

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 Information Technology Infrastructure
 Name of Project Computer Facilities Operations
 Unique Project Identifier: 429-00-02-06-02-2105-00
 (IT only)(See section 53)
 Project Initiation Date May 15, 1998
 Project Planned Completion Date May 15, 2003
 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 X No ___

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 ___

b. 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
- Preparations for NRC's Project Matrix Review are just underway. The Review will not be completed until the first quarter 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	2.848	0.784	0.856	0.878
Outlays	2.848			
Total, All Stages:				
Budgetary Resources	2.848	0.784	0.856	0.878
Outlays	2.848			

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.**

The Computer Facility Operations program is a steady-state information technology expenditure. This is the initial Exhibit 300 for the Computer Facility Operations program.

The Computer Facilities Operations program provides for the management, operation, maintenance and support of the agency computer facilities. Managed resources include minicomputer and server hardware, and systems and applications software. Services include facility management of all information technology (IT) resources in the NRC Data Centers, and remote printing support for off-site timesharing sites used by the agency.

The Computer Facilities Operations program manages the production operations for several NRC business systems. These include:

Agencywide Documents Access and Management System (ADAMS). ADAMS is an agencywide electronic document and records management system that maintains the NRC's unclassified official program and administrative records in a centralized electronic document repository. This system provides both agency staff and the public access to the records, as appropriate.

Human Resource Management System (HRMS). HRMS is NRC's implementation of a commercial software product, PeopleSoft HR, utilizing the Payroll, Time & Labor and Benefits modules. This is an integrated HR and payroll system designed to assist NRC staff in hiring, retaining and paying employees.

Operational support for these systems is essential to ensuring NRC meets its business needs. This is accomplished by ensuring all the agency computer facilities are run efficiently, are available to the staff, and remain supported by the vendors.

The Computer Facilities Operations program is in the steady state phase of the CPIC life cycle.

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

The following assumptions are made about the Computer Facilities Operations program:

- Services provided are critical for providing support for applications required by Agency employees to facilitate the accomplishment of the NRC mission.
- NRC may require an increase in the level of effort as a result of additional purchases of various types of production hardware, commercial-off-the-shelf (COTS) software packages, and reengineering of agency legacy systems.
- Business essential production applications must be maintained and be kept running so that NRC can meet mission critical needs.

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

NRC systems operated by the Computer Facilities Operations program have already been determined to be business essential for the NRC to perform its mission. NRC is currently planning on replacing the legacy hardware (e.g., mincomputers) with NT and Unix server-based systems.

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.	<ul style="list-style-type: none"> - Make public participation in the regulatory process more accessible. - Use risk information to improve the effectiveness and efficiency of NRC activities and decisions. - Anticipate challenges posed by the introduction of new technologies and changing regulatory demands. - Identify, prioritize, and modify processes based on effectiveness reviews to maximize opportunities to improve those processes. - Actively seek stakeholder input to identify opportunities for reducing unnecessary regulatory burden. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy.
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.	<ul style="list-style-type: none"> - Make public participation in the regulatory process more accessible. - Identify, prioritize, and modify processes based on effectiveness reviews to maximize opportunities to improve those processes. - Improve NRC's regulatory framework in order to reduce unnecessary regulatory burden. - Actively seek stakeholder input to identify opportunities for reducing unnecessary regulatory burden. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the 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.	<ul style="list-style-type: none"> - Make public participation in the regulatory process more accessible. - Identify, prioritize, and modify processes based on effectiveness reviews to maximize opportunities to improve those processes. - Continue to improve NRC's regulatory framework in order to reduce unnecessary regulatory burden. - Actively seek stakeholder input to identify opportunities for reducing unnecessary regulatory burden. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy.
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"> - Focus appropriate agency activities and resources on significant international obligations and U.S. and the NRC international priorities. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy.
NRC Corporate Management Strategy 1: Employ innovative and sound business practices.	<ul style="list-style-type: none"> - Strengthen NRC's financial systems and processes to ensure that NRC financial assets are adequately protected consistent with risk and that our financial information is better integrated with decision-making. - Improve customer service, balancing internal customer needs with overall agency priorities and available resources. - Find new and better ways of doing business to increase effectiveness and efficiency of operations. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy.
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	<ul style="list-style-type: none"> - Recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve NRC's mission. 	X	Provides access to agency computer facilities for agency applications utilized in achieving

	- Base NRC's human resource decisions on sound workforce planning and analysis.		the strategy. The HRMS system hires, pays and processes awards for all employees. Therefore, enables NRC to sustain a high-performing, diverse workforce.
NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.	<ul style="list-style-type: none"> - Work jointly with program and support offices to integrate information technology and business planning as a means of achieving agency goals and strategies. - Make it easier for NRC staff to acquire, access, and use the information they need to perform their work. - Assume leadership role in improving the agency staff's capability to use current and planned information technology to enhance performance. - Provide and maintain a robust, reliable, cost-effective, and "user-friendly" information technology infrastructure that is driven by the agency business needs. - Work jointly with stakeholders to optimize the delivery of information technology and management service. - Improve the ability of the NRC and external entities to conduct our mutual business electronically. - Provide external stakeholders the ability to easily access desired publicly available information to aid in their participation in the NRC's regulatory processes, and to enhance understanding of the agency's mission, goals and performance. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy such as ADAMS (which provides the staff and the public electronic access to agency records, as applicable).
NRC Corporate Management Strategy 4: Communicate strategic change.	<ul style="list-style-type: none"> - Review and assess the effectiveness of communication channels and methods within NRC to ensure that they support the needs of a changing environment. - Assess the effectiveness of communications by evaluating the effectiveness of communication channels or methods used to provide information to the public. 	X	Provides access to agency computer facilities for agency applications utilized in achieving the strategy.

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	Provides standard infrastructure services to meet current and future strategic management of human and resources management needs
Competitive Sourcing	X	Provides standard infrastructure services to meet current and future NRC acquisition and competitive sourcing needs
Financial Performance	X	Provides standard infrastructure services to meet current and future NRC financial performance and information systems needs
E-Government	X	Provides standard infrastructure services to meet current and future NRC e-Government initiatives to better provide information to the public, decrease regulatory burden, and optimize interaction with stakeholders
Budget and Performance Integration	X	Provides standard infrastructure services to meet current and future needs for NRC's Planning, Budgeting, and Program Management process

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

Yes. Other sources include commercial contract or government staff.

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

The decision was made in 1983 to outsource this function in order to offer flexible skills and avoid direct staff costs.

The Computer Facilities Operations program has been outsourced to the private sector since 1983. As such, NRC does not have to hire employees or re-train current employees if a vacancy occurred or requirements changed.

5. Who are the customers for this project?

The customers for this project are NRC employees and contractors located at:

- NRC Headquarters in Rockville, MD
- NRC regional offices in King of Prussia, PA, Atlanta, GA, Lisle, IL, Arlington TX
- 69 nuclear reactor sites
- NRC Technical Training Center, Chattanooga, TN
- NRC High-Level Waste Management Office, Las Vegas NV

Additional customers include stakeholders, licensees, and members of the public who access publicly available information.

6. Who are the stakeholders of this project?

The stakeholders of the Computer Facilities Operations program are all NRC employees and contractors, as well as the general public and licensees who access the public ADAMS system.

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

No, the Computer Facilities Operations program is not a multi-agency initiative.

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

The Computer Facilities Operations program reduces costs by providing contract personnel to perform the functions needed to operate the NRC Data Centers. Therefore, NRC does not have to hire employees or re-train current employees if a vacancy occurred. The contractor is responsible for providing personnel with the desired skill set in a timely manner and can replace personnel as needed when the skill set changes. NRC can reduce salary and training costs, but still obtain contractor personnel with new skill sets as needed. This will enable NRC to support new systems in a timely efficient manner.

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

The Computer Facilities Operations program is ongoing service support labor-based contract. It is not an asset.

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

This Exhibit 300 is the initial baseline for the Computer Facilities Operations program.

Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Planned Performance Improvement Goal	Actual Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
2002	All	High quality level of service provided to customers	Maintain current high level of quality		Possible quantitative goals will be evaluated	

					during FY 2003	
2003	All	High quality level of service provided to customers	Maintain current high level of quality		Possible quantitative goals will be evaluated during FY 2003	
2004	All	High quality level of service provided to customers	Maintain current high level of quality		Possible quantitative goals will be evaluated during FY 2003	

I.D. Program Management [All Assets]

The Computer Facilities Operations program acquires services via a Small Business Administration (SBA) small business set-aside contract.

1. Is there a program manager assigned to the project? If so, what is his/her name? Yes X No

The Computer Facilities Operations program manager is James Corbett, Chief, Infrastructure Operations Branch, Information Technology Infrastructure Division, Office of the Chief Information Officer, 301-415-7415

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

Sharlene McCubbin
Contract Management Branch #1, Division of Contracts, Office of Administration
301-415-6565

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

In addition to the program manager and contracting officer, the Integrated Project Team includes senior computer specialists, senior systems analysts and a senior program analyst.

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

The skill set represented includes: Information Technology Management, Information Technology Specialists, Government Contracts Management, Applications Management, Program Management, and Budget Planning and Execution.

4. Is there a sponsor/owner? Yes X No

The Computer Facilities Operations program sponsor is Arnold E. Levin, Director, Information Technology Infrastructure Division, Office of the Chief Information Officer.

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 Computer Facilities Operations program 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 Computer Facilities Operations program falls within the scope of NRC's baseline EA. As such, this program supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model," by providing the infrastructure required to carry out NRC's mission. The Computer Facilities Operations program 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 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.

As an infrastructure project, the Computer Facilities Operations program primarily supports the NRC internal operations/infrastructure intra-agency operations administration IT infrastructure maintenance lines of business. The ISSC program also provides support for the support delivery of services IT management system maintenance line of business.

Additionally, as an infrastructure project, the NRC Services to the Citizens Lines of Business (and associated Sub-Functions) that are supported by the Systems Administration Support program are: Defense and National Security Operations (Weapons Control), Public Health (Illness Prevention), Research and Development and Science (Technology Research and Development), Environmental Management (Pollution Prevention and Control), and Regulated Activity Approvals (License Issuing and Control, Permit Issuing and Control).

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

The Computer Facilities Operations program provides the underlying agency infrastructure for the data and information required to support the identified Lines of Business and Sub-Functions. These services include providing for operational support for NRC applications residing on Unix, NT, and various legacy operating systems. This program ensures the management, operation, maintenance and support of the agency computer facilities.

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

Yes, the Computer Facilities Operations program 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?

There were no formal business process reengineering tasks required as a result of the Computer Facilities Operations program.

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

There were no major organization restructuring, training or change management projects that were required as a result of the Computer Facilities Operations program.

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

One of the agency support functions is Information Resources Management. Within the IT Infrastructure area under Information Resources Management are the following activities: perform life-cycle management; assess and analyze new technologies; analyze requirements; design, build, test, and install infrastructure; and operate and maintain infrastructure.

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

Currently there are no implications for the agency business architecture since the NRC Computer Facilities Operations program is in the operational phase.

II.A.2 Data**A. What types of data will be used in this project?**

Since the Computer Facilities Operations program only provides infrastructure services, no data is used in this project.

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?

Since the Computer Facilities Operations program only provides infrastructure services, no data is used in this project.

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?

Since the Computer Facilities Operations program only provides infrastructure services, no data is used in this project.

C. 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.

Since the Computer Facilities Operations program only provides infrastructure services, no data is used in this project.

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.**

The Computer Facilities Operations program provides the underlying infrastructure for the data, application, and information required to support NRC's lines of business. As underlying infrastructure, the Computer Facilities Operations program contributes to the technology layer of the NRC EA and continues to provide support appropriate to the application and technology layers.

- 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, all of the hardware, applications, and infrastructure requirements for the Computer Facilities Operations program are included 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)?**

The Computer Facilities Operations program is categorized as a component within the Data Center general support system (GSS) for NRC, and as such, provides capabilities to all NRC users. The program funded and managed by the Office of the Chief Information Officer.

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

In FY 2004, \$67K is allocated to security for the Computer Facilities Operations program.

- 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 Computer Facilities Operations program meets the security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance, because it is the core component of NRC's Data Center general support system, which was formally certified and accredited in July 2002.

- 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. The Computer Facilities Operations program has an up-to-date security plan that meets the requirements of OMB policy and NIST guidance, because it is the core component of NRC's Data Center general support system. The NRC Data Center plan was completed in July 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.**

Yes. The Computer Facilities Operations program was formally certified and accredited in July 2002, using NIST approved processes, because it is the core component of NRC's Data Center general support system

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

Yes, management, operational, and technical security controls have been tested for effectiveness, and all were accomplished as part of the certification and accreditation process completed in July 2002.

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

Yes. Training for all agency employees is addressed under the Agency Computer Security training program, conducted annually.

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 Data Center 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?

No, the Computer Facilities Operations program is government operated at NRC Headquarters.

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?

These controls are discussed in the Security Plan for the NRC Data Center GSS and all security controls and authentication tools were tested during the certification and accreditation process completed in July 2002.

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

The issue of the handling personal information is addressed in the security controls that are designed into the security services provided by the NRC Data Center GSS. The security controls to ensure that personal information is properly handled were verified during system security certification testing.

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

No information on individuals is maintained as part of the Computer Facilities Operations program.

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.

The Computer Facilities Operations program does not include any record-keeping functions or transactions with the public or other government agencies.

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

The Computer Facilities Operations program does not include any record-keeping functions or transactions with the public or other government agencies.

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

The Computer Facilities Operations program does not include any record-keeping functions or transactions with the public or other government agencies.