



**UNITED STATES**  
**NUCLEAR REGULATORY COMMISSION**  
WASHINGTON, D.C. 20555-0001

**OFFICE OF THE  
INSPECTOR GENERAL**

January 17, 2013

**MEMORANDUM TO:** R. William Borchardt  
Executive Director for Operations

J. E. Dyer  
Chief Financial Officer

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

**SUBJECT:** STATUS OF RECOMMENDATIONS: AUDIT OF THE  
NUCLEAR REGULATORY COMMISSION'S PROCESS  
FOR CALCULATING LICENSE FEES  
(OIG-13-A-02)

**REFERENCE:** CHIEF FINANCIAL OFFICER MEMORANDUM DATED  
NOVEMBER 19, 2012

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations 1-4 as discussed in the agency's response dated November 19, 2012. Based on this response, recommendations 1-4 are resolved. Please provide an updated status on the resolved recommendations by March 28, 2013.

If you have any questions or concerns, please call me at 415-5915 or Kathleen Stetson, Team Leader, at 415-8175.

Attachment: As stated

cc: N. Mamish, OEDO  
K. Brock, OEDO  
J. Arildsen, OEDO  
C. Jaegers, OEDO

## Audit Report

### AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S PROCESS FOR CALCULATING LICENSE FEES

OIG-13-A-02

#### Status of Recommendations

Recommendation 1: Prepare and document an annual Fee Rule validation (budget vs. cost analysis) and make adjustments as needed to the fee calculation process.

Agency Response Dated  
November 19, 2012: Agree. The OCFO staff will evaluate procedures from the previous cost accounting system and collaborate with the systems staff to create comparable reports from the FAIMIS cost accounting module. At that point new procedures will be necessary and established. We plan to execute this validation of the hourly rate by April 2014.

OIG Analysis: The proposed action meets the intent of the recommendation. OIG will close this recommendation when the agency provides a copy of the documented fee rule validation and any resulting adjustments made to the fee calculation process.

**Status:** Resolved.

## Audit Report

### AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S PROCESS FOR CALCULATING LICENSE FEES

OIG-13-A-02

#### Status of Recommendations

Recommendation 2: Document all steps performed in calculating the Fee Rule in the desk procedures (Fee Handbook) to enable a new preparer to re-perform or complete the calculation.

Agency Response Dated  
November 19, 2012: Agree. The OCFO is currently finalizing the Fee Rule Handbook. We will complete the inclusion of steps performed in the calculation by February 28, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. OIG will close this recommendation when the agency provides a copy of the finalized Fee Rule Handbook and OIG determines it documents all steps to enable a new preparer to re-perform or complete the calculation.

**Status:** Resolved.

## Audit Report

### AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S PROCESS FOR CALCULATING LICENSE FEES

OIG-13-A-02

#### Status of Recommendations

Recommendation 3: Develop quality control checklists to use during the preparation of the license fee calculation spreadsheets.

Agency Response Dated November 19, 2012: Agree. The OCFO is currently preparing the license fee calculation checklist by modeling the FY 2013 Fee Rule process. We plan to complete the quality control checklists with supervisor approval by the FY 2013 Fee Rule effective date August 20, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. OIG will close this recommendation when the agency provides a copy of the quality control checklists used during the preparation of the license fee calculation spreadsheets.

**Status:** Resolved.

## Audit Report

### AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S PROCESS FOR CALCULATING LICENSE FEES

OIG-13-A-02

#### Status of Recommendations

Recommendation 4: Ensure a supervisor reviews the completed checklists and documents the review and approval on the quality control checklists.

Agency Response Dated  
November 19, 2012: Agree. The OCFO is currently preparing the license fee calculation checklist by modeling the FY 2013 Fee Rule process. We plan to complete the quality control checklists with supervisor approval by the FY 2013 Fee Rule effective date August 20, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. OIG will close this recommendation when the agency provides a copy of the completed quality control checklists and OIG determines it includes supervisory review and approval.

**Status:** Resolved.