

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: 8/24/2007
2. Agency: Department of Transportation
3. Bureau: Federal Aviation Administration
4. Name of this Capital Asset: FAAXX610: Aviation Safety Knowledge Management (ASKME/AVS), incorporates: FAAXX196, FAAXX264, FAAXX471, FAAXX487
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 021-12-01-14-01-1290-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) Mixed Life Cycle
7. What was the first budget year this investment was submitted to OMB? FY2007
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 Aircraft Certification Service (AIR) is within the FAA's Office of Aviation Safety (AVS). AIR inspectors, engineers, test pilots, and other critical safety staff provide safety regulations, certification standards, and continuous safety oversight for all U.S. civil aviation products, manufacturers, designees, and delegated organizations.

The Aviation Safety Knowledge Management Environment (ASKME) program provides AIR's force of aviation safety professionals with a repository of critical safety technical information and data, as well as with a set of knowledge management and analysis tools for knowledge collection, dissemination and analysis. The ASKME environment includes a web-based knowledge management portal, collaboration, predictive safety data analysis, integrated data management and reporting, and AIR process execution tools.

ASKME contributes to DOT and FAA goals of Safety and Org Excellence by providing tools & technologies to support AIR's safety workforce. FAA goals align to the DOT goals of: Safety, Global Connectivity, and Organizational Excellence.
FAA Goal 1: Increased Safety; Strategy: Reduce commercial airline fatal accident rate; Strategy Detail: Limit the 3-year rolling average fatal accident rate below 0.010 per 100,000 departures.
FAA Goal 3: International Leadership; Strategy: Promote improved safety and regulatory oversight in cooperation with bilateral, regional, and multilateral aviation partners.
FAA Goal 4: Organizational Excellence; Strategy: Make decisions based on reliable data to improve our overall performance and customer satisfaction; Strategy Detail: By FY 2008, ensure that 90% of major system acquisition investments are on schedule and within 10% of annual budget and maintain through FY11.

ASKME obtained Final Investment Decision on June 20, 2007.
Baseline is bound by Useful Segments US1-US8, F1, O1, and PS1 (Seq B in Table IIC).
Future non-baselined activities in Seg C of IIC.

ASKME Activities BY09:
US1-Electronic Filing System - develop FY07, deploy FY08, evaluation FY09
US2-Work Tracking Software (RBRT), strt 10/07 finish 12/09 - develop FY08-09, deploy FY10, evaluation FY0
US3-Monitor Safety Related Data (MSAD), strt 01/08 finish 08/09 - develop FY08-09, deploy FY09, evaluation FY10
US4-Designee Management (DS/PP), strt 07/08 finish 01/10 - develop FY08-09, deploy FY10, evaluation FY10
US5-Assimilate Lessons Learned (ALL) - strt 3/9 finish 8/10 - develop FY09-10, deploy FY10, evaluation FY1
9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 6/20/2007
10. Did the Project Manager review this Exhibit? Yes
11. Contact information of Project Manager?

Name Hagen, Jennifer
Phone Number Redacted
Email jennifer.hagen@faa.gov
- a. What is the current FAC-P/PM certification level of the project/program manager? TBD
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? 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? No

If "yes," check all that apply:

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) Yes

a. If "yes," does this investment address a weakness found during a PART review? No

b. If "yes," what is the name of the PARTed program? AVS Operations Funding

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

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 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 FFMIA compliance area?

1. If "yes," which compliance area: NA

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

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

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

Hardware	0.000000
Software	85.000000
Services	15.000000
Other	0.000000

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? Yes

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

Name	Mauney, Carla
Phone Number	Redacted
Title	Privacy Officer
E-mail	carla.mauney@faa.gov

23. Are the records produced by this investment Yes

appropriately scheduled with the National Archives and Records Administration's approval?

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO No High Risk Areas?

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	1.331	0	0	0	Redacted	Redacted	Redacted	Redacted	Redacted
Acquisition:	1.923	4.6	4.1	7.9	Redacted	Redacted	Redacted	Redacted	Redacted
Subtotal Planning & Acquisition:	3.254	4.6	4.1	7.9	Redacted	Redacted	Redacted	Redacted	Redacted
Operations & Maintenance:	0	0	0	0.044	Redacted	Redacted	Redacted	Redacted	Redacted
TOTAL:	3.254	4.6	4.1	7.944	Redacted	Redacted	Redacted	Redacted	Redacted
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	1.866	0.462	1.01	1.146	Redacted	Redacted	Redacted	Redacted	Redacted
Number of FTE represented by Costs:	13	3	7	7	Redacted	Redacted	Redacted	Redacted	Redacted

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional No FTE's?

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:
Redacted

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

To mitigate the government-side risks of not using FFP contracts, ASKME will utilize CPIF contracts to optimize contractor schedule, cost, and technical performance. ASKME solution development DME contracts will be performance based. Each project includes phase-reviews prior to proceeding to the next development phase. The reviews include EA, EVM, and quality. The ASKME program- as required by AMS policy- will use a Program Office EVMS to manage all development, modernization, and enhancement work, including the work assigned to all government employees. The ASKME program will use EVM measurement and reporting for all work performed on all contract types and sizes. When EVM reporting is obtained from a contractor, the contractual required reports include a tailored Contract Performance Report (CPR) in accordance with their respective Data Item Descriptions (DID), specific program risks, and performance measurement metrics/reports.

Integrated Program Schedule (IPS) reporting also will be obtained consistent with AMS Earned Value Management policy and will be tailored and customized in accordance with their respective Data Item Descriptions (DID), the specific program risks, and performance measurement metrics/reports.

ASKME development, modernization, and enhancement contract awards less than \$10M will be managed using an EVMS following the optional policy guidelines outlined in the FAA AMS. Reporting will be tailored in accordance with their respective DIDs and the specific risks and requirements of the contract. A program-level IBR and a complete EVMS assessment will be performed by the FAA Focal Point to ensure planning is adequate. The Program-level EVMS will follow the guidelines of American National Standard ANSI/EIA-748, and a certification of the program's EVMS will be performed. ASKME is completed it planning phase in FY07; it will be Mixed Life Cycle in BY09. At the time of this submission, the ASKME program team is actively working with the FAA EVM focal point to implement ANSI 748 compliant EVM system for the program. The EVM Plan of Action & Milestones was updated in January 2007.

The primary ASKME program support contractor will be required to use an EVM system in accordance with AMS Section 4.16.2. The contractor's EVMS will be certified as meeting the guidelines of ANSI/EIA-748 and the contractor's EVM implementation will be validated by the Contracting Officer, assisted by the EVM Focal Point.

3. Do the contracts ensure Section 508 compliance? Yes
- a. Explain why: In accordance with FAA's Section 508 Procurement Operating Procedures, the ASKME program team has determined that the following Section 508 standards apply to the program: 1194.21, 1194.22, 1194.26, 1194.31, and 1194.41. All procurements will follow the process described in the FAA SOP to ensure 508 compliance for all ASKME-deployed tools and technologies.
4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes
- a. If "yes," what is the date? 6/20/2007
- b. If "no," will an acquisition plan be developed? Yes
1. If "no," briefly explain why: An acquisition plan has been prepared and is pending approval as part of the JRC final investment decision process. ASKME is in the final stages of the FAA Acquisition Management System final investment decision process. It is expected to obtain an FAA final baseline approval in FY07. The acquisition plan is one of the requirements for FAA AMS final investment decision approval.

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	Zero of 25 (AIR QMS) processes integrated - as of June 8, 2007.	For FY06 - performance requirement was to document AIR business processes and formalize into a Quality Management System. Future FY metrics are to increase the number of AIR business processes fully implemented in the ASKME environment.	25 AIR business processes documented in AVS Quality Management System. Processes have been documented and validated via ISO 9000 registration, August 18, 2006. Zero have been implemented in ASKME. This is the baseline as of June 8, 2007.
2006	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to determine planned work.	12% of work to which RBRT is applied for planning work. ASKME will provide tools and technologies to enable expansion of RBRT for all ASI, ASE activities.	No Change planned. Implementation of RBRT prototype scheduled for 1st qtr FY08	12% baseline established for metric. Based on percentage of AIR full time equivalent doing oversight of production approval holders. (Users of CMIS which implements risk based resource targeting)
2006	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Metric is number of months to develop, prototype, and deploy training for AIR safety employees.	12-18 Months cycle time.	Reduce number of months for training development cycle. Aviation Safety Knowledge Mgmt Environment (ASKME) will provide tools and technologies to reduce training development time, enable prototyping, and reduce overall time to deploy training.	No change for FY06 goal - Metric based on planned tools & technologies to be provided by ASKME. Results expected with implementation of RBRT and MSAD in FY09. New training approach to be implemented in conjunction with ASKME solutions.
2006	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	Currently the AIR Regulatory Guidance Library provides access to 14 safety document types - FAR, SFAR, NPRMs, Final Rules, Make/Model Info, TC Data sheets, STCs, ADs, ACs, Orders & Notices, TSOs, Speci Conditions, Exemptions, Equiv Levels of Safety	Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety employees, designees, and industry.	FY06 Baseline established for this metric with RGL. EFS global component prototype tested and accepted by AIR user group. EFS implementation 3d qtr FY08 enables this goal in future years.
2007	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	Zero of 25 (AIR QMS) processes integrated - as of June 8, 2007.	Add 1 process into ASKME environment. For FY07 Planned improvement was implementation of EFS into ASKME environment. Delay of ASKME baseline	0 (zero) new processes implemented. Original results expected 3d qtr of FY07. Risk Based Resource Targeting will be prototyping 1st qtr FY08. Production-level system targeted for 1st Qtr FY09.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					Environment.		decision, delayed implementation from FY07 to FY08	Additional processes will leverage EFS, deploying FY08.
2007	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to determine planned work.	12% of work to which RBRT is applied for planning work. ASKME will provide tools and technologies to enable expansion of RBRT for all ASI, ASE activities.	No Change planned. Implementation of RBRT prototype scheduled for 1st qtr FY08	Percentage unchanged. No RBRT deployment in FY07 - prototype development work scheduled to complete by end of FY07.
2007	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Metric is number of months to develop, prototype, and deploy training for AIR safety employees.	12-18 Months cycle time.	Reduce number of months for training development cycle to 10-14 months. ASKME will provide tools and technologies to reduce training development time, enable prototyping, and reduce overall time to deploy training.	Results expected by end of FY07. Results expected with implementation of RBRT and MSAD in FY09. New training approach to be implemented in conjunction with ASKME solutions.
2007	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	14 doc types. AIR Regulatory Guidance Library - see FY2006.	Add accessibility for 2 safety doc types. Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety employees, designees, and industry.	1 doc type added. SAIBs added to RGL 3d qtr FY07; EFS not deployed in FY07 due to delay in ASKME baseline. Memos & Letters will be available 3d qtr FY08 with implementation of EFS.
2007	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	0% - The ASKME environment has no functionality and is not yet contributing to the strategic goals.	There are no improvements expected in FY07. Work will proceed on developing the ASKME environment, but no finished functionality will be deployed in FY07	None, baseline year for this metric - baseline established. This metric will be reported in the 4th qtr ASKME Operational Analysis each FY.
2008	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	Zero of 25 (AIR QMS) processes integrated - as of June 8, 2007.	Add 2 processes into ASKME environment. For FY08 planned improvement is implementation of EFS & RBRT prototype into ASKME environment. EFS projected to contribute 3% of ASKME Safety Benefits; RBRT 10%.	EFS planned for 3d qtr of FY08. RBRT (Risk Based Resource Targeting) prototyping planned for 1st qtr FY08. Production-level system targeted for 1st Qtr FY09. Future process automation efforts will leverage EFS.
2008	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to	12% of work to which RBRT is applied for planning work. ASKME will provide tools	Increase by 19% amount of work to which RBRT is applied for planning. Implementation	Results expected by mid FY08.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					determine planned work.	and technologies to enable expansion of RBRT for all ASI, ASE activities.	of RBRT prototype scheduled for 1st qtr FY08.	
2008	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Metric is number of months to develop, prototype, and deploy training for AIR safety employees.	10-14 months cycle time.	Reduce number of months for training development cycle to 8-12 months. ASKME will provide tools and technologies to reduce training development time, enable prototyping, and reduce overall time to deploy training.	Results expected by end of FY08.
2008	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	15 doc types. Original AIR Regulatory Guidance Library plus doc types added in FY07 (SAIBs).	Add accessibility for 2 safety doc types. Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety employees, designees, and industry.	Results expected in 3d qtr FY08 - Deployment of EFS with Letters and Memos
2008	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	0% - Although development occurred in FY07, no finished functionality was deployed in FY07.	Increase by 10% the total functionality expected to produce full contribution to the strategic goals.	Results by end of FY08 with report of completed ASKME product deployments in 4th qtr Operational Analysis.
2009	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	2 of 25 (AIR QMS) processes integrated into ASKME environment.	Add 1 process into ASKME environment. For FY09 planned improvement is implementation of MSRD-Monitor Safety & Analyze Data (MSAD) into ASKME environment. MSRD projected to contribute 15% of ASKME Safety benefits.	MSAD planned for 4th qtr FY09.
2009	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to determine planned work.	31% of work to which RBRT is applied for planning work. ASKME will provide tools and technologies to enable expansion of RBRT for all ASI, ASE activities.	No change expected. RBRT prototype still in place - full production of RBRT planned for early FY10.	No Change expected in FY09
2009	Organizational Excellence	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Metric is number of months to develop, prototype, and deploy training for AIR safety	8-12 months cycle time.	Reduce number of months for training development cycle to 6-9 months. ASKME	Results expected by end of FY09.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					employees.		will provide tools and technologies to reduce training development time, enable prototyping, and reduce overall time to deploy training.	
2009	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	FY08 Baseline for this measure plus doc types added in FY08.	Add accessibility for 1 safety doc types. Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety employees, designees, and industry.	Results expected in 4th quarter of FY09 Operational Analysis report (MSAD reports storage)
2009	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	10% - Based on deployments in previous Fiscal Years.	Increase by 10% the total functionality expected to produce full contribution to the strategic goals.	Results by end of FY09 with report of completed ASKME product deployments in 4th qtr Operational Analysis.
2010	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	3 of 25 (AIR QMS) processes integrated into ASKME environment.	Add 3 processes into ASKME environment. For FY10 planned improvement is implementation of WTS-RBRT, DS/PP, and ALL into ASKME environment. ALL (Assimilate Lessons Learned) is projected to contribute 31% of ASKME safety benefits.	WTS-RBRT planned for 1st qtr FY10; DS/PP planned for 3d qtr FY10; & ALL planned for 4th qtr FY10.
2010	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to determine planned work.	31% of work to which RBRT is applied for planning work. ASKME will provide tools and technologies to enable expansion of RBRT for all ASI, ASE activities.	Increase by 26% amount of AIR work planned based on RBRT. Full production of RBRT planned for early FY10.	Results expected by mid FY10.
2010	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	FY09 Baseline for this measure plus doc types added in FY09.	Add accessibility for 3 safety doc types. Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety	Results expected in 4th quarter of FY10 Operational Analysis report (Designee supervision documentation, Lessons Learned, historical project files)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
							employees, designees, and industry.	
2010	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	20% - Based on deployments in previous Fiscal Years.	Increase by 25% the total functionality expected to produce full contribution to the strategic goals.	Results by end of FY10 with report of completed ASKME product deployments in 4th qtr Operational Analysis.
2011	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.	6 of 25 (AIR QMS) processes integrated into ASKME environment.	Add 2 processes into ASKME environment. For FY11 planned improvement is implementation of MSRD Oversee System Performance (internal and external) into ASKME environment. MSRD is projected to contribute 15% of ASKME safety benefits.	MSRD-OSPI is planned for 3d qtr FY11 and MSRD-OSPe is planned for 4th qtr FY11.
2011	Organizational Excellence	Mission and Business Results	Planning and Resource Allocation	Workforce Planning	Percentage of AIR work to which Risk Based Resource Targeting is applied to determine planned work.	57% of work to which RBRT is applied for planning work. ASKME will provide tools and technologies to enable expansion of RBRT for all ASI, ASE activities.	Increase by 14% amount of AIR work planned based on RBRT. AIR Safety Management will define RBRT criteria/rules for Rulemaking.	Results expected by end of FY11. This gets AIR to approximately 70% of safety work being planned using risk based resource targeting.
2011	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	FY10 Baseline for this measure plus doc types added in FY10.	Add accessibility for 1 safety doc types. Tools and technologies implemented in the Aviation Safety Knowledge Mgmt Environment (ASKME) will expand the number of safety document types readily available to FAA safety employees, designees, and industry.	Results expected in 4th quarter of FY11 Operational Analysis report (Safety Process oversight documentation, both internal and external; continued loading of historical project files)
2011	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	45% - Based on deployments in previous Fiscal Years.	Increase by 10% the total functionality expected to produce full contribution to the strategic goals.	Results by end of FY11 with report of completed ASKME product deployments in 4th qtr Operational Analysis.
2012	Organizational Excellence	Customer Results	Service Accessibility	Integration	Number of AIR business processes (based on AVS Quality Mgmt System documented processes) integrated into	8 of 25 (AIR QMS) processes integrated into ASKME environment.	No new processes into ASKME environment. ASKME design & development activity will continue with work on WTS	No results expected in this category FY12

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					AVS enterprise architecture and Aviation Safety Knowledge Mgmt Environment.		Work Activity Tracking, EDA, and DTE.	
2012	Safety	Technology	Efficiency	Accessibility	Number of Safety Document types electronically available in the AIR Knowledge Mgmt Environment.	FY11 Baseline for this measure plus doc types added in FY11.	Complete accessibility for historical safety doc types.	Results expected in 4th quarter of FY11 Operational Analysis report (Safety Process oversight documentation, both internal and external; continued loading of historical project files)
2012	Organizational Excellence	Technology	Quality	Functionality	The amount of functionality included into the ASKME environment as a percentage of the total functionality identified as necessary to meet the full ASKME benefits.	55% - Based on deployments in previous Fiscal Years.	Increase by 0% the total functionality expected to produce full contribution to the strategic goals. Although development activity will continue FY12, no new functionality will be ready to deploy until FY13.	Results by end of FY12 with report of completed ASKME product deployments in 4th qtr Operational Analysis.

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

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:
 - a. If "yes," provide the "Percentage IT Security" for the budget year: 2.00
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Redacted			

4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
Redacted							

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

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

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

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

Redacted

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

Redacted

8. Planning & Operational Systems - Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
00 - ASKME - Aviation Safety Knowledge Management Environment - end result of implementation and integration of all ASKME projects into AVS automation environment	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
01a - Electronic Files System Services (EFS-I) ASKME is in the planning phase at the time of this submission. At the time of this submission, no elements of ASKME are operational. EFS Services (EFS-I) and EFS user application (EFS-A), will become operational in BY08 and complete a C&A and be granted Full Authority to Operate prior to becoming operational.	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
01b - Electronic File System - Application (EFS-A)	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
02 - Monitor Safety Related Data - Monitor Safety & Analyze Data (MSRD-MSAD)	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
03 - Work Tracking Software - Risk Based Resource Targeting (WTS-RBRT)	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
04 - Designee	Yes	Yes	http://www.dot.gov/pia.html#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm

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
Supervision / Past Performance (DS/PP)			tml#FAA		cy/privacyactnotices/faa.htm
05 - Assimilate Lessons Learned (ALL)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
06 - Monitor Safety Related Data: Oversee Safety Process Internal (MSRD-OSPI)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
07 - Monitor Safety Related Data: Oversee Safety Process External (MSRD-OSPe)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
08 - Work Tracking Software: Work Activity Tracking (WTS-WAT)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
09 - Engineering Design Approval (EDA)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
10 - DDS Technical Evaluations (DTE)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
11 - Work Tracking Software: Budget Management (WTS-BMgmt)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
12 - Standard Airworthiness Certification (StdAC)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
13 - Airworthiness Directives Development (ADD)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
14 - Special Airworthiness Certification (SpclAC)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
15 - Special Flight Authorizations (SFA)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
16 - Compliance and Enforcement Actions (CEA)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
17 - Certification of Imported/Exported Products (CI/EP)	Yes	Yes	http://www.dot.gov/pia.htm#FAA	Yes	http://www.dot.gov/privacy/privacyactnotices/faa.htm
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. Aviation Safety Knowledge Management Environment (ASKME) is not an FAA NAS system. ASKME is covered in the current version of the DOT Transition Strategy.

b. If "no," please explain why?

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? Yes

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

4. Service Component Reference Model (SRM) Table:
 Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Asset Cataloging / Identification	Support the transfer of knowledge to the end customer.	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	23
Mathematical	Support the formulation and mathematical analysis of probabilistic models for random phenomena and the development and investigation of methods and principles for statistical inference.	Business Analytical Services	Analysis and Statistics	Mathematical			No Reuse	17
Document Imaging and OCR	Support the scanning of documents.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	18
Library / Storage	Support document and data warehousing and archiving.	Digital Asset Services	Document Management	Library / Storage			No Reuse	0
Case Management	Manage the life cycle 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	36
Process Tracking	Allow the monitoring of activities within the business cycle.	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	6

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)
Mathematical	Component Framework	Data Interchange	Data Exchange	Redacted
Asset Cataloging / Identification	Component Framework	Data Interchange	Data Exchange	Redacted
Mathematical	Component Framework	Data Management	Database Connectivity	Redacted
Asset Cataloging / Identification	Component Framework	Data Management	Database Connectivity	Redacted
Mathematical	Component Framework	Data Management	Reporting and Analysis	Redacted
Asset Cataloging / Identification	Component Framework	Data Management	Reporting and Analysis	Redacted
Document Imaging and OCR	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Mathematical	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Library / Storage	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Process Tracking	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Case Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Document Imaging and OCR	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Redacted
Library / Storage	Service Access and Delivery	Access Channels	Other Electronic Channels	Redacted
Process Tracking	Service Access and Delivery	Access Channels	Web Browser	Redacted
Case Management	Service Access and Delivery	Access Channels	Web Browser	Redacted
Document Imaging and OCR	Service Access and Delivery	Access Channels	Web Browser	Redacted
Process Tracking	Service Access and Delivery	Delivery Channels	Internet	Redacted
Case Management	Service Access and Delivery	Delivery Channels	Internet	Redacted
Process Tracking	Service Access and Delivery	Delivery Channels	Intranet	Redacted
Case Management	Service Access and Delivery	Delivery Channels	Intranet	Redacted
Document Imaging and OCR	Service Access and Delivery	Delivery Channels	Intranet	Redacted
Process Tracking	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Redacted
Document Imaging and OCR	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Redacted
Case Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Redacted
Process Tracking	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Redacted
Case Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Redacted
Process Tracking	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Case Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Process Tracking	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Case Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Redacted
Process Tracking	Service Access and Delivery	Service Transport	Service Transport	Redacted
Case Management	Service Access and Delivery	Service Transport	Service Transport	Redacted
Document Imaging and OCR	Service Access and Delivery	Service Transport	Service Transport	Redacted
Library / Storage	Service Access and Delivery	Service Transport	Service Transport	Redacted
Asset Cataloging / Identification	Service Access and Delivery	Service Transport	Service Transport	Redacted
Mathematical	Service Access and Delivery	Service Transport	Service Transport	Redacted
Asset Cataloging / Identification	Service Interface and Integration	Integration	Middleware	Redacted
Mathematical	Service Interface and Integration	Integration	Middleware	Redacted
Document Imaging and OCR	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Redacted
Document Imaging and OCR	Service Platform and Infrastructure	Database / Storage	Storage	Redacted
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Redacted
Process Tracking	Service Platform and Infrastructure	Delivery Servers	Application Servers	Redacted
Case Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Redacted
Process Tracking	Service Platform and Infrastructure	Delivery Servers	Web Servers	Redacted
Case Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Redacted
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Redacted

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

Exhibit 300: FAAXX610: Aviation Safety Knowledge Management (ASKME/AVS), incorporates: FAAXX196, FAAXX264, FAAXX471, FAAXX487 Redacted 2-1-25-2008

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? No

a. If "yes," please describe.

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

Section A: Alternatives Analysis (All Capital Assets)

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes
 - a. If "yes," provide the date the analysis was completed? 5/9/2007
 - b. If "no," what is the anticipated date this analysis will be completed?
 - c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results:			* Costs in millions
Use the results of your alternatives analysis to complete the following table:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Redacted			

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

Redacted

4. What specific qualitative benefits will be realized?

Redacted

5. Will the selected alternative replace a legacy system in-part or in-whole? Yes

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

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

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement
Certificate Management Information System (CMIS) -- Functionality subsumed by DTE (Useful Segment 8)		9/30/2013
Integrated Planning and Budgeting System (IPBS) - subsumed by WTS-BMgmt (Useful Segment 9)		9/30/2014

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? 5/8/2007
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
 - c. If "yes," describe any significant changes:

The ASKME Risk Management Plan has not changed significantly because the start of activities was delayed while obtaining FAA baseline approval but the information in the risk register is constantly monitored and updated. Program Office has a Risk Management Plan, with an established Risk Register, which lists all of the identified risks for the program. The plan includes quarterly meetings where all risk owners meet to review and update the Risk Register. Efforts in the FAA Acquisition

Management System included updates to the Risk Management Plan and Risk Register prior to the final investment decision approval, obtained in June 2007. Risk Management activities for ASKME initiatives will continue to be constantly monitored after the final decision and result in regular updates to the Risk Management Plan (at least annual) and associated Risk Register. There are no IG or security concerns currently being mitigated.

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 ASKME cost estimate reflects risk adjusted cost and schedule estimates for the program. Risk adjusted estimates were developed using traditional cost estimating methods for software development (bottoms-up based on technical baseline in conjunction with Monte Carlo Simulation software). During the estimation process, the low, most likely and high ranges for selected cost drivers and/or WBS elements were determined by ASKME cost team discussions and SME opinion. Risk elements were identified at the sub-function and program level. The majority of our risk is present in the software development phase. The risks were identified and accounted for during software sizing methodology. Approximately 16% (\$20.1M) was added to the program for risk. Risk dollars were primarily allocated to WBS 3.3.2 for solution development and transition.

For program execution, whenever a control account experiences a 10% or greater variance, the control account manager will prepare a variance analysis report and that control account will be analyzed and tracked to completion.

To counter these potential risks, the ASKME program team has planned several approaches:

1) Award a consolidated systems requirements/IVV contract to leverage the synergy between all of the solution development projects.

2) Generate detailed System Specifications to clearly define the requirements prior to issuing the CPIF contracts.

Cost/schedule/technical risks are mitigated by including mature system specifications in the respective RFP for development.

3) Award separate, relatively short-duration CPIF contracts for developing ASKME solutions. This provides for the negotiation at the outset of each development effort for target cost, a target fee, a minimum and maximum fee, and a fee adjustment formula.

3) In addition to cost and technical evaluation for each development contract, place emphasis on schedule planning and performance. Contracts will incorporate schedule based incentive clauses to motivate the contractor.

Cost and schedule reserves for the program are built into each Control Account and are tracked as part of the program's monthly and quarterly reporting process. In addition, the program's acquisition strategy (using cost, schedule, and technical performance incentives) promotes the program's risk management planning and management of its cost and schedule reserves.

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748? No

2. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100) No

- a. If "yes," was it the CV or SV or both?
- b. If "yes," explain the causes of the variance:
- c. If "yes," describe the corrective actions:

3. Has the investment re-baselined during the past fiscal year? No

a. If "yes," when was it approved by the agency head?

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
Redacted										