April 7, 2015

MEMORANDUM TO: Mark A. Satorius
                   Executive Director for Operations

FROM: Stephen D. Dingbaum   */RA/*
                   Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: SURVEY OF NRC'S
                   SUPPORT PROVIDED TO RESIDENT INSPECTORS
                   (OIG-14-A-12)

REFERENCE: DIRECTOR, OFFICE OF NUCLEAR REACTOR
                   REGULATION, MEMORANDUM DATED JANUARY 13,
                   2015

Attached is the Office of the Inspector General's analysis and status of
recommendations 1 and 2 as discussed in the agency's response dated January 13,
2015. Based on this response, recommendations 1 and 2 remain in resolved status.
Please provide an updated status of the resolved recommendations by June 1, 2015.

If you have questions or concerns, please call me at 415-5915 or RK Wild, Team
Leader, at 415-5948.

Attachment: As stated

cc: M. Galloway, OEDO
       B. Pham, OEDO
       J. Arildsen, OEDO
       B. Dean, NRR
       EDO_ACS_Distribution

Evaluation Report

**SURVEY OF NRC'S SUPPORT PROVIDED
TO RESIDENT INSPECTORS**

OIG-14-A-12

Status of Recommendations

<u>Recommendation 1</u>:   Identify a formal mechanism for obtaining Residents'
perspectives regarding support issues.

Agency Response Dated
January 13, 2015:   The Reactor Oversight Process (ROP) Self-Assessment
Improvement Working Group (composed of headquarters
and regional staff) is developing the mechanisms that will be
used to obtain RIs' perspectives on support needs as an
integral part of the annual ROP self-assessment process.
Different mechanisms (e.g. SharePoint sites, interviews,
reviewing support requests, or surveys) are being explored.
RI input will be a key factor in the mechanism(s) chosen,
with a goal of minimizing administrative burden and
optimizing effectiveness. Corrective actions taken to
address support issues will also be assessed to ensure that
the issues have been adequately resolved. The
mechanism(s) and evaluation of the data will be incorporated
with the overall efforts to make the ROP self-assessment
process more effective (COMSECY-14-0030; Agencywide
Documents Access and Management System (ADAMS)
accession number ML14168A532), which are scheduled to
be completed by June 30, 2015.

To address specific concerns regarding information
technology (IT) support, staff from the Office of Nuclear
Reactor Regulation (NRR) and the Office of Information
Services (OIS) has conducted detailed interviews with
selected RIs from each of the four regional offices regarding
the adequacy of IT support they now receive. Based on
these interviews, the NRR and OIS staff concluded that
these RIs were generally satisfied with the quality and
timeliness of IT equipment-related delivered. Nonetheless,
some potential IT enhancements (e.g., bandwidth expansion
for network connections) were identified for inclusion in the
U.S. Nuclear Regulatory Commission's long-term enterprise
IT "roadmap." IT support solutions for RIs are being pursued
to address the specific issues stated in the Office of
Inspector General audit report concurrently with the changes
being made to the ROP self-assessment process.

Evaluation Report

SURVEY OF NRC'S SUPPORT PROVIDED
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Status of Recommendations

Recommendation 1 (cont.):

Estimated Completion Date: June 30, 2015
Contact: Scott Morris, NRR/DIRS

OIG Analysis: The agency's proposed action meets the intent of the recommendation. This recommendation will be closed when the agency (1) identifies the mechanism (SharePoint sites, interviews, reviewing support requests, surveys, or ROP Working Group) and demonstrates how it will effectively and accurately capture resident inspector support needs and concerns; and (2) provides documentation that demonstrates how the ROP Self-Assessment Improvement Working Group assessed resolution of resident inspector support issues that were identified by the ROP self-assessment process.

Status: Resolved.

Evaluation Report

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OIG-14-A-12

Status of Recommendations

Recommendation 2:   Take measures to ensure that the roles and responsibilities for existing support systems for Residents' needs and concerns are communicated and understood by the appropriate management and staff, and are effectively executed.

Agency Response Dated
January 13, 2015:   A presentation that reinforced RI support expectations was made to the NRR, Division of Operating Reactor Licensing (DORL) project managers and management (June 12, 2014, DORL All-Hands Quarterly Division Meeting, C. Regan and M. Markley). DORL project managers maintain regular contact with the RIs, and are one of the principle means for RIs to obtain support from headquarters sources.

Similar information regarding RI support expectations was distributed to staff and management in each of the four regional offices. This review of RI support expectations is sufficient to ensure continued acceptable performance in this area. As an additional action, RI support expectations will be reiterated at the headquarters/regional Division Director Counterparts Meeting scheduled for January 26-28, 2015. Internal documentation of the DORL meeting and communications with regional staff and management has been provided as specified in OEDO-14-00828.

The self-assessment activities described in the response to Recommendation #1 will assess the trends and effectiveness of RI support activities, and determine the need for future corrective actions should they be identified.

Estimated Completion Date: 12/31/2014
Contact: Scott Morris, NRR/DIRS

Recommendation 2 (cont.):

OIG Analysis:

OIG reviewed documentation provided by the agency, which to date, included:

- o A presentation titled, "OIG Survey of Resident Inspectors," and a Division of Operating Reactor Licensing roster. As OIG noted in its memo to the agency dated November 25, 2014, sufficient documentation of the presentation could include meeting minutes, a sign-up sheet, or some other indicator of meeting attendance. On its own, a simple roster of the entire division is insufficient.

- o A November 17, 2014, "RI Support Read and Heed" document and associated correspondence from all regions. The quality of the "RI Support Read and Heed" is minimally acceptable for purposes of communicating the roles and responsibilities of existing support systems for resident inspectors. The document contained few specifics on the types of support needed by the resident inspectors. Furthermore, the cover email that transmitted the "read and heed" document implied conflict between OIG and an NRC executive, which is not supportive of good implementation of OIG recommendations that supposedly has the full support of NRC management.

While these documents provide some evidence on the part of the agency to communicate the importance of supporting resident inspectors to regional managers, it does not provide sufficient evidence that specific roles and responsibilities are effectively executed. In two concurrent memos to OIG, the agency has stated that it will use the self-assessment activities described in response to recommendation 1 to assess the trends and effectiveness of RI support activities.

<u>Recommendation 2 (cont.):</u>

The agency reported that the next effort to assess effectiveness through the ROP self-assessment process will be in June 2015.

This recommendation will be closed when OIG receives sufficient documentation of support-related presentations. Closure will also require implementation of any measures identified by the ROP self-assessment to ensure roles and responsibilities of existing support mechanisms are effective, assuming the methodology to ascertain those roles and responsibilities are adequate.

Status: **Resolved.**