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:	9/10/2007
2. Agency:	Department of Energy
3. Bureau:	Environmental And Other Defense Activities
4. Name of this Capital Asset:	CBFO (Carlsbad Field Office) WIPP (Waste Isolation Pilot Plant) Records Archive (WRA)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	019-10-01-15-01-3326-00
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.)	Mixed Life Cycle
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:

This project began with Congressional Earmark Funding for FY05-08. FY09 is the first OMB funding request. The Carlsbad Field Office (CBFO) has a 115-year mission to accept, store, dispose, and monitor all defense-generated transuranic (TRU) waste. The custodial responsibility for records related to this waste, including its creation, storage, and disposition, has been transferred to the CBFO. Records management (RM) is required by U.S. Code 44 and Code of Federal Regulations Part 36. Records of waste shipped to WIPP for disposal had been maintained at the generator sites. As these sites close, chain of custody and data integrity are jeopardized. The National Archives and Records Administration (NARA) is responsible for controlling government records, which it categorizes as temporary or permanent. Permanent records must be surrendered to NARA within 25 years of their creation; temporary records (the bulk of the TRU waste collection) remain with the organization creating them or a designated custodian. Some TRU-related records are not scheduled for disposition and so NARA won't accept them. This investment, the WIPP Records Archive (WRA) will: accept unscheduled records; allow public web-based access to non-sensitive records related to WIPP waste; allow controlled access to sensitive information; protect chain of custody (making records defensible for researchers, historians, and in litigation and FOIA requests); and allow the government to respond positively to growing public interest in TRU waste-related records. DOE has about three million boxes of temporary long term records (some of which have schedules of hundreds of years), ~125,000 of them related to WIPP. Storage at multiple sites threatens the historical integrity of the WIPP site. The WRA uses the latest web-based technology to facilitate public access to records. Continuing to manage paper records in a NARA-regulated Federal Records Center is more costly and less efficient, with no assurance that related records will be kept together. WRA's RM technology can reduce costs and make information more accessible while maintaining data integrity and privacy. State and federal agency collaboration is planned, including other DOE sites, which can use WRA as a solution for all WIPP/TRU records and other long-term temporary records across the complex. This investment aligns with EM EA BRM 404141, Info. & Tech. Mgmt., and supports EM program goal 4.2, Managing the Legacy. PM is Level II certified by PMI.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	8/27/2007
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Project Manager?	
Name	Basabilvazo, George
Phone Number	505-234-8103
Email	George.Basabilvazo@wipp.ws
a. What is the current FAC-P/PM certification level of the project/program manager?	TBD
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?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

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

If "yes," check all that apply: — Expanded E-Government

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 CBFO WIPP Records Archive (WRA) will: accept unscheduled records; allow public web-based access to non-sensitive records related to WIPP waste & controlled access to sensitive information; protect chain of custody (making records defensible for researchers, historians, & in litigation and FOIA requests); & allow the government to respond positively to growing public interest in TRU waste-related records. It supports the PMA thru more robust & cost effective electronic services to the public.

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? — Environmental Management

c. If "yes," what rating did the PART receive? — Adequate

15. Is this investment for information technology? — 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

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 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) — No

19. Is this a financial management system? — No

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

1. If "yes," which compliance area:

2. If "no," what does it address?

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

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	82
Other	18

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	Hurtt, Dennis
Phone Number	505-234-7327
Title	Public Affairs Officer
E-mail	Dennis.Hurtt@wipp.ws
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes
Question 24 must be answered by all Investments:	
24. Does this investment directly support one of the GAO High Risk Areas?	No

Section B: Summary of Spending (All Capital Assets)

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

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0.59	0	0	0					
Acquisition:	1.16	0.064	0.5	0					
Subtotal Planning & Acquisition:	1.75	0.064	0.5	0					
Operations & Maintenance:	2.218	3.508	2	2.681					
TOTAL:	3.968	3.572	2.5	2.681					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.04	0.02	0.02	0.0204					
Number of FTE represented by Costs:	1	1	1	1					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

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

    a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

This project began with Congressional Earmark Funding for FY05-08. FY09 is the first OMB funding request. This investment 300 covers the startup with Congressional Earmark Funding through FY2013, PY1 and earlier, PY, CY, BY, BY+1, BY+2, BY+3, and BY+4. The investment is DME in PY2007 and through most of CY2008. The archive will be fully operational and move to steady state in BY2009.

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.

Exhibit 300: CBFO (Carlsbad Field Office) WIPP (Waste Isolation Pilot Plant) Records Archive (WRA) (Revision 3)

Contracts/Task Orders Table:																* Costs in millions
Contract or 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 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)
DE-AC29001AL66444	Firm Fixed Price/WIPP1-PO405728	Yes	7/5/2006	7/5/2006	9/30/2008	9.407	Yes	Yes	Yes	NA	Yes	Yes	Colt, Stanley	505-234-7331 / colts@wipp.ws	Level 2	

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:

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	The contract requires the development, procurement, maintenance or use of electronic and information technology be accessible to federal employees, as well as the public, with disabilities. The systems are monitored and tested to ensure compliance.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	1/31/2006
b. If "no," will an acquisition plan be developed?	Yes
1. If "no," briefly explain why:	

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (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 or qualitative measure.

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

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
2007	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Timeliness and Responsiveness	Response Time	Review records received from TRU Waste Generator Sites and identify, process, and protect all sensitive, confidential, and Pii information.	98% of boxes reviewed for sensitive information.	100%	Items measured in FY 2007 should be identified and monitored in FY 2007 and reported at end of 4th Qtr FY07 - Projected 98%
2007	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Information and Technology Management	Record Retention	Identify percentage of TRU related records and cross-reference to NARA approved RIDS.	Identify 98%	Identify 100%.	Reportable 4th Qtr FY07. - Actual 100% identified.
2007	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Management and Innovation	Innovation and Improvement	Identify percentage of unscheduled records received and review for inclusion in existing schedules; submit new schedules as necessary.	98%	100%	To be measured in 4th Qtr FY07 - Actual 100% Identified
2007	GOAL 4.2 Managing the Legacy –	Technology	Information and Data	Data Reliability and Quality	Identify percentage of boxes scanned	98% of boxes received	100% of boxes received	Items measured in FY 2007 should be

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
	Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.				and converted to digital images			identified and monitored in FY 2007 and reported at end of 4th Qtr FY07. Projected 99%
2008	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered				
2008	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Information and Technology Management	Record Retention				
2008	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Privacy				
2008	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Reliability and Availability	Availability				
2009	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered				
2009	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Planning and Resource Allocation	Strategic Planning				
2009	GOAL 4.2 Managing the Legacy – Manage the	Processes and Activities	Security and Privacy	Security				

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
	Department's post-closure responsibilities and ensure the future protection of human health and the environment.							
2009	GOAL 4.2 Managing the Legacy – Manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission				

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 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:

    a. If "yes," provide the "Percentage IT Security" for the budget year:

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.

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)**
WIPP Records Archive Web Access Portal			

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, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
WIPP Records Archive							

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?

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

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

    a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

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
WIPP Records Archive-This system is reported to FISMA as part of the CBFO General Support System (GSS) accrediation boundary					
WIPP Records Archive Web Access Portal-This is the final phase of implementation of the WRA, and is required to facilitate public access to the records that have been compiled.					

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

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

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

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

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

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

    a. If "no," please explain why?

This investment did not exist as an Exhibit 300 in the previous DOE EA submission.

2. Is this investment included in the agency's EA Transition Strategy?   No

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

b. If "no," please explain why?

This investment did not exist as an Exhibit 300 in the previous DOE EA submission.

3. Is this investment identified in a completed (contains a   No
target architecture) and approved segment architecture?

    a. If "yes," provide the name of the segment architecture as
provided in the agency's most recent annual EA Assessment.

4. Service Component Reference Model (SRM) 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.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Classification	Defines the set of capabilities that support the categorization of documents	Digital Asset Services	Document Management	Classification			No Reuse	
Document Imaging and OCR	Defines a set of capabilities that support document management.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	
Indexing	Defines the set of capabilities that support the rapid retrieval of documents through a structured numbering construct	Digital Asset Services	Document Management	Indexing			No Reuse	
Library / Storage	Defines the set of capabilities that support document and data warehousing and archiving	Digital Asset Services	Document Management	Library / Storage			No Reuse	
Document Classification	Defines the set of capabilities that support the categorization of documents and artifacts, both electronic and physical	Digital Asset Services	Records Management	Document Classification			No Reuse	
Document Retirement	Defines the set of capabilities that support the termination or cancellation of documents and artifacts used by an organization and its stakeholders	Digital Asset Services	Records Management	Document Retirement			No Reuse	

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

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

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

    d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) 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)

5. Technical Reference Model (TRM) 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)
Document Imaging and OCR	Component Framework	Business Logic	Platform Dependent	
Library / Storage	Component Framework	Data Management	Database Connectivity	
Document Classification	Service Access and Delivery	Access Channels	Web Browser	
Indexing	Service Access and Delivery	Access Channels	Web Browser	
Document Retirement	Service Access and Delivery	Access Channels	Web Browser	
Document Imaging and OCR	Service Interface and Integration	Interface	Service Description / Interface	
Indexing	Service Interface and Integration	Interface	Service Description / Interface	
Document Classification	Service Interface and Integration	Interface	Service Description / Interface	
Document Retirement	Service Interface and Integration	Interface	Service Description / Interface	
Classification	Service Interface and Integration	Interface	Service Description / Interface	
Library / Storage	Service Interface and Integration	Interface	Service Description / Interface	
Document Imaging and OCR	Service Interface and Integration	Interoperability	Data Format / Classification	
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Indexing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Document Retirement	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Library / Storage	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Classification	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Document Classification	Service Platform and Infrastructure	Support Platforms	Platform Dependent	
Document Imaging and OCR	Service Platform and Infrastructure	Support Platforms	Platform Dependent	

    a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

    b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

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

    a. If "yes," please describe.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section A: Alternatives Analysis (All Capital Assets)

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.

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?   5/25/2005

    b. If "no," what is the anticipated date this analysis will be completed?

    c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results: * Costs in millions
Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
WIPP Records Archive	The WIPP Records Archive (WRA) will collect and digitize all Transuranic (TRU)-related records from all generator sites as the waste comes to WIPP for storage. There will be one master capture, filing, and scheduling plan, ensuring data and chain of custody integrity. Records requiring special handling can be categorized and protected as necessary. "Found" and "Orphan" records will benefit from the same processing as general records. This alternative closes all gaps for a reasonable cost.		

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

The WIPP Records Archive (WRA) was chosen by a designated project review team because it is the least expensive and most robust records capture program available. The determination was made after a pilot project was completed and the results submitted to the project review team. The WRA will: accept unscheduled records; allow public web-based access to non-sensitive records related to WIPP waste; allow controlled access to sensitive information; protect chain of custody (making records defensible for researchers, historians, and in litigation and FOIA requests); and allow the government to respond positively to growing public interest in TRU waste-related records. DOE has about three million boxes of temporary long term records (some of which have schedules of hundreds of years), ~125,000 of them related to WIPP. Storage at multiple sites threatens the historical integrity of the WIPP site, and consolidation of the records at WIPP is a reasonable solution. Continuing to manage paper records in a NARA-regulated Federal Records Center is more costly and less efficient, with no assurance that related records will be kept together. The WRA uses the latest web-based technology to facilitate public access to records. WRA's RM technology will reduce costs and make information more accessible while maintaining data integrity and privacy.

The date that the full-blown process analysis was completed was 5/25/2005; the alternative software in that analysis was not chosen, but the process itself was determined to be successful and cost-effective.

4. What specific qualitative benefits will be realized?

Capture of records, protection of chain of custody and personal and privacy information, high quality litigation support, ease of access by interested stakeholders and the public.

5. Will the selected alternative replace a legacy system in-part   No
or in-whole?

    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.

    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

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?   7/23/2007

 b. Has the Risk Management Plan been significantly   No
changed since last year's submission to OMB?

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?   Yes

 a. If "yes," what is the planned completion date?

 b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

The WRA budget addresses media preservation issues; all scanned images of source records are backed up electronically and two archival microfilm copies of these images are also created and one copy maintained off-site.

The WRA budget addresses media obsolescence issues. Aging VHS tapes are being copied to DVD +R disks. The Documentum software contains multiple document type viewers for reviewing electronic records received from older and/or un-supported software packages in their native format.

The WRA budget addresses quality of source documents; all records are manually reviewed for determination of the most suitable data capture equipment based on the condition of the original source. Funding is included for a projected 3% special handling requirement based on industry standards.

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   Yes
criteria in ANSI/EIA Standard-748?

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x No
100; SV%= SV/PV x 100)

 a. If "yes," was it the CV or SV or both?

 b. If "yes," explain the causes of the variance:

 c. If "yes," describe the corrective actions:

3. Has the investment re-baselined during the past fiscal year? No

a. If "yes," when was it approved by the agency head?

4. 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.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost ($M)		Schedule (# days)	Cost ($M)	
				Planned	Actual	Planned	Actual			
1	Comparative Analysis	5/27/2005	$1.142	5/25/2005	5/27/2005	$1.142	$1.142	-2	$0	100%
2	Facility Compliance Readiness - NARA Facility Compliance package	9/30/2006	$2.826	9/30/2006	10/16/2006	$2.826	$2.826	-16	$0	100%
3	Implementation of Operational Procedures	4/4/2007	$0.572	4/4/2007	4/5/2007	$0.572	$0.572	-1	$0	100%
4	ERM Software Testing and Startup Reports	4/4/2007	$2.5	4/4/2007	4/5/2007	$2.5	$2.5	-1	$0	100%
5	Lessons Learned Report	9/28/2007	$0.5	9/28/2007		$0.5	$0.45		$0	90%