
Task V.F: Organization and Management

The objective of this task was to improve Commission organization and management.

ITEM V.F.1: STUDY NRC TOP MANAGEMENT STRUCTURE AND PROCESS

DESCRIPTION

This NUREG-0660,¹ Rev. 1 item called for the Commission to hire an independent management consulting firm to examine the internal management approaches and procedures used by the Commissioners to execute their responsibilities and to examine possible improvements in the Commission's efficiency and effectiveness.

The FY-80 NRC Authorization Act required the Commission to contract for the completion by July 1981 of an independent review of the Commission's management structure, processes, procedures, and operations at all levels of agency management. This item was originally identified as Item 10 in Chapter V but was made Item V.F.1 in Rev. 1 to NUREG-0660.²

In May 1980, the Commission developed and issued a Policy and Planning Guidance (PPG)³ document to provide direction to the staff on general policies and objectives of the agency. The PPG provides a common basis for establishing agencywide priorities and is instrumental in shaping NRC programs and plans. The PPG is updated and revised annually.

In support of the PPG, the EDO Program Guidance was developed to help determine appropriate resource needs through the budget process. Together, the PPG and the EDO Program Guidance form the basis for agency planning and program development. The EDO Program Guidance is updated and revised annually.

In an NRC letter⁴ to the Congress in March 1981, it was indicated that Congressional concerns involving the Commission's management structure, processes, and operations were adequately addressed by actions already underway. Plans to have a consulting firm examine internal management were therefore dropped.

This item is related to increasing knowledge, certainty, and understanding of safety issues in order to increase confidence in assessing levels of safety and is, therefore, considered a licensing issue.

CONCLUSION

This Licensing Issue has been resolved.

ITEM V.F.2: REEXAMINE ORGANIZATION AND FUNCTIONS OF THE NRC OFFICES

DESCRIPTION

This NUREG-0660,⁵ Rev. 1 item called for the Commission to examine the organization and functions of

¹ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

² NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

³ NUREG-0885, "U.S. Nuclear Regulatory Commission Policy and Planning Guidance," U.S. Nuclear Regulatory Commission, (Issue 1) January 1982, (Issue 2) January 1983, (Issue 3) January 1984, (Issue 4) February 1985, (Issue 5) February 1986, (Issue 6) September 1987.

⁴ Letter to the Honorable Alan Simpson from Joseph Hendrie, March 24, 1981. [8104030556]

⁵ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

the NRC offices to identify possible improvements in the overall efficiency and effectiveness of NRC including (1) an evaluation of the consolidation of all NRC resources and activities for monitoring operating reactors in a single office; (2) the reorganization of NRR to elevate human factors in criteria development and systems evaluation to a level of prominence equivalent to that of the safety equipment; (3) the reorganization of OIE to increase inspection and enforcement effectiveness; (4) the establishment of an integrated program for modifying regulatory requirements based on systemic identification and assessment of safety issues; and (5) the use of technical consultants to increase staff capability in discrete technical areas. This item was originally identified as Item 11 in Chapter V but was made Item V.F.2 in Rev. 1 to NUREG-0660.⁶

Over the past several years, a number of organizational changes have taken place at NRC to improve the effectiveness and efficiency of the agency. Some of the major changes are listed below.

Monitoring Operating Reactors

AEOD was created to identify and communicate lessons of operating experience to all appropriate parties. ORAB was also created in NRR to perform systematic assessments of operating reactor experience. Following the NRR reorganization in November 1985, ORAB was made the Operating Reactors Assessment Staff (ORAS).

Human Factors Considerations

The Division of Human Factors Safety (DHFS) was created within NRR to provide increased emphasis on the benefits and problems represented by the human element in nuclear operations. Following the NRR reorganization in November 1985, DHFS was made the Division of Human Factors Technology (DHFT).

Inspection and Enforcement

(1) The emergency preparedness function was transferred to OIE and the Division of Emergency Preparedness and Engineering Response (DEPER) was created. An OIE component to manage NRC's incident response operations and planning efforts was also added. (2) Improvements and intensification of inspections at operating reactor sites and at plants under construction were made that included (a) more inspection effort at operating power reactors directed toward verification of licensees' implementation and completion of actions specified in the TMI Action Plan; (b) special attention in the construction inspection program focused on quality assurance, on-site design, and review of as-built structures and systems; (c) raised limit on NRC fine for a single violation from \$5,000 to as much as \$100,000 per day with no ceiling on the total fine for any 30-day period; (d) NRC Policy changes that strengthened enforcement measures to prohibit operations by licensees who fail to meet adequate levels of protection and made non-compliance more expensive than compliance; (e) various improvements to inspector training; (f) studies by SNL, the results of which were used to further increase the effectiveness and safety efficiency of the operating reactor inspection program (NUREG/CR-1368⁷ and NUREG/CR-1369⁸); (g) revisions to inspection programs making safety verification the highest priority; (h) at least one inspector assigned to every site with an operating power reactor and every site where construction activities are in progress; and (i) identification of licensee management control problems through NRC team appraisals. These changes are documented in NRC Manual Chapter 0127.⁹

Safety Issues

(1) A systematic review has been performed of all candidate issues from the TMI investigations and

⁶ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

⁷ NUREG/CR-1368, "Development of a Checklist for Evaluating Maintenance, Test and Calibration Procedures Used in Nuclear Power Plants," U.S. Nuclear Regulatory Commission, May 1980.

⁸ NUREG/CR-1369, "Procedures Evaluation Checklist for Maintenance, Test and Calibration Procedures," U.S. Nuclear Regulatory Commission, May 1980.

⁹ Memorandum for J. Taylor from D. Morrison, "Resolution of Generic Safety Issue 83, "Control Room Habitability," June 17, 1996. [9607250277]

continues to be performed for issues identified from operating reactor experience; (2) Generic issues are integrated into an agencywide program according to priority based on potential safety significance and cost of implementation; (3) NRC uses a 10-criteria evaluation process to determine which of the safety issues could be designated as USIs. Task Action Plans are developed to resolve those issues identified for further pursuit.

Technical Consultants

(1) NRR technical assistance in Operating Reactors and Casework more than tripled from FY-79 to FY-81 mostly because of the TMI-2 accident impact. This increase reflected additional technical assistance from such technical experts as the Franklin Research Institute to complete the growing number of reactor licensing amendments/actions. Efforts were also augmented for casework activities through technical support from contractors such as SAI and from the DOE National Labs; (2) Additional members were added to the panel of ASLBs which, in many cases, were reconstituted to minimize schedule conflicts.

Other Reorganizations

(1) During 1981, the Offices of Nuclear Regulatory Research (RES) and Standards Development (SD) were consolidated into a single RES Office. This change made the research function more responsive to the regulatory needs of the agency, by more direct application of research to regulations and rules, and made more effective use of staff resources. (2) A new position (Deputy Executive Director for Regional Operations and Generic Requirements) was created in 1981 in the EDO office to bring tighter control and coordination to new regulatory requirements and to help manage the enlarged role of NRC regional offices. (3) Also in 1981, regional operations were expanded to improve the quality of regulation by transferring a number of headquarters functions to the regions. Regional Administrators report directly to the EDO and act as key agents in NRC's interactions with licensees. This change is documented in NRC Manual Chapter 0128.¹⁰

This item is related to increasing knowledge, certainty, and understanding of safety issues in order to increase confidence in assessing levels of safety and is, therefore, considered a licensing issue.

CONCLUSION

This Licensing Issue has been resolved.

ITEM V.F.3: REVISE DELEGATIONS OF AUTHORITY TO STAFF

DESCRIPTION

This NUREG-0660,¹¹ Rev. 1 item called for the Commission to improve NRC's organizational and management capabilities for effective pursuit of safety goals by clarifying and, as necessary, revising delegations of authority to the staff. This item was originally identified as Item 12 in Chapter V but was made Item V.F.3 in Rev. 1 to NUREG-0660.¹²

The Commission delegated substantial rulemaking authority to RES. To reflect the requirements of the President's Reorganization Plan No. 1 of 1980,¹³ NRC reviewed and changed manual chapters¹⁴ that dealt with the delegation of authority to staff office directors. These changes were documented in an EDO

¹⁰ Memorandum for J. Taylor from D. Morrison, 'Resolution of Generic Safety Issue 83, "Control Room Habitability,"' June 17, 1996. [9607250277]

¹¹ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

¹² NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

¹³ Regulatory Guide 1.139, "Guidance for Residual Heat Removal," U.S. Nuclear Regulatory Commission, May 1978.

¹⁴ Memorandum for J. Taylor from D. Morrison, 'Resolution of Generic Safety Issue 83, "Control Room Habitability,"' June 17, 1996. [9607250277]

memorandum to the Chairman in December 1980.¹⁵ NRC also reviewed delegations of authority to Commission-level offices and concluded no changes were required. This conclusion was documented in SECY-80-497.¹⁶ Additional rulemaking authority was delegated to the staff in 1985.¹⁷

This item is related to increasing knowledge, certainty, and understanding of safety issues in order to increase confidence in assessing levels of safety and is, therefore, considered a licensing issue.

CONCLUSION

This Licensing Issue has been resolved.

ITEM V.F.4: CLARIFY AND STRENGTHEN THE RESPECTIVE ROLES OF CHAIRMAN, COMMISSION, AND EXECUTIVE DIRECTOR FOR OPERATIONS

DESCRIPTION

This NUREG-0660,¹⁸ Rev. 1 item called for the Commission to clarify and strengthen the respective roles and authorities of the Chairman as chief executive officer, the Commission as head of the agency, and the EDO as chief staff officer. This item was originally identified as Item 13 in Chapter V but was made Item V.F.4 in Rev. 1 to NUREG-0660.¹⁹

The President's Reorganization Plan of 1980²⁰ served to strengthen the authority of the NRC Chairman relative to the Commission. For example, the Chairman is the official spokesman and principal executive officer of the Commission and directs and delegates various functions to the EDO who reports to the Chairman on all matters. Two Commission-level offices (Public Affairs and Congressional Affairs) also report directly to the Chairman. The Commission retains responsibility for policy formulation, rulemaking, orders, and adjudication. The Chairman initiates personnel actions, subject to Commission approval, for heads of offices reporting directly to the Commission, for the EDO, and for the heads of the major program offices. The Chairman directs and delegates to the EDO responsibility for all administrative functions, distribution of business, preparation of reorganization proposals and budget estimates, allocation of funds, and personnel matters other than those affecting the major program offices and certain other offices reporting to the Commission.

The EDO position was also strengthened relative to the program staff. For example, all program offices and regions report to the EDO. The EDO keeps the Commission fully and currently informed through the Chairman. The EDO is to be consulted regarding actions affecting the program offices and regional offices. These procedures are documented in NRC Manual Chapter 0103.²¹

This item is related to increasing knowledge, certainty, and understanding of safety issues in order to increase confidence in assessing levels of safety and is, therefore, considered a licensing issue.

¹⁵ Memorandum for Chairman Ahearne from W. Dircks, "Manual Chapters Delegation of Authority to Staff Office Directors," December 23, 1980.

¹⁶ SECY-80-497, "Review of Delegations of Authority and Other Documentation," U.S. Nuclear Regulatory Commission, November 10, 1980. [8011190612]

¹⁷ Federal Register Notice 50 FR 42145, "10 CFR Part 1, Statement of Organization and General Information," October 18, 1985.

¹⁸ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

¹⁹ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

²⁰ Regulatory Guide 1.139, "Guidance for Residual Heat Removal," U.S. Nuclear Regulatory Commission, May 1978.

²¹ Memorandum for J. Taylor from D. Morrison, "Resolution of Generic Safety Issue 83, "Control Room Habitability," June 17, 1996. [9607250277]

CONCLUSION

This Licensing Issue has been resolved.

ITEM V.F.5: AUTHORITY TO DELEGATE EMERGENCY RESPONSE FUNCTIONS TO A SINGLE COMMISSIONER

DESCRIPTION

This NUREG-0660,²² Rev. 1 item called for the Commission to seek authority to delegate specific management responsibilities to an individual Commissioner in the event of defined emergencies. (See also Item III.A.3.1 in which NRC is to develop its role in responding to nuclear emergencies.) This item was originally identified as Item 14 in Chapter V but was made Item V.F.5 in Rev. 1 to NUREG-0660.²³

The Commission's emergency response functions were transferred to its Chairman, as documented in the Reorganization Plan No. 1 of 1980.²⁴ The responsibilities of the Commission and staff are set forth in detail in NRC Manual Chapter 0502.²⁵

This item is related to increasing knowledge, certainty, and understanding of safety issues in order to increase confidence in assessing levels of safety and is, therefore, considered a licensing issue.

CONCLUSION

This Licensing Issue has been resolved.

²² NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

²³ NUREG-0660, "NRC Action Plan Developed as a Result of the TMI-2 Accident," U.S. Nuclear Regulatory Commission, May 1980, (Rev. 1) August 1980.

²⁴ Regulatory Guide 1.139, "Guidance for Residual Heat Removal," U.S. Nuclear Regulatory Commission, May 1978.

²⁵ Memorandum for J. Taylor from D. Morrison, 'Resolution of Generic Safety Issue 83, "Control Room Habitability,'" June 17, 1996. [9607250277]