
**OFFICE OF
THE INSPECTOR GENERAL**

**U.S. NUCLEAR
REGULATORY COMMISSION**

Management Audit of Region I

OIG-03-A-06 February 26, 2003

AUDIT REPORT



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February 26, 2003

MEMORANDUM TO: William D. Travers
Executive Director for Operations

FROM: Stephen D. Dingbaum/**RA**/
Assistant Inspector General for Audits

SUBJECT: MANAGEMENT AUDIT OF REGION I (OIG-03-A-06)

Attached is the Office of the Inspector General's audit report titled, *Management Audit of Region I*.

This report reflects the results of our review to assess a wide range of Region I's technical and administrative activities. Regional action is needed to improve the (1) the validity and reliability of the metrics and reported results, and (2) management controls in several administrative areas including facilities management, information management, and communication.

OIG also conducted interviews with reactor site-based inspectors and region-based inspectors and technical staff. The purpose of the interviews was to gain information for evaluating regional management's support for the full range of regional activities. Overall, the inspectors and technical staff indicated they are able to perform their responsibilities and are generally satisfied with regional office management support. However, the inspectors and technical staff raised specific issues concerning NRC operations. Although OIG made no recommendations on these issues, many will be included in future audits.

On January 27, 2003, the Deputy Executive Director for Reactor Programs provided a response to the four regional reports and this report. The Deputy Executive Director generally agreed with OIG's observations and recommendations and made specific comments where he believed the reports needed clarification. His response is included as Appendix C. We have incorporated the Deputy Executive Director's comments, as appropriate, in the report

If you have any questions, please contact Anthony Lipuma at 415-5910 or me at 415-5915.

Attachment: As stated

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EXECUTIVE SUMMARY

BACKGROUND

Located in King of Prussia, Pennsylvania, the U.S. Nuclear Regulatory Commission's (NRC) Region I office operates under the direction of the Regional Administrator and covers an 11-state area and the District of Columbia, including eight states with nuclear power plants. Region I also regulates about 1,725 licenses that use radioactive materials for industrial, medical, and academic purposes. For FY 2002 Region I had 214 FTE and \$26.4 million to support regional operations.

Region I utilizes an operating plan and performance measures—referred to as metrics in this report—to help measure its achievements. The region uses metrics divided into four areas: (1) nuclear reactor safety, (2) nuclear materials safety, (3) nuclear waste safety, and (4) management and support. Region I reports its performance results to NRC headquarters in the region's quarterly operating plan status reports. Headquarters and regional managers use metric data to assess regional performance.

During June 2002, the Office of the Inspector General (OIG) reviewed the full range of operations in the Region I office. Prior to initiating the regional reviews, the Office of the Executive Director for Operations staff advised that they use regional operating plans (including the performance metrics contained therein) as one of the primary tools to evaluate regional performance. Therefore, in conducting this work we primarily used operating plans and performance metrics to assess regional performance. The agency also has other assessment tools to evaluate how it meets its mission-related goals. These other tools include the Reactor Oversight Process, and headquarters reviews of specific regional activities such as the allegation program and the operator licensing program. OIG did not examine how the agency uses these tools. However, OIG's Annual Plan for fiscal year 2003 includes an audit of the ROP. We plan to initiate that audit later this year.

PURPOSE

The overall purpose of the audit was to assess the full range of regional operations. To accomplish this objective, OIG (1) assessed whether performance goals were being met as measured by the performance metrics, (2) assessed whether management controls had been instituted to ensure quality of performance, and (3) obtained the views of resident and region-based inspectors and technical staff on regional operations.

RESULTS IN BRIEF

Region I generally reported meeting the goals for its operating plan performance metrics in the public health and safety area, although a few of the measures reviewed had problems with data reliability.

Operating Plan Metrics

The few data reliability problems identified were due to the lack of quality control procedures to ensure accurate data and to a lack of documentation supporting the calculation of results. As a result, the usefulness of this information for decision making is limited.

Management Controls

In addition, management control weaknesses regarding the facilities safety program, physical security, unclassified safeguards information security, and communications were identified. Performance of these activities would be enhanced by strengthening related controls.

Region I Inspectors and Technical Staff

The OIG also interviewed 41 Region I inspectors and technical staff who provided information related to training, technical areas, administration, and licensee management and identified areas of potential improvement that the Region should consider in its future planning. Some of the issues were beyond the scope of this audit and will be addressed in future audits. Consequently, no recommendations were made regarding the issues raised by these interviewees.

AGENCY COMMENTS

On January 27, 2003, the Deputy Executive Director for Reactor Programs provided a response to this report. We have incorporated the Deputy Executive Director's comments as appropriate. The Deputy Executive Director's transmittal letter and response are included as Appendix E.

ABBREVIATIONS AND ACRONYMS

FY	Fiscal Year
NRC	United States Nuclear Regulatory Commission
OEP	Occupant Emergency Plan
OIG	Office of the Inspector General

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TABLE OF CONTENTS

EXECUTIVE SUMMARY	i
ABBREVIATIONS AND ACRONYMS	iii
I BACKGROUND	1
II PURPOSE	2
III FINDINGS	2
A. OPERATING PLAN METRICS	3
B. MANAGEMENT CONTROLS	4
C. INTERVIEWS WITH REGION I INSPECTORS AND TECHNICAL STAFF	8
IV CONSOLIDATED LIST OF RECOMMENDATIONS	11
V OIG RESPONSE TO MANAGEMENT COMMENTS	13
APPENDICES	
A. SCOPE AND METHODOLOGY	15
B. REGION I METRICS	17
C. DETAILS OF PROBLEMS IDENTIFIED WITH OPERATING PLAN METRICS	21
D. REGION I INTERVIEW RESULTS	23
E. AGENCY COMMENTS	40

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I. BACKGROUND

The U.S. Nuclear Regulatory Commission (NRC) regulates the Nation's civilian use of byproduct, source, and special nuclear materials to (1) ensure adequate protection of public health and safety, (2) promote the common defense and security, and (3) protect the environment.

NRC has four regional offices that constitute the agency's front line in carrying out its mission and implementing established agency policies and programs nationwide. The Region I office operates under the direction of the Regional Administrator and is located in King of Prussia, Pennsylvania. The region covers an 11-state area and the District of Columbia, including eight states with nuclear power plants. There are about 36 resident inspectors working at 19 nuclear power plants under its jurisdiction. Region I also regulates about 1,725 licenses that use radioactive materials for industrial, medical, and academic purposes. For FY 2002 Region I had about 214 FTE and \$26.4 million to support regional operations.

Region I uses strategic and performance goals consistent with NRC's mission. These goals fall into four areas, three of which coincide with the agency's strategic goals: nuclear reactor safety, nuclear materials safety, and nuclear waste safety. Consistent with the NRC Strategic Plan, the region also uses a fourth area, the corporate management strategies, to accomplish strategic and management goals. The region uses operating plans and performance measures — referred to as metrics in this report — to achieve various goals. The region reports this metric data to headquarters quarterly in its operating plans. Headquarters and regional managers use metric data as an indicator of performance in the public health and safety areas. Headquarters also uses this data to assess performance of the region.

Region I has four divisions covering the public health and safety and internal operating areas. The public health and safety programs are carried out by the Divisions of Reactor Projects, Reactor Safety, and Nuclear Materials Safety. These divisions conduct inspection, incident response, and allegation follow-up activities for nuclear reactors and materials licensees and licensing activities for materials licensees. The Division of Resource Management conducts internal operating support activities including time and labor coordination, financial management, facilities management, travel, procurement, information technology and human resources functions.

Region I has several years of experience tracking its accomplishments in the public health and safety areas against performance metrics established jointly by headquarters and regional managers. Region I's fourth quarter operating plan for FY 2001 contained 112 metrics for these areas.

On its own initiative, Region I recently began using metrics as performance indicators for its internal operating areas. The region uses these metrics to monitor and improve performance in these areas and reports this information in its operating plan. However, headquarters managers do not require the region to include internal operating metrics in the regional operating plan. Region I's fourth quarter operating plan for FY 2001 contained seven such metrics.

During June 2002, the Office of the Inspector General (OIG) reviewed the full range of operations in the Region I office. Prior to initiating the review, the Office of the Executive Director for Operations staff advised that they use regional operating plans (including the performance metrics contained therein) as one of the primary tools to evaluate regional performance. Therefore, in conducting this work we primarily used operating plans and performance metrics to assess regional performance. The agency also has other assessment tools to evaluate how it meets its mission-related goals. These other tools include the Reactor Oversight Process and headquarters reviews of specific regional activities such as the allegation program and the operating licensing program. OIG did not examine how the agency uses these tools. However, OIG's Annual Plan for fiscal year 2003 includes an audit of the ROP. We plan to initiate that audit later this year.

II. PURPOSE

The overall purpose of the audit was to assess regional operations and specifically to: (1) assess whether performance goals are being met as measured by the performance metrics, (2) assess whether management controls have been instituted to ensure quality of performance, and (3) obtain the views of resident and region-based inspectors and technical staff on regional operations. Appendix A provides additional information on the audit's scope and methodology.

III. FINDINGS

Region I generally reported meeting the goals for its operating plan performance metrics for FY 2001 and only a few of the measures reviewed had problems with data reliability. However, the region can strengthen some management controls in its support functions. In addition, inspectors interviewed for this audit identified areas of potential improvement that the Region should consider in its future planning.

A. OPERATING PLAN METRICS

Performance results reported in Region I's FY 2001 fourth quarter operating plan were not reliable¹ for only 3 of the 34 metrics reviewed. Only 1 of the 30 public health and safety measures reviewed and 2 of the 4 management and support measures had reliability problems. The following table provides a summary of the performance metrics reviewed.

Summary of Metrics Reviewed					
Type of Performance Goal	Number of Metrics in the Operating Plan	Number of Metrics Reviewed	Problems Identified		
			Not Reliable	Not Valid	Not Valid and Not Reliable
Public Health and Safety	112	30	1	0	0
Internal Operating	7	4	2	0	0
Totals	119	34	3	0	0

The few data reliability problems identified were due to the lack of quality control procedures to ensure accurate data and to a lack of documentation supporting the calculation of results. As a result, agency decision makers cannot rely on those results to evaluate program effectiveness. Details of the reliability problems follow.

- Baseline Inspection Program (Appendix B, Metric 4). NRC describes the baseline inspection program as the minimum inspection oversight that should be completed at each plant. The program is composed of approximately 40 procedures, each with a specified frequency and some that can only be performed when the plant is shut down. Region I reported that 99.9 percent of the baseline inspection program for the 1-year inspection cycle that ended March 31, 2001, was completed. However, they acknowledged that the 99.9-percent figure was not based on a formal calculation for calculating the completion percent, therefore, results cannot be relied on for assessing performance.

Additionally, supporting documentation for baseline inspection program results did not reflect an additional missed procedure. Region I documented that one inspection procedure was not completed. However, auditors reviewed baseline inspection records for 3 of the

¹

Reliability pertains to whether the information is complete, accurate, consistently collected, and verifiable. *Validity* pertains to whether the metric is measuring what it is intended to measure.

region's 19 power plants and found an additional inspection procedure that was not completed. Although guidance states the procedure is to be performed annually, Region I interpreted the additional inspection procedure to be required "as needed" and, therefore, did not consider the missed procedure in reporting results.

- Information Technology Help Desk (Appendix B, Metric 31). This metric is intended to measure timeliness of closing help desk tickets. The goal was to close 90 percent of the tickets within 3 days. Region I reported closing 100 percent of tickets within 3 days for each of the four quarters. However, the results are inaccurate for several reasons: (1) tickets that cross quarters are not counted, (2) a number of tasks are excluded from the metric, (3) tickets for tasks beyond the control of the Help Desk are closed, and (4) holidays are subtracted from all tickets during a quarter rather than from just those affected. In addition, Region I does not have written procedures to support its method of calculating performance.
- Network and Server Availability (Appendix B, Metric 32). This effectiveness metric measures network and server availability. The goal was 99-percent availability from 7 a.m. to 5 p.m., 7 days a week, except for holidays and scheduled maintenance. The region reported 100-percent availability for three quarters and 99 percent for one quarter. However, the results are incomplete because the region does not measure availability for resident inspector locations or for remote access.

RECOMMENDATIONS:

OIG recommends that the Region I Administrator:

1. Develop and implement quality control procedures to ensure that metric data is reliable.
2. Maintain documentation to support metric data reported in Region I operating plans.

B. MANAGEMENT CONTROLS

Region I administrative staff account for property; process travel requests and vouchers, and procurement requisitions; and conduct various information resources management and human resources functions. However, several management control weaknesses regarding the facilities safety program, physical security, unclassified safeguards information security, and communications were identified. Performance of these activities would be enhanced by strengthening controls in these areas.

Facilities Safety Program

Region I is not fulfilling Federal and agency requirements to have an Occupant Emergency Plan (OEP) describing procedures for regional staff to follow in emergency situations. By failing to meet this requirement, the region may be missing opportunities to enhance safety in the regional office.

Occupant Emergency Plan

Region I lacks an OEP describing procedures for regional staff to follow in emergency situations despite Federal and agency requirements that the region have such a plan. Without a workable OEP with which staff are familiar, the region may not be optimally prepared to respond if an emergency occurs. Although an OEP is under development in Region I and the region has plans to assign and train some staff as first responders, the region needs to finalize the plan. In addition, Region I should provide adequate training and guidance to those assigned duties under the plan, ensure all staff are familiar with the plan, conduct drills to make sure the plan is workable, and ensure there is a process for replacing employees with roles in the process (e.g., floor monitors, assistants for disabled individuals) when they no longer work in the regional office.

RECOMMENDATIONS

3. Finalize the Occupant Emergency Plan in accordance with Federal and agency requirements.
4. Provide training and guidance to those assigned duties under the plan.
5. Ensure that all staff are familiar with the plan.
6. Conduct drills to make sure the plan is workable.
7. Implement a process for replacing employees with an emergency response role when they no longer work in the regional office.

Physical Security

Generally, Region I appears to have an effective program in place to protect its facility from unauthorized access and has recently strengthened its security plan and site access guidance to include annual audits of these two programs. However, two areas need immediate attention.

Door Propped Open

The door separating the Region I reception area from the rest of the regional office has a card reader so that access can be limited to authorized individuals. However, the region defeats the purpose of the card reader by propping the door open during most working hours. Although visitors, including vendors and delivery people, are not permitted beyond the reception area without an NRC employee escort, propping the door open makes it easy for an unauthorized individual to walk into the main regional office space while the receptionist is attending to other matters. To strengthen its controls against unauthorized access to regional office space, Region I should keep the reception area door closed and utilize the card reader that is already present there. Subsequent to our field work Region I stopped the practice of propping the door open.

Security Training

Region I's Security Plan requires an initial security briefing for new employees and contractors and refresher training annually for technical staff and for administrative staff with receptionist duties. All other staff are required to receive refresher training every 3 years. OIG identified two areas where these requirements are not being met: (1) current contractors in the region had not received the required training, and (2) technical staff who do not require unescorted access to licensee sites do not receive this training because they do not receive annual site access training, which includes the security refresher training.

RECOMMENDATIONS

8. Keep the door closed between the reception area and the rest of the regional office space and require use of a key card to gain further entry into the regional office.
9. Ensure contractors and all technical staff receive required security training.

Unclassified Safeguards Information Security

Region I lacks some of the required security measures to adequately protect sensitive information processed on its standalone systems. NRC Management Directive 12.5, *NRC Automated Information Systems Security*, requires the assignment of a System Security Officer and the preparation of a System Security Plan for automated information systems that process classified information, safeguards information, and sensitive unclassified information. Region I utilizes one desktop computer and one laptop computer to process unclassified safeguards information. However, the region has not assigned a

System Security Officer or prepared a System Security Plan because the staff believed that storage of the units inside a secure room was sufficient. Not implementing the additional required security controls increases the risk of loss, misuse, or unauthorized access to unclassified safeguards information.

RECOMMENDATIONS

OIG recommends that the Region I Administrator:

10. Assign a System Security Officer for the security of standalone systems used to process unclassified safeguards information in Region I.
11. Prepare a System Security Plan for the security of the standalone system used to process unclassified safeguards information in Region I.

Communications

New employee orientation is used to acquaint new staff members with NRC and what it has to offer. While Region I has an orientation program, it has no formal guidance or policy on what its new employee orientation should include or how often the information should be updated. During orientation, the regional administrator or his agent administers the oath of office to new employees and staff provide new employees with a multitude of forms and informational documents. However, new employees are not given information regarding the Office of the Inspector General. Instead, Region I provided new employees with the September 1988 *NRC Employee Handbook*. OIG determined that the handbook is out of date and contains inaccurate information. As a result, new employees are not receiving the appropriate information needed to become familiar with NRC and may not be fully aware of their responsibility to report waste, fraud, and abuse to OIG.

RECOMMENDATIONS

OIG recommends that the Region I Administrator:

12. Develop and implement guidance for a thorough, up-to-date employee orientation process.
13. Immediately discontinue the use of the *NRC Employee Handbook* dated September 1988.

C. INTERVIEWS WITH REGION I INSPECTORS AND TECHNICAL STAFF

OIG interviewed 26 resident or senior resident inspectors and 15 region-based inspectors and technical staff. Details of the interviews can be found in Appendix D. The following briefly summarizes inspectors' comments and concerns in four areas. OIG followed up on several concerns and those results are noted below. Appendix D, *Region I Interview Results*, provides a breakdown of responses to OIG questions. Some issues raised by the inspectors and technical staff were beyond the scope of this audit. Consequently, OIG plans to report on those issues in the future.

Training

- Region management is supportive of training for inspectors.
- The Region could provide additional support in ensuring that required training is obtained. Specifically, the Region could notify inspectors of upcoming training requirements and assist in scheduling classes.
- Technical training courses are too frequently not available.

Technical

- Region officials provide good support in resolving technical questions.
- Headquarters' response to technical questions is too slow.
- Sampling plans for inspection procedures need to be re-examined.
- Inspectors have difficulties with the difference between licensee document format and NRC software.
- CITRIX (remote access software) has been problematic.

Administrative

- STARFIRE use is a burden on inspectors' time.
- Inspectors and technical staff have difficulty locating and/or accessing documents using the Agencywide Documents Access and Management System.
- There have been numerous problems with Windows desktop and configuration upgrades.
- Secure telephones and fax machines are not yet operating properly.
- Many inspectors are under time pressure due to resource constraints.

Licensee Management

- The working relationship with licensee management was described as being very good to excellent, given the position NRC must maintain as a regulator.

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IV. CONSOLIDATED LIST OF RECOMMENDATIONS

OIG recommends that the Regional Administrator, Region I:

1. Develop and implement quality control procedures to ensure that metric data is reliable.
2. Maintain documentation to support metric data reported in Region I Operating Plans.
3. Finalize the Occupant Emergency Plan in accordance with Federal and agency requirements.
4. Provide training and guidance to those assigned duties under the plan.
5. Ensure that all staff are familiar with the plan.
6. Conduct drills to make sure the plan is workable.
7. Implement a process for replacing employees with an emergency response role when they no longer work in the regional office.
8. Keep the door closed between the reception area and the rest of the regional office space and require use of a key card to gain further entry into the regional office.
9. Ensure contractors and all technical staff receive required security training.
10. Assign a System Security Officer for the security of standalone systems used to process unclassified safeguards information in Region I.
11. Prepare a System Security Plan for the security of the standalone system used to process unclassified safeguards information in Region I.
12. Develop and implement guidance for a thorough, up-to-date employee orientation process.
13. Immediately discontinue the use of the *NRC Employee Handbook* dated September 1988.

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V. OIG RESPONSE TO AGENCY COMMENTS

On January 27, 2003, the Deputy Executive Director for Reactor Programs provided a response to this report. The Deputy Executive Director generally agreed with OIG's observations and recommendations and made specific comments where he believed the report needed clarification. The response includes the Deputy Executive Director's transmittal letter and the specific comments on this report and is included as Appendix E. We have incorporated the Deputy Executive Director's comments as appropriate in the report.

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SCOPE AND METHODOLOGY

The overall purpose of the audit was to assess regional operations and specifically to: (1) assess whether performance goals were being met as measured by the performance metrics, (2) assess whether management controls have been instituted to ensure quality of performance, and (3) obtain the views of resident inspectors, region-based inspectors and technical staff on regional operations. The audit was limited to performance measures shown in Region I's FY 2001 fourth quarter operating plan status report and to current management controls over certain activities in the management and support area.

The audit team reviewed relevant criteria including Region I's operating plan for FY 2001, regional office guidance, and the Nuclear Regulatory Commission (NRC) Management Directives. The audit team also reviewed 34 of the 119 metrics in Region I's FY 2001 fourth quarter operating plan status report. For those metrics, OIG generally (1) evaluated each metric based on judgmental samples of supporting data; (2) assessed management controls used to compile, review, and report results; (3) determined whether the region had documented evidence to support the reported results; and (4) discussed the impact of resource allocation on meeting the goals for each metric with senior Region I officials. OIG also examined the management controls associated with facilities safety, physical security, unclassified safeguards information security, communications, property, purchase orders, and travel.

To supplement the information obtained from reviewing program performance data, OIG also interviewed a judgmental sample of 41 Region I inspectors; 15 region-based inspectors and technical staff (operations engineers, reactor inspectors, senior project engineers, and health physicists); and 26 resident and senior resident inspectors stationed at 15 nuclear power plants. The interviews consisted of 28 questions to gain the inspectors' perspectives regarding the adequacy of training programs, the extent that managers provide support to staff in technical areas, the adequacy of administrative support, and relationships with licensees. In addition, inspectors provided comments about issues that were not specifically addressed through the interview questions.

Throughout the review, the audit team was aware of the possibility of fraud, waste, or misuse in programs. OIG conducted the regional audits from March 2002 to June 2002 in accordance with Generally Accepted Government Auditing Standards.

The major contributors to this report were Cathy Colleti, Shyrl Coker, Vicki Foster, Judy Gordon, Russ Irish, Corenthis Kelley, Debra Lipkey, Tony Lipuma, Bill McDowell, Sherri Miotla, Bob Moody, Beth Serepca, Michael Steinberg, Kathleen Stetson, Rebecca Underhill, and Steve Zane.

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**Region I Metrics Reviewed During OIG Audit
(Fiscal Year 2001 Operating Plan)**

				Problems Identified		
No.	Metric	Description	Goal	Not Reliable	Not Valid	Not Reliable and Not Valid
Nuclear Reactor Safety Arena Metrics						
1	Quality	(Operator Licensing) Written examination not invalidated due to preventable post exam changes.	No invalidated exams.			
2	Outputs	(Operator Licensing) Examinations at facilities.	Meet licensee's demand with no docketed exceptions.			
3	Timeliness	(Operator Licensing) Issuance of examination reports.	90% routine within 45 days.			
4	Outputs	(Inspection) Extent of baseline program completion at each operating power reactor annually.	100% of procedures completed at end of cycle.	✓		
5	Outputs	(Plant Assessment) Assess plant performance for each licensee based on mid & end-of-cycle assessment.	Two PAR per fiscal year 2001.			
6	Outputs	(Plant Assessment) Agency Action Meeting.	Held annually within required time frame.			
7	Outputs	(Plant Assessment) End-of-cycle public meeting.	Annually.			
8	Timeliness	(Inspection) Issuance of routine inspection reports.	90% within 30 days.			
9	Timeliness	(Inspection) Issuance of team inspection reports.	90% within 45 days.			
10	Quality	(Inspection) % of qualified inspectors and examiners who are current with refresher training.	95% (includes qualified residents, DRP, and DRS).			

**Region I Metrics Reviewed During OIG Audit
(Fiscal Year 2001 Operating Plan)**

				Problems Identified		
No.	Metric	Description	Goal	Not Reliable	Not Valid	Not Reliable and Not Valid
11	Timeliness	(Enforcement) Average time to issue escalated enforcement cases.	Average of best 90% of cases issued within 90 days.			
12	Timeliness	(Enforcement) Average time to issue escalated enforcement cases.	Average of 100% of cases issued within 120 days.			
13	Quality	(Enforcement) Number of enforcement actions successfully disputed based on criteria.	< 4 denials on the docket.			
14	Quality	(Allegations) Number of instances where identity of allegor is not adequately protected.	Zero occurrences			
15	Timeliness	(Allegations) ARB meetings held within 30 days.	100%			
16	Timeliness	(Allegations) Average time to complete review of allegations concerning reactor licensees or their contractors.	Average of all cases not involving wrongdoing < 180 days.			
17	Timeliness	(Allegations) Acknowledgment letters in 45 days.	100% within 45 days.			
18	Timeliness	(Allegations) Acknowledgment letters in 30 days.	90% within 30 days.			
19	Effectiveness	(Allegations) Allegation follow-up appropriately captures and responds to each issue raised.	90% of cases reviewed as determined by NRR audit.			
20	Quantity	(Plant Assessment) Senior Management site visits.	Each site receives a visit by a sr. manager once per year.			
Nuclear Materials Safety Arena Metrics						

**Region I Metrics Reviewed During OIG Audit
(Fiscal Year 2001 Operating Plan)**

				Problems Identified		
No.	Metric	Description	Goal	Not Reliable	Not Valid	Not Reliable and Not Valid
21	Timeliness	(Licensing) Timeliness of the reviews of applications for new materials licenses and license amendments.	Complete 80% within 90 days.			
22	Timeliness	(Licensing) Timeliness of reviews for license renewals.	Complete 80% within 180 days.			
23	Timeliness	(Inspection) Complete core inspection with less than 10% overdue per IMC 2800.	Less than 10% overdue			
24	Quality	(Allegations) Number of instances where identity of allegor is not adequately protected.	Zero occurrences.			
25	Timeliness	(Allegations) ARB meetings held within 30 days.	100%			
26	Quality	(Enforcement) Number of enforcement actions successfully disputed based on criteria.	No successful disputes.			
27	Timeliness	(Enforcement) Complete 90% of materials escalated enforcement cases within 90 days on average.	Average of best 90% is < 90 days.			
28	Timeliness	(Allegations) Average time to close technical concerns.	< 180 days.			
29	Timeliness	(Allegations) Acknowledgment letters in 45 days.	100%			
30	Timeliness	(Allegations) Acknowledgment letters in 30 days.	90%			

**Region I Metrics Reviewed During OIG Audit
(Fiscal Year 2001 Operating Plan)**

				Problems Identified		
No.	Metric	Description	Goal	Not Reliable	Not Valid	Not Reliable and Not Valid
Management and Support Metrics						
31	Timeliness	Information Technology Help Desk tickets are closed within established time frames.	Close 90% of the tickets within 3 days.	✓		
32	Effectiveness	Network and server availability (7am-5pm, 7days/week, except holidays & for scheduled maintenance).	Maintain 99% availability during described times.	✓		
33	Timeliness	Freedom of Information Act estimates are processed within established timeframes.	90% of fee estimates within 4 business days.			
34	Timeliness	Freedom of Information Act responses are processed within established timeframes.	90% of responses within 10 working days.			
Totals				3		0

DETAILS OF PROBLEMS IDENTIFIED WITH OPERATING PLAN METRICS

Metric 4: Baseline Inspection Program Completion Percentage Not Reliable

NRC describes the baseline inspection program as the minimum inspection oversight that should be completed at each plant. The program is composed of approximately 40 procedures, each with a specified frequency and some that can only be performed when the plant is shut down. Region I reported that 99.9 percent of the baseline inspection program for the 1-year inspection cycle that ended March 31, 2001, was completed. However, they acknowledged that the 99.9-percent figure was not based on a formal calculation for calculating the completion percent, therefore, results cannot be relied on for assessing performance.

Metric 31: Help Desk Tickets Not Closed Within Established Time Frames

This metric is intended to measure timeliness of closing help desk tickets. The goal was to close 90 percent of the tickets within 3 days. Region I reported closing 100 percent of tickets within 3 days for each of the four quarters. However, the results are inaccurate for several reasons: (1) tickets that cross quarters are not counted, (2) a number of tasks are excluded from the metric, (3) tickets for tasks beyond the control of the Help Desk are closed, and (4) holidays are subtracted from all tickets during a quarter rather than from just those affected. In addition, Region I does not have written procedures to support its method of calculating performance.

Metric 32: Incomplete Network and Server Availability Reports

This effectiveness metric measures network and server availability. The goal was 99 percent availability from 7 a.m. to 5 p.m., 7 days a week, except for holidays and scheduled maintenance. The region reported 100 percent availability for three quarters and 99 percent for one quarter. However, the results are incomplete because the region does not measure availability for resident inspector locations or for remote access.

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REGION I INSPECTOR INTERVIEW RESULTS

BACKGROUND

As part of the Region I management audit, OIG conducted 41 interviews with 26 reactor site-based inspectors and 15 region-based inspectors and technical staff. Reactor site-based employees consisted of resident inspectors and senior resident inspectors, while region-based employees were made up of reactor inspectors, project engineers, operations engineers, and health physicists. The purpose of the interviews was to help OIG gain information to evaluate regional management's support for one of the region's primary missions - the reactor oversight process. The horizontal bars in the charts always appear in the following order top to bottom: green (positive response), yellow (conditional response), red (negative response).

DESCRIPTION

OIG developed this appendix from information obtained during the Region I interviews. Of the 28 questions asked, 25 had *yes*, *no*, or *not applicable* as possible answers. A *not applicable* response is not included with the results shown for each question, except for question 15.

OIG allowed those interviewed to provide explanations for their answers and/or caveats for clarifying their responses. From these 28 questions, OIG performed analysis of the responses. The questions were also divided into categories: training (1-5), technical (6-10), administrative (11-23 and 28), and licensee management (24-27). The answers were first categorized based on location, region- or reactor site-based. OIG did this because it was believed that residents and region-based inspectors might have different perspectives. OIG then separated the answers into three categories: positive (denoted by green in the chart), negative (denoted by red), and conditional (denoted by yellow). Conditional responses contained positive and negative aspects, with additional explanations provided by the inspectors. A positive response could be measured with *yes* or *no* answers, depending on the nature of the question. This also applied to negative responses.

In developing the charts that follow, OIG believed it would be helpful to provide exemplars of the types of comments provided by the interviewees in the explanations for their answers and/or caveats for clarifying their responses.

Question 1: Is the region ensuring you receive all required training? If no, why?

- Individual must insure that they track their own training.
- Training conflicts with job priorities.
- Difficulty getting additional training.
- No cross training.

Question 2: Are you receiving the correct training needed to accomplish your job?
If no, why, and what additional training is needed?

- More training in technical areas.
- Training more reactor oriented than materials.
- More Phase II, risk, and new modalities training.
- There is a need for targeted training in specific areas.
- The NRC provides a good technical basis but no in depth training.
- The NRC is passing too many staff on exams to meet qualification requirements.

Question 3: Do you receive training on time? If no, why?

- SDP training could have been done earlier.
- Courses are offered only once a year.
- It would have been more helpful to have the supervisory courses at time of becoming a supervisor.
- Optional training is not always available.

Question 4: Is there a pattern of rescheduling for training? If yes, why?

- Yes, but slot unavailability is not a regional problem.
- At times inspection priorities override training.

Question 5: Are there any other training issues for which you have concerns? If yes, what are they?

- Training is scheduled too far in advance for new programs.
- TTC instructors have become stagnant; they refer to events of 10-15 years ago instead of topical events like Davis-Besse.
- We need more training in the handling of security and safeguards information.
- New MC 1245 training program will create a gap between previously qualified inspectors and new people.
- Management too rigid in decisions on qualification status.
- Want to know clearly what the requirements are to get new staff qualified.

Question 6: Does the region provide timely responses to your requests for technical assistance? If no, why?

- Does not get added inspection assistance needed.
- Contacting headquarters for insight and feedback is disappointing.
- Task Interface Agreements are like dead letters; headquarters is too slow to respond.
- Difficulty getting adequate time with supervisors.

Question 7: Do aspects of the inspection process need to be improved? If yes, what are they?

- Inspection hours need to be more flexible.
- Thresholds for minor vs. more than minor findings must be lowered.
- Pilot program for new performance indicator is more risk based vs. risk informed.
- Sample sizes too large and there is not enough time to prepare for inspections.
- Would like to do more direct inspections.
- The ROP prevents deep inspections.

Question 8: Have you suggested these improvements to your supervisor? If no, why?

- Usually send suggestions to headquarters.
- Inspectors talk among themselves to try to resolve issues.
- Everyone is still learning the ROP and do not have the time to pursue issues.

Question 9: Did your supervisor respond to your suggested improvements? If no, why?

- Trying to improve within the constraints of the program office (NRR).
- Received no direct feedback from supervisor.
- Issues placed back in inspectors hands to resolve.
- Supervisors are limited in what they can do because the program is headquarters driven.
- The higher you go with the suggestion, the more troublesome it is to get action.
- Difficult to get adequate time with supervisor due to time constraints.

Question 10: Are there any other technical assistance issues that need to be addressed? If yes, what are they?

- Need more administrative assistance in the Licensing Assistant Team function.
- Technical assistance requests take forever from headquarters.
- The resource allocation/alignments need some work.
- More regional inspections at the site are needed.
- Project manager at this site is almost hands off.

Question 11: Do you receive timely reimbursement for travel expenses? If no, why?

- When there is an error for relocation travel, headquarters will not call to resolve issues on voucher resulting in a loss of travel expenses.
- Travel does not always accurately process travel vouchers.

Question 12: Do the various regional office administrative functions meet your needs? If no, why?

- Office is short on administrative help.
- Would like regional offices to notify of training requirements for inspectors.
- STARFIRE is an administrative burden.
- Difficult to get access to technical information.
- Getting office supplies is a laborious and lengthy procedure.
- Site offices are “end of stick” for equipment upgrades.
- ADAMS is worthless.

Question 13: Do you have enough information technology equipment to do your job? If not, why not?

- Computers are slow.
- Service people are reluctant to travel to sites.
- Secure fax machine doesn't work.
- Need the right software tools.
- Need more IT support.

Question 14: Are there any computer/software problems that require resolution? If yes, what are they?

- Workstation upgrades are a problem and not thoroughly tested before sending to the sites.
- STARFIRE requires too much detail.
- ADAMS is pitiful.
- Most licensees use Microsoft Word while NRC uses WordPerfect. This causes a lot of problems.
- IT personnel are never at sites.

Question 16: Does your computer have adequate links to Headquarters/the region for your work purposes? If no, why?

- CITRIX is slow and unreliable.
- A lot of information missing from the website since 9/11.
- Links to resident sites are not effective due to phone system in remote areas.

Question 17: Does the telephone system provide adequate communication for your work? If no, why?

- Speaker phones/conference calls are not good.
- Answering machine doesn't work correctly.
- STU-III phone is not working.
- Would like cell phones instead of pagers.
- Phone system for incident response center was down 3 hours and staff was not prepared for this type of problem.

Question 18: Are there other administrative assistance issues that should be addressed? If yes, what are they?

- STARFIRE is difficult to work with.
- ADAMS buries information and makes it difficult to retrieve.
- There is little training in how STU-III phones work.
- Supplies are not provided in an efficient manner.

Question 19: Do other aspects of regional office operations need to be improved? If yes, what are they?

- More communication from managers.
- STARFIRE is overly burdensome.
- Secretaries for sites need to increase their efficiency in time management.
- ADAMS takes too long; it is easier to find information in binders on the shelf.

Question 20: Do you have any major problems in completing your job? If yes, why?

- N+1 vs. N makes it difficult to meet baseline requirements.
- Resource limitations make it difficult to complete ROP.
- Problems getting information from licensees at times.
- Too many competing priorities.

Question 21: Can the region/NRC do more to improve your effectiveness? If yes, what?

- Improve ROP.
- Reduce administrative burden.
- Provide practical experience training.
- Management keeps adding new processes for inspectors to do, but never takes anything away.

Question 22: Are there any other areas upon which regional management needs to improve to help you do your job more effectively? If yes, what?

- Need better communication from managers to staff.
- Hours dedicated to different areas need to be more flexible.
- STARFIRE documentation to the 1/10 hour per module is burdensome.

Question 23: Is the Differing Professional View/Differing Professional Opinion process working correctly? If no, why?

- Believe it doesn't work, and it does not get the attention that it should.
- There is a fear of reprisal.
- It is viewed by inspectors as a bad idea.

Question 26: Is your region responsive to licensee concerns and issues? If no, why?

- The region may be overly sensitive to external stakeholders and public perceptions.

Question 27: Does regional management assist you, as needed, when you cannot resolve issues with plant management? If no, why?

- The inspector does more resolving of the issues personally.
- Managers sometimes need to take more ownership of issues.

Question 28: Are there other areas that management needs to provide you with more information/support in order to perform your duties? If yes, what?

- Selection process for jobs has created low morale.
- Regional Administrator is not seen very much.
- There is a lack of resources.
- Communications bog down when decisions need to be made.
- The branch has difficulty in assuring that the right threshold has been reported.

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January 27, 2003

MEMORANDUM TO: Stephen D. Dingbaum
Assistant Inspector General for Audits

FROM: William F. Kane **/RA/**
Deputy Executive Director for Reactor Programs

SUBJECT: DRAFT OFFICE OF THE INSPECTOR GENERAL REPORTS ON
MANAGEMENT AUDITS OF NRC'S REGIONAL OFFICES

This memorandum provides the staff's written comments on the subject draft reports, in accordance with your email transmittal dated December 17, 2002. We appreciate the opportunity to comment on these reports.

In general, we agree with many of your observations and recommendations and have already implemented various improvements and are planning others. We have a number of comments on areas in the reports that we feel require revision or further clarification. Specific comments on individual reports are provided in the attachment to this memorandum.

We are available to answer any questions you may have about our comments and to work with your staff to provide additional clarification, as appropriate. Please contact Melinda Malloy at (301) 415-1785 for assistance.

Attachment: As stated

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STAFF COMMENTS ON OIG'S DRAFT REPORTS ON MANAGEMENT AUDITS OF NRC'S REGIONAL OFFICES

General

117. NRC managers assess their management controls consistent with Management Directive and Handbook 4.4, "Management Controls," and the General Accounting Offices's "Standards for Internal Controls." Is the basis for the OIG's discussions on management controls in the audit reports consistent with the direction and guidance in Management Directive and Handbook 4.4?

Draft Audit Report, "Headquarters Action Needed On Issues Identified From the Office of the Inspector General's Management Audits of Regional Offices"

1. Page iii, Results in Brief, Operating Plan Metrics.
We believe that the last sentence before the section on Management Controls overstates the problem, and suggest that it be revised to read as follows:

"By exercising only limited oversight of the regions' administrative metrics, headquarters is missing an opportunity to **strengthen** ~~provide guidance, leadership, and performance assessment~~ **guidance** for the regions' management and support functions."
2. Page 1, Section I, Background.
The 3rd sentence of paragraph 3 identifies the regions' Division of Resource Management and Administration (DRMA) activities to include payroll. Regional DRMA activities include Time and Labor, but not full payroll duties. In addition, DRMA is responsible for several other functions. Therefore, we recommend that this sentence be revised as follows:

"The Division of Resource Management and Administration (DRMA) conducts internal operating support activities including **time and labor coordination, financial management,** facilities management, travel, ~~payroll,~~ **procurement, information technology,** and human resource functions."

It should be noted that there is a similar statement on pages 1 or 2 in Section I of the individual regions' reports, and the statements are inconsistent among reports. We recommend that they be revised to ensure consistency with the summary report and among the individual regions' reports.

3. Page 8, Section III.A, Operating Plan Metrics, Public Health and Safety Metrics. The 3rd sentence of the 1st full paragraph states that NRC's inspection manual discusses completion of the baseline inspection program as the estimated number of inspection hours to be expended and/or a minimum sample of items or occurrences to be inspected. This statement is not factually correct. NRC's Inspection Manual Chapter 2515 states that the estimate of inspection hours included in each inspection procedure (IP) is for resource planning only. These hours refer to the estimated average times to complete the inspections for cornerstone areas at dual-unit sites, and are not goals, standards, or limitations. They are included in the IPs to assist in planning resource allocations and are revised periodically, based on experience. Inspectors should inspect the number of samples specified by the baseline IPs because the baseline program provides the insights necessary to assess performance, with performance indicators, in each cornerstone of safety.

Since initial implementation of the inspection program, the program office has emphasized that an IP is completed when all inspection requirements stated in the procedure have been performed, i.e., the minimum number of samples have been inspected. We recognize that this might not have been fully understood and, therefore, have reemphasized this information in a memorandum dated July 16, 2002, from Bruce Boger, NRR to Deputy Regional Administrators (see ML0201920501).

We recommend that this paragraph of the report be clarified by revising it as follows:

~~“Regional managers stated that they have received limited guidance on definition of terms, results presentation, procedures for data collection and computations, and expectations for quality control. For example, while the operating plans requires that each region report on the extent of completion of the baseline inspection program, headquarters does not define “completion”~~
the conditions for completion of a procedure may not have been completely understood. Even though NRC's inspection manual and individual procedures provide guidance for determining procedure discusses completion, ~~as the estimated number of inspection hours to be expended and/or a minimum sample of items or occurrences to be inspected~~ one region assesses completion based on hours, while another region assesses completion based on sample size. Regional managers expressed confusion about which of these two attributes to apply, and some believe it is a combination of the two.”

4. Page 10, Section III.A, Operating Plan Metrics, Public Health and Safety Metrics. In the 1st full paragraph before the section on Summary, the 3rd, 4th, and 5th sentences give the impression that all senior managers in headquarters have little or no interest or involvement in regional management and support activities, which is not the case. In fact, the OIG found several administrative areas to be operating effectively with the current level of oversight. (See page 11, discussion at the beginning of section III.B on Management Controls.) We think it would be more appropriate to replace these sentences with the following:

“There is wide variance among the regions in the use of operating metrics for administrative activities.”

Draft Audit Report, “Management Audit of Region I”

1. Page 1, Section I, Background. The last sentence of the 3rd paragraph, which describes the functions performed by the region’s Division of Resource Management, should be revised as discussed in item 2 in the specific comments on Draft Audit Report, “Headquarters Action Needed On Issues Identified From the Office of the Inspector General’s Management Audits of Regional Offices.”

Draft Audit Report, “Management Audit of Region II”

1. Page i, Executive Summary, Background and Page 1, Section I, Background. The 1st paragraph on page i indicates that the Region II office operates and covers a 9 State area. A similar statement appears in the 2nd paragraph of page 1. The Region II office actually covers a 10 State area. Part of the confusion may be in the fact that Region IV has regulatory oversight for the Grand Gulf nuclear power plant, which is in the State of Mississippi, but the Region II office maintains regulatory oversight for all other uses of radioactive materials and of the Agreement State program for the State of Mississippi. These sections should be revised accordingly to reflect this information.
2. Page 1, Section I, Background. The 3rd paragraph, which describes the structure of the region’s strategic and performance goals consistent with the NRC’s mission, should be revised as discussed in item 2 in the specific comments on Draft Audit Report, “Management Audit of Region III.”
3. Page 2, Section I, Background. The sentence beginning on line 2, which describes the functions performed by the region’s Division of Resource Management and Administration, should be revised as discussed in item 2 in the specific comments on Draft Audit Report, “Headquarters Action Needed On Issues Identified From the Office of the Inspector General’s Management Audits of Regional Offices.”

4. Page 5, Section III.A, Operating Plan Metrics, Inaccurate Data
The last two sentences of the 1st bullet state:

“Moreover, OIG’s review identified two additional inspection procedures that were not completed at one of the sampled plants. The region was not aware these procedures were not completed.”

During the region’s review of the draft report findings, it was determined that these sentences do not appear to be correct. The two inspection procedures (IPs) identified to the region by the OIG audit team (IPs 71122.01 and 71130.04 at Oconee) were not required to be completed. Both are biennial procedures and were not required to be completed for the inspection cycle ending March 31, 2001. For the next cycle, ending December 31, 2001, they were chosen as part of the procedures to not complete, which was allowed by the program office requirement of completing only 60 to 80 percent of the procedures. Subsequent to the OIG audit, the cognizant regional Branch Chief indicated he was aware that these procedures were not completed, however, he was not available during the OIG audit of this area. We request that the report be revised to reflect this new information.

5. Page 9, Section III.B, Management Controls, Management Controls Over Information Management.

The last sentence in the section on Systems Processing Classified and Unclassified Safeguards Information indicates that as a result of not specifically assigning a System Security Officer or preparing a specific System Security Plan, there is an absence of security controls over Region II’s systems. While we agree with the report’s conclusions and recommendations that the controls should be enhanced (e.g., there is not a specific security officer for the standalone systems processing and not a specific security plan for the standalone systems), it is incorrect to state that there are no controls over Region II’s systems. Region II does have a Security Officer assigned for processing classified information and a Regional Office Security Plan, which covers processing of classified and unclassified safeguards information, including by the use of standalone systems.

Draft Audit Report, “Management Audit of Region III”

1. Page 1, Section I, Background.
The 4th sentence of the 2nd paragraph incorrectly lists the number of resident inspectors assigned to Region III as 34. Region III has 35 resident inspectors—32 at power reactor facilities and 3 at the gaseous diffusion plants. We recommend that this sentence be revised to read as follows:

“When fully staffed, there are 35 ~~34~~ resident inspectors working at 16 nuclear power plants and two gaseous diffusion plants under the region's jurisdiction.”

2. Page 1, Section I, Background.
The 3rd paragraph, 3rd sentence identifies corporate management strategies as a fourth area, which appears to indicate that this area is unique to the region and outside of the Strategic Plan. For clarification, we recommend that this sentence be revised as follows:

“Consistent with the NRC Strategic Plan, the region also ~~uses~~ ~~has~~ a fourth area ~~called~~, the corporate management strategies, ~~to accomplish strategic and performance goals.~~”

It should be noted that there is a similar statement on page 1 Section I of the reports for Regions II and IV. We recommend that these statements also be revised.

3. Page 2, Section I, Background.
The sentence beginning on line 2, which describes the functions performed by the region’s Division of Resource Management, should be revised as discussed in item 2 in the specific comments on Draft Audit Report, “Headquarters Action Needed On Issues Identified From the Office of the Inspector General’s Management Audits of Regional Offices.”
4. Page 5, Section III.A, Operating Plan Metrics, and Page 29, Appendix B, Region IV Metrics.
The sections on Inaccurate Data (page 5) and Metric 3: Baseline Inspection Metric Reported Inaccurately (page 29) have the same wording to describe an error with the region’s inspection procedure completion records. The current writeup would lead one to believe that the inspection procedure (IP) was not completed at the time of the audit, which is not correct. The IP was completed on June 30, 2001, after the end of the inspection cycle (i.e., March 31, 2001) at the Davis-Besse facility (reference Inspection Report 50-346/01-10). Consequently, we recommend changing the last three sentences of both of these sections to read as follows:

“Auditors reviewed baseline inspection records pertaining to 3 of the region’s 16 nuclear power plants and identified one case where a required ~~and planned~~ inspection procedure was not completed ~~as planned before the end of the inspection cycle~~. Regional staff were unaware that the inspection procedure in question was not completed ~~until June 30, 2001~~. By not completing just one inspection procedure ~~before the end of the inspection cycle~~, Region III missed its target for completing the *minimum* NRC inspection oversight requirement; however, the region reported that it met its ~~annual~~ goal of conducting 100 percent of its baseline inspections ~~during the inspection cycle ending March 31, 2001.~~”

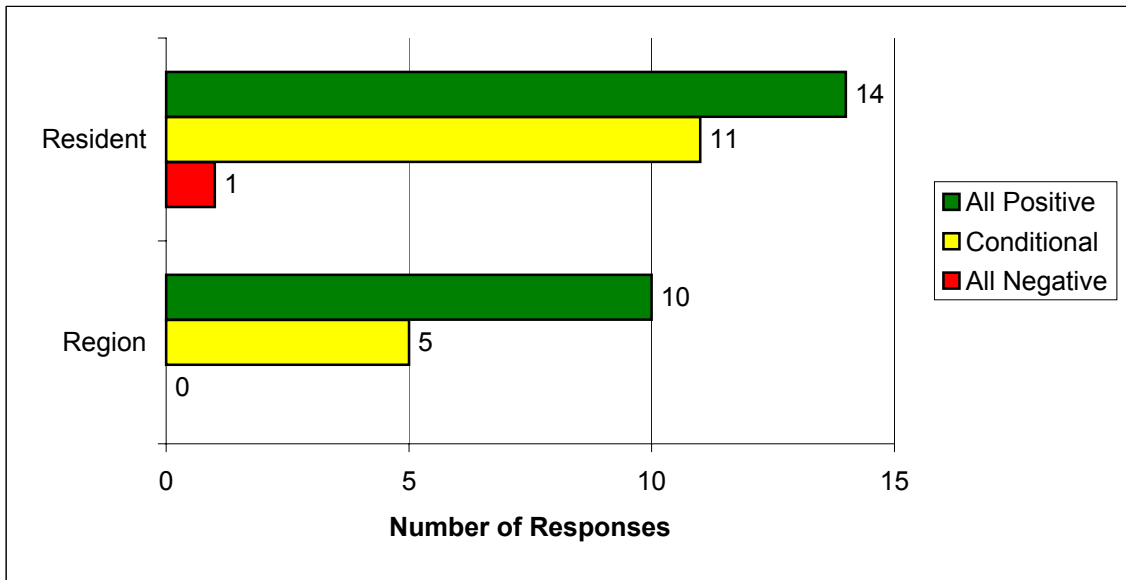
5. Page 13, Section III.C, Interviews with Region III Inspectors and Technical Staff. The 1st sentence of the 1st paragraph identifies that the OIG interviewed 19 of 32 resident or senior resident inspectors and 15 of 33 region-based inspectors and technical staff. These numbers appear to be inconsistent with Region III's staffing plan. Region III currently has 35 resident inspectors assigned to its sites as noted in item 2. Additionally, the region has over 90 region-based inspectors and technical staff (current count is 94 plus 8 interns). This includes the technical staff in Division of Reactor Safety (DRS), Division of Reactor Projects (DRP), Division of Nuclear Materials Safety (DNMS), and the Enforcement and Investigation Coordination Staff. Therefore, we recommend that the first sentence of Section III.C be revised to either account for the total population of region-based inspectors and technical staff or better define the population of 33 as a subset of the total population.

Draft Audit Report, "Management Audit of Region IV"

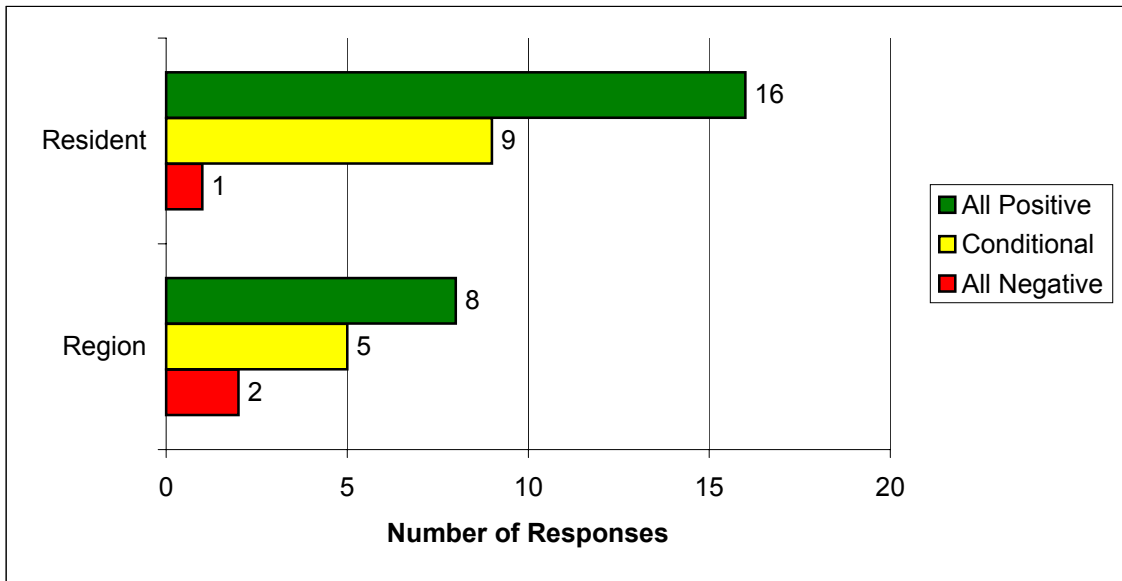
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REGION I INTERVIEW RESULTS

Question 1: Is the region ensuring you receive all required training? If no, why?

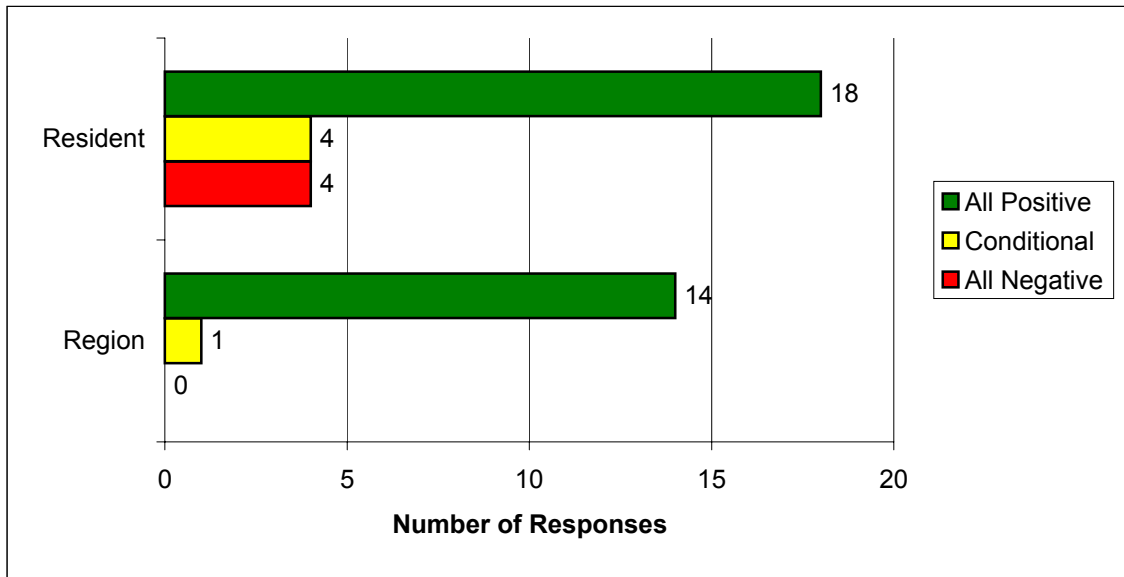


Question 2: Are you receiving the correct training needed to accomplish your job?
If no, why, and what additional training is needed?



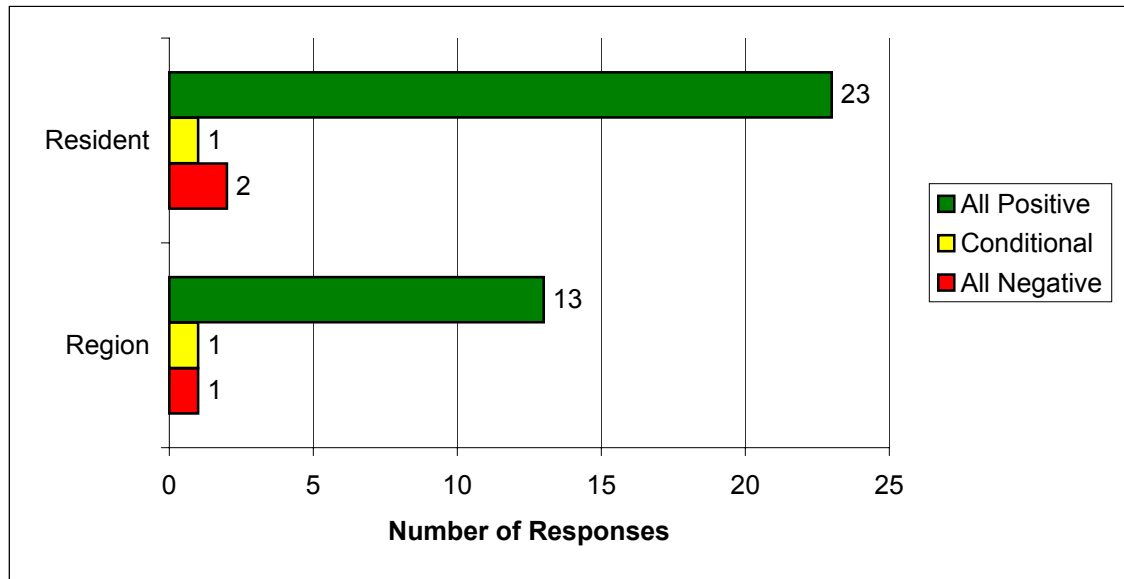
REGION I INTERVIEW RESULTS

Question 3: Do you receive training on time? If no, why?



Question 4: Is there a pattern of rescheduling for training? If yes, why?

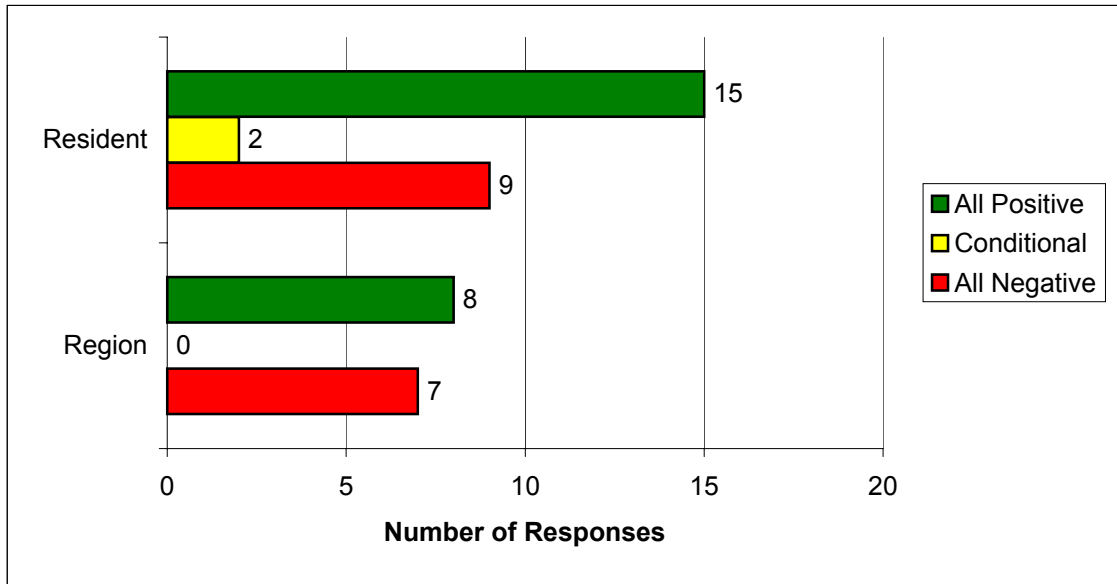
Note: In this situation, a yes response denotes a negative answer (measured in red).



REGION I INTERVIEW RESULTS

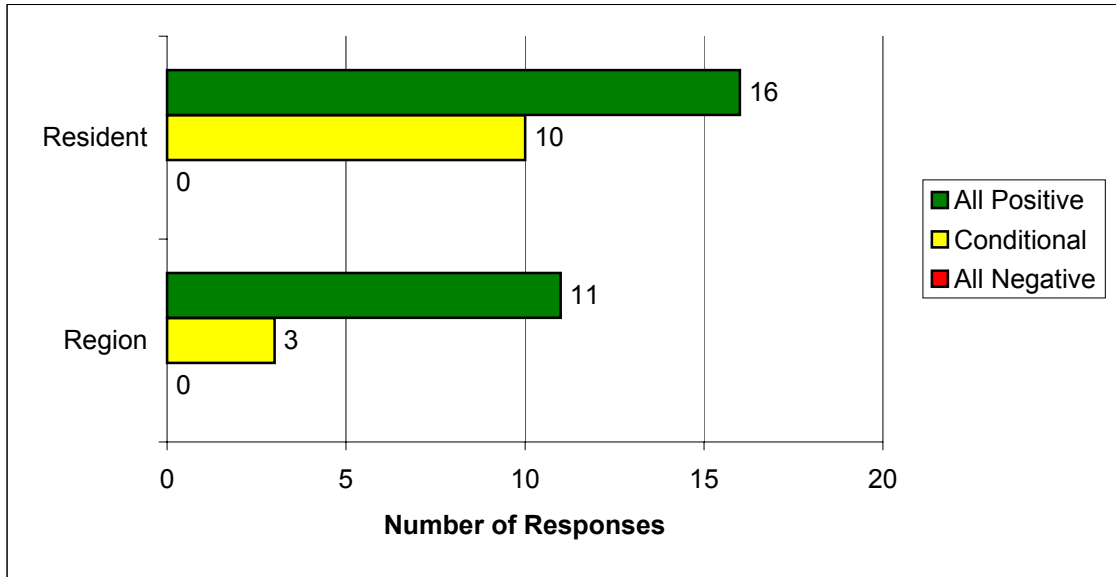
Question 5: Are there any other training issues for which you have concerns? If yes, what are they?

Note: In this situation, a yes response denotes a negative answer (measured in red).



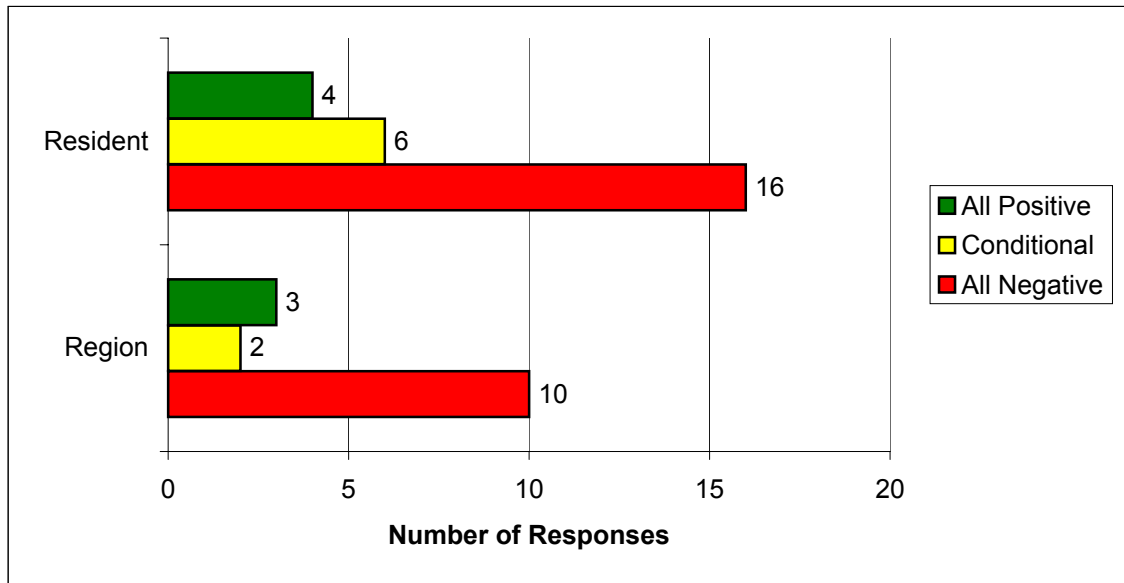
REGION I INTERVIEW RESULTS

Question 6: Does the region provide timely responses to your requests for technical assistance? If no, why?



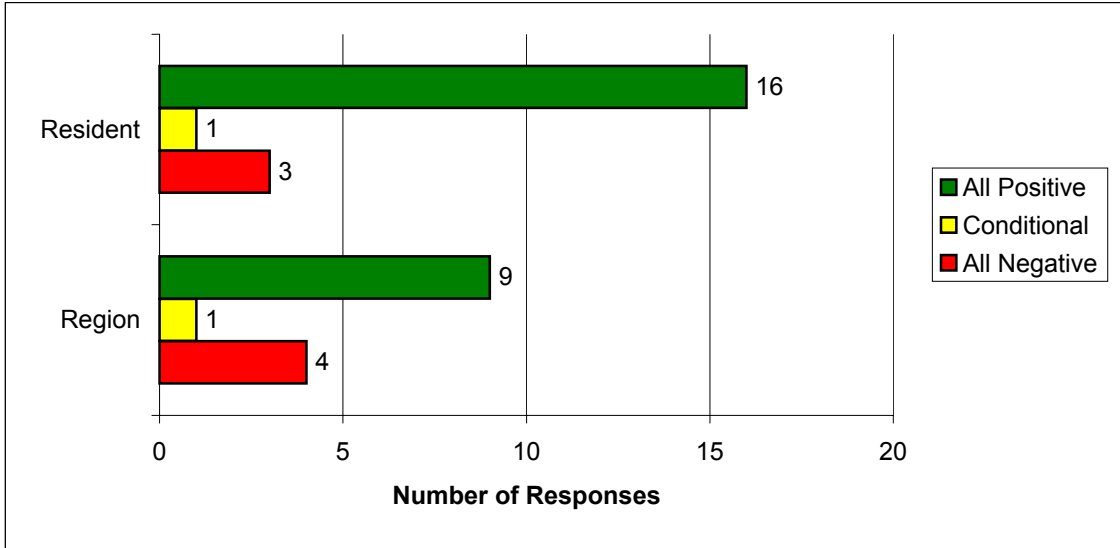
Question 7: Do aspects of the inspection process need to be improved? If yes, what are they?

Note: In this situation, a yes response denotes a negative answer (measured in red).

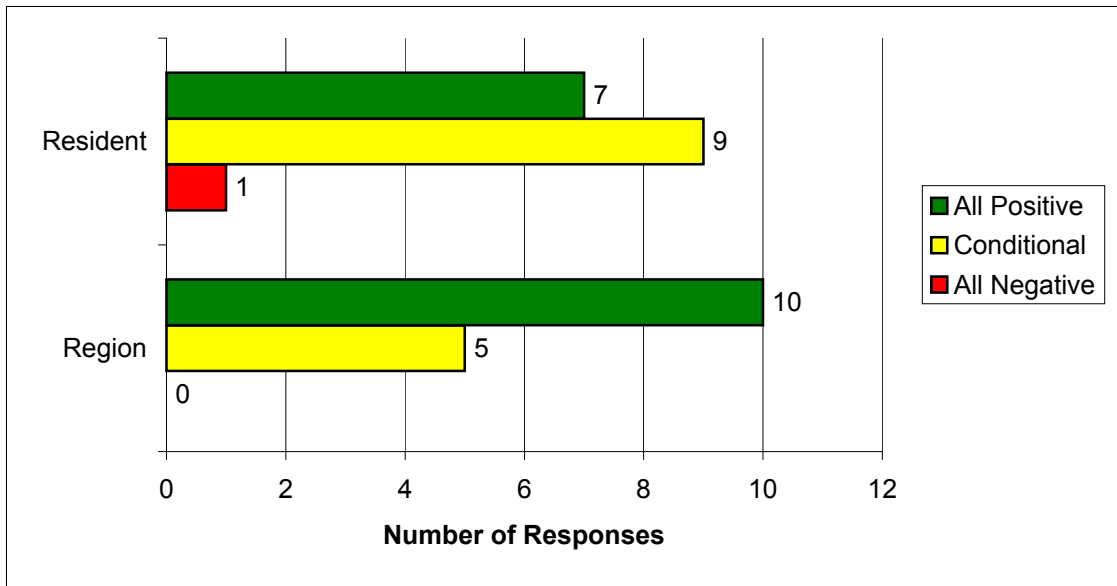


REGION I INTERVIEW RESULTS

Question 8: Have you suggested these improvements to your supervisor? If no, why?



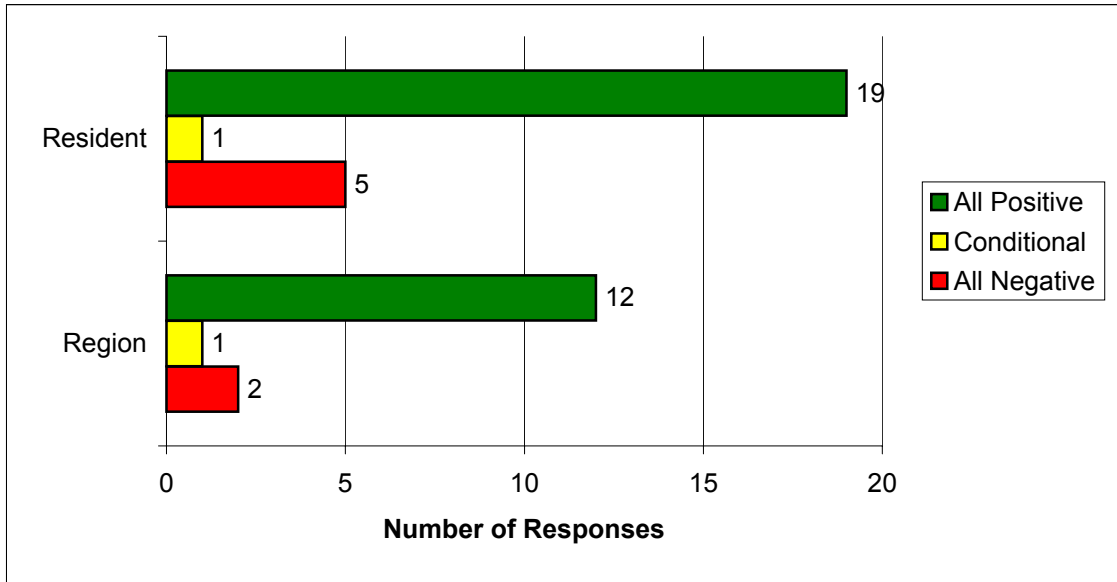
Question 9: Did your supervisor respond to your suggested improvements? If no, why?



REGION I INTERVIEW RESULTS

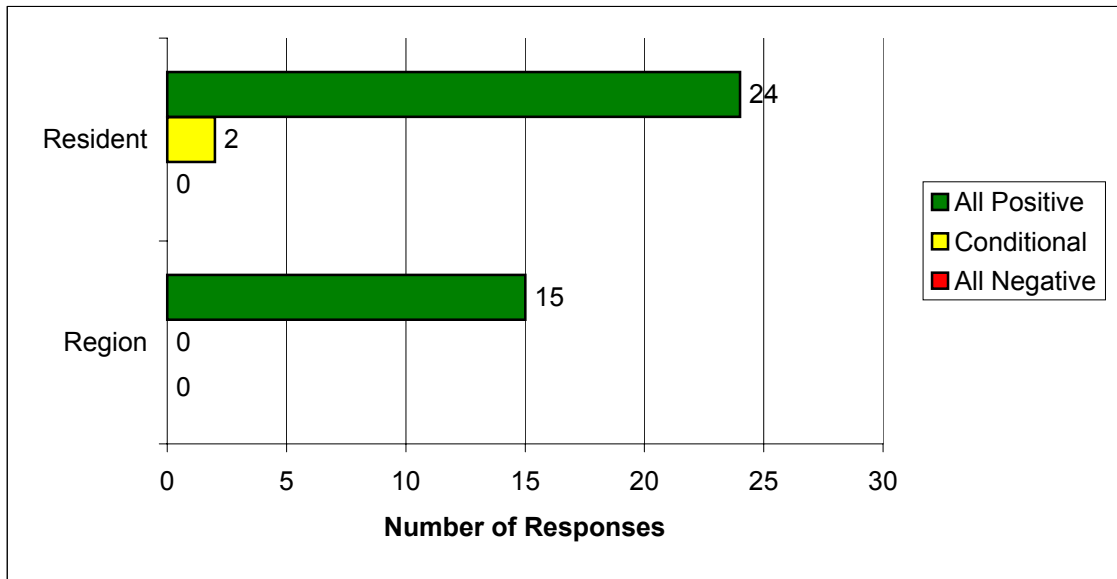
Question 10: Are there any other technical assistance issues that need to be addressed? If yes, what are they?

Note: In this situation, a yes response denotes a negative answer (measured in red).

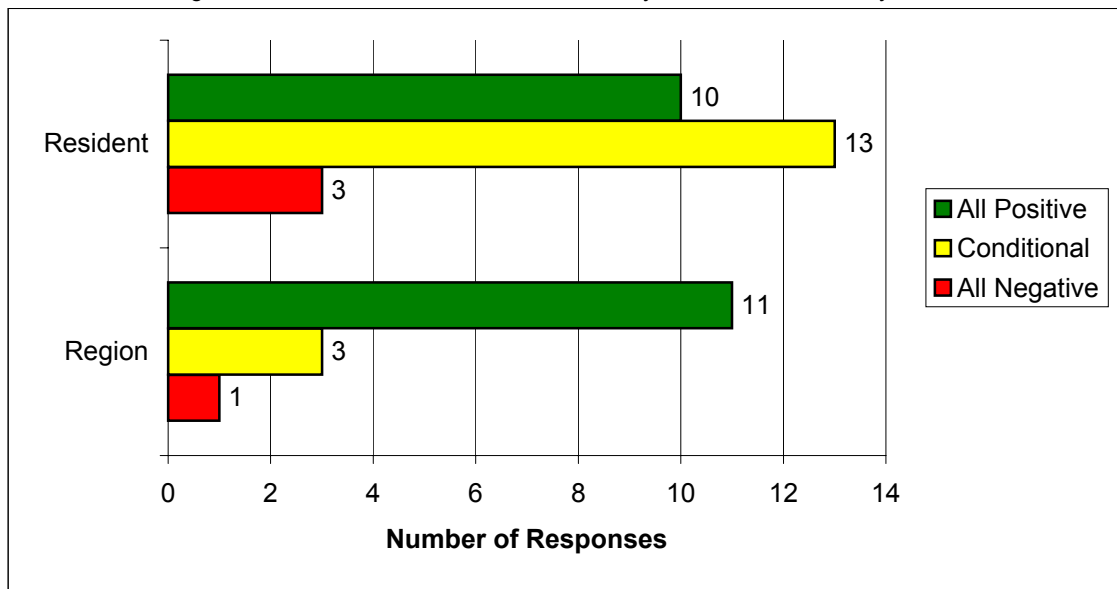


REGION I INTERVIEW RESULTS

Question 11: Do you receive timely reimbursement for travel expenses? If no, why?

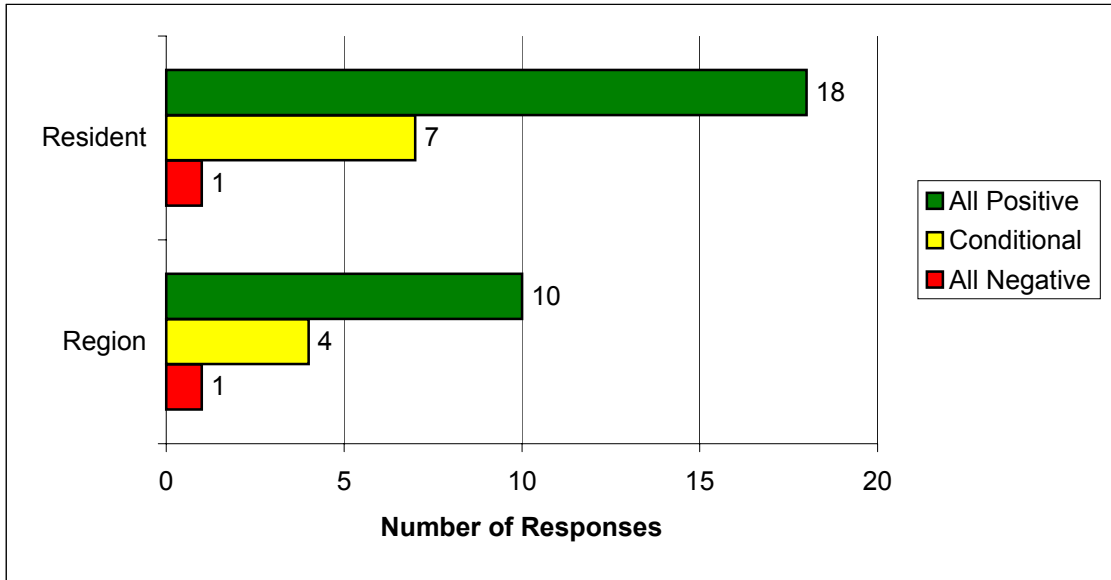


Question 12: Do the various regional office administrative functions meet your needs? If no, why?



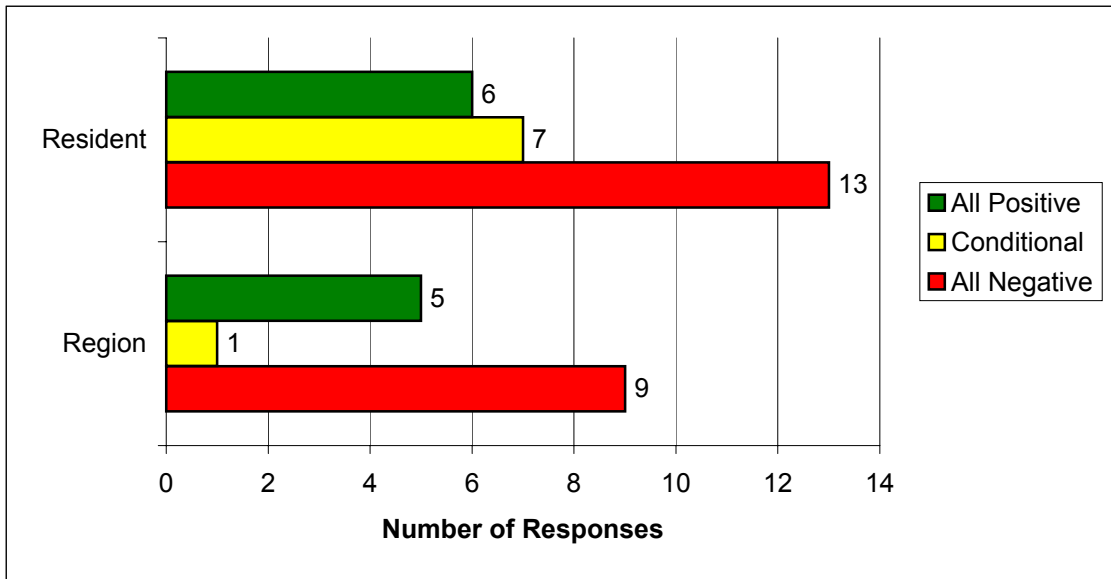
REGION I INTERVIEW RESULTS

Question 13: Do you have enough information technology equipment to do your job? If no, why not?



Question 14: Are there any computer/software problems that require resolution? If yes, what are they?

Note: In this situation, a yes response denotes a negative answer (measured in red).



REGION I INTERVIEW RESULTS

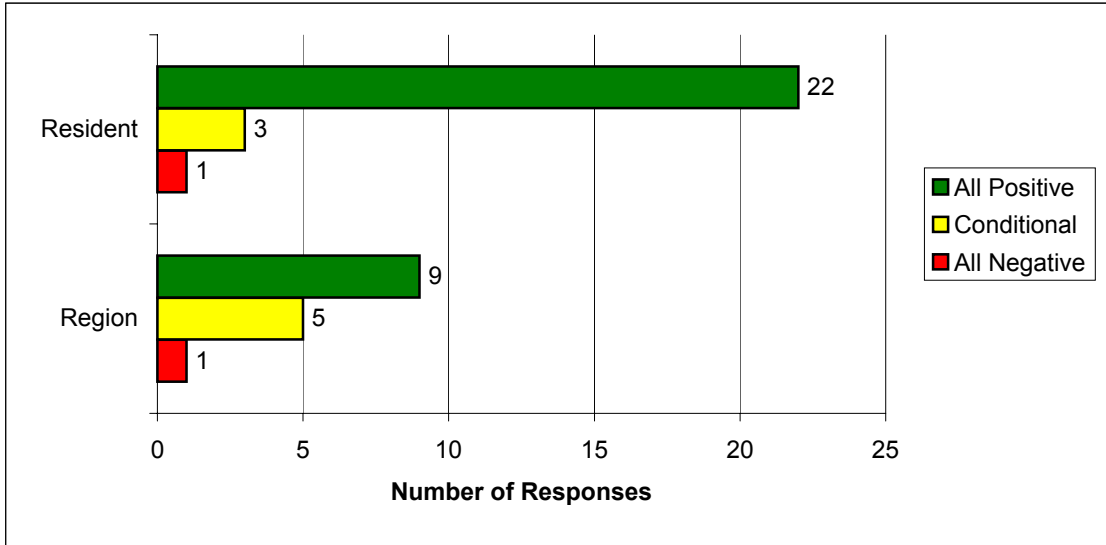
Question 15: How do your computer/software problems get fixed?

Comments:

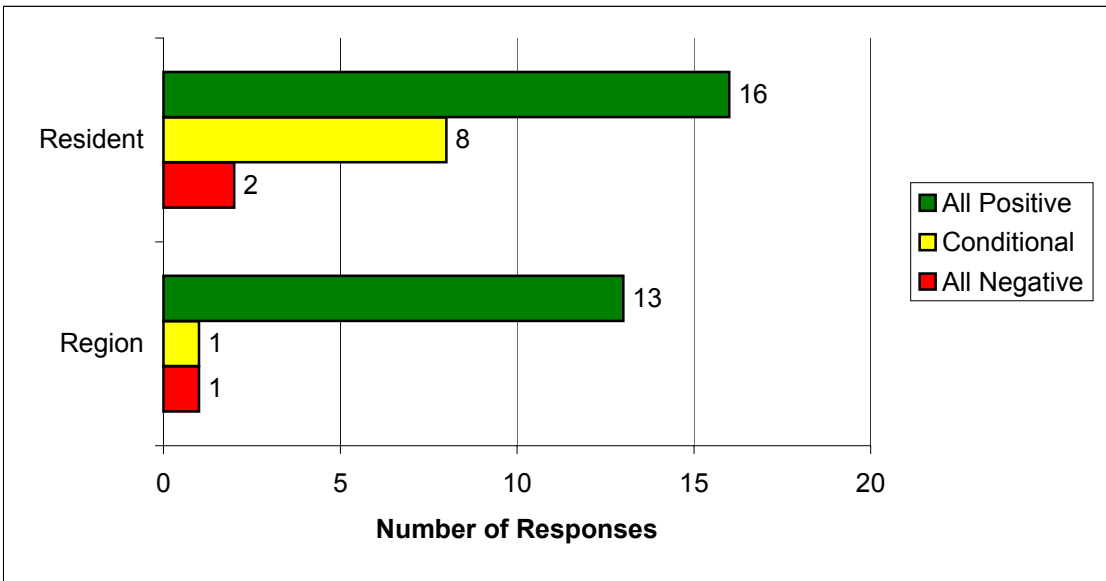
Resident
mostly positive

Region
Almost all positive

Question 16: Does your computer have adequate links to headquarters/the region for your work purposes? If no, why?



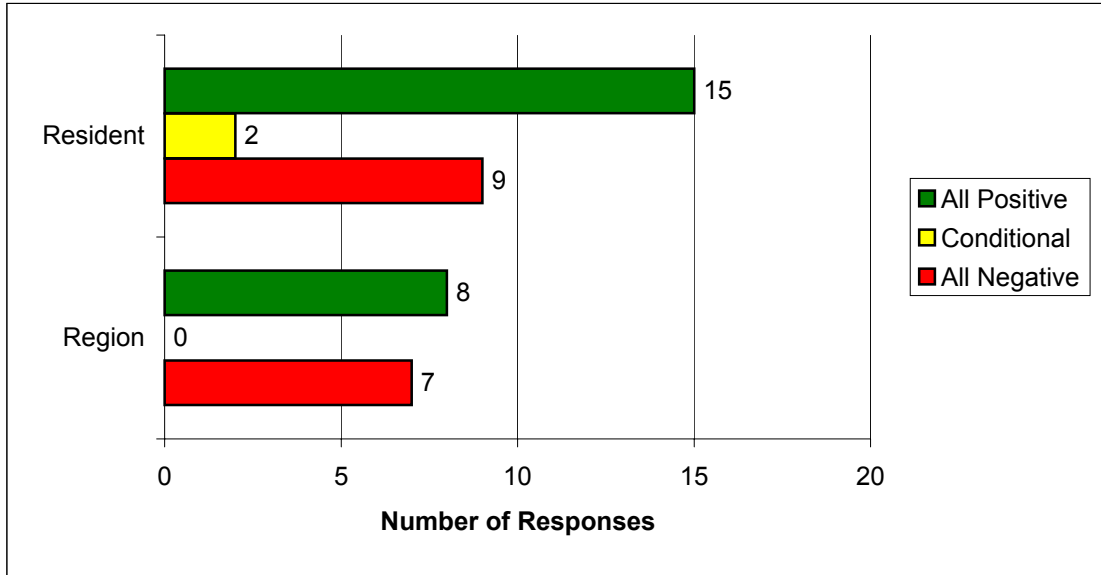
Question 17: Does the telephone system provide adequate communication for your work? If no, why?



REGION I INTERVIEW RESULTS

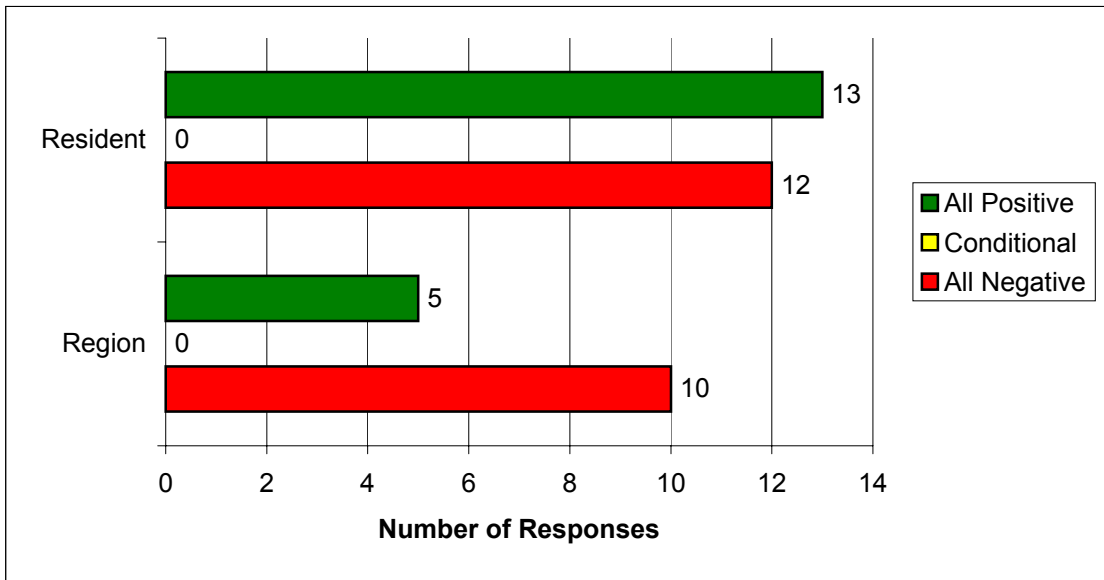
Question 18: Are there other administrative assistance issues that should be addressed? If yes, what are they?

Note: In this situation, a yes response denotes a negative answer (measured in red).



Question 19: Do other aspects of regional office operations need to be improved? If yes, what are they?

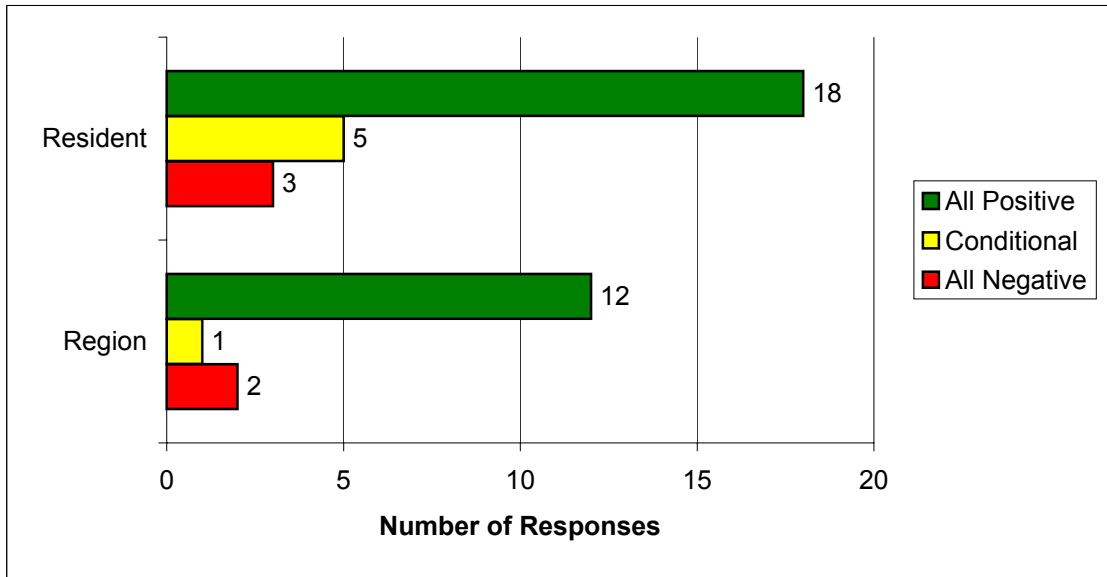
Note: In this situation, a yes response denotes a negative answer (measured in red).



REGION I INTERVIEW RESULTS

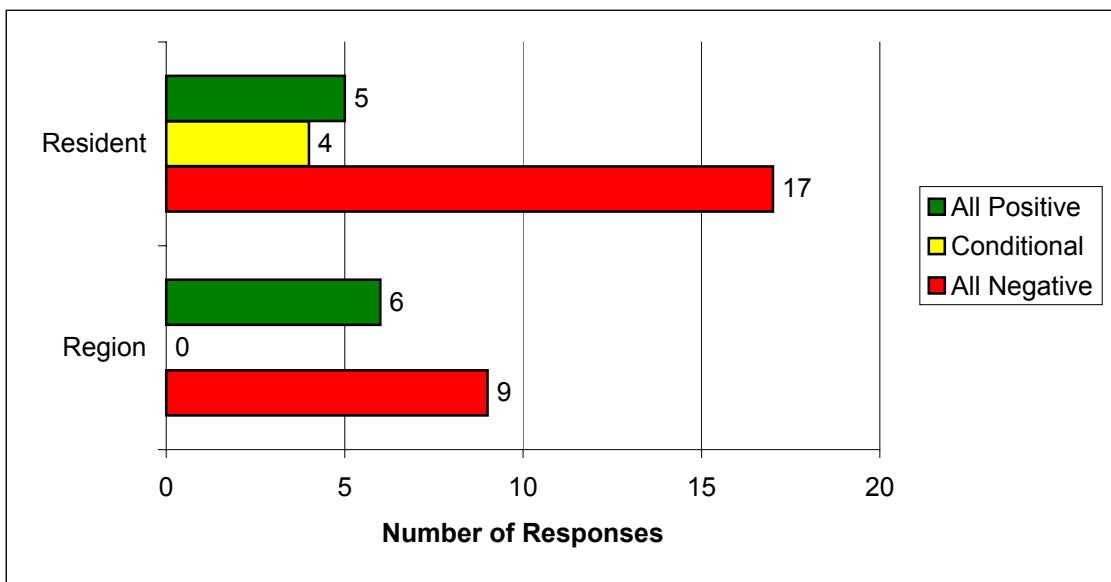
Question 20: Do you have any major problems in completing your job? If yes, why?

Note: In this situation, a yes response denotes a negative answer (measured in red).



Question 21: Can the region/NRC do more to improve your effectiveness? If yes, what?

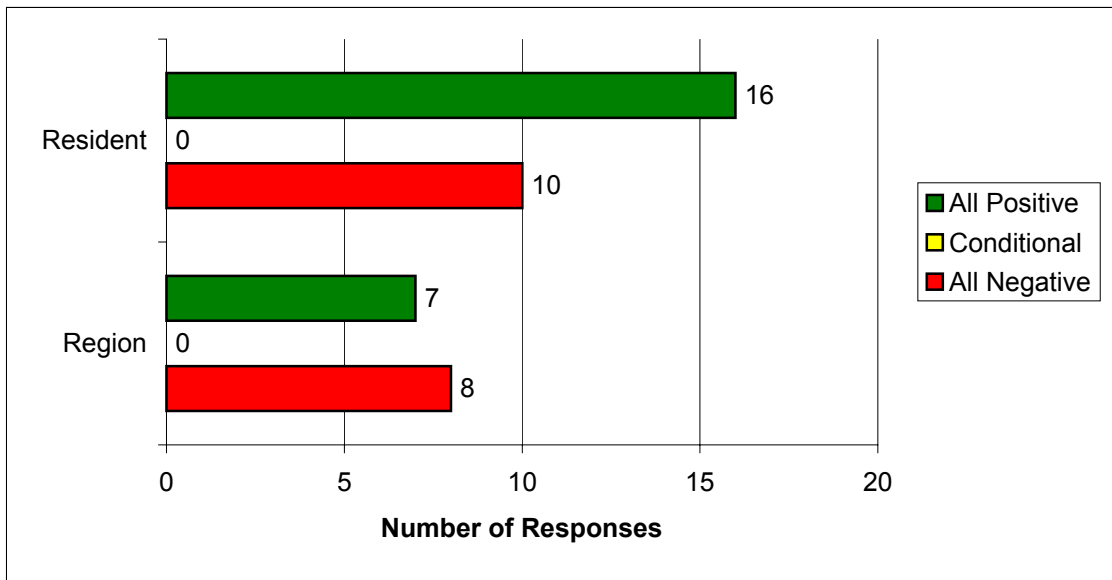
Note: In this situation, a yes response denotes a negative answer (measured in red).



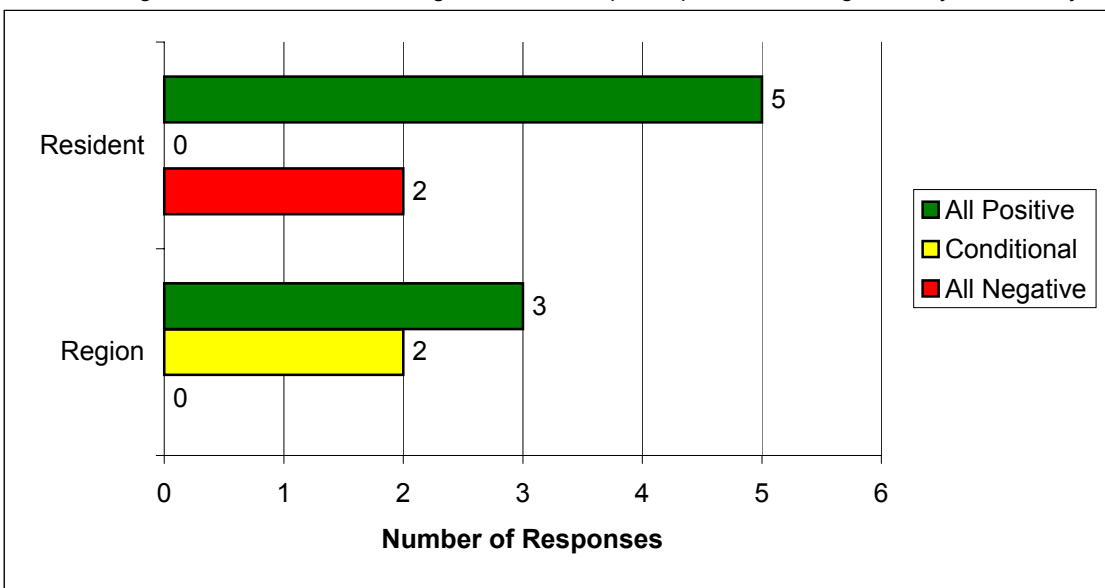
REGION I INTERVIEW RESULTS

Question 22: Are there any other areas upon which regional management needs to improve to help you do your job more effectively? If yes, what?

Note: In this situation, a yes response denotes a negative answer (measured in red).



Question 23: Is the Differing Professional View/Differing Professional Opinion process working correctly? If no, why?



REGION I INTERVIEW RESULTS

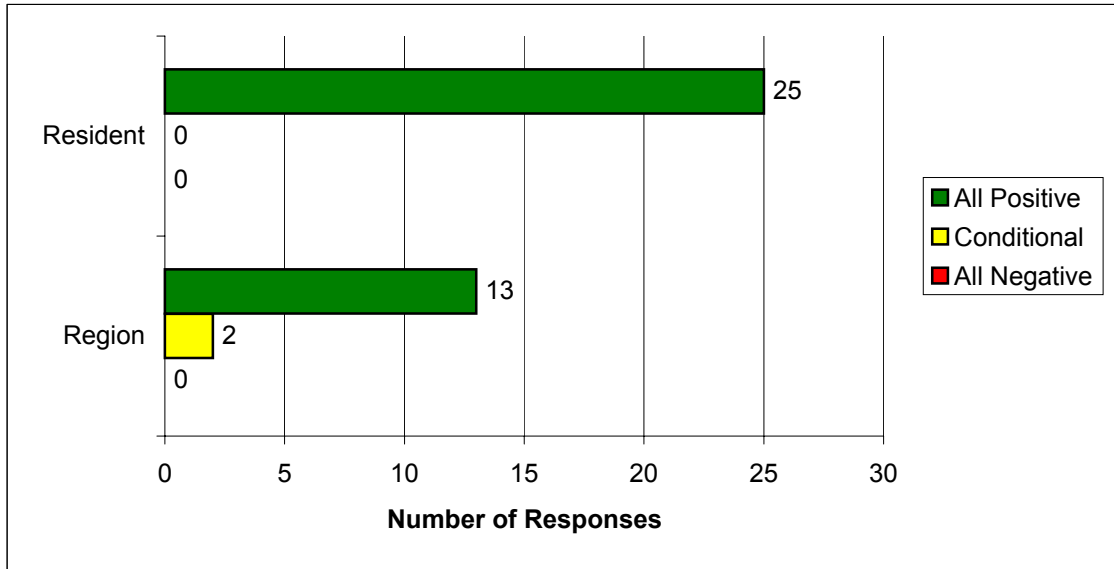
Question 24: How would you characterize your relationship with plant management? Why?

	<u>Resident</u>	<u>Region</u>
Excellent	12	6
Very Good	10	8
Good	1	0
Fair	0	0
Poor	0	1

Question 25: How would you characterize the region's relationship with plant management? Why?

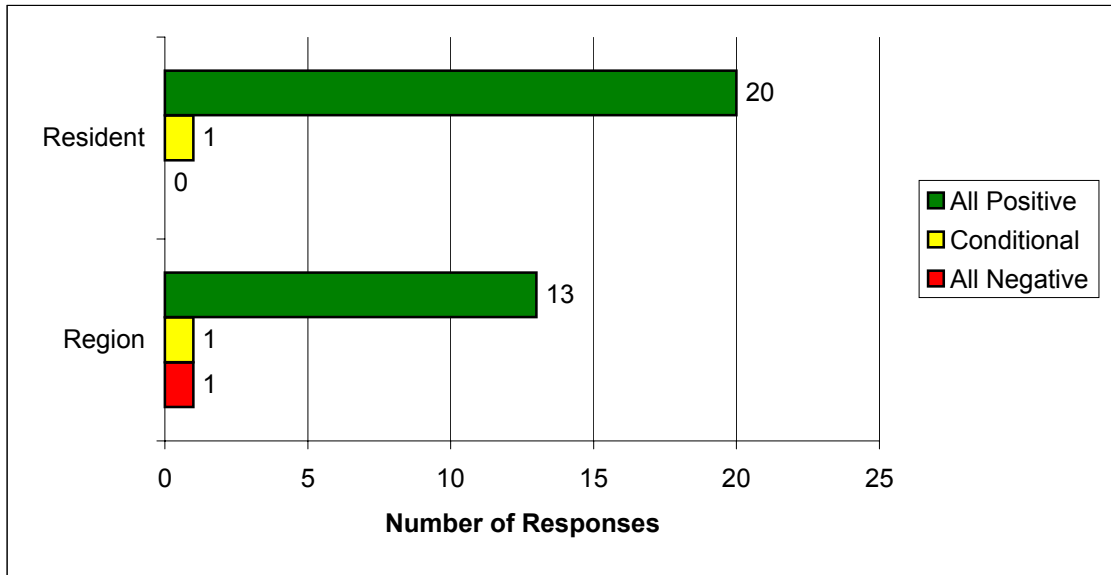
	<u>Resident</u>	<u>Region</u>
Excellent	3	3
Very Good	13	4
Good	5	8
Fair	1	0
Poor	0	0

Question 26: Is your region responsive to licensee concerns and issues? If no, why?



REGION I INTERVIEW RESULTS

Question 27: Does regional management assist you, as needed, when you cannot resolve issues with plant management? If no, why?



REGION I INTERVIEW RESULTS

Question 28: Are there other areas that management needs to provide you with more information/support in order to perform your duties? If yes, what?

Note: In this situation, a yes response denotes a negative answer (measured in red).

