

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

Agency **U.S. Nuclear Regulatory Commission**
Bureau
Account Title **Salaries and Expenses**
Account Identification Code **31-0200-0-1-276**
Program Activity **Nuclear Reactors**
Name of Project **Operations Center Information Management System (OCIMS)**
Unique Project Identifier: **429-00-01-03-01-2010-00**
(IT only)(See section 53)
Project Initiation Date **1993**
Project Planned Completion Date: **Through 2005**
This Project is: Initial Concept ☐ Planning ☐ Full Acquisition ☐ Steady State ☐
Mixed Life Cycle ☒

Project/useful segment is funded: Incrementally ☒ Fully ☐

Was this project approved by OMB for previous Year Budget Cycle? Yes ☒ No ☐

Did the Executive/Investment Review Committee approve funding for this project this year? Yes ☒ No ☐

Did the CFO review the cost goal? Yes ☒ No ☐

Did the Procurement Executive review the acquisition strategy? Yes ☒ No ☐

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

Is this project information technology? (See section 300.4 for definition) Yes ☒ No ☐

For information technology projects only:

a. Is this Project a Financial Management System? (see section 53.3 for a definition) Yes ☐ No ☒

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 ☒

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 ☐

c. Was a privacy impact assessment performed for this project? Yes ☒ No ☐

Information in this record was deleted in accordance with the Freedom of Information

Act, exemptions 5

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d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process?

Yes X No

d.1 If yes, were any weaknesses found?

Yes X No

d.2. Have the weaknesses been incorporated into the agency's corrective action plans?

Yes X 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 X

Preparations for NRC's Project Matrix Review are just underway. The Review will not be completed until the first Quarter FY 2003, at the earliest.

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 X

SUMMARY OF SPENDING FOR PROJECT STAGES

(In Millions)

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

	PY-1 and PY Earlier 2002	CY 2003	BY 2004
Planning:			
Budgetary Resources			
Outlays			
Acquisition :			
Budgetary Resources			
Outlays			
Total, sum of stages:			
Budgetary Resources			
Outlays			
Maintenance:			
Budgetary Resources	770	770	770
Outlays	770	770	770
Total, All Stages:			
Budgetary Resources	770	770	770
Outlays	770	770	770

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.

OCIMS was initiated and reached steady state prior to the adoption of the CPIC process. The CPIC process for the current OCIMS modifications and enhancements has been started with the completion of the IT Project Proposal Screening Form. OCIMS is the primary means of creating, storing, sending and retrieving information in the NRC Operations Center and is referred to as the OCIMS local area network (LAN). OCIMS is an integrated system comprised of three subsystems: Data, Display and Voice Subsystems.

This current modifications/enhancements are to re-engineer two parts of the integrated Operations Center Information Management System (OCIMS); the Display Subsystem and the Data Subsystem.

The re-engineered Display Subsystem will continue to provide the capability to display composite video and static images on monitors in the Operations Center during drills, tours and event responses. The re-engineered Data Subsystem will continue to be comprised of the Response Computer System (RCS) and the Headquarters Operations Officers (HOO) system. The focus of this re-engineering will be on the RCS application. The RCS application will continue to provide a framework to support and facilitate the creation of documents and briefing materials used during incident response in the Operations Center and by the regional Site Teams. It will also provide the mechanism by which each event is archived.

2. What assumptions are made about this project and why? Several assumptions were made for the medications and enhancements of OCIMS: it is reaching the end of its life-cycle (10 years) and hardware/software needs to be upgraded since some areas are no longer supportable and the manner in which NRC responds to events has changed somewhat since the terrorists attacks and needs to be incorporated into OCIMS.
3. Provide any other supporting information derived from research, interviews, and other documentation.

Not applicable.

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?
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NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
<p>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.</p>	<p><i>We will respond to operational events involving potential safety or safeguards consequences.</i></p>	<p>X</p>	<p>OCIMS is the primary means of creating, storing, send and retrieving information in the Operations Center. During a response to an emergency, OCIMS supports NRC's vital role in providing leadership focus for national and international information distribution and decision support. OCIMS contains voice, data, video display and Headquarters Operations Officer (HOO) subsystems. The voice subsystem includes Executive Team teleconferencing system and interfaces to the Operations Center Private Branch exchange (PBX) and associated telephone equipment. The data subsystem consists of file servers to provide file and print services to the users of the Response Computer System (RCS) software located on all of the Operations Center workstations. The RCS software is used by response team members to generate information to facilitate internal assessment and external communications. The data subsystem also includes a communications server that provides remote RCS users access to the primary file server. The HOO subsystem provides the ability to receive and record the initial information used by the NRC to monitor nuclear incidents. This subsystem consists of the HOO database application that assists the HOOs in recording information about nuclear events, the ongoing status of nuclear facilities and other ancillary functions. The HOO application has modules for Event Entry, Plant Status, licensee phones list and maintaining call lists and personnel related information. The display subsystem consists of a server with 15 other processor video boards that provide the capability of displaying computer graphics and briefing slides (captured screen images) and produced by the RCS on the Operations Center display monitors.</p>

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
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	<i>We will respond to operational events involving potential safety or safeguards consequences</i>	X	■ Same response as above for the Nuclear Reactor Safety goals
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	<i>We will respond to operational events involving potential safety or safeguards consequences</i>	X	■ Same response as above for the Nuclear Reactor Safety goals
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 Strategy 1: Employ innovative and sound business practices			■
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.			■
NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.			■
NRC Corporate Management Strategy 4: Communicate strategic change.			■

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		
Competitive Sourcing		
Financial Performance		
E-Government		
Budget and Performance Integration		

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

No there are not any alternative sources in the public or private sectors that could perform this function.

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

5. Who are the customers for this project?

The customers for OCIMS are all NRC responders assigned to one of the response teams. They include the Executive Team, Status Officer Team, Reactor Safety Team, Protective Measures Teams (reactor, materials and fuel cycle), Fuel Cycle Safety Team, Safeguards Team, Liaison Teams, Operations Support Team, Headquarters Operations Officers, Response Coordination Team, Homeland Security, and the regional responders on the Base Team and Site Teams located at each of the NRC's four regional offices.

6. Who are the stakeholders of this project?

The stakeholders of OCIMS are the all NRC responders assigned to one of the response teams. They include the Executive Team, Status Officer Team, Reactor Safety Team, Protective Measures Teams (reactor, materials and fuel cycle), Fuel Cycle Safety Team, Safeguards Team, Liaison Teams, Operations Support Team, Headquarters Operations Officers, Response Coordination Team, Homeland Security, and the regional responders on the Base Team and Site Teams located at each of the NRC's four regional offices. Additional stakeholders include other Federal agencies (DOE, FEMA, EPA, USDA, HHS, EPA, FBI), all state and local governments, NRC licensees and the public.

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

No, this is not a multi-agency initiative.

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

OCIMS is necessary to ensure that the NRC's Operations Center continues to provide all the response capabilities needed by the response organization to respond to events. The systems must be fully integrated and operator friendly and meet the technological needs of the response teams. It has a need to be up and running 24 hours a day, 7 days a week ("always on").

9. List all other assets that interface with this asset: the Agency wide-area network, the Emergency Telecommunications System and the Emergency Response Data System (ERDS). Have these assets been reengineered as part of this project? Yes X, No ____.

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						
2003						
2004						
2005						
2006						
2007						

I.D. Program Management [All Assets]

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

Karen Jackson

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

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

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

4. Is there a sponsor/owner? Yes ☒ No ☐
Division of Incident Response Operations, Office of Nuclear Security and Incident Response.

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 Operations Center Information Management System (OCIMS) has been identified in NRC's in-progress enterprise architecture (EA) for an excepted system. OCIMS only utilizes the e-mail and internet continuity of the agency's EA.

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

OCIMS is a legacy excepted system which contains unique hardware and software requirements outside the scope of the current EA. The hardware for the display subsystem is comprised of an AMX Axxess Control System, an Autopatch Distribution Matrix and monitors throughout the Operations Center. The data subsystem software known as the Response Computer System was designed for response activities only, on it's own network (LAN) and provides the ability to archive all the electronic information created and used during a specific event response. This information would then be available for after-the-event action reports and similar-type items. OCIMS will be modified and enhanced due to the age of the hardware and software (most of the hardware has reach the end of its life cycle and lack of maintenance support of several major components has arisen). The daily Plant Status and Event Notifications are created within the HOO software and transmitted daily to users in other NRC offices for their dissemination.

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

The OCIMS supports the Service to Citizens: Public Health and Safety Sub-function.

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

OCIMS provides the creation of documents and briefing materials and a mechanism to archive the data. It also provides the capability to display composite video and static images throughout the Operations Center. This supports the NRC's response team members in determining that the health and safety of the public is protected (by their decisions) and keeps the public and other Federal agencies informed of the response (by distributing status summaries and press releases).

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

This project was excepted from EA compliance.

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

This is a legacy system and are in the process of reassessing the Operations Center design and information systems that support the Operations Center.

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

This has no major organizational impact. As the assessments are completed and then implemented, training will be necessary for responders. Changes and upgrades concern classified and secured responses, and dealing with the information processing and attendant incident response processes.

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

This project deals with the Nuclear Reactor and Materials Safety and the Incident Response Program.

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

If any impact at all, it would be through the agency e-mail and Internet capabilities. OCIMS transmits files from the HOO LAN to other NRC servers for their use by other NRC offices.

II.A.2 Data

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

OCIMS processes event data and event related information. The HOO LAN contains the HOO database system and call list 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?

No the data does not already exist--the data and information is gathered as an event unfolds. HOO database system references information about Federal and State responders and licensees.

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

The data collected during an event response contains pre-decisional information. The data collected for the call lists is not transferable.

- 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.

OCIMS interfaces with the Geographic Information System (GIS) application designed for the nuclear power plants. It also interfaces with COTS software such as Street Atlas and Topo needed to respond to events not located at one of the NRC's nuclear power plants.

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 project (OCIMS) is excepted because of the unique requirements. Due to the age of the system and that many components have reached the end of their life cycle, OCIMS will have two of its subsystems (Data and Display) upgraded and modified. This includes the display control system (AMX), the hardware of the display subsystem and the integrated Response Computer System (data) software and hardware.

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

This system is excepted so the hardware and software are not included in this business function.

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)?

OCIO provides the security of the WAN. OCIMS is provided physical security by being located within a secured building and then within a limited access area (Operations Center). There are PCs within OCIMS area password protected.

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

There are no OCIMS security funds specially allocated.

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?

OCIMS meets the security requirements of OMB policy and NIST guidance and a GISRA review is in progress.

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?

Yes, OCIMS has an up-to-date security plan that was completed in December 2000.

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.

OCIMS did undergo an approved certification and accreditation process. This process followed the NIST guidance and is being completed (accreditation has to be signed).

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

Yes the management, operational and technical security controls were tested for effectiveness in February 2001.

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

Yes, the system users are appropriately trained by team coordinators whose job it is to provide such training on rules of behavior and the consequences for violating the rules.

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?

Intrusion detection is accomplished at the server level through the use of Novell software on the primary and backup RCS servers. Audits are available via Novell console logs. While there are no instances of intrusions, NRC would report any that are attempted to GSA and other appropriate contacts.

- 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?"

The current contract follows NRC Management Directive 12.3 on matters concerning security and contractors. On-site contractors are requested to have an "L" level clearance.

- 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?

This does not apply since OCIMS is not accessed by the public.

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

The agency ensures that the handling of personal information is consistent with relevant government-wide and agency policies by limiting the access to this information within the Operations Center which is a limited access area.

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

OCIMS contains personal information about individuals. A Privacy Impact Assessment Impact is attached to this Exhibit 300.

II. C. Government Paperwork Elimination Act (GPEA)

OCIMS is not covered by 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.

See above

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

See above

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

See above