



## Defense Nuclear Facilities

### Safety Board

Washington, DC 20004-2901

Office of the  
Inspector General

March 24, 2017

MEMORANDUM TO: Katherine Herrera  
Deputy General Manager

FROM: Dr. Brett M. Baker /RA/  
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 FEBRUARY 28, 2017

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated February 28, 2017. Based on this response, recommendations 2 and 6 are resolved and recommendations 1, 3, 4, and 5 are closed. Please provide an updated status of the resolved recommendations by September 29, 2017.

If you have any questions or concerns, please contact me at (301) 415-5915 or Eric Rivera, Team Leader, at (301) 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 February 28, 2017: A baseline metric for updating directives and supplementary documents has been developed and is incorporated in the Office of the General Manager (OGM) FY 2017 Work Plan, and Office Directors' performance plans for monitoring performance against the metric, and appropriate action as warranted. The latest schedule for updating directives and supplementary documents, the FY 2017 OGM Work Plan, and the General Manager's performance plan to show the incorporated schedule.

**Status:**

We request closure of this recommendation based on the supporting documentation provided.

OIG Analysis: OIG reviewed DNFSB's response for Recommendation 1 and supporting documentation for this recommendation. OIG determined that the provided documents meet the intent of this recommendation, including establishing a metric for updating directives and supplementary documents due for revision. This recommendation is therefore considered closed.

**Status:** Closed.

## 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 February 28, 2017: The development of a correspondence management system (CMS) that includes the Green Folder process and timeframes for concurrences is in process. A directive or supplementary document to standardize the Green Folder process will be developed once the CMS is established. Completion is expected by 4th quarter FY 2017.

**Status:**

Implementation of this recommendation is still in progress.

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 February 28, 2017: A formal schedule to prioritize the creation and certification review of directives and supplementary documents was developed and is being updated as directives and supplementary documents are revised and finalized. The latest schedule for updating directives and supplementary documents is attached.

Status:

We request closure of this recommendation based on the supporting documentation provided.

OIG Analysis: OIG reviewed DNFSB's response to Recommendation 3 and the schedule for review and update of directives and supplementary documents. OIG determined that the provided document meet the intent of this recommendation, including a plan for the prioritization of the creation and certification review of directives and supplementary documents. This recommendation is therefore considered closed.

**Status:** Closed.

## 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  
February 28, 2017:

Staff was provided formal training in policy writing on April 19-20, 2016. The FY 2017, training in policy writing will be provided for staff via the Board's AgLearn training system. To address the need for continuing training on policy writing, the e-book, *7 Steps to Better Written Policies and Procedures Exercises and Suggestions to Improve Your Writing*, will be uploaded to all employees' AgLearn accounts on March 3rd. Based on the book, in-person trainings are scheduled for Thursday, April 6th and Tuesday, April 11th and will be open to all employees. The goals for the trainings are to: 1. Improve writing skills for policies and procedures; 2. Document policies and procedures that are structured, consistent, accurate, well written, and easy to understand and apply; and 3. Teach how to use the writing format for printed and electronic policies and procedures. Additionally, the training will include exercises to demonstrate and reiterate best practices in writing policies and procedures.

Status:

We request closure of this recommendation based on the latest update.

OIG Analysis:

OIG reviewed DNFSB's response to Recommendation 4 and supporting documentation for this recommendation. OIG determined that the provided documents meet the intent of this recommendation, including establishing the periodicity of the policy writing training course, since the initial training in April 2016. This recommendation is therefore considered closed.

**Status:** Closed.

## Audit Report

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

DNFSB-16-A-05

#### Status of Recommendations

**Recommendation 5:** Review and document targeted work processes to identify areas where additional directives or supplementary documents are needed or can be consolidated.

**Agency Response Dated February 28, 2017:** A 2016 contract with Grant Thornton (GT) included reviewing documentation of work processes to identify areas where additional documentation was needed or could be consolidated. GT's final report (pages 34-36) outlines this assessment. In addition, OGM has consolidated and documented several work processes, including Budget Formulation and Execution, Payroll Management, and Charge Card Management. The GT final report is attached.

**Status:**

We request closure of this recommendation based on the supporting documentation provided.

**OIG Analysis:** OIG reviewed DNFSB's response for Recommendation 5 and supporting documentation for this recommendation. OIG determined that the provided document meet the intent of this recommendation, including identifying areas where additional directives or supplementary documents are needed or can be consolidated. This recommendation is therefore considered closed.

**Status:** Closed.

## 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 February 28, 2017: D-21.1 and OP-21.1 were revised and finalized in August 2016 to implement the intent of and closure of this recommendation, and subsequently signed by the Chairman. OIG's request for additional edits to D-21.1 and OP-21.1 will be considered in future review and certification.

Status:

We request closure of this recommendation based on the supporting documentation provided.

OIG Analysis: OIG reviewed DNFSB's response for Recommendation 6 and determined that the proposed actions meet the intent of this recommendation. This recommendation will be closed after OIG roles and responsibilities are included in Section "7.Responsibilities," in D-21.1 and "Appendix 5: Directives Program Responsibilities," in OP-21.1-1.

**Status:** Resolved.