

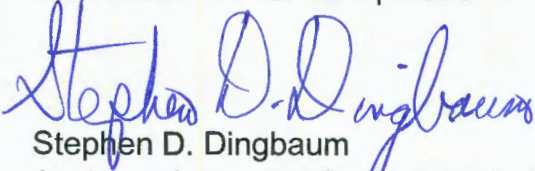


UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

**OFFICE OF THE
INSPECTOR GENERAL**

July 1, 2016

MEMORANDUM TO: Victor M. McCree
Executive Director for Operations

FROM: 
Stephen D. Dingbaum
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S
PERSONAL IDENTITY VERIFICATION CARD ACCESS
SYSTEM (OIG-16-A-10)

REFERENCE: DIRECTOR, OFFICE OF ADMINISTRATION
MEMORANDUM DATED JUNE 28, 2016

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated June 28, 2016. Based on this response, recommendations 3, 5, and 7 are closed. Recommendation 4 was previously closed. Recommendations 1, 2, and 6 remain resolved. Please provide an updated status of the resolved recommendations by January 6, 2017.

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

Attachment: As stated

cc: H. Rasouli, OEDO
R. Lewis, OEDO
J. Jolicoeur, OEDO
J. Bowen, OEDO
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Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 1: Require return of contractor PIV cards as part of the contract deliverables.

**Agency Response Dated
June 28, 2016:**

The staff is developing language to put in the statement of work templates and the contract security clauses to require the return of contractor PIV cards. This recommendation is still in progress.

Target date for completion: December 31, 2017

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that NRC included language in the Statement of Work template requiring contractors who are issued NRC PIV cards to return the card as soon as the contractor is no longer on a contract or no longer needs physical or logical access as part of the contract deliverables.

Status: Resolved.

Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 2: Provide mandatory formal training to all CORs on the process for contractor termination and PIV card retrieval.

**Agency Response Dated
June 28, 2016:**

The staff is currently developing training for the CORs regarding their security responsibilities. This recommendation is still in progress.

Target date for completion: December 31, 2016

OIG Analysis:

The proposed actions meet the intent of the recommendation. OIG will close this recommendation when OIG receives verification that CORs have received the mandatory training.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 3: Develop and implement a PIV card retrieval process, including steps to be taken to retrieve a PIV card from a terminated employee and designating a responsible official to complete those steps.

**Agency Response Dated
June 28, 2016:**

The staff has developed an Office of Administration (ADM), Division of Facilities and Security (DFS) procedure that documents the process and actions that DFS staff will take to retrieve PIV cards from a terminated employee. The DFS procedure was issued on May 13, 2016, and became effective on May 23, 2016. This closes the staff's action on this recommendation.

Target date for completion: May 31, 2016

OIG Analysis:

OIG has reviewed the procedure that documents the process and actions to retrieve PIV cards and determined it includes the retrieval process, and a designating official to accept responsibility for completing the steps outlined in the plan. This recommendation is therefore considered closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 5: Require the Office of Administration to physically obtain employee PIV cards.

**Agency Response Dated
June 28, 2016:**

The DFS procedure dated May 13, 2016, requires that DFS staff physically obtain the terminated employee's PIV card at their security exit briefing. This closes the staff's action on this recommendation.

Target date for completion: May 31, 2016

OIG Analysis:

OIG reviewed the DFS procedure dated May 13, 2016, and determined that the procedure states that the staff will obtain the cards for terminated employees at the exit briefing. This recommendation is therefore considered closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 6:

Revise Management Directive (MD) 12.1 to include standards for offices to appoint room owners and notify ADM of changes to access rights for limited access areas.

**Agency Response Dated
June 28, 2016:**

MD 12.1 is currently being revised and is under review and comment. The draft MD includes language for offices to appoint room owners and notify ADM of changes to access rights for limited access areas. This recommendation is in progress.

Target date for completion: October 14, 2016

OIG Analysis:

The proposed actions meet the intent of the recommendation. OIG will close the recommendation when we receive the revised MD 12.1 and verify that it includes standards for offices to appoint room owners and to notify ADM of changes to access rights for limited access areas.

Status:

Resolved.

Audit Report

AUDIT OF NRC'S PERSONAL IDENTITY VERIFICATION CARD ACCESS SYSTEM

OIG-16-A-10

Status of Recommendations

Recommendation 7:

Reissue the "Revised Process for Managing Access to Limited and Security Controlled Areas" memorandum to all relevant offices, including the regional offices, to include language which requires the offices to notify ADM of a change to the appointed room owner.

**Agency Response Dated
June 28, 2016:**

On June 24, 2016, the staff revised and re-issued a memorandum to all the offices including the regional offices, which requires the offices to notify ADM/DFS of a change to the appointed room owner. This closes the staff's action on this recommendation.

Target date for completion: May 31, 2016

OIG Analysis:

OIG reviewed the memorandum and determined that the memorandum was reissued with language requiring offices to notify ADM of a change to the appointed room owners. This recommendation is therefore closed.

Status:

Closed.