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Description of document: Nuclear Regulatory Commission (NRC) Inspector General Investigations Closed, CY2018 - CY2019

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Source of document: U.S. Nuclear Regulatory Commission
Mail Stop TWFN-6 A60M
Washington, DC 20555-0001
Fax: 301-415-5130
Email: FOIA.resource@nrc.gov
[FOIAonline](#)

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**RESPONSE TO FREEDOM OF
INFORMATION ACT (FOIA) REQUEST**

NRC

2020-000173

RESPONSE NUMBER

1

RESPONSE
TYPE

☐

INTERIM

☒

FINAL

REQUESTER:

DATE:

3-11-20

DESCRIPTION OF REQUESTED RECORDS:

A copy of the listing of Inspector General investigations closed during calendar years 2018 and 2019

PART I. -- INFORMATION RELEASED

- ☐ The NRC has made some, or all, of the requested records publicly available through one or more of the following means:
(1) <https://www.nrc.gov>; (2) public ADAMS, <https://www.nrc.gov/reading-rm/adams.html>; (3) microfiche available in the NRC Public Document Room; or FOIA Online, <https://foiaonline.gov/foiaonline/action/public/home>.
- ☒ Agency records subject to the request are enclosed.
- ☐ Records subject to the request that contain information originated by or of interest to another Federal agency have been referred to that agency (See Part I.D -- Comments) for a disclosure determination and direct response to you.
- ☐ We are continuing to process your request.
- ☐ See Part I.D -- Comments.

PART I.A -- FEES

AMOUNT

\$0.00

- ☐ You will be billed by NRC for the amount indicated.
- ☐ You will receive a refund for the amount indicated.
- ☐ Fees waived.
- ☒ Since the minimum fee threshold was not met, you will not be charged fees.
- ☐ Due to our delayed response, you will not be charged search and/or duplication fees that would otherwise be applicable to your request.

PART I.B -- INFORMATION NOT LOCATED OR WITHHELD FROM DISCLOSURE

- ☐ We did not locate any agency records responsive to your request. *Note:* Agencies may treat three discrete categories of law enforcement and national security records as not subject to the FOIA ("exclusions"). See 5 U.S.C. 552(c). This is a standard notification given to all requesters; it should not be taken to mean that any excluded records do, or do not, exist.
- ☒ We have withheld certain information pursuant to the FOIA exemptions described, and for the reasons stated, in Part II.
- ☐ Because this is an interim response to your request, you may not appeal at this time. We will notify you of your right to appeal any of the responses we have issued in response to your request when we issue our final determination.
- ☒ You may appeal this final determination within 90 calendar days of the date of this response. If you submit an appeal by mail, address it to the FOIA Officer, at U.S. Nuclear Regulatory Commission, Mail Stop T-6 A60M, Washington, D.C. 20555-0001. You may submit an appeal by e-mail to FOIA.resource@nrc.gov. You may fax an appeal to (301) 415-5130. Please be sure to include on your submission that it is a "FOIA Appeal." Only a pre-registered user may file an appeal through FOIA Online, <https://foiaonline.gov/foiaonline/action/public/home>. A user who has not registered an account prior to filing the initial FOIA request may still submit their appeal by one of the above mentioned options.

PART I.C -- REFERENCES AND POINTS OF CONTACT

You have the right to seek assistance from the NRC's FOIA Public Liaison by submitting your inquiry at <https://www.nrc.gov/reading-rm/foia/contact-foia.html>, or by calling the FOIA Public Liaison at (301) 415-1276.

If we have denied your request, you have the right to seek dispute resolution services from the NRC's Public Liaison or the Office of Government Information Services (OGIS). To seek dispute resolution services from OGIS, you may e-mail OGIS at ogis@nara.gov, send a fax to (202) 741-5789, or send a letter to: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. For additional information about OGIS, please visit the OGIS website at <https://www.archives.gov/ogis>.



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TYPE

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FINAL

PART I.D -- COMMENTS

Signature - Assistant Inspector General for Investigations or Designee

A handwritten signature in black ink, appearing to be "M. H.", written over a horizontal line.

2020-000173

DATE:

03/11/2020



RESPONSE TO FREEDOM OF INFORMATION ACT (FOIA) REQUEST

PART II.A -- APPLICABLE EXEMPTIONS

Records subject to the request are being withheld in their entirety or in part under the FOIA exemption(s) as indicated below (5 U.S.C. 552(b)).

- ☐ Exemption 1: The withheld information is properly classified pursuant to an Executive Order protecting national security information.
- ☐ Exemption 2: The withheld information relates solely to the internal personnel rules and practices of NRC.
- ☐ Exemption 3: The withheld information is specifically exempted from public disclosure by the statute indicated.
- ☐ Sections 141-145 of the Atomic Energy Act, which prohibits the disclosure of Restricted Data or Formerly Restricted Data (42 U.S.C. 2161-2165).
- ☐ Section 147 of the Atomic Energy Act, which prohibits the disclosure of Unclassified Safeguards Information (42 U.S.C. 2167).
- ☐ 41 U.S.C. 4702(b), which prohibits the disclosure of contractor proposals, except when incorporated into the contract between the agency and the submitter of the proposal.
- ☐ Other:
- ☐ Exemption 4: The withheld information is a trade secret or confidential commercial or financial information that is being withheld for the reason(s) indicated.
- ☐ The information is considered to be proprietary because it concerns a licensee's or applicant's physical protection or material control and accounting program for special nuclear material pursuant to 10 CFR 2.390(d)(1).
- ☐ The information is considered to be another type of confidential business (proprietary) information.
- ☐ The information was submitted by a foreign source and received in confidence pursuant to 10 CFR 2.390(d)(2).
- ☐ Exemption 5: The withheld information consists of interagency or intraagency records that are normally privileged in civil litigation.
- ☐ Deliberative process privilege.
- ☐ Attorney work product privilege.
- ☐ Attorney-client privilege.
- ☐ Exemption 6: The withheld information from a personnel, medical, or similar file, is exempted from public disclosure because its disclosure would result in a clearly unwarranted invasion of personal privacy.
- ☒ Exemption 7: The withheld information consists of records compiled for law enforcement purposes and is being withheld for the reason(s) indicated.
- ☐ (A) Disclosure could reasonably be expected to interfere with an open enforcement proceeding.
- ☒ (C) Disclosure could reasonably be expected to constitute an unwarranted invasion of personal privacy.
- ☐ (D) The information consists of names and other information the disclosure of which could reasonably be expected to reveal identities of confidential sources.
- ☐ (E) Disclosure would reveal techniques and procedures for law enforcement investigations or prosecutions, or guidelines that could reasonably be expected to risk circumvention of the law.
- ☐ (F) Disclosure could reasonably be expected to endanger the life or physical safety of an individual.
- ☒ Other Non-Responsive Record

PART II.B -- DENYING OFFICIAL

In accordance with 10 CFR 9.25(g)(1) of the U.S. Nuclear Regulatory Commission regulations, the official listed below has made the determination to withhold certain information, described below, responsive to your request.

DENYING OFFICIAL	TITLE/OFFICE	RECORDS DENIED	APPELLATE OFFICIAL
Rocco Pierri	Assistant Inspector General for Investigations	Particular column on report of closed investigations	Inspector General

Cases Closed Between 01/01/2018 and 12/31/2019

<u>Case #</u>	<u>Case Title</u>	<u>Non Responsive</u>	<u>Closed</u>
C 10 040	Proactive Initiative to Identify Potential Grant Fraud		01/30/2019
C 12 007	Proactive Initiative: Companies in Violation of the SBA Certification		03/28/2018
C 13 036	Possible Fraudulent Invoices Submitted By Contractor Involving Enterprise Project Management (EPM) Contract		09/14/2018
C 15 001	NRC Network Intrusions Cyber Project		10/24/2019
C 15 032	Concerns Pertaining to Region IV (b)(7)(C) (b)(7)(C) Handling of Security Inspections Violations		03/01/2019
C 15 036	Irregularities in NRC Acquisition Process Pertaining to Maintenance Operation and Modernization Support Program		02/21/2019
C 16 005	Proactive Initiative - Computer Misuse and Computer Forensic Support		05/30/2018
C 16 016	Concerns Regarding Release of Radioactive Material into the Groundwater at Indian Point Nuclear Generating Units		09/14/2018
C 16 021	Alleged Management Pressure to Accept NFPA 805 Amendments Regarding Diablo Canyon		02/21/2019
C 16 035	Alleged Conflict of Interest by an NMSS (b)(7)(C) (b)(7)(C)		09/13/2018
C 16 038	Alleged Overcharging of Time and Attendance Hours by NRC NSIR Employees		04/10/2019
C 16 040	Unauthorized Intrusion of NRC Procurement Database by Contractor Employees		05/31/2018
C 16 044	Conflict of Interest in the Award of Task Orders by NRC Project Manager		09/21/2018
C 17 001	Concerns Pertaining to NRC Staff Oversight of CGI Contract		09/21/2018
C 17 008	Alleged Region II Non-compliance with Management Directive 8.3 NRC Incident Investigation Program		05/16/2018
C 17 012	Issues Concerning HCGS PRNM Upgrade & LAR Process		07/12/2018
C 17 013	Concerns With the Performance and Safety Culture at Turkey Point Plant		11/21/2018

Cases Closed Between 01/01/2018 and 12/31/2019

<u>Case #</u>	<u>Case Title</u>	<u>Non Responsive</u>	<u>Closed</u>
C 17 014	Reported Disclosure by FAR Contractor NDFG		09/06/2019
C 17 017	Alleged Violations of FAR Requirements by NRC Contract Staff		08/20/2018
C 17 018	Possible Steering and Mismangement of Contracts		10/24/2019
C 17 020	Concerns Pertaining to Belligerent NRC Inspector		03/16/2018
C 17 023	Harassment and Retaliation by Region IV Management For Engaging in DPO Process		05/24/2018
C 17 025	Unauthorized Release of an NRC Differing Professional Opinion to the Public Interest Group		03/07/2019
C 17 028	NRC's Failure to Apply License Renewal Rules in a Consistent Manner		09/14/2018
C 17 029	Alleged Employment Discrimination by a Former NRC Contractor Employee After Reporting a Safety Violation to the NRC		07/12/2018
C 17 032	Impersonation of an NRC Employee		03/18/2018
C 17 034	Unusual Bank Transactions Pertaining to an NRC Employee		05/10/2019
C 17 035	Misrepresentation of the NRC		09/04/2018
C 17 040	Alleged Harassment of NMSS Employee		02/08/2018
C 17 041	Security Violation and False Statements by NSIR Employee		11/13/2018
C 17 042	Alleged Conflict of Interest by Former NRC Reactor Oversight Process Engineer		09/30/2019
C 17 043	Alleged False Statements Made to OIG by NRC Manager		03/23/2018
C 18 001	Loss of NRC Issued Equipment by OI Criminal Investigator		05/03/2018
C 18 003	Alleged Release of Predecisional Information by NRR Staff		06/20/2019
C 18 004	Alleged Backdating of 2018 Performance Appraisal Plans by NRC Manager		04/25/2019
C 18 005	Alleged Falsification of Time and Attendance Records		03/30/2018
C 18 008	Unauthorized Access to NRC System to Plagiarize Information from a Resume		05/24/2018

Cases Closed Between 01/01/2018 and 12/31/2019

<u>Case #</u>	<u>Case Title</u>	<u>Non Responsive</u>	<u>Closed</u>
C 18 009	Abuse of Government Time by Region II (b)(7)(C)		09/13/2019
C 18 010	(b)(7)(C) Issues Regarding NRC Role in Uranium One and Related Nuclear Materials Export Licenses		07/12/2019
C 18 011	OI Agent Weapon Stolen		03/28/2018
C 18 012	Potential Leak of Sensitive Information by OIP Employee		08/20/2018
C 18 013	Time and Attendance Abuse by an a Regional Employee		03/26/2019
C 18 014	Cyber Security Milestone 8 at Pilgrim Station		08/14/2018
C 18 015	Concerns Pertaining to the 95001 at Diablo Canyon		07/03/2019
C 18 016	Concerns Pertaining to NRC Inspection Report 2017-003 at Diablo Canyon		08/16/2018
C 18 017	Ownership of a Prohibited Security by NRR Employee		01/30/2019
C 18 018	Ownership of a Prohibited Security by NMSS Staff		01/30/2019
C 18 019	OIG Staff Member Possessing Prohibited Stocks or Securities		09/12/2018
C 18 020	Hostile Work Environment		08/20/2018
C 18 021	NRR Staff Member Possessing Prohibited Stocks or Securities		12/10/2018
C 18 022	Region I Employee Possessing Prohibited Stocks or Securities		09/21/2018
C 18 023	Region III Employee Possessing Prohibited Stocks or Securities		06/17/2019
C 18 026	Alleged Harassment by NRC Manager		09/04/2018
C 18 027	Outside Scope of US Marshal Service Special Deputation Authority by NRC OI Special Agent		10/22/2018
C 18 028	Misuse of Government-Issued Travel Credit Card		06/06/2019
C 18 030	Time and Attendance Abuse by NRC OIP Employee		03/07/2019
C 18 031	Continued Retaliation Against RIV Manager for Engaging in DPO Process		09/19/2019
C 18 033	Falsification of an Excused Absence Letter by NRC Employee		08/12/2019

Cases Closed Between 01/01/2018 and 12/31/2019

<u>Case #</u>	<u>Case Title</u>	<u>Non Responsive</u>	<u>Closed</u>
C 19 001	Forged Doctor's Note by an NRC Employee		05/10/2019
C 19 002	Alleged Lack of Thorough Investigation into Retaliation Complaint by NRC OI		05/22/2019
C 19 009	Improper Transmittal of OUO-SRI Documents		09/11/2019
C 19 012	Release of Proprietary Export Controlled Information in Violation of NRC Management Directives		07/03/2019
C 19 015	Concerns Pertaining to NRC Resident Inspectors Relocation Program		09/30/2019
C 19 016	Unfair Advantage During SES Candidate Development Program Selection Process		11/14/2019