# Exhibit 300 (BY2008)

| PART ONE | |
|---|---|
| **OVERVIEW** | |
| **1. Date of Submission:** | 2007-02-05 |
| **2. Agency:** | 009 |
| **3. Bureau:** | 25 |
| **4. Investment Name:** | NIH OD Electronic Research Administration (eRA) |
| **5. UPI:** | 009-25-04-00-01-1326-24 |

*6. What kind of investment will this be in FY2008?*

Mixed Life Cycle

*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.*

The eRA System supports the successful processing of 50,000 NIH grant applications, and grant awards totaling about $21.5 billion each year from receipt to funding, monitoring, and reporting on results. It also processes the research grants for four other HHS Operating Divisions (OPDIVs). The system has evolved from a paper-based transactional system to a web-based system providing electronic applications, reports and workflow processing. It is also in the process of piloting processing of research grants for the Veterans Administration. It is an essential component of the grants administration at NIH, which represents about 80% of the NIH budget, and the HHS Enterprise Grants System. The Program is currently staffed by about 230 contractors and 55 government personnel. Its Office has undergone a re-organization over the past year, and some key positions have not been filled during that time. The system has about 95,000 users each year, including government personnel, non-federal scientists at universities, medical centers, hospitals, and research institutions throughout the country and abroad, and the general public. Several types of grants applications are now being accepted electronically (Grants.Gov receives the applications and hands them off to eRA for processing) and by the end of FY07 only electronic applications will be accepted. The primary targeted performance improvements are system availability and response times and reduction of the number of paper-based transactions. Success is measured by percent of actual system availability versus planned availability and limiting the number of processing errors and delays. Long-term goals are to eliminate all paper transactions. This is measured by the percentage of business areas that process all transactions electronically. Federal government personnel vacancies need to be filled as soon as possible, and hardware and software upgrades are needed to handle the additional volume of the HHS OPDIVs and the VA. Additional software development is needed to provide end to end electronic processing. If the O&M portion of the budget is not funded, the NIH would not be able to review new applications and the award new grants in a timely manner. If the acquisition portion of the budget is not funded, HHS will not be able to process the electronic applications promised to the research organizations and the improvements in workflow promised to the internal government extramural staff would not be done.

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

yes

*9.a. If "yes," what was the date of this approval?*

2006-06-23

*10. Did the Project Manager review this Exhibit?*

yes

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

no

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

yes

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

no

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

yes

Expanded E-Government

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

The eRA supports Grants.gov, one of the key e-gov initiatives. The Grants.gov system receives applications submitted electronically and provides the electronic application to eRA, which edits the applications, stores them in the eRA database and communicates with the applicant regarding errors and acceptance of the applications and awarding of grants. The eRA also provides citizens (including persons with disabilities) with information about HHS grants and grantees on the CRISP web site.

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

yes

*14.a. If yes, does this investment address a weakness found during the PART review?*

no

*14.b. If yes, what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?*

2006: NIH - Extramurral Research Activities

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

Effective

*15. Is this investment for information technology (See section 53 for definition)?*

yes

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

Level 3

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

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

*18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?*

yes

*19. Is this a financial management system?*

no

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

no

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

Not Applicable

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

| Hardware | 2 |
|----------|---|
| Software | 2 |
| Services | 79 |
| Other | 17 |

*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?*

yes

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

*Name*

Karen Pla

*Phone Number*

301-402-6201

| *Title* |
| --- |
| NIH Privacy Act Officer |

| *Email* |
| --- |
| plak@mail.nih.gov |

| *23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?* |
| --- |
| yes |

## SUMMARY OF SPEND

*1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.*

*All amounts represent Budget Authority*

*(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)*

|  | PY-1 & Earlier | PY | CY | BY |
| --- | --- | --- | --- | --- |
|  | -2005 | 2006 | 2007 | 2008 |
| **Planning Budgetary Resources** | 29.953 | 3.672 | 3.510 | 3.580 |
| **Acquisition Budgetary Resources** | 102.409 | 13.166 | 12.584 | 12.835 |
| **Maintenance Budgetary Resources** | 107.670 | 14.489 | 13.848 | 14.124 |
| **Government FTE Cost** | 59.850 | 6.337 | 8.475 | 8.645 |
| **# of FTEs** | 530 | 48 | 64 | 64 |

*Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).*

*Government FTE Costs should not be included as part of the TOTAL represented.*

*2. Will this project require the agency to hire additional FTE's?*

yes

*2.a. If "yes," how many and in what year?*

15, FY07

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

Minor changes, primarily to reflect funding from the Veteran's Administration (not included before) and an increase in the inflation rate (from 2% to 3%).

## PERFORMANCE

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

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

*Table 1*

| | Fiscal Year | Strategic Goal(s) Supported | Performance Measure | Actual/baseline (from Previous Year) | Planned Performance Metric (Target) | Performance Metric Results (Actual) |
|---|---|---|---|---|---|---|
| 1 | 2003 | Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Increased service level agreement (SLA)compliance. | SLA Compliance not tracked | eRA system logs for Incentive Operations Contract shows 80% of SLAs met. | eRA system logs shows 90% of SLAs being met. |
| 2 | 2003 | Implement an enterprise approach to IT infrastructure and common administrative systems that will foster innovation and collaboration. | Begin addition of other HHS OPDIVs as eRA users for administration of research grants. | Limited use of eRA Grant System by two other HHS Operating Divisions (OPDIVs): Agency for Healthcare Research and Quality (AHRQ) and National Institute for Occupational Safety and Health (CDC/NIOSH). | One or two additional HHS OPDIVs planning to use eRA. | Two additional HHS OPDIVs planning to use eRA: FDA and CDC. |
| 3 | 2003 | Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Initiate plans to convert all eRA systems (that are appropriate to an n-tier architecture ) to an n-tier architecture. | Current architecture is client-server mix with web | Development of Architecture Migration plan. Development of Architecture Migration plan. Development of Architecture Migration plan. | Development of Architecture Migration plan. |
| 4 | 2003 | Provide a secure and trusted IT environment. | Obtain C&A for the eRA. | Reasonable security measures are in place, but Certification and Accreditation (C&A) has not been attained. | Certification and Accreditation completed. | Operational changes were made, certification was completed, and a one-year accreditation conditionally approved. |
| 5 | 2003 | Implement an end-to-end capability for the electronic administration of grants. Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Use scanning technologies to convert paper grant applications to electronic images. | Paper submission of all grant applications | 100% of paper grant applications converted to electronic images. | 100% of paper grant applications converted to electronic images. |

| 6 | 2004 | Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Convert to n-tier architecture in accordance with eRA Architecture Migration Plan. | Current architecture is client-server mix with web | Convert 15% of architecture by the end of FY04,in accordance with eRA Architecture Migration Plan. | The converted code accounts for 15% or more of our established code base, which meets the eRA Architecture Migration plan metric goals for FY04. |
| --- | --- | --- | --- | --- | --- | --- |
| 7 | 2004 | Implement an enterprise approach to IT infrastructure and common administrative systems that will foster innovation and collaboration. | Add other HHS OPDIVs as eRA users for administration of research grants. | Limited use of eRA Grant System by two other HHS OPDIVs: AHRQ and CDC/NIOSH. | Add 25% of eligible HHS OPDIVs as eRA users. | Met- eRA has added 25% of the eligible HHS OPDIVs as eRA users |
| 8 | 2004 | Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Increased service level agreement (SLA)compliance. | 90% SLA Compliance (projected) | eRA system logs for Incentive Operations Contract show 95% of SLAs met. | Exceeded- eRA system logs show that applications were available over 99% of the time, excluding scheduled downtime. |
| 9 | 2004 | Provide a secure and trusted IT environment. | Improved system security to obtain unconditional Three year certification and accreditation. | One Year Certification and Accreditation (C&A) has been attained. | Obtain Three-Year Certification and Accreditation (C&A) | Met- Three-Year Certification and Accreditation (C&A) was attained on 3/31/04. |
| 10 | 2004 | Implement an end-to-end capability for the electronic administration of grants. Enhance the quality, availability, and delivery of HHS information and services to citizens, employees, businesses, and governments. | Expand availability of electronic application and progress reporting to all grantee institutions. | Paper Grants Submission | Develop capability to allow submission of grant applications and progress reporting electronically. | We have accepted over 2800 progress reports electronically and accepted over 20 competing applications electronically in pilot. 102 organizations were registered to submit. By September 2004 all organizations were capable of registering themselves. |

*All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.*

*Table 2*

| | Fiscal Year | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Planned Improvement to the Baseline | Actual Results |
|---|---|---|---|---|---|---|---|
| 1 | 2005 | Mission and Business Results | IT Infrastructure Maintenance | % of IT Infrastructure converted | Current architecture is 15% converted to n-tier architecture. | Convert 50% of architecture by the end of FY05 in accordance with eRA Architecture Migration Plan. | Exceeded: The converted code accounts for 60% or more of our established code base, which meets the eRA Architecture Migration plan metric goals for FY05. |
| 2 | 2005 | Customer Results | New Customers and Market Penetration | % of HHS OPDIVs Integrated into eRA | 25% of other HHS OPDIVS using eRA. | 75% of eligible OPDIVS using eRA by end of FY2005. Consolidation of DHHS Operational Divisions into the eRA application for administration of research grants. | Met: four of the five eligible OPDIVs (AHRQ,FDA CDC and SAMHSA) are using eRA. |
| 3 | 2005 | Customer Results | Customer Satisfaction | System Availability % | 95 % availability of applications, excluding scheduled downtime. | eRA system logs will show that application availability is at or above the 95% level. | Exceeded: eRA system logs show that system applications were available 99% of the scheduled up time. |
| 4 | 2005 | Processes and Activities | Cycle Time | # of applicants and grantees doing electronic transactions | 145 Federal Demonstration Partnership institutes given access to electronic reporting. | Over 125 grantees submit grant applications and progress reports electronically to reduce cycle time and mailing costs. | Met/Closed FY04- The NIH has received applications from over 240 grantees during the pioneer awards via grants.gov and 20 more through the eCGAP pilot. |
| 5 | 2005 | Technology | Improvement | # of electronic applications received | 327 electronic applications received in FY04. | 450 electronic applications received in FY05. | Exceeded: 455 electronic applications received in FY05. |
| 6 | 2006 | Mission and Business | IT Infrastructure | % of IT Infrastructure | Current architecture is | Convert 75% of architecture by | Exceeded. All of the client |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | Results | Maintenance | converted | 60% converted to n-tier architecture. | the end of FY06 in accordance with eRA Architecture Migration Plan. | server applications have been converted and the J2EE versions have been deployed, and most of the client server applications have been terminated, but some are still running in parallel with the new J2EE versions. |
| 7 | 2006 | Customer Results | Customer Satisfaction | System Availability % | 95% availability of applications, excluding scheduled downtime. | eRA system logs will show that application availability is at or above the 95% level | Exceeded. eRA system logs show that system availability was above the 95% level. |
| 8 | 2006 | Processes and Activities | Efficiency | % of business transactions done electronically | 15% of business transactions done electronically. Some of the receipt of electronic applications and electronic progress reports have been implemented. Workflow has not been implemented. | 40% of business transactions done electronically. Most of the receipt of electronic applications and electronic progress reports and elimination of paper mailers have been implemented. Workflow has been partially implemented. | Met: Most of the receipt of electronic applications and electronic progress reports and elimination of paper mailers have been implemented. Workflow has been partially implemented. |
| 9 | 2006 | Customer Results | New Customers and Market Penetration | % of HHS OPDIVs Integrated into eRA | 75% of other HHS OPDIVS using eRA. | 100% of eligible, willing OPDIVS using eRA by end of FY2006. | Met. 100% of eligible, and willing, OPDIVS using eRA by end of FY2006 (AHRQ, CDC, FDA & SAMHSA). |
| 10 | 2006 | Technology | Data Storage | % business plan completed | 0% Business Plan Completed. The paper based file is the official record in most Institutes. The electronic | 100% of a business plan to enhance the electronic grant folder is done. It will elaborate the critical system requirements | Met: Business Plan Completed |

| | | | | | folder displays documents used most frequently in grant processing, but they are less than 50% of the document types used for official file. | and address how the system will be expanded to accommodate remaining document types currently held in Institute paper files. | |
|---|---|---|---|---|---|---|---|
| 11 | 2007 | Mission and Business Results | IT Infrastructure Maintenance | % new architecture plan completed | 0% new architecture plan completed. Current architecture is inadequate to respond to rapidly changing requirements and new users. A new architecture is needed. | 100% of new Architecture plan to develop new eRA Enterprise Business and Data Architectures to meet Grants Line of Business objectives is done. | TBD |
| 12 | 2007 | Customer Results | Customer Satisfaction | System Availability % | 95% availability of applications, excluding scheduled downtime (Projected). | eRA system logs will show that application availability is at or above the 96% level. | TBD |
| 13 | 2007 | Processes and Activities | Efficiency | % of business transactions done electronically | 40% of business transactions done electronically. Most of the receipt of electronic applications and electronic progress reports and elimination of paper mailers have been implemented. Workflow has been partially implemented. (Projected) | 55% of business transactions done electronically. Almost all applications & progress reports are being received electronically. Workflow & eRequests have been implemented for more than one business area, and paper mailers have been eliminated. | TBD |
| 14 | 2007 | Technology | Data Storage | % document types stored electronically | 45% of documents stored electronically. The business plan to enhance the electronic grant folder | 100% of documents stored electronically. Formulate a plan to have users replace paper folder with electronic | TBD |

| | | | | | has been implemented. (Projected) | grant folder as official file. (Projected) | |
|---|---|---|---|---|---|---|---|

## EA

*In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.*

*1. Is this investment included in your agency's target enterprise architecture?*

yes

*2. Is this investment included in the agency's EA Transition Strategy?*

yes

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

NIH OD electronic Research Administration (eRA)

*3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.*

*Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.*

*Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.*

*Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.*

*Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.*

| | Agency Component Name | Agency Component Description | Service Type | Component | Reused Component Name | Reused UPI | Internal or External Reuse? | Funding % |
|---|---|---|---|---|---|---|---|---|
| 1 | eSubmissions | The system permits grantees to submit grants electronically through the use of participating partners (including grants.gov). | Development and Integration | Enterprise Application Integration | Enterprise Application Integration | 001-25-02-00-01-3109-00 | Internal | 10 |
| 2 | Grants Management Module | Tracks grants management activities | Tracking and Workflow | Process Tracking | | | No Reuse | 6 |
| 3 | Grants Management Module | Incorporates grants management | Management of Processes | Business Rule Management | | | No Reuse | 5 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 4 | Optical Scanning | Scans incoming paper application until 100% electronic receipt is in place | Document Management | Document Imaging and OCR | | | No Reuse | 2 |
| 5 | Oracle Data Base Management | ORACLE DBMS 10g is the supporting relational database | Records Management | Record Linking / Association | | | No Reuse | 9 |
| 6 | Reporting, Analysis and Evaluation Support | System provides OLAP tools for business analysis | Business Intelligence | Decision Support and Planning | | | No Reuse | 7 |
| 7 | Query, View Report Module | The system provides adhoc reporting capability | Reporting | Ad Hoc | | | No Reuse | 2 |
| 8 | IC Query and Reporting Module | The system has numerous predefined reports | Reporting | Standardized / Canned | | | No Reuse | 2 |
| 9 | Exchange Module | The eRA system provides the capability for grant applicants and/or their service providers to electronically exchange (submit and receive) data with the eRA system. | Data Management | Data Exchange | | | No Reuse | 4 |
| 10 | Data Mart | The system has a Datamart for OLAP and reporting needs | Data Management | Data Mart | | | No Reuse | 4 |
| 11 | Data Warehouse | The Datamart is designed to be part of an Enterprise Data Warehouse | Data Management | Data Warehouse | | | No Reuse | 4 |
| 12 | Data Mart | The eRA system uses ETL as part of its warehousing activities, as well as data mart | Data Management | Extraction and Transformation | | | No Reuse | 3 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 13 | Data Mart | The eRA Data warehouse and Datamarts are based on meta layers that describe the data and relationships needed for OLAP style data analysis. | Data Management | Meta Data Management | | | No Reuse | 2 |
| 14 | Data Mart | Data Integration is supported in the Datamart | Development and Integration | Data Integration | | | No Reuse | 2 |
| 15 | NIH Application Integration Infrastructure | EA pilot to integrate eRA with NIH and DHHS financial systems | Development and Integration | Enterprise Application Integration | Enterprise Application Integration | 001-25-02-00-01-3109-00 | Internal | 2 |
| 16 | Knowledge Management | The eRA system provides the capability of searching the associated grant documents by concept. | Knowledge Management | Knowledge Distribution and Delivery | | | No Reuse | 9 |
| 17 | NIHLogin | NIH has implemented a shared single sign-on service that can be leveraged across NIH systems | Security Management | Identification and Authentication | Identification and Authentication | 001-25-02-00-01-3109-00 | Internal | 2 |
| 18 | NIHLogin | NIH has implemented a shared single sign-on service that can be leveraged across NIH systems | Security Management | Access Control | Access Control | 001-25-02-00-01-3109-00 | Internal | 2 |
| 19 | NIHNet LAN | NIH provides a centralized network backbone that is widely leveraged across NIH to support data communications. | Organizational Management | Network Management | Network Management | 001-25-02-00-01-3109-00 | Internal | 0 |
| 20 | NIHNet WAN | NIH provides a centralized network backbone that is widely leveraged across NIH to support data communications. | Organizational Management | Network Management | Network Management | 001-25-02-00-01-3109-00 | Internal | 0 |

*4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.*

*FEA SRM Component: 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.*

| | SRM Component | Service Area | Service Category | Service Standard | Service Specification (i.e., vendor and product name) |
|---|---|---|---|---|---|
| 1 | Partner Relationship Management | Service Platform and Infrastructure | Delivery Servers | Application Servers | Oracle Application Servers |
| 2 | Process Tracking | Component Framework | Business Logic | Platform Dependent | Oracle Workflow |
| 3 | Business Rule Management | Component Framework | Business Logic | Platform Independent | Oracle Workflow |
| 4 | Document Imaging and OCR | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals | Optical Scanner |
| 5 | Record Linking / Association | Service Platform and Infrastructure | Database / Storage | Database | Oracle 1og |
| 6 | Decision Support and Planning | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Waehouse |
| 7 | Ad Hoc | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse |
| 8 | Standardized / Canned | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse /Oracle 10g Reports |
| 9 | Data Exchange | Component Framework | Data Interchange | Data Exchange | Oracle 10g & Tibco |
| 10 | Data Mart | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse |
| 11 | Data Warehouse | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse |
| 12 | Extraction and Transformation | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse |
| 13 | Meta Data Management | Component Framework | Data Management | Reporting and Analysis | Oracle 10g Data Warehouse |
| 14 | Data Integration | Component Framework | Data Interchange | Data Exchange | Oracle 10g DBMS / Tibco BusinessWorks |
| 15 | Enterprise Application Integration | Service Interface and Integration | Integration | Enterprise Application Integration | Tibco BusinessWorks |
| 16 | Knowledge Distribution and Delivery | Component Framework | Data Management | Reporting and Analysis | Collexis Knowledge Management |
| 17 | Identification and Authentication | Component Framework | Security | Certificates / Digital Signatures | Oracle 10g logon using schema/password ldap/password over SSL |
| 18 | Access Control | Component Framework | Security | Certificates / Digital Signatures | Access is web (Orale Application server) using SSL |
| 19 | Network Management | Service Platform and Infrastructure | Hardware / Infrastructure | Local Area Network (LAN) | |
| 20 | Network Management | Service Platform and Infrastructure | Hardware / Infrastructure | Wide Area Network (WAN) | |

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

| | |
|---|---|
| yes | |
| *5.a. If yes, please describe.* | |
| Yes. eRA is a full participant in the Grants.gov initiative. Applicants submit their applications through Grants.Gov, and Grants.Gov forwards the NIH applications (and other HHS OPDIV research grant applications) to the eRA for editing and storage in the eRA database. The applications are reviewed and further communication with the applicants are handled by the eRA system and the grants administration staff at NIH and the other OPDIVs. | |
| *6. Does this investment provide the public with access to a government automated information system?* | |
| yes | |
| *6.a. If yes, does customer access require specific software (e.g., a specific web browser version)?* | |
| no | |

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**PART TWO**

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<div align="center">

**RISK**

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*You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.*

*Answer the following questions to describe how you are managing investment risks.*

*1. Does the investment have a Risk Management Plan?*

yes

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

2006-05-25

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

no

*3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)*

The eRA cost estimates include provision for the risk level of individual projects, and the individual projects are rolled up to calculate the total cost for the eRA Program. The project schedules also include time to allow for schedule delays when risks materialize.

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**COST & SCHEDULE**

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*Does the earned value management system meet the criteria in ANSI/EIA Standard 748?*

yes

*2.a. What is the Planned Value (PV)?*

190.847

*2.b. What is the Earned Value (EV)?*

189.126

*2.c. What is the actual cost of work performed (AC)?*

188.247

*What costs are included in the reported Cost/Schedule Performance information?*

Contractor and Government

*2.e. As of date:*

2006-12-31

*3. What is the calculated Schedule Performance Index (SPI= EV/PV)?*

0.99

*4. What is the schedule variance (SV = EV-PV)?*

-1.721

*5. What is the calculated Cost Performance Index (CPI = EV/AC)?*

| |
|---|
| 1 |
| *6. What is the cost variance (CV = EV-AC)?* |
| 0.879 |
| *7. Is the CV or SV greater than 10%?* |
| no |
| *7.c. If yes, what corrective actions are being taken?* |
| No corrective action appears to be necessary |
| *7.d. What is most current Estimate at Completion?* |
| 314.404 |
| *8. Have any significant changes been made to the baseline during the past fiscal year?* |
| no |