

## **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: 8/18/2006
2. Agency: 449, U.S. Securities and Exchange Commission
3. Bureau: 00
4. Name of this Capital Asset:
5. Unique Project (Investment) Identifier: (For IT investments only, see section 53. For all other, use agency ID system.)
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)  
 Planning  Full Acquisition  Operations and Maintenance  Mixed Life Cycle  E-Gov/LoB Oversight
7. What was the first budget year this investment was submitted to OMB?
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, 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 13 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? Yes

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: Richard Gordon

Phone Number 202-551-18174

E-mail GordonR@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)?

Provides an external website which gives citizens access to a help desk that answers a range of SEC-related information & questions. Thru 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. The infrastructure requires specialized competitive source expertise to maintain & develop. ~ 70% of the day-to-day infrastructure operation is outsourced.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part](http://www.whitehouse.gov/omb/part).) 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): Pending Listing from CIO Office

- 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-FY2006 agency high risk report (per OMB’s ‘high risk’ memo)?

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? Yes

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

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration’s approval? To the best of my knowledge no records produced by this investment are scheduled with the National Archives and Records Administration

**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.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b>									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and Earlier	PY 2006	CY 2007	BY 2008	BY+1 2009	BY+2 2010	BY+3 2011	BY+4 and beyond	Total
Planning:	0	0	0	0					0
Acquisition:	26.516	9.000	13.676	14.600					\$124.331
Subtotal Planning & Acquisition:	26.516	9.000	13.676	\$14.600					\$124.331
Operations & Maintenance:	68.835	32.636	49.980	49.660					428.745
<b>TOTAL:</b>	\$95.351	\$41.636	\$63.665	\$64.260					553.076
Government FTE Costs should not be included in the amounts provided above									
Government FTE Costs:	\$19.165	\$7.224	\$7.017	7.407					\$75.070
Number of FTE represented by Costs:	146.1	49	47.6	47.4					479.7

**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.

NOTE: Form 53 shows only \$26M in FY06 steady state because of the overage funding in prior-year money.

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 increased in PY 2006 to reflect actual spending. The increase reflects the actual acquisition costs which supported Agency goals and GAO mandates. The FY 06 SOS does not include outlays which used FY 05 dollars; these outlays are included in the Milestone Table. Out year Acquisitions and O&M costs increased by minor amounts to include OMB mandates for IPV6, and other SEC priorities.

**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
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	Y
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	Y
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	Y
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	Y

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**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 award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the Required security & privacy clauses?(Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level(Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO
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	Y
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	Y
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	Y
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	Y
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	Y
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	Y
SECHQ1-05-C-0056	Firm Fixed Price	Yes	1/19/2005	1/19/2005	1/18/2006 - Options	\$ 1.877	No	Yes	Yes	N/A	No	Yes	Linda Sudhoff	202-551-7436/SudhoffL@SEC.gov	3	Y
SECHQ1-05-C-0265	Firm Fixed Price	Yes	8/25/2005	4/1/2005	3/31/2006 - Options	\$ 0.110	No	No	Yes	N/A	No	Yes	Kim Davis	202-551-7311/DavisKH@SEC.gov	3	Y
SECHQ1-05-F-0062	Firm Fixed Price	Yes	3/31/2005	3/31/2005	11/11/2006 - Options	\$ 0.108	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/NewhartJ@SEC.gov	3	Y

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Contractor Task Order Number	Type of Contract/Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the Required security & privacy clauses?(Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level(Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO
SECHQ1-05-F-0085	T&M	Yes	1/28/2005	1/28/2005	1/27/2006 - Options	\$ 1.010	No	Yes	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	Y
SECHQ1-05-F-0223	T&M	Yes	5/6/2005	5/11/2005	5/10/2006 - Options	\$ 0.180	No	No	No	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	Y
SECHQ1-05-F-0264	Firm Fixed Price	Yes	6/7/2005	6/7/2005	7/4/2005	\$ 0.001	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	Y
SECHQ1-05-F-0283	Firm Fixed Price	Yes	6/22/2005	6/26/2005	6/25/2006	\$ -	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	Y
SECHQ1-05-F-0365	Firm Fixed Price	Yes	8/22/2005	8/22/2005	12/21/2005	\$ -	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-05-F-0408	T&M	Yes	9/19/2005	9/19/2005	9/18/2006 - Options	\$ 0.421	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-05-F-0430	Firm Fixed Price	Yes	9/20/2005	9/20/2005	10/20/2005	\$ 0.006	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-05-F-0433	Firm Fixed Price	Yes	9/20/2005	9/20/2005	9/19/2006	\$ 0.250	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-05-H-0423	IAA	Yes	3/17/2006	9/15/2005	9/30/2006	\$ 0.246	No	No	No	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	Y

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SECHQ1-05-P-0106	Firm Fixed Price	Yes	4/1/2005	12/1/2004	11/30/2005	\$ 0.017	No	No	Yes	N/A	No	Yes	Debra Chapman			
SECHQ1-05-P-0184	Firm Fixed Price	Yes	3/29/2005	4/14/2005	4/25/2005	\$ 0.037	No	Yes	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	
SECHQ1-05-P-0205	T&M	Yes	5/6/2005	5/9/2005	5/8/2006	\$ 0.001	No	No	No	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	
SECHQ1-05-P-0229	Firm Fixed Price	Yes	9/23/2005	9/26/2005	3/26/2006	\$ 0.028	No	No	No	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	
SECHQ1-06-A-0200	Firm Fixed Price	Yes	4/18/2006	4/18/2006	3/31/2007	\$ 0.405	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-C-0150	Firm Fixed Price	Yes	3/28/2006	3/28/2006	4/27/2006	\$ 0.005	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-C-0246	Firm Fixed Price	Yes	6/1/2006	6/1/2006	6/8/2006	\$ 0.010	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/Newhart J@SEC.gov	3	
SECHQ1-06-F-0008	Firm Fixed Price	Yes	10/7/2005	11/12/2005	11/11/2006	\$ 0.080	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0009	Firm Fixed Price	Yes	10/7/2005	10/1/2005	9/30/2006	\$ 0.044	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0023	Firm Fixed Price	Yes	11/30/2005	10/1/2005	9/30/2006	\$ 0.956	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-	2	

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														7315/BaierL@SEC.gov		
SECHQ1-06-F-0029	Firm Fixed Price	Yes	11/8/2005	10/10/2005	1/10/2006	\$ 0.017	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0042	Firm Fixed Price	Yes	11/28/2005	1/1/2006	12/31/2006	\$ 0.063	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0051	Firm Fixed Price	Yes	11/28/2005	1/11/2006	1/10/2007 - Options	\$ 0.069	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0066	Firm Fixed Price	Yes	12/22/2005	12/22/2005	1/5/2006	\$ 0.050	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0067	Firm Fixed Price	Yes	12/21/2005	12/21/2005	12/20/2006	\$ 0.042	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0072	Firm Fixed Price	Yes	12/23/2005	1/1/2006	12/31/2006	\$ 0.228	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0073	Firm Fixed Price	Yes	1/27/2006	1/1/2006	12/31/2006	\$ 0.213	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	
SECHQ1-06-F-0090	Firm Fixed Price	Yes	1/6/2006	1/5/2006	2/5/2006	\$ 0.028	No	No	Yes	N/A	No	Yes	Sandy Wright	202-551-7312/WrightS@SEC.gov	3	
SECHQ1-06-F-0095	Firm Fixed Price	Yes	1/13/2006	1/13/2006	2/12/2007	\$ 0.035	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-	2	

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														7315/BaierL@SEC.gov		
SECHQ1-06-F-0096	Firm Fixed Price	Yes	1/12/2006	1/17/2006	1/31/2006	\$ 0.002	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0099	Firm Fixed Price	Yes	2/27/2006	2/27/2006	3/3/2006	\$ 0.082	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0109	Firm Fixed Price	Yes	2/1/2006	4/1/2006	3/31/2006	\$ 0.024	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0116	Firm Fixed Price	Yes	2/14/2006	4/1/2006	3/31/2007	\$ 0.100	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0129	Firm Fixed Price	Yes	4/5/2006	5/29/2006	8/1/2006	\$ 0.021	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0130	Firm Fixed Price	Yes	3/1/2006	2/19/2006	2/18/2007	\$ 0.042	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0135	Firm Fixed Price	Yes	3/13/2006	3/13/2006	8/12/2006	\$ 0.149	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0144	Firm Fixed Price	Yes	3/15/2006	4/30/2006	4/29/2007	\$ 0.040	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0145	Firm Fixed Price	Yes	3/13/2006	3/1/2006	3/31/2007	\$ 0.055	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-	2	Y

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

**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 award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (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
														7315/BaierL@SEC.gov		
SECHQ1-06-F-0160	Firm Fixed Price	Yes	3/27/2006	4/12/2006	4/11/2007	\$ 0.082	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
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	Y
SECHQ1-06-F-0178	Firm Fixed Price	Yes	5/24/2006	5/24/2006	5/23/2007	\$ 0.079	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0179	Firm Fixed Price	Yes	4/19/2006	4/19/2006	5/1/2006	\$ 0.181	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0185	Firm Fixed Price	Yes	5/5/2006	5/5/2006	5/15/2006	\$ 0.023	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0186	Firm Fixed Price	Yes	4/17/2006	4/17/2006	5/1/2006	\$ 0.089	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0192	Firm Fixed Price	Yes	4/21/2006	4/21/2006	5/20/2006	\$ 0.250	No	No	Yes	N/A	No	Yes	Joanie Newhart	202-551-7303/NewhartJ@SEC.gov	3	Y
SECHQ1-06-F-0197	Firm Fixed Price	Yes	5/23/2006	5/24/2006	7/16/2007	\$ 0.697	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0198	Firm Fixed Price	Yes	5/1/2006	5/1/2006	6/1/2006	\$ 0.074	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-	2	Y

**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 award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (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
														7315/BaierL@SEC.gov		
SECHQ1-06-F-0203	Firm Fixed Price	Yes	4/27/2006	4/27/2006	6/5/2006	\$ 0.068	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
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	Y
SECHQ1-06-F-0218	Firm Fixed Price	Yes	5/12/2006	6/20/2006	6/30/2007	\$ 0.170	No	No	No	N/A	No	Yes	Joanie Newhart	202-551-7303/NewhartJ@SEC.gov	3	Y
SECHQ1-06-F-0221	Firm Fixed Price	Yes	5/16/2006	5/16/2006	6/7/2006	\$ 0.026	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0222	T&M	Yes	7/12/2006	7/12/2006	No End Date	\$ 0.012	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
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	Y
SECHQ1-06-F-0235	Firm Fixed Price	Yes	5/24/2006	5/24/2006	6/26/2006	\$ 0.031	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0243	Firm Fixed Price	Yes	7/17/2006	7/14/2006	12/31/2006	\$ 0.353	No	Yes	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-F-0285	Firm Fixed Price	Yes	6/28/2006	6/28/2006	3/29/2007	\$ 0.114	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-	2	Y

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)

**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 award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (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
														7315/BaierL@SEC.gov		
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	Y
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	Y
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	Y
SECHQ1-06-H-0079	Firm Fixed Price	Yes	2/6/2006	10/1/2005	9/30/2006	\$ 0.008	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-P-0025	Firm Fixed Price	Yes	10/31/2005	10/1/2005	3/30/2007	\$ 0.099	No	No	No	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-P-0059	Firm Fixed Price	Yes	12/1/2005	12/4/2005	10/7/2006	\$ 0.006	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
SECHQ1-06-P-0151	Firm Fixed Price	Yes	3/13/2006	3/13/2006	4/12/2006	\$ 0.092	No	No	Yes	N/A	No	Yes	Linda Baier	202-551-7315/BaierL@SEC.gov	2	Y
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	Y
SECHQ1-06-P-0180	Firm Fixed Price	Yes	4/17/2006	4/17/2006	P.O. No end	\$ 0.001	No	Yes	No	N/A	No	Yes	Linda Baier	202-551-	2	Y

**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 award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the Required security & privacy clauses?(Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level(Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO
					Date									7315/BaierL@SEC.gov		
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	Y
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	Y
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	Y

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.
3. Do the contracts ensure Section 508 compliance? Yes
  - a. Explain why: Overall ADA compliance responsibilities within the SEC fall to the Office of Human Resources. Within OIT, the Configuration Management and Quality Assurance Branch is responsible for standards compliance issues of all types, including Section 508. Under the SEC CPIC process, the CMQA Branch Chief is a reviewer of new Investment, the Associate Director for 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 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? N/A
    1. If "no," briefly explain why: N/A

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

<b>Performance Information Table 1:</b>					
<b>Fiscal Year</b>	<b>Strategic Goal(s) Supported</b>	<b>Performance Measure</b>	<b>Actual/baseline (from Previous Year)</b>	<b>Planned performance Metric (Target)</b>	<b>Performance Metric Results (Actual)</b>
2005	Short Text	Short Text	Short Text	Short Text	Short Text
2005	Short Text	Short Text	Short Text	Short Text	Short Text
2006	Short Text	Short Text	Short Text	Short Text	Short Text
2006	Short Text	Short Text	Short Text	Short Text	Short Text
2007	Short Text	Short Text	Short Text	Short Text	Short Text
2007	Short Text	Short Text	Short Text	Short Text	Short Text
2008	Short Text	Short Text	Short Text	Short Text	Short Text
2008	Short Text	Short Text	Short Text	Short Text	Short Text
2009	Short Text	Short Text	Short Text	Short Text	Short Text
2009	Short Text	Short Text	Short Text	Short Text	Short Text

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

<b>Performance Information Table 2:</b>						
<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
2006	Technology	Information and Data	Enterprise Storage and Backup costs	Enterprise Storage and backup costs are \$55.00 per	Reduce enterprise storage and backup costs	Goal was exceeded by purchasing the tier 2

**Performance Information Table 2:**

<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
				Gigabyte	per Gigabyte by 5% by reconstructing storage tiers	storage for Litigation data instead of the tier 1
2006	Processes and Activities	Effectiveness	IT Asset Accountability	IT Assets are at 60% accountability	Increase IT asset accountability by 15%	The goal for 75% asset accountability was met.
2006	Customer Results	Timeliness and Responsiveness	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	Technology	Technology Refresh	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 06. A smaller number of computers were replaced in FY06 due to MS Vista possible rollout in FY07/FY 08.
2006	Process and Activities	Effectiveness	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	Customer Results	Timeliness and Responsiveness	Help Desk Service Level Agreements	FY 2005 Data from Dyncorp contract incentive award fees problem resolution rate	Improve SLA response time by 5%	Goal will be reviewed and reported in FY 07
2007	Processes and Activities	Financial	System maintenance costs in relation to	Infrastructure system maintenance costs are 20%	Reduce new system maintenance costs by 1%	Goal will be reviewed and reported in FY 07

**Performance Information Table 2:**

<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
			<b>new DME's</b>	<b>of DME</b>		
2007	Processes and Activities	Effectiveness	<b>IT Asset Accountability</b>	<b>IT Assets are at 60% accountability</b>	<b>Increase IT asset accountability by 20%</b>	<b>Goal will be reviewed and reported in FY 07</b>
2007	Processes and Activities	<b>Financial</b>	<b>Application Licensing</b>	<b>Contain application licensing costs</b>	<b>Leverage Govt buying power and reduce licensing costs by 2%</b>	<b>Goal will be reviewed and reported in FY 07</b>
2007	Technology	<b>Information and Data</b>	<b>Enterprise Storage and Backup Costs</b>	<b>Enterprise Storage and backup costs are \$ 55.00 per Gigabyte</b>	<b>Reduce enterprise storage and backup costs per Gigabyte by 10% by reconstructing storage tiers</b>	<b>Goal will be reviewed and reported in FY 07</b>
2007	Mission and Business Results	<b>Support Delivery of Services</b>	<b>Increase Network Capacity and Growth for Data</b>	<b>Current Bandwidth</b>	<b>Increase bandwidth to satisfy FY 07 communications requirements</b>	<b>Goal will be reviewed and reported in FY 07</b>
2007	Technology	<b>Technology Refresh</b>	<b>Reliability and Availability</b>	<b>Milestone Schedules maintained by Program Managers</b>	<b>Refresh 25% of the servers and desktops annually as scheduled</b>	<b>Goal will be reviewed and reported in FY 07</b>
2007	Processes and Activities	Effectiveness	<b>Reliability and Availability</b>	<b>Servers and Network System Operating "High and Critical" Patch Status Compliance</b>	<b>Increase Compliance by 5%</b>	<b>Goal will be reviewed and reported in FY 07</b>
2008	Technology	<b>Reliability and Availability</b>	<b>Technology Refresh</b>	<b>Milestone schedules maintained by program managers</b>	<b>Refresh 25% of the servers and Desktops as scheduled</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Technology	<b>Information and Data</b>	<b>Dashboard Statistics Report</b>	<b>Enterprise Storage and backup costs are \$ 55.00 per Gigabyte</b>	<b>Reduce enterprise storage and backup costs per Gigabyte by 15% by reconstructing storage tiers</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Process and Activities	Effectiveness	<b>IT Asset Accountability</b>	<b>IT Assets are at 60%</b>	<b>Increase IT asset</b>	<b>Goal will be reviewed and</b>

**Performance Information Table 2:**

<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
				accountability	accountability by 25%	reported in FY 08
2008	Processes and Activities	<b>Financial</b>	<b>System Maintenance costs in relation to new DME's</b>	<b>Infrastructure System Maintenance costs are 20% of DME</b>	<b>Reduce new system maintenance costs by 2%</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Customer Results	<b>Timeliness and Responsiveness</b>	<b>Help Desk Service Level Agreements</b>	<b>FY 2005 Data from DynCorp contract incentive award fees problem resolution rate</b>	<b>Improve SLA response time by 7%</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Processes and Activities	<b>Financial</b>	<b>Application Licensing</b>	<b>Contain application licensing costs</b>	<b>Leverage Govt buying power and reduce licensing costs by 4%</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Mission and Business Results	<b>Support Delivery of Services</b>	<b>Increase Network Capacity and Growth for Data</b>	<b>Current Bandwidth</b>	<b>Increase Bandwidth to satisfy FY08 communications requirements</b>	<b>Goal will be reviewed and reported in FY 08</b>
2008	Processes and Activities	<b>Effectiveness</b>	<b>Reliability and Availability</b>	<b>Servers and Network System Operating "High and Critical" patch status compliance</b>	<b>Increase compliance by 7%</b>	<b>Goal will be reviewed and reported in FY 08</b>
2009	Technology	<b>Reliability and Availability</b>	<b>Technology Refresh. Review upgrade standards and reorient the program</b>	<b>Milestone schedules maintained by program managers</b>	<b>Refresh remaining servers and desktops scheduled. Review current technology and develop new refresh policy</b>	<b>Goal will be reviewed and reported in FY 09</b>
2009	Processes and Activities	<b>Financial</b>	<b>System Maintenance Costs</b>	<b>Infrastructure system maintenance are 20% of relation to new DME's</b>	<b>Reduce new system maintenance costs by 3%</b>	<b>Goal will be reviewed and reported in FY 09</b>
2009	Customer Results	<b>Timeliness and Responsiveness</b>	<b>Help Desk Service Level</b>	<b>FY 2005 Data from</b>	<b>Improve response time</b>	<b>Goal will be reviewed and</b>

**Performance Information Table 2:**

<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
			Agreements	DynCorp contract incentive award fee problem resolution rate	by 10%	reported in FY 09
2009	Processes and Activities	Financial	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	Technology	Information and Data	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	Processes and Activities	Effectiveness	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	Mission and Business Results	Support Delivery of Services	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	Processes and Activities	Effectiveness	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	Technology	Reliability and Availability	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	Processes and Activities	Financial	System Maintenance Costs	Infrastructure system maintenance are 20% of relation to	Reduce new system maintenance costs by 4%	Goal will be reviewed and reported in FY 10

<b>Performance Information Table 2:</b>						
<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
				new DME's		
2010	Customer Results	<b>Timeliness and Responsiveness</b>	<b>Help Desk Service Level Agreements</b>	<b>FY 2005 Data from DynCorp contract incentive award fee problem resolution rate</b>	<b>Improve response time by 12%</b>	<b>Goal will be reviewed and reported in FY 10</b>
2010	Processes and Activities	<b>Financial</b>	<b>Application Licensing</b>	<b>Contain application licensing costs</b>	<b>Leverage Govt buying power and reduce licensing costs by 8%</b>	<b>Goal will be reviewed and reported in FY 10</b>
2010	Technology	<b>Information and Data</b>	<b>Dashboard Statistics Report</b>	<b>Enterprise Storage and backup costs are \$55.00 per Gigabyte</b>	<b>Reduce enterprise storage and backup costs per Gigabyte by 25% by reconstructing storage tiers</b>	<b>Goal will be reviewed and reported in FY 10</b>
2010	Processes and Activities	<b>Effectiveness</b>	<b>IT Asset Accountability</b>	<b>IT Assets are at 60% accountability</b>	<b>Increase IT asset accountability by 35%</b>	<b>Goal will be reviewed and reported in FY 10</b>
2010	Mission and Business Results	<b>Support Delivery of Services</b>	<b>Increase Network Capacity and Growth for Data</b>	<b>Current Bandwidth</b>	<b>Increase Bandwidth to satisfy FY10 communications requirements</b>	<b>Goal will be reviewed and reported in FY 10</b>
2010	Processes and Activities	<b>Effectiveness</b>	<b>Reliability and Availability</b>	<b>Servers and Network System Operating "High and Critical" patch status compliance</b>	<b>Increase compliance by 12%</b>	<b>Goal will be reviewed and reported in FY 10</b>
2011	Technology	<b>Reliability and Availability</b>	<b>Technology Refresh. Review upgrade standards and reorient the program</b>	<b>Milestone schedules maintained by program managers</b>	<b>Refresh remaining servers and desktops scheduled. Review current technology and develop new refresh policy</b>	<b>Goal will be reviewed and reported in FY 11</b>
2011	Processes and Activities	<b>Financial</b>	<b>System Maintenance</b>	<b>Infrastructure system</b>	<b>Reduce new system</b>	<b>Goal will be reviewed and</b>

**Performance Information Table 2:**

<b>Fiscal Year</b>	<b>Measurement Area</b>	<b>Measurement Grouping</b>	<b>Measurement Indicator</b>	<b>Baseline</b>	<b>Planned Improvement to the Baseline</b>	<b>Actual Results</b>
			<b>Costs</b>	maintenance are 20% of relation to new DME's	maintenance costs by 5%	reported in FY 11
2011	Customer Results	<b>Timeliness and Responsiveness</b>	<b>Help Desk Service Level Agreements</b>	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	Processes and Activities	<b>Financial</b>	<b>Application Licensing</b>	Contain application licensing costs	Leverage Govt buying power and reduce licensing costs by 10%	Goal will be reviewed and reported in FY 11
2011	Technology	<b>Information and Data</b>	<b>Dashboard Statistics Report</b>	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	Processes and Activities	<b>Effectiveness</b>	<b>IT Asset Accountability</b>	IT Assets are at 60% accountability	Have 100% IT asset accountability	Goal will be reviewed and reported in FY 11
2011	Mission and Business Results	<b>Support Delivery of Services</b>	<b>Increase Network Capacity and Growth for Data</b>	Current Bandwidth	Increase Bandwidth to satisfy FY11 communications requirements	Goal will be reviewed and reported in FY 11

**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).

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

<b>6. Planning &amp; Operational Systems – Privacy:</b>					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there a Privacy Impact Assessment (PIA) that covers this system? (1,2,3,4)	(d) Is the PIA available to the public? (1,2,3)	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Was a new or amended SORN published in FY 06? (1,2,3,4,5)
GSS	No	2	2	No	No
<p>(c) Is there a Privacy Impact Assessment (PIA) that covers this system?</p> <ol style="list-style-type: none"> <li>1. Yes.</li> <li>2. No</li> <li>3. No, because the system does not contain, process, or transmit personal identifying information.</li> <li>4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.</li> </ol> <p>(d) Is the PIA available to the public?</p> <ol style="list-style-type: none"> <li>1. Yes.</li> <li>2. No, because a PIA is not required to be completed at this time.</li> <li>3. No, because the PIA has not yet been prepared.</li> </ol> <p>(e) Was a new or amended SORN published in FY2006?</p> <ol style="list-style-type: none"> <li>1. Yes, because this is a newly established Privacy Act system of records.</li> <li>2. Yes, because the existing Privacy Act system of records was substantially revised in FY 06.</li> <li>3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.</li> <li>4. No; because the system is operational, but the SORN has not yet been published.</li> </ol> <p>No, because the system is not a Privacy Act system of records.</p>					

**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?
  - a. If “yes,” provide the investment name as identified in the Transition Strategy provided in the agency’s most recent annual EA Assessment. Yes, This investment includes funding in support of the Office of Management and Budget (OMB) Memorandum 05-22, “Transition Planning for Internet Protocol Version 6 (IPv6)”, the Securities and Exchange Commission (SEC) has submitted the EA IPv6 Transition Plan.
  - b. If “no,” please explain why?

**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		
		Reporting	Standardized / Canned				
		Reporting	OLAP				
		Management of Process	Change Management				
		Management of Process	Configuration Management				
		Management of Process	Risk Management				
		Organizational Management	Workgroup / Groupware				
		Organizational Management	Network Management				

**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		
		Assets / Materials Management	Property / Asset Management				
		Assets / Materials Management	Asset Cataloging / Identification				
		Assets / Materials Management	Asset Transfer, Allocation, and Maintenance				
		Assets / Materials Management	Facilities Management				
		Assets / Materials Management	Computers / Automation Management				
		Data Management	Data Exchange				
		Data Management	Data Mart				
		Data Management	Data Warehouse				
		Data Management	Meta Data Management				
		Data Management	Data Cleansing				
		Data Management	Extraction and Transformation				
		Data Management	Loading and Archiving				
		Data Management	Data Recovery				
		Data Management	Data Classification				
		Security Management	Identification and Authentication				

**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		
		Security Management	Access Control				
		Security Management	Encryption				
		Security Management	Intrusion Detection				
		Security Management	Verification				
		Security Management	Digital Signature				
		Security Management	User Management				
		Security Management	Role / Privilege Management				
		Security Management	Audit Trail Capture and Analysis				
		Collaboration	Email				
		Collaboration	Threaded Discussions				
		Collaboration	Document Library				
		Collaboration	Shared Calendaring				
		Collaboration	Task Management				
		Search	Precision / Recall Ranking				
		Search	Classification				

**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		
		Search	Pattern Matching				
		Search	Query				
		Communication	Real Time / Chat				
		Communication	Instant Messaging				
		Communication	Audio Conferencing				
		Communication	Video Conferencing				
		Communication	Event / News Management				
		Communication	Community Management				
		Communication	Computer / Telephony Integration				
		Communication	Voice Communications				
		Systems Management	License Management				
		Systems Management	Remote Systems Control				
		Systems Management	System Resource Monitoring				
		Systems Management	Software Distribution				
		Systems Management	Issue Tracking				

**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		
		Development and Integration	Legacy Integration				
		Development and Integration	Enterprise Application Integration				
		Development and Integration	Data Integration				
		Development and Integration	Instrumentation and Testing				
		Development and Integration	Software Development				
		Forms Management	Forms Creation				
		Forms Management	Forms Modification				

- 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 funding level transferred to another agency to pay for the service.

**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.

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)

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, Role and Privilege Management, User Management	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)
User Management, Access Control, Role and Privilege Management	Service Access & Delivery	Service Transport	Supporting Network Services	Lightweight Directory Access Protocol (LDAP)
Identification and Authentication, Access Control, Role and Privilege Management, User Management	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, Role and Privilege Management, User Management	Service Access & Delivery	Service Transport	Supporting Network Services	Active Directory (AD)

**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.

<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b)</b> (i.e., vendor and product name)
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)
Encryption	Service Access & Delivery	Service Transport	Supporting Network Services	Hyper Text Transfer Protocol Secure (HTTPS)
Workgroup/Groupware	Service Access & Delivery	Service Transport	Supporting Network Services	File Transfer Protocol (FTP) - inbound only
Encryption	Service Access & Delivery	Service Transport	Supporting Network Services	IP Security (IPSEC)
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	Operating System Platforms	Windows 2000
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Sun Solaris
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Linux
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Windows NT
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Windows 2003 - Server
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	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 Infrastructure	Delivery Servers	Web Servers	Netscape
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	Print/File Servers	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

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<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b)</b> (i.e., vendor and product name)
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
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	Service Platform and Infrastructure	Database / Storage	Databases	MS SQL

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To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b)</b> (i.e., vendor and product name)
Cleansing, Data Classification				
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 Tools	PowerDesigner
Software Development	Service Platform and Infrastructure	Database / Storage	Database Tools	DBArtisan
Software Development	Service Platform and Infrastructure	Database / Storage	Database Tools	Rapid SQL
Software Development	Service Platform and Infrastructure	Database / Storage	Database Tools	ER Studio
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	Network Attached Storage (NAS)
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	Storage Area Network (SAN)
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	Sun Attached Array
Data Warehouse, Data Mart, Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	Net Apps
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	Internet backup servers
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage / Backup	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	Metropolitan Area Network	FDDI
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Metropolitan Area Network	DWDM
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Metropolitan 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)

**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.

<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
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, Verification	Component Framework Service Area	Security	Certificate / Digital Signature	Digital Certificate Authentication
Encryption	Component Framework Service Area	Security	Certificate / Digital Signature	Secure Socket Layer (SSL)
Email, Encryption	Component Framework Service Area	Security	Supporting Security Service	Secure Multipurpose Internet Mail Extn (S/MIME)
Encryption	Component Framework Service Area	Security	Supporting Security Service	Transport Layer Security
Encryption	Component Framework Service Area	Security	Supporting Security Service	Secure Shell (SSH)
Intrusion Detection, Risk management	Component Framework Service Area	Security	Supporting Security Service	Antivirus
Encryption	Component Framework Service Area	Security	Supporting Security Service	Simple Key Management Protocol (SKIP)
Encryption, Verification	Component Framework Service Area	Security	Supporting Security Service	Kerberos
Identification and Authentication, Encryption	Component Framework Service Area	Security	Supporting Security Service	TACACS
Software Development	Component Framework Service Area	Presentation / Interface	Static Display	HyperText Markup Language (HTML)
Software Development	Component Framework Service Area	Presentation / Interface	Dynamic / Server side Display	Java Server pages (JSP)
Data Exchange	Component Framework Service Area	Presentation / Interface	Dynamic / Server side Display	XML
Software Development	Component Framework Service Area	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML)
Software Development	Component Framework Service Area	Presentation / Interface	Content Rendering	XHTML
Software Development	Component Framework Service Area	Presentation / Interface	Content Rendering	Cascading Style Sheets (CSS)
Software Development	Component Framework Service Area	Business Logic	Platform Independent	Enterprise Java Beans
Software Development	Component Framework Service Area	Business Logic	Platform Independent	Java Script
Software Development	Component Framework Service Area	Business Logic	Platform Independent	Java Portlet API
Software Development	Component Framework Service Area	Business Logic	Platform Dependent	Power Builder
Data Exchange	Component Framework Service Area	Data Interchange	Data Exchange	XML
Data Exchange	Component Framework Service Area	Data Interchange	Data Exchange	SQL
Data Exchange	Component Framework Service Area	Data Interchange	Data Exchange	Simple Object Access Protocol (SOAP)
Data Exchange	Component Framework Service Area	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Data Exchange	Component Framework Service Area	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Ad Hoc, Standardized	Component Framework Service Area	Data Management	Reporting and Analysis	Actuate
Data Exchange	Component Framework Service Area	Data Management	Reporting and Analysis	XBRL - Used in EDGAR
OLAP	Component Framework Service Area	Data Management	Reporting and Analysis	Business Objects (OLAP)

Short text - 250 characters Medium text - 500 characters Long text - 2500 characters

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**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)
Ad Hoc, Standardized	Component Framework Service Area	Data Management	Reporting and Analysis	WebFOCUS
Ad Hoc, Standardized	Component Framework Service Area	Data Management	Reporting and Analysis	Crystal Reports
Ad Hoc, Standardized	Component Framework Service Area	Data Management	Reporting and Analysis	HEAT for Help Desk
Network Management	Component Framework Service Area	Data Management	Network Management / Reporting	HP Open View
Network Management	Component Framework Service Area	Data Management	Network Management / Reporting	Cisco Works
Network Management	Component Framework Service Area	Data Management	Network Management / Reporting	Network Health
Network Management	Component Framework Service Area	Data Management	Network Management / Reporting	NetCool
Network Management	Component Framework Service Area	Data Management	Network Management / Reporting	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, Enterprise Application 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	Service Interface and Integration	Interoperability	Data Transformation	eXtensible Stylesheet

**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)
and Archiving				
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
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
Education/Training	Service Access & Delivery	Delivery Channel	E-Learning	E-Learning
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, Role and Privilege Management, User Management	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)
User Management, Access Control, Role and Privilege Management	Service Access & Delivery	Service Transport	Supporting Network Services	Lightweight Directory Access Protocol (LDAP)
Identification and Authentication, Access Control, Role and Privilege Management, User Management	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)

**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	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, Role and Privilege Management, User Management	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 (IPv6)
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)
Encryption	Service Access & Delivery	Service Transport	Supporting Network Services	Hyper Text Transfer Protocol Secure (HTTPS)
Workgroup/Groupware	Service Access & Delivery	Service Transport	Supporting Network Services	File Transfer Protocol (FTP) - inbound only
Encryption	Service Access & Delivery	Service Transport	Supporting Network Services	IP Security (IPSEC)
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	Operating System Platforms	Windows 2000
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Sun Solaris
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Linux
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Windows NT
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	Windows 2003 - Server
Workgroup/Groupware	Service Platform and Infrastructure	Supporting Platform	Operating System Platforms	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

**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	Service Platform and Infrastructure	Delivery Servers	Web Servers	Netscape
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	Print/File Servers	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

- 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 I, Section A above.*

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 turn these four goals directly and/or indirectly support the President's Management Agenda (PMA) as discussed below. Without the Infrastructure the SEC would be extremely hindered in fulfilling its mission.

### **Section B: Risk Management (All Capital Assets)**

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

1. Does the investment have a Risk Management Plan? Yes
  - a. If "yes," what is the date of the plan? 10/1/2004
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? NO
  - c. If "yes," describe any significant changes
2. If there currently is no plan, will a plan be developed?
  - a. If "yes," what is the planned completion date?
  - b. If "no," what is the strategy for managing the risks?
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: All costs are risk adjusted and the Capital Planning process ensures that a risk buffer is included in the Project costs based on a sliding scale of Low, Medium and High risks as outlined by the Project Manager in their Investment Plans

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

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M

milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard – 748?  
Yes
2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs
  - a. What is the Planned Value (PV)? \$143,570,326.00
  - b. What is the Earned Value (EV)? \$141,566,087.360
  - c. What is the actual cost of work performed (AC)? \$142,216,204.00
  - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Both
  - e. “As of” date: 31 August 2006
3. What is the calculated Schedule Performance Index (SPI= EV/PV)? 0.99
4. What is the schedule variance (SV = EV-PV)? \$- 2,004,238.732
5. What is the calculated Cost Performance Index (CPI = EV/AC)? 1.00
6. What is the cost variance (CV = EV-AC)? \$ -.46
7. 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 N/A
  - b. If “yes,” explain the variance N/A
  - c. If “yes,” what corrective actions are being taken? N/A
  - d. What is most current “Estimate at Completion”? N/A
8. Is Have any significant changes been made to the past fiscal year? No

**7. 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 & FY 05) Steady State (SS)			9/30/2005	9/30/2005	\$68.835	68.835	0	0.00	100%
Prior Years (FY 04 & FY05) DME			1/30/2005	1/30/2005	\$26.516	\$26.516	0	0.00	100%
FY 06 Data Admin & Mgmt - SS			09/30/2006	09/30/2006	\$3.027	\$2.895	1 8 3	.133	92%
FY 06 Data Admin & Mgmt - DME			5/30/2006	7/31/2007*	\$0.400	\$0.364	- 4 2 7	.036	50%
FY 06 Data Center Operations - SS			09/30/2006	09/30/2006	\$6.528	\$6.032	0	.496	92%
FY 06 Data Center Operations - DME			8/30/2006	9/30/2006	\$0.700	\$0.353	- 3 1	-.0238	75%
FY 06 Data Networks and Video Services - SS			09/30/2006	09/30/2006	\$11.221	\$7.720	0	3.501	92%
FY 06 Data Networks and Video Services - DME			9/30/2006	4/20/2007*	\$4.159	\$1.827	- 2 1 2	2.282	75%
FY 06 Disaster Recovery/Business Continuity - SS			09/30/2006	09/30/2006	\$0.016	\$0.015	0	0.001	92%
FY 06 Disaster Recovery/B			1/30/2007	1/30/2007*	\$0.770	\$0.770	0	.000	55%

**7. 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)		
business Continuity - DME									
FY 06 End User Technology - SS			09/30/2006	09/30/2006	\$2.338	\$2.406	0	-0.068	92%
FY 06 End User Technology - DME			1/1/2007*		\$1.807	\$2.533	-125	-0.726	19%
FY 06 Remote Access and Telework - SS			09/30/2006	09/30/2006	\$0.000	\$2.509	0	\$0.00	92%
FY 06 Remote Access and Telework - DME			7/15/2006	7/15/2006	\$1.150	\$0.101	0	\$0.00	100%
FY 06 Servers, Storage, and Backups - SS			09/30/2006	09/30/2006	\$2.500	\$5.962	0	\$0.00	92%
FY 06 Servers, Storage, and Backups - DME			1/30/2007*		\$2.544	\$2.400	0	\$0.00	58%
FY 06 Testing and Configuration Management - SS			09/30/2006	09/30/2006	\$1.150	\$1.516			92%
FY 06 Testing and Configuration Management - DME			1/30/2007*		\$0.416	\$1.746			35%

**7. 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)		
FY 06 User Support and Training/Customer Support - SS			09/30/2006	09/30/2006	\$7.431	\$4.329			92%
FY 06 User Support and Training/Customer Support - DME			1/30/2007*		\$0.794	\$0.698			55%
FY 06 Voice Networks - SS			09/30/2006	09/30/2006	\$2.946	\$2.946			92%
FY 06 Voice Networks - DME			1/30/2007*		\$0.00	\$0.000			35%
FY 07 Data Admin & Mgmt - SS	09/30/2007	\$ 2.828							
FY 07 Data Admin & Mgmt - DME	01/30/2008	\$ .719							
FY 07 Data Center Operations - SS	09/30/2007	\$ 6.071							
FY 07 Data Center Operations - DME	01/30/2008	\$ .697							
FY 07 Data Networks and Video Services - SS	09/30/2007	\$10.550							
FY 07 Data Networks and Video Services - DME	01/30/2008	\$ .883							

**7. 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)	
FY 07 End User Technology - SS	09/30/2007	\$ 3.590						
FY 07 End User Technology - DME	01/30/2008	\$4.696						
FY 07 Remote Access and Telework - SS	09/30/2007	\$ 2.526						
FY 07 Remote Access and Telework - DME	01/30/2008	\$ .350						
FY 07 Servers, Storage, and Backups - SS	09/30/2007	\$6.441						
FY 07 Servers, Storage, and Backups - DME	01/30/2008	\$3.450						
FY 07 Testing and Configuration Management - SS	09/30/2007	\$2.543						
FY 07 Testing and Configuration Management - DME	01/30/2008	\$ 1.363						
FY 07 User Support and Training/Cu	09/30/2007	\$4.590						

**7. 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			
Customer Support - SS								
FY 07 User Support and Training/Customer Support - DME	01/30/2008	\$.395						
FY 07 Voice Networks - SS	09/30/2007	\$ 2.130						
FY 07 Voice Networks - DME	01/30/2008	\$0						
FY 07 Software Development Infrastructure - SS	09/30/2007	\$.140						
FY 07 Software Development Infrastructure - DME	01/30/2008	\$1.500						
FY 08 Data Administration and Management - SS	09/30/2008	\$ 3.500						
FY 08 Data Administration and Management - DME	01/30/2009	\$.600						
FY 08 Data Center Operations - SS	09/30/2008	\$8.437						
FY 08 Data Center	01/30/2009	\$1.000						

**7. 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)	
Operations - DME								
FY 08 Data Networks and Video Services - SS	09/30/2008	\$10.000						
FY 08 Data Networks and Video Services - DME	01/30/2009	\$1.000						
FY 08 End User Technology - SS	09/30/2008	\$ 3.291						
FY 08 End User Technology - DME	01/30/2009	\$6.500						
FY 08 Office Relocation - SS	09/30/2008	\$ 0.00						
FY 08 Office Relocation - DME	01/30/2009	\$ .250						
FY 08 Remote Access and Telework - SS	09/30/2008	\$2.700						
FY 08 Remote Access and Telework - DME	01/30/2009	\$ 0.00						
FY 08 Servers, Storage, and Backups -	09/30/2008	6.633						

**7. 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)	
SS								
FY 08 Servers, Storage, and Backups - DME	01/30/2009	\$3.450						
FY 08 Testing and Configuration Management - SS	09/30/2008	\$3.000						
FY 08 Testing and Configuration Management - DME	01/30/2009	\$1.200						
FY 08 User Support and Training/Customer Support - SS	09/30/2008	\$4.591						
FY 08 User Support and Training/Customer Support - DME	01/30/2009	\$.300						
FY 08 Voice Networks - SS	09/30/2008	\$2.130						
FY 08 Voice Networks - DME	01/30/2009	\$.500						
FY 09 Infrastructure Spt - SS	9/30/2009	\$54.060						
FY 09 Infrastructure Spt - DME	1/30/2010	\$14.704						
FY 10	09/30/2010	\$56.570						

**7. 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)		
Infrastructure Support SS									
FY 10 Infrastructure Support - DME	1/30/2011	\$15.152							
FY 11 Infrastructure Support - DME	1/30/2012	\$15.516							
FY 11 Infrastructure Support - SS	9/30/2011	\$59.016							
FY 12 Infrastructure Spt DME & SS	1/30/2013	73.156							

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.