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GAO Report – Information Security: Federal Agencies Have Taken Steps to Secure Wireless Networks, but Further Actions Can Mitigate Risk

**November 2010
(GAO-11-42SU)**

The U.S. Government Accountability Office (GAO) in its report, “Information Security: Federal Agencies Have Taken Steps to Secure Wireless Networks, but Further Actions Can Mitigate Risk,” made three recommendations to the U.S. Nuclear Regulatory Commission (NRC) to improve the security controls with regard to agency use of wireless networks. In response, on January 26, 2011, the Chairman of the NRC informed Congress about the actions planned in response to the GAO recommendations. The status of the recommendation that remained open as of the NRC’s last report is provided below.

Recommendation 2

Finalize and implement a written policy for configuring mobile devices when taken on international travel or to other potentially risky locations and for applying preventative measures to devices when they are returned.

Status:

The NRC provided high-level requirements for mobile devices taken on international travel in CSO-STD-0020, “Organization Defined Values for System Security Controls,” associated with NIST SP-800-53 controls. NRC continues to develop international travel guidance for NRC staff travelling to other countries and standards for NRC electronic devices taken on such travel. NRC will develop and implement standards for a secure drop box capability that can be used by both international and domestic travelers and remote workers.

This GAO recommendation remains open.

GAO Report – GAO Report - Nuclear Regulation: Nuclear Regulatory Commission's Oversight of Nuclear Power Reactors' Decommissioning Funds Could Be Further Strengthened

**May 2012
(GAO-12-258)**

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Regulatory Commission’s Oversight of Nuclear Power Reactors’ Decommissioning Funds Could Be Further Strengthened,” provided five recommendations to the U.S. Nuclear Regulatory Commission (NRC) regarding decommissioning funding oversight. The status of the recommendations that remained open as of the NRC’s last report is provided below.

Recommendation 3

Better ensure that licensees are providing reasonable assurance that they will have the necessary funds and improve the consistency of information the agency collects by documenting procedures describing the steps the staff should take in their reviews analyzing licensee documentation and verifying that the amount licensees report to NRC in decommissioning Funding Status reports match the amount on their year-end bank statements.

Status:

On January 16, 2015, NRC’s Office of Nuclear Reactor Regulation issued Revision 5 to its Office Instruction LIC-205, “Procedures for NRC’s Independent Analysis of Decommissioning Funding Assurance for Operating Nuclear Power Reactors,” which provides guidance for how NRC staff performs and documents its independent analysis of each operating power reactor licensee’s decommissioning funding status (DFS) report. This analysis formulates the basis for the staff’s finding of reasonable assurance that the licensee has sufficient funding available for radiological decommissioning at the time permanent termination of operations is expected. LIC-205, Revision 5, incorporates enhancements to the staff’s review process of DFS reports (e.g., cash flow analysis) and lessons-learned from previous DFS reviews performed between 2011 and 2013. LIC-205 is publicly available and can be found at Agencywide Document Access and Management System (ADAMS) Accession No. ML14281A764.

Although NRC does not require licensees to provide their year-end bank statements, the NRC staff implemented a Decommissioning Trust Fund Spot-Check program in 2008 pursuant to Commission direction in Staff Requirements Memorandum (SRM) to SECY-07-0197 (ADAMS Accession No. ML080100239). Through this program, NRC staff verified that reported amounts of accumulated decommissioning funds matched corresponding original trust fund statements. Since 2008, NRC staff performed spot-checks of nearly all power reactor licensees and found no significant inconsistencies in fund balances. Consequently, the staff has recommended to the Commission in SECY-15-0005, “Recommendation to Sunset the Decommissioning Trust Fund Spot-Check Program,” that the spot-check program be discontinued due to the lack of any significant findings of licensee misreporting.

The NRC considers this GAO recommendation to be closed.

Recommendation 5

Consider reviewing a sample of the licensees' investments to determine if licensees are complying with decommissioning investment standards and determine whether action should be taken to enforce these standards.

Status:

NRC staff documented its review of the 2013 DFS reports in SECY-13-0105, "Summary Findings Resulting from the Staff Review of the 2013 Decommissioning Funding Status Reports for Operating Power Reactor Licensees." Following the review, NRC staff initiated an evaluation to determine whether additional information is needed to better understand the current methods used by licensees, investment managers, and trustees to assure compliance with the NRC's regulations. Based on this analysis, NRC staff has developed SECY-15-0022, "Consideration of GAO Recommendation to Review Samples of Licensees' Decommissioning Trust Funds for Compliance with Investment Fund Rules" (ADAMS Accession No. ML14310A458), which explains that Federal banking regulatory agencies examine trust departments every two to three years and at the trustee's adherence to the investment restrictions and applicable laws are within the scope of those examinations. Therefore, the staff does not intend to change the NRC's process for overseeing investment restrictions.

The NRC considers this GAO recommendation to be closed.

GAO Report – Nuclear Regulatory Commission: Natural Hazard Assessments Could Be More Risk-Informed
April 2012
(GAO-12-465)

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Regulatory Commission: Hazard Assessments Could Be More Risk-Informed,” made a recommendation to the U.S. Nuclear Regulatory Commission (NRC) to analyze whether licensees of operating reactors should be required to develop Probabilistic Risk Assessments (PRAs) that address natural hazards. In response, on July 30, 2012, the NRC Chairman informed Congress about the actions directly related to this issue. The status of the recommendation that remained open as of the NRC’s last report is provided below.

Recommendation

Analyze whether licensees of operating reactors should be required to develop PRAs that address natural hazards.

Status:

The NRC’s Office of Nuclear Regulatory Research is conducting a Level 3 PRA for Vogtle Electric Generating Plant, Units 1 and 2. This Level 3 PRA effort encompasses natural hazards typically considered in previous external event PRAs (e.g., seismic events, tornadoes, hurricanes, and external flooding), and addresses the impact of these natural hazards on one or both operating reactors at the site, as well as on spent fuel stored on site (in either pools or dry casks). This study may identify accident prevention, accident mitigation, and emergency planning improvements for the reactors, the spent fuel pools, and dry cask storage in response to natural hazards or other causes. This Level 3 PRA project and its potential uses are discussed in SECY-12-0123, “Update on Staff Plans to Apply the Full-Scope Site Level 3 PRA Project Results to the NRC’s Regulatory Framework,” dated September 13, 2012.

In 2011, former NRC Commissioner George Apostolakis led a risk management task force to develop a strategic vision and options for adopting a more comprehensive, holistic, risk-informed, performance-based regulatory approach for nuclear reactors, as well as for materials, waste, the fuel cycle, and transportation. This task force produced a report, NUREG-2150, “A Proposed Risk Management Regulatory Framework,” (RMRF) that provides recommendations on whether the NRC should make modifications to the regulatory framework. An interoffice working group was created to identify options and make recommendations, including the potential development of a Commission policy statement. The inter-office working group is currently developing a White Paper discussing options and alternatives for responding to NUREG-2150. In the coming months, the NRC plans to solicit stakeholder feedback on the White Paper and further develop the options for implementing a risk management framework, which will include an option that would require the licensees to develop PRAs that include natural hazards, as appropriate.

Although the NRC does not currently require PRAs for operating reactors, all licensees have developed internal event PRA models and, in many cases, external event models. For example, to support risk-informed licensing actions, such as 10 CFR 50.48(c), many licensees have developed PRAs for fires—which are considered an external event. In addition, based on NRC’s review of the seismic hazard reevaluations performed to date, a number of licensees will likely perform seismic PRAs. In addition, the NRC has taken steps to advance the state of knowledge with regard to flooding risk assessments. In response to Commission direction, the NRC staff developed a multi-

year flood hazard assessment research plan (ADAMS Accession No. ML14296A442) that will help in the development of flooding PRAs in the future.

This GAO recommendation remains open.

GAO Report – Spent Nuclear Fuel: Accumulating Quantities at Commercial Reactors Present Storage and Other Challenges

**August 2012
(GAO-12-797)**

The U.S. Government Accountability Office (GAO), in its report, “Spent Nuclear Fuel: Accumulating Quantities at Commercial Reactors Present Storage and Other Challenges,” recommended that the U.S. Nuclear Regulatory Commission (NRC) develop a mechanism for identifying and accessing all classified studies to help facilitate decisions on storing and disposing of spent nuclear fuel over the coming decades. The status of the recommendation that remained open as of the NRC’s last report is provided below.

Recommendation

To help facilitate decisions on storing and disposing of spent nuclear fuel over the coming decades, the Chairman of the NRC should direct agency staff to develop a mechanism that allows individuals with appropriate clearances and the need to know to easily identify and access classified studies so as to help ensure that institutional knowledge is not lost.

Status:

The NRC staff committed to developing and implementing a pilot program database to include non-classified information detailing key attributes of a document to identify location and points of contacts. The pilot program was completed in 2013, and the NRC staff completed a second, expanded pilot program in December 2014. The scope of the expanded pilot program extended beyond spent nuclear fuel studies and included a representative sampling of all classified documents and media received and produced by the NRC. To address concerns regarding classification by compilation, during the course of the second pilot program, the participants developed a localized catalog of the classified documents and media in their possession and tracked the level of effort associated with completing this task. The staff is currently compiling the data gathered from the second pilot program and documenting lessons learned regarding classified records management at the NRC. The NRC staff will evaluate the options based on resource burden, security risk, and usability in order to formulate a recommendation for the Commission on a preferred path forward. In spring 2015, the NRC staff will deliver an Options Paper to the Commission to provide a comprehensive review of the second pilot program, as well as options for maintaining accountability of all classified documents and media received and produced by the NRC in the future.

This GAO recommendation remains open.

GAO Report – Nuclear Nonproliferation: Additional Actions Needed to Improve Security of Radiological Sources at U.S. Medical Facilities
September 2012
(GAO-12-925)

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Nonproliferation: Additional Actions Needed to Improve Security of Radiological Sources at U.S. Medical Facilities,” made four recommendations to the U.S. Nuclear Regulatory Commission (NRC) and the U.S. Department of Energy (DOE) regarding security at NRC and Agreement-State-licensed medical facilities. The status of the recommendation that remained open as of the NRC’s last report is provided below.

Recommendation 4

The GAO recommends that the Chairman of the NRC supplement existing guidance for facility officials, including Radiation Safety Officers, who may be responsible for implementing the NRC’s security controls, in how to adequately secure equipment containing high-risk radiological sources and conduct trustworthiness and reliability determinations.

Status:

The NRC has provided and will continue to provide, guidance to licensees on how to comply with regulatory requirements. In November 2012, a Title 10 of the *Code of Federal Regulations* (10 CFR) Part 37 Implementation Working Group, including representatives from across NRC and the Organization of Agreement States, was formed. This group developed a security “best practice” guidance document, NUREG-2166, “Physical Security Best Practices for the Protection of Risk-Significant Radioactive Material,” which was published May 2014. NUREG-2166 provides guidance with specific emphasis on security best practices and effective application of security technology that licensees may consider in developing their security programs, and it is available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr2166/>. This document is in addition to the implementing guidance document developed to accompany the final rule, 10 CFR Part 37, “Physical Protection of Byproduct Material.”

The NRC considers this GAO recommendation to be closed.

GAO Report – Nuclear Power: Analysis of Regional Differences and Improved Access to Information Could Strengthen NRC Oversight

**September 2013
(GAO-13-743)**

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Power: Analysis of Regional Differences and Improved Access to Information Could Strengthen NRC Oversight,” made three recommendations to the U.S. Nuclear Regulatory Commission (NRC). In response, on December 16, 2013, the Chairman of the NRC informed Congress about the planned response to the recommendations identified by GAO. The status of the recommendations that remained open as of the NRC’s last report is provided below.

Recommendation 1

To better meet its goal of implementing objective and consistent oversight, the NRC Commissioners direct agency managers to conduct a comprehensive analysis of the causes of the differences in the identification and resolution of findings.

Status:

The NRC completed a comprehensive analysis of the causes of the differences in the identification and resolution of findings and documented this analysis in a report entitled, “Analysis of the Causes of Regional Differences in the Number of Inspection Findings of Very Low Significance (Green) and Non-Escalated Violations,” dated December 2014 (ADAMS Accession No. ML14252A049). The staff is assessing potential program changes in response to the results of this analysis.

The NRC considers this GAO recommendation to be closed.

Recommendation 2

To improve transparency and better enable the public, Congress, and others to independently track findings, all documents related to the findings, and the finding’s resolution, the NRC Commissioners direct the agency to either modify NRC’s publicly available recordkeeping system to do so or develop a publicly accessible tool that does so.

Status:

The NRC’s official recordkeeping system is the Agencywide Documents Access and Management System (ADAMS). All retained NRC documents, including inspection findings and their resolution, are stored in ADAMS and made publicly available, with the exception of sensitive, classified, or protected information. As part of the Reactor Oversight Process (ROP) enhancement project initiated at the direction of the Commission in 2012, the NRC developed a communications strategy focused on improving the openness and transparency of the ROP. Two major components of this strategy include the re-design and organization of the NRC external and internal websites, placing emphasis on the use of plain language versus technical jargon, and the accessibility of NRC documents and related findings to end-users. Additionally, the communications strategy includes enhancements to provide a publicly available option (“Contact Us” form) as an additional method for stakeholders to ask questions and receive answers regarding the ROP. The NRC will continue to identify ways to improve ROP transparency and effectively and efficiently track documents related to inspection findings through enhanced tools to facilitate public access to inspection information.

The NRC considers this GAO recommendation to be closed.

Recommendation 3

To help NRC staff more efficiently use past experiences in its oversight activities, the NRC Commissioners direct agency officials to evaluate the challenges inspectors face in retrieving all relevant information on plant performance and previous oversight activities, and improve its systems accordingly to address these challenges.

Status:

The NRC will make plant performance and oversight information more readily searchable and available to NRC inspection staff and other appropriate NRC personnel. As an example, the NRC is working to upgrade the Reactor Program Systems software and improve staff access to operating experience. The NRC plans to integrate these changes with an update to the internal Resident Inspector webpage. In addition, the NRC is evaluating methods for soliciting anonymous feedback/comments on administrative and support concerns relevant to Resident Inspectors.

This GAO recommendation remains open.

**GAO Report – Information Technology: Additional OMB and
Agency Actions Are Needed to Achieve Portfolio Savings**
November 2013
(GAO-14-65)

The U.S. Government Accountability Office (GAO), in its report, “Information Technology: Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings,” reviewed the Office of Management and Budget’s (OMB) policy, requirements, and implementation of the 2012 PortfolioStat initiative, a process whereby 26 Federal agencies, including the U.S. Nuclear Regulatory Commission (NRC), gather information on their information technology investments, and develop plans for consolidation and increased use of shared service delivery models. To improve the NRC’s implementation of PortfolioStat, GAO made two recommendations. The status of the actions taken by the NRC in response to the GAO recommendations is provided below.

Recommendation 1

Develop a complete commodity information technology (IT) Baseline.

Status:

The NRC continues to make progress in centralizing its IT commodity spending under one contract. The NRC is also transitioning to a new IT investment classification methodology to better capture and classify IT costs, including commodity IT costs. The NRC is reviewing all multiple IT support contracts to determine if costs are captured in specific alignment with the OMB category definitions. NRC plans to reach out to other comparable agencies to solicit best practices. With this level of visibility, the NRC will be able to further identify effective commodity IT contract consolidation opportunities. The NRC is also preparing for re-competing its IT services contract (ITISS) to maximize the value and quality of its enterprise-wide services and to incorporate “cloud” alternatives.

This GAO recommendation remains open.

Recommendation 2

In future reporting to OMB, fully describe the following PortfolioStat action plan elements: (1) consolidate commodity IT spending under the agency Chief Information Officer (CIO); (2) establish targets for commodity IT spending reductions and deadlines for meeting those targets; (3) target duplicative systems or contracts that support common business functions for consolidation; and (4) establish a process to identify these potential investments and a schedule for eliminating them from the portfolio.

Status:

NRC leverages the annual OMB PortfolioStat process and the agency’s IT planning and budget formulation process to identify investments for streamlining and consolidation. The IT planning and budget formulation process is under the agency’s IT governance board authority, co-chaired by the CIO and the Chief Financial Officer (CFO). As an outcome of the August 2014 OMB-NRC PortfolioStat session, OMB and NRC agreed in October 2014 to a number of actions that will optimize use of commodity IT investments. Progress towards these actions is reported quarterly by NRC to OMB E-gov through the OMB Integrated Data Collection (IDC) tool. Specific to the GAO Recommendation 2, NRC has made progress in each of the 4 areas below:

- (1) Consolidate commodity IT spending under the agency CIO: The NRC CIO is a co-chair of the agency IT governance board and has decision authority on the agency IT investments including commodity IT. OMB is aware of the NRC CIO authority and does not require further actions based on results from the PortfolioStat reviews.
- (2) Establish targets for commodity IT spending reductions and deadlines for meeting those targets: Through the FY 2014 PortfolioStat process, NRC and OMB agreed to establish a schedule to consolidate the NRC data centers and report on a quarterly basis to OMB progress and metrics towards consolidation of this commodity IT investment. NRC agreed to accelerate the data center consolidation schedule. NRC will continue to provide progress reports for these actions through the OMB quarterly IDC process.
- (3) Target duplicative systems or contracts that support common business functions for consolidation: The NRC IT planning and budget formulation process will continue to indicate opportunities to identify common business functions for consolidation and eliminate duplicative systems and contracts. NRC will continue to provide updates on these efforts to OMB through the OMB Exhibit 300 and 53 reporting process.
- (4) Establish a process to identify these potential investments and a schedule for eliminating them from the portfolio: NRC continues to leverage the annual IT planning and budget formulation process to identify opportunities to streamline and consolidate the agency's IT investments. The agency IT governance boards play a key role in the process by providing IT investment priorities and recommendations. The CIO and the CFO, who are co-chairs of the IT governance board, have authority over the agency's IT investment decisions. As new opportunities are identified, NRC will make the information available to OMB through the OMB Exhibit 300 and 53 reporting process.

The NRC considers this GAO recommendation to be closed.

**GAO Report – Nuclear Safety: Countries' Regulatory Bodies Have Made
Changes in Response to the Fukushima Daiichi Accident**
March 2014
(GAO-14-109)

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Safety: Countries’ Regulatory Bodies Have Made Changes in Response to the Fukushima Daiichi Accident,” assessed the international regulatory response since the Daiichi accident. GAO examined (1) the actions nuclear regulatory bodies from selected countries have taken to strengthen nuclear safety; (2) the extent to which these countries have established automated systems to collect and transmit accident data; and (3) steps international organizations have taken to support nuclear regulatory bodies and promote nuclear safety worldwide since the accident. GAO provided the U.S. Nuclear Regulatory Commission (NRC) two recommendations to encourage International Atomic Energy Agency (IAEA) to track the status of recommendations from peer reviews and to consider expediting its decision on whether or how to upgrade its automated system for transmitting key reactor data systems. The NRC addressed these recommendations in its initial response to Congress dated, May 12, 2014. The status of the recommendation that remained open as of the NRC’s initial response is provided below.

Recommendation 1

The GAO recommended that the Secretary of State, in coordination with the NRC Chairman, work with and encourage officials from the IAEA to systematically track the status of the recommendations made by IAEA peer review missions and make this information publicly available to the extent feasible.

Status:

The NRC has consulted on this recommendation with the Department of State (DOS) which would have the lead in discussions with the IAEA. The NRC has and will continue to work with DOS to discuss the feasibility of the GAO recommendation with IAEA and its Member States.

The NRC considers this GAO recommendation to be closed.

GAO Report – Nuclear Nonproliferation: Additional Actions Needed to Increase the Security of U.S. Industrial Radiological Sources

**June 2014
(GAO-14-293)**

The U.S. Government Accountability Office (GAO), in its report, “Nuclear Nonproliferation: Additional Actions Needed to Increase the Security of U.S. Industrial Radiological Sources,” made three recommendations to the U.S. Nuclear Regulatory Commission (NRC) and one recommendation to the NRC, the U.S. Department of Energy (DOE), and the U.S. Department of Homeland Security (DHS) regarding security at NRC and Agreement-State-licensed facilities using high-risk industrial radiological sources. The status of the actions taken by the NRC in response to the GAO recommendations is provided below.

Recommendation 1

To ensure that the security of radiological sources at industrial facilities is reasonably assured, the Chairman of the NRC should obtain the views of key stakeholders, such as licensees, during the development of the Best Practices Guide to ensure that the guide contains the most relevant and useful information on securing the highest risk radiological sources.

Status:

The NRC agreed with the GAO’s recommendation that the views of key stakeholders, such as licensees, should be included in the guidance document, “Physical Security Best Practices for the Protection of Risk Significant Radioactive Material” (i.e., the Best Practices Guide). Published in May 2014, the Best Practices Guide focuses on areas of concern that licensees indicated to inspectors during the inspection process. The NRC is assessing the effectiveness of this guidance document during the first one to two years following the implementation of 10 CFR Part 37 to determine if any revisions to this document are needed and will make revisions accordingly using NRC’s public participation process.

The NRC considers this GAO recommendation to be closed.

Recommendation 2

To ensure that the security of radiological sources at industrial facilities is reasonably assured, the Chairman of the NRC should reconsider whether the definition of collocation should be revised for well logging facilities that routinely keep radiological sources in a single storage area but secured in separate storage containers.

Status:

The NRC acknowledges the GAO’s recommendation that the definition of collocation should be reevaluated for well logging facilities that routinely keep radiological sources in a single storage area but secured in separate containers. Inspection of collocated sources indicates that appropriate security is being maintained. NRC is conducting a post-implementation review of the effectiveness of the 10 CFR Part 37 requirements to determine whether any additional security measures, guidance documents (including revising NUREG-2155, “Implementation Guidance for 10 CFR Part 37, ‘Physical Protection of Category 1 and Category 2 Quantities of Radioactive Material’” and the Best Practices Guide), rulemaking changes or licensee outreach efforts are appropriate. The reevaluation of the definition of collocation is included in this effort.

This GAO recommendation remains open.

Recommendation 3

To ensure that the security of radiological sources at industrial facilities is reasonably assured, the Chairman of the NRC should conduct an assessment of the trustworthiness and reliability (T&R) process--by which licensees approve employees for unescorted access--to determine if it provides reasonable assurance against insider threats, including (1) determining why criminal history information concerning convictions for terroristic threats was not provided to a licensee during the T&R process to establish if this represents an isolated case or a systemic weakness in the T&R process; and (2) revising, to the extent permitted by law, the T&R process to provide specific guidance to licensees on how to review an employee's background. NRC should also consider whether certain criminal convictions or other indicators should disqualify an employee from T&R or trigger a greater role for NRC.

Status:

The NRC acknowledges the GAO's recommended assessment of the T&R process to determine if it provides reasonable assurance against an insider threat. The current T&R requirements are in place to ensure that individuals who have unescorted access to category 1 and category 2 quantities of radioactive material are trustworthy and reliable and do not constitute an unreasonable risk to the public health and safety or security of the radioactive material. Licensees are required to evaluate all available information in making a T&R determination for unescorted access to radioactive materials, including the criminal history records information pertaining to the individual. The NRC requires licensees to conduct a Federal Bureau of Investigation identification and criminal history records check to determine if an individual has a record of criminal activity that indicates that the individual should not have unescorted access to radioactive materials. As previously indicated, the NRC published the Best Practices Guide in May 2014, which provides additional guidance to licensees in conducting and evaluating T&R determinations. Nonetheless, the NRC is conducting a review of the effectiveness of the T&R requirements in 10 CFR Part 37, over the next year or two to determine whether any additional security measures, guidance documents, rulemaking changes or licensee outreach efforts are appropriate.

This GAO recommendation remains open.

Recommendation 4

To better leverage resources, including expertise, to address vulnerabilities associated with radiological sources while in transit, the Administrator of National Nuclear Security Administration (NNSA), the Chairman of NRC, and the Secretary of DHS should review their existing collaboration mechanism for opportunities to enhance collaboration, especially in the development and implementation of new technologies.

Status:

NRC agrees with this recommendation and continues to conduct periodic meetings with senior management of these agencies to enhance coordination and collaboration on overarching technical and policy issues related to source security. The NRC routinely collaborates with these agencies on a range of topics including the security of radiation sources. Both the NNSA and the DHS participate along with other agencies and State representatives on the Radiation Source Protection and Security Task Force, which is chaired by the Chairman of the NRC, consistent with the Energy

Policy Act of 2005. NRC also collaborates with DHS and DOE on several DHS initiatives regarding radiological materials, including the Global Nuclear Detection Architecture and the interagency Government Coordinating Council meeting to address nuclear and radiological security issues.

The NRC considers this GAO recommendation to be closed.

GAO Report - Uranium Contamination: Overall Scope, Time Frame, and Cost Information Is Needed for Contamination Cleanup on the Navajo Reservation

**May 2014
(GAO-14-323)**

The U.S. Government Accountability Office (GAO), in its report, "Uranium Contamination: Overall Scope, Time Frame, and Cost Information Is Needed for Contamination Cleanup on the Navajo Reservation," made one recommendation to Federal agencies regarding incorporation of key practices into the development of a coordinated outreach strategy for the next Five-Year Plan. The status of the actions taken by the U.S. Nuclear Regulatory Commission (NRC) in response to the GAO recommendation is provided below.

Recommendation

To ensure that agencies working on the 2014 Five-Year plan better align their activities and resources, GAO recommends that the Administrator of Environmental Protection Agency (EPA); the Secretaries of Energy, the Interior, and Health and Human Services; and the Chairman of the NRC, as they develop a coordinated outreach strategy to include in the 2014 Five-Year plan, take action to incorporate key practices in their collaborative effort, such as defining and agreeing on the agencies' respective roles and responsibilities.

Status:

The NRC has continued to work with the other Federal agencies and the Navajo Nation on implementing the objectives of the 2014 Five-Year Plan. NRC staff participated in a teleconference with the Navajo Nation and other Federal agencies on December 3, 2014, to begin to implement the 2014 Five-Year Plan, including the development of the Community Outreach Network. During the teleconference, the agencies discussed the staffing, organization, and funding for the Community Outreach Coordinator position. The agencies agreed on the roles that each agency will have in the funding of the Community Outreach Coordinator position and how the agencies will contribute to the development of the Community Outreach Coordinator. In addition, the NRC is piloting a Tribal training program of 2-day seminars. A training session was held at the Navajo Dine College on January 13-14, 2015, on radioactivity, health physics, byproduct material, the National Environmental Policy Act, and NRC's regulatory activities that protect public health and safety. EPA and DOE collaborated with NRC in outreach for this training seminar by disseminating invitations to their Tribal contacts. EPA and DOE staffs also attended the training seminar and offered feedback to NRC to improve future training seminars.

The NRC considers this GAO recommendation to be closed.

**GAO Report – Federal Software Licenses: Better Management Needed
to Achieve Significant Savings Government-Wide**
May 2014
(GAO-14-413)

The U.S. Government Accountability Office (GAO), in its report, “Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide,” made recommendations to many government entities, including the U.S. Nuclear Regulatory Commission (NRC) to ensure the effective management of software licenses. The status of the actions taken by the NRC in response to the GAO recommendations is provided below,

Recommendation 1

Develop an agencywide comprehensive policy for the management of software licenses that address the weaknesses identified by GAO.

Status:

The NRC reviewed the governance, processes, and technology relating to NRC’s management of software assets as part of a comprehensive assessment on NRC’s Software Asset Management’s current state and future state requirements. A comprehensive policy for the management of software licenses will be developed by the end of FY 2015.

This GAO recommendation remains open.

Recommendation 2

Employ a centralized software license management approach that is coordinated and integrated with key personnel for the majority of agency software license spending and/or enterprise-wide licenses.

Status:

The NRC reviewed the governance, processes and technology relating to NRC’s management of software assets as part of a comprehensive assessment on NRC’s Software Asset Management’s current state and future state requirements. As part of this assessment, process maps were developed to identify the roles and responsibilities of each key stakeholder for key high-level processes for software management. The NRC will continue to further define core processes as they relate to software asset management.

This GAO recommendation remains open.

Recommendation 3

Establish a comprehensive inventory of software licenses using automated tools for the majority of agency software license spending and/or enterprise-wise licenses.

Status:

The NRC reviewed the governance, processes, and technology relating to NRC’s management of software assets as part of a comprehensive assessment on NRC’s Software Asset Management’s

current state and future state requirements. As part of this assessment, the requirements for automated tools were identified. The NRC plans to procure a software asset management tool by the end of FY 2015.

This GAO recommendation remains open.

Recommendation 4

Regularly track and maintain a comprehensive inventory of software licenses using automated tools and metrics.

Status:

The NRC reviewed the governance, processes, and technology relating to NRC's management of software assets as part of a comprehensive assessment on NRC's Software Asset Management's current state and future state requirements. As part of this assessment, the requirements for automated tools were identified. The NRC plans to procure a software asset management tool by the end of FY 2015. Once the tool is deployed, the NRC will regularly track and maintain a comprehensive inventory of software licenses.

This GAO recommendation remains open.

Recommendation 5

Analyze agencywide software license data, such as costs, benefits, usage, and trending data, to identify opportunities to reduce costs and better inform investment decision making.

Status:

The NRC reviewed the governance, processes, and technology relating to NRC's management of software assets as part of a comprehensive assessment on NRC's Software Asset Management's current state and future state requirements. As part of this assessment, the requirements for automated tools were identified. The NRC plans to procure a software asset management tool by the end of FY 2015. Once the tool is deployed, the NRC will regularly analyze software license data to identify opportunities to reduce costs and make better informed investment decisions.

This GAO recommendation remains open.

Recommendation 6

Provide software license management training to appropriate agency personnel addressing contract terms and conditions, negotiations, laws and regulations, acquisition, security planning, and configuration management.

Status:

The NRC reviewed the governance, processes, and technology relating to NRC's management of software assets as part of a comprehensive assessment on NRC's Software Asset Management's current state and future state requirements. A comprehensive policy for the management of software licenses will be developed by the end of FY 2015. Once the policy is established, the NRC will provide appropriate training to agency personnel addressing contract terms and

conditions, negotiations, laws and regulations, acquisition, security planning, and configuration management.

This GAO recommendation remains open.