



OFFICE OF THE
INSPECTOR GENERAL

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

November 3, 2015

MEMORANDUM TO: Victor McCree
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S
PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC
RESEARCH (OIG-15-A-08)

REFERENCE: DIRECTOR, OFFICE OF NUCLEAR REGULATORY
RESEARCH, MEMORANDUM DATED SEPTEMBER 30,
2015

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations 1, 2, 3, 4, and 5 as discussed in the agency's response dated September 30, 2015. Based on this response, recommendations 1, 2, 3, 4, and 5 remain in resolved status. Please provide an updated status of the resolved recommendations by July 29, 2016. If you have questions or concerns, please call me at 415-5915, or Sherri Miotla, Team Leader, at 415-5914.

Attachment: As stated

cc: G. Tracy, OEDO
F. Brown, OEDO
J. Jolicouer, OEDO
J. Arildsen, OEDO
M. Weber, RES
EDO_ACS Distribution Resource

Audit Report

AUDIT OF NRC'S PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC RESEARCH OIG-15-A-08

Status of Recommendations

Recommendation 1: Designate an Information Quality Program owner and clearly delineate roles and responsibilities among involved offices.

Agency Response Dated
September 30, 2015:

The responsibilities of the Information Quality Program Owner have been delineated in the draft MD 3.17, which the Office of Administration is currently reviewing before sending to the other offices for review and comment. OIS has identified the staff member who will serve as the Information Quality Program Owner, and that staff member has begun implementing the actions that will be required in the revised MD 3.17.

Estimated Completion Date: 6/30/2016; Contact: F. Majeed

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed after OIG reviews the revised MD 3.17 and determines the guidance identifies an Information Quality Program owner (i.e., office) and clearly articulates and delineates the roles and responsibilities among involved offices.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC RESEARCH OIG-15-A-08

Status of Recommendations

Recommendation 2: Assign responsibility for routinely checking, responding to, and tracking the resolution of information correction requests submitted via vehicles identified on the NRC's public Web pages regarding Information Quality Guidelines.

Agency Response Dated
September 30, 2015:

OIS has identified a staff member to serve as the IQC. The responsibilities of the IQC have been delineated in the draft MD 3.17, including: managing the information correction request (ICR) review and appeal process; maintaining the official ICR files and public Web sites for ICRs, and peer reviews; preparing the annual report to OMB and other necessary reports to keep management abreast of the status and issues relating to ICR reviews, assessing the consistency of decisions to correct or not to correct information; independently assessing each decision to correct information for its impact on other agency processes and activities; coordinating the agency's efforts to comply with the OMB's Final Information Quality Bulletin for Peer Review, and identifying the number and nature of ICRs received and their resolution, including an explanation of decisions to deny or limit corrective actions.

Estimated Completion Date: Completed; Contact: F. Majeed

OIG Analysis:

The proposed actions meet the intent of the recommendation. This recommendation will be closed when OIG (1) reviews the revised MD 3.17 and confirms that it assigns responsibility for routinely checking, responding to, and tracking the resolution of information correction requests, and (2) confirms that those steps are being regularly performed.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC RESEARCH OIG-15-A-08

Status of Recommendations

Recommendation 3: Hold an annual meeting with involved NRC staff and management to discuss the requirements and responsibilities associated with the identification and reporting of Influential Scientific Information and Highly Influential Scientific Assessment information products.

Agency Response Dated
September 30, 2015:

The MD 3.17 working group has added direction in the draft MD to ensure that prior to the initiation of each annual survey, the IQC will advise involved NRC staff (typically the offices' Peer Review Coordinator) and management about the requirements and responsibilities associated with the identification and reporting of ISI and HISA. This meeting will first occur prior to the survey in calendar year 2016.

Estimated Completion Date: 06/30/2016; Contact: F. Majeed

OIG Analysis:

The proposed action meets the intent of the recommendation. OIG will close this recommendation when the agency implements a mechanism by which involved NRC staff and management discuss, on an annual basis at minimum, the requirements and responsibilities associated with the identification and reporting of Influential Scientific Information and Highly Influential Scientific Information.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC RESEARCH OIG-15-A-08

Status of Recommendations

Recommendation 4: Develop a schedule to ensure that RES' internal office instructions are regularly reviewed and revised, as appropriate.

Agency Response Dated
September 30, 2015:

RES has reviewed its OIs, determined which need to be revised, and identified current points of contact for each OI. The RES OIs are now being tracked on a SharePoint site (<http://fusion.nrc.gov/res/team/pmda/Lists/OI%20Listing/AllItems.aspx>), which links to the current version of the OI in the Agencywide Document Access and Management System. The SharePoint site provides the effective date and the date when the OI should next be reviewed for any revisions. The staff has proposed renewal dates for each of the outdated OIs, as shown on the SharePoint site. The due date for each OI will be tracked in the ATMIS ticketing system as the due date approaches. RES plans to retain the periodicity of reviewing and updating OIs every two years; however, this periodicity will depend upon having available resources.

Estimated Completion Date: Completed; Contact: K. Johnson

OIG Analysis:

The proposed actions meet the intent of the recommendation. Upon review of the SharePoint site, OIG notes that the effective date and date of the next revision is not listed for the individual documents. This recommendation will be closed when OIG reviews the prioritized list of RES Office Instructions, including the revision and effective dates, as listed in SharePoint and tracked in ATMIS.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PROCESS FOR ENSURING INTEGRITY IN SCIENTIFIC RESEARCH OIG-15-A-08

Status of Recommendations

Recommendation 5: Direct all offices to review and revise office guidance on peer review to align with requirements established by OMB and the National Academy of Sciences.

Agency Response Dated
September 30, 2015:

The draft revised MD 3.17 contains direction to the Office Directors to ensure that office guidance aligns with the MD. Office specific guidance will be updated once MD 3.17 has been finalized.

Estimated Completion Date: 12/30/16; Contact: F. Majeed

OIG Analysis:

The proposed actions meet the intent of the recommendation. This recommendation will be closed after OIG reviews (1) the written direction to offices to revise their office guidance so that it aligns with MD 3.17 and requirements established by OMB and the National Academy of Sciences and (2) all office specific guidance and determines that it aligns with the requirements on peer review established by OMB and the National Academy of Sciences.

Status:

Resolved.