

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: Archives and Records Center Information System (ARCIS) – formerly Record Center Program Operating System (RCPOS)
5. Unique Project (Investment) Identifier: (For IT investments only, see section 53. For all other, use agency ID system.) 393-00-01-04-01-0031-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M ONLY in FY2009, with Planning/Acquisition activities prior to FY2008 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? FY2007
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:

The Federal Records Centers (FRC) need to replace an outdated and costly patchwork of computer support systems with a modern integrated system. A new system, Archives and Records Center Information System (ARCIS), will support streamlined business processes, thereby saving money, and better serve our customers who expect – but do not now receive – real-time, web-enabled access to their holdings and their transaction information.

The estimated development cost of the new system is \$11.141 million. The estimated operations and maintenance costs will be \$840,000 annually. We currently spend \$1.9 million annually for seven legacy systems, most of which operate on 1970s-era programming technology. These legacy applications will be shut down after testing, acceptance and implementation of ARCIS.

The FRC program will achieve annual savings of more than \$4.57 million in mission savings and \$1M in IT savings when ARCIS is fully implemented and we anticipate that our customers will also realize operational savings of \$5 million annually through streamlined work processes.

Based solely on current annual cost vs. projected new cost, the investment in a new system will achieve a full return on investment in three years.

Equally important, the new system will provide customers long-overdue web-enabled access to their holdings and circulation data and to transaction (transfer, reference request, withdrawal, disposition, etc.) e-forms. This enhancement will help the FRCs retain current customers and obtain new business.

9. Did the Agency's Executive/Investment Committee approve this request? Yes

a. If "yes," what was the date of this approval? August 27, 2007

10. Did the Project Manager review this Exhibit? Yes

11. Contact information of Project Manager?

Name: Thomas Kee
Phone: (301) 837-0971
Email: Thomas.Kee@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) N/A

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)) No

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? No

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?)

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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
- If "yes," does this investment address a weakness found during the PART review? No
 - If "yes," what is the name of the PARTed program? Records Services Program
 - 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

- If "yes," does this investment address a FFMIA compliance area? N/A
 - If "yes," which compliance area: N/A
 - If "no," what does it address? N/A
- 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? (This should total 100% - enter as decimal, e.g., .25 = 25%)

Hardware .05
Software .30
Services .65
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	301-837-3026
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? No

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:	0.630	0.204	0.117	0.000
Acquisition:	0.000	2.034	2.982	1.610
Subtotal Planning & Acquisition:	0.630	2.238	3.099	1.610
Operations & Maintenance:	0.000	0.000	0.813	0.915
TOTAL:	0.630	2.238	3.912	2.525
Government FTE Costs should not be included in the amounts provided above				
Government FTE Costs:	0.290	0.145	0.245	0.245
Number of FTE represented by Costs:	2	1	2	2

- Will this project require the agency to hire additional FTE's? Yes
 - If "yes," How many and in what year? 1 in FY 2008
- If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes. N/A

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

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

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? 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)
1. NAMA-05-F-0041	Fixed Price	Yes	Mar 7, 2005	Mar 7, 2005	Nov 6, 2008	1.049	No	Yes	Yes	N/A	No	yes	Laverne Fields	301-837-3063, LaVern e. Fields@nara.gov	2	Yes
2. NAMA-07-F-0111	Mixed	No	Sep 10, 2007	Sep 24, 2007	Sep 23, 2012	26.240	No	Yes	Yes	N/A	Yes	Yes	Anne Hasse lbrack	301-837-0521, Anne.H asselbrack @nara.gov	2	Yes
3. NAMA-03-F-0041	Time and Material	Yes	May 27, 2003	Jun 2, 2003	Jun 1, 2008	8.718	No	No	Yes	N/A	No	Yes	Laverne Fields	301-837-3063	2	Yes

																		Laverne.F ields@nar a.gov		
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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: EVM will be included in the new contract.
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? June 11, 2007
 - 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	Planned Improvement to the Baseline	Actual Results
2007	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Mission and Business Results	Central Records and Statistics Management	ARCIS development proceeds on schedule and within budget	Concept Exploration Phase	Complete detailed design and prototype. Award contract for building a ARCIS	Detailed Design and prototype are underway and scheduled for completion on Sept. 30, 2007 ARCIS development contract is on schedule to be awarded no later than Sept. 30, 2007.
2008	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Mission and Business Results	Central Records and Statistics Management	ARCIS development proceeds on schedule and within budget	Development	Implement ARCIS Initial Operating Capability.	[Not answered]
2008	Goal 3 - We will address the	Customer Results	Customer Retention	Percent of revenue coming	\$83.459M	Increase revenue from	[Not answered]

Performance Information Table:							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
	challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.			from new services		services by \$.646M	
2008	Goal 3 We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Customer Results	Customer Retention	Retention of Federal Records Center Program customers.	180 Customers with signed agreements. 13 million annual reference requests.	Retain 98 percent of Federal Records Center Program customers. Make ready 96 percent of Federal agency reference requests within the promised time.	[Not answered]
2008	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Processes and Activities	Efficiency	Reduce RCP operational costs.	\$83.459M	Lower the cost to provide existing services by \$.835M	[Not answered]
2008	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Technology	Overall Costs	IT operation and maintenance costs	\$1.9M	Reduce IT operation and maintenance costs by \$.7M	[Not answered]
2009	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Mission and Business Results	Central Records and Statistics Management	ARCIS development proceeds on schedule and within budget	Development	Implement ARCIS Increments 1 and 2	[Not answered]
2009	Goal 3 - We will address the challenges of	Customer Results	Customer Retention	Percent of revenue coming from new	\$83.459M	Increase revenue from services by	[Not answered]

Performance Information Table:							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
	electronic records in Government to insure success in fulfilling NARA's mission in the digital era.			services		\$1.517M or 1.82%	
2009	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Customer Results	Customer Retention	Retention of Federal Records Center Program customers.	Retain 98 percent of Federal Records Center Program customers. Make ready 96 percent of Federal agency reference requests within the promised time.	Retain 98 percent of Federal Records Center Program customers. Make ready 96 percent of Federal agency reference requests within the promised time.	[Not answered]
2009	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Processes & Activities	Efficiency:	Reduce RCP operational costs.	\$83.459M	Lower the cost to provide existing services by \$2.504M or 3%	[Not answered]
2009	Goal 3 - We will address the challenges of electronic records in Government to insure success in fulfilling NARA's mission in the digital era.	Technology	Overall Costs	Overall Costs	\$1.9M	Reduce IT operation and maintenance costs by \$.7M	[Not answered]

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.

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: 3
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)
ARCIS	Government Only	Sep 30, 2008	Sep 30, 2008
ERA	Government Only	Sep 30, 2008	Sep 30, 2008
ENOS	Government Only	Sep 30, 2008	Sep 30, 2008
OFAS	Government Only	Sep 30, 2008	Sep 30, 2008
RCPBS	Government Only	Sep 30, 2008	Sep 30, 2008

4. Operational Systems – Security Table:							
Name of System	Agency/ or Contract or 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

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? No
 - a. If “yes,” have those weaknesses been incorporated into the agency’s plan of action and milestone process? N/A
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
ARCIS	Yes	No	Not yet required to be completed at this time.	No	System is not a Privacy Act system of records
OFAS	No	Yes	http://www.archives.gov/foia/privacy-program/privacy-impact-	Yes	http://www.archives.gov/foia/privacy-program/nara-25.html

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
			assessments/ofas-pia.pdf		
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
ERA	Yes	No	Not yet required to be completed at this time.	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

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 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. ARCIS
 - 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)		Internal or External Reuse? (c)	BY Funding Percentage (d)
				Component Name	UPI		
ARCIS	Archives and Records Center Information System (ARCIS) to support 1) inventory and space management, 2) automated records operations and activity measurement 3) interfaces to RCPBS and CMRS data and 4) real-time record center activities. ARCIS will replace NARS-5	Document Management	Library / Storage	[Not answered]	[Not answered]	Internal	100

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)
Library/Storage	Service Access and Delivery	Access Channels	Web Browser	None selected
Library/Storage	Service Access and Delivery	Delivery Channels	Internet	None selected
Library/Storage	Service Access and Delivery	Service Requirements	Authentication/Single Sign-on	None selected
Library/Storage	Service Access and Delivery	Service Requirements	Hosting	None selected
Library/Storage	Service Access and Delivery	Service Transport	Service Transport	TCP/IP
Library/Storage	Service Platform and Infrastructure	Support Platforms	Platform Dependent	None selected
Library/Storage	Service Platform and Infrastructure	Support Platforms	Platform Independent	None selected
Library/Storage	Service Platform and Infrastructure	Delivery Servers	Web servers	None selected
Library/Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	None selected
Library/Storage	Service Platform and Infrastructure	Database / Storage	Database	None selected
Library/Storage	Service Platform and Infrastructure	Database / Storage	Storage	None selected
Library/Storage	Component Framework	Security	Supporting Security Services	None selected
Library/Storage	Component Framework	Data Interchange	Data Exchange	None selected
Library/Storage	Service Interface and Integration	Integration	Middleware	None selected

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

a. If "yes," please describe. N/A

PART II: Planning, Acquisition And Performance Information

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

Section A: Alternatives Analysis (All Capital Assets)

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

1. Did you conduct an alternatives analysis for this project? Yes
 - a. If "yes," provide the date the analysis was completed? Oct 14, 2005
 - b. If "no," what is the anticipated date this analysis will be completed? N/A
 - c. If no analysis is planned, please briefly explain why: N/A

2. Alternatives Analysis Results:

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

Alternative Analyzed	Description of Alternative	Lifecycle Costs estimate	Lifecycle Benefits estimate
Baseline	Status quo Continue to operate the RCP program with the legacy applications. The legacy applications operate at the VA-Austin Automation Center. These are COBOL programs developed in the 1970s and 1980s. They continue to function and provide IT support to the RCP.	\$69.585	0
1. Use a Records Management COTS Product such as O'Neill or OmniRIM	This alternative would use a COTS product that has been developed specifically to manage a records center. Many COTS providers have developed products that are specific to the management and operation of a record center. These products provide a standard methodology for managing physical records object (paper records). The product architecture is thick client and uses SQL.	\$38.058	\$42.981
2. Use a CRM such as Siebel (selected option)	This alternative will take advantage of the functionality of the Siebel CRM COTS product. Siebel provides functionality that meets most all RCP requirements	\$20.550	\$94.873

2. Alternatives Analysis Results:

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

Alternative Analyzed	Description of Alternative	Lifecycle Costs estimate	Lifecycle Benefits estimate
3. Acquire ARCIS with an ASP acquisition process	This alternative is independent of a specific software solution. NARA would award a performance based contract that requires all functional and performance requirements be met. The contractor would provide the hardware, software and the solution. The RCP program will not own the application, only the data. The RCP program will pay fees based on the number of transactions conducted.	\$53.543	\$94.873

3. Which alternative was selected by the Agency’s Executive/Investment Committee and why was it chosen? 2. Use Siebel CRM. This alternative provides the greatest return on investment. It will produce \$74.323M of savings (benefits minus costs) over the ten-year life of the application.

4. What specific qualitative benefits will be realized? Currently Federal agencies conduct FRC business transactions using paper forms, fax machines and email. ARCIS will make available an easy to use web interface for Federal agencies to conduct business transactions with the FRCs. Agencies will be able to select from a greater variety of services for the stored records including conversion of documents to electronic formats, electronic delivery and file level record indexing. These services are not currently available due to the limitations of the legacy IT applications.

5. Will the selected alternative replace a legacy system in-part or in whole? Yes.

a. If “yes,” are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment? (This investment, Legacy investment, Migration investment) This investment

b. If “yes,” please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement
IT Infrastructure	393-00-02-00-01-0008-00	09/30/10

Section B: 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? Oct. 13, 2006
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
 - c. If "yes," describe any significant changes: N/A
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
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: In the FY2007 submission we reported a risk inventory that included three risks that are "high impact-high probability" with a combined cost exposure of \$8M. In the interim the ARCIS Risk Review Board has reduced the impact of one of these risks from "high impact-high probability" to "moderate impact-high probability" and reduced the probability of the remaining two risks from 80% to 50%. This has reduced the cost exposure of these three risks from \$8M to \$5.8M. The contract for the Development of ARCIS will be awarded by September 1, 2007 at which time the cost exposure will be further reduced. Furthermore, the FRCP program is a revolving fund activity. The FRCP program maintains a capital expenditure plan that includes a \$5M reserve for managing ARCIS risks.

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

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard – 748?
No
2. Is the CV or SV greater than +/-10%? Yes
($CV\% = CV/EV \times 100$; $SV\% = SV/PV \times 100$)
 - a. If “yes,” was it the? BOTH
 - b. If “yes,” explain the variance: CV% is positive. The analysis phase of the contract is 73% complete at lower cost than budgeted. SV% is negative. We are behind in schedule execution due to delays in awarding contracts. No costs were incurred during the schedule delay.
 - c. If “yes,” what corrective actions are being taken? The contract for Design and Development has been awarded at the budgeted price. The Contractor is working on several projects with NARA that have similar requirements. As a result, we believe that we can eliminate most of the Schedule Variance during this Detailed Design and Prototype phase. Management emphasis and focus were placed on contract award activities we believe this increased focus will eliminate most of the Schedule Variance.
3. Has the investment re-baselined during the past fiscal year? ? Yes
 - a. If “yes,” when was it approved by the agency head? June 23, 2007

9. Comparison of Initial Baseline and Current Approved Baseline:

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

Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		
	Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy) Planned/Actual		Total Cost (\$M) Planned /Actual		Schedule/ Cost (# days/\$M)	Percent Complete	
Planning	Mar 10, 2005	0.02	Mar 10, 2005	Mar 10, 2005	0.02	0.022	[Not Answered]	0.002	100
Analysis	May 19, 2006	1.051	May 19, 2006	Sept. 28, 2007	1.051	.929	[Not Answered]	0	88
Detailed Design and Prototype	Apr 25, 2007	1.498	Aug 31, 2007	[Not Answered]	2.034	1.889	[Not Answered]	[Not Answered]	93
Develop and Implement Increment Initial Operating Capability	Dec 28, 2007	2.5	Feb 1, 2008	[Not Answered]	2.982	[Not Answered]	[Not Answered]	[Not Answered]	0
Develop and Implement Increment 1	June 16, 2008	0.3	Sep 30, 2008	[Not Answered]	1.610	[Not Answered]	[Not Answered]	[Not Answered]	0
Develop and Implement Increment 2	Dec 1, 2008	0.3	Mar 31, 2009	[Not Answered]	1.668	[Not Answered]	[Not Answered]	[Not Answered]	0
Develop and Implement Increment 3	May 18, 2009	0.3	Sep 30, 2009	[Not Answered]	1.398	[Not Answered]	[Not Answered]	[Not Answered]	0
Develop and Implement Increment 4	Nov 2, 2009	0.3	Mar 31 2010	[Not Answered]	1.449	[Not Answered]	[Not Answered]	[Not Answered]	0