

Exhibit 300 (BY2009)

PART ONE

OVERVIEW

1. Date of Submission:	2006-09-07
2. Agency:	429
3. Bureau:	00
4. Name of this Capital Asset:	Agency-wide Documents Access and Management System (ADAMS)
5. Unique Project Identifier:	429-00-01-02-01-1010-00
6. What kind of investment will this be in FY2009?	Mixed Life Cycle
7. What was the first budget year this investment was submitted to OMB?	FY2001 or earlier
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 NRC uses the Agencywide Documents Access and Management System (ADAMS) to manage content created by the staff and by external entities doing business with the agency (licensees, the public, and local, state and tribal governments). First deployed in November 1999, ADAMS became fully operational in April 2001 when it became the official recordkeeping system of the NRC and replaced two legacy systems (NUDOCS and BRS). ADAMS is in O&M and supports the content and records management needs of the entire agency. GAO recognized ADAMS as a government best practice and NARA certified ADAMS as an electronic record keeping system - the first of its kind in the federal government. In addition to content and record management capabilities, ADAMS includes tools for searching and retrieving content and publishing content to the web for public dissemination. Search tools allow the staff and public to find relevant information quickly and accurately. Business processes supported by ADAMS push information to the NRC's public web site (see http://www.nrc.gov/reading-rm/adams.html) faster. The public can also browse the ADAMS document collection or use the search tools to find the information they need. ADAMS supports the NRC's adjudicatory process by serving as the source for all documents used in hearings. Automated processes push documents stored in the ADAMS repository to the case management system and docket collection used by the administrative judges and to the Licensing Support Network (LSN) supporting the Yucca Mountain High-Level Waste Repository licensing process. Other business processes instituted because of ADAMS have reduced the volume of paper handled by the staff. For example, the NRC's scans, converts into electronic format, categorize, and saves to ADAMS documents received in the mail. ADAMS generates email to staff members (subscription lists) notifying them when new documents were processed in ADAMS, a process that is much faster than paper. ADAMS uses three obsolescent COTS products: the FileNet Panagon document management system customized to meet unique NRC requirements, Convera (now FAST) RetrievalWare for enterprise search, and the TruArc ForeMost RMA. The NRC is identifying replacement products for an ADAMS technology refresh. The NRC IT Business Council and the CIO recently approved the CPIC Screening Form and work has started on the Business Case</p>

for the next-generation ADAMS, which will replace the current ADAMS technology.

9. Did the Agency's Executive/Investment Committee approve this request?

yes

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

2007-09-04

10. Did the Project Manager review this Exhibit?

yes

11. Project Manager Name:

Fabian (ADAMS), Gregory

Project Manager Phone:

301-415-7650

Project Manager Email:

GXF@nrc.gov

11.a. What is the current FAC-P/PM certification level of the project/program manager?

TBD

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

yes

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

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

yes

If yes, select the initiatives that apply:

Expanded E-Government

13.a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

Though not a shared service provider/managing partner, the NRC uses ADAMS to make documents available to the public via a web portal (see: www.nrc.gov/reading-rm/adams.html). A similar process is used to publish documents to the Electronic Hearing Dockets (ehd.nrc.gov/EHD_Proceeding/home.asp, hlwehd.nrc.gov/Public_HLW-EHD/home.asp), and the Licensing Support Network (see: www.lsnnet.gov) supporting NRC's adjudicatory process.

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

no

15. Is this investment for information technology?

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 2007 agency high risk report (per OMB memorandum M-05-23)?

yes

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	6
Services	94
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?

yes

24. Does this investment directly support one of the GAO High Risk Areas?

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

	PY-1 & Earlier	PY	CY
	-2006	2007	2008
Planning Budgetary Resources		2.910	0.590
Acquisition Budgetary Resources		4.982	1.010
			0.457
			0.745

Maintenance Budgetary Resources	49.802	10.165	6.734
Government FTE Cost	215.000	19.500	21.000
# of FTEs	136	20	20

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?

yes

2.a. If "yes," how many and in what year?

FY07 - 1.3 FTE for technology refresh planning and workload increase due to new reactor licensing continuing through 2012.

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes.

Spending was lower than anticipated because of a 1-year delay experienced for the ADAMS technology refresh project. The cost spike originally projected for FY 2008 (to purchase software licenses) will slip to FY2009 and FY2010. The replacement technology will have to undergo security certification and authorization activities, however, we anticipate including the award of an Authority to Operate as an acceptance criterion.

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 (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative measure. Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding Measurement Area and Measurement Grouping identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1 2006	Openness	Mission and Business Results	Record Retention	Automatically convert appropriate documents in	95% of documents created without user	Increase successful automated conversion	Successfully automated conversion was

				ADAMS to electronic Official Agency Records (OAR) 95% of the time without operator intervention. This reduces the overall cost of ADAMS operations.	intervention.to 98%.	achieved at 98%.	
2	2006 Effectiveness	Customer Results	Customer Satisfaction	Customer Satisfaction	Average score of 2.72 on a 1-5 scale as measured using a customer satisfaction survey.	Increase average score to 3.0 on customer satisfaction survey.	Average score increased to 3.0 on customer satisfaction survey.
3	2006 Effectiveness	Processes and Activities	Timeliness	Timeliness	90% of public user issues are resolved in 1 day or less.	91% of public user issues are resolved in 1 day or less.	91% of public user issues are resolved in 1 day or less.
4	2006 Openness	Technology	External Data Sharing	External Data Sharing	Data sources relevant to the regulatory process available to the public within 6th working day	Resolve 90% of public user inquiries within 24 hours.	90% of public user inquiries were resolved within 24 hours

5	2007	Openness	Mission and Business Results	Record Retention	Record Retention	of the date of the document 98% of documents are successfully converted during submission	Increase successful automated conversion to 99%.	Pending
6	2007	Effectiveness	Customer Results	Customer Satisfaction	Customer Satisfaction	Average score of 3.3 on a 1-4 scale as measured using a customer satisfaction survey.	Increase average score to 3.4 on customer satisfaction survey.	The latest customer survey showed a average score of 2.5
7	2007	Effectiveness	Processes and Activities	Timeliness	Timeliness	91% of public user issues are resolved in 1 day or less.	Resolve 92% of public user inquiries in 1 day or less.	Pending
8	2007	Openness	Technology	External Data Sharing	External Data Sharing	92% of non-sensitive, unclassified information generated from external sources relevant to the regulatory process will be published on the NRC's public web site within 6 workdays of the date the document was cleared	93% of non-sensitive, unclassified information relevant to the regulatory process will be published the public within 5th working day of the date of document	Pending

9	2008	Openness	Mission and Business Results	Record Retention	Record Retention	of any sensitive information. 99% of documents are successfully converted during submission. Average score of 3.4 on a 1-4 scale as measured using a customer satisfaction survey.	Increase successful automated conversion to 100%. Increase average score to 3.5 on customer satisfaction survey.	Pending
10	2008	Effectiveness	Customer Results	Customer Satisfaction	Customer Satisfaction	92% of public user inquiries resolved within 1 day or less.	Resolve 94% of public user inquiries within 1 day or less.	Pending
11	2008	Effectiveness	Processes and Activities	Timeliness	Timeliness	94% of non-sensitive, unclassified information generated from external sources relevant to the regulatory process will be published on the NRC's public web site within 6 working days of the date the document was cleared of any		Pending
12	2008	Openness	Technology	External Data Sharing	External Data Sharing	93% of non-sensitive, unclassified information generated from external sources relevant to the regulatory process will be published on the NRC's public web site within 6 working days of the date the document was cleared of any		Pending

								sensitive information.
172008	Effectiveness	Technology	User Satisfaction	NRC User Assistance - Timely Response	The ADAMS Help Desk will respond within 4 hours to an NRC staff member's request for user assistance. The four-hour threshold will be met for 90% of all requests for assistance.	To be determined - this is the first time this statistic is being collected by the ADAMS help desk.	To be determined - this will be the first year this metric is collected.	
182008	Effectiveness	Technology	User Satisfaction	NRC User Assistance	The ADAMS Help Desk will resolve a NRC staff members issue with ADAMS system usage within 1 business day. This one business day threshold will be met for 90% of all requests for assistance.	To be determined - this is the first time this statistic is being collected by the ADAMS help desk.	To be determined - this will be the first year this metric is collected.	
192008	Openness	Customer Results	Customer Satisfaction	Public Assistance with ADAMS	The Public Document Room will respond within 4	To be determined - this is the first time this statistic is	To be determined - this will be the first year this metric	

202008 Openness	Customer Results	Customer Satisfaction	Public Assistance with ADAMS	hours to an member of the public's request for assistance using ADAMS or web-based ADAMS search. The four-hour threshold will be met for 90% of all requests for assistance. The Public Document Room will resolve a member of the public's issue with ADAMS system usage within 1 business day. This one business day threshold will be met for 90% of all requests for assistance.	being collected by the NRC Public Documents Room. To be determined - this is the first time this statistic is being collected by the NRC Public Document Room.	is collected. To be determined - this will be the first year this metric is collected.
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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, as 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.

Agencywide Documents Access and Management System

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?

no

3.a. If yes, provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

Record Mgmt

4. 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 Digital Asset Services	ADAMS stores content for four document collections; Main (containing NRC documents created during the course of business operations since ADAMS went live and certain older documents), Legacy (bibliographic information from an earlier system ADAMS replaced), Public (accessible to the public and	Document Management	Library / Storage			No Reuse	

2	Digital Asset Services	<p>containing only publicly available documents), and Public Legacy (publicly available bibliographic information from the earlier system.</p> <p>ADAMS allows document owners to set access privileges (consisting of owner, author, viewer, and none). Access rights can be set by group and by individual user and provides a means for sharing documents. All documents declared as publicly available agency records are (currently) replicated to the ADAMS public library and available for perusal by the general public via the World Wide Web (see: http://www.nrc.gov/reading-rm/adams.html).</p>	Knowledge Management Information Retrieval	No Reuse
3	Customer Services	<p>ADAMS users can obtain assistance to retrieve documents from the ADAMS document repositories. Internal users can contact the ADAMS Support Center for help with search strategies to locate information stored in ADAMS. Public users can contact the NRC's Public Document Room for assistance in finding documents stored in ADAMS.</p>	Customer Initiated Assistance Request	No Reuse
4	Digital Asset Services	<p>The Document Processing Center converts paper documents into machine-readable text and images. The Center also quality-checks all scanned images and fixes them as</p>	Document Management Document Imaging and OCR	No Reuse

5	Digital Asset Services	<p>appropriate and completes the profile (meta data) for all of the documents added to ADAMS.</p> <p>ADAMS allows users to create versions of documents stored in the Main Library. The system supports only major versions at this time.</p> <p>Security access settings (who has what kind of access to the content), file format (e.g., Word, Adobe Acrobat) and metadata values can vary by document version. The system prevents users from overwriting earlier versions of documents.</p>	Document Management	Document Revisions	No Reuse
6	Customer Services	<p>ADAMS provides an on-line help system for the web-based search tools used by internal staff and the public. Online help for ADAMS itself is limited.</p>	Customer Initiated Assistance	Online Help	No Reuse
7	Digital Asset Services	<p>ADAMS converts most kinds of source files (word processing, spreadsheet and various image formats) into Adobe Acrobat format for permanent electronic storage. Conversion to Acrobat preserves appearance and layout and protects content from changes.</p>	Document Management	Document Conversion	No Reuse
8	Digital Asset Services	<p>ADAMS assigns a unique identifier to every item stored in its content repository. However, this accession number does not aid with searching. Instead, the search engine embedded in the COTS software product, and the add-on</p>	Document Management	Indexing	No Reuse

9	Digital Asset Services	<p>search engine used for advanced, web-based search, creates text indices. These indices allow rapid retrieval of documents meeting the user's search query.</p> <p>ADAMS uses a document classification schema using eight categories. Within each category, there are up to 47 metadata attributes that the user can set. The metadata attributes provide a means for quickly locating a document in ADAMS using the search tools.</p> <p>However, ADAMS does not employ a formal taxonomy. There are plans to develop a taxonomy for the ADAMS technology refresh.</p> <p>ADAMS allows internal users to change the display for the ADAMS Find results display and the ADAMS Desktop Explorer. Users can select which document profile attributes to display, the display order, and the sort order. These settings become the default display settings until the user changes them.</p> <p>The package feature allows users to create collections of related documents.</p> <p>However, this feature is relatively unsophisticated. Many of the metadata attributes use controlled vocabulary lists (lookup tables of acceptable values) to enforce standardized descriptions of documents. However, as mentioned</p>	Document Management Classification	No Reuse
10	Customer Preferences	<p>can select which document profile attributes to display, the display order, and the sort order. These settings become the default display settings until the user changes them.</p> <p>The package feature allows users to create collections of related documents.</p> <p>However, this feature is relatively unsophisticated. Many of the metadata attributes use controlled vocabulary lists (lookup tables of acceptable values) to enforce standardized descriptions of documents. However, as mentioned</p>	Customer Preferences Personalization	No Reuse
11	Digital Asset Services	<p>Many of the metadata attributes use controlled vocabulary lists (lookup tables of acceptable values) to enforce standardized descriptions of documents. However, as mentioned</p>	Knowledge Management Information Mapping / Taxonomy	No Reuse

<p>12 Digital Asset Services</p>	<p>above, this is not a formal taxonomy, but a classification scheme that helps locate documents in ADAMS. The ADAMS technology refresh will use a revised document classification scheme and taxonomy. ADAMS allows document owners to set access privileges (consisting of owner, author, viewer, and none). Access rights can be set by group and by individual user and provides a means for sharing documents. All documents declared as publicly available agency records are (currently) replicated to the ADAMS public library and available for perusal by the general public via the World Wide Web (see: http://www.nrc.gov/reading-rm/adams.html).</p>	<p>Knowledge Information Management Sharing</p>	<p>No Reuse</p>
<p>13 Digital Asset Services</p>	<p>ADAMS uses controlled vocabulary lists to enforce standardized descriptions of documents. A formal taxonomy is not employed, but it does allow a certain degree of categorization of information stored in the system. ADAMS also tracks the state of a document in the system. The two most important states are draft and Official Record. Other states are used to indicate if certain processes were applied to a document (such as if it was replicated to the Public Library or to a Hearing Docket).</p>	<p>Knowledge Management Categorization</p>	<p>No Reuse</p>

14	Customer Preferences	<p>The ERIDS subsystem in ADAMS maintains lists of users who receive email notifications when a document processor adds new documents to ADAMS that are of regulatory nature. For example, notification that a document pertaining to a certain power plant was added to ADAMS is sent to NRC personnel responsible for that plant's oversight. ADAMS provides a common repository for the NRC to store pertinent unstructured data. The actual capture of data and knowledge is through the various applications used by the NRC. Users can move that knowledge, as long as it is stored in an electronic file format supported by ADAMS or on paper, into ADAMS relatively easily. NRC users can access information stored in ADAMS two ways: The ADAMS Desktop, which is a client/server application running under Microsoft Windows XP professional. The ADAMS desktop lets users browse the document collection and launch a search to retrieve pertinent documents. Another means of accessing ADAMS documents is through the Staff Interface Portal, an advanced web-based search tool used to retrieve documents (but not browse the library). Public users have a similar capability.</p>	Customer Preferences	Alerts and Notifications	No Reuse
15	Digital Asset Services	<p>ADAMS provides a common repository for the NRC to store pertinent unstructured data. The actual capture of data and knowledge is through the various applications used by the NRC. Users can move that knowledge, as long as it is stored in an electronic file format supported by ADAMS or on paper, into ADAMS relatively easily. NRC users can access information stored in ADAMS two ways: The ADAMS Desktop, which is a client/server application running under Microsoft Windows XP professional. The ADAMS desktop lets users browse the document collection and launch a search to retrieve pertinent documents. Another means of accessing ADAMS documents is through the Staff Interface Portal, an advanced web-based search tool used to retrieve documents (but not browse the library). Public users have a similar capability.</p>	Knowledge Management	Knowledge Capture	No Reuse
16	Digital Asset Services	<p>ADAMS provides a common repository for the NRC to store pertinent unstructured data. The actual capture of data and knowledge is through the various applications used by the NRC. Users can move that knowledge, as long as it is stored in an electronic file format supported by ADAMS or on paper, into ADAMS relatively easily. NRC users can access information stored in ADAMS two ways: The ADAMS Desktop, which is a client/server application running under Microsoft Windows XP professional. The ADAMS desktop lets users browse the document collection and launch a search to retrieve pertinent documents. Another means of accessing ADAMS documents is through the Staff Interface Portal, an advanced web-based search tool used to retrieve documents (but not browse the library). Public users have a similar capability.</p>	Knowledge Management	Knowledge Distribution and Delivery	No Reuse

17 Digital Asset Services	<p>Users can create collections of related documents in ADAMS using the package feature. Record managers use the package to group related documents in the ADAMS Records Manager component. The Records Manager enforces disposition schedules and ensures that related documents are treated as record collections.</p>	Records Management	Record Linking / Association	No Reuse
18 Digital Asset Services	<p>ADAMS uses controlled vocabulary lists to enforce standardized descriptions of documents. A formal taxonomy is not employed, but it does allow a certain degree of categorization of information stored in the system. The system also has the capability to track the location of physical objects (e.g., core samples) and migrate location data to the ADAMS records management component. The ADAMS records management component supports the final disposition of documents declared as official records. For final disposition, ADAMS removes records from its repository (via destruction) and, depending on the importance of the information, copies records to storage media. ADAMS cannot transmit electronic files to NARA at this time, so the NRC sends the media containing the records to NARA for processing.</p>	Records Management	Document Classification	No Reuse
19 Digital Asset Services	<p>ADAMS removes records from its repository (via destruction) and, depending on the importance of the information, copies records to storage media. ADAMS cannot transmit electronic files to NARA at this time, so the NRC sends the media containing the records to NARA for processing.</p>	Records Management	Document Retirement	No Reuse
20 Digital	Electronic record objects	Records	Digital Rights	No

Asset Services	<p>contain metadata tags identifying NRC as the source of the content. However, NRC does not use, at this time, a sophisticated electronic digital rights solution to enforce content ownership. NRC does have plans to implement a digital rights management solution with the ADAMS refresh project. ADAMS uses standardized reports used for printing bibliographic-type information regarding collections of documents selected by the user.</p>	Management Management	Reuse	
21 Business Analytical Services	<p>ADAMS administrators use standard reports to generate certain statistics, such as the average time for releasing a publicly available document from the time it was added to ADAMS. The General Proceedings Electronic Hearing Docket (EHD), High-Level Waste EHD, Protective Order File EHD, and the Licensing Support Network systems, which support the NRC's adjudicatory process, all depend on documents originating from ADAMS.</p>	Reporting	Standardized / Canned	No Reuse
22 Back Office Services	<p>NRC uses the web publishing features of the ADAMS COTS product to replicate the appropriate documents from the ADAMS Main Library to these applications. The replication process ensures that documents are copied to these target systems unaltered.</p>	Data Management	Data Exchange	No Reuse

23	Back Office Services	<p>Some of the ADAMS metadata attributes use controlled vocabulary lists (CVL) and others allow free text entry. The ADAMS Quality Assurance function routinely reviews CVLs and adds new entries as business conditions change. The QA function also reviews free-text entry attributes to ensure that the proper data standards are followed (for example, first initial and last name for document author and correct form for company names).</p>	Data Management	Meta Data Management	No Reuse
24	Back Office Services	<p>The controlled vocabulary lists (CVL) mentioned above limit user input into certain profile attributes to maintain data quality and prevent erroneous entry into the system.</p>	Data Management	Data Cleansing	No Reuse
25	Back Office Services	<p>Every content object in ADAMS has an associated metadata profile and security profile. The security profile specifies the users having access to the content object and their level of access (e.g., owner, author, viewer, none). Occasionally, the security profiles of large groups of documents require updating. ADAMS provides tools allowing the system administrator to change the security profile settings for groups of content objects stored in the ADAMS libraries.</p>	Data Management	Extraction and Transformation	No Reuse
26	Back Office Services	<p>ADAMS uses a strict data backup regime that can recover content objects</p>	Data Management	Data Recovery	No Reuse

27	Back Office Services	<p>removed from the system. ADAMS prevents users from deleting content objects declared as a record. ADAMS allows classification of data using the document profile and metadata attribute capabilities provided by the COTS software.</p>	Data Management	Data Classification	No Reuse
28	Customer Services	<p>NRC developed a tutorial for using the ADAMS web-based search tools. The tutorial consists of a video, delivered through the user's browser, showing how to use the various features of the search tool. The tutorial is available only to internal users.</p>	Customer Initiated Assistance	Online Tutorials	No Reuse
29	Business Management Services	<p>Public ADAMS users can order hard copies of documents they find in ADAMS using the online ordering capabilities. The capability accepts a major credit card for payment. The ADAMS Find and Web-based search capabilities present the user with lists of documents matching their search query.</p>	Supply Chain Management	Ordering / Purchasing	No Reuse
30	Digital Asset Services	<p>Users can open and view these documents to see if there is related information. This capability is in a limited state as of the date of this exhibit, but there are plans to improve the search so that it does refer the user to related content.</p>	Document Management	Document Referencing	No Reuse
31	Support Services	<p>At the time of this exhibit, ADAMS maintained its own separate user ID and password and user authentication process.</p>	Security Management	Access Control	No Reuse

32 Support Services	<p>ADAMS also maintains its own security model used to assign one of four access levels (owner, author, viewer, and none) to each content item by ADAMS user ID or user group ID. Plans are underway to incorporate the ADAMS login and security subsystem with the NRC's developing authentication and access control system (based on LDAP). At the time of this exhibit, ADAMS did not support digital signatures. However, plans are under to interface ADAMS with the NRC's developing PKI implementation.</p>	Security Management	Digital Signature Management	No Reuse
33 Support Services	<p>The underlying COTS system used for ADAMS provides an audit logging capability that tracks a user's path through the system (documents accessed, timestamp of the access). Tools for analyzing the audit logs are, however, primitive, but useful. The ADAMS technology refresh will include advanced audit trail capabilities and analysis tools.</p>	Security Management	Audit Trail Capture and Analysis	No Reuse
34 Support Services	<p>ADAMS provides an enterprise-wide electronic library of agency documents.</p>	Collaboration	Document Library	No Reuse
35 Support Services	<p>ADAMS provides two search tools used to retrieve content objects from the ADAMS library. The first tool is ADAMS Find, which uses the search engine provided with the ADAMS</p>	Search	Query	No Reuse

36 Support Services	<p>COTS software system. The second search uses a web-based COTS search product (Convera RetrievalWare) providing advanced, sophisticated search capabilities. Both searches are available to NRC personnel and to the Public (for retrieving publicly available documents only). The ADAMS web-based search tools (using the Convera RetrievalWare COTS product) generate a search results list that rank hits in order of relevance to the user's query. Content objects ranked at the top of the results list are usually more relevant to the user's search query than those appearing near the bottom of the list.</p>	Search	Precision / Recall Ranking	No Reuse
37 Back Office Services	<p>The NRC is deploying Microsoft SharePoint throughout the Agency. SharePoint is a state-of-the-art collaboration portal having significant document /content management capabilities. A capability that allows a SharePoint portal to access documents in ADAMS is being constructed and plans are to deploy this capability with SharePoint in Q2 FY2008. SharePoint could become the new "user front end" to ADAMS for NRC staff.</p>	Development and Integration	Legacy Integration	No Reuse
38 Support Services	<p>Both ADAMS search tools use pattern-matching algorithms to locate and retrieve content meeting the user's search query.</p>	Search	Pattern Matching	No Reuse

39	Back Office Services	<p>ADAMS Find (using the COTS search utility) only performs pattern matching for content searches whereas the web-based search tool (based on Convera RetrievalWare) performs content and context searches.</p> <p>NRC developed an email capture capability that automatically loads email messages received by the Agency into ADAMS and sets metadata values. This capability reduces the time required to add emails to ADAMS.</p>	Data Management	Loading and Archiving	No Reuse
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5. 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	Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Fujitsu Scanner FI 4099, FI 5900 Prime Recognition OCR Image 1 Text Conversion, Ascent/Capture scanning software
2	Document Revisions	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hewlett-Packard ProLiant DL58 Windows 2000 Server Standard Edition, FileNet Content Service Version 5.4
3	Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Network Attached Storage/Microsoft SQL2K Server Hewlett-Packard ProLiant DL58
4	Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	Adobe Acrobat/FileNet Rendition Services
5	Indexing	Service Platform and	Delivery Servers	Application Servers	FileNet Content Services 5.4 Hewlett-Packard ProLiant

		Infrastructure			DL380/Convera Retrievalware7. Hewlett-Packard ProLiant DL38
6	Classification	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL2K Server Hewle Packard ProLiant DL580
7	Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Content Services 5.4 Hewlett-Packard ProLiant DL380/Convera Retrievalware 7.03 Hewlett-Packard ProLiant DL380
8	Information Mapping / Taxonomy	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
9	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server, Hewlett Packard ProLiant DL36 Panagon Web Services 3.2
10	Categorization	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
11	Knowledge Engineering	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
12	Knowledge Capture	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
13	Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
14	Record Linking / Association	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packa ProLiant ML530, Window 2000 Server Standard Edition
15	Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL2K Server Hewle Packard ProLiant DL580
16	Document Retirement	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiar DL380
17	Digital Rights Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000 Server, Standard Edition, Hewlett-Packard, Prolia D580, DL380, ML530, PL7000, DL360, PL1600
18	Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Provenanc ForeMost Enterprise Server, Hewlett Packard ProLiant DL380Server
19	Meta Data	Service Platform	Delivery Servers	Application	FileNet Panagon, Hewlett Packa

	Management and Infrastructure Service Platform		Servers	ProLiant ML530, Window 2000 Server Standard Edition
20	Data Cleansing and Infrastructure Service Platform	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
21	Extraction and Transformation and Infrastructure Service Platform	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
22	Loading and Archiving and Infrastructure Service Platform	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
23	Data Recovery and Infrastructure Service Platform	Database / Storage	Storage	Tivoli Storage Manager
24	Data Classification and Infrastructure Service Platform	Database / Storage	Database	Microsoft SQL Server, SQL2K
25	Software Development Component Framework	Business Logic	Platform Dependent	Visual Basic
26	Access Control Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000 Server, Standard Edition, Hewlett-Packard, ProLiant D580
27	Digital Signature Management Component Framework	Security	Certificates / Digital Signatures	Verisign
28	Audit Trail Capture and Analysis Service Platform and Infrastructure	Support Platforms	Platform Dependent	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
29	Document Library Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
30	Query Component Framework	Business Logic	Platform Dependent	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
31	Precision / Recall Ranking Service Platform and Infrastructure	Delivery Servers	Application Servers	Convera RetrievalWare 7.0.3, Hewlett-Packard ProLiant DL 380
32	Legacy Integration Service Platform and Infrastructure	Delivery Servers	Application Servers	Convera RetrievalWare 7.0.3, Hewlett-Packard ProLiant DL 380
33	Pattern Matching Service Platform and Infrastructure	Delivery Servers	Application Servers	Convera RetrievalWare 7.0.3, Hewlett-Packard ProLiant DL 380
34	Standardized / Canned Component Framework	Presentation / Interface	Dynamic Server-Side Display	Seagate Crystal Reports
35	Online Help Service Platform	Delivery Servers	Application	FileNet Panagon, Hewlett Packard

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

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?

2007-08-08

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:

All risk areas now reflect the current state of the system as of the date of this submission. The risk assessment includes expanded risk descriptions, mitigation strategies, and current status.

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

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

COST & SCHEDULE

1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2. Is the CV% or SV% greater than $\hat{A} \pm 10\%$?

no

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

no

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