

**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:   | 1/7/2008                        |
| 2. Agency:   | Department of Commerce          |
| 3. Bureau:   | Bureau Of Industry And Security |
| 4. Name of this Capital Asset:   | BIS ECASS Modernization         |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)  | 006-30-01-25-01-5510-00         |
| 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                        |

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 Bureau of Industry and Security (BIS) Export Control Automated Support System (ECASS) Modernization project is essential to BIS's ability to administer the U.S. dual-use export control system so as to advance U.S. national security, foreign policy, and economic interests. critical to support the Department of Commerce Strategic Goal 1, to "provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers, and consumers, and the general Departmental goal/objective 1.2 "Advance responsible economic growth and trade while protecting American Security." The ECASS Modernization Initiative will apply information technology to revitalize core BIS mission-critical processes and improve Bureau productivity and service level. ECASS Modernization will build on the ECASS 2000+ (ECASS Redesign) project, a separate and distinct project currently underway to ensure continued support of existing BIS Business processes.

ECASS modernization is essential if BIS is to meet its projected increase in licensing work volume and complexity. Under current trends, each licensing officer is expected to be processing over 500 cases by 2011, an increase of over 25 percent above FY 2003 levels. As the license application volume and complexity continues to increase, BIS must make each licensing officer more productive through more efficient business processes and technology.

The ECASS Modernization Initiative consists of three parts: (1) new computer system modules to support re-engineered core Export Administration processes; (2) a commercial sub-system to manage export application related electronic and paper documents; and (3) an analytical data warehouse system to support export analysis.

In FY 2007, BIS launched the Initiation Phase of this initiative and completed a Project Management Plan, and two business process re-engineering proof-of-concept pilots. In FY 2008 and FY 2009 BIS will continue the planning phase to refine the re-engineering methodology and estimates. In FY 2010 BIS will initiate the Concept and Requirements Definition Phase; the key deliverable is a Concept of Operations which aligns the 200 BIS business processes to be re-engineered with business and performance goals, and system priorities. BIS will ramp up to full project resource level, and implement sub-systems to support new processes incrementally through FY 2014, based on BIS mission priorities.

- |   |                      |
|---|----------------------|
| 9. Did the Agency's Executive/Investment Committee approve this request?  | Yes                  |
| a. If "yes," what was the date of this approval?  | 6/10/2005            |
| 10. Did the Project Manager review this Exhibit?  | Yes                  |
| 11. Contact information of Project Manager?   |                      |
| Name  |                      |
| Phone Number  |                      |
| Email   | edonnell@bis.doc.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                  |

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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: Expanded E-Government

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?) This initiative directly supports the expanded electronic government by improving the security and ease of online export licensing and reducing the reporting burden on businesses. This project improves automation of internal processes to reduce costs and servicing times. All modules focus on enhanced data sharing within BIS and with other federal agencies which need to participate in export license approval or have an interest in export license data.

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).) Yes

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

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

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

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 FFIA 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

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

Name

Phone Number

Title

E-mail [jhurtado@bis.doc.gov](mailto:jhurtado@bis.doc.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 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	0.274	0.274	0.274					
Acquisition:	0	0	0	0					
Subtotal Planning & Acquisition:	0	0.274	0.274	0.274					
Operations & Maintenance:	0	0	0	0					
TOTAL:	0	0.274	0.274	0.274					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	0	0.0762	0.0806	0.0834					
Number of FTE represented by Costs:	0	1	1	1					

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? No

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:

**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.

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Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)

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:

Earned Value will not be required for the planning phase in FY 2007, FY 2008 and FY 2009. This initial level of effort system engineering support to the government is in planning the program and confirming scope, not development. The tasking is the equivalent of 1 person year for each fiscal year respectively; the overhead for separate contractor EVM from the project EVM would not be cost effective or in the best interest of the government.

In FY 2010, with the full ramp-up of the program and initiation of development, earned value will be a contract requirement of the contractor to which the contract is awarded.

3. Do the contracts ensure Section 508 compliance? N/A
- a. Explain why: No contracts have been awarded yet to support this project.
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:

**Section D: Performance Information (All Capital Assets)**

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

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

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	1.2 Advance responsible economic growth and trade while protecting American security.	Mission and Business Results	International Affairs and Commerce	Global Trade	Determine Export Administration (EA) and Export Enforcement (EE) new ECASS functional requirements.	Allow customer opportunity to visual possible solutions to new functional requirements.	Definition and prototype of new ECASS functional requirements.	In FY2007 the RUBRIC Prototype was designed and well received by the customer.
2007	1.2 Advance responsible economic growth and trade while protecting American security.	Processes and Activities	Financial (Processes and Activities)	Planning	Develop a project plan and approach that will allow BIS Export Administration to implement new ECASS functional requirements.	No project plan exists.	Develop project plan.	Project Plan developed.
2007	1.2 Advance responsible economic growth and trade while protecting American security.	Processes and Activities	Management and Innovation	Innovation and Improvement	Processes and Activities	Allow customer opportunity to visual possible solutions to new functional requirements.	Definition and prototype of new ECASS functional requirements.	In FY2007 the EA Performance Reporting Prototype was designed and well received by the customer.
2007	1.2 Advance responsible economic growth and trade while protecting American security.	Technology	Financial (Technology)	Overall Costs	Refine estimates.	Estimates to date.	Review and revise estimates as needed.	ECASS Modernization will stay in planning through FY2009. Planned start of development in FY2010.
2008	1.2 Advance responsible economic growth	Customer Results	Service Quality	Accuracy of Service or Product	Refine engineering methodology.	Approach defined in project plan.	Review and revise approach as needed.	Actual results will be reported in FY 2008

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	and trade while protecting American security.			Delivered				
2008	1.2 Advance responsible economic growth and trade while protecting American security.	Mission and Business Results	Information and Technology Management	System Development	Determine BIS new ECASS functional requirements.	Allow customer opportunity to visual possible solutions to new functional requirements.	AES Re-engineering Pilot - Part 1	Actual results will be reported in FY 2008
2008	1.2 Advance responsible economic growth and trade while protecting American security.	Processes and Activities	Management and Innovation	Innovation and Improvement	Determine BIS new ECASS functional requirements.	Allow customer opportunity to visual possible solutions to new functional requirements.	OTE Survey System Reengineering Pilot	Actual results will be reported in FY 2008
2008	1.2 Advance responsible economic growth and trade while protecting American security.	Technology	Financial (Technology)	Overall Costs	Refine estimates.	Estimates to date.	Review and revise estimates as needed.	Actual results will be reported in FY 2008
2009	1.2 Advance responsible economic growth and trade while protecting American security.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Refine engineering methodology.	Approach defined in project plan.	Review and revise approach as needed.	Actual results will be reported in FY 2009
2009	1.2 Advance responsible economic growth and trade while protecting American security.	Mission and Business Results	Information and Technology Management	System Development	Determine BIS new ECASS functional requirements.	Allow customer opportunity to visual possible solutions to new functional requirements.	AES Re-engineering Pilot - Part 1	Actual results will be reported in FY 2009
2009	1.2 Advance responsible economic growth and trade while protecting American security.	Processes and Activities	Management and Innovation	Innovation and Improvement	Determine BIS new ECASS functional requirements.	Allow customer opportunity to visual possible solutions to new functional requirements.	DOD Interface Process Re-engineering Part 2	Actual results will be reported in FY 2009
2009	1.2 Advance responsible economic growth and trade while protecting American security.	Technology	Financial (Technology)	Overall Costs	Refine estimates.	Estimates to date.	Review and revise estimates as needed.	Actual results will be reported in FY 2009

**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:

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

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? No

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? No

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

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

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
ECASS Modernization	Yes	No	The system will not be operational for several years and No PIA is required because the system does not currently contain, process, or transmit personal identifying information.	No	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. ECASS Modernization

b. If "no," please explain why?

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? No

a. If "yes," provide the name of the segment architecture as 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)
Prototyping	Definition and prototype of new ECASS functional requirements.	Back Office Services	Data Management	Extraction and Transformation			No Reuse	1
Prototyping	Definition and prototype of new ECASS functional requirements.	Back Office Services	Data Management	Loading and Archiving			No Reuse	1
Prototyping	Definition and prototype of new ECASS functional requirements.	Back Office Services	Development and Integration	Legacy Integration			No Reuse	1
Prototyping	Definition and prototype of new ECASS functional requirements.	Back Office Services	Development and Integration	Software Development			No Reuse	30
Prototyping	Definition and prototype of new ECASS functional requirements.	Business Analytical Services	Analysis and Statistics	Mathematical			No Reuse	1
Prototyping	Definition and prototype of new ECASS functional requirements.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	1
ECASS Modernization	The Export Control Automated Support System (ECASS) Modernization Initiative will apply information technology to revitalize core BIS mission-critical processes	Business Management Services	Investment Management	Strategic Planning and Mgmt			No Reuse	16
ECASS Modernization	The Export Control Automated Support System (ECASS) Modernization Initiative will apply information technology to revitalize core BIS mission-critical processes	Business Management Services	Management of Processes	Program / Project Management			No Reuse	18
ECASS Modernization	The Export Control Automated Support System (ECASS) Modernization Initiative will apply information technology to revitalize core BIS mission-critical processes	Business Management Services	Management of Processes	Requirements Management			No Reuse	28

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.

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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>
Extraction and Transformation	Component Framework	Data Interchange	Data Exchange	
Loading and Archiving	Component Framework	Data Interchange	Data Exchange	
Legacy Integration	Component Framework	Data Interchange	Data Exchange	
Mathematical	Component Framework	Data Management	Reporting and Analysis	
Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	
Strategic Planning and Mgmt	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Requirements Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	

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)? No

a. If "yes," please describe.

<b>Exhibit 300: Part II: Planning, Acquisition and Performance Information</b>
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**Section A: Alternatives Analysis (All Capital Assets)****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? 4/18/2006
- b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
- c. If "yes," describe any significant changes:

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 main investment risk affecting the ECASS Modernization project is that the ECASS Redesign project core framework design, would not be successful, effective, or extensible. This risk has been mitigated by the prototype and production deployment of ECASS-R Stage 1, V1.0.

The second major risk for ECASS Modernization is that the effort to re-engineer business processes, especially those with external agencies, are driven by end-user requirement definition and decision making. To mitigate this risk, experienced staff were added to the BIS OCIO organization to improve and revise the ECASS project strategy and implement formal Life Cycle Management processes, and the planning stage was expanded to a 3 year period which includes process re-engineering pilots. These allow BIS to confirm estimates, and as or more importantly, train BIS staff and implement LCM and re-engineering processes in a low-risk environment. The program shall use the pilots to baseline requirements and verify the cost estimate; formal LCM deliverables and milestones will be used to assess scope, progress and cost are reflected in the investment schedule, in addition to EVM. In addition, an early concept of operations, requirements, and prototype sub-system approach shall be used to validate the overall methodology, estimates, and results, including the prioritization of mission requirements, business and performance goal alignment, and benefits estimates. This shall be applied at the end of the FY2010 to validate the overall cost/benefit strategy and baseline.

The ECASS Modernization project shall follow the risk management process which has been very effective on the the ECASS Redesign project to ensure risks are identified, prioritized, managed, mitigated, and documented throughout the life cycle of the project. The risk management approach, a repeatable process, consists of defined milestones supported by the implementation of a capture and documentation process to ensure risks are reduced to the lowest possible level to support implementation of a quality system that meets or exceeds customer expectations. Risks are communicated, tracked, and managed using standard office automation word processing, spreadsheets, and database tools.

**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? Yes
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			
1.0	FY 2007 Project Initiation Phase	11/5/2007	\$0.274	9/30/2007	9/30/2007	\$0.3502	\$0.158	0	\$0.1922	100%
2.0	FY 2008 Planning Phase	11/7/2008	\$0.274	9/30/2008		\$0.3546				0%
3.0	FY 2009 Planning Phase	11/6/2009	\$3	9/30/2009		\$0.3574				0%