

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

Agency **Nuclear Regulatory Commission (NRC)**  
 Bureau **Office of Nuclear Material Safety and Safeguards (NMSS)**  
 Account Title **Salaries and Expenses**  
 Account Identification Code **31-0200-0-1-276**  
 Program Activity **Nuclear Materials**  
 Name of Project **General License Tracking System (GLTS)**  
 Unique Project Identifier: **429-00-01-04-01-1005-00**  
 (IT only)(See section 53)  
 Project Initiation Date **May 5, 1999 (date that the NRC IT Business Council approved the GLTS business case)**

Project Planned Completion Date  
 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  1

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

1 Currently, no fees are collected for this NRC general licenses. Fees collection is planned within the next two years. At that time, this would become a Financial Management System.

Information in this record was deleted in accordance with the Freedom of Information Act, exemptions 5  
 FOIA 2013-281

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|---|---------------|--------------|
| c. Was a privacy impact assessment performed for this project?  | Yes <u>X</u>  | No <u>  </u> |
| d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process?  | Yes <u>X</u>  | No <u>  </u> |
| d.1 If yes, were any weaknesses found?  | Yes <u>X</u>  | No <u>  </u> |
| d.2. Have the weaknesses been incorporated into the agency's corrective action plans?   | Yes <u>X</u>  | No <u>  </u> |
| e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination? *   | Yes <u>  </u> | No <u>X</u>  |
| 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 <u>  </u> | No <u>X</u>  |

*\* Preparations for NRC's Project Matrix Review are just underway. The Review will not be completed until the 2nd Quarter FY 2003, at the earliest.*

**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	BY 2004					
<b>Planning:</b>									
Budgetary Resources									
Outlays	.087 <sup>2</sup>								
<b>Acquisition :</b>									
Budgetary Resources	.988								
Outlays	1.160								
<b>Total, sum of stages:</b>									
Budgetary Resources	.988								
Outlays	1.247								
<b>Maintenance:</b>									
Budgetary Resources	.187 <sup>3</sup>	.272 <sup>4</sup>	.195 <sup>5</sup>	.192 <sup>6</sup>					
Outlays	.308 <sup>7,8</sup>	.300 <sup>9</sup>							
<b>Total All Stages:</b>									
Budgetary Resources	1.175	.272	.195	.192					
Outlays	1.555	.300							

**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.

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*The GLTS is in the evaluation phase of the NRC Capital Planning and Investment Control (CPIC) process. This system supports the NRC mission by providing a means for management of data regarding devices containing potentially hazardous nuclear materials. The NRC regulates over 40,000 general licensees authorized by Title 10, Part 31.5 of the Code of Federal Regulations (CFR). These licensees possess about 600,000 devices that contain nuclear byproduct material. The NRC is concerned about occurrences where generally licensed devices have not been handled or disposed of properly. Through the use of this system, NRC staff can effectively track transfers and disposition of these devices. NMSS is evaluating this system through an independent review and validation of system requirements. Based on the functional gap analysis findings, NMSS has adopted a released-based approach for prioritizing and planning actions to address significant gaps.*

*GLTS is implemented in a Sybase database/Powerbuilder environment and operated on the NRC LAN.*

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

*The NRC assumes that the new General License (GL) program, directly supported by the GLTS, will significantly improve accountability for devices containing radioactive materials. Unlike the previous GL program, all transfers of registerable devices are now tracked.*

*Legislation recently introduced in Congress may substantively change the direction of the GLTS project. The Nuclear Security Act of 2002 would require NRC to develop a national classification and tracking system to control nuclear sources, helping to prevent materials loss or theft. Such loss or theft could lead to malicious use of a "dirty bomb"-- a conventional explosive which carries nuclear materials and releases them on detonation.*

*If this or similar legislation is approved, it is likely that the GLTS would be replaced by a system integrating all data and functionality required to support new requirements. Such a new system would address the following changes in scope:*

- *Tracking of individual nuclear sources, contained within generally licensed devices*
- *Integration of all source and license data nationally, not just that processed by NRC*

*Pending resolution of new legislation, the current approach is to maintain current GLTS functionality.*

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

*In October 1996, the NRC published NUREG-1551, Final Report of the NRC-Agreement State Working Group to Evaluate Control and Accountability of Licensed Devices. Based on the recommendations of this working group, the NRC decided, among other things, to establish an annual registration of some of the generally licensed devices. The NRC used the criteria developed by the Working Group for determining which sources should be subject to the registration program. Registration is being required only for those devices considered to present a higher risk (compared to other generally licensed devices) of potential exposure of the public or property damage in the case of loss of control.*

*In late 1998, NMSS produced the initial materials required by the NRC's Systems Development Life Cycle Management Methodology (SDLCMM) materials including the Project Definition and Analysis Document (PDA). The PDA included an extensive definition of high level requirements and identified several alternatives for analysis as part of the Capital Planning and Investment Control (CPIC) Business Case preparation process. Alternative analyses determined that it would be impractical to enhance the existing General License Database (GLDB), developed in 1985, to meet the more stringent tracking requirements. The GLTS Business Case Analysis was finalized in April 1999, and presented the conclusion that new system development using the Sybase Data Base Management System (DBMS) and PowerBuilder object oriented language was the recommended choice for GLTS. The NRC Information*

*Technology Business Council (ITBC) approved the GLTS Business Case on May 5, 1999. Most GLTS functionality was deployed in May, 2001, with further features deployed in March, 2002.*

*The new GLTS has allowed the NRC to begin a GL registration effort. The first cycle of registrations has already allowed us to identify a number of registrants with incorrect or out-of-date addresses. The NRC has begun correcting this information.*

**I.B. Justification (All Assets)**

**1. How does this investment support your agency's mission and strategic goals and objectives?**

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal and Objective?
<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>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</p>	<p><i>We will confirm that licensees understand and carry out their primary responsibility for conducting activities consistent with the regulatory framework.</i></p>	<p>X</p>	<p>▪ <i>By improving tracking and accountability, :</i>                      a) <i>reduces risk of radiation related deaths and illnesses caused by exposure to abandoned sources containing nuclear material; and</i>                      b) <i>reduces the likelihood that these sources could be used for malevolent purposes</i></p>
<p>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</p>			
<p>4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation</p>	<p><i>We will continue to take a proactive role in strengthening safety, safeguards, and nonproliferation worldwide.</i></p>	<p>X</p>	<p>▪ <i>By improving accountability, reduces the likelihood that GL sources could be brought into the U.S., or taken out of the country</i></p>
<p>NRC Corporate Management Strategy 1: Employ innovative and sound business practices</p>	<p><i>We will find new and better ways of doing business to increase effectiveness and efficiency of operations.</i></p>	<p>X</p>	<p>▪ <i>The GLTS integrates information on all transfers of devices, supporting retrieval from the perspective of vendors, recipients/licensees or device types.</i></p>
<p>NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.</p>			

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal and Objective?
NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.	<ul style="list-style-type: none"> <li>▪ We will make it easier for staff to acquire, access, and use information they need to perform their work..</li> <li>▪ We will provide and maintain a robust, reliable, cost-effective, and "user friendly" information technology infrastructure that is driven by the agency business needs.</li> </ul>		<ul style="list-style-type: none"> <li>▪ The GLTS provides easy-to-use, online access to comprehensive device life cycle information</li> <li>▪ The GLTS was implemented in a modern technology platform suitable, facilitating integration with other NRC systems</li> </ul>
NRC Corporate Management Strategy 4: Communicate strategic change.			

2. How does it support the strategic goals from the President's Management Agenda?

[OMB principles of IT investments supporting PMA: Support Homeland Security, War on Terrorism; ]

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	X	Assures that FTE and dollars are spent in support of mission objectives

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

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

*At the time of the 1998 GLTS alternative analysis, there was no apparent Commercial Off-The-Shelf (COTS) or other existing system that could meet the challenging GLTS functional requirements. Prior to the 1999 GL rule makings, even State governments had no need for a license tracking system capable of supporting the newly required features.*

*Since 1998, the COTS licensing software has matured greatly. Still, it is not clear that any COTS product or existing system used in other Federal or State agencies can satisfy the GLTS functional requirement. To best support directional decisions, the NRC is both validating and documenting the current state of GLTS requirements and is evaluating other systems for potential replacement and/or consolidation of the GLTS and other closely related licensing systems.*

5. Who are the customers for this project?

*NRC internal customers include: Staff seeking to identify abandoned devices; Staff seeking locations of a group of devices requiring attention to some safety or security issue (e.g., an apparent design defect; an apparent loss of control);*

*External customers include: State and Municipal personnel responding to events of abandoned devices or events related to devices of unknown origin or nature.*

6. Who are the stakeholders of this project?

***NRC internal stakeholders include: Staff in the NMSS Division of Industrial and Medical Nuclear Safety (IMNS), responsible for administering regulations for tracking and control of generally licensed devices (GLs); Staff involved in assessment of events related to GLs***

***External stakeholders include: 32 Agreement States\* with similar jurisdictional authority as the NRC and state and local governments of NRC-regulated states. Also, the general public and public interest groups as improved tracking of devices containing potentially dangerous nuclear materials improved public confidence.***

***\*Agreement States are the 32 States to which the NRC has relinquished its authority for regulatory oversight of licensee activities***

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

***This is an NRC initiative, however Agreement States also derive benefits through more detailed and timely responses when information regarding GLs is needed.***

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

***The GLTS improves the efficiency of NRC GL device tracking by supporting the linking of data reported by licensees/recipients, manufacturers, and vendors. Support for device history reviews provides improved efficiency in resolving investigations of loss of device custody. Improved accountability can also lead to fewer cleanups from possible contaminations or over-exposures that could otherwise have occurred.***

9. List all other assets that interface with this asset \_\_\_\_\_. Have these assets been reenigneered as part of this project? Yes \_\_\_\_, No X.

***The National Sealed Source and Device Registry System (NSSDRS): This system provides authoritative data on isotope types and activity levels contained within each GL device. The NSSDRS was developed in 1998-1999 and deployed while the GLTS was conducting final design refinements, immediately before development. Business processes supported by both the GLTS and NSSDRS will be included in a comprehensive licensing process improvement project that NMSS will conduct in FY03. Planning for revision or replacement of supporting systems will follow this project.***

***The Nuclear Materials Events Database (NMED): The GLTS exports data to the NMED, regarding reports of devices for which accounting is undetermined.***

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	Prevent radiation related deaths and illnesses, promote the	No more than 300 losses of control of licensed material per year.	In FY 2002, the current GLTS is still in its early stages. Over time, we believe GLTS will increase licensee accountability of radioactive material, and therefore, will reduce the likelihood of loss of control events listed here. However, this is only the first year of the GL registration effort, and any direct impact on this performance goal is too early to predict.			Thru 6/02, 190 events.

	common defense and security, and protect the environment in the use of source, byproduct and special nuclear material.					
2003	Same as 2002	Same as 2002	Same as 2002	Same as 2002	Same as 2002	Same as 2002
2004	Same as 2002	Same as 2002	Same as 2002	Same as 2002	Same as 2002	Same as 2002
2005						
2006						
2007						

<sup>1</sup> The GLTS supports the general licensing program and as such indirectly supports this goal.

Note: Performance goals and metrics have not yet been developed for years beyond FY2004.

**I.D. Program Management [All Assets]**

- 1. Is there a program manager assigned to the project? If so, what is his/her name? Yes  No   
*Joel Bristor, Senior Systems Analyst*
- 2. Is there a contracting officer assigned to the project? If so, what is his/her name? Yes  No   
*Yes, the GLTS steady state project has been identified in NRC's in-progress enterprise architecture (EA).*
- 3. Is there an Integrated Project Team? Yes  No
- 3.A. If so, list the skill set represented.  
*William Ward, Mechanical Engineer (GL Project Manager)*  
*Joel Bristor, Senior System Analyst (GLTS maintenance CLIN Manager)*  
*Carolyn Boyle, Technical Assistance Project Manager (NMSS contracts liaison)*  
*William Usilton, Senior Systems Analyst (OCIO business support team lead)*  
*Tu Tran, OCIO Database Administrator*  
*Sharon Stewart, Contracting Officer*
- 4. Is there a sponsor/owner? Yes  No   
*Donald Cool, Director, Division of Industrial and Medical Nuclear Safety*

**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 GLTS steady state project has been identified in NRC's in-progress enterprise architecture (EA).*
- B. Explain how this project conforms to your departmental (entire agency) enterprise architecture.  
*GLTS is a legacy system that was initiated and developed prior to integration of NRC's evolving EA with the CPIC process. GLTS falls within the scope of NRC's baseline EA that is currently undergoing update. As such, GLTS supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model," provides the data required to support NRC's high level service to citizens, "regulated activity approvals," and NRC's high-level support delivery of services, "control and oversight." GLTS 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 (FEABRM) with high level business functions and subfunctions derived from the "NRC Enterprise Model." NRC is working to uncover additional internal cross-cutting initiatives and has begun to look at other-agency business processes and State business processes to identify potential areas for collaborative efforts.*

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

FEABRM Lines of Business	FEABRM Subfunctions Supported
Regulated Activity Approvals (Service to Citizens)	License Issuing and Control
Control and Oversight	Program Monitoring

- D. Briefly describe how this initiative supports the identified Lines of Business and Sub-Functions of the Federal Business Architecture.  
*The GLTS provides enabling information technology infrastructure for the issuance and control of general licenses. The system registration module identifies all eligible device recipients for each registration cycle. The system also supports control and oversight through monitoring of all device transfers reported by both vendors and recipients. The current GL program was specifically intended to address cases where devices were not under the control of approved recipients. In the worst cases, this resulted in events of inappropriate disposal of devices, thereby posing risks of contamination or exposure by the general public.*
- E. Was this project approved through the EA Review committee at your agency?  
*Yes, the GLTS 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?  
*The GLTS was developed to support a new registration program and associated business processes. This program has been in place for more than a year. While every effort was made to simplify related processes before development, there are likely areas of potential improvement. The NRC plans a major*

*process improvement project for FY03, focusing on all Materials and Waste Arena licensing activities. Processes related to the GLTS will be reviewed and potentially streamlined as part of this project.*

- G. What are the major organization restructuring, training, and change management projects that are required?  
*The NRC required minimal restructuring for implementation of the GL program and supporting GLTS. Maintenance of this system is managed centrally by the IT staff of the sponsoring office, in collaboration with the OCIO.*
- H. What are the Agency lines of business involved in this project?  
*The agency lines of business involved in this project are Licensing/Approval and Safety Concerns.*
- I. What are the implications for the agency business architecture?  
*The lines of business supported by this project are integral to the NRC's mission. Thus, the business function is currently included in the agency's business architecture, documented in the agency publication, "NRC Enterprise Model." Although the NRC Enterprise Model is currently undergoing update, substantial changes are not anticipated since the core business functions of the agency have not changed substantially over time.*

*It is notable that implementation of the GLTS coincided with implementation of new regulations and related business processes for tracking of GLs. Prior to this, only possession of devices was tracked, leading to numerous cases of lost custody. Under the new process, all transfers are reported by both the vendor and recipient, supporting verification and improved assurance of custody.*

## II.A.2 Data

- A. What types of data will be used in this project?  
*The GLTS manages data regarding generally licensed devices in the possession of vendors and recipients that operate within NRC-regulated states. Data includes identifiers such as make, models, and serial number, as well as details regarding all reported transfers of possession (e.g., between vendor and recipient).*
- 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?  
*The data managed by the GLTS are only gathered and stored by the NRC. To date, there has been no statutory requirement to integrate NRC GLTS data with similar data in tracking systems used by the Agreement States. Pending legislation, as described in I.A.2 above, may change this, requiring a national database. In this case, NRC will provide an updated Exhibit 300 with more specific information about national integration of nuclear materials licensing and control of source data.*
- 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?  
*Some data stored within the GLTS are of proprietary nature as stated in affidavits received from the respective vendor(s). The proprietary nature mainly relates to potential misuse of market share and business contact information by competitors.*
- D. 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.  
*The GLTS 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 GLTS is a legacy application that is documented in the NRC ITA Database. The NRC ITA Database is undergoing revision and when completed will aid in identifying business functions supported by applications across the NRC. The technology layer of the EA is also undergoing revision to ensure compliance with the FEAF. However, the updated technology layer will outline the technologies necessary to support the applications that support the NRC business functions. The updated repository of NRC information will help the NRC to define how to best allocate resources and technology to meet NRC business needs.*
- B. Are all of the hardware, applications, and infrastructure requirements for this project included in the EA Technical Reference Model? If not, please explain.  
*Yes. All supporting hardware and software technologies are included in the TRM. After the TRM review, currently in progress, the format is likely to include specific reference to systems such as the GLTS.*

## 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)?

*NMSS has allocated .1 FTE for oversight of security issues related to all Office systems. In addition, the OCIO provides funding and support for the agency-wide local area network, which is a general support system providing security services to all NRC applications on the network.*

*The GLTS is a major application, however for all security requirements, it relies on the security 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?

*In FY04, NMSS has allocated \$12,100 (.1 FTE) for oversight of all Office systems, including the GLTS. In addition, the OCIO provides extensive support through network and IT infrastructure security. \$67K is allocated for operational security in FY04.*

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?

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?

*The first annual GISRA-required IT security review for GLTS was conducted in 2001, following NIST guidance. The 2002 self assessments were conducted in June 2002. Funds to update this plan in FY2005 have been included in the spending estimates.*

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.

*Certification and accreditation activities were completed in September and October, 2002. NIST approved processes were utilized. GLTS was formally accredited in October 2002. GLTS meets the criteria for NIST Level 5 compliance.*

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

*Testing of security controls was accomplished during system security certification testing in September 2002, in support of accreditation.*

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

*Yes; NRC has two online computer security training courses. All NRC users are required to complete a basic computer security awareness course. Rules of behavior are reviewed in that course. In addition, all ISSOs are required to complete an online ISSO course. The GLTS ISSO has completed this required course.*

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 system. 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?"

*The GLTS is a major application installed at NRC headquarters. For all security requirements, it relies on the security provided by the underlying NRC LAN general support system. A contractor provides technical assistance to GLTS users and staff.*

- 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 no public access to the GLTS. Access controls are addressed through the security services provided by the underlying general support system, local area network. This was tested during the GLTS system security certification testing completed in September 2002.*

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

*This issue is addressed in the security controls that are designed in the GLTS application and the security services provided by the NRC LAN general support system. The security controls to ensure the system properly handles personal information was verified during system security certification testing. (ST&E).*

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

*GLTS contains no personal information about individuals. A Privacy Impact Assessment is attached.*

## 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.

*The GLTS does not implement electronic transactions. Paper submissions are scanned and recorded in ADAMS, the NRC electronic records system, and data is entered through a combination of optical character recognition scanning and hand entry.*

*NMSS is awaiting approval of a Rule which will allow licensees in the near future to submit transactions electronically through the NRC Electronic Information Exchange (EIE). If the GLTS is not subsumed by a new system, there are plans to provide a Web interface for interaction with licensees.*

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

*NMSS's GPEA plan is current as of August 2002*

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

*OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment include:*

- 3150-0010
- 3150-0014
- 3150-0016
- 3150-0017
- 3150-0020
- 3150-0032

- **3150-0120 31**
- **3150-0028**
- **3150-0132**