

January 30, 2014

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

FROM: Cynthia A. Carpenter, Director */RA Sharon Stewart-Clark for/*
Office of Administration

SUBJECT: AUDIT OF NUCLEAR REGULATORY COMMISSION'S
ONGOING ELIGIBILITY FOR ACCESS AUTHORIZATIONS
(OIG-13-A-22)

The purpose of this memorandum is to provide a status of the Office of Administration's actions in response to the two recommendations contained in the subject audit report.

Recommendation 1:

Develop and implement annual training that reinforces comprehension and confirms acceptance of NRC's [U.S. Nuclear Regulatory Commission] personnel reporting requirements for continued access authorization eligibility.

Response:

To ensure NRC employees are aware of and properly trained in the personnel security reporting requirements, the Division of Facilities and Security, Personnel Security Branch (PSB), conducted a coordination meeting with the Office of the Chief Human Capital Officer and the Office of Nuclear Security and Incident Response. Agreement was reached to create a module of the reporting requirements to the existing Annual Information Security Awareness Course. The course will be temporarily taken off-line to develop the required content prior to the 2014 fall training cycle.

Targeted Completion Date: December 31, 2014
Point of Contact (POC): Valerie Kerben

Recommendation 2:

Develop and implement a process that assigns consequences for individuals who do not comply with NRC's personnel reporting requirements for continued access authorization eligibility.

CONTACT: Valerie Kerben, ADM/DFS
(301) 415-7552

Response:

PSB is drafting internal guidance that assigns consequences for individuals who do not comply with NRC's personnel reporting requirements for continued access authorization eligibility. PSB will continue to handle and accept reporting of items, events, or information in the same manner (i.e., direct contact with staff through telephone, e-mail, and the resource mailbox). On November 6, 2013, Yellow Announcement 13-0141 (ML13295A402) was issued to all NRC employees, consultants, experts, panel members, and contractors notifying staff of their reporting requirements in accordance with Management Directive (MD) 12.3, "NRC Personnel Security Program," regardless of their access authorization or security clearance level. PSB revised existing internal guidance to the reporting process in the Personnel Security Adjudication Tracking System (PSATS). PSB is tracking all self-reported information via the "Events" section of PSATS which identifies the issue, the date of the incident or event, and any supporting documentation. Furthermore, language will be added to "Access Authorization Approval" template e-mail reminding individuals of their responsibility to follow reporting requirements in accordance with MD 12.3.

Targeted Completion Date: December 31, 2014

POC: Valerie Kerben

Enclosures:

1. Yellow Announcement 13-0141
2. PSB Revised Reporting Requirements Guidance

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DATE	01/24/2014	01/24/2014	01/24/2014	01/30/2014	01/30/2014

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Yellow Announcement 13-0141
NRC Reporting Requirements

Office of Administration
Division of Facilities and Security
Personnel Security Branch
Revised Internal Guidance to the Reporting Process in the
Personnel Security Adjudication Tracking System