

Exhibit 300 (BY2008)

PART ONE

OVERVIEW

1. Date of Submission:	2006-09-10
2. Agency:	429
3. Bureau:	00
4. Investment Name:	Budget Formulation Application (BFA)
5. UPI:	429-00-01-01-01-1020-00
6. What kind of investment will this be in FY2008?	
Acquisition	
7. What was the first budget year this investment was submitted to OMB?	
FY2006	
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.	
<p>The Budget Formulation Application is an IT investment for improving and simplifying the budget formulation and execution process. The project is in the acquisition stage of the Capital Planning and Investment Control (CPIC) process. The Exhibit 300 cost estimate was performed on December 2004 based on extensive market research during the planning and requirements analysis phase. A business case includes the Project Management Plan, "as is" and "to be" process flow, Comprehensive Requirements Document, and Alternatives Analysis completed on December 2004. It was recommended by the NRC's Information Technology Business Council (ITBC) on March 2005, signed by the Chief Information Officer and the Executive Director for Operations on May 2005, and approved by the Chairman on August 2005. This investment adheres to OMB Circular A-130 for Investment Management and OMB Circular A-127 for financial systems improvement, is managed by a Level 2 Certified Program Manager, and incorporates the best practices of OMB's Office of Federal Financial Management (OFFM). Acquisition Life Cycle planning CPIC processes adhere to the concepts defined in OMB Circular A-11. An Integrated Baseline Review (IBR) is in process as stipulated in OMB M-05-23 using ANSI standard EIA748a and ANSI/GEIA HB-748-1 and is scheduled for completion 6/1/07. Analysis is being conducted to ensure adherence to the qualified performance measurement baseline for task, costs, and schedule achieving earned value. Performance goals and metrics have been identified for this investment and the investment has been aligned with several key Presidential initiatives including Human Capital, Budget Performance Integration, Financial Performance, and Expanded E-Government initiatives. Also a clear Line of Sight has been defined through the NRC Federal Enterprise Architecture Consolidated Reference Model. Additionally this investment complies with Section 508 of the Rehabilitation Act. Security is maintained through the NRC Certification and Accreditation and Configuration Management processes. The system is in process of Certification and Accreditation with the e-authentication risk assessment, the privacy impact assessment, and the security categorization are completed and approved on August 1, 2006.</p>	
9. Did the Agency's Executive/Investment Committee approve this request?	
yes	
9.a. If "yes," what was the date of this approval?	
2005-03-01	
10. Did the Project Manager review this Exhibit?	
yes	
11. Project Manager Name:	
Taylor, Chutima (Dee)	
Project Manager Phone:	
(301) 415 6034	
Project Manager Email:	
cdt1@nrc.gov	
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	
no	
12.a. Will this investment include electronic assets (including computers)?	
yes	
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
no	

12.b.3. If yes, is it designed to be 30% more energy efficient than relevant code?

yes

If yes, select the initiatives that apply:

Budget Performance Integration

Expanded E-Government

Financial Performance

Human Capital

13.a. Briefly describe how this asset directly supports the identified initiative(s)?

This initiative will improve efficiency and timeliness through automation of the budget process and integration with other financial systems. The single modernized and standardized system will be easily maintained and it will better position the agency to further support the e-gov initiatives. The knowledge and skills of retiring employees will be captured and retained through a new automated process.

14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?

no

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

yes

16. What is the level of the IT Project (per CIO Council's PM Guidance)?

Level 2

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

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?

no

19. Is this a financial management system?

no

19.a.2. If no, what does it address?

Planning & Budgeting (previously Planning & Resource Allocation)

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

Hardware	4
Software	16
Services	51
Other	29

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

n/a

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

Name

Sandra Northern

Phone Number

301-415-6879

Title

Privacy Officer

Email

SSN@nrc.gov

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

no

SUMMARY OF SPEND

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.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY
	-2005	2006	2007
Planning Budgetary Resources	0.142	0.000	0.000
Acquisition Budgetary Resources	0.596	0.560	0.000
Maintenance Budgetary Resources	0.000	0.000	0.290
Government FTE Cost	0.357	0.182	0.151
# of FTEs	3	1	1

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

To comply with the Federal Information Security Management Act and NIST guidance, a majority of the increase cost is attributed to the cost of contract dollars and FTE supporting the system security certification and accreditation effort.

PERFORMANCE

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.

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.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2006	Mission and Business Results	Budget Formulation	Budget Formulation	Each office creates its own budget inputs in spreadsheets which are entered into a standalone database.	Establish Baseline for an IT solution to automate the budget formulation and execution processes.	Established Baseline for an IT solution to automate the budget formulation and execution process.
2	2006	Customer Results	Service Efficiency	Service Efficiency	The current budget formulation process requires 2,900 hours in excess of normal business hours to complete.	Establish Baseline to acquire a system that would significantly reduce the labor hours required to complete budget formulation and execution processes.	Established Baseline to acquire a system that would significantly reduce the labor hours required to complete budget formulation and execution processes.
3	2006	Processes and Activities	Efficiency	Efficiency	5% of the budget formulation and execution processes are automated.	Establish Baseline to acquire a system that would automate 75% of the budgeting process.	Established Baseline to acquire a system that would automate 75% of the budgeting process.
4	2006	Technology	Accessibility	Accessibility	Electronic budget information can currently be accessed by < 5% of users.	Establish Baseline to acquire a system that would make electronic budget information available to 100% of users.	Established Baseline to acquire a system that would make electronic budget information available to 100% of users.
5	2007	Mission and Business Results	Budget Formulation	Budget Formulation	Acquire an IT solution for automating the budget formulation and execution processes.	An IT solution for automating the budget formulation and execution process is 70% acquired and deployed.	Pending
6	2007	Customer Results	Service Efficiency	Service Efficiency	Acquire a system that would significantly reduce the labor hours required to complete budget formulation and execution process.	The budget formulation process will take 2,465 hours, compared to 2,900 hours, in excess of normal business hours to complete.	Pending
7	2007	Processes and Activities	Efficiency	Efficiency	Acquire a system that would automate more than 5% of the budgeting process.	25% of the budget formulation process is automated.	Pending
8	2007	Technology	Accessibility	Accessibility	Acquire a system that would make electronic budget information available to more than 25% of the users.	Electronic budget information will be available to 50% of users.	Pending

EA

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

1. Is this investment included in your agency's target enterprise architecture?

yes

2. Is this investment included in the agency's EA Transition Strategy?

yes

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

Budget Formulation Application

3. 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/>.

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

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: 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.

Funding Percentage: 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.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Business Management Services	BFA will support the overall governance and policy making process at NRC	Management of Processes	Governance / Policy Management			No Reuse	0
2	Business Management Services	BFA will support the strategic planning activities of the agency	Investment Management	Strategic Planning and Mgmt			No Reuse	0
3	Business Management Services	BFA will support the administration of NRC investments	Investment Management	Portfolio Management			No Reuse	0
4	Digital Asset Services	BFA will allow designated users to access NRC financial information	Knowledge Management	Information Retrieval			No Reuse	0
5	Digital Asset Services	BFA will support a multi-user environment to share NRC budget information	Knowledge Management	Information Sharing			No Reuse	0
6	Digital Asset Services	BFA will captured knowledge from experienced NRC financial experts to develop the system	Knowledge Management	Knowledge Engineering			No Reuse	0
7	Digital Asset Services	BFA will facilitate the collection of data and information	Knowledge Management	Knowledge Capture			No Reuse	0
8	Digital Asset Services	BFA will distribute information to the system users	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	0
9	Digital Asset Services	BFA will support documents that contain rules to enforce certain processes	Knowledge Management	Smart Documents			No Reuse	0
10	Digital Asset Services	BFA will support the claim and ownership of intellectual capital	Records Management	Digital Rights Management			No Reuse	0
11	Business	BFA will support statistical	Analysis and	Mathematical			No Reuse	0

	Analytical Services	inference based on the data that collects and maintains	Statistics					
12	Business Analytical Services	BFA will support pattern detection and prediction in the data that it collects and maintains	Knowledge Discovery	Modeling			No Reuse	0
13	Business Analytical Services	BFA data will support the analysis of information to be used in decision making by the agency	Business Intelligence	Decision Support and Planning			No Reuse	0
14	Business Analytical Services	BFA will provide standardized reports	Reporting	Standardized / Canned			No Reuse	0
15	Back Office Services	BFA will store multi-year budget information, serving as an historical database	Data Management	Data Warehouse			No Reuse	0
16	Back Office Services	BFA will allow for the classification of data	Data Management	Data Classification			No Reuse	0
17	Back Office Services	BFA will support NRC procedures to safeguard its assets and adhere to management policies and mission requirements	Financial Management	Internal Controls			No Reuse	0
18	Back Office Services	BFA will support a defined finance-related tasks to meet functional requirements	Financial Management	Activity-Based Management			No Reuse	0
19	Support Services	BFA supports retrieval of records that satisfy specific query	Search	Query			No Reuse	0
20	Support Services	BFA will control access to the system	Security Management	Access Control			No Reuse	0

4. 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: 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.

Service Specification: 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.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning
2	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning
3	Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	Hyperion Essbase
4	Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning & Hyperion Reports
5	Digital Rights Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2003
6	Mathematical	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning
7	Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	Hyperion Essbase
8	Data Classification	Service Platform and Infrastructure	Database / Storage	Database	Hyperion Essbase

9	Activity-Based Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning
10	Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	NRC Active Directory
11	Query	Component Framework	Business Logic	Platform Dependent	Hyperion Essbase
12	Decision Support and Planning	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Hyperion Planning
13	Identification and Authentication	Service Platform and Infrastructure	Delivery Servers	Application Servers	NRC Active Directory
14	Knowledge Engineering	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hyperion Planning & Hyperion Essbase

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

no

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

no

PART TWO

RISK

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

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

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2006-08-18

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

yes

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

The risk that has significantly changed is the Schedule Risk. The project schedule is affected significantly because 1) the BFA project is not one of NRC priority systems and 2) the extent of documents required for system security Certification and Accreditation (C&A) process. BFA is not an Agency's priority designated system and the C&A review is pending approval and will be scheduled once prioritization of systems has been approved. Another significant change is the life cycle costs for IT solution. The preliminary estimation of the IT cost did not include the costs associated with the system C&A process consistent with Federal Information Processing Standards (FIPS), Publication 200. This includes the cost of the required documents (e.g., Security Categorization, E-Authentication Risk Assessment Report, Risk Assessment, Security Plan, Contingency Plan, etc.) and the more define cost of testing and complying to Federal Information Security Management Act (FISMA) of 2002.

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)

All identified risks have been documented in the agency plan of action & milestones (risk list) and costs for remediation have been ascribed.

COST & SCHEDULE

<i>Does the earned value management system meet the criteria in ANSI/EIA Standard 748?</i>
yes
<i>2.a. What is the Planned Value (PV)?</i>
1.095
<i>2.b. What is the Earned Value (EV)?</i>
1.095
<i>2.c. What is the actual cost of work performed (AC)?</i>
1.095
<i>What costs are included in the reported Cost/Schedule Performance information?</i>
Contractor and Government
<i>2.e. As of date:</i>
2006-08-10
<i>3. What is the calculated Schedule Performance Index (SPI= EV/PV)?</i>
1
<i>4. What is the schedule variance (SV = EV-PV)?</i>
0.000
<i>5. What is the calculated Cost Performance Index (CPI = EV/AC)?</i>
1
<i>6. What is the cost variance (CV = EV-AC)?</i>
0.000
<i>7. Is the CV or SV greater than 10%?</i>
no
<i>7.d. What is most current Estimate at Completion?</i>
1.804
<i>8. Have any significant changes been made to the baseline during the past fiscal year?</i>
yes

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