



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

**OFFICE OF THE
INSPECTOR GENERAL**

November 16, 2018

MEMORANDUM TO: Margaret M. Doane
Executive Director for Operations

FROM: Dr. Brett M. Baker */RA/*
Assistant Inspector General for Audits

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

REFERENCE: DIRECTOR, OFFICE OF NUCLEAR MATERIAL SAFETY
AND SAFEGUARDS, MEMORANDUM DATED
OCTOBER 23, 2018

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's memorandum dated October 23, 2018. Based on this memorandum, recommendation 2 remains resolved and recommendation 3 is now closed. Recommendations 1 and 4 were closed previously. Please provide an updated status of recommendation 2 by January 31, 2020.

If you have any questions or concerns, please call me at (301) 415-5915 or Eric Rivera, Team Leader, at (301) 415-7032.

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 2: Revise Web-Based Licensing (WBL) roles to require license reviewers and materials inspectors to process their work directly in WBL.

Agency Response Dated
October 23, 2018:

This recommendation is being addressed in a two phased approach. The first phase, which focused on licensing, has been completed. In spring 2016, all licensing staff in NMSS and the Regions were assigned a WBL user role. This allowed the license reviewers to complete their licensing actions directly in WBL. To support the transition for licensing staff to use WBL directly, these users were set up with access to a training site that mimics the live system. Licensing staff completed WBL training modules to learn how to use the system to create and close out licensing actions. Eight training modules covered the functions in WBL from background and searching, to creating licensing actions for new licenses, amendments, terminations, and renewals. The WBL training modules included practical exercises that users completed in a separate training environment. Licensing staff completed the WBL training at the end of June 2016. Licensing staff began processing their work directly in WBL on July 1, 2016.

The second phase, which is focused on inspection, is still ongoing. Inspection staff will begin to fully utilize all the WBL inspection module improvements in FY 2020. The staff is implementing WBL development plans to improve the inspection module. These improvements will address vulnerabilities with inspection data integrity. When complete, all inspection staff will be able to enter their inspection work directly in WBL without the risk of introducing errors on inspection records.

Completion Date: December 31, 2019

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AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

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Status of Recommendations

Recommendation 2 (cont.):

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 both license reviewers and materials inspectors to process their work directly in WBL.

Status: Resolved.

Audit Report

AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

OIG-15-A-17

Status of Recommendations

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

Agency Response Dated
October 23, 2018:

The staff actions are completed. From July 2015 through May 2016, staff standardized a number of areas related to materials licenses to assure data integrity. The staff established standard business processes and procedures for WBL data entry which were made available to the staff. These processes and procedures will ensure that data elements entered into WBL are accurate and consistent across all materials licensing actions recorded within WBL.

The staff also implemented quality control mechanisms to assure data integrity in WBL. In 2015, staff developed a background data change procedure, which requires authorization by the WBL project team for any changes to system data that cannot be completed by the user through the system user interface. This procedure ensures that changes are evaluated for potential impact to downstream systems, and allows coordination with downstream system owners for awareness.

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 staff in the Regional office for correction.

Additionally, in May, 2016, NMSS and Regional staff began a data quality review in support of an agencywide initiative to address issues with fee billing for licensees. The quality review was conducted in two phases, based on the complexity of the licenses.

Audit Report

AUDIT OF NRC'S WEB-BASED LICENSING SYSTEM

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Status of Recommendations

Recommendation 3 (cont.):

Phase one was completed in FY 2017, which is comprised of the complex licenses (i.e., the licenses that have a higher likelihood of errors that would impact the licensee's annual fees). Licenses with the following docket types were reviewed: byproduct material, source material, special nuclear material, and Independent Spent Fuel Storage Facilities. Phase two was completed in FY 2018, which included the less complex licenses in the same docket type categories.

Following the results of the data review, NMSS issued guidance to the Regions to ensure data quality.

With the completion of the data quality review and the issuance of guidance, NMSS considers this task closed.

Completion Date: September 30, 2018

OIG Analysis:

The proposed corrective actions met the intent of the recommendation. OIG has reviewed documentation of data review. NRC has demonstrated that it has developed and implemented quality assurance mechanisms for confirmation of data changes in WBL.

Status:

Closed.