



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

June 1, 1983

MEMORANDUM FOR: Carlton C. Kammerer, Director
Office of Congressional Affairs

FROM:

Kay A. Fortune for
Ben B. Hayes, Director
Office of Investigations

SUBJECT: ADDITIONAL STAFF FOR THE OFFICE OF INVESTIGATIONS

As you recall, the Chairman advised you by memorandum dated March 30, 1983 to assist OI in its efforts to obtain additional personnel for the current fiscal year by seeking appropriate congressional approval. In support of the request, I am providing the following information to assist you in your effort.

OI is currently limited to 38 positions rather than full-time equivalents (FTE) like the rest of the NRC. We currently have 37 positions obligated. Our present vacancy is due to the reassignment of an investigator as of May 1, 1983. The 38 positions are distributed in the following manner:

Headquarters Managers	3
Headquarters Secretaries	2
Program Assistant	1
Administrative Assistant	1
Headquarters Investigators	5
Field Office Directors	5
Field Office Secretaries	5
Field Investigators	15

The following should be noted regarding the foregoing:

1. The three headquarters managers--the Office Director, Deputy Director, and Director, Division of Field Operations, provide direct line supervision over all field activities via the Field Office Directors.
2. Case review and quality control is provided by the headquarters investigators (Desk Officers) who also are actively involved in field investigations.
3. Field Office Directors are expected to spend 50% of their time in the performance of investigations. (In practice, they are spending less than 50% of their time performing investigations.)

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4. There are a total of 20 non-supervisory investigators in OI (21 when the existing vacancy is filled).

This small geographically dispersed cadre of investigators must contend with an inventory of open investigations that is trending upwards beyond its current level of about 40. Although much of the increase is due to increased public awareness of OI and its functions, there are other contributing factors.

One is the need to assign two (or more) investigators to each case due to the frequently confrontational nature of such activity and their complexity. This in turn in part stems from a growing industry sensitivity to the implications of OI investigative activity.

Another is that OI has become involved in two investigations that have been proven to be labor intensive; the Zimmer investigation has five investigators assigned, and the TMI-2 investigation involves three investigators. These two investigations account for over one-third of OI investigators, and occupy a significant percentage of OI management time. This has necessitated deferral of some important investigations and has prolonged yet others.

The major reason for the growing backlog is that even with the continuing expenditure of overtime, both compensated and employee donated, current staffing levels are not sufficient to keep up with the demand. Consequently, in addition to the growing inventory of deferred investigations, OI is no longer able to respond to requests for Assistance to Inspections. Relatedly, OI has been processing 30 to 40 inquiries a month. These inquiries which give a quick look at the substance of allegations or conditions, and provide a basis for making investigative determinations, are being increasingly deferred.

As another consequence of this resource shortfall, essentially all of the OI efforts are being devoted to operations allowing little staff time for program development and planning. Training has also fallen victim to the ever-increasing caseload. Curtailment of investigator's leave is heading OI towards an end-of-year leave problem, as well as having a serious impact on the investigators and their families. This, coupled with the amount of time spent in travel and overtime, is creating a climate conducive to investigator "burn-out".

It is my view that we need the following relief:

1. Four (4) non-supervisory investigator positions to be filled as soon as possible in FY 83.
2. Authority to base our staffing levels on the FTE system like the rest of the NRC.

June 1, 1983

3. An additional seven (7) positions for FY 84 one of which will be used for clerical support and another for headquarters staff activities such as FOIA coordination (which already consumes .5 staff years of activity).

I would like to leave the door open to additional increases in FY 85 if the case load continues to trend upwards at the present rate. I have included as an attachment a brief description of OI functional responsibilities.

Attachment:

As stated

cc w/att:

Chairman Palladino

Commissioner Gilinsky

Commissioner Ahearne

Commissioner Roberts

Commissioner Asselstine

W. Dircks, EDO

Distribution:

✓ OI s/f PDV 5 OI Resources

OI c/f

Pending

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Office :	OI W	OI RF	OI RF
Surname:	W. Ward:dl	R. Fortuna	B. Hayes
Date :	6/1/83	6/1/83	6/1/83

The Office of Investigations is charged with the following:

- The conduct, supervision, and quality control of investigations of licensees, applicants, contractors or vendors, including investigating all allegations of wrongdoing by other than NRC employees and NRC contractors.
- Development of policy, procedures and quality control standards for the conduct of all OI investigators.
- Ensuring that all OI investigators are properly trained.
- Keeping abreast of formal inspection efforts to licensee, applicant contractor or vendor operations and advising the Commission, the EDO and Regional Administrators of the need for investigations.
- Keeping the rest of the Agency informed of matters under investigation as they affect safety matters.
- Advising and assisting the Office of Inspector and Auditor in appropriate referrals to the Department of Justice.

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Office: 01

Schedule: E-2A
Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW
EXPLANATION OF E-2 ASSUMPTIONS AND METHODOLOGY

Labor Rate Development

The nature of the planned accomplishments (PA) 1-3 is such that workload volume cannot be accurately predicted. Estimates for FTE were formulated based on number of cases and man-hours per case since the inception of 01 in July 1982.

Data Sources

An internal Weekly Activity Report was used to generate data. Both regular and overtime hours were used.

Other Pertinent Information

None.

Office: 01

Schedule: E-2B

Page: 1 of 1

Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW
LISTING OF ORGANIZATIONAL SUPERVISION/SUPPORT STAFF POSITIONS
(For All Decision Units Combined)

<u>Position Title</u>	<u>Number of Positions</u>		
	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
Office Director	1	1	1
Deputy Office Director	1	1	1
Program Assistant	1	1	1
Administrative Assistant	1	1	1
Investigator (FOIA)	.5	.5	.5
Division Director	1	1	1
Secretaries	2.5	2.5	2.5
Totals	<u>2.5</u> 8	8	8

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW
OFFICE SUMMARY
(Dollars in Thousands)

Office: Investigations

	FY 1983		FY 1984				FY 1985		FY 1986	
	Current Estimate		President's Budget		Current Estimate		Request		Request	
	Dollars	FTE	Dollars	FTE	Dollars	FTE	Dollars	FTE	Dollars	FTE
<u>Program Support/FTE:</u>										
Division Unit 1 71-19-01-00	\$ -0-	⁴² (38)	\$ -0-	(38)	\$ -0-	⁴⁹ (42)	\$ -0-	⁴⁹ (47)	\$ -0-	⁴⁹ (47)
Program Support/FTE Subtotal	\$ -0-	⁴² (38)	\$ -0-	(38)	\$ -0-	⁴⁹ (42)	\$ -0-	⁴⁹ (47)	\$ -0-	⁴⁹ (47)
Travel 71-21-00-00 (F-2)										
- Headquarters	\$ 208	-	-	-	\$ 220 ²⁴⁵	-	\$ 230 ²⁴⁵	-	\$ 230 ²⁴⁵	-
- Regional										
Equipment XX-31-00-00	-	-	-	-	-	-	-	-	-	-
Administrative Support:										
Headquarters (F-3)										
Regional (F-3)										
ADP										
TOTALS	\$ 208	⁴² (38)		(38)	\$ 220 ²⁴⁵	⁴⁹ (42)	\$ 230 ²⁴⁵	⁴⁹ (47)	\$ 230 ²⁴⁵	⁴⁹ (47)

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
DECISION UNIT JUSTIFICATION
(Dollars in Thousands)Schedule: E-3A - Part 1
Page: 1 of 1
Date Prepared: 5-20-83Office: 01
Decision Unit: 01-InvestigationsSECTION A - DECISION UNIT RESOURCE SUMMARY

	<u>FY 1983</u>	<u>FY 1984</u>		<u>FY 1985</u>		<u>FY 1986</u>	
	<u>Current</u>	<u>Pres.</u>	<u>Current</u>	<u>Request</u>	<u>MARK</u>	<u>Request</u>	<u>MARK</u>
	<u>Estimate</u>	<u>Budget</u>	<u>Estimate</u>				
(FTE)	(38)	(38)	49 (42)	49 (47)		49 (47)	
Program Support \$	-0-	-0-	-0-	-0-		-0-	
Equipment \$	-0-	-0-	-0-	-0-		-0-	

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
DECISION UNIT RESOURCES
(Dollars in Thousands)

Schedule: E-3A Part 2
Page: 1 of 2
Date Prepared: 5-19-83

Office: Investigations

PLANNED ACCOMPLISHMENT: Investigations

ORG	OC	DU	PA	PAC	FY 83- CURR EST		FY 84-PRES BUD		FY 84- CURR EST		FY 85 REQUEST		FY 86 REQUEST	
					PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE
71	19	01	01	0811	-0-	¹⁸ (17.5)	-0-	(17.5)	-0-	²¹ (18)	-0-	²¹ (19)	-0-	²¹ (19)

PLANNED ACCOMPLISHMENT: Inquiries

ORG	OC	DU	PA	PAC	FY 83- CURR EST		FY 84-PRES BUD		FY 84- CURR EST		FY 85 REQUEST		FY 86 REQUEST	
					PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE
71	19	01	02	0811	-0-	⁷ (6)	-0-	(6)	-0-	⁹ (7)	-0-	(9)	-0-	(9)

PLANNED ACCOMPLISHMENT: Assists to Inspections

ORG	OC	DU	PA	PAC	FY 83- CURR EST		FY 84-PRES BUD		FY 84- CURR EST		FY 85 REQUEST		FY 86 REQUEST	
					PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE
71	19	01	03	0811	-0-	² (0)	-0-	(0)	-0-	³ (2)	-0-	(3)	-0-	(3)

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U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
DECISION UNIT RESOURCES
(Dollars in Thousands)

Office: Investigations

Schedule: E-3A Part 2
Page: 2 of 2
Date Prepared: 5-19-83

PLANNED ACCOMPLISHMENT: Direct Staff Supervision/Support

JRG	OC	DU	PA	PAC	FY 83- CURR EST		FY 84-PRES BUD		FY 84- CURR EST		FY 85 REQUEST		FY 86 REQUEST	
					PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE
<u>71</u>	<u>19</u>	<u>01</u>	<u>98</u>	<u>2221</u>	<u>-0-</u>	<u>(⁸7.5)</u> 7.5	<u>-0-</u>	<u>(7.5)</u>	<u>-0-</u>	<u>(⁸7.5)</u>	<u>-0-</u>	<u>(8)</u>	<u>-0-</u>	<u>(8)</u>

PLANNED ACCOMPLISHMENT: Organizational Staff Supervision/Support

ORG	OC	DU	PA	PAC	FY 83- CURR EST		FY 84-PRES BUD		FY 84- CURR EST		FY 85 REQUEST		FY 86 REQUEST	
					PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE	PS \$	FTE
<u>71</u>	<u>19</u>	<u>01</u>	<u>99</u>	<u>2222</u>	<u>-0-</u>	<u>(⁸7.5)</u> 7.5	<u>-0-</u>	<u>(7)</u>	<u>-0-</u>	<u>(⁸7.5)</u>	<u>-0-</u>	<u>(8)</u>	<u>-0-</u>	<u>(8)</u>

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
DECISION UNIT RESOURCES
(Dollars in Thousands)

Schedule: E-3A Part
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Date Prepared: 5-19-83

Office: Investigations
Decision Unit: Investigations

SECTION B - PLANNED ACCOMPLISHMENT DETAIL

<u>Planned Accomplishment</u>	ORG	OC	DU	PA						
	<u>71</u>	<u>19</u>	<u>01</u>	<u>01</u>	Investigations					
					<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>		<u>FY 1986</u>	
					<u>Current</u>	<u>Current</u>	<u>Request</u>	<u>MARK</u>	<u>Request</u>	<u>MARK</u>
					<u>Estimate</u>	<u>Estimate</u>				
(FTE)					18 (17.5)	21 (18)	21 (19)		21 (19)	
Program Support \$					-0-	-0-	-0-		-0-	
Equipment \$					-0-	-0-	-0-		-0-	

Narrative: Conduct, supervise and exercise quality control of external investigations. Additional staff will permit more timely investigations.

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U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
DECISION UNIT RESOURCES
(Dollars in Thousands)

Schedule: E-3A Part
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Date Prepared: 5-19-83

Office: Investigations
Decision Unit: Investigations

SECTION B - PLANNED ACCOMPLISHMENT DETAIL

<u>Planned Accomplishment</u>	<u>ORG</u>	<u>OC</u>	<u>DU</u>	<u>PA</u>				
	71	19	01	02	-	<u>Inquiries</u>		
					<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
					<u>Current</u>	<u>Current</u>	<u>Request</u>	<u>Request</u>
					<u>Estimate</u>	<u>Estimate</u>	<u>MARK</u>	<u>MARK</u>
(FTE)					7	9	(9)	(9)
Program Support \$					(6)	(7)	-0-	-0-
Equipment \$					-0-	-0-	-0-	-0-

Narrative: Conduct, supervise and exercise quality control of inquiries. (a limited investigative effort to determine disposition of an allegation). Additional staff will permit more rapid determinations and will allow OI to keep abreast of inspection efforts in order to determine of investigative effort is needed.

Narrative: Perform assists to Regional inspections as requested thereby providing interview expertise to fully and formally document issues raised by allegeders. Additional staff is needed to permit these assists.

Office: Investigations

Schedule: E-3B
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U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
LOWEST PRIORITY WORK
FY 1984
(Dollars in Thousands; Staffing in Total FTE)

Priority Number	Decision Unit	Planned Accomplishment		FY 1984 Request Amounts	
		Number	Short Descriptive Title	Program Support \$	FTE
1.	Conduct, supervise and exercise quality control of external investigations.	71-19-01-01	Investigations	-0-	²¹ (18)
2.		71-19-01-02	Inquiries	-0-	⁹ (7)
3.		71-19-01-03	Assists to Inspections	-0-	³ (2)
Subtotals				-0-	(27) 33
Associated Direct Staff Supervision/Support				-0-	7.58
- Associated Organizational Supervision/Support				-0-	7.58
TOTALS				-0-	(15) 16

Office: Investigations

Schedule: E-3B

Page: 2 of 3

Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
LOWEST PRIORITY WORK
FY 1985
(Dollars in Thousands; Staffing in Total FTE)

Priority Number	Decision Unit	Planned Accomplishment		FY 1985 Request Amounts	
		Number	Short Descriptive Title	Program Support \$	FTE
1.	Conduct, supervise and exercise quality control of external investigations.	71-19-01-01	Investigations	-0-	21(19)
2.		71-19-01-02	Inquiries	-0-	(9)
3.		71-19-01-03	Assists to Inspections	-0-	(3)
Subtotals.				-0-	(31)
-	Associated Direct Staff, Supervision/Support			-0-	8
-	Associated Organizational Supervision/Support			-0-	8
TOTALS				-0-	(16)

Office: Investigations

Schedule: E-3B

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Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
LOWEST PRIORITY WORK
FY 1986

(Dollars in Thousands; Staffing in Total FTE)

Priority Number	Decision Unit	Planned Accomplishment		FY 1986 Request Amounts	
		Number	Short Descriptive Title	Program Support \$	FTE
1.	Conduct, supervise and exercise quality control of external investigations.	71-19-01-01	Investigations	-0-	(19) ad
2.		71-19-01-02	Inquiries	-0-	(9)
3.		71-19-01-03	Assists to Inspections	-0-	(3)
Subtotals .				-0-	(31) 33
Associated Direct Staff Supervision/Support		-0-	8		
- Associated Organizational Supervision/Support		-0-	8		
TOTALS		-0-	(16)		

Schedule: F-1
 Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
 FY 1985-FY 1986 INTERNAL REVIEW
OTHER THAN FULL-TIME PERMANENT FTE

Office: Investigations

<u>Item</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
<u>Paid Staff Years (FTE):</u>				
Part-time Permanent <u>1/</u>				
Part-time Temporary <u>1/</u>				
Full-time Temporary <u>1/</u>				
When Actually Employed (WAE)				
Special Programs				
Personnel Services Consultants				
Total	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>

1/ Co-ops must be excluded from all office submissions except ADM. ADM should identify how many co-ops are included above in each category.

Schedule: F-2
Date Prepared: 5-19-83

U.S. NUCLEAR REGULATORY COMMISSION
FY 1985-FY 1986 INTERNAL REVIEW - Office Request
TRAVEL
(Dollars in Thousands)

Office: Investigations

Item	FY 1983	FY 1984		FY 1985	FY 1986
		Pres. Budget	Current Estimate		
o Mission Direct	190		225 200	225 210	225 210
o Mission Support	8		10	10	10
o Administrative/Local	10		10	10	10
o Interviewee (ADM and Regions only)					
o Change of Duty Station (ADM only)					

Totals 71-21-00-00

208

~~228~~
245

230
245

~~230~~
245