

**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: National Telecommunications And Information Administration
4. Name of this Capital Asset: NTIA - Radio Spectrum Management: Federal Spectrum Management System (FSMS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 006-60-01-29-01-7312-00
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? FY2003
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:
- NTIA has laid out a program for the next five years to modernize and improve spectrum management processes. The program includes: (1) a review and improvement of our international spectrum management policies including those that could become barriers to the implementation of new spectrum efficient technologies; (2) standardization and implementation of methods and analysis tools to assess new technologies to reduce the time it takes to provide access to spectrum; (3) adopt a spectrum management career development program to maintain our expertise in adapting new technologies and using the spectrum more efficiently and effectively; and (4) application of modern information technology (IT) to provide more rapid access to spectrum and make the spectrum management process more effective and efficient.
- The primary Federal Spectrum Management System (FSMS) objective is to improve the use of Information Technology to modernize Spectrum Management, as described in the President's Spectrum Management Initiative, Report 2, Recommendation 7: Support President's Spectrum Policy Initiative; Modernize Spectrum Management Systems; Collaborate with FCC and IRAC Agencies; Achieve Target Architecture; Implement New Data Dictionary; Meet Paperless Spectrum Management Initiative Recommendations; and, Institutionalize Dependable and Repeatable Software Development Processes.
- At completion, the benefits FSMS will provide to the Spectrum community include: Spectrum authorization processing times will, in many cases, be reduced from days to hours, or even minutes; Spectrum data can be maintained real time; Agencies will have real time, or near real time, access to their documents, proposals, applications, and data; Application status can be continuously monitored; Multiple access points. Information assurance capabilities, including data redundancy, fail over, and clustering; Enhanced interference calculations, as described by Working Level Group E (WLG-E) and approved by OSM; Compliance checks will be expanded to spectrum standards checks; The user interface will be standardized with an extremely user-friendly look and feel, combined with the ability to present interrelated information (such as the allocation table, footnotes, spectrum certification documents, and equipment characteristics); and, Effective collaboration with document-, content-, and workflow-management tools for spectrum business processes.
9. Did the Agency's Executive/Investment Committee approve this request? Yes
- a. If "yes," what was the date of this approval? 11/16/2005
10. Did the Project Manager review this Exhibit? Yes
- a. What is the current FAC-P/PM certification level of the project/program manager? TBD
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
- a. Will this investment include electronic assets (including computers)? Yes

- b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No
1. If "yes," is an ESPC or UESC being used to help fund this investment?
2. If "yes," will this investment meet sustainable design principles?
3. If "yes," is it designed to be 30% more energy efficient than relevant code?
13. Does this investment directly support one of the PMA initiatives? 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 project enables electronic access to Federal radio frequency spectrum management data to Federal and non-Federal entities. It increases the ability of the non-Federal sector to coordinate radio frequency usage with the Federal community via electronic means and also enables radio equipment manufacturer's to provide detailed technical data regarding their systems so that compliance checks against Federal standards can be conducted in an automated fashion.
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? National Telecommunications and Information Administration
- 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? No
1. If "yes," which compliance area: Not applicable
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  |
| Software | 0  |
| Services | 89 |
| Other    | 11 |
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

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

Question 24 must be answered by all Investments:

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

**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:	2.268	0.624	0.918	0.275					
Acquisition:	2.785	0.567	11.211	11.228					
Subtotal Planning & Acquisition:	5.053	1.191	12.129	11.503					
Operations & Maintenance:	2.33	0	0.47	0.5					
TOTAL:	7.383	1.191	12.599	12.003					
Government FTE Costs	3.184	0.446	2.655	3.369					
Number of FTE represented by Costs:	3	4	17	21					

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:  
Some PY07 acquisitions were deferred to CY08; additionally, further planning and requirements activities in PY07 have resulted in expanded project scope.

**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)
GS35F0305N	T&M	Yes	12/5/2005	12/19/2005	11/29/2007	2.672	No	No	Yes	NA	Yes	Yes		morie.gunter-henderson@noaa.gov	Level 3	
GS35F4797H	Fixed Price	Yes	5/9/2007	5/21/2007	9/30/2007	0.486	No	No	Yes	NA	Yes	Yes		morie.gunter-henderson@noaa.gov	Level 3	

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? Yes

a. Explain why:

Although Section 508 Compliance is not required for national security information systems, the FSMS project will extend the ability to obtain "appropriate" data to the non-Federal and Federal unclassified user communities. Due to this increase in access, Section 508 Compliance is required and will be included into contracts requiring development work with user interfaces targeting public audiences.

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

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

7/31/2007

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

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
2004		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Develop an Enterprise Architecture	No Enterprise Architecture	Develop an "As-Is" and "To-Be" Enterprise Architecture	Enterprise Architecture Completed July 2004
2004		Mission and Business Results	Planning and Resource Allocation	Management Improvement	Governance of operational strategy, Enterprise Architecture and CPIC processes	Ad-hoc management processes	Launch Enterprise Architecture Council	Enterprise Architecture Council established April 2004
2006		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for spectrum certification requests.	3.5 months	< 2 months	4 Months
2006		Processes and Activities	Productivity and Efficiency	Productivity	Increased productivity of spectrum certification process.	Average certification request takes 40 man hours to create.	We believe that a 30% productivity gain is possible.	Unknown. Revising measurement indicator, baseline and target to more clearly align with the PART assessment and OSM Enterprise Architecture Council approved measurement.
2006		Technology	Information and Data	Data Standardization or Tagging	Increase standardization of data using the new data dictionary.	Data dictionary is standard for 1 system.	Data dictionary is standard for all systems.	Not met. Data dictionary is standard for 1 system.
2007		Customer Results	Service Accessibility	Access	Increase access to key data	TBD	We believe 90% access through	Discontinued. Replacing with

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					stores through electronic media with high availability.		electronic media is possible.	measurement more clearly aligned with those approved by the OSM Enterprise Architecture Council.
2007		Customer Results	Service Accessibility	Access	Increase access to key applications and data sources through web-based portals.	2 key FSMS applications and data sources available via web-based portal.	3 key FSMS applications and data sources available via web-based portal.	2 key FSMS applications and data sources available via web-based portal.
2007		Customer Results	Service Accessibility	Automation	Increase automated services interfaces between NTIA/OSM and the FCC and/or other agencies.	1	2	2
2007		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Increase compliance to the OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture.	60% FSMS solutions compliant with OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture.
2007		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Increase the number of workflows supported by the OSM Enterprise Content Management System (ECM) to collaborate, track workflow, and facilitate decision making.	0	5	0
2007		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for frequency assignment proposals.	15 days	< 9 days	6.73 days
2007		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for spectrum certification requests.	3.5 months	< 3 months	4.5 months
2007		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Shorten average approval for simple frequency assignment proposals.	15 days	1-3 days (auto-approval)	Discontinued. Replacing with measurement indicator more clearly aligned to the measure 1.a from OSM Deliverables for FY06, PART Assessment.
2007		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Shorten average approval time for standard frequency assignment proposals.	45 days	15 days	Discontinued. Replacing with measurement indicator more clearly aligned to the measure 1.a from OSM Deliverables for FY06, PART Assessment.
2007		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Shorten average approval time for complex frequency assignment proposals.	90-120 days	45 days	Discontinued. Replacing with measurement indicator more clearly aligned to the measure 1.a from OSM Deliverables for FY06, PART Assessment.
2007		Processes and Activities	Productivity and Efficiency	Productivity	Increase productivity of frequency	At least 70% of time wasted in collaboration and	We believe 40-50% productivity gain is possible	Discontinued as measurement was not

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					assignment proposal issue resolution.	issue resolution efforts		approved by OSM Enterprise Architecture Council.
2007		Technology	Information and Data	Data Standardization or Tagging	Increase standardization of data using the new data dictionary.	6% of applicable applications in use standardized on new data dictionary.	> 25%	6%
2008		Customer Results	Service Accessibility	Access	Increase access to key applications and data sources through web-based portals.	2 key FSMS applications and data sources available via web-based portals	4 key FSMS applications and data sources available via web-based portals	
2008		Customer Results	Service Accessibility	Automation	Increase automated services interfaces between NTIA/OSM and FCC and/or other agencies.	1	> 2	
2008		Customer Results	Service Quality	Accuracy of Service or Product Delivered	Increase quality of interference and propagation analysis using new algorithms taking advantage of new data dictionary elements.	0 frequency authorizations processed using new algorithms based on new data dictionary	>4% frequency authorizations processed using new algorithms based on new data dictionary.	
2008		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Increase compliance to OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture.	75% FSMS solutions compliant with OSM Enterprise Architecture.	
2008		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Improve efficiency of IRAC document distribution, search, and retrieval capabilities.	Agencies use two separate applications with differing capabilities and document repositories for the distribution, search and retrieval of IRAC documents.	Agencies will be able to access distribution, search and retrieval of IRAC documents via a single point.	
2008		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Increase the number of workflows supported by the OSM Enterprise Content Management System (ECM) to collaborate, track workflow, and facilitate decision making.	0	10	
2008		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for frequency assignment proposals.	15 days	< 5 days	
2008		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for spectrum certification requests.	3.5 months	< 3 months	
2008		Processes and Activities	Quality	Errors	Increase quality of data in the Government Master File.	N/A New	20% of records with accurate mandatory data	
2008		Technology	Information and Data	Data Standardization or Tagging	Increase standardization of data using the new data dictionary.	6% of applicable applications in use standardized on new data dictionary.	> 50%	

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009		Customer Results	Service Accessibility	Access	Increase access to key applications and data sources through web-based portals.	2 key FSMS applications and data sources available via web-based portal	> 4 key FSMS applications and data sources available via web-based portal	
2009		Customer Results	Service Accessibility	Automation	Increase automated services interfaces between NTIA/OSM and FCC and/or other agencies.	1	> 2	
2009		Customer Results	Service Quality	Accuracy of Service or Product Delivered	Increase quality of interference and propagation analysis using new algorithms taking advantage of new data dictionary elements.	0 frequency authorizations processed using new algorithms based on new data dictionary.	> 25% frequency authorizations processed using new algorithms based on new data dictionary	
2009		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Increase compliance to the OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture	> 90% solutions compliant with OSM Enterprise Architecture	
2009		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Increase the number of workflows supported by the OSM Enterprise Content Management System (ECM) to collaborate, track workflow, and facilitate decision making.	0	> 10	
2009		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease average processing time for frequency assignment proposals.	15 days	< 3 days	
2009		Processes and Activities	Quality	Errors	Increase quality of data in the Government Master File.	N/A New	> 30% of records with accurate mandatory data	
2009		Technology	Information and Data	Data Standardization or Tagging	Increase standardization of data using the new data dictionary.	6% of applicable applications in use standardized on new data dictionary.	100%	
2010		Customer Results	Service Accessibility	Integration	Increase automated services interfaces between NTIA/OSM and FCC and/or other agencies.	1	> 2	
2010		Customer Results	Service Quality	Accuracy of Service or Product Delivered	Increase quality of interference and propagation analysis using new algorithms taking advantage of new data dictionary elements.	0 frequency authorizations processed using new algorithms based on new data dictionary	> 50% frequency authorizations processed using new algorithms based on new data dictionary	
2010		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Increase compliance to OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture.	90% FSMS solutions compliant with OSM Enterprise Architecture	
2010		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Increase the number of workflows supported by the	0	> 10	

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					OSM Enterprise Content Management System (ECM) to collaborate, track workflow, and facilitate decision making.			
2010		Processes and Activities	Quality	Errors	Increase quality of data in the Government Master File.	N/A New	> 50% of records with accurate mandatory data	
2010		Technology	Financial (Technology)	Operations and Maintenance Costs	Reduce redundancy of spectrum management databases.	> 2 spectrum management databases	2 spectrum management databases	
2011		Customer Results	Service Quality	Accuracy of Service or Product Delivered	Increase quality of interference and propagation analysis using new algorithms taking advantage of new data dictionary elements.	0 frequency authorizations processed using new algorithms based on new data dictionary	> 75% frequency authorizations processed using new algorithms based on new data dictionary	
2011		Mission and Business Results	Planning and Resource Allocation	Enterprise Architecture	Increase compliance to the OSM Enterprise Architecture.	50% FSMS solutions compliant with OSM Enterprise Architecture	> 90% FSMS solutions compliant with OSM Enterprise Architecture	
2011		Mission and Business Results	Regulatory Development	Policy and Guidance Development	Increase the number of workflows supported by the OSM Enterprise Content Management System (ECM) to collaborate, track workflow, and facilitate decision making.	0	> 10	
2011		Processes and Activities	Productivity and Efficiency	Efficiency	Percentage of data completed for Legacy Assignments through the 5 years periodic assignment review process.	0% completion	20% completion of the OSM DD data fields.	
2011		Processes and Activities	Quality	Errors	Increase quality of data in the Government Master File.	N/A New	70% of records with accurate mandatory data	
2011		Technology	Financial (Technology)	Operations and Maintenance Costs	Reduce redundancy of spectrum management databases.	> 2 spectrum management databases	1 spectrum management database	
2012		Processes and Activities	Productivity and Efficiency	Efficiency	Percentage of data completed for Legacy Assignments through the 5 years periodic assignment review process.	0% completion	40% completion of the OSM DD data fields.	
2013		Processes and Activities	Productivity and Efficiency	Efficiency	Percentage of data completed for Legacy Assignments through the 5 years periodic assignment review process.	0% completion	60% completion of the OSM DD data fields.	
2014		Processes and Activities	Productivity and Efficiency	Efficiency	Percentage of data completed for Legacy Assignments through the 5 years periodic	0% completion	80% completion of the OSM DD data fields.	

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					assignment review process.			
2015		Processes and Activities	Productivity and Efficiency	Efficiency	Percentage of data completed for Legacy Assignments through the 5 years periodic assignment review process.	0% completion	100% completion of the OSM DD data fields.	

**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: 24

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? 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.

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
Federal Spectrum	Yes	No	No PIA is required	No	No because the system is

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Management System (Green) - NTIA020			because the system does not contain, process, or transmit personally identifiable information (PII).		not a Privacy Act system of record.
Federal Spectrum Management System (Red) - NTIA021	Yes	No	No PIA is required because the system does not contain, process, or transmit personally identifiable information (PII).	No	No because the system is not a Privacy Act system of record.

**Details for Text Options:**  
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.  
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.  
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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

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

1. Is this investment included in your agency's target enterprise architecture? Yes
  - a. If "no," please explain why?
  
2. Is this investment included in the agency's EA Transition Strategy? Yes
  - a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. Federal Spectrum Management System (FSMS)
  - b. If "no," please explain why?
  
3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? Yes
  - a. If "yes," provide the name of the segment architecture as NTIA spectrum management architecture. 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)
		Back Office Services	Data Management	Data Exchange			No Reuse	5
		Back Office Services	Data Management	Data Mart			No Reuse	2
		Back Office Services	Data Management	Data Recovery			No Reuse	1
		Back Office Services	Data Management	Data Warehouse			No Reuse	4
		Back Office Services	Data Management	Extraction and Transformation			No Reuse	4
		Back Office Services	Development and Integration	Data Integration			No Reuse	4
		Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	3
		Back Office Services	Development and Integration	Legacy Integration			No Reuse	5
		Back Office Services	Development and Integration	Software Development			No Reuse	0
		Business Analytical Services	Analysis and Statistics	Mathematical			No Reuse	1
		Business Analytical	Knowledge Discovery	Modeling			No Reuse	1

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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)
		Services						
		Business Management Services	Management of Processes	Change Management			No Reuse	1
		Business Management Services	Management of Processes	Program / Project Management			No Reuse	15
		Business Management Services	Management of Processes	Requirements Management			No Reuse	1
		Customer Services	Customer Preferences	Alerts and Notifications			No Reuse	1
		Customer Services	Customer Preferences	Personalization			No Reuse	1
		Customer Services	Customer Preferences	Subscriptions			No Reuse	1
		Digital Asset Services	Content Management	Content Authoring			No Reuse	1
		Digital Asset Services	Content Management	Content Publishing and Delivery			No Reuse	1
		Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	1
		Process Automation Services	Tracking and Workflow	Case Management			No Reuse	16
		Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	7
		Support Services	Collaboration	Threaded Discussions			No Reuse	2
		Support Services	Search	Classification			No Reuse	5
		Support Services	Search	Pattern Matching			No Reuse	5
		Support Services	Search	Precision / Recall Ranking			No Reuse	5
		Support Services	Search	Query			No Reuse	5
		Support Services	Security Management	Access Control			No Reuse	100

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)
Software Development	Component Framework	Business Logic	Platform Independent	Java Portlet API
Software Development	Component Framework	Business Logic	Platform Independent	JavaScript
Process Tracking	Component Framework	Business Logic	Platform Independent	Oracle Business Rules Engine
Data Exchange	Component Framework	Data Interchange	Data Exchange	SOAP
Data Exchange	Component Framework	Data Interchange	Data Exchange	XML
Data Exchange	Component Framework	Data Management	Database Connectivity	ADO
Data Exchange	Component Framework	Data Management	Database Connectivity	ADO.Net
Data Exchange	Component Framework	Data Management	Database Connectivity	JDBC
Data Exchange	Component Framework	Data Management	Database Connectivity	ODBC

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<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>
Content Authoring	Component Framework	Presentation / Interface	Content Rendering	Documentum Content Rendition Services
Access Control	Component Framework	Security	Certificates / Digital Signatures	SSL
Access Control	Component Framework	Security	Supporting Security Services	WS Security
Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	Documentum eRoom
Computer / Telephony Integration	Service Access and Delivery	Delivery Channels	Internet	DOC HCHBNet
Computer / Telephony Integration	Service Access and Delivery	Delivery Channels	Intranet	NTIA
Computer / Telephony Integration	Service Access and Delivery	Delivery Channels	Intranet	SIPRNet
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Identity Management
Computer / Telephony Integration	Service Access and Delivery	Service Transport	Service Transport	Microsoft Internet Information Server (HTTP)
Computer / Telephony Integration	Service Access and Delivery	Service Transport	Service Transport	Microsoft Internet Information Server (HTTPS)
Computer / Telephony Integration	Service Access and Delivery	Service Transport	Service Transport	TCP/IP
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	Microsoft Active Directory Services
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	Novel Directory Services
Enterprise Application Integration	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle Enterprise Service Bus
Data Integration	Service Interface and Integration	Integration	Middleware	Oracle BPEL Process Manager
System Resource Monitoring	Service Interface and Integration	Integration	Middleware	Oracle Business Activity Monitoring
Data Integration	Service Interface and Integration	Integration	Middleware	Oracle Business Rules Engine
Data Integration	Service Interface and Integration	Integration	Middleware	Oracle Service Registry
Data Integration	Service Interface and Integration	Integration	Middleware	Oracle Web Services Manager
Software Development	Service Interface and Integration	Interface	Service Description / Interface	Documentum API
Software Development	Service Interface and Integration	Interface	Service Description / Interface	Oracle API
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	WSDL
NEW	Service Interface and Integration	Interface	Service Discovery	Oracle Service Registry
Information Mapping / Taxonomy	Service Interface and Integration	Interoperability	Data Format / Classification	OSMDD
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	Documentum Content Transformation Services
Data Exchange	Service Interface and Integration	Interoperability	Data Transformation	XSLT
Information Mapping / Taxonomy	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQLServer
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	Oracle 10g
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Sybase SQL Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	SAN
Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Portal Servers	Oracle Portal
Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Microsoft Internet Information Server
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Microsoft Visual Studio.net
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Oracle jDeveloper
Modeling	Service Platform and Infrastructure	Software Engineering	Modeling	Computer Associates ERWin
Modeling	Service Platform and Infrastructure	Software Engineering	Modeling	IBM Rational Software Modeler
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Bugzilla

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**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)
Requirements Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	IBM Rational Requisite Pro
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Microsoft Project Server
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Microsoft Visual Source Safe
NEW	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Microsoft WIN2K3
NEW	Service Platform and Infrastructure	Support Platforms	Platform Independent	RedHat Linux
Software Development	Service Platform and Infrastructure	Support Platforms	Platform Independent	Sun J2EE

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.

## **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.

1. Does the investment have a Risk Management Plan?                      Yes
  - a. If "yes," what is the date of the plan?                                      7/31/2007
  - b. Has the Risk Management Plan been significantly                      No  
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?
  - 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:

Risk investment is reflected in the life cycle cost in three different ways depending on the specific risk mitigation strategy.

- Risks which are "Transferred" result in a measurable cost and schedule impact as a result of transferring that risk to a third party, such as the cost of having a contractor perform that operation
  - Risks which are "Avoided" create a schedule and cost impact derived from the avoidance strategy, such as the cost and schedule resulting from adopting an alternative solution
  - Risks which are "Accepted" are covered by a management reserve calculated as follows
- Management reserve = 100% \* Cost of all risks almost certain to occur  
 + 50% \* Cost of all risks likely to occur (Probability >= 40%)  
 + 0% \* Cost of all risks unlikely to occur (Probability <40%)

### **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      Yes  
criteria in ANSI/EIA Standard-748?

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) Yes

a. If "yes," was it the CV or SV or both? SV

b. If "yes," explain the causes of the variance:

Some contract awards were delayed in FY07, as a result of these delays and increased scope identified during planning and requirements sessions, some PY07 funding was deferred to FY08 (and beyond).

c. If "yes," describe the corrective actions:

The investment was rebaselined, with an additional year inserted into the schedule. Costs and milestones (WBS) were modified accordingly. The contracting and procurement process is in review and corrective measures are being implemented. The rebaseline was approved by the Department on Commerce CIO on September 6, 2007.

3. Has the investment re-baselined during the past fiscal year? Yes

a. If "yes," when was it approved by the agency head? 9/6/2007

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	FSMS	9/30/2009	\$37.32	9/30/2010	11/30/2007	\$48.593	\$6.287	1035	\$0.000934	12.94%