

Category - Element	Current Element Rating May 2019	Current Element Rating May 2020	Relevant Evidence Supporting Implementation of Element
Budget Formulation - A	3	3	IT/IM Budget Guidance
Budget Formulation - B	3	3	IT/IM Portfolio Executive Council Charter
Budget Formulation - C	3	3	IT/IM Budget Guidance, MD 4.7, Budget Formulation
Budget Formulation - D	3	3	Capital Planning and Investment Control Processes (Appendix B)
Budget Execution - E	3	3	Capital Planning and Investment Control Processes

Budget Execution - F	2	3	<p>IT/IM Budget Guidance</p> <p>The NRC has enhanced their budget execution process and procedures to better align budget formulation and budget execution and to provide better visibility to all stakeholders. In FY 2020, OCFO implemented a new module within their Budget Formulation System (BFS) to capture the budget execution information. This new module, the Commitment Planning Module (CPM), is designed to track budget execution, document and explain reallocations against formulated resources, and to ensure that appropriate plans are formulated before commitments occur. At the start of a fiscal year, Allowance Holders create Baseline contract/task order level commitment (execution) plans aligning with the latest budget estimate. By aligning detail level contract plans against budgeted resources, CPM facilitates an early identification of resources for reallocation. With the additional goal of enhancing the CIO's visibility on budget execution, the OCIO leveraged the CPM to require CIO approvals for baseline commitment plans, as well as changes and reallocation requests on IT resources. The CIO approves reallocations throughout the year based on the OCIO reallocation approval guidance procedures. The agency has also implemented the consolidation of IT hardware and software purchases, as well as requiring offices to submit IT hardware and software purchases for enterprise architecture review.</p>
Budget Execution - G	3	3	MD 2.8, Integrated IT/IM Governance Framework, MD
Budget Execution - H	3	3	IT/IM Portfolio Executive Council Charter, Strategic Sourcing Group Charter

Acquisition - I	3	3	<p>IT Budget Execution Guidance, MD 4.8, Budget Execution; NRC Acquisition of Supplies and Services, MD 11.1; Memorandum of Understanding Between Office of Administration, Office of the Chief Financial Officers and Regions, Capital Planning and Investment Control Processes.</p> <p>The Office of the CIO and Office of Administration have worked collaboratively to: define processes to ensure that the adequate use of incremental development is applied to IT acquisitions; develop formal procedures and training tutorials for the CORs and contractors to use in the execution and maintenance of various contracts or task orders; and the CIO is provided a report on a weekly basis that lists all requisitions received by the Acquisition Management Division for</p>
Budget Execution - J	3	3	<p>TechStat Policy, Capital Planning and Investment Control Processes</p>

Acquisition - K	3	3	<p>IT Budget Execution Guidance, MD 4.8, Budget Execution; NRC Acquisition of Supplies and Services, MD 11.1; Memorandum of Understanding Between Office of Administration, Office of the Chief Financial Officers and Regions, Strategic Sourcing Group Charter</p> <p>In response to the GAO request that the NRC provide supporting documentary evidence that acquisition office officials review acquisitions to ensure that IT is properly identified, NRC issued Acquisition Instruction (AI) #2018-01, Identifying IT Related Acquisitions, on June 25, 2018. As this AI has been shared with NRC program offices and regions, NRC is fully compliant with FITARA Section K- Acquisition.</p>
Budget Execution - L	3	3	IT/IM Budget Guidance, MD 4.8, Budget Execution
Organization and Workforce - M	3	3	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
Organization and Workforce - N	3	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

Organization and Workforce - O	3	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.
Organization and Workforce - P	2	3	The NRC reviews positions descriptions for all 2210 and 0080 hiring actions to ensure that they include relevant competencies and skills for meeting the current need, and expected need over the next five years. A job analysis is conducted to ensure that the position description includes the appropriate skills for performance in that position for today and the foreseeable future.