



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

OCT 19 1982

*RF*  
*new file titled:*  
*place this in?*

MEMORANDUM FOR: Those on Attached List

FROM: William J. Dircks  
Executive Director for Operations

SUBJECT: NRC ALLEGATION TRACKING SYSTEM

With the increase in the number of allegations involving NRC licensed activities and considering the NRC's responsibility to act promptly in response to these allegations, I believe that we must have a management system to track our actions on these allegations to ensure that all allegations receive the proper NRC management attention. Recently, I directed the Office of Inspection and Enforcement to develop an NRC system for tracking the receipt of, action on, and disposition of allegations involving NRC licensees or NRC licensed activities.

Enclosed is a draft form, with instructions for completion, that IE proposes to use as the input base for the NRC Allegation Tracking System. Each office would be responsible for (1) completing this form for each allegation received, (2) providing updates to the tracking systems for allegations for which they are the action office, and (3) providing notification to the responsible office (e.g., NRR, NMSS) of the status of significant allegations prior to a major licensing action scheduled for the near term. IE will manage this system and provide monthly status reports on the Allegation Tracking System.

I believe the enclosed form includes the basic information about allegations that needs to be collected and tracked. Before implementing this system, I would appreciate receiving your comments on the proposed system and form. Comments should be forwarded to Bick DeYoung, IE, with a copy to me by October 29, 1982. By copy of this memorandum, I also invite the Commission offices to provide their comments on the proposed tracking system. I plan to implement this tracking system by November 19, 1982.

*Jack W. For*  
William J. Dircks  
Executive Director for Operations

Enclosure: As stated

cc: Samuel Chilk, SECY  
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## NRC ALLEGATION TRACKING SYSTEM

### GENERAL INSTRUCTIONS

1. Upon receipt of an allegation involving an NRC licensee or NRC licensed activity, the Allegation Data Form should be completed and forwarded to the Chief, Program Support Branch, Office of Inspection and Enforcement (Mail Stop EW/W 359) within five working days after receipt of an allegation.
2. For purposes of this tracking system, an allegation is considered to be any accusation by a licensee, licensee employee, contract employee, or any member of the public of ~~wrong-doing~~ or issue of safety significance involving an NRC licensee or NRC licensed activity.
3. All information entered on the form should be unclassified and should not contain any safeguards information or any proprietary or commercial (2.790) information. *or add to a information sheet with date*
4. Once allegations are entered into the tracking system, a monthly listing will be distributed to each office for updating. A final monthly report will then be issued to the EDO with copies provided to the offices.
5. The status of significant allegations shall be provided to the responsible office (e.g., NRR, NMSS) prior to a major licensing action scheduled for the near term.

### INSTRUCTIONS FOR COMPLETION OF ALLEGATION DATA FORM

1. Allegation Number: To be entered by IE.
2. Facility(ies) Involved: To be entered by IE and updated by *define* action office.
3. Source of Allegation: Describe person providing allegation: licensee employee, NRC employee, security guard, public organization, concerned citizen, contract employee, news media, etc.
4. Person Receiving Allegation: Identify name and office of NRC staff member first receiving allegation.
5. Date of Allegation: Identify date allegation was received, month-day-year.
6. Form of Communication of Allegation: Identify how the allegation was received, for example, letter, telephone or meeting and date of the communication.

NRC manual  
chapter7. Description of Allegation: *expanded*

Provide a brief, unclassified, 1 to 2 sentence description of the allegation.

8. Preliminary Evaluation of Allegation: *initial*

Provide initial comments on possible safety significance of the allegation and indicate if the allegation may be considered generic or plant specific.

9. Action Office:

Identify the NRC office which has been assigned responsibility for followup on the allegation. (If the action office differs from the office receiving the allegation, indicate how the action was transferred to the action office and date of transfer.)

10. Action Officer:

Identify the action office contact for the allegation and phone number.

11. Action: *outline*

Provide a brief description of action taken (or planned) to follow up on allegations.

12. Status:

Indicate "pending" if actions have not yet been initiated, "active" if actions are presently under way, or "closed" if actions are completed.

13. Closeout:

- a. Indicate if the allegations are substantiated or not.
- b. Identify date of NRC response to person providing allegation.
- c. Identify NRC actions to be taken as a result of the allegation.

14. Remarks:

Include any additional information deemed pertinent to the allegation, for example, relation to other allegations.

15. Date and Signature:

NRC staff member who prepared the input data for the form should date and sign the form.

Allegation Data Form\*

1. Allegation Number:
2. Facility(ies) Involved:
3. Source of Allegation:
4. Person Receiving Allegation:
5. Date of Allegation:
6. Form of Communication of Allegation:
7. Description of Allegation:
  
8. Preliminary Evaluation of Allegation:
  
9. Action Office:
10. Action Officer:
11. Action:
  
12. Status:
13. Closeout:
  
14. Remarks:
  
15. Date: \_\_\_\_\_ Signature: \_\_\_\_\_

\*When a computerized system is developed for managing the tracking system, this form will be revised to specify maximum field length for each data entry.