Order Fulfillment and Accounting System (OFAS)

Budget year: FY2005
Agency: 393

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification
Section A: Overview

1. Date of submission: **Dec 14, 2006**

2. Agency: **393**

3. Bureau: **00**

4. Name of this Capital Asset: **Order Fulfillment and Accounting System (OFAS)**

5. Unique Project (Investment) Identifier: **393-00-01-01-01-0012-00**

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

7. What was the first budget year this investment was submitted to OMB? **FY2005**

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 National Archives and Records Administration (NARA) Order Fulfillment and Accounting System (OFAS) is a software solution used by organizations within NARA to track the fulfillment of customer requests and to account for revenue generated by such requests. OFAS is comprised of a number of software applications that integrate with one another to a common database. This combination of applications is known as OFAS. OFAS is deployed at more than 25 sites around the country, including regional Record Service Centers and headquarters, including Archives I and Archives II. First deployed in September 1999, OFAS fully replaced the Service Order System (SOS) in May of 2000. OFAS also provides an integrated Point of Sale solution with inventory management at a number of locations throughout the United States. In addition to replacing the existing functionality found in the SOS system and providing Point of Sale functionality, OFAS provides support for NATF Form 80 and NATF Form 72 processing through a variety of applications, including form image scanning, intranet web order entry, and workflow order tracking using the Siebel Order Online solution. OFAS is built upon two COTS products, Microsoft Great Plains and Compass Technologies Point of Sale. OFAS fulfills NARA's agency gap of needing a system to collect and record money received from the public.**

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

a. If "yes," what was the date of this approval? **Aug 28, 2006**

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

11. Contact information of Project Manager?

Name **Pamela Davis-Ghavami**

Phone Number **301-837-0413**

E-mail **Pamela.Ghavami@nara.gov**

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

1. If "yes," is an ESPC or UESC being used to help fund this investment? **[Not answered]**

2. If "yes," will this investment meet sustainable design principles? **[Not answered]**

3. If "yes," is it designed to be 30% more energy efficient than relevant code? **[Not answered]**

13. Does this investment directly support one of the PMA initiatives? **no**

a. Briefly describe how this asset directly supports the identified initiative(s)? **[Not answered]**

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 a 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**

15. Is this investment for information technology? **yes**

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) **Level 2**

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(1) Project manager has been validated as qualified for this investment**

18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)? **no**

19. Is this a financial management system? **yes**

     a. If "yes," does this investment address a FFMIA compliance area? **no**

          1. If "yes," which compliance area: **[Not answered]**

          2. If "no," what does it address? **The need to keep track of revenue from the sales of NARA reproductions and merchandise**

     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 **Order Fulfillment and Accounting System (OFAS)**

20. What is the percentage breakout for the total FY2008 funding request for the following?

   Hardware **0**

    Software **19**

    Services **80**

     Other **1**

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? **no**

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**

Section B: Summary of Spending

1.

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 2006**	**CY 2007**	**BY 2008**
Planning:	0	0	0	0
Acquisition:	4.209	0	0	0
Subtotal Planning & Acquisition:	4.209	0	0	0
Operations & Maintenance:	1.483	0.724	0.76	0.798
TOTAL:	5.692	0.724	0.76	0.798
Government FTE Costs should not be included in the amounts provided above.				
Government FTE Costs	0.19	0.203	0.206	0.209
Number of FTE represented by Costs:	2	2	2	2

2. Will this project require the agency to hire additional FTE's? **no**

    a. If "yes", How many and in what year? **[Not answered]**

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes: **[Not answered]**

Section C: Acquisition/Contract Strategy

Contracts/Task Orders Table:	
Contract or Task Order Number	NAMA -04-M-0015
Type of Contract/Task Order	Fixed Price
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Nov 24, 2003

Start date of Contract/Task Order	Dec 1, 2003
End date of Contract/Task Order	Nov 30, 2008
Total Value of Contract/ Task Order ($M)	3.836153
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	no
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Laverne Fields
CO Contact information	301-837-3036 LaVerne.Fields@nara.gov
Contracting Officer Certification Level	2
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: **Contract is in Operations and Maintenance**

2. 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.**

3. Is there an acquisition plan which has been approved in accordance with agency requirements? **yes**

    a. If "yes," what is the date? **Oct 24, 2003**

    b. If "no," will an acquisition plan be developed? **[Not answered]**

        1. If "no," briefly explain why: **[Not answered]**

Section D: Performance Information

Performance Information Table 1:					
Fiscal Year	**Strategic Goal(s) Supported**	**Performance Measure**	**Actual/baseline (from Previous Year)**	**Planned performance Metric (Target)**	**Performance Metric Results (Actual)**
2004	Goal: 3 Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Complete a percentage of Fixed Fee Reproduction orders in 35 working days or less.	99.01	Complete. 95 % of Archival Fixed Fee Reproduction orders completed in 35 workdays or less	99.90
2004	Goal: 3 Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Decrease the average cost to process a Fixed Fee Reproduction order.	N/A	Average Cost to process a Fixed Fee Reproduction Order	$29.35
2005	Goal: 3 Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Complete a percentage of Fixed Fee Reproduction orders in 35 working days or less.	99.90	Complete. 95 % of Archival Fixed Fee Reproduction orders completed in 35 workdays or less	98.98
2005	Goal: 3 Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Decrease the average cost to process a Fixed Fee Reproduction order.	$29.35	Average Cost to process a Fixed Fee Reproduction Order	$27.31

2006	Goal: 3 Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Complete a percentage of Fixed Fee Reproduction orders in 35 working days or less.	98.98	Complete. 95 % of Archival Fixed Fee Reproduction orders completed in 35 workdays or less	98.31 (as of 6/30/2006)
2006	Goal 3: Access to records and services and customer satisfaction levels meet or exceed NARA's published standards	Decrease the average cost to process a Fixed Fee Reproduction order.	$27.31	Average Cost to process a Fixed Fee Reproduction Order	TBD
2007	Goal: 4 We will provide prompt, easy, and secure access to our holdings anywhere, anytime	Complete a percentage of Fixed Fee Reproduction orders in 20 working days or less.	TBD	Complete. 85 % of Archival Fixed Fee Reproduction orders completed in 20 workdays or less	TBD
2007	Goal: 4 We will provide prompt, easy, and secure access to our holdings anywhere, anytime	Decrease the average cost to process a Fixed Fee Reproduction order.	TBD	Average Cost to process a Fixed Fee Reproduction Order	TBD
2008	Goal: 4 We will provide prompt, easy, and secure access to our holdings anywhere, anytime	Complete a percentage of Fixed Fee Reproduction orders in 20 working days or less.	TBD	Complete. 90 % of Archival Fixed Fee Reproduction orders completed in 20 workdays or less	TBD
2008	Goal: 4 We will provide prompt, easy, and secure access to our holdings anywhere, anytime	Decrease the average cost to process a Fixed Fee Reproduction order.	TBD	Average Cost to process a Fixed Fee Reproduction Order	TBD

Performance Information Table 2:						
Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
There are no performance goals.						

Section E: Security and Privacy

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 - Security Table:			
Name of System	**Agency/ or Contractor Operated System?**	**Planned Operational Date**	**Planned or Actual C&A Completion Date**
There are no Systems in Planning.			

4. Operational Systems - Security Table:							
Name of System	**Agency/ or Contractor Operated System?**	**NIST FIPS 199 Risk Impact level**	**Has C&A been Completed, using NIST 800-37?**	**Date C&A Complete**	**What standards were used for the Security Controls tests?**	**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? **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. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. **[Not answered]**

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? **[Not answered]**

8. Planning & Operational Systems - Privacy Table:					
Name of	**Is this a new**	**Is there a Privacy**	**Is the PIA available**	**Is a System of Records Notice**	**Was a new or amended SORN published in FY 06?**

System	system?	Impact Assessment (PIA) that covers this system?	to the public?	(SORN) required for this system?	
ENOS	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
ERA	yes	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.
OFAS	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.

Section F: Enterprise Architecture (EA)

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

    a. If "no," please explain why? **[Not answered]**

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. **Order Fulfillment and Accounting System**

    b. If "no," please explain why? **[Not answered]**

3. Service Component Reference Model (SRM) Table :							
Agency Component Name	**Agency Component Description**	**FEA SRM Service Type**	**FEA SRM Component**	**Service Component Reused**		**Internal or External Reuse?**	**BY Funding Percentage**
				Component Name	**UPI**		
OFAS	Financial management system that tracks and provides accounting of customer service requests for reproductions of NARA holdings. This system is used in Archives I to track orders for copies of records, and in Archives II and the regions to process customer transactions via POS. There is also a plan to deploy to Kennedy Library museum store. A Web capability for ordering is planned as part of ENOS.	Supply Chain Management	Ordering / Purchasing	[Not answered]	[Not answered]	Internal	100

4. Technical Reference Model (TRM) Table:				
FEA SRM Component	**FEA TRM Service Area**	**FEA TRM Service Category**	**FEA TRM Service Standard**	**Service Specification**
Ordering / Purchasing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Citrix
Ordering / Purchasing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Microsoft Windows
Ordering / Purchasing	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL Server
Ordering / Purchasing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell / Compaq

Ordering / Purchasing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Epson Receipt Printer
Ordering / Purchasing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Kodak Scanner
Ordering / Purchasing	Component Framework	Data Interchange	Data Exchange	Microsoft Great Plains
Ordering / Purchasing	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Microsoft IIS

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. **[Not answered]**

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

   a. If "yes," does customer access require specific software (e.g., a specific web browser version)? **[Not answered]**

      1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services). **[Not answered]**

Part III: For "Operation and Maintenance" investments ONLY (Steady State)
Section A: Risk Management

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

   a. If "yes," what is the date of the plan? **Aug 18, 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: **[Not answered]**

2. If there currently is no plan, will a plan be developed? **[Not answered]**

   a. If "yes," what is the planned completion date? **[Not answered]**

   b. If "no," what is the strategy for managing the risks? **[Not answered]**

Section B: Cost and Schedule Performance

1. Was operational analysis conducted? **yes**

   a. If "yes," provide the date the analysis was completed. **Aug 18, 2006**

b. If "yes," what were the results? **OFAS is effectively meeting its end user's needs and demands on a daily basis by providing them a means to collect and account for funds taken in from the public, while striving to make manual processes become more automated. The system is reliable having experienced very little downtime and is maintainable for the core product is a Microsoft product. The project is on cost and is working towards providing better service to end users by providing more reports and quicker and easier access to its data.**

c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: **[Not answered]**

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

2. b Comparison of Plan vs. Actual Performance Table:						
Description of Milestone	**Planned**		**Actual**		**Variance**	
	Completion Date	**Total Cost ($M)**	**Completion Date**	**Total Cost ($M)**	**Schedule/Cost (# days/$M)**	
1. PY-1 and Earlier	Nov 30, 2003	4.209	Nov 30, 2003	4.209	[Not answered]	[Not answered]
2. FY 2004 Maintenance	Nov 30, 2004	0.933	Nov 30, 2004	0.933	[Not answered]	[Not answered]
3. FY 2005 Maintenance	Nov 30, 2005	0.998	Nov 30, 2005	0.998	[Not answered]	[Not answered]
4. FY 2006 Maintenance	Nov 30, 2006	0.98	Jun 30, 2006	0.455	[Not answered]	[Not answered]
5. FY 2007 Maintenance	Nov 30, 2007	0.966	[Not answered]	[Not answered]	[Not answered]	[Not answered]
6. FY 2008 Maintenance	Nov 30, 2008	1.007	[Not answered]	[Not answered]	[Not answered]	[Not answered]