

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
<i>6. What kind of investment will this be in FY2009?</i>	Mixed Life Cycle
<i>7. What was the first budget year this investment was submitted to OMB?</i>	FY2001 or earlier
<i>8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.</i>	<p>The 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 for the next-generation ADAMS, which will replace the current ADAMS technology.</p>
<i>9. Did the Agency's Executive/Investment Committee approve this request?</i>	yes
<i>9.a. If "yes," what was the date of this approval?</i>	2007-09-04
<i>10. Did the Project Manager review this Exhibit?</i>	yes
<i>11. Project Manager Name:</i>	Fabian (ADAMS), Gregory
<i>Project Manager Phone:</i>	301-415-7650
<i>Project Manager Email:</i>	GXF@nrc.gov
<i>11.a. What is the current FAC-P/PM certification level of the project/program manager?</i>	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	3
Services	97
Other	0
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	
yes	
22. Contact information of individual responsible for privacy related questions.	
Name	
Sandra Northern	
Phone Number	
301-415-6879	
Title	
Privacy Officer	
Email	
SSN@nrc.gov	

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

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

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

	PY-1 & Earlier	PY	CY	BY	BY+1	BY+2	BY+3	BY+4 & Beyond
	-2006	2007	2008	2009	2010	2011	2012	2013+
Planning Budgetary Resources	2.910	0.590	0.457	0.536	0.000	0.000	0.000	0.000
Acquisition Budgetary Resources	4.982	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance Budgetary Resources	49.802	10.165	6.734	8.013	8.482	8.951	9.439	0.000
Government FTE Cost	215.000	19.500	21.000	21.500	21.500	21.500	21.500	0.000
# of FTEs	136	20	20	20	20	20	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.

ACQ STRATEGY

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

	Number	Type	Awarded?	Award date (planned or actual)	Start Date	End Date	Total Value (\$M)
1	NRC-33-03-342-005T13 - GSA Schedule Contract, Period of performance extended until follow-on contract awarded (DR 33-06-358)	T&M: Time & Materials	yes	2003-09-30	2003-10-13	2007-09-25	4.963
2	NRC-33-04-319 - Professional services to extend the capabilities of the FileNet COTS product used for ADAMS to accommodate new business requirements.	T&M: Time & Materials	yes	2004-06-25	2004-07-01	2008-12-31	2.189
3	NRC-33-03-341 - Scanning and converting paper documents to digital files, categorizing documents and performing quality assurance on metadata, processing documents as electronic records, performing database maintenance	T&M: Time & Materials	yes	2003-08-28	2003-09-06	2008-09-05	14.600
4	DR-33-06-363 DR-33-04-317 - Contractor support to develop search portals using the Convera RetrievalWare Enterprise Search COTS product and to provide project management and requirements engineering support to the ngADAMS project	T&M: Time & Materials	yes	2006-09-27	2006-09-27	2009-09-26	4.049
5	DR-33-06-358 - Follow-on to NRC-33-03-342-005T13, not awarded as of the date of this exhibit	T&M: Time & Materials	no	2007-09-30	2007-09-30	2011-09-30	5.000
6	TBD - Follow-on Contract for NRC-33-03-341	T&M: Time & Materials	no	2008-08-01	2008-08-01	2015-09-15	15.000
7	NRC-33-01-174 - Software License/Maintenance Fee - Renewed each year, covers the FileNet Document Management System COTS products used for ADAMS	FFP: Firm Fixed Price	yes	2001-02-01	2001-02-01	2008-01-31	3.600
8	NRC-33-07-324 - Software License/Maintenance Fees for the COTS enterprise search product used for three search portals: NRC staff search of ADAMS documents, public search for publicly available documents and documents relating to hearings	FFP: Firm Fixed Price	yes	2005-06-30	2007-04-01	2008-03-31	0.304
9	TBD - Contractor assistance for analyzing the functional requirements and preparing the CPIC Business Case Package for the ADAMS technology refresh	FFP: Firm Fixed Price	no	2007-09-30	2007-09-30	2009-03-31	0.763
10	TBD - Contractor support to evaluate effectiveness of the ADAMS records manager and propose technology refresh solutions, the ADAMS document categorization schema, and the workflow used to handle document files as records	FFP: Firm Fixed Price	no	2007-12-01	2007-12-01	2008-09-30	0.617
11	DR-33-07-319 - Off-site contractor Continuity of Operations System Site	FFP: Firm Fixed Price	yes	2006-12-22	2006-12-28	2009-12-27	2.280

	Number	Interagency Acquisition?	Performance based?	Competitively awarded?	Alternative Financing Option?	EVM in contract?	Include sec & priv clauses?
1	NRC-33-03-342-005T13 - GSA Schedule Contract, Period of performance extended until	no	no	yes	NA	no	yes

	follow-on contract awarded (DR 33-06-358)						
2	NRC-33-04-319 - Professional services to extend the capabilities of the FileNet COTS product used for ADAMS to accommodate new business requirements.	no	no	no	NA	no	yes
3	NRC-33-03-341 - Scanning and converting paper documents to digital files, categorizing documents and performing quality assurance on metadata, processing documents as electronic records, performing database maintenance	no	no	yes	NA	no	yes
4	DR-33-06-363 DR-33-04-317 - Contractor support to develop search portals using the Convera RetrievalWare Enterprise Search COTS product and to provide project management and requirements engineering support to the ngADAMS project	no	no	yes	NA	no	yes
5	DR-33-06-358 - Follow-on to NRC-33-03-342-005T13, not awarded as of the date of this exhibit	no	no	yes	NA	yes	yes
6	TBD - Follow-on Contract for NRC-33-03-341	no	no	yes	NA	no	yes
7	NRC-33-01-174 - Software License/Maintenance Fee - Renewed each year, covers the FileNet Document Management System COTS products used for ADAMS	no	no	no	NA	no	no
8	NRC-33-07-324 - Software License/Maintenance Fees for the COTS enterprise search product used for three search portals: NRC staff search of ADAMS documents, public search for publicly available documents and documents relating to hearings	no	no	no	NA	no	no
9	TBD - Contractor assistance for analyzing the functional requirements and preparing the CPIC Business Case Package for the ADAMS technology refresh	no	yes	yes	NA	yes	yes
10	TBD - Contractor support to evaluate effectiveness of the ADAMS records manager and propose technology refresh solutions, the ADAMS document categorization schema, and the workflow used to handle document files as records	no	yes	yes	NA	yes	yes
11	DR-33-07-319 - Off-site contractor Continuity of Operations System Site	no	no	yes	NA	no	yes

	Number	CO Name	CO Contact	CO Certification Level	If N/A, CO Competent?
1	NRC-33-03-342-005T13 - GSA Schedule Contract, Period of performance extended until follow-on contract awarded (DR 33-06-358)	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
2	NRC-33-04-319 - Professional services to extend the capabilities of the FileNet COTS product used for ADAMS to accommodate new business requirements.	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
3	NRC-33-03-341 - Scanning and converting paper documents to digital files, categorizing documents and performing quality assurance on metadata, processing documents as electronic records, performing database maintenance	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
4	DR-33-06-363 DR-33-04-317 - Contractor support to develop search portals using the Convera RetrievalWare Enterprise Search COTS product and to provide project management and requirements engineering support to the ngADAMS project	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
5	DR-33-06-358 - Follow-on to NRC-33-03-342-005T13, not awarded as of the date of this exhibit	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
6	TBD - Follow-on Contract for NRC-33-03-341	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
7	NRC-33-01-174 - Software License/Maintenance Fee - Renewed each year, covers the FileNet Document Management System COTS products used for ADAMS	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
8	NRC-33-07-324 - Software License/Maintenance Fees for the COTS enterprise search product used for three search portals: NRC staff search of ADAMS documents, public search for publicly available documents and documents relating to hearings	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
9	TBD - Contractor assistance for analyzing the functional requirements and preparing the CPIC Business Case Package for the ADAMS technology refresh	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
10	TBD - Contractor support to evaluate effectiveness of the ADAMS records manager and propose technology refresh solutions, the ADAMS document categorization schema, and the workflow used to handle document files as records	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	
11	DR-33-07-319 - Off-site contractor Continuity of Operations System Site	Robert Webber	(301) 415-6520 RBW@nrc.gov	3	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

The contracts referenced on lines 7 and 8 are for software license renewals. EVM and performance based acquisitions (PBA) do not apply to these commodity contracts since they do not involve task-based work. The contracts referenced on lines 1 and 2 were awarded before OMB Memorandum M-05-23 was issued and earned value was not a requirement at that time. These contracts are at the end of the contract performance period and no further tasks orders will be issued on them. New contractors in the process of award (line 5) or planned for award during FY 2007 appearing on lines 9 and 10 incorporate the standard NRC earned value management contract clause and use performance based statements of work. The document processing contract (shown on line 3 for the current contract and its replacement on line 6 uses performance based statements of work with bonus for exceeding certain service levels. However, neither contract has earned value management clauses, as the work involves a continuous and ongoing level of effort with no development, modernization, or enhancement (DME) activities. Both contracts deal with converting paper-based documents into electronic format and ensuring correct profiling and storage of the electronic versions in ADAMS. The contract referenced on line 4 uses only one contractor FTE and falls below the threshold for earned value management. The contract referenced on line 11 is not tasked-based, but operations in nature.

3. Do the contracts ensure Section 508 compliance?

no

3.a. Explain why.

The professional services contracts in place do not have Section 508 compliance clauses. Web-based aspects of the current ADAMS system have section 508 functional requirements and test acceptance criteria. The current software licenses do not include Section 508 clauses. Software licensing contracts for the ADAMS technology refresh will include a Section 508 compliance clause.

4. Is there an acquisition plan which has been approved in accordance with agency requirements?

yes

4.a. If yes, what is the date?

2007-08-01

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 ADAMS to electronic Official Agency Records (OAR) 95% of the time without operator intervention. This reduces the overall cost of ADAMS operations.	95% of documents created without user intervention.	Increase successful automated conversion to 98%.	Successfully automated conversion was 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	90% of non-sensitive, unclassified information generated from external sources relevant to the regulatory process available to the public within 6th working day of the date	Resolve 90% of public user inquiries within 24 hours.	90% of public user inquiries were resolved within 24 hours

						of the document		
5	2007	Openness	Mission and Business Results	Record Retention	Record Retention	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 of any sensitive information.	93% of non-sensitive, unclassified information relevant to the regulatory process available to the public within 5th working day of the date of the document	Pending
9	2008	Openness	Mission and Business Results	Record Retention	Record Retention	99% of documents are successfully converted during submission	Increase successful automated conversion to 100%.	Pending
10	2008	Effectiveness	Customer Results	Customer Satisfaction	Customer Satisfaction	Average score of 3.4 on a 1-4 scale as measured using a customer satisfaction survey.	Increase average score to 3.5 on customer satisfaction survey.	Pending
11	2008	Effectiveness	Processes and Activities	Timeliness	Timeliness	92% of public user inquiries are	Resolve 94% of public user inquiries within	Pending

						resolved within 1 day or less.	1 day or less.	
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 available to the public within 5th working day of the date of the document	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 workdays of the date the document was cleared of any sensitive information.	Pending
13	2009	Openness	Mission and Business Results	Record Retention	Record Retention	100% of documents are successfully converted during submission	Maintain successful automated conversion to 100%.	Pending
14	2009	Effectiveness	Customer Results	Customer Satisfaction	Customer Satisfaction	Average score of 3.5 on a 1-4 scale as measured using a customer satisfaction survey.	Increase average score to 3.6 on customer satisfaction survey.	Pending
15	2009	Effectiveness	Processes and Activities	Timeliness	Timeliness	94% of public user inquiries are resolved within within 1 day or less.	Resolve 96% of public user inquiries within 1 day or less.	Pending
16	2009	Openness	Technology	External Data Sharing	External Data Sharing	94% of non-sensitive, unclassified information generated from external sources relevant to the regulatory process available to the public within 4th working day of the date of the document	95% 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 of any sensitive information.	Pending
17	2008	Effectiveness	Technology	User Satisfaction	NRC User Assistance -	The ADAMS Help Desk	To be determined -	To be determined -

					Timely Response	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.	this is the first time this statistic is being collected by the ADAMS help desk.	this will be the first year this metric is collected.
18	2008	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.
19	2008	Openness	Customer Results	Customer Satisfaction	Public Assistance with ADAMS	The Public Document Room will respond within 4 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.	To be determined - this is the first time this statistic is being collected by the NRC Public Documents Room.	To be determined - this will be the first year this metric is collected.
20	2008	Openness	Customer Results	Customer Satisfaction	Public Assistance with ADAMS	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	To be determined - this is the first time this statistic is being collected by the NRC Public Document Room.	To be determined - this will be the first year this metric is collected.

						threshold will be met for 90% of all requests for assistance.		
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SECURITY & PRIVACY

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the Systems in Planning table (Table 3) and the Operational Systems table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the Name of System column of the privacy table (Table 8) should match the systems listed in columns titled Name of System in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer yes for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

For all investments, please respond to the questions below and verify the system owner took the following actions:

1. Identified the IT security costs for the system(s) and have integrated those costs into the overall costs of the investment:

yes

1.a. If yes, provide the Percentage IT Security for the budget year.

5.02

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

yes

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Moderization

System Name	Agency or Contractor?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
ADAMS Next Gen	Government Only	2010-06-01	2010-06-01

4. Operational Systems

System Name	Agency or Contractor?	Risk Impact Level	Completed C&A?	C&A Completion Date	Security Control Test Standard	Security Control Test Date	Contingency Plan Test Date
Agency-wide Documents Access and Management System (ADAMS) - System	Contractor and Government	High	yes	2008-04-01	FIPS 200 / NIST 800-53	2007-11-16	2007-08-24

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

yes

5.a. If yes, have those weaknesses been incorporated into the agency's plan of action and milestone process?

yes

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

no

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

NRC staff and contractors administer and operate the production, development, and test systems associated with this investment. NRC staff, contractors, and members of the public use the production system. As part of the annual NIST 800-53 control test, contractor security procedures are monitored, verified, and validated. Professional services contracts supporting the ADAMS investment include

specific security and privacy requirements and oversight as required by law and NRC's security policy. Contracts are reviewed annually (usually, the anniversary of contract award or before awarding option years). Specific system and network security requirements are explicitly defined in the contract Statement of Work or included as system requirements to the contractor. The ADAMS ISSO ensures contractor compliance with NRC security policy regarding security procedures to monitor, verify, and validate contractors working on NRC systems.

8. System Privacy Data

System Name	New System?	Is there a PIA?	PIA Internet Link or Explanation	Is SORN required?	SORN Internet Link or Explanation
Agency-wide Documents Access and Management System (ADAMS) - System	no	yes	See: http://www.nrc.gov/about-nrc/plans/privacy-impcat-assess.html , and click on the second bullet labeled "Agencywide Documents Access and Management System". The results of the PIA indicated that there is no PII in this system.	no	Because the ADAMS system does not store PII, it is not a Privacy Acts System of Record and therefore a SORN is not needed.
ADAMS Next Gen	yes	no	At the time of this OMB300 submission, ADAMS Next Gen is still in the planning phase and, therefore, the completed PIA is still under review. The approved PIA will be publically posted prior to system deployment.	no	At the time of this OMB300 submission, ADAMS Next Gen is still in the planning phase, however it is not envisioned that the system will store PII and therefore will not be a Privacy Act System of Record and therefore a SORN will not be needed.

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.

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 containing only publicly available documents), and Public Legacy (publicly available bibliographic information from the earlier system).	Document Management	Library / Storage			No Reuse	20
2	Digital Asset Services	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	Knowledge Management	Information Retrieval			No Reuse	10

		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).						
3	Customer Services	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.	Customer Initiated Assistance	Assistance Request			No Reuse	1
4	Digital Asset Services	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 appropriate and completes the profile (meta data) for all of the documents added to ADAMS.	Document Management	Document Imaging and OCR			No Reuse	15
5	Digital Asset Services	ADAMS allows users to create versions of documents stored in the Main Library. The system supports only major versions at this time. 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.	Document Management	Document Revisions			No Reuse	1
6	Customer Services	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.	Customer Initiated Assistance	Online Help			No Reuse	1
7	Digital Asset Services	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.	Document Management	Document Conversion			No Reuse	1
8	Digital Asset Services	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 search engine used for advanced, web-based search,	Document Management	Indexing			No Reuse	1

		creates text indices. These indices allow rapid retrieval of documents meeting the user's search query.						
9	Digital Asset Services	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. However, ADAMS does not employ a formal taxonomy. There are plans to develop a taxonomy for the ADAMS technology refresh.	Document Management	Classification			No Reuse	1
10	Customer Preferences	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.	Customer Preferences	Personalization			No Reuse	1
11	Digital Asset Services	The package feature allows users to create collections of related documents. 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 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.	Knowledge Management	Information Mapping / Taxonomy			No Reuse	1
12	Digital Asset Services	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).	Knowledge Management	Information Sharing			No Reuse	1
13	Digital Asset	ADAMS uses controlled	Knowledge	Categorization			No Reuse	1

	Services	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).	Management					
14	Customer Preferences	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.	Customer Preferences	Alerts and Notifications			No Reuse	1
15	Digital Asset Services	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.	Knowledge Management	Knowledge Capture			No Reuse	1
16	Digital Asset Services	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.	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	1
17	Digital Asset Services	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.	Records Management	Record Linking / Association			No Reuse	1

		The Records Manager enforces disposition schedules and ensures that related documents are treated as record collections.						
18	Digital Asset Services	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.	Records Management	Document Classification			No Reuse	1
19	Digital Asset Services	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.	Records Management	Document Retirement			No Reuse	1
20	Digital Asset Services	Electronic record objects 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.	Records Management	Digital Rights Management			No Reuse	1
21	Business Analytical Services	ADAMS uses standardized reports used for printing bibliographic-type information regarding collections of documents selected by the user. 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.	Reporting	Standardized / Canned			No Reuse	1
22	Back Office Services	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. NRC uses the web publishing features	Data Management	Data Exchange			No Reuse	3

		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.						
23	Back Office Services	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).	Data Management	Meta Data Management			No Reuse	1
24	Back Office Services	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.	Data Management	Data Cleansing			No Reuse	1
25	Back Office Services	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.	Data Management	Extraction and Transformation			No Reuse	1
26	Back Office Services	ADAMS uses a strict data backup regime that can recover content objects removed from the system. ADAMS prevents users from deleting content objects declared as a record.	Data Management	Data Recovery			No Reuse	1
27	Back Office Services	ADAMS allows classification of data using the document profile and metadata attribute capabilities provided by the COTS software.	Data Management	Data Classification			No Reuse	1
28	Customer Services	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	Customer Initiated Assistance	Online Tutorials			No Reuse	1

		internal users.						
29	Business Management Services	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.	Supply Chain Management	Ordering / Purchasing			No Reuse	1
30	Digital Asset Services	The ADAMS Find and Web-based search capabilities present the user with lists of documents matching their search query. 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.	Document Management	Document Referencing			No Reuse	1
31	Support Services	At the time of this exhibit, ADAMS maintained its own separate user ID and password and user authentication process. 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).	Security Management	Access Control			No Reuse	0
32	Support Services	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.	Security Management	Digital Signature Management			No Reuse	0
33	Support Services	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.	Security Management	Audit Trail Capture and Analysis			No Reuse	1
34	Support Services	ADAMS provides an enterprise-wide electronic library of agency documents.	Collaboration	Document Library			No Reuse	5
35	Support Services	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 COTS software system. The second	Search	Query			No Reuse	1

		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).						
36	Support Services	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.	Search	Precision / Recall Ranking			No Reuse	1
37	Back Office Services	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.	Development and Integration	Legacy Integration			No Reuse	1
38	Support Services	Both ADAMS search tools use pattern-matching algorithms to locate and retrieve content meeting the user's search query. 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.	Search	Pattern Matching			No Reuse	1
39	Back Office Services	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.	Data Management	Loading and Archiving			No Reuse	1

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 to Text Conversion, Ascent/Capture scanning software
2	Document Revisions	Service Platform and Infrastructure	Delivery Servers	Application Servers	Hewlett-Packard ProLiant DL580, Windows 2000 Server Standard Edition, FileNet Content Services Version 5.4
3	Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Network Attached Storage/Microsoft SQL2K Server, Hewlett-Packard ProLiant DL580
4	Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	Adobe Acrobat/FileNet Rendition Services
5	Indexing	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Content Services 5.4 Hewlett-Packard ProLiant DL380/Convera Retrievalware7.03 Hewlett-Packard ProLiant DL380
6	Classification	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL2K Server Hewlett 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 Packard ProLiant ML530, Window 2000 Server Standard Edition
9	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server, Hewlett Packard ProLiant DL360, Panagon Web Services 3.2
10	Categorization	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
11	Knowledge Engineering	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
12	Knowledge Capture	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
13	Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
14	Record Linking / Association	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
15	Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL2K Server Hewlett Packard ProLiant DL580
16	Document Retirement	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
17	Digital Rights Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000 Server, Standard Edition, Hewlett-Packard, ProLiant D580, DL380, ML530, PL7000, DL360, PL1600
18	Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380Server
19	Meta Data Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition
20	Data Cleansing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
21	Extraction and Transformation	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380

22	Loading and Archiving	Service Platform and Infrastructure	Delivery Servers	Application Servers	Provenance ForeMost Enterprise Server, Hewlett Packard ProLiant DL380
23	Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Tivoli Storage Manager
24	Data Classification	Service Platform and Infrastructure	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 and Infrastructure	Delivery Servers	Application Servers	FileNet Panagon, Hewlett Packard ProLiant ML530, Window 2000 Server Standard Edition

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

no

PART TWO

ALT ANALYSIS

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

An Alternatives Analysis for E-Gov and LOB initiatives should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

4. Did you conduct an alternatives analysis for this project?

yes

4.a. If yes, what is the date of the analysis?

1997-05-01

Use the results of your alternatives analysis to complete the following table:

Alternative Name	Description	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Status Quo	Continue using the current ADAMS system as-is and adding customizations the system to meet new business requirements that the underlying COTS product cannot support.	452.561	0.000
Status-quo and replace the ADAMS records manager with a supported, state of the art COTS RMA product	The vendor does not support the COTS product used for the ADAMS records manager component. Using full and open competition, acquire a COTS records manager that can integrate with ADAMS and use it to replace the obsolete records manager. Delay replacing ADAMS technology to a later date with a system that can integrate with the new records manager (or replace the new records manager then).	4.000	0.000
Replace ADAMS with Microsoft Office SharePoint Server (MOSS)	Instead of purchasing an enterprise-class content and records management solution, create team-based web portals using MOSS. Use the library management features of MOSS to maintain document versions and security and use the MOSS records pack to manage documents stored in MOSS as records. Continue using the document capture software (imaging and OCR), except devise processes for moving captured content to specific work portals.	0.000	0.000
Acquire and implement a state-of-the-art Enterprise Content Management System (ECMS) and replace ADAMS	Through full and open competition, acquire a COTS ECMS and use it to replace ADAMS. The new system (called next generation ADAMS, or ngADAMS, at this time) would replace the ADAMS records manager, be web-based, and interact with the Microsoft SharePoint portal (currently in deployment). Ability to meet security requirements to attain an ATO would be a critical acceptance factor. Note: amounts are ROM estimates as the project team is working on a business case planned for completion in May 2008.	0.000	0.000

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Alternative 1 The NRC selected alternative 1 as the current ADAMS solution. The current system remains in operations and maintenance. A new alternatives analysis is planned for FY 2008 and will be included in the CPIC Business Case Package for the ADAMS technology replacement. Anticipated date of completion of the Business Case Package is June 30, 2008. Information for the alternatives analysis will come from two sources. The first source is the ADAMS assessment that will examine the viability of replacing the current Record Manager (orphaned technology) and provide information for Alternatives 2 (replace the records manager) and 3 (use Microsoft Office SharePoint Server - MOSS). Information for Alternative 4 (purchase and implement a state-of-the-art ECMS) will be conducted under contract, which will combine results of these two analyses into the CPIC Business Case Package. As of the date of this exhibit, Alternative 1 appears to be the most costly compared to the other alternatives. However, the benefits of having a single, enterprise-wide content and records management system could outweigh the apparent cost savings of the other alternatives. For example, using a COTS Enterprise Content Management System could enable the NRC to deploy content management as a service. This would allow any application needing managed content to use the solution as a content management service. Replacing the Records Manager, but retaining the current COTS solution is really an interim step - eventually, the COTS supplier will stop support. In addition, many of the customizations made to ADAMS over the years are now inherent functions of most state-of-the-technology COTS products. While the NRC is deploying MOSS, further study is needed to determine if the records manager pack for MOSS is capable of supporting NRC's records management requirements and if MOSS itself can effectively support the content management requirements.

4. *What specific qualitative benefits will be realized?*

The only identifiable benefit at this time is that there will be no organizational change management issues dealing with the wholesale replacement of the system.

5. *Will the selected alternative replace a legacy system in-part or inwhole?*

no

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:

The NRC performs an annual risk assessment of ADAMS, the latest during the summer of 2007. Based on that assessment the Agency annually creates (1) a risk mitigation strategy and (2) a reasonable assurance statement that reports on internal control activities performed to mitigate the risks identified. The risk mitigation strategy devised from the 2007 assessment includes direction for the next generation ADAMS project. This project will replace the older ADAMS technology with a more current product, review and enrich existing business requirements, establish collaborative work environments, and establish an enterprise content management approach for Agency documents and records. NRC will mitigate risks in the next generation ADAMS by following the Agency's Project Management Methodology, instantiated since the original ADAMS project was deployed. As a result, the project plan for the new system includes current best practices for acquisition and security as well as Capital Planning and Investment Control (CPIC) activities. This project approach includes a governance structure that enhances stakeholder involvement in requirements definition, COTS product selection, system deployment, and change/transition management. The plan also calls for educating business executives about their governance role including the importance of ensuring that ADAMS receives the resources necessary to operate effectively and address any risks that may evolve. The mitigation strategy also included improvements to system Certification and Accreditation (C&A) activities. To improve IT security the Agency has reorganized its IT security operations including the C&A approval process and associated staff; carefully prioritized systems for C&A activities; and allocated C&A resources accordingly. Associated reasonable assurance activities included but are not limited to; Periodic Review of the Controls to Prevent Inadvertent Release of Documents to the Public, Periodic Review of ADAMS Data Access Controls to ensure the confidentiality and security of information in ADAMS, and Periodic Monitoring of ADAMS Availability and Periodic Software Upgrades to ensure ADAMS is operational and available when needed.

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

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., 03/23/2003/ 04/28/2004) and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the Description of Milestone and Percent Complete fields are required. Indicate 0 for any milestone no longer active.

	Description of Milestone	Initial End Date	Initial Total Cost (\$mil)	Planned End Date	Actual End Date	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Schedule Variance (# of days)	Cost Variance (\$mil)	Percent Complete
1	ADAMS Acquisition, Development and Implementation	1999-07-30	12.670	1999-07-30	1999-09-30	12.670	13.764	44	1.094	100
2	Steady-state maintenance and operations for FY1999	1999-09-30	0.203	1999-09-30	1999-09-30	0.203	0.000	0	-0.203	0
3	Steady-state maintenance and operations for FY2000	2000-09-30	2.600	2000-09-30	2000-09-30	2.600	0.000	0	-2.600	0
4	Steady-state maintenance and operations for FY2001	2001-09-30	3.211	2001-09-30	2001-09-30	3.211	0.000	0	-3.211	0
5	Steady-state maintenance and operations for FY2002	2002-09-30	7.632	2002-09-30	2002-09-30	7.632	7.543	0	-0.089	100
6	Steady-state maintenance and operations for FY2003	2003-09-30	7.079	2003-09-30	2003-09-30	7.709	7.573	0	-0.136	100
7	Steady-state maintenance and operations for FY2004	2004-09-30	7.820	2004-09-30	2004-09-30	7.820	8.120	0	0.300	100
8	Steady-state maintenance and operations for FY2005	2005-09-30	8.870	2005-09-30	2005-09-30	8.870	8.730	0	-0.140	100
9	Steady-state maintenance and operations for FY2006	2006-09-30	6.922	2006-09-30	2006-09-30	6.922	6.013	0	-0.909	100
10	Steady-state maintenance and operations for FY2007	2007-09-30	5.712	2007-09-30	2007-09-30	5.712	3.714	0	-1.998	100

11	Next-Generation ADAMS CPIC Business Case Package Preparation	2008-06-30	0.972	2008-06-30		0.417		0	0	100
12	ADAMS Records Manager Assessment and Source Code IV&V	2008-09-30	0.617	2008-09-30		0.617		0	0	100
13	Steady-state maintenance and operations for FY2008	2008-09-30	4.069	2008-09-30		4.069		0	0	100
14	Steady-state maintenance and operations for FY2009	2009-09-30	4.500	2009-09-30		5.531		0	0	100
15	Steady-state maintenance and operations for FY2010	2010-09-30	5.556	2010-09-30		5.556		0	0	100
16	Steady-state maintenance and operations for FY2011	2011-09-30	4.904	2011-09-30		4.904		0	0	100
17	Steady-state maintenance and operations for FY2012	2012-09-30	5.549	2012-09-30		5.549		0	0	100
18	Steady-state maintenance and operations for FY2013	2013-09-30	5.807	2013-09-30		5.807		0	0	100
19	Next-Generation ADAMS CPIC Screening Form Preparation	2007-06-15	0.036	2007-06-15	2007-06-15	0.036	0.036	0	0.000	100