NRC Response to the March 8, 2011 Information Request from
the House of Representatives Committee on Oversight and Government Reform

Requests and Responses
1. **Identify and briefly describe each of your agency's business and accounting systems. If separate divisions, bureaus, or offices of your agency use separate systems, identify which divisions, bureaus, or offices use each system.**

System Name	Description
Financial Accounting and Integrated Management Information System (FAIMIS)	NRC's Core Financial System (CFS) – accounting, budget execution, license fee billing, accounts receivable, accounts payable, commercial payments, financial statements, internal/external reporting, etc.; utilizes the CGI Momentum software and is cross-serviced by the Department of the Interior (DOI); implemented October 2010 and replaces the NRC legacy core, the Federal Financial System (FFS), the Fee Billing System, and the Cost Accounting System
Budget Formulation System (BFS)	Used to manage the budget formulation process for the NRC annual submission and is the source for updating budget information into OMB's MAX Information System
Human Resources Management System (HRMS) Time and Labor (T&L) System	Used by all NRC staff for reporting of time and attendance data to support FPPS payroll; reporting of time and labor data for FAIMIS cost accounting and billing for services rendered; maintains employee leave balances updated from FPPS as a time reporting control
Federal Personnel/Payroll System (FPPS)	An e-Payroll system provided through the Department of the Interior (DOI) used by NRC to process and pay the NRC payroll based upon time and attendance information from the HRMS T&L System; payroll cost and employee data is sent from FPPS through HRMS T&L to FAIMIS
e-Travel	A web-based e-travel system provided through the General Services Administration (GSA) used by NRC to process travel reservations, authorizations, and payments; financial data is sent to FAIMIS
Automated Acquisition Management Solution (AAMS)	Used to produce procurement documents and reports; financial data is manually recorded into FAIMIS from the contact, grant and amendment documents produced from AAMS

2. Explain how the business and accounting systems identified in response to Request No. 1 interact with one another.

The business and accounting systems described in Request No. 1 interact with one another as described in the table below. FAIMIS is the core financial system and receives input manually or from automated uploads of data from source systems.

Data Source System	System Receiving Data	Frequency	Purpose
BFS	FAIMIS	As needed	Manual entry of data from BFS into FAIMIS to provide approved budget data to core system
HRMS T&L	FPPS	Every two weeks	Automated data transfer of employee time provided to FPPS for the calculation and payment of payroll
FPPS	HRMS T&L	Every two weeks	Automated data transfer of payroll costs and employee leave balances
HRMS T&L	FAIMIS	Every two weeks	Automated data transfer of payroll costs for payroll budget execution and general ledger (GL) posting
HRMS T&L	FAIMIS	Every two weeks	Automated data transfer of employee T&L reporting for cost accounting and fee for service billing
e-Travel	FAIMIS	Continual	Automated data transfer with some manual intervention of travel authorization and expense amounts for travel budget execution and GL posting
AAMS	FAIMIS	As needed	Manual entry of financial data into FAIMIS from contract, grant and amendment documents produced by AAMS

3. **For each system identified in response to Request No. 1, state whether information found in that system is regularly or periodically submitted to any of the government-wide accounting systems maintained by the Department of the Treasury, e.g., GFRS, FACTS I, FACTS II, IFCS, etc., and explain how and at what intervals those submissions occur, including descriptions of both manual and automated processes.**

Information from the FAIMIS System is periodically submitted to Department of the Treasury Systems as follows:

Treasury System	Interval	Description of Submission Process
GOALS II: GFRS	Annually	Department of the Treasury System is accessed via the internet, staff signs onto NRC account and manually enters data from a report created from FAIMIS (entry is manual only)
GOALS II: FACTS I	Annually	Same as above
GOALS II: IFCS	Quarterly	Same as above
GWA	Quarterly	Same as above
FACTS II	Quarterly	Same as above
Automated Standard Application for Payments (ASAP)	As needed	ASAP, a Department of the Treasury System, is accessed via the internet, staff signs onto NRC account and manually enters the data from source documents to allow grantee drawdown of grant funds; these source documents are also recorded manually into FAIMIS; grantee payment information from ASAP is manually entered into FAIMIS for budget execution and GL posting (entry is manual only)

4. **For each system identified in response to Request No. 1, state whether information found in that system is regularly or periodically submitted to the Office of Management and Budget's (OMB) MAX Information System, and explain how and at what intervals those submissions occur, including descriptions of both automated and manual processes.**

Data from the BFS and FAIMIS is submitted to OMB by manually recording the data into OMB's MAX Information System during the November to January budget formulation cycle as well as for various budget adjustments as scheduled by OMB. OMB also uses the MAX Information System to collect data for various other data calls as necessary.

5. **For each system identified in response to Request No. 1, describe recent, current and planned migration or modernization projects.**

HRMS T&L is in the process of being upgraded to the latest version of the Oracle PeopleSoft Software. This is a major upgrade from Oracle PeopleSoft Version 7.51 to Version 9.0 which will provide greatly improved capability.

NRC's Financial Accounting and Integrated Management Information System (FAIMIS) Core Financial System (CFS) was successfully implemented, as scheduled, on October 1, 2010. FAIMIS uses the CGI Momentum Software and is hosted by the Department of the Interior (DOI). FAIMIS replaced the NRC legacy system FFS (Federal Financial System).

The AAMS will be replaced as a follow-on to the CFS implementation, and as presented to Office of Management and Budget's (OMB) Financial Systems Advisory Board (FSAB) in September 2010, and approved in January 2011, NRC put its acquisition system out to bid in December 2010 for full and open competition. An interagency, interdisciplinary, source selection panel is now reviewing the proposals and award is expected in the 3rd quarter of FY 2011. This acquisition system will allow the NRC to achieve a consolidated enterprise financial management information system as part of its commitment to business transformation and continual business improvement.

This system is in direct support of the NRC's goals to 1) achieve a 21st century acquisitions program that uses state-of-the-art acquisitions methodologies for acquisitions planning, execution, management, and close-out; and 2) to achieve an acquisitions program that fully integrates with agency-wide program and financial planning and execution. The system is part of the agency's plans to modernize the financial and acquisition management aspects of the NRC's internal operations to help meet external reporting requirements.

The NRC plans to implement the acquisition system in two major releases: 1) Commercial Contracts and Grants/Cooperative Agreements and 2) Department of Energy Laboratory and Interagency Agreements.

6. **In addition to your agency's submissions to government-wide accounting systems maintained by the Department of the Treasury and OMB, as described in response to Requests Nos. 3 and 4, does your agency publish any of the same information online for public viewing? If so describe how and in what format that information is published.**

The Congressional Budget Justification (CBJ) is published on the NRC's public website. The CBJ contains the same basic budget information as that provided to OMB through the MAX Information System but also includes the narrative justification. The CBJ is published as a PDF file on the web site identical to the published booklet.

The NRC also publishes the annual Performance and Accountability Report (PAR) on the public website. The PAR contains audited financial statements which contain the same financial information submitted to the Department of the Treasury. The PAR financial statements are published as a PDF file on the web site identical to the published booklet and also includes other information such as narrative reports on agency performance.

7. **Identify and briefly describe each system that your agency uses to manage grants, direct loans, and/or loan guarantees. If separate divisions, bureaus, or offices of your agency use separate systems, identify which divisions, bureaus, or offices use each system.**

NRC currently utilizes Distributed Solutions, Inc., (DSI) Automated Acquisition Management Solution (AAMS) to manage its relatively small grants program. NRC does not issue direct loans and/or loan guarantees. AAMS generates the grants award and amendment documents and serves as a data repository for Federal Funding Accountability and Transparency Act (FFATA) reporting. See #10 for additional details on grants reporting.

The NRC announces grant opportunities on grants.gov, a government-wide system managed by the Department of Health and Human Services.

The grant information and grantee funding authorization is manually recorded from the source document into the Department of the Treasury's Automated Standard Application for Payment (ASAP) System. Grantees then drawdown funds for payment from ASAP. Grants are manually recorded in FAIMIS from the source documents; payments are manually recorded in FAIMIS from reports provided by the ASAP System.

8. **For each system identified in response to Request No. 7, explain how it interacts with any business or accounting system identified in response to Request No. 1.**

With regard to grants, AAMS is not integrated with any other systems. All obligations are entered into FAIMIS manually from source documents produced by AAMS. Payments are manually recorded in FAIMIS from reports provided by the ASAP System.

The grants.gov system does not interact with any NRC system, entry of grant opportunity information is entered manually.

9. **For each system indentified in response to Request No. 7, state whether information found in that system is regularly or periodically submitted to the Catalogue of Federal Domestic Assistance (CFDA), and describe how and at what intervals those submissions occur, including descriptions of both automated and manual processes.**

NRC provides annual updates to the Catalog of Federal Domestic Assistance (CFDA). This process is manual; the NRC user logs into the CFDA website to update catalog information on NRC grants programs. Currently, the NRC has four types of grants.

10. **For each system indentified in response to Request No. 7, state whether information found in that system is regularly or periodically submitted to any of the government-wide grants management and reporting systems, e.g., FAADS, FAADS PLUS, etc., and describe how and at what intervals those submissions occur, including descriptions of both automated and manual processes.**

To report data for grants to USASpending.gov, a data file is compiled from AAMS, in accordance with the guidelines provided in OMB Memorandum M-09-19, Guidance on Data Submission under the Federal Funding Accountability and Transparency Act (FFATA). The file generated from AAMS is uploaded to the automated tool available on USASpending.gov, between the 5th and 20th of each month.

Grants data from AAMS is submitted on a quarterly basis to the Federal Programs Branch at the U.S. Census Bureau (FAADS). The automated process includes generating a report from AAMS that includes the following information: 1) award type; 2) title of program; 3) grantee name; 4) address; 5) award date and completion date; 6) CFDA Number; and 7) Total Amount Obligated. The report generated from AAMS is electronically submitted via email for posting.

11. **For each system identified in response to Request No. 7, describe recent, current and planned migration or modernization projects.**

It is anticipated that NRC's new acquisition system (per Request No. 5) will include grants functionality. Specifically, the NRC expects the configuration for grants/cooperative agreements functionality to be completed as part of the configuration for the overall system.

The NRC is exploring an automated interface with ASAP.

12. In addition to your agency's submissions to government-wide grants management and reporting systems, described in response to Requests Nos. 9 and 10, does your agency publish any of the same information online for public viewing? If so describe how and in what format that information is published.

General information regarding NRC's grants program is available on NRC's public Website at: http://www.nrc.gov/about-nrc/grants.html.

13. Identify and briefly describe each system that your agency uses to manage contracts. If separate divisions, bureaus, or offices of your agency use separate systems, identify which divisions, bureaus, or offices use each system.

For contracts, NRC uses DSI's AAMS system, as mentioned in response to Request No. 7. AAMS is used to generate the following action types:

- Advance Procurement Plans
- Solicitation documents
- Award documents
- Modification documents

There is an interface between AAMS and FPDS-NG and much of the data is sent to the Federal Procurement Data System- Next Generation (FPDS-NG) automatically from AAMS. Contract specialists manually complete additional data fields that do not transfer from AAMS. Contracts are manually recorded in FAIMIS from the source documents; contract payments are made directly from FAIMIS as invoiced and approved.

In accordance with the Federal Acquisition Regulations (FAR) the NRC posts contract opportunities and other contract related announcements on FedBizOpps, a government-wide systems managed by the General Services Administration (GSA).

14. For each system identified in response to Request No. 13, explain how it interacts with any business or accounting system identified in response to Request No. 1.

AAMS does not interface with any business or accounting systems at NRC. AAMS data is manually re-entered into FAIMIS from contract, grant and amendment source documents produced by AAMS.

15. For each system indentified in response to Request No. 13, state whether information found in that system is regularly or periodically submitted to any of the government-wide contract management and reporting systems, e.g., FPDS, FPDS-NG, FAPIIS, etc., and describe how and at what intervals those submissions occur, including descriptions of both automated and manual processes.

Basic award data, such as contract number, contractor name, period of performance, and dollar amount, is transmitted automatically to FPDS-NG real time as awards are generated in AAMS. Contract Specialists are required to enter additional data, such as competition data and small business information, into FPDS-NG manually in order to complete the entry.

16. For each system identified in response to Request No. 13, describe recent, current and planned migration or modernization projects.

As noted in the response to request No. 5 above, NRC anticipates implementation of its acquisition system in two major releases: 1) Commercial Contracts and Grants/Cooperative Agreements and 2) Department of Energy Laboratory and Interagency Agreements. This phased approach will allow for prioritization of needs and functionality while also allowing the Agency to adhere to OMB guidelines requiring that the overall length for any financial system project not exceed 24 months and project segments generally take no longer than 90-120 days to achieve specific project milestones.

The scope of the integration of the acquisition system into FAIMIS CFS encompasses those activities required or directly associated with the procurement life cycle from planning to closeout.

It is expected that the new acquisition system will provide a single system for solicitation, award and order processing, document generation (terms and conditions), and interface with the Central Contractor Registration (CCR), and Federal Procurement Data System Next Generation (FPDS-NG). The NRC expects to implement additional acquisition capabilities of the acquisition system including Federal Business Opportunities (FedBizOpps) support and solicitation posting via an electronic vendor connection.

The acquisition system shall provide a modern workflow routing capability, as well as query, monitoring, and reporting capabilities to support the efficiency and enhancement of the NRC's business processes. Timely and accessible information available on the desktop will improve transparency of and support for the administration and management of NRC procurements and associated financial transactions. The integration of the acquisition system with the financial system will provide the information and data necessary for effective and efficient decision-making for NRC management, and improve data integrity for NRC stakeholders.

17. In addition to your agency's submissions to government-wide contract management and reporting systems, described in response to Request No. 15, does your agency publish any of the same information online for public viewing? If so, describe how and in what format that information is published.

NRC publishes a list of active commercial contracts over $100,000 as a high value dataset on data.gov. This list is updated semi-annually and is published so that it can be downloaded by data.gov users in a variety of formats.

18. Briefly describe your agency's efforts to comply with OMB's memorandum on the Open Government Directive – Federal Spending Transparency, dated April 6, 2010. In particular, describe whether and how your agency has begun to collect and report sub-award data, as required by the memorandum, and describe how your agency's reports on OMB's data quality metrics, as required by the memorandum, are generated.

NRC issued guidance to contracting staff requiring the inclusion of contract clauses related to collecting subaward data in all new contracts, and as existing contracts are modified. Data will be collected and reviewed in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS). NRC submitted a Data Quality Plan to OMB as required by the April 6, 2010, memorandum. NRC is waiting for OMB to publish the data quality baseline and related metrics. Once these are established, the NRC will institute methods for measuring and reporting this data to OMB.

19. If your agency interacts with USASpending.gov, in addition to submitting information to the systems that feed USASpending.gov, describe the nature, frequency, and purposes of that interaction.

Outside of the grants data that is uploaded into USASpending.gov as described in the response to request No.10 above, NRC does not directly interact with USASpending.gov.

20. Describe the data quality controls and procedures that your agency has implemented for information that is submitted to USASpending.gov, including information submitted directly and information submitted to one of the systems that feeds USASpending.gov.

NRC has several processes in place for reviewing data that will ultimately be reported to USASpending.gov. The processes vary by award instrument, and are outlined below:

   Grants – Staff enter all grants award data into AAMS in order to generate the grant document. This data includes: grant number,

amount of funds obligated, recipient name and address, place of performance, type of recipient and period of performance. All of the data is reviewed in AAMS by a Grants Officer before awarding the grant and producing the grant award document from AAMS. The data is pulled directly from AAMS. Presently no additional reviews are conducted after grants are awarded in AAMS. Grant obligation data does not change after the award, unless an amendment is issued. All the amendments to grants follow the same review process as new grant awards.

Contracts - Contract Specialists enter all award data into AAMS in order to generate the contractual document, as well as to provide the data necessary to complete an FPDS-NG entry for that action. As there is an interface between AAMS and FPDS-NG, much of the data is sent to FPDS-NG automatically from AAMS. Contract Specialists manually complete additional data fields that do not transfer from AAMS. Contract Specialists include a print out of the FPDS-NG data entry in the file for each action. Contracting Officers review the data on the FPDS-NG print out for accuracy before awarding the action in AAMS.

 NRC has implemented quarterly reviews of the quality of FPDS-NG data in order to comply with OMB's requirement for an annual validation review of this data. A sample size large enough to provide a 95% confidence rate with a ±5% confidence interval is selected over the number of actions for the fiscal year. These reviews are performed as an after-the-fact check of data accuracy, with the annual report submitted to OMB in January of each year. These independent reviews are performed by a contractor, with assistance from Procurement Oversight staff. In order to ensure accuracy, all errors discovered during the course of the review are corrected in FPDS-NG. Contract Specialists who correct data are responsible for providing Procurement Oversight staff with evidence of the correction entry in FPDS-NG.

21. State whether all of your agency's current grants, contracts, and loans are accurately reflected on USASpending.gov, and, if not, estimate the percentage of current grants, contracts, and loans that are not accurately reflected, using both the number of transactions and dollar figures.

NRC has validated USASpending.gov data through the end of FY2010 via the annual FPDS-NG data validation exercise. Based on the sample reviewed, approximately 2.4 percent of the NRC total commercial contract spend of $201,322,849 may not be accurately reflected on USASpending.gov. For example, not all fields reviewed as part of the FPDS-NG data validation are reported out on USASpending.gov, such as the "Description" field, which may lead to an inflated accuracy rate. NRC has developed Standard Operating Procedures (SOPs) for FPDS-NG entries to improve our data quality. These SOPs will be fully implemented in mid-April 2011, and corrections will be made to the FPDS-NG data, which will lead to data accuracy improvements in USASpending.gov as a result of the interface between the two systems.

22. State whether your agency incurs any reporting burdens or costs as a result of its obligations under the Federal Financial Assistance Transparency Act (FFATA) that it does not incur as a result of other reporting obligations, and estimate those burdens and costs in worker-hours and dollars.

Costs related to FFATA reporting are minimal, averaging less than 2 to 3 worker hours per month.

23. Identify the individual(s) who serve(s) as Senior Accountable Official(s) (SAO) over federal spending data quality for your agency, as defined by OMB.

The Senior Accountable Official (SAO) for NRC is Darren B. Ash, Deputy Executive Director for Corporate Management.