

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: 4/10/2009
 2. Agency: Department of State
 3. Bureau: Irm/Ops Operations
 4. Name of this Capital Asset: Exhibit 300 - Joint DoS/USAID IT Infrastructure Integration Program
 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 014-00-02-00-01-1671-00

6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.) Full Acquisition

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Department of State (DoS) is not requesting funding for FY2010 in this Exhibit 300 due to OMB's pending Trusted Internet Connection (TIC) mandate guidance and the impact of this guidance on the local network to network external connections implemented at collocated Posts and Missions. In FY09, OMB agreed to permit USAID to seek its own path to TIC compliance. Additionally, there are currently no active joint IT activities identified by the Joint Management Council (JMC) as previous attempts to seek a joint network with USAID have been unsuccessful.

To fully align foreign policy and development assistance to support the President's National Security Strategy and Management Agenda, the DoS and USAID had begun integrating common management structures. This collaboration would help both organizations execute joint goals, such as providing employee support, increasing operational efficiencies, and reducing redundancies and costs for the taxpayer. The JMC IT Working Group, chaired by representatives of DoS and USAID, analyzed the advantages of and the challenges in integrating the agencies' Sensitive But Unclassified networks, AIDNet & OpenNet, to ensure a modernized, secure, TIC compliant, and high-quality IT infrastructure.

Working with the JMC and supporting the FY04-09 Joint Strategic Plan and FY07 Annual Performance Plan, a USAID and DoS Team developed an approach to explore an effective means to integrate the USAID and DoS IT infrastructures, policies, and organizations. DoS believes that full network integration, an extension of OpenNet across all foreign affairs agencies, including USAID, would provide numerous strategic benefits. These benefits include realizing economies of scale, supporting Transformational Diplomacy goals and building an integrated IT environment for the Foreign Affairs community.

However, due to the inability for DoS and USAID to agree on a joint approach, the JMC tasked the IT Working Group to deploy an IT infrastructure that supports shared services applications at collocated posts. To address this direction, the IT Working Group developed, in coordination with DS and IA representatives, local network-to-network external connections which enabled the sharing of local applications. In support of the local network-to-network external connection approach, we completed implementing 36 out of 38 target sites in FY09 with plans to complete the remaining two sites in September 2009.

9. Did the Agency's Executive/Investment Committee approve this request? Yes
 a. If "yes," what was the date of this approval? 7/14/2008
 10. Did the Project Manager review this Exhibit? Yes
 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
 a. Will this investment include electronic assets (including computers)? Yes
 b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No

1. If "yes," is an ESPC or UESC being used to help fund this investment?

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

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

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

If "yes," check all that apply:

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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?)

The Joint IT Infrastructure Integration supports the PMA by providing stable and adequate, yet flexible infrastructure; gaining economies of scale; and providing more central/regional coordination. Network integration provides several strategic benefits, including support of Transformational Diplomacy goals such as more robust remote access capabilities and servicing of American Presence Posts and the opportunity to build an integrated environment for the Foreign Affairs community.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) No

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

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. In addition to the answer in 11(a), 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 2008 agency high risk report (per OMB Memorandum M-05-23)

Yes

19. Is this a financial management system?

No

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

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

N/A

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

Yes

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if

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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 the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	Strengthening Consular and Management Capabilities	Customer Results	Service Quality	Accuracy of Service or Product Delivered	100% of pilots/proof of concept implementations accepted by posts	0%	100% acceptance of pilots/proof of concept implementations	As of April 1, 2009, there is 100% completion and acceptance of the Pilot; The Pilot implementation (Lima) was successful and accepted by Management in September, 2007.
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	100% of target sites will gain access to common applications (WebPass) from both State and AID desktops	0% of target sites gained access to shared applications (WebPass)	100% access (Direct access to shared applications)	As of April 1, 2009, 100% (32 of 32) of the FY2008 target sites have access to shared applications.
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Complaints	100% identification of technical, business, and governance issues through pilot/PoC lessons learned	0%	100% completion of lessons learned document	As of April 1, 2009, 100% of the lessons learned document is complete, capturing technical, business, and governance issues.
2008	Strengthening Consular and Management Capabilities	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Gather business requirements and provide recommendations and alternatives regarding future infrastructure integration	0% - Document not initiated	50% Completion - Collect business requirements and complete future direction, issues and recommendations document	As of April 1, 2009, 50% of this document has been developed.
2009	Strengthening Consular and Management Capabilities	Customer Results	Service Quality	Accuracy of Service or Product Delivered	100% of solution implementations accepted by Posts.	0%	100% of solution implementations accepted by Posts.	As of April 1, 2009, the solution implementation has been accepted by 100% of Posts.
2009	Strengthening Consular and Management Capabilities	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	4 additional collocated sites provided access to Interim Solution by April of 2009; With an additional 2 to be completed by the end of FY2009.	0%	4 collocated sites provided access to Interim Solution by April of 2009; With an additional 2 to be completed by the end of FY2009.	As of April 1, 2009, this performance measure is 66% complete. 4 additional collocated sites have been provided access to Interim Solution.
2009	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Complaints	80% of sites surveyed report enhanced productivity due to access to common applications	0%	Enhanced productivity reported at 80% of sites surveyed.	As of April 1, 2009, 0% of new sites have been surveyed. Site surveys have been cancelled since there are currently no active joint IT activities identified by the Joint Management Council (JMC).

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	Strengthening Consular and Management Capabilities	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	75% Completion - Gather business requirements and provide recommendations and alternatives regarding future infrastructure integration	50% completion of documentation	75% Completion - Collect business requirements and complete future direction, issues and recommendations document	As of April 1, 2009, 75% of this document has been developed.
2009	Strengthening Consular and Management Capabilities	Technology	Effectiveness	User Satisfaction	100% of sites converted to identified solution gain direct access to common applications.	0% (direct access)	100% of converted posts have direct (high performing) access to common applications.	As of April 1, 2009, 100% of sites converted to identified solution gain direct access to common applications.

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

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
OpenNet Transport GSS	No	No	It does not require a PIA because it does not maintain or transmit personal information about members of the public.	No	No, because the system is not a Privacy Act system of records.

Details for Text Options:
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture? No
 - a. If "no," please explain why?

 2. Is this investment included in the agency's EA Transition Strategy? Yes
 - a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. Joint DoS/USAID IT Infrastructure Integration Program
 - b. If "no," please explain why?
- No

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4. Service Component Reference Model (SRM) Table: Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Program and Project Management	Manage and control a particular effort of an organization.	Business Management Services	Management of Processes	Program / Project Management			No Reuse	
Network Management	Monitor and maintain a communications network in order to diagnose problems, gather statistics and provide general usage.	Business Management Services	Organizational Management	Network Management			No Reuse	
Computer/ Telephony Integration	Support the connectivity between server hardware, software and telecommunications equipment into a single logical system.	Support Services	Communication	Computer / Telephony Integration			No Reuse	
Issue Tracking	Receive and track user-reported issues and problems in using IT systems, including help desk calls.	Support Services	Systems Management	Issue Tracking			No Reuse	

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)
Computer / Telephony Integration	Service Access and Delivery	Delivery Channels	Intranet	
Network Management	Service Access and Delivery	Delivery Channels	Intranet	
Issue Tracking	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Program / Project Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	

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., USA.gov, Pay.Gov, etc)? Yes

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

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

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|-------------------------------------------------------------------------------------------------|-----------|
| 1. Does the investment have a Risk Management Plan? | Yes |
| a. If "yes," what is the date of the plan? | 1/12/2009 |
| b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? | Yes |