

## Exhibit 300 (BY2009)

## PART ONE

## OVERVIEW

1. Date of Submission:	2007-09-10
2. Agency:	429
3. Bureau:	00
4. Name of this Capital Asset:	License Fee Billing System (Fees System)
5. Unique Project Identifier:	429-00-01-01-01-2025-00
6. What kind of investment will this be in FY2009? Operations and Maintenance	
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. The NRC is mandated by Federal regulation to recover 90% of its annual budget. In order to achieve this requirement, fees are assessed in accordance with the License Fee Management Program for annual licensing activities and various services which include new licensing approvals, licensing amendments, topical reports and reactor inspections. The Fees System provides an automated method of implementing this major Agency Program, which includes reporting, invoicing, and posting transactions to the accounts receivable module of the Agency's core accounting system. Management reports that include labor activity, contract costs, and billing details, as well as numerous types of invoices are produced by this system which is used by Headquarters Program and Support Offices, as well as the four regional offices. External customers, over 50 categories of licensees that receive a fee-billable service from the Agency, include applicants for facilities, materials, import and export licenses, holders of certificates of compliance, registration, quality assurance program approvals and government agencies licensed by the NRC. Expenditures associated with maintaining the existing Fees System are categorized as a "Legacy System Application", Steady State, and it is in the operation phase of the NRC's Capital Planning and Investment Control (CPIC) process. There is a continuing need for automation of the fee billing effort in order that the Agency can continue recovering costs of providing services as required under OBRA-90, as amended, and IOAA. The OCFO is currently modernizing its financial systems and the legacy Fees System will be replaced as an integrated part of the replacement Core Financial System (CFS), currently scheduled for completion by October 1, 2010.	
9. Did the Agency's Executive/Investment Committee approve this request? yes	
9.a. If "yes," what was the date of this approval? 2007-08-29	
10. Did the Project Manager review this Exhibit? yes	
11. Project Manager Name: Hite (FEES), Christine	

Project Manager Phone:

(301) 415-8191

Project Manager Email:

CWH1@NRC.GOV

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

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:

Financial Performance

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?)

The system provides daily billing data to the Federal Financial System in support of the NRC's financial statement. Transactions are posted as accounts receivable & form the basis for a majority of revenue collections. Fees collected are deposited to the Treasury as "miscellaneous receipts" & consistently meet the NRC's federal mandate to recover 90% of the budget. Use of these applications provide financial data in support of the NRC's development of fee schedules, reports & year-end closing.

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

yes

14.a. If yes, does this investment address a weakness found during the PART review?

no

14.b. If yes, what is the name of the PARTed program?

Nuclear Materials Users Licensing and Inspection

14.c. If yes, what rating did the PART receive?

Effective

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?

yes

19.a. If yes, does this investment address a FFMIA compliance area?

yes

19.a.1. If yes, which compliance area:

Financial Systems Requirements

19.b. If yes, please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A11 section 52.

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

Hardware	0
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Software	0
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Services	83
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Other	17
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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 S. 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
<b>Planning Budgetary Resources</b>		0.000	0.000
<b>Acquisition Budgetary Resources</b>		0.000	0.000
<b>Maintenance Budgetary Resources</b>		4.200	1.345
<b>Government FTE Cost</b>		0.630	0.538
<b># of FTEs</b>		1	3

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 FY2008 President's budget request, briefly explain those changes.

The summary of spending has changed to better represent the legacy investment, including known prior year expenditures and current funding usage. The Agency is modernizing its financial systems and the license fee billing functions currently provided by the legacy Fees System will be replaced as an integrated part of the replacement Core Financial System (CFS), currently scheduled for completion by October 1, 2010. Funding requirements associated with costs for maintaining the legacy Fees System, including NIH timesharing costs for use of their mainframe computer and IV&V services will continue. Funding previously budgeted for a non-integration solution, as well as C&A activities, has been reprogrammed to support the modernization 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 (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](http://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	Management	Mission and Business Results	Debt Collection	As required by congressional mandate, fee billing supports recovery of 90% of the budget. This helps to further ensure budget accuracy and enables cost recovery for other NRC investments. Availability of the Fees System supports the quarterly 30-day billing schedule.	Agency recovered 100% of the budget authority.	Agency recovered 100% of the budget authority.
2	2006	Effectiveness	Customer Results	Automation	Adhering to the 30-day billing cycle helps NRC to receive funds in a more timely and accurate manner. O&M costs are managed within the annual budgeted funds which indicates cost estimates are accurate and eliminates continual	Systems are available 90% of the time.	Systems are available 92% of the time.
3	2006	Effectiveness	Processes and Activities	Costs	Manage maintenance costs within +/-10% while new system is under development	Manage maintenance costs within +/-10% while new system is under development	Manage maintenance costs within +/-10%

				reprogramming of funds from other NRC investments. As required by the Dept. of Treasury, invoices are processed no later than 40 days after the end of each quarter. This enables more accurate invoices which, reducing the number of billing errors and therefore minimizing personnel effort and costs. As required by congressional mandate, fee billing supports recovery of 90% of the budget. This helps to further ensure budget accuracy and enables cost recovery for other NRC investments. Availability of the Fees System supports the quarterly 30-day billing				
4	2006 Effectiveness	Technology	Availability			Invoices are processed within 45 days at the end of each quarter.	Invoices are processed within 40 days at the end of each quarter.	Part 170 and 171 bills were all issued as scheduled.
5	2007 Management	Mission and Business Results	Debt Collection			Agency recovered 100% of the budget authority.	Support recovery of 90% of budget.	Pending
6	2007 Effectiveness	Customer Results	Automation			Systems are available 90% of the time.	Systems are available 92% of the time.	Pending



9	2008	Management	Mission and Business Results	Debt Collection	As required by congressional mandate, fee billing supports recovery of 90% of the budget. This helps to further ensure budget accuracy and enables cost recovery for other NRC investments. Availability of the Fees System supports the quarterly 30-day billing schedule.	Support recovery of 90% of budget.	Prepare 100% of licensee invoice information using the existing fees collection systems.	Pending	
	10	2008	Effectiveness	Customer Results	Automation	Adhering to the 30-day billing cycle helps NRC to receive funds in a more timely and accurate manner. O&M costs are managed within the annual budgeted funds which indicates cost estimates are accurate and eliminates continual reprogramming of funds from other NRC investments.	Systems are available 92% of the time.	Systems are available 94% of the time.	Pending
	11	2008	Effectiveness	Processes and Activities	Costs		O&M costs are managed within +/- 13% of budgeted funding.	O&M costs are managed within +/- 11% of budgeted funding.	Pending



122008	Effectiveness	Technology	Availability	<p>As required by the Dept. of Treasury, invoices are processed no later than 40 days after the end of each quarter. This enables more accurate invoices which, reducing the number of billing errors and therefore minimizing personnel effort and costs.</p>	<p>Invoices are processed no later than 40 days after the end of each quarter, as required by the Dept. of Treasury.</p>	<p>Invoices are processed no later than 35 days after the end of each quarter, as required by the Dept. of Treasury.</p>	Pending
132009	Management	Mission and Business Results	Debt Collection	<p>As required by congressional mandate, fee billing supports recovery of 90% of the budget. This helps to further ensure budget accuracy and enables cost recovery for other NRC investments.</p>	<p>Prepare 100% of licensee invoice information using the existing fees collection systems.</p>	<p>Prepare 100% of licensee invoice information using the existing fees collection systems.</p>	Pending
142009	Effectiveness	Customer Results	Automation	<p>System supports the quarterly 30-day billing schedule. Adhering to the 30-day billing cycle</p>	<p>Systems are available 94% of the time.</p>	<p>Systems are available 94% of the time.</p>	Pending

			helps NRC to receive funds in a more timely and accurate manner. O&M costs are managed within the annual budgeted funds which indicates cost estimates are accurate and eliminates continual reprogramming of funds from other NRC investments. As required by the Dept. of Treasury, invoices are processed no later than 40 days after the end of each quarter. This enables more accurate invoices which, reducing the number of billing errors and therefore minimizing personnel effort and costs.			
152009	Effectiveness and Activities	Processes and Costs		<p> O&amp;M costs are managed within +/- 11% of budgeted funding. </p> <p> O&amp;M costs are managed within +/- 11% of budgeted funding. </p>	Pending	
162009	Effectiveness Technology	Availability		<p> Invoices are processed no later than 35 days after the end of each quarter, as required by the Dept. of Treasury. </p> <p> Invoices are processed no later than 30 days after the end of each quarter, as required by the Dept. of Treasury. </p>	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?

no

1.a. If no, please explain why?

The Fees Systems project falls within the scope of the NRC's baseline EA. As such, this system supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model," provides data required by the NRC's services to citizens revenue collection business area and internal operations/infrastructure financial management business area. The Fees Systems utilize legacy software and databases that are outdated technology still in use. The OCFO is currently modernizing its financial systems and the legacy Fees System will be replaced as an integrated part of the replacement Core Financial System (CFS), currently scheduled for completion by October 1, 2010.

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.

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

no

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 %
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1	Billing and Accounting	Supports billing calculations and updates the accounts receivable module of the NRC's core financial system.	Financial Management	Billing and Accounting	No Reuse	15
2	Revenue Management	Supports the allocation of revenue from license fee billing. Facilitates the collection of data and information from multiple sources, including time and labor, license, and inspection data. Obtains source data including time and labor, license, licensee, inspection and staff data, from numerous other systems to create invoices; also provides data for billing and vendor transactions to the NRC's core	Financial Management	Revenue Management	No Reuse	15
3	Data Exchange		Data Management	Data Exchange	429-00-01-01-01- Internal 2015-00	10
4	Data Integration		Development and Integration	Data Integration	429-00-01-01-01- Internal 2015-00	10

		accounting system. Facilitates the collection of data and information from multiple sources, including time and labor, license, licensee, inspection and staff data. Distributes license fee billing information to the system users and invoices to licensees.						
5	Knowledge Capture		Knowledge Management	Knowledge Capture	Knowledge Capture	429-00-01-01-01- Internal 2015-00	10	
6	Knowledge Distribution and Delivery		Knowledge Management	Knowledge Distribution and Delivery		No Reuse	5	
7	Standardized / Canned	Provides standardized reports. Allows users to access NRC license fee billing data. Supports a multi-user environment to share NRC fee billing information.	Reporting	Standardized / Canned		No Reuse	5	
8	Information Retrieval		Knowledge Management	Information Retrieval		No Reuse	5	
9	Information Sharing		Knowledge Management	Information Sharing		No Reuse	5	
10	Ad Hoc	Provides ad-hoc reporting as-needed. Provides daily financial billing and collection data.	Reporting	Ad Hoc		No Reuse	8	
11	Debt Collection		Financial Management	Debt Collection		No Reuse	2	
12	Access	Controls	Security	Access		No	2	

	Control	access to the applications.	Management Control		Reuse	
13	Auditing	Supports annual financial statement audit. Includes internal control improvements	Financial Management Auditing		No Reuse	2
14	Internal Controls	in areas of accuracy, safeguarding and timeliness. Identifies	Financial Management Internal Controls		No Reuse	2
15	Identification and Authentication	users and requires use of a password. Provides data	Security Management Identification and Authentication		No Reuse	2
16	Query	query capabilities.	Search Query		No Reuse	2

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	Information Retrieval	Component Framework	Data Interchange	Data Exchange	CA Clipper 5.1, COBOL/370 2.2, MS Access 2003
2	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Application Servers	CA Clipper 5.1, COBOL/370 2.2, MS Access 2003
3	Knowledge Capture	Component Framework	Data Interchange	Data Exchange	CA Clipper 5.1, COBOL/370 2.2, MS

					Access 2003
4	Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	IBM DB2 7.0, dBase III
5	Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	IBM DB2 7.0, dBase III
6	Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Novell NetWare 6.5
7	Extraction and Transformation	Component Framework	Data Management	Reporting and Analysis	IBM DB2/QMF, CA Clipper 5.1, COBOL/370 2.2, MS Access 2003
8	Ad Hoc	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM DB2/QMF, CA Clipper 5.1, COBOL/370 2.2, MS Access 2003, dBase III
9	Billing and Accounting	Component Framework	Data Management	Database Connectivity	CA Clipper 5.1, COBOL/370 2.2, MS Access 2003, Borland Delphi 4.0
10	Debt Collection	Component Framework	Data Management	Reporting and Analysis	IBM DB2/QMF, CA Clipper 5.1, COBOL/370 2.2, MS Access 2003
11	Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	RACF-OS/390 2.8
12	Revenue Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Cisco VPN3030
13	Auditing	Component Framework	Data Management	Reporting and Analysis	IBM DB2/QMF, CA Clipper 5.1, COBOL/370 2.2, MS Access 2003
14	Internal Controls	Component Framework	Data Management	Reporting and Analysis	IBM DB2, dBase III, COBOL/370 2.2, CA Clipper 5.1, RACF-OS/390 2.8
15	Identification and Authentication	Service Platform and Infrastructure	Delivery Servers	Application Servers	CA Clipper 5.1, COBOL/370 2.2, RACF-OS/390 2.8
16	Query	Component Framework	Data Management	Reporting and Analysis	IBM DB2/QMF 7.0, dBase III, MS Access 2003

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

yes

6.a. If yes, please describe.

The Fees System utilizes the mainframe computer services provided by the National Institutes of Health (NIH). Two mainframe-based applications process information for staff hours, contract costs and annual fees.

### PART THREE

#### 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?

2007-08-06

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

no

#### COST & SCHEDULE

1. Was operational analysis conducted?

yes

1.a. If yes, provide the date the analysis was completed.

2007-08-03

What were the results of your operational analysis?

Results of the Fees System Operational Analysis indicate that although it is a legacy system using outdated technology, it continues to be effective in enabling the NRC to meet its congressional mandate to recover a majority of the annual budget authority. The Fees System was available as needed to support the fee billing business processes; invoices were issued on schedule in accordance with the annual Fees Billing Calendar. The Fees System is used on a daily basis, with heavier usage throughout the Agency occurring on a quarterly basis. Users successfully generated over 6,000 invoices that were mailed to external licensees, providing the basis for a majority of the Agency's accounts receivable collections. Additionally, it is anticipated that budgeted funds are sufficient to continue the operations and maintenance of the Fees System. The OCFO is currently modernizing its financial systems and the legacy Fees System will be replaced as an integrated part of the replacement Core Financial System (CFS), currently scheduled for completion by October 1, 2010.

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