

Exhibit 300 (BY2009)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-12-28
2. Agency:	429
3. Bureau:	00
4. Name of this Capital Asset:	Time and Labor Modernization
5. Unique Project Identifier:	429-00-01-01-01-2016-00
6. What kind of investment will this be in FY2009?	Full-Acquisition
7. What was the first budget year this investment was submitted to OMB?	FY2008
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.	<p>This investment provides for the collection of time & attendance & labor data from approximately 3600 employees & consultants. The purpose of this investment is to perform a technology refresh of the legacy HRMS T&L system. After completing an alternatives analysis of T&L and subsequent business process improvement studies confirming the critical need for a T&L investment that supports human capital initials, but equally supports financial and business objectives of the agency. The T&L satisfies statutory requirements for billing NRC licensees & managing costs associated with collecting fees prescribed by the OBRA-90 and Nuclear Waste Act. The T&L system is a self-service application allowing employees to report time worked for compensation. The information provides executives with a tool to manage its human resources. The data are used for formulating & executing budgets & operating plans, for workload planning, for managing costs, & for performance monitoring. The data are used in analysis & reporting on resource expenditures & is core to the decision making processes in the agency. The T&L system interfaces with agency enterprise-wide systems, including: Federal Financial System, Cost Accounting System, the Reactor Program System, the Strategic Workforce Planning System. The T&L system has served as a central repository for collecting staff time expenditures in the agency. T&L provides NRC with a means to meet the effective internal control objectives of the Federal Managers' Financial Integrity Act. This is evidenced in a history of unqualified audit opinions on NRC's financial statements. Independent studies on the implementation of T&L have confirmed the centralized time, attendance, & labor reporting process supported by T&L meets requirements essential to NRC's mission described in its Performance & Accountability Report. As a result of business process improvement studies & the need to strengthen the security posture of the legacy HRMS to meet the most current Federal requirements & guidelines, the NRC proceeded in FY07.</p>
9. Did the Agency's Executive/Investment Committee approve this request?	yes
9.a. If "yes," what was the date of this approval?	2007-06-05
10. Did the Project Manager review this Exhibit?	yes
11. Project Manager Name:	Anthony Rossi
Project Manager Phone:	301-415-7379
Project Manager Email:	acr@nrc.gov
11.a. What is the current FAC-P/PM certification level of the project/program manager?	Senior/Expert-level
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	yes
12.a. Will this investment include electronic assets (including computers)?	

yes
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)
no
13. Does this investment directly support one of the PMA initiatives?
yes
If yes, select the initiatives that apply:
Budget Performance Integration
Expanded E-Government
Financial Performance
Human Capital
13.a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)
HRLob-support employee compensation for approximately 3700 employees & consultants. FMLob- supports billing licensees, managing cost, and preparing financial statements. As part of the technology refresh currently underway, improved business processes will be implemented and a transition to a private or Government provided will be executed that is consistent with NRC's Financial Systems Architecture plans. See Integrated Financial BPI ML071590076 & Target Financial Sys Architecture ML071590081
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?
yes
14.a. If yes, does this investment address a weakness found during the PART review?
no
14.b. If yes, what is the name of the PARTed program?
Reactor Inspection and Performance Assessment
14.c. If yes, what rating did the PART receive?
Effective
15. Is this investment for information technology?
yes
16. What is the level of the IT Project (per CIO Council's PM Guidance)?
Level 2
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)
(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as high risk on the Q4 - FY 2007 agency high risk report (per OMB memorandum M-05-23)?
no
19. Is this a financial management system?
yes
19.a. If yes, does this investment address a FFIA compliance area?
yes
19.a.1. If yes, which compliance area:
Statements of Federal Financial Accounting Standards-Managerial Cost Accounting Concepts and Standards for the Federal Government (SFFAS No. 4)
19.a.2. If no, what does it address?
In addition, T&L information supports NRC's ability to verify & validate cost & resources reported against performance measures & metrics. The data provides linkage to the budget & provides the data used in prioritizing work & aligning resources to program outcomes. It assure the information reported by managers are complete, accurate, & consistent. HRMS provides transparency to resource allocation decisions made by NRC
19.b. If yes, please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A11 section 52.

Human Resources Management System (HRMS)

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	90
Other	10

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

n/a

22. Contact information of individual responsible for privacy related questions.

Name

Sandra S. Northern

Phone Number

301-415-6879

Title

Privacy Officer

Email

SSN@NRC.GOV

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

yes

24. Does this investment directly support one of the GAO High Risk Areas?

no

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY	BY	BY+1	BY+2	BY+3	BY+4 & Beyond
	-2006	2007	2008	2009	2010	2011	2012	2013+
Planning Budgetary Resources	0.333	0.000	0.000	0.165	0.000	0.000	0.000	0.000
Acquisition Budgetary Resources	0.000	0.901	1.016	0.785	0.000	0.000	0.000	0.000
Maintenance Budgetary Resources	0.000	0.000	0.000	0.400	0.635	0.435	0.435	1.070
Government FTE Cost	0.138	0.124	0.546	0.296	0.281	0.148	0.148	0.296
# of FTEs	0	1	1	2	1	1	1	1

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

yes

2.a. If "yes," how many and in what year?

2.0 FTE. 1.0 for security specialist and 1.0 for Training/Communications. Security resource is required for additional oversight and management of the security program for the system. Both resources will support the transition to a service provider assuring compliance with security requirements and transition of staff at an alternate processing site.

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes.

The spending has been revised to separate HRMS legacy O&M steady state/decommissioning activities from upgrade (technology refresh) and ongoing transition of services activities to a private or public service provider. In separating the costs, FTE expenditures required for this project were not identified for this investment as resources were reprogrammed internally to perform the upgrade in FY07. Budgeted resources are reflected in the FY08,09 budget. The total overall project cost is \$7.4 million. The Summary of Spending is overstated by 782K as the purchase of hardware and software occurred ahead of schedule in FY 2007.

ACQ STRATEGY

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Number	Type	Awarded?	Award date (planned or actual)	Start Date	End Date	Total Value (\$M)	
1	O&M Support Contract	FFP: Firm Fixed Price	no	2007-10-31	2007-10-31	2011-09-30	2.800
2	Software Procurement	C: Cost	yes	2007-05-31	2007-05-31	2008-05-31	0.550
3	Hardware Procurement	C: Cost	yes	2007-08-31	2007-08-31	2007-08-31	0.242
4	Training Support	FFP: Firm Fixed Price	yes	2007-10-31	2007-12-31	2008-12-31	0.831
5	Training Support Software	C: Cost	yes	2007-05-31	2007-05-31	2008-05-31	0.088
6	Helpdesk Support	FFP: Firm Fixed Price	no	2008-01-01	2008-01-01	2009-01-01	0.080

Number	Interagency Acquisition?	Performance based?	Competitively awarded?	Alternative Financing Option?	EVM in contract?	Include sec & priv clauses?	
1	O&M Support Contract	no	no	no	NA	yes	yes
2	Software Procurement	yes	no	yes	NA	yes	yes
3	Hardware Procurement	yes	no	yes	NA	yes	yes
4	Training Support	yes	no	yes	NA	yes	yes
5	Training Support Software	yes	no	yes	NA	yes	yes
6	Helpdesk Support	no	yes	yes	NA	yes	yes

Number	CO Name	CO Contact	CO Certification Level	If N/A, CO Competent?	
1	O&M Support Contract	S. Pool	301-415-8168 smp2@nrc.gov	3	yes
2	Software Procurement	S. Pool	301-415-8168 smp2@nrc.gov	3	yes
3	Hardware Procurement	S. Pool	301-415-8168 smp2@nrc.gov	3	yes
4	Training Support	S. Pool	301-415-8168 smp2@nrc.gov	3	yes
5	Training Support Software	S. Pool	301-415-8168 smp2@nrc.gov	3	yes
6	Helpdesk Support	S. Pool	301-415-8168 smp2@nrc.gov	3	yes

3. Do the contracts ensure Section 508 compliance?

yes

3.a. Explain why.

The vendor prepares a product status using the VPAT for its product suite. The attached VPAT confirms compliance of the PeopleSoft version 9.0 suite and its compatibility in meeting Section 508 Accessibility requirements according to the Federal template. Through independent testing and evaluation, the NRC has instituted a means for validating the delivery of software to meet Section 508 specs.

4. Is there an acquisition plan which has been approved in accordance with agency requirements?

yes

4.a. If yes, what is the date?

2007-08-31

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding Measurement Area and Measurement Grouping identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2008	Management	Mission and Business Results	Contingency Planning	Assure establishment of contingency plans sufficient for the continued operations of T&L during an event. Plans will be evidenced by the approval of a business continuity plan and strategy.	Complete 1 formal review annually	Complete 1 formal review annually	
2	2008	Management	Mission and Business Results	Continuity Of Operations	Conduct testing of COOP operations to assure contingency planning strategies are effective. Effectiveness will be evidenced by the results of the execution of a COOP exercise.	Conduct 1 successful simulated event annually.	Conduct 2 successful tests annually	
3	2008	Management	Mission and Business Results	Service Recovery	Restore T&L operations to user community with least impact to business operations. Impact and satisfaction rating will be assessed during a customer service survey.	Achieve 6 hours recovery service	Achieve 5 hour recovery service	
4	2008	Management	Mission and Business Results	Budget and Performance Integration	Distribute labor hours sufficient to support the budget formulation/execution processes in the agency. Satisfaction rating will be assessed during a customer service survey.	No data available	Achieve 80% satisfaction rating	
5	2008	Management	Mission and Business Results	User Fee Collection	Distribute labor hours sufficient for billing and collection of fees and other reimbursable work. Compliance will be	Validate 85% of hours collected in T&L for billing is identified and	Validate 85% of hours collected in T&L for billing is identified and distributed	

					based on results from the T&L developed reconciliation report.	distributed for collection	for collection	
6	2008	Management	Mission and Business Results	Help Desk Services	Maintain good customer relations with employees requiring support from help desk operations staff. Satisfaction rating will be assessed during a customer service survey.	Achieve 85% customer satisfaction rating during a customer service survey	90% customer satisfaction rating during a customer service survey	
7	2008	Management	Mission and Business Results	Payments	Migration custom payment processing performed as part of T&L processing to DOI operations. Success will be measured by the reduction of NRC labor resources and improved business process.	Achieve 50% transition of functionality to DOI	Achieve 50% transition of functionality to DOI	
8	2008	Management	Mission and Business Results	Asset and Liability Management	Improve reporting of labor hours for IT Software Development activities. Improvement will be evidenced by audit reviews.	No issues identified during annual audit of financial statements	100% compliance with accounting policies for reporting labor hour expenditures on IT Software Development projects	
9	2008	Management	Mission and Business Results	Cost Accounting / Performance Measurement	Establish policies to enhance manager use of labor hrs for decision making Eg to monitor performance of op plans consistent with strategic goals & objectives. Effectiveness & satisfaction rating will be assessed during a customer survey	0 T&L policies and procedures provide corporate guidelines for using labor information as a tool for monitoring resource utilization.	Achieve 10% improvement in developing corporate guidance for use of labor cost information for performance monitoring and reporting.	
10	2008	Management	Mission and Business Results	Compensation Management	Assure the shared service provided (DOI) receives T&L data in sufficient time to accurately pay NRC employees are accurately paid on time. Compliance will be independently reviewed prior to production operations.	Achieve 90% timeliness in transmitting T&L information to DOI each pay period. Achieve 90% accuracy in employee compensation according to a customer service survey.	Achieve 95% timeliness in transmitting T&L information to DOI each pay period. Achieve 90% accuracy in employee compensation according to a customer service survey.	
11	2008	Management	Mission and Business Results	Lifecycle/Change Management	Assure compliance with system life cycle methodologies by	Achieve 90% compliance with system	Achieve 95% compliance with system	

					adhering to a rigorous change management policy. Compliance will be independently reviewed prior to production operations.	life cycle and change management policies and procedures.	life cycle and change management policies and procedures.	
12	2008	Management	Mission and Business Results	System Development	Assure systems development activities meet quality and timeliness standards. Compliance will be independently reviewed through checkpoints throughout systems development.	Achieve 80% user acceptance of all development activities: Achieve 80% completion of development activities on schedule	Achieve 90% user acceptance of all development activities: Achieve 80% completion of development activities on schedule	
13	2008	Management	Mission and Business Results	Information Systems Security	Comply with Federal system security requirements. Compliance will be evidence by obtaining certification and accreditation and verified independently prior to production operations.	100% mitigation of high security risks. 85% mitigation of moderate to low security risk.	100% mitigation of high security risks. 85% mitigation of moderate to low security risk.	
14	2008	Management	Mission and Business Results	Record Retention	Comply with records retention's policies and procedures during conversion. Compliance will be independently reviewed prior to production operations.	Achieve 90% compliance with records retention policies and procedures. Compliance will be independently reviewed prior to production operations.	Achieve 90% compliance with records retention policies and procedures.	
15	2008	Management	Mission and Business Results	Information Management	Achieve compliance with Federal regulations on payroll and time and labor. Compliance will be independently reviewed prior to production operations.	Achieve 90% compliance with Federal regulations on payroll and time and labor as evidenced in audits, reviews, and assessments of the T&L investment.	Achieve 95% compliance with Federal regulations on payroll and time and labor as evidenced in audits, reviews, and assessments of the T&L investment.	
16	2008	Management	Customer Results	Customer Satisfaction	Achieve satisfaction in delivery of services, system, and information for the NRC. Satisfaction rating will be assessed during a customer service survey.	Achieve 85% customer satisfaction rating during a customer service survey	Achieve 85% customer satisfaction rating during a customer service survey	
17	2008	Management	Customer Results	Customer Complaints	Achieve resolution of applicable T&L investment	Achieve 85% customer satisfaction	Achieve 90% customer satisfaction	

					complaints. Satisfaction rating will be assessed during a customer service survey.	rating during a customer service survey	rating during a customer service survey	
18	2008	Management	Customer Results	Customer Training	Achieve an effective training program strategy. Effectiveness will be measured using the online training assessment tools and ratings from a customer survey.	Achieve 85% user satisfaction based on customer survey.	Achieve 90% user satisfaction based on customer survey.	
19	2008	Management	Customer Results	Response Time	Assure timely response to all user inquiries made to the help desk and e-mail response address. Satisfaction rating will be assessed during a customer service survey and phone statistics monitoring.	Achieve 85% user satisfaction based on customer survey.	Achieve 90% user satisfaction based on customer survey.	
20	2008	Management	Customer Results	Access	Assure timely access to system for new users. Timeliness will be measured by the number of days from hire to setup and notification of granted access to the system.	Current access takes up to 4 days from EOD to grant system access to T&L.	Achieve a 25% (1 day) reduced time frame for system access.	
21	2008	Management	Customer Results	Availability	Assure core business hour coverage for customer service. Effectiveness will be monitored by phone monitoring statistics.	Hours of operation span 7:00 - 4:30 M-F, 1 representative.	Achieve a 100% increase in coverage during system transition for core hours, increasing labor support to 2 skilled representatives.	
22	2008	Management	Customer Results	Automation	Expand help support services through self-help automation. Effectiveness will be monitored by phone monitoring statistics for password resets.	Reduce helpdesk support calls for password resets by 70%.	Achieve 80% reduction in helpdesk calls for password reset.	
23	2008	Management	Processes and Activities	Cycle Time	Reduce employee time required to enter, validate, and approve time and labor information. Cycle times will be update for comparison against current baselines.	Achieve a 10% reduction in each area.	Achieve a 30% reduction in each area.	
24	2008	Management	Processes and Activities	Errors	Reduce need to correction previously approved time. Time and Labor audit and reporting capabilities	Achieve a 10% reduction for each organization's baseline.	Achieve 30% reduction over each organization's baseline.	

					will be used to calculate statistics on adjusted time.			
25	2008	Security	Processes and Activities	Security	Document processes and activities in compliance with Federal security standards and guidelines.	Achieve 80% documentation of security processes and activities.	will be update for comparison against current baselines.	
26	2008	Security	Processes and Activities	Privacy	Maintain security of privacy information. Compliance will be assess during independent validation processes prior to production operations.	Achieve 95% compliance and successful testing of privacy protection mechanisms.	Achieve 99% compliance and successful testing of privacy protection mechanisms.	
27	2008	Management	Processes and Activities	Compliance	Maintain compliance with Federal Financial system policy and guidelines. Compliance will be assess during independent validation processes prior to production operations.	Achieve 95% compliance and successful testing of privacy protection mechanisms.	Achieve 99% compliance and successful testing of privacy protection mechanisms.	
28	2008	Management	Processes and Activities	Innovation and Improvement	Reduce paper and manual transactions.	0 time sheets overtime, leave, and other requests are approved electronically. Time sheets are signed and approved by employee and supervisor.	Achieve 85% satisfaction rating in improved usability based on customer survey. Achieve 80% improvement in system performance for validation processing based on legacy system performance as baseline.	
29	2008	Management	Technology	Training and User Costs	Achieve an efficient training program strategy. Efficiency will be based on the resources required to execute training plans.	Achieve 70% delivery of training using integrated T&L web based training.	Achieve 80% delivery of training using integrated T&L web based training.	
30	2008	Management	Technology	Improvement	Achieve improvements in user interface, system performance, system secure access, and functionality.	Achieve 80% satisfaction rating in improved usability based on customer survey. Achieve 80% improvement in system performance for validation processing based on	Achieve 80% satisfaction rating in improved usability based on customer survey. Achieve 80% improvement in system performance for validation processing based on	

						legacy system performance as baseline.	legacy system performance as baseline.	
31	2008	Management	Technology	Availability	Assure 24x7 availability of the system.	System available 90% of times during core business hours.	System available 90% of times during core business hours.	
32	2008	Management	Technology	Reliability	Assure system produces reliable data for use in other interfacing systems. Independent system validation and testing will measure assurance level.	Assurance level is 80% of statistical data sample.	Assurance level is 980% of statistical data sample.	
33	2008	Management	Technology	User Requirements	Assure validated/approved user requirements are delivered.	Achieve 80% delivery of user requirements before system operations.	Achieve 80% delivery of user requirements before system operations.	
34	2008	Management	Technology	IT Contribution to Process, Customer, or Mission	Validate system effectiveness in meeting contribution to business process, stakeholder expectations, and the primary mission of the system and the agency. Independent validation will be used to assess the effectiveness.	Achieve 80% effectiveness rating	Achieve 90% effectiveness rating	

SECURITY & PRIVACY

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the Systems in Planning table (Table 3) and the Operational Systems table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the Name of System column of the privacy table (Table 8) should match the systems listed in columns titled Name of System in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer yes for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

For all investments, please respond to the questions below and verify the system owner took the following actions:

1. Identified the IT security costs for the system(s) and have integrated those costs into the overall costs of the investment:

yes

1.a. If yes, provide the Percentage IT Security for the budget year.

10.94

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

yes

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Moderization

System Name	Agency or Contractor?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Time and Labor Modernization (formerly HRMS) - System	Contractor and Government	2009-03-31	2009-03-31

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

no

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

no

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

Third-party providers of information system services are contractually bound to adhere to national policy as defined in federal legislation and regulatory guidance, as well as NRC policies. Third-party provider compliance will be validated through auditing and/or an independent verification and validation.

8. System Privacy Data

System Name	New System?	Is there a PIA?	PIA Internet Link or Explanation	Is SORN required?	SORN Internet Link or Explanation
Time and Labor Modernization (formerly HRMS) - System	yes	yes	At the time of this OMB 300 submission, the project is still in the planning phase, and therefore, the completed PIA will be posted prior to deployment. Approved version is attached to the investment.	yes	http://www.nrc.gov/reading-rm/foia/privacyact-system-of-records.pdf

EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

yes

2. Is this investment included in the agency's EA Transition Strategy?

yes

2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

Human Resources Management System

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?

no

3.a. If yes, provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

Financial Mgmt

4. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Time Reporting	T&L's primary function is to capture time, attendance, and labor information for financial and program management purposes	Human Resources	Time Reporting			Internal	45
2	Customer/Account Management	T&L helpdesk representatives assist in account setup and management	Customer Relationship Management	Customer / Account Management			Internal	1
3	Online Help	T&L delivers online help features for time reporting	Customer Initiated Assistance	Online Help			Internal	1
4	Online Tutorials	T&L permits organization customers to access helpdesk services at their own initiative	Customer Initiated Assistance	Online Tutorials			Internal	1
5	Process Tracking	T&L monitors and records activities within the business cycle	Tracking and Workflow	Process Tracking			Internal	1
6	Requirements	T&L enforces time	Management	Requirements			Internal	1

	Management	reporting requirements for the financial purposes e.g., Federal employee compensation and NRC billing and cost recovery	of Processes	Management				
7	Governance/Policy Management	T&L implements Federal time reporting policies	Management of Processes	Governance / Policy Management			Internal	1
8	Quality Management	T&L provides a centralized repository of time, attendance, and labor hour expenditures for consistent reporting for internal and external purposes	Management of Processes	Quality Management			Internal	5
9	Risk Management	T&L manages risk associated with waste, fraud, and abuse of time used for compensating employees and recovering budgeted costs from external entities	Management of Processes	Risk Management			Internal	5
10	Performance Management	T&L is used throughout NRC as a performance indicator for evaluating resource utilization effectiveness and efficiencies use to support strategic goals and objectives	Investment Management	Performance Management			Internal	1
11	Library/Storage	T&L stores documentation of approved leave and hours for compensation and billing for 6 yrs 3 months	Document Management	Library / Storage			Internal	1
12	Document Review and Approval	T&L stores documentation of approved leave and hours for compensation and billing for 6 yrs 3 months	Document Management	Document Review and Approval			Internal	1
13	Information Retrieval	T&L stores documentation of approved leave and hours for compensation and billing for 6 yrs 3 months	Knowledge Management	Information Retrieval			Internal	1
14	Call Center Management	T&L permits organization customers to access helpdesk services at	Customer Relationship Management	Call Center Management			Internal	1

		their own initiative						
15	Information Sharing	T&L provides a centralized repository of time, attendance, and labor hour expenditures for consistent reporting for internal and external purposes	Knowledge Management	Information Sharing			Internal	1
16	Document Retirement	T&L stores archival process follows Federal records management standards	Records Management	Document Retirement			Internal	1
17	Multimedia	T&L employs multimedia for time reporting and training of employees	Visualization	Multimedia			Internal	1
18	Simulation	T&L integrated training software simulates time reporting and process that is repeatable for new employees or employees changing roles and responsibilities.	Knowledge Discovery	Simulation			Internal	2
19	Decision Support and Planning	T&L is used throughout to assist managers in evaluating resource utilization effectiveness and efficiencies. Supports planning and management of resources based on data captured in T&L.	Business Intelligence	Decision Support and Planning			Internal	1
20	Data Exchange	T&L exchanges employee time and labor information between internal/external financial and programmatic systems.	Data Management	Data Exchange			Internal	1
21	Data Cleansing	T&L exchanges employee time and labor information between internal/external financial and programmatic systems and sanitizes sensitive data to assure protection of PII	Data Management	Data Cleansing			Internal	1
22	Data Classification	T&L classifies data used for financial and program management	Data Management	Data Classification			Internal	1
23	Ad Hoc	T&L provides ad hoc reporting capabilities to support a wide range of inquiries on	Reporting	Ad Hoc			Internal	2

		time reported in the system						
24	Standardized/Canned	T&L provides standard reports for operational management and standard inquiry on time reported in the system	Reporting	Standardized / Canned			Internal	2
25	Billing and Accounting	T&L provides financial information to support billing and accounting activities	Financial Management	Billing and Accounting			Internal	8
26	Payroll	T&L collects time used for employee compensation. This information is provided to NRC's shared service provider electronically. Adjustments are managed by T&L.	Financial Management	Payroll			Internal	10
27	Debt Collection	T&L provides a means to establish a debt owed to the Government.	Financial Management	Debt Collection			Internal	3
28	Resource Planning and Allocation	T&L provides information used for planning and managing resource allocations in support of NRC's mission	Human Capital / Workforce Management	Resource Planning and Allocation			Internal	5
29	Legacy Integration	T&L integrates data used by legacy financial and program management systems	Development and Integration	Legacy Integration			Internal	1
30	Enterprise Application Integration	T&L integrated data used in enterprise financial and program management application systems	Development and Integration	Enterprise Application Integration			Internal	1
31	Identification and Authentication	T&L established employee identification credentials for all NRC employees and consultants for time reporting. The system authentications users for time reporting purposes.	Security Management	Identification and Authentication			Internal	1
32	Access Control	T&L controls user access to PII information necessary for financial reporting.	Security Management	Access Control			Internal	1
33	Cryptography	T&L protects and encrypts sensitive time and labor information used for financial reporting.	Security Management	Cryptography			Internal	1
34	Digital Signature	T&L leverages agency	Security	Digital			Internal	1

	Management	the agency's Managed Public Key Infrastructure to authenticate users accessing the system.	Management	Signature Management				
35	Audit Trail Capture and Analysis	T&L implements audit trails for key transaction processing to assist in after-the-fact audit and review of transactions processed in the system.	Security Management	Audit Trail Capture and Analysis			Internal	1
36	Certification and Accreditation	T&L must maintain certification and accreditation associated with a moderate sensitively level system.	Security Management	Certification and Accreditation			Internal	10
37	FSMIA Management and Reporting	T&T&L must maintain compliance with FISMA requirements.	Security Management	FISMA Management and Reporting			Internal	5

5. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Call Center Management	Service Access and Delivery	Access Channels	Collaboration / Communications	HRMS Help Desk
2	Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Proprietary Windows NT Server
3	Customer / Account Management	Component Framework	Business Logic	Platform Dependent	HRMS Help Desk
4	Online Tutorials	Service Access and Delivery	Access Channels	Web Browser	Oracle User Productivity Kit- requires Microsoft Internet Explorer (MSIE)
5	Online Tutorials	Service Access and Delivery	Delivery Channels	Intranet	Internal
6	Online Tutorials	Service Access and Delivery	Service Transport	Service Transport	TCP IP
7	Online Tutorials	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server
8	Online Tutorials	Service Platform and Infrastructure	Delivery Servers	Media Servers	Window Media Services
9	Online Tutorials	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL Server 2005
10	Online Tutorials	Service Platform and	Database / Storage	Storage	Network Attached Storage (NAS)

		Infrastructure			
11	Online Tutorials	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
12	Online Tutorials	Component Framework	Presentation / Interface	Static Display	HTML
13	Online Tutorials	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages
14	Online Tutorials	Service Platform and Infrastructure	Support Platforms	Platform Independent	JavaScript and Active X
15	Online Tutorials	Component Framework	Data Management	Database Connectivity	ODBC
16	Process Tracking	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Oracle Enterprise Peoplesoft-process tracking is built into the application and will take on all service components of the application
17	Inbound Correspondence Management	Service Access and Delivery	Delivery Channels	Internet	Internal
18	Inbound Correspondence Management	Service Access and Delivery	Service Transport	Service Transport	Tectia SSH FTP
19	Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management - Oracle Enterprise Peoplesoft - process is built into the application and will take on all service components of the application
20	Ad Hoc	Component Framework	Data Management	Reporting and Analysis	XML Publisher
21	Document Retirement	Service Access and Delivery	Service Requirements	Legislative / Compliance	NRC Management Directive 3.53 "NRC Records Management Program"
22	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle Application Server for Peoplesoft
23	Information Sharing	Service Platform and Infrastructure	Delivery Servers	Portal Servers	Oracle Peoplesoft Enterprise Portal
24	Simulation	Service Platform and Infrastructure	Software Engineering	Test Management	IBM Rational
25	Simulation	Service Platform and Infrastructure	Software Engineering	Modeling	Oracle Peoplesoft
26	Data Exchange	Component Framework	Data Interchange	Data Exchange	Tectia SSH FTP
27	Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	Extensible Markup Language (XML)
28	Data Integration	Service Interface and Integration	Interface	Service Description / Interface	Customized Interfaces to transfer data between systems
29	Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	Smartcards Utilize Smartcards and SSL certificates for applications and users. Creation and management of Certificates must comply with NRC standards. Smartcards meet HSPD12 specifications.

30	Intrusion Prevention	Component Framework	Security	Supporting Security Services	Intrusion Detection System Device
6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?					
yes					
6.a. If yes, please describe.					
As a participant in the ePayroll initiative for this IT investment, the agency, NRC, is working to facilitate the integration necessary to continue payroll services for the agency while using the FPPS software provided by the ePayroll provider, Department of the Interior's National Business Cener (DOI/NBC).					

PART TWO

ALT ANALYSIS

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

An Alternatives Analysis for E-Gov and LOB initiatives should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

4. Did you conduct an alternatives analysis for this project?

yes

4.a. If yes, what is the date of the analysis?

2007-06-05

Use the results of your alternatives analysis to complete the following table:

Alternative Name	Description	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Time & Labor Upgrade (Outsource Option)	20 vendors were contacted based on Federal sector clients. Requirements included: Ability to meet NRC statutory & functional requirements; Scalability, flexibility, & secure architecture, compatibility with NRC EA; Ability to develop, change, & interface with other software; Ability to provide reporting & analysis. Further analysis concluded a technical upgrade of the current COTS software implemented at the NRC met high priority requirements & posed least implementation risk.	7.569	13.440
T&L GOTS Solution - Current Shared Service Provider (Outsource)	The DOI's T&L solution for collecting time and attendance information met Federal T&A report requirements, but not NRC labor reporting requirements currently met at the NRC. Customization to meet financial and labor reporting requirements would be required. Increased implementation risks were identified in evaluating the feasibility and performance in delivering a customized solution that meets core business requirements. Qualitative benefits scored low in the evaluation of this alternative.	4.805	4.153
T&L GOTS Solution- Other Government (Outsource)	The top four solutions used by customers in the Federal Government were evaluated as a viable alternative solution for collecting time and attendance information. Similar to Alt. 2, each solution required customization to meet financial and labor reporting requirements. Increased implementation risks were identified in evaluating the feasibility and performance in delivering a customized solution that meets core business requirements. Qualitative benefits scored low in the evaluation.	5.055	8.720
Time and Labor Status Quo	The NRC implemented a COTS solution in 2001 (see UPI#429-00-01-01-01-2015-00) The status quo solution is not considered a viable alternative as it does not meet current Federal security standards. It's aging technology is at high risk of failure with some aging components no longer supported by the vendors.	3.883	0.00

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Alternative 1 With an option to outsource the O&M, this alternative will best meet the existing & future business needs of the NRC. The NRC has the benefit of a COTS solution with the flexibility of the user interface resulting in the best ROI over the life cycle. The BPI team reported that a private sector vendor is likely to provide better support when anticipated changes are needed to meet Federal change requirements. A sensitivity analysis revealed that there is not a high likelihood of variation from the assessment presented & the labor cost savings proposed. This alternative posed the greatest benefit in saving labor costs inherent to the T&L reporting process. The cost for manual processes necessary to assure compliance with Federal time, attendance, & labor reporting requirements were best suited for automation by a system that provides transaction processing & full audit capabilities sufficient to paper-based tracking currently need for audit of financial transactions & internal controls. This solution provided a means for the NRC to replace paper-based processing with user authentication while significantly reducing labor required to verify, approve, & document time used for compensating employees & billing external entities. Savings in back-office processing & document storage & retrieval & after-the-fact investigations were quantified during the review of each alternative. The current version of COTS software implemented at the NRC that has a proven record for satisfying NRC's business requirements & determined upgrade to the current release of the software posed the least risk amongst comparable COTS/GOTS solutions that require costly customizations to fully implement the benefits quantified in the analysis. The software allows the NRC to

leverage product enhancements to reduce the number of customizations maintained in the current system. Further, the COTS solution addresses Federal security requirements & Section 508 compliance shortfalls with the legacy system. This option best supported a mobile workforce. This alternative provided maximum flexibility in configuring the system for human interface & use & for maintaining system interfaces to NRC/External program & financial applications requiring T&L information. The total overall project cost is \$7.4 million. The project cost for Alternative 1 is overstated by 782K as the purchase of hardware and software occurred ahead of schedule in FY 2007.

4. What specific qualitative benefits will be realized?

Requirements and qualitative benefits were analyzed based on the quality of information collected, the work environment (satisfaction of employee with system for reporting his/her own time), stakeholder satisfaction (satisfaction of timekeeper, approving official, and management), flexibility with the way data is stored and ease of accessing information within the required data schemes and processes available with each alternative, usability of information for purposes of management planning and managing workload by activity and task, as may be needed by the different parts of the organization, the level to which the data is easy to use or requires minimal conversion prior to use by other areas of the organization, particularly for fee-for-service billing, and the extent the alternative meets federal and agency guidelines and policy statements in financial management, security, interoperability, personnel compensation management. The results yielded a high potential for labor cost savings of 2.7M each year.

5. Will the selected alternative replace a legacy system in-part or inwhole?

yes

5.a. If yes, are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment?

This Investment

5.b. If yes, please provide the following information:

	Name of Legacy System	UPI if available	Date of the System Retirement
1	Time and Labor Legacy (formerly HRMS)	429-00-01-01-01-2015-00	2008-10-31

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2007-09-30

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

Milestone tracking has been identified for the project and is published in the Project Plan using agency Project Management Methodologies. EVM methods are used to evaluate project status. Indicators and decision-making checkpoints are built into the project plan to assure management review and oversight for the project. A formal communications plan will be executed and feedback will be used as a data point for adjusting risk in cost/schedule and mitigation strategies will be managed accordingly. Risk management plans and issue lists are reviewed frequently and mitigation strategies evaluated to assure project risk are managed throughout the lifecycle. An independent verification and validation of requirements will be completed in the initial elaboration phase of the project to assure delivery of product against formalized specifications. Testing and validation of the requirements by an independent source is planned in the testing phases. A firm fixed price O&M contract will be used to support upgrade activities and assure continuity in the transition of the project to a maintenance phase. Documented requirements from stakeholders have been re-verified and adjusted based on critical need.

COST & SCHEDULE

1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2. Is the CV% or SV% greater than $\hat{A}\pm 10\%$?

no

3. Has the investment re-baselined during the past fiscal year?

no

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., 03/23/2003/ 04/28/2004) and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the Description of Milestone and Percent Complete fields are required. Indicate 0 for any milestone no longer active.

	Description of Milestone	Initial End Date	Initial Total Cost (\$mil)	Planned End Date	Actual End Date	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Schedule Variance (# of days)	Cost Variance (\$mil)	Percent Complete
1	Inception-Requirements/Alternative Analysis	2006-10-01	0.689	2007-06-05	2007-06-05	0.689	0.529	0	-0.160	100
2	Elaboration-Acq Security Support	2006-10-01	0.200	2006-12-31	2006-09-30	0.200	0.200	-66	0.000	100
3	Elaboration-Acq Tech Support	2007-11-30	0.069	2008-09-30	2007-10-01	0.069	0.069	-261	0.000	100
4	Elaboration-Acq Software/Hardware	2007-10-31	0.620	2007-09-30	2007-08-23	0.620	0.682	-27	0.062	100
5	Construction-Data Conversion/Application Upgrade/User Acceptance	2009-03-31	1.248	2009-03-31		1.248				0
6	Construction-Certification & Accreditation	2009-03-31	0.320	2009-03-31		0.320				0
7	Transition-End User Training/Deployment	2009-03-31	0.095	2009-03-31		0.095				0
8	O&M	2009-09-30	0.681	2009-09-30		0.681				0
9	O&M -Private or Government Provider	2010-09-30	0.916	2010-09-30		0.916				0
10	O&M -Private or Government Provider	2011-09-30	0.583	2011-09-30		0.583				0
11	O&M -Private or Government Provider	2012-09-30	0.583	2012-09-30		0.583				0
12	O&M -Private or Government Provider	2013-09-30	0.783	2013-09-30		0.783				0
13	O&M -Private or Government Provider	2014-09-30	0.583	2014-09-30		0.583				0