Official Transcript of Proceedings

NUCLEAR REGULATORY COMMISSION

Title: Webinar on National Source Tracking System Version 2.0.1 for Regulators (Agency Users)

Docket Number: (n/a)

Location: (n/a)

Date: (n/a)

Work Order No.: NRC-1045 Pages 1-32

NEAL R. GROSS AND CO., INC.
Court Reporters and Transcribers
1323 Rhode Island Avenue, N.W.
Washington, D.C. 20005
(202) 234-4433

UNITED STATES OF AMERICA

NUCLEAR REGULATORY COMMISSION

+ + + + +

OFFICE OF ADMINISTRATION

(ADM/DAS/MCB)

+ + + + +

WEBINAR ON

NATIONAL SOURCE TRACKING SYSTEM (NSTS)

VERSION 2.0.1

FOR REGULATORS (AGENCY USERS)

+ + + + +

PRESENTERS:

IRENE Y. WU, Manager

JEFF BOSTON, Lead, NSTS Help Desk

This transcript done from audio provided by the U.S. Nuclear Regulatory Commission.

P R O C E E D I N G S

MS. WU: Thank you everyone for joining us today. This is the NSTS Version 2 Webinar for Agency Users.

I'd like to introduce the speakers on today's webinar. My name is Irene Wu and I'm the Project Manager for the National Source Tracking System here at the NRC.

Shortly I'll be turning it over to Jeff Boston from the NSTS Help Desk. He will be giving you a summary of NSTS Version 2 not only for agency users but for other users such as licensees and the functionality and enhancements that you as agency users benefit from and a demo of the system.

For the sake of time and because there are a lot of new features for agency users, we will be demonstrating about eight of the new features that we think you'll find most interesting and helpful. After each feature we'll open it up for questions. And since we have a lot of people participating if you could use the webinar features to ask questions we will feed those over the phone and try to answer them as we go along.

Also if you could mute your phones that would be very helpful for us. And please keep your questions focused on Version 2. And then also the slides from today's presentation are on the NSTS website under "Resources For Online Reporting."

So thank you. And I'll now turn it over to Jeff.

MR. BOSTON: Thanks, Irene. Jeff Boston and I'm the Lead of the NSTS Help Desk. Like Irene said, we're going to talk about Release 2 and demonstrate some of the new functions available to regulators and mention also those that are available to licensees. And then we'll take questions as well.

This is a breakdown of the new features by the functionality that's been added to the NSTS. And you'll see that some of these features I have indicated are available to licensees and regulators. Those that have no such designation are available only to either regulators or administrators.

There is one new feature that will only show up on the licensees' main menu. That's the specified long-term storage sources. But that same functionality is available to regulators if they use the record licensee transaction feature from their main menu to go in as a surrogate for a particular licensee.

To enhance the transfer management within NSTS we've added a review pending transfers feature. And that feature then will let you look both at transfers that have been indicated as received by one licensee but which they did not find the shipment in their list of shipments to be received. What that does then is it creates a pending transfer in the NSTS main menu of the sending licensee and the expectation is that the sending licensee then will go in and verify that pending transfer. It will also let a search be done for overdue transfers.

There is a feature that will allow the review of transfer history and that will bring back a list of all the transfers to which a licensee has been a party either as the sender or receiver. And then a new transfer progress feature that will bring up a list of transfers, those that have not yet been either cancelled or designated or are still yet to be received. For regulators, there is a capability to review the complete history of the source from cradle to grave and show all the transfers that have occurred in the history of that source.

As I mentioned, the licensees can use a specified long-term storage sources feature to tell

NSTS that they have a source, but they're not currently using it and it's been placed into long-term storage. This would be used for sources that they are going to retain possession of but that cannot be disposed of, sources such as those greater than Category C. And then the regulators have the capability to review those sources that have been placed in long-term storage by the licensees of their agency.

Whenever an import is made into the United States or a U.S. licensee exports a source to a foreign country, it's expected that that licensee doing the export will provide notification in advance of that export to the NRC. And any sources imported into the United States should generate a notification to the NRC by the country or coming from the country that is going to be exporting that source to the U.S.

The NRC then has the capability to record those notifications and make updates to those notifications. And when the licensee records the import or export of the source, they will be able to link that report to the notification already in the system. The NRC and the agreement states can also do a review of the those import and export notifications.

It's possible that sources can be lost and possibly stolen. If that event occurs, the licensee is expected to notify their licensing agency. The licensing agency then would make a report of lost or stolen source in the NSTS and also have the capability to review a list of lost or stolen sources reported by their licensees.

Similarly, if a source is found, that event can be recorded in the NSTS and linked up with a previously reported lost or stolen source. Or, as part of that recording of a found source, an unreported source can be used as part of that report. Also if a source is somehow lost and/or not lost but say it gets stuck in a well and cannot be retrieved, a record of that irretrievable source should be entered into the NSTS by the licensing agency.

Some query capability has been added for licensing agencies and the NRC. These queries will generate lists based upon the search criteria used in generating the query, so a list of sources, say, all radium sources held by licensees of a specific agreement state. A list of licensees that are of the irradiator category could be generated for a specific agency or by the NRC for all agencies. And then a query can be done on transfers and receipts based upon specific search criteria.

One of the major features of the new release is the generation of alerts for specific business or specific events that occur in the NSTS. And we'll talk more about alerts in a moment. The NSTS provides the capability for a person receiving an alert to review that list of current alerts and make up dates to those alerts. Also a review of alert history can be done. And that same general functionality allows sending a message to an NSTS mailbox from within the NSTS and for NSTS analysts to retrieve and provide updates on those messages. It's another way for an NSTS user to ask questions or report problems in addition to calling the help desk or sending us messages to the NSTS help mailbox.

Another significant element of Version 2 is the reports functionality. The NRC can request that specific reports be created within the NSTS. And those reports then are available to agency staff and NSTS NRC. Those reports can be run on the fly, a single report, or can be set up to run at a future time and date. And they can also be set up to run on a schedule such as every week, every month, at a specific time and date.

Some of the administrative features in Version 2 link back to queries and reports that you'll find available in features available to agency staff. One is the ability to define the vicinities. These are geographic regions defined by a set of zip codes. And I envision these being used primarily in kind of an ad hoc fashion as the need arises rather than setting up a whole series of vicinities in advance.

Rather if you think about what happened in Joplin, Missouri, such a disastrous event occurred in a large metropolitan area. It would be probably of interest to determine okay who are the licensees within that geographic region, what sources do they possess and by defining a vicinity using zip codes then a query could be run to retrieve that information.

Also have the ability to define licensee relationships. There are several licensees. Their organization has presence in many different states, many licenses. And by defining one of those as the parent organization other licensees and different licenses in different agencies can be defined as children of that parent. And then queries and reports can use that relationship to retrieve a list of sources that belong to that set of licensees as a single entity.

The administrators will define alert rules based on the request of NRC to create and run alerts. The reports are generated based upon specific scripts that are created by NSTS developers. And then that script is uploaded through the upload report feature.

And the last feature available to both licensees and regulators is obtain supporting information. We'll talk a little more about that. It's a way to get easy access to frequently asked questions. If you want to view the actual rule created by NRC that established the NSTS, you can do so from this link. You can also find links to other agencies such as the International Atomic Energy Agency and the Department of Energy where there is other information regarding the management of sealed sources.

I'm not really going to talk about these next couple slides. They are available in the download of this slide show. And they're just a quick reference to the new main menu items and to whom they are available.

And this is a bit of a synopsis by different areas of functionality, the new features that are available to agency users, showing that one specify long-term storage sources as available to an agency user only when performing as a surrogate for an individual licensee.

The transfer management features that have been added. And features for license management reporting alerts and then the training and obtaining of supporting information.

And we'll go on into some scenarios and talk a bit more about alerts. Certain business and system events require the attention of NRC staff, agreement state staff and/or DOE staff and at times licensees. Such events include the report of lost or stolen sources, the report and overview report of receipt of a source. In other words, the transfer of the shipment is now overdue for receipt. An incomplete shipment. The entry of unrecorded sources, makes, models and locations which require verification after they are reported.

When such events occur, the system generates an alert. We'll email a notification of that alert to the designated alert recipients. It will present the list of alerts to users when they log onto the system. And then it will log the alert in the NSTS and record any updates. Alerts are generated in response to rules that are maintained by the system administrator.

Some of these alerts will be closed automatically by the system when the condition that prompted that alert is resolved. For example, an alert of an undue shipment will be closed automatically when that shipment is reported as received. Some alerts must be closed by the primary recipient such as a report of a lost or stolen source which is more just information rather than requiring a response.

The distribution of alerts is dependent upon the designation of specific NSTS users as alert managers. Each agency will have an alert manager and each licensee that has access to the NSTS will have a user designated as the alert manager. And by default the primary contact of a licensee will be the alert manager if that person has an NSTS user account.

Each alert rule is triggered by a specific event in the NSTS and that rule then will direct the alert and the email notification to a primary recipient and in many cases to a secondary recipient. If the licensee is the primary recipient of a rule, either the licensing agency or the NRC will likely be a secondary recipient. And the secondary recipient is expected to follow up on that alert with the licensee such as an overdue shipment. That alert will go primarily to the receiving licensee. But the licensing agency will receive that alert as a secondary.

It's also the case that if there is no primary recipient or like for an overdue shipment for that licensee, perhaps that licensee doesn't have access to the NSTS. Then the alert will be directed to the licensing agency as primary recipient.

A primary recipient can view the alert and can update it by changing the status and adding comments. It's also possible to change the primary recipient, but doing so can cause problems. If you change a primary recipient and select a user who is not designated as an alert manager it's a bit confusing I understand.

If that person selected as a primary recipient is not an alert manager, that user will be able to view the alert, but they won't be able to update it. So you're kind of stuck. You'd have to contact the help desk and get an NSTS analyst to either update the alert or to change the primary recipient back to an alert manager so that they can then go ahead and update it.

Alerts are still somewhat of a work in progress. Right now, they've been turned off pending a review of our experience over the past couple weeks. The email that is generated and -- The email that the primary recipient will receive is pretty spare in terms of any detail. The expectation is that after receiving such a notification you would go into the NSTS and view the details of the alert which will tell you the signer and the receiving licensee in the case of an overdue shipment.

We're looking to enhance this email perhaps with the addition of the alert ID. So that when you go into a list of alerts you'd be able to go to the alert that is the subject of a particular notification.

Okay. So I've logged into NSTS. I've actually logged into our staging area, our test database, and whatever data you see during this demo will not be live actual data.

I've logged in as if I was a user from the State of Texas and you can see that this user is being told they have nine new alerts for review at the top of the NSTS menu. And this notice gives a link to that list of alerts. You can also open the same list down at the bottom under Alert Management by clicking on Current Alerts.

You've got to scroll to the right to see all of the information presented in the list of alerts. That listing is sortable if you click on a header that is underlined. So you could group all of the specific type categories of alerts together.

You see the alert ID here. Hopefully we'll use that later to get you focused on a specific alert. When you receive a notification, the details of the alert in many cases will contain both the information about the sending and receiving licensee. You've got links to view who is the primary recipient of the alert and also the secondary recipient.

To see the details of an alert and to make updates, select the alert and click on the alert update status. And most of the same information but expanded a bit from the listing is available now and the details. Plus it gives you the option to change the status of the alert.

Like I said, most alerts such as an overdue transfer you should wait and let the system close that alert based upon the report of receipt by the receiving licensee. But you may want to add comments. You could indicate here as an agency staff that you've made contact with that receiving licensee and encourage them to resolve the problem.

Previous will take you back to the list of alerts. Save will save any changes that you've made. Reset, if you happen to change or make a change to the status or add a comment, the reset button put before you save will remove that comment and take the status back to its original status when you opened the details. That reset will not be able to reset a primary recipient, however, if you've made a change.

Okay. The other feature is alert update status. When we looked at the NSTS we looked at it from the perspective of the alerts for which I was the primary recipient. But there is a feature at NSTS -- Let's go back there -- that will let me search for all of the alerts that apply to the agencies that I have access to. A longer list of alerts.

PARTICIPANT: No, click on search all alerts.

MR. BOSTON: I'm sorry. You're right.

PARTICIPANT: That will give you all the alerts that are -- Right now, if when you don't click on search all alerts it retrieves only the alerts that belong to you.

MR. BOSTON: Right.

PARTICIPANT: Clicking on search all alerts shows you all the alerts that you have reviewed. There are not too many alerts in the system.

MR. BOSTON: Right. Okay. Again, the same information. Well, actually expanded information now is available in this list. It includes also a listing of the sources, if applicable, to the alert and information on the licensee depending on the type of alert.

So this is an overview transfer alert and this is the licensee that needs to take action on that alert.

PARTICIPANT: A quick interjection here.

MR. BOSTON: Sure.

PARTICIPANT: If you scroll up just a little bit back to the search criteria, you loaded that as a date range field creation begin date and creation end date.

MR. BOSTON: Right. That's what I -- We talked about the yesterday, didn't we?

PARTICIPANT: Right. Nothing -- The system retrieves only those alerts that were created in the last 30 days. And if you want to see something in a specific range, you could specify that as well.

MR. BOSTON: We're going to do that. Got that in my notes and I skipped right over it. Sorry about that. Okay. That's what I was expecting. Yes. Okay. I have defined a date range of less than 30 days and it's retrieved all of the alerts.

All right. Query licenses. Again this is to generate a list of licenses defined by specific search parameters. You have the option to view the results on screen. You can also save that list in either Excel or PDF format. The slideshow that you may have downloaded refers to saving mailing lists. That mailing list feature has been removed from the NSTS and instead if you'd like to create a mailing list from the contact and license address information that you retrieve download it in

Excel. And then you can use that information in Excel either to create mailing lists or take that information into Word and create mailing labels.

So query licenses from the NSTS main menu shows you the search screen. Here's a reference to vicinity. So if the vicinity had been defined and you wanted to get a list of licenses specific to a vicinity, then this is how you could begin except that that vicinity would have to be defined an administrator before it would be available here.

Now if you are a state agency, you only have just your own agency available. NSTS staff and NSTS analysts will have a full list of licensing agencies that they can select from.

I won't go into all the different criteria. This is something you can explore. But a default search will list all of the licensees that you as a user have access to view their information. In the case of Texas then, there should be a list of all the agencies. Now remember this is the staging area. So we've only defined a few licensees for the State of Texas. But you can see the information that's available. And by clicking on save licenses, then I get the option to generate this list either in an Excel worksheet or in a PDF file that I can save.

Another query is query sources. This enables an agency user to retrieve a list of sources based on the selection of specific criteria. And only those sources which the user is authorized to view will be displayed. So for an agreement state user that would be sources that are in the possession of licensees holding their license.

Sources, from the main menus, we'll click on query sources. And again you've got a search screen that allows you to select different criteria including vicinity. You can choose a specific category of licensee. Again, because I'm a Texas State user, I will only have access to Texas licensees and the sources they possess. You can do a search within your list of agencies for a specific make, a specific model, all sources containing a specific isotope to find that isotope within an activity range.

If I choose radium, my search now should retrieve all radium sources possessed by State of Texas licensees and that are above the category to threshold because that's all that we would find. So I've got 15 items then defined in our staging area.

And it gives me a variety of -- It gives me pretty complete information on a specific source. This list is sortable by clicking on the header in each column.

The search window remains in view. You can clear all or you can go back and modify the search criteria and regenerate the search by clicking search again.

Review source history gives the NRC staff, the agreement state staff, DOE staff the ability to view a whole history of an individual source's transfers and status changes. The review history function enables the user to see the full life cycle of the source from cradle to grave. So you click on the review source in your main menu and enter the search criteria and then select the source that you want to view the history of from the results list.

Go back to NSTS and review source history from the main menu. And I can define my search as being for a particular make and model. I can search for a specific serial number. I can choose to retrieve a list of all sources of a specific isotope, define the activity range of those sources that I retrieve.

There aren't many sources that actually have a chemical or physical form noted as part of an information on that source. But hopefully that will change in the future as people become more familiar with recording information on a manufactured source.

Again, this list will be limited to those that I can view. And, as Texas, it would be limited to those radium sources in the possession of my licensees. Okay. But then I can look at the source history of any of these sources by selecting that source and clicking on review history. And it will show me the date of manufacture and the activities that have involved this source since then in terms of transfers and status changes.

Query transfers and receipts. The NRC staff, the agreement state staff, the DOE staff can use this feature to view of list of import, export and domestic transfers of trackable sources. It enables the user to search on specific criteria including shipment vicinity, shipment type, the state or foreign country that the sources was transferred to or from, get a listing by licensing agency if you are NRC staff and search by license category and by a range of dates.

Query transfers and receipts again

presents me with a search criteria including vicinities, the type of shipments, domestic, exports, imports. Choose the search by specific state or by specific country in the case of imports/exports and what is the status of a shipment. Always to define the list that you're looking for.

And let's see if we have any overdue shipments. Okay. So shipments involving State of Texas licensees we've got two shipments which are overdue, one of which is overdue and awaiting report of receipt by a Texas licensee. I can see that because that licensee is indicated as the receiving licensee. And there is one transfer that's overdue and it was set by a Texas licensee as awaiting receipt by the licensee of NRC. And I can also see the information on the source or sources contained within that shipment. Close will take me back to the list of transfers.

There is a feature for review pending. It's marked as review pending transfer in the main menu. But it's actually review pending and overdue transfers. Let's the NRC staff, agreement staff and DOE staff view a list of transfers that need to be reported by the sender to complete a transfer that's already been reported by the receiving licensee or to get a list of overdue transfers.

This function enables the user to view the details about these transfers as well as the sources within the shipment. And let's you use a search criteria to define the specific list that you're looking for.

So I want to view pending transfers knowing that it will also allow me to retrieve overdue transfers. I can search for all such by clicking search at the bottom and retrieve of list of those pending and overdue transfers in which one of my licensees is a party.

I can define the search to focus only upon licensees and transfers in which one of my licensees is the sender or one of my licensees is the receiving agency, so a receiving licensee. I can define date range to limit that list of transfers retrieved. Or I can look for transfers involving specific make or model of sources or sources containing a specific isotope.

And if I want to look at -- In this case, you can use a wildcard in the licensing name field. The wildcard lets you put in just beginning of the licensee name, put in the asterisk and it will retrieve all licensees whose name begins with those first four characters.

And this case I've got just one transfer involving a Texas licensee whose name begins with HOUS and that licensee being the receiving licensee. From this point I could redefine the search and click search again. This listing also lets me see the details of sources within the shipment. Also lets me see if an alert has been generated and what the details are on that alert.

We're going to spend some time on reports. The agency staff can do reports on their own licensees and NSTS can do reports on the licensees of all agencies. We'll go ahead and talk about reports. Reports are requested by the NRC and go to the NSTS developers to create the script on which that report will be based. That script is then uploaded to the NSTS by an administrator and becomes available then under the manage reports menu item.

You can search for a specific report ID if this is a report that you've used in the past and have made note of the ID or by a specific report title. Report modification date is probably not something that you would search on. You can also use the search button without finding any search parameters and get a full listing of reports available to you.

We have defined 18 reports at this point. And you've got to take a little care to read the report title to determine if is this the report that is going to retrieve the information I'm looking for. Here is the report ID. You could use that in the search.

Now we're going to look at this report agency role, sources, information. Search by source, make and model. So if I select that report number 1128 I've got some options. I can view that report immediately. I can schedule this report to be run. Or I can go ahead and download the report in a variety of formats.

If I click on view report, it allows me to start defining what I'm going to search for as the parameters. In this case I'm going to search on sources created or for whom the manufacturer was Amersham Health. I could select a specific model or I can select all models.

You do have to select something in the model field. So this is my onscreen viewable report searching for sources manufactured by

Amersham Health possessed by Texas licensees. I can click previous, go back to my report criteria screen and redefine the search. I can go previous again, go back to my list of reports.

If I choose to download a report try that same search. I've got choose one of the models, even all models. Then I get the option how do I want to download this report and in what format. And I've got Word, Excel, PDF formats available.

Now then I've created that same report but in a PDF format. I can print that report. I can save it as a PDF file. What I don't have is any buttons on the screen itself that will take me back to NSTS. So what that -- Once I've downloaded that report if I want to go back to NSTS, then I need to use the back button in the browser to return.

I'm going back to the list of reports still with that source, make and model report selected. Another option is to schedule that report to run either immediately or on a schedule once or several times in the future. I'll choose that same make and model. Do next. And now it's going to present me with the option to copy someone else on a notification that this report has been run and is available.

By default, it will, that notification will, come to me. But I can also select someone else or everyone else to receive that notification. I can remove a single person. If I had everyone added, I could remove them all and then add any comments that I want to the generation of this report.

But by doing next now, I'll be asked to schedule that report. I can run it immediately and we'll talk about the virtue of that in just a moment. By choosing now, it will create what's called a report instance which can be retrieved at a later date. If I use the view report feature rather than schedule, I get the onscreen report.

But once I leave that report it's no longer available to me. The same thing with the download. I can run the report. I can download the file. But I can't go back in NSTS and retrieve that same set of data without rerunning the report. The schedule feature allows you to create an instance of a report which is the data retrieved by running that report and be able to go back in and retrieve that instance or have other people go in and retrieve that same instance.

So my options then in terms of frequency other than running it now, I can run it once. I would be prompted then to define "Okay. When is that once in terms of the day and the time on that day?" I can run on a weekly or a daily basis which is going to ask me then to define the start date and the time on each day that each week and thereafter it will run and how long I want that period of time during which the report runs on a weekly basis. In other words, I could set an end date a year from now. I can do the same type of scheduling for daily and annual report, a monthly report.

I'm going to go ahead and choose now. And okay. Having chosen now and once I got that confirmation screen that the report had been run, what that's telling me is that the report instance has been generated and now is available to retrieve by going back to my list of searches, selecting that specific report and clicking on report history. I then get a list of the instances of that report. And the data is telling me that I've just run this particular report. I can select it and I can view it or download it. The download would give me the same options as to file format. If I click on view because this report was run successful, it will display that report on screen.

And I can also download it and choose the file format. Now what I'm going to do is go back to my list of reports and I will do schedule report, define the report, choose who is going to receive notification of the report. And I'm going to choose once in this case because it's now 1410 I want it to run today and at 1412 defined as in 24 hour clock. And it tells me that that report is now scheduled.

I'll go back to the menu, choose that report. I'll look at report history and we can see that it's set now as pending. If I want a delay running that report, I can select it and pause it and it shows me now it's paused. And it won't run again until I select and do resume report.

When that report runs an email notification will be generated and sent to myself and anyone else that I had selected to receive that notification. The notification email will look like this. And it will tell you to back in NSTS to manage reports and select the report with this ID and then select the report with that ID and click the report history button in order to retrieve the instances available of that report and you can select a specific instance and either view it or download it.

But once that report has run, it would noted here as success, meaning the instances now available for me to view or to download. Before it runs, I can click on reschedule and go back through the definition of that report and change the time at which it runs if I want to or the frequency.

Okay. So it did run. Now we've got success rather than pending showing that it ran at 1412. And I could do a view now. Because it's not pending, I won't be allowed to reschedule it.

If I had created a report and scheduled it to run on a schedule such that it was now scheduled to run a week from now, I would have in my list of histories, my history list, one pending instance. And that would represent the report that is scheduled to be run next week. And I could choose that instance and reschedule it if I wanted to.

All right. The other items that I was going to just take a quick look at you've got the option from within NSTS to send a message to the help desk. This is in additional to calling the help desk or sending an email to NSTS help at nrc.gov. It will bring up a form. We'd like you to make sure that you provide your current email address and a phone number for us to contact you with and then provide a concise but complete description either of the request that you have or the problem that you've experienced and you need assistance with.

Unfortunately, once you submit that message you are unable to retrieve it. It's available only to the help desk and NSTS analysts.

Also obtain supporting information is a function that's been added. And here you've got links to frequently asked questions about the NSTS, the rule that was published defining or establishing the NSTS. You can go to the NSTS page at the NRC website and then links to related information available from the International Atomic Energy Agency, DOE and the NRC.

Everything we've talked about and more is available through the help feature of NSTS. And this help contains all the information in the user guide. You can go and search on specific features and get a description of that feature and all the screens that are used as part of that feature. And then also at the bottom of your main menu is a link to computer-based training which will give you a demonstration of the use of that feature within NSTS.

MS. WU: Okay. Well, it looks like we've answered all the questions. Hope you found today's webinar useful. If you need a refresher on any of the topics discussed today or you want to check out some of the other features that we didn't get to highlight, you can go to the NSTS website and click on the resources for online reporting and there are computer-based training modules for the different functions of NSTS. Otherwise don't hesitate to call the NSTS help desk if you have any questions.

(End of webinar.)