

## **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: 7/31/2007
2. Agency: Department of Transportation
3. Bureau: Federal Aviation Administration
4. Name of this Capital Asset: FAAXX713 - NAS Voice Switch (NVS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 021-12-01-14-01-4210-00
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.) Planning
7. What was the first budget year this investment was submitted to OMB? FY2009
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:

Future air traffic operations as envisioned by the Next Generation (NextGen) Air Transportation System will require a new flexible networkable voice communications system.

The NAS Voice Switch (NVS) is a key enabling program for the NextGen System. The FAA conducted a study of voice switching which concluded the current switch bases are old with looming supportability problems. Seventeen different switches are used in the National Airspace System and many are already experiencing severe obsolescence issues. Technical refresh can sustain the Enroute VSCS for the near term but a new switch program should be started soon. A new small switch program for TRACON and Tower applications should be started immediately. The NextGen minimum for operating in controlled airspace is a voice capability which supplements data communications for tactical situations and emergencies. One of the key transformations is that air-ground voice communications are no longer limited by the assigned frequency-to-airspace sector mapping. This allows greater flexibility for developing and using airspace/traffic assignments in all airspace. NextGen communication paths, including both voice and data, will be controlled by an intelligent network. Current voice switches are not network enabled and could not be modified for installation in new facilities resulting from NEXTGEN. The NVS is currently in a planning phase. An FAA Executive Council (EC), sub-board to the Joint Resource Council (JRC); Investment Analysis Readiness Decision took place in August 2007, which will be followed by a JRC initial investment decision in FY2009 and a final investment (baseline) decision in FY 2010. The planning phase is the core of the capital programming process; this Exhibit comprises a plan to execute the process properly. Hence, cost, schedule, and performance data contained in this exhibit 300, is related specifically to planning phase activities.
9. Did the Agency's Executive/Investment Committee approve this request? No
  - a. If "yes," what was the date of this approval?
10. Did the Project Manager review this Exhibit? Yes
11. Contact information of Project Manager?

Name Syptak, Bill

Phone Number Redacted

Email william.syptak@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? No
  - a. Will this investment include electronic assets (including computers)? Yes
  - b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No
    1. If "yes," is an ESPC or UESC being used to help fund this investment?
    2. If "yes," will this investment meet sustainable design principles?
    3. If "yes," is it designed to be 30% more energy

efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? 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](http://www.whitehouse.gov/omb/part).) No

a. If "yes," does this investment address a weakness found during a PART review?

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

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

15. Is this investment for information technology? Yes

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 3

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? No

a. If "yes," does this investment address a FFMIA compliance area?

1. If "yes," which compliance area:

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

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

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

Hardware	0.000000
Software	0.000000
Services	100.000000
Other	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? No

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 appropriately scheduled with the National Archives and Records Administration's approval? No

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? Yes

## **Section B: Summary of Spending (All Capital Assets)**

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full

Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0	0.5	3	8	Redacted	Redacted	Redacted	Redacted	Redacted
Acquisition:	0	0	0	2	Redacted	Redacted	Redacted	Redacted	Redacted
Subtotal Planning & Acquisition:	0	0.5	3	10	Redacted	Redacted	Redacted	Redacted	Redacted
Operations & Maintenance:	0	0	0	0	Redacted	Redacted	Redacted	Redacted	Redacted
TOTAL:	0	0.5	3	10	Redacted	Redacted	Redacted	Redacted	Redacted
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	0	0.545	0.842	0.867	Redacted	Redacted	Redacted	Redacted	Redacted
Number of FTE represented by Costs:	0	4	6	6	Redacted	Redacted	Redacted	Redacted	Redacted

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

2. Will this project require the agency to hire additional FTE's? Yes

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

NVS is in the planning phase and the number of Government FTE's that may need to be hired has yet to be determined. Upon a determination of whether to hire more Government FTE's or contract employees this exhibit will be updated.

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:

The Acquisition Strategy table only includes support contracts related to the baseline planning effort, leveraging existing contract vehicles. NVS is still in the planning phase and is using a FAA awarded T&M services contracts via Task Orders. Earned Value is not required on T&M contracts. Upon the award of the DME contract, EVM will be required of the contractor in accordance with FAA policies. Under the current support contracts, weekly and monthly reports including financial data are required. A twice yearly performance review is held with the contractor to ensure the quality of performed work is meeting the government's requirements. The planned award date for the NVS contract is 2/15/2010. EVM Planning will be a part of the Acquisition Strategy.

NVS is currently working through the CRD Phase into the Investment Analysis Phase of the program. In this phase of the program, all contracts are for support contractors on FAA-wide T&M contracts to work on development of the AMS driven Investment Analysis products. Upon completion of the Investment Analysis and Final Investment Decision, a FFP or CPFF contract will be award with appropriate EVM requirements.

3. Do the contracts ensure Section 508 compliance? No

a. Explain why:

The sole end-users of this equipment are air traffic controllers working in a restricted and secure area of an air traffic facility. Therefore, the general exception, at 1194.3(e) applies to this equipment. The exception states "this part shall not be construed to require a fundamental alteration in the nature of a product or its components."

4. Is there an acquisition plan which has been approved in accordance with agency requirements? No

a. If "yes," what is the date?

b. If "no," will an acquisition plan be developed? Yes

1. If "no," briefly explain why:

NVS is still in the early planning phase working toward an Investment Analysis Readiness Decision. An acquisition plan is required to be developed during the Investment Analysis Phase and will be developed according to the AMS.

**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
2007	Mobility	Customer Results	Service Accessibility	Availability	Annual Voice Switch availability at NVS sites	TBD - Baseline determination has begun for investment analysis readiness decision	TBD - Increase in Voice Switch availability percentage. Improvement goal identified for readiness decision. Target value being determined	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Customer Results	Service Coverage	Service Efficiency	Voice Switch related delay and disruption costs in non-ideal conditions	TBD - Baseline determination has begun for investment analysis readiness	TBD - Reduction in annual Voice Switch O&M costs. Improvement goals identified	TBD - Improvement goals identified readiness decision Actual improvements

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
						decision	for readiness decision	will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Mission and Business Results	Transportation	Air Transportation	Number of flight delays per year during service interruptions	TBD - Baseline determination has begun for investment analysis readiness decision	TBD – Reduction in delays due to NVS service interruptions Improvement goals identified for readiness decision	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Mission and Business Results	Transportation	Air Transportation	Annual Voice Switch Operations and Maintenance Costs	TBD - Baseline determination has begun for investment analysis readiness decision	TBD – Reduction in annual Voice Switch O&M costs. Improvement goals identified for readiness decision	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Processes and Activities	Cycle Time and Resource Time	Timeliness	Time needed to reconfigure voice communications for unexpected conditions	TBD - Baseline determination has begun for investment analysis readiness decision	TBD - Reduction in the time needed to reconfigure voice communications for unexpected conditions– Improvement goal identified for readiness decision. Target being determined.	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Processes and Activities	Productivity and Efficiency	Productivity	Number of unique configurations to be maintained	TBD - Baseline determination has begun for investment analysis readiness decision	TBD – Reduction in the number of unique configurations	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Technology	Quality	Functionality	Number of network capable switches fielded	TBD - Baseline determination has begun for investment analysis readiness decision	TBD – Increase in the number of network capable switches	TBD - Improvement goals identified readiness decision Actual improvements will not start and results will not be available until FY15 - after NVS implementation and transition to NextGen
2007	Mobility	Technology	Reliability and Availability	Reliability	Number of component failures per year	TBD - Baseline determination has begun for investment analysis readiness decision	TBD – Reduction in Number of component failures Improvement goal identified for readiness	TBD - Actual performance improvements will not start until the end of FY2014. Results will not be

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
							decision. Target value being determined	available until FY2015 following NVS implementation and transition to NextGen
2008	Mobility	Customer Results	Service Accessibility	Availability	Annual Voice Switch availability at NVS sites	TBD - Definition of alternatives and EA products used to update Baseline information	TBD – Increase in Voice Switch availability percentage. Definition of alternatives and EA products used to update Improvement goals information	TBD - Alternatives will be defined and described in EA products – facilitating updates to baseline and goal information. Actual improvements will start and results will be available in FY15
2008	Mobility	Customer Results	Service Coverage	Service Efficiency	Voice Switch related delay and disruption costs in non-ideal conditions	TBD - Definition of alternatives and EA products used to update Baseline information	TBD – Reduction in delay VS related delay and destruction costs.	TBD - Alternatives will be defined and described in EA products – facilitating updates to baseline and goal information. Actual improvements will start and results will be available in FY15
2008	Mobility	Mission and Business Results	Transportation	Air Transportation	Number of flight delays per year during service interruptions	TBD - Definition of alternatives and EA products used to update Baseline information	TBD – Reduction in delays due to NVS service interruptions	TBD - Alternatives will be defined and described in EA products – facilitating updates to baseline and goal information. Actual improvements will start and results will be available in FY15
2008	Mobility	Mission and Business Results	Transportation	Air Transportation	Annual Voice Switch Operations and Maintenance Costs	TBD - Definition of alternatives and EA products used to update Baseline information	TBD – Reduction in annual Voice Switch O&M costs. Definition of alternatives and EA products used to update Improvement goals information	TBD - Alternatives will be defined and described in EA products – facilitating updates to baseline and goal information. Actual improvements will start and results will be available in FY15
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2009	Mobility	Customer Results	Service Accessibility	Availability	Annual Voice Switch availability at NVS sites	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Increase in Voice Switch availability percentage. Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY1
2009	Mobility	Customer Results	Service Coverage	Service Efficiency	Voice Switch related delay and disruption costs in non-ideal conditions	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Reduction in delay VS related delay and destruction costs.	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15
2009	Mobility	Mission and Business Results	Transportation	Air Transportation	Number of flight delays per year during service interruptions	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Reduction in delays due to NVS service interruptions Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15
2009	Mobility	Mission and Business Results	Transportation	Air Transportation	Annual Voice Switch Operations and Maintenance Costs	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Reduction in annual Voice Switch O&M costs. Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15



Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	Mobility	Processes and Activities	Cycle Time and Resource Time	Timeliness	Time needed to reconfigure voice communications for unexpected conditions	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD - Reduction in the time needed to reconfigure voice communications for unexpected conditions— Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15
2009	Mobility	Processes and Activities	Productivity and Efficiency	Productivity	Number of unique configurations to be maintained	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Reduction in the number of unique configurations Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15
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2009	Mobility	Technology	Reliability and Availability	Reliability	Number of component failures per year	TBD - Baseline information will be updated to reflect Alternatives and risk analyses results	TBD – Reduction in Number of component failures Improvement goals information updated to reflect alternatives and risk analysis results	TBD - Alternative and risk analyses completed and results are used to update baseline and goal information. Actual improvements will start and results will be available in FY15
2010	Mobility	Customer Results	Service Accessibility	Availability	Annual Voice Switch availability at NVS sites	TBD - Baseline estimate will be finalized to reflect final investment and baseline decision	TBD – Increase in Voice Switch availability percentage. Target value will be finalized to reflect final investment and baseline decision	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Customer Results	Service Coverage	Service Efficiency	Voice Switch related delay and disruption costs in non-ideal conditions	TBD - Baseline estimate will be finalized to reflect final investment and baseline decision	TBD – Reduction in delay VS related delay and destruction costs.	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Mission and Business Results	Transportation	Air Transportation	Number of flight delays per year during service	TBD - Baseline estimate will be finalized to	TBD – Reduction in delays due to NVS service	TBD - Investment analysis will be

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					interruptions	reflect final investment and baseline decision	interruptions	completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Mission and Business Results	Transportation	Air Transportation	Annual Voice Switch Operations and Maintenance Costs	TBD - Baseline estimate will be finalized to reflect final investment and baseline decision	TBD – Reduction in annual Voice Switch O&M costs. Target value will be finalized to reflect final investment and baseline decision	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Processes and Activities	Cycle Time and Resource Time	Timeliness	Time to reconfigure voice communications for unexpected condition	TBD - Baseline estimate will be finalized to reflect final investment and baseline decision	TBD - Reduction in the time needed to reconfigure voice communications for unexpected conditions– Target value will be finalized to reflect final investment and baseline decision	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Processes and Activities	Productivity and Efficiency	Efficiency	Number of unique baselines configurations to be maintained	TBD – Baseline estimate will be finalized to reflect final investment and baseline decision	TBD – Reduction in the number of unique configurations– Target value will be finalized to reflect final investment and baseline decision	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
2010	Mobility	Technology	Quality	Functionality	Number of network capable switches fielded	TBD - Baseline estimate will be finalized to reflect final investment and baseline decision	TBD – Increase in the number of network capable switches	TBD - Investment analysis will be completed and final baseline decision made. Baseline and target values will be finalized. Actual improvements will start and results will be available in FY15
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**Section E: Security and Privacy (IT Capital Assets only)**

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

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

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

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

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

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: Yes

a. If "yes," provide the "Percentage IT Security" for the budget year: 0.05

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. Yes

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

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

**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
NAS Voice Switch	Yes	No	Because the system does not contain, process, or transmit personal identifying information.	No	Because the system is not a Privacy Act system of records.
<b>Details for Text Options:</b> 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. NVS is a new investment, and is a part of NextGen.

b. If "no," please explain why?

Investment is new and is a part of NextGen. Therefore, to effectively balance the development and management of the DOT Transition Strategy, the first version was scoped to include those investments with development activities (non- O&M). Additionally, as the NAS Architecture was publicly available, it was also not fully integrated with the materials forwarded to OMB in February 2006. However, the NAS is considered part of the DOT Transition Strategy and will be more fully integrated within the next revision. Future revisions are set to expand upon that scope and include both steady state (O&M) investments and expanded linkages to the NAS Architecture. Since this FAA investment does not appear to be mentioned specifically within the DOT Transition Strategy or the FAA Modernization Blueprint, please refer to the following public NAS websites which document the plan for the FAA's target architecture where the investment can be found as well as a sequencing plan showing the dependencies. FAA NAS Architecture [www.nas-architecture.faa.gov](http://www.nas-architecture.faa.gov); [www.nas-architecture.faa.gov/nas5/view\\_exec/communication.cfm](http://www.nas-architecture.faa.gov/nas5/view_exec/communication.cfm); [www.nas-architecture.faa.gov/nas5/mechanism/mech\\_data.cfm?mid=2253](http://www.nas-architecture.faa.gov/nas5/mechanism/mech_data.cfm?mid=2253); & NAS Operational Improvement Report, [www.nas-architecture.faa.gov/nas5/downloads/full\\_oi\\_long\\_report.pdf](http://www.nas-architecture.faa.gov/nas5/downloads/full_oi_long_report.pdf), p.1.

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 provided in the agency's most recent annual EA Assessment. Air Traffic; within the DOT Transition Strategy, see Appendix A, the Architecture Segment, in the section entitled, Transportation Management

**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)
Aircraft to Aircraft Separation Capability	Aircraft are separated from other known aircraft in the terminal, en route, and oceanic environments. Separation assurance involves the application of separation	Support Services	Communication	Audio Conferencing			No Reuse	0

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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)
	standards to ensure aircraft remain an appropriate minimum distance or altitude from other known aircraft. Standards are defined for aircraft based on aircraft type, size, equipment, and for operating in different environments. NAS: ATC Separation Assurance							
Traffic Advisory	Traffic advisories are provided to alert aircraft to potential conflicts with others, on the surface or in-flight. For example, traffic advisories are provided to aircraft or other flight objects that are in the proximity of hot air/gas balloons, missile launches, or other potential hazards. Traffic advisories for aircraft on the surface include the number, type, position, and intent of the ground traffic. NAS: ATC Advisory	Support Services	Communication	Audio Conferencing			No Reuse	0
Aircraft to Aircraft Separation Capability	Aircraft are separated from other known aircraft in the terminal, en route, and oceanic environments. Separation assurance involves the application of separation standards to ensure aircraft remain an appropriate minimum distance or altitude from other known aircraft. Standards are defined for aircraft based on aircraft type, size, equipment, and for operating in different environments. NAS: ATC Separation Assurance	Support Services	Communication	Computer / Telephony Integration			No Reuse	0

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 <a href="http://www.egov.gov">http://www.egov.gov</a> .								
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)
Traffic Advisory	Traffic advisories are provided to alert aircraft to potential conflicts with others, on the surface or in-flight. For example, traffic advisories are provided to aircraft or other flight objects that are in the proximity of hot air/gas balloons, missile launches, or other potential hazards. Traffic advisories for aircraft on the surface include the number, type, position, and intent of the ground traffic. NAS: ATC Advisory	Support Services	Communication	Computer / Telephony Integration			No Reuse	0
Aircraft to Aircraft Separation Capability	Route, and oceanic environments. Separation assurance involves the application of separation standards to ensure aircraft remain an appropriate minimum distance or altitude from other known aircraft. Standards are defined for aircraft based on aircraft type, size, equipment, and for operating in different environments. NAS: ATC Separation Assurance	Support Services	Communication	Voice Communications			No Reuse	0
Traffic Advisory	Conflicts with others, on the surface or in-flight. For example, traffic advisories are provided to aircraft or other flight objects that are in the proximity of hot air/gas balloons, missile launches, or other potential hazards. Traffic advisories for aircraft on the surface include the number, type, position, and intent of the ground traffic. NAS: ATC Advisory	Support Services	Communication	Voice Communications			No Reuse	0

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.				
<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>
Voice Communications	Service Access and Delivery	Access Channels	Collaboration / Communications	Redacted
Computer / Telephony Integration	Service Access and Delivery	Access Channels	Collaboration / Communications	Redacted
Audio Conferencing	Service Access and Delivery	Access Channels	Other Electronic Channels	Redacted
Audio Conferencing	Service Access and Delivery	Delivery Channels	Intranet	Redacted
Audio Conferencing	Service Interface and Integration	Interface	Service Description / Interface	Redacted
Audio Conferencing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Redacted
Audio Conferencing	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Redacted

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

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

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

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? No
  - a. If "yes," provide the date the analysis was completed?
  - b. If "no," what is the anticipated date this analysis will be completed? 1/15/2009
  - c. If no analysis is planned, please briefly explain why: N/A

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
ETVS	021-12-01-15-02-3180-00	6/15/2013
GSA 400		6/15/2010
GSA466		6/15/2010
ICSS Type 1		6/15/2013
ICSS Type 1A		6/15/2014
ICSS Type 2		6/15/2014
ICSS Type 3 (Denro)		6/15/2012
ICSS Type 3 (Litton)		6/15/2012
IVSR	021-12-01-15-02-3180-00	6/15/2017
RDVS 1 (Denro)	021-12-01-15-02-3180-00	6/15/2014
RDVS 1 (Litton)	021-12-01-15-02-3180-00	6/15/2014
RDVS 2 (Denro)	021-12-01-15-02-3180-00	6/15/2015
RDVS 2 (Litton)	021-12-01-15-02-3180-00	6/15/2015
RDVS 2A	021-12-01-15-02-3180-00	6/15/2015
STVS	021-12-01-15-02-3180-00	6/15/2017
VSCS	021-12-01-14-01-1060-00	6/15/2020

**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? No

a. If "yes," what is the date of the plan?

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

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

2. If there currently is no plan, will a plan be developed? Yes

a. If "yes," what is the planned completion date? 9/30/2009

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:

Life cycle costs in the ROM cost estimates for the Investment Analysis will be risk adjusted. Crystal Ball is being considered for use to adjust risk bands where applicable and to generate new risk adjusted ROM cost estimates to reflect differences between approaches. This risk information will be used in the final investment analysis process and costs and schedules will be adjusted accordingly. Potential risk areas will be reviewed periodically to ensure that they are still applicable, consistent, and complete.

### ***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										