

NTIA - Grant Application Monitoring and Processing Systems

**Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)**

**I.A. Overview**

|   |  |
|---|--|
| <b>1. Date of Submission:</b>   | 12/29/2006   |
| <b>2. Agency:</b>   | Department of Commerce                                     |
| <b>3. Bureau:</b>   | National Telecommunications and Information Administration |
| <b>4. Name of this Capital Asset:</b>   | NTIA - Grant Application Monitoring and Processing Systems |
| <b>5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)</b>  | 006-60-04-00-01-7310-00                                    |
| <b>6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&amp;M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&amp;M. These investments should indicate their current status.)</b>  | Operations and Maintenance                                 |
| <p><b>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:</b></p> <p>This system is provided for existing TOP and PTFP grantees to submit required reports. TOP was discontinued in FY2006 and no funds have been requested for PTFP in FY2007 and beyond.</p> |  |
| <b>9. Did the Agency's Executive/Investment Committee approve this request?</b>   | No   |
| <p>a. If "yes," what was the date of this approval?</p>   |  |
| <b>10. Did the Project Manager review this Exhibit?</b>   | No   |
| <b>12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.</b>  | 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   |
| <p>1. If "yes," is an ESPC or UESC being used to help fund this investment?</p>   |  |
| <p>2. If "yes," will this investment meet sustainable design principles?</p>  |  |
| <p>3. If "yes," is it designed to be 30% more energy efficient than relevant</p>  |  |

|  |  |
|--|--|
| code?  |  |
| <b>13. Does this investment support one of the PMA initiatives?</b>  | Yes  |
| <b>If "yes," check all that apply:</b>   | Expanded E-Government  |
| <b>13a. Briefly describe how this asset directly supports the identified initiative(s)?</b>  | The investment is an e-government initiative that will provide the capability of complete electronic transaction capability for applicants and recipients of the program. The system supports the Administration's e-government and e-grants objectives, and NTIA plans to integrate this system with the government-wide e-grants efforts currently under development. No funds have been requested for PTFP in FY2008. |
| <b>14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit <a href="http://www.whitehouse.gov/omb/part">www.whitehouse.gov/omb/part</a>.)</b> | No   |
| <b>a. If "yes," does this investment address a weakness found during the PART review?</b>  | No   |
| <b>b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?</b>   |  |
| <b>c. If "yes," what PART rating did it receive?</b>   |  |
| <b>15. Is this investment for information technology?</b>  | Yes  |
| If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.   |  |
| <b>For information technology investments only:</b>  |  |
| <b>16. What is the level of the IT Project? (per CIO Council PM Guidance)</b>  | Level 1  |
| <b>17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):</b>  | (1) Project manager has been validated as qualified for this investment  |
| <b>18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?</b>  | No   |
| <b>19. Is this a financial management system?</b>  | No   |
| <b>a. If "yes," does this investment address a FFMIA compliance area?</b>  |  |
| <b>1. If "yes," which compliance area:</b>   | n/a  |
| <b>2. If "no," what does it address?</b>   |  |
| <b>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</b>  |  |

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

|          |   |
|----------|---|
| Hardware | 0 |
| Software | 0 |
| Services | 0 |
| Other    | 0 |

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

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

Name

Smith, Kathy

|       |               |
|-------|---------------|
| Title | Chief Counsel |
|-------|---------------|

|        |                     |
|--------|---------------------|
| E-mail | ksmith@ntia.doc.gov |
|--------|---------------------|

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

I.B. Summary of Funding

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<br>and<br>Earlier | PY<br>2006 | CY<br>2007 | BY<br>2008 | BY + 1<br>2009 | BY + 2<br>2010 | BY + 3<br>2011 | BY + 4<br>and<br>Beyond | Total |
|---------------------------------|--------------------------|------------|------------|------------|----------------|----------------|----------------|-------------------------|-------|
| Planning                        |                          |            |            |            |                |                |                |                         |       |
| Budgetary Resources             | 0.09                     | 0          | 0          | 0          |                |                |                |                         |       |
| Acquisition                     |                          |            |            |            |                |                |                |                         |       |
| Budgetary Resources             | 0.76                     | 0          | 0          | 0          |                |                |                |                         |       |
| Subtotal Planning & Acquisition |                          |            |            |            |                |                |                |                         |       |
| Budgetary Resources             | 0.85                     | 0          | 0          | 0          |                |                |                |                         |       |
| Operations & Maintenance        |                          |            |            |            |                |                |                |                         |       |
| Budgetary Resources             | 1.05                     | 0.22       | 0          | 0          |                |                |                |                         |       |
| <b>TOTAL</b>                    |                          |            |            |            |                |                |                |                         |       |

|                                     |      |      |   |  |  |  |  |  |  |
|-------------------------------------|------|------|---|--|--|--|--|--|--|
| Budgetary Resources                 | 1.9  | 0.22 | 0 |  |  |  |  |  |  |
| Government FTE Costs                |      |      |   |  |  |  |  |  |  |
| Budgetary Resources                 | 0.12 | 0    | 0 |  |  |  |  |  |  |
| Number of FTE represented by Costs: | 1.0  | 0    | 0 |  |  |  |  |  |  |

**Note: For the cross-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 FY2007 President's budget request, briefly explain those changes:**

**I.C. Acquisition/Contract Strategy**

**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.**

| Contracts/Task Orders Table: |                               |                              |                                |  |                                    |                                  |                                     |                                     |                          |                        |   |                         |  |            |                                      |   |  |
|------------------------------|-------------------------------|------------------------------|--------------------------------|--|------------------------------------|----------------------------------|-------------------------------------|-------------------------------------|--------------------------|------------------------|---|-------------------------|--|------------|--------------------------------------|---|--|
| Row Number                   | Contract or Task Order Number | Type of Contract/ Task Order | Has the contract been awarded? | 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 | Is this an Interagency Acquisition? | Is it performance based? | Competitively awarded? | What, if any, alternative financing option is being used? | Is EVM in the contract? | Does the contract include the required security and privacy clauses? | Name of CO | CO Contact information (phone/email) | Contracting Officer Certification Level | If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? |
| 1                            | None                          | None                         | No                             | 1/1/1900   | 1/1/1900                           | 1/1/1900                         | 0                                   | No                                  | No                       | No                     | NA  | No                      | No   |            |                                      | N/A                                     |  |

**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:**

**3. Do the contracts ensure Section 508 compliance?** N/A

a. Explain why:

**4. Is there an acquisition plan which has been approved in accordance with agency requirements?** Yes

a. If "yes," what is the date? 9/2/2002

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

1. If "no," briefly explain why:

**I.D. Performance Information**

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 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 Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

| Performance Information Table 1: |   |  |  |   |  |
|----------------------------------|---|--|--|---|--|
| Fiscal Year                      | Strategic Goal(s) Supported   | Performance Measure  | Actual/baseline (from Previous Year)                       | Planned Performance Metric (Target)                               | Performance Metric Results (Actual)  |
| 2002                             | Provide Infrastructure for innovation to enhance American competitiveness | Provide pilot group of grant recipients with ability to electronically report on grants; all applicants can use electronic forms | Electronic reporting available to 54 grant recipients      | 50% of pilot group (27) to submit reports electronically          | Better than 75% of pilot group submitted reports electronically.             |
| 2003                             | Provide infrastructure for innovation to enhance American competitiveness | Provide all grant recipients with ability to electronically report on grants, all applicants can use electronic forms            | Electronic reporting available to all 350 grant recipients | 50% of grant recipients register to submit reports electronically | More than 50% of grant recipients submitted reports electronically           |
| 2004                             | Provide infrastructure for innovation to enhance American competitiveness | All grant recipients can electronically submit reports, all applicants can use electronic forms                                  | 50% submit reports electronically                          | 75% of grant recipients register to submit reports electronically | More than 90% of grant recipients register to submit reports electronically. |
| 2005                             | Provide infrastructure for innovation to enhance American competitiveness | All grant recipients can electronically submit reports, all applicants can use electronic forms                                  | 50% submit reports electronically                          | 90% of grant recipients register to submit reports electronically | More than 90% of grant recipients submit reports electronically.             |

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. 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 at least four

different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

Performance Information Table 2:

| Fiscal Year | Measurement Area | Measurement Category  | Measurement Grouping | Measurement Indicator  | Baseline   | Planned Improvement to the Baseline                      | Actual Results |
|-------------|------------------|-----------------------|----------------------|--|--|--|----------------|
| 2006        | Customer Results | Service Accessibility | Automation           | % of grant recipients submit required reports electronically, and % of grant applications accomplished online. | 50% of grant recipients submit reports electronically    | 95% submittal and 95% of all applications - on-line.     |                |
| 2007        | Customer Results | Customer Benefit      | Customer Retention   | No funds have been requested for this program in FY2007.   | No funds have been requested for this program in FY2007. | No funds have been requested for this program in FY2007. |                |

#### I.E. Security and Privacy

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).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

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

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, validated by the agency for the contractor systems above?

NA

| 8. Planning & Operational Systems - Privacy Table: |                       |   |   |  |  |
|--|-----------------------|---|---|--|--|
| Name of System                                     | Is this a new system? | Is there a Privacy Impact Assessment (PIA) that covers this system?                             | Is the PIA available to the public?                                 | Is a System of Records Notice (SORN) required for this system? | Was a new or amended SORN published in FY 06?                  |
| GRAMPS   | Yes                   | No, because the system does not contain, process, or transmit personal identifying information. | No, because a PIA is not yet required to be completed at this time. | No   | No, because the system is not a Privacy Act system of records. |

**I.F. Enterprise Architecture (EA)**

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates 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?

No funds have been requested in FY 2007 and beyond for the PTFP program which funds and is the reason for the Grants System.

2. Is this investment included in the agency's EA Transition Strategy? No

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

b. If "no," please explain why?

No funds have been requested in FY 2007 and beyond for the PTFP program which funds and is the reason for the Grants System.

**3. Service 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.whitehouse.gov/omb/egov/>.

| Agency Component Name | Agency Component Description | Service Domain | FEA SRM Service Type | FEA SRM Component | FEA Service Component Reused Name | FEA Service Component Reused UPI | Internal or External Reuse? | BY Funding Percentage |
|-----------------------|------------------------------|----------------|----------------------|-------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
|                       |                              | Business       | Investment           | Asset             |                                   |                                  | No                          | 0                     |

|  |  |                     |            |                             |  |  |       |  |
|--|--|---------------------|------------|-----------------------------|--|--|-------|--|
|  |  | Management Services | Management | Cataloging / Identification |  |  | Reuse |  |
|--|--|---------------------|------------|-----------------------------|--|--|-------|--|

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

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.

'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.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

#### 4. 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            | FEA TRM Service Area | FEA TRM Service Category | FEA TRM Service Standard | Service Specification (i.e. vendor or product name) |
|------------------------------|----------------------|--------------------------|--------------------------|---|
| Program / Project Management | Component Framework  | Data Interchange         | Data Exchange            | Web Services User Interface (WSUI)                  |

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

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.

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

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system? Yes

a. If "yes," does customer access require specific software (e.g., a specific web browser version)? No

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this

investment by any software (i.e. to ensure equitable and timely access of government information and services).

**Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)**

**III.A. Risk Management**

Part III should be completed only for investments which will be in "Operation and Maintenance" (Steady State) in FY 2008, i.e., selected the "Operation and Maintenance" choice in response to Question 6 in Part I, Section A above.

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.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan? Yes

a. If "yes," what is the date of the plan? 7/23/2002

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

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

New C&A package in FY2006.

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?

**III.B. Cost and Schedule Performance**

1. Was operational analysis conducted? No

a. If "yes," provide the date the analysis was completed.

b. If "yes," what were the results?

c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

No funds have been requested in FY2007 and beyond for the PTFP program which funds and is the reason for the Grants System.

Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts:

a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?

Government Only

2. Comparison of Plan vs. Actual Performance Table

Comparison of Plan vs. Actual Performance Table

| Milestone Number      | Description of Milestone                       | Planned           |                | Actual            |                | Variance          |                |
|-----------------------|--|-------------------|----------------|-------------------|----------------|-------------------|----------------|
|                       |  | Completion Date   | Total Cost     | Completion Date   | Total Cost     | Schedule (# days) | Cost           |
| 1                     | TOP Reporting & E-Applications Operation       | 09/30/2002        | \$0.875        | 09/30/2002        | \$0.875        | 0                 | \$0.000        |
| 2                     | Applicant E-Application Forms Operational      | 10/30/2001        | \$0.100        | 10/30/2001        | \$0.100        | 0                 | \$0.000        |
| 3                     | Pilot Test of PTFP Grantee Reporting           | 06/30/2002        | \$0.175        | 06/30/2002        | \$0.175        | 0                 | \$0.000        |
| 4                     | Full Operation of PTFP Grantee Reporting       | 09/30/2002        | \$0.060        | 09/30/2002        | \$0.060        | 0                 | \$0.000        |
| 6                     | Integrate with interagency e-grants initiative | 09/30/2004        | \$0.000        |                   |                |                   |                |
| 8                     | Operations & Maintenance of System             | 09/30/2004        | \$0.470        | 09/30/2004        | \$0.470        | 0                 | \$0.000        |
| <b>Project Totals</b> |  | <b>09/30/2004</b> | <b>\$1.680</b> | <b>09/30/2004</b> | <b>\$1.680</b> | <b>0</b>          | <b>\$0.000</b> |