

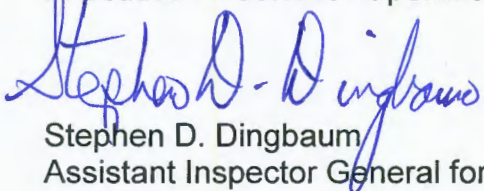


UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

OFFICE OF THE
INSPECTOR GENERAL

July 1, 2016

MEMORANDUM TO: Victor M. McCree
Executive Director for Operations

FROM: 
Stephen D. Dingbaum
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC's
WEB-BASED LICENSING SYSTEM (OIG-15-A-17)

REFERENCE: ACTING DIRECTOR, OFFICE OF NUCLEAR MATERIAL
SAFETY AND SAFEGUARDS, MEMORANDUM DATED
JUNE 20, 2016.

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's memorandum dated June 20, 2016. Based on this memorandum, recommendation 4 is closed and recommendations 1, 2, and 3, remain resolved. Please provide an updated status of recommendations 1, 2, and 3 by July 10, 2017.

If you have any questions or concerns, please call me at 415-5915 or Beth Serepca, Team Leader, at 415-5911.

Attachment: As stated

cc: R. Lewis, OEDO
H. Rasouli, OEDO
J. Jolicoeur, OEDO
J. Bowen, OEDO
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Audit Report

AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

OIG-15-A-17

Status of Recommendations

Recommendation 1: Develop and implement agencywide standardized business processes for WBL use, and develop appropriate guidance.

Agency Response Dated
June 20, 2016:

In the summer of 2015, staff and Branch Chiefs from the Office of Nuclear Material Safety and Safeguards (NMSS) and Regions I, III, and IV began meeting to standardize the materials licensing process. Over the course of several months, standard license template specifications were documented and submitted to the WBL contractor for development and integration into WBL.

Standard business processes have been developed for WBL and have been documented in the WBL User Guide, the WBL Data Entry Guide, and in WBL Training Modules. These processes are currently under review and will be refined over the next few months. These guidance documents will continue to evolve over the life of this project, as process improvements are identified, and the system matures. A new WBL User Portal has been developed in Share Point to serve as a resource repository for these reference documents for WBL users.

As a result of our efforts in standardizing the materials licensing processes for WBL, NMSS and Regions I, III, and IV were able to begin generating materials licenses from WBL in December 2015. In addition to standardizing license templates, NMSS and the Regional branch chiefs standardized the language for authorized use of licensed materials, license conditions, chemical and physical forms of license materials, and the list of radioactive materials. These standardized elements of the license have been input

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Status of Recommendations

Recommendation 1 (cont.):

into the WBL data tables for use by the staff, which will ensure consistency on the license when it is generated from WBL.

Starting July 1, 2016, staff will begin generating materials licenses from WBL in a phased approach by license modality. By December 2016, all materials licenses will be generated from WBL by licensing staff, using the agencywide standard processes for WBL.

With the implementation of the standard license templates for all license modalities and the accompanying guidance documents, NMSS will consider this recommendation closed.

Completion Date: December 31, 2016

OIG Analysis:

The proposed corrective actions meet the intent of the recommendation. OIG will close this recommendation when NRC develops and implements agencywide standardized business processes for WBL, and develops appropriate guidance.

Status:

Resolved.

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AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

OIG-15-A-17

Status of Recommendations

Recommendation 2: Revise WBL roles to require license reviewers and materials inspectors to process their work directly in WBL.

Agency Response Dated
June 20, 2016:

In spring 2016, the WBL user roles were amended in the system for licensing staff in Headquarters and the Regions to allow completion of licensing actions directly in WBL.

To support the transition for licensing staff to use WBL directly, licensing staff are currently completing WBL training modules to learn how to use the system to create and close out licensing actions. Eight training modules cover the functions in WBL including Background; Searching Information in WBL; Creating a new License; Creating an Amendment; Other Actions such as Notifications, Financial Assurance Actions, and Environmental Assessments; Creating a Renewal, Creating a Termination, and Updating Existing License Information in WBL. The WBL training modules include practical exercises that users can complete. Licensing staff will complete the WBL training by June 30, 2016, and will be processing their work directly in WBL on July 1, 2016.

Inspection staff will begin using WBL at a later date. Necessary improvements to the inspection module will need to be implemented in WBL through system changes before it can be utilized for inspection.

Completion Date: December 31, 2017

OIG Analysis: The proposed corrective actions meet the intent of the recommendation. OIG will close this recommendation when NRC demonstrates that WBL roles have been revised to require license reviewers and materials inspectors to process their work directly in WBL.

Status: Resolved.

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Status of Recommendations

Recommendation 3: Develop and implement quality assurance mechanisms for confirmation of data changes in WBL.

Agency Response Dated
June 20, 2016:

The development of quality assurance and control mechanisms will continue to evolve as process changes are phased into the WBL standard processes. From the summer of 2015 through May 2016, staff and branch chiefs from NMSS, RI, RIII, and RIV standardized numerous areas related to materials licensing to assure data integrity. Standard processes were developed for WBL data entry and were made available to the staff. These processes will ensure that data elements entered into WBL are accurate and consistent across all materials licensing actions recorded within WBL.

Consistency in data entry will provide greater accuracy in query output. The written procedures outline the specific data entry method required in WBL, which limits the vulnerability of missing data elements and inconsistent data entry. These procedures will be refined over the next few months.

In addition, the staff has implemented interim methods of quality control to assure data integrity. NMSS staff run quarterly queries/checks on specific data elements to identify any possible errors and inconsistencies in the license and inspection data. If any errors are identified, a report is sent to the pertinent licensing or inspection Regional office for correction.

Future changes for the WBL standard processes will be implemented using our established change control procedures.

Completion Date: June 30, 2017

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OIG-15-A-17

Status of Recommendations

Recommendation 3 (con't.):

OIG Analysis:

The proposed corrective actions meet the intent of the recommendation. OIG will close this recommendation when NRC demonstrates that it has developed and implemented quality assurance mechanisms for confirmation of data changes in WBL.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

OIG-15-A-17

Status of Recommendations

Recommendation 4: Solicit inspection staff input to identify user needs for enhancement of WBL inspection module functionality.

Agency Response Dated
June 20, 2016:

In May 2016, NMSS staff met with the Regional Inspection staff to identify user needs for enhancement of WBL inspection module functionality. The list of user needs has been prioritized by the Regions and change requests have been entered into the NRC Change Request tracking system. Each change has been assigned a tracking number, severity, and priority, and will be processed through the normal WBL maintenance release cycle.

The prioritized list of WBL change requests will be discussed with the NMSS/Material Safety, State, Tribal, and Rulemaking Programs Division Director and the Regional Division of Nuclear Materials Safety Division Directors on June 29, 2016.

With the incorporation of this list into the change control process for WBL maintenance, NMSS will consider this recommendation closed.

Completion Date: June 30, 2016

OIG Analysis: NRC demonstrated that it has solicited inspection staff input to identify user needs for enhancement of WBL inspection module functionality. This recommendation is therefore considered closed.

Status: Closed.