

May 14, 1996

FOR: The Commissioners  
 FROM: James M. Taylor /s/  
 Executive Director for Operations  
 SUBJECT: UNIFORM TRACKING OF AGENCY GENERIC TECHNICAL ISSUES

- PURPOSE:
- BACKGROUND:
- DISCUSSION:

**PURPOSE:**

To inform the Commission of the staff's proposed actions to address a staff requirements memorandum (SRM) dated January 19, 1996, concerning an agency-wide tracking system for generic issues.

**BACKGROUND:**

On December 19, 1995, the Nuclear Regulatory Commission ([NRC](#)) staff briefed the Commission on mechanisms for addressing generic safety issues. As a result of this briefing, an SRM was issued from John C. Hoyle to James M. Taylor on January 19, 1996. The SRM stated that the staff should ensure that the respective roles of each office pertaining to generic safety issues are understood and that close coordination is practiced to eliminate any duplication of effort. The SRM also stated that there should be one agency-wide generic issue resolution tracking system, coupled with consistency of prioritization between offices.

**DISCUSSION:**

The roles of each office, coordination of generic activities and their prioritization, and elimination of duplication of effort have been and continue to be a major focus of staff attention. A number of initiatives have been undertaken in this area; these include periodic interoffice coordination meetings among the various program offices and formal processes for dissemination of major products among the various offices.

Most recently, these issues were studied in a report, "Report of the Review of Operational and Occupational Event Review, Evaluation, and Followup," issued by James L. Milhoan on August 25, 1994. The report focused on defining the respective roles of both headquarters and regional offices pertaining to operational event review, as well as generic safety issue review, and on the minimization of unnecessary duplication of effort, as well as providing recommendations for improvements. A summarization of the review and status of implementation of the recommendations is discussed below.

The review identified that several of the subject offices are involved in accomplishing, in part, many of the same event review-related goals and objectives. However, by identifying each office's contribution ("value added") to the products that are produced from event review, the review determined that there is an appropriate division of responsibility among the offices such that each office performs complementary actions. Additionally, the review determined that review scope overlap occurs because the headquarter program offices have the additional responsibility of providing program implementation oversight, while the Office for Analysis and Evaluation of Operational Data (AEOD) performs an independent quality assurance function. This overlap also allows a collegial approach to resolution of issues.

The review identified inefficiencies in the area of information gathering, dissemination, retrieval, and analysis. The review recommended that Management Directive 8.5, "Operational Safety Data Review," be revised to reflect current responsibilities and authorities, and a new revision was issued on December 11, 1995. In addition, the review recommended that guidance related to information notices be revised to avoid duplication of staff efforts. This recommendation was accomplished by the parallel development of Office of Nuclear Reactor Regulation (NRR) Office Letter 503, "Procedure for Integrated Identification, Evaluation, Prioritization, Management, and Resolution of Generic Issues," which outlines the process for initiating a generic communication.

There currently exist many processes to communicate information between offices which assist in the minimization of duplication of staff effort. These processes include the publication of NUREG-0933 and periodic Generic Issue Management and Control System (GIMCS) reports. Offices request confirmatory research with user needs memoranda and the results of confirmatory research are provided to NRR and other offices with Research Information Letters (RILs). NRR provides the status of its work on generic issues to other offices with a monthly Task Action Plan (TAP)/Generic Communication and Compliance Activity (GCCA) status report. AEOD publishes an annual report on their activities and NRR has formal processes for handling AEOD recommendations and suggestions. AEOD also periodically informs other offices of planned and ongoing studies. Collectively, these processes have ensured adequate communications between offices. The effort undertaken in response to the January 19, 1996 SRM seeks to further improve upon existing lines of communications and further reduce duplication of effort.

Historically, generic issues have been handled in different ways by the various NRC offices. The initiative described in the attached program plan will increase consistency and coherence among offices in identifying, documenting, and tracking generic safety activities affecting all types of NRC licensees. The program ensures that NUREG-0933, "A Prioritization of Generic Safety Issues," will be the repository for all of the agency's Generic Safety Issues (GSIs), as well as Licensing Issues (LI), Regulatory Impact Issues (RI), and Environmental Issues (EI), both for reactors, as was done in the past, and now for other licensees. For these purposes, GSIs are defined as safety concerns that may affect the design, construction, or operation of all, several, or a class of licensees and that may have the potential for safety improvements and promulgation of new or revised requirements or guidance. All GSIs, as well as LIs, RIs, and EIs, are tracked using the GIMCS maintained by the Office of Nuclear Regulatory Research (RES).

The prioritization (cost/benefit analysis) of GSIs is performed by RES in accordance with RES Office Letter 7, "Procedure for Identification, Prioritization, Resolution, and Tracking of Generic Issues." AEOD's prioritization process is described in a memorandum from James M. Taylor to the Commission dated July 26, 1993, "Expanded AEOD Activities to Address Reactor and Nuclear Materials Safety Issues." RES and the Office of Nuclear Material Safety and Safeguards (NMSS) will work to develop a consistent prioritization (cost/benefit) scheme for material and fuel cycle GSIs. This will extend the present GSI prioritization (cost/benefit analysis) process for reactor safety to other NRC licensed facilities. Other generic activities of a compliance nature, for which a cost/benefit analysis is not applicable, or of lower safety significance will continue to be prioritized for inter-office resource commitment within the individual offices. These activities

include generic communication and compliance activities (GCCAs) in NRR and NMSS and generic studies in AEOD.

Beyond the GSI documentation, tracking and prioritization activities discussed above, there exist within the NRC other generic activities which are identified, tracked, resolved, and documented within the individual program offices by office-specific systems. This program plan will help assure that the information contained in these various systems, though developed and maintained by the individual program offices, is mutually accessible through the local area network (LAN). Additionally, these office level programs will be on the LAN and serve as a repository for generic safety activities which do not meet the definition of a GSI but represent a significant staff effort or have resulted in generic communications.

The use of a new program icon, "NRC Generic Activities", is envisioned. This new system will be located on the LAN and will provide access to the agency's generic issues. The system will provide historical documentation, as well as the current status of the agency's work on generic activities at a single location. This new program will facilitate more efficient and comprehensive events assessment and provide a consolidated centralized repository of historical and tracking information on NRC generic activities. Most of the documents to be included in the system already exist in paper form. These include NUREG-0933, RES GIMCS reports, and NRR Director's Monthly Status Report. Some are not currently available in an electronic format and most that are in an electronic format have not been made widely available to NRC staff. AEOD has compiled and cross referenced its studies (AEOD T96-01, "AEOD Technical Reports by Category," dated March 25, 1996) and is currently making this compilation as well as abstracts of reports available electronically.

The Office of Information Resource Management (IRM) will initiate a pilot project to assess the technical feasibility of the approach and ascertain the functional requirements of the system that must be satisfied.

The public will remain apprised of NRC's work on generic issues through the semiannual issuance of NUREG-0933 and the NRC Regulatory Agenda, quarterly public NRR TAP/GCCA reports, RES GIMCS reports, and the annual summary report of AEOD. These documents are also available to the staff. Electronic dissemination of documents will be coordinated with the Office of Administration to make this available to the public. It is currently envisioned that the public version of the NRC generic activities materials will be posted on the Internet by using the NRC external homepage, however, further technical evaluation is needed to determine the optimal method for implementation.

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Attachment: [Program Plan for Uniform Tracking Agency of Generic Technical Issues](#)

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ATTACHMENT

## PROGRAM PLAN FOR UNIFORM TRACKING OF AGENCY GENERIC TECHNICAL ISSUES

- BACKGROUND:
- HISTORY:
- UNRESOLVED SAFETY ISSUES PLAN
  - DISCUSSION:
- NRR RESPONSIBILITIES
  - Documents Provided:
  - Systems Maintained:
  - Other Responsibilities:
- NRR RESPONSIBILITIES
  - Documents Provided:
  - Systems Maintained:
  - Other Responsibilities:
- RES RESPONSIBILITIES
  - Documents Provided:
  - Systems Maintained:
  - Other Responsibilities:
- RES RESPONSIBILITIES
  - Documents Provided:
  - Systems Maintained:
  - Other Responsibilities:
- NMSS RESPONSIBILITIES
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  - Other Responsibilities:
- NMSS RESPONSIBILITIES
  - Documents Provided:
  - Systems Maintained:
  - Other Responsibilities:
- AEOD RESPONSIBILITIES
  - Documents Provided:
  - Other Responsibilities:
- AEOD RESPONSIBILITIES
  - Documents Provided:
  - Other Responsibilities:
- IRM Responsibilities
  - Systems Maintained:
  - Other Responsibilities:
- IRM RESPONSIBILITIES
  - Systems Maintained:
  - Other Responsibilities:

The purpose of the "Program Plan for Uniform Tracking of Agency Generic Technical Issues" is to provide the Commission with:

- (1) a description of the proposed uniform agency generic issue tracking system, and
- (2) a schedule for implementing the tracking system.

### BACKGROUND:

On December 19, 1995, the NRC staff briefed the Commission on the mechanisms for addressing generic safety issues. As a result of this briefing, a staff requirements memorandum (SRM) was issued from John C. Hoyle to James M. Taylor on January 19, 1996. The SRM stated that the staff should ensure that the respective roles of each office pertaining to generic safety issues are understood and close coordination is practiced to eliminate any duplication of effort. The

SRM also stated that there should be one agency-wide generic issue resolution tracking system, coupled with consistency of prioritization between offices.

## HISTORY:

On October 8, 1976, the Commission directed the staff to develop "a program plan for resolution of generic issues and completion of technical projects." The Commission's decision to collate and prioritize the generic issues was re-emphasized on December 12, 1977, when the Energy Reorganization Act of 1974 was amended by Congress to include a new Section 210:

## UNRESOLVED SAFETY ISSUES PLAN

Sec. 210. The Commission shall develop a plan providing for specification and analysis of unresolved safety issues relating to nuclear reactors and shall take such action as may be necessary to implement corrective measures with respect to such issues. Such plan shall be submitted to the Congress on or before January 1, 1978, and progress reports shall be included in the annual report of the Commission thereafter.

The first resulting report that listed the NRC's generic issues was NUREG-0410, "NRC Program for the Resolution of Generic Issues Related to Nuclear Power Plants," issued December 1977, and was considerably broader in scope than the Unresolved Safety Issues (USI) Plan required by Section 210. In addition to USIs, NUREG-0410 included generic tasks for the resolution of environmental issues, the development of improvements in the licensing process, and consideration for less conservative design criteria. In January 1979, NUREG-0510, "Identification of Unresolved Safety Issues Relating to Nuclear Power Plants," was issued in which the number of USIs was reduced to 17 with the following definition:

"An Unresolved Safety Issue is a matter affecting a number of nuclear power plants that poses important questions concerning the adequacy of existing safety requirements for which a final resolution has not yet been developed and that involves conditions not likely to be acceptable over the lifetime of the plants affected."

The original USIs can currently be found in NUREG-0933, "A Prioritization of Generic Safety Issues" as Task Action Plan items with "A" prefixes. Issues less significant than USIs were given Task Action Plan prefixes "B," "C," and "D." Eight more USIs were added over the next several years, with the last USI, pressurized thermal shock (A-49), added in December 1981.

The first set of evaluations in NUREG-0933 were performed in 1983. After this time, most generic issues were designated as "new generic issues" and can be found in NUREG-0933 under Section 3 of the same name. The remaining Generic Safety Issues (GSIs) can be found under their associated programs, e.g., Human Factors Program Plan, Chernobyl. The majority of the issues are designated as Generic Safety Issues (GSIs).

NUREG-0933 defines GSIs as safety concerns that may affect the design, construction, or operation of all, several, or a class of nuclear power plants and may have the potential for safety improvements and promulgation of new or revised requirements or guidance. NUREG-0933 includes the prioritization of all GSIs but also recognizes several other types of issues: regulatory impact (RIs) issues, which identify requirements that could be relaxed without any substantial change in public risk; environmental issues (EIs), which involves impacts on the human environment and the values sought to be protected by the National Environmental Policy Act (NEPA); and licensing issues (LIs), which are not directly related to protecting public health and safety or the environment, but enhance the regulatory environment. NUREG-0933 has some or all of these types of issues in each of five sections: (1) Three Mile Island (TMI) Action Plan Items; (2) Task Action Plan items; (3) new generic issues; (4) Human Factors Program Plan (which implements the human factors related work for NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident"); and (5) Chernobyl issues.

The responsibility for prioritizing generic issues has changed over the years. The initial work in prioritizing issues was performed by various staff working groups. In April 1980, the lead responsibility was assigned to the Safety Program Evaluation Branch of the Office of Nuclear Reactor Regulation (NRR). Following an NRC reorganization in April 1987, the responsibility for preparing and maintaining the list of generic safety issues and their priority was assigned to the Advanced Reactors and Generic Issues Branch of the Office of Nuclear Regulatory Research (RES).

Since 1987, RES generally has managed the generic issues that could result in additional regulations. NRR and the Office of Nuclear Material Safety and Safeguards (NMSS) have generally continued to work on reactor-related generic issues affecting compliance with existing regulations. In 1995, NRR centralized the management of NRR generic compliance activities in the Events Assessment and Generic Communications Branch (PECB). All types of source data are screened by the Events Assessment and Generic Communications Branch process for generic issues and stored in a word-searchable database. The PECB process relies primarily on multi-discipline issue reviews during daily screening meetings and weekly events assessment panel meetings.

For potentially generic issues, the panel proposes priority, resolution action (bulletin, information notice, referral to RES, etc.), and schedule for completion to the technical branches. PECB maintains responsibility for issuing generic activity technical assignment control (TAC) numbers and provides oversight for these activities. PECB assigns a task manager to all NRR generic activities to remain cognizant of scope, schedule, and prioritization of review. Status of these generic activities is tracked in the Workload Information and Scheduling Program (WISP). Additionally, PECB issues a monthly status report of action plans and all NRR generic activities.

## DISCUSSION:

The roles of each office, coordination of generic activities and their prioritization, and elimination of duplication of effort have been and continue to be a major focus of staff attention. A number of initiatives have been undertaken in this area; these include periodic interoffice coordination meetings among the various program offices and formal processes for dissemination of major products among the various offices.

Most recently these issues were studied in a report, "Report of the Review of Operational and Occupational Event Review, Evaluation, and Followup," issued by James L. Milhoan on August 25, 1994. The report focused on defining the respective roles of both headquarters and regional offices pertaining to operational event review, as well as generic safety issue review, and on the minimization of unnecessary duplication of effort, as well as providing recommendations for improvements. A summarization of the review and status of implementation of the recommendations is discussed below.

The review identified that several of the subject offices are involved in accomplishing, in part, many of the same event review-related goals and objectives. However, by identifying each office's contribution ("value added") to the products that are produced from event review, the review determined that there is an appropriate division of responsibility among the offices such that each office performs complementary actions. Additionally, the review determined that review scope overlap occurs because the headquarter program offices have the additional responsibility

of providing program implementation oversight, while the Office for Analysis and Evaluation of Operational Data (AEOD) performs an independent quality assurance function. This overlap also allows a collegial approach to resolution of issues.

The review identified inefficiencies in the area of information gathering, dissemination, retrieval, and analysis. The review recommended that Management Directive 8.5, "Operational Safety Data Review," be revised to reflect current responsibilities and authorities, and a new revision was issued on December 11, 1995. In addition, the review recommended that guidance related to information notices be revised to avoid duplication of staff efforts. This recommendation was accomplished by the parallel development of NRR Office Letter 503, "Procedure for Integrated Identification, Evaluation, Prioritization, Management, and Resolution of Generic Issues," which outlines the process for initiating a generic communication.

There currently exist many processes to communicate information between offices which assist in the minimization of duplication of staff effort. These processes include the publication of NUREG-0933 and periodic Generic Issue Management and Control System (GIMCS) reports. Offices request confirmatory research with user needs memoranda and the results of confirmatory research are provided to NRR and other offices with Research Information Letters (RILs). NRR provides the status of its work on generic issues to other offices with a monthly Task Action Plan (TAP)/Generic Communication and Compliance Activity (GCCA) status report. AEOD publishes an annual report on their activities and NRR has formal processes for handling AEOD recommendations and suggestions. AEOD also periodically informs other offices of planned and ongoing studies. Collectively, these processes have ensured adequate communications between offices. The effort undertaken in response to the January 19, 1996 SRM seeks to further improve upon existing lines of communications and further reduce duplication of effort.

Historically, generic issues have been handled in different ways by the various NRC offices. This program will increase consistency and coherence among offices in identifying, documenting, and tracking generic safety activities affecting all types of NRC licensees. The program ensures that NUREG-0933 is the repository for all of the agency's Generic Safety Issues (GSIs) as well as Licensing Issues (LI), Regulatory Impact Issues (RI), and Environmental Issues (EI). For these purposes, GSIs are defined as safety concerns that may affect the design, construction, or operation of all, several, or a class of licensees and may have the potential for safety improvements and promulgation of new or revised requirements or guidance. All GSIs, as well as LIs, RIs, and EI's, are tracked using the Generic Issue Management Control System (GIMCS) maintained by RES.

Beyond the GSI documentation, tracking and prioritization activities discussed above, there exist within the NRC other generic activities which are identified, tracked, resolved, and documented within the individual program offices by office-specific systems. This program plan will help assure that the information contained in these various systems, though developed and maintained by the individual program offices, is mutually accessible through the local area network (LAN). Additionally, these office level programs will be on the LAN and serve as a repository for generic safety activities that do not meet the definition for a GSI but represent a significant staff effort or have resulted in generic communications.

The prioritization (cost/benefit analysis) of GSIs is performed by RES. RES and the Office of Nuclear Material Safety and Safeguards (NMSS) will work to develop a consistent prioritization (cost/benefit) scheme for material and fuel cycle GSIs. This will extend the present GSI prioritization (cost/benefit analysis) process for reactor safety to other NRC licensed facilities. Other generic activities of a compliance nature, for which a cost/benefit analysis is not applicable, or of lower safety significance will continue to be prioritized for inter-office resource commitment within the individual offices. These activities include generic communication and compliance activities (GCCAs) in NRR and NMSS and generic studies in AEOD.

The use of a new program icon, "NRC Generic Activities", is envisioned. The system will be located on the LAN and will provide access to the agency's generic issues. When this icon is selected, a list of document types that can be searched and a brief description of each document type will appear. A text management system will be utilized to perform searches on the generic issues documents. Most of the documents to be included in the system already exist in paper form. These include NUREG-0933, RES GIMCS reports, and NRR Director's Monthly Status Report. Some are not currently available in an electronic format and most that are in an electronic format have not been made widely available to NRC staff. AEOD has compiled and cross referenced its studies (AEOD T96-01, "AEOD Technical Reports by Category," dated March 25, 1996) and is currently making this compilation as well as abstracts of reports available electronically.

It is envisioned that the description of documents will contain a discussion of the types of generic activities that they capture and that will be broken down by office. RES will be responsible for NUREG-0933 and GIMCS tracking sections for GSIs, NRR will be responsible for the task action plan (TAP) and the generic compliance and communication activities (GCCA) reports for compliance-based activities, AEOD will be responsible for AEOD study abstracts and the schedule for ongoing studies, and NMSS plans to utilize existing tracking systems developed by RES (GIMCS) and NRR (Events Tracking System) to track generic issues.

A user will have the option of searching any or all of the documents. The system will effectively provide historical documentation as well as the current status of the agency's work on generic issues at a single location. NUREG-0933 will continue to be the agency's repository for GSIs and GIMCS will continue to be the agency's tracking system for GSIs. Prioritization of GSIs will remain a RES responsibility. Additionally, NUREG-0933 will become the historic repository for closed GCCAs. Active GCCAs will be documented and tracked in the NRR monthly TAP/GCCA report. Current status of GCCAs will be available on-line through the Workload Information and Scheduling Program (WISP). Users will also be able to search abstracts of AEOD studies. This new program will facilitate more efficient and comprehensive assessment of events, and provide a consolidated centralized repository of historical and tracking information on ongoing NRC generic activities for agency personnel and may serve as a source of information for the public as well.

The documents will be updated on the basis of current practice and entered into the searchable database. NUREG-0933 will be updated semiannually. GIMCS reports will be updated quarterly and entered as a document, NRR TAP/GCCA reports will be updated monthly, and AEOD reports will also be updated on a suitable schedule. On-line databases will contain information on events and issues from NRR and NMSS. Additionally, RES has requested the Office of Information Resource Management (IRM) to evaluate adapting GIMCS and NUREG-0933 to provide on-line access through the network.

The public will remain apprised of the NRC's work on generic issues through the semiannual issuance of NUREG-0933, Nuclear Regulatory Agenda, quarterly public NRR TAP/GCCA and RES GIMCS reports, the annual AEOD summary report, and periodic reports on the status and schedule of ongoing AEOD studies. These documents are also available to the staff. Electronic dissemination of documents will be coordinated with the Office of Administration to make this available to the public. It is currently envisioned that the public version of the NRC generic activities materials will be posted on the Internet by using the NRC external homepage, however, further technical evaluation is needed to determine the optimal method for implementation.

## NRR RESPONSIBILITIES

NRR has established an integrated process for identification, evaluation, prioritization, management, documentation, and resolution of generic issues for NRR. The process provides (1) a framework for identification of emergent generic issues from source data reported, developed, or compiled by the NRC; (2) a methodology for the evaluation and prioritization of emergent generic issues by the Events Assessment Panel; and (3) guidelines for appropriate management and documentation of the resolution of the emergent generic issues.

The Events Assessment and Generic Communications Branch (PECB) of the Division of Reactor Program Management (DRPM) has the lead responsibility within NRR for screening source data and coordinating efforts with other NRC offices. DRPM/PECB conducts daily conferences during which it briefly highlights reported information and provides preliminary assessment or event followup assignments to PECB staff. As part of that task, PECB ensures that the event notifications, morning reports, and plant status reports are given wide distribution to provide many individuals the opportunity to review them. NRR technical branches review and evaluate operational safety data in their particular areas of expertise. Plant specific event reviews and potentially generic issue regulatory assessments are documented in the Events Tracking System (ETS). Distributed Events Tracking System (DETS), a more advanced system, will be used in the near future.

Potential generic issues are brought to the NRR/AEOD/RES Events Assessment Panel to be prioritized in order to focus agency resources and provide appropriate and timely actions. This process is important for ensuring prompt identification of significant issues and providing adequate management attention for their resolution. Centralized prioritization facilitates a systematic review of factors and builds consensus on the required type of generic resolution, schedule, and priority. RES participates in the panel input to assist in the determination of which issues should be classified as GSIs. Specific technical assignment control (TAC) numbers are provided for generic issues that require further evaluation or will result in a generic communication. These generic issues are referred to as GCCAs.

PECB has lead responsibility for oversight and tracking of all generic issues being worked on within NRR. To execute this responsibility, a PECB engineer is assigned as a task manager for each GCCA. Task managers are also assigned to each NRR action plan. NRR action plans are used to plan and document the resolution of NRR generic issues that require significant resources. Action plans are typically prepared for generic efforts that will require more than 800 staff-hours or more than 1 calendar year to complete. The task manager's primary responsibility is to ensure that these tasks are completed on schedule, or for tasks not on schedule, that differences are reported promptly to NRR management.

NRR GCCAs and action plans are tracked, documented, and made accessible to the public for public review. The current status of TAPs and GCCAs are documented in a monthly management report. Electronic versions of this report will be provided under the NRC Generic Activities icon. A redacted version of this report is published publicly on a quarterly basis. Action plans as well as closed GCCAs are documented in RES's semiannual publication of NUREG-0933. An electronic copy of NUREG-0933 will also be provided under the NRC Generic Activities icon.

## **NRR RESPONSIBILITIES**

### **Documents Provided:**

Monthly status report for TAPs, GCCAs and NRR Rulemaking

Quarterly update of GIMCS for NRR Generic Issues in NUREG-0933

Quarterly redacted public status report for TAPs and GCCAs

Semiannual update of NUREG-0933

### **Systems Maintained:**

Updated status of GCCAs in WISP

Regulatory assessments and event information in the Event Tracking System (ETS) and the Distributed Event Tracking System (DETS) when available

### **Other Responsibilities:**

Continued refinement of DETS as events/generic issues database and evaluate automatic feed for NUREG-0933

Screening of open generic issues for potential generic issues to be sent to RES for prioritization and tracking on the GIMCS

Screening of operational data for possible GCCAs and generic issues

Provide funding (up to \$100K) to improve DETS and implement elements of the program plan

## **RES RESPONSIBILITIES**

RES has the responsibility for prioritizing, resolving, tracking, and documenting Generic Issues for NRC. A generic issue is defined as a concern that is applicable to all, several, or a class of nuclear reactors or reactor-related facilities. Generic issues can arise from various concerns and are classified as one of the following categories: safety, regulatory impact, licensing, or environmental impact. An important element of RES' responsibility is maintenance of the repository for Generic Issue documentation, NUREG-0933. This document contains the concise description, prioritization, current status, and resolution for all issues since inception of the program; it is updated semiannually by RES on the basis of information provided by the task managers throughout NRC. Generic Issues are tracked by RES through use of the GIMCS. GIMCS, a part of SIMS (Safety Issues Management System,) is updated by RES on a quarterly basis, again using information from task managers on the various active issues. The procedures for handling generic issues in NRC is described in NUREG-0933; implementation of those procedures for RES is given in RES Office Letter 7, "Procedure for Identification, Prioritization, Resolution, and Tracking of Generic Issues." In accordance with NRC Management Directive 8.5, "Operational Safety Data Review," RES has the primary responsibility for prioritizing all generic issues.

The Generic Safety Issues Branch (GSIB) in the Division of Engineering Technology (DET) of RES is responsible for maintaining both NUREG-0933 and the GIMCS. GSIB sends out notices for the quarterly or semiannual updates of GIMCS and NUREG-0933, respectively, and uses the input to update them. GSIB also has the primary responsibility for developing the NRC prioritization methodology, and for prioritizing and resolving generic issues in RES. After a period of peer review and comment in accordance with RES O.L.7, and resolution of related comments, a final prioritization

is assigned. The final prioritization of each issue is documented in NUREG-0933. Issues that have a final priority of HIGH, MEDIUM, or NEARLY RESOLVED, and RIs, LIs, and EIIs are assigned by the RES Director to the appropriate NRC office for resolution. Issues scheduled for resolution than have an appropriate TAP developed. An appropriate TAP is developed, and following agreement at the office level, resolution is pursued for issues of HIGH or MEDIUM priority, and for those that are classified as NEARLY-RESOLVED, that is, issues whose resolution is planned and in progress. Agreement on the proposed resolution depends on its nature; for example, a proposal to DROP the issue with no action only requires agreement by the office and the Advisory Committee on Reactor Safeguards (ACRS), but a proposal for a new rule requires approvals up through the Commission. The GSIB task manager is responsible for preparing the appropriate documentation for each step in the process and, in concert with GSIB and DET management, effective presentation to appropriate levels of upper management for approval.

RES works with NRR, AEOD, and NMSS as a consultant on the handling of generic issues, and to facilitate documentation of issues arising in those offices in NUREG-0933 and the GIMCS, as well as in internal office documents.

NUREG-0933 and the GIMCS reports are accessible to the public through the Public Document Room.

## **RES RESPONSIBILITIES**

### **Documents Provided:**

Semiannual publication of NUREG-0933

Quarterly GIMCS status report for GSIs, LIs, RIs, and EIIs

### **Systems Maintained:**

Updated status of generic issues in the GIMCS

Updated status of issues in NUREG-0933

### **Other Responsibilities:**

Requests to IRM to evaluate adapting the GIMCS and NUREG-0933 to client/server technology to allow on-line access

Screening open TAPs and other issues identified by NRR, NMSS, and AEOD as potential GSIs

Incorporation of NRR TAPs and closed GCCAs in NUREG-0933

Coordination with NMSS to develop consistent prioritization scheme for material and fuel cycle generic safety issues

## **NMSS RESPONSIBILITIES**

NMSS has established a program for screening event reports and other operational data, identifying generic issues, and tracking the resolution of those issues. The Regional Coordination/Events Section in the Operations Branch of the Division of Industrial and Medical Nuclear Safety (IMNS) has lead responsibility for reviewing and distributing events reports. Each morning, event notifications, morning report items, and preliminary notifications related to NMSS programs are printed and distributed to NMSS technical branches. Regional coordinators make daily calls to contacts in each region to review events and recent followup actions. The regional coordinators conduct a daily briefing for the Director of IMNS to inform and obtain direction from upper management on immediate response actions and potential generic issues.

A weekly review of materials events is performed by the IMNS Generic Assessment Panel. This panel screens event reports, Technical Assistance Requests, and other operational data for generic issues. The results of this screening process are currently being provided to NRR for entry into its ETS. Events involving fuel cycle facilities, spent fuel storage, waste management, and other topics outside of IMNS responsibilities are referred to other NMSS divisions for screening as appropriate. Generic safety issues identified by this screening process are referred to RES for tracking and prioritization in its GIMCS. NMSS, with assistance from RES, will take the lead to develop a prioritization methodology for its generic issues.

In addition, the Operations Branch of IMNS provides a generic communications coordinator in accordance with Inspection Manual Chapter 0730, "Generic Communications Regarding Material and Fuel Cycle Issues." The generic communications coordinator reviews all NMSS generic communications and maintains a list of NMSS generic communications being developed.

## **NMSS RESPONSIBILITIES**

### **Documents Provided:**

Quarterly list of generic communications being developed

### **Systems Maintained:**

Event information and assessments in the DETS or other suitable system

### **Other Responsibilities:**

Screening of event reports and other operational data for potential GSIs to be sent to RES for prioritization and tracking in the GIMCS

Coordination with RES to develop a consistent prioritization scheme for material and fuel cycle generic safety issues

## **AEOD RESPONSIBILITIES**

AEOD has a process for prioritizing topics for initiating studies that emphasizes operating experience. The process provides

a framework for rating the relative urgency for initiating a study that has the potential for prompting corrective actions.

Major ongoing AEOD studies should be incorporated in the document database and identified with AEODs unique numbering system. AEOD will establish a minimum threshold (approximately 1,000 person-hours or dollar equivalent) that would be needed before the study would be considered for inclusion into agency tracking systems. Summaries of these studies will be updated semiannually in the NRC database.

A list of ongoing studies will be included in the NRC database along with estimated completion dates and the name of the cognizant engineer. AEOD will update this list semiannually.

Issues that need remedial action by the NRC based on the results of the AEOD studies will be forwarded to RES for prioritization and tracking in the GIMCS.

## **AEOD RESPONSIBILITIES**

### **Documents Provided:**

Abstracts of completed AEOD studies

List of current studies with estimated completion dates

### **Other Responsibilities:**

Identification of potential generic issues to be sent to RES for prioritization and tracking in the GIMCS

## **IRM Responsibilities**

IRM will provide overall technical guidance and expertise for the definition and development of the automated solutions associated with this project. As part of the definition, IRM will evaluate costs and system platforming issues. To facilitate the initiation of this effort, IRM is prepared to commit \$50,000 in fiscal year (FY) 96; however, if further funding is necessary for completing approved solutions, it will be the responsibility of the sponsoring office. IRM will assist the sponsoring office in developing appropriate planning submissions to out-year IRM planning calls. (Note: These planning-call submissions will be provided to the Information Technology (IT) Council for review and prioritization in accordance with agency procedures and policy.)

IRM will document the requirements of the automated system and obtain approval from the sponsoring office. With the assurance of the sponsoring office that the requirements are as documented, IRM will analyze these requirements and develop alternatives for automated solutions. During this analysis, IRM will examine and evaluate the records management and data concerns that may be associated with the system and will document any issues identified in these areas. The responsibility for resolving each of these issues will be assigned either to the sponsor or to IRM. IRM will, with input from the sponsor as appropriate, provide for tracking and closeout of these issues and documentation of these actions. IRM will formally provide alternatives for systems development, addressing each of the submissions of the program offices to the document repository for review. Upon designation and approval of the desired alternative by the sponsor, IRM will evaluate the current workstation environment (hardware and software), as well as the network and infrastructure, and will provide to the sponsor for review a plan that will include costs and estimates of the level of effort (approximate duration schedule) for the design, development, and implementation of the desired solution. Upon receipt of funding from the program office, IRM will develop, test, and implement the system or subsystems agreed upon. Within the design and development, IRM will provide for automated processes for updating the document database and will provide all necessary user training during the implementation phase.

Throughout this effort, IRM will provide system development project management and will define and obtain approval from the sponsor for each phase of design, development, and deployment of automated solution sets. IRM will conduct periodic status meetings to reaffirm that all aspects of the design, development, and implementation are openly discussed and that the scope of the project is held to the requirements, as defined in the baseline document. Changes to the baseline requirements will be addressed through formal change control procedures that will ensure that changes to the baseline are only made after a full discussion of the impact on schedule and cost. Any changes to the baseline will require formal approval by the sponsoring office.

IRM is currently developing the DETS for NRR to track their work on events and generic issues. DETS is scheduled for implementation in September 1996. IRM will seek to optimize on this investment in the examination of alternatives to meet the documented requirements.

IRM will work with the Office of Administration to implement the defined method for providing public access to the information in accordance with agency policy on delivery of information to the public.

## **IRM RESPONSIBILITIES**

### **Systems Maintained:**

IRM will provide overall technical guidance and expertise for the definition and development of the automated solutions associated with this project

IRM will provide technical support for the DETS, the WISP, and the GIMCS

### **Other Responsibilities:**

Provision of funding (up to \$50,000) for creation of the NRC Generic Activities program

Continued refinement of DETS as the events/generic issues database

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## **UNIFORM AGENCY GENERIC ISSUE RESOLUTION TRACKING SYSTEM**

MILESTONES	DATE Target (T) Completed (C)
1. Issue request to offices for meeting to discuss scope of SRM and further actions necessary for development of tracking system	02/23/96 (C)
2. Assign staff contacts	03/06/96 (C)
3. Hold working-level meeting with staff contacts	03/06/96 (C)
4. Develop plan for Agency-wide Tracking System.	04/26/96 (C)
5. Request for contract funds for development of NRC Generic Activities program.	06/01/96 (T)
6. Evaluate adapting GIMCS and NUREG-0933 to client/server technology to allow online access	01/01/97 (T)
7. Implement document database on pilot basis	01/01/97 (T)
8. Develop consistent prioritization scheme for materials issues	12/31/97 (T)
9. Revise NRC Management Directive 8.5 to implement process as required	12/31/97 (T)
10. Complete implementation of document database of agency generic technical issues	12/31/97 (T)

**Description:** The objective of this program plan is to delineate, schedule, and track the actions necessary to develop a single agency-wide generic issue resolution tracking system.

**Historical Background:** In an SRM dated January 19, 1996, from John C. Hoyle to James M. Taylor, it was stated that the staff should ensure that the respective roles of each office with regards to generic issue resolution tracking are understood and close coordination is practiced to eliminate any duplication of effort. The SRM also stated that there should be one agency-wide generic issue resolution tracking system, coupled with consistency of prioritization between offices.

**Proposed Actions:** Specific actions of this program plan include coordination between NRR, RES, NMSS, and AEOD to define and create an agency-wide generic issue resolution tracking system.

**Originating Document:** Memorandum from John C. Hoyle to James M. Taylor, "Staff Requirements-Briefing on Mechanism for Addressing Generic Safety Issues, 10:00 A.M., Tuesday, December 19, 1995, Commissioners' Conference Room, One White Flint North, Rockville, Maryland (Open to Public Attendance)," dated January 19, 1996.

**Current Status:** A program plan has been developed.

**Resource Expenditure:** 0.1 full-time equivalent (FTE) position to date; 0.5 FTE and \$ 50K estimated to create a single icon database system; 0.1 FTE and \$200K estimated to create a consistent prioritization scheme for materials issues.

**Priority:** 1