



OFFICE OF THE  
INSPECTOR GENERAL

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

November 9, 2020

MEMORANDUM TO: Margaret M. Doane  
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE U.S.  
NUCLEAR REGULATORY COMMISSION'S OVERSIGHT  
OF SUPPLEMENTAL INSPECTION CORRECTIVE  
ACTIONS (OIG-19-A-19)

REFERENCE: DIRECTOR, OFFICE OF NUCLEAR REACTOR  
REGULATION, MEMORANDUM DATED OCTOBER 1,  
2020

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated October 1, 2020. Based on this response, recommendations 1 and 2 remain open and resolved. Please provide a status update for the open and resolved recommendations by March 31, 2021.

If you have questions or concerns, please call me at (301) 415-5915, or Paul Rades, Team Leader, at (301) 415-6228.

Attachment: As stated

cc: C. Haney, OEDO  
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## Audit Report

### AUDIT OF THE NRC OVERSIGHT OF SUPPLEMENTAL INSPECTION CORRECTIVE ACTIONS

OIG-19-A-19

#### Status of Recommendations

Recommendation 1: Update NRC inspection guidance to support documentation of significant planned corrective actions associated with 95001 and 95002 supplemental inspections.

Agency Response Dated  
October 1, 2020:

On October 10, 2019, the staff stated that they agreed with the recommendation and planned on updating the NRC inspection guidance to support documentation of significant planned corrective actions associated with inspection procedures (IPs) 95001 and 95002 supplemental inspections by August 31, 2020 (ADAMS Accession No. ML19325C330). The staff has drafted the changes to 95001 as a template to complete the revision of 95002. The staff determined through the revision process that additional changes, such as (1) addressing Executive Director of Operations recommendations from Differing Processional Opinion 2018-001 to explicitly communicate assessment outcomes to an independent reader, (2) creating 95001 and 95002 supplemental inspection report templates, (3) developing enhanced governance for assessing supplemental inspection objectives, (4) developing enhanced governance for initiating, delaying, suspending or expanding inspection activities, (5) describing differences between expectations and regulatory obligations, and (6) providing governance on the inspection of planned corrective actions, were necessary to these documents and that it would be most efficient to issue the revisions together. As such, the staff now plans on completing all the actions for this recommendation by December 31, 2020 instead of by August 31, 2020 as originally planned.

Contact: Christopher C. Cauffman, NRR/DRO  
(301) 415-8416

OIG Analysis: The proposed actions meet the intent of this recommendation. The recommendation will be closed after

## **Audit Report**

### **AUDIT OF THE NRC LICENSE AMENDMENT REQUEST ACCEPTANCE REVIEW PROCESS**

**OIG-19-A-19**

#### **Status of Recommendations**

Recommendation 1 (cont.):

OIG reviews the update IPs 95001 and 95002 supplemental inspection report templates and verifies that it supports appropriate documentation of significant planned corrective actions associated with 95001 and 95002 supplemental inspections.

**Status:** Open: Resolved.

## Audit Report

### AUDIT OF THE NRC LICENSE AMENDMENT REQUEST ACCEPTANCE REVIEW PROCESS

OIG-19-A-19

#### Status of Recommendations

Recommendation 2: Implement an efficient means for inspectors to readily identify and retrieve information about completed and planned corrective actions associated with 95001 and 95002 supplemental inspections.

Agency Response Dated  
October 1, 2020:

On October 10, 2019, the staff stated that they agreed with the recommendation and planned to make improvements in guidance needed to support an efficient means for inspectors to readily identify and retrieve information about completed and planned corrective actions associated with IPs 95001 and 95002. The staff stated that they would specifically update Inspection Manual Chapter (IMC) 0611, Appendices C and D, the governance for documenting both supplemental inspection and baseline problem identification and resolution inspection reports, respectively, and other governance, as necessary by August 31, 2020. On May 29, 2020, the staff revised the Reactor Program Systems (RPS or ISTAR) software to create a tracking mechanism to efficiently allow inspectors to readily identify and retrieve information about completed and planned corrective actions associated with IPs 95001 and 95002 supplemental inspections. Additionally, the staff is revising IMC 0611, Appendix C to provide guidance regarding RPS tracking actions and IMC 2515, Appendix B for inspection and documentation of completed and planned corrective actions using any appropriate baseline inspection procedure. The staff determined that revising IMC 0611, Appendix D was no longer appropriate because of other changes indicating baseline procedures could be used in addition to IP 71152. The staff plans to complete issuance of these changes for this recommendation by December 31, 2020 instead of by August 31, 2020 as originally planned.

OIG Analysis: The proposed actions meet the intent of this recommendation. This recommendation will be closed after OIG reviews, (1) the RPS-ISTAR tracking mechanism to

## Audit Report

### AUDIT OF THE NRC LICENSE AMENDMENT REQUEST ACCEPTANCE REVIEW PROCESS

OIG-19-A-19

#### Status of Recommendations

Recommendation 2 (cont.):

allow inspectors to identify and retrieve planned corrective actions associated with 95001 and 95002 supplement inspections, and (2) the update to IMC 0611, Appendix C, to support RPS tracking of significant planned and completed corrective actions associated with 95001 and 95002 supplemental inspections.

**Status:** Open: Resolved.