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: 10/4/2007
2. Agency: 449, U.S. Securities and Exchange Commission
3. Bureau: 00
4. Name of this Capital Asset: Infrastructure
5. Unique Project (Investment) Identifier: 449-00-02-00-02-0002-00-404-139 (For IT investments only, see section *53*. For all other, use agency ID system.)
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M ONLY in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)
   ☐ Planning ☐ Full Acquisition ☐ Operations and Maintenance ☒ Mixed Life Cycle ☐ Multi-Agency Collaboration
7. What was the first budget year this investment was submitted to OMB? BY07
   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 Infrastructure business case consolidates all U.S. Securities and Exchange Commission (SEC) Information Technology (IT) infrastructure requirements into one business case, reflecting the centralized & consolidated infrastructure management approach that the Office of Information Technology (OIT) has established. This ongoing program includes steady state investments & DME project investments intended to enhance the agency's management of the infrastructure; it is therefore in a Mixed Phase with regard to the CPIC lifecycle. The funds requested for the Infrastructure program provides the Steady State dollars necessary to continue operating and maintaining the SEC Infrastructure to provide the Commission with the IT services to conduct the day-to-day business & mission of the agency. The DME dollars requested provide the ability to maintain pace with SEC IT requirements, incorporate emerging technologies & provide the IT services that maximize the use of SEC resources to include personnel. The purpose of the Infrastructure Enterprise-wide Investment Area (which supports the SEC Strategic Goal) is to maximize the efficiency and minimize the costs of ownership of the ever-increasing software and hardware assets generated in each succeeding year to support mission systems. The SEC consolidated infrastructure program provides the entire SEC (HQ, Regions, Offices and Ops Center) with a consolidated client/server system including Local Area Networks (LAN), Metropolitan Area Network (MAN), & the Wide

Area Network (WAN), personal computers, printers, servers, storage area network (SAN), tape backups, data center operations & alternate data center operations, data administration and 24/7 customer support, as well as the technical engineering, and testing & configuration management to support the Infrastructure operations. The customer support help desk provides assistance to over 5200 SEC staff and on-site contractors as well as SEC teleworkers. For effective management of this multi-million Enterprise Investment Area, OIT has established 11 discrete IT Programs that contain a mix of Steady-State support & DME investments. The selected alternative (centralized infrastructure) equipment supporting mission critical systems is housed at the SEC Operations Center (OPC). This alternative helps close the performance gap initially identified in FY 05 by continuing the steady state support & providing new projects to continue centralized management of the Infrastructure.

9. Did the Agency's Executive/Investment Committee approve this request?   NO

   a. If "yes" what was the date of this approval

10. Did the Project Manager review this Exhibit? Yes

11. Contact information of Project Manager?

   Name: Lew Walker

   Phone Number 202,551-8161

   E-mail walkerl@sec.gov

12. Has the agency developed and/or promoted cost effective, energy-efficient, and environmentally sustainable techniques or practices for this project. (Answer applicable to non-IT assets only) N/A

   a. Will this investment include electronic assets (including computers)? N/A

   b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)) N/A

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

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

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

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

   If "yes," check all that apply:

   ☐ Human Capital

   ☐ Budget Performance Integration

   ☐ Financial Performance

   ☒ Expanded E-Government

☒ Competitive Sourcing

☐ Faith Based and Community

☐ Real Property Asset Management

☐ Eliminating Improper Payments

☐ Privatization of Military Housing

☐ Research & Development Investment Criteria

☐ Housing & Urban Development Management & Performance

☐ Broadening Health Insurance Coverage through State Initiatives

☐ "Right Sized" Overseas Presence

☐ Coordination of VA & DoD Programs and Systems

a. Briefly describe how this asset directly supports the identified initiative(s)?
EXPANDED E-GOVERNMENT: Provides an external website which gives citizens answers to a range of SEC-related information & questions. Through this website the SEC's EDGAR system, permits companies to submit & update data electronically & at the same time enables millions of citizen investors to conduct due diligence on-line. COMPETITIVE SOURCING: The infrastructure requires specialized competitive source expertise to maintain & develop. ~ 70% of the day-to-day infrastructure operation is conducted through contract resources. In FY2008 we anticipate recompeting the Infrastructure Support Services contract as a performance-based competitive procurement that may result in a formal outsourcing arrangement).

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

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

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

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

15. Is this investment for information technology? (see section 53 for definition) 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 1

☒Level 2
☐Level 3

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):

   ☐ Project manager has been validated as qualified for this investment

   ☐ Project manager qualification is under review for this investment

   ☐ Project manager assigned to investment, but does not meet requirements

   ☒ Project manager assigned but qualification status review has not yet started

   ☐ No Project manager has yet been assigned to this investment

18. Is this investment identified as "high risk" on the Q4-FY2007 agency high risk report (per OMB's 'high risk' memo)? YES

19. Is this a financial management system? N0

   a. If "yes," does this investment address a FFMIA compliance area? No

       1. If "yes," which compliance area: N/A

       2. If "no" what does it address? Agency Wide Infrastructure - Mixed life-cycle investment

   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. N/A

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100% - enter as decimal, e.g., .25 = 25%)

   Hardware .24   Software .11   Services .65 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? N/A

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

   Name Barbara Stance

   Phone Number: 202-551-7209

   Title SEC Privacy Assessment Officer

   E-mail : StanceB@SEC.Gov

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

23. Does this investment support one of the GAO High Risk areas? (Y/N) – Y: Protecting the Federal Government's Information Systems and the Nation's Critical Infrastructures

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:	.290	0	0	0	0	0	0	0	.290
Acquisition:	35.516	20.560	12.6	8.420					130.53
Subtotal Planning & Acquisition:	35.806	20.560	$12.6	8.420					130.82
Operations & Maintenance:	101.470	39.876	43.1	44.824					436.188
TOTAL:	$137.276	$60.436	$55.700	53.244					567.007
Government FTE Costs should not be included in the amounts provided above									
Government FTE Costs:	$26.469	$7.017	$7.813	$8.282					$85.344
Number of FTE represented by Costs:	193.98	48.23	50.96	50.96					535.09

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.

     The Summary of spending was decreased in PY 2007 to reflect actual spending. The decrease reflects the actual acquisition costs which supported Agency goals and GAO mandates. The Summary of spending was decreased in CY 2008 – 2012 to reflect the Agency's budget as allocated for this Program and its current plans under this Program.

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.

Contracts/Task Orders Table:

Contractor Task Order Number	Type of Contract/Task Order	Has the contract been awarded (Y/N)	If so what is the date of the ward? If not, what is the planned award date?	Start & end date of Contact / 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?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
SECHQ1-01-H-0447	Cost Plus Award Fee	Yes	7/21/2001	9/12/2001	9/30/2008	$ 162.000	No	Yes	Yes	N/A	Yes	Yes	Larry Ries	Larry.ries@gsa.gov	3	Yes
SECHQ1-02-C-0336	Firm Fixed Price	Yes	11/28/2005	9/12/2001	12/31/2008	$ 0.262	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-03-F-0118	Firm Fixed Price	Yes	4/1/2004	9/12/2001	12/31/2008	$ 0.098	No	No	Yes	N/A	No	Yes	Kim Davis	202-551-7311/DavisKH@SEC.gov	3	Yes
SECHQ1-04-A-0259	Firm Fixed Price	Yes	8/12/2004	8/12/2004	8/11/2009	$ 0.525	No	Yes	Yes	N/A	No	Yes	Kim Davis	202-551-7311/DavisKH@SEC.gov	3	Yes

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All dollar amounts must be reported in millions with at least 3 decimals (6 decimals available)

SECHQ1-04-A-0276	T&M	Yes	8/25/2004	8/25/2004	8/24/2009	$ 1.153	No	Yes	Yes	N/A	No	Yes	Kim Davis	202-551-7311/DavisKH@SEC.gov	3	Yes
SECHQ1-04-A-0319	Firm Fixed Price	Yes	9/21/2004	9/21/2004	9/20/2009	$ 0.769	No	Yes	Yes	N/A	No	Yes	Kim Davis	202-551-7311/DavisKH@SEC.gov	3	Yes
SECHQ1-04-H-0203	IAA	Yes	9/22/2004	10/1/2003	12/18/2006	$ 2.615	Yes	Yes	No	N/A	No	Yes	Linda Sudhoff	202-551-7436/SudhoffL@SEC.gov	3	Yes
SECHQ1-04-H-0207	IAA	Yes	9/9/2004	10/1/2003	9/30/2007	$ 0.480	Yes	Yes	No	N/A	No	Yes	Linda Sudhoff	202-551-7436/SudhoffL@SEC.gov	3	Yes
SECHQ1-04-H-0343	IAA	Yes	9/23/2004	9/1/2004	9/30/2007	$ 0.900	Yes	Yes	No	N/A	No	Yes	Linda Sudhoff	202-551-7436/SudhoffL@SEC.gov	3	Yes
SECHQ1-05-A-0379	Firm Fixed Price	Yes	8/18/2005	8/18/2005	8/17/2010	$ 0.195	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/NewhartJ@SEC.gov	3	Yes
SECHQ1-06-F-0174	Firm Fixed Price	Yes	4/17/2006	6/1/2006	5/31/2009	$ 1.492	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-F-0209	Firm Fixed Price	Yes	5/3/2006	8/1/2006	4/29/2008	$ 0.003	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-F-0226	Firm Fixed Price	Yes	5/23/2006	6/1/2006	5/31/2007	$ 0.027	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-F-0295	Firm Fixed Price	Yes	7/5/2006	8/1/2006	7/29/2007	$ 0.025	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-F-0296	Firm Fixed Price	Yes	7/5/2006	8/25/2006	8/24/2007	$ 0.129	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-F-0303	Firm Fixed Price	Yes	7/17/2006	8/15/2006	8/30/2007	$ 0.039	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-P-0176	Firm Fixed Price	Yes	5/5/2006	6/1/2006	5/31/2010	$ 0.227	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-P-0196	Firm Fixed Price	Yes	4/22/2006	4/22/2006	4/21/2009	$ 0.140	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-P-0225	Firm Fixed Price	Yes	6/21/2006	6/21/2006	7/20/2006	$ 0.060	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-06-P-0239	Firm Fixed Price	Yes	5/24/2006	6/1/2006	5/31/2007	$ 0.054	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-07-C-0057	Firm Fixed Price	Yes	12/1/2006	12/1/2006	11/30/2007	$0.108	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-07-P-0016	Firm Fixed Price	Yes	11/22/2006	11/22/2006	11/21/2007	$0.266	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-07-P-0275	Labor Hours	Yes	6/14/2007	6/13/2008	6/13/2012	$0.17	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
SECHQ1-H-00447	Firm Fixed Price, Task Order	Yes	9/15/2007	9/15/2007	3/30/2009	$2.789	No	Yes	Yes	N/A	No	Yes	Julie Whitmore-Sevin		2	Yes
FY 07 – Planned – Data Center Operations	Firm Fixed Price	No	9/15/2007	9/15/2007	12/7/2007	$.367.5	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes
FY 07 – Planned – Data Networks	Firm Fixed Price	No	9/30/2007	9/30/2007	4/28/2008	$.100	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Yes

SECHQ1-07-F-0084	Firm Fixed Price	Yes	12/29/2006	06/01/2007	4/302008	$.040	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0274	Firm Fixed Price	Yes	06/12/2007	07/12/2001	10/27/2007	$.042	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0285	Firm Fixed Price	Yes	06/15/2007	07/15/2007	11/30/2007	$.111	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0324	Firm Fixed Price	Yes	06/30/2007	07/31/2007	11/30/2007	$.092	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-P-0204	Firm Fixed Price	Yes	04/16/2007	05/31/2008	5/31/2008	$1.498	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0255	Firm Fixed Price	Yes	06/05/2007	06/05/2007	06/05/2007	$.043	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-06-C-0266 Option Year I - Planned	Firm Fixed Price	No	9/30/2007	9/30/2007	9/30/2008	$.200	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-2314	Firm Fixed Price	Yes	8/22/2007	9/15/2007	11/15/2007	$.047	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0231	Firm Fixed Price	Yes	5/17/2007	7/15/2007	12/31/2008	$.273	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
SECHQ1-07-F-0384	Firm Fixed Price	Yes	8/16/2007	9/16/2007	9/16/2008	$.045	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315 BaierL@SEC.gov	2	Yes
FY 08 – Infrastructure Support Steady State Planned	Firm Fixed Price, Multiple Task Orders, Various Contracts	No	10/1/2007	10/1/2007	9/30/2008	$49.660	No	Yes	Yes	N/A	No	Yes	Julie Whitmore-Sevin			
FY 08 – Infrastructure Support DME	Firm Fixed Price, Multiple Task Orders and Various Contracts	No	10/1/2007	10/1/2007	9/30/2008	$14.600	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	1	No
FY 09 – Infrastructure Support – Steady State	Firm Fixed Price Multiple Task Orders and Contracts	No	Oct 2008 – Jun 2009										TBD			
FY 09– Infrastructure Support – DME	Firm Fixed Price Multiple Task Orders and Contracts	No	Jan 2009 – Aug 2009										TBD			
FY 10 – Infrastructure Support – Steady State	Firm Fixed Price Multiple Task Orders and Contracts	No	Oct 2009 Jun 2010										TBD			

FY 10– Infrastructure Support – DME	Firm Fixed Price Multiple Task Orders and Contracts	No	Jan 2010 – Aug 2010									TBD		
FY 11 – Infrastructure Support – Steady State	Firm Fixed Price Multiple Task Orders and Contracts	No	Oct 2010 – Jun 2011									TBD		
FY 11– Infrastructure Support – DME	Firm Fixed Price Multiple Task Orders and Contracts	No	Jan 2011 – Aug 2011									TBD		
FY 12 – Infrastructure Support – Steady State	Firm Fixed Price, Multiple Task Orders and Contracts	No	Jan 2012 – Aug 2012									TBD		
FY 12 – Infrastructure Support - DME	Firm Fixed Price, Multiple Task Orders and Contracts	No	Jan 2012- Aug 2012									TBD		

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 is not required on equipment purchases or some small service contracts as the cost of performing earned value would exceed the cost of the contract itself and would therefore offer minimal value to the Agency. The larger contracts and task orders are for the most part level-of-effort-based operations and maintenance services and as such are exempt from Earned Value handling. In the event of a major individual acquisition within this program, our investment management policy requires conformance to FAR guidelines on earned value management.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why: Overall ADA compliance responsibilities within the SEC falls to the Office of Human Resources. Within OIT, the Information Resource Management Branch is responsible for standards compliance/policy for Section 508. Under the SEC CPIC process, the IRM Assistant Director for OFA is a member of the OIT Project Review Board, which is the first level decision authority (also providing the most detailed review). All IT investment proposals pass through the PRB prior to concept approval (The following was not included in the OMB submission due to a character limitation): and prior to acquisition execution approval. In addition, all DME efforts pass through the phase gate technical reviews established by CMQA. Successful completion of these reviews is required before OIT permits any system to enter production.

During the initiation phase, CMQA identifies any potential Section 508 compliance issues and the project team must resolve those issues prior to the PRB voting for project approval. CMQA (through the PRB process) further reviews a more detailed project plan and the contract itself prior to contract issuance. If the project team cannot readily resolve the issues then OHR has processes for evaluating and documenting Section 508 waivers. CMQA addresses Section 508 issues as part of the various technical reviews during the project execution phase/s, and conducts specific automated Section 508 compliance tests during all pre-production testing. For those systems where the project team knows that the SEC has potential users with known disabilities, the project team often elects (or may be directed by CMQA) to conduct specific user testing on the system.

The SEC also maintains an advisory group (DIAC) to serve as a focal point for identifying post-fielding Section 508 issues that may emerge as a result of the use of a system.

After the execution phase, COTRs inspect contract deliverables to ensure that they meet all requirements, including those established under Section 508, prior to taking acceptance of the deliverables.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes
   a. If "yes," what is the date? 10/01/2004
   b. If "no," will an acquisition plan be developed? Yes for the FY 2008 Recompete
      1. If "no," briefly explain why: An Acquisition Plan for the new Infrastructure Recompete is currently being developed and should be complete by December 2007

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 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 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 at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

PERFORMANCE INFORMATION

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	Maximize the Use of SEC Resources	Technology	**Information Management**	**Enterprise Storage and Backup costs**	**Enterprise Storage and backup costs are $55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 5% by reconstructing storage tiers**	**Goal was exceeded by purchasing the tier 2 storage for Litigation data instead of the tier 1**
2006	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Increase IT asset accountability by 15%**	**The goal for 75% asset accountability was met.**
2006	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from Dyncorp contract incentive award fees problem resolution rate**	**Develop Baseline metrics**	**The goal of developing a set of baseline metrics was started in FY 06. It is ongoing.**
2006	Maximize the Use of SEC Resources	Technology	Reliability	**Reliability and Availability**	**Milestone schedules maintained by program managers**	**Refresh 25% of the servers and desktops annually as scheduled**	**9% of the Agency's Laptops and Desktops were replaced in FY**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
							06. A smaller number of computers were replaced in FY06 due to MS Vista possible rollout in FY07/FY 08.
2006	Maximize the Use of SEC Resources	Process and Activities	**Efficiency**	**Servers and Network System Patch Status Compliance**	**Servers and Network System Operational "High and Critical" patch status compliance**	**Develop Baseline metrics**	**Applied 79 patches in FY06. 100% of high and critical patches were applied. Goal met.**
2007	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from Dyncorp contract incentive award fees problem resolution rate**	**Improve SLA response time by 5%**	**The goal of developing a set of baseline metrics was started in FY 06 and continued to be modified in FY 07. It is ongoing.**
2007	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**System maintenance costs in relation to new DME's**	**Infrastructure system maintenance costs are 20% of DME**	**Reduce new system maintenance costs by 1%**	**Goal was met as new System Maintenance costs did not exceed 19%**
2007	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Increase IT asset accountability by 20%**	**The goal for 80% asset accountability was met.**
2007	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 2%**	**Analysis is ongoing and will be reviewed and reported in FY 08**
2007	Maximize the Use of SEC Resources	Technology	**Information Management**	**Enterprise Storage and Backup Costs**	**Enterprise Storage and backup costs are $ 55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 10% by reconstructing storage tiers**	**Goal was exceeded by purchasing additional Tier 2 storage for Litigation and file server data instead of the tier 1 storage.**
2007	Maximize the Use of SEC Resources	Mission and Business Results	**Services Efficiency**	**Increase Network Capacity and Growth for**	**Current Bandwidth**	**Increase bandwidth to satisfy FY 07 communications**	**Goal met: Increased and resized bandwidth to**

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All dollar amounts must be reported in millions with at least 3 decimals (6 decimals available)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				Data		requirements	**satisfy FY07 communications requirements.**
2007	Maximize the Use of SEC Resources	Technology	**Reliability**	**Reliability and Availability**	**Milestone Schedules maintained by Program Managers**	**Refresh 25% of the servers and desktops annually as scheduled**	**Desktops were refreshed as scheduled. 25% of all servers were not refreshed as our previous refresh cycle precluded the need to update that many servers this year.**
2007	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**Reliability and Availability**	**Servers and Network System Operating "High and Critical" Patch Status Compliance**	**Increase Compliance by 5%**	**100% of high and critical patches were applied. Goal met.**
2008	Maximize the Use of SEC Resources	Customer Results	**Efficiency**	**NOC Service Level Agreement**	**Milestone schedules maintained by program manager**	**Improve SLA response time by 25%**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Technology	**Reliability**	**Technology Refresh**	**Milestone schedules maintained by program managers**	**Refresh 25% of the servers and Desktops as scheduled**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Technology	**Information Management**	**Dashboard Statistics Report**	**Enterprise Storage and backup costs are $ 55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 15% by reconstructing storage tiers**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Process and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Increase IT asset accountability by 25%**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**System Maintenance costs in relation to new DME's**	**Infrastructure System Maintenance costs are 20% of DME**	**Reduce new system maintenance costs by 2%**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the	Customer	**Timeliness**	**Help Desk**	**FY 2005 Data**	**Improve SLA**	**Goal will be**

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Use of SEC Resources	Results		**Service Level Agreements**	**from DynCorp contract incentive award fees problem resolution rate**	**response time by 7%**	**reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 4%**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Mission and Business Results	**Service Efficiency**	**Increase Network Capacity and Growth for Data**	**Current Bandwidth**	**Increase Bandwidth to satisfy FY08 communications requirements**	**Goal will be reviewed and reported in FY 08**
2008	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**Reliability and Availability**	**Servers and Network System Operating "High and Critical" patch status compliance**	**Increase compliance by 7%**	**Goal will be reviewed and reported in FY 08**
2009	Maximize the Use of SEC Resources	Customer Results	**Service Efficiency**	**NOC Service Level Agreement**	**Milestone schedules maintained by program manager**	**Improve SLA response time by 25%**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Technology	**Reliability**	**Technology Refresh. Review upgrade standards and reorient the program**	**Milestone schedules maintained by program managers**	**Refresh remaining servers and desktops scheduled. Review current technology and develop new refresh policy**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**System Maintenance Costs**	**Infrastructure system maintenance are 20% of relation to new DME's**	**Reduce new system maintenance costs by 3%**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from DynCorp contract incentive**	**Improve response time by 10%**	**Goal will be reviewed and reported in FY 09**

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					award fee problem resolution rate		
2009	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 6%**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Technology	**Information Management**	**Dashboard Statistics Report**	**Enterprise Storage and backup costs are $55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 20% by reconstructing storage tiers**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Increase IT asset accountability by 30%**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Mission and Business Results	**Services Efficiency**	**Increase Network Capacity and Growth for Data**	**Current Bandwidth**	**Increase Bandwidth to satisfy FY09 communications requirements**	**Goal will be reviewed and reported in FY 09**
2009	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**Reliability and Availability**	**Servers and Network System Operating "High and Critical" patch status compliance**	**Increase compliance by 10%**	**Goal will be reviewed and reported in FY 09**
2010	Maximize the Use of SEC Resources	Customer Results	**Service Efficiency**	**NOC Service Level Agreement**	**Milestone schedules maintained by program manager**	**Improve SLA response time by 15%**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Technology	**Reliability**	**Technology Refresh. Review upgrade standards and reorient the program**	**Milestone schedules maintained by program managers**	**Refresh remaining servers and desktops scheduled. Review current technology and develop new refresh policy**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**System Maintenance Costs**	**Infrastructure system maintenance**	**Reduce new system maintenance**	**Goal will be reviewed and reported in FY**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					are 20% of relation to new DME's	costs by 4%	10
2010	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from DynCorp contract incentive award fee problem resolution rate**	**Improve response time by 12%**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 8%**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Technology	**Information Management**	**Dashboard Statistics Report**	**Enterprise Storage and backup costs are $55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 25% by reconstructing storage tiers**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Increase IT asset accountability by 35%**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Mission and Business Results	**Services Efficiency**	**Increase Network Capacity and Growth for Data**	**Current Bandwidth**	**Increase Bandwidth to satisfy FY10 communications requirements**	**Goal will be reviewed and reported in FY 10**
2010	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**Reliability and Availability**	**Servers and Network System Operating "High and Critical" patch status compliance**	**Increase compliance by 12%**	**Goal will be reviewed and reported in FY 10**
2011	Maximize the Use of SEC Resources	Customer Results	**Service Efficiency**	**NOC Service Level Agreement**	**Milestone schedules maintained by program manager**	**Improve SLA response time by 15%**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Technology	**Reliability**	**Technology Refresh. Review upgrade**	**Milestone schedules maintained by program**	**Refresh remaining servers and desktops**	**Goal will be reviewed and reported in FY 11**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				standards and reorient the program	managers	scheduled. Review current technology and develop new refresh policy	
2011	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**System Maintenance Costs**	**Infrastructure system maintenance are 20% of relation to new DME's**	**Reduce new system maintenance costs by 5%**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from DynCorp contract incentive award fee problem resolution rate**	**Improve response time by 15%**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 10%**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Technology	**Information Management**	**Dashboard Statistics Report**	**Enterprise Storage and backup costs are $55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by 30% by reconstructing storage tiers**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Have 100% IT asset accountability**	**Goal will be reviewed and reported in FY 11**
2011	Maximize the Use of SEC Resources	Mission and Business Results	**Services Efficiency**	**Increase Network Capacity and Growth for Data**	**Current Bandwidth**	**Increase Bandwidth to satisfy FY11 communications requirements**	**Goal will be reviewed and reported in FY 11**
2012	Maximize the Use of SEC Resources	Customer Results	**Service Efficiency**	**NOC Service Level Agreement**	**Milestone schedules maintained by program manager**	**Improve SLA response time by 15%**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Customer Results	**Timeliness**	**Help Desk Service Level Agreements**	**FY 2005 Data from DynCorp contract incentive**	**Improve response time by 15%**	**Goal will be reviewed and reported in FY 12**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					award fee problem resolution rate		
2012	Maximize the Use of SEC Resources	Mission and Business Results	**Service Efficiency**	**Increase Network Capacity and Growth for Data**	**Current Bandwidth**	**Increase Bandwidth to satisfy FY12 communications requirements**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Technology	**Reliability**	**Technology Refresh. Review upgrade standards and reorient the program**	**Milestone schedules maintained by program managers**	**Refresh remaining servers and desktops scheduled. Review current technology and develop new refresh policy**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Technology	**Information Management**	**Dashboard Statistics Report**	**Enterprise Storage and backup costs are $55.00 per Gigabyte**	**Reduce enterprise storage and backup costs per Gigabyte by reconstructing storage tiers**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**Reliability and Availability**	**Servers and Network System Operating "High and Critical" patch status compliance**	**Increase compliance by**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Processes and Activities	**Financial Management**	**Application Licensing**	**Contain application licensing costs**	**Leverage Govt buying power and reduce licensing costs by 10%**	**Goal will be reviewed and reported in FY 12**
2012	Maximize the Use of SEC Resources	Processes and Activities	**Efficiency**	**IT Asset Accountability**	**IT Assets are at 60% accountability**	**Have 100% IT asset accountability**	**Goal will be reviewed and reported in FY 12**

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 is planned, include the investment in both the "Systems in Planning" table (3) and the "Operational Systems" table (4). 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 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: 5.00%

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 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 increase in funding is requested. The agency invested several million dollars in FY05 and FY06 to address POAM weaknesses. Ongoing security control and mitigation actions are captured in the GSS out-year operating and acquisition costs.

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

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? This system is operated within the SEC's facility and must conform to all SEC Information Technology policies and procedures including security. Compliance is monitored through periodic checks as well as the SEC's general automated tools. With regard to physical security and personnel reliability, the SEC requires all personnel,

including contractors, to complete clearance processes that include a background check and non-disclosure signatures before being allowed access to the facilities or any SEC data system. Risks are further mitigated by audit trails and separation of duties. The GAO has reviewed the SEC's IT Security program over the last 2 years and has closed out almost all findings.

8. Planning & Operational Systems – Privacy:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there a Privacy Impact Assessment (PIA) that 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
GSS	No	N	\<Medium Text\>	No	\<Medium Text\>
(d) If "Yes" to ©, provide the links to the publicly posted PIA(s) with which this system is associated. If No to © provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.. The Privacy Office pre-screening indicates that no PIA is required. (f) If "Yes" to (e), provide the links to where the current and up-to-date SORN 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 The Privacy Office pre-screening indicates that no SORN is required. Note links must be provided to specific documents, not general privacy websites.					

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

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?   Yes. The SEC is a small, non-scorecard agency currently not required to perform Enterprise Architecture assessments.

    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. The SEC is a small non-scorecard agency currently not required to perform Enterprise Architecture assessments, but we will be publishing out the SEC EA Transition Strategy by the end of FY2007.

    b. If "no," please explain why?

    3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? No. The SEC is a small non-scorecard agency currently not required to perform Enterprise Architecture assessments, but we will be publishing out the SEC EA Transition Strategy by the end of FY2007.
    If Yes, provide the name of the segment architecture:_____

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3. Service Component 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	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Standardized /Canned	**Defines the set of capabilities that support the use of pre-conceived or pre-written reports.**	Reporting	Standardized / Canned			Internal	0
OLAP	**Defines the set of capabilities that support the**	Reporting	OLAP			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	analysis of information that has been summarized into multidimensional views and hierarchies.						
Change Management	Defines the set of capabilities that control the process for updates or modifications to the existing documents, software or business processes of an organization.	Management of Process	Change Management			Internal	0
Configuration Management	Defines the set of capabilities that control the hardware and software environments, as well as documents of an organization.	Management of Process	Configuration Management			Internal	0
Risk Management	Defines the set of capabilities that support the identification and probabilities or chances of hazards as they relate to a task, decision or long-term goal.	Management of Process	Risk Management			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
		Organizational Management	Workgroup / Groupware				
		Organizational Management	Network Management				
Property / Asset Management	Defines the set of capabilities that support the identification, planning and allocation of an organization's physical capital and resources.	Assets / Materials Management	Property / Asset Management			Internal	0
Asset Cataloging / Identification	Defines the set of capabilities that support the listing and specification of available assets.	Assets / Materials Management	Asset Cataloging / Identification			Internal	0
Asset Transfer, Allocation, and Maintenance	Defines the set of capabilities that support the movement, assignment, and replacement of assets.	Assets / Materials Management	Asset Transfer, Allocation, and Maintenance			Internal	0
Facilities Management	Defines the set of capabilities that support the construction, management and maintenance of facilities for an organization.	Assets / Materials Management	Facilities Management			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Computers / Automation Management	Defines the set of capabilities that support the identification, upgrade, allocation and replacement of physical devices, including servers and desktops, used to facilitate production and process-driven activities.	Assets / Materials Management	Computers / Automation Management			Internal	0
Data Exchange	Support the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered.	Data Management	Data Exchange			Internal	0
Data Mart	Defines the set of capabilities that support a subset of a data warehouse for a single department or function within an organization.	Data Management	Data Mart			Internal	0
Data Warehouse	Defines the set of capabilities that support the archiving and storage of large volumes of data.	Data Management	Data Warehouse			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Meta Data Management	Defines the set of capabilities that support the maintenance and administration of data that describes data.	Data Management	Meta Data Management			Internal	0
Data Cleansing	Defines the set of capabilities that support the removal of incorrect or unnecessary characters and data from a data source.	Data Management	Data Cleansing			Internal	0
Extraction and Transformation	Defines the set of capabilities that support the manipulation and change of data.	Data Management	Extraction and Transformation			Internal	0
Loading and Archiving	Defines the set of capabilities that support the population of a data source with external data.	Data Management	Loading and Archiving			Internal	0
Data Recovery	Defines the set of capabilities that support the restoration and stabilization of data sets to a consistent, desired state.	Data Management	Data Recovery			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Data Classification	Defines the set of capabilities that allow the classification of data.	Data Management	Data Classification			Internal	0
Identification and Authentication	Defines the set of capabilities that support obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users.	Security Management	Identification and Authentication			Internal	0
Access Control	Defines the set of capabilities that support the management of permissions for logging onto a computer or network.	Security Management	Access Control			Internal	0
Intrusion Prevention	. Perform penetration testing and other measures to prevent unauthorized access to a government information system	Security Management	Intrusion Prevention			Internal	0
Intrusion Detection	Defines the set of capabilities that support	Security Management	Intrusion Detection			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	the detection of illegal entrance into a computer system.						
Incident Response	Provide active response and remediation to a security incident that has allowed unauthorized access to a government information system	Security Management	Incident Response			Internal	0
Digital Signature	Defines the set of capabilities that guarantee the unaltered state of a file.	Security Management	Digital Signature Management			Internal	0
Certification and Accreditation	Support the certification and acreditation (C&A) of federal information systems, as described in NIST SP800-37.	Security Management	Certification and Accreditation			Internal	0
FISMA Management and Reporting	Support management and reporting of compliance	Security Management	Role / Privilege Management			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	with the Federal Information Security Management Act of 2002						
Audit Trail Capture and Analysis	Defines the set of capabilities that support the identification and monitoring of activities within an application or system.	Security Management	Audit Trail Capture and Analysis			Internal	0
Virus Protection	Provide anti-virus service to prevent, detect, and remediate infection of government computing assets	Security Management	Virus Protection			Internal	0
Threaded Discussions	Defines the set of capabilities that support the running log of remarks and opinions about a given topic or subject.	Collaboration	Threaded Discussions			Internal	0
Document Library	Defines the set of capabilities that support the grouping and archiving of files and records on a server.	Collaboration	Document Library			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Shared Calendaring	Defines the set of capabilities that allow an entire team as well as individuals to view, add and modify each other's schedules, meetings and activities.	Collaboration	Shared Calendaring			Internal	0
Task Management	Defines the set of capabilities that support a specific undertaking or function assigned to an employee.	Collaboration	Task Management			Internal	0
Precision / Recall Ranking	Defines the set of capabilities that support selection and retrieval of records ranked to optimize precision against recall.	Search	Precision / Recall Ranking			Internal	0
Classification	Defines the set of capabilities that support selection and retrieval of records organized by shared characteristics in content or context.	Search	Classification			Internal	0
Pattern Matching	Defines the set of capabilities that support retrieval of records generated from a data	Search	Pattern Matching			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	source by imputing characteristics based on patterns in the content or context.						
Query	Defines the set of capabilities that support retrieval of records that satisfy specific query selection criteria.	Search	Query			Internal	0
Real Time / Chat	Defines the set of capabilities that support the conferencing capability between two or more users on a local area network or the internet.	Communication	Real Time / Chat			Internal	0
Instant Messaging	Defines the set of capabilities that support keyboard conferencing over a Local Area Network or the internet between two or more people.	Communication	Instant Messaging			Internal	0
Audio Conferencing	Defines the set of capabilities that support audio communications sessions among people who are geographically dispersed.	Communication	Audio Conferencing			Internal	0

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Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
Video Conferencing	Defines the set of capabilities that support video communications sessions among people who are geographically dispersed.	Communication	Video Conferencing			Internal	0
Event / News Management	Defines the set of capabilities that monitor servers, workstations and network devices for routine and non-routine events.	Communication	Event / News Management			Internal	0
Community Management	Defines the set of capabilities that support the administration of online groups that share common interests.	Communication	Community Management			Internal	0
Computer / Telephony Integration	Defines the set of capabilities that support the connectivity between server hardware, software and telecommunications equipment into a single logical system.	Communication	Computer / Telephony Integration			Internal	0
Voice Communications	Provide telephony or other voice communicatio	Communication	Voice Communications			Internal	0

3. Service Component 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	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	ns.						
License Management	Defines the set of capabilities that support the purchase, upgrade and tracking of legal usage contracts for system software and applications.	Systems Management	License Management			Internal	0
Remote Systems Control	Defines the set of capabilities that support the monitoring, administration and usage of applications and enterprise systems from locations outside of the immediate system environment.	Systems Management	Remote Systems Control			Internal	0
System Resource Monitoring	Defines the set of capabilities that support the balance and allocation of memory, usage, disk space and performance on computers and their applications.	Systems Management	System Resource Monitoring			Internal	0
Software Distribution	Defines the set of capabilities that support the propagation, installation and upgrade of written	Systems Management	Software Distribution			Internal	0

3. Service Component 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	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	computer programs, applications and components.						
Issue Tracking	Receive and track user-reported issues and problems in using IT systems, including help desk calls.	Systems Management	Issue Tracking			Internal	0
Legacy Integration	Support the communication between newer generation hardware/software applications and the previous, major generation of hardware/software applications	Development and Integration	Legacy Integration			Internal	0
Enterprise Application Integration	Support the redesigning of disparate information systems into one system that uses a common set of data structures and rules	Development and Integration	Enterprise Application Integration			Internal	0
Data Integration	Support the organization of data from separate data sources into a single source using middleware or application integration as well as the modification of system data	Development and Integration	Data Integration			Internal	0

3. Service Component 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	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
	models to capture new information within a single system						
Instrumentation and Testing	Support the validation of application or system capabilities and requirements	Development and Integration	Instrumentation and Testing			Internal	0
Software Development	Support the creation of both graphical and process application or system software	Development and Integration	Software Development			Internal	0
Forms Creation	Defines the set of capabilities that support the design and generation of electronic or physical forms and templates for use within the business cycle by an organization and its stakeholders.	Forms Management	Forms Creation			Internal	0
Forms Modification	Defines the set of capabilities that support the maintenance of electronic or physical forms, templates and their respective elements and fields.	Forms Management	Forms Modification			Internal	0

a. Use existing Service Reference Model (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 % of the BY requested funding level transferred to another agency to pay for the service. The percentages in this column can, but need not, add up to 100%.

4.   Technical Reference Model 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)
Email, Shared Calendar, Task Management	Service Access & Delivery	Access Channel	Web Browser	Internet Explorer
Email, Shared Calendar, Task Management	Service Access & Delivery	Access Channel	Wireless / PDA	Blackberry
Email, Shared Calendar, Task Management	Service Access & Delivery	Access Channel	Collaboration Communications	MS Outlook 2003
Shared Calendar, Real Time/Chat, Instant Messaging	Service Access & Delivery	Access Channel	Collaboration Communications	MS Communicator 2005
Audio Conferencing, Video Conferencing.	Service Access & Delivery	Access Channel	Collaboration Communications	Meeting Place
Email, Shared Calendar, Task Management	Service Access & Delivery	Access Channel	Other Electronic Channels	Synchrologic Mobile Suite for PDAs via LAN
Network Management	Service Access & Delivery	Delivery Channel	Internet	AT&T Service Provider
Event/News Management	Service Access & Delivery	Delivery Channel	Intranet	SEC's Internal web site
Network Management	Service Access & Delivery	Delivery Channel	Extranet	EDGAR System
Network Management	Service Access & Delivery	Delivery Channel	VPN	Cisco VPN / 3030
Configuration Management	Service Access & Delivery	Service Requirement	Legislative / Compliance	Section 508
Risk Management	Service Access & Delivery	Service Requirement	Legislative / Compliance	Privacy
Identification and Authentication, Access Control	Service Access & Delivery	Service Requirement	Authentication	Active Directory (AD)
Network Management	Service Access & Delivery	Service Requirement	Hosting	Internal
Email	Service Access & Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol (IMAP)
Email	Service Access & Delivery	Service Transport	Supporting Network Services	Simple Mail Transfer Protocol (SMTP)
System Resource Monitoring	Service Access & Delivery	Service Transport	Supporting Network Services	Simple Network Mgmt. Protocol (SNMP)

4. Technical Reference Model 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)
Access Control,	Service Access & Delivery	Service Transport	Supporting Network Services	Lightweight Directory Access Protocol (LDAP)
Identification and Authentication, Access Control	Service Access & Delivery	Service Transport	Supporting Network Services	Directory Services (X.500)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Dynamic Host Config. Protocol (DHCP)
Email	Service Access & Delivery	Service Transport	Supporting Network Services	Multipurpose Internet Mail Extns. (MIME)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Border gateway Protocol (BGPv4)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Open Shortest Path First (OSPF)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Domain Name Systems (DNS)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Internet Control Message Protocol (ICMP)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Dynamic DNS (DDNS)
Identification and Authentication, Access Control	Service Access & Delivery	Service Transport	Supporting Network Services	Active Directory (AD)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Internet Protocol (IPv4)
Email	Service Access & Delivery	Service Transport	Supporting Network Services	Hyper Text Transfer Protocol (HTTP1.1)
Workgroup\Groupware	Service Access & Delivery	Service Transport	Supporting Network Services	File Transfer Protocol (FTP) - inbound only
Workgroup\Groupware	Service Access & Delivery	Service Transport	Supporting Network Services	Common Internet File System (CIFS/SMB)
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	NetBios
Asset Cataloging/Identification, Asset Transfer, Allocation and Maintenance, Computer/Automation Management	Service Access & Delivery	Service Transport	Supporting Network Services	SMS
Email, Shared Calendar, Task Management	Service Platform and Infrastructure	Supporting Platform	Wireless Mobile	Blackberry
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Windows 2000
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Sun Solaris
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Linux
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Windows NT
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Windows 2003 - Server
Workgroup\Groupware	Service Platform and Infrastructure	Supporting Platform	Servers, Computers	Windows XP - Client
Workgroup\Groupware	Service Platform and Infrastructure	Delivery Servers	Web Servers	Apache
Workgroup\Groupware	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Servers
Workgroup\Groupware	Service Platform and Infrastructure	Delivery Servers	Web Servers	Tomcat
Workgroup\Groupware	Service Platform and	Delivery Servers	Web Servers	Netscape

4. Technical Reference Model 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)
	Infrastructure			
Workgroup\Groupware, Community Management, Threaded Discussions, Document Library	Service Platform and Infrastructure	Delivery Servers	Portal Server	Sharepoint 2003
Workgroup\Groupware	Service Platform and Infrastructure	Delivery Servers	Peripherals	Microsoft Windows 2003
Workgroup\Groupware	Service Platform and Infrastructure	Delivery Servers	Application Servers	Internet Information Servers
Precision Recall, Classification, Pattern Matching, Query	Service Platform and Infrastructure	Delivery Servers	Application Servers	Autonomy
Software Development	Service Platform and Infrastructure	Delivery Servers	Application Servers	Tomcat
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Power J
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	SQL Programmer
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Jbuilder Java Tool
Software Development, Forms Modification, Forms Creation	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	PureEdge
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	NETBEANS
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	STRUTS
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Dreamweaver
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	CVS tool
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Merant PVCS Tool
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Defect Management
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Merant PVCS Tool
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Requirement Management - DOOR
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Task Management - PVCS
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management - PVCS
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Deployment Management – PVCS
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing - Test Director/QuickTest
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Unit Testing - Test Director/QuickTest
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Usability Testing - Test Director/QuickTest
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Load/Stress/Vol. Testing - WinRunner/Load Runner
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Performance Testing - WinRunner/Load Runner
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Security and Access Control Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Configuration Testing - Test Director/QuickTest

4. Technical Reference Model 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)
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Infrastructure Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Installation Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Reliability Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	User Acceptance Testing
Data Warehouse, Data Mart, Meta Data Management, Data Cleansing, Data Classification	Service Platform and Infrastructure	Database / Storage	Databases	Oracle
Data Warehouse, Data Mart, Meta Data Management, Data Cleansing, Data Classification	Service Platform and Infrastructure	Database / Storage	Databases	MS SQL
Data Warehouse, Data Mart, Meta Data Management, Data Cleansing, Data Classification	Service Platform and Infrastructure	Database / Storage	Databases	Sybase
Software Development	Service Platform and Infrastructure	Database / Storage	Database	PowerDesigner
Software Development	Service Platform and Infrastructure	Database / Storage	Database	DBArtisan
Software Development	Service Platform and Infrastructure	Database / Storage	Database	Rapid SQL
Software Development	Service Platform and Infrastructure	Database / Storage	Database	ER Studio
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Network Attached Storage (NAS)
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN)
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Sun Attached Array
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Net Apps
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Internet backup servers
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Backup
Workgroup\Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise/Workgroup
Workgroup\Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Laptops/Notebooks
Workgroup\Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printers
Workgroup\Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Scanners
Workgroup\Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Plotters
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	Frame Relay
Encryption, Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	IPSec Tunnels
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	FDDI
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	DWDM

4. Technical Reference Model 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)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	TLS
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network	Ethernet (100MB/Gigabit)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network	Virtual VLANs
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Hub
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Switches
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Routers
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	T1/T3 (channelized)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Digital Subscriber Line (DSL)
Intrusion Detection, Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Firewall
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Caching Server
Voice Communication	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices	Voice Over IP
Digital Signature	Component Framework	Security	Certificate / Digital Signature	Digital Certificate Authentication
Email	Component Framework	Security	Supporting Security Service	Secure Multipurpose Internet Mail Extn (S/MIME)
Intrusion Detection, Risk management	Component Framework	Security	Supporting Security Service	Antivirus
Verification	Component Framework	Security	Supporting Security Service	Kerberos
Identification and Authentication,	Component Framework	Security	Supporting Security Service	TACACS
Software Development	Component Framework	Presentation / Interface	Static Display	HyperText Markup Language (HTML)
Software Development	Component Framework	Presentation / Interface	Dynamic / Server side Display	Java Server pages (JSP)
Data Exchange	Component Framework	Presentation / Interface	Dynamic / Server side Display	XML
Software Development	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML)
Software Development	Component Framework	Presentation / Interface	Content Rendering	XHTML
Software Development	Component Framework	Presentation / Interface	Content Rendering	Cascading Style Sheets (CSS)
Software Development	Component Framework	Business Logic	Platform Independent	Enterprise Java Beans
Software Development	Component Framework	Business Logic	Platform Independent	Java Script
Software Development	Component Framework	Business Logic	Platform Independent	Java Portlet API
Software Development	Component Framework	Business Logic	Platform Dependent	Power Builder
Data Exchange	Component Framework	Data Interchange	Data Exchange	XML
Data Exchange	Component Framework	Data Interchange	Data Exchange	SQL
Data Exchange	Component Framework	Data Interchange	Data Exchange	Simple Object Access Protocol (SOAP)
Data Exchange	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Data Exchange	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Ad Hoc, Standardized	Component Framework	Data Management	Reporting and Analysis	Actuate
Data Exchange	Component Framework	Data Management	Reporting and Analysis	XBRL - Used in EDGAR
OLAP	Component Framework	Data Management	Reporting and Analysis	Business Objects (OLAP)
Ad Hoc, Standardized	Component Framework	Data Management	Reporting and Analysis	WebFOCUS
Ad Hoc, Standardized	Component Framework	Data Management	Reporting and Analysis	Crystal Reports
Ad Hoc, Standardized	Component Framework	Data Management	Reporting and Analysis	HEAT for Help Desk
Network Management	Component Framework	Data Management	Reporting and Analysis	HP Open View

Short text - 250 characters Medium text - 500 characters Long text - 2500 characters
All dollar amounts must be reported in millions with at least 3 decimals (6 decimals available)

4. Technical Reference Model 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)
Network Management	Component Framework	Data Management	Reporting and Analysis	Cisco Works
Network Management	Component Framework	Data Management	Reporting and Analysis	Network Health
Network Management	Component Framework	Data Management	Reporting and Analysis	NetCool
Network Management	Component Framework	Data Management	Reporting and Analysis	MRTG
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	Remote Procedure Calls (RPC) - Sybase-ASE
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	MS-IIS
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	TOMCAT / JBOSS
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	J-CONNECT / JDBC
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	Database Access:TRAN-SQL
Data Integration, Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	Database Access:ISQL / w – Sybase
Data Integration, Enterprise Application Integration, Legacy Integration	Service Interface and Integration	Integration	Middleware	Object Request Broker (ORB) - CORBA - EDGAR
Data Integration, Enterprise Application Integration, Legacy Integration	Service Interface and Integration	Integration	Middleware	Object Request Broker (ORB) - COM – EDGAR
Data Integration,	Service Interface and Integration	Integration	Middleware	EAS (EDGAR)
Enterprise Application Integration	Service Interface and Integration	Integration	Enterprise Application Integration	Business Process Management
Data Exchange, Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	eXtensible Markup Language (XML)
Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	XML Linking Language (XLINK)
Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	Name Spaces (AD/DNS)
Data Classification	Service Interface and Integration	Interoperability	Data Type / Validation	Document Type Definition - DTD (NRSI)
Data Classification	Service Interface and Integration	Interoperability	Data Type / Validation	XML Schema ver 1.1
Extract and Transformation, Loading and Archiving	Service Interface and Integration	Interoperability	Data Transformation	Document Type Definition - DTD (NRSI)
Extract and Transformation, Loading and Archiving	Service Interface and Integration	Interoperability	Data Transformation	eXtensible Stylesheet
Extract and Transformation, Loading and Archiving	Service Interface and Integration	Interoperability	Data Transformation	Language Transform (XSLT)
Enterprise Application Integration	Service Interface and Integration	Interface	Service Discovery	Universal Description Discovery and Integration (UDDI)
Enterprise Application Integration	Service Interface and Integration	Interface	Service description / Interface	Web Services Description Language (WSDL)
Enterprise Application Integration	Service Interface and Integration	Interface	Service description / Interface	Application Program Interface API/SOAP
Education/Training	Service Access &	Delivery Channel	E-Learning	E-Learning

4. Technical Reference Model 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)
	Delivery			
Network Management	Service Access & Delivery	Service Transport	Supporting Network Services	Internet Protocol (IPv6)

- 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.

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. N/A

6. Does this investment provide the public with access to a government automated information system? No.

   a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

      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).

PART II: Planning, Acquisition And Performance Information

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part 1, Section A above.

Section A: Alternatives Analysis (All Capital Assets)

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes
   a. If "yes," provide the date of the analysis: 09/08/2005
   b. If "no," what is the anticipated date this analysis will be completed? N/A
   c. If no analysis is planned, please briefly explain why: N/A

2. Alternatives Analysis Results:

Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative	Lifecycle Costs estimate	Lifecycle Benefits estimate
1- SELECTED ALTERNATIVE. Centralized Management of Infrastructure	Centralized Management of Infrastructure (Recommended). OIT manages all infrastructure-related assets centrally, establishing strong standardization and controls, taking advantage of economies of scale in purchasing and staffing, and sharing assets across systems, which controls steady state maintenance costs. The CPIC process ensures that all offices requirements are fully vetted, approved and in compliance with the Agency Enterprise Architecture. Since all aternatives result in an effective infrastructure, the benefits are set to be the same.	$652.351	$630.343
2- Decentralizing the provision of infrastructure to the system and regional zones	Decentralized Management and Provisioning of the Infrastructure (Baseline). The SEC has tracked the uncontrolled baseline costs since 2005 and currently permits each major system and each physical location with more acquisition authority and less central oversight so that each can acquire and provide its own	$853.718	$630.343

2. Alternatives Analysis Results:

Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative	Lifecycle Costs estimate	Lifecycle Benefits estimate
	infrastructure support. This will provide responsive and tailored service, but it risks substantial redundancy and technical incompatibility of hardware and data systems. We would lose economies of scale.		
3- Outsourcing with the maximum use of purchasing schedules and similar vehicles to create a largely contractor supported infrastructure	Infrastructure Outsourcing with limited Federal oversight. The SEC would outsource the planning, provisioning and support of IT infrastructure. Federal-wide vehicles should provide the SEC with further economies of scale and a pool of technically qualified personnel. Our cost model depicts lower FTE counts and initially lower costs, rising sharply, to match the Federal history of cost increases after establishing vendor dependence. We will assess this option further in FY08.	$669.731	$630.343

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?   In 2004 we selected Alternative 1 (Centralized Management of Infrastructure) which includes a ~ 70% Services outsourced solution with 30% Government personnel who provide oversight, design, and testing. Since we did not have better operational data, at the time this was our best opportunity to control cost of ownership by limiting the contractor's conflict of interest. Alternative 3 was not selected in 2004 because the SEC did not have the data or the expertise needed for an effective outsourcing effort and we were constrained by a multi-year LOE contract that expires in FY08. We are undertaking an investment to assess this alternative and preparing performance-based solicitation documents prior to undertaking a competitive acquisition of the replacement for the current level-of-effort contract.

4. What specific qualitative benefits will be realized? The SEC consolidated infrastructure program directly supports the Annual Performance Plan and SEC strategic goal # 4 of "Maximizing the Use of SEC Resources" by delivering reliable, cost effective, high quality, secure, and responsive IT products and services to the SEC and the public. The Infrastructure program provides the technology backbone (i.e. fiber connectivity, personal computers, application software, telecommunications, asset mgmt, security etc…) that supports all of the SEC's program offices (including the Office of Information Technology) and enables them to conduct the mission operations that supports the other strategic goals of the SEC: 1) Enforce Compliance with Federal Securities Laws; 2) Sustain an Effective and Flexible Regulatory Environment; and 3) Encourage and Promote Informed Investment Decision-making. In addition the entire program bears directly on the fourth goal,

"Maximize the Use of SEC Resources". These four goals directly and/or indirectly support the President's Management Agenda (PMA) as discussed below.

5. Will the selected alternative replace a legacy system in part or in whole? (Y/N) NO

   a. If "Yes", are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment? <<This investment, Legacy investment, Migration investment>>

   b. If "Yes", please provide the following information:

List of Legacy Investments or Systems		
Name of the Legacy Investment or System	UPI if available	Date of the system retirement

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 [each Program has a risk management plan as part of its program plan]
  a. If "yes," what is the date of the plan? Program Plans presented to SEC Information Officers Council Nov 2006 through January 2007 .
  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? N/A
  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:

SEC PMO guidance for project planning includes a comprehensive risk analysis process. This risk analysis process includes identification of risks, using the 19-factor framework established in OMB Circular A-11, and the risks are scored according to probability and impact. The score is translated into a cost and schedule buffer based on the total project cost. The project execution cost is then appended with this risk buffer amount, thereby creating the risk loading that OMB recommends. Once the investment moves into the execution phase, the risk management plan is

updated at least as often as each phase gate to reflect the current situation and the status of mitigation activities, and the buffers are adjusted or drawn down as appropriate.

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard – 748? No – costs cannot accurately be tracked to milestones because LOE component is not allocated to programs.

2. Is the CV or SV greater than +/-10%? - No- (CV%= CV/EV x 100; SV%= SV/PV x 100)

    a. If "yes," was it the? SV / CV / Both

    b. If "yes," explain the variance <long text>

    c. If "yes," what corrective actions are being taken? <long text>

3. Has the investment re-baselined during the past fiscal year? (Y/N) YES

    a. If "yes", when was it approved by the agency head? Not Approved

    b. If "yes", when was it approved by OMB? <date> Not Approved

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.

Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost ($M) Planned /Actual		Schedule/ Cost (# days/$M)		
Prior Years(FY 04 & 05) - Infrastructure Support - SS	9/30/2005	68.835	9/30/2005	9/30/2005	68.835	68.835	0	0.000	100.0%
Prior Years (FY 04 & 05) - Infrastructure Support - DME	9/30/2005	26.516	9/30/2005	5/30/2006	26.516	26.516	-242	0.000	100.0%
FY 06 -Data Admin & Mgmt - SS	9/30/2006	3.028	9/30/2006	9/30/2006	3.028	2.895	0	0.133	100.0%
FY 06 - Data Admin & Mgmt - DME	5/30/2006	0.400	5/30/2006	7/31/2007	0.400	0.364	-427	0.036	100.0%
FY 06 Data Center Operations - SS	9/30/2006	6.528	9/30/2006	9/30/2006	6.528	6.032	0	0.496	100.0%
FY 06 -Data Center Operations - DME	8/30/2006	0.700	8/30/2006	9/30/2006	0.700	0.938	-31	-0.238	100.0%
FY 06 - Data Network & Video Svcs - SS	9/30/2006	11.221	9/30/2006	9/30/2006	11.221	7.720	0	3.501	100.0%
FY 06 - Data Network & Video Svcs - DME	9/30/2006	4.159	9/30/2006	4/30/2007	4.159	1.877	-212	2.282	100.0%
FY 06 - End User Technology - SS	9/30/2006	2.380	9/30/2006	9/30/2006	2.380	2.406	0	-0.026	100.0%
FY 06 - End User Technology - DME	9/30/2006	1.807	9/30/2006	2/2/2007	1.807	2.533	-125	-0.726	100.0%
FY 06 - Servers, Storage and Backups - SS	9/30/2006	6.059	9/30/2006	9/30/2006	6.059	5.962	0	0.097	100.0%
FY 06 - Servers, Storage and Backups - DME	9/30/2006	2.544	9/30/2006	5/30/2007	2.544	2.400	-242	0.144	100.0%
FY 06 - User Spt & Training - SS	9/30/2006	7.431	9/30/2006	9/30/2006	7.431	7.961	0	-0.530	100.0%
FY 06 - User Spt & Training - DME	9/30/2006	0.794	9/30/2006	9/30/2006	0.794	0.698	0	0.096	100.0%
FY 06 - Remote Access &	9/30/2006	3.300	9/30/2006	9/30/2006	3.300	2.509	0	0.791	100.0%

Short text - 250 characters Medium text - 500 characters Long text - 2500 characters
All dollar amounts must be reported in millions with at least 3 decimals (6 decimals available)

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.

Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost ($M) Planned /Actual		Schedule/ Cost (# days/$M)		
Telework - SS									
FY 06 - Remote Access & Telework - DME	9/30/2006	1.150	9/30/2006	9/30/2006	1.150	1.010	0	0.140	100.0%
FY 06 - Testing and Configuration Management - SS	9/30/2006	0.416	9/30/2006	9/30/2006	0.416	0.416	0	0.000	100.0%
FY 06 - Testing and Configuration Management - DME	5/8/2007	1.843	5/8/2007	5/8/2007	1.843	1.251	0	0.592	100.0%
FY 06 - Disaster Recovery SS	9/30/2006	0.016	9/30/2006	9/30/2006	0.016	1.468	0	-1.452	100.0%
FY 06 - Disaster Recovery DME - DME	1/30/2007	0.770	1/30/2007	1/30/2007	0.770	0.770	0	0.000	100.0%
FY 07 -Data Admin & Mgmt - SS	9/30/2007	3.568	9/30/2007	9/30/2007	3.568	0.660	0	2.918	0.0%
FY 07 - Data Admin & Mgmt - DME	9/30/2007	0.575	3/15/2008		0.575	3.650	0	-3.301	92.0%
FY 07 Data Center Operations - SS	9/30/2007	7.063	9/30/2007	9/30/2007	7.063	7.523	0	-1.134	92.0%
FY 07 -Data Center Operations - DME	9/30/2007	3.278	1/30/2008		3.278	3.151	0	-2.754	92.0%
FY 07 - Data Network & Video Svcs - SS	9/30/2007	10.356	9/30/2007	9/30/2007	10.356	10.534	0	-0.586	92.0%
FY 07 - Data Network & Video Svcs - DME	9/30/2007	2.426	1/30/2008		2.426	2.395	0	-1.001	92.0%
FY 07 - End User Technology - SS	9/30/2007	2.602	9/30/2007	9/30/2007	2.602	2.950	0	0.341	92.0%
FY 07 - End User Technology - DME	9/30/2007	1.657	5/31/08		1.657	6.222	0	-0.225	92.0%
FY 07 - Remote Access & Telework - SS	9/30/2007	2.482	9/30/2007	9/30/2007	2.482	2.491	0	0.099	92.0%
FY 07 - Remote	9/30/2007	0.327	9/30/2007	9/30/2007	0.327	0.340	0	0.010	92.0%

4. Comparison of Initial Baseline and Current Approved Baseline:

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Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost ($M) Planned /Actual		Schedule/ Cost (# days/$M)		
Access & Telework - DME									
FY 07 - Servers, Storage and Backups - SS	9/30/2007	6.259	9/30/2007	9/30/2007	6.259	6.557	0	0.516	92.0%
FY 07 - Servers, Storage and Backups - DME	9/30/2007	3.470	6/16/08		3.470	3.452	0	-0.002	92.0%
FY 07 - Testing and Configuration Management - SS	9/30/2007	2.380	9/30/2007	9/30/2007	2.380	2.453	0	0.500	92.0%
FY 07 - Testing and Configuration Management - DME	9/30/2007	0.700	1/30/2008		0.700	0.900	0	2.011	92.0%
FY 07 - User Spt & Training - SS	9/30/2007	4.837	9/30/2007	9/30/2007	4.837	4.836	0	-0.245	92.0%
FY 07 - User Spt & Training - DME	9/30/2007	0.603	9/30/2007	9/30/2007	0.603	0.450	0	0.317	92.0%
FY 07 - Voice Networks - SS	9/30/2007	1.881	9/30/2007	9/30/2007	1.881	1.873	0	0.257	92.0%
FY 07 - Voice Networks - DME	9/30/2007	0.000	9/30/2007	9/30/2007	0.000	0.000	0	0.000	92.0%
FY 08 Data Administration and Management - SS	09/30/2008	3.500	09/30/2008		2.856		0	0.000	0.0
FY 08 Data Administration and Management - DME	01/30/2009	0 .600	01/30/2009		2.086		0	0.000	0.0
FY 08 Data Center Operations - SS	09/30/2008	8.437	09/30/2008		7.955		0	0.000	0.0
FY 08 Data Center Operations - DME	01/30/2009	1.000	01/30/2009		1.550		0	0.000	0.0
FY 08 Data Networks and Video Services - SS	09/30/2008	10.000	09/30/2008		10.353		0	0.000	0.0
FY 08 Data Networks and Video Services -	01/30/2009	1.000	01/30/2009		0.684		0	0.000	0.0

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Description of Milestone	Initial Baseline		Current Baseline			Current Baseline Variance		Percent Complete
	Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost ($M) Planned /Actual	Schedule/ Cost (# days/$M)		
DME								
FY 08 End User Technology - SS	09/30/2008	3.291	09/30/2008		3.211	0	0.000	0.0
FY 08 End User Technology - DME	01/30/2009	6.500	01/30/2009		3.333	0	0.000	0.0
FY 08 Office Relocation - SS	09/30/2008	0.00	09/30/2008		0.000	0	0.000	0.0
FY 08 Office Relocation - DME	01/30/2009	.250	01/30/2009		0.000	0	0.000	0.0
FY 08 Remote Access and Telework – SS	09/30/2008	2.700	09/30/2008		2.592	0	0.000	0.0
FY 08 Remote Access and Telework - DME	01/30/2009	0.00	01/30/2009		0.000	0	0.000	0.0
FY 08 Servers, Storage, and Backups - SS	09/30/2008	6.633	09/30/2008		6.702	0	0.000	0.0
FY 08 Servers, Storage, and Backups - DME	01/30/2009	3.450	01/30/2009		2.897	0	0.000	0.0
FY 08 Testing and Configuration Management - SS	09/30/2008	3.000	09/30/2008		2.109	0	0.000	0.0
FY 08 Testing and Configuration Management - DME	01/30/2009	1.200	01/30/2009		0.480	0	0.000	0.0
FY 08 User Support and Training/Customer Support - SS	09/30/2008	4.591	09/30/2008		5.751	0	0.000	0.0
FY 08 User Support and Training/Customer Support - DME	01/30/2009	.300	01/30/2009		1.570	0	0.000	0.0
FY 08 Voice Networks - SS	09/30/2008	2.130	09/30/2008		1.570	0	0.000	0.0
FY 08 Voice Networks - DME	01/30/2009	0.500	01/30/2009		0.000	0	0.000	0.0
FY 09	9/30/2009	54.060	9/30/2009		44.824	0	0.000	0.0

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Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost ($M) Planned /Actual		Schedule/ Cost (# days/$M)		
Infrastructure Spt - SS									
FY 09 Infrastructure Spt - DME	1/30/2010		1/30/2010						
FY 10 Infrastructure Support SS	09/30/2010		09/30/2010						
FY 10 Infrastructure Support - DME	1/30/2011		1/30/2011						
FY 11 Infrastructure Support - DME	1/30/2012		1/30/2012						
FY 11 Infrastructure Support - SS	9/30/2011		9/30/2011						
FY 12 Infrastructure Spt DME & SS	1/30/2013		1/30/2013						

Note: * Represents various projects that took place with FY2006 money consisting of various completion schedules. The date of the last anticipated projects is being used.

PART III: For "Operation and Maintenance" investments ONLY(Steady State)

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

Not Applicable – This is a Mixed –Life Cycle Investment