

**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:  | Information Resource Management                                     |
| 4. Name of this Capital Asset:  | Exhibit 300 - State Messaging and Archive Retrieval Toolset (SMART) |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)   | 014-00-01-04-01-1185-00   |
| 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.)  | Full Acquisition  |
| 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:  |   |
| <p>SMART vision is to deliver a simple, secure, and user-driven system supporting the conduct of diplomacy through modern messaging, dynamic archiving, and information sharing. SMART's business objective enables direct, secure and controlled communication to 47,000 employees worldwide, to most US government agencies and thus with/to foreign governments consistent with the ISE (Information Sharing Environment). All Department of State (DoS) official international inter- and intra-agency business communications will be transmitted through SMART. This system transports decisions, messages, and data during world and national emergencies, and is the lifeline for DoS employees around the world during times of crisis. SMART is how official international government business gets done. The reliability, availability, performance, and functionality requirements of this system demand that overseas posts and the domestic offices remain ever accessible and always online. Technically, the SMART command and control system is a roles-based messaging application using complex assessment and distribution algorithms, and comprehensive dissemination profiles to distribute critical information. Once message distribution has been determined, the benefits of an email transport mechanism are realized. Thus, the SMART design merges two disparate systems: the command and control messaging rules and procedures, and State's email connectivity and infrastructure. The new SMART system preserves all legacy system distribution rules and standards and maintains enhanced reliability under threat of unusually hostile intrusion from internal and external sources. It operates in classified and unclassified intranet enclaves and the internet environment; archives messages for both operational and life-cycle records management purposes; and replaces the existing "print and file record e-mail" policy with electronic capture functionality. The legacy and SMART systems will interoperate, functioning in parallel until the last domestic office and overseas post are converted to SMART assuring thousands of employees that they have the information to protect the United States and their own lives during overseas assignments. SMART replaces current functionality, and delivers enabling technology through enriched communications via attached documents and embedded objects (e.g. pictures, charts, diagrams, etc.) and supplies interagency collaboration tools not available in any legacy messaging application.</p> |   |
| 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?  | No  |
| 2. If "yes," will this investment meet sustainable design principles?   | No  |
| 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: 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](http://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) Yes

19. Is this a financial management system? No

a. If "yes," does this investment address a FFMI 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? N/A

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? No

**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](http://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
2007		Customer Results	Customer Benefit	Customer Satisfaction	% of customers satisfied with SMART	Statistics on customer satisfaction with	70% of pilot users agree that SMART is an	N.A. until 1 Nov. 2007. SMART is in development

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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
						SMART not yet known, as the system has not yet been deployed	improvement over the legacy systems for messaging, archiving, and retrieval	following the OMB schedule. Per the OMB approved useful-segment baseline (11/30/2006); SMART will develop Useful Segment 1, and deploy to Pilot 1 in Sept - Oct 2007. Results to be reported Nov. 1, 2007.
2007		Mission and Business Results	International Affairs and Commerce	Foreign Affairs	% of pilot posts migrated	0% of the pilot posts have been migrated to the SMART system, as the system has not yet been deployed	100% of pilot posts will have been successfully migrated to SMART system Useful Segment 1, November, 2007	N.A. until 1 Nov. 2007. SMART is in development following the OMB schedule. Per the OMB approved useful-segment baseline (11/30/2006); SMART will develop Useful Segment 1, and deploy to Pilot 1 in Sept - Oct 2007. Results to be reported Nov. 1, 2007
2007		Processes and Activities	Cycle Time and Resource Time	Timeliness	% of records propagated in 15 minutes or less	Currently, 0% of records are propagated within 15 minutes.	With SMART, 100% of records at Pilot deployment sites will be propagated within 15 minutes.	N.A. until 1 Nov. 2007. SMART is in development following the OMB schedule. Per the OMB approved useful-segment baseline (11/30/2006); SMART will develop Useful Segment 1, and deploy to Pilot 1 in Sept - Oct 2007. Results to be reported Nov. 1, 2007
2007		Technology	Reliability and Availability	Reliability	Number of failure incidences	Maximum delivery time requirements for cables already exist, including: Routine formal e-Docs-3hrs.; Priority e-Docs-1hr.; Critic, ECP and Flash e-Docs-3 minutes	100% success rate for Pilot site adherence to current delivery time requirements at pilot posts	N.A. until 1 Nov. 2007. SMART is in development following the OMB schedule. Per the OMB approved useful-segment baseline (11/30/2006); SMART will develop Useful Segment 1, and deploy to Pilot 1 in Sept - Oct 2007. Results to be reported Nov. 1, 2007
2008		Customer Results	Customer Benefit	Customer Satisfaction	% of Pilot users satisfied with SMART	Statistics on customer satisfaction with SMART not yet known, as the system has not yet been deployed.	70% of all Pilot sites migrated users agree that SMART is an improvement over the legacy systems for messaging, archiving, and retrieval	
2008		Customer Results	Service Accessibility	Access	Pilot user sessions/visitors per month	A current average of 1,807 sessions occur	Pilot users sessions will demonstrate the	

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					accessing the broad ClassNet archive search	per month	archive search capability for all pilot sites.	
2008		Mission and Business Results	Information and Technology Management	Information Management	Demonstrated Number of email messages archived in electronic format at Pilot sites	As of August 2006, no (0) email messages are archived in electronic format	The baseline represents the count for messages w/o organizational authority (analogous to existing emails subject to "print and file" due to record value.) At the Pilot sites, all email messages in a month will be shown to be capable of being archived in electronic format.	
2008		Mission and Business Results	International Affairs and Commerce	Foreign Affairs	% of total Pilot posts migrated to SMART.	0 Pilot posts were been migrated to SMART in FY 2007. (Oct – Nov 2007)	100% of scheduled Pilot posts will be migrated to SMART.	
2008		Processes and Activities	Management and Innovation	Knowledge Management	Percent of pilot users leveraging newly created profiles.	0% (none) of pilot users leveraging newly created profiles.	25% of pilot users leveraging newly created profiles	
2008		Technology	Information and Data	Internal Data Sharing	Annual number of electronic messages available for unrestricted search on ClassNet	Currently, there are approximately 81,000 messages available for unrestricted search on legacy ClassNet.	All Pilot rchived electronic messages will be available for unrestricted search.a	

**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
SMART (State Messaging and Archive Retrieval Toolset)	Yes	Yes	<a href="http://foia.state.gov/SPIAS/20061.DOS.PIA.Summary.SMART-cleared.pdf">http://foia.state.gov/SPIAS/20061.DOS.PIA.Summary.SMART-cleared.pdf</a>	No	No, because the system is not a Privacy Act system of records.
<p><b>Details for Text Options:</b></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)**

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? No

a. If "no," please explain why?

As analysis proceeds, SMART will be an important part of the architecture. It is scheduled for inclusion in 2009, as the

architecture matures and evolves.

SMART is technically leading the Department in its adoption and migration to the 64 bit HW. Further, the Department uses MOSS (Microsoft's Office SharePoint Server 2007) as a server platform to provide web content management, enterprise content services, enterprise search capability, shared business processes, and business intelligence to bureaus, departments, and offices. The functionality is dedicated to unstructured document storage, structured list storage, and group collaboration. Including such IT features and resources as portals, team workspaces, e-mail, presence awareness, and Web-based conferencing, MOSS enables users to locate distributed information quickly and efficiently, as well as connect to and work with others more productively.

SMART databases, archiving & RM processes are fully integrated with the Departments plan and strategy. A/RM is an active participant on the SMART project, and coordinating development for integration of it processes with the SMART application development, database, and record management needs.

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. SMART

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 Classification	Defines the set of capabilities that allow the classification of data.	Back Office Services	Data Management	Data Classification			No Reuse	2
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 unaltered.	Back Office Services	Data Management	Data Exchange			No Reuse	3
Data Mart	Defines the set of capabilities that support a subset of a data warehouse for a single department or function within an organization.	Back Office Services	Data Management	Data Mart			No Reuse	1
Data Recovery	Defines the set of capabilities that support the restoration and stabilization of data sets to a consistent, desired state.	Back Office Services	Data Management	Data Recovery			No Reuse	1
Data Warehouse	Defines the set of capabilities that support the archiving and storage of large volumes of data.	Back Office Services	Data Management	Data Warehouse			No Reuse	4
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	1
Loading and Archiving	Defines the set of capabilities that support the population of a data source with external data.	Back Office Services	Data Management	Loading and Archiving			No Reuse	1

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Meta Data Management	Defines the set of capabilities that support the maintenance and administration of data that describes data.	Back Office Services	Data Management	Meta Data Management			No Reuse	1
Data Integration	Defines the set of capabilities that support the organization of data from separate data sources into a single source using middleware or application integration as well as the modification of system data models to capture new information within a single system.	Back Office Services	Development and Integration	Data Integration			No Reuse	3
Enterprise Application Integration	Defines the set of capabilities that support the redesigning of disparate information systems into one system that uses a common set of data structures and rules.	Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	1
Instrumentation and Testing	Defines the set of capabilities that support the validation of application or system capabilities and requirements.	Back Office Services	Development and Integration	Instrumentation and Testing			No Reuse	1
Legacy Integration	Defines the set of capabilities that support the communication between newer generation hardware/software applications and the previous, major generation of hardware/software applications.	Back Office Services	Development and Integration	Legacy Integration			No Reuse	1
Software Development	Defines the set of capabilities that support the creation of both graphical and process application or system software.	Back Office Services	Development and Integration	Software Development			No Reuse	2
Ad Hoc	Defines the set of capabilities that support the use of dynamic reports on an as needed basis.	Business Analytical Services	Reporting	Ad Hoc			No Reuse	1
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	1
Graphing / Charting	Defines the set of capabilities that support the presentation of information in the form of diagrams and tables.	Business Analytical Services	Visualization	Graphing / Charting			No Reuse	1

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Multimedia	Defines the set of capabilities that support the representation of information in more than one form to include text, audio, graphics, animated graphics and full motion video.	Business Analytical Services	Visualization	Multimedia			No Reuse	1
Network Management	Defines the set of capabilities that monitor and maintain a communications network in order to diagnose problems, gather statistics and provide general usage.	Business Management Services	Organizational Management	Network Management			No Reuse	1
Workgroup / Groupware	Defines the set of capabilities that support multiple users working on related tasks.	Business Management Services	Organizational Management	Workgroup / Groupware			No Reuse	2
Online Help	Defines the set of capabilities that provide an electronic interface to customer assistance.	Customer Services	Customer Initiated Assistance	Online Help			No Reuse	1
Online Tutorials	Defines the set of capabilities that provide an electronic interface to educate and assist customers.	Customer Services	Customer Initiated Assistance	Online Tutorials			No Reuse	1
Online tutorials		Customer Services	Customer Initiated Assistance	Online Tutorials			No Reuse	1
Alerts and Notifications	Defines the set of capabilities that allow a customer to be contacted in relation to a subscription or service of interest.	Customer Services	Customer Preferences	Alerts and Notifications			No Reuse	1
Personalization	Defines the set of capabilities that change a user's interface and how data are displayed.	Customer Services	Customer Preferences	Personalization			No Reuse	2
Subscriptions	Defines the set of capabilities that allow a customer to join a forum, listserv, or mailing list.	Customer Services	Customer Preferences	Subscriptions			No Reuse	1
Tagging and Aggregation	Defines the set of capabilities that support the identification of specific content within a larger set of content for collection and summarization.	Digital Asset Services	Content Management	Tagging and Aggregation			No Reuse	4
Classification	Defines the set of capabilities that support the categorization of documents.	Digital Asset Services	Document Management	Classification			No Reuse	1
Document Conversion	Defines the set of capabilities that support the changing of files from one type of format to	Digital Asset Services	Document Management	Document Conversion			No Reuse	1

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	another.							
Document Referencing	Defines the set of capabilities that support the redirection to other documents and information for related content.	Digital Asset Services	Document Management	Document Referencing			No Reuse	1
Document Review and Approval	Defines the set of capabilities that support the editing and commendation of documents before releasing them.	Digital Asset Services	Document Management	Document Review and Approval			No Reuse	1
Document Revisions	Defines the set of capabilities that support the versioning and editing of content and documents.	Digital Asset Services	Document Management	Document Revisions			No Reuse	1
Indexing	Defines the set of capabilities that support the rapid retrieval of documents through a structured numbering construct.	Digital Asset Services	Document Management	Indexing			No Reuse	1
Library / Storage	Defines the set of capabilities that support document and data warehousing and archiving.	Digital Asset Services	Document Management	Library / Storage			No Reuse	1
Categorization	Defines the set of capabilities that allow classification of data and information into specific layers or types to support an organization.	Digital Asset Services	Knowledge Management	Categorization			No Reuse	1
Information Mapping / Taxonomy	Defines the set of capabilities that support the creation and maintenance of relationships between data entities, naming standards and categorization.	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	1
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	1
Information Sharing	Defines the set of capabilities that support the use of documents and data in a multi-user environment for use by an organization and its stakeholders.	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	1
Smart Documents	Defines the set of capabilities that support the interaction of information and process (business logic) rules between users of the document. (i.e. the logic and use	Digital Asset Services	Knowledge Management	Smart Documents			No Reuse	3



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	of the document is embedded within the document itself and is managed within the document parameters)							
Document Classification	Defines the set of capabilities that support the categorization of documents and artifacts, both electronic and physical.	Digital Asset Services	Records Management	Document Classification			No Reuse	1
Document Retirement	Defines the set of capabilities that support the termination or cancellation of documents and artifacts used by an organization and its stakeholders.	Digital Asset Services	Records Management	Document Retirement			No Reuse	1
Record Linking / Association	Place holder language	Digital Asset Services	Records Management	Record Linking / Association			No Reuse	1
Inbound Correspondence Management	Defines the set of capabilities that manage externally initiated communication between an organization and its stakeholders.	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management			No Reuse	2
Outbound Correspondence Management	Defines the set of capabilities that manage internally initiated communication between an organization and its stakeholders.	Process Automation Services	Routing and Scheduling	Outbound Correspondence Management			No Reuse	2
Conflict Resolution	Defines the set of capabilities that support the conclusion of contention or differences within the business cycle.	Process Automation Services	Tracking and Workflow	Conflict Resolution			No Reuse	1
Process Tracking	Defines the set of capabilities that allow the monitoring of activities within the business cycle.	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	1
Document Library	Defines the set of capabilities that support the grouping and archiving of files and records on a server.	Support Services	Collaboration	Document Library			No Reuse	1
Email	The set of capabilities that support the secure electronic issuance of congruent data and action officers views of commands and messages and supporting data concerning objectives (using email, Instant Messaging, & collaboration tools); timely status reporting; and situation and context collaboration	Support Services	Collaboration	Email			No Reuse	25

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	achieving a common view of events and data between/among all command posts with automated archiving, requesting, and dissemination.							
Shared Calendaring	Defines the set of capabilities that allow an entire team as well as individuals to view, add and modify each other's schedules, meetings and activities.	Support Services	Collaboration	Shared Calendaring			No Reuse	1
Task Management	Defines the set of capabilities that support a specific undertaking or function assigned to an employee.	Support Services	Collaboration	Task Management			No Reuse	1
Threaded Discussions	Defines the set of capabilities that support the running log of remarks and opinions about a given topic or subject.	Support Services	Collaboration	Threaded Discussions			No Reuse	1
Community Management	Defines the set of capabilities that support the administration of online groups that share common interests.	Support Services	Communication	Community Management			No Reuse	1
Classification	Defines the set of capabilities that support selection and retrieval of records organized by shared characteristics in content or context.	Support Services	Search	Classification			No Reuse	1
Pattern Matching	Defines the set of capabilities that support retrieval of records generated from a data source by imputing characteristics based on patterns in the content or context.	Support Services	Search	Pattern Matching			No Reuse	1
Query	Defines the set of capabilities that support retrieval of records that satisfy specific query selection criteria.	Support Services	Search	Query			No Reuse	1
Access Control	Defines the set of capabilities that support the management of permissions for logging onto a computer, application, service, or network; includes user	Support Services	Security Management	Access Control			No Reuse	2

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	management and role/privilege management.							
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	1
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	1

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%.

<b>5. Technical Reference Model (TRM) Table:</b> 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)
Data Exchange	Component Framework	Data Interchange	Data Exchange	XML, BizTalk
System Resource Monitoring	Component Framework	Data Management	Reporting and Analysis	Microsoft Operations Matter (MOM)
Process Tracking	Component Framework	Data Management	Reporting and Analysis	SQL 2005 Reporting Services
Personalization	Component Framework	Presentation / Interface	Dynamic Server-Side Display	SharePoint 2007
Document Referencing	Component Framework	Presentation / Interface	Dynamic Server-Side Display	SharePoint 2007 and SQL Server
Graphing / Charting	Component Framework	Presentation / Interface	Static Display	Outlook, VSTO, HTML
Multimedia	Component Framework	Presentation / Interface	Static Display	Outlook, VSTO, HTML
Data Mart	Component Framework	Security	Supporting Security Services	SQL 2005
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer 6.0 or greater
Remote Systems Control	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer, Citrix Metaframe
Query	Service Access and Delivery	Access Channels	Web Browser	Microsoft Internet Explorer
Online Tutorials	Service Access and Delivery	Delivery Channels	Intranet	Interactive DVDs
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Intranet	LCS 2005
Online Help	Service Access and Delivery	Delivery Channels	Intranet	SharePoint 2007
Subscriptions	Service Access and Delivery	Delivery Channels	Intranet	SQL 2005 Notification Services and Exchange Server
Workgroup / Groupware	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Groove
Information Sharing	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Groove
Threaded Discussions	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Groove
Shared Calendaring	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Groove
Task Management	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Groove
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Active Directory, SQL Server
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	MS Operations Manager (MOM)
Inbound Correspondence	Service Interface and	Integration	Middleware	BizTalk 2006

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<b>5. Technical Reference Model (TRM) Table:</b>				
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.				
<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
Management	Integration			
Outbound Correspondence Management	Service Interface and Integration	Integration	Middleware	BizTalk 2006
Classification	Service Interface and Integration	Integration	Middleware	BizTalk 2006
Loading and Archiving	Service Interface and Integration	Integration	Middleware	BizTalk 2006
Data Integration	Service Interface and Integration	Integration	Middleware	BizTalk 2006, XML
Legacy Integration	Service Interface and Integration	Integration	Middleware	MFI, BizTalk, XML
Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	MFI, XML
Document Retirement	Service Interface and Integration	Interoperability	Data Format / Classification	SQL 2005
Document Classification	Service Interface and Integration	Interoperability	Data Format / Classification	VSTO, BizTalk
Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	VSTO, XML
Categorization	Service Interface and Integration	Interoperability	Data Format / Classification	XML
Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	Adobe Professional; XML; BizTalk 2006
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	SharePoint 2007
Document Revisions	Service Interface and Integration	Interoperability	Data Transformation	SharePoint 2007 and SQL 2005
Loading and Archiving	Service Interface and Integration	Interoperability	Data Transformation	XML
Tagging and Aggregation	Service Interface and Integration	Interoperability	Data Types / Validation	BizTalk 2006
Conflict Resolution	Service Interface and Integration	Interoperability	Data Types / Validation	Visual Studio Tools for Office (VSTO)
Document Review and Approval	Service Interface and Integration	Interoperability	Data Types / Validation	VSTO
Classification	Service Interface and Integration	Interoperability	Data Types / Validation	VSTO
Smart Documents	Service Interface and Integration	Interoperability	Data Types / Validation	XML, SQL 2005
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	MS SQL
Document Library	Service Platform and Infrastructure	Database / Storage	Database	SAN
Ad Hoc	Service Platform and Infrastructure	Database / Storage	Database	SQL
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	SQL 2005
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	SQL 2005
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	SQL 2005
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	SQL 2005
Indexing	Service Platform and Infrastructure	Database / Storage	Database	SQL 2005; Autonomy K2
Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	SQL Reporting Services
Information Mapping / Taxonomy	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	SAN
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	SAN
Document Library	Service Platform and Infrastructure	Database / Storage	Storage	SQL 2005, SharePoint 2007
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Storage Network Area (SAN)
Query	Service Platform and Infrastructure	Delivery Servers	Application Servers	Autonomy K2, SQL 2005
Classification	Service Platform and	Delivery Servers	Application Servers	Autonomy K2, SQL 2005

Exhibit 300: Exhibit 300 - State Messaging and Archive Retrieval Toolset (SMART) (Revision 6)

<b>5. Technical Reference Model (TRM) Table:</b>				
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.				
<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
	Infrastructure			
Pattern Matching	Service Platform and Infrastructure	Delivery Servers	Application Servers	Autonomy K2, SQL 2005
Information Mapping / Taxonomy	Service Platform and Infrastructure	Delivery Servers	Application Servers	BizTalk 2006
Shared Calendaring	Service Platform and Infrastructure	Delivery Servers	Application Servers	Exchange Server
Task Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Exchange Server
Personalization	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007
Online Help	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007
Enterprise Application Integration	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007
Threaded Discussions	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007
Community Management	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007 and SQL Server
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007, Autonomy K2
Information Sharing	Service Platform and Infrastructure	Delivery Servers	Portal Servers	SharePoint 2007, Autonomy K2
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	VSTO
Issue Tracking	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Microsoft Team Foundation Server
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	VSTO

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? 5/16/2007
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? Yes
  - c. If "yes," describe any significant changes:

The SMART Risk Management Plan was completely re-written to reflect the new useful segments approach to the SMART solution.

The processes and tools for identifying and capturing the risk information has the SMART PM, DPM, and division management heavily involved in collecting, assessing, and managing SMART risks.

The outputs of the identification process are List of Risks; Risk Categories ensuring functional group awareness of risks; and accurate descriptions of the risk. The PMO performs basic qualitative risk analysis to assess the probability and impact of risk events to determine which risks may have the most impact on SMART. The SMART budget does not have a separate "set aside" for management reserve or contingencies. It is assumed that the risks not accounted for in the budget can be absorbed by the program. Per this plan, risks that can not be absorbed by the program are given the most severe impact ratings and receive the greatest management scrutiny. In the event such a risk is actually identified, the management team may have to exercise

significant creativity in implementing the contingency plan for the risk.

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:

The SMART Risk Management process identifies the impact of the risks on the Program schedule and budget. The Program reorganization and project planning activities to-date have focused on reducing or eliminating the risks relating to change management, network infrastructure, and data integrity and security.

Users typically resist change unless the benefits are clearly and immediately recognized. Nearly 500 business users have been involved in the early stages of the SMART design and testing. A proactive process of focus groups and iterative testing by representative samples of the State population will continue to be reflected in the schedule throughout the design and development process. Just-in-time computer based training will be offered as SMART is piloted and implemented, with user feedback carefully monitored to ensure that SMART is an asset to the Department's 46,000 prospective SMART users. The change management activities have been captured in the SMART cost estimate.

With increasing demands on the Department's network by a variety of applications in addition to SMART, bandwidth limitations and latency could fail to satisfy system availability expectations and adversely impact the user experience. The Enterprise Network Management office (ENM) remains an active participant in SMART design, development, and implementation and will continue its build-out of the Department's infrastructure. The architecture of SMART will be carefully designed to reduce the burden on the network and significant investments to enhance the performance of the network are included in the program budget.

The design risk for a complex global messaging system operating with command and control priority is that documents will be subject to security vulnerabilities, sensitivity compromises, or loss of classified or Privacy Act data. One of the hallmarks of the SMART program is security, represented by a Security Working Group and the professional judgment of Diplomatic Security (DS) and the Office of Information Assurance (IRM/IA). All SMART applications will be subject to the Department's internal processes to ensure adequate protection before implementation and dynamic auditing through the lifecycle of SMART. Information Assurance activities are built into the schedule from day one and funded by the program.