OMB300 - Part I - General Questions

Date of Submission	9/8/2003		
Agency	Nuclear Regulatory Commission		
Bureau Number	00	Name of Investment	Incident Response...
Location in the Budget	N/A	Unique Investment Identifier	429-00-01-03-01-2...
Account Title	Salaries and Expenses	Initiation Date	11/1/1999
Account ID Code	31-0200-0-1-276	Planned Completion Date	9/30/2009
Program Activity	Nuclear Reactors	This Investment Is	Mixed Life Cycle
		Investment/Useful Segment is Funded	Incrementally

Was this investment approved by OMB for previous Year Budget Cycle?	◉ yes ○ no
Did the Executive/Investment Review Committee approve funding for this investment this year?	◉ yes ○ no
Did the CFO review the cost goal?	◉ yes ○ no
Did the Procurement Executive review the acquisition strategy?	◉ yes ○ no
Did the Project Manager identified in Section 1.D review this exhibit?	◉ yes ○ no
Is this investment included in your agency's annual performance plan or multiple agency annual performance plans?	◉ yes ○ no
Does this investment support homeland security?	◉ yes ○ no

Indicate by corresponding number which homeland security mission area(s) this project supports

Intelligence and Warning
Defending Against Catastrophic Threats
Protecting Critical Infrastructure and Key Assets
Emergency Preparedness and Response
Other

Information in this record was deleted in accordance with the Freedom of Information Act, exemptions 2,5
FOIA- 2004-167

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Is this project information technology? ◉ yes ○ no

a. Is this Project a Financial Management System? ○ yes ◉ no

b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)? ○ yes ◉ no

Does the project already provide an electronic option? ○ yes ◉ no

c. If the investment administers information in identifiable form about members of the public, was a privacy impact assessment submitted via PIA@omb.eop.gov with a unique project (investment) identifier? ◉ yes ○ no

d. Was this investment reviewed as part of the FY 2003 Federal Information Security Management 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 investment been identified as a national critical operation or asset by a Project Matrix review or other agency determination? ◉ yes ○ no

f. Was this investment included in a Performance Assessment Rating Tool (PART) Review? ○ yes ◉ no

OMB300 - Part I - Summary of Spending for Project (Investment) Stages

(In Millions)

EXISTING 300	PY-1 and Earlier	PY 2003	CY 2004	BY 2005	BY+1 2006	BY+2 2007	BY+3 2008	BY+4 and Beyond	Total
Planning:									
Budgetary Resources	0	0	0	1.5	[redacted]				

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Outlays	0	0	0	1.1
Acquisition:				
Budgetary Resources	0.76	1.1	1.84	0.5
Outlays	0.76	1.1	1.84	0.5
TOTAL, Sum of Stages:				
Budgetary Resources	**0.76**	**1.1**	**1.84**	**2**
Outlays	**0.76**	**1.1**	**1.84**	**1.6**
Maintenance:				
Budgetary Resources	1.07	2.26	1.31	0.84
Outlays	1.07	2.26	1.31	0.84
TOTAL, ALL Stages:				
Budgetary Resources	**1.83**	**3.36**	**3.15**	**2.84**
Outlays	**1.83**	**3.36**	**3.15**	**2.44**
Government FTE Costs:				
	0	0	0	0

[redacted]

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OMB300 - Part I - 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 Incident Response System at the U.S. Nuclear Regulatory Commission (NRC) is comprised of the Emergency Response Data System (ERDS), Emergency Telecommunications System (ETS), the Operations Center Information Management System (OCIMS), and a new initiative, which is currently in the planning stages, called, Secure Video Teleconferencing (SVTC). Collectively, these systems provide the services that support incident response activities at NRC's Headquarters (Rockville, MD) and four regional offices located in King of Prussia, PA, Atlanta, GA, Lisle, IL, and Arlington, TX. It should be noted that this Exhibit 300 is an initial submission for the Incident Response System and that in prior years, the system components, ERDS, ETS, and OCIMS, have all been reported through separate exhibits. Additionally, it should also be noted that ERDS, ETS, and OCIMS follow different contract schedules. Therefore, the information shown in the Summary of Spending for Project Stages table reflects each of those different contracting cycles.

The Commission at NRC has defined the agency's role in the event of nuclear plant emergencies primarily as one of monitoring licensees at nuclear plants to assure that appropriate recommendations are made with

respect to offsite protective actions. Other aspects of this role include supporting the licensee with technical analysis and logistic support, supporting offsite authorities, keeping other Federal agencies and entities informed on the status of the incident, and keeping the media informed on NRC's knowledge on the status of the incident. Following the accident that occurred at Three Mile Island Unit 2 on March 28, 1979, NRC knew they needed a better method for acquiring data about plant conditions during emergencies. After completing an extensive analysis to determine how to improve their existing ability to acquire data about plant conditions, NRC selected ERDS to fulfill their requirements in 1987. Software development of the ERDS system began in 1988 and the system was deployed at U.S. nuclear facilities regulated by NRC between the period of 1990 and 1993. Since that time, ERDS has remained fully operational.

ERDS is a legacy steady state application that is deployed nationwide and that is 100% in the Service the Solution phase of its System Life Cycle and 18% of its FY2005 funding is for maintenance and the remaining 82% of funding is for modernization. The project has not been subject to NRC's Capital Planning and Investment Control (CPIC) process because the project is identified as an IT expenditure that provides ongoing maintenance and operations. However, the project will be subject to the CPIC process starting in FY2004 because NRC is planning to spend an estimated [redacted]

ERDS is supported by a five-year contract with a current estimated ceiling of $1,272,265.00. The contract, which is now in its fourth year, provides the products and services required to ensure the ongoing maintenance and operations for ERDS. The current ERDS contract officially expires on January 31, 2005.

ETS provides the telecommunications network (telephone circuits and equipment) that NRC depends on to communicate with licensees during declared nuclear emergencies. It is a proprietary means of communicating that fully supports the requirements for voice and data telecommunications between NRC and the emergency response facilities at commercial nuclear power plant and fuel cycle facilities in the United States. The communications link that ETS provides to NRC licensed nuclear facilities are carried over dedicated telephone lines to the FTS2001 telecommunications network (FTS2001 is reported in a separate Exhibit 300 called, Infrastructure Services and Support).

ETS is a legacy steady state system that is deployed nationwide and that is 100% in the Service the Solution phase of its System Life Cycle and 100% of its FY2005 funding will be for maintenance. The project has been subject to NRC's Capital Planning and Investment Control (CPIC) process and is now in the steady state phase of the CPIC life cycle. ETS is supported by a General Services Administration (GSA) FTS2001 contract, that in addition to providing emergency telecommunication services so NRC can respond to nuclear plant emergencies, provides the agency with long distance data and voice services, and asynchronous transfer mode (ATM) and frame relay (FR) lines for agency computer networks.

The FTS2001 contract is an eight-year contract (GS00T99NRD2002) that GSA awarded to MCI World Com and Sprint in December 1998 and January 1999, respectively. The contract affords Federal agencies the opportunity to select one or both vendors for providing long distance data and voice services so that agency requirements can be better met. In the fall of 1999, NRC selected WorldCom as the vendor of choice and established an inter-agency agreement with GSA for long distance data and voice services throughout the duration of the GSA contract, which is now in its fourth year and will officially expire in December 2007.

The Office of the Chief Information Officer (OCIO) funds the services that FTS2001 provides and the Office

of Nuclear Security and Incident Response funds the services that ETS provides through the FTS2001 contract. The FTS2001 contract supports NRC Headquarters, the four NRC regional offices, as well as several other remote locations. The services provided through the FTS2001 contract are critical to NRC's mission and are an integral part of the ETS.

OCIMS is a totally integrated system that has been in place for 10 years. It currently is in the Evaluation/Operational (Steady-State) Phase of the CPIC process and is also in the Selection/Planning Phase of the CPIC process for modernization (upgrades) of the system. It provides the primary infrastructure to support NRC's response to radiological and national security events. It supports the operations center emergency notification desk (the Headquarters Operations Officer's), emergency response training for radiological and national security events, and is used when NRC responds to international events. OCIMS is comprised of three subsystems; data, display and voice subsystems. These subsystems provide the means by which responders can address events.

The Data Subsystem allows responders to generate, control, and manipulate a number of items required for the NRC to properly respond to events. The Data Subsystem is divided into two areas: Headquarters Operations Officer (HOO) database system and Response Computer System (RCS). The HOO database system is an application that allows the HOO to manage information pertaining to the daily operational status of nuclear facilities, nuclear events (daily event and plant status reports are the outcome) and security events. RCS is an application that provides the framework to support and facilitate the creation of analytical information, documents and briefing materials required by responders within the Operations Center, regional offices, and site teams. It provides the mechanism by which each event is archived. The Data Subsystem also includes the Display Subsystem controls.

The Display Subsystem provides the capability to display composite video and static images on monitors in the Operations Center when activated due to an event at a nuclear power plant, fuel cycle facility, materials licensee, transportation accident with radiological consequences, terrorist attack, hurricane tracking and any other event where the NRC decision makers determine it is appropriate to staff the NRC Operations. It includes the capability to choose via the control system what to display on each monitor. The outputs include, but are not limited to, response team status boards, TV tuners as well as satellite and Direct TV capabilities, VHS tape viewing, Geographical Information System (GIS) products, dose projection model (RASCAL) results, the Emergency Response Data System (ERDS) displays, and the ET (Executive Team) chronology of the event.

The voice system is comprised of the Operations Center phone switch (PBX), voice conferencing system and ET Briefing System.

The OCIMS upgrades address the need to re-engineer two of the three subsystems: the Data and Display Subsystems. The upgrades will replace obsolete hardware, keep software current with respect to the changing agency architecture and incorporate lessons learned over the first nine years of system operation. Initial planning began in FY2002 and implementation will begin in FY2003 with completion of the upgrades in FY2004. The upgrades will allow the NRC Operations Center to continue to provide high quality real-time support to agency responders during emergencies as well as meeting the daily needs of the

Headquarters Operations Officers (HOO) who provide continuous shift manning of the Operations Center. This system contributes to the public safety, regulatory efficiency and public confidence by providing tools to the NRC response teams. Areas of this upgrade project assists in the dissemination of information to other Federal agencies including the Department of Homeland Security and Homeland Security Council. NRC also desires to establish a SVTC network at its headquarters and four regional offices. NRC currently does not have SVTC capability. An SVTC system will give Commissioners, managers, and regional administrators the ability to participate in a video teleconference (VTC) when classified or sensitive NRC information (threat, intelligence, and Safeguards Information) is shown or discussed. It also will improve the NRC's capability to securely communicate during national emergencies, terrorist attacks, and local incidents involving nuclear power plants or other licensee facilities. In addition, it will allow the NRC to more efficiently communicate critical classified issues with many Federal agencies such as the Federal Bureau of Investigation, Department of Homeland Security, Department of Energy, National Security Council, Central Intelligence Agency, and White House Situation Room, improving communication and productivity. The system will consist of the necessary cameras, coder-decoder units, video monitors, encryption devices, communication lines, associated equipment, and bridging services to allow NRC headquarters to access the SVTS to securely participate in a VTC with Federal agencies while simultaneously allowing NRC headquarters and regions to securely conduct NRC business via VTC. The project currently is in the Select phase of the Capital Planning and Investment Council process pending approval by the Information Technology Business Council (ITBC). Equipment acquisition and installation is fully funded. Operation and maintenance requirements are budgeted through FY 2006.
Finally, The Incident Response System is entirely outsourced with FTE focused on project management and oversight. This permits NRC to leverage their resources better and acquire the experience and resources required to be successful.

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

NRC will continue to conduct independent technical assessments when emergencies occur at nuclear plants because it is an activity that directly supports NRC's overall mission.
The ERDS project will continue to operate at its current level and operational efficiency because NRC will require an ability to collect data about plant conditions during emergencies so they can conduct independent technical assessments. The ERDS hardware and software will be replaced during FY2005 and FY2006 because the software and hardware will have reached end-of-life and NRC will continue to require an ability to collect data about plant conditions during emergencies so they can conduct independent technical assessments.
NRC will continue to support licensees when emergencies occur at nuclear plants because it is an activity that directly supports NRC's overall mission.
The ETS project will continue to operate at its current level and operational efficiency because NRC requires an ability to communicate with licensees at nuclear plants so they can monitor and support nuclear plant emergencies. The government-wide FTS2001 GSA contract will continue to offer NRC ready access to ETS so NRC can accomplish its mission.

GSA will continue to be responsible for the administration of the FTS2001 contract based on existing contractual agreements, and as an interagency participant, NRC will have no contractual relationship with the telecommunications contractors.
GSA will continue to have the responsibility of ensuring contractor compliance with all applicable Federal laws and regulations.
The FTS2001 GSA contract will be the most suitable vehicle for meeting NRC's current ETS requirements.
GSA will continue to provide this telecommunication contract vehicle to Federal agencies based on existing contractual agreements.
There will be no significant changes to the scope or volume of the ETS related services required by NRC to accomplish its mission.
The OCIMS upgrade project will receive full funding, which will enable OCIMS to continue to operate in a highly efficient and effective manner to meet agency response needs.
Federal agencies increasingly have become interdependent since September 11, 2001, in order to provide for the common defense and security of our nation. Federal agencies will continue to interface to the maximum extent possible to collectively provide that capability. A secure VTC system at the NRC will increase cohesion with other agencies.
Federal agencies will increasingly rely on secure VTC as a resource for command, control, and communications as indicated by the establishment of SVTS, the current routine use of secure VTC by many agencies, and its use during significant events such as the war with Iraq.
A terrorist attack, accident, or natural disaster at a nuclear power plant could impact our nation's infrastructure and incite public anxiety. A secure VTC system will enable the NRC to more efficiently and effectively mitigate any of these occurrences.
A secure VTC system will improve effectiveness and increase flexibility by allowing many more people to participate in classified/sensitive meetings from more locations than currently possible using the single-point, secure-voice, resources that are available to the NRC staff.

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

The contractors for the Incident Response System are tasked to provide best-practice-based products and services. These products and services are assessed based on service agreements and a formal program of contractor surveillance.
NRC had previously acquired services for ETS under GSA's FTS 2000 contract. The same services are now being acquired under GSA's FTS 2001 contract.
The OCIMS upgrade project is being done in a phased approach for each Subsystem. The Data Subsystem comprises the RCS application upgrade which is necessary because: (1) the migration of the operating system (from Windows NT to Windows 2000 server/XP desktop) is necessary due to non-support issues starting in July 2003 and reaching the end of its life cycle in July 2004 (the agency is migrating to this platform as well); (2) lessons learned from the September 11th terrorist attack on the RCS capabilities and limitations; (3) the need to use the Internet (e-Government) as a means to communicate information within

and without the Operations Center; and (4) provide a mechanism to replicate all programs and data from the Operations Center to the designated COG/COOP site. The three phases are The Technical Assessment Phase, Detail Design Phase and the Development and Implementation Phase. The RCS hardware, with the exception of the file servers and display control system, was upgraded as a first step due to two critical needs: (1) software purchased to interact with other Federal agencies (DHS) did not function on the existing agency (OCIO) supported PCs; and (2) the agency went to a seat management system type contract for the PCs and the Operations Center PCs were no longer going to be included (they are not agency standard "seats"). The Technical Assessment Phase included the development of three documents: RCS Concept of Operations, RCS Requirements Statement and RCS Preliminary.
The Display Subsystem re-engineering is needed due to several factors, including the end of life cycle, September 11 response usage, and lack of maintenance support for several major components. The NRC must also modernize the capability to display higher resolution and color graphics outputs such as the Geographical Information System [GIS] results with our dose projection model called RASCAL. The first phase was the technical assessment of how to re-engineer the display subsystem. During this phase three documents were developed: Display Subsystem Functional Requirements, Display Subsystem Preliminary Design, and Display Subsystem Final Design.

OMB300 - Part I - I.B Justification

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

NRC's mission is to regulate the nation's civilian use of byproduct, source, and special nuclear materials, to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment. All of the strategic goals and strategies that support the mission are designed to address four separate arenas. They are the Nuclear Reactor Safety, Nuclear Materials Safety, Nuclear Waste Safety, and International Nuclear Safety Support arenas. Two of the Incident Response System components, ERDS and ETS, directly support the goals and strategies related to the Nuclear Reactor Safety arena by providing an automated system to acquire plant performance and environmental data during declared emergencies so that NRC and State emergency personnel can analyze the data in real-time and by providing a telecommunications network to support voice and data communications between NRC and plant licensees during emergencies. This allows NRC and State offices to respond efficiently and effectively to operational events involving safety or safeguards consequences (see table below for additional detail). The third component of the Incident Response System, OCIMS, supports the goals and strategies related to the Nuclear Reactor Safety, Nuclear Materials Safety, and Nuclear Waste Safety arenas, as well as NRC's Corporate Management Strategies by providing the primary infrastructure for supporting events, through its support of the operations center emergency notification desk and emergency response training, and by providing state-of-the-art technologies. Finally, the fourth component of the Incident Response System, SVTC, supports the goals and strategies related to the Nuclear Reactor Safety, Nuclear Materials Safety, Nuclear Waste Safety, and International Nuclear Safety Support arenas, as well as NRC's Corporate

Management Strategies by providing the secure communication infrastructure to support NRC's response to radiological accidents and national emergencies, and supporting NRC threat assessment activities. (See table below for additional detail).

NRC Strategic Goals	NRC Strategies	Supports	How Does Initiative Support NRC Goal or Corporate Management Strategy
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	We will respond to operational events involving potential safety or safeguards consequences.	X	Following the declaration of an alert or higher-level classification at a U.S. nuclear plant, ERDS collects plant performance and environmental data and communicates the information to NRC Headquarters computers for analysis by NRC and State emergency personnel. ERDS is currently doing this at seventy-two U.S. commercial nuclear power reactor sites that NRC regulates. ETS allows NRC to provide oversight during nuclear power plant emergencies. It provides the telecommunications services that NRC needs to respond to emergencies and implement strategies. It also provides the communication links that enable the exchange of information between the project stakeholders. OCIMS provides the primary infrastructure to support NRC's response to radiological and national security events. OCIMS supports the operations center emergency notification desk and supports emergency response training for radiological and national security events. SVTC will provide a secure

			communication infrastructure to support NRC's response to radiological accidents and national emergencies. SVTC will support NRC threat assessment activities and SVTC will support emergency response training for radiological and national security events.
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	We will respond to operational events involving potential safety or safeguards consequences	X	OCIMS provides the primary infrastructure to support NRC's response to radiological and national security events. OCIMS supports the operations center emergency notification desk. OCIMS supports emergency response training for radiological and national security events. SVTC will provide a secure communication infrastructure to support NRC's response to radiological accidents and national emergencies. SVTC will support NRC threat assessment activities and SVTC will support emergency response training for radiological and national security events.
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	We will respond to operational events involving potential safety or safeguards consequences	X	OCIMS provides the primary infrastructure to support NRC's response to radiological and national security events. OCIMS supports the operations center emergency notification desk. OCIMS supports emergency response training for radiological and national security events. SVTC will provide a secure communication infrastructure to support NRC's response to

			radiological accidents and national emergencies. SVTC will support NRC threat assessment activities and SVTC will support emergency response training for radiological and national security events.
International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation	We will continue to take a proactive role in strengthening safety, safeguards, and nonproliferation worldwide.	X	SVTC will increase the NRC's capability to securely interface with other agencies to enhance the control and accountability of radiological materials to prevent their potential use in radiological dispersal devices.
NRC Corporate Management Strategy 1: Employ innovative and sound business practices	We will find new and better ways of doing business to increase effectiveness and efficiency of operations.	X	OCIMS provides the primary infrastructure to support NRC's response to radiological and national security events. OCIMS supports the operations center emergency notification desk. OCIMS supports emergency response training for radiological and national security events. SVTC will allow the NRC to utilize technology to increase secure communication capability compared to the single-point voice-only system currently in use.
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	We will recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals	X	OCIMS provides state-of-the-art technology, which allows the staff to gather information on events not previously available due to outdated technology. OCIMS allows for additional training on new equipment, if needed.
NRC Corporate Management Strategy 3: Provide proactive information	We will make it easier for the staff to acquire, access, and use the information they need to	X	OCIMS will help prepare access, communicate, disseminate, and apply information related to events that is essential to achieving the NRC mission.

management and information technology services.	perform their work We will assume a leadership role in improving the agency staff's capability to use current and planned information technology to enhance performance		OCIMS allows information technology services to enable staff and stakeholders to better access and use needed information thereby significant efficiency gains are possible for all participants in the regulatory process. In addition to supporting the effectiveness and efficiency goal, information management and information technology services directly support the agency's goals to maintain safety, reduce unnecessary regulatory burden, and increase public confidence. SVTC will help prepare access, communicate, disseminate, and apply classified and sensitive unclassified information essential to achieving the NRC mission. SVTC will also provide information technology enabling the NRC staff to better access and use needed information thereby improving productivity, efficiency, and effectiveness.
NRC Corporate Management Strategy 4: Communicate strategic change.	We will review and assess the effectiveness of communication channels and methods within the NRC to ensure that they support the needs of a changing environment. On the basis of this assessment, we will develop and implement communication plans that support strategic change and fosters the desired work environment.	X	OCIMS will help prepare access, communicate, disseminate, and apply information related to events that is essential to achieving the NRC mission.

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

Human Capital

Each Incident Response System component supports this agenda item in different ways. Maintaining a core group of NRC emergency response staff knowledgeable with the skills required to use ERDS effectively is paramount to the overall success of NRC's Incident Response program. This is consistent with the president's Human Capital initiative as it describes a need to adopt information technology systems to capture employee knowledge and skills. Although ERDS is a legacy system that is near end-of-life, it currently supports the president's initiative by providing users with basic methods for sharing knowledge. In the future, as the use of knowledge management systems increase and ERDS is modernized in FY2005 and FY2006, the system will be enhanced to capture and retain user knowledge so it can be exported and used in a knowledge management system. Also, ETS supports the initiative by providing the standard infrastructure services to meet both current and future strategic management needs for human and resources management in support of emergency telecommunications requirements at NRC. The OCIMS upgrade project also supports the initiative by retaining highly qualified and experienced staff and allowing additional training to the staff, as necessary, to operate state-of-art technology that the upgrade will offer. This will help to ensure that a high-quality workforce is in place to meet the agency mission.

Competitive Sourcing

Throughout the life of the ERDS project, NRC has competitively outsourced it every three to five years. Starting in February 2005, when the current ERDS contract expires, NRC will competitively bid the project as a performance-based acquisition.

ETS provides the standard infrastructure services to meet both the current and future NRC needs for acquisition and competitive sourcing by utilizing GSA's contract vehicle.
The current OCIMS contract (under which these upgrades are being performed) was re-competed in 2000 using the NRC's Focus Source Selection process. Additional e-procurement initiatives will be used whenever possible.

Financial Performance

ERDS and OCIMS remain positioned to provide support and services through sound financial investments in software, hardware, and labor required to maintain system readiness.

ETS provides the standard infrastructure services to meet both current and future NRC needs for financial performance and information systems by supporting emergency telecommunications requirements at NRC.

E-Government

ERDS is a cross-servicing provider because it provides data about nuclear plant and environmental conditions to State emergency personnel. In the future, the project is positioned to take advantage of the Government's single e-procurement portal for accessing solicitation notices and conducting e-procurements throughout the full term of the system life cycle. ERDS has undergone an E-Gov Strategy Review.
ETS provides the standard infrastructure services to meet both current and future NRC e-Government initiatives so that information can be provided to the public in better ways, regulatory burden can be decreased, and interaction with stakeholders can be optimized through the ongoing support of NRC's emergency telecommunications network requirements.
The OCIMS upgrade project supports the E-Government initiative in that part of it will be addressing the issue of how to automate our internal process to reduce costs internally, within the federal government, by disseminating best practices across agencies. The project supports using the web as a way of informing NRC staff, citizens and other federal counterparts the status of an event; thereby saving them money and resources.

Budget and Performance Integration

ERDS currently has processes in-place to monitor contract performance and costs. However, in February 2005, NRC plans to bid the work as a performance-based acquisition so that monitored performance can be integrated with associated project costs. It is believed that this acquisition method will provide better performance results, improved resource management and accountability and will result in overall improved financial performance.

ETS provides the standard infrastructure services to meet both current and future needs for NRC's planning, budgeting, and program management process by supporting emergency telecommunications requirements at NRC.

The performance results of the OCIMS upgrade will be identified and measured through NRC's ability to rapidly respond to events at nuclear power plants, fuel cycle facilities, materials licensees, transportation accidents with radiological consequence, terrorist attacks, hurricane tracking and any other event where the NRC decision makers determine is needed.

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

5. Who are the customers for this project?

Each Incident Response System component has its own set of customers. The customers of the ERDS component are the licensees at NRC regulated nuclear plants whose plant computers provide the data collected, the NRC and State emergency personnel that monitor and analyze the data collected, and the NRC officials that make informed decisions based on results from ERDS data analysis. Some indirect customers of ERDS, who are also required to make informed decisions based on the results of an ERDS data analysis performed by NRC and State emergency personnel, are the White House, Congress, Department of Homeland Security, Secret Service, Department of Energy, Department of Agriculture, Federal Aviation Administration, Federal Emergency Management Agency, and the Environmental Protection Agency, State Governors, State and County law enforcement personnel, State and County Fire and Rescue personnel, media organizations, and the public.

The customers of the ETS component are the licensees at NRC regulated nuclear plants, NRC and State emergency personnel, and NRC officials that make informed decisions based on the conversations conducted between NRC and State emergency personnel, and licensees over the ETS. Some indirect customers of ETS, who are also required to make informed decisions based on the conversations conducted between NRC and State emergency personnel and licensees over ETS, include the White House, Congress, Department of Homeland Security, Federal Bureau of Investigation, Secret Service, Department of Energy, Department of Transportation, Department of Agriculture, Federal Aviation Administration, Federal Emergency Management Agency, Environmental Protection Agency, State Governors, State and County law enforcement personnel, State and County Fire and Rescue personnel, media organizations, and the public.

The customers of the OCIMS component are the NRC emergency response staff assigned to work on NRC's Executive Team, Status Officer Team, Reactor Safety Team, Protective Measures Teams (reactor, materials and fuel cycle), Fuel Cycle Safety Team, Safeguards Team, Liaison Team or Operations Support Team. Additionally, other customers are Headquarters Operations Officers, response personnel assigned to work on the Response Coordination Team, Homeland Security, and regional responders assigned to work on either the Base or Site Teams at each NRC regional office.

The customers of the SVTC component include any NRC staff member that has the appropriate access authorization (security clearance), and a need-to-know, NRC's Commissioners, Executive Director for Operations and deputies, the Office of Nuclear Reactor Regulation, the Office of Nuclear Regulatory Research, the Office of Nuclear Material Safety and Safeguards, the Office of Nuclear Security and Incident Response, and NRC regional offices. Other customers also include members of the intelligence community (CIA, DIA, FBI, etc...), Department of Energy, Department of Homeland Security, and the White House Situation Room.

6. Who are the stakeholders of this project?

Each Incident Response System component has its own set of stakeholders. The stakeholders of the ERDS component are licensees at NRC regulated nuclear plants whose plant computers provide the data being

collected, the NRC and State emergency personnel that monitor and analyze the data being collected, and the NRC and State officials that make informed decisions based on the data analysis results.
The stakeholders of the ETS component are the licensees at NRC regulated nuclear plants, NRC and State emergency personnel, and the NRC and State officials that make informed decisions based on conversations conducted between NRC, State emergency personnel, and licensees over the ETS circuits.
The stakeholders of OCIMS are NRC responders assigned to work on NRC's Executive Team, Status Officer Team, Reactor Safety Team, Protective Measures Teams (reactor, materials and fuel cycle), Fuel Cycle Safety Team, Safeguards Team, Liaison Team or Operations Support Team. Additionally, other stakeholders are the Headquarters Operations Officers, response personnel assigned to work on the Response Coordination Team, Homeland Security, regional responders assigned to work on either the Base or Site Teams at each NRC regional office, other Federal agencies (Department of Energy, Federal Emergency Management Agency, Environmental Protection Agency, US Department of Agriculture, Health & Human Services, Federal Bureau Investigation, Department of Homeland Security, Federal Aviation Administration, Department of State, Department of Interior, etc.), State and local governments, licensees, and the public.
The stakeholders of SVTC are NRC's Commissioners, Executive Director for Operations and deputies, the Office of Nuclear Reactor Regulation, the Office of Nuclear Regulatory Research, the Office of Nuclear Material Safety and Safeguards, the Office of Nuclear Security and Incident Response, and NRC's regional offices.

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

The ERDS and OCIMS Incident Response System components are not multi-agency initiatives. However, OCIMS does provide better support and faster deployment of information in emergencies at a cost savings to Federal counterparts that include the Department of Energy, Federal Emergency Management Agency, and Environmental Protection Agency, US Department of Agriculture, Health & Human Services, Federal Bureau Investigation, Department of Homeland Security, Federal Aviation Administration, Department of State, and Department of Interior.

The FTS2001 program, which includes ETS, is not a multi-agency initiative. However, GSA's FTS2001 program is a multi-agency initiative. Some of the Federal agencies currently using FTS2001 services under the GSA contract include the Department of Defense, Department of Energy, Department of Treasury, Health and Human Services, Department of Veteran Affairs, and Department of Interior.
The SVTC Incident Response System component is not a multi-agency initiative. However, the project is necessary to enable the NRC to connect to SVTS, which is a secure network used by multiple Federal agencies.

7.a If this is a multi-agency initiative, discuss the partnering strategies you are implementing

with the participating agencies and organizations.

There are no multi-agency initiatives in the IRS program or its program

8. How will investment reduce costs or improve efficiencies?

The ERDS component has drastically improved NRC's ability to acquire and assess data about plant and environmental conditions during emergencies. Prior to the existence of ERDS, NRC acquired its data about plant and environmental conditions during emergencies through voice transmission with licensees over the Emergency Notification System (ENS). This proved to be a less than accurate and a less timely data collection method with a significant probability for error. This investment has been able to augment NRC's current emergency response capabilities by allowing the ENS telephone to be used for conducting voice communications between NRC staff and licensees about the status of plant equipment, while the ERDS system collects the data pertaining to plant and environment conditions so that emergency personnel can assess the information online and in real-time. This investment has increased both the accuracy and timeliness of the data being collected so that NRC can assess emergencies more efficiently to protect public health and safety.

The efficiencies gained through the ETS component are best described through the efficiencies identified under the FTS2001 program. The long distance data and voice services provided by the FTS2001 program give NRC an opportunity to aggregate their agency-wide services so that efficiencies and performance are improved upon. The FTS2001 program also reduces the overall costs associated with the agency's local area network (LAN), wide area network (WAN), and other networks used to communicate with NRC resident inspectors at licensed nuclear facilities and national laboratories.

The OCIMS component has improved NRC's ability respond to nuclear power plant events, fuel cycle facility events, gaseous diffusion events, transportation events and national security events. Prior to using OCIMS, the response organization used a stovepipe type system for data collection and preparation. The previous system did not have archiving capability nor were the systems integrated for a smooth and easy to use system for responders. OCIMS has also increased both the accuracy and timeliness of the documents being created so that NRC decision-makers can effectively and efficiently protect public health and safety. Additionally, the OCIMS upgrades are necessary to ensure that the system continues to provide all of the capabilities needed by response organizations to respond effectively and efficiently to events. The systems must be fully integrated and operator friendly and meet the technological needs of the response teams, which have evolved over the last 10 years. The upgrades will provide the response teams with better tools for fulfilling their tasks and meeting the NRC mission. The upgrades will reduce the maintenance costs starting in FY2005.

The SVTC component will also help to reduce costs and improve efficiencies by establishing a secure means to conduct classified and sensitive unclassified business between the NRC headquarters and regions for routine purposes, and by providing secure capability to communicate and obtain timely classified and sensitive unclassified information during incidents and exercises, which will result in improved

management of contingencies. SVTC will increase productivity by reducing time away from offices by senior leaders, managers, and staff, and will increase flexibility by allowing personnel to participate in meetings from multiple locations. SVTC will also posture the NRC to support strategic goals (see I.B.1). SVTC will improve communication interface with other agencies and improve continuity and increase unity within the NRC and with other agencies. Finally, SVTC will reduce constraints by providing VTC locations that allow for more participation than single-point, secure-voice locations. SVTC will also allow for greater clarity in presentations.

9. List all other assets that interface with this asset.

The ETS component provides the underlying emergency telecommunications infrastructure that allows licensees at NRC regulated nuclear plants, NRC and State emergency personnel, and NRC senior officials to communicate with one another during emergencies. The system is provided by the FT2001 infrastructure at NRC, which, in addition to ETS, consists of the wide area network (WAN) infrastructure that network applications use to interface and communicate, the frame relay data services used to communicate with NRC resident inspector sites and national laboratories, the high-speed access services provided between NRC headquarters and regional offices, and the dedicated transmission services (DTS) for conducting video conferences between NRC headquarters, regional offices, and technical training centers.
The OCIMS component interfaces with the Local Area Network (LAN) and the Wide Area Network (WAN), ETS, and ERDS. The SVTC component interfaces SVTS.

9.a Have these assets been reengineered as part of this project? ○ yes ◉ no

OMB300 - Part I - I.C Performance Goals and Measures (All Assets)

Agencies must use Table 1 below for reporting performance goals and measures for existing investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2004.

Table 1 (projects through 2004)

Fiscal Year: 2002

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena: Respond to operational events involving potential safety or safeguards consequences.

Existing Baseline

Emergency Preparedness for Fiscal Year

Planned Performance Improvement Goal

The 24-hour notification point, response organization staffing, response facility availability, communication reliability, and response organization training function will always be maintained at 99%.

Actual Performance Improvement Results

The 24-hour notification point, response organization staffing, response facility availability, response organization training, and communication reliability functioned at 100%.

Planned Performance Metric

NRC is ready to respond to emergencies 99% of the time.

Actual Performance Metric Results

NRC is ready to respond to emergencies 100% of the time.

Fiscal Year 2002

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ERDS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

Schedules for completing ERDS system upgrades, performance testing, and completing needed maintenance will be met 100% of the time.

Planned Performance Metric

ERDS Scheduling requirements are met 100% of the time.

Actual Performance Metric Results

ERDS Scheduling requirements are met 100% of the time.

Fiscal Year 2002

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ETS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

Schedules for completing ETS system upgrades, performance testing, and completing needed maintenance will be met 100% of the time.

Planned Performance Metric

ETS Scheduling requirements are met 100% of the time.

Actual Performance Metric Results

ETS Scheduling requirements are met 100% of the time.

Fiscal Year 2002

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

Project scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing OCIMS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

OCIMS Scheduling requirements are met 90% of the time.

Planned Performance Metric

OCIMS Scheduling requirements are met 100% of the time.

Actual Performance Metric Results

OCIMS Scheduling requirements are met 100% of the time.

Fiscal Year

2003

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena: Respond to operational events involving potential safety or safeguards consequences.

Existing Baseline

100% Emergency preparedness for fiscal year

Planned Performance Improvement Goal

The 24-hour notification point, response organization staffing, response facility availability, communication reliability, and response organization training function will always be maintained at 99%.

Actual Performance Improvement Results

The 24-hour notification point, response organization staffing, response facility availability, and response organization training functioned at 100%. Communication reliability functioned at 98.5%.

Planned Performance Metric

NRC is ready to respond to emergencies 99% of the time.

Actual Performance Metric Results

NRC is ready to respond to emergencies 99.7% of the time.

Fiscal Year

2003

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ERDS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

Schedules for completing ERDS system upgrades, performance testing, and completing needed maintenance were met 100% of the time.

Planned Performance Metric

ERDS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

ERDS Scheduling requirements are met 100% of the time.

Fiscal Year

2003

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ETS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

Schedules for completing ETS system upgrades, performance testing, and completing needed maintenance were met 100% of the time.

Planned Performance Metric

ETS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

ETS Scheduling requirements are met 100% of the time.

Fiscal Year

2003

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing OCIMS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

Schedules for completing OCIMS system upgrades, performance testing, and completing needed maintenance were met 100% of the time.

Planned Performance Metric

OCIMS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

OCIMS Scheduling requirements are met 100% of the time.

Fiscal Year 2004

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena: Respond to operational events involving potential safety or safeguards consequences.

Existing Baseline

99.7% Emergency preparedness for fiscal year

Planned Performance Improvement Goal

The 24-hour notification point, response organization staffing, response facility availability, communication reliability, and response organization training function will always be maintained at 99%.

Actual Performance Improvement Results

TBD

Planned Performance Metric

NRC is ready to respond to emergencies 99% of the time.

Actual Performance Metric Results

TBD

Fiscal Year 2004

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ERDS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

TBD

Planned Performance Metric

ERDS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

TBD

Fiscal Year

2004

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project Scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing ETS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

TBD

Planned Performance Metric

ETS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

TBD

Fiscal Year

2004

Strategic Goal(s) Supported

Nuclear Reactor Safety Arena:
Maintain and operate a continuously staffed Headquarters Operations Center to support the agency in responding to operational events.

Existing Baseline

100% Project scheduling performance for fiscal year

Planned Performance Improvement Goal

Schedules for completing OCIMS system upgrades, performance testing, and completing needed maintenance will be met 90% of the time.

Actual Performance Improvement Results

TBD

Planned Performance Metric

OCIMS Scheduling requirements are met 90% of the time.

Actual Performance Metric Results

TBD

All new IT investments that are development, modernization, or enhancement (DME) for 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model. The PRM Version 1.0, available at www.feapmo.gov, includes detailed guidance about how to incorporate PRM Indicators into the performance goals and measures table below. Please use the Table 2 and the PRM to identify the performance information that pertains to the major IT Investment. Ensure there is a complete tie-in to the strategic goals and objectives described in section I.B.1.

Table 2 (2005 and beyond)

Fiscal Year: 2005

Measurement Area
Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator
Emergency Response

Baseline
N (n = actual number) Nuclear Reactor Accidents

Planned Improvements to the Baseline
No Nuclear Reactor Accidents

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category

Disaster Management

Measurement Indicator

Emergency Response

Baseline

N (n = actual number) events identified as a significant precursor of a nuclear accident

Planned Improvements to the Baseline

No more than one event per year identified as a significant precursor of a nuclear accident.

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator
Emergency Response

Baseline
N (n = actual number) deaths resulting from acute radiation exposures from nuclear reactors

Planned Improvements to the Baseline
No deaths resulting from acute radiation exposures from nuclear reactors

Actual Results
TBD

Fiscal Year 2005

Measurement Area
Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator
Emergency Response

Baseline

N (n = actual number) events at nuclear reactors resulting in significant radiation exposures

Planned Improvements to the Baseline

No events at nuclear reactors resulting in significant radiation exposures

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category

Disaster Management

Measurement Indicator

Emergency Response

Baseline

N (n = actual number) radiological sabotages at nuclear reactors

Planned Improvements to the Baseline

No radiological sabotages at nuclear reactors

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category

Environmental Management

Measurement Indicator

Environmental Monitoring and Forecasting

Baseline

N (n = actual number) events that result in releases of radioactive material from nuclear reactors causing an adverse impact on the environment

Planned Improvements to the Baseline

No events that result in releases of radioactive material from nuclear reactors causing an adverse impact on the environment

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category
Homeland Security

Measurement Indicator
Catastrophic Defense

Baseline
N (n = actual number) radiological sabotages at nuclear reactors

Planned Improvements to the Baseline
No radiological sabotages at nuclear reactors

Actual Results
TBD

Fiscal Year 2005

Measurement Area
Mission and Business Results

Measurement Category
Homeland Security

Measurement Indicator
Catastrophic Defense

Baseline
N (n = actual number) losses, thefts, or diversion of formula quantities of strategic special nuclear

material; radiological sabotages; or unauthorized enrichment of special nuclear material regulated by the NRC

Planned Improvements to the Baseline

No losses, thefts, or diversion of formula quantities of strategic special nuclear material; radiological sabotages; or unauthorized enrichment of special nuclear material regulated by the NRC

Actual Results

TBD

Fiscal Year 2005

Measurement Area

Mission and Business Results

Measurement Category

Homeland Security

Measurement Indicator

Catastrophic Defense

Baseline

N (n = actual number) unauthorized disclosures or compromises of classified information causing damage to national security

Planned Improvements to the Baseline

No unauthorized disclosures or compromises of classified information causing damage to national security

Actual Results

TBD

Fiscal Year 2005

Measurement Area
Mission and Business Results

Measurement Category
Homeland Security

Measurement Indicator
Catastrophic Defense

Baseline
N (n = actual number) breakdowns of physical protection or material control and accounting systems resulting in a vulnerability to radiological sabotage, theft, diversion, or unauthorized, enrichment of special material

Planned Improvements to the Baseline
No breakdowns of physical protection or material control and accounting systems resulting in a vulnerability to radiological sabotage, theft, diversion, or unauthorized, enrichment of special material

Actual Results
TBD

Fiscal Year 2006

Measurement Area
Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator

Emergency response

Baseline

N (n = actual number) Nuclear Reactor Accidents

Planned Improvements to the Baseline

No Nuclear Reactor Accidents

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Disaster Management

Measurement Indicator

Emergency Response

Baseline

N (n = actual number) events identified as a significant precursor of a nuclear accident

Planned Improvements to the Baseline

No more than one event per year identified as a significant precursor of a nuclear accident.

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Disaster Management

Measurement Indicator

Emergency Response

Baseline

N (n = actual number) deaths resulting from acute radiation exposures from nuclear reactors

Planned Improvements to the Baseline

No deaths resulting from acute radiation exposures from nuclear reactors

Actual Results

TBD

Fiscal Year

2006

Measurement Area
Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator
Emergency Response

Baseline
N (n = actual number) events at nuclear reactors resulting in significant radiation exposures

Planned Improvements to the Baseline
No events at nuclear reactors resulting in significant radiation exposures

Actual Results
TBD

Fiscal Year

2006

Measurement Area
Mission and Business Results

Measurement Category
Disaster Management

Measurement Indicator

Emergency Response

Baseline

N (n = actual number) radiological sabotages at nuclear reactors

Planned Improvements to the Baseline

No radiological sabotages at nuclear reactors

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Environmental Management

Measurement Indicator

Environmental Monitoring and Forecasting

Baseline

N (n = actual number) events that result in releases of radioactive material from nuclear reactors causing an adverse impact on the environment

Planned Improvements to the Baseline

No events that result in releases of radioactive material from nuclear reactors causing an adverse impact

on the environment

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Homeland Security

Measurement Indicator

Catastrophic Defense

Baseline

N (n = actual number) radiological sabotages at nuclear reactors

Planned Improvements to the Baseline

No radiological sabotages at nuclear reactors

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category
Homeland Security

Measurement Indicator
Catastrophic Defense

Baseline
N (n = actual number) losses, thefts, or diversion of formula quantities of strategic special nuclear material; radiological sabotages; or unauthorized enrichment of special nuclear material regulated by the NRC

Planned Improvements to the Baseline
No losses, thefts, or diversion of formula quantities of strategic special nuclear material; radiological sabotages; or unauthorized enrichment of special nuclear material regulated by the NRC

Actual Results
TBD

Fiscal Year 2006

Measurement Area
Mission and Business Results

Measurement Category
Homeland Security

Measurement Indicator
Catastrophic Defense

Baseline

N (n = actual number) unauthorized disclosures or compromises of classified information causing damage to national security

Planned Improvements to the Baseline

No unauthorized disclosures or compromises of classified information causing damage to national security

Actual Results

TBD

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Homeland Security

Measurement Indicator

Catastrophic Defense

Baseline

N (n = actual number) breakdowns of physical protection or material control and accounting systems resulting in a vulnerability to radiological sabotage, theft, diversion, or unauthorized, enrichment of special material

Planned Improvements to the Baseline

No breakdowns of physical protection or material control and accounting systems resulting in a vulnerability to radiological sabotage, theft, diversion, or unauthorized, enrichment of special material

Actual Results

TBD

OMB300 - Part I - I.D Project Management

1. Is there a project manager assigned to the project? ◉ yes ○ no

If so what is the project manager's name:

ERDS: Thomas M. Kardaras, Division of Incident Response, Opera...

1.a Identify the members, roles, qualifications, and contact information of the in-house and contract project managers for this project:

ERDS:
Thomas M. Kardaras, NRC Project Officer, Certified Project Manager
Division of Incident Response Operations
Office of Nuclear Security and Incident Response
(DIRO/NSIR), 301 415-6942

Lynne Saul, Program Manager
Scientech, Inc. (contractor)
208 724-9371

ETS:
Thomas M. Kardaras, NRC Project Officer, Certified Project Manager
Division of Incident Response Operations
Office of Nuclear Security and Incident Response
(DIRO/NSIR), 301 415-6942

NRC's designated FTS2001 agency representatives:
Stanley Wood
Benjamin Randall
Jeanette Lanier.

Beverly Moser, GSA Contracting Officer
FTS 2001 WorldCom contract

MCI (primary contractor)
Sprint (secondary contractor)

OCIMS:
Karen Jackson, NRC Project Officer, Certified Project Manager
Division of Incident Response Operations
Office of Nuclear Security and Incident Response
(DIRO/NSIR), 301 415-6398

Annette Sourmany, Program Manager
DigitalNet Government Solutions (contractor)
703 563-7911

SVTC:
Nancy Fontaine, Project Officer
301-415-1253
Mark Van Winkle, Alternate Project Officer
301-415-2212
SVTC contractor has not been established yet.

2. Is there a contracting officer assigned to the project? ◉ yes ○ no

If so what is the contracting officer's name:
ERDS and OCIMS:Joyce A. Fields Contract Management Center...

3. Is there an integrated project team? ◉ yes ○ no

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

An SVTC IPT will be formed during the course of FY04.
In addition to the ETS project officer, the designated FTS2001 agency representatives, and the contracting officer, the ETS Integrated Project Team also includes a senior program analyst.

The cost, schedule, and performance management of the ERDS component is addressed through the agency's various strategic planning, budgeting, and performance management processes. A division director is designated as the project sponsor and is involved in overseeing and managing the project. A project officer is responsible for monitoring and administratively supporting the project throughout the life of the contract. Contractors maintain the system and provide all of the products and services requested by NRC. The project officer, contracting officer, various staff members in Program Management, Policy Development, and Analysis (PMDA) and the Office of the Chief Financial Officer (OCFO) support the

financial matters regarding budget, finance, capital planning, procurement, and earned value management. Starting in FY2005, as the ERDS component is modernized, NRC is planning to establish a more formal Integrated Project Team.
The skill sets for the ETS component that are represented include IT management, senior communications management, government contracts management, financial management, program management, and budget planning. The cost, schedule, and performance management of the project is addressed through the agency's strategic planning, budgeting, and performance management processes. A division director for Incident Response Operations (DIRO) is the official project sponsor of ETS and is involved in overseeing and managing the project. There is also a director in the Office of the Chief Information Officer (OCIO) that sponsors the FTS2001 initiative that the ETS service is provided under. A project officer along with the designated FTS2001 agency representatives is responsible for monitoring and administratively supporting the project. GSA contractors maintain and support the system and provide the products and service that NRC requests. The designated FTS2001 agency representatives, the project officer, the contracting officer, and various NRC staff members from Program Management, Policy Development, and Analysis (PMDA), the office of the Chief Information Officer, and the Office of the Chief Financial Officer (OCFO) support all of the financial matters associated with budget, finance, capital planning, procurement, and earned value management.
The skill sets for the OCIMS component are Information Technology Management, Government Contracts Management, Budget Planning and Execution, Nuclear Engineering, and System Analysis.

4. Is there a sponsor/owner for this project? ◉ yes ○ no

4.a If so, identify the sponsor/process owner by name and title.

The sponsor of the ERDS, ETS, and OCIMS: Richard H. Wessman, Director Division of Incident Response Operations Office of Nuclear Security and Incident Response 301 415-7482. The sponsor of FTS2001:Arnold E. Levin, Director Information Technology

Sponsor Owner Contact Info:

See above

OMB300 - Part I - I.E Alternative Analysis (All Assets)

OMB300 - Part II - II.A Enterprise Architecture

II.A.1 Business

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

All of the components that comprise the Incident Response System are listed in the agency's enterprise architecture. The OCIMS component of the Incident Response System utilizes the e-mail and Internet continuity of the agency's EA. The Office of Nuclear Security and Incident Response (NSIR) are working closely with OCIO EA staff to ensure that OCIMS replacement systems will be in compliance with NRC's in-progress EA.

5

A.1 Will this investment be consistent with your agency's "to be" modernization blueprint?

The Incident Response System is within the scope of the agency's baseline enterprise architecture. As such, the project supports 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 data required by NRC's Service to Citizens - Public Health, and utilizing 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 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 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 sub-functions as derived from the NRC Enterprise Model. NRC is working to uncover additional internal crosscutting initiatives and has begun to look at other agency business processes and state business processes to identify potential areas for collaborative efforts.

The Office of Nuclear Security and Incident Response (NSIR) is the NRC's EA pilot organization (NSIR is the project office). The Incident Response System is a core support system for NSIR activities (providing primary infrastructure to support NRC's response to radiological and national security events, supports emergency response training for radiological and national security events, support operations center emergency notification desk (Headquarters Operations Officer, etc.) to meet the NSIR mission. The results from the pilot will be the model component of NRC's "to be" modernization blueprint.

B. Was this investment approved through the EA Review committee at your agency? ◉ yes ○ no

C. What are the major process simplification/reengineering/design projects that are required as part of this IT investment?

There were no major process simplification/reengineering or design changes needed for the Incident Response System. ERDS and ETS are steady state systems, and no changes are required. Furthermore, ETS is a steady state telephone service. OCIMS has not performed a major process simplification project but will be looking at ways to improve existing business processes as the OCIMS business case is further developed.

D. 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, except that continued operator training is required.

E. Please list all the Lines of Business and Sub-Functions from the FEA Business Reference Model that this IT investment supports.

Line of Business	Sub-Function
Homeland Security	Catastrophic Defense
Disaster Management	Emergency Response
Health	Consumer Health and Safety

II.A.2 Data

A. What types of data will be used in this investment? Examples of data types are health data, geospatial data, natural resource data, etc.

The ERDS component of the Incident Response System processes nuclear power plant data reflecting plant conditions and radiological releases, as well as meteorological data reflecting current weather conditions. Since the ETS component of the Incident Response System only provides infrastructure services, no data is used.
The OCIMS component of the Incident Response System processes event data and event related information. The Data Subsystem is divided into two areas: 1) The HOO LAN contains the HOO database system and call list information. The Response Computer System (RCS) application provides the framework to support and facilitate the creation of analytical information, documents and briefing materials required by responders. It provides the primary mechanism by which each event is archived. The NRC may also use this subsystem to respond to international events, as may be required. The items controlled by the Data Subsystem can include, but not necessarily be limited to, information such as event response team rosters, public notifications, maps, pictures, and weather data. This information must be controlled in such a fashion that it can be updated quickly, maintain historical data and be made available to any of the response team members through large screen monitor displays or computer based monitor displays.
The SVTC will use sensitive and classified data.

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

For the ERDS component of the Incident Response System the nuclear plant data does not exist at the Federal level or the Local levels. However, it does exist at the State level because some States have their own statewide data collection system. The data used by the SVTC component does exist at the levels mentioned.

Since the ETS component of the Incident Response System only provides infrastructure services, no data is used.

For the OCIMS component of the Incident Response System, the data does not already exist, and therefore, data and information is gathered as an event unfolds. However, the HOO database system does reference information about Federal and State responders and licensees.

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?

For the ERDS component of the Incident Response System the data provided to ERDS is unanalyzed nuclear power plant data and is comprised of sensitive unclassified pre-decisional information.
Since the ETS component of the Incident Response System only provides infrastructure services, no data is used.
For the OCIMS component of the Incident Response System, the data collected during an event response contains pre-decisional information. The data collected for the call lists is not transferable.

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.

The IRS program does not process spatial data.

E. If this activity involves the acquisition, handling or storage of information that will be disseminated to the public or used to support information that will be disseminated to the public, explain how it will comply with your agency's Information Quality guidelines (Section 515 requirements)?

The OCIMS component of the Incident response system is the only component required to disseminate public information. NSIR staff is working with OCIO staff to make certain that the information disseminated to the public complies with the agency's Information Quality guidelines.

F. Managing business information means maintaining its authenticity, reliability, integrity, and usability and providing for its appropriate disposition. Address how the system will manage the business information (records) that it will contain throughout the information life cycle.

Because NSIR is a newly formed office, the record retention schedule is being developed and will include the appropriate disposition of records. Some records are maintained indefinitely (such as maps) for reference purposes. The Incident Response System currently maintains off-site tape backups of information for OCIMS and ERDS on a daily, weekly, monthly, and quarterly basis. System backups are maintained off-site as well.

II.A.3 Application, Components and Technology

A. Relation to Service Component Reference Model:

This ERDS component of the Incident Response system was completed prior to completion of NRC's EA architecture layers. Since ERDS is a steady state system, the project team will work with the Office of the Chief Information Officer's (OCIO) architecture team to assure that any requirements concerning the application and technology layers of the EA are fully met.
The ETS component of the Incident Response System falls under the FTS2001 program, which provides the underlying infrastructure for the data, applications, and information required to support NRC's various lines of business. As underlying infrastructure, the FTS2001 program contributes to the technology layer of the NRC EA and is in full compliance.

Service Domain:	Select...
Service Type:	Select...
Component Name:	Select...
Is this a new component?	no

B. Technology included in the agency Technical Reference Model:

Requirements for ERDS hardware, applications, and infrastructure requirements are under discussion with the OCIO EA team that is currently updating the most recent version of NRC's Technical Reference Model (TRM). Indications are that the current ERDS hardware and software will be considered "legacy" in the updated TRM. The ERDS project team is planning to work closely with OCIO EA team members to determine when hardware and software must be replaced, to identify the applicable target technologies, and to contribute to the overall migration planning effort.
All of the hardware, applications, and Infrastructure requirements for ETS are in NRC's EA Technical Reference Model.
For OCIMS, all of the hardware, applications, components and web technology are in compliance with the NRC's Technical Reference Model. Being a part of the EA pilot as well as working with OCIO EA staff, will make sure to get the best solutions for the business needs as well as making sure that they are in compliance with the NRC's EA Technical Reference Model and the Future Technology Plan.

C. Relation to the Technical Reference Model:

Service Category:	Access Channels
Service Standard:	Other Electronic Channels

Service Specification: Select...
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category: Access Channels
Service Standard: Internet
Service Specification: Select...
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category: Select...
Service Standard: Select...
Service Specification: Select...
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category:	Service Requirements
Service Standard:	Select...
Service Specification:	Select...
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Service Transport
Service Standard:	Service Transport
Service Specification:	Select...
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Service Transport
Service Standard:	Service Transport
Service Specification:	Select...
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Delivery Servers
Service Standard:	Software Configuration Management
Service Specification:	Change Management
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Delivery Servers
Service Standard:	Test Management
Service Specification:	Business Cycle Testing
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Servers / Computers

Service Specification: Select...
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category: Hardware / Infrastructure
Service Standard: Embedded Technology Devices
Service Specification: Select...
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category: Hardware / Infrastructure
Service Standard: Peripherals
Service Specification: Printer
Is this a new specification? no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Select...
Service Specification:	Frame Relay
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Select...
Service Specification:	Ethernet
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Network Devices / Standards
Service Specification:	Hub
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Network Devices / Standards
Service Specification:	Switch
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Network Devices / Standards
Service Specification:	Router
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Network Devices / Standards

Service Specification:	Select...
Is this a new specification?	no

C. Relation to the Technical Reference Model:

Service Category:	Hardware / Infrastructure
Service Standard:	Network Devices / Standards
Service Specification:	Firewall
Is this a new specification?	no

D. Will the application leverage existing components and/or applications across the Government? If so, please describe.

The NRC is a member of the Disaster Management (DM) E-Gov initiative and as such will be analyzing whether the web site created for Disaster Management, for use by partners, is an option for disseminating Incident Response System outputs.

E. Financial Management Systems and Projects, as indicated in Part One, must be mapped to the agency's financial management system inventory provided annually to OMB. Please identify the system name(s) and system acronym(s) as reported in the most recent systems inventory update required by Circular A-11 Section 52.4.

The IRS program does not contain financial management systems.

OMB300 - Part II - II.B Security and Privacy

II.B.1 How is security provided and funded for this project?

Security for the ERDS and OCIMS components is provided in several ways. Security for the wide-area network (WAN) is provided by the Office of the Chief Information Officer (OCIO). That security is addressed in a separate Exhibit 300 submission and OCIO funds security for the wide-area-network. ERDS and OCIMS security, which is funded through each investment, is in the form of physical security as well as virtual security. All ERDS and OCIMS servers and workstations are protected by physical security. The physical location of the ERDS and OCIMS hardware is in guarded buildings, and it resides in building locations where security user access is limited and strictly enforced. The ERDS and OCIMS software also provides a layer of access security to the system and its files.

As for ETS, telephone line security is provided, funded, and managed by the Office of the Chief Information Officer through the FTS2001 program. The program is considered to be a core component of the telecommunications general support system (GSS). Additionally, NRC provides physical security for ETS, in that the telephone instruments are within a limited access emergency operations center.

A. What is the total dollar amount allocated to IT security for this investment in FY 2005?

[redacted]

2

II.B.2 Please describe how the investment (system/application) meets the following security requriements of the Federal Information Security Management Act, OMB policy, and NIST guidelines:

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

The ERDS and ETS components of the Incident Response System have up-to-date security plans that were completed in June 2001. Additionally, the OCIMS component of the Incident Response System also has an up-to-date security plan that was completed in December 2000. The OCIMS security plan will be updated as upgrades, which are now underway, are performed. Certification and accreditation will also be completed.

B. Has the investment been certified and accredited (C&A)? Additionally, specify the C&A methodology used and the date of the last review.

The Incident Response System has undergone an approved certification and accreditation process. This process followed the NIST guidance and was completed in June 2001 and again in October 2002. The system will be going through the accreditation process again during the first quarter of FY 2004 (Oct-December 2003), which coincides with the upgrade schedule and completion of the updated security plan.

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

Yes, the ERDS and ETS management, operational, and technical security controls were tested for effectiveness in February 2001 and February 2003. The OCIMS management, operational and technical security controls were also tested for effectiveness during the last drill in the Operations Center that was performed on June 3, 2003.

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

Incident Response System users have and continue to be appropriately trained by their team coordinators. During training, each user is trained on the rules of behavior and the consequences for violating the rules. Training was last completed on July 16, 2003.

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

The ERDS component of the Incident Response System uses its application software to detect intruders and provides information about intruder events in an audit log. Any incidents are reported to the GSA FEDCIRC.

As for the ETS component of the Incident Response System, NRC recently implemented information systems security incident response procedures. These are part of the underlying security services provided by FTS2001, the NRC telecommunications general support system. The incident response procedures have been reviewed and approved by GSA's FedCIRC, and the NRC is reporting incidents to GSA FedCIRC.

OCIMS intrusion detection is accomplished at the server level through the use of Novell software on the primary and backup RCS servers. Audits are available via Novell console logs. While there have been no intrusion incidents, NRC would report any that are attempted to the GSA FedCIRC and all other appropriate contacts. The system is only accessible by authorized NRC employees and maintenance support contractors, all which currently hold active security clearances.

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 validate by the agency?

All components/systems in the Incident Response System are government owned and operated on NRC premises by government staff, with contractor support. For contractors and contractor security, NRC follows Management Directive 12.3. In accordance with the security plan, contractors with access to ERDS are required to undergo a background investigation. The contractors with access to the Incident Response

System are required to have an "L" level clearance.
Incident Response System contractors are required to report monthly on security procedures for contractor staff. These reports are reviewed by IRS government program management staff and discussed with contractors to ensure that any identified gaps or weaknesses are immediately corrected.

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?

ERDS does not promote or permit public access. Security controls and authentication tools for the FTS2001program are discussed in the Security Plan for the Telecommunications GSS and were fully tested during the certification and accreditation process, which was completed in July 2002. Security controls are discussed in the Security Plan for OCIMS and all security controls and authentication tools were tested during the certification and accreditation process completed in October 2002. The Security Plan will be updated as part of the upgrade process. However, there is no public access to OCIMS.

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

This is not applicable to the ERDS and ETS components of the Incident Response System because they are limited access system at the NRC. However, the handling of personal information under the FTS2001 program is addressed in the security controls designed in the security services provided by the Telecommunications GSS. The current security controls in FTS2001 that ensure proper handling of personal information were verified during system security certification testing. As for the OCIMS component of the Incident Response System, the agency ensures that the handling of personal information is consistent with relevant government-wide and agency policies by limiting the access to this information within the Operations Center, a limited-access area. The security controls for OCIMS to ensure that personal information is properly handled were also verified during system security certification testing.

II.B.5 If a Privacy Impact Assessment was conducted, please provide a copy to OMB at PIA@omb.eop.gov.

yes

OMB300 - Part II - II.C Government Paperwork Elimination Act (GPEA)

II.C.1 If this investment 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 Incident Response System does not include any record-keeping functions or transactions with the public or other government agencies.

II.C.2 What is the date of electonic conversion from your GPEA plan? 9/9/2001

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

The Incident Response System does not include any record-keeping functions or transactions with the public or other government agencies.