

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:	National Source Tracking System (NSTS)
5. Unique Project Identifier:	429-00-01-04-01-1010-00
6. What kind of investment will this be in FY2009? Full-Acquisition	
7. What was the first budget year this investment was submitted to OMB? FY2006	
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap. Purpose: The purpose of this investment is to provide Web-based, full life cycle tracking of individual sealed sources containing nuclear materials. This investment directly supports the Nuclear Regulatory Commission (NRC) mission areas of nuclear materials safety and security of radioactive material with emphasis on accountability for radioactive sources. Establishment of the National Source Tracking System (NSTS) is required under the Energy Policy Act of 2005. These Sources, used in varied industrial and medical settings could potentially be stolen and used to produce a "dirty bomb", involving the use of conventional explosives in combination with Sources. Through detailed tracking in the NSTS, the NRC and other concerned government agencies will be able to readily determine when Sources of concern are in transit, overdue, or amassed in a given geographic area. Gaps Addressed: Based on the alternatives analysis and risk assessment, this investment will address mission gaps regarding timely tracking of Sources and will make data readily accessible to concerned agencies. Without this investment, these critical activities could not be achieved. In particular, current monitoring of Source data is limited to a periodic inventory submitted by NRC and Agreement State licensees who possess these materials. This interim database does not provide detailed tracking of Source shipments nor does it provide timely information regarding Source locations and is not readily accessible to all concerned agencies. Accomplishments: This investment is under development with approximately half of the software completed. An interim independent review has confirmed that the software is compliant with NRC requirements and structural standards.	
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: Bristor (NSTS), Joel	

Project Manager Phone:
301-415-8037

Project Manager Email:
JSB1@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:

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?)

When implemented, the NSTS will support the initiative for expanded E-Government by Web portal access to all system stakeholders. Licensees will be able to report transfers of nuclear materials, and licensing agencies such as the NRC, Agreement States, and DOE will be able to view and query summary data for their licensing domain.

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 3

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	5
Software	1
Services	90
Other	3

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

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		0.000	0.000
Acquisition Budgetary Resources		4.609	3.775
Maintenance Budgetary Resources		0.000	0.000
Government FTE Cost		0.265	0.138
# of FTEs		2	1

Note: For the cross-agency investments, this table should include all funding (both

managing partner and partner agencies).

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

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

no

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

In late FY 2006, a mid-process NRC internal review identified concerns that emergent technologies could provide significantly improved security architecture for the NSTS. While allowing the development contractor to proceed with work not related to security controls, the NRC and development contractor conducted market research and examined security architecture alternatives. As a result of this effort, the NRC identified a security architecture that will provide appropriate Level 4 authentication that was not available at the time of NSTS contract award. As part of the security categorization assessment, per FIPS Publication 199/200, the NRC determined that the NSTS potential loss impact is high with regard to the objectives of confidentiality, integrity and availability. The NRC and NSTS development contractor have revised the integrated project schedule and are conducting cost negotiations prior to establishing a new baseline. Investigation and implementation of this revised security architecture will delay system deployment by about one year and increase contract costs.

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	Security	Mission and Business Results	Catastrophic Defense	Percentage of U.S. nuclear materials licensee sites able to report possession and radiological	No data available on reporting rate of possession of nuclear and radiological materials	Conduct a pilot to demonstrate that U.S. nuclear and radiological materials	Completed pilot and demonstrated ability of U.S. nuclear materials

			transfer of radiological sources via the Web-based NSTS - indicates potential for NSTS to improve timely reporting Percentage of U.S. nuclear materials licensee sites reporting that burden for reporting with NSTS versus alternative paper methods - indicates level of stakeholder acceptance and any need for interface/process improvement Time required to reflect updated regulations through an on-line system such as the NSTS - provides baseline for future improvements to possession of prompt implementation of regulations, such as those needed in response to terrorist acts NSTS system up time - provides baseline for	sources available on reporting	licensee sites can report possession of radiological sources to support the initial NSTS data load	licensee sites can report possession of radiological sources to support the initial NSTS data load
2 2006 Effectiveness	Customer Results	Customer Impact or Burden	No data available on reporting rate of possession of radiological sources	Conduct a pilot to demonstrate that U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load	Completed pilot and demonstrated ability of U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load	Completed pilot and demonstrated ability of U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load
3 2006 Openness	Processes and Activities	Policies	No data available on reporting rate of possession of radiological sources	Conduct a pilot to demonstrate that U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load	Completed pilot and demonstrated ability of U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load	Completed pilot and demonstrated ability of U.S. nuclear materials licensee sites can report possession of radiological sources to support the initial NSTS data load
4 2006 Management Technology Availability			No data available on reporting	Conduct a pilot to demonstrate	Completed pilot and demonstrated	

				monitoring system availability in support of timely reporting of source tracking information	rate of possession of nuclear radiological materials sources	that U.S. licensee sites can report possession of radioactive sources to support the initial NSTS data load	ability of U.S. nuclear materials licensee sites can report possession of radioactive sources to support the initial NSTS data load
5 2007 Security	Mission and Business Results	Catastrophic Defense		Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	Conduct a follow-up pilot to determine completeness of reporting during initial pilot	0% increase in reporting possession of Pending radiological sources	
6 2007 Effectiveness	Customer Results	Customer Impact or Burden		Improvement in percentage of U.S. nuclear materials licensee sites reporting that burden for reporting is less with NSTS versus alternative paper methods - provides ongoing monitoring of need for process improvements	Conduct a follow-up pilot to determine completeness of reporting during initial pilot	0% increase in reporting possession of Pending radiological sources	
7 2007 Openness	Processes and Activities	Policies		Improvement in time required to reflect updated	Conduct a follow-up pilot to	0% increase in reporting Pending possession of	

			regulations through the NSTS - provides ongoing monitoring of pilot improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	determine completeness of reporting during initial pilot 0% increase in reporting possession of radiological sources	radiological sources
8	2007 Management Technology Availability	Mission and Business Results	Catastrophic Defense	Conduct a follow-up pilot to determine completeness of reporting during initial pilot	0% increase in reporting possession of Pending radiological sources
9	2008 Security	Mission and Business Results	Catastrophic Defense	0% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS	10% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS
10	2008 Effectiveness	Customer Results	Customer Impact or Burden	Improvement in 0% of U.S. percentage of nuclear materials licensee sites reporting	6% of U.S. nuclear materials licensee sites reporting

			reporting that burden for reporting is less with NSTS versus alternative paper and transfer methods - provides ongoing monitoring of need for process improvements	that the regulatory burden for reporting the possession of radiological sources is less with NSTS versus alternative paper methods.	that the regulatory burden for reporting the possession of radiological sources is less with NSTS versus alternative paper methods.
112008 Openness	Processes and Activities	Policies	Improvement in nuclear time required to materials reflect updated regulations through the NSTS - provides ongoing monitoring of improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts	licensee sites reporting that the regulatory burden for reporting the possession of radiological sources is less with NSTS versus alternative paper methods.	The NSTS is updated within 7 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.
122008 Management Technology Availability	Availability		Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information	0% of U.S. nuclear materials licensee sites available reporting that the regulatory burden for reporting the published possession and transfer of radiological	Pending scheduled and 90% of the time during operation

				sources is less with NSTS versus alternative paper methods.			
132009	Security	Mission and Business Results	Catastrophic Defense	Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting 10% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS			
142009	Effectiveness	Customer Results	Customer Impact or Burden	Improvement in percentage of U.S. nuclear materials licensee sites reporting that the regulatory burden for reporting is less with NSTS versus reporting the possession and transfer alternative paper of methods - provides ongoing monitoring of need for process improvements	6% of U.S. nuclear materials licensee sites reporting that the regulatory burden for reporting the possession and transfer alternative paper of radiological sources is less with NSTS versus alternative paper methods.	35% of U.S. nuclear materials licensee sites reporting the possession and transfer alternative paper of radiological sources is less with NSTS versus alternative paper methods.	Pending
152009	Openness	Processes and Activities	Policies	Improvement in time required to reflect updated regulations through the NSTS - provides new	The NSTS is updated within 7 days of approval of new	The NSTS is updated within 5 days of approval of new	Pending

			ongoing monitoring of improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts	regulations or policies affecting the possession and transfer of radiological sources.	regulations or policies affecting the possession and transfer of radiological sources.
162009 Management Technology	Availability		Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information	NSTS available 90% of the time during scheduled and published hours of operation	NSTS available 95% of the time during scheduled and published hours of operation
172010 Security	Mission and Business Results	Catastrophic Defense	Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	50% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS	80% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS
182010 Effectiveness	Customer Results	Customer Impact or Burden	Improvement in percentage of U.S. nuclear materials licensee sites reporting that burden for reporting is less	35% of U.S. nuclear materials licensee sites reporting that the regulatory burden for	55% of U.S. nuclear materials licensee sites reporting that the regulatory burden for

192010 Openness	Processes and Activities	Policies	with NSTS versus alternative paper and transfer methods - provides ongoing monitoring of need for process improvements	reporting the possession of radiological sources is less with NSTS versus alternative paper methods.	reporting the possession of radiological sources is less with NSTS versus alternative paper methods.
202010 Management Technology	Availability		Improvement in time required to reflect updated regulations through the NSTS - provides ongoing monitoring of improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts	The NSTS is updated within 5 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.	The NSTS is updated within 3 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.
212011 Security	Mission and Business Results	Catastrophic Defense	Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information	NSTS available 95% of the time during scheduled and published hours of operation	NSTS available 99% of the time during scheduled and published hours of operation

			through the and transfer and transfer NSTS - provides of of ongoing radiological radiological monitoring of sources via sources via degree to which the Web- the Web- NSTS can affect based NSTS based NSTS timely data collection and reporting		
222011 Effectiveness	Customer Results	Customer Impact or Burden	55% of U.S. 60% of U.S. Improvement in nuclear nuclear percentage of materials materials U.S. nuclear licensee sites licensee sites materials reporting reporting licensee sites that the that the reporting that regulatory regulatory burden for burden for burden for reporting is less reporting the reporting the with NSTS possession possession Pending versus and transfer and transfer alternative paper of of methods - radiological radiological provides sources is sources is ongoing less with less with monitoring of NSTS versus NSTS versus need for process alternative alternative improvements paper paper methods. methods.		
232011 Openness	Processes and Activities	Policies	Improvement in time required to reflect updated regulations through the NSTS - provides ongoing monitoring of improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts	The NSTS is updated within 3 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.	The NSTS is updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.
242011 Management Technology	Availability		Improvement in NSTS	NSTS	Pending

			NSTS system upavailable time - provides ongoing monitoring of system availability in support of timely reporting operation of source tracking information	99% of the time during scheduled and published hours of operation	available 99% of the time during scheduled and published hours of operation
252012 Security	Mission and Business Results	Catastrophic Defense	Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	85% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS	87% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS Pending
262012 Effectiveness	Customer Results	Customer Impact or Burden	Improvement in percentage of U.S. nuclear materials licensee sites reporting that the burden for reporting is less with NSTS versus alternative paper methods - provides ongoing monitoring of need for process improvements	60% of U.S. nuclear materials licensee sites reporting that the regulatory burden for reporting the possession and transfer of radiological sources is less with NSTS versus alternative paper methods.	65% of U.S. nuclear materials licensee sites reporting the possession and transfer of radiological sources is less with NSTS versus alternative paper methods. Pending
272012 Openness	Processes	Policies	Improvement in The NSTS is	The NSTS is	Pending

		and Activities	time required to reflect updated regulations through the approval of NSTS - provides new ongoing monitoring of system availability in support of timely reporting of source tracking information	updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.	updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.		
28	2012 Management Technology Availability		NSTS available 99% of the time during scheduled and published hours of operation	NSTS available 99% of the time during scheduled and published hours of operation	Pending		
29	2013 Security	Mission and Business Results	Catastrophic Defense	Improvement in percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	87% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS	88% of U.S. nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web-based NSTS	Pending
30	2013 Effectiveness	Customer Results	Customer Impact or Burden	Improvement in percentage of U.S. nuclear materials	65% of U.S. nuclear materials	70% of U.S. nuclear materials	Pending

			materials licensee sites reporting that burden for reporting is less with NSTS versus alternative paper and transfer methods - provides ongoing monitoring of need for process improvements	licensee sites reporting that the regulatory burden for reporting the possession of radiological sources is less with NSTS versus alternative paper methods.	licensee sites reporting that the regulatory burden for reporting the possession of radiological sources is less with NSTS versus alternative paper methods.
312013 Openness	Processes and Activities	Policies	Improvement in time required to reflect updated regulations through the NSTS - provides ongoing monitoring of improvement in timely implementation of changes to regulations, such as those needed in response to terrorist acts	The NSTS is updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.	The NSTS is updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological sources.
322013 Management Technology	Availability		Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information	NSTS available 99% of the time during scheduled and published hours of operation	NSTS available 99% of the time during scheduled and published hours of operation
332014 Security	Mission and Catastrophic	Improvement in 88% of U.S.	89% of U.S.	Pending	

	Business Results	Defense	percentage of U.S. nuclear materials licensee sites able to report through the NSTS - provides of ongoing monitoring of degree to which NSTS can affect timely data collection and reporting	nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web- based NSTS	nuclear materials licensee sites are reporting possession and transfer of radiological sources via the Web- based NSTS
342014 Effectiveness	Customer Results	Customer Impact or Burden	70% of U.S. Improvement in percentage of U.S. nuclear materials licensee sites reporting that burden for reporting is less with NSTS versus alternative paper of methods - provides ongoing monitoring of need for process improvements	75% of U.S. nuclear materials licensee sites reporting that the regulatory burden for reporting the possession and transfer of radiological sources is less with NSTS versus alternative paper methods.	Pending
352014 Openness	Processes and Activities	Policies	The NSTS is time required to reflect updated regulations through the NSTS - provides new ongoing monitoring of improvement in affecting the timely implementation of changes to regulations,	The NSTS is updated within 2 days of approval of new regulations or policies affecting the possession and transfer of radiological	Pending

	such as those sources.	sources.
	needed in response to terrorist acts	
	Improvement in NSTS system up time - provides ongoing monitoring of system availability in support of timely reporting of source tracking information	NSTS available 99% of the time during scheduled and published hours of operation
362014 Management Technology Availability		NSTS available 99% of the time during scheduled and published hours of operation
		Pending

EA

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

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

yes

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

yes

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

National Source Tracking System

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	Internal Reused or External UPI	Funding % Reuse?
1 Process Tracking	Tracks the full life-cycle of radiological sources	Tracking and Process Workflow Tracking		No Reuse	35
2 Online Help	Provides the ability for Licensees to request help on how to use the system	Customer Initiated Assistance	Online Help	No Reuse	2
3 Reservations/Registration	Provides the ability to indicate that radiological sources have been transferred or received Upon login, the Licensee may see	Customer Initiated Assistance	Reservations / Registration	No Reuse	10
4 Alerts and Notifications	alerts that the system generates that apply to that licensee Generates alerts of various events and tracks them within the system	Customer Preferences	Alerts and Notifications	No Reuse	5
5 Case Management		Tracking and Case Workflow Management		No Reuse	5
6 Information Retrieval	Enables Knowledge	Information		No	8

		users to retrieve applicable information based on security roles NSTS supports multi-user environments to share NRC information NSTS	Management Retrieval Knowledge Management Sharing	Reuse	
7	Information Sharing	provides ad-hoc reporting NSTS	Reporting	Ad Hoc	No Reuse 2
8	Ad Hoc	provides standardized reports NSTS	Reporting	Standardized / Canned	No Reuse 2
9	Standardized / Canned	supports the exchange of data between multiple systems NSTS	Data Management	Exchange	No Reuse 4
10	Data Exchange	supports the integration of data from multiple systems NSTS	Development and Integration	Data Integration	No Reuse 2
11	Data Integration	requires a user to identify themselves in order to gain access to the system NSTS	Security Management	Identification and Authentication	No Reuse 2
12	Identification and Authentication	controls access to the system NSTS	Security Management	Access Control	No Reuse 5
13	Access Control	supports the encoding of	Cryptography	Cryptography	No Reuse 4
14	Cryptography				No Reuse 4

15 Query	data for security purposes NSTS provides complete search and retrieval services	Search	Query	No Reuse	10
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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 Alerts and Notifications	Service Platform and Infrastructure	Delivery Servers	Application Servers	Server side J2EE application;RedHat Linux Enterprise v4;Oracle Application Server, Real Application Cluster, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950; NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch	
2 Online Help	Service Platform and Infrastructure	Delivery Servers	Web Servers	Server side J2EE application;RedHat Linux Enterprise v4; Oracle HTTP Server, Real Application Cluster, and Data Guard 10g; NetApp SnapManager for Oracle; Dell PowerEdge 1950; NetApp FAS270C Enterprise Storage System; Cisco MDS 9020 Fabric Switch	
3 Reservations / Registration	Service Platform and Infrastructure	Database / Storage	Database	Server side J2EE application;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch	
4 Process Tracking	Service Platform and Infrastructure	Database / Storage	Database	Server side J2EE application;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard	

5	Case Management	Service Access Service and Delivery Transport	Supporting Network Services	10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch Server side J2EE application;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
6	Information Retrieval	Service Access Service and Delivery Transport	Supporting Network Services	Server side J2EE application;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
7	Information Sharing	Service Platform and Infrastructure	Database / Storage	Database SQL scripts;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
8	Ad Hoc	Component Framework	Presentation / Interface	Dynamic Server-Side Display Crystal Reports;RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
9	Standardized / Canned	Service Platform and Infrastructure	Delivery Servers	Application Servers Server side J2EE application;RedHat Linux Enterprise v4;Oracle Application Server, Real Application Cluster, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
10	Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers Server side J2EE application;RedHat Linux Enterprise v4;Oracle Appl Server, Real Application Cluster (RAC) 10g, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch

11	Data Integration Platform and Infrastructure	Service	Database / Storage	Database	RedHat Linux Enterprise v4;Oracle Real Application Cluster, Internet Directory, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch
12	Identification and Authentication	Component Framework	Security	Certificates / Digital Signatures	PKI (Verisign), RedHat Linux Enterprise v4.0 Operating System, Oracle Internet Directory (OID) 10g R3. F5 BIG-IP Local Traffic Management v9 6400
13	Access Control	Service Platform and Infrastructure	Support Platforms	Platform Dependent	RedHat Linux Enterprise v4.0 Operating System, Oracle Internet Directory (OID) 10g R3. Dell PowerEdge 1950
14	Cryptography	Component Framework	Security	Supporting Security Services	RedHat Linux Enterprise v4;Oracle HTTP Server, Real Applic Cluster, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch;F5 BIG-IP Local Traffic Management v9 6400
15	Query	Component Framework	Business Logic	Platform Dependent	Server side J2EE application;RedHat Linux Enterprise v4;Oracle Appl Server, Real Application Cluster, and Data Guard 10g;NetApp SnapManager for Oracle;Dell PowerEdge 1950;NetApp FAS270C Enterprise Storage System;Cisco MDS 9020 Fabric Switch

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?

2007-08-23

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:

Investment risks are reflected through added costs in independent contractor reviews and compliance with an iterative development process. This iterative approach provides frequent product reviews to ensure early identification of any variance from NRC requirements. The added cost of packaging products for multiple reviews and the cost of independent verification and validation contractors and added NRC expert reviews is returned in ongoing assurance of true versus perceived progress. In performing reviews, particular emphasis is given to areas identified in the NRC agency plan of action & milestones (risk list).

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 $\pm 10\%$?

yes

2.a. If yes, was it the?

Both

2.b. If yes, explain the variance.

Both the schedule and cost variance were caused by an NRC effort to ensure that the NSTS security architecture reflects the latest emergent technologies. This is in response to ongoing concerns over sensitivity of the NSTS data. In late FY 2006, a mid-process NRC internal review identified concerns that emergent technologies might be able to provide a significantly improved security architecture for the NSTS. While allowing the development contractor to proceed with work not related to security controls, the NRC and development contractor conducted market research and examined security architecture alternatives. As a result of this effort, the NRC identified a security architecture that will provide appropriate Level 4 authentication that was not available at the time of NSTS contract award.

2.c. If yes, what corrective actions are being taken?

The NRC and NSTS development contractor have revised the integrated project schedule to reflect implementation of the enhanced security architecture. Contract negotiations are underway to and will result in a new baseline. To ensure successful implementation of this enhanced architecture, the NRC has modified the contract to require more extensive involvement by key contractor security experts. The NRC has also added to the integrated schedule more frequent and detailed NRC security reviews.

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

no

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