U.S. NUCLEAR REGULATORY COMMISSION
AGENCY E-GOVERNMENT ACT IMPLEMENTATION UPDATE

December 29, 2009

The U.S. Nuclear Regulatory Commission (NRC) is pleased to submit its FY 2009 E-Government report to the Office of Management and Budget. The report reflects the guidance provided in Mr. Vivek Kundra's November 25, 2009, memorandum to Chief Information Officers, "FY 2009 E-Government Act Reporting Instructions."

NRC's report highlights accomplishments under each of the three topic areas requested in Mr. Kundra's guidance: (1) efforts with regard to transparency, engagement, and innovation; (2) information management and information technology activities; and (3) implementation of E-Government initiatives to include efficiency and effectiveness.

Executive Summary

The NRC is strengthening its commitment to openness and transparency through a variety of new and ongoing initiatives to help the public understand and participate in its processes. The NRC highlighted this commitment in a December 2009 "NRC News" release (http://www.nrc.gov/reading-rm/doc-collections/news/2009/09-198.html). In addition, on its Open Government Innovation Web page, the White House is highlighting one new NRC initiative.

Transparency, engagement, and innovation have been long standing goals of the NRC because they are key principals in informing and involving stakeholders in the NRC's regulatory process. NRC's Strategic Plans included an "Openness" objective which states "The NRC appropriately informs and involves stakeholders in the regulatory process." Consistent with this objective, the NRC was the first Government agency to provide an agencywide electronic documents management system which provides the public with electronic access to all its public documents. The agency also has in place measures and metrics to ensure compliance with its goals for timely release of information and timely response to stakeholder requests for information.

The NRC makes extensive use of it public Web site (http://www.nrc.gov/) to inform stakeholders. The Web site contains information on Commission decisions, hearing transcripts, enforcement actions, petitions, event reports, daily plant status, a facility information finder, and detailed information on the performance of reactor licensees. In FY 2009, the agency added the capability for site users to subscribe to desired content (http://www.nrc.gov/public-involve/listserver.html) and receive updates as they occur. In FY 2010 a program to further enhance the agency's Web site is planned, including significant improvements to search engine capabilities. The agency is also transitioning to a Web-based distribution of agency correspondence related to operating reactors. This new distribution method allows the public to receive correspondence on a facility-by-facility basis through an interactive Web site. This new method greatly increases the ease and speed by which the public can access information. In a recent 30-day period, the agency distributed more than 17,000 pieces of correspondence to recipients in 16 different countries.

In addition to the above, stakeholder engagement is fostered through public meetings, public hearings, rulemaking, document comment processes, and conferences. To enhance public outreach and openness, the NRC has created a program to train existing staff as in-house meeting facilitators and advisors. The agency provides live Webcasts of high public interest Commission meetings; the public can also access past Webcasts from the public Web site. In FY 2009, the agency successfully piloted the use of “Live Meeting” at select public meetings to enable remote stakeholders to participate electronically. And, the NRC has enhanced the accessibility of its public Web site by offering site visitors the BrowseAloud assistive technology solution which allows site visitors to "listen" to the contents of a Web page.

The agency involves its stakeholders in ongoing programs to improve current capabilities as well as to build new capabilities. The NRC coordinated with the Nuclear Energy Institute and industry to provide an electronic means for the submission of license applications. The agency worked with stakeholders to streamline the receipt, processing, and distribution of documents associated with adjudicatory proceedings. Finally, the agency has a standing user group to guide enhancements to its publicly available electronic documents system.

These initiatives are key to ensuring transparency, and fostering engagement of stakeholders. NRC continues to look for innovative uses of technology to advance its Openness objective.

In FY 2009, the NRC implemented the National Source Tracking System (NSTS), a significant E-Government initiative. The events of September 11, 2001, heightened the Nation’s concern about the possible use of radioactive materials for a malevolent act. Both in the United States and abroad, various industries, hospitals, and academic institutions make widespread use radioactive materials (often contained in sealed sources). A major impetus for NSTS is the need to control radioactive materials that could be used in a radiological dispersal device or “dirty bomb” (a conventional explosive that carries radioactive materials and releases them on detonation).

At a July 12, 2007, hearing of the Senate Committee on Homeland Security and Governmental Affairs Permanent Subcommittee on Investigations, participants suggested that the NRC should consider establishing a Web-based licensing (verification) system that would allow suppliers of radioactive materials to validate purchaser licenses as well as the authorized quantity that a purchaser could obtain. The Government Accountability Office, NRC, and Congress deemed this information technology initiative both necessary and urgent.

In FY 2009, the successful implementation of NSTS satisfied NRC’s commitment to Congress to develop source tracking capabilities and satisfied the International Atomic Energy Agency’s Code of Conduct’s call for a national, central database of high-risk sources.

Over the 5-year period ending in FY 2015, the projected cost avoidance and cost saving for NSTS is $47 million.

In addition, in FY 2009, NRC successfully implemented the eTravel system complying with the government wide E-Gov program. Over the 4-year period ending in FY 2013, the projected cost avoidance and cost saving for eTravel is $1.6 million dollars.

The NRC continues to adopt best practices to improve the oversight and management of its information technology and management investments. In FY 2009, the NRC adopted and integrated the IT Dashboard into its investment management process and has instituted procedures to ensure that staff updates the IT Dashboard monthly. In addition, the agency holds

managers accountable in their Senior Executive Service plans for the score of their major Information Technology (IT) investments on the IT Dashboard.

The NRC is aggressively moving forward on exploring options for the reduction of legacy applications and systems through elimination and retirement, consolidation of "NRC-unique" applications and systems, outsourcing of applications and systems to other Federal agencies of "non-unique NRC" applications and systems, and on implementing new technologies focused on data center consolidation such as server virtualization, cloud computing, and implementing green data center best practices. As an example of progress made to date, twenty one NRC systems are hosted by partner agencies.

In FY 2009, NRC made significant progress in its telework program. In February 2009, the agency conducted an "Information Technology (IT) Summit" during which participants identified their top priority IT goals as "Working from Anywhere" (e.g. Work-at-a-Distance) and "Working with Anyone." A variety of tools are currently available for staff to use in achieving these goals, including virtual desktop solution, secure wireless loaner laptop computers, virtual meeting solutions, and others. Additional capabilities are planned, including use of Virtual Private Network (VPN) capability, instant messaging, and "Presence Management".

Section I: Transparency, Engagement, and Innovation

1. Describe major transparency initiatives undertaken in the past year and major transparency initiatives planned for the coming year.

The NRC has been working on transparency for many years as part of its Openness objective described in the agency's FY 2004-2009 and FY 2008-2013 Strategic Plans. The Agency's Openness objective states "The NRC appropriately informs and involves stakeholders in the regulatory process." In fact, Openness is one of the agency's organizational values (http://www.nrc.gov/about-nrc/values.html) and is part of the NRC's "Principles of Good Regulation." As mentioned previously, the NRC was the first agency to provide the public with electronic access to all of its public documents through the groundbreaking Agency Documents Access and Management System (ADAMS), which went into production in 2000. The NRC's policy is to make most nonsensitive documents public through ADAMS unless there is a specific reason not to do so; this practice reduces the number of Freedom of Information Act requests the agency receives.

As one important measure of transparency, the agency has established a composite information dissemination timeliness measure composed of four sub-measures related to the timeliness of Freedom of Information Act (FOIA) responses, public meeting notices, and the timely release of internally and externally generated public documents. The agency has improved on all four of those measures in FY 2009 and has met the agency-established target for three of them: the FOIA, the public meeting notice, and the internally generated documents timeliness measures. For FY 2010, in an effort to improve performance on the fourth measure, the agency has added the timely release of externally generated documents to the set of measures for which NRC offices are held accountable.

In addition to the documents available through ADAMS, the NRC posts a vast array of information on its public Web site (http://www.nrc.gov/). This information includes all nonsensitive Commission decision's, hearing transcripts, enforcement actions, petitions, event reports, daily plant status, a facility information finder, and detailed information on the performance of reactor licensees. In FY 2009, the agency added the capability for site users to

subscribe to desired content (http://www.nrc.gov/public-involve/listserver.html) and receive updates. The agency is transitioning to a Web-based distribution of agency correspondence related to operating reactors. This new distribution method allows the public to receive correspondence on a facility-by-facility basis through an interactive Web site. This new method greatly increases the ease and speed by which the public can access information. In a recent 30-day period, the agency distributed more than 17,000 pieces of correspondence, to recipients in 16 different countries.

Recognizing the important role of the Web in openness and outreach to the public, the NRC commissioned a number of surveys and reviews of usability and content and is now undergoing a major redesign of its public Web site. The redesign, scheduled for implementation in 2011, will improve navigation, appearance, content, usability and accessibility. Part of the redesign will include a significant upgrade to ADAMS, the agency's online document management system, to make it more user friendly, with a significantly improved search capacity.

2. Do you have an innovation you would like to share with the public and the Federal workforce on the Innovations Gallery?

The NRC has recently contributed to the Innovations Gallery. The newly unveiled 2-minute video, available at www.whitehouse.gov/open/innovations , explains the NRC's use of Web conferencing to bring meetings about possible changes to emergency preparedness regulations to more people. As part of the agency's outreach efforts, public meetings were held in venues throughout the country. At each meeting, anyone with a computer could log on to an Internet-based conference center and participate from any location by listening to content, asking questions, and providing comments.

NRC has regularly provided its stakeholders with leading edge, innovative solutions to improve the efficiency and effectiveness of stakeholder interaction with the agency. Examples are noted in various sections of this report and include the agency's electronic document management system and automation of the license application and adjudicatory proceedings.

3. How many data sets does your agency have on data.gov?

In October of 2009, NRC published Its U.S. Commercial Nuclear Power Reactors dataset which provides demographic data on U.S. power reactors as well as annual capacity factors. As a result of an external request, additional datasets on commercial power reactor performance will be published in FY 2010.

4. Describe your progress in complying with OMB requirements to post all spending data on usaspending.gov.

NRC is in compliance with OMB requirements to post all spending data on usaspending.gov.

5. What tools is your agency using to advance citizen participation and engagement? Cite examples of how the agency has used citizen feedback.

The NRC uses numerous tools to foster citizen participation and engagement, including its public Web site, public meetings, public hearings, rulemaking, document comment processes, and conferences.

Public Web Site—The NRC Web site is designed to do the following: (1) increase openness by providing information that enhances the ability of stakeholders to participate effectively in the regulatory process; (2) broaden the public's understanding of the NRC's mission, goals, and performance; and (3) make doing business with the NRC easier by enhancing access to agency information and making tools available for conducting business electronically. In addition, the NRC makes use of public meetings, user groups, application-specific help desks, and surveys to further promote citizen participation.

The NRC is committed to ensuring the quality of all information that it relies on for its regulatory decisions or disseminates. The agency's practices in this area are consistent with the Office of Management and Budget Information Quality Guidelines and NRC Information Quality Guidelines as required by Section 515(a) of Public Law 106-554.

The NRC Public Involvement page serves the goal of enhancing participation in the regulatory process (http://www.nrc.gov/public-involve.html). It contains links to pages with opportunities to learn about public meetings, comment on proposed rules and draft documents, request agency enforcement actions, participate in hearings, and ask the NRC to change or establish a regulation. Members of the public may also comment on proposed rulemaking actions through the Federal E-Rulemaking Portal at http://www.regulations.gov.

The following sections of the NRC's Web site, "About NRC", "Nuclear Reactors", "Nuclear Materials", and "Nuclear Waste", aim to broaden the public's understanding of the NRC's mission, goals, and performance. The other main section of the Web site, the Facility Information Finder, provides Information about specific regulated facilities.

The agency's Electronic Submittals Page, where stakeholders can submit documents electronically to the NRC, addresses the goal of conducting business electronically. The NRC also has electronic hearing dockets.

Public Meetings – The NRC conducts numerous public meetings across the country to engage stakeholders in the regulatory process. The agency's policy is to Webcast all high public interest Commission Meetings and to post public meeting notices on its Web site at least 10 calendar days in advance of the meeting. In FY 2009, the agency was successful in meeting this public meeting notice timeliness target 94 percent of the time, surpassing its 90 percent target. Also, in FY 2009, the NRC successfully piloted the use of "Live Meeting" at select meetings so that remote stakeholders could participate. The NRC will expand this capability during FY 2010. The agency also collects feedback from participants at every public meeting.

To enhance public outreach and openness, the NRC has created a program to train existing staff to serve as in-house meeting facilitators and advisors. The NRC In-House Meeting Facilitator & Advisor Program will help ensure that NRC public meetings and outreach are effective, inclusive, fair, and increase NRC's capacity to collaborate and solve problems with both internal and external stakeholders. Facilitators serve as consultants to the staff members who have the lead for a meeting. They help ensure that outreach and participation best practices are used appropriately to make meetings effective for all parties involved. The facilitators are NRC staff members who assist with meetings as a collateral duty, led by a program manager. Currently, fourteen facilitators-in-training are being trained and mentored by experienced NRC staff and contractors to become solo facilitators as part of this program.

The following paragraphs provide examples of how stakeholder feedback has been used by the agency.

ADAMS - Document Search and Retrieval - Since July 2001, the NRC has had an ADAMS User Group (AUG) for interested members of the public who use ADAMS on a routine basis. Through the user group, participants can learn about new releases and upgrades of the ADAMS software and can communicate with NRC staff about their ADAMS experiences and provide suggestions and comments for making ADAMS more accessible and easier to use. The minutes of past AUG meetings are available at http://www.nrc.gov/reading-rm/adams/users-group.html#2. The AUG tested the Web-based interface for accessing documents in the Publicly Available Records System (PARS) library before its deployment in late 2002.

The agency also uses a distribution list of interested users to augment the activities of the group and provide faster communication to both heavy and casual ADAMS users. This listserv is intended for NRC to send communications to the AUG in order to notify them about ADAMS meetings, issues, problems, upgrades, etc. Information about this listserv can be found at the following URLs:

http://www.nrc.gov/public-involve/listserver.html

http://www.nrc.gov/public-involve/listserve-descriptions.html

The NRC is working to improve the public's ability to search for publicly available documents in ADAMS and will provide a Google-type interface to the PARS early next year.

Electronic Submissions-License Applications - In providing the capability for industry to electronically submit license applications, the NRC coordinated with the Nuclear Energy Institute (NEI) to hold working group sessions with the industry. These sessions presented proofs of concept and collected input and feedback on electronic submission formats. They were successful in allowing the NRC to understand industry best practices and in defining an information technology solution for submitting electronic license applications.

Adjudicatory Proceedings - The NRC initiated its Meta System project to provide the means to receive and manage complex electronic document submittals in anticipation of major license applications. To identify process and technology improvements to streamline the receipt, service, processing, distribution, and utilization of adjudicatory documents through the NRC Meta System, the agency's Meta System Help Desk maintains an ongoing dialogue with external stakeholders. This help desk provides end-user support for Meta System applications, including supporting web-based E-Filing and Electronic Hearing Docket systems, answering questions about business processes, and identifying areas for improvement.

Additionally, as follow-on to the long-standing practice associated with Commission meetings, the NRC has begun to provide Webstreaming access to selected adjudicatory proceedings, including those involving the Yucca Mountain high-level radioactive waste repository and combined license applications for new reactor facilities. As part of the access process for each adjudicatory Webstreaming event, the NRC provides stakeholders with an opportunity to provide comments on their experience using this technology.

6. Is your agency currently meeting all reporting requirements of M-09-19? If not, what are your plans for being compliant?

The NRC is meeting all reporting requirements of M-09-19.

Section II: Information & Information Technology Management

1. How has the IT Dashboard impacted the investment management process at your agency?

The NRC currently has an Information Technology Business Council (ITBC) made up of executives from the NRC's major offices. The ITBC functions as the agency investment review board. It recommends the IT capital investment portfolio and submits it to the Information Technology Senior Advisory Committee (ITSAC), which is comprised of senior executives from major NRC offices. The ITSAC sets IT investment strategy for the agency, ensuring a balance of programmatic and infrastructure IT support. The ITSAC reviews, concurs, and prioritizes the IT investment portfolio recommended by the ITBC and submits it to the Chief Information Officer (CIO). When requested by the CIO, the ITSAC serves as the executive review function for significant issues in the management control and evaluation phases of the Capital Planning and Investment Control process. All major investments receive an annual ITBC review. This control phase review process, in combination with the monthly review of NRC's input to OMB's IT Dashboard, ensures that the ITBC is continuously aware of the progress of all major investments and any significant changes to them. The IT Dashboard provides another mechanism for the ITBC to use as an early indicator of possible future problems. If potential problems are indicated, the ITBC raises the issue(s) to the ITSAC for review and action.

In addition to the ITBC review and oversight, the agency holds responsible managers accountable for the score of their major IT investments on the IT dashboard in their SES plans.

2. Describe your agency's efforts in complying with reporting requirements for the IT Dashboard.

NRC investment managers are responsible for maintaining their Exhibit 300s. NRC has a defined process which requires the investment managers to advise of any updates required to the Dashboard by month-end. Proposed updates are presented to the Information Technology Business Council and the CIO for review. The CIO uses the update information provided along with other criteria to determine possible changes to the CIO Evaluation. Staff complete updates to the IT Dashboard by month end.

3. Describe the process your agency is using to apply CIO Evaluations for your major IT investments.

The IT Dashboard has increased the visibility of an investment's health and has promoted discussion between management, the Information Technology Business Council, and the investment managers on how they can improve the management and progress of their investments. As described above, appropriate staff review an investment's "health" monthly.

The NRC's CIO has established quantitative and qualitative criteria for judging the "health" of IT investments and if the CIO determines that the CIO's Evaluation of an investment should be changed, the change is made at month end.

4. Provide your agency's Information Resource Management (IRM) Strategic Plan and EA Transition Plan.

NRC's Enterprise Transition Plan (ETP), which is attached, reflects the NRC's current and planned modernization initiatives. The agency submitted the attached version to OMB as a draft for the Q3 FY2009 EA (Enterprise Architecture) Assessment submission. The agency is updating the ETP to reflect the following:

- The updates on the NRC modernization initiatives
- Segment adjustments which the NRC will be submitting to OMB in Q2 FY2010 (see the response to Section II Question 6)
- Alignment to applicable OMB Shared/Standard Segments, such as the Federal Identity, Credential and Access Management (FICAM) segment
- Other relevant OMB E-Gov priorities identified from the FY2011 Budget Passback

The NRC's Information Technology/Information Management (IT/IM) Strategic Plan represents the foundation for directing and assessing the performance and results of the NRC's IT/IM program over a 5-year period. The IT/IM strategic plan for fiscal year 2008-2013 is available on the Agency's public Web site at http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1614/v4/sr1614v4.pdf

NRC Attachments:

Description	File Name
DRAFT NRC Enterprise Transition Plan	DRAFT NRC Enterprise Transition Plan.doc

5. Outline the progress of integrating the Enterprise Architecture and the Capital Planning and investment Control processes and policies.

The NRC uses a formal Capital Planning and Investment Control (CPIC) process. The EA subject matter experts (SME) review all submissions for EA compliance and alignment. SME reviews are discussed at a project management review session and incorporated into standard conditions to be addressed for the project. The Information Technology Business Council and the Information Technology Senior Advisory Council are NRC's IT governance boards. The ITBC recommends selection of the agency's IT capital investment portfolio based on reviewing merits of the business case, core alignment with Agency's goal and mission, and SME review input. The ITBC portfolio review includes alignment of investments with the NRC IT Roadmap. In addition, the ITBC reviews project control and status updates, which include progress on any open standard conditions.

6. Provide the status and maturity of your modernization roadmap (segment architecture) activity including use by major programs and alignment shared target architectures.

The included spreadsheet (NRC Segment Architecture.xls) provides the status and maturity for the NRC segment architecture activities, as reported in the September 2009, Enterprise Architecture Segment Report (EASR) submission. The EA Team is revising its segment definitions to better reflect the agency's program offices and business functions; the spreadsheet notes these changes in the "NRC Status" column. To summarize, the "Rulemaking" and "Regulatory Oversight" segments will be collapsed into one "Regulatory Activities" segment; "Information Sharing" will be collapsed into a new "IT Infrastructure" segment; "Management Oversight" will be added as a new segment; and the "Enterprise

Content Management" segment will be renamed to "Information Management" to better align to the OMB Standard Segment.

Additionally, the spreadsheet reflects the progress being made maturing agency segment architectures. Several of the NRC segments have substantial architecture analysis; however, due to the new Enterprise Architecture Assessment Framework reporting requirements, they are reported as Notional or Planned. Plans currently exist to mature five of these segments (specifically, Information Management, Financial Management, Information and Technology Management, Project Management, and Security).

NRC Attachments:

Description	File Name
NRC Segment Architecture	NRC Segment Architecture.xls

7. For each E-Gov initiative, provide the final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public.

- Get Copies of Document http://www.nrc.gov/reading-rm/copies-docs.html
- Freedom of Information Act (FOIA) Guide http://www.nrc.gov/reading-rm/foia/foia-request.htmls
- NUREG/BR-0010, Rev. 4, "Citizen's Guide to U.S. Nuclear Regulatory Commission Information," http://www.nrc.gov/reading-rm/doc-collections/nuregs/brochures/br0010/index.html
- Government Information Locator Service http://www.nrc.gov/reading-rm/doc-collections/gils/index.html

8. Provide your agency's Freedom of Information Act (FOIA) handbook, the link of your agency's primary FOIA Web site, and the Web site link where frequent requests for records are made available to the public.

Freedom of Information Act Guide http://www.nrc.gov/reading-rm/foia/foia-request.html

Primary FOIA Web site http://www.nrc.gov/reading-rm/foia/foia-privacy.html

Records Frequently Requested Under FOIA http://www.nrc.gov/reading-rm/foia/records.html

Recent FOIA Requests http://www.nrc.gov/reading-rm/foia/recent-request.html

9. Describe in brief your agency efforts to comply with Section 508 in regard to information Management.

The NRC does have service provisions for people without access to the Internet. The NRC maintains a Public Document Room (PDR) where copies of NRC publicly available records can be read. Copies can be ordered in person, through e-mail, or by telephone. The PDR has a toll-free number (800-397-4209) and staff to assist members of the public who do not have Internet access. The PDR staff can also provide bibliographies based on subject searches of the public databases to give users an idea of the documents that are available. The PDR has a fee-based copy service. It is not uncommon to refer people to the nearest public library for further assistance since most public libraries now have Internet access.

The NRC has further enhanced the accessibility of its public Web site by offering site visitors the BrowseAloud assistive technology solution. This customizable software allows site visitors to "listen" to the contents of a Web page, highlighting the words and sentences as they are "read" aloud. Unlike other available screen readers, which are designed exclusively for the blind, BrowseAloud provides a range of options to accommodate the broader needs of print-disabled stakeholders, who have visual impairments, learning disabilities (such as dyslexia), or literacy challenges (including English as a second language). BrowseAloud is available free of charge for NRC Web site visitors to download and use.

10. A list of your agency's public Web sites disseminating research and development (R&D) information to the public, and whether or not each web site provides the public information about federally funded R&D activities and/or provides the results of Federal research.

The agency's public Web site as a whole (http://www.nrc.gov) disseminates R&D information to the public, specifically through the following pages:

- NUREG-series contractor reports http://www.nrc.gov/reading-rm/doc-collections/nuregs/contract/index.html
- Research activities http://www.nrc.gov/about-nrc/regulatory/research.html

The Web site provides information about Federally funded R&D as well as the results of Federal research.

11. Provide an inventory of formal agency agreements (e.g., contracts, memorandum of understanding, partnerships) with external entities (e.g., partnerships with State and local governments, public libraries, industry and commercial search engines) complementing your agency's information dissemination program, briefly explaining how each agreement improves the access to and dissemination of Government information to the public.

The NRC has formal agency agreements with several external entities that complement NRC's information dissemination program. The NRC uses the U.S. Government Printing Office's Superintendent of Documents to disseminate its NUREGs, and has an agreement in place to participate in the Federal Depository Library Program and their sales program. The NRC also is required to send the Library of Congress File Center 15 copies of all its published documents. The agency also supplies publications to the National Technical Information Service (NTIS), which provides another point of public access for users.

The U.S. Department of Interior/Federal Consulting Group provides an online customer satisfaction survey to users of the NRC public Web site. The NRC uses the results of this survey in planning for and prioritizing improvements to the site.

The agency also contracts with On-Line Video Service for Web streaming of all Commission meetings and some public meetings.

12. Provide an inventory that describes your agency's NARA-approved records schedules(s) or the link to the publicly posted records schedules(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in Fiscal Year (FY) 2008 and the number of systems still requiring records schedules.

NUREG-0910, Revision 4, "Comprehensive Records Disposition Schedule," includes a description of all records (in any format) that had a NARA-approved records retention schedule as of March 2005. This document as well as any new NRC Records Disposition Schedules approved after the publication of NUREG-0910 is posted on the NRC public Web site at http://www.nrc.gov/reading-rm/records-mgmt/disposition.html. Also, NRC Management Directive 3.53, "NRC Records Management Program," revised March 15, 2007, is available on the NRC public Web site at http://adamswebsearch2.nrc.gov/idmws/ViewDocByAccession.asp?AccessionNumber=ML071160026. This management directive does not report on the actual transfer of electronic records but does include instructions on implementation requirements for format and media.

The NRC submitted 22 records retention schedules to NARA in FY 2008 covering 56 electronic information systems. The agency also determined which systems did not require a retention schedule because they did not contain records, were covered by NUREG-0910 or a General Records Schedule, or were created after the time mandated by the NARA bulletin. A retention schedule for analytical data (covering 60 electronic systems) is in draft, as well as one to cover budget activities. Additional records schedules are developed as needed based on information derived by a biannual data call and Privacy Impact Assessments.

Section III: Implementation of E-Government initiatives

In past years the NRC has highlighted major electronic initiatives that provide the means to receive and manage complex electronic document submittals in support of major license applications for new nuclear power plants, license renewals for existing nuclear power plants, and the Department of Energy's high-level waste repository license application for Yucca Mountain, NV. This year the NRC is providing an update on its National Source Tracking System.

1. Describe the initiative, the methodology for identification of the initiative, and how the initiative is transforming agency operations.

The events of September 11, 2001, heightened the Nation's concern about the possible use of radioactive materials for a malevolent act. Both in the United States and abroad, various industries, hospitals, and academic institutions make widespread use radioactive materials (often contained in sealed sources). A major impetus for NSTS is the need to control radioactive

materials that could be used in a radiological dispersal device or “dirty bomb” (a conventional explosive that carries radioactive materials and releases them on detonation). The NRC has been proactively working on material “real time” tracking capability since 2005.

In late 2006 and early 2007, the Government Accountability Office (GAO) conducted a test of the NRC controls governing the issuance of licenses for possessing certain types of radioactive materials and for enforcing possession limits on the quantities of those materials. Subsequently, GAO reported that they were able to obtain radioactive materials licenses for two fabricated companies, modify the licenses to raise the possession limits, and utilize the augmented licenses to receive quotes for purchasing radioactive materials from legitimate licensees.

At a July 12, 2007, hearing of the Senate Committee on Homeland Security and Governmental Affairs Permanent Subcommittee on Investigations following GAO’s report, participants suggested that the NRC should consider establishing a Web-based licensing (verification) system that would allow suppliers to validate purchaser licenses and the authorized quantity that a purchaser could obtain. The GAO, NRC, and Congress deemed this as a necessary and urgent information technology initiative to protect the nation from the threat of malevolent use of radioactive materials.

2. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g. reducing or eliminating other investments in information technology).

In FY 2009, the successful implementation of NSTS satisfied NRC’s commitment to Congress to develop source tracking capabilities and satisfied the International Atomic Energy Agency’s Code of Conduct’s call for a national, central database of high-risk sources.

As noted above, benefits associated with the NSTS include the following: monitoring the location, possession and disposal of radioactive sources of concern throughout the country; improve accountability and give better information to decisionmakers; responding in the event of an emergency; and communicating radioactive source information among Government agencies.

Over the 5-year period ending in FY 2015, the projected cost avoidance and cost saving for NSTS is $47 million.

3. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.

The NRC regularly seeks opportunities for improvements to the NSTS and contributing processes. A major source of input is periodic conference calls with Agreement State agencies and direct contact and outreach efforts with key users who have high NSTS transaction volume. After capturing and analyzing these business drivers, the NRC utilizes independent contractor resources to evaluate potential improvements through system features then proposed for maintenance releases. Similarly, the NRC assesses application of emergent technologies as appropriate.

4. Identify improved performance (e.g., outcome measures, quantifiable business impact) by tracking performance measures supporting agency objectives and strategic goals.

The NSTS, which received an authority-to-operate in December 2008, tracks the transfer of responsibility of sealed sources of radioactive materials. This tracking spans the life cycle of the source from manufacture through shipment receipt, decay, and burial. It supports controlled authorizations and accountability for licensed suppliers and licensed recipients of sealed sources. The successful implementation of NSTS satisfies NRC's commitment to Congress to develop source tracking capabilities and satisfies the International Atomic Energy Agency's Code of Conduct's call for a national, central database of high-risk sources.

NSTS helps the NRC do the following:

- monitor the location, possession, and disposal of radioactive sources of concern throughout the country
- improve accountability and give better information to decision makers
- detect and act on tracking discrepancies
- conduct inspections and investigations
- communicate radioactive source information among Government agencies
- respond in the event of an emergency
- verify legitimate import, export, ownership, and use of radioactive sources
- further analyze hazards attributable to the possession and use of radioactive materials

In January 2009, all users of Category 1 and Category 2 radioactive sources in the United States began reporting their source inventories and transactions, as required by Titles 10 of the *Code of Federal Regulations* (10 CFR) Part 20, or Agreement State equivalent regulation. The regulations state that each licensee who manufactures, transfers, receives, disassembles, or disposes of a nationally tracked source must complete and submit a National Source Tracking Transaction Report.

5. Explain how this initiative ensures the availability of government information and services for those without access to the internet and for those with disabilities.

The NRC provides support for those who do not have access to a computer with Internet and who also need to report to the NSTS or who wish to obtain NSTS data. For those reporting regulated transactions (e.g., shipment or receipt of materials), the NSTS operational support contract includes data entry support for those who wish to report by fax using NRC Form 748. Those without NSTS user accounts may request NSTS data through routine NRC procedures. These include the NRC Freedom of Information Act process as well as services of the NRC Public Document Room, where NRC publicly available records can be read. The PDR has a toll-free number (800-397-4209) to assist members of the public who do not have Internet access. The PDR can also provide bibliographies based on subject searches of the public databases to give users an idea of the documents that are available. The PDR has a fee-based copy service.

6. Identify external partners (e.g. Federal, State or local agencies, industry) who collaborated on the initiative.

Prior to enactment of the Energy Policy Act of 2005, the NRC began collaboration with a full range of organizations concerned with the threat of radiological dispersal devices. These outreach efforts included the establishment of an Interagency Coordinating Committee (ICC), comprised of representatives of external Federal agencies as well as the Organization of Agreement States (OAS). The OAS represents the interests of those states that regulate nuclear materials under the NRC Agreement State Program. In addition to the ICC, a crosscutting working group developed the NSTS requirements document, ensuring input from all perspectives. Later design efforts included industry input on the NSTS user interface. Most recent efforts have focused on working closely with industry users in an effort to minimize their burden in providing timely reporting of key activities of manufacturing and transfer of source materials.

7. Explain how the project applies effective capital planning and investment control procedures;

In 2005, the NRC Information Technology Business Council reviewed and approved the NSTS business case prior to concurrence of the NRC Chairman. Prior to acquisition of contractor support, the agency developed an integrated project plan reflecting all planned activities and resources required, both from NRC and contractor staff. In early 2006, following contract award, the agency refined this integrated plan resulting in the baseline NSTS plan. At the same time, the NRC implemented the Earned Value Management process to provide monthly monitoring of schedule and cost variance. This process continues and is integrated with our reporting under the OMB Exhibit 300. At an operational level, ongoing maintenance and enhancement work is managed using a Change Control Board, including representatives of all stakeholder segments, such as industry and Agreement State agencies.

8. Describe the established process your agency has in place for the continued ongoing process of identification of initiatives.

The NRC has a Capital Planning and Investment Control process that uses a vetting process to identify initiatives that may duplicate E-Government initiatives. The identification occurs at the very beginning of any investment and includes a review by the Enterprise Architecture Branch. An NRC governance board (The Information Technology Business Council) performs further review and includes a review by an NRC senior procurement official as required by OMB memorandum.

9. Quantify the cost savings and cost avoidance achieved through implementation of *new* IT programs.

As noted in the response to question 2 above, over the 5-year period ending in FY 2015, the projected cost avoidance and cost saving for NSTS is $47 million.

In addition, in FY 2009 NRC successfully implemented the eTravel system, a Presidential Priority Initiative under OMB's E-Gov program. eTravel provides a common, automated, and integrated approach to manage the travel function of the federal government's civilian agencies.

Over the 4-year period ending in FY 2013, NRC's projected cost avoidance and cost saving through its use of eTravel is $1.6 million dollars.

10. Describe your efforts to consolidate, or collaborate with other agencies, to reduce the number of Federal data centers.

Over the past 18 to 24 months the NRC has been in the process of assessing its IT portfolio seeking to reduce the number of applications and systems operated and maintained by the agency. These initiatives have been driven internally by agency mission needs, financial constraints, and advances in technologies, and externally by OMB and other Federal mandates.

Specifically, the NRC has been focused on exploiting "E-Government" initiatives to the maximum extent possible to reduce the need for internal IT assets and resources; aligning its business processes with EA Lines of Business guidance to facilitate interagency communication, collaboration, and data sharing under the Federal Enterprise Architecture model; and by exploring and adapting new technologies to support environmental initiatives focused on "green data center" best practices.

As a result, the agency has been developing and implementing strategies to reduce IT related costs directly and indirectly related to data center space, power, and environmental consumption through three core initiatives:

1) Consolidation of applications and servers to reduce the agency's data center operational requirements and carbon footprint.
2) Collaboration with other Federal agencies to leverage data center and IT service offerings for "non-unique NRC" business applications (i.e., financials, human resources, travel, training, etc.).
3) Coordination and partnering with other Federal agencies to explore opportunities for "co-location" of IT assets to support Disaster Recovery (DR) of NRC "business critical systems".

Consolidation of Applications and Servers
The NRC has been in the process of planning and implementing both application and server consolidation through the replacement of legacy "client-server" applications with 'web-based" technologies to reduce the number of applications and through the use of virtualization technologies to reduce the number of servers. Progress in consolidation efforts is reflected in the table below. In addition to the consolidation of case management and action item tracking systems that will remain within the NRC domain, the consolidation of both the legacy travel and financial and accounting systems are further offset by outsourcing these services to other Federal agency data center service providers.

Application/System Types	Consolidation Ratio (Applications consolidated)
Case management systems	4 to 1 consolidation. Reduces both applications and servers.
Action item tracking systems	12 to 1 consolidation. Reduces both applications and servers.
Travel systems	2 to 1 consolidation. Also outsourced to GSA leveraging the "E-Gov" "etravel" system.
Financial & accounting systems	19 to 1 consolidation. Also outsourced to DOI/NBC leveraging their "Financial Accounting and Integrated Management Information System (FAIMIS)"

Collaboration with other Federal agencies
Currently the NRC has a number of applications and systems used by the NRC (exclusively and non-exclusively) which are hosted at other Federal agency data centers. The table below identifies our partnering agencies along with the number of applications/systems located and maintained by each:

Agency	# of Applications/Systems
Department of Homeland Security (DHS)	1
Department of Defense (DOD)	1
Department of Energy (DOE)	4
Department of Interior/National Business Center (DOI/NBC)	5
General Service's administration (GSA)	2
National Institutes of Health (NIH)	4
Office of Personnel Management (OPM)	2
Department of the Treasury	2
Total	**21**

Coordination and Partnering with other Federal agencies to support Disaster Recovery
During the past 12 months, the NRC has been in the process of developing a comprehensive Disaster Recovery (DR) Plan which includes the selection of an alternate site to house NRC "business critical" applications and systems. A key component of the alternate site selection process has been meeting with and evaluating other Federal agency data centers as a potential alternate site suitable for "co-hosting" NRC DR IT assets. This process is ongoing at this time but is expected to be completed in FY2010. The table below reflects agencies contacted and visited to date to determine a suitable environment (i.e., capacity, appropriate physical and IT security safeguards, environmental surroundings, and redundant critical service such as power, cooling, connectivity, and geographical location):

Agency
Department of Agriculture
Department of Interior/National Business Center (DOI/NBC)
Federal Emergency Management Agency (FEMA)
Department of Defense (DoD)
National Institutes of Health (NIH)

11. Describe the telework program at your agency; include your plans to increase your employees' ability to use Web 2.0 tools to work-at-a-distance.

The NRC encourages staff to participate in the agency's telework program, including both fixed and project-based telework alternatives. The NRC Human Resource Office maintains the information reference supporting the telework program. This information is accessible through the Agency's Intranet. Please find attached "HR-Telework.pdf." This file contains a snapshot view of the Agency's internal Web site, where employees may access this information. Please also see the enclosed NRC telework brochure. The brochure provides an overview of the Agency's telework program and how NRC employees can participate.

In February 2009, the agency conducted an "Information Technology (IT) Summit" during which participants identified their top priority IT goals as "Working from Anywhere" (e.g. Work-at-a-Distance) and "Working with Anyone." A variety of tools are currently available for staff to use in achieving these goals, including virtual desktop solution, secure wireless loaner laptop

computers, virtual meeting solutions, and others. Additional capabilities are planned, including use of Virtual Private Network capability, instant messaging, and "Presence Management." The document called "Working from Anywhere.pdf" contains a snapshot of the types of tools and services offered today. In addition, the NRC will be developing strategies and architectures to improve support for mobile and remote workers including a few focused areas in Web 2.0. Programs such as Microsoft SharePoint and Tomoye (a community of practice tool supporting NRC's knowledge management program) facilitate internal collaboration. Agency staff also use tools such as wikis, blogs, and mashups that adhere to the NRC IT security requirements.

NRC Attachments:

Description	File Name
NRC Telework Brochure	telework-brochure.pdf
NRC's HR Telework Web site page	HR-Telework.pdf
Working from Anywhere (WA)	Working from Anywhere (WA).pdf