



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
REGION I  
631 PARK AVENUE  
KING OF PRUSSIA, PENNSYLVANIA 19406

RI 1390.1/0  
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REGION I INSTRUCTION 1390.1, Revision 0

PROGRAM EVALUATION AND AUDIT

A. Purpose

To set forth the regional procedure for evaluating and auditing the regional enforcement program and its implementation.

B. Discussion

Audits of the region's enforcement program are conducted to assure that the program is adequate and is properly implemented. An audit primarily consists of a review of previously issued enforcement actions that were prepared by the Region. The enforcement actions prepared by the Region consist of escalated actions (those requiring IE/OGC concurrence and prepared by the Enforcement Officer) and nonescalated actions (those not requiring IE/OGC concurrence and prepared by the responsible Division). This instruction serves to identify the responsibilities of personnel involved with the Region's internal auditing of the regional enforcement program.

C. Procedure Implementation

1. Audits of the region's escalated enforcement actions are performed by the Director of Enforcement, IE. A report of the audit findings are sent to the Regional Administrator by the Director, IE. The Enforcement Officer shall evaluate the audit findings, and if deficiencies are identified, shall take the necessary corrective actions;
2. Audits of the region's nonescalated actions are performed by the Enforcement Officer. An audit shall consist of:
  - a. a periodic review of a sample of Notices of Violation issued by the Divisions, to assure that (1) the violations set forth in the Notice are clear, concise and prepared in accordance with RI 1320.1, (2) the violations have been appropriately classified by Severity Level, and (3) the enforcement action taken was appropriate; and

CONTACT:  
Enforcement Officer

Revision Responsibility:  
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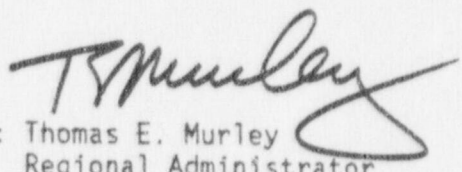
- b. a periodic review of a sample of Reactor Licensee Event Reports (LER) to determine if those reports identify any violations that might warrant escalated enforcement action.

Whenever the Enforcement Officer identifies deficiencies in a Notice of Violation, or identifies an LER which describes a violation that might warrant escalated enforcement action, the Enforcement Officer shall notify, by memorandum, the responsible Branch Chief (and/or Section Chief) of the circumstances of the apparent violation, after consultation with the Deputy Regional Administrator.

The Enforcement Officer shall annually summarize the results of these periodic audits, and submit a report of their results to the Regional Administrator.

D. Effective Date

This regional instruction is effective upon receipt and will remain in effect until superseded.

  
APPROVED: Thomas E. Murley  
Regional Administrator

DATED: 2/15/87

Distribution:  
Office of Regional Administrator  
Division Directors  
Chief, Administrative Management Branch (original)  
Resident Offices