

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

Agency **U.S. Nuclear Regulatory Commission**
 Bureau

Account Title **Salaries and Expenses**

Account Identification Code **31-0200-0-1-276**

Program Activity **Nuclear Reactors**

Name of Project **Emergency Telephone System (ETS)**

Unique Project Identifier: **429-00-01-03-01-2005-00**

(IT only)(See section 53)

Project Initiation Date **1977**

Project Planned Completion Date **Undetermined**

This Project is: Initial Concept Planning Full Acquisition Steady State
 Mixed Life Cycle

Project/useful segment is funded: Incrementally Fully

Was this project approved by OMB for previous Year Budget Cycle? Yes No

Did the Executive/Investment Review Committee approve funding for this project this year? Yes No

Did the CFO review the cost goal? Yes No

Did the Procurement Executive review the acquisition strategy? Yes No

Is this investment included in your agency's annual performance plan or multiple agency annual performance plans? Yes 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

Is this project information technology? (See section 300.4 for definition) Yes No

For information technology projects only:

a. Is this Project a Financial Management System? (see section 53.3 for a definition) Yes No

If so, does this project address a FFMIA compliance area? Yes No

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 No

If so, is it included in your GPEA plan (and does not yet provide an electronic option)? Yes No

Does the project already provide an electronic option? Yes No

c. Was a privacy impact assessment performed for this project? Yes No

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- d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process? Yes No
- d.1 If yes, were any weaknesses found? Yes No
- d.2. Have the weaknesses been incorporated into the agency's corrective action plans? Yes No
- e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination? Preparations for NRC's Project Matrix Review are just underway. The Review is not expected to be completed until the first Quarter FY 2003, at the earliest. Yes No
- 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

SUMMARY OF SPENDING FOR PROJECT STAGES
(In Millions)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and PY Earlier 2002	CY 2003	BY 2004
Planning:			
Budgetary Resources			
Outlays			
Acquisition :			
Budgetary Resources			
Outlays			
Total, sum of stages:			
Budgetary Resources			
Outlays			
Maintenance:			
Budgetary Resources	690	755	755
Outlays	690	755	755
Total, All Stages:			
Budgetary Resources	690	755	755
Outlays	690	755	755

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.

ETS was initiated in 1988 prior to the development of NRC's EA application and technology layers. Since ETS is a steady-state phone service that originated many years ago, ETS didn't undergo current planning rigor. However, the ETS team will work with the OCIO EA team members to ensure that ETS service will be appropriately addressed in the future.

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

It is assumed that this project will continue to operate at its current level and operational efficiency until it is replaced by an enhanced version. This decision will be largely dependent on OCIO's specification on any replacement for FTS 2001.

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

No other supporting information was derived from research, interviews, and other documentation.

I.B. Justification (All Assets)

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

2. 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?
<p>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.</p>	<p><i>We will respond to operational events involving potential safety or safeguards consequences.</i></p>	<p>X</p>	<ul style="list-style-type: none"> ▪ <i>ETS is a dedicated phone service that allows direct access to nuclear power plants via dedicated phone lines.</i> ▪ <i>Telephonic conversations from the nuclear power plants may assist the NRC in performing its role of oversight during a nuclear power plant emergency.</i>
<p>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</p>	<p><i>We will respond to operational events involving potential safety or safeguards consequences</i></p>		<ul style="list-style-type: none"> ▪ <i>ETS is a system of dedicated telephone lines.</i>

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
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	<i>We will respond to operational events involving potential safety or safeguards consequences</i>		<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.
4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation			<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.
NRC Corporate Management Strategy 1: Employ innovative and sound business practices			<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.			<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.
NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.			<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.
NRC Corporate Management Strategy 4: Communicate strategic change.			<ul style="list-style-type: none"> ▪ ETS is a system of dedicated telephone lines.

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

ETS is response directly to the information needs of agency decision-makers. ETS supports HLS, War on Terrorism, and revitalizing the economy.

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

There are no alternative sources. ETS is a service within the FTS 2001, and as such is not open to alternative sources.

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

6. Who are the customers for this project?

The stakeholders are the managers and professional staff in the reactor safety arena and NRC management in the regions and headquarters, staff involved in reactor protective measures in the regions and state EOCs.

7. Who are the stakeholders of this project?

The NRC staff in the incident response program and managers that must contact power reactors such an emergency occur.

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

No, this is not a multi-agency initiative.

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

This is not applicable. The efficiencies are largely determined by the larger FTS 2001 efficiencies.

9. List all other assets that interface with this asset _____. Have these assets been reengineered as part of this project? Yes ____, No X.

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

This section does not apply to ETS.

Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Planned Performance Improvement Goal	Actual Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
2002						
2003						
2004						
2005						
2006						
2007						

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 _____

The program manager is John Jolicoeur;

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

The contracting officer is Sharon Stewart? Yes _____ No X

3. Is there an Integrated Project Team? Yes _____ No _____

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

4. Is there a sponsor/owner? The sponsor is the Office of Nuclear Security, Yes X No _____

Incident Response Program.

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 ETS has been identified in the NRC's in-progress enterprise architecture (EA)

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

The ETS program falls within the scope of the NRC's baseline EA. As such, this program support the performance of the business functions identified in the agency's enterprise business model, documented in the NRC publication NRC Enterprise Model, by providing the infrastructure required to carry out NRC's mission. The ETS 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 NRC's existing technology planning documents are being updated, the current documents identify some core technology needs. These core technologies 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 identified technologies.

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

The ETS supports the Service to Citizens: public health function and the prevention of illness subfunctions.

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

ETS provides dedicated communications with power plants and NRC residents in the event of emergencies.

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

The EA committee in NRC reviewed this project.

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

There were no major process simplification/reengineering or design changes needed for ETS. This is a steady-state telephone service.

There are no major organization restructuring, training, and change management projects required.

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

There are no major organization restructuring, training, and change management projects required

- H. What are the Agency lines of business involved in this project?

The system deals with the power reactor line of business in the NRC. Within the reactor line of business, this system deals directly with the incident response program.

- I. What are the implications for the agency business architecture?

There are no changes for the NRC business architecture.

II.A.2 Data

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

This is a telephone service.

- B. 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 is a telephone service.

- C. 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?

This is a telephone service.

- 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 is a telephone service,; no spatial data are involved.

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 project provides telephone service to power plants during emergencies.

- A. 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 requirements are in the NRC EA Technical Reference Model.

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)?

Telephone line security is provided by OCIO via FTS 2001. Other security is physical, in that the telephone instruments are within a limited access, special-built area.

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

Security is provided by OCIO via FTS 2001 and would be included in the FTS 2001 estimates.

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?

Yes, the project is part of the FTS 2001 system.

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?

Yes, ETS has a security plan that was completed in June 2001.

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.

ETS did undergo an approved certification and accreditation process. This process followed the NIST guidance, and was completed in June 2001.

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

Yes, the operational and management controls were tested in February 2001.

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

Yes, the system users are appropriately training by team coordinators, whose job it is to provide training on rules of behavior and the consequences of violating the rules.

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?

Incident detection and intruder detection is handled through FTS 2001, and would be reported in the FTS 2001 Exhibit 300.

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?"

NRC follows Management Directive and Handbook 12.3 on matters concerning security and contractors. Contractors with access to ETS are required to undergo a background investigation. The contractors with access to ETS have 'L' level clearances.

- 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?

This does not apply since ETS is not open to public access.

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

ETS is a limited access system within the NRC, and this is not applicable.

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

No privacy impact assessments were required specifically for ETS.

II. C. Government Paperwork Elimination Act (GPEA)

ETS is not subject to 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.

ETS is not subject to GPEA.

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

ETS is not subject to GPEA.

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

ETS is not subject to GPEA.