ORDER FOR SUPPLIES OR SERVICES

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

BPA NO.

1. DATE OF ORDER **NOV 10 2005**	2. CONTRACT NO. (If any) GS35F0652N	6. SHIP TO:

| 3. ORDER NO. DR-33-05-357-T001 | MODIFICATION NO. | 4. REQUISITION/REFERENCE NO. 11/8/05 DR-33-05-357 | a. NAME OF CONSIGNEE |

6. SHIP TO:

a. NAME OF CONSIGNEE
U.S. Nuclear Regulatory Commission
Attn: Marjorie Dimig, OIS/BPIAD/BSPMB

5. ISSUING OFFICE (Address correspondence to)
U.S. Nuclear Regulatory Commission
Div. of Contracts, CMB3
Attn: Manon Butt, Cont Spc, 301-415-7035
Mail Stop T-7-I-2
Washington, DC 20555

b. STREET ADDRESS
Mail Stop T-6-C-30
11545 Rockville Pike

c. CITY Rockville	d. STATE MD	e. ZIP CODE 20852

7. TO:

a. NAME OF CONTRACTOR
WEBWORLD TECHNOLOGIES

f. SHIP VIA

b. COMPANY NAME
Attn: Cindy Ford, VP Contracts

8. TYPE OF ORDER

☐ a. PURCHASE	☒ b. DELIVERY

c. STREET ADDRESS
4611 KLING DR

Reference your ___
Please furnish the following on the terms and conditions specified on both sides of this order and on the attached sheet, if any, including delivery as indicated.

Except for billing instructions on the reverse, this delivery/task order is subject to instructions contained on this side only of this form and is issued subject to the terms and conditions of the above-numbered contract.

d. CITY ALEXANDRIA	e. STATE VA	f. ZIP CODE 22312-1512

9. ACCOUNTING AND APPROPRIATION DATA
B&R: 57B15122160   JCN: J70025   BOC: 252A   APP: 31X0200
(This action administratively transfers $49,235.40 in funds previously obligated under Order DR-33-05-357 dtd 9/29/2005)

10. REQUISITIONING OFFICE CIO

Office of Information Services

11. BUSINESS CLASSIFICATION (Check appropriate box(es))

☒ a. SMALL	☐ b. OTHER THAN SMALL	☐ c. DISADVANTAGED	☐ g. SERVICE-DISABLED VETERAN-OWNED
☐ d. WOMEN-OWNED	☐ e. HUBZone	☐ f. EMERGING SMALL BUSINESS	

12. F.O.B. POINT
Destination

13. PLACE OF		14. GOVERNMENT B/L NO.	15. DELIVER TO F.O.B. POINT ON OR BEFORE (Date)	16. DISCOUNT TERMS
a. INSPECTION Rockville, MD	b. ACCEPTANCE Rockville, MD		11/10/05 - 09/27/06	Net 30

17. SCHEDULE (See reverse for Rejections)

ITEM NO. (A)	SUPPLIES OR SERVICES (B)	QUANTITY ORDERED (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)	QUANTITY ACCEPTED (G)
	Issuance of Task Order No. 001 entitled "Small Web Application Development - Enforcement Action Tracking System (EATS)," under Delivery Order No. DR-33-05-357.			See CONTINUATION Page		
	In accordance with the task order procedures of the subject Delivery Order, this action definitizes Task Order No. 1. This effort shall be performed in accordance with the enclosed Statement of Work, the terms and conditions of Delivery Order DR-33-05-357, and GSA Schedule No. GS-35F-0652N, and at the prices shown on page 2.					
	Task Order No. 1 shall be in effect from November 10, 2005, through September 27, 2006 with a cost ceiling of $49,235.40					
	NRC Contacts for Task Order No. 1 are:					
	Project Officer: Anne Stracke, 301-415-5796, ALS1@nrc.gov, Mail Stop T-6-C-30 Task Order Manager: Marjorie Dimig, 301-415-5781, MAD@nrc.gov, Mail Stop T-6-C-30					

18. SHIPPING POINT	19. GROSS SHIPPING WEIGHT	20. INVOICE NO.		

SEE BILLING INSTRUCTIONS ON REVERSE	21. MAIL INVOICE TO:		17(h) TOTAL (Cont. pages)
	a. NAME U.S. Nuclear Regulatory Commission Payment Team, Mail Stop T-9-H-4	$49,235.40	
	b. STREET ADDRESS (or P.O. Box) Attn: DR-33-05-357-T001		17(i). GRAND TOTAL
	c. CITY Washington	d. STATE DC	e. ZIP CODE 20555	

22. UNITED STATES OF AMERICA
BY (Signature)

23. NAME (Typed)
Robert B. Webber
Contracting Officer
TITLE: CONTRACTING/ORDERING OFFICER

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

DATE OF ORDER	CONTRACT NO.	ORDER NO.
	GS35F0652N	DR-33-05-357-T001

ITEM NO. (A)	SUPPLIES OR SERVICES (B)	QUANTITY ORDERED (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)	QUANTITY ACCEPTED (G)
001	Database Analyst/Programmer II (CLIN 51-010)				$42,915.60	
002	Document Specialist (CLIN 51-014)				$4,905.00	
003	Project/Task Manager (CLIN 51-034)				$1,414.80	

Total Estimated Amount (Ceiling) $49,235.40

Reference is made to WebWorld Technologies Technical and Price (Revised) Proposal dated November 3, 2005.

The issuance of Task Order No. 1 does not change any terms and conditions of the subject delivery order.

NOTE to NRC Accounting:

Request $49,235.40 in funds previously obligated under Delivery Order DR-33-05-357 dated 09/29/2005 be

administratively transferred to DR-33-05-357-T001 (Task Order No. 1).

This amount is deducted from the $115,000.00 that was obligated on the basic delivery order.

Webworld DUNS: 957461023

Please indicate your acceptance of Task Order No. 1 by having an official authorized to bind your organization

execute three copies of this document in the space below and return two copies to the U.S. Nuclear Regulatory

Commission, Attn: Manon Butt, Division of Contracts, CMB3, Mail Stop T-7-I-2, Washington, DC 20555. The third copy

may be retained for your records.

Accepted:

_____
Name

_____
Title

_____
Date

TOTAL CARRIED FORWARD TO 1ST PAGE (ITEM 17(H)) $49,235.40

Small Web Application Development
Enforcement Action Tracking System
System No. 2005012A
Statement of Work
October 3, 2005

Prepared By
Business Service and Project Management Branch
Business Process Improvement and Applications Division
Office of Information Services

Table of Contents

Statement of Work for the Enforcement Action Tracking System (EATS)

BACKGROUND

The Office of Enforcement (OE) exercises oversight of NRC enforcement programs, provides programmatic and implementation direction to regional and headquarters offices conducting or involved in enforcement activities, and ensures that regional enforcement programs are adequately carried out. The Enforcement Action Tracking System (EATS) is a tracking system that reports and tracks the management of major enforcement actions (EAs) and assesses the effectiveness and uniformity of regional and program office enforcement actions. The system is used to track enforcement actions, escalated and non-escalated, from the time the region or program office notifies OE until disposition. This project is a response to a need to replace the existing client/server automated system which is subject to costly maintenance due to the numerous modifications to the code to accommodate new business practices.

OBJECTIVES

The objective of this task order is to re-engineer and replatform the legacy client/server Enforcement Action Tracking System to the 3-tier web application environment. The development effort shall follow the Project Management Methodology (PMM) outlined in NRC Management Directive 2.8, "Project Management Methodology", and its associated Handbook. This task order will cover the "construction" and "transition" phases of the PMM. The events and artifacts of the phases "inception" and "elaboration" have already been completed for this effort.

SCOPE OF WORK

The current system is documented and the documentation resides at the NRC User's site.

The Contractor shall furnish the necessary personnel, materials, equipment, facilities, travel and other services needed to meet the requirements described in this statement of work. The NRC will supply equipment, software and facilities for any portion of the effort to be performed on-site.

The contractor shall fulfill the Office of Information Services (OIS) requirements for assistance in completing the development, integration, conversion, testing, training and deployment as defined in the PMM.

The startup procedures have already been completed for this effort. They include having a NRC system ID, setting the application up to use the rational suite, setting up a Microsoft SQL Server database, determining the web site that will be used for the application and getting the ColdFusion datasources created for the application based on the Microsoft SQL Server login IDs.

The contractor shall use the existing prototype application and build in the necessary add, update, query and reporting functionality; integrate, test, and implement the application. The

prototype currently resides in the 3-tier development environment.

The application will be written based on the industry standard Fusebox 4.0 or better, ColdFusion 6.1 running on a ColdFusion 6.1 server and retrieves and updates information stored in a Microsoft SQL Server 2000 relational database management system running in the 3-tier environment. The application will employ the web application standards and database standards available at the NRC.

The application shall meet the requirements specified in the System Requirements Specification document (Attachment 1) that pertain to the Enforcement Action Tracking System (EATS).

The Contractor shall update the Project Management Plan and provide a project schedule which describes the tasks associated with the development, integration, testing, training and deployment efforts.

The contractor shall provide a crosswalk of data elements from the client/server database to the new SQL database. The contractor shall provide a data conversion plan and convert the data from the current client/server tables into the Microsoft SQL tables. The database structure is approximately 50% built. There is approximately 25 years of data to convert, approximately 5,000 records.

The contractor shall provide "views" of the data for the end-user to run queries against using Microsoft Access.

The contractor shall develop a users guide and online help facility.

The contractor shall deploy all source code and PMM artifacts to the Rational ClearCase EATS VOB (Versioned Object Base). The requirements have already been stored in Rational RequisitePro. Rational ClearQuest will be used for change control on the requirements.

The Contractor shall test and deploy the application which shall include the following.

> Discuss the cut over strategy and any parallel test of the old and new application.

> Integrate the solution.

> Test the solution. Develop test data, a test plan, execute the test and record the results. Compare actual results with the expected results. Generate a problem report, if applicable, generate appropriate change requests to fix the source of the problem.

> Create the roll-out strategy for the application.

> Deploy the application.

The contractor shall ensure that the application is 508 compliant in accordance with the standards provided at the web site www.section508.gov , Subpart B, Section 1194.22.

All user authentication and authorization for restricted access is accomplished by confirming the

4

UserID and password combinations.

The application will have automated logging of all successful and unsuccessful access attempts performed.

Java Script - Use of Java Script in the application requires approval from the NRC Task Order Manager.

Frames and non-neutral browser effects cannot be components of the application.

Develop the Users Guide for the application portion of this task.

Develop System Documentation including but not limited to:

Web application structure and flow diagram (indicate any external calls).

List of any calls to other resources and a description of their function (e.g., calls to various resources on the enterprise servers including databases and port numbers, eCommerce calls, external database accesses, etc.)

List of all files that will need to be put on the server (Examples include: programs, DLLs, and configuration files). Also include which files to include in scheduled backups.
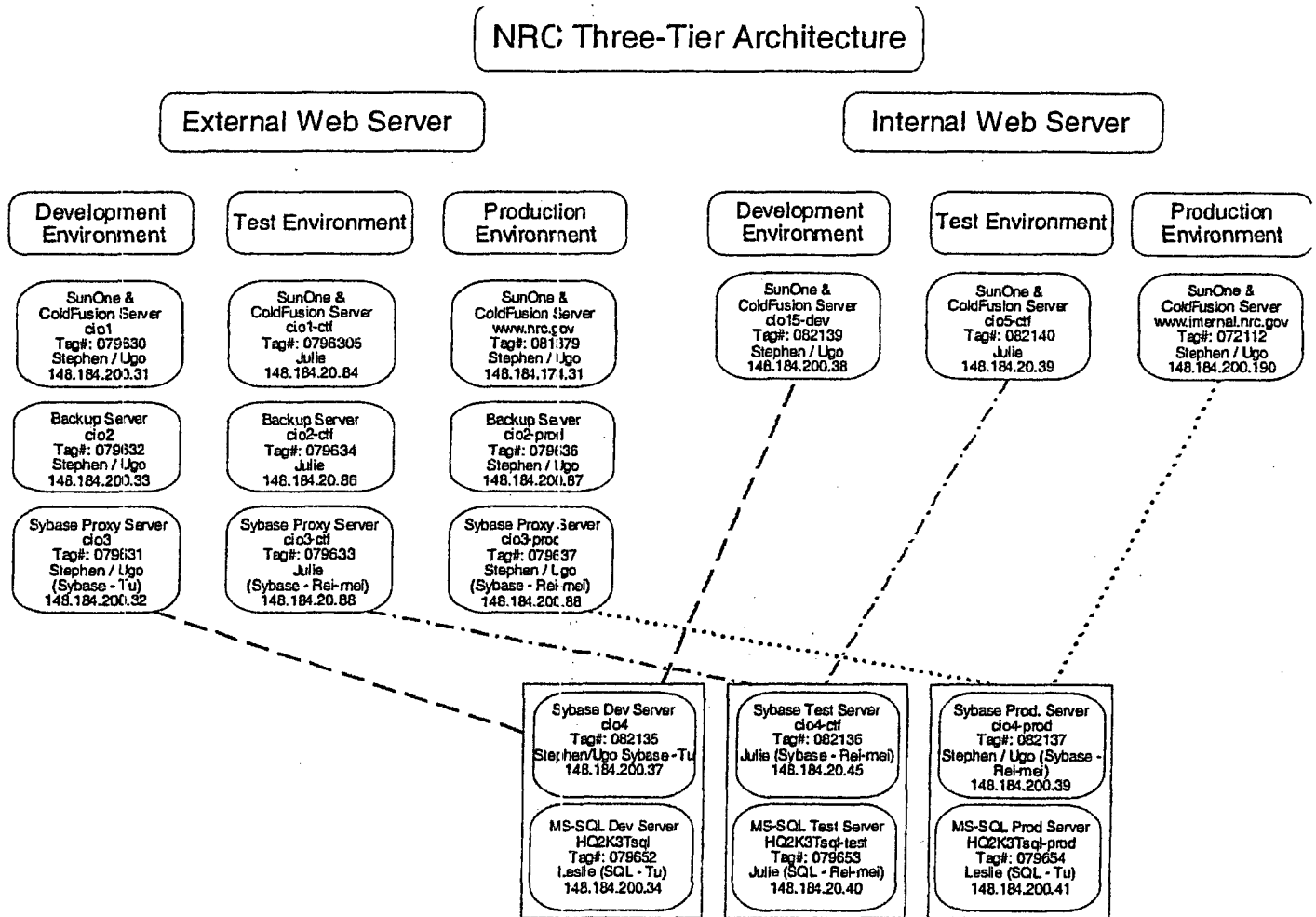
Indicate what security is required for users to access the system. If access is restricted to a group or groups, who is allowed and how is authority determined?

List of personnel who will need access to test servers.

Error recovery instructions if normal procedure of restarting the application is not adequate.

CURRENT ENVIRONMENT

The current NRC operating environment is as follows:

NRC Three-Tier Architecture

External Web Server

Development Environment	Test Environment	Production Environment
SunOne & ColdFusion Server cio1 Tag#: 079630 Stephen / Ugo 148.184.200.31	SunOne & ColdFusion Server cio1-ctf Tag#: 0796305 Julie 148.184.20.84	SunOne & ColdFusion Server www.nrc.gov Tag#: 081379 Stephen / Ugo 148.184.171.31
Backup Server cio2 Tag#: 079632 Stephen / Ugo 148.184.200.33	Backup Server cio2-ctf Tag#: 079634 Julie 148.184.20.86	Backup Server cio2-prod Tag#: 079636 Stephen / Ugo 148.184.200.87
Sybase Proxy Server cio3 Tag#: 079631 Stephen / Ugo (Sybase - Tu) 148.184.200.32	Sybase Proxy Server cio3-ctf Tag#: 079633 Julie (Sybase - Rei-mei) 148.184.20.88	Sybase Proxy Server cio3-prod Tag#: 079637 Stephen / Ugo (Sybase - Rei-mei) 148.184.200.88

Internal Web Server

Development Environment	Test Environment	Production Environment
SunOne & ColdFusion Server cio15-dev Tag#: 082139 Stephen / Ugo 148.184.200.38	SunOne & ColdFusion Server cio5-ctf Tag#: 082140 Julie 148.184.20.39	SunOne & ColdFusion Server www.internal.nrc.gov Tag#: 072112 Stephen / Ugo 148.184.200.190

Sybase Dev Server cio4 Tag#: 082135 Stephen/Ugo Sybase-Tu 148.184.200.37	Sybase Test Server cio4-ctf Tag#: 082136 Julie (Sybase - Rei-mei) 148.184.20.45	Sybase Prod. Server cio4-prod Tag#: 082137 Stephen/Ugo (Sybase - Rei-mei) 148.184.200.39
MS-SQL Dev Server HQ2K3Tsql Tag#: 079652 Leslie (SQL - Tu) 148.184.200.34	MS-SQL Test Server HQ2K3Tsql-test Tag#: 079653 Julie (SQL - Rei-mei) 148.184.20.40	MS-SQL Prod Server HQ2K3Tsql-prod Tag#: 079654 Leslie (SQL - Tu) 148.184.200.41

SCHEDULE OF DELIVERABLES

Deliverables	Due Date
Kick-off Meeting at NRC Headquarters	5 workdays after Task Order startup
Project Schedule	1 week after Kick-Off Meeting
Project Management Plan	30 days after Task Order startup and monthly thereafter

Status Report	30 days after Task Order startup and monthly thereafter
Users Guide	Complete by the User Acceptance Testing start date
Systems Operations Guide	20 days before production deployment
Data Conversion Plan and crosswalk	30 days after Task startup
Test Plan	Complete by the User Acceptance Testing start date
Training Plan	20 days before production deployment
Deploy Source Code	Upon User Acceptance and Security Accreditation

SECURITY CERTIFICATION REQUIREMENTS

EATS is considered to be a Listed System (as defined by IT Security) and will have to follow the certification requirements specified for a Listed System. Those requirements will be met under a separate process from this Task Order.

ORAL BRIEFINGS AND PARTICIPATION IN MEETINGS

Contractor personnel shall attend and participate in regularly scheduled staff, planning and task control meetings as requested. Upon request, the Contractor shall prepare and present oral briefings on progress of work, unique or interesting technical findings, and results of research and presentation of draft conclusions or reports. It is anticipated that meetings may occur bi-weekly initially and taper to an as-needed basis and that up to ten presentations may be necessary. An initial kick-off meeting to introduce the team members will be held when the task order is awarded.

MONITORING OF FUNDS

Work on this SOW is measured in support hours provided and since the effort is constrained by a fixed budget, the contractor shall monitor and report expenditure of staff hours monthly and shall compare actual monthly expenditures with proposed monthly expenditures outlined in the spending plan. The Government reserves the right to redirect effort within the scope of this task to insure that the product is usable within the limits of the funds provided.

PERSONNEL

1. Experience with the use of the Fusebox 4.0 or better methodology for web application development.

2. Experience in developing and creating web services.

3. Experience in developing flexible, reusable code modules.

4. Work experience in a Windows 32 bit operating environment (Windows 2000 or higher) or a Sun/Solaris environment (version 8 or higher).

5. Certification in a web application software is desired; primary focus specific to experience in using CFML (ColdFusion Markup Language) 6.1 with a ColdFusion 6.1 MX server.

6. Experience using relational databases. Primary focus should be MS SQL Server 2000. This includes creating database tables and indexes and writing complex queries based on the Structured Query Language (SQL).

7. Experience in writing stored procedures against databases. Primary focus should be MS SQL Server 2000 databases.

8. Knowledge of Rational Rose, ClearCase, RequisitePro and ClearQuest.

9. Excellent communications and interpersonal skills.

10. Competency in managing development efforts (e.g., costs, schedules, and staff) as demonstrated through prior assignments.

11. Competency in writing user and technical documentation as demonstrated through prior assignments.

NRC Task Order Manager

Name: Margie Dimig
Email: mad@nrc.gov
Address: U.S. Nuclear Regulatory Commission
T-6-C30
Washington, D.C. 20555
Phone: 301-415-5781

REPORTING REQUIREMENTS

The contractor shall update and submit the Project Management Plan and the Project Schedule to cover this task. The Project Schedule will show tasking and sub-tasking, milestones, labor category and/or staff assigned and the project number of hours estimated to complete each task/subtask by staff member. This plan will be maintained in Microsoft Project 2002 or higher format. This plan will be progressed at the above level of detail on a monthly basis for the duration of the task.

The contractor shall provide a Monthly Status Report to the NRC Project Officer and the Contracting Officer by the 15th of each month. Each monthly report will include the task order

number and task name; the period covered by the report; a summary of the work performed during the reporting period by each individual assigned to work on the project along with the number of hours worked; including appropriate statistics and plans for the next reporting period; problems encountered and the proposed corrective action, and analysis of the impact on other tasks within the scope of the task order; and a status of expenditures under the order for the reporting period, cumulative expenditures to date, funds obligated to date and balance of funds required to complete the order.

PLACE OF PERFORMANCE

Place of performance shall be at NRC Headquarters for the application development, testing, integration and production roll-out and at the contractor site for other staff work such as project oversight & writing documentation.

TRAVEL

Travel shall be limited to local travel only.

PERIOD OF PERFORMANCE

The period of performance for this effort begins with task order approval and ends September 27, 2006.

ESTIMATED LEVEL OF EFFORT

The estimated level of effort for this task order is 360 staff hours.

U.S. Nuclear Regulatory Commission

Case Management System (CMS)
System Requirements Specification (SRS)
System No. 2005012

Version 1.0
May 23, 2005

Attachment 1

Revision History

Date	Version	Description	Author
May 18, 2005	Dr 1.0	Draft	Margie Dimig
May 23, 2005	V1.0	Final	Margie Dimig

Table of Contents

System Requirements Specification

1. Introduction

1.1 Purpose

This SRS fully describes the behavior of the application or subsystem identified. It also describes nonfunctional requirements, design constraints, and other factors necessary to provide a complete and comprehensive description of the requirements for the system.

In February 2005 several offices requested assistance from OIS to move their systems from the Client Server platform to a Web platform in the 3-Tier environment. These systems are the Allegations Management System (AMS), The Enforcement Action Tracking System (EATS) and the Office of Investigations Management Information System (OIMIS). In addition, The Office of Nuclear Safety and Incidence Response (NSIR) expressed an interest to get a tracking system similar to EATS for tracking allegation, investigation and enforcement information at the SGI level. 3-Tier is only accredited for Sensitive information so the application will have to reside on a stand alone computer for the time being. The initial concept was that the database would remain as is and only the front end would be changed to use ColdFusion. During the requirements gathering phase it became clear that the database structure would need to change in order to meet the needs of the 3 applications. This adds a level of complexity to the project not previous foreseen.

1.2 Scope

This SRS applies to the Case Management System (CMS).

The Case Management Systems (CMS) will result in 3 separate web-based systems that will be built on a database, generally Sybase or SQL Server, with a web interface developed in ColdFusion. The development and implementation of CMS will be completed in a multi-phased approach. The first phase will begin with a detailed analysis of the requirements of the 3 systems, to identify where they share data and to minimally redesign portions of the databases for the systems. The second phase will be to document and design modules of code that can be used across not only these applications but future applications requiring the same functionality. While this may entail a longer development period for the first applications it will result in shorter development time for the remaining applications. The third phase will be to begin the engineering of the Enforcement Action Tracking System. This application was chosen to be first because they have the greatest urgency to put in place enhancements that were previously scheduled for the legacy application that are required due to new business processes in the Office.. The remaining systems will be scheduled when EATS development begins. NSIR has expressed an interest in receiving a shell of EATS so they can enter SGI information on enforcement actions, allegations and investigations.

1.3 Definitions, Acronyms, and Abbreviations

PMM – Project Management Methodology

```
AC  - Allegations Coordinator
ADR - Alternate Dispute Resolution
ALJ - Administrative Law Judge
AMS - Allegations Management System
ARB - Allegation Review Board
BI  - Barrier Integrity
CA  - Confirmatory Action
CAL - Confirmatory Action Letter
CEL - Chilling Effect Letter
CP  - Civil Penalty
DFI - Demand for Information
DOJ - Department of Justice
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DOL - Department of Labor
EA - Enforcement Action
EATS - Enforcement Action Tracking System
EDL - Exercise of Discretion Letter
EP - Emergency Preparedness
ERA - Energy Reorganization Act
ES - Enforcement Specialist
IA - Investigation Assistant
IC - Concern Individual
ID - Identify
IE - Initiating Events
ISR - Investigation Status Record
LEAP - Law Enforcement Availability Pay
MOU - Memorandum of Understanding
MS - Mitigating System
NCV - NonCited Violation
NOED - Notice of Enforcement Discretion
NOV - Notice of Violation
OI - Office of Investigations
OIMIS - Office of Investigations Management Information System
OSHA - Occupational Safety and Health Administration
PEC - Predecisional Enforcement Conference
PP - Physical Protection
PR - Public Radiation Safety
ROI - Report of Investigation
ROP - Reactor Oversight Program
RP - Occupational Radiation Protection
SBREFA - Small Business Regulatory Enforcement Fairness Act
SERP - Significant & Enforcement Review Panel
SDP - Significance Determination Process
SL - Severity Level (Significance)
SRM - Staff Requirements Memo
WAR - Weekly Activity Report
WSL - Withdrawn Severity Level

1.4   References

CMS Vision, V 1.0, <mm/dd/yyyy>

CMS Project Charter v 1.0
MD 2.1 – *Information Technology Architecture*
MD 2.2 – *Capital Planning and Investment Control*
MD 2.8 – *Draft PMM*
MD 3.53 – *NRC Records Management Program*
MD 12.5 – *NRC Automated Information Security Program*
Draft Project Management Methodology
The Privacy Act of 1974
Section 508 Rehabilitation Act

1.5   Assumptions and Dependencies

This effort is based on the fact that existing contract vehicles and dollars will be available to complete the entire effort as defined in PMM.

NRC staff, identified in the Project Charter, will be available, as needed, to complete this effort.

Only EATS will receive considerable enhancements to the system since they already had enhancements scheduled to be applied to the legacy application.

As much as possible, reports will be accommodated with queries.

Only current, working functionality will be replatformed.

As much as possible, the three applications will agree to use shared value tables (lookup tables).

For Version 1 all applications will reside on the Intranet. There will be no Public Information available.

For Version 1, there is an understanding of the 80/20 rule of providing 80 percent of the existing functionality initially.

There will be minimal data conversions. The majority of data conversion will be limited to the shared lookup tables.

All testing will take place in Headquarters.

All Training will take place in Headquarters. Any Regional training will be done by Program Office staff.

The applications will be 508 compliant as defined in the Section 508 Rehabilitation Act paragraphs (a) through (p) of Section 1194.22.

EATS will receive Interim Authority To Operate (IATO) by August, 2005.

2.   System Requirements

CMS is an umbrella title given to three applications that it covers. They are the Enforcement Action Tracking System (EATS), Allegations Management System (AMS) and Office of Investigations Management Information System (OIMIS). If NSIR requests a shell of EATS they will be given a copy of the scripts for the code and database. They will be responsible for procuring and accrediting a stand alone server and the application. The requirements will be stated separately for each system within the categories outlined below. EATS was chosen to be the first application replatformed since they had the greatest need to incorporate functionality for new business functions.

2.1   Functional Requirements

Enforcement Action Tracking System (EATS)

Login requirements.

1.   System administrators shall be able to add users to access EATS.

2.   Users shall be assigned a role, either "Admin", :"Power" or "User". "Admin" role shall have the highest level of authority in the system. "Power" role shall be able to enter/update case information for which they have authority. "User" role shall have read-only authority.

3.   System administrators shall be able to change the role of a user.

4.   System administrators shall be able to delete access to users.

OE wants roles and responsibilities as follows:

Add/update – Front Office (Sandra and Deani), Sue Bogle.
Update only – Enforcement Specialist assigned to the case.
                Regional Enforcement Coordinators can update info on the Region tab
View Only – Regional Enforcement Coordinators.
Admin – Sue Bogle

Add New Case requirements

5. Authorized users, based on role assigned, shall be able to create new enforcement cases.

6. The Enforcement Action Number shall be a computer generated one up number which is proceeded by the current calendar year and a sequential number beginning with 1 (e.g., 2005-001).

7. They system shall allow dates to be selected from calendars.

8. The system shall not default dates to the system date.

9. **General enforcement case information shall be entered on the index card.**

This information includes the following fields: Field denoted with a (R) shall be required before the case can be closed..

   Initiator (R) –Enforcement Staff want to add NSIR to the drop down list.

   Status (R)

   Enforcement Specialist(R)

10. The system shall obtain the Licensee information from the RPS Docket table.

    Licensee Name

    Licensee Type (R)

    Licensee address

11. The system shall obtain the License Number(s) for the Licensee from the RPS License table.

    License Number

    Last Exit Date (R) (formerly Timeliness Start Date)

    Type (R)

12. The system shall allow the following values to be selected from the Type field next to the LastExitDate: Inspection, Investigation, Traditional, ROP, Wrongdoing, DOL, Disputed, and Exempt.

    Publicly Available (R)

    Small Business

13. If "Yes" a keyword shall be required. (small business).

14. The system shall obtain the Docket No and Facility Name from the RPS Docket table.

    Docket No.

15. If more than one Docket No. the system shall display an arrow for scrolling purposes.

    Facility Name –

16. If there is a Docket No. Facility Name shall be automatically populated from the RPS database.

    Facility Location.–

17. If there is a Docket No., Facility Location shall be automatically populated from the RPS database.

18. The system shall allow an undocketed organization and address to be entered.

19. The system shall store any undocketed organizations in the Outside Org table.

20. The Outside Org table shall be shared by all three systems.

        Total Nov/CP Amount –

        Related Cases

        Facts (R)

        Summary (R)

        Keywords

21. The system shall provide a drop down list of OI Report Numbers.
22. The system shall display the OI Report Numbers on the Index Card.
23. The system shall take the related OI information and populate the EATS database and the OI tab. See Requirement 56.

24. The system shall allow entry of Inspection Report Numbers. on the Index Card. **NOTE: This means an interface to another system (used to be IFS). May be in Version 2. For now they can enter the Inspection Report no. manually.**

25. **Action /Activity information shall be entered on the Action Tab.**

26. The actions shall be listed as follows:.

Open Cases – List action in chronological order – date descending (most recent first).

Closed Cases
Orders first
By Significance Levels (1, 2, 3, 4 R, Y, W, G)

27. The action shall be selected from the Add New Action button (aka ATM screen).

28. Attachment 1 shows actions that shall be used in a case.

29. Attachment 1 shows the fields that shall be populated associated with the actions.

30. The activities shall be selected from the Add New Activities button.

31. Attachment 2 shows activities that shall be associated with Actions.

32. Attachment 2 shows the fields that shall be populated associated with the activities.

33. Those fields denoted with a (R) shall be populated before the case is closed.

34. Activity dates shall be selected from a calendar.

35. The action "initial" shall be changed to "Case Manager".

36. The system shall display "Case Manager" and its activities/fields to be a tab instead of a listed action. VOID this requirement. It shall be listed as an action.

37. The activities shall display the same way as a listed action.

38. Keywords shall be associated and entered at the action level.
39. The system shall create an activity called "Future Action" This will be a drop down list of pending actions.
40. **Remarks Tab - Remarks shall be available for entry for each activity.**

41. The system shall display remarks in descending date order.
42. The system shall link the remarks to the action it is associated with.

43. Time Line Tab shall be used to display the chronological list of Actions and Activities per enforcement case.

44. The AMS tab shall be used to select the related Allegations to the Enforcement Case. There can be more than one related Allegation to the Enforcement Case. CORRECTION: The related Allegation No.'s will be selected from the index card. The allegations information will be populated to the AMS tab.

45. The Allegations information shall be populated in EATS from the Concerns table in the Allegations Management System. Includes the following fields.

Allegation No.

Concern No. – Can have multiple concerns per allegation.

Received Date

Closed Date.

46. The following fields also shall be populated into EATS from the Allegations Management System (AMS), based on the Allegations No., if they exist in the AMS.

DOL:

DOL ALJ Case Number

DOL ALJ Decision Date

DOL ALJ Substantiated

DOL ARB Decision Date

DOL ARB Substantiated

DOL AD Decision Date

DOL AD Substantiated

Settlement Date

47. If they do not exist in AMS then the system shall allow manual entry of the following fields.

DOL:

DOL ALJ Case Number

DOL ALJ Decision Date

DOL ALJ Substantiated

DOL ARB Decision Date

DOL ARB Substantiated

DOL AD Decision Date

DOL AD Substantiated

Settlement Date

48. The OIMIS tab shall be used to display the Investigations information. Can be more than one related Investigation to the Enforcement Case.

49. The system shall populated related OI Cases that are related to the selected OI Case.

50. The Investigations information shall be populated in EATS from OIMIS.

51. The Investigations information shall be retrieved from OIMIS by selecting the OI Report No. from a drop down list.

52. The Facility Name related to the OI Report No. shall be displayed next to the OI Report No to ensure staff are selecting the correct OI Report No.

53. The system shall allow searching of the OI Report No. by Region, Year or All.

54. The system shall not validate the search by Region.

55. The system shall display the Facility name on the OIMIS Tab.

56. The system shall populate the following fields in EATS.

   OI Report No.

   Facility

   Issue Date

   Start Date

   Complete Date

   Results

   OI Substantiated

   Disagreement Date

   OI Statute of Limitations

   Related OI Case

   OI Violation

   OI Results

   OI Violation Description

   DOJ Referral Date

   DOJ Action Date

   DOJ Action

   DOJ Subject

   DOJ Years

   DOJ Fine

   DOJ Remarks

Region Tab – Version 2.

57. The system shall display a tab titled "Region". OE shall provide the info for this tab.
58. The information shall be updated by Regional Enforcement Coordinators.

Edit Case

59. "Admin" role users shall be able to update information in any case.

60. "Admin" role users shall be able to add/update validation tables.

61. "Power"role users shall be able to update their case information only.

View Case

62. Upon entering EATS the system shall display the index card information and all of the actions in a collapsed mode.

63. Actions shall be displayed in order of significance.

64. Actions shall have the capability to expand to show all of the activities associated with the action.

65. Upon entering EATS the system shall display the Facts and Summary information in a collapsed mode.

66. Facts and Summary shall have the capability to expand to show all of the text.

67. The system shall roll up the keywords entered at an activity level and display them on the index card.

68. The system shall allow additional keywords to be entered from the index card.

Dashboard

Search

Reports

69. As much as possible the system shall allow queries to be run on the data

70. For V1, the following reports shall be required.

Timeliness Report with Nicks OI requirements

Timeliness Data for OI Investigations Report (Nick's Report)

Timeliness for Escalated Cases. Most interested in OI Cases.

Total calendar days to date
Total process days to date
Total calendar days and processing time

Original Office Tracking Nc. = OI Report No.
Original Document Issue Date = OI Report Date
Pursue Enforcement Date = Date of first Panel - If dates are in Pursue Enforcement Date and PEC Date subtract the Pursue Enforcement Date from the PEC date and then subtract 60 from that. Populate answer in PEC Delay field.
PEC Date = PEC Date
Date of Deferral to DOL = DOL Deferral Date – Subtract the Date of Deferral to DOL from the DOL Decision Date and populate DOL Delay.
DOL Decision Date = DOL Decision date
New Information Received - Subtract New Information Received from the Panel to Discuss New Information and populate New Info Delay.
Panel To Discuss New Information = Information Received.
Other Delay Start – Subtract the Other Delay Start Date from the Other Delay Stop Date and populate Other Delay
Initial Enforcement Action = Look for NOV, CP that are Significance of 1, 2 or 3 or Orders (any of the Orders) and use that date. If none allow a manual entry of the date.

Licensee History Report – both detailed and short list

Timeliness Report

Escalated Action History Report

Overview Report

Weekly Status Report

Enforcement Process Cycle Time Report

Summary Sheets

Statistical Summary Report

System Code Listing Report

Ad Hoc Report

Strategy Form

71. The system shall provide Email notification on multiple parts of the system. Nick working on list.
NOTE: Email notification will be part of Version 2

Nuclear Security and Incident Response (NSIR)

1. If requested, NSIR shall receive the ColdFusion scripts and database scripts of EATS. They are only looking for a shell of EATS that can reside on a stand-alone computer. They have an urgent need to store and report on enforcement, allegation and investigation information at the SGI level.

2. NSIR shall be responsible for procuring their server and following all of the FISMA security requirements.

3. NSIR shall be responsible for the system security accreditation.

4. NSIR shall be responsible for installing and running the scripts.

Allegations Management System (AMS)

AMS Requirements		
	REQUIREMENT	COMMENTS/INTEGRATION WITH EATS/OIMIS
ROLES		
	1. The combination of roles, "administrator" and "NRC" shall allow the user to view and edit all allegations	

		AMS Requirements	
		2. The combination of roles, "administrator" with an office shall allow the user to view and edit all allegations assigned to that office	
		3. The role "Inspector" shall allow the user to view and edit any allegations that they have been assigned an action on	
		4. View only access shall allow individuals to view and not edit any allegation	
		5. Regions shall only edit their own cases	
		6. The role of "Manager"?	
OTHER GENERAL REQUIREMENTS		7. There shall be at least one concern for each allegation	
		8. The system shall require that information on a tab be saved before moving to the next tab	
		9. The system shall provide a pop up box reminding you that there is no facility associated with the allegation if no facility has been entered when an attempt is made to exit the allegation record.	

AMS Requirements		
	10. The system shall allow deletion of a record	
	11. The system shall allow allegation cases to be related	
	12. The system shall allow an action to be added to a closed allegation. The Action shall be "Response After Closure".	
ALLEGATION TAB		
GENERAL REQUIREMENTS		
Allegation Closure Requirements	13. The system shall not allow an allegation with open concerns to be closed.	
FIELDS		

AMS Requirements		
Allegation code	14. The system shall automatically generate a "one up" number.	
	15. The number shall consist of a code for the region (RI, RII, RIII, RIV, NRR, NMSS), the year, then A then a 4 digit numeric indicator.	
	16. They system shall allow double clicking on allegation numbers and,	
	17. the result shall be the display of all open allegations for the region/program office of the administrator.	
	18. The system shall allow double clicking on a particular allegation and,	
	19. the result shall open the allegations tab for that allegation	
Activity	20. The system shall require a valid entry into the Activity field.	
	21. The system shall display the Activity choices as a drop down list and,	
	22. shall allow a selection.	

AMS Requirements		
Status	23. The system shall default the Status Code to "open".	
	24. The system shall display the Status Code options as a drop down list and;	
	25. shall allow a selection.	
	26. The system shall automatically change the Status Code to "closed" when the closed date is entered.	
Recipient	27. The system shall allow free form entry of the name of the person who received the allegation.	
Source	28. The system shall require a valid entry into the Source field.	
	29. The system shall display the Source choices as a drop down list and,	
	30. shall allow a selection.	
Functional Area	31. The system shall require a free form entry into the Functional Area field.	
Responsible Office	32. The system shall allow a free form entry into the Responsible Office field.	

AMS Requirements		
Confidentiality Requested/Granted	33. They system shall require selecting Y or N from Radio buttons. 34. The system shall not provide a default value.	
Violation 211	35. The title "Violation 211" shall be changed to "Alleged Discrimination." 36. They system shall require selecting Y or N from Radio buttons. 37. The system shall not provide a default. 38. The system shall automatically populate "Y" if one concern indicates Y. 39. The system shall automatically populate "N" if all concerns equal "N".	
Facilities	40. The system shall provide a search capability for facilities using by entering a partial or whole facility name. 41. The system shall allow selection of multiple facilities. 42. This functionality shall exist in EATS and OIMIS.	Consider: The system shall ask if you want to add a facility when the case is saved if one hasn't been added.
AMS Entered Date	43. The system date shall be entered when the allegation is entered into AMS	

AMS Requirements		
Received Date	44. The system shall require selection of a date from a calendar. 45. The system shall not allow the Received Date to be after the AMS Entered Date.	Business rule Can not have a Received Date after the AMS Entered Date.
Acknowledgment Letter	46. The system shall provide a "view only" of the Acknowledgment Letter. 47. The system shall automatically populate this field from Concern 1 when the Action "Acknowledge Letter" is issued.	
Last Contact with Alleger	48. The system shall provide a "view only" of the Last Contact with Alleger. 49. The system shall automatically populate this field from Concern 1.	

AMS Requirements		
Closure letter	50. The system shall provide a "view only" of the Closure Letter. 51. The system shall automatically populate this field from Concern 1 when the Action "Date on Closure Letter Action" is issued. 52. Actual Completion Date 53. The system shall enter the latest date if more than one closure letter exists.	If more than one closure letter action, enter latest date.
Last ARB	54. The system shall provide a "view only" of the Last ARB. 55. The system shall automatically populate this field from ???	
Closed Date	56. The system shall allow selection of a date from a calendar. 57. The system shall validate that the Closed Date is after the Received Date.	Date when the allegation is closed. Closed date must be after the received date.
No. Allegers	58. The system shall default to "1".	

AMS Requirements		
OI Action	59. The system shall mark the OI Action "Y" if one concern is marked anything other than "no" 60. The system shall mark the OI Action "N" if none of the concerns are marked "Y" 61. A new drop down field shall be created titled "OI Report No." 62. The field shall be populated with a list of OI Report Numbers and associated facilities from the OIMIS database.	A second field needs to be created "OI report number" with all applicable OI report numbers and associated facilities automatically entered from OIMIS onto the allegations page when an OI action of anything other than "no" is entered on a concern. Need this "background" populated so that the information is automatically updated in AMS without the administrator having to open the allegation
Transferred	63. The system shall allow free form entry of an Allegation Case number that an issue was transferred to or from	(If this allegation is transferred to another org. they create a new allegation no. That number gets manually entered here and the allegation is closed.)
Org Name	64. The system shall require a valid entry into the Org Name field. 65. The system shall display the Org Name 66. The system shall allow entry of more than one Org. Name. 67. The EATS and AMS Outside Org Table shall be combined and shared.	

AMS Requirements		
Concerns Substantiated	68. The system shall automatically calculate and populate from data on the concerns screen	
Number of Concerns	69. The system shall automatically calculate and populate from data on the concerns screen	
Days Open	70. The system shall automatically calculate this field from received date.	AMS staff are required to have: 70% cases closed within 150 days 90% cases closed within 190 days 100% cases closed within 360 days.
CONCERNS TAB FIELDS		
General Requirements		
	71. The system shall allow unlimited actions per concerns.	
Concern Closure Requirements	72. The system shall not allow a concern with open actions to be closed	
	73. The system shall not allow a concern without information in the fields: "Concerns Substantiated" "Description" and "Basis For Closure" to be closed.	

AMS Requirements		
	74. The system shall allow double clicking on the concern ID and,	
	75. The system shall display a list of the concerns and the associated field values for the concerns.	
FIELDS		
Concern ID	76. The system shall sequentially number the concerns within an allegation starting with number 1	
Allegation	77. The system shall display the Allegation Number from Allegations tab.	
Received date	78. Thy system shall require the selection a date from a calendar.	
	79. A new field shall be created in the database titled "Received Date".	
Days Open	80. A new field shall be created in the database titled "Days Open.	
	81. The system shall calculate the value from "Received Date of Concern." To "today's date".	

AMS Requirements		
Violation 211	82. The system shall require selecting Y or N. 83. The system shall not default the field.	Change title to "Alleged Discrimination"
Alleger Informed Licensee	84. The system shall require selecting Y or N. 85. The system shall default to "N"	
Alleger notified	86. The system shall require selecting Y or N. 87. The system shall default to "N"	
DOL	88. The system shall require selecting Y or N. 89. The system shall default to "N"	
ALJ Case number	90. A new field titled "ALJ Case Number" shall be created in the database. 91. The system shall allow free form entry of the ALJ Case Number	Automatically update this information into EATS and OIMIS.
DOL ALJ Decision Date	92. A new field titled "DOL ALJ Decision Date" shall be created in the database. 93. The system shall select the date from a calendar.	Automatically update this information into EATS and OIMIS

AMS Requirements		
DOL ALJ Substantiated	94. A new field titled "DOL ALJ Substantiated" shall be created in the database. 95. The system shall allow selecting Y or N.	Automatically update this information into EATS and OIMIS.
DOL ARB Decision Date	96. A new field titled "DOL ARB Decision Date" shall be created in the database. 97. The system shall select the date from a calendar.	Automatically update this information into EATS and OIMIS
DOL ARB Substantiated	98. A new field titled "DOL ARB Substantiated" shall be created in the database. 99. The system shall allow selecting Y or N.	Automatically update this in EATS and OIMIS
DOL AD Decision Date	100. A new field titled "DOL AD Decision Date" shall be created in the database. 101. The system shall select the date from a calendar.	Automatically update this in OIMIS
DOL AD substantiated	102. A new field titled "DOL AD Substantiated" shall be created in the database. 103. The system shall allow selecting Y or N.	Automatically update into OIMIS

AMS Requirements		
Settlement Date	104. A new field titled "Settlement Date" shall be created in the database. 105. The system shall select the date from a calendar.	Automatically update this information into EATS and OIMIS
Activity	106. The system shall display the Activity choices as a drop down list, and 107. shall require a selection.	Same lookup table for AMS if possible.
OI Action	108. The system shall require the OI Action when the OI Report No is selected from a drop down list.	OI priority will be updated in OIMIS from concerns page. OI report Number, report date, and facility will be automatically updated from OIMIS in "background". A drop down with all OI report numbers, associated facilities, and OI report date associated with the allegation number will be generated in AMS through OIMIS. Administrator will select OI report number associated with each concern.
OI Report Number	109. The system shall display a list of OI Report No and Facility names. 110. The system shall allow selection of multiple OI Report	Automatically updated from OIMIS. There can be more than 1 OI Report Number per Allegation.
OI Facility	111. The system shall populate the OI Facility after selecting the OI Report No.	Automatically updated from OIMIS

AMS Requirements		
OI Report Date	112. The system shall populate the OI Report Date after selecting the OI Report No.	Automatically updated from OIMIS
OI Substantiated	113. The system shall populate the OI Substantiated after selecting the OI Report No.	Automatically updated from OIMIS
DOJ Referral Date	114. The system shall populate the DOJ Referral Date, after selecting the OI Report No.	Automatically updated from OIMIS.
DOJ Action Date	115. The system shall populate the DOJ Action Date, after selecting the OI Report No.	Automatically updated from OIMIS.
DOJ Action Taken	116. The system shall populate the DOJ Action Taken, after selecting the OI Report No.	Automatically updated from OIMIS.
DOL	117. The system shall provide a checkbox with values Y or N 118. The system shall default the value to N.	When OI enters the Allegation Number and Concern No into OIMIS this will auto populate the DOL info in AMS.
EA Case Number	119. The system shall display a list of EA Case No. and Facility names. 120. The system shall allow selection of multiple EA Case Numbers.	There can be more than one Enforcement Case associated with the Allegation.

AMS Requirements		
Enforcement Action	121. The system shall populate the Enforcement Action from EATS after the EA Case No is selected.	
Enforcement Significance	122. The system shall populate the Enforcement Significance after the EA Case No is selected.	
Functional Area	123. The system shall require a selection from a drop down list.	
Department	124. The system shall create a new field titled "Department" in the database. 125. The systems shall provide a drop down list of the Department names. 126. The system shall allow selection of a Department.	Use an existing NRC Org list if possible.
Discipline	127. The system shall require a selection from a drop down list.	
Action Contact	128. The system shall allow free form entry into the Action Contact.	
Description	129. The system shall allow free form text entry. 130. The system shall allow the text area to be collapsed or expanded.	Want ability to search (V2?)

AMS Requirements		
Basis for closure	131. The system shall allow free form text entry. 132. The system shall allow the text area to be collapsed or expanded	Want ability to search (V2?)
Referred	133. The system shall allow selection from a drop down list.	Not related to OI
Response	134. The system shall allow selection of a date from a calendar.	
Closed Date	135. The system shall allow selection of a date from a calendar. 136. The system shall close the concern when the date is selected. 137. The system shall validate that the closed date is after the Allegation open date.	Business Rule - This must be entered before an Allegation can be closed. Closed date must be after the Allegation was opened.
Concerns Subst.	138. The system shall require the selection of Y or N before the concern is closed.	Required before concern is closed Can be radio button or checkbox.
OI Statute of Limitations	139. The system shall populated the OI Statute of Limitations from OIMIS when the OI Report No is selected.	
Statute of Limitations	140. The system shall allow selection of a date from a calendar.	Used if case is not OI related
ACTION TAB		

AMS Requirements		
GENERAL REQUIREMENTS	.	

AMS Requirements		
Business Rule	141. If any source other than "anonymous" is entered on the allegation tab, the system shall automatically enter the following 4 actions under concern 1: "Initial ARB" - assigned date is received date of allegation, planned completion date is 30 days; "Acknowledgment Letter" - assigned date is received date of allegation, planned completion is 30 days; "6 Month ARB" -assign date is received date of allegation, planned completion 6 months from received date; "Status Letter"- assign date is received date of allegation, planned completion is 6 months from received date. 142. If source = "Anonymous", the system shall automatically enters only the following 2 Actions in Concern 1: "Initial ARB" - assigned date is received date of allegation, planned completion date is 30 days; "6 Month ARB" -assign date is received date of allegation, planned completion 6 months from received date;	

AMS Requirements		
Business Rule	143. If the source code is changed from anonymous, the system shall automatically enter the Actions "Acknowledgment Letter" and "Status Letter".	
	144. The system shall ensure that Actions can only be assigned to Concerns	
	145. For V2, the system shall provide checkbox to indicate which Concerns an Action applies to, including "all"	
	146. The system shall ensure that Actions can only be entered after an associated concern is entered.	
	147. The system shall ensure that at least one concern will have an action	
	148. The system shall allow deletion of the following actions: DOJ Prosecution, Deferral to DOL, OI Investigation, Enforcement Action, DOL Settlement, DOL AD Decision, DOL ARB Decision, ALJ Decision issued	

AMS Requirements		
	149. The system shall ensure that when the action tab is selected, the action is associated with the concern which was being viewed. AMS displays actions associated with concern selected	
	150. The system shall allow double clicking on Action ID 151. When this happens the system shall create a listing of all actions and associated fields. 152. The system shall allow sorting this list by action type or date, and, 153. The system shall maintain this ordering when returning to the actions tab.	
FIELDS		
Action type	154. The system shall require the selection of an Action Type.	

AMS Requirements		
Action applied to concerns	155. The system shall create a new checkbox field titled "Action Applied to Concerns"	
	156. The values for the check boxes shall be "all" and other concern numbers listed (e.g., ALL, 1, 2,3, 4)	
	157. The system shall allow for more than one checkbox to be selected.	
	158. The system shall ensure that if "all" is selected then no other selection is made.	
Assignment Date	159. The field shall be removed from the database.	No longer needed.
Planned completion date	160. See Business Rule above otherwise the system shall allow selecting a date from a calendar.	
Actual Completion Date	**161.** The system shall allow selecting a date from a calendar.	
	162. The system shall close the action when the date is entered.	

AMS Requirements		
Primary Concern	163. The system shall populate the Primary Concern that is associated with the action from AMS when the Allegation Code is entered.	
Organization	164. The system shall look at the name in the name field on the Organization tab and populate the associated organization.	Organization is populated from the AMS Roles table
Name	165. The system shall allow selection of the name of the individual assigned the action from a drop down list.	Name is from the NRC Emp table from RPS
Autos Id	166. The system shall populate the Autos ID from either RPS or AMS Roles. 167. The Autos ID shall be based on person who has the Allegation Case.	Need to clarify if it is RPS or AMS Roles
Staff Id	168. The system shall populate the Staff ID from RPS or AMS Roles. 169. The system shall pull the Staff ID based on the person who has the Allegation Case.	Need to clarify if it is RPS or AMS Roles
Action Description	170. They system shall allow free form text	

AMS Requirements		
Allegation	171. The system shall display the Allegation No. that was assigned on the Allegation tab.	
Action ID	172. The system shall sequentially number the Actions within an allegation starting with number 1	Verify that this is correct.
FACILITY TAB		
GENERAL REQUIREMENTS		
	173. The system shall allow more than one Facility per Allocation.	
	174. The system shall allow Facilities to be applied to Concerns.	
	175. The system shall apply the Facility assigned to Concern 1 to all concerns automatically.	
	176. The system shall allow editing of the Facility name at the Concern level.	
	177. The system shall sequentially number the concerns within an allegation starting with number 1	
	178. The system shall ensure that if the Facility is applied at the Allegation level then the Facilities applies to all Concerns.	

AMS Requirements		
	179. The system shall allow selection of facilities from the DOCKET table from RPS. 180. They system shall allow selection of the Facility name by search on Facility name or Docket No.	
	181. The system shall display the facility for the concern selected	
FIELDS		
Allegation	182. The system shall display the Allegation Number from the Allegations tabs	
Docket Number	183. The system shall automatically populate with docket number of the facility selected from the docket table.	Same functionality for EATS and OIMIS
Type	184. The system shall automatically populate with type of licensee from the docket table. 185. This shall be view Only	

AMS Requirements		
Facility Name	186. The system shall provide a search capability for facilities by entering a partial or whole facility name. 187. The system shall allow selection of multiple facilities. 188. This shall be view only	Same functionality for EATS and OIMIS
City	189. The system shall automatically populated City for the Facility Name selected from the docket table. 190. This shall be view only	Same functionality for EATS and OIMIS
State	191. The system shall automatically populate State for the Facility Name selected from the docket table. 192. This shall be view only	Same functionality for EATS and OIMIS
Address	193. The system shall automatically populate Address for the Facility Name selected from the docket table. 194. This shall be view only	Same functionality for EATS and OIMIS

AMS Requirements		
Zip	195. The system shall automatically populate the Zip Code for the Facility Name selected from the docket table. 196. This shall be view only	Same functionality for EATS and OIMIS
OUTSIDE ORGANIZATION		
	197. The system shall display the Outside Organization for the concern selected.	Same functionality for EATS and OIMIS
	198. They system shall have the ability to apply Outside Organization to concerns or allegation- 199. If applied at allegation level, the Outside Organization shall apply to all concerns	Same functionality for EATS and OIMIS
	200. They system shall use the Outside Organization tab to store or retrieve Outside Organizations	Same functionality for EATS and OIMIS
	201. The system shall provide the capability to add Outside Organizations to the Outside Organization table under table maintenance in order to be displayed	Same functionality for EATS and OIMIS

AMS Requirements		
	202. The system shall allow multiple Outside Organizations per Allegation	
FIELDS		
Allegation Code	203. The system shall display the Allegation Code from the Allegations tab.	
Docket number	204. The system shall display the Docket Number associated with the Outside Organization	Note from Margie: Why is this needed? Automatically entered from outside organization table. Sequenced number in the form of ORGXXX entered in the table by the individual adding the organization to the table.
Org Name	205. The system shall display the Organization Name associated with the Outside Organization	
City	206. The system shall display the City associated with the Outside Organization	
State	207. The system shall display the Docket Number associated with the Outside Organization	

208. The following reports shall be provided for V1. Access queries of the above reports can be provided if necessary.

- Timeliness metrics at allegation level with the ability to calculate the metric by region and technical division. Timeliness goals are 70% closed in 150 days, 90% closed in 180 days, and 100% closed in 360 days
- Timeliness metrics, with goals above, at the concern level.
- Timeliness in competing initial ARBs, by region. Goal is to complete 100% in 30 days.

- Timeliness in completing acknowledgment letters, by region. Goal is to complete 90% in 30 days, 100% in 45 days.
- Number of allegations received at power reactors and non-power reactors per year
- Number of allegations substantiated for power reactors and non-power reactors per year
- Number of discrimination allegations at power reactors and non-power reactors per year
- Number of open allegations, by year received, for power reactors and non-power reactors
- A list of concern description, basis for closure, received date, whether the issue is alleged discrimination, any applicable OI report number for all concerns received at a particular site over a period of time.
- Allegations currently open over 120, 150, 180, 360 days
- Total number of allegations received, in reactors and materials, by region, by year
- Total number of concerns received, in reactors and materials, by region, by year
- percentage of allegations received by discipline, by region, and NRC wide

Office of Investigations Management Information System (OIMIS)

Login requirements.

The Region, OI Role, and Authority Level determine the user's access to OIMIS functions. The following table shows the Code, OI Roles, and Authority Levels

CODE	OI ROLE	AUTHORITY LEVEL
A	Agent	0
AD	Assistant to Director	2,3
ADM	OIMIS Administrator	2,3
AF	Acting FOD	1
D	Director	2,3
DD	Deputy Director	2
F	Field Office Director (FOD)	1
IA	Investigative Assistant	1
IT	Information Technologist	2,3
OO	Operations Officer	2
PA	Program Assistant	2
RET	Retired	0
S	Administrative Assistant	2
SA	Senior Agent	0

Case File Information Window

Case Information Tab

1. **General Investigation case information shall be entered on the index card.**

2. The system shall provide email notification functionality.
3. The system shall run reports based on Site name, not Unit name.
4. The system shall provide a search capability on any field in the database.

This information includes the following fields: Field denoted with a (R) shall be required before the case can be closed.

Type of Case
Case Priority – Set at the ARB. Populate to AMS.
Case Agent
Case Status
Statute of Limitations Date
5. Est. Completion Date – The system shall populate this field from the ISR page.
Case Start Date
Case Completed Date – Populated by the ISR page.
Issued Date – NOTE: when date is entered, click "post" to save, starts WP process of converting ROI document to ASCII text. *Basically when this date is generated, the case is closed*
6. Related Cases: The system shall allow for unlimited related cases.
7. Headquarters Should Review ROI - The system shall create this field as a checkbox
8. Generic/Programmatic Information – The system shall create this field as a checkbox
9. Monitored – The system shall create this field as a checkbox Associated with Case/View Selection Options.
10. Assist to Staff – The system shall create this field as a checkbox
11. File Location – The system shall provide a drop down selection with the values = R1,2,3,4, HQ, NARA (Box # and Location).
12. FOIA Number – The system shall allow free form entry.
13. Number of Months Under Investigation – The system shall calculate from the date the case is opened until the date it is closed.

Take out Additional Cases Exist. Only there because they could only enter 2 related cases.

14. DOJ Referral Date: They date shall be selected from a calendar.
15. Issue Date: The date shall be selected from a calendar.
16. Enforcement Action Number: The system shall provide a drop down list of Enforcement Action Numbers.
17. The system shall allow selection of an unlimited number of Enforcement Actions.
18. Docket/Facility: The system shall provide a drop down list of Docket Number/Facility Names.
19. The system shall allow selection of an unlimited number of Docket Numbers/Facility Names.

OE Tab

20. The system shall provide a drop down list of Enforcement Action No's.

21. The system shall allow selection and of multiple Enforcement Action No's.

22. The system shall populate the following information from the Enforcement Case into the following fields.

Significance
Enforcement Action
Prop Penalty Amount
Prop Penalty Date
Imposed Penalty Amount
Imposed Penalty Date
Paid Penalty Amount
Paid Penalty Date.

Summary

AMS TAB

23. The system shall provide a drop down list of Allegation Nos. An allegation can be related to several OI Reports.

24. The system shall allow selection and of an Allegation Nos.

25. The system shall populate the following information from the Allegation Case into the following fields.

Allegation No.
Concern
Case Priority
Source – of the basis for the OI Case. May not be an AMS field.
Primary
Description

26. For each concern the system shall populate the OI Violation value and the OI Result value from OIMIS..

27. The system shall provide statistics on cases they complete and sometimes they count how many concerns they handled.

28. The system shall allow adding information to a closed case without reopening it.

29. The system shall allow individuals to view cases with the following selections: "All", "Open/Monitored", "Closed", and "Read Only".

30. The system shall allow individuals to view cases based on their role/position.
NOTE EXAMPLES: Case Agent in Hq - can see everything. Case Agent in R1 "Open" would be only his cases. Betsy and May Kay will meet with the staff to determine the business rules. May need to add another selection "Closed with Supplemental Information"

Facilities/Dockets Tab

The system shall provide a drop down list of docket numbers/facility names.
The system shall allow multiple selections of docket numbers/facilities.

Violations/DOJ Tab

NOTE: If DOJ is going to take action OI would know first and OE and AMS would take the information from OIMIS. On this window OI Violation/Allegation information and DOJ information is entered.

OI Violations and Allegation Concerns

31. The system shall provide a drop down list of Allegation Numbers.
32. The system shall allow selection of an Allegation Number for which an OI Violation is to be added.
33. The system shall populate the Allegation Number and Concern No. from the main Allegation Case info screen.
34. The system shall display a drop down list of OI Violations.

35. The system shall require the selection of an OI Violation.
36. The system shall allow multiple OI Violations and multiple related allegations per case.
37. The system shall display a drop down list of OI Results
38. The system shall allow selection of an OI Result.
39. The system shall allow OI Violations to be deleted.
40. The system shall require that all related "child" DOJ Actions be deleted before the "parent" OI Violation can be deleted.
41. The system shall allow an OI Violation to be updated.
42. The system shall track DOJ Actions as "child" rows for each OI Violation row.
43. The system shall display DOJ Actions by selecting a "parent" row in the OI Violations list.

DOJ Information – This is the "child" information to the parent "OI Violation".

44. The system shall allow selection of the "parent" OI Violation to relate a DOJ "Child".
45. The system shall allow the following information to be entered into the DOJ Child.
Action:
Action Date
Subject – Free Form entry
Years – No of years in jail
Fine – Amount of fine
Remarks – Free Form entry
46. The system shall allow deletion of a DOJ "child".
47. The system shall allow a DOJ "child" to be updated.

ISR – Investigation Status Record Tab

48. The system shall incorporate a work flow review/approval process for the monthly Investigation Status Record (ISR).

49. The system shall display the Investigation Case No the Agent name and the Facility on the ISR Tab.

50. The system shall allow multiple entries of ISR's whether the Case is opened or closed.
51. The system shall create the 1st ISR which an Action of "Initial" when the Case is opened.
52. The system shall populate the ISR Date on the "Initial" ISR with the "Start Date" of the Case.
53. The system shall allow the deletion of ISR's whether the system is opened or closed.
54. The system shall allow an ISR to be updated whether the system is opened or closed until the "FOD Review" is checked.
55. For each ISR the system shall allow the entry of the ISR Date, Estimated Completion Date (ECD), the status and remarks.
56. The ISR Date shall be created automatically using the last day of the next month.
57. The system shall allow the ISR Date to be changed.
58. If the ISR Date is changed, the ISR Date shall be selected from a calendar.
59. The system shall automatically populate the ECD with a date that is 3 months after the ISR Date when the case is first opened.
60. Thereafter the system shall automatically populate the prior ECD.
61. The system shall allow the ECD to be changed.
62. If the ECD Date is changed, the ECD shall be selected from a calendar.
63. The "Status Code" shall be selected from a drop down list.
64. If the "Status Code" = "Pending" the ECD can not be entered.
65. If the "Status Code" = "Pending" or "Held in Abeyance" the system will display a remarks field for entry.
66. The system shall link this remarks field to the current ISR entry.
67. The system shall display the prior and current ISR remarks fields.

68. The system shall allow checking the "Ready For Review" Checkbox.
69. The system shall indicate to the Agent that the ISR is in "read-only" mode once the "Ready for Review" is checked.
70. The systems shall post all ISR's so that the FOD knows to review/approve.
71. The system shall post all ISR's so that the HQ knows to review/approve.
72. The system shall allow the Investigations Agent, FOD, or HQ (Authority Level 1) to accept, decline or cancel the ISR and modify any information within the ISR.
73. The system shall notify the Case Agent via email when information is changed in the ISR.
74. After the FOD reviews/approves the system shall allow the "FOD Review" to be checked.
75. After HQ reviews/approves the system shall allow the " HQ Review" to be checked.
76. The system shall allow ISR's to be "unlocked" by a user with the role of "Administrator".
77. The system shall provide a spell-checking capability for the text fields.
78. The system shall provide a report that prints all of the ISR's for the Case or allow selection of individual ISR's for printing.

Staff Hour Tab

Need to flush out these requirements.

ROI Tab

79. The system shall store ROI documents as an Image Copy of a WordPerfect document (this is equivalent to saving a WP document in the database).

80. The system shall store ROI documents as ASCII test copy of the document.

81. The system shall use the text copy for display on the screen and searches.

82. The system shall retrieve and open the Image Copy as a WordPerfect Document.

83. The system shall allow an Administrator to correct any errors on the WordPerfect document.

84. The system shall display the Approvec Date, Agent Review and FOD Review. These fields are populated elsewhere in the system.

85. The system shall require that after the case is closed the Agent fill out the template on this screen with summary information.

Agent Case Chronology Window

86. The system shall allow multiple chronological entries.
87. The system shall allow chronological entries on the same day.
88. The system shall use the current date as the default Chronology date.
89. The system shall allow the chronology date to be edited via a calendar selection.
90. The system shall provide a text field to enter the chronology entry.
91. The system shall produce a chronological record of Investigative and supervisory activity.
92. The system shall select chronological records by Agent, Field Office or HQ.
93. The system shall display a drop down list of chronological entries for the Case.
94. The system shall display the selected chronological entry and the previous 2 entries in descending order.
95. The system shall allow a chronology entry to be edited.

96. The system shall not allow deletion of a chronology entry.
97. The system shall allow the chronology entries to be printed.

ISR Approvals By Case Window

98. The system shall allow access to this window only if the user has an Authority Level 1 or higher.
99. The system shall first display case information by Field Office or HQ.
100. The system shall secondly display case information by Agent or Case No.
101. The system shall display ISR's not yet approved, marked by the Agent as "Ready For Review" and dated on or before the displayed Month Ending date. (Completed ISR's).
102. The system shall display a separate set of ISR's not marked "Ready For Review" that fall within the date range. (Not completed ISR's).
103. The system shall allow each set of cases to be sorted.
104. If the user is HQ, the system shall allow the set of cases to be sorted by Case Number or ISR Start Date.
105. If the user is Field Office, the system shall allow the set of cases to be sorted by Case Number or Agent Name.
106. The system shall use a calendar to select the Month Ending date.
107. The system shall display the ISR Review window to users with a role of "IA".
108. The system shall display the Approval Edit window to users with a role of "Acting FOD, FOD, IT or ADM".

ISR Review Window

109. The system shall display this window when a staff member selects a case from the ISR Approvals Window.

110. Only users with the roles "FOD, Acting FOD, IT or ADM" shall be allowed to approve an ISR. All other may review.

111. The system shall allow the IA and those will authority to approve to update information about the ISR.

112. The system shall require the selection of "Approve" or "Decline" for the ISR.

WAR/LEAP Window

Biweekly Time/Activity Report

113. The pay years and pay periods shall be entered manually into the system each year.

114. The system shall have a work flow/approval process for the T& L System

115. The system shall provide a drop down list of year beginning from ? until ?
116. The system shall allow a year to be selected
117. The system shall provide a drop down list of pay period.
118. The pay period values shall be 1 through 26.
119. The system shall allow a pay period to be selected.
120. The current year and pay period shall be the system default.
121. The system shall provide a drop down list of OI staff.
122. The system shall allow selection and display the staff name (Agent).

123. The system shall display the pay year and pay period .
124. The system shall display the pay grade of the staff name (Agent) selected.
125. The system shall display Yes or No if the staff name (Agent) has available pay.
126. The system shall display the staff person's (Agent) core hours.

127. The system shall provide a drop down list of cases being worked on the by the Staff name (Agent).
128. The system shall allow the Staff rame to select multiple cases.
129. The system shall provide a drop down of all of the available activities to report on.
130. The system shall allow the Staff name to select multiple activities.
131. The system shall allow the Staff name to enter hours per case and activity per day for the pay period.
132. The system shall default hours to 0.

133. The system shall allow a Staff name to enter hours by day within a pay period for the category "General Oversight/Supervision".

134. The system shall allow a Staff name to enter hours by day within a pay period for the category "Administration".
135. The system shall allow a Staff name to enter hours by day within a pay period for the category "Training".
136. The system shall allow a Staff name to enter hours by day within a pay period for the category "Leave".
137. The system shall allow a Staff name to enter hours by day within a pay period for the category "All Other" (This can be holidays)
138. The system shall provide a total of the hours per row ending with a grand total.
139. The system shall subtract the core hours "80" from the grand total.
140. The system shall display the remainder as LEAP Hours.
141. The system shall provide a total of the hours per column.

142. The system shall calculate and then display the Pay YTD field as a color coded status field on whether you made the 25% LEAP requirement both for the current pay period and cumulative total for hours and days.

143. The system shall calculate and then display the Total Work Day Reduction – This is determined by what is entered in General Oversight, Administration, Training, Leave and All Other. It displays LEAP hours up to the current pay period then current balance.

144. The system shall freeze the time card after submitting the time card for the Staff member (Agent) so the Agent can not change any time.

145. The system shall provide 3 checkboxes titled "Agent Approved", "FOD Approved" and "HQ Approved".

146. The system shall default the values to null.

147. The system shall allow the Administrator to "unfreeze" the time card if the Agent needs to make changes.

Review and Approve Biweekly Time Window

148. Only users with Authority Level 1 shall be able to have access to this window and approve LEAP time.

149. If the approver is in HQ the system shall display only headquarters staff

150. If the approver is in a Region the system shall display only staff within that Region.

151. The system shall allow selection of a pay period.

152. The system shall display a list of staff that has not yet been approved for the selected pay period.

153. The system shall allow selection of multiple staff.

154. The system shall provide a checkbox labeled "approve".

Report of Investigation (ROI) Window

155. The system shall require that there is only one ROI document per case.

156. The system shall provide the ROI's to be displayed by Agent, Field Office, or HQ.

157. The system shall require Cases to be listed until the "Issue Date" is entered in the general information area on the index card.

158. If the "Headquarters Should Review ROI checkbox is checked, the system shall make the fields reviewable.

159. The system shall allow ROI's to be added, updated, deleted and imported from outside of the application.

160. The system shall require that a Case No. is selected from a drop down list before the ROI is created.

161. The system shall require selection of a template from a drop down list once the Case No. has been selected.

162. The system shall launch WordPerfect when the ROI is selected.

163. The system shall require ROI approvals are completed at the appropriate levels.

164. The system shall require the selection of "approve" or "decline" from a drop down list.

Manage ROI Format Documents Window

165. The system shall allow the addition, changing and deleting of WordPerfect templates for ROI's.

Travel Voucher Data Window

166. The system shall be able to import travel voucher information from Informs Form NRC 64.

167. The system shall allow travel vouchers to be added, edited and deleted.

Utility Function Unique to OIMIS

1. The system shall provide the capability to create, update and delete a pay year and pay periods within the year.

2. The system shall provide an history NRC Employee Table so that departed NRC employee information can be maintained and used to update closed cases.

Utility Functions for all three systems

1. The system shall provide functionality to add, update and delete validation tables.

2. The system shall provide functionality to add, update and delete users to systems.

Reports

2.1.1 *Use-Case Model Survey*

Not applicable.

2.2 Performance Requirements

There is approximately 200 enforcement cases entered annually. Performance requirements fall within the scope of the 3-Tier performance requirements.

2.3 Operational Requirements

EATS, AMS and OIMIS, operational requirements fall within the 3-Tier operational requirements.

.2.4 Security Requirements

Refer to the EATS, AMS and OIMIS Security Plans.

Refer to the 3-Tier Security Plan.

2.5 Interface Requirements

There are no hardware interfaces outside of what is in the 3-Tier environment.

168. The system shall be accessed via a web browser to the NRC Internal web

169. OIMIS, EATS and AMS shall share the following data amongst themselves

Docket No.
Facility:
OI Report No: 32002006
OI Issue Date: 08/22/2003
OI Start Date: 04/22/2002
OI Completed Date: 08/22/2003
OI Results: Substantiated (This is also called OI Action)
OI Substantiated: (This is a new field that AMS wants to have and since views are the same OE should have it also)
OI Disagreement Date:
OI Statute of Limitations: Date field
Related OI Case:
OI Violation:

OI Results:
OI Violation Description
DOJ Referral Date:
DOJ Action Date:
DOJ Action:
DOJ Subject:
DOJ Years:
DOJ Fine:
DOJ Remarks
Allegation No.
Concern No.
Received Date:
Closed Date:
DOL: Y/N
ALJ Case Number:
DOL ALJ Decision Date:
DOL ALJ Substantiated:
DOL ARB Decision Date:
DOL ARB Substantiated:
DOL AD Decision Date:
DOL AD Substantiated:
Settlement Date.

2.6 Special Requirements
None.

2.6.1 Legal, Copyright, and Other Notices
None.

2.6.2 Applicable Standards
See 1.4 above.

Draft ColdFusion Standards document.

2.6.3 Records Management
Form 616, "Notification of Electronic Information System Design or Modification"

Form 637, "NRC Electronic Information System Records Scheduling Survey"

3. Data Requirements

[Define the data requirements of the Project, including

- *A list of major entities, that is, things that you want to keep information about*

- *The entity definitions, that is, attributes of the entities*

- *A business object model (UML class diagram) depicting entities and the relationships among the entities.]*

3.1 Business Object Model

[Provide a pictorial view of the entity model and the relationships among the data entities. This diagram is at a high level (entity level).

For each data model in the context diagram, provide:

- *Name*

- *Description (one or two sentences)*

- *Cardinality]*

3.2 Entity List and Definitions

[Identify those top-level entities required by the Project. Include only those entities shown in the business object diagram and known at the functional level. (Note that the SRS Document defines initial Project requirements. It is not a system requirements analysis and design document. A complete list of entities will be created and documented in the Data Model supporting the System Architecture Document.)

Provide basic information for each top-level entity as an entity definition:

- *Name*

- *Identifier (primary key)*

- *List of included subtypes, if any*

- *Description (several sentences)*

- *Average volume at conversion*

- *Annual growth percentage*

- *Active life*

- *Estimated size in characters (preliminary)*

- *Source of the data for the entity (existing or to be created) or method of derivation from existing or to-be-created source(s)*

Compare the entity list with the Enterprise Data Models to ensure consistency and to avoid conflict.]

4. Use-Case Specifications

Not applicable.

5. Supporting Information

NOTES FROM REQUIREMENTS MEETINGS HELD 3/8 – 3/25/05

EATS
The Enforcement Specialist field is a problem. Currently OE used the first middle and last name initials.

They would like to use a persons LAN ID. A conversion may not be possible for V1. If we begin using LAN ID at production there would need to be a cross walk back to the active initials list until the conversion.

The Licensee Type value table should become a shared table for all three systems.

OE staff would like a filter when searching for OI Reports. They want to search by Region, by year or All. Don't validate the Region entry. They need to be able to add more than one OI Report to an EA Case.

An OI Report can have related OI reports. If an OI Report has a related OI Report, EATS will need to see the related OI Reports.

AMS

Version 2 ideas: for AMS

An introduction screen which gives a breakdown of the timeliness of closure of the allegations in your region or program office, and a list of cases older than 120, 150, and 180 days. Other ideas for this introductory screen are ARBs and acknowledgment letters due in the next two weeks.

OIMIS

The design of the application will need to accommodate the various workflow/approval processes currently in the system.

OIMIS Staff Hours comes from information entered into the Payroll portion of the system.

Now Betsy has to enter the pay years and pay periods each year. Can this be populated by a link to the CFO Time and Labor System?

Documents -- These are templates of different documents Investigators need to fill out. If you select one it brings up WordPerfect for you to fill out the documents and save as a regular file name on the Agents c:/ drive.

Travel -- Not current used. If they want it then will have to be V2.

Approval Process -- Everyone prints out their own Time Sheet, signs it and gives it or faxes it to Betsy. Time sheets are reviewed by the IA against HRMS to make sure they match. If there is a discrepancy the Agent will be requested to fix the time sheet and their sheet will be unlocked. If the Agent is unavailable to fix the time sheet the IA can do it. The FOD's in HQ review and approve the Regional and HQ staff time sheets. All time sheets must be complete by the time HRMS requires time to be entered.

ROI Screen -- Need to visit this area more.

To make lives better in OIMIS and possibly to reduce the number of reports they have OIMIS needs a search capability on any field in the database.

EATS does not use Issues any more so this can come out of the OIMIS database.

We need to be able to link the outcome of the investigation to each of the concerns in AMS. An allegation and an investigation can be going on at the same time. And concern numbers can

change after the Allegations Review Board. They can be split into several concerns or removed. There should be a trigger that if AMS updates any concerns that have an OI Number that ~~the OI database is updated with the concern information. If there was a change to anything in a concern~~ (strikeout provided in the AMS meeting on 3/22) an email notification should be sent to the AMS Case Agent.

There was a short discussion on dashboards and what their purpose is. Dashboards can contain each applications' most important information. It can show the important relationships between the 3 systems.

If information in an OIMIS case changes emails are sent to several people in the office. They need to keep this active.

Time and Labor System Discussion

If AMS says they don't need to refer to OI but OI disagrees they can self-initiate a case or a concern. If they self initiate they most often will go back to AMS and tell them to open an AMS case on this or add another concern to an existing case. **In this case they need to come up with a dummy AMS number or a concern number so they can track their time until AMS starts the case and gets a real AMS number. They will check the box "OI Initiated".**

AMS, through the ARB can open a certain number of concerns but in OI they can look through the documents attached to the ARB meeting minutes and determine if other concerns need to be added. They will go back to AMS and tell them about the new concern because it should have an ARB. They always let AMS know the OI number when it is opened. They need to be able to track the life cycle of AMS concerns through the OI process. They can add to them. Usually AMS accepts any concerns that OI creates.

OI should be able to lock down those concerns they accept from AMS so that AMS can not change them once the investigation has begun.

OI Cases do not have to be related to AMS cases. May need different types of OI cases. Or an indicator that this is not an AMS related cases.

It is only OI Agents doing double entry for staff hours. They can track by case number and activities within case. It becomes important to OI to be able to answer questions on how many hours have been spent on an investigation. How many agents spent time on a case. How much travel time do they do. Use it internally for budget planning for estimating travel/FTE/. The hours must match HRMS. The agents are paid LEAP an additional 25% salary. The theory behind that is that you are working 25% more hours in a pay period/quarter/year, etc. Now there is a manual check between what is entered in OIMIS and what is entered into HRMS and they are signed off on. There are approximately 33 field agents. For the new system they want the same functionality that they currently have.

The Allegation Start Up Process - Cases start from a call or a letter, and the OAC (Office of the Allegation Coordinator) writes it up in a memo for the Allegation Review Board meeting. An AMS No. is assigned. Usually comes from the Region but can come from HQ. In the ARB concerns are identified. In the memo they list the concern and the Action Evaluation and Special Consideration/Instructions. Anne would like a copy of the standard form that lists the Concern No., Action Evaluation and Consideration/Instructions. Region III does this a little bit different. Sue Bogle is going to check with Andrea to see if they can conform with the other Regions.

Both AMS and EATS have Types of Cases. It would be nice if they could share the same table. Sue will check with OE staff on this. Need to add HLW to the drop down.

Investigation Status Record – This is a record of the progress made on a Case.
Monthly ISR entry of Date, Checkbox - Est. Comp Date, Checkbox - Ready for Review, Checkbox - FOD Review, Checkbox - HQ Review and remarks. The FOD and HQ Review Checkboxes are populated when the FOD and HQ reviews are complete. Need to be able view the current remarks and the previous entry remarks. Need to be able to print/view a report of all the ISRs for the case or choose the ones you want to print/view. The current system allows spellchecking of the remarks. No spell check available in the Web. May need to come up with a workaround. e.g. Highlight text copy and paste into WP. Then spell check, copy and paste back into the remarks field. The IA checks that the case is "Ready for Review" by the FOD. There has to be a role that can unlock approved ISR (See Utilities under Misc)

An IA can look at the ISR after the agent says it's ready for review. The FOD can pull up a list of cases that are in the "ready to review status". He can modify information in the ISR and an e-mail notification is sent to the Case Agent and maybe the IA. If the IA makes the change then the Agent gets an automatic e-mail notification.

In each instance (IA, FOD or HQ) they need to be able to look at cases "ready for review" and accept, decline or cancel the ISR and modify any information within the ISR.