

April 3, 2008

MEMORANDUM TO: Luis A. Reyes  
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S  
PROCESS FOR PLACING DOCUMENTS IN THE ADAMS  
PUBLIC AND NON-PUBLIC LIBRARIES (OIG-07-A-16)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES,  
MEMORANDUM DATED MARCH 19, 2008

Attached is the Office of the Inspector General's analysis and status of recommendations 1, 2, 3, 4, 5, 6, 7, and 8 as discussed in the agency's response dated March 19, 2008. Based on this response, recommendations 1, 2, 3, 4, 5, 6, and 8 are resolved. Recommendation 7 is closed. Please provide an updated status of the resolved recommendations by July 11, 2008.

If you have any questions or concerns, please call me at 415-5915 or Beth Serepca at 415-5911.

Attachment: As stated

cc: V. Ordaz, OEDO  
J. Arlidsen, OEDO  
P. Shea, OEDO

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

Recommendation 1: Update MD 3.4 so that it reflects the underlying principles of how to determine whether an official agency record should be public or non-public, and describes the relationship with other agency reviews for information sensitivity (e.g. personally identifiable information, SUNSI).

Response Dated  
March 19, 2008:

We have completed the update of Management Directive MD) 3.4, "Release of Information to the Public". MD 3.4 now reflects the underlying principles of how to determine if an Official Agency Record (OAR) should be made public or remain non-public. It further explains the relationship with other agency reviews for information sensitivity. The MD is currently in the Office of Executive Director of Operations (OEDO) concurrence and Office of the Commission (OCM) signature process and its publication is planned for late spring 2008.

OIG Response:

The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG verifies that Management Directive 3.4, "Release of Information to the Public," has been granted final agency approval and issuance.

**Status:**

Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

Recommendation 2: Create a supplemental guidance document that is updated routinely to include, to the extent practicable, categories of information routinely not made public.

Response Dated  
March 19, 2008:

We have completed a supplemental guidance document titled, "Guidance for Determining the Public Availability of NRC Documents," which identifies the categories of documents that are routinely not made public. Additionally, the guidance document includes the categories of information that are routinely made public. The revised MD 3.4 references this new guidance document which is maintained by the Office of Information Services (OIS) on the NRC internal Web site and can be viewed in draft at [http://www.internal.nrc.gov/2008\\_MD-Companion-Doc.pdf](http://www.internal.nrc.gov/2008_MD-Companion-Doc.pdf). The updated MD 3.4 requires all offices to routinely monitor the guidance document and notify OIS when modifications need to be made. Offices will be requested to review and update the supplemental guidance document on an annual basis. Interim changes will also be accommodated. The supplemental guidance document will be applied only after a determination has been made that a document does not contain sensitive unclassified non-safeguards information (SUNSI), classified, or safeguards material. This document will be posted in final form once MD 3.4 has been published.

OIG Response: The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG verifies that a supplemental guidance document has been posted in final form.

**Status:** Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

Recommendation 3: After MD 3.4 and supporting guidance are updated and consolidated, conduct a training needs analysis and develop appropriate training for staff with responsibilities for determining whether ADAMS records should be publicly or non-publicly available.

Response Dated  
March 19, 2008: When the OEDO concurrence and OCM signature process have been completed and MD 3.4 has been published in March 2008, OIS will work with the Office of Human Resources to conduct a training needs analysis. Based on the outcome of that analysis, we will develop the appropriate training to help staff make informed decisions for determining whether documents should be publicly or non-publicly available. We plan to complete the training needs analysis, by July 30, 2008.

OIG Response: The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG verifies that the agency has completed a training analysis and developed appropriate training

**Status:** Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

Recommendation 4: Develop a mechanism to indicate the rationale for a public or non-public designation. This rationale should be sufficiently detailed to allow for an assessment of whether agency criteria are being applied correctly.

Response Dated  
March 19, 2008:

In order to document the rationale for public or non-public designations, the specific item Number associated with the document category, as identified in the "Guidance for determining the Public Availability of NRC Documents," described in our response to recommendation 2, will be included in the document profile of OAR's in ADAMS. The rationale will be a permanent part of each OAR's metadata and will permit an assessment of whether agency criteria are being applied correctly. These justification criteria codes are included in Section 2 of the Guidance Document and will be implemented into the ADAMS profile as part of ADAMS Release 4.7. This implementation is dependent on the completion of the Outlook migration and is currently planned for June 2008.

OIG Response: The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives verification that the rationale was developed.

**Status:** Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

<u>Recommendation 5:</u>	Require offices to use the mechanism developed in response to recommendation 4 to provide the rationale for public or non-public designation of official agency records.
Response Dated March 19, 2008:	The revised MD 3.4 requires all staff to use the mechanism described in our response to Recommendation 4. This will be communicated to agency staff when the MD is published.
OIG Response:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives verification that offices were notified to use the mechanism developed.
<b>Status:</b>	Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

<u>Recommendation 6:</u>	Conduct periodic assessments of the accuracy with which NRC staff are applying the agency's criteria for designating records as public or non-public by assessing a random sample of records against the agency's criteria for making these determinations.
Response Dated March 19, 2008:	We will conduct annual assessments of the accuracy with which NRC staff are applying the agency's criteria for designating records as public or non-public by assessing a random sample of records against the agency's criteria for making these determinations. This will be implemented after the issuance of MD 3.4, and the first annual assessment will be conducted on October 31, 2008.
OIG Response:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives verification that periodic assessments were conducted.
<b>Status:</b>	Resolved.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

Recommendation 7: Inform NRC office directors of the number of non-public pending review documents that have been awaiting review by their office for at least 30 days.

Response Dated  
March 19, 2008:

We are currently providing designated Office and regional representatives quarterly reports listing the total number of non-public pending review documents and the total number that have been awaiting review for at least 30 days. Written guidance has been provided to designated office representatives, which includes instructions on performing periodic ADAMS searches to identify documents in need of SUNSI review by their office, as well as instructions on how to make the document public or non-public as appropriate.

OIG Response:

The corrective action addresses the intent of this recommendation. This recommendation is closed.

**Status:**

Closed.

## Audit Report

### Audit of NRC's Process for Placing Documents In The ADAMS Public and Non-Public Libraries OIG-07-A-16

#### Status of Recommendations

<u>Recommendation 8:</u>	Add a non-public pending review category to E-RIDS notifications and clarify the language in the notifications to convey the need to finalize the document availability as either public or non-public
Response Dated March 19, 2008:	An ADAMS Change Request has been initiated to modify E-RIDS text messages that staff receives, to clearly indicate the need for SUNSI review action on ADAMS documents. The proposed action requires a bolded message (i.e. <b>DOCUMENT REQUIRES SUNSI REVIEW</b> ) to appear in the E-RIDS text for documents tagged in ADAMS as "Non-Public Pending Review." This modification is scheduled to be included in the ADAMS 4.7 release. Deployment of this release is currently scheduled for June 2008.
OIG Response:	The corrective action addresses the intent of this recommendation. OIG will close this recommendation when NRC verifies that E-RIDS text messages clearly indicate the need for SUNSI review action on ADAMS documents.
<b>Status:</b>	Resolved.