BY10 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)

(1) Date of Submission: 09/08/2008

(2) Agency: 422

(3) Bureau: 00

(4) Name of this Capital Asset: Financial Accounting System (FAS)

(250 Character Max)

(5) Unique Project (Investment) 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 this be in FY2010? Operations and Maintenance

Please note: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010, should not select O&M. These investments should indicate their current status.

(7) What was the first budget year this investment was submitted to OMB? FY2001 or earlier

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

The Financial Accounting System (FAS) is currently the primary system used by NSF to monitor, control, and execute the management and financial accountability of approximately 20,000 active awards with 2000+ external grantees. FAS is the financial system of record for the Foundation managing all funding allocations, financial transaction processing, accounts maintenance, and rules processing. FAS is extensively integrated with NSF's grants management systems, Guest Travel System and FedTraveler. FAS has supported core financial processes for the Foundation for nearly two decades, with only one major upgrade during that time. As a result, this legacy financial management system is aging and requires ever-increasing time, effort, and funding to operate, maintain, and remain in compliance with the new federal financial management requirements. NSF is planning for a modernization that will support improved business processes, enable staff to conduct in-depth financial analysis, eliminate manual workarounds, and provide decision makers with data to make informed business decisions. A modernization will enable NSF to better meet emerging new requirements, to continue to improve financial performance, and to continue to improve the primary mission of supporting the financial aspects of NSF programs. Additionally, any plans for modernization will support the NSF's goals and objectives for financial management, align with government-wide initiatives, such as the Financial Management Line of Business, and support the core system requirements and functionality: General Ledger, Funds Management, Accounts Payable, Accounts Receivable,

Cost, and reporting. Integrating grants financial system requirements will be key to the success of a future financial management solution as this functionality is critical to the agency's mission of funding proposals that have been judged the most promising by the rigorous and objective merit-review process at an annual agency budget of approximately $6B and monitoring program performance and results. The current FAS design has been customized over the years to support NSF's grants and financial management processes specifically to support the award and administration of grants and to minimize manual re-keying and data input processes. This legacy system will remain in steady-state until NSF converts to a modern financial system. Currently, NSF is in the early planning stages for this effort.

(9) Did the Agency's Executive/Investment Committee approve this request? yes

(9a) If "yes," what was the date of this approval? 09/04/2008

(10) Did the Project Manager review this Exhibit? yes

(11) Contact Information of Project Manager?

Name:	Randy Hill
Phone Number:	703-292-4238
E-Mail:	rhill@nsf.gov

(11a) What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the project/program manager?
New Program Manager

(11b) When was the Project Manager assigned? 12/15/2008

(11c) What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?
09/03/2009

(12) Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?
no

(12a) Will this investment include electronic assets (including computers)? yes

(12b) Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) Select...

[12b1] If "yes," is an ESPC or UESC being used to help fund this investment? Select...

[12b2] If "yes," will this investment meet sustainable design principles? Select...

[12b3] If "yes," is it designed to be 30% more energy efficient than relevant code? Select...

(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
Financial Performance

(13a) 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?)

NSF is actively involved with two PMA reform activities: strengthening Grants Mgt and managing the FMLOB. The proposed planning and strategy work for the FM solution will provide the framework and requirements, and identify options in accordance with the goals of the FMLOB initiative. NSF will begin the process of updating both financial and grant financial requirements, will work within the framework of FSIO's migration strategy, and develop a business case for the new FM solution.

(14) Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)? yes

(14a) If "yes," does this investment address a weakness found during a PART review? no

(14b) If "yes," what is the name of the PARTed program ? Select...

(14c) If "yes," what rating did the PART receive? Select...

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

If the answer to question 15 is "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) In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance): (1) Project manager has been validated as qualified for this investment

(18) Is this investment or any project(s) within this investment identified as "high risk" on the Q4-FY 2008 agency high risk report (per OMB's Memorandum M-05-23)? no

(19) Is this a financial management system? yes

(19a) If "yes," does this investment address a FFMIA compliance area? yes

[19a1] If "yes," which compliance area: (1) Federal financial management system requiremen...

[19a2] If "no," what does it address?

(19b) 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:	FAS - Financial Accounting System

(20) What is the percentage breakout for the total FY2010 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 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? yes

(24) Does this investment directly support one of the GAO High Risk Areas? 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)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier (Spending Prior to 2008)	PY 2008	CY 2009	BY 2010	BY +1 2011	BY+2 2012	BY+3 2013	BY+4 2014 and beyond	Total
Planning	$0.000	$0.000	$0.000	$0.000					$0.000
Acquisition	$0.000	$0.000	$0.000	$0.000					$0.000
Subtotal Planning & Acquisition	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Operations & Maintenance	$10.570	$1.972	$4.297	$5.100					$21.939
TOTAL	$10.570	$1.972	$4.297	$5.100	$0.000	$0.000	$0.000	$0.000	$21.939
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	$3.490	$1.096	$1.239	$1.239					$7.064
Number of FTE represented by cost	3	7	8	8					26

Note: For the multi-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

(2a) If "yes," How many and in what year?

(3) If the summary of spending has changed from the FY2009 President's budget request, briefly explain

those changes.

The change in spending for the FY10 budget request is directly related to planning for the future financial management solution and to identify NSF's alignment with the FMLOB initiative. The current FAS environment has been a stable operating system for a number of years with previous budget requests for maintenance only. Aligned with NSF's Division of Information Systems Continuous Improvement Program, this planning initiative will provide the following key outcomes: 1. Project Management Plan to include project objectives and scope, NSF's expectations, stakeholders and points of contact, stakeholder roles and responsibilities, communication process, issue reporting process; 2. Project schedule development and execution; 3. Business Case; 4. Concept of Operations; and 5. Acquisition Plan.

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

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

Contract or Task Order Number:
NSFDACS0733650

Type of Contract/TO Used (in accordance with FAR Part 16):
Cost Plus Fixed Fee
Has the Contract been awarded? yes
If yes, what is the date of the award? If not, what is the planned award date? 03/30/2007
Contract/TO Start Date: 04/01/2007 Contract/TO End Date: 04/12/2012
Contract/TO Total Value ($M): $89.856
Is this an Interagency Acquisition? no
Is it performance based? yes Competitively awarded? yes
What, if any, alternative financing option is being used? NA
Is EVM in the contract? yes
Does the contract include the required security and privacy clauses? yes

Contracting Officer (CO) Contact Information:

CO Name:
Greg Steigerwald
CO Contact Information (Phone/Email):
703-292-5074 / gsteiger@nsf.gov
CO FAC-C or DAWIA Certification Level: 3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? Select...

Contract or Task Order Number:
Touchstone/08D1536

Type of Contract/TO Used (in accordance with FAR Part 16):
Time and Materials
Has the Contract been awarded? yes
If yes, what is the date of the award? If not, what is the planned award date? 09/19/2008
Contract/TO Start Date: 10/15/2008 Contract/TO End Date: 10/14/2013
Contract/TO Total Value ($M): $5.100
Is this an Interagency Acquisition? no
Is it performance based? no Competitively awarded? yes
What, if any, alternative financing option is being used? NA
Is EVM in the contract? no
Does the contract include the required security and privacy clauses? yes

Contracting Officer (CO) Contact Information:

CO Name:
Greg Steigerwald
CO Contact Information (Phone/Email):
703 292-5074/gsteiger@nsf.gov
CO FAC-C or DAWIA Certification Level: 3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? Select...

(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:
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

(3a) Explain why not or how this is being done?
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 reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?
yes

(4a) If "yes", what is the date? 01/10/2007

[4a1] Is it current? yes

(4b) If "no," will an acquisition plan be developed? Select...

[4b1] 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 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.

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area IT	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	Stewardship	Mission and Business Results	Reporting and Information	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2008 Financial Statements	Unqualified Audit Opinion
2008	Stewardship	Processes and Activities	Financial Management	Produce Quarterly and Year-End Financial Statements	Produce Quarterly and Year-End Financial Statements by deadlines	Quarterly Reports produced within 21 days and Year-End within 45 days	Quarterly Reports produced within 21 days and Year-End within 45 days
2008	Stewardship	Mission and Business Results	Reporting and Information	Maintain FFMIA substantially compliant financial system	FAS - Substantially Compliant	Maintain FAS Compliancy	Maintained FAS Compliancy
2008	Stewardship	Customer Results	Response Time	Response Time for User Access Requests	6 Business Hours	6 Business Hours	6 Business Hours
2008	Stewardship	Technology	Availability	FAS Availability for transaction processing	100 % of Agreed upon hours of availability	100 % of Agreed upon hours of availability	100% of agreed upon hours of availability
2008	Stewardship	Mission and Business Results	Program Monitoring	Federal Financial Report	100% Review of FFR reports with positive cash on hand	Resolve 100% of excessive cash on hand findings	Resolved 100% of excessive cash on hand findings
2008	Stewardship	Mission and Business Results	Program Monitoring	Grant Closeout - Review the	Close 100% of awards within	Close 100% of awards within 2	100% of awards

				Award Closeout Report on a quarterly basis	2 reporting quarters after the expiration date	reporting quarters after the expiration date	closed within 2 reporting quarters after expiration
2009	Stewardship	Mission and Business Results	Reporting and Information	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2009 Financial Statements	
2009	Stewardship	Processes and Activities	Financial Management	Produce Quarterly and Year-End Financial Statements	Produce Quarterly and Year-End Financial Statements by deadlines	Quarterly Reports produced within 21 days and Year-End within 45 days	
2009	Stewardship	Mission and Business Results	Reporting and Information	Maintain FFMIA substantially compliant financial system	FAS - Substantially Compliant	Maintain FAS Compliancy	
2009	Stewardship	Customer Results	Response Time	Response Time for User Access Requests	6 Business Hours	6 Business Hours	
2009	Stewardship	Technology	Availability	FAS Availability for transaction processing	100 % of Agreed upon hours of availability	100 % of Agreed upon hours of availability	
2009	Stewardship	Mission and Business Results	Program Monitoring	Federal Financial Report	100% Review of FFR reports with positive cash on hand	Resolve 100% of excessive cash on hand findings	
2009	Stewardship	Mission and Business Results	Program Monitoring	Grant Closeout - Review the Award Closeout Report on a quarterly basis	Close 100% of awards within 2 reporting quarters after the expiration date	Close 100% of awards within 2 reporting quarters after the expiration date	
2010	Stewardship	Mission and Business Results	Reporting and Information	Unqualified Audit Opinion for Financial Statements	Unqualified Audit Opinion	Unqualified Audit Opinion for FY 2010 Financial Statements	
2010	Stewardship	Processes and Activities	Financial Management	Produce Quarterly and Year-End Financial Statements	Produce Quarterly and Year-End Financial Statements by deadlines	Quarterly Reports produced within 21 days and Year-End within 45 days	
2010	Stewardship	Mission and Business Results	Reporting and Information	Maintain FFMIA substantially compliant financial system	FAS - Substantially Compliant	Maintain FAS Compliancy	
2010	Stewardship	Customer Results	Response Time	Response Time for User Access Requests	6 Business Hours	6 Business Hours	
2010	Stewardship	Technology	Availability	FAS Availability for transaction processing	100 % of Agreed upon hours of availability	100% of agreed upon hours of availability	
2010	Stewardship	Mission and Business Results	Program Monitoring	Federal Financial Report	100% Review of FFR reports with positive cash on hand	Resolve 100% of excessive cash on hand findings	
2010	Stewardship	Mission and Business Results	Program Monitoring	Grant Closeout - Review the Award Closeout Report on a quarterly basis	Close 100% of awards within 2 reporting quarters after the expiration date	Close 100% of awards within 2 reporting quarters after the expiration date	

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).

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

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

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

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

(1a) If "yes," provide the "Percentage IT Security" for the budget year: 14.0

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

(3)

Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization -- Security Table

Name Of System	Agency Or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle

			systems) or Planned Completion Date (for new systems)

(4)

Operational Systems - Security Table

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 were used for the Security Controls tests?	Date Completed Security Control Testing	Date Contingency Plan Tested
FAS	Contractor and Government	Moderate	yes	04/05/(	FIPS 200 / NIST 800-53	04/08/08	02/09/09

(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

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

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

(6a) 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 contract's 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 Table:

(a) Name Of System	(b) Is this a new system?	(c) Is there at least one PIA which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System Records Notice (SORN) required for this system?	(f) Internet Link or Explanation
FAS	no	yes	http://www.nsf.gov/pubs/policydocs/pia/fas_pia.pdf	yes	FAS has several relevant SORNs: NSF-3, NSF-10, NSF-22, NSF-65, GOVT-3, GOVT-4. These are not all available on the electronic Federal Register site, but are accessible from the NSF Privacy web site (http://www.nsf.gov/policies/pia.jsp).

Details for Text Options:
Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.

Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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

In order to successfully address this area of the capital asset plan and business case the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and
supporting the FEA. The business case must demonstrate 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

(1a) If "no," please explain why?

(2) Is this investment included in the agency's EA Transition Strategy? no

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

(2b) If "no," please explain why? Since this investment is in Steady State, it is part of our Target EA, but not the EA Transition Strategy.

(3) Is this investment identified in a completed and approved segment architecture? yes

(3a) If "yes," provide the six digit code corresponding to the agency segment architecture. The segment 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.

Service Component Reference Model (SRM) Table:

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

	Module	Financial Management					
FAS Core	Core Functionality of the Financial Accounting System	Financial Management	Internal Controls	Select...		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 percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in this column can, but are not required to, add up to 100%.

(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.

Technical Reference Model (TRM) Table:

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
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 Transport	Service Transport	
Billing and Accounting	Service Platform and Infrastructure	Support Platforms	Dependent Platform	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
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	User 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	Access Channels	Other Electronic Channels	

	Delivery			
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	Dependent Platform	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	User 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	Dependent Platform	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	User 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 Collection	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	Dependent Platform	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	User 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	Dependent Platform	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	User 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.

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

(6a) If “yes,” please describe.

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

(1a) If "yes," what is the date of the plan?
06/01/2005

(1b) Has the Risk Management Plan been significantly changed since last year's submission to OMB?
no

(1c) If "yes," describe any significant changes:

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

(2a) If "yes," what is the planned completion date?

(2b) If "no," what is the strategy for managing the risks?

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

(1) Was an operational analysis conducted? yes

(2a) If "yes," provide the date the analysis was completed. 06/01/2005

(2b) If "yes," what were the results? (Max 2500 Characters)

The results of the OA recommend that the FAS continue to be used as NSF s financial accounting system for the next several years. As the transition to a new financial management solution will not be complete for a number of years, NSF should consider investing in the re-engineering of the FAS post server, a critical single point of failure. The underlying technology for the post server, a critical component of the FAS, is becoming dated and should be addressed. NSF should begin the analysis and planning of this re-engineering now, in FY 2008. In conjunction with working to maintain the viability of our current system, the strategic planning work proposed in this request, consistent with FMLOB guidance, will allow us to do the following: 1) Refine core financial systems requirements, grants financial systems requirements, and integrated requirements with all NSF feeder systems; 2) Review and update requirements for the administrative systems that process information into the financial system; 3) Fully develop As-Is to document in detail the current financial management environment at NSF, create detailed artifacts for the FAS modules, interfaces with other NSF feeder systems, interfaces with external systems/applications, interconnections with other system databases, financial reporting, and external reporting support; 4) Develop vision of NSF future financial management solution. NSF does not anticipate development of any substantive FAS capability for the next several years. However, NSF has taken the first steps in defining their future state architecture for financial management. At a high level, NSF has assessed the "As-Is" state and begun to define the components of the "To-Be" vision for the financial environment.

(2c) 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:

(2a) What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?
Contractor Only

(2b)

Comparison of Plan vs. Actual Performance Table

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	$0.000
FY02 Steady State Operations	09/30/2002	$1.500	09/30/2002	$1.500	0	$0.000
FY03 Steady State Operations	09/30/2003	$1.670	09/30/2003	$1.670	0	$0.000

FY04 Steady State Operations	09/30/2004	$1.300	09/30/2004	$1.300	0	$0.000
FY05 Steady State Operations	09/30/2005	$1.300	09/30/2005	$1.300	0	$0.000
FY06 Steady State Operations	09/30/2006	$1.500	09/30/2006	$1.500	0	$0.000
FY07 Steady State Operations	09/30/2007	$1.500	09/30/2007	$1.500	0	$0.000
FY08 Steady State Operations	09/30/2008	$2.148	09/30/2008	$1.972	0	$0.000
FY09 Steady State Operations	09/30/2009	$4.297		$0.000	0	$0.000
FY10 Steady State Operations	09/30/2010	$5.100		$0.000	0	$0.000
FY11 Steady State Operations	09/30/2011			$0.000	0	$0.000
FY12 Steady State Operations	09/30/2012			$0.000	0	$0.000
FY13 Steady State Operations	09/30/2013			$0.000	0	$0.000
FY14 Steady State Operations	09/30/2014			$0.000	0	$0.000

Total Planned Costs: $22.115 **Total Actual Costs:** $12.542