



OFFICE OF THE
INSPECTOR GENERAL

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

May 13, 2021

MEMORANDUM TO: Margaret M. Doane
Executive Director for Operations

FROM: Eric Rivera */RA/*
Acting Assistant Inspector General for Audit

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE
NRC'S NUCLEAR POWER REACTOR INSPECTION
ISSUE SCREENING (OIG-21-A-07)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR REACTOR AND
PREPAREDNESS PROGRAMS, OFFICE OF THE
EXECUTIVE DIRECTOR OF OPERATIONS,
MEMORANDUM DATED APRIL 23, 2021

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated April 23, 2021. Based on this response, recommendations one, three, and four remain open and resolved; and recommendation two is closed. Please provide a status update for the open and resolved recommendations by April 30, 2022.

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

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Audit Report
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Status of Recommendations

Recommendation 1: Clarify guidance for inputting inspection results into the Reactor Program System (RPS) that involve traditional enforcement actions, such as escalated enforcement action, notices of violation, and licensee identified violations, etc.

Agency Response Dated
April 23, 2021:

The staff agrees with the recommendation and will enhance guidance in Inspection Manual Chapter (IMC) 0306, "Planning, Scheduling, Tracking and Reporting of the Reactor Oversight Process" (ML20302A345). The enhancement will consist of a new appendix, that will be informed by inputs from the Regions, that more clearly illustrates the sequence and management of inputs for the RPS. The staff plans to create the IMC 0306 appendix by February 28, 2022.

CONTACT: Manuel Crespo, NRR/DRO
(301) 415-0298

OIG Analysis: The proposed actions meet the intent of this recommendation. The OIG will close this recommendation upon reviewing the updated IMC 0306, "Planning Scheduling, Tracking, and Reporting of the Reactor Oversight Process," to ensure that the new appendix clearly illustrates the inputs for traditional enforcement actions into the RPS. This recommendation remains open and resolved.

Status: Open: Resolved.

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Status of Recommendations

Recommendation 2: Periodically review RPS data and test RPS controls for accuracy and completeness.

Agency Response Dated
April 23, 2021:

The staff agrees with the recommendation, and in response to the OIG's previous audit (OIG-20-A-0021), the staff augmented the Office of Nuclear Reactor Regulation's (NRR's) Division of Reactor Oversight responsibilities and authorities in IMC 0306, "Planning Scheduling, Tracking, and Reporting of the Reactor Oversight Process (ROP)" (ADAMS Accession No. ML20302A345) to include periodic sampling of the various RPS report outputs for completeness and accuracy. The staff completed this action on February 24, 2021, and have implemented several modifications and corrections to the RPS in light of these new periodic reviews.

CONTACT: Manuel Crespo, NRR/DRO
(301) 415-0298

OIG Analysis: The proposed actions meet the intent of this recommendation. The OIG reviewed the updated responsibilities in IMC 0306 and determined that these actions meet the intent of this recommendation. This recommendation is now closed.

Status: Closed

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Status of Recommendations

Recommendation 3: Improve quality assurance processes implemented in 2021 to identify and fix RPS data entry reporting errors.

Agency Response Dated
April 23, 2021:

The staff agrees with the recommendation and will enhance the RPS by implementing automated data entry logic (primarily for date tracking fields) as well as institute additional validation checks to ensure specific RPS entries properly adhere to guidance. The validation checks will eliminate non-applicable options for inspection results, which will also streamline the data entry process. The staff plan to complete this action by March 31, 2022.

CONTACT: Manuel Crespo, NRR/DRO
(301) 415-0298

OIG Analysis:

The proposed actions meet the intent of this recommendation. The OIG will close this recommendation after verifying that the automated data entry logic enhancements reduce data entry reporting errors and reviewing the guidance for additional validation checks. This recommendation remains open and resolved.

Status: Open: Resolved.

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Status of Recommendations

Recommendation 4: Conduct periodic training regarding RPS data input.

Agency Response Dated
April 23, 2021:

The staff agrees with the recommendation and already has training requirements as a responsibility for NRR's Division of Reactor Oversight in IMC 0306, "Planning Scheduling, Tracking, and Reporting of the Reactor Oversight Process (ROP)" (ADAMS Accession No. ML20302A345). In response to the audit, NRR's Division of Reactor Oversight will conduct training sessions for staff following implementation of the improved guidance and application controls. The staff plan to complete this action by June 30, 2022.

CONTACT: Manuel Crespo, NRR/DRO
(301) 415-0298

OIG Analysis:

The proposed actions meet the intent of this recommendation. The OIG will close this recommendation after reviewing the implemented training materials regarding RPS data entry. This recommendation remains open and resolved.

Status:

Open: Resolved.