

PART I: CAPITAL ASSET PLAN AND BUSINESS CASE (All Assets)

Agency U.S. Nuclear Regulatory Commission

Bureau N/A

Account Title Salaries and Expenses

Account Identification Code

Program Activity Human Resources

Name of Project Strategic Workforce Planning

Unique Project Identifier:

(IT only)(See section 53)

Project Initiation Date April 2001

Project Planned Completion Date: September 2006

This Project is: Initial Concept _____ Planning _____ Full Acquisition _____ Steady State x

Mixed Life Cycle _____

Project/useful segment is funded:

Incrementally _____ Fully x

Was this project approved by OMB for previous Year Budget Cycle?

Yes x No _____

Did the Executive/Investment Review Committee approve funding for this project this year?

Yes x No _____

Did the CFO review the cost goal?

Yes x No _____

Did the Procurement Executive review the acquisition strategy?

Yes _____ No x

Is this investment included in your agency's annual performance plan or multiple agency annual performance plans?

Yes x No _____

Does the project support homeland security goals and objectives, i.e., 1) improve border and transportation security, 2) combat bio-terrorism, 3) enhance first responder programs; 4) improve information sharing to decrease response times for actions and improve the quality of decision making?

Yes _____ No x

Is this project information technology? (See section 300.4 for definition)

Yes x No _____

For information technology projects only:

- a. Is this Project a Financial Management System? (see section 53.3 for a definition)

Yes _____ No x

If so, does this project address a FFMIA compliance area?

Yes _____ No _____

If yes, which compliance area?

- b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)?

Yes _____ No x

This system does not support any transactions that are required to be GPEA compliant

If so, is it included in your GPEA plan (and does not yet provide an electronic option)?

Yes _____ No _____

Does the project already provide an electronic option?

Yes _____ No _____

Information in this record was deleted

in accordance with the Freedom of Information

Act, exemptions 5

FOIA 2003-241

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- c. Was a privacy impact assessment performed for this project? Yes ☒ No ☐
- d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process? Yes ☒ No ☐
- d.1 If yes, were any weaknesses found? Yes ☐ No ☒
- d.2. Have the weaknesses been incorporated into the agency's corrective action plans? Yes ☐ No ☒
- e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination? Yes ☐ No ☒
- e.1 If no, is this an agency mission critical or essential service, system, operation, or asset (such as those documented in the agency's COOP Plan), other than those identified above as national critical infrastructures? Yes ☐ No ☒

SUMMARY OF SPENDING FOR PROJECT STAGES

(In Thousands)

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

	PY-1 and Earlier	PY 2002	CY 2003	BY 2004
Planning:				
Budgetary Resources				
Outlays				
Acquisition :				
Budgetary Resources				
Outlays				
Total, sum of stages:				
Budgetary Resources				
Outlays				
Maintenance:				
Budgetary Resources	0	362	166	171
Outlays	0	180	133	234
Total, All Stages:				
Budgetary Resources (*)		434	236	238
Outlays		180	133	190
<u>Breakdown of Security and FTE costs included in the chart above:</u>				
(*) Security Costs (CIO) 0 included in the total		72	70	67
FTE dollars used to convert 108 FTE		112	116	121
Estimated FTE numbers: Maintenance		1	1	1

I. A. Project Description

1. *Provide a brief description of this project and its status through your capital planning and investment control (CPIC) or capital programming "control" review for the current cycle.*

Project Description

Strategic Workforce Planning (SWP) is a steady-state project in the operations phase of its life cycle. This is the initial Exhibit 300 for the SWP. SWP provides tools for NRC staff to identify their skills and knowledge areas and to rate their proficiencies in those skills and knowledge areas. The system is also a repository for information related to human capital management and workforce planning (ex: education, licenses and certifications, and relevant work outside of NRC). This information is assessable to staff and management, through on-line reporting tools. The SWP tool set is a database driven process with an interface that makes it possible for the end users to access all processes and information via their web browser from their desktops. The system utilizes "Sybase" as the database tool and "Cold Fusion" as the interface tool between the database and the web browser.

The SWP process is built around the tools provided for managers, at all levels, and staff. The core of the process is the Skills, Knowledge Areas, and Competencies database. This database contains information broken down into three sections; personal background information, language skills, and skills/knowledge areas. The information in the database is retrieved through the use of on-line reports. Reports are provided for the staff and supervisors. Information retrieved can be used in conjunction with a 'Managers Toolbox' to determine the human capital strategies available to close any existing or projected gaps.

Competency and skills based SWP processes are becoming commonly used by private sector companies to more effectively and efficiently address human capital needs. These include several that act as government contracting organizations such as Accenture and Acton Burnell Inc.

CPIC Status

SWP is in the operational (evaluation phase) of CPIC. The SWP process includes an annual evaluation of the system by the end users.

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

- Workforce planning in NRC focuses on the outputs from the planning process. Offices and Regions are expected to adapt the tools and processes to their organizational environment and needs, concentrating on planning outputs that are organizationally meaningful and which support program objectives, budget requests, staffing requests, and strategic plans.
- The workforce planning process will maintain links to program, budget, and strategic planning to assure that the products of workforce planning meet program managers' needs.
- The capacity to do effective workforce planning will only be developed over time; it is critical to begin carefully and to validate analysis at each step.
- Workforce planning is an inclusive process, drawing together program management, budget, strategic planning, human resources, and program staff and working in partnership with the union.
- NRC expects interest in the SWP system on the part of other government agencies. NRC will be willing to communicate with these agencies to assist their efforts in this arena.

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

As part of the pilot program, the contractor evaluated commercial off the shelf software that could be used in the workforce planning process. The top three software packages were reviewed by the SWP workgroup and

it was determined that they did not meet the needs of the agency because it would have required a third party contract to customize the system to meet the agency's needs. It was also determined that the expertise existed in-house for development of a customized software package that met the needs of the agency.

The SWP process is built around the tools provided for managers, at all levels, and staff. The core of the process is the Skills, Knowledge Areas, and Competencies database. This database contains information broken down into three sections; personal background information, language skills, and skills/knowledge areas. The Information in the database is retrieved through the use of on-line reports. Reports are provided for the staff and supervisors. Information retrieved can be used in conjunction with a 'Managers Toolbox' to determine the human capital strategies available to close any existing or projected gaps.

Competency and skills based SWP processes are becoming commonly used by private sector companies to more effectively and efficiently address human capital needs. These include several that act as government contracting organizations such as Accenture and Acton Burnell Inc.

The SWP process includes an annual evaluation of the system by the end users. This evaluation is in the form of an information call that includes a survey. The survey queries end users as to the utility and effectiveness of the system in establishing successful human capital management strategies to meet the organizational needs of the NRC. The results of the survey will be analyzed to determine if the system is meeting the needs of the agency and if there is a need to consider alternative processes.

The development of the SWP process began with a pilot program. The pilot program was developed and completed with the assistance of a contractor and was completed in September 2001. The agency has leveraged heavily on the output of the pilot program in the development of the SWP process and tools. The process and the tools were developed and are being maintained with in-house resources.

I.B. Justification (All Assets)

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

NRC Mission: To regulate the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of the public health and safety, to promote the common defense and security, and to protect the environment.

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
1. Nuclear Reactor Safety: Prevent radiation-related deaths and illnesses, promote the common defense and security, and protect the environment in the use of civilian nuclear reactors.	NRC Corporate Management Strategies	X	<ul style="list-style-type: none"> Support of NRC Goals and Corporate Management Strategies is identified at the NRC Corporate Management Strategy level.
2. Nuclear Materials Safety: Prevent radiation-related deaths and illnesses, promote the common defense and security, and protect the environment in the use of source, byproduct, and special nuclear material for medical, academic, and industrial purposes	NRC Corporate Management Strategies	X	<ul style="list-style-type: none"> Support of NRC Goals and Corporate Management Strategies is identified at the NRC Corporate Management Strategy level.

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
3. Nuclear Waste Safety: Prevent adverse impacts from radioactive waste to the current and future public health and safety and the environment, and promote common defense and security	NRC Corporate Management Strategies	X	<ul style="list-style-type: none"> Support of NRC Goals and Corporate Management Strategies is identified at the NRC Corporate Management Strategy level.
4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation	NRC Corporate Management Strategies	X	<ul style="list-style-type: none"> Support of NRC Goals and Corporate Management Strategies is identified at the NRC Corporate Management Strategy level.
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	<ol style="list-style-type: none"> We will recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals. We will base our human resource decisions on sound workforce planning and analysis. We will improve the capability of our workforce through training, development, and continuous learning. 	<p>X</p> <p>X</p> <p>X</p>	<ol style="list-style-type: none"> Working with program and support offices, we will use the SWP process to identify current and future human capital needs. We will identify specific skills and competencies with the assistance of program and support partners. Based on information gathered in this process, we will develop recruiting and hiring strategies to fill identified gaps. We will seek active involvement of line managers in our recruitment program and will solicit feedback from managers about the efficiency and effectiveness of the SWP process. With input from program and support partners, we have developed an agency skills inventory to assist in identifying current and future skills needs and gaps. Information gained from the SWP process will also help determine whether the workforce is deployed appropriately-both geographically and organizationally-to support efficient and effective accomplishment of strategic and performance goals. Through development and implementation of a SWP system, we will provide accurate, timely, and useful human resources information to managers so they can make informed decisions about hiring, utilizing, and training staff. We will provide accurate, timely, and useful human resource information to employees so they can make informed employment, training and development decisions.

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

Presidents Management Agenda (PMA)	Supports	How Does Your Initiative Support This PMA Item?
Human Capital	X	<i>The SWP system supports the strategic goals of the Presidents Management Agenda in the area of Human Capital by making readily available human capital information to NRC managers to help them effectively and efficiently implement NRC programs. The strategic workforce planning tool identifies and forecasts skill gaps to determine appropriate human capital management activities to address current and future skill gaps and will provide the basis for strategic resource decisions on the most effective methods for maintaining NRC workforce capacity to achieve business results.</i>
Competitive Sourcing	X	<i>This system supports the Presidents Management Agenda Competitive Sourcing Arena by providing NRC managers with readily available human capital resource information. Knowledge of the skills and competencies of existing staff will provide a basis for managers to make a more informed decision regarding the most effective competitive sourcing strategies.</i>
Financial Performance		
E-Government	X	<i>SWP supports the Presidents Management Agenda E-Government arena by providing electronically, the tools and information used by managers to formulate strategic human capital investment strategies to meet NRC's human capital needs. Additionally, SWP electronically provides employees with information regarding the human capital needs of the NRC to assist them in their career planning. The system allows managers to project future needs so that skill gaps can be identified and to help plan for training, hiring and redeployment.</i>
Budget and Performance Integration		

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

Yes

4. *If so, explain why your agency did not select one of these alternatives.*

As part of the SWP pilot program, the contractor evaluated commercial off the shelf software that could be used in the workforce planning process. The top three software packages on the list were reviewed by the SWP workgroup and it was determined that they did not meet the needs of the agency.

The SWP workgroup reviewed information on the Office of Personnel Management Budget Strategic Workforce Planning web page. In addition, the workgroup requested and conducted several information briefings with other government agencies including DOE, and HHS. None of the agencies interviewed were using the same approach to identifying skills and competencies as the NRC. Only one was attempting to use a software solution and that was based on occupational series vs. skills and competencies.

Based on the above, it was determined that to meet the needs of the NRC and to have a viable software solution, existing in-house expertise would be used for development of a customized software package that could meet the needs of the agency.

5. *Who are the customers for this project?*

The customers for this project are the staff, supervisors, and managers of the NRC.

6. *Who are the stakeholders of this project?*

The stakeholders of this project include the managers and supervisors of the agency. A multi-disciplinary team comprised of a HR core group and a representative from all 27 offices (including the regional offices) has been established to coordinate workforce planning activities and to serve as a communications link at all levels of the NRC.

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

This is not a multi-agency initiative but some other agencies (GSA and Customs) have expressed an interest in using the similar approach. NRC is sharing information with them.

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

Implementation of a systematic SWP process will support the NRC in developing more effective/efficient use of human capital to recruit, develop, deploy, and retain a diverse workforce with the core competencies needed to support its present and future strategic direction. The workforce planning process will reference documented NRC business outcomes and outputs over a five-year planning horizon, will identify the capacity required to support the business requirements identified and will provide a baseline of employee capabilities relative to business requirements. The planning process will result in strategies to support the transition from the present to future state, and will provide the basis for strategic resource decisions on the most effective methods for maintaining NRC workforce capacity to achieve business results.

Retention of current workforce is expected be enhanced by offering to the employees increased information regarding agency skill and competency needs to allow them to increase these skills and competencies through training, education, and rotational assignments. This gives employees more marketable skills and increase the possibilities for future job opportunities within the agency.

SWP provides managers with a strategic basis for making human resource decisions. It allows managers to anticipate change rather than being surprised by events, as well as providing strategic methods for addressing present and anticipated workforce issues. In addition, it provides managers the means of identifying the competencies needed in the workforce not only in the present but also in the future and then selecting and developing that workforce.

Employees will benefit from the SWP process from the fact that information regarding their knowledge and skills will no longer be available to just their immediate supervisor, but will be available to all agency managers. This can have positive implications as far as future job opportunities and an opportunity to more fully utilize those knowledge and skills in their present job function.

9. *List all other assets that interface with SWP. Have these assets been reengineered as part of this project?*
Yes____, No__x__.

The SWP tool interfaces with the Human Resources Management System. Information associated with organizational hierarchy and personal information required for security level access is obtained from the HRMS. HRMS did not require reengineering to obtain this information.

I.C. Performance Goals and Measures (All Assets)

Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Planned Performance Improvement Goal	Actual Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
2002	To recruit, hire, and retain a high quality, diverse workforce with the skills needed to achieve our mission and goals	(2001) New Professional Staff Entry Level Hire – 25 %	Human capital management strategies support achievement of NRC corporate management strategies to sustain a high-performing, diverse workforce		SWP system implemented in June 2002. Insufficient data available to calculate metric	SWP system implemented in June 2002. Insufficient data available to show improvement results
		(2001) Retention of new entry level and experienced professional hires over three years of NRC employment – 76%			Hire 25% new professional staff at entry level and retain 75% of new entry level and experienced professional hires over three years of NRC employment	
		NRC Current employee participation rate = 30%	Increase employee participation in self-assessment survey tool		SWP system implemented in June 2002. Insufficient data available to calculate metric	SWP system implemented in June 2002. Insufficient data available to show improvement results
		NRC Current manager review process participation rate = 30 %	Increase manager participation in self-assessment review		SWP system implemented in June 2002. Insufficient data available to calculate metric	SWP system implemented in June 2002. Insufficient data available to show improvement results
2003	To recruit, hire, and retain a high quality, diverse workforce with the skills needed to achieve our mission and goals	New Professional Staff Entry Level Hire = 41% for FY 2002	Human capital management strategies support achievement of NRC corporate management strategies to sustain a high-performing, diverse workforce	Human capital management strategies have supported achievement of NRC corporate management strategies to sustain a high-performing, diverse workforce	Hire 23% new professional staff at entry level and retain 75% of new entry level and experienced professional hires over three years of NRC employment	For FY 2002, NRC hired 41% new professional staff at entry level and retained 84% of new entry level and experienced professional hires over three years of NRC employment.
		NRC Current employee participation rate = 80%	Increase employee participation in self-assessment review	Employee participation in self-assessment review has increased.	Increase employee participation in self-assessment review to 70 %	As of December 2002, 80% of NRC staff participated in self-assessment review.
		NRC Current manager review process participation rate = 80%	Increase manager participation in self-assessment review	Manager participation in self-assessment review has increased.	Increase manager participation in self-assessment review to 70%	As of December 2002, 80% of NRC managers participated in self-assessment review.

2004	To recruit, hire, and retain a high quality, diverse workforce with the skills needed to achieve our mission and goals	New Professional Staff Entry Level Hire =	Human capital management strategies support achievement of NRC corporate management strategies to sustain a high-performing, diverse workforce		Hire 23% new professional staff at entry level and retain 75% of new entry level and experienced professional hires over three years of NRC employment	
		NRC Current employee participation rate =	Increase employee participation in self-assessment review		Increase employee participation in self-assessment review to 90 %	
		NRC Current manager review process participation rate =	Increase manager participation to in self-assessment review		Increase manager participation to in self-assessment review to 90%	

I.D. Program Management [All Assets]

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

Leonard Reidinger,
Chief Specialized Training and Support
423-855-6523 (Technical Training Center, Chattanooga TN.)
301-415-7103 (Headquarters, Rockville Md.)

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

SWP was implemented and is being maintained with in-house resources

3. *Is there an Integrated Project Team?* Yes ☒ No ☐

A multi-disciplinary team comprised of a HR core group and a representative from all 27 agency offices (including the regional offices) has been established to coordinate workforce planning activities and to serve as a communications link at all levels of the agency.

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

The skill sets are varied and include managerial, administrative, technical, scientific, and engineering.

4. *Is there a sponsor/owner?* Yes ☒ No ☐

Paul Bird Director, Office of Human Resources 301-415-7516

Part II: Additional Business Case Criteria for Information Technology**II. A. Enterprise Architecture****II.A.1 Business**

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

Yes, the SWP system has been identified in NRC's in-progress enterprise architecture (EA).

- B. *Explain how this project conforms to your departmental (entire agency) enterprise architecture.*

The SWP system falls within the scope of NRC's baseline EA. As such, this system supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model," provides the data required by NRC's internal operations/infrastructure services human resources business area, and utilizes products and components that are aligned with NRC's current application and technology standards and future direction as specified in NRC's existing technology planning documents. Although the NRC's existing technology planning documents are being updated, the current documents identify some core technology needs. These core technology needs are in the process of being updated and expanded through an evolving organizational EA governance process that will ensure that all current and future technology needs are vetted by NRC business managers to validate links to NRC business drivers for the identified technologies. When fully functional, NRC's integrated EA and CPIC processes will enable NRC to apply the same sound risk management strategies to its IT investments that have long characterized NRC's core business operations. NRC has also provided the Federal Enterprise Business Reference Model (FEBRM) with high-level business functions and subfunctions derived from the NRC Enterprise Model. NRC is working to uncover additional internal

cross-cutting initiatives and has begun to look at other-agency business processes and State business processes to identify potential areas for collaborative efforts.

Over the past years, NRC has developed various architectural components of an EA. These components were delineated and enclosed in a letter from NRC provided to Bill McVay during the FY 2003 budget process. Taken together, these items include all components of an EA. However, the NRC has recently chosen to rely on the principles and practices of EA presented in the Federal CIO Council's "Federal Enterprise Architecture Framework," FEAF, to revitalize its EA program, fully integrate and align the EA with the CPIC process, update all existing EA artifacts, support sound project and change management utilizing the System Development and Life-Cycle Management (SDLCM) Methodology, and identify and foster understanding of how existing and future information technology can better support current and future NRC business activities and operations. The NRC has recently staffed an agency EA position to energize the program and is beginning to take the steps necessary to ensure agency-wide utilization of its EA. For example, NRC is currently working on EA strategy and planning documents that will ensure a sustained and fully integrated EA process and avoid the start-stop-resume cycle that has been a problem in past NRC EA endeavors. The NRC is now in the process of identifying the updates necessary to NRC Management Directive 2.1, "Information Technology Architecture," and NRC Management Directive 2.2, "Capital Planning and Investment Control," to fully integrate all needed changes in NRC's management processes. Purposeful business thinking, systematic technical analysis, careful political orchestration, change management and communication and outreach will underlay all future NRC EA efforts. The component-based architectural approach taken from the FEAF will enable the component focus necessary to achieve quick gains while the revamped NRC EA process develops over time and reaches the level of maturity necessary to more effectively address business problems. The FEAF will provide the necessary foundation and support to link business investment and technology.

C. *Identify the Lines of Business and Sub-Functions within the Federal Enterprise Architecture Business Reference Model that will be supported by this initiative.*

Since the FEA BRM is undergoing continual update, our responses are based upon the latest data that we have available.

FEABRM Lines of Business	FEABRM Subfunctions Supported
Human Resources (Internal Operations/Infrastructure)	Staff Recruitment and Employment Resource Training and Development

D. *Briefly describe how this initiative supports the identified Lines of Business and Sub-Functions of the Federal Business Architecture.*

Implementation of a systematic SWP (SWP) process will support the NRC in developing more effective/efficient use of human capital to recruit, develop, deploy, and retain a diverse workforce with the core competencies needed to support its present and future strategic direction. The workforce planning process will reference documented NRC business outcomes and outputs over a five-year planning horizon, will identify the capacity required to support the business requirements identified and will provide a baseline of employee capabilities relative to business requirements. The planning process will result in strategies to support the transition from the present to future state, and will provide the basis for strategic resource decisions on the most effective methods for maintaining NRC workforce capacity to achieve business results.

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

Yes, this project was approved by the NRC EA Review committee.

- F.** *What are the major process simplification/reengineering/design projects that are required as part of this initiative?*

Certain business processes have been redesigned and reengineered with the implementation of SWP. Using SWP, the workforce planning process was simplified by supporting the functions that were historically supported by multiple legacy systems and manual processes. This effort was consistent with "best practices" for a paperless environment and consistent with the E-Gov strategic goal for One-Stop processing.

- G.** *What are the major organization restructuring, training, and change management projects that are required?*

The implementation of SWP did not require a major organization restructuring. However, fundamental management concepts were followed to facilitate the implementation process. A work plan and communications plan was developed and executed that outlined all communication and implementation strategies for the project. This plan included presentations, briefings, and advertising.

- H.** *What are the Agency lines of business involved in this project?*

The Agency lines of business involved in SWP are the Human Resources Management, Employment Process, specifically training and development process. SWP enables the NRC to develop more effective/efficient use of human capital to recruit, develop, deploy, and retain a diverse workforce with the core competencies needed to support its present and future strategic direction.

- I.** *What are the implications for the agency business architecture?*

SWP allows the agency to move to on-line processing of many workforce planning functions. As more functions become available on-line, business processes and policies must change to accommodate and make best use of the new tools. As modifications to the system are evaluated, designed and implemented, corresponding changes in the agency business architecture and processes are expected as well.

II.A.2 Data

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

The SWP system includes data that is relevant to the workforce planning process. One of the substantial benefits of the SWP system is the data sharing capabilities between NRC management. Overall, the SWP will include general data relevant to workforce planning, i.e., education, work history, skills, competencies, knowledge areas, and retirement and mobility information.

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

This data does not exist at the Federal, State, or Local level. Data necessary to support the SWP system is entered by multiple stakeholders including managers, and staff.

- C.** *Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?*

Data contained in the SWP system contains information that is relevant to the workforce planning process. All users of the system are authenticated with a user ID and password to ensure system and data integrity.

- B.** *If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic Data Committee standards required by OMB Circular A-16.*

This initiative processes no spatial data

II.A.3 Application and Technology

- A.** *Discuss this initiative/project in relationship to the application and technology layers of the EA. Include a discussion of hardware, applications, infrastructure, etc.*

This initiative is included in the applications layer of the Enterprise Architecture. The tools currently implemented are compatible with the technology layer of the EA, and are in line with the future direction of the agency's planned Enterprise Architecture. The system is or will be designed as web-based applications utilizing the agency browser, network, RDMS, and server infrastructure.

- B.** *Are all of the hardware, applications, and infrastructure requirements for this project included in the EA Technical Reference Model? If not, please explain.*

Yes, the tools currently implemented conform to the current NRC Technical Reference Model. Future tools, as they are planned, will be designed in accordance with the Technical Reference Model in place at the time of design and implementation.

II. B. Security and Privacy

NOTE: *Each category below must be addressed at the project (system/application) level, not at a program or agency level. Referring to security plans or other documents is not an acceptable response.*

II.B.1. *How is security provided and funded for this project (e.g., by program office or by the CIO through the general support system/network)?*

The provision and funding for security for SWP is provided by the program office, (system security documentation) . SWP is an application that runs on the agency's local area network (LAN) general support system (GSS), and makes use of the security services provided by the agency-wide LAN infrastructure. CIO provides funding to pay for the security services provided by the agency's LAN.

A. *What is the total dollar amount allocated to security for this project in FY 2004?*

The total dollar amount allocated to security of the SWP in FY 2004 is \$72,000. This amount includes \$5,000 to be funded by HR to update system security documentation and \$67,000 to be funded by CIO for infrastructure security.

II.B.2 *Does the project (system/application) meet the following security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance?*

The information contained in the SWP system was evaluated by the Office of General Counsel (OGC) and it was determined that the system contained no sensitive data. SWP runs on the agency's accredited local area network, which is fully compliant with GISRA, OMB policy, and NIST guidance. The LAN was accredited in July 2002.

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

Security services are provided for this application by the underlying agency-wide local area network. The LAN has an up to date Security Plan, July 2001.

B. *Has the project undergone an approved certification and accreditation process? Specify the C&A methodology used (e.g., NIST guidance) and the date of the last review.*

Accreditation for this application is covered by the accreditation for the underlying general support system local area network. The agency-wide local area network has gone through an approved certification and accreditation process that made use of NIST guidance. The LAN (and SWP) was accredited in July 2002.

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

All management, operational, and technical security controls were tested for effectiveness during the certification testing and accreditation of the underlying local area network, completed in July 2002.

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

The Strategic Workforce Planning module does not contain classified or sensitive information, and so SWP does not have any specialized security training. However, all NRC staff are required to attend an annual security awareness and training program to ensure that personnel involved in managing and using electronically stored information are aware of security rules, their responsibilities and the proper incident reporting procedures.

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

Security services are provided for this project by the CIO through the general support system/network. SWP is included in the general support systems incident handling methodology and FedCIRC reporting is included. The NRC CIO has an incident handling capability and intrusion detection monitoring capability in place on the existing local area network. Incidents are reported to FedCIRC.

- F.** *Is the system operated by contractors either on-site or at a contractor facility? If yes, does any such contract include specific security requirements required by law and policy? How are contractor security procedures monitored, verified, and validated by the agency?"*

This system is not operated by contractors; it is operated and maintained by government staff.

- II.B.3** *How does the agency ensure the effective use of security controls and authentication tools to protect privacy for those systems that promote or permit public access?*

There is no public access to this system. Security controls for the underlying network were tested during the system certification and accreditation process completed in July 2002.

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

The handling of personal information in the SWP system is in accordance with System of Records requirements and fully complies with all government-wide and agency policies. This is verified during the screening process associated with capital planning and investment control (CPIC).

- II.B.5** *If a Privacy Impact Assessment was conducted, please provide a copy to OMB.*

Privacy Impact Assessment has been completed. See Attached

II. C. Government Paperwork Elimination Act (GPEA)

- II.C.1** *If this project supports electronic transactions or record-keeping that is covered by GPEA, briefly describe the transaction or record-keeping functions and how this investment relates to your agency's GPEA plan.*

This project does not contain electronic transactions or record-keeping that is covered by GPEA

- II.C.2** *What is the date of your GPEA plan?*

August 9, 2000

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

There are no OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment.