OMB300 - Part I - General Questions

Date of Submission	9/2/2003		
Agency	Nuclear Regulatory Commission		
Bureau Number	00	Name of Investment	General License T...
Location in the Budget	N/A	Unique Investment Identifier	429-00-01-04-01-1...
Account Title	Salaries and Expenses	Initiation Date	5/5/1999
Account ID Code	31-0200-0-1-276	Planned Completion Date	9/30/2008
Program Activity	Nuclear Materials	This Investment Is	Steady State
		Investment/Useful Segment is Funded	Fully

Was this investment approved by OMB for previous Year Budget Cycle? ◉ yes ○ no

Did the Executive/Investment Review Committee approve funding for this investment this year? ◉ yes ○ no

Did the CFO review the cost goal? ◉ yes ○ no

Did the Procurement Executive review the acquisition strategy? ◉ yes ○ no

Did the Project Manager identified in Section 1.D review this exhibit? ◉ yes ○ no

Is this investment included in your agency's annual performance plan or multiple agency annual performance plans? ◉ yes ○ no

Does this investment support homeland security? ◉ yes ○ no

Indicate by corresponding number which homeland security mission area(s) this project supports: Defending Against Catastrophic Threats

Is this project information technology? ◉ yes ○ no

Information in this record was deleted in accordance with the Freedom of Information Act, exemptions 2,5
FOIA 2004-0167

A-6

a. Is this Project a Financial Management System? ◉ yes ○ no

Is so, does this project address a FFMIA compliance area? ○ yes ◉ no

b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)? ○ yes ◉ no

Does the project already provide an electronic option? ○ yes ◉ no

c. If the investment administers information in identifiable form about members of the public, was a privacy impact assessment submitted via PIA@omb.eop.gov with a unique project (investment) identifier? ◉ yes ○ no

d. Was this investment reviewed as part of the FY 2003 Federal Information Security Management Act review process? ◉ yes ○ no

d.1 If yes, were any weaknesses found? ◉ yes ○ no

d.2 Have the weaknesses been incorporated into the agency's corrective action plans? ◉ yes ○ no

e. Has this investment been identified as a national critical operation or asset by a Project Matrix review or other agency determination? ○ yes ◉ no

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 as above as national critical infrastructures? ○ yes ◉ no

f. Was this investment included in a Performance Assessment Rating Tool (PART) Review? ○ yes ◉ no

OMB300 - Part I - Summary of Spending for Project (Investment) Stages

(In Millions)

EXISTING 300	PY-1 and Earlier	PY 2003	CY 2004	[redacted]

5

Planning:					
Budgetary Resources	0	0	0	0	0
Outlays	0.09	0	0	0	0
Acquisition:					
Budgetary Resources	0.98	0	0	0	0
Outlays	1.16	0	0	0	0
TOTAL, Sum of Stages:					
Budgetary Resources	**0.98**	**0**	**0**	**0**	**0**
Outlays	**1.25**	**0**	**0**	**0**	**0**
Maintenance:					
Budgetary Resources	0.31	0.18	0.19	0.19	0.49
Outlays	0.46	0.49	0	0	0
TOTAL, ALL Stages:					
Budgetary Resources	**1.29**	**0.18**	**0.19**	**0.19**	**0.49**
Outlays	**1.71**	**0.49**	**0**	**0**	**0**
Government FTE Costs:					
	0	0.06	0.06	0.06	0.07

5

OMB300 - Part I - I.A Project Description

1. Provide a brief description of this project and its status through your capital planning and investment control (CPIC) or capital programming "control" review for the current cycle.

The 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 Title10, 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.

GLTS helps defend against catastrophic threats and protects critical infrastructure and key assets by supporting licensing and inspection activities to ensure that nuclear materials are properly protected by licensees. See I.A for additional details.

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

The NRC Critical Infrastructure Protection (CIP) Plan has been completed, which included a review of the agency's operations, functions and services. The review concluded that NRC has no national critical operations and services. NRC has been working with the Department of Homeland Security to complete a Project Matrix Review which will be completed in FY 2004.

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.

Financial Assumptions (from Spend Plan above)

Pre-development planning activities, such as business case preparation, were included in the FY99 development budget (included under Acquisition, below)

Column 1, PY-1 and Earlier, "Planning" includes $115K for maintenance in FY 2001. "Maintenance" includes $125K for maintenance, and $75K for a security plan, in FY 2002. Maintenance outlays includes $236K for maintenance in FY 2001. $153K for maintenance, and $75K for a security plan in FY 2002

Column FY03 "Maintenance" includes $100K for maintenance, $25K for security, $59K for Government FTE (.5 FTE)
Column FY04 "Maintenance" includes $100K for maintenance, $25K for security, $61K for Government FTE (.5 FTE)
Column FY05, "Maintenance" includes $100K for maintenance, $25K for security, $63K for Government FTE (.5 FTE)

5

15

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.

OMB300 - Part I - I.B Justification

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

NRC Goal #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.

1. We will confirm that licensees understand and carry out their primary responsibility for conducting activities consistent with the regulatory framework.

By improving tracking and accountability NSTS will :

a. *reduce the risk of radiation related deaths and illnesses caused by exposure to sources containing nuclear material; and*

b. *reduce the likelihood that these sources could be used for malevolent purposes*

NRC Goal #4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation.

1. We will continue to take a proactive role in strengthening safety, safeguards, and nonproliferation worldwide

By improving accountability NSTS will reduce the likelihood that sources could be brought into the U.S., or taken out of the country.

NRC Corporate Management Strategy 1: Employ innovative and sound business practices.

1. We will find new and better ways of doing business to increase effectiveness and efficiency of operations

The GLTS will integrate information on all transfers of devices, supporting retrieval from the perspective of vendors, recipients/licensees or device types.

NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.

1. We will make it easier for staff to acquire, access, and use information they need to perform their work..

The GLTS provides easy-to-use, online access to comprehensive device life cycle information

2. We will provide and maintain a robust, reliable, cost-effective, and "user friendly" information technology infrastructure that is driven by the agency business needs.

The GLTS was implemented in a modern technology platform suitable, facilitating integration with other NRC systems

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

Human Capital

GLTS facilitates the accomplishment of administrative tasks (e.g., recording, tracking) that must be performed by license reviewers and inspectors allowing them to better focus on their responsibilities in the area of nuclear materials safety. It supports efforts to capture and provide NRC staff with access to information that is relevant to the organizational mission.

Financial Performance

GLTS provides more accurate data on General Licensees than was available in the past thereby helping to provide a more efficient and equitable fees determination process.

Budget and Performance Integration

By providing better data on the costs and results related to the General Licensing process, GLTS improves the NRC's ability to ensure 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?

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 (the States to which the NRC has relinquished its authority for regulatory oversight of licensee activities) 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.

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.

7.a If this is a multi-agency initiative, discuss the partnering strategies you are implementing with the participating agencies and organizations.

N/A

8. How will 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.

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.

9.a Have these assets been reengineered as part of this project? ○ yes ◉ no

OMB300 - Part I - I.C Performance Goals and Measures (All Assets)

Agencies must use Table 1 below for reporting performance goals and measures for existing investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2004.

Table 1 (projects through 2004)

Fiscal Year: 2002

Strategic Goal(s) Supported

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.

Existing Baseline

Losses of control of licensed materials

Planned Performance Improvement Goal

No more than 300 losses of control of licensed material per year.

Actual Performance Improvement Results

In FY 2002, there were 272 losses of control of licensed material.

Planned Performance Metric

No more than 300 events are reported in FY 2002.

Actual Performance Metric Results

In FY 2002, 272 events were reported.

Fiscal Year 2003

Strategic Goal(s) Supported

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

Existing Baseline

Losses of control of licensed materials

Planned Performance Improvement Goal

No more than 300 losses of control of licensed material per year.

Actual Performance Improvement Results

Through 5/03, there have been 124 losses of control of licensed material

Planned Performance Metric

No more than 300 events are reported in FY 2003.

Actual Performance Metric Results

Through 5/03, 124 events have been reported

Fiscal Year 2004

Strategic Goal(s) Supported

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.

Existing Baseline

Losses of control of licensed materials

Planned Performance Improvement Goal

No more than 300 losses of control of licensed material per year.

Actual Performance Improvement Results

N/A

Planned Performance Metric

No more than 300 events are reported in FY 2004

Actual Performance Metric Results

N/A

All new IT investments that are development, modernization, or enhancement (DME) for 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model. The PRM Version 1.0, available at www.feapmo.gov, includes detailed guidance about how to incorporate PRM Indicators into the performance goals and measures table below. Please use the Table 2 and the PRM to identify the performance information that pertains to the major IT Investment. Ensure there is a complete tie-in to the strategic goals and objectives described in section I.B.1.

Table 2 (2005 and beyond)

Fiscal Year: 2005

Measurement Area

Mission and Business Results

Measurement Category

Regulatory Development

Measurement Indicator

Permits and Licensing

Baseline

Losses of control of licensed materials

Planned Improvements to the Baseline

N/A

Actual Results

N/A

Fiscal Year 2006

Measurement Area

Mission and Business Results

Measurement Category

Regulatory Development

Measurement Indicator

Permits and Licensing

Baseline

Losses of control of licensed materials

Planned Improvements to the Baseline

N/A

Actual Results

N/A

OMB300 - Part I - I.D Project Management

1. Is there a project manager assigned to the project? ◉ yes ○ no

If so what is the project manager's name:

Tom Essig-Business Area Project Manager/Joel Bristor Technical P...

1.a Identify the members, roles, qualifications, and contact information of the in-house and contract project managers for this project:

Tom Essig, Chief Materials Safety & Inspection Branch (MSIB), NMSS
Business Area Project Manager
B.S.-Applied Physics-Michigan Technical University
M.S.-Sanitary Engineering/Radiological Health-Washington State University
Certified Health Physicist
Member of Senior Executive Service
(301) 415-7231

Joel Bristor, Senior Systems Analyst
Technical Area Project Manager
M.S.-Information Science-American University
Relevant Experience-Project Management, Sybase DBA
Relevant Training-GLTS Deployment Platform Components (Powerbuilder and Sybase), Best Practices for Software Quality Assurance, Quality Control, and Configuration Management
Certified in NRC System Development Life Cycle Management Methodology
Certified as NRC Project Manager by Division of Contract Management
(301) 415-8037

2. Is there a contracting officer assigned to the project? ◉ yes ○ no

If so what is the contracting officer's name:

Sharon Stewart

3. Is there an integrated project team? ◉ yes ○ no

3.a If so, list the skill set represented.

Tom Essig-Business Area Project Manager
Joel Bristor, Senior System Analyst (Technical Project Manager)
William Ward, Mechanical Engineer (Business Area Representative)
Carolyn Boyle, Technical Assistance (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 for this project? ◉ yes ○ no

4.a If so, identify the sponsor/process owner by name and title.

Charles L. Miller

Sponsor Owner Contact Info:

Director, Division of Industrial and Medical Nuclear Safety (IMNS)301-415-7197

OMB300 - Part I - I.E Alternative Analysis (All Assets)

5

5

OMB300 - Part II - II.A Enterprise Architecture

II.A.1 Business

A. Is this investment 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).

A.1 Will this investment be consistent with your agency's "to be" modernization blueprint?

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.

B. Was this investment approved through the EA Review committee at your agency? ◉ yes ○ no

C. What are the major process simplification/reengineering/design projects that are required as part of this IT investment?

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 is conducting a major process improvement project, 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.

D. 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.

E. Please list all the Lines of Business and Sub-Functions from the FEA Business Reference Model that this IT investment supports.

Line of Business	Sub-Function
Regulatory Compliance and Enforcement	Permits and Licensing

Homeland Security	Catastrophic Defense
Environmental Management	Pollution Prevention and Control
Health	Illness Prevention
Regulatory Compliance and Enforcement	Inspections and Auditing
Controls and Oversight	Corrective Action
Information and Technology Management	Information Management

II.A.2 Data

A. What types of data will be used in this investment? Examples of data types are health data, geospatial data, natural resource data, etc.

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 investment already exist at the Federal, State, or Local level? If so, what are you 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 requirement to integrate NRC GLTS data with similar data in tracking systems used by the Agreement States.

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.

E. If this activity involves the acquisition, handling or storage of information that will be disseminated to the public or used to support information that will be disseminated to the public, explain how it will comply with your agency's Information Quality guidelines (Section 515 requirements)?

GLTS does not involve any information that will be disseminated to the public.

F. Managing business information means maintaining its authenticity, reliability, integrity, and usability and providing for its appropriate disposition. Address how the system will manage the business information (records) that it will contain throughout the information life cycle.

We manage business information in accordance with NRC Records Management and System Development Life Cycle Management Methodology Directives. System records are maintained in a protective environment accessible only by authorized NRC staff, or contractors, with proper access requirements. Additional protective measures are ensured with an applicable system security plan. The electronic records are maintained on-line throughout their entire life cycle, with system backups routinely created, in case of catastrophic loss. Efforts to schedule these records for GLTS are in progress and these records will be retained until disposition schedules are approved by the National Archives and Records Administration

II.A.3 Application, Components and Technology

A. Relation to Service Component Reference Model:

Logs each application and subsequent step in licensing process

Service Domain:	Process Automation Services
Service Type:	Tracking and Workflow
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Maintains case information for each licensee and their licensing and inspection history

Service Domain:	Process Automation Services
Service Type:	Tracking and Workflow
Component Name:	Case / Issue Management
Is this a new component?	no

A. Relation to Service Component Reference Model:

Links to ADAMS, the NRC electronic records system to associate licensing actions to correspondence

Service Domain:	Process Automation Services
Service Type:	Routing and Scheduling
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Allows search and display of licensing information

Service Domain:	Digital Asset Services
Service Type:	Knowledge Management
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Allows search and display of licensing information

Service Domain:	Digital Asset Services
Service Type:	Knowledge Management
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Tailorable ad hoc reports answer various in-house and FOIA reporting requests

Service Domain:	Business Analytical Services
Service Type:	Reporting
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Standard reports answer various workflow, productivity and other management needs

Service Domain:	Business Analytical Services
Service Type:	Reporting
Component Name:	Select...
Is this a new component?	no

A. Relation to Service Component Reference Model:

Allows search and display of licensing information

Service Domain:	Support Services
Service Type:	Search
Component Name:	Query
Is this a new component?	no

B. Technology included in the agency Technical Reference Model:

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.

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.

C. Relation to the Technical Reference Model:

The following are the most significant components identified in the Technical Reference Model that are included in GLTS.

Service Category:	Delivery Servers
Service Standard:	Application Servers
Service Specification:	Mainframe
Is this a new specification?	no

C. Relation to the Technical Reference Model:

The following are the most significant components identified in the Technical Reference Model that are included in GLTS.

Service Category:	Database / Storage
Service Standard:	Database
Service Specification:	Sybase
Is this a new specification?	no

C. Relation to the Technical Reference Model:

The following are the most significant components identified in the Technical Reference Model that are included in GLTS.

Service Category:	Software Engineering
Service Standard:	Software Configuration Management
Service Specification:	Select...
Is this a new specification?	no

C. Relation to the Technical Reference Model:

The following are the most significant components identified in the Technical Reference Model that are included in GLTS.

Service Category:	Software Engineering
Service Standard:	Test Management
Service Specification:	Select...
Is this a new specification?	no

In the fall of 2002, NMSS completed the first GISRA-required Security Plan, Risk Assessment, Business Continuity Plan (BCP), and Security Test and Evaluation (STE) Plan for GLTS. After these reports were finalized the STE was implemented (i.e., the System Security Plan was tested), and BCP training and testing took place. The date of the approved GLTS Security Plan is September 27, 2002.

The weaknesses found during the security review and self-assessments were corrected and in October 2002 the system was accredited at Level 5 of the National Institute of Standards and Technology (NIST) Federal Information Technology Security Assessment Framework.

B. Has the investment been certified and accredited (C&A)? Additionally, specify the C&A methodology used 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 or project, including intrusion detection monitoring and audit log reviews? Are incidents reported to DHS' 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 validate by the agency?

No. The GLTS is installed at NRC headquarters and operated by NRC staff. For most security requirements, it relies on the security provided by the underlying NRC LAN general support system.

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 at PIA@omb.eop.gov.

yes

OMB300 - Part II - II.C Government Paperwork Elimination Act (GPEA)

II.C.1 If this investment 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 G LTS 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 electonic conversion from your GPEA plan? 8/1/2002

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
- 3150-0028
- 3150-0132

D. Will the application leverage existing components and/or applications across the Government? If so, please describe.

GLTS does not currently leverage other Government components.

E. Financial Management Systems and Projects, as indicated in Part One, must be mapped to the agency's financial management system inventory provided annually to OMB. Please identify the system name(s) and system acronym(s) as reported in the most recent systems inventory update required by Circular A-11 Section 52.4.

N/A

OMB300 - Part II - II.B Security and Privacy

II.B.1 How is security provided and funded for this project?

NMSS has allocated funds for GLTS security. 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 most 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 IT security for this investment in FY 2005?

[redacted]

2

II.B.2 Please describe how the investment (system/application) meets the following security requriements of the Federal Information Security Management Act, OMB policy, and NIST guidelines:

A. Does the investment (system/application) have an up-to-date security plan that meets the requirements of OMB policy and NIST guidelines? 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. Weaknesses were found in the areas of business continuity planning, ISSO assignment, and rules of use/behavior.