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 Systems Administration Support
Unique Project Identifier: 429-00-02-06-02-2075-00
(IT only)(See section 53)
Project Initiation Date January 1, 2002
Project Planned Completion Date December 31, 2004
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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Act, exemptions 5
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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	*	1.290	1.242	1.276
Outlays				
Total, All Stages:				
Budgetary Resources	*	1.290	1.242	1.276
Outlays				

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 Systems Administration Support program provides for production administration, as well as operational and maintenance support of NRC applications residing on Unix, NT and various legacy operating systems. The program ensures the high availability and optimum performance of the agency minicomputers and enterprise servers.

The Production Environment Management tasks entail the smooth transition of new applications from development to the production systems and data center teams, the management of risk, business and process improvement, and the implementation and maintenance of configuration and change management. Other tasks under production environment management include management of new systems as they are introduced and upgrades to existing systems to ensure that the handoff between the systems and data center teams remains seamless.

Systems administration and support includes back-end server applications administration; systems programming support; database administration, hardware/software configuration; and inter-system communications.

The Systems Administration Support program provides production support for several of NRC's 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.

Production support for these systems is essential to ensuring NRC meets its business needs. This is accomplished by ensuring all the production applications run efficiently, available to the staff, and remain supported by the vendors.

The Systems Administration Support 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 Systems Administration Support program:

- NRC will continue to use in-house facilities to host ADAMS and HRMS.
- 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.

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

Applications supported by the Systems Administration Support program have already been determined to be business essential for the NRC to perform its mission. These applications are then transitioned from development to production to be maintained under the scope of the Systems Administration Support program.

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.	- 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 systems administration and support of agency applications that are 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.	- 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 systems administration and support of agency applications that are 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.	- 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 systems administration and support of agency applications that are 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.	- Focus appropriate agency activities and resources on significant international obligations and U.S. and the NRC international priorities.	X	Provides systems administration and support of agency applications that are utilized in achieving the strategy.
NRC Corporate Management Strategy 1: Employ innovative and sound business practices.	- 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 systems administration and support of agency applications that are utilized in achieving the strategy.
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	- Recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve NRC's mission. - Base NRC's human resource decisions on sound workforce planning and analysis.	X	Provides systems administration and support for HR and Payroll (HRMS). 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.	- 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.	X	Provides standard infrastructure services to meet current and future Agency automation and business application needs, by providing productions support for backend servers supporting NRC information systems such

	- 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 an and performance.		as ADAMS (which provides the staff and the public electronic access to agency records, as applicable).
NRC Corporate Management Strategy 4: Communicate strategic change.	- 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 standard infrastructure services to meet current and future Agency automation and business application needs.

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 Systems Administration Support 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 System Administration Support program are many. They include 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 System Administration Support program is not a multi-agency initiative.

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

The System Administration Support program reduces costs by providing contract personnel to perform the support functions needed to maintain the production applications. 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 production 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 System Administration Support 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 System Administration Support 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	Maintain current high		Possible quantitative	

		level of service provided to customers	current high level of quality	-	quantitative goals will be evaluated during FY 2003	

I.D. Program Management [All Assets]

The System Administration Support program acquires production support services under a GSA FEDSIM contract.

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

The Systems Administration Support program manager is Judy Seeherman, IT Specialist, Infrastructure Operations Branch, Information Technology Infrastructure Division, Office of the Chief Information Officer, 301-415-5854

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

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FEDSIM is part of the Office of IT Solutions within the Federal Technology Service branch of the General Services Administration

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

The Integrated Project Team includes senior IT specialists, senior program analysts, program office project sponsor, and program office senior analysts.

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

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

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

The Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 production support for NRC applications residing on Unix, NT, and various legacy operating systems. This program ensures the high availability and optimum performance of agency minicomputers and enterprise servers.

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

Yes, the Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support program is in the operational phase.

II.A.2 Data

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

Since the Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support program provides the underlying infrastructure for the data, application, and information required to support NRC's lines of business. As underlying infrastructure, the Systems Administration

Support 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 Systems Administration Support 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 Systems Administration Support program is categorized as a component within the local area network/wide area network (LAN/WAN) 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 Systems Administration Support 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 Systems Administration Support program meets the security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance, because it is a component of the NRC's LAN/WAN 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 Systems Administration Support program has an up-to-date security plan that meets the requirements of OMB policy and NIST guidance, because it is a component of the LAN/WAN GSS. The LAN/WAN GSS 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 Systems Administration Support program was formally certified and accredited in July 2002, using NIST approved processes, because it is a component of the LAN/WAN GSS.

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 LAN/WAN 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 Systems Administration Support 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 LAN/WAN 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 LAN/WAN 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support 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 Systems Administration Support program does not include any record-keeping functions or transactions with the public or other government agencies.