

BY08 Capital Asset Plan and Business Case Summary

Exhibit 300

PART I: SUMMARY INFORMATION AND JUSTIFICATION

In Part I, complete Sections A, B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.

Section A: Overview (All Capital Assets)

The following series of questions are to be completed for all investments to help OMB to identify which agency and bureau is responsible for managing each capital asset, which OMB MAX budget account funds the project, the kind of the project, who to contact with questions about the information provided in the exhibit 300, and whether or not it is an IT or a non-IT capital asset.

(1) Date of Submission:	09/11/2006
(2) Agency:	422
(3) Bureau:	00
(4) Name of this Capital Asset: (250 Character Max)	Financial Accounting System (FAS)
(5) Unique ID (Unique Project Identifier) :	422-00-01-01-01-0001-00
Format xxx-xx-xx-xx-xx-xxxx-xx (For IT investments only, see section 53. For all other, use agency ID system.)	
(6) What kind of investment Will in be this FY2008?	Operations and Maintenance
(7) What was the first budget year this investment was submitted to OMB?	FY2001 or earlier

(8) Provide a brief summary and justification for this investment, including a brief description of how this closes a gap in part or in whole an identified agency performance gap: (2500 Char Max)

The Financial Accounting System (FAS) is the main tool NSF staff utilizes to monitor, control, and execute the management and financial accountability of approximately 20,000 active awards with 2000+ external grantees. The FAS is an on-line real time system is the primary vehicle for managing all funding allocated to the NSF. A central transaction management procedure called the "post-routine" represents the core of the system, handling the full spectrum of financial transaction processing, accounts maintenance, transaction history, and rules processing. This procedure processes any financial request, whether generated from within the Financial System itself or by an external system. The FAS is extensively integrated with all of NSF's core business systems including the e-Jacket, Proposal and Reviewer System, the Awards System, Guest Travel System, and the FastLane System in support of Grants management. NSF's accounting and financial systems staff created a data warehousing environment with the ability to produce our financial statements including the Closing Package statements, generate automated closing entries and in produce the SGL Tie points reports. In FY06, NSF implemented a near real-time interface between FAS and FedTraveler that

includes evaluation of funds availability and funds obligation. NSF expects the same type of data exchanges with other externally provided cross-services. The e-Learning and e-Procurement /FAS interfaces are scheduled to be implemented in FY 2007. The FAS will remain in a steady-state phase in the FY05-FY10 timeframe. NSF will be approaching its future financial system requirements as an integral part of its grant process. NSF will conduct an integrated review of the GMLOB/FMLOB solution in 2007. If that solution is determined to not be feasible, NSF will analyze the FMLOB Shared Service Provider (SSP) options in 2008. If necessary, NSF will conduct a Business Case Feasibility Study for the FMLOB solution in 2009. This plan allows the NSF to take advantage of the results/findings of the GMLOB process in becoming a SSP to more fully define our financial requirements. NSF anticipates that if a conversion is necessary it will substantially impact NSF Grantees and will begin in 2010. The current FAS will remain in steady-state maintenance until the conversion is complete. Any decisions NSF makes regarding the future financial system modernization will support the President's Management Agenda.

(9) Did the Agency's Executive/Investment Committee approve this request?	yes
a. If "yes," what was the date of this approval?	08/30/2006
(10) Did the Project Manager review this Exhibit?	yes

11) Contact Information of Project Manager?

Name:	Carolyn Miller
Phone Number:	703-292-4272
E-Mail:	cmiller@nsf.gov

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

no

(a) Will this investment include electronic assets (including computers)?	yes
(b) Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
[1] If "yes," is an ESPC or UESC being used to help fund this investment?	
[2] If "yes," will this investment meet sustainable design principles?	
[3] If "yes," is it designed to be 30% more energy efficient than relevant code?	

(13) Does this investment support one of the PMA initiatives? yes

If "yes," select all that apply:

President's Management Agenda (PMA) Initiatives
Expanded E-Government
Budget Performance Integration

a. Briefly describe how this asset directly supports the identified initiative(s)?

NSF's Enterprise Information System, the FAS and the Report web reporting system provide financial, budgetary, awards and performance information (including PART) that is accessible in

multiple formats at every workstation on a 24/7, real-time basis. Managers use this information to make decisions regarding NSF budget priorities and business processes. NSF's Statement of Net Cost uses the FAS to report the full cost of each strategic goal - Ideas, Tools, People and Stewardship.

(14) Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)? no

(a) If "yes," does this investment address a weakness found during a PART review?	
(b) If "yes," what is the name of the PARTed program ?	
(c) If "yes," what rating did the PART receive?	

(15) Is this investment for information technology? (see section 53 for definition)) yes

If the answer to Question 15 was "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

(16) What is the level of the IT Project (per CIO Council PM Guidance)?	Level 1
(17) What project management qualifications does the Project Manager have? (per CIO Council PM	(1) Project manager has been validated as qualified for this investment
(18) Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's 'high risk" memo)?	no
(19) Is this a financial management system?	No
(a) If "yes," does this investment address a FFMIA compliance area?	
[1] If "yes," which compliance area:	
[2] If "no," what does it address?	
(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 A-11 section 52:	

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

Hardware %:	Software %:	Services %:	Other %:	Total %
0	0	100	0	100

(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:	Leslie A. Jensen
Phone Number:	703-292-8060
Title:	NSF FOIA/Privacy Act Officer
E-Mail:	ljensen@nsf.gov

(23) Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? no

Section B: Summary of Funding (All Capital Assets)

(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.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)
All amounts represent Budget Authority (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 Spending Prior to 2006	PY 2006	CY 2007	BY 2008	BY +1 2009	BY+2 2010	2011	BY+4 2012 and beyond	Total
Planning	\$0.000	\$0.000	\$0.000	\$0.000					
Acquisition	\$0.000	\$0.000	\$0.000	\$0.000					
Subtotal Planning & Acquisition	\$0.000	\$0.000	\$0.000	\$0.000					
Operations	\$7.570	\$1.500	\$1.500	\$1.120					
TOTAL	\$7.570	\$1.500	\$1.500	\$1.120					
Government FTE Costs should not be included				provided above.					
Government FTE Costs	\$1.800	\$0.360	\$0.360	\$0.360					
Number of FTE represented by cost	5	1	1	1					

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

(2) Will this project require the agency to hire additional FTE's? no

(a) If "yes," How many and in what year?

(3) If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

Section C: Acquisition/Contract Strategy (All Capital Assets)

(1) Complete the table for all contracts and/or task orders in place or planned for this investment:

Contract or Task Order Number: BZ-11/0533982 Type of Contract/TO Used: Cost Plus Fixed Fee

Has the Contract Being Awarded: yes

Contract Actual/Planned Award Date:

05/01/2005

Contract/TO Start Date:

05/01/2005

Contract/TO End Date:

04/30/2007

Contract/TO Total Value (\$M): \$32.200 Inter Agency Acquisition: no

Performance Based Contract: yes

Competitively Awarded Contract: yes

Alternative Financing: NA EVM Required: yes

Security Privacy Clause: yes

Contracting Officer (CO) Contact Information:

CO Name: Patricia S. Williams

CO Contact Information (Phone/Email): (703) 292-8240 pswillia@nsf.gov

CO Certification Level (Level 1, 2, 3, N/A): 3

If N/A has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? (Y/N)

(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 contract has a requirement to utilize earned value management (EVM) for tasks/projects designated as new development or "Development/Modernization/Enhancements (DME)." FAS is in Steady State and its maintenance activities are exempt from EVM at this time per OMB Guidance.

(3) Do the contracts ensure Section 508 compliance? yes

Section 508 Compliance Explanation:

The system was reviewed and modified, as needed, in 2001 for Section 508 compliance. The FAS consists of an end-user GUI and back-end software programs. Only the end-user GUI is used by users; therefore only changes to it would affect Section 508 compliance. While the majority of maintenance changes are to the back-end software, when the GUI is affected, NSF staff review each maintenance change for Section 508 compliance before the change is implemented.

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

yes

(a) If "yes", what is the date?

12/01/2001

(b) If "no," will an acquisition plan be developed?

[1] If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

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 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 or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/ Baseline (from previous year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2003	Financial Management	Migrate from current payroll system to Government wide Payroll provider	Legacy System-IPAY	Select ePayroll provider in FY03	ePayroll Service Provider selected in January 2003
2003	Financial Management	Meet Accelerated Financial Management Reporting Requirements (45 days after fiscal year-end)	Met Current Financial Management Reporting Requirements	Submit NSF Performance and Accountability Report to OMB on November 17	November 15th date was achieved one year ahead of OMB requirements
2003	Financial Management	Meet Quarterly reporting requirement	Met Current Financial Management Reporting Requirements	Submit Quarterly financial statements to OMB within 45 days of end of quarter	NSF's Quarterly reports were consistently one of the first submitted to OMB
2003	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2003 Financial Statements	NSF received an Unqualified Audit Opinion for FY 2003 on 11/05/04
2004	Financial Management	Implement Government wide ePayroll service provider	Legacy System-IPAY	Successful transition to Government wide ePayroll service provide and retirement of IPAY system	New ePayroll service provider began processing NSF's payroll in May 2004. Because NSF's payroll system ran for part of the calendar year, NSF cannot retire its IPAY system until all reconciliation for the calendar year is done and W-2s are generated
2004	Financial Management	Meet Accelerated Financial Management Reporting Requirements 45 days after fiscal year end	Met Current Financial Management Reporting Requirements	Submit NSF Performance and Accountability Report by November 15	PAR Report submitted on 11/15/2004
2004	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2004 Financial Statements	NSF received an Unqualified Audit Opinion for FY 2004 on 11/04/2005
2004	Financial Management	Produce Quarterly Financial Statements within 21 days of end of quarter	Produced Quarterly Financial Statements within 21 days of end of quarter	Produce Quarterly Financial Statements within 21 days of end of quarter	Quarterly reports produced within 21 days beginning March 2004

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/ Baseline (from previous year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2004	Financial Management	Automate closing package financial statements	Met new Closing package requirements	Automate closing package financial statements	Closing package statement became automated in June 2004 NSF produces its automated financial statements and closing package statements simultaneously
2005	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2005 Financial Statements	
2005	FFMIA Compliance	Receive Assertion of FFMIA Compliance - Implement FAS Requirements necessary to maintain compliance	Received Assertion of FFMIA Compliance - Implemented required changes to SGL and transactions	Maintain Assertion of FFMIA Compliance through FAS compliance with requirements	FFMIA compliance asserted on 11/08/2005
2005	Financial Management	Produce Quarterly Financial Statements within 21 days of end of quarter	Produced Quarterly Financial Statements within 21 days of end of	Produce Quarterly Financial Statements within 21 days of end of quarter	NSF submitted timely and accurate quarterly statements within 21 days of the end of quarter
2006	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2006 Financial Statements	
20116	Financial Management	Produce Quarterly and year end Financial statement	Produced Quarterly and year-end Financial Statements by deadlines	Quarterly reports produced within 21 days and year	
2006	FFMIA Compliance	Receive Assertion of FFMIA Compliance - Implement FAS Requirements necessary to maintain compliance	Received Assertion of FFMIA Compliance - Implemented required changes to SGL and transactions	Maintain Assertion of FFMIA Compliance through FAS compliance with requirements	
2007	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2007 Financial Statements	
2007	Financial Management	Produce Quarterly and year end Financial statement	Produce Quarterly and year-end Financial Statements by deadlines	Quarterly reports produced within 21 days and year	
2007	FFMIA Compliance	Receive Assertion of FFMIA Compliance - Implement FAS Requirements necessary to maintain compliance	Received Assertion of FFMIA Compliance - Implemented required changes to SGL and transactions	Maintain Assertion of FFMIA Compliance through FAS compliance with requirements	
2007	Financial Management	Federal Cash Transactions Report Monitoring	Reviewed 100% of Federal Cash Transactions Reports with positive cash on hand	Resolve 100% of excessive cash on hand findings	
2007	Financial Management	Grant Closeout - Review the Award Closeout Report on a quarterly basis	Closed 100% of awards within two full reporting quarters after the expiration date	Close 100% of awards within two full reporting quarters after the expiration date	
2008	Financial Management	Federal Cash Transactions Report Monitoring	Reviewed 100% of Federal Cash Transactions Reports with positive cash on hand	Resolve 100% of excessive cash on hand findings	
2008	Financial Management	Grant Closeout - Review the Award Closeout Report on a quarterly basis	Closed 100% of awards within two full reporting quarters after the expiration date	Close 100% of awards within two full reporting quarters after the expiration date	
2008	Financial Management	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2008 Financial Statements	
2008	Financial Management	Produce Quarterly and year end Financial statement	Produced Quarterly and year-end Financial Statements by deadlines	Quarterly reports produced within 21 days and year	
2008	FFMIA Compliance	Receive Assertion of FFMIA Compliance - Implement FAS Requirements necessary to maintain compliance	Received Assertion of FFMIA Compliance - Implemented required changes to SGL and transactions	Maintain Assertion of FFMIA Compliance through FAS compliance with requirements	

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/ Baseline (from previous year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2009					
2009					
2009					
2009					
2009					
2010					
2011					
2010					
2010					
2010					
2010					
2011-					
2011					
2011					
2011					
2011					

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. 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 at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

Fiscal Year	Measurement Area IT	Measurement Grouping IT	Measurement	Baseline	Planned Improvement to the Baseline	Actual Results
-------------	---------------------	-------------------------	-------------	----------	-------------------------------------	----------------

Section E: Security and Privacy (IT Capital Assets Only)

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).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

(1) Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: yes

(a) If "yes," provide the "Percentage IT Security" for the budget year: 14

(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 - Security:

Name Of System	Agency Or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
----------------	---------------------------------------	--------------------------	---------------------------------------

(4) Operational Systems - Security:

Name Of System	Agency Or Contractor Operated system	NIST FIPS 199 Risk Impact Level (High, Moderate, Low)	Has the C&A been completed using NIST 800-37?	Date C&A Complete	What standards we used for the Security Controls tests?	Date Completed Security Control Testing	Date Contingency Plan Tested
FAS	Contractor and Government	High	yes	04/05/06	FIPS 200 / NIST 800-53	01/18/06	02/15/06

(5) Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? no

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

(6) Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? no

(a) If "yes," specify the amount, a general description of the weakness, and how the funding request will remediate the weakness.

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

NSF uses a range of methods to review the security of operations through contract requirements, project management oversight and review, certification and accreditation processes, IG independent reviews, proactive testing of controls through penetration testing and vulnerability scans to ensure services are adequately secure and meet the requirements of FISMA, OMB policy, NIST guidelines and NSF policy. The system is operated on-site by a team of contractors and NSF personnel with system administrators tightly controlling access to the systems. Only administrators with current need have access to the system, and strict code migration, quality control, and configuration management procedures prevent deployment of hostile or vulnerable software on the systems. Contractors are trained in the same security measures as NSF employees. All NSF employees and contract staff are required to complete an on-line security training class each year, including the rules of behavior. Background checks are done routinely as a part of the NSF contracting process, and IT security requirements are stated in the contracts statement of work. Contractor security procedures are monitored, verified, and validated by the agency in the same way as for government employees. Once on board, contractors are allowed access to the NSF systems based on their specific job requirements. Audit logs are also implemented to monitor operating system changes - these audit logs are reviewed by the system administrators. Additionally, roles and responsibilities are separated to the extent possible to allow for checks and balances in system management and multiple levels of oversight.

(8) Planning and Operational Systems - Privacy:

(a) Name Of System	(b) Is this a new system?	(c) Is there a PIA that covers this system?	(d) Is the PIA available to the public?	(e) Is a System Records Notice (SORN) required for this system?	(f) Was a new or amended SORN published in FY06?
FAS	no	1. Yes.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.

(c) Is there a Privacy Impact Assessment (PIA) that covers this system?

1. Yes.
2. No.
3. No, because the system does not contain, process, or transmit personal identifying information.
4. No, because even though it has personal identifying information, the system contains information solely about federal employees and agency contractors.

(d) Is the PIA available to the public?

1. Yes.
2. No, because a PIA is not yet required to be completed at this time.
3. No, because the PIA has not been prepared.

(f) Was a new or amended SORN published in FY2006?

1. Yes, because this is a newly established Privacy Act system of records.
2. Yes, because the existing Privacy Act system of records was substantially revised in FY 06.
3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
4. No; the system is operational, but the SORN has not yet been published.
5. No, because the system is not a Privacy Act system of records.

Section F: Enterprise Architecture (EA) (IT Capital Assets Only)

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 (a)
If "no," please explain why?

(2) Is this investment included in the agency's EA Transition Strategy? yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.	The Financial Accounting System (FAS) is included as part of the Next Generation Grants Management workstream in the EA Transition Strategy submitted to OMB on February 28, 2006.
b. If "no," please explain why?	

(3) 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/>.

Agency Component Name	Agency Component Description	FEASRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal External Reuse (c)	Funding Percentage (d)
				Reused Service Component Name	Reused Service Component UPI		
Advice of BEP	Maintenance of Funding Allocations	Management	Billing and			No Reuse	10
Charge Card Module	Charge Card Bill Processing	Management	Credit / Charge			No Reuse	3
FASTRAN	Transaction Processing Module	Financials Management	Expense Management			No Reuse	10
AP Log	Accounts Payable/Prompt Pay and Invoice tracking	Financial Management	Payment / Settlement			No Reuse	7

Agency Component Name	Agency Component Description	FEASRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		Internal External Reuse (c)	Funding Percentage (d)
				Reused Service Component Name	Reused Service Component UPI		
FASTRAN	Transaction Processing Module	Financial Management	Debt Collection			No Reuse	10
FAS Core	Core Functionally of Accounting System	Financial Management	Internal Controls			No Reuse	60

- a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.
- b. 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.
- c. '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.
- d. 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.

4. 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 (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	FEA Service Specification (b)
Billing and Accounting	Service Access and Delivery	Access Channels	Other Electronic Channels	
Billing and Accounting	Service Access and Delivery	Delivery Channels	Intranet	
Billing and Accounting	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Billing and Accounting	Service Access and Delivery	Service Transport	Service Transport	
Billing and Accounting.	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP
Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows NT
Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	Sybase 12,x
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Windows NT

Billing and Accounting	Component Framework	Presentation / Interface	Static Display	
Billing and Accounting	Component Framework	Data Management	Database Connectivity.	Sybase 12.x
Billing and Accounting	Component Framework	Data Management	Reporting and Analysis	
Billing and Accounting	Service Interface and Integration	Integration	Enterprise Application Integration	
Billing and Accounting	Service Interface and Integration	Interoperability	Data Transformation	
Billing and Accounting	Service Interface and Integration	Interface	Service Description Interface	API
Credit / Charge	Service Access and Delivery	Access Channels	Other Electronic Channels	
Credit / Charge	Service Access and Delivery	Delivery Channels	Intranet	
Credit / Charge	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Credit / Charge	Service Access and Delivery.	Service Transport	Service Transport	
Credit / Charge	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP
Credit / Charge	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows NT
Credit / Charge	Service Platform and Infrastructure	Database / Storage	Database:	Sybase 12,x
Credit / Charge	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Windows NT
Credit / Charge	Component Framework	Presentation / Interface	Static Display	
Credit / Charge	Component Framework	Data Management	Database Connectivity	Sybase 12.x
Credit / Charge	Component Framework	Data Management	Reporting and Analysis	
Credit / Charge	Service Interface and Integration	Integration;	Enterprise Application Integration	
Credit / Charge	Service Interface and Integration	Interoperability	Data Transformation	
Credit / Charge	Service Interface and Integration	Interface	Service Description / Interface	API
Expense Management	Service Access and Delivery	Access Channels	Other Electronic Channels	
Expense Management	Service Access and Delivery	Delivery Channels	Intranet	
Expense Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Expense Management	Service Access and Delivery	Service Transport	Service Transport	
Expense Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP
Expense Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows NT
Expense Management	Service Platform and Infrastructure	Database / Storage	Database,	Sybase 12,x

Expense Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers,	Windows NT
Expense Management	Component Framework	Presentation / Interface	Static Display	
Expense Management	Component Framework	Data Management	Database Connectivity	Sybase 12.x
Expense Management	Component Framework	Data Management	Reporting and Analysis	
Expense Management	Service Interface and Integration	Integration	Enterprise Application Integration	
Expense Management.	Service Interface and Integration:	Interoperability	Data Transformation	
Expense Management	Service Interface and Integration	Interface	Service Description / Interface	API
Payment / Settlement	Service Access and Delivery	Access Channels	Other Electronic Channels	
Payment / Settlement	Service Access and Delivery	Delivery Channels	Intranet	
Payment / Settlement	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Payment / Settlement	Service Access and Delivery	Service Transport	Service Transport	
Payment / Settlement	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP
Payment / Settlement	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows NT
Payment / Settlement	Service Platform and Infrastructure	Database / Storage	Database	Sybase 12,x
Payment / Settlement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Windows NT
Payment / Settlement	Component Framework	Presentation / Interface	Static Display	
Payment / Settlement	Component Framework	Data Management	Database Connectivity	Sybase 12.x
Payment / Settlement	Component Framework:	Data Management	Reporting and Analysis,	
Payment / Settlement	Service Interface and Integration	Integration	Enterprise Application Integration	
Payment / Settlement	Service Interface and Integration	Interoperability	Data Transformation	
Payment / Settlement	Service Interface and Integration	Interface	Service Description / Interface'	
Debt Collection	Service Access and Delivery	Access Channels	Other Electronic Channels	
Debt <u>Collection</u>	Service Access and Delivery	Delivery Channels	Intranet	
Debt Collection	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Debt Collection	Service Access and Delivery	Service Transport	Service Transport	
Debt Collection	Service Platform and, Infrastructure	Support Platforms	Platform Dependent	Windows XP
Debt Collection	Service Platform and Infrastructure	Delivery Servers	!Application Servers	Windows NT

Debt Collection	Service Platform and Infrastructure	Database / Storage	Database	Sybase 12,x
Debt Collection	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Windows NT
Debt Collection	Component Framework	Presentation / Interface	Static Display	
Debt Collection	Component Framework	Data Management	Database Connectivity	Sybase 12.x.
Debt Collection	Component Framework	Data Management	Reporting and Analysis	
Debt Collection	Service Interface and Integration	Integration	Enterprise Application: Integration	
Debt Collection	Service Interface and Integration	Interoperability	Data Transformation	
Debt Collection	Service Interface and Integration	Interface	Service Description / Interface	API
Internal Controls	Service Access and Delivery	Access Channels	:Other Electronic Channels.	
Internal Controls	Service Access and Delivery	Delivery Channels	Intranet	
Internal Controls	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Internal Controls	Service Access and Delivery	Service Transport	Service Transport	
Internal Controls	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP
Internal Controls	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows NT
Internal Controls	Service Platform and Infrastructure	Database / Storage	Database	Sybase 12,x
Internal Controls	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Windows NT
Internal Controls	Component Framework	Presentation / Interface	Static Display	
Internal Controls	Component Framework	Data Management	Database Connectivity	Sybase 12.x
Internal Controls	Component Framework	Data Management	Reporting and Analysis,	
Internal Controls	Service Interface and Integration	Integration	Enterprise Application Integration	
Internal Controls	Service Interface and Integration	Interoperability.	Data Transformation	
Internal Controls:	Service Interface and Integration	Interface	Service Description / Interface	API

- a. 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.
- b. 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.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? no

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system? no

(a) If "yes," does customer access require specific software (e.g., a specific web browser version)?

[1] If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

PART III: For "Operation and Maintenance" Investments ONLY (Steady State)

Part III should be completed *only* for investments which will be in "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

Section A: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed 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

a. If "yes," what is the date of the plan?

06/01/2005

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? no

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?

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

b. If "no," what is the strategy for managing the risks?

Section B: Cost and Schedule Performance (All Capital Assets)

Answer the following questions about how you are currently managing this investment.

1. Was an operational analysis conducted? yes

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

06/01/2005

b. If "yes," what were the results? (Max 2500 Characters)

The results of the OA recommend that the FAS continue to be used as the NSF's financial accounting system for the next several years. The NSF is in the process of conducting a pilot project as a Grants Management Line of Business provider. We plan to take advantage of the results/findings of the GMLOB process in becoming an SSP to more fully define our financial requirements. This will allow the NSF to take an integrated approach to both GMLOB & FMLOB in regards to the future of FAS and NSF's financial system.

c. If "no," please explain why it was not conducted and if there are any plans to conduct an operational analysis in the future? (Max 2500 Characters)

2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts). Indicate if the information provided includes government and contractor costs:

a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor Only

Description of Milestone (Max 50 Characters)	Planned		Actual		Baseline Schedule Variance (#Days)	Baseline Cost Variance (\$M)
	Completion Date	Total Cost (\$M)	Completion Date	Total Costs (\$M)		
FY01 Steady State Operations	09/30/2001	\$1.800	09/30/2001	\$1.800		\$0.000
FY02 Steady State Operations	09/30/2002	\$1.500	09/30/2002	\$1.500		\$0.000
FY03 Steady State Operations	09/30/2003	\$1.670	09/30/2003	\$1.670		\$0.000
FY04 Steady State Operations	09/30/2004	\$1.300	09/30/2004	\$1.300:		\$0.000
FY05 Steady State Operations	09/30/2005	\$1.300	09/30/2005	\$1.300		\$0.000
FY06 Steady State Operations	09/30/200	\$1.500	09/30/2006	\$1.500		\$0.000
FY07 Steady State Operations	09/30/2007	\$1.500.		\$0.000		\$0.000

Total Planned Costs:

Total Actual Costs: \$9.070