants Using D-Trade to submit DSP5s.	End of FY 05 result (Less than 1%)	5 % increase per quarter for FY 2006; reaching 25 % of all new registrants submit DSP5s using D-Trade by end of FY 2006	New registrant's - 180 new DDTC registrants for the 4th quarter. Only 16 applied for license, and of this number - 50% used D-Trade rather than Detra.
2007	Promoting Economic Growth and Prosperity	Customer Results	Timeliness and Responsiveness	Response Time	Median number of days required to process staffed D-Trade license applications for referred cases using D-Trade.	End of 2006 results: staffed cases had a median (but unstable) processing time = 36 days; far lower times were recorded for non-staffed cases - median - 13.4 days.	Improve median reported and published results. Continue to decrease the number of days required to process a case at a steady rate until this reaches a median of 20 days per case/per month.	Final results for all FY 07 processing times decreased slightly for staffed - 33.8 days; & non-staffed cases - 17.1 days. Median processing times for both reached 25.5 days. (Still nearing target. Results improved in the 3rd & 4th quarters of FY 07).
2007	Promoting Economic Growth and Prosperity	Mission and Business Results	Information and Technology Management	Information Management	Percent (%) of all referred and non-referred license applications Processed	End of 2006 results. D-Trade received ~ 60% of DSP-5 D-Trade cases for the 4th quarter of FY 2006.	Increase by 2% per quarter for FY 2007	Positive FY 07 final progress - exceeding overall 2007 targets. D-Trade received approximately 76.3% of license applications for FY 2007. D-Trade submissions - 61,284; Legacy (Detra) - 18,018.
2007	Promoting Economic Growth and Prosperity	Processes and Activities	Management and Innovation	Innovation and Improvement	% of Approved referred and non-referred cases signed electronically	End of FY 06 results: D-Trade approved submissions (all) are now signed electronically when completed for licenses that are electronically approved. [4th Qtr. 2006 - 3460 or 28% of the total of 12256 submissions for 4th quarter FY06.	FY 07 QTR 1 - 10 % of cases to be signed electronically; QTR 2 - 12% of DSP-5 cases to be signed electronically; QTR 3 - 15% of cases to be signed electronically; QTR 4 - 18% of cases to be signed electronically	For all FY 07 - good progress continued since all DDTC cases processed through D-Trade were signed electronically; this increased to 76.3% of all cases, with 61,284 cases signed electronically during FY 2007.
2007	Promoting Economic Growth and Prosperity	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Number of new DDTC Registrants Using D-Trade vs. Detra to submit license applications.	End of FY 06 result	10 % increase per quarter for FY 2007; reaching 65 % of all new registrants submit applications using D-Trade by end of FY 2007	Data for all new registrant's for the FY 2007 shows there were 86 new registrants submitting applications. 66.3% [57/86] submitted applications for licenses using D-Trade. (large improvement

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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
								over FY 2006 data). This met the FY 2007 target.
2008	Promoting Economic Growth and Prosperity	Customer Results	Timeliness and Responsiveness	Response Time	Median number of days required to process staffed D-Trade license applications for referred cases using D-Trade.	End of FY07 results.	Continue to decrease the number of days required to process a case at a steady rate until this reaches an average of 18 days per case. [Currently estimated to be an optimum level given the required processing and review time w/i other agencies.]	
2008	Promoting Economic Growth and Prosperity	Mission and Business Results	Information and Technology Management	Information Management	Percent (%) of all referred and non-referred license applications Processed	End of FY07 results.	Achieve 70 % per FY quarter.	
2008	Promoting Economic Growth and Prosperity	Processes and Activities	Management and Innovation	Innovation and Improvement	% of Approved referred and non-referred cases signed electronically	End of FY 07 result	FY 06 QTR 1 - 31% of cases to be signed electronically; QTR 2 - 52% of DSP-5 cases to be signed electronically; QTR 3 - 65% of cases to be signed electronically; QTR 4 - 75% of cases to be signed electronically	
2008	Promoting Economic Growth and Prosperity	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Number of new DDTC Registrants Using D-Trade to submit DSP5s	End of FY 07 result	20 % increase per quarter for FY 2007; reaching 85 % of all new registrants submit DSP5s using D-Trade by end of FY 2008	

Section E: Security and Privacy (IT Capital Assets only)

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
Defense Trade Application System	Yes	Yes	http://foia.state.gov/SPIAS/20061.DOS.PIA.Summary.Defense.Trade-cleared.pdf	Yes	http://foia.state.gov/issuances/STATE-42.pdf
<p>Details for Text Options:</p> <p>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.</p> <p>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.</p> <p>Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.</p>					

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

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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. Defense Trade Application System

b. If "no," please explain why?

4. Service Component Reference Model (SRM) Table: Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Data Exchange	Defines the set of capabilities that support the interchange of information between multiple systems or applications; includes verification that transmitted data was received and unaltered.	Back Office Services	Data Management	Data Exchange			No Reuse	1
Data Warehouse	Defines the set of capabilities that maintains data on registrants, licenses applied for, regulations and government policy, federal rules, approved licenses and values in a DDTC Data Warehouse.	Back Office Services	Data Management	Data Warehouse			No Reuse	20
Extraction and Transformation	Defines the set of capabilities that support the manipulation and change of data.	Back Office Services	Data Management	Extraction and Transformation			No Reuse	3
Standardized / Canned	Defines the set of capabilities that support the use of pre-conceived or pre-written reports.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	3
Change Management	Defines the set of capabilities that control the process for updates and modifications to the existing DTAS documents, software, and business processes of DDTC.	Business Management Services	Management of Processes	Change Management			No Reuse	2
Configuration Management	Defines the set of capabilities that control the hardware and software environments, as well as	Business Management Services	Management of Processes	Configuration Management			No Reuse	1

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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)
	documents of DDC.							
Program / Project Management	Defines the set of capabilities that manage and controls the projects and efforts of an organization.	Business Management Services	Management of Processes	Program / Project Management			No Reuse	3
Requirements Management	Defines the set of capabilities that gather, analyze and fulfill the needs and prerequisites of an organization's efforts.	Business Management Services	Management of Processes	Requirements Management			No Reuse	2
Network Management	Monitor and maintain a communications network between government agencies to diagnose problems, gather statistics, and provide general usage. (Facilities and standards that provide the computing and networking within and between Government enterprises.)	Business Management Services	Organizational Management	Network Management			No Reuse	3
Contact & Profile Management	Defines the set of capabilities that provide a comprehensive view of all customer interactions, including calls, email, correspondence and meetings; also provides for the maintenance of a customer's account, business and personal information.	Customer Services	Customer Relationship Management	Contact and Profile Management			No Reuse	2
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	2
Case Management	Defines the set of capabilities that manage the lifecycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a case as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	3
Process Tracking	Defines the set of capabilities that allow the	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	35

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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)
	monitoring of activities within the business cycle.							
Forms Creation	Defines the set of capabilities that support the design and generation of electronic or physical forms and templates for use within the business cycle by an organization and its stakeholders.	Support Services	Forms Management	Forms Creation			No Reuse	2
Forms Modification	Defines the set of capabilities that support the maintenance of electronic or physical forms, templates and their respective elements and fields.	Support Services	Forms Management	Forms Modification			No Reuse	6
Access Control	Defines the set of capabilities that support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management.	Support Services	Security Management	Access Control			No Reuse	5
Digital Signature Management	Use and management of electronic signatures to support authentication and data integrity; includes public key infrastructure (PKI).	Support Services	Security Management	Digital Signature Management			No Reuse	3
Identification and Authentication	Defines the set of capabilities that support obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users.	Support Services	Security Management	Identification and Authentication			No Reuse	4

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.

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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)
Network Management	Component Framework	Business Logic	Platform Dependent	ADO .Net components, electronic Business Using ebXML
Case Management	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Case Management	Component Framework	Business Logic	Platform Independent	JavaScript
Case Management	Component Framework	Data Interchange	Data Exchange	Electronic Business using XML (ebXML)
Information Retrieval	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	MS SQL Server Reporting Services
Forms Modification	Component Framework	Presentation / Interface	Content Rendering	Adobe PDF
Case Management	Component Framework	Presentation / Interface	Content Rendering	Cascading Style Sheets (CSS)
Case Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP)
Case Management	Component Framework	Presentation / Interface	Static Display	Hyper Text Markup Language (HTML)
Contact and Profile Management	Component Framework	Security	Certificates / Digital Signatures	Digital Certificate Authentication
Contact and Profile Management	Component Framework	Security	Certificates / Digital Signatures	Secure Sockets Layer (SSL)
Digital Signature Management	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Forms Creation	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Access Control	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Forms Creation	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Data Exchange	Service Access and Delivery	Service Transport	Service Transport	Hyper Text Transfer Protocol Secure (HTTPS)
Data Exchange	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Data Exchange	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Identification and Authentication	Service Access and Delivery	Service Transport	Supporting Network Services	Domain Name System (DNS)
Identification and Authentication	Service Access and Delivery	Service Transport	Supporting Network Services	Lightweight Directory Access Protocol (LDAP)
Information Retrieval	Service Interface and Integration	Integration	Middleware	Database Access: ISQL/w
Case Management	Service Interface and Integration	Interoperability	Data Format / Classification	eXtensible Markup Language (XML)
Case Management	Service Interface and Integration	Interoperability	Data Transformation	eXtensible Stylesheet Language Transform (XSLT)
Data Exchange	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Storage	Network-Attached Storage (NAS)
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Case Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM)
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Contact and Profile Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Hub
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Process Tracking	Service Platform and Infrastructure	Software Engineering	Modeling	Case Management

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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)
Case Management	Service Platform and Infrastructure	Software Engineering	Modeling	Unified Modeling Language (UML)
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management
Requirements Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Mercury Quality Center
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	MS Project & Project Server, Team Foundation Server
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Case Management	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing
Case Management	Service Platform and Infrastructure	Software Engineering	Test Management	Usability Testing (508 Testing)
Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000
Case Management	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)

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)? Yes

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

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? 5/28/2007
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? Yes
 - c. If "yes," describe any significant changes:
Risks included in the plan were updated for current status. In addition, risks were examined to determine if any new risks needed to be added. The program is mature and on schedule; on budget. No new risks have materialized. Performance measures are exceeding estimates and plans.
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:
Investment risks are carefully monitored throughout the investment development period. The DTAS system has been built in useful and complete segments that each have demonstrable uses and value to minimize the risk of "non-completion" and loss of investment. Almost all of the portions of the segments are now in use and delivering value to the government and the numerous industry customers of DDTA. The system will continue to be supported and function in O&M status.

The performance statistics demonstrate the value of the risk management approach. Approximately 75% of license applications are now processed and approved using D-Trade. Compliance cases and data are stored in T-RECS.