

DHS Exhibit 300 Public Release BY09 (Form) / USCG - Nationwide Automatic Identification System (NAIS) for MDA (2009) (Item)



Form Report, printed by: Administrator, System, Feb 6, 2008

OVERVIEW

General Information

1. Date of Submission:	Sep 6, 2007
2. Agency:	Department of Homeland Security
3. Bureau:	United States Coast Guard (USCG)
4. Name of this Capital Asset:	USCG - Nationwide Automatic Identification System (NAIS) for MDA (2009)
5. Unique ID:	024-60-01-04-01-6005-00

(For IT investments only, see section 53. For all other, use agency ID system.)

All investments

6. What kind of investment will this be in FY2009?

(Please NOTE: Investments moving to O&M ONLY in FY2009, with Planning/Acquisition activities prior to 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?

FY2006

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. [LIMIT: 2500 char]

The Nationwide Automatic Identification System (NAIS) will be an integrated network of Automatic Identification System (AIS) receivers, AIS transmitters, data processing and storage centers, and user interfaces that will collect, integrate, analyze, and display information concerning AIS equipped vessels operating on or bound for U.S. waters. The genesis of the NAIS mission need comes from the Maritime Transportation Security Act of 2002, which directs the Coast Guard to implement a system to collect, integrate, and analyze information concerning vessels operating on or bound for waters subject to the jurisdiction of the United States. Although the regulatory framework has been quickly put into place, limited infrastructure exists to collect AIS signals in order to enforce the carriage requirements, or to receive and disseminate the AIS data needed to provide useful nationwide information on vessels approaching, or operating near or within the U.S. Maritime Domain. The purpose of the NAIS project is to provide an integrated nationwide system to meet the Congressional mandate and the practical need to effectively utilize AIS data throughout the U.S. Maritime Domain. NAIS will complement other surveillance and intelligence systems in identifying vessels requiring further investigation and action.

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

Yes

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

Jan 12, 2005

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?

Yes

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

12.b.1. If "yes," is an ESPC or UESC being used to help fund this investment?

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

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

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

Yes

If "yes," select the initiatives that apply:

Human Capital	
Budget Performance Integration	
Financial Performance	
Expanded E-Government	Yes
Competitive Sourcing	Yes
Faith Based and Community	
Real Property Asset Management	
Eliminating Improper Payments	
Privatization of Military Housing	
R and D Investment Criteria	
Housing and Urban Development Management and Performance	
Broadening Health Insurance Coverage through State Initiatives	
Right Sized Overseas Presence	
Coordination of VA and DoD Programs and Systems	

13.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?)

NAIS provides a mechanism to exchange safety & security data electronically with vessels operating AIS equipment in or approaching US waters providing situational awareness information & capacity to help detect anomalous vessel behavior typically associated with illicit activity

The majority of NAIS will be developed and delivered through an RFP process, full and open and widely publicized ensuring the market's best technologies & private sectors' proposed solutions key components

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

Yes

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

Yes

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

USCG - Ports Waterways and Coastal Security

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

Moderately Effective

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

Yes

For information technology investments only:

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

Level 1

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 2007 agency high risk report (per OMB Memorandum M-05-23)

Yes

19. Is this a financial management system?

No

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

19.a.1. If "yes," which compliance area: [LIMIT: 250 char]

19.a.2. If "no," what does it address? [LIMIT: 500 char]

19.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. [LIMIT: 2500 char]

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

Area	Percentage	
Hardware	27.76	
Software	47.13	
Services	0.00	
Other	25.11	
Total	100.00	

21. *If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?*

N/A

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

No

Question 24 must be answered by all Investments:

24. *Does this investment directly support one of the GAO High Risk Areas?*

No

SUMMARY OF SPENDING

SUMMARY OF SPENDING FOR PROJECT PHASES (In Millions)

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

	PY-1 & Earlier	PY	CY	BY
	-2006	2007	2008	2009
Planning:				
Budgetary Resources	25.426	0.000	0.000	0.000
Acquisition:				
Budgetary Resources	41.742	11.238	12.000	14.600
TOTAL, sum of stages:				
Budgetary Resources	67.168	11.238	12.000	14.600
Maintenance:				
Budgetary Resources	3.300	6.000	6.000	17.253
TOTAL, All Stages				
Budgetary Resources	70.468	17.238	18.000	31.853
Government FTE Costs	3.002	1.673	4.189	6.073
# of FTEs	13.00	18.00	31.00	41.00
Total, BR + FTE Cost	73.470	18.911	22.189	37.926

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?

Yes

2.a. If "yes," how many and in what year? [LIMIT: 500 char]

Beginning in FY04, the start of the investment and increasing incrementally as follows:

FY04 – 3 (total 3) FY10 – 0 (total 41)

FY05 – 10 (total 13) FY11 – 0 (total 41)

FY06 – 0 (total 13) FY12 – 11 (total 52)

FY07 – 5 (total 18) FY13 – 0 (total 52)

FY08 – 13 (total 31) FY14 – 0 (total 52)

FY09 – 10 (total 41) FY15-28 – minus 22 (total 30)

Total FTE costs through 2028 are \$196.715

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes. [LIMIT: 2500 char]