

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

Agency U.S. Nuclear Regulatory Commission

Bureau N/A

Account Title Salaries & Expenses

Account Identification Code 31-0200-0-1-276

Program Activity Financial Management

Name of Project COMEDO upgrade

Unique Project Identifier: 429-00-01-01-01-2035-00

(IT only)(See section 53)

Project Initiation Date FY2004

Project Planned Completion Date FY 2004

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 ☐

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

Yes ☐ No ☒Information in this record was collected in accordance with the Freedom of Information Act, exemptions 5FOIA- 2002-241

A117

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 ☒

Preparations for NRC's Project Matrix review are just underway. The review will not be completed until the first quarter of 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 ☒

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 Earlier	PY 2002	CY 2003
Planning:			
Budgetary Resources			
Outlays			
Acquisition :			
Budgetary Resources			
Outlays			
Total, sum of stages:			
Budgetary Resources			
Outlays			
Maintenance:			
Budgetary Resources			
Outlays			
Total, All Stages:			
Budgetary Resources			
Outlays			

Planning:

Budgetary Resources ***SEE FOOTNOTE**

Outlays

Acquisition :

Budgetary Resources

Outlays

Total, sum of stages:

Budgetary Resources

Outlays

Maintenance:

Budgetary Resources

Outlays

Total, All Stages:

Budgetary Resources

Outlays

***COMEDO, steady state, operates on a budget of approximately \$25k/year and less than 1 FTE.**

***The proposed upgrade project is in the conceptual phase. Cost estimates will be developed during the CPIC business case preparation in FY 2003. FY 2004 Budget Estimate contains \$250k for this effort.**

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. *The proposed COMEDO upgrade is in the concept phase. It will replace COMEDO, a steady state 16-bit Clipper application. As such, it is anticipated that the current COMEDO will not function on operating systems more current than NT (currently used at NRC). NRC intends to update the operating system in the future. The objective of this project is to replace COMEDO with a system that will function on operating systems more current than NT. COMEDO is used to track funds for 24 of the agency's 29 offices. These funds total more than 60% of the agency's budget. It is anticipated that the proposed upgrade will maintain the current functionality of COMEDO, steady state, with minor improvements. Specifically, it is anticipated that the proposed upgrade will be able to:*

- *Present budgeted vs. actual information for budgets, commitments, obligations, and expenditures, for all tracking items. The data will be used several different ways including by office, fund (appropriation), fund source, fund type, strategic arena, planned accomplishment, document type, etc. Also, it is anticipated that the reports function will have the capability to report by the various sorts noted above.*
- *Streamline/automate the current fiscal year database setup.*
- *Electronically interface to the agency's accounting system, FFS, to eliminate double data entry of commitments.*
- *Electronically interface to FFS to reconcile monthly accounting data (commitments, obligations, and expenditures).*

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

Based on information received from NRC's Office of the Chief Financial Officer, it is assumed that this 16-bit Clipper application, steady state, will not function when NRC changes operating systems.

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

None

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.			■
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			■
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			■
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	<i>Strengthen financial systems and processes to ensure that financial assets are adequately protected consistent with risk and that our financial information is better integrated with decision making.</i>	X	■ <i>The proposed upgrade will ensure that funds continue to be executed consistent with applicable laws and regulations and in accordance with sound financial practices</i>
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	X	■ <i>The proposed upgrade will ensure that funds continue to be executed consistent with applicable laws and regulations and in accordance with sound financial practices</i>
E-Government		

Budget and Performance Integration

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

None known at this time. Due to the complexity of the Allowance and the agency's budget and reporting structure, a customized application similar to COMEDO, steady state, is anticipated.

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

N/A

5. Who are the customers for this project?

NRC's Office of the Chief Financial Officer

6. Who are the stakeholders of this project?

All NRC Headquarters offices, except OIG (24 of the agency's 29 offices)

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

N/A

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

Efficiencies of the steady state system come from the consolidation of financial data into one system for 24 of the agency's office. The proposed upgrade's reduced costs and improved efficiencies will be examined in the business case planned for FY 2003.

9. List all other assets that interface with this asset. *Steady state, none. It is anticipated that the proposed upgrade will interface with the agency's accounting system.* Have these assets been reenigneered as part of this project? Yes ____, No X.

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	NRC Corporate Management Strategy 1: Employ innovative and sound business practices	Currently, reports are provided within 1 day of receiving a request or within 7 days of the close of the accounting month.	Reports are provided within 8 hours of receiving a request/or within 3 days of the close of the accounting month.		Will meet planned improvement goal	

2003						
2004						
2005						
2006						
2007						

***ONLY STEADY STATE IS ADDRESSED. Upgrade will not be implemented to FY 04 at the earliest.**

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
Eileen Mulley
2. Is there a contracting officer assigned to the project? If so, what is his/her name? Yes X No
Sally Adams
3. Is there an Integrated Project Team? Yes No
- 3.A. If so, list the skill set represented.
financial, IT, and procurement
4. Is there a sponsor/owner? *OCFO* Yes X No

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?

The proposed upgrade to COMEDO has not yet been specifically named in a completed agency EA although it is in compliance with the NRC EA, such as it is today. However, the COMEDO steady-state system that the new COMEDO will replace has been identified in NRC's baseline EA.

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

The COMEDO replacement system falls within the scope of NRC's evolving 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." COMEDO provides the data required by NRC's "intra-agency financial management" business area, specifically the cost management and financial reporting lines of business, 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 Architecture Business Reference Model (FEA BRM) with high level business functions and subfunctions derived from the "NRC Enterprise Model. NRC is just beginning to

utilize the information found in its evolving EA to identify potential areas for cross cutting initiatives. The COMEDO steady-state system is used to track funds for 24 of NRC's 29 business offices, and NRC is looking at the potential for agency-wide use of cross-cutting initiatives such as the enhanced COMEDO system.

- 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 following table identifies the Lines of Business and Sub-Functions supported by the COMEDO infrastructure initiative:

Line of Business	Sub-Function	Funds Control System (COMEDO)
<i>Internal Operations/Infrastructure Intra-agency Financial Management</i>	<ul style="list-style-type: none"> ▪ <i>Funds Management</i> ▪ <i>Financial Reporting</i> 	<i>Supports tracking of funds to the daily level of granularity and generation of financial reports</i>

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

The COMEDO replacement or upgrade system supports tracking of funds to the daily level of granularity and generation of financial reports. COMEDO will also provide enhancements over the system of the same name that it will replace that will provide efficiencies and strengthen existing financial systems and processes

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

Yes, the proposed upgrade to COMEDO was approved through the NRC EA Review Committee.

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

It is anticipated that the current duplication of data entry and the manual reconciliation processes will be eliminated provided the upgrade includes an automated upload to the agency's accounting system and an automated reconciliation function.

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

None

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

Financial Management. Specifically, Funds Control and Accounting - certify/commit funds, record financial transactions, prepare and issue reports, reconcile accounts.

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

There are no implications for the agency business architecture.

II.A.2 Data

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

Financial data to include budget & reporting number, job number, document number, budget amount, commitment, obligation and expenditure amounts, and vendor name (no personal records, i.e., SSN, drivers license #, etc)

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*

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? *No*

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 does not process 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.

The acquisition strategy for the COMEDO upgrade system is at the conceptual stage, but we will prefer solutions which are compatible with the emerging EA for the agency. The COMEDO system should run on hardware compatible with hardware currently in the agency's infrastructure or planned for addition. We will carefully identify all applications and other IT services which the COMEDO system will use or interface with and ensure that appropriate protocols are supported. The application layer of the NRC EA identifies the legacy software that supports the existing COMEDO system and the technology layer of NRC's evolving EA already provided an early indication that the existing COMEDO system required upgrade. We expect COMEDO to be identified in the yet-to-be-completed GAP analysis and included in early migration planning.

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

The COMEDO upgrade system is in the conceptual stage, so not all requirements have been identified at this time. The acquisition strategy will prefer hardware, applications, and infrastructure already identified in the Technical Reference Model. If necessary, we will work with the NRC OCIO EA team to address any changes to the emerging EA (TRM and longer range Technology Plan) that are not anticipated at this time.

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)? *COMEDO relies on the security services provided by the underlying NRC LAN general support system.*

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

Since COMEDO relies on the underlying NRC LAN general support system for security, OCIO will allocate a fair share cost to COMEDO for security services.

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?

COMEDO is not a major application or general support system (as defined in OMB security policy). Security requirements are satisfied by the accredited underlying NRC LAN infrastructure.

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?

COMEDO is included under the up to date Security Plan that exists for the NRC LAN; (dated 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.

COMEDO is included under the accreditation that exists for the NRC LAN, which used a NIST approved certification and accreditation process.

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

These tests were performed as part of the NRC LAN certification in July 2001.

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

The COMEDO project officer is responsible for providing appropriate security training to the COMEDO users.

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?

NRC has recently implemented information systems security incident response procedures. These are part of the underlying security services provided by the NRC LAN general support systems. The incident response procedures have been reviewed and approved by GSA's FedCIRC, and the NRC is reporting incidents to the GSA 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?"

N/A for COMEDO

- 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 currently no public access to COMEDO. Access controls are addressed through the overall NRC infrastructure.

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

The issue is addressed in the security controls that are provided by the NRC LAN general support system. The security controls to ensure the system properly handles personal information were verified during system security certification testing (ST&E).

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

COMEDO contains no personal information about individuals.

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.

Not subject to GPEA because COMEDO is for internal use only.

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

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