

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: 9/10/2007
- 2. Agency: Department of State
- 3. Bureau: Irm/Ops Operations
- 4. Name of this Capital Asset: Exhibit 300 - Joint DoS/USAID IT Infrastructure Integration Program
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 014-00-02-00-01-1671-00

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:

To fully align foreign policy and development assistance to support the President's National Security Strategy and Management Agenda, the Department of State (DoS) and U.S. Agency for International Development (USAID) have begun integrating common management structures. This collaboration will help both organizations execute joint goals, such as providing employee support, increasing operational efficiencies, and reducing redundancies and costs for the taxpayer. To implement this initiative, a DoS / USAID Joint Management Council (JMC) was created. The JMC has established seven working groups to address issues surrounding specific management functions. In addition, the DoS and USAID Teams have analyzed the advantages of and the challenges in integrating the agencies' Sensitive But Unclassified networks, AIDNet & OpenNet, to ensure a modernized, secure, and high-quality IT infrastructure.

Working with the JMC and supporting the FY04-09 Joint Strategic Plan and FY07 Annual Performance Plan, a USAID and DoS Team developed an approach to explore an effective means to integrate the USAID and DoS IT infrastructures, policies, and organizations. The DoS and USAID Team will plan and execute the integration of the two SBU IT infrastructures into a new jointly designed enhanced network in a 3-phase approach during FY08-10: 1) Project Ramp-up, 2) Piloting and Engineering, and 3) Worldwide Deployment and Engineering. Note that this business case assumes full funding for the integration in FY08-12. The project involves extensive analysis of alternatives (to be completed in FY08) involving lab test, proof of concepts, and pilots.

Network integration provides several strategic benefits, including economies of scale, support of Transformational Diplomacy goals such as more robust remote access capabilities and servicing of American Presence Posts and the opportunity to build an integrated environment for the Foreign Affairs community. Examples of benefits include enhanced IT capabilities, communication, and space utilization at embassies; elimination of duplicate capabilities and systems; direct support of Regionalization/Rightsizing efforts by merging supporting systems and support personnel; and potential for future consolidation of management systems, e.g., HR, to improve accountability and organizational efficiency.

This Exhibit 300 requests funding for DoS to support this joint goal and mirrors the Exhibit 300 that USAID is also submitting.

- 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? Yes
 - a. Will this investment include electronic assets (including computers)? Yes
 - b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No
 - 1. If "yes," is an ESPC or UESC being used to help fund this investment?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply: Right Sized Overseas Presence

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 3

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 FFMLA compliance area?

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? N/A

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

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 - Joint DoS/USAID IT Infrastructure Integration Program (Revision 2)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	Strengthening Consular and Management Capabilities	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Pilots/proof concept accepted by posts.	0%	100% acceptance of pilots/proof of concept implementations	
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	Access to common applications (WebPass) from both State and AID desktops.	0% access (no direct access).	100% access (Direct access to shared applications).	
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	Proof of concept sites will be provided access to recommended network	0% (no DoS and USAID integrated network available)	100% of collocated proof of concept sites will have access to recommended network	
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Cycle Time and Resource Time	Timeliness	Identify technical, business, and governance issues through pilot/PoC lessons learned	0%	Complete pilot/PoC analysis and lessons learned document	
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Errors	Quality assessments conducted on proof of concept sites	0 (new service provided)	100% acceptance of pilots/proof of concept implementation by stakeholders at post.	
2008	Strengthening Consular and Management Capabilities	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Provide recommendations and alternatives regarding future infrastructure management decisions for both organizations based on pilot/PoC analyses	0%	Complete future direction, issues and recommendations document	

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
OpenNet Transport GSS	No	No	It does not require a PIA because it does not maintain or transmit personal information about members of the public.	No	No, because the system is not a Privacy Act system of records.
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. Joint DoS/USAID IT Infrastructure Integration Program

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)
Configuration Management	Defines the set of capabilities that control the hardware and software environments, as well as documents of an organization.	Business Management Services	Management of Processes	Configuration Management			No Reuse	13
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	55
Access Control	Defines the set of capabilities that support the management of permissions for logging onto a computer or network an organization.	Support Services	Security Management	Access Control			No Reuse	15
Remote Systems Control	Defines the set of capabilities that support the monitoring, administration, and usage of applications and enterprise systems from locations outside of the immediate system environment.	Support Services	Systems Management	Remote Systems Control			No Reuse	4
System Resource Monitoring	Defines the set of capabilities that support the balance and allocation of memory, usage, disk space, and performance on computers and their applications.	Support Services	Systems Management	System Resource Monitoring			No Reuse	13

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)
Network Management	Component Framework	Security	Certificates / Digital Signatures	Digital Certificate Authentication - Patriot Technologies RSA Secure
Network Management	Component Framework	Security	Certificates / Digital Signatures	Secure Sockets Layer (SSL) - Microsoft supported
System Resource Monitoring	Service Access and Delivery	Access Channels	Other Electronic Channels	Attachmate NetIQ Application Manager
Network Management	Service Access and Delivery	Delivery Channels	Intranet	Hewlett-Packard OpenView
Remote Systems Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Cisco Access Control System (ACS)
Remote Systems Control	Service Access and Delivery	Service Requirements	Hosting	Microsoft Active Directory
Network Management	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP) v4 transitioning to v6 - Cisco, Microsoft supported
Network Management	Service Access and Delivery	Service Transport	Service Transport	IP Security (IPSec) - Cisco, Nortel supported
Network Management	Service Access and Delivery	Service Transport	Service Transport	Taave Software Co. PReView
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	Nortel 600, 1700, 2700 FIPS Type 2 encryption for SBU networks
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Blue Coat SG510, AV810
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Firewall ASA 5540
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Routers, including 2821, 3845, 7206/8vvr
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Switches, including 2950, 3750, 6509
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Juniper SSG 520M
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Lucent Optical Switching, OC3, OC12, OC48
Remote Systems Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Hewlett-Packard Enterprise Servers
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Marconi Asynchronous Transfer Mode (ATM) - ServiceOnData
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Niksun NetVCR
Configuration Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Remedy Action Request System
Remote Systems Control	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Microsoft SMS Deployment Management
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Opware Network Automation System

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

Exhibit 300: Exhibit 300 - Joint DoS/USAID IT Infrastructure Integration Program (Revision 2)

a. If "yes," what is the date of the plan? 7/18/2007

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? Yes

c. If "yes," describe any significant changes:

In late FY 2006, the joint State and USAID team developed the USAID/DoS IT Infrastructure Integration (i3) Planning Concepts and Preliminary Approach document, which identified the high-level technical and policy risks associated with an IT integration. Continuing in FY 2007, DoS engaged with USAID to revalidate each risk, to identify additional risks, and to develop mitigation strategies for each risk to minimize the impact of the risk or the probability of its occurrence. A Project Management Plan, which included a project risk analysis, was developed and approved by the Agencies' CIOs on July 18, 2007. The DoS and USAID Joint Program Management Office (JPMO) will be responsible for ongoing risk management, monitoring, and evaluation moving forward and will update senior management regularly on these risks and their status.

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:

As part of the project management process, the Joint Program Management Office (JPMO--with representatives from USAID and DoS) has identified and analyzed risks during project planning. Risk analysis includes classifying the risks and assessing the risk probability, impact, immediacy, and controllability. These attributes help the program manager identify the greatest risks to the program and ensure they are appropriately mitigated.

Programmatically, USAID and DoS will use an incremental approach that accomplishes the integration in three (3) successive phases that build upon each other with each phase including several intermediate reviews (decision checkpoints) to allow the project team to react to changing conditions and provide executive management with the ability to evaluate progress before proceeding to the next phases. Technically, a carefully selected set of pilot missions will be used to validate requirements and validate and discover a full set of risks and issues before proceeding with a general worldwide deployment. In addition, during the integration, USAID will keep AIDNet operational until all issues and risks associated with the continuation of USAID business requirements, applications, and services have been adequately resolved and implemented in the OpenNet environment and/or a suitable alternative, e.g., alternate hosting environment, is provided.