PART I: CAPITAL ASSET PLAN AND BUSINESS CASE (All Assets)

Agency U.S. Nuclear Regulatory Commission
Bureau N/A
Account Title Salaries and Expenses
Account Identification Code 31-0200-0-1-276
Program Activity Human Resources
Name of Project Human Resources Information System (HRIS)
Unique Project Identifier: (IT only)(See section 53) 429-00-01-02-02-2035-0
Project Initiation Date March 1997
Project Planned Completion Date
This Project is: Initial Concept ____ Planning ____ FullAcquisition ____ Steady State ____
Mixed Life Cycle X

Project/useful segment is funded:	Incrementally X	Fully ___
Was this project approved by OMB for previous Year Budget Cycle?	Yes X	No ___
Did the Executive/Investment Review Committee approve funding for this project this year?	Yes X	No ___
Did the CFO review the cost goal?	Yes X	No ___
Did the Procurement Executive review the acquisition strategy?	Yes X	No ___
Is this investment included in your agency's annual performance plan or multiple agency annual performance	Yes X	No ___
Does the project support homeland security goals and objectives, i.e., 1) improve border and transportation security, 2) combat bio-terrorism, 3) enhance first responder programs; 4) improve information sharing to decrease response times for actions and improve the quality of decision making?	Yes ___	No X
Is this project information technology? (See section 300.4 for definition)	Yes X	No ___
For information technology projects only:		
a. Is this Project a Financial Management System? (see section 53.3 for a definition)	Yes ___	No X
If so, does this project address a FFMIA compliance area?	Yes ___	No X
If yes, which compliance area?		
b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)?	Yes X Note: Only for NRCareers and the Recruitment module	No ___

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If so, is it included in your GPEA plan (and does not yet provide an electronic option)?	Yes ___	No _X_
Does the project already provide an electronic option?	Yes _X_	No ___
c. Was a privacy impact assessment performed for this project?	Yes _X_	No
d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process?	Yes _X_	No ___
d.1 If yes, were any weaknesses found?	Yes _X_	No ___
d.2. Have the weaknesses been incorporated into the agency's corrective action plans?	Yes _X_	No ___
e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination?*	Yes ___	No _X_
e.1 If no, is this an agency mission critical or essential service, system, operation, or asset (such as those documented in the agency's COOP Plan), other than those identified above as national critical infrastructures?	Yes __	No _X_

* Preparations for NRC's Project Matrix Review are just underway. The Review will not be completed until the first Quarter of FY 2003, at the earliest.

SUMMARY OF SPENDING FOR PROJECT STAGES
(In $Thousands)
(BY+1 and Beyond estimates are for planning purposes only and do not represent budget decisions)

	PY-1 and Earlier	PY 2002	CY 2003	BY 2004
Planning:				
Budgetary Resources	255	0	100	110
Outlays	255			
Full Acquisition :				
Budgetary Resources	1907	371	733	853
Outlays	1466			
Total, sum of stages:				
Budgetary Resources	2162	371	833	963
Outlays	1721			
Maintenance:				
Budgetary Resources	1200	786	216	221
Outlays	1200	400		
Total, All Stages:				
Budgetary Resources	3362	1157	1049	1184
Outlays	2921	400	0	0
Security Costs	0	72	70	67
Total	3362	1229	1119	1251
Breakdown of FTE costs included in the chart above				
FTE dollars used to convert FTE	$108	$112	$116	$121
Estimated FTE numbers:	4.0	4.0	4.0	4.0
Planning				
Acquisition	4.0	1.0	3.0	3.0
Maintenance		3.0	1.0	1.0
Total	432	448	464	484

I. A. Project Description

1. *Provide a brief description of this project and its status through your capital planning and investment control (CPIC) or capital programming "control" review for the current cycle.*

This is the initial Exhibit 300 report for the Nuclear Regulatory Commission's (NRC) corporate Human Resources Information System (HRIS). The HRIS project will focus on implementing the additional HR functionality available within the PeopleSoft (PS) Federal Human Resources Management System (HRMS) application. A separate Exhibit 300 for HRMS was prepared by the Office of the Chief Financial Officer (CFO). HR will coordinate implementation of HRIS with the HRMS project team in CFO, as appropriate. In addition, HR may implement PeopleSoft-compatible software to meet any of the NRC requirements not addressed by PeopleSoft. The HRIS is a mixed life-cycle "umbrella" project consisting of the following PeopleSoft HR components in either the planning phase or in steady state:

- Training Administration (Basic & Enhanced)
- Reporting Server
- Recruitment and Selection
- Workflow/Self-service Functionality
- Skills/Competency Management

- Benefits Administration
- Automated Position Management

The HRIS project will complete the consolidation of HR's many outdated, legacy systems which reside on multiple platforms and create an integrated HR solution. Due to the number of PeopleSoft (PS) HR components NRC plans to implement, the level of skills required, and the cost of implementation resources, HR has decided to implement the HRIS components over a period of five to six years. This allows the project team to implement the different modules in a phased approach and to maintain a stable level of effort over several years. PeopleSoft (PS) software is currently used by NRC to provide the agency with an integrated, enterprise-wide solution to meet its HR, Payroll and Time & Labor requirements. This system, known as HRMS/STARFIRE, went into production in November 2001. HRMS/STARFIRE's implementation of the Basic PeopleSoft's Federal HRMS functionality (Basic HR) only partially utilizes the HR processes and functionality delivered with the PeopleSoft HR application. Basic HR consists primarily of personnel information processing, position management, maintenance and management of employee and benefit data, performance management, and Central Personnel Data File (CPDF) Reporting. The completed HRIS will be a fully integrated automated information system that is user-friendly, less paper intensive and provides readily accessible, timely and accurate data to meet the needs of NRC's internal and external clients.

The Office of Human Resources completed the Business Case for HRIS in August 2000. As stated earlier, the HRIS project will focus on implementing the additional HR functionality available within the PeopleSoft (PS) Federal Human Resources Management System (HRMS) application. In addition, HR may implement PeopleSoft-compatible software to meet any of the NRC requirements not addressed by PeopleSoft. A CPIC review by the agency approved the use of PeopleSoft software for these requirements. Now it is our goal to implement a HR Enterprise solution that will replace all of HR's legacy systems with PeopleSoft or PeopleSoft-compatible applications. However, certain HRIS components, specifically Strategic Workforce Planning (SWP) and NRCareers (QuickHire), are using recently implemented interim solutions pending NRC evaluation of alternatives for PeopleSoft upgrade, possibly to a web-based technology. SWP and NRCareers are each addressed in a separate Exhibit 300.

2. *What assumptions are made about this project and why?*

Listed below are assumptions for complete and successful implementation of the HRIS:

- **PS Upgrade:** Implementation of the selected alternative in the business case to upgrade PeopleSoft will be completed by FY 2004. Slippage of the schedule to upgrade PeopleSoft will directly impact the HRIS project implementation schedule and may cause the HRIS project timeline to slip as well. The HRIS Team also assumes the agency will upgrade PS software periodically and that HRIS and HRMS/STARFIRE upgrades for future versions will be coordinated appropriately between HR, CIO and CFO.

- **Communication with Other Federal Agencies:** NRC expects that experience learned from PS implementations in other federal agencies will be used to ensure a timely and successful implementation. NRC will maintain communication with other Federal agencies to keep abreast of their ongoing development/implementation efforts. As part of the HRMS/STARFIRE Basic HRIS effort, members of the HR team became involved in PS's Federal User Network (FUN), a Federal user group that shares information about issues with PS implementation efforts throughout the federal government. We plan to continue our participation in this user group during our implementation of HRIS.

- **HRIS Resources:** Adequate funding, staffing and business subject matter experts will be provided during each phase of the implementation. There will be a timely resolution of business and technical

issues, and agency-wide acceptance of process changes resulting from the implementation of HRIS components.

- **HR / CFO (HRMS/STARFIRE) / CIO Coordination:** HR management and HRIS implementation team members will stay in continuous contact with CIO and HRMS/STARFIRE (Payroll, Basic HR, and Time & Labor) technical and functional leads to keep these representatives informed of the progress of the HRIS implementation and to raise any issues that may impact the HRMS/STARFIRE modules or the technical environment.

- **Internal Processes:** The HRIS team assumes that use of a "best practice" approach in the system development process would require some process changes and that offices and the agency as a whole would incorporate these changes as part of doing business. This assumption is key in minimizing costs required to utilize commercially available off-the-shelf software, and in achieving significant savings by modernizing the way in which the agency performs HR operations. These changes will require one or more "change communication plans."

- **Hardware and Software Infrastructure:** HRIS specific hardware components will include dedicated servers, and data storage devices. The team assumes that Pentium-based desktop resources needed to optimally utilize HRIS will be provided to all NRC staff through periodic agency upgrades, and necessary network resources will be provided as well.

- **Compliance with Federal Requirements:** NRC will comply with the federal government policy governing human resources systems and other related management laws.

3. *Provide any other supporting information derived from research, interviews, and other documentation.*

The HRMS/STARFIRE project evaluated and subsequently selected PeopleSoft's Federal Payroll software application for integration with HRMS/STARFIRE's core accounting system. Additionally, it was discovered that PeopleSoft had a software module that tracked Time & Labor functionality that would support NRC's labor tracking and reporting requirements and would integrate seamlessly with PeopleSoft Payroll. During HRMS/STARFIRE's evaluation of the PeopleSoft products, it was learned that in order to implement PeopleSoft's Time & Labor application, NRC must also implement PeopleSoft's Human Resources application. Also, as part of an earlier effort, the Office of Human Resources (HR) had already determined that PeopleSoft's Federal HR application was the best product available to meet HR's functional, operational, and general requirements. Thus, having determined that PeopleSoft's Federal application provided the best overall HRIS solution for the agency, HRMS/STARFIRE was authorized to purchase PeopleSoft's "Federalized" Payroll, Time & Labor, and Human Resources suite of products.

An implementation contractor was brought on board at the beginning of FY 1999 and HRMS/STARFIRE project teams were formed for each application (HR Team, Payroll Team, T&L Team). All teams consisted of a combination of NRC staff and contractors. Throughout FY 1999, each application was analyzed to determine its suitability to meet NRC's requirements. Each team proposed modifications to the system if it was deemed absolutely necessary. The Executive Council approved each modification. In FY 2000, each team entered the testing phase of the development process. On March 26, 2000, HRMS/STARFIRE entered the Parallel Testing phase for HR, Payroll and Time & Labor applications with various representative offices and groups throughout the NRC participating in the process. HRMS/STARFIRE's implementation of PS's Basic HR, Payroll and T&L applications was released into production November 2001.

HR conducted an in-depth analysis (subsequent to the HRMS/STARFIRE CPIC analysis), on a module by module basis, of using the current PeopleSoft HRMS software in the interim, and then converting to another

future PeopleSoft HRMS version, anticipated to be web-based. This second analysis suggested that a much less costly route would be to adopt other non-PeopleSoft HRMS alternatives for the functions of some modules for interim solutions, until web-based functionality was implemented. NRC is an active participant in PeopleSoft Federal Users Group.

I.B. Justification (All Assets)

1. How does this investment support your agency's mission and strategic goals and objectives?

NRC Mission: To regulate the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of the public health and safety, to promote the common defense and security, and to protect the environment.

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
1. Nuclear Reactor Safety: Prevent radiation-related deaths and illnesses, promote the common defense and security, and protect the environment in the use of civilian nuclear reactors.		*X*	▪ *The HRIS supports the NRC's Corporate Management Strategies (see next page)*
2. Nuclear Materials Safety: Prevent radiation-related ,deaths and illnesses, promote the common defense and security, and protect the environment in the use of source, byproduct, and special nuclear material for medical, academic, and industrial purposes		*X*	▪ *The HRIS supports the NRC's Corporate Management Strategies (see next page)*
3. Nuclear Waste Safety: Prevent adverse impacts from radioactive waste to the current and future public health and safety and the environment, and promote common defense and security		*X*	▪ *The HRIS supports the NRC's Corporate Management Strategies (see next page)*
4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation		*X*	▪ *The HRIS supports the NRC's Corporate Management Strategies (see next page)*

NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	1. We will recruit, hire, and retain a high- quality, diverse workforce with the skills needed to achieve our mission and goals. 2. We will base our human resource decisions on sound workforce planning and analysis. 3. We will improve the capability of our workforce through training, development, and continuous learning.	X	• Working with program and support offices, we will use a human resources planning process to identify current and future human capital needs. We will identify specific skills and competencies with the assistance of program and support partners. Based on information gathered in this process, we will develop recruiting and hiring strategies to fill identified gaps. We will seek active involvement of line managers in our recruitment program and will solicit feedback from managers about the quality of our applicants and the timeliness of our hiring process. Note: See also Exhibit 300 for Strategic Workforce Planning (SWP). • With input from program and support partners, we will develop an agency skills inventory to assist in identifying current and future skills needs and gaps. Information gained from the human resources planning process will also help determine whether the workforce is deployed appropriately-both geographically and organizationally-to support efficient and effective accomplishment of strategic and performance goals. Through development and implementation of a human resources information system, we will provide accurate, timely, and useful human resources information to managers so they can make informed decisions about hiring, utilizing, training, promoting, appraising, and rewarding staff. We will provide accurate, timely, and useful human resource information to employees so they can make informed employment and benefits decisions. NRCareers supports the NRC in recruiting a high-quality, diverse workforce by enabling applicants to browse and apply for NRC vacancies from virtually anywhere and enabling managers to view and select from a broad selection of high-quality candidates. In addition, NRCareers improves Agency outreach efforts to recruit a diverse workforce by enabling HR to easily and quickly provide diversity organizations with information about NRC job vacancies.

2. *How does it support the strategic goals from the President's Management Agenda?*

Presidents Management Agenda (PMA)	Supports	How Does Your Initiative Support This PMA Item?
Human Capital	X	The Human Resources Information System (HRIS) supports the strategic goals of the President's Management Agenda in the area of strategic human capital management, specifically Enterprise HR integration and Recruitment One-Stop E-Government initiatives. HRIS is an integrated-wide approach for enterprise-wide HR activities that will eliminate fragmented human resources legacy system and leverage technology to improve efficiencies in personnel operations. HRIS will improve capabilities and communications and provide managers access to human resources data and information easily and efficiently to enable strategic decisions and for planning recruitment.
Competitive Sourcing		
Financial Performance		
E-Government	X	This system supports the agency mission and goals by making available human capital information to NRC managers to help them effectively and efficiently implement NRC programs. NRCareers supports the Strategic Goals of the President's Management Agenda in the area of E-Gov, specifically Recruitment One-Stop. NRCareers provides a web-based mechanism for the general public, as well as NRC employees, to browse and apply for NRC job vacancies from virtually anywhere. In addition, NRCareers automatically interfaces with USAJobs, one of the primary means for the general public to become aware of Federal job vacancies.
Budget and Performance Integration		

3. *Are there any alternative sources in the public or private sectors that could perform this function?*

Yes, there are alternative sources available that could perform this function. We are currently using two interim solutions as part of HRIS for NRCareers (QuickHire) and Strategic Workforce Planning (SWP). These interim solutions provide us with the desired functionality for a lower cost until the agency completes the upgrade of PeopleSoft. Commercially available alternative solutions were evaluated during the HRIS Commercial, Off-The-Shelf (COTS) Product Comparison and Analysis in 1997. A complete assessment and recommendations regarding the human resources information technology environment was completed in March 1997 under a Federal contract (FEDSIM Contract Number FS00K96AJD0012, Task Order K0096AJ9611, TAC C90030, Computer Sciences Corporation). This analysis supports the selection of PeopleSoft HRMS Software for the HRIS.

As noted above, part of our interim solutions for the short-term include using an Application Service Provider (QuickHire) to implement NRCareers. This enables us to use web-based recruitment functionality until we are able to implement the Recruitment and Selection software in PeopleSoft. We developed our Strategic Workforce Planning (SWP) system in-house as an interim solution until we are able to implement the Skills and Competencies software in PeopleSoft. For our longer-term solutions, we will be implementing additional PeopleSoft software modules using a phased approach, to provide one enterprise, single platform solution. The foundation for HRIS is the core data and functionality that is currently provided by HRMS/STARFIRE, using PeopleSoft.

4. *If so, explain why your agency did not select one of these alternatives.*

Two different analyses support the implementation of PeopleSoft software at NRC. The cost/benefit analysis of alternatives done for the HRMS/STARFIRE CPIC sufficiently justified plans to implement PeopleSoft software at NRC. In addition, as stated above, alternative solutions were evaluated during the HRIS Commercial, Off-The-Shelf (COTS) Product Comparison and Analysis in 1997. A complete assessment and recommendations regarding the human resources information technology environment was completed in March 1997 under a Federal contract (FEDSIM Contract Number FS00K96AJD0012, Task Order K0096AJ9611, TAC C90030, Computer Sciences Corporation). This analysis supports the selection of PeopleSoft HRMS Software for the HRIS. Where appropriate, we have used an Application Service Provider (ASP) as an interim solution to provide needed functionality. For example, we are using an ASP to implement NRCareers until we are able to implement the PeopleSoft Recruitment module.

5. *Who are the customers for this project?*

Customers include NRC employees, the general public, NRC managers, selecting officials, training center staff and contractors.

6. *Who are the stakeholders of this project?*

Stakeholders include the Office of Human Resources, NRC managers, NRC employees, and the general public. In addition, other entities such as colleges, universities, special interest groups, and professional organizations benefit from the increased outreach gained by using NRCareers.

7. *If this is a multi-agency initiative, identify the agencies and organizations affected by this initiative.*

This is not a multi-agency initiative; however, this effort leverages other agencies' initiatives by using software that was previously federalized to meet the Federal government recruitment and staffing requirements.

8. *How will this investment reduce costs or improve efficiencies?*

The HRIS will improve efficiencies by:

- Providing managers with current, interactive desk-top access for activities such as:
  - planning recruitment and training needs,
  - making hiring decisions
  - identifying skills and competency needs
- Automating manual, resource-intensive HR processes
- Providing enhanced decision support capabilities
- Providing internal and external stakeholders with current, interactive access to data such as employment and training-related information
- Increasing access to organization and employee data by NRC managers and employees
- Providing enhanced tools and functionality for NRC Workforce Planning

- Providing a central repository of HR organization and employee related data, which will eliminate the current method of storing the same information in multiple systems and databases

We plan to implement the various modules of HRIS using a phased approach. This will allow us to better manage the various projects by maintaining a stable level of staff and contractor resources and effort over several years. We will be continually evaluating our progress during this phased implementation. Each phase will include an analysis of the module to be implemented, to ensure that it still best meets the requirements. The project schedule will ensure an implementation effort that will:

- Keep the level of effort within the ability of HR staff to provide close, continuous contract and technical management oversight
- Maintain continuity of contractor resources
- Spread the costs evenly over a period of several years
- Implement applications at a pace commensurate with stakeholders' readiness to accept new features.

9. *List all other assets that interface with this asset* _HRMS_. *Have these assets been reengineered as part of this project?* Yes____, No__X__.

   A holistic approach was taken to engineer both the HRMS and HRIS to be compatible and provide one enterprise, single-platform solution.

I.C. Performance Goals and Measures (All Assets)

Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Planned Performance Improvement Goal	Actual Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
FY 2002	To recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals	A legacy vacancy creation process which utilized multiple systems	Implement NRCareers to streamline the vacancy application process		Enhance existing HR recruitment and selection processes with a interim web-enabled solution	
FY 2003	To recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals	Currently HR has numerous outdated legacy systems that reside on multiple platforms and require staff to store the same data in multiple databases and systems	Implement the web-enabled PeopleSoft workflow and self service to allow HR staff to share HR data across each of the future planned modules		Enhance existing HR operations system and future capability with a web workflow and self service capability to improve efficiencies in Agency's operations specially in HR in the areas of recruitment, staffing, training and development	
FY 2004	To recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals	Currently HR uses limited functionality available in the PeopleSoft training and development module	Implement the web-enabled Peoplesoft enterprise system training and development module		Enhance existing HR operations system and future capability with a web enabled training and development capability to improve efficiencies in Agency's operations specially in HR in the areas of training and development	

I.D. Program Management [All Assets]

1. *Is there a program manager assigned to the project? If so, what is his/her name?* Yes X No ____
   Mary Ellen Beach, Chief, Workforce Planning and Information Management, Office of Human Resources 301-415-7534

2. *Is there a contracting officer assigned to the project? If so, what is his/her name?* Yes ____ No X ____

The Contracting Officer for NRCareers is Elinor Cunningham, Contract Specialist, Division of Contracts and Property Management, ADM, phone 301-415-6580. There are no other contracting officers assigned at this time as we have not begun the development phase of the other components of HRIS. It is anticipated there will be several contracts, as there will be multiple stages over the next several years. However, a specific acquisition strategy for each module within HRIS will be developed with the Division of Contracts and Property Management.

3. *Is there an Integrated Project Team?* (HR, CIO, CFO) Yes X No ____

Representatives include Kristin Davis (HR), George Matthews (CIO), and John Bird (CFO)

3.A. *If so, list the skill set represented.*

Infrastructure and technology, operations and maintenance, database administration and support, functional HR, technical support, subject matter experts, systems analysts, systems documenters and specialists, and testing specialists.

4. *Is there a sponsor/owner?* Paul Bird, Director, Office of Human Resources 301-415-7516 Yes X No ____

Part II: Additional Business Case Criteria for Information Technology

II. A. Enterprise Architecture

II.A.1 Business

A. Is this project identified in your agency's enterprise architecture? If not, why?

Yes, the HRIS has been identified in NRC's in-progress enterprise architecture (EA).

B. Explain how this project conforms to your departmental (entire agency) enterprise architecture.

The HRIS falls within the scope of NRC's baseline and target architectures. As such, this system supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model," provides the data required by NRC's internal operations/infrastructure services human resources business area. and utilizes products and components that are aligned with NRC's current application and technology standards and future direction as specified in NRC's existing technology planning documents. Although the NRC's existing technology planning documents are being updated, the current documents identify some core technology needs. These core technology needs are in the process of being updated and expanded through an evolving organizational EA governance process that will ensure that all current and future technology needs are vetted by NRC business managers to validate links to NRC

business drivers for the identified technologies. When fully functional, NRC's integrated EA and CPIC processes will enable NRC to apply the same sound risk management strategies to its IT investments that have long characterized NRC's core business operations. NRC has also provided the Federal Enterprise Business Reference Model (FEBRM) with high level business functions and subfunctions derived from the NRC Enterprise Model. NRC is working to uncover additional internal cross-cutting initiatives and has begun to look at other-agency business processes and State business processes to identify potential areas for collaborative efforts.

C. *Identify the Lines of Business and Sub-Functions within the Federal Enterprise Architecture Business Reference Model that will be supported by this initiative.*

Since the FEA BRM is undergoing continual update, our responses are based upon the latest data that we have available.

FEABRM Lines of Business	FEABRM Subfunctions Supported
Human Resources (Internal Operations/Infrastructure)	Advancement and Awards Benefits Management Labor Management Resource Training and Development Staff Recruitment and Employment

D. *Briefly describe how this initiative supports the identified Lines of Business and Sub-Functions of the Federal Business Architecture.*

E. *Was this project approved through the EA Review committee at your agency?*

Yes, HRIS was approved through the NRC EA Review committee.

F. *What are the major process simplification/reengineering/design projects that are required as part of this initiative?*

HR has developed a project management approach to successfully implement the HRIS components. The HRIS implementation will be conducted utilizing a phased approach to maintain a stable level of current systems while focusing on simplifying and reengineering future HRIS systems. This approach will enable HR to focus on each module individually while taking into consideration the overall impact of decisions on the Agency enterprise system. This methodology assumes an implementation of a "best practice" approach that will capitalize on current, proven and state-of-the-art practice approaches consistent with the NRC Business Enterprise and Technical Reference Manual. These include Enterprise-wide Access, Decision Support, Re-use of Proven Support, Incremental Improvements, User Friendly and Paperless Environment.

Certain business processes have already been redesigned and reengineering with the implementation of NRCareers, an interim recruitment and selection solution. Using NRCareers, the vacancy creation process was simplified by supporting the functions that were historically supported by multiple legacy systems and manual processes. In addition to supporting the entire vacancy creation process, NRCareers simplified the application process for the general public as well as

NRC employees by using an on-line application process as opposed to hard-copy applications. This effort was consistent with "best practices" for a paperless environment and consistent with the E-Gov strategic goal for Recruitment One-Stop.

G. *What are the major organization restructuring, training, and change management projects that are required?*

The HRIS project will adhere to the same fundamental management concepts as followed by the HRMS/STARFIRE project. These concepts are as follows:

- User Involvement – Subject Matter Experts (SME) and other HR users will play an integral part of the system development process. These individuals will be extensively involved in the system business fit analysis for each module to determine the process changes and tailoring required to effectively meet the user needs. SMEs will also be used throughout the testing phases.
- Management Oversight – The critical importance of the HRIS project warrants a high level of management oversight.
- Change Management – Change is inevitable on all large projects. The HRIS project team will be prepared to act quickly and rapidly changing to business requirements by establishing an environment that anticipates changes, documents them, and controls them in a efficient manner.
- Business Goals – Business goals will drive the success of the HRIS, by determining how well the solution meets the target business requirements. The project manager will ensure that everyone on the project team understands the business goals that drive the project.
- Incremental Successes – Due to the demands of large scale systems, the HRIS project team advocates delivering tangible, base functionality as early as possible, followed by additional capacity.

The implementation of NRCareers did not require a major organization restructuring. However, the same fundamental management concepts listed above were followed to facilitate the implementation process. A change management and communications plan was developed and executed that outlined all communication and change management strategies for the project. This plan included presentations, briefings, training sessions and advertising.

G. *What are the Agency lines of business involved in this project?*

The agency lines of business and subfunctions are summarized in the table below:

FEABRM Lines of Business	FEABRM Subfunctions Supported
Human Resources (Internal Operations/Infrastructure)	**Advancement and Awards** **Benefits Management** **Labor Management** **Resource Training and Development** **Staff Recruitment and Employment**

H. *What are the implications for the agency business architecture?*

The modules comprising the HRIS project allow the agency to move to more automated, on line processing of many HR functions. As these functions become automated, business processes and policies must change to accommodate and make best use of the new, automated tools. The automation of training and recruitment functions allows for more streamlined training enrollment and job application processes, resulting in shorter lead times needed for submission. The implementation of electronic workflow will reduce the process latency currently caused by forwarding

of paper documents through the internal mail system. As modules are evaluated, designed and implemented, corresponding changes in the agency business architecture and processes are expected as well.

II.A.2 Data

A. *What types of data will be used in this project?*

The HRIS enterprise system will share data elements from across each of the future planned modules. One of the substantial benefits of an enterprise system is the data sharing capabilities between the HRIS modules. Overall, the HRIS will include general data relevant to each module, i.e., training, skills, competencies, benefits, and recruitment and selection. In addition, the HRIS will share information that is subject to the Privacy Act of 1974, as amended, such as social security numbers and other personal information about employees and applicants. Since the HRIS is a component of the overall Agency enterprise system, which includes Payroll and Time & Labor, there are several interfaces to other systems both internal and external to the NRC. Examples of interfaces are USAJobs and the US Department of Treasury.

Does the data needed for this project already exist at the Federal, State, or Local level? If so, what are your plans to gain access to that data?

This data does not exist at the Federal, State, or Local level. Data necessary to support the HRIS system is entered by multiple stakeholders including HR users, NRC staff, and external applicants.

B. *Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?*

Data contained in the HRIS includes general information as well as personal data. Some of the personal data is subject to the Privacy Act of 1974, as amended, therefore this data must be safeguarded and only accessible to authorized individuals. All users of the system are authenticated with a user name and password to ensure system and data integrity.

B. *If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic Data Committee standards required by OMB Circular A–16.*

This initiative does not process spatial data.

II.A.3 Application and Technology

A. *Discuss this initiative/project in relationship to the application and technology layers of the EA. Include a discussion of hardware, applications, infrastructure, etc.*

This initiative is included in the applications layer of the Enterprise Architecture. The modules currently implemented and those planned for the future are compatible with the technology layer of the EA, and are in line with the future direction of the agency's planned Enterprise Architecture. All modules are or will be designed as web-based applications utilizing the agency browser, network, RDMS, and server infrastructure.

B. *Are all of the hardware, applications, and infrastructure requirements for this project included in the EA Technical Reference Model? If not, please explain.*

Yes, the two modules currently implemented as interim solutions conform to the current NRC Technical Reference Model. Future modules, as they are planned, will be designed in accordance with the Technical Reference Model in place at the time of design and implementation.

II. B. Security and Privacy

NOTE: *Each category below must be addressed at the project (system/application) level, not at a program or agency level. Referring to security plans or other documents is not an acceptable response.*

II.B.1. *How is security provided and funded for this project (e.g., by program office or by the CIO through the general support system/network)?*

The provision and funding for security under HRIS is dependent on the specific implementation chosen for each module. The two modules currently in operation are NRCareers for recruitment and workforce planning. Security for these two modules are detailed in their separate submissions of Exhibit 300. Future modules that are implemented in the PeopleSoft environment of HRMS/STARFIRE will use the existing security mechanisms of the underlying PeopleSoft application environment and other security controls as specified in the HRMS/STARFIRE security plan. It is anticipated that some incremental effort and funding will be provided by the program office to update security documentation and procedures as each module is developed and implemented. In addition, the HRIS system relies on the underlying NRC network infrastructure (general support system) for security.

A. *What is the total dollar amount allocated to security for this project in FY 2004?*

The total dollar amount allocated to security of the HRIS in FY 2004 is $127,000. This amount includes $60,000 to be funded by HR to update existing HRMS/STARFIRE security documentation including the risk assessment, system security plan, and disaster recovery plan and $67,000 to be funded by CIO for infrastructure security. Security funding for NRCareers and Strategic Workforce Planning is outlined in the separate Exhibit 300's for those projects.

II.B.2 *Does the project (system/application) meet the following security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance?*

The security requirements of each module under HRIS will be addressed separately as an approach for implementation of that module is chosen and undertaken. In general, modules will be implemented within the PeopleSoft environment under which HRMS/STARFIRE operates, and will be covered by the security of that environment as specified in the HRMS/STARFIRE security plan. The two modules which have been implemented as interim solutions outside of the HRMS/STARFIRE environment are detailed under the separate Exhibit 300 submissions for NRCareers and Strategic Workforce Planning, respectively.

A. *Does the project (system/application) have an up-to-date security plan that meets the requirements of OMB policy and NIST guidance? What is the date of the plan?*

As we define the approach to be used in implementing each module, the security documentation requirements will also be defined. Those HRIS modules which will be implemented under the HRMS/STARFIRE environment will use the security controls and measures of that environment as defined in the HRMS/STARFIRE security plan. Modules developed outside that environment will require separated security plans to assure that they meet the OMB and NIST requirements.

B. *Has the project undergone an approved certification and accreditation process? Specify the C&A methodology used (e.g., NIST guidance) and the date of the last review.*

Because the HRIS project is based on a series of modules implemented under the HRMS/STARFIRE environment using PeopleSoft COTS software, no separate certification or accreditation is anticipated over and above those that the HRMS/STARFIRE environment received in 2001. Certification and accreditation will be addressed as soon as definition of the modules and their relation to HRMS/STARFIRE is confirmed.

C. *Have the management, operational, and technical security controls been tested for effectiveness? When were most recent tests performed?*

As each module is defined and developed, security controls will be tested at that time.

D. *Have all system users been appropriately trained in the past year, including rules of behavior and consequences for violating the rules?*

All NRC staff are required to attend an annual security awareness and training program to ensure that personnel involved in managing and using this information are aware of security rules, their responsibilities and the proper incident reporting procedures.

E. *How has incident-handling capability been incorporated into the system, including intrusion detection monitoring and audit log reviews? Are incidents reported to GSA's FedCIRC?*

NRC has recently implemented information systems security incident response procedures. These are part of the underlying security services provided by the NRC LAN general support system. The incident response procedures have been reviewed and approved by GSA's FedCIRC, and the NRC is reporting incidents to the GSA FedCIRC.

F. *Is the system operated by contractors either on-site or at a contractor facility? If yes, does any such contract include specific security requirements required by law and policy? How are contractor security procedures monitored, verified, and validated by the agency?*

Contracts for the operation of future modules will incorporate all security requirements required by law and policy. Current plans call for modules to be implemented in the HRMS/STARFIRE environment, and operations contract security provisions are addressed in the Exhibit 300 for that project. System operation of the two currently implemented modules are addressed in the Exhibit 300's for NRCareers, and Strategic Workforce Planning, respectively.

II.B.3 *How does the agency ensure the effective use of security controls and authentication tools to protect privacy for those systems that promote or permit public access?*

The only module of HRIS that involves public access is the recruitment module, which is currently implemented as an interim solution using NRCareers. In the future, NRC will evaluate the feasibility of using the PeopleSoft recruitment module of the HRMS/STARFIRE project. Security controls for these systems are addressed in the security plans for those projects.

II.B.4 *How does the agency ensure that the handling of personal information is consistent with relevant government-wide and agency policies?*

All NRC staff are required to attend an annual security awareness and training program to ensure that personnel involved in managing and using this information are aware of security rules, their responsibilities and the proper incident reporting procedures.

II.B.5 *If a Privacy Impact Assessment was conducted, please provide a copy to OMB.*

This system contains personal data. A Privacy Impact Assessment is attached.

II. C. Government Paperwork Elimination Act (GPEA)

II.C.1 *If this project supports electronic transactions or record-keeping that is covered by GPEA, briefly describe the transaction or record-keeping functions and how this investment relates to your agency's GPEA plan.*

OHR's primary initiative in regard to the GPEA is the submission of resumes and applications for employment. A description of this initiative in the GPEA Compliance Plan reads, "The general public currently submits hard-copy employment applications. This process can be automated for electronic submission via the web. Some attachments an applicant may wish to submit may not be conducive to electronic submission." The implementation of NRCareers has satisfied the initiative of automating the NRC application process. This reduces hard-copy applications from approximately 3000 applicants per year. The HRIS will continue to meet this initiative with future planned implementations.

II.C.2 *What is the date of your GPEA plan?*

August 9, 2000

II.C.3 *Identify any OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment.*

Not applicable