

U.S. Nuclear Regulatory Commission Common Baseline Self-Assessment Update

Category	Element	Initial Element Rating August 2015	Current Element Rating April 2016	Relevant Evidence Supporting Implementation of Element	Obstacles / Risks / Challenges by Category
Budget Formulation (A-D)	A	2	2	IT/IM Budget Guidance	<p>Limited dedicated resource available to support agencywide IT/IM budget formulation and execution process improvement remains a challenge. The full implementation and success of planned processes may be delayed or adversely affected by lack of available, dedicated resources.</p> <p>Mitigation: The risk mitigation plan is to leverage and modify existing processes and reports and to streamline and automate business processes to the extent possible.</p>
	B	3	3	IT/IM Portfolio Executive Council Charter	
	C	2	2	IT/IM Budget Guidance	
	D	2	3	Capital Planning and Investment Control Processes (Appendix B)	
Budget Execution (E-H, J, L)	E	2	3	Capital Planning and Investment Control Processes	<p>Limited dedicated resource available to support agencywide IT/IM budget formulation and execution process improvement remains a challenge. The full implementation and success of planned processes may be delayed or adversely affected by lack of available, dedicated resources.</p> <p>Mitigation: The risk mitigation plan is to leverage and modify existing processes and reports and to streamline and automate business processes to the extent possible.</p>
	F	2	2	IT/IM Budget Guidance	
	G	2	3	MD 2.8, Integrated Information Technology/Information Management (IT/IM) Governance Framework	
	H	2	3	IT/IM Portfolio Executive Council Charter	

				Strategic Sourcing Group Charter	
	J	3	3	TechStat Policy Capital Planning and Investment Control Processes	
	L	2	2	IT/IM Budget Guidance	
Acquisition (I, K)	I	2	2	IT/IM Budget Guidance	<p>Limited dedicated resource available to support agencywide IT/IM budget formulation and execution process improvement remains a challenge. The full implementation and success of planned processes may be delayed or adversely affected by lack of available, dedicated resources.</p> <p>Mitigation: The risk mitigation plan is to leverage and modify existing processes and reports and to streamline and automate business processes to the extent possible.</p>
	K	2	2	IT/IM Budget Guidance	
Organization and Workforce (M-Q)	M	N/A	3	<p>As a member of the Executive Review Board, the CIO is involved in the recruitment and selection of Senior Executive Service employees. Therefore if the agency had any other senior executives with “CIO-like” responsibilities, the CIO would be involved in their recruitment and selection, but the NRC does not.</p>	<p>Due to NRC’s decline in budget and staffing levels, the CIO has experienced obstacles in recruiting for needed skill sets in cybersecurity and cloud computing. The CIO is also experiencing challenges in addressing training needs that are unique to the IT workforce.</p> <p>Mitigation: To close current IT workforce skills gaps, the NRC is retraining and redeploying current agency staff, partnering with other Federal agencies to grow needed expertise, and supplementing the workforce with contractor support.</p>

	N	N/A	3	There is no senior level IT management in the program or regional offices for which the CIO should provide input into critical elements or appraisals. There are only General Grade staff in the 2210 series, such as IT project managers, IT specialists, systems analyst, and cybersecurity specialist. The CIO and CHCO work jointly on the position descriptions and qualifications of the 2210 series for the entire agency.
	O	N/A	3	A list of all individuals with IT responsibilities in the program and regional offices was provided in the NRC Common Baseline. None are senior managers; they are all in the General Grade 2210 series.
	P	1	2	NRC Strategic Workforce Plan
	Q	3	3	MD 9.17, Organization and Functions, Office of the Executive Director for Operations