

SOLICITATION/CONTRACT/ORDER FOR COMMERCIAL ITEMS <small>OFFEROR TO COMPLETE BLOCKS 12, 17, 23, 24, & 30</small>				1. REQUISITION NUMBER FSME-14-0080		PAGE OF 1 25	
2. CONTRACT NO. NRC-DR-33-10-324		3. AWARD/ EFFECTIVE DATE 08/26/2014		4. ORDER NUMBER NRC-HQ-55-14-0-0002		5. SOLICITATION NUMBER	
7. FOR SOLICITATION INFORMATION CALL:		a. NAME HERIBERTO COLON		b. TELEPHONE NUMBER (No collect calls) 301-287-0873		8. OFFER DUE DATE/LOCAL TIME	
9. ISSUED BY U.S. NRC - HQ Acquisition Management Division Mail Stop: 3WFN-05-C64MP Washington DC 20555-0001				10. THIS ACQUISITION IS <input checked="" type="checkbox"/> UNRESTRICTED OR <input type="checkbox"/> SET ASIDE: % FOR: <input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> WOMEN-OWNED SMALL BUSINESS <input type="checkbox"/> HUBZONE SMALL BUSINESS <input type="checkbox"/> (WOSB) ELIGIBLE UNDER THE WOMEN-OWNED <input type="checkbox"/> EDWOSB SMALL BUSINESS PROGRAM <input type="checkbox"/> SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS <input type="checkbox"/> 8(A) NAICS: 541519 SIZE STANDARD: \$25.5			
11. DELIVERY FOR FOB DESTINATION UNLESS BLOCK IS MARKED <input type="checkbox"/> SEE SCHEDULE		12. DISCOUNT TERMS		13a. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700) <input type="checkbox"/>		13b. RATING	
15. DELIVER TO U.S. Nuclear Regulatory Commission- Mail Processing Center 4930 Boiling Brook Parkway Rockville MD 20852		CODE NRCHQ		16. ADMINISTERED BY U.S. NRC - HQ Acquisition Management Division Mail Stop: 3WFN-05-C64MP Washington DC 20555-0001		CODE NRCHQ	
17a. CONTRACTOR/ OFFEROR AEGIS.NET INC Attn: MONICA HOLZLE 42 READS WAY NEW CASTLE DE 197201649		CODE 152858358 FACILITY CODE		18a. PAYMENT WILL BE MADE BY U.S. Nuclear Regulatory Commission One White Flint North 11555 Rockville Pike Mailstop O3-E17A Rockville MD 20852-2738			
17b. CHECK IF REMITTANCE IS DIFFERENT AND PUT SUCH ADDRESS IN OFFER				18b. SUBMIT INVOICES TO ADDRESS SHOWN IN BLOCK 18a UNLESS BLOCK BELOW IS CHECKED <input type="checkbox"/> SEE ADDENDUM			
19. ITEM NO.	20. SCHEDULE OF SUPPLIES/SERVICES			21. QUANTITY	22. UNIT	23. UNIT PRICE	24. AMOUNT
	GSA Contract #: GS35F0125S The contractor shall provide Independent Verification and Validation (IV&V) support for the development of Version 4.0 of the Web-Based Licensing system (WBL) as described on the attached Statement of Work (SOW). This version adds a WBL module to replace the General License Tracking System (GLTS). This BPA Call confirms the previous Contracting Officer email authorization provided to AEGIS to (Use Reverse and/or Attach Additional Sheets as Necessary)						
25. ACCOUNTING AND APPROPRIATION DATA 2014-X0200-FEEBASED-55-55D099-34-2-156-F1269-252A						26. TOTAL AWARD AMOUNT (For Govt. Use Only) \$198,574.00	
<input type="checkbox"/> 27a. SOLICITATION INCORPORATES BY REFERENCE FAR 52.212-1, 52.212-4, FAR 52.212-3 AND 52.212-5 ARE ATTACHED. ADDENDA <input type="checkbox"/> ARE <input type="checkbox"/> ARE NOT ATTACHED. <input type="checkbox"/> 27b. CONTRACT/PURCHASE ORDER INCORPORATES BY REFERENCE FAR 52.212-4, FAR 52.212-5 IS ATTACHED. ADDENDA <input type="checkbox"/> ARE <input type="checkbox"/> ARE NOT ATTACHED.							
<input type="checkbox"/> 28. CONTRACTOR IS REQUIRED TO SIGN THIS DOCUMENT AND RETURN COPIES TO ISSUING OFFICE. CONTRACTOR AGREES TO FURNISH AND DELIVER ALL ITEMS SET FORTH OR OTHERWISE IDENTIFIED ABOVE AND ON ANY ADDITIONAL SHEETS SUBJECT TO THE TERMS AND CONDITIONS SPECIFIED.				<input type="checkbox"/> 29. AWARD OF CONTRACT: REF. _____ OFFER DATED _____ YOUR OFFER ON SOLICITATION (BLOCK 5), INCLUDING ANY ADDITIONS OR CHANGES WHICH ARE SET FORTH HEREIN, IS ACCEPTED AS TO ITEMS:			
30a. SIGNATURE OF OFFEROR/CONTRACTOR 				31a. UNITED STATES OF AMERICA (SIGNATURE OF CONTRACTING OFFICER) 			
30b. NAME AND TITLE OF SIGNER (Type or print) Tom Lourenco Vice President		30c. DATE SIGNED 9/19/2014		31b. NAME OF CONTRACTING OFFICER (Type or print) HERIBERTO COLON		31c. DATE SIGNED 9/23/2014	

TEMPLATE - ADMIN

SUNSI REVIEW COMPLETE

MAY 01 2015

ADM002

19. ITEM NO.	20. SCHEDULE OF SUPPLIES/SERVICES	21. QUANTITY	22. UNIT	23. UNIT PRICE	24. AMOUNT
00001	<p>commence work on August 26, 2014 with an initial not-to-exceed amount of \$20,000.00. Period of Performance: 08/26/2014 to 05/17/2015</p> <p>Labor</p> <p>The obligated amount of award: \$100,000.00. The total for this award is shown in box 26.</p>				198,574.00

32a. QUANTITY IN COLUMN 21 HAS BEEN

☐ RECEIVED ☐ INSPECTED ☐ ACCEPTED, AND CONFORMS TO THE CONTRACT, EXCEPT AS NOTED: _____

32b. SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE		32c. DATE	32d. PRINTED NAME AND TITLE OF AUTHORIZED GOVERNMENT REPRESENTATIVE	
32e. MAILING ADDRESS OF AUTHORIZED GOVERNMENT REPRESENTATIVE			32f. TELEPHONE NUMBER OF AUTHORIZED GOVERNMENT REPRESENTATIVE	
			32g. E-MAIL OF AUTHORIZED GOVERNMENT REPRESENTATIVE	
33. SHIP NUMBER	34. VOUCHER NUMBER	35. AMOUNT VERIFIED CORRECT FOR	36. PAYMENT <input type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL	37. CHECK NUMBER
<input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL				
38. S/R ACCOUNT NUMBER	39. S/R VOUCHER NUMBER	40. PAID BY		
41a. I CERTIFY THIS ACCOUNT IS CORRECT AND PROPER FOR PAYMENT		42a. RECEIVED BY (Print)		
41b. SIGNATURE AND TITLE OF CERTIFYING OFFICER		41c. DATE	42b. RECEIVED AT (Location)	
			42c. DATE REC'D (YY/MM/DD)	42d. TOTAL CONTAINERS

SECTION B - Supplies or Services/Prices

1. PRICE SCHEDULE

IV&V Support - 08/04/2014-05/17/2015					
Item Number	Descriptions	Estimated Quantity	Unit	Unit Price	Price/Cost
BPA Year 5 Rates					
00001AA	IV&V Process Manager		Hour		
00001AB	IV&V Technical Specialist		Hour		
	Totals:		Hours		\$198,574.00

2. NRCB010 BRIEF PROJECT TITLE AND WORK DESCRIPTION

(a) The title of this project is: Independent Verification and Validation (IV&V) for **General License Tracking System (GLTS) Replacement – Phase 1**

(b) Summary work description: This IV&V effort will provide contractor support the design phase and first development phase of the project for replacing the GLTS with a new module (WBL v4.0) within the Web-Based Licensing system (WBL).

3. NRCB050 CONSIDERATION AND OBLIGATION-TASK ORDERS

(a) The ceiling of this order for services is **\$198,574.00**.

(b) This order is subject to the minimum and maximum ordering requirements set forth in the contract.

(c) The amount presently obligated with respect to this order is **\$100,000.00**. The obligated amount shall, at no time, exceed the order ceiling as specified in paragraph (a) above. When and if the amount(s) paid and payable to the Contractor hereunder shall equal the obligated amount, the Contractor shall not be obligated to continue performance of the work unless and until the Contracting Officer shall increase the amount obligated with respect to this order, in accordance with FAR Part 43 - Modifications. Any work undertaken by the Contractor in excess of the obligated amount specified above is done so at the Contractor's sole risk and may not be reimbursed by the Government.

(d) The Contractor shall comply with the provisions of FAR 52.232-22 - Limitation of Funds, for incrementally-funded delivery orders or task orders.

SECTION C - Description/Specifications

Refer to **ATTACHMENT 1 – STATEMENT OF WORK**

SECTION D - Packaging and Marking

4. NRCD020 BRANDING

The Contractor is required to use the statement below in any publications, presentations, articles, products, or materials funded under this contract/order, to the extent practical, in order to provide NRC with recognition for its involvement in and contribution to the project. If the work performed is funded entirely with NRC funds, then the contractor must acknowledge that information in its documentation/presentation.

Work Supported by the U.S. Nuclear Regulatory Commission (NRC), Office of Nuclear Material Safety and Safeguards (NMSS), under Contract/order number NRC-DR-33-10-324

5. NRCD010 PACKAGING AND MARKING

(a) The Contractor shall package material for shipment to the NRC in such a manner that will ensure acceptance by common carrier and safe delivery at destination. Containers and closures shall comply with the Surface Transportation Board, Uniform Freight Classification Rules, or regulations of other carriers as applicable to the mode of transportation.

(b) On the front of the package, the Contractor shall clearly identify the contract number under which the product is being provided.

(c) Additional packaging and/or marking requirements are as follows: **N/A**

SECTION E - Inspection and Acceptance

6. NRCE010 INSPECTION AND ACCEPTANCE BY THE NRC (SEP 2013)

Inspection and acceptance of the deliverable items to be furnished hereunder shall be made by the NRC Contracting Officer's Representative (COR) at the destination, accordance with FAR 52.247-34 - F.o.b. Destination.

Contract Deliverables:

1. See the deliverable schedule located in **ATTACHMENT 1 – STATEMENT OF WORK.**

SECTION F - Deliveries or Performance

7. NRCF032 TASK/DELIVERY ORDER PERIOD OF PERFORMANCE (SEP 2013)

This order shall commence on **August 26, 2014** and will expire on **May 17, 2015**.

8. NRCF010 PLACE OF DELIVERY-REPORTS

The items to be furnished hereunder shall be delivered electronically to the Contracting Officer Representative.

SECTION G - Contract Administration Data

NRCG030 ELECTRONIC PAYMENT (SEP 2014)

The Debt Collection Improvement Act of 1996 requires that all payments except IRS tax refunds be made by Electronic Funds Transfer. Payment shall be made in accordance with FAR 52.232-33, entitled "Payment by Electronic Funds-Central Contractor Registration".

To receive payment, the contractor shall prepare invoices in accordance with NRC's Billing Instructions. Claims shall be submitted on the payee's letterhead, invoice, or on the Government's Standard Form 1034, "Public Voucher for Purchases and Services Other than Personal," and Standard Form 1035, "Public Voucher for Purchases Other than Personal – Continuation Sheet." The preferred method of submitting invoices is electronically to: NRCPayments@nrc.gov.

9. 2052.215-71 CONTRACTING OFFICER REPRESENTATIVE AUTHORITY. (OCT 1999)

(a) The contracting officer's authorized representative hereinafter referred to as the Contracting Officer Representative for this contract is:

Name: **Joel Bristor**

Email: Joel.Bristor@nrc.gov

Telephone Number: **301-415-8037**

(b) Performance of the work under this contract is subject to the technical direction of the NRC project officer. The term technical direction is defined to include the following:

(1) Technical direction to the contractor which shifts work emphasis between areas of work or tasks, authorizes travel which was unanticipated in the Schedule (i.e., travel not contemplated in the Statement of Work or changes to specific travel identified in the Statement of Work), fills in details, or otherwise serves to accomplish the contractual statement of work.

(2) Provide advice and guidance to the contractor in the preparation of drawings, specifications, or technical portions of the work description.

(3) Review and, where required by the contract, approve technical reports, drawings, specifications, and technical information to be delivered by the contractor to the Government under the contract.

(c) Technical direction must be within the general statement of work stated in the contract. The Contracting Officer Representative does not have the authority to and may not issue any technical direction which:

(1) Constitutes an assignment of work outside the general scope of the contract.

(2) Constitutes a change as defined in the "Changes" clause of this contract.

(3) In any way causes an increase or decrease in the total estimated contract cost, the fixed fee, if any, or the time required for contract performance.

(4) Changes any of the expressed terms, conditions, or specifications of the contract.

(5) Terminates the contract, settles any claim or dispute arising under the contract, or issues any unilateral directive whatever.

(d) All technical directions must be issued in writing by the project officer or must be confirmed by the Contracting Officer Representative in writing within ten (10) working days after verbal issuance. A copy of the written direction must be furnished to the contracting officer. A copy of NRC Form 445, Request for Approval of Official Foreign Travel, which has received final approval from the NRC must be furnished to the contracting officer.

(e) The contractor shall proceed promptly with the performance of technical directions duly issued by the Contracting Officer Representative in the manner prescribed by this clause and within the Contracting Officer Representative's authority under the provisions of this clause.

(f) If, in the opinion of the contractor, any instruction or direction issued by the Contracting Officer Representative is within one of the categories defined in paragraph (c) of this section, the contractor may not proceed but shall notify the contracting officer in writing within five (5) working days after the receipt of any instruction or direction and shall request that contracting officer to modify the contract accordingly. Upon receiving the notification from the contractor, the contracting officer shall issue an appropriate contract modification or advise the contractor in writing that, in the contracting officer's opinion, the technical direction is within the scope of this article and does not constitute a change under the "Changes" clause.

(g) Any unauthorized commitment or direction issued by the Contracting Officer Representative may result in an unnecessary delay in the contractor's performance and may even result in the contractor expending funds for unallowable costs under the contract.

(h) A failure of the parties to agree upon the nature of the instruction or direction or upon the contract action to be taken with respect to the instruction or direction is subject to 52.233-1 - Disputes.

(i) In addition to providing technical direction as defined in paragraph (b) of the section, the Contracting Officer Representative shall:

(1) Monitor the contractor's technical progress, including surveillance and assessment of performance, and recommend to the contracting officer changes in requirements.

(2) Assist the contractor in the resolution of technical problems encountered during performance.

(3) Review all costs requested for reimbursement by the contractor and submit to the

contracting officer recommendations for approval, disapproval, or suspension of payment for supplies and services required under this contract.

SECTION H - Special Contract Requirements

10. NRCH470 GREEN PURCHASING (SEP 2013)

(a) In furtherance of the sustainable acquisition goals included in Executive Order 13514, "Federal Leadership in Environmental, Energy, and Economic Performance," products and services acquired under this contract/order shall be energy-efficient (Energy Star or Federal Energy Management Program (FEMP) designated), water-efficient, bio-based, environmentally preferable (e.g., Electronic Product Environmental Assessment Tool (EPEAT) certified), non-ozone depleting, recycled content, and non-toxic or less toxic alternatives, to the maximum extent practicable in meeting NRC contractual requirements.

(b) See NRC's Green Purchasing Plan (GPP) at:
<http://pbadupws.nrc.gov/docs/ML1219//ML12191A130.pdf> and the General Service Administration's (GSA) Green Procurement Compilation at:
<http://www.gsa.gov/portal/content/198257>.

(c) The contractor shall flow down this clause into all subcontracts and other agreements that relate to performance of this contract/order.

11. NRCH440 CONTRACTOR RESPONSIBILITY FOR PROTECTING PERSONALLY IDENTIFIABLE INFORMATION (PII)

In accordance with the Office of Management and Budget's guidance to Federal agencies and the Nuclear Regulatory Commission's (NRC) implementing policy and procedures, a contractor (including subcontractors and contractor employees), who performs work on behalf of the NRC, is responsible for protecting, from unauthorized access or disclosure, personally identifiable information (PII) that may be provided, developed, maintained, collected, used, or disseminated, whether in paper, electronic, or other format, during performance of this contract.

A contractor who has access to NRC owned or controlled PII, whether provided to the contractor by the NRC or developed, maintained, collected, used, or disseminated by the contractor during the course of contract performance, must comply with the following requirements:

(1) General. In addition to implementing the specific requirements set forth in this clause, the contractor must adhere to all other applicable NRC guidance, policy and requirements for the handling and protection of NRC owned or controlled PII. The contractor is responsible for making sure that it has an adequate understanding of such guidance, policy and requirements.

(2) Use, Ownership, and Nondisclosure. A contractor may use NRC owned or controlled PII solely for purposes of this contract, and may not collect or use such PII for any purpose outside the contract without the prior written approval of the NRC Contracting Officer. The contractor must restrict access to such information to only those contractor employees who need the information to perform work under this contract, and must ensure that each such contractor employee (including subcontractors'

employees) signs a nondisclosure agreement, in a form suitable to the NRC Contracting Officer, prior to being granted access to the information. The NRC retains sole ownership and rights to its PII. Unless the contract states otherwise, upon completion of the contract, the contractor must turn over all PII in its possession to the NRC, and must certify in writing that it has not retained any NRC owned or controlled PII except as otherwise authorized in writing by the NRC Contracting Officer.

(3) **Security Plan.** When applicable, and unless waived in writing by the NRC Contracting Officer, the contractor must work with the NRC to develop and implement a security plan setting forth adequate procedures for the protection of NRC owned or controlled PII as well as the procedures which the contractor must follow for notifying the NRC in the event of any security breach. The plan will be incorporated into the contract and must be implemented and followed by the contractor once it has been approved by the NRC Contracting Officer. If the contract does not include a security plan at the time of contract award, a plan must be submitted for the approval of the NRC Contracting Officer within 30 days after contract award.

(4) **Breach Notification.** The contractor must immediately notify the NRC Contracting Officer and the NRC Contracting Officer's Representative (COR) upon discovery of any suspected or confirmed breach in the security of NRC owned or controlled PII.

(5) **Legal Demands for Information.** If a legal demand is made for NRC owned or controlled PII (such as by subpoena), the contractor must immediately notify the NRC Contracting Officer and the NRC Contracting Officer's Representative (COR). After notification, the NRC will determine whether and to what extent to comply with the legal demand. The Contracting Officer will then notify the contractor in writing of the determination and such notice will indicate the extent of disclosure authorized, if any. The contractor may only release the information specifically demanded with the written permission of the NRC Contracting Officer.

(6) **Audits.** The NRC may audit the contractor's compliance with the requirements of this clause, including through the use of online compliance software.

(7) **Flow-down.** The prime contractor will flow this clause down to subcontractors that would be covered by any portion of this clause, as if they were the prime contractor.

(8) **Remedies:**

(a) The contractor is responsible for implementing and maintaining adequate security controls to prevent the loss of control or unauthorized disclosure of NRC owned or controlled PII in its possession. Furthermore, the contractor is responsible for reporting any known or suspected loss of control or unauthorized access to PII to the NRC in accordance with the provisions set forth in Article 4 above.

(b) Should the contractor fail to meet its responsibilities under this clause, the NRC reserves the right to take appropriate steps to mitigate the contractor's violation of this clause. This may include, at the sole discretion of the NRC, termination of the subject contract.

(9) **Indemnification.** Notwithstanding any other remedies available to the NRC, the

contractor will indemnify the NRC against all liability (including costs and fees) for any damages arising out of violations of this clause.

12. NRCH340 COMPLIANCE WITH U.S. IMMIGRATION LAWS AND REGULATIONS

NRC contractors are responsible to ensure that their alien personnel are not in violation of United States immigration laws and regulations, including employment authorization documents and visa requirements. Each alien employee of the Contractor must be lawfully admitted for permanent residence as evidenced by Permanent Resident Form I-551 (Green Card), or must present other evidence from the U.S. Department of Homeland Security/U.S. Citizenship and Immigration Services that employment will not affect his/her immigration status. The U.S. Citizenship and Immigration Services provides information to contractors to help them understand the employment eligibility verification process for non-US citizens. This information can be found on their website, <http://www.uscis.gov/portal/site/uscis>.

The NRC reserves the right to deny or withdraw Contractor use or access to NRC facilities or its equipment/services, and/or take any number of contract administrative actions (e.g., disallow costs, terminate for cause) should the Contractor violate the Contractor's responsibility under this clause.

SECTION I - Contract Clauses

Refer to the GSA FSS Contract GS-35-F-0125S and Blanket Purchase Agreement
NRC-DR-33-10-324

SECTION J - List of Documents, Exhibits and Other Attachments

ATTACHMENT	DESCRIPTION	NUMBER OF PAGES
1	Statement of Work	9 pages

Statement of Work

Independent Verification and Validation for GLTS Replacement - Phase 1

1. INTRODUCTION

Within the Nuclear Regulatory Commission (NRC), the Office of Federal and State Materials and Environmental Management Programs (FSME) develops, implements and oversees the regulatory framework for industrial, commercial, and medical uses of radioactive materials, uranium recovery activities and the decommissioning of previously operating nuclear facilities and power plants. In addition, FSME conducts extensive environmental assessments in support of these regulatory functions.

2. OBJECTIVE

FSME utilizes numerous information systems to support its mission. Independent Verification and Validation (IV&V) services are critical to the FSME approach to systems planning, development, and maintenance. The purpose of support under this task order is to ensure that FSME systems development related to Phase 1 of replacement of the General License Tracking System (GLTS) is done in compliance with contractual requirements and fully satisfies stated FSME requirements. FSME plans to apply a modified Agile Scrum approach to this effort to best address uncertain continuity of development funding. This task order shall provide IV&V support for Phase 1 of the replacement effort, covering approximately half of the functional scope.

3. SCOPE

The contractor shall provide all personnel, materials, hardware, software, labor, supplies, equipment, travel, and other direct costs necessary to accomplish the performance of the tasks described below. Support will cover the design phase and first development phase of the project for replacing the GLTS with a new module (WBL v4.0) within the Web-Based Licensing system (WBL).

4. PERIOD OF PERFORMANCE

The period of performance for this task order is **August 26, 2014 - May 17, 2015**.

5. CONTRACTOR POINT OF CONTACT

The contractor shall designate a technical point of contact for this IV&V support. This person shall coordinate all needed resources and report to the NRC Contracting Officer's Representative (COR).

5.1 Key Personnel

None

5.2 System Specific Contractor Capabilities

The contractor shall provide personnel with appropriate expertise, certifications and experience in the following technologies applicable to replacement of the GLTS. This level of support is required to avoid disruption related to disputes over the technical accuracy of IV&V contractor assessments.

System	Technologies requiring technical expertise within the IV&V contractor team
Legacy GLTS	PowerBuilder, Sybase, IBM Rational Team Concert, Quality Manager, and Functional Tester.
WBL v4.0 (adding GL module)	Microsoft .NET web forms, Visual Basic, Telerik user interface controls, SQL Server, Structured Query Language, IBM Rational Team Concert, Quality Manager, Functional Tester, and Agile Development.

6. PLACE OF PERFORMANCE AND AVAILABILITY

The NRC requires that IV&V contractor personnel supporting this task order provide onsite support for no less than 70% of the effort. The COR will meet monthly with the contractor to assess compliance with this need. Currently, FSME can provide office space for one contractor FTE supporting this task order. The contractor shall provide office space for any further personnel and ensure that they are readily available by telephone and NRC email. The contractor shall also ensure that all contractor labor hours are worked between 7:00 a.m. and 5:00 p.m. unless otherwise directed by the COR.

7. TRAVEL REQUIREMENTS

Support under this task order will only require local travel to offices of other contractors providing software development services. Travel cost will not be reimbursed.

8. SUPPORT ACTIVITIES

The following table provides a high level overview of planned activities related to the GLTS replacement support needed for the phases covered under this task order.

The following is a list of base contract support categories applicable to this task order

- | |
|---|
| 8.2 Lifecycle Project Review (by project phase) |
| 8.2.1 Project Planning |
| 8.2.1.1 Requirements Definition |
| 8.2.1.2 Business Case Review |
| 8.2.1.3 Project Schedule, Cost, and Spending Plan Reasonableness Assessments |
| 8.2.1.4 Review and Support in Developing Standards and Guidelines Related to Development and Maintenance of NRC Systems |
| 8.2.2 Project Execution |
| 8.2.2.2 Functional Gap Analysis |
| 8.2.2.3 Requirements Validation |
| 8.2.2.4 Design Review |
| 8.2.3 Project Controlling |
| 8.2.3.1 Review Project Performance Monitoring |
| 8.2.3.2 Review of Software Developer Contractor Deliverables |
| 8.2.3.3 Technical Code Audits |

8.2.3.4 User Acceptance Testing
8.2.3.6 System Security Accreditation Support

9. DELIVERABLES

All reports shall comply with prevailing NRC formatting standards found in MD3.57 – Correspondence Management [http://www.internal.nrc.gov/ADM/DAS/cag/Management_Directives/md3.57.pdf]. Draft and final versions of reports shall be developed and delivered as directed by the Contract Officer's Representative. All reports and other deliverables shall be delivered prior to the end of this period of performance.

Estimated dates below are approximate and are based on schedules proposed by development contractors and tentative maintenance plans.

Deliverable	Estimated dates or Frequency*
Updates to the OMB Exhibit 300 and related IT Dashboard project data for this aspect of the ISMP investment	Monthly
For one annual update cycle, draft and final updates of all required artifacts attached to the OMB Exhibit 300 investment record for this aspect of the ISMP investment. These documents include the following: <ul style="list-style-type: none"> Alternative Analysis Risk management Plan Risk register Security Documentation Performance Metrics 	Once
Status summary (email sufficient) from review of development contractor updates to integrated schedule and IV&V application of NRC schedule updates	Monthly
Status report (email sufficient) from review of development contractor configuration management and testing practices (including audits of Rational data stores)	Twice monthly at random times
Draft and final Report of Findings (RoF) for development contractor Summary of Findings from requirements validation process	September 2014
Draft and final mark-ups to Word extracts from requirements needing edits from validation process	September 2014
Draft and final RoF from review of Project Risk Management Plan	August/September 2014
Draft and final RoF from review of Software Development Plan	August/September 2014
Draft and final RoF from review of Database Design	September 2014
Draft and final RoF from review of general software Design Models	September 2014
Draft and final RoF from review of System Architecture Document	October 2014
Draft and final RoF from review of Deployment Plan	August/September 2014
Draft and final RoF from review of System Test Plan	December 2014
Draft and final RoF from review of Security Risk Assessment documentation	August 2014
Draft and final RoF from review of System Security Plan	August 2014
Draft and final RoF from review of Contingency Plan	December 2014
Draft and final RoF from review of System Test Scripts for iteration 1	October 2014
Draft and final RoF from review of System Test Scripts for iteration 2	January 2015
Draft and final RoF from review of System Test Scripts for iteration 3	March 2015
Draft and final RoF from review of System Test Scripts for iteration 4	May 2015
Draft and final RoF from first and second review and testing of iteration 1	November 2014

NRC-DR-33-10-324
NRC-HQ-55-14-O0002

Draft and final RoF from first and second review and testing of iteration 2	February 2015
Draft and final RoF from first and second review and testing of iteration 3	April 2015
Draft and final RoF from first and second review and testing of iteration 4	May 2015
Draft and one final edition of User Acceptance Test Plan	September 2014
Draft and final RoF from first review of user support materials	March 2015
Draft and final RoF from first review of operational support materials	March 2015

- *Estimated dates are subject to change as agreed to by the NRC COR*

System Fact Sheet – General License Tracking System (GLTS)

Primary System Classification

Item Tracking

Secondary System Classification(s)

Credential Tracking, Inspection Tracking

Platform

GLTS is a PC application written in PowerBuilder v6.5. It accesses a Sybase Adaptive Server Enterprise v12 database running on an IBM RS6000 Unix server.

Description

The main purpose of GLTS is to track devices that contain certain radioactive material to ensure that they have not been mishandled or disposed of improperly. In essence, GLTS is an “item tracking system” where devices are the item being tracked. GLTS tracks: what devices have been distributed, what isotopes they contain, who currently owns them, where they are located, and the complete ownership history of the device throughout its typical life-cycle from distributor to general licensee (GL) to disposal facility. It also tracks atypical transfers such as: NRC GL to a NRC GL; NRC GL to an Agreement State GL; NRC GL to a specific licensee; NRC GL back to a distributor; NRC GL to a foreign country (export); and NRC GL to a lost, stolen, or destroyed status. GLTS gets this ownership transfer information from vendor transfer reports, general licensee transfer notifications, and an annual general licensee registration.

GLTS also maintains important address and contact information about the general licensees that own devices and the specific licensees that distribute or receive devices. GLTS only tracks general licensees that are in the NRC States and Federal facilities. The specific licensees in GLTS, however, may be from any state since distributors and receivers of devices can be located in Agreement States as well as NRC States¹. The repository of general licensee information is the ‘Credential Tracking’ portion of GLTS. There is no physical license ever issued to a general licensee so what GLTS tracks is the implied, location-specific license

¹ GLTS does not contain a national, all-inclusive list of specific licensees since there are other types of specific licensees unrelated to the distributing or receiving of devices.

granted to the general licensee for use of the device. This system does not track any type of license application process since there is no such process for general licenses.

GLTS also provides some inspection tracking capabilities. The inspection features in GLTS are used to associate general licensees with planned and completed physical inspections. Planned inspections are entered into the system ahead of time and given a future inspection due date. Once the inspection is completed, the inspection report number, accession number, completion date, and inspection comments are entered. Inspection details such as item level violations, remediation actions, and enforcement actions are not tracked in GLTS, but the inspection report number and accession number provide GLTS users with a way to cross-reference to other sources that may contain these further details².

² Currently, the NRC regional offices do not have access to GLTS so its inspection capabilities are not being used.

The use case diagram in Figure 1 – General License Tracking System provides a visual representation of the discussion in the sub-sections below.

Major Features

- Maintains detailed information about devices, models, vendors, general licensees, inspections and their relationships
- Collects vendor and general licensee transfer information used to update device ownership and location information
- Generates general licensee registration forms used to gather device ownership information
- Tracks the progress of the registration mailings and responses
- Imports returned registration responses via Optical Character Recognition (OCR) technology and automatically generates the appropriate device transfers
- Generates Requests For Information (RFIs) to get valid/updated information from the proper source whenever incomplete transfer or registration data is provided
- Maintains a history of where devices have been and what changes have occurred to vendors and general licensees
- Provides easy look-up of GLTS information through general searches, standard reports, and ad-hoc reports

User Roles

There are several distinct user roles in GLTS³.

- Program Manager⁴ – The Program Manager can perform all the functions that the other roles can perform and can validate registration criteria, create acknowledgement letters, maintain user accounts, and maintain the system look-up codes.
- GLTS Clerk⁵ – The GLTS Clerk performs most of the daily data entry activities in GLTS. This user enters the vendor and general licensee transfer information, generates registration packets, generates RFIs, uploads registration responses, enters RFI response data, and maintains basic device, model, vendor, general licensee, and inspection data.
- Fee Clerk – The Fee Clerk maintains general licensee billing information such as fee category, fee status, and billing address. This user has the same viewing and reporting capabilities as the General User.
- Inspector – The Inspector has the ability to maintain the inspection information in GLTS and to generate ad-hoc reports. This user has the same viewing and reporting capabilities as the General User and mainly runs inspection related reports.

³ GLTS does not currently implement all of these roles correctly. The user roles presented here describe the way the roles should work as defined in the GLTS requirements.

⁴ The 'Contract Program Manager' and 'System Administrator' roles discussed in the GLTS requirements have been combined into the Program Manager role for the purposes of this paper since they all have nearly identical capabilities.

⁵ The GLTS Clerk role is referred to as the 'Contractor' role in the GLTS requirements.

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- Management – The Management role primarily uses GLTS for general searches and reports. This user has the same viewing and reporting capabilities as the General User and can also maintain inspection information and generate ad-hoc reports.
 - General User – The General User can view basic GLTS information and can run the standard reports.

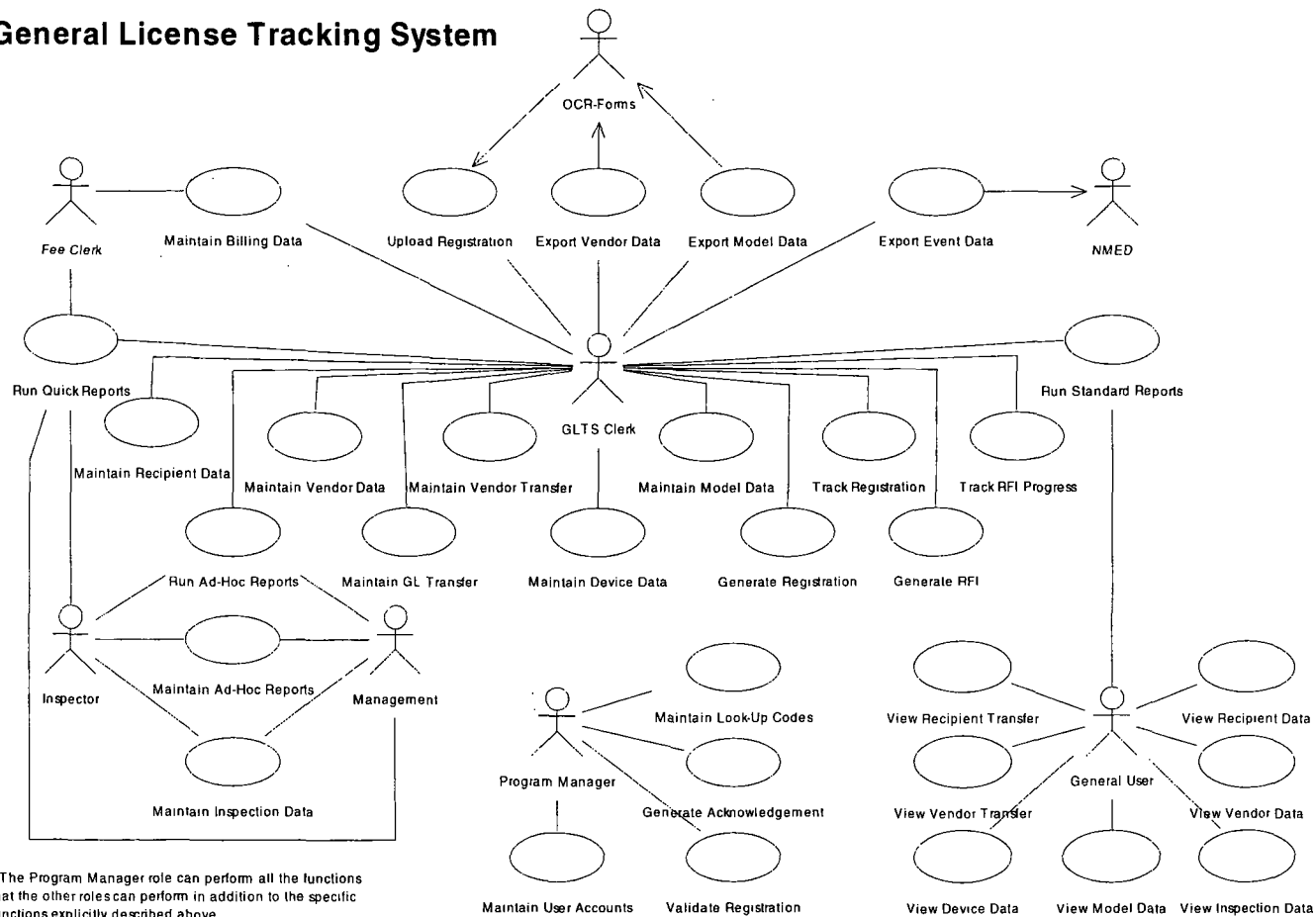
Current Integration Points

GLTS currently integrates with two external systems.

- OCR-Forms – The Optical Character Recognition – Forms system is used to scan and extract information from the registration responses sent in by the general licensees. The GLTS Clerk periodically generates a file from GLTS with vendor information and a file with model information that is then loaded into the OCR-Forms system. OCR-Forms uses the GLTS vendor and model information to perform several data validations as part of its extraction process. The output of the OCR-Forms extraction process is a validated file of registration responses. The GLTS Clerk imports this file as part of the Upload Registration process in GLTS which automatically generates transfer and RFI records.
- NMED⁶ – Devices that are reported as lost, stolen, or destroyed in GLTS are considered 'events' that must be entered into the Nuclear Materials Events Database (NMED). The GLTS Clerk periodically generates a file from GLTS with events that can then be loaded into NMED.

⁶ Currently, the NMED file generation process in GLTS does not work properly and is therefore not used. The capability does exist, however, and has therefore been listed as a current integration point.

General License Tracking System



* The Program Manager role can perform all the functions that the other roles can perform in addition to the specific functions explicitly described above.

* The Fee Clerk, Inspector, and Management roles can also perform all the functions that the General user can perform.

Figure 1