
Exhibit 300: Capital Asset Plan and Business Case Summary

PART I: SUMMARY INFORMATION AND JUSTIFICATION (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 12/14/2007
2. Agency: 393
3. Bureau: 000
4. Name of this Capital Asset: IT Infrastructure
5. Unique Project (Investment) Identifier: (For IT investments only, see section 53. For all other, use agency ID system.) 393-00-02-00-01-0008-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)
 Planning Full Acquisition Operations and Maintenance Mixed Life Cycle Multi-Agency Collaboration
7. What was the first budget year this investment was submitted to OMB? FY2003
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:

Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security of our public network applications is essential to ensuring that customer expectations for access to our information and services can be met. In addition to supporting public network applications, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure.
9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 08/27/07
10. Did the Project Manager review this Exhibit? Yes
11. Contact information of Project Manager?

Name:	Mario Barroga,
Phone:	301-837-3175
Email:	Mario.Barroga@nara.gov
- a. What is the current FAC-P/PM certification level of the project/program manager? 2
12. Has the agency developed and/or promoted cost effective, energy-efficient, and environmentally sustainable techniques or practices for this project. (Answer applicable to non-IT assets only) Yes
 - 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)) N/A

1. If “yes,” is an ESPC or UESC being used to help fund this investment? N/A

2. If “yes,” will this investment meet sustainable design principles? N/A

3. If “yes,” is it designed to be 30% more energy efficient than relevant code? N/A

13. Does this investment support one of the PMA initiatives? Yes

If “yes,” check all that apply: *To check all that applies, double click the grey box next to the initiative you would like to add. Select CHECKED from the default value section and then select OK.*

Human Capital

Budget Performance Integration

Financial Performance

Expanded E-Government

Competitive Sourcing

Faith Based and Community

Real Property Asset Management

Eliminating Improper Payments

Privatization of Military Housing

Research & Development Investment Criteria

Housing & Urban Development Management & Performance

Broadening Health Insurance Coverage through State Initiatives

“Right Sized” Overseas Presence

Coordination of VA & DoD Programs and Systems

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 contract resources used to support the O&M of the NARA IT Infrastructure leverage commercial resources obtained through competitive acquisition processes and will, in this budget year, consider alternatives such as competitive outsourcing for services.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)

Yes

a. If “yes,” does this investment address a weakness found during the PART review? No

b. If "yes," what is the name of the PARTed program? Records Services Program

c. If "yes," what rating did the PART receive? Adequate (Effective, Moderately Effective, Adequate, Ineffective, Results Not Demonstrated)

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.

For information technology investments only:

16. What is the level of the IT Project (per CIO Council PM Guidance)?
- Level 1
 - Level 2
 - Level 3
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):
- Project manager has been validated as qualified for this investment
 - Project manager qualification is under review for this investment
 - Project manager assigned to investment, but does not meet requirements
 - Project manager assigned but qualification status review has not yet started
 - No Project manager has yet been assigned to this investment
18. Is this investment or any project(s) within this investment identified as “high risk” on the Q4-FY 2007 agency high risk report (per OMB Memorandum M-05-23)? Yes
19. Is this a financial management system? No
- a. If “yes,” does this investment address a FFMIA compliance area? N/A
 - 1. If “yes,” which compliance area: N/A
 - 2. If “no,” what does it address? N/A
 - 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 N/A
20. What is the percentage breakout for the total FY2009 funding request for the following?
Hardware 18.8 Software 12.5 Services 68.7 Other 0
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? N/A
22. Contact information of individual responsible for privacy related questions:
- | | |
|--------------|------------------------------------|
| Name | Gary M. Stern |
| Phone Number | 301-837-3206 |
| Title | Senior Official for Privacy Policy |
| E-mail | GaryM.Stern@nara.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 Spending (All Capital Assets)

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 and Earlier	PY 2007	CY 2008	BY 2009
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 & Maintenance:	118.466	27.401	27.692	30.897
TOTAL:	118.466	27.401	27.692	30.897
Government FTE Costs should not be included in the amounts provided above				
Government FTE Costs:	11.520	2.251	2.515	2.590
Number of FTE represented by Costs:	143	18	21	21

2. Will this project require the agency to hire additional FTE’s? No

a. If “yes,” How many and in what year? N/A

3. If the summary of spending has changed from the FY2008 President’s budget request, briefly explain those changes: Summary of Spending table has been updated to reflect increased costs.

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

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

Contracts/Task Orders Table:																
Contractor Task Order Number	Type of Contract/Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start & end date of Contract / Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the Required security & privacy clauses?(Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level(Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? Y/N)
GS-35F-4549G NAMA-04-F-0011	FFP / T&M	Yes	Oct 1, 2003	Oct 1, 2003	Sep 30, 2008	\$56.000	No	Yes	Yes	N/A	No	Yes	Anne Hasselbrack	Anne.Has selbrack@nara.gov 301-837-0521	2	Yes
GS-35F-4461G NAMA-07-F-0003	FPO	Yes	Sep 15, 2006	Oct 1, 2006	Sep 30, 2011	\$22.279	No	Yes	Yes	N/A	No	Yes	Anne Hasselbrack	Anne.Has selbrack@nara.gov 301-837-0521	2	Yes
GS-35F-0499K NAMA-07-F-0004	FFP	Yes	Oct 1, 2006	Oct 1, 2006	Sept 30, 2007	\$5.084	No	Yes	Yes	N/A	No	Yes	LaVerne Fields	LaVerne Fields@nara.gov 301-837-3063	2	Yes

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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:

This is an Operations and Maintenance contract and does not require EVM.

3. Do the contracts ensure Section 508 compliance? Yes

- a. Explain why:

NARA specifies Section 508 compliance in all contracts, including small acquisitions to ensure that assistive technology, devices, and services are available to all NARA employees and members of the public with disabilities who use NARA Information Technology equipment in NARA facilities. Contractors are required to design, develop, implement, maintain and upgrade all technologies to demonstrate full compliance with all existing accessibility legislation.

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

- a. If "yes," what is the date? 06/06/2003

- b. If "no," will an acquisition plan be developed? NA

1. If "no," briefly explain why: N/A

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 (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Goal 6. We will equip NARA to meet the changing needs of our customers	Mission & Business Results	Information Sharing	% of time that public network applications are available	99%	98.8%	99.32% as of 7/31/07
2007	Goal 6. We will equip NARA to meet the changing needs of our customers	Customer Results	Customer Satisfaction	Staff satisfaction with NARA internal IT help desk	N/A	N/A	90.3% as of 7/31/07
2007	Goal 6. We will equip NARA to meet the changing needs of our customers	Processes & Activities	Innovation and Improvement	Percentage of time that internal network are available.	99.85%	99.9%	99.8% as of 7/31/07
2007	Goal 6. We will equip NARA to	Technology	Compliance and Deviations	Maintain overall green rating on	Green	Green	Green

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	meet the changing needs of our customers			NARA's EA			
2008	Goal 6. We will equip NARA to meet the changing needs of our customers	Mission & Business Results	Information Sharing	% of time that public network applications are available	TBD	98.83%	TBD
2008	Goal 6. We will equip NARA to meet the changing needs of our customers	Customer Results	Customer Satisfaction	Staff satisfaction with NARA internal IT help desk	TBD	85% Customer Satisfaction	TBD
2008	Goal 6. We will equip NARA to meet the changing needs of our customers	Processes & Activities	Innovation and Improvement	Percentage of time that internal network are available.	TBD	99.9%	TBD
2008	Goal 6. We will equip NARA to meet the changing needs of our customers	Technology	Compliance and Deviations	Maintain overall green rating on NARA's EA	Green	Green	TBD
2009	Goal 6. We will equip NARA to meet the changing needs of our customers	Mission & Business Results	Information Sharing	% of time that public network applications are available	TBD	98.85%	TBD
2009	Goal 6. We will equip NARA to meet the changing needs of our customers	Customer Results	Customer Satisfaction	Staff satisfaction with NARA internal IT help desk	TBD	90% Customer Satisfaction	TBD
2009	Goal 6. We will equip NARA to meet the changing	Processes & Activities	Innovation and Improvement	Percentage of time that internal network are available.	TBD	99.9	TBD

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	needs of our customers						
2009	Goal 6. We will equip NARA to meet the changing needs of our customers	Technology	Compliance and Deviations	Maintain overall green rating on NARA's EA	TBD	Green	TBD

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
 - a. If “yes,” provide the “Percentage IT Security” for the budget year: 6.00
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(s):

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 C&A been Completed , using NIST 800-37? (Y/N)	Date Completed : C&A	What standards were used for the Security Controls tests?" (FIPS 200/NIST 800-53, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
AAC	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Dec 29, 2006	Dec 29, 2006
AAD	Government Only	Low	Y	Aug 27, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 31, 2007
ACMD (iO)	Government Only	Low	Y	Aug 27, 2007	FIPS 200 / NIST 800-53	Aug 17, 2007	Aug 8, 2007
ADDRES-TS	Government Only	High	Y	Jun 30, 2005	Other	Aug 27, 2007	Aug 30, 2007
ADDRES-TS/SCI	Government Only	High	Y	Sep 30, 2004	Other	Sep 6, 2007	Aug 30, 2007
AERIC	Government Only	Moderate	Y	Jan 18, 2006	FIPS 200 / NIST 800-53	Aug 16, 2007	Aug 1, 2007
AERIC-TS	Government Only	High	Y	Dec 15, 2006	Other	Dec 15, 2006	Aug 1, 2007
AERIC-TS/SCI	Government Only	High	Y	Mar 2, 2007	Other	Mar 2, 2007	Aug 1, 2007
AERIC Title 13	Government Only	High	Y	Jul 7, 2006	FIPS 200 / NIST 800-53	Aug 16, 2007	Aug 1, 2007
APS	Government Only	Moderate	Y	Aug 27, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 14, 2007
APS-TS	Government Only	High	Y	Sep 30, 2004	Other	Aug 2, 2007	Aug 2, 2007
APS-TS/SCI	Government Only	High	Y	Sep 30, 2004	Other	Aug 16, 2007	Aug 2, 2007
ARC	Government Only	Low	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 31, 2007
B&A System	Government Only	Moderate	Y	Aug 27, 2007	FIPS 200 / NIST 800-53	Aug 15, 2007	Aug 2, 2007
CMRS	Government Only	High	Y	Feb 12, 2007	FIPS 200 / NIST 800-53	Feb 12, 2007	Aug 17, 2007
DCU	Government Only	Moderate	Y	Apr 3, 2007	FIPS 200 / NIST 800-53	Apr 3, 2007	Apr 3, 2007
EDOCS	Government Only	High	Y	Feb 23, 2007	FIPS 200 / NIST 800-53	Feb 23, 2007	Aug 15, 2007
ENOS	Government Only	Moderate	Y	Aug 19, 2005	FIPS 200 / NIST 800-53	Aug 14, 2007	Sep 6, 2007
ERM TOOLKIT	Government Only	Low	Y	Mar 23, 2006	FIPS 200 / NIST 800-53	Aug 16, 2007	Aug 9, 2007
IG CASE MGMT	Government Only	Moderate	Y	Jul 6, 2006	FIPS 200 / NIST 800-53	Aug 20, 2007	Aug 22, 2007

4. Operational Systems – Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed , using NIST 800-37? (Y/N)	Date Completed : C&A	What standards were used for the Security Controls tests?" (FIPS 200/NIST 800-53, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
SYSTEM							
JFK (W/STAR)	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 22, 2007
MLR	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 29, 2007
NARANET	Government Only	High	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Mar 31, 2007
NDEV	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 21, 2007
OFAS	Government Only	Moderate	Y	May 27, 2005	FIPS 200 / NIST 800-53	Aug 20, 2007	Apr 23, 2007
PERL	Government Only	High	Y	Feb 12, 2007	FIPS 200 / NIST 800-53	Feb 12, 2007	Aug 8, 2007
PERL – TS/SCI	Government Only	High	Y	Sep 30, 2004	Other	Sep 6, 2007	Oct 1, 2007
PMRS	Government Only	Low	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Sep 6, 2007
PPMS	Government Only	Low	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 22, 2007
RCPBS	Government Only	Moderate	Y	May 27, 2005	FIPS 200 / NIST 800-53	Aug 15, 2007	Jul 30, 2007
RMAII	Government Only	Moderate	Y	Mar 31, 2005	FIPS 200 / NIST 800-53	Aug 15, 2007	Jul 31, 2007
RRS	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 6, 2007
URTS	Government Only	Moderate	Y	Mar 14, 2007	FIPS 200 / NIST 800-53	Mar 14, 2007	Aug 15, 2007
VISTA	Government Only	Moderate	Y	Apr 25, 2005	FIPS 200 / NIST 800-53	Aug 15, 2007	Aug 2, 2007

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? Yes
 - a. If “yes,” have those weaknesses been incorporated into the agency’s plan of action and milestone process? Yes
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? No
 - a. a. If “yes,” specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. N/A
7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? N/A

8. Planning & Operational Systems – Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
AAC	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/	Yes	http://www.archives.gov/foia/privacy-program/nara-22.html *Some information in AAC covered by DOD Privacy Act systems of records notices.
AAD	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/aad-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act.
ACMD (iO)	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/io-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-3.html
ADRRES-TS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/adrres-urts-pia.pdf	No	http://www.archives.gov/foia/privacy-program/nara-7.html
ADDRESS-TS/SCI	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-	No	http://www.archives.gov/foia/privacy-program/nara-7.html

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			assessments/adrres-urts-pia.pdf		
AERIC	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/aeric-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act
AERIC Title 13	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/aeric-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act
AERIC-TS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/aeric-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act /A
AERIC-TS/SCI	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/aeric-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act
APS	No	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
APS-TS	No	No	System does not contain, process, or	No	The system is not a Privacy Act system of records

8. Planning & Operational Systems – Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			transmit personal identifying information.		
APS-TS/SCI	No	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
ARC	No	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
B&A System	No	Yes	http://www.archives.gov/foia/privacy-program/pri-vacy-impact-assessments/ba-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-11.html
CMRS	No	Yes	http://www.archives.gov/foia/privacy-program/pri-vacy-impact-assessments/cmrs-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-2.html
DCU	Yes	Yes	http://www.archives.gov/foia/privacy-program/pri-vacy-impact-assessments/dcu-pia.pdf	No	DCU contains electronic images of Official Personnel Files which belong to the OPM. OPM publishes the appropriate Privacy Act system notices.
EDOCS	No	No	System does not contain, process, or	No	The system is not a Privacy Act system of records.

8. Planning & Operational Systems – Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			transmit personal identifying information.		
ENOS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/orderonline-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-37.html
ERM TOOLKIT	Yes	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
IG CASE MGMT SYSTEM	Yes	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/igcmts-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-23.html
JFK (W/STAR)	No	No	System does not contain, process, or transmit personal identifying information.	No	Historical records are specifically excluded from the provisions of the Privacy Act.
MLR	No	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records.
NARANET	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/orderonline-pia.pdf	No	The system is not a Privacy Act system of records.

8. Planning & Operational Systems – Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			program/privacy-impact-assessments/naranet-pia.pdf		
NDEV	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/ndev-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-33.html
OFAS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/ofas-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-25.html
PERL	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/perl-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act
PERL-TS/SCI	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/perl-pia.pdf	No	Historical records are specifically excluded from the provisions of the Privacy Act
PMRS	No	No	System does not contain, process, or transmit personal	No	The system is not a Privacy Act system of records.

8. Planning & Operational Systems – Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			identifying information.		
PPMS	Yes	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
RCPBS	Yes	No	System does not contain, process, or transmit personal identifying information.	No	The system is not a Privacy Act system of records
RMAII	Yes	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/rmai-pia.pdf	No	The system is not a Privacy Act system of records.
RRS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/rrs-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-1.html
URTS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/adrres-urts-pia.pdf	Yes	http://www.archives.gov/foia/privacy-program/nara-7.html
VISTA	No	Yes	http://www.archives.gov/foia/privacy	No	The system is not a Privacy Act system of records.

8. Planning & Operational Systems – Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			- program/privacy-impact-assessments/vista-pia.pdf		

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? N/A
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.

Technology Progression

- b. If “no,” please explain why? N/A

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

a. If “yes,” provide the name of the segment architecture as provided in the agency’s most recent annual EA Assessment: NARA does not have multiple segment architectures – Source: OMB FEA PMO EA Assessment for NARA Q2 FY2007 – March 2007.

4. Service Component Table:						
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	FEA SRM Service Type	FEA SRM Component (a)	FEA Service Component Reused (b)		BY Funding Percentage (d)
				Component Name	UPI	

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Data Management	Data Recovery	[Not answered]	[Not answered]	Internal	5
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Assets / Materials Management	Computers / Automation Management	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Management of Process	Configuration Management	[Not answered]	[Not answered]	Internal	0%

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Management of Process	Requirements Management	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Organizational Management	Network Management	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Collaboration	Email	[Not answered]	[Not answered]	Internal	0%

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Communication	Audio Conferencing	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Access Control	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Cryptography	[Not answered]	[Not answered]	Internal	0%

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Identification and Authentication	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Intrusion Detection	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Virus Protection	[Not answered]	[Not answered]	Internal	0%

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Audit Trail Capture and Analysis	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Security Management	Remote Systems Control	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Systems Management	License Management	[Not answered]	[Not answered]	Internal	0%

IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Systems Management	System Resource Monitoring	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Systems Management	Software Distribution	[Not answered]	[Not answered]	Internal	0%
IT Infrastructure	All communication network, computer platform, computer facilities, operations services and operations management support and maintenance for the agency.	Systems Management	Issue Tracking	[Not answered]	[Not answered]	Internal	0%

5. Technical Reference Model Table:

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	Service Specification (b) (i.e., vendor and product name)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Database	Access; SQL Server; Oracle
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Veritas, ArcServe
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Sun servers
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Intel-based servers
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Intel-based desktops and laptops
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	HP Laserjet desktop and network printers/color printers; HP plotters
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Fast Ethernet 10/100 Base-T; disks; memory
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows; Solaris
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Independent	Linux
Computers / Automation Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Apache; Microsoft IIS
Computers / Automation Management	Component Framework	Presentation / Interface	Static Display	Dell Monitors
Computers / Automation Management	Component Framework	Presentation / Interface	Content Rendering	HomeSite; Dreamweaver EX; Java Server Pages (JSP)
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	PVCS
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Ecora
Configuration Management	Service Platform and Infrastructure	Software Engineering	Test Management	Mercury Interactive

5. Technical Reference Model Table:

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	Service Specification (b) (i.e., vendor and product name)
Requirements Management	Service Platform and Infrastructure	Software Engineering	Modeling	Telelogic System Architect
Requirements Management	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Rational Suite
Requirements Management	Service Platform and Infrastructure	Hardware / Infrastructure	Test Management	Exacta
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Novell
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Ethernet Switches
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Cisco enterprise backbone chassis and routers;
Network Management	Service Access and Delivery	Delivery Channels	Internet	Verizon UUNET
Network Management	Service Access and Delivery	Delivery Channels	Intranet	Sprint
Network Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Nortel
Email	Service Access and Delivery	Delivery Servers	Collaboration / Communications	GroupWise
Audio Conferencing	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards)	Siemens HiPath
Video Conferencing	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	NIH Web Cast services
Voice Communications	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Siemens HiPath
Voice Communications	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Siemens Expressions
Access Control	Component Framework	Security	Certificates / Digital Signatures	PKI
Cryptography	Component Framework	Security	Supporting Security Services	TBD
Identification and Authentication	Component Framework	Security	Supporting Security Services	TBD
Intrusion Detection	Component Framework	Security	Supporting Security Services	ISS SiteProtector
Virus Protection	Component Framework	Security	Supporting Security Services	McAfee
Audit Trail Capture and Analysis	Component Framework	Security	Supporting Security Services	TBD
Remote Systems Control	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	BMC Patrol
License Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	BMC Patrol
System Resource	Service Platform	Software	Software Configuration	BMC Patrol

5. Technical Reference Model Table:

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	Service Specification (b) (i.e., vendor and product name)
Monitoring	and Infrastructure	Engineering	Management	
Software Distribution	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	BMC Patrol
Issue Tracking	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Remedy

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? No
a. If “yes,” please describe. N/A

PART III: For “Operation and Maintenance” investments ONLY (Steady State)

Part III should be completed only for investments identified as “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.

1. Does the investment have a Risk Management Plan? Yes
 - a. If “yes,” what is the date of the plan? June 29, 2007
 - b. Has the Risk Management Plan been significantly changed since last year’s submission to OMB? Yes
 - c. If “yes,” describe any significant changes: Risk Management Plan formally developed to manage risks for this investment.
2. If there currently is no plan, will a plan be developed? N/A
 - a. If “yes,” what is the planned completion date? N/A
 - b. If “no,” what is the strategy for managing the risks? N/A

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

1. Was operational analysis conducted? Yes
 - a. If “yes,” provide the date the analysis was completed. May 25, 2007
 - b. If “yes,” what were the results? **An operational analysis was completed on 5/25/07. Findings indicate that the overall effectiveness of NARA Operations has been adequate to meet the NARA customers’ technology needs. Based on previous feedback and helpdesk reports, NARA Operations has delivered the appropriate level of service and services requested by its customers. Internal customers utilize the Technical Review Board (TRB) and Configuration Control Board (CCB) to recommend changes or enhancements via Change Requests (RFC). NARA has assigned additional staff to assist with communications to its customers, which has helped expedite and resolve service requests. The NARAnet infrastructure is also meeting stated service level agreements for availability and reliability. Operationally, the contractor has met and exceeded the Service Level Agreements to support the systems. The systems are kept up-to-date, accurate, and are followed up by a regular system backup routine, which provides for efficient data archive, recovery, and off-site storage. A negative aspect of the analysis identified that**

strategically, NARA is at risk because current IT resources in both staff and equipment cannot keep up with the growing demand for IT support and services. Performance measures are currently monitored through SLAs within various support areas within NARA (i.e. network performance and availability, and help desk responses). Additionally, network and application monitoring capabilities have become paramount to supporting new upgrades to the infrastructure. In order to supply these new services, skilled subject matter experts will need to be hired who will install and maintain these systems; however current budget does not afford NARA or the Operations contractor to hire new staff for these positions. On a positive note, NARA Operations as a whole is currently performing at an adequate level to support its customers' needs however, any future demands for services without an increase in staffing and upgrades to the infrastructure will have an adverse effect on quality of service and support efforts.

c. If “no,” please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: N/A

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).

a. What costs are included in the reported Cost/Schedule Performance information?
Contractor

2.b Comparison of Plan vs. Actual Performance Table:						
Description of Milestone	Planned		Actual		Variance	
	Completion Date (mm/dd/yyyy)	Total Cost (\$M)	Completion Date (mm/dd/yyyy)	Total Cost (\$M)	Schedule/Cost (# days/\$M)	
1. FY 2005	Sep 30, 2005	27.700	Sep 30, 2005	27.720	0	0.020
2. FY 2006	Sep 30, 2006	22.846	Sep 30, 2006	22.846	0	0
3. FY 2007	Sep 30, 2007	27.401	Sep 30, 2007	[Not Answered]	[Not Answered]	[Not Answered]
4. FY 2008	Sep 30, 2008	27.692	[Not Answered]	[Not Answered]	[Not Answered]	[Not Answered]
5. FY 2009	Sep 30, 2009	30.837	[Not Answered]	[Not Answered]	[Not Answered]	[Not Answered]