

POLICY ISSUE (Information)

February 5, 2007

SECY-07-0027

FOR: The Commissioners

FROM: Luis A. Reyes
Executive Director for Operations /RA/

SUBJECT: SEMIANNUAL UPDATE OF THE LESSONS-LEARNED PROGRAM

PURPOSE:

The purpose of this paper is to provide the Commission with an update on the activities and plans to institutionalize agency lessons learned. This semiannual update responds to Staff Requirements Memorandum dated November 9, 2005, COMSECY-05-0047 - Semiannual Report - Status of Implementation of Davis-Besse Lessons Learned Task Force Report Recommendations. This paper summarizes the program status, procedure and development efforts and Lessons-Learned Oversight Board (LLOB) activities, and updates other key milestones.

BACKGROUND:

On March 31 and July 22, 2005, the staff provided memoranda to the Commission on the Lessons-Learned Program (LLP) Development Team's activities and plans. The team leader also briefed the Commission on the project status on November 1, 2005, as part of the Commission meeting on the implementation of the Davis-Besse Lessons Learned Task Force recommendations. The first semiannual update was provided on February 1, 2006, as SECY-06-0024, "First Semiannual Update of the Lessons Learned Program," in accordance with Commission direction. The second semiannual update was provided on August 4, 2006, as SECY-06-0175, "Semiannual Update of the Lessons Learned Program (LLP)." This update supplements that information by providing an overview of the progress made in the last six months and the plans to accomplish the remaining tasks.

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DISCUSSION:**Procedure Development**

Upon reviewing the 2005 Hurricane Season Task Force Report, dated March 30, 2006 (ML060900005), the LLP Development Team learned some important lessons on how to make the format and content of Task Force Reports more amenable for use by the LLP. These lessons have been captured in the Office of Executive Director for Operations (OEDO) Procedure - 0930, "Task Force Charters," which was approved by the Executive Director for Operations (EDO) on July 27, 2006 (ML061880227).

The EDO signed Management Directive (MD) 6.8, "Lessons-Learned Program," on August 1, 2006. The MD and its associated handbook provide the staff guidance to implement the LLP. On September 26, 2006, the EDO approved OEDO Procedure 0940, "EDO Procedure for Implementing the Lessons-Learned Oversight Board" (ML062550002). This procedure provides the responsibilities and requirements for the LLOB.

Lessons-Learned Oversight Board Activities

The LLOB provides oversight to the LLP and performs independent review and approval of proposed corrective action plans and their eventual closeout. The LLOB is composed of senior managers nominated by Office Directors and Regional Administrators and appointed by the EDO.

The initial LLOB was formed on September 8, 2006 (ML062510102), and the EDO designated James Wiggins from the Office of Regulatory Research as Chairman. With the creation of two new offices, the final LLOB was formed on November 6, 2006 (ML063040675). This increased the primary LLOB membership from 5 to 7.

The LLOB met for the first time on September 12, 2006, to discuss the recommendations from the Liquid Radioactive Release Task Force Final Report, dated September 1, 2006 (ML062440141). The LLOB determined all the Liquid Radioactive Release Task Force recommendations can be addressed adequately by the appropriate program offices and that the threshold for additional oversight by the LLOB was not met. The meeting summary was issued on September 22, 2006 (ML062570300). The EDO tasked the various offices on October 20, 2006 (ML062930153), to address the recommendations from the Liquid Radioactive Release Task Force Final Report. The recommendations are in process, and none of the recommendations have been completed to date.

On October 25, 2006, the Commission was briefed by the LLOB on the LP background, accomplishments, additional enhancements needed to ensure the future success of the program, and challenges concerning implementation of the LLP and the role of the LLOB. Staff Requirements Memorandum (SRM) M061025A was issued on November 21, 2006 (ML0603250494). The staff is working on the actions from SRM M061025A.

The LLOB met on November 6, 2006 to discuss recommendations from the Hurricane Task Force, 22 Office of Inspector General (OIG) Audit Reports, and 2 Government Accountability Office (GAO) Reports (ML070160098). The LLOB referred one recommendation on special nuclear material to the staff for further review and consideration at the an upcoming LLOB meeting. The LLOB determined that all the other recommendations can be addressed adequately by the appropriate program offices, and that the threshold for additional oversight by the LLOB was not met.

Information Technology System Development

The Information Technology (IT) component of the LLP is central to the long-term success of the effort as it directly addresses some of the weaknesses that contributed to the recurrence of previous lessons learned at the NRC. The milestones for this work, that were included in the first semiannual update, dated February 1, 2006 (ML060110321), were predicated on receiving the requested funds before the beginning of April 2006. Those funds were received in late June 2006, and the staff originally expected to have a contract in place for this work by mid-September 2006. However, this did not occur due to other higher priority IT work.

The staff developed goals and objectives for the IT system. The Agency Lessons-Learned System (ALLS) will be able to capture, track, store, and retrieve information about lessons learned. Information will be tracked at the recommendation level and will include all of the products generated in response to a lessons-learned item, such as the corrective action plan, closeout documentation, processes or procedures changed by the corrective action, and the results of any effectiveness reviews conducted.

The ALLS is intended to enable access to the system through an internal NRC web-based interface in order to locate information about a particular topic, issue, report, or recommendation. The ALLS will provide an easy to use interface that allows staff to search and retrieve, using attributes and full-text syntax, the data, text, and image-based information regarding a lessons-learned topical area. ALLS will use other IT systems already in production such as the Electronic Document and Action Tracking System (EDATS) and the Agency Document Access and Management System (ADAMS).

The ALLS Business Case was presented to the Information Technology Business Council (ITBC) on January 9, 2007. The ALLS Business Case brief was approved. Approval of the Business Case allows the agency to move forward to develop the Base System. Development of the Base System will be completed by the scheduled work for Phase III, "Basic System Capability" by the end of FY 2008. The Office of Information System (OIS) secured these funds for the EDO in late FY 2006. OIS is working to award a contract to perform this work. The Base System is a web-based user interface that facilitates searching of, and navigation through, key lessons learned topical areas.

Public Involvement

The staff expects that the lessons learned entered into this program will be summarized and made publicly available, to the extent possible, consistent with the Commission's direction regarding the handling of Sensitive Unclassified Non-Safeguards Information (SUNSI). The

staff has been making the LLOB meeting summaries and the monthly LLP status reports publicly available. This status update to the Commission on the LLP will be made public. The current plan for the LLP envisions the development of an external interface, which will allow stakeholders to easily access the lessons-learned information that is important to them. Allowing public access will increase the transparency of the program. The external interface to the lessons-learned system will be developed with funds budgeted for FY 2010.

COMMITMENTS:

Listed below are the actions or activities committed to by the staff in this paper.

- | | |
|---|----------------|
| 1. Task Additional Effectiveness Reviews
(Provided funding is available) | October 2007 |
| 2. Implement IT Portion of Base Program | September 2008 |
| 3. Implement Knowledge Management
and Configuration Management Components
(Provided funding is available) | September 2010 |
| 4. Provide Public Access to Lessons-Learned Results
(Provided funding is available) | September 2010 |

RESOURCES:

In FY 2006, a total of \$671K was committed to complete the development and implementation of the base program and the necessary IT components needed to integrate the system with EDATS and ADAMS. The FY 2007 funds were identified for elimination in the FY 2007 Continuing Resolution (CR) Impact Assessment paper submitted to the Commission on December 21, 2006. The staff would make modifications to reduce the system requirements should the FY 2007 funding level not be restored. The Base System will be completed in FY 2008 and a total of \$290K has been budgeted for the maintenance of the system.

Resources to support effectiveness reviews in FY 2008 are not currently budgeted and will be obtained through the Planning, Budgeting, and Performance Management process. It is estimated that it will take 0.3 FTE to perform two effectiveness reviews in FY 2008.

COORDINATION:

The Office of the General Counsel reviewed this package and has no legal objection. The Chief Financial Officer has reviewed this package for financial implications and has no objection.

/RA/

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WITS #200500391; 200500393

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