



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

**OFFICE OF THE
INSPECTOR GENERAL**

July 15, 2014

MEMORANDUM TO: Mark A. Satorius
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S
INFORMATION TECHNOLOGY GOVERNANCE
(OIG-14-A-04)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES
MEMORANDUM DATED JULY 3, 2014

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated July 3, 2014. Based on this response, 2 and 3 remain resolved and recommendations 1 and 4 are closed. Please provide an updated status of the resolved recommendations by October 31, 2014.

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

Attachment: As stated

cc: M. Galloway, OEDO
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AUDIT REPORT

AUDIT OF NRC'S INFORMATION TECHNOLOGY GOVERNANCE

OIG-14-A-04

Status of Recommendations

Recommendation 1: Revise the IPEC and ITB charters to more clearly define:

- Roles and responsibilities.
- The evaluation, approval, and decision followup process.

Agency Response
Dated July 3, 2014:

The U.S. Nuclear Regulatory Commission (NRC) staff has updated the IT/IM Board (ITB) and the IT/IM Portfolio Executive Council (IPEC) charters. IPEC approved these updates on April 7, 2014. Staff provided the revised charters to all IPEC and ITB members.

Completion Date: April 7, 2014

OIG Analysis:

OIG reviewed the charters and determined that the charters were revised to clearly define the roles and responsibilities and the evaluation, approval, and decision followup process. This recommendation is therefore considered closed.

Status:

Closed.

AUDIT REPORT

AUDIT OF NRC'S INFORMATION TECHNOLOGY GOVERNANCE

OIG-14-A-04

Status of Recommendations

Recommendation 2:

Revise NRC Management Directive 2.8 to include:

- Current IT governance stakeholder requirements.
- A definition of IT governance, structure, and processes.

Agency Response
Dated July 3, 2014:

The Office of Information Services (OIS) has worked with the Office of Administration (ADM) on establishing a timeline for a revision and issuance of Management Directive (MD) 2.8 that will meet the February 2016 target completion date. An OIS working group has drafted the first revision to the MD, subsequent handbooks, and supporting online guidance. The working group will continue to work across the agency to bring new policies into practice. Relevant functional organizations in OIS are currently developing processes to support the handbooks. Each organization will provide Web access to processes, procedures, roles, and responsibilities.

Target Completion Date: February 2016

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives the revised MD 2.8, "Integrated IT/IM Governance Framework" and verifies that it contains current IT governance stakeholder requirements and a definition of IT governance, structure, and processes.

Status:

Resolved.

AUDIT REPORT

AUDIT OF NRC'S INFORMATION TECHNOLOGY GOVERNANCE

OIG-14-A-04

Status of Recommendations

Recommendation 3: Update and finalize the CONOPS to be consistent with current practice, including a schedule for full implementation.

Agency Response
Dated July 3, 2014:

OIS has conducted a series of facilitated sessions, workshops, and interviews which have resulted in the development of process models for all OIS functions. OIS is on track to deploy a Web-based version of the process models for OIS use by the fourth quarter of fiscal year (FY) 2014. OIS expects to make additional refinements to the process models as staff performs further analysis and resolves open issues.

Target Completion Date: Fourth quarter of FY 2014

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives a finalized CONOPS that includes a schedule for full implementation.

Status: Resolved.

AUDIT REPORT

AUDIT OF NRC'S INFORMATION TECHNOLOGY GOVERNANCE

OIG-14-A-04

Status of Recommendations

Recommendation 4:

Develop and implement a comprehensive IT governance communication strategy that:

- Promotes buy-in from regional and program office stakeholders by requesting feedback.
- Clearly explains the policies and procedures of the IPEC and ITB charters, as well as the CONOPS, to all stakeholders.
- Provides easily retrievable access to the updated charters and CONOPS.

Agency Response
Dated July 3, 2014:

OIS has developed an IT investment management communications strategy which outlines a comprehensive approach to ensuring the proper levels of communication and transparency in the IT investment management and governance processes.

Completion Date: April 2014

OIG Analysis:

OIG reviewed the comprehensive IT investment management communications strategy and determined that it promotes buy-in from regional and program office stakeholders by requesting feedback; clearly explains the policies and procedures of the IPEC and ITB charters, as well as the CONOPS, to all stakeholders; and it provides easily retrievable access to the updated charters and CONOPS. This recommendation is therefore considered closed.

Status:

Closed.