

Exhibit 300 (BY2008)

PART ONE

OVERVIEW

1. Date of Submission:	2006-09-07
2. Agency:	429
3. Bureau:	00
4. Investment Name:	Licensing Tracking System (LTS)/Web Based Licensing (WBL)
5. UPI:	429-00-01-04-01-1000-00
<i>6. What kind of investment will this be in FY2008?</i>	Mixed Life Cycle
<i>7. What was the first budget year this investment was submitted to OMB?</i>	FY2001 or earlier
<i>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.</i>	<p>The Licensing Tracking System (LTS) manages the licensing and inspection of nuclear materials. LTS is inflexible and hosted on a mainframe with obsolete technology. The WBL will replace LTS(UPI:429-00-01-04-01-1000-00-301-093), improve licensing processes, support inspections and reciprocity. It will be a web-based system. During FY2003/FY2004, The NRC's CPIC and Business Case were completed. A contract was awarded to Nortel Government Solutions (NGS). Task 1 was the implementation of the COTS based on LicenseEase. During FY2005, Task 1 required implementation at an ASP by October 2005. Full system development activities ensued. By late summer of 2005, NRC encountered major obstacles that seriously prevented progress: 1. NGS issued a licensing agreement which deviated from the contract with NRC. 2. NGS failed to identify that LicenseEase was not fully 508 compliant as required in the SOW. 3. The inability to implement a FISMA compliant solution because the NRC's Managed Public Key Infrastructure (MPKI) was not available as planned. 4. The NRC's changing FISMA implementation policies late in the WBL project lifecycle. 5. NGS's assertion that requirements had been met for the October 2005 implementation. By January 2006, NRC conducted an assessment and a Lessons Learned study. The NRC determined that there was sufficient reason to go forward with WBL. The path forward included resolutions that are accomplished or underway: License Agreement: accomplished as stipulated; Section 508 compliance in process: pending negotiations will ensure compliance; MPKI dependency: will be deferred for future implementation; FISMA compliance: developed the approach for a fully accredited system with Authority-To-Operate and incorporated approval into the project plan; Contractor's performance: NRC issued a cure notice, stating the NGS's failure to deliver the system, and is evaluating the contractors response. Steps taken to strengthen the project: -A NRC Project Management Professional (PMP) certified project manager now oversees the project -An integrated Project Schedule is being developed. NRC will incorporate other lessons learned -NRC will negotiate a Firm Fixed Price task to mitigate future cost, performance and schedule risk -IV&V services will augment NRC's project management -NRC reserves the right to recoup costs through the Cure Notice and contract process.</p>
<i>9. Did the Agency's Executive/Investment Committee approve this request?</i>	yes
<i>9.a. If "yes," what was the date of this approval?</i>	2004-01-22
<i>10. Did the Project Manager review this Exhibit?</i>	yes
<i>11. Project Manager Name:</i>	Cheng, Carman
<i>Project Manager Phone:</i>	301-415-7962
<i>Project Manager Email:</i>	CTC1@nrc.gov
<i>12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.</i>	no
<i>12.a. Will this investment include electronic assets (including computers)?</i>	yes
<i>12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</i>	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	
Competitive Sourcing	
Expanded E-Government	
Financial Performance	
Human Capital	
13.a. Briefly describe how this asset directly supports the identified initiative(s)?	
WBL uses modern technology and improved licensing processes to retain knowledge and improve job satisfaction; it's contract is designed to support monitoring costs and performance by using EV; future integration with Pay.gov to improve timeliness and reliability of license payments; provides licensees self-service capability via the web based system through Internet; WBL is utilizing a COTS product and private application service provider as a result of a competitive acquisition 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 1	
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	
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	
Hardware	0
Software	3
Services	97
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	
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	0.104	0.050	0.000
Acquisition Budgetary Resources	0.831	1.610	0.145
Maintenance Budgetary Resources	0.377	0.040	0.337
Government FTE Cost	0.252	0.203	0.069
# of FTEs	2	2	0

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

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

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

no

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.

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.

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2003	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2-renewal apps and sealed source and device reviews; 3- materials inspections. These performance measures relate to new applications and amendments.	Complete 85% of all new applications and amendments within 90 days. Complete 100% within 1 year	Completion of new applications and amendments	NRC completes 85% of all new application and amendments within 90 days and 100% within 1 year	In Fiscal Year 2003, 3,318 of 3,416 (97%) were completed within 90 days, and 3,409 of 3,416 were completed within a year (99.8%).
2	2003	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal app's and sealed source and device reviews; 3- materials inspections. These performance measures relate to new license applications and reviews.	Complete 85% of the license renewal applications and sealed source and device reviews within 180 days. Complete 100% within 2 years	Completion of license renewal applications and sealed source and device reviews.	NRC completes 85% of the license renewal applications and sealed source and device reviews within 180 days and 100% within 2 years	In Fiscal Year 2003, 945 of 976 (96.8%) were completed within 180 days, and all 976 were completed within 2 years (100%).
3	2003	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. These performance measures relate to materials inspections.	Complete materials inspections so that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	Completion of materials inspections	NRC completes materials inspections so that that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	As of the end of 6/03, NRC completed inspections such that 0.2% of the inspections are overdue (3 of 1,427).
4	2004	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. These performance measures relate to new license applications and reviews.	Complete 85% of all new applications and amendments within 90 days. Complete 100% within 1 year.	Completion of new applications and amendments	NRC completes 85% of all new application and amendments within 90 days and 100% within 1 year.	In Fiscal Year 2004, 2,673 of 2,741 (97.5%) of the new applications and amendments were completed within 90 days, and 2,739 of 2,741 were completed with a year (99.9%).
5	2004	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3-	Complete 85% of the license renewal applications and sealed source and device reviews within 180 days. Complete	Completion of license renewal applications and sealed source and device reviews.	NRC completes 85% of the license renewal applications and sealed source and device reviews within 180 days and 100% within 2 years	As of March 31, 2004, 329 of 337 (97.6%) of the license renewal applications and sealed source and device reviews were completed within 180

		materials inspections. The performance measures relate to new license applications and reviews.	100% within 2 years			days, and 337 of 337 were completed within 2 years (100%).
6	2004	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. These performance measures relate to materials inspections.	Complete materials inspections so that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	Completion of materials inspections	NRC completes materials inspections so that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	As of March 31, 2004, 0% of materials inspections were overdue.
7	2005	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. The performance measures relate to applications and amendments.	Complete 85% of all new applications and amendments within 90 days. Complete 100% within 1 year	NRC completes 85% of all new application and amendments within 90 days and 100% within 1 year	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.
8	2005	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. These performance measures relate to license renewal and sealed source/device reviews.	Complete 85% of the license renewal applications and sealed source and device reviews within 180 days. Complete 100% within 2 years	NRC completes 85% of the license renewal applications and sealed source and device reviews within 180 days and 100% within 2 years	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.
9	2005	Nuclear Materials Safety. There are 3 metrics: 1- new applications and amendments, 2- renewal apps and sealed source and device reviews; 3- materials inspections. The performance measures relate to inspections.	Complete materials inspections so that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	NRC completes materials inspections so that no more than 10% are overdue in accordance with the prescribed frequencies in NRC Inspection Manual Chapter 2800.	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.	No improvement to the baseline can be realized during FY05 since we cannot achieve any improvements with the legacy system which will be operational thru the end of FY05. Improvements are anticipated in FY06 and beyond due to the replacement system.

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	Program Monitoring	Program Monitoring	0% completion of materials inspections.	0% completion of materials inspections.	Not realized due to delay in development.
2	2006	Customer Results	Automation	Automation	0% of license applications submitted electronically.	0% of license applications submitted electronically.	Not realized due to delay in development.
3	2006	Processes and Activities	Productivity	Productivity	30 day average cycle to respond to FOIA requests	28 day average cycle to respond to FOIA requests	Not realized due to delay in development.

4	2006	Technology	Overall Costs	Overall Costs	\$350K in additional costs annually for paper-based processing of license information	\$350K in additional costs annually for paper-based processing of license information	Not realized due to delay in development.
5	2007	Mission and Business Results	Program Monitoring	Program Monitoring	0% completion of materials inspections.	15% completion of materials inspections.	Baseline to be developed upon completion of contract negotiation.
6	2007	Customer Results	Automation	Automation	0% of license applications submitted electronically.	25% of license applications submitted electronically.	Baseline to be developed upon completion of contract negotiation.
7	2007	Processes and Activities	Productivity	Productivity	28 day average cycle to respond to FOIA requests	20 day average cycle to respond to FOIA requests	Baseline to be developed upon completion of contract negotiation.
8	2007	Technology	Overall Costs	Overall Costs	\$350K in additional costs annually for paper-based processing of license information	\$280K in additional costs annually for paper-based processing of license information	Baseline to be developed upon completion of contract negotiation.

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.

License Tracking System/Web Based Licensing

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	Customer Services	Provides retention and delivery of licensing information to subscribers	Customer Relationship Management	Customer / Account Management			No Reuse	0
2	Process Automation Services	Maintains case information for each licensee and their licensing and inspection history	Tracking and Workflow	Process Tracking			No Reuse	0
3	Digital Asset Services	Allows access to data and information for use by an user	Knowledge Management	Information Retrieval			No Reuse	0
4	Digital Asset Services	Links to ADAMS, the NRC electronic records system to associate licensing actions to correspondence	Knowledge Management	Information Sharing			Internal	0
5	Digital Asset Services	Collects licensing information	Knowledge Management	Knowledge Capture			No Reuse	0
6	Digital Asset Services	Provides information for internal and external (FOIA) reporting requests	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	0
7	Business Analytical Services	Allows search and display of licensing information	Reporting	Ad Hoc			No Reuse	0
8	Business Analytical Services	Allows search of standard reports and addresses various workflow, productivity and other management questions related to licensing information	Reporting	Standardized / Canned			No Reuse	0
9	Back Office Services	Supports the organization of data into a single source	Development and Integration	Data Integration			No Reuse	0
10	Back Office Services	Supports the creation of processes	Development and Integration	Software Development			No Reuse	0

11	Support Services	Provides roles-based access controls	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	Customer / Account Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	RAMIS II; Versa LicenseEase
2	Process Tracking	Service Platform and Infrastructure	Delivery Servers	Application Servers	RAMIS II; Versa LicenseEase
3	Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	RAMIS II; Versa LicenseEase
4	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Application Servers	RAMIS II; Versa LicenseEase
5	Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	RAMIS II; Oracle
6	Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	RAMIS II; Versa LicenseEase
7	Ad Hoc	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Seagate Crystal Reports
8	Standardized / Canned	Service Platform and Infrastructure	Delivery Servers	Application Servers	Seagate Crystal Reports
9	Data Integration	Service Platform and Infrastructure	Database / Storage	Database	RAMIS II; Oracle
10	Software Development	Component Framework	Business Logic	Platform Dependent	RAMIS II; Java
11	Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MVS/TSO; Versa LicenseEase

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

yes

5.a. If yes, please describe.

Plans are proceeding, during development of the WBL, to develop a relationship with Pay.gov for collection of licensing fees identified within the WBL. The LTS Legacy system does not leverage other Government components.

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

yes

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

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?

2005-03-21

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

no

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.)

The investment risks are maintained in the Agency Master Plan of Action and Milestone (Risk List)

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>
3.080
<i>2.b. What is the Earned Value (EV)?</i>
3.080
<i>2.c. What is the actual cost of work performed (AC)?</i>
3.080
<i>What costs are included in the reported Cost/Schedule Performance information?</i>
Contractor and Government
<i>2.e. As of date:</i>
2006-08-15
<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>
6.350
<i>8. Have any significant changes been made to the baseline during the past fiscal year?</i>
yes

Generated by ProSight