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 IT Infrastructure
Name of Project Application Support
Unique Project Identifier: 429-00-02—06-01-1028-00
(IT only)(See section 53)
Project Initiation Date 06/93
Project Planned Completion Date 06/03
This Project is: Initial Concept ____ Planning ____ Full Acquisition ____ Steady State _X_
Mixed Life Cycle ____

Project/useful segment is funded:	Incrementally __	Fully _X_
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 plans?	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 ___
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 _X_
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 _X_	No ___

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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 ___ No _X__

d.2. Have the weaknesses been incorporated into the agency's corrective action plans? Yes ___ No _x_

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_

Answer: 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.

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_

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 Earlier	*PY 2002*	*CY 2003*	*BY 2004*
Planning:				
Budgetary Resources				
Outlays				
Acquisition :				
Budgetary Resources				
Outlays				
Total, sum of stages:				
Budgetary Resources				
Outlays				
Maintenance:				
Budgetary Resources		*1,144*	*1,144*	*1,246*
Outlays				
Total, All Stages:				
Budgetary Resources		*1,114*	*1,144*	*1,246*
Outlays				

I. A. Project Description

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

The Application Support program is a steady state IT expenditure. This is the central Ex 300 report.

The Statement of Work (SOW) related to the Comprehensive Information Systems Support Consolidation (CISSCO) II contract provides support for all NRC applications residing on the Unix and NT operating systems. The purpose of this portion of the contract is to define a baseline level of effort for Database Administration and Management activities associated with supporting Sybase RDBMS. The contractor provides the necessary resources to provide comprehensive administration services to the NRC to perform routine and specific services upon request to the production, test and acceptance, and the development database environments. The scope of this task is to utilize COTS software in conjunction with AIX, SUN, Solaris, NT, and Sybase software to design, develop, implement, maintain, and support the NRC distributed database environment using Sybase ASE and Sybase Replication Server.

In addition, the agency purchased a software license for the use of Sybase and must maintain that license by purchasing their yearly maintenance services contract. The agency is also required to maintain a seat license which allows the 2,950 staff within the agency to use all software developed using the Sybase software.

The statement of work for the activity within the maintenance contract outlines the tasks that are required for the contractor support staff to maintain all applications that fit within this environment. It also provides for the various skill levels that are required to complete the level of effort.

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

It is assumed that throughout the life of this contract, the NRC will require an increase in the level of effort as a result of additional applications coming online. There is a push within the agency to re-engineer all of our legacy systems and eliminate the use of our contracting services required for mainframe applications. The contractor will be required to train or acquire contracting staff to support this effort. Support for NRC systems is an ongoing effort requiring contractor personnel with various skill levels toinsure the systems run efficiently with maximum availability for the NRC staff. Business essential applications will continue to require the application support program.

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

Applications supported under this CISSCO-II contract have already been determined to be business essential or critical to the NRC to perform its mission. This contract is required to provide development, test, and production support for various applications.

I.B. Justification (All Assets)

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

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.			
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.			
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.			
4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation.			
NRC Corporate Management Strategy 1: Employ innovative and sound business practices.			
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	NRC will recruit, hire, and retain a high-quality, diverse workforce with skills needed to achieve our mission and goals. NRC will focus on results by linking rewards and recognition to outcomes and organization effectiveness.	X	Provides support for various applications used throughout the agency. This enables the NRC to sustain a high-performance staff.
NRC Corporate Management Strategy 3. Provide proactive information management and information technology services	Make it easier for the staff to acquire, access, and use the information they need to perform critical activities. Work jointly with stakeholders to optimize the delivery of information technology and management services. Improve the ability of the NRC and external entities to conduct our mutual business electronically.	X	Provides support for servers supporting NRC Information systems such as the Reactor Program System (RPS). The RPS system provides the staff with such things as inspection information.

NRC Corporate Management Strategy 4. Communicate strategic change.			

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

President's Management Agenda (PMA)	Supports	How Does Your Initiative Support This PMA Item?
Human Capital	X	The Human Capital strategic goal is met by obtaining contractor personnel from the private sector to support applications under the CISCO-II Contract.
Competitive Sourcing		
Financial Performance		
E-Government		
Budget and Performance integration		

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

The private sector is already performing this function.

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

As indicated above, the agency chose this as an alternative.

5. Who are the customers for this project?

The customer base are the various business sponsors for the production applications being serviced. They include: Office of Nuclear Reactor Regulation, Office of Nuclear Materials Safety and Safeguards, the four Regional Offices, Office of the Chief Financial Officer, Human resources, and the Office of the Chief Information Officer.

6. Who are the stakeholders of this project?

Agency personnel.

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

This is not a multi-agency initiative.

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

The CISSCO-II contract provides personnel to perform the required support functions needed to maintain the databases as they are related to the applications. Therefore, the NRC does not have to hire additional FTEs or re-train existing personnel. The contractor is required to provide personnel with the desired skill set in a timely manner and replace personnel as needed. This allows the NRC to reduce salary and training costs while providing support to production systems as well as those under development in a timely and efficient manner.

9. List all other assets that interface with this asset__N/A___. Have these assets been reenigineered as part of this project? Yes____, No____. This is a support effort.

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
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 ____
   Tu Tran, IT Specialist.

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

3. Is there an Integrated Project Team? Yes X No ____

3.A. If so, list the skill set represented.
ADD Staff, ITID Staff, Contract Specialist

4. Is there a sponsor/owner? *Stuart Reiter, Chief Information Officer* 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?

NRC has begun mapping the agency's Enterprise Business Model to the Federal Enterprise Business Reference Model and this support activity may eventually be mentioned as an activity related to a business subfunction. This CISSCO-II Contract support effort has not yet been identified in a completed agency EA. However, some projects are identified in a draft version of the NRC Technical Reference Model that is a part of the EA that is being developed and mapped to the FEAF. This project is a maintenance and support function so although some of the applications that this project supports are identified in the EA (draft TRM), the service contract itself is neither a technology nor an application, so is not mentioned.

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

The Application Support program provides the underlying infrastructure for the data, applications, and information required to support NRC's lines of business. As underlying infrastructure focused on

maintenance and support, especially for NRC's distributed database environment, the Application Support program contributes support appropriate to the applications layer of the EA and is in compliance with it.

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

All new applications, as well as existing applications, are supported.

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

This is a support contract. The contract has provisions to support new systems as they are developed.

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

Not Applicable. This is a maintenance support contract that supports all agency approved systems. The systems get the approval prior to being developed.

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

Not Applicable – this maintenance contract is for support services only.

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

Not Applicable – the maintenance support contract is providing database management support only.

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

Not Applicable - The CISSCO-II support contract provides support for all approved applications.

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

Not Applicable - The CISSCO-II support contract provides support for all approved applications.

II.A.2 Data

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

Not Applicable, this a support services contract.

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?

Not Applicable, this is a support services contract.

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?

Not Applicable, this is a support services contract.

D. 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.

Not Applicable, this is a support services contract.

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.

Not Applicable, this is a support services contract..

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

Not Applicable, this is a support services contract.

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)?

Not Applicable, this is a support services contract.

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

Not Applicable, this is a support services contract.

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?

Not Applicable, this is a support services contract.

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?

Not Applicable, this is a support services contract.

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.

Not Applicable, this is a support services contracts.

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

Not Applicable, this is a support services contract.

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

Not Applicable, this is a support services contract.

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?

Not Applicable, this is a support services contract.

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?"

Contractors are required to have IT level security checks prior to being hired and deployed at the NRC. Agency security office handles the security checks.

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?

Not Applicable, this is a support services contract.

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

Not Applicable, this is a support services contract.

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

Applications Support does not contain personal information on individuals.

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.

Not Applicable, this a support services contract.

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

Not Applicable, this is a support services contract.

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

Not Applicable, this is a support service.