

Exhibit 300 (BY2010)

2009-04-15T13:17:43.234-04:00 2564 A002181

PART ONE

OVERVIEW

1. Date of Submission:	2008-09-08-04:00
2. Agency:	429
3. Bureau:	00
4. Name of this Capital Asset:	Core Financial System - Replacement
5. Unique Project Identifier:	429-00-01-01-01-1100-00
<i>6. What kind of investment will this be in FY2010?</i>	Full-Acquisition
<i>7. What was the first budget year this investment was submitted to OMB?</i>	FY2007
<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>Nuclear Regulatory Commission (NRC) currently uses a Federal Shared Service Provider (SSP), the National Business Center (NBC) at the Department of the Interior (DOI), as the Information Technology (IT) host and provider of the NRC's core accounting system, the Federal Financial System (FFS). FFS has reached the end of its lifecycle and will no longer be supported by NBC effective October 1, 2010. NRC has determined that it will be most advantageous to continue with NBC as the IT host of its financial systems. The Core Financial System Replacement investment is the deployment of the Financial Accounting and Integrated Management Information System (FAIMIS), a COTS product that is FSIO certified in accordance with OMB Circular A-127. FAIMIS is envisioned to replace five current systems: FFS, License Fee Billing System (FEES), the Allowance/Allotment and Financial Plan (AAFP) system, the Capitalized Property System (CPS) and the Cost Accounting System (CAS). The inter-agency agreement will include an option to replace the Automated Acquisition Management System (AAMS) with an integrated Acquisitions Module as part of the subsequent implementation phase starting in fiscal year 2010. NBC, the SSP, will provide a bundled service package that includes software, hardware, O&M, help desk support, end-user training, audit support, business continuity, security, system migration and data conversion. NRC will follow NRC's Project Management Methodology to administer the performance-based inter-agency agreement with NBC. NRC will use EVM to monitor the replacement project. The project supports the President's Management Agenda (PMA) by improving financial management through the migration of accounting data to a new system that meets FLoB objectives and FFMSR requirements. Momentum Federal Financials product will provide the capability to subsume and incorporate the functionality of the 5 currently stand-alone systems into a single integrated financial management system. The objective is to achieve operational efficiency, improve internal controls and resource savings. FAIMIS will provide accurate and timely financial performance information to NRC staff and stakeholders to assist in the decision-making process and in the oversight of licensing and regulatory programs. This improved capability and integration will increase the number of employees with access to financial information that will provide services to citizens.</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>	2008-08-05-04:00
<i>10. Did the Program/Project Manager review this Exhibit?</i>	yes
<i>11. Program/Project Manager Name:</i>	Anthony Rossi
<i>Program/Project Manager Phone:</i>	301-415-7341
<i>Program/Project Manager Email:</i>	Anthony.Rossi@nrc.gov
<i>11.a. What is the current FAC-P/PM certification level of the project/program manager?</i>	Senior/Expert/DAWIA-Level 3
<i>11.b. When was the Program/Project Manager Assigned?</i>	2006-04-11-04:00

11.c. What date did the Program/Project Manager receive the FACP/PM certification? If the certification has not been issued, what is the anticipated date for certification?

2008-09-04-04:00

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

Competitive Sourcing

Financial Performance

Budget Performance Integration

Eliminating Improper Payments

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

The CFSRP improves financial performance and allows for better decision making by integrating the cost and budget performance functions and providing improved access to real-time financial data. FAIMIS will contain electronic workflow and approvals to reduce the risk of improper payments. An integrated acquisition module will provide on-line management of procurement actions and electronic invoicing to expand e-gov. An OMB approved SSP will host FAIMIS in support competitive outsourcing.

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?

10002440 - Nuclear Materials Users Licensing and Inspection

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

Effective

15. Is this investment for information technology?

yes

16. What is the level of the IT Project (per CIO Council's PM Guidance)?

Level 1

17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as high risk on the Q4 - FY 2008 agency high risk report (per OMB memorandum M-05-23)?

yes

19. Is this a financial management system?

yes

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

yes

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

The License Fee Billing System (FEES) is in substantial noncompliance with FFMIA. FAIMIS will subsume all functions of FEES and is compliant with all applicable laws and regulations.

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

Core Financial System Replacement investment with the system name of Financial Accounting and Integrated Management Information System (FAIMIS)

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware	7
Software	6
Services	69
Other	18

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

n/a

22. Contact information of individual responsible for privacy related questions.

Name

SANDRA S. NORTHERN

Phone Number

301-415-6879

Title

Privacy Officer

Email

Sandra.Northern@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
	-2007	2008	2009	2010
Planning Budgetary Resources	0.179000	3.342000	1.024000	0.000000
Acquisition Budgetary Resources	0.000000	1.515000	4.271000	7.174000
Maintenance Budgetary Resources	0.000000	0.000000	0.000000	0.000000
Government FTE Cost	0.373000	0.854000	1.154000	1.275000
# of FTEs	3	6	8	9

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?

In order to mitigate risks associated with insufficient project resources and to ensure a seamless migration process, the NRC Project Team hired 3 staff in FY 2007. Each staff hired was required to have prior experience with financial systems implementation. The new staff will also provide support to the current NRC program and support staff to ensure success in the acceptance of FAIMIS.

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes.

The NRC has determined that the required license fee billing functionalities can be fully integrated into FAIMIS. Therefore, the previously anticipated funding budgeted for fiscal year 2007, \$1.5 million, and fiscal year 2008, \$535,000, for License Fee Billing System Replacement project have been subsumed by FAIMIS. The NRC will reengineer the existing fee billing processes to fully utilize the functionalities offered by FAIMIS. The inter-agency agreement will include an option to replace the Automated Acquisition Management System (AAMS) with the Momentum Acquisitions Module as part of the subsequent implementation phase starting in fiscal year 2010. The current budget amount for the Acquisitions Module is \$3.240 million for the bundled implementation service and \$7.9 million for 10 years of O&M after implementation. In meeting FMLoB objectives, the Acquisitions Module will be seamlessly integrated with the new core financial system to facilitate the retrieval of timely and accurate data available for decision making and internal control. The implementation date of FAIMIS was moved to October 1, 2010 to accommodate a two year implementation period in order to achieve our objective of consolidating 5 financial systems into a single integrated financial management system. Negotiations with OMB to remain with DOI/NBC as its SSP for its core financial system, plus the internal NRC project approval and procurement processes have resulted in the NRC moving the implementation date to the beginning of FY2011. FAIMIS is scheduled to be production ready by July 1, 2010 and go-live October 1, 2010. A comprehensive enterprise-wide requirements analysis is scheduled to occur prior to system construction and to be completed by the mid fiscal year 2009. This task will ensure that the to-be solution is complete and satisfies stakeholder needs. Due to the need to conduct a comprehensive requirement analysis, the project is still in the planning phase at the time of this OMB 300 submission. During the requirements analysis phase, the NRC will purchase the hardware and software and establish the development environment of the system at the SSP primary and alternate hosting facilities. As a result, acquisition costs for the system will be incurred simultaneously during the planning phase. Establishing the development environment early will help mitigate schedule risk by ensuring the development environment is ready when the construction phase of the project begins.

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 2xx, 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 the next President's Budget.

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2007	Organizational Excellence	Mission and Business Results	Capital Planning	% of the business case is complete following NRC CPIC. Provides vision, alternatives analysis, alignment with NRC strategic goals, & planning for investment. Can not proceed without an approved business case.	0% complete.	100% completion of Executive Summary, Vision, Business Case, System Requirements, Project Management Plan, System Architecture Document, NBC Hosting Architecture, Privacy Impact Assessment, Security Categorization.	Completion of Executive Summary, Vision, Business Case, System Requirements, Project Management Plan, System Architecture Document, NBC Hosting Architecture, Privacy Impact Assessment, Security Categorization.
2	2007	Organizational Excellence	Customer Results	Accuracy of Service or Product Delivered	Number of agencies contacted for market research who have completed or are implementing the alternatives. Important part of alternatives analysis and to leverage industry best practices.	Zero agencies contacted and interviewed.	10 agencies contacted and interviewed.	11 agencies have been contacted and interviewed by the project team. Valuable information on the alternatives and lessons learned has been obtained that will assisted the NRC in selecting a product.
3	2007	Organizational Excellence	Processes and Activities	Financial Management	Number of demos conducted of alternatives. Provides information on systems ability to meet NRC requirements for selecting a product.	Zero demonstrations conducted.	Conduct 2 product demonstrations of NRC business processes/scenarios	2 demonstrations were conducted of 148 identified NRC business scenarios/process. An additional demonstration was conducted of the acquisitions and T&L modules for Product A.
4	2007	Organizational Excellence	Technology	Support Costs	% completion of the preliminary cost matrices for the alternatives. Cost is an important factor of alternatives	A to-be architecture does not exist.	100% completion of a preliminary EA and incorporates gaps from the system demonstration to determine the need to purchase additional system components and	Prepared a preliminary EA and incorporated gaps from the system demonstrations to determine the need to purchase additional system components for

					analysis.		verify the cost against other Federal agencies who have reached steady state.	each alternative.
5	2009	Organizational Excellence	Mission and Business Results	Enterprise Architecture	% complete of finalize design of the Enterprise Architecture to include all updates to feeder and support systems as an integral part of project planning.	0% complete. The preliminary Enterprise Architecture	100% completion of the Enterprise Architecture to include all updates to feeder and supporting systems	Pending
6	2009	Organizational Excellence	Customer Results	Automation	% of the to-be workflow business processes and organization security are documented for FAIMIS. Important aspect of system design to ensure configured system meets NRC requirements.	0%	100% of the to-be workflow business processes and organization security are documented.	Pending
7	2009	Organizational Excellence	Processes and Activities	Financial Management	% of the to ?be accounting classification structure is documented. Important aspect of system design to ensure the configuration meets NRC requirements.	0%	100% of the to ?be accounting classification structure is documented.	Pending
8	2009	Organizational Excellence	Technology	Support Costs	% of EVM variance for implementation of the new system. EVM is used to monitor cost and performance of the project.	EVM cost and schedule variance is between +/- 10%.	EVM cost and schedule variance is between +/- 10%.	Pending
9	2010	Organizational Excellence	Mission and Business Results	Funds Control	% of open obligations converted to FAIMIS with a % accuracy rate. Complete and accurate beg balances helps ensure funds control & audit integrity of data.	0% of open obligations converted.	100% of open obligations converted to the FAIMIS system with a 90% accuracy rate.	Pending

10	2010	Organizational Excellence	Mission and Business Results	Collections and Receivables	% of open receivables converted to FAIMIS with a % accuracy rate. Complete and accurate beg balances helps ensure funds control & audit integrity of data.	% of open receivables converted to FAIMIS with a % accuracy rate.	100% of open receivables converted to the FAIMIS system with a 90% accuracy rate.	Pending
11	2010	Organizational Excellence	Mission and Business Results	Payments	% of open payables converted to FAIMIS with a % accuracy rate. Complete and accurate beg balances helps ensure funds control & audit integrity of data.	0% of open payables converted.	100% of open payables converted to the FAIMIS system with a 90% accuracy rate.	Pending
12	2010	Organizational Excellence	Customer Results	Customer Training	% of end-users receive initial training on FAIMIS. Helps ensure easy transition and continuity of operations.	0% of end-users receive initial training on the FAIMIS system.	75% of end-users receive initial training on the FAIMIS system to ensure that sufficient number of user are available to avoid disruption to operation.	Pending
13	2010	Organizational Excellence	Technology	Overall Costs	% of EVM variance for implementation of the new system. EVM is used to monitor cost and performance of the project.	EVM cost and schedule variance is between +/- 10%.	EVM cost and schedule variance is between +/- 10%.	Pending
14	2010	Organizational Excellence	Processes and Activities	Security	Achieve an ATO as required by OMB Circular A-127. Certifies that FAIMIS meets or exceeds requirements and standards for security and is available for operation.	FAIMIS must receive a FISMA certification and accreditation (C&A) with an authority to operate (ATO) before the system is put in production. ATO is received by October 1, 2010.	ATO is received by October 1, 2010.	Pending
15	2011	Organizational Excellence	Mission and Business Results	Funds Control	Timeliness to resolve errors/issues that may occur with the conversion of legacy data in order to maintain accurate beginning balances for funds control and financial	Errors/Issues resulting from converting open obligations are resolved within 6 months.	Errors/Issues resulting from converting open obligations are resolved within 3 months.	Pending

					statement compilation and audit.			
16	2011	Organizational Excellence	Mission and Business Results	Collections and Receivables	Timeliness to resolve errors/issues that may occur with the conversion of legacy data in order to maintain accurate beginning balances for receivable management and financial statement compilation and audit.	Errors/Issues resulting from converting open receivables are resolved within 9 months.	Errors/Issues resulting from converting open receivables are resolved within 6 months.	Pending
17	2008	Organizational Excellence	Mission and Business Results	Funds Control	Formulating a to-be accounting structure to facilitate the retrieval of financial records from FAIMIS without manual manipulation to enhance the availability of timely and accurate data for decision making and internal control.	Maintain the current accounting hierarchy where financial data are extracted then manually reprocessed by end users for reporting purpose.	Develop the hierarchy of the new accounting structure where financial records can be retrieved from the system easily without manual reprocessing to facilitate the retrieval of timely and accurate data.	Gap and feasibility analysis have been completed for the proposed accounting structure. Presenting the new accounting structure to agency stakeholders for buy-in and comments.
18	2011	Organizational Excellence	Customer Results	Customer Training	% of end-users receive initial training on FAIMIS. Helps ensure easy transition and continuity of operations.	75% of end-users received initial training on the FAIMIS system.	100% of end-users receive initial training on the FAIMIS system.	Pending
19	2011	Organizational Excellence	Processes and Activities	Security	Timeliness of performing annual C&A activities to maintain ATO. Certifies that FAIMIS meets or exceeds requirements and standards for security and is available for operation.	C&A plan of action and milestones completed 70% on time to maintain an ATO for FAIMIS.	C&A plan of action and milestones completed 75% on time to maintain an ATO for FAIMIS.	Pending
20	2008	Organizational Excellence	Customer Results	Accuracy of Service or Product Delivered	To draft the MOU between the OCFO and the Division of Contracts to initiate planning for Acquisition Module migration.	Roles, responsibilities, and expectations have not yet been established and defined between the OCFO and Division of	Draft the MOU between OCFO and Division of Contracts to clearly define expectations, roles, and responsibilities for the implementation of the Acquisition Module	Draft the MOU between OCFO and Division of Contracts to facilitate the implementation of the Acquisition Module. Terms of the MOU are under negotiation.

						Contracts.		
21	2008	Organizational Excellence	Processes and Activities	Participation	Receive approval from the NRC Chairman on the FAIMIS project.	The business package is still under review with the NRC Chairman	Receive approval from the NRC Chairman on the FAIMIS business package	The FAIMIS business package has been approved by the NRC Chairman
22	2011	Organizational Excellence	Technology	Standards Compliance and Deviations	Timeliness to resolve non-compliance with Federal Financial Management System Requirements (FFMSR) in accordance with OMB policy.	Non-compliance audit findings with FFMSR resolved within 2 years.	Non-compliance audit findings with FFMSR resolved within 1.5 years.	Pending
23	2011	Organizational Excellence	Customer Results	Customer Complaints	% decrease in Help Desk requests from users reporting issues with processing, querying, reporting, and performance. Indicator determine if refresher training needed and tracks # of issues for performance.	The baseline will be established based on the results from the 1st fiscal quarter the system is put in production.	50% decrease over the final 3 quarters for FY 2011.	Pending
24	2008	Organizational Excellence	Technology	User Requirements	Form an Integrated Project Team to facilitate the FAIMIS implementation effort. The Integrated Project Team will consist of professionals representing diverse disciplines with the specific knowledge, skills, and abilities.	The project team will rely solely on the technical expertise of the SSP	Roles, responsibilities, and membership are clearly defined for the Integrated Project Team and authorized by senior management.	Roles, responsibilities, and Team membership are currently being reviewed by Senior Management.
25	2012	Security	Processes and Activities	Security	Timeliness of performing annual C&A activities to maintain ATO. Certifies that FAIMIS meets or exceeds requirements and standards for security and is available for operation.	C&A Plan of Action and Milestones completed 75% on time to maintain an ATO for FAIMIS.	C&A Plan of Action and Milestones completed 80% on time to maintain an ATO for FAIMIS.	Pending
26	2012	Organizational Excellence	Mission and Business Results	Accounting	Timeliness for resolving audit findings in order to	Resolve level V findings within 2 years and level IV findings	Resolve level V findings within 18 months and level IV findings	Pending

					improve internal controls over financial management.	resolved within 2 fiscal quarters.	resolved within 3 fiscal quarter.	
27	2012	Organizational Excellence	Processes and Activities	Cycle Time	Timeliness to issue Part 170 license fee bills to customers in order to improve the timeliness of receipts and to maximize the return of receipts to the Treasury General Fund.	Part 170 license fee bills are generated 25 days after the close of the accounting cycle.	Part 170 license fee bills are generated 21 days after the close of the accounting cycle.	Pending
28	2012	Organizational Excellence	Technology	Standards Compliance and Deviations	Timeliness to resolve non-compliance with Federal Financial Management System Requirements (FFMSR).	Non-compliance audit findings with FFMSR resolved within 1.5 years.	Non-compliance audit findings with FFMSR resolved within 1 year.	Pending
29	2012	Organizational Excellence	Customer Results	Customer Complaints	% decrease in Help Desk requests from users reporting issues with processing, querying, reporting, and performance. Indicator helps determine if refresher training needed and tracks # system issues for performance.	25% decrease from FY 2011.	50% decrease from FY 2011.	Pending
30	2012	Organizational Excellence	Customer Results	System Response Time	Timeliness to resolve Help Desk requests from users reporting issues with processing, querying, and reporting. Indicator tracks user satisfaction.	Overall 25% decrease in time established in FY 2011 to close Help Desk requests.	Overall, 50% decrease in time established in FY 2011 to close Help Desk requests.	Pending
31	2013	Organizational Excellence	Processes and Activities	Security	Timeliness of performing annual C&A activities to maintain ATO. Certifies that FAIMIS meets or exceeds requirements and standards for security and is available for operation.	C&A Plan of Action and Milestones completed 80% on time to maintain an ATO for FAIMIS.	C&A Plan of Action and Milestones completed 85% on time to maintain an ATO for FAIMIS.	Pending

32	2013	Organizational Excellence	Processes and Activities	Financial Management	Timeliness for resolving audit findings in order to improve internal controls over financial management.	Resolve level V and level IV findings based on FY 2012 results.	Resolve level V findings within 15 months and level IV findings resolved within 2 fiscal quarter.	Pending
33	2013	Organizational Excellence	Processes and Activities	Cycle Time	Timeliness to issue Part 170 license fee bills to customers in order to improve the timeliness of receipts and to maximize the return of receipts to the Treasury General Fund.	Part 170 license fee bills are generated 21 days after the close of the accounting cycle.	Part 170 license fee bills are generated 14 days after the close of the accounting cycle.	Pending
34	2013	Organizational Excellence	Technology	Standards Compliance and Deviations	Timeliness to resolve non-compliance with Federal Financial Management System Requirements (FFMSR).	Non-compliance audit findings with FFMSR resolved within 1 year.	Non-compliance audit findings with FFMSR resolved within 3 fiscal quarters.	Pending
35	2013	Organizational Excellence	Customer Results	Customer Complaints	% decrease in Help Desk requests from users reporting issues with processing, querying, reporting, and performance. Indicator determines if refresher training needed and tracks # of issues for performance	25% decrease from FY 2012.	50% decrease from FY 2012.	Pending
36	2013	Organizational Excellence	Customer Results	System Response Time	Timeliness to resolve Help Desk requests received from users reporting issues with processing, querying, and reporting. Indicator tracks user satisfaction.	Overall 25% decrease in time established in FY 2012 to close Help Desk requests.	Overall, 50% decrease in time established in FY 2012 to close Help Desk requests.	Pending
37	2014	Security	Processes and Activities	Security	Timeliness of performing annual C&A activities to maintain ATO. Certifies that FAIMIS meets or exceeds requirements and standards for security and is available for	C&A Plan of Action and Milestones completed within a timeframe based on FY 2013 to maintain an ATO for FAIMIS.	C&A Plan of Action and Milestones completed 90% on time to maintain an ATO for FAIMIS.	Pending

					operation.			
38	2014	Organizational Excellence	Processes and Activities	Financial Management	Timeliness for resolving audit findings in order to improve internal controls over financial management.	Resolve level V and level IV findings based on FY 2013 results.	Resolve level V findings within 1 year and level IV findings resolved within 1 fiscal quarter.	Pending
39	2014	Security	Processes and Activities	Cycle Time	Timeliness to issue Part 170 license fee bills to customers in order to improve the timeliness of receipts and to maximize the return of receipts to the Treasury General Fund.	Part 170 license fee bills are generated 14 days after the close of the accounting cycle.	Part 170 license fee bills are generated 10 days after the close of the accounting cycle.	Pending
40	2014	Organizational Excellence	Technology	Standards Compliance and Deviations	Timeliness to resolve non-compliance with Federal Financial Management System Requirements (FFMSR).	Non-compliance audit findings with FFMSR resolved within 3 fiscal quarters.	Non-compliance audit findings with FFMSR resolved within 2 fiscal quarters.	Pending
41	2014	Organizational Excellence	Customer Results	Customer Complaints	% decrease in Help Desk requests from users reporting issues with data processing, querying, reporting, and system performance. Indicator helps determine refresher training needed and tracks # of system issues for performance.	25% decrease from FY 2013.	50% decrease from FY 2013.	Pending
42	2014	Security	Customer Results	System Response Time	Timeliness to resolve Help Desk requests from users reporting issues with processing, querying, and reporting. Indicator tracks user satisfaction.	Overall 25% decrease in time established in FY 2013 to close Help Desk requests.	Overall, 50% decrease in time established in FY 2013 to close Help Desk requests.	Pending
43	2015	Organizational Excellence	Processes and Activities	Security	Timeliness of performing annual C&A activities to maintain ATO. Certifies that FAIMIS meets or exceeds	C&A Plan of Action and Milestones completed within a timeframe based on FY 2014 to	C&A Plan of Action and Milestones completed 95% on time to maintain an ATO for FAIMIS.	Pending

					requirements and standards for security and is available for operation.	maintain an ATO for FAIMIS.		
44	2015	Organizational Excellence	Processes and Activities	Financial Management	Timeliness for resolving audit findings in order to improve internal controls over financial management.	Resolve level V and level IV findings based on FY 2014 results.	Resolve level V findings within 1 year and level IV findings resolved within 1 fiscal quarter.	Pending
45	2015	Organizational Excellence	Processes and Activities	Cycle Time	Timeliness to issue Part 170 license fee bills to customers in order to improve the timeliness of receipts and to maximize the return of receipts to the Treasury General Fund.	Part 170 license fee bills are generated 10 days after the close of the accounting cycle.	Part 170 license fee bills are generated 7 days after the close of the accounting cycle.	Pending
46	2015	Organizational Excellence	Technology	Standards Compliance and Deviations	Timeliness to resolve non-compliance with Federal Financial Management System Requirements (FFMSR).	Non-compliance audit findings with FFMSR resolved within timeframe established in FY 2014.	Non-compliance audit findings with FFMSR resolved within 2 fiscal quarters.	Pending
47	2015	Organizational Excellence	Customer Results	Customer Complaints	% decrease in Help Desk requests from users reporting issues with data processing, querying, reporting, and system performance. Indicator helps determine refresher training needed and tracks # of system issues for performance.	25% decrease from FY 2014.	50% decrease from FY 2014.	Pending
48	2015	Organizational Excellence	Customer Results	System Response Time	Timeliness to resolve Help Desk requests from users reporting issues with processing, querying, and reporting. Indicator tracks user satisfaction.	Overall 25% decrease in time established in FY 2014 to close Help Desk requests.	Overall, 50% decrease in time established in FY 2014 to close Help Desk requests.	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.

Core Financial System Replacement investment with the system name of Financial Accounting and Integrated Management Information System (FAIMIS)

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

no

3.a. If yes, provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect.

402-000

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	Billing and Accounting	The core financial system that collects all accounting/budget information to support decision making and external reporting.	Financial Management	Billing and Accounting	Billing and Accounting		No Reuse	1
2	Ad-hoc Reporting	The system capability that supports the use of dynamic reports to users on an as needed basis.	Reporting	Ad Hoc	Ad Hoc		No Reuse	3
3	Standardized and Can Reports	The system capability that supports the development and recurring generation of pre-written reports.	Reporting	Standardized / Canned	Standardized / Canned		No Reuse	3
4	Activity Based Management	The capability that defines specific set of business related tasks for accumulation and	Financial Management	Activity-Based Management	Activity-Based Management		No Reuse	5

		<i>allocation of cost to be used for performance measurement.</i>						
5	<i>Auditing</i>	<i>The system capability that supports the examination and verification of financial records for accuracy and completeness.</i>	<i>Financial Management</i>	<i>Auditing</i>	<i>Auditing</i>		<i>No Reuse</i>	<i>2</i>
6	<i>Balance Scorecard</i>	<i>The system capability that performs the accumulation, billing, and reporting of an organization's accounts.</i>	<i>Business Intelligence</i>	<i>Balanced Scorecard</i>	<i>Balanced Scorecard</i>		<i>No Reuse</i>	<i>5</i>
7	<i>Credit/Charge</i>	<i>The system capability that supports the use of credit cards or electronic funds transfers for payment of goods and services and the resultant reconciliation of the appropriate charge accounts.</i>	<i>Financial Management</i>	<i>Credit / Charge</i>	<i>Credit / Charge</i>		<i>No Reuse</i>	<i>3</i>
8	<i>Debt Collection</i>	<i>The system capability that supports the collection of funds and records the collections against the appropriate billing documents and liquidates the accounts receivable.</i>	<i>Financial Management</i>	<i>Debt Collection</i>	<i>Data Warehouse</i>		<i>No Reuse</i>	<i>5</i>
9	<i>Expense Management</i>	<i>The function of managing cost of operations for an organization and the reimbursement of costs incurred.</i>	<i>Financial Management</i>	<i>Expense Management</i>	<i>Expense Management</i>		<i>No Reuse</i>	<i>4</i>
10	<i>Internal Control</i>	<i>Supports the methods and procedures used by an organization to safeguard assets, produce accurate accounting data and reports, contribute to efficient operations, and encourages staff to adhere to management policies and procedures to accomplish the mission.</i>	<i>Financial Management</i>	<i>Internal Controls</i>	<i>Internal Controls</i>		<i>No Reuse</i>	<i>5</i>

11	Payment/Settlement	The system capability that supports the accounts payable function.	Financial Management	Payment / Settlement	Payment / Settlement		No Reuse	5
12	Revenue Management	The set of capabilities that supports the calculation and allocation of revenue for the license fee collection.	Financial Management	Revenue Management	Revenue Management		No Reuse	5
13	Data Warehouse	The system capability that supports the archiving and storage of large volumes of data for retrieval at a later date.	Data Management	Data Warehouse	Data Warehouse		No Reuse	3
14	Access Control	Supports the protection of sensitive personal and financial data by the management of permissions for logging onto the system.	Security Management	Access Control	Access Control		No Reuse	4
15	Audit Trail Capture & Analysis	Provides the capability for identification and monitoring of activities within the system.	Security Management	Audit Trail Capture and Analysis	Audit Trail Capture and Analysis		No Reuse	1
16	Identification & Authentication	The set of capabilities that supports obtaining information about parties attempting to log on to the system for security purposes and the validation of those users.	Security Management	Identification and Authentication	Identification and Authentication	010-00-01-01-01-1126-24	External	3
17	Call Center Management	Defines the set of capabilities to handle service calls from the customer/user of the system.	Customer Relationship Management	Call Center Management	Call Center Management	010-00-01-01-01-1126-24	External	3
18	Personalization	Defines the set of capabilities to change a user interface and how data is displayed.	Customer Preferences	Personalization	Personalization		No Reuse	1
19	Online Help	Provides a capability for an electronic interface to customer assistance.	Customer Initiated Assistance	Online Help	Online Help		No Reuse	1
20	Scheduling	Supports the plan for performing work or services to meet the needs	Customer Initiated Assistance	Scheduling	Scheduling		No Reuse	2

		<i>of an organization.</i>						
21	Procurement	The capabilities to support the purchasing and ordering of products or services.	Supply Chain Management	Procurement	Procurement		No Reuse	4
22	Ordering/Purchasing	The capabilities that allow for the purchasing and placement of orders for products and services.	Supply Chain Management	Ordering / Purchasing	Ordering / Purchasing		No Reuse	3
23	Invoice/Requisition Tracking and Approval	The capabilities to support the identification of where a requisition, invoice, or shipment receipt is within the business cycle.	Supply Chain Management	Invoice / Requisition Tracking and Approval	Invoice / Requisition Tracking and Approval		No Reuse	2
24	Information Retrieval	Defines the set of capabilities that facilitates the identification of useful information from data stored in the system.	Knowledge Management	Information Retrieval	Information Retrieval		No Reuse	1
25	Categorization	Allows the classification of data and information specific to fixed assets that support the NRC mission.	Knowledge Management	Categorization	Categorization		No Reuse	1
26	Knowledge Capture	Defines the set of capabilities that facilitate the collection of data and information in the system.	Knowledge Management	Knowledge Capture	Knowledge Capture		No Reuse	1
27	Graphing/Charting	The system capability that supports the presentation of information in the form of diagrams or tables.	Visualization	Graphing / Charting	Graphing / Charting		No Reuse	1
28	Asset Cataloging and Identification	The system supports the listing and specification of available fixed assets for capitalization.	Asset / Materials Management	Asset Cataloging / Identification	Asset Cataloging / Identification		No Reuse	1
29	Cryptography	The capability that supports the encoding of data for security purposes.	Security Management	Cryptography	Cryptography	010-00-01-01-01-1126-24	External	5

30	Query	System provides the capability to support the retrieval of records that satisfy specific query selection criteria.	Search	Query	Query		No Reuse	1
31	Forms Creation	The set of capabilities that supports the design and generation of electronic or physical forms and templates for the use within the business cycle of the organization.	Forms Management	Forms Creation	Forms Creation		No Reuse	2
32	Forms Modification	The set of capabilities that support the maintenance of electronic forms, templates and their respective elements and fields.	Forms Management	Forms Modification	Forms Modification		No Reuse	2
33	Networking Management	The set of capabilities that support secure access to FAIMIS through the web	Organizational Management	Network Management	Network Management	010-00-01-01-01-1126-24	External	1
34	Data Integration	Protocol of how data are exchanged between systems	Development and Integration	Data Integration	Data Integration	010-00-01-01-01-1126-24	External	1
35	Data Exchange	The set of capability that permit the exchange of data between systems	Data Management	Data Exchange	Data Exchange	010-00-01-01-01-1126-24	External	1
36	Database/Server	NRC will be the legal owner of the database/server hosted by NBC	Data Management	Data Exchange	Data Exchange	010-00-01-01-01-1126-24	External	2
37	Awards Management	Requirement analysis and construction of the automated procure-to-pay contract lifecycle	Customer Relationship Management	Contact and Profile Management	Awards Management		No Reuse	4

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	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers	

2	Ad Hoc	Component Framework	Data Management	Reporting and Analysis	
3	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	
4	Data Warehouse	Component Framework	Data Management	Reporting and Analysis	
5	Activity-Based Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
6	Balanced Scorecard	Component Framework	Data Management	Reporting and Analysis	
7	Auditing	Service Platform and Infrastructure	Delivery Servers	Application Servers	
8	Credit / Charge	Service Platform and Infrastructure	Delivery Servers	Application Servers	
9	Debt Collection	Service Platform and Infrastructure	Delivery Servers	Application Servers	
10	Expense Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
11	Internal Controls	Service Platform and Infrastructure	Delivery Servers	Application Servers	
12	Payment / Settlement	Service Platform and Infrastructure	Delivery Servers	Application Servers	
13	Revenue Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
14	Access Control	Component Framework	Security	Supporting Security Services	
15	Audit Trail Capture and Analysis	Component Framework	Security	Supporting Security Services	
16	Identification and Authentication	Component Framework	Security	Supporting Security Services	
17	Call Center Management	Service Access and Delivery	Service Requirements	Hosting	
18	Personalization	Service Platform and Infrastructure	Delivery Servers	Application Servers	
19	Online Help	Service Platform and Infrastructure	Delivery Servers	Application Servers	
20	Scheduling	Service Platform and Infrastructure	Delivery Servers	Application Servers	
21	Procurement	Service Platform and Infrastructure	Delivery Servers	Application Servers	
22	Ordering / Purchasing	Service Platform and Infrastructure	Delivery Servers	Application Servers	
23	Invoice / Requisition Tracking and Approval	Service Platform and Infrastructure	Delivery Servers	Application Servers	
24	Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	
25	Categorization	Component Framework	Data Management	Database Connectivity	
26	Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	
27	Graphing / Charting	Component Framework	Data Management	Reporting and Analysis	
28	Asset Cataloging / Identification	Service Platform and Infrastructure	Delivery Servers	Application Servers	

29	Cryptography	Component Framework	Security	Supporting Security Services	
30	Query	Service Platform and Infrastructure	Database / Storage	Database	
31	Forms Creation	Service Platform and Infrastructure	Delivery Servers	Application Servers	
32	Forms Modification	Service Platform and Infrastructure	Delivery Servers	Application Servers	
33	Information Retrieval	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
34	Information Retrieval	Component Framework	User Presentation / Interface	Static Display	
35	Identification and Authentication	Component Framework	Security	Certificates / Digital Signatures	
36	Data Exchange	Service Access and Delivery	Access Channels	Other Electronic Channels	
37	Data Exchange	Service Access and Delivery	Access Channels	Web Browser	
38	Data Exchange	Service Access and Delivery	Access Channels	Web Browser	
39	Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	
40	Data Exchange	Service Access and Delivery	Service Transport	Service Transport	
41	Data Exchange	Service Access and Delivery	Service Transport	Service Transport	
42	Data Exchange	Service Access and Delivery	Service Transport	Service Transport	
43	Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	
44	Data Integration	Service Interface and Integration	Interoperability	Data Types / Validation	
45	Data Exchange	Service Access and Delivery	Access Channels	Web Browser	
46	Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
47	Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	
48	Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	
49	Awards Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	

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

yes

6.a. If yes, please describe.

Consistent with OMB FMLoB guidance, the NRC currently uses a Federal SSP, NBC at DOI, as the IT host of the legacy core accounting system, FFS. NBC has over 30 years experience servicing administrative systems for over 150 Federal agencies and is designated as one of four OMB approved SSPs to host Federal financial systems. Based on the evaluation of risk, benefits, and life-cycle cost, the NRC determined that the best business decision is to remain with NBC as host of the new core financial system. The NRC will have NBC as a single host for all of its financial systems and will utilize NBC for accounting operations support, thus allowing the NRC to best adhere to OMB's FMLoB guidance by enabling economies of scale for resource management and for reusing Federal and commercial subject matter expertise. This strategy will lead to lower administrative costs through shared resources and promote a greater standardization of business processes, interfaces, and data. The NRC will reduce the risks and associated costs related to the new FAIMIS migration by utilizing proven procurement strategies and system implementation tools and techniques available through a qualified and experienced SSP.

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?

2008-08-15

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

no

2.a. If yes, what is the planned completion date?

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

A critical path with milestones has been identified for acquisition and migration of FAIMIS and is outlined in the Project Plan. Milestones will be carefully tracked for these critical activities along with the use of EVM techniques. As part of the alternatives analysis, initial cost proposals for the alternatives were verified against components of the products demonstrated by the vendors and reviewed against the system requirements to determine if any gaps exist. The inter-agency agreement will include a service level agreement with performance measures to ensure the best value for the life-cycle cost. A firm fixed price will be established for the inter-agency agreement to reduce the risk of cost overruns. All contract awards associated with migration will also have established ceilings to reduce the risk of cost overruns. Participation from various stakeholders with extensive system implementation experience will assist in the migration effort to reduce investment risks. The project will also include improving business processes as part of the migration to FAIMIS in order to leverage the efficiency and effectiveness provided by the new core financial system.

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 $\pm 10\%$?

no

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

yes

3.a. If yes, when was it approved by the agency head?

2008-06-12

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