



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

August 19, 2019

MEMORANDUM TO: Dr. Brett M. Baker
Assistant Inspector General for Audits
Office of the Inspector General

FROM: Raymond V. Furstenau **/RA/**
Director of Nuclear Regulatory Research

SUBJECT: STAFF RESPONSE TO THE OFFICE OF THE INSPECTOR
GENERAL'S AUDIT OF THE U.S. NUCLEAR REGULATORY
COMMISSION'S SCREENING AND ASSESSMENT OF
PROPOSED GENERIC ISSUES (OIG-19-A-07)

This memorandum provides the U.S. Nuclear Regulatory Commission (NRC) staff's status update for the three recommendations from the Office of the Inspector General's (OIG's) audit OIG-19-A-07, "Audit of NRC's Screening and Assessment of Proposed Generic Issues," dated January 23, 2019, Agencywide Document Access Management System (ADAMS) Accession Number ML19023A323. In a memorandum to OIG dated February 26, 2019, the staff outlined its planned action and target date for addressing the OIG recommendations. The staff has completed all actions for the three recommendations as outlined below.

Recommendation 1:

Clarify, finalize, and implement guidance for timely proposed generic issue initial screening.

Response and Planned Action (per Agency Response Dated January 23, 2019)

Management agrees with OIG recommendation #1.

The staff plans to revise the Office of Nuclear Regulatory Research (RES) Instruction for the Generic Issues (GI) Program to include a target for the GI staff to complete its initial screening review within 6 months of initial receipt of the proposed GI.

Target date for completion: Complete action by December 31, 2019.

Status: Resolved.

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Action Taken:

The staff issued Revision 3 to the RES Office Instruction, TEC-002, "Generic Issues Program," on July 17, 2019, to include a target for the GI staff to complete its initial screening review within 6 months of initial receipt of the proposed GI.

Target date for completion: Completed.

Recommendation 2:

Implement office guidance for displaying GI Program milestone documentation on the Dashboard Web site.

Response and Planned Action

Management agrees with OIG recommendation #2.

As a means to provide a more effective means of communication to the public, the staff will revise existing program procedures to clarify that the Dashboard Web site is now the official database for tracking the status of GIs and will provide a description of the program milestones that should be linked on the Dashboard in the procedures. The staff will also supplement the current information on the Dashboard consistent with the procedures.

Target date for completion: Complete action by December 31, 2019.

Status: Resolved.

Action Taken:

Revision 3 to RES Office Instruction TEC-002 clarified that the GI Dashboard Web site will be used as the official database for tracking the status of GIs. Management Directive (MD 6.4) identifies seven "Milestone Memorandum" which document the progression of a GI through the three stages of the GI process. The GI program staff updated the GI Dashboard to more clearly and systematically show the links to these milestone memoranda. The GI program staff also supplemented the information on the GI Dashboard consistent with the above procedures (where appropriate, since not all memorandums are applicable to every GI), including the example documents identified in the OIG report.

Target date for completion: Completed.

Recommendation 3:

Update applicable procedures to emphasize appropriate use, reporting, and monitoring of generic issues CACs for staff time spent on generic issues work.

Response and Planned Action

Management agrees with OIG recommendation #3.

The staff will revise the RES Office Instruction to add a responsibility for the GI Program staff to emphasize use of the GI Program CAC and to periodically review the time charged to it to facilitate accurate accounting for NRC staff efforts on GI work. The staff will ensure consistency with the agency guidance in Management Directive 10.43, "Time and Labor Reporting."

Target date for completion: Complete action by December 31, 2019.

Status: Resolved.

Action Taken:

Revision 3 of RES Office Instruction (TEC-002) included the responsibility for the GI Program staff to notify the staff of the appropriate CACs for proposed GIs, and to perform periodic reviews of the time charged to the GI program CACs to facilitate accurate accounting for NRC staff efforts on generic issues. The GI program staff developed a procedure describing the appropriate reports in HRMS for the reviews and placed it on the GI SharePoint site as a reference. The GI program staff will ensure that time charged to the GI Program CAC is consistent with the agency guidance in Management Directive 10.43, "Time and Labor Reporting."

Target date for completion: Completed.

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