

RESPONSE TO THE STATUS OF RECOMMENDATIONS CONTAINED IN THE OFFICE OF THE INSPECTOR GENERAL'S AUDIT REPORT, "AUDIT OF NRC'S IMPLEMENTATION OF FEDERAL CLASSIFIED INFORMATION LAWS AND POLICIES" (OIG-16-A-17)

The Office of the Inspector General (OIG) Audit Recommendation 1(b)

Recommendation: Complete the current inventories of classified information in safes and secure storage areas.

Update: The Office of Administration (ADM) and the Office of Nuclear Security and Incident Response (NSIR), in collaboration with the Office of the Chief Information Officer (OCIO), issued "Requirement for Offices and Regions to Implement [General Services Administration] GSA-Approved Container Security Plans" (Agencywide Documents Access and Management System (ADAMS) Accession No. ML16047A162), dated April 8, 2016. The memorandum required that all classified record holders develop a generic security plan for GSA-approved containers, to include compiling and subsequently verifying a local catalog of a container's classified contents on an annual basis, no later than August 1, 2016. Progress has been made on the staff's activities directed by the OCIO memorandum. To date, the staff has submitted 217 security plans for GSA-approved security containers to ADM and NSIR, to include local catalogs of the container's classified contents. Through this effort, the staff excessed 35 GSA-approved security containers to the NRC warehouse for temporary storage. ADM and NSIR continue to monitor implementation of this requirement for the approximately 57 GSA-approved security containers with approved extension requests. Additionally, in accordance with the security plan for GSA-approved security containers, NSIR and ADM will ensure that the security container owner conducts a periodic review of the contents of the container and compiles or verifies a local catalog of all the classified contents of the container at least once per calendar year. On September 28, 2016, Management Directive 12.1, "NRC Facility Security Program," was revised to require, in part, that all GSA-approved containers have an approved security plan. Independent of the GSA-Approved Container Security Plans, existing security plans for approved open storage areas will be revised to require room custodians to compile and subsequently verify a local catalog of their rooms' contents on an annual basis.

Target Completion Date: Staff will revise the existing security plans for approved open storage areas to include a local catalog by December 31, 2017.

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OIG Audit Recommendation 1(c)

Recommendation: Develop declassification training to prepare and authorize declassifiers.

Update: NSIR, in coordination with the Office of the Chief Human Capital Officer, is currently developing Web-based declassification training to prepare and authorize declassifiers at the agency, to include a new iLearn course identification number to administer and document declassifier training. Documentation will include training certifications upon successful completion of the required courses and notifications of suspended declassification authority upon failure to satisfactorily complete the requisite training. NSIR is hosting an internal pilot offering of the declassification training in March 2017 to solicit staff feedback on the content of the training. Once staff feedback is incorporated into the declassification training, then NSIR will make the course available for completion in iLearn. NSIR staff requires additional time to

complete this recommendation and has extended the target completion date from March 31, 2017 to June 30, 2017.

Target Completion Date: Staff will complete this action by June 30, 2017.

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OIG Audit Recommendation 3

Recommendation: Develop guidance for derivative classifiers to apply records management principles to documents created and stored electronically.

Update: NSIR, in coordination with OCIO, distributed “Issuance of Guidance on the Creation and Maintenance of Electronic Classified Records” (ADAMS Accession No. ML17059D447), dated March 29, 2017, to all derivative classifiers at the agency. The memorandum required that staff authorized to access the agency’s classified information technology (IT) systems consult the, “Guidance on the Creation and Maintenance of Electronic Classified Records” (ADAMS Accession No. ML17059D448) on an annual basis. The aforementioned guidance document includes marking instructions for all classified records in the electronic environment and the application of records management principles to documents created and stored electronically.

Target Completion Date: The actions associated with this recommendation have been completed.

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