



Defense Nuclear Facilities

Safety Board

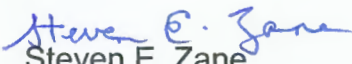
Washington, DC 20004-2901

Office of the
Inspector General

August 19, 2016

MEMORANDUM TO: Mark T. Welch
General Manager

Katherine Herrera
Deputy General Manager

FROM: 
Steven E. Zane
Acting Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF DNFSB'S
PROCESS FOR DEVELOPING, IMPLEMENTING, AND
UPDATING POLICY GUIDANCE
(DNFSB-16-A-05)

REFERENCE: GENERAL MANAGER MEMORANDUM
DATED JULY 20, 2016

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the Board's response dated July 20, 2016. Based on this response, recommendations 1 through 6 are now resolved. Please provide an updated status of the resolved recommendations by February 28, 2017.

If you have any questions or concerns, please contact me at 415-5915 or Eric Rivera, Team Leader, at 415-7032.

Attachment: As stated

cc: R. Howard, OGM

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

Recommendation 1: Periodically monitor actual performance against the established metric for updating directives and supplementary documents that are due for revision. Based on the monitoring of this metric, take appropriate corrective actions as warranted.

**Agency Response Dated
July 20, 2016:**

Agree.

DNFSB has developed a baseline schedule for updating its directives and supplementary documents (see response and attachment for Recommendation 3). We will monitor performance against this metric and take appropriate actions as warranted. An update on performance will be provided in the next scheduled status update to OIG.

OIG Analysis:

OIG reviewed DNFSB's response for Recommendation 1 and attached tentative schedule for review and update of directives and supplementary documents. OIG determined this tentative schedule meets the intent of this recommendation. This recommendation will be closed once OIG is able to ensure that the document updates and revisions are measured against the metric.

Status:

Resolved.

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

Recommendation 2: Establish a directive or supplementary document standardizing the document concurrence (Green Folder) process and include a maximum timeframe metric for individuals included in the document concurrence process.

Agency Response Dated
July 20, 2016:

Agree.

The DNFSB agrees to establish a directive or supplementary document to standardize our Green Folder process that provides a maximum timeframe metric for individuals included in the document concurrence process. We expect to develop and publish this process by 2nd quarter FY 2017.

OIG Analysis:

OIG reviewed DNFSB's response to Recommendation 2 and determined that it meets the intent of the recommendation. This recommendation will be closed when OIG is able to review and analyze the document that standardizes the Green Folder process.

Status:

Resolved.

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

Recommendation 3: Develop and implement a formal, consistent plan for prioritizing the creation and certification review of directives and supplementary documents.

Agency Response Dated
July 20, 2016:

Agree.

Prior to the close of this audit, DNFSB developed a formal schedule to prioritize the creation and certification review of directives and supplementary documents. The schedule is attached. We request closure of this recommendation.

OIG Analysis:

OIG reviewed DNFSB's response to Recommendation 3 and the tentative schedule for review and update of directives and supplementary documents and determined it meets the intent of the recommendation. This recommendation will be closed after OIG determines that the tentative schedule has been implemented at DNFSB.

Status:

Resolved.

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

Recommendation 4: Provide periodic formal training on policy writing.

Agency Response Dated
July 20, 2016:

Agree.

DNFSB provided staff with formal training in policy writing on April 19-20, 2016. Documentation of this training was provided to the auditors prior to the close of this audit. Training in policy writing will be provided for staff annually beginning in FY 2017. We request closure of this recommendation.

OIG Analysis:

OIG reviewed DNFSB's response to Recommendation 4 and determined it meets the intent of the recommendation. This recommendation will be closed when documentation is provided to establish the periodicity of the training and show that the training has been provided to the staff on a periodic basis since the April 2016 training.

Status:

Resolved.

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

<u>Recommendation 5:</u>	Review and document targeted work processes to identify areas where additional directives or supplementary documents are needed or can be consolidated.
Agency Response Dated July 20, 2016:	Agree. DNFSB will review and document targeted work processes to develop a proposed consolidated listing of work processes to identify areas where additional directives or supplementary documents are needed or can be consolidated. We anticipate completing the review and documenting of targeted work process by 1st quarter FY 2017.
OIG Analysis:	OIG reviewed DNFSB's response for Recommendation 5 and determined it meets the intent of the recommendation. This recommendation will be closed once OIG is able to analyze the review and documentation of targeted work processes to identify areas where additional directives or supplementary documents are needed or can be consolidated.
Status:	Resolved.

Audit Report

AUDIT OF DNFSB'S PROCESS FOR DEVELOPING, IMPLEMENTING, AND UPDATING POLICY GUIDANCE

DNFSB-16-A-05

Status of Recommendations

Recommendation 6: Revise D-21.1 and OP-21.1-1 to incorporate OIG roles and responsibilities in the review of draft directives.

Agency Response Dated
July 20, 2016:

Agree.

DNFSB agrees to revise D-21.1 and OP-21.1-1 to incorporate OIG roles and responsibilities in the review of draft directives. We expect to revise and publish the guidance by 4th quarter FY 2016.

OIG Analysis:

OIG reviewed DNFSB's response for Recommendation 6. OIG determined that the agency's proposed actions meet the intent of this recommendation. This recommendation will be closed after OIG is able to review and analyze the revised, final publication of D-21.1 and Op-21.1-1.

Status:

Resolved.