



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

March 14, 2018

MEMORANDUM TO: Dr. Brett M. Baker
Assistant Inspector General for Audits
Office of the Inspector General

FROM: Daniel H. Dorman */RA/*
Acting Deputy Executive Director for Materials, Waste,
Research, State, Tribal, Compliance, Administration,
and Human Capital Programs
Office of the Executive Director for Operations

Maureen E. Wylie */RA/*
Chief Financial Officer

SUBJECT: RESPONSE TO OFFICE OF THE INSPECTOR GENERAL
REPORT: AUDIT OF NRC'S COMPLIANCE WITH THE DIGITAL
ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014
(OIG-18-A-03)

This memorandum responds to the Office of the Inspector General's (OIG) Audit Report, "Audit of NRC's Compliance with the Digital Accountability and Transparency Act of 2014" (OIG-18-A-03) dated November 8, 2017. In that report, OIG made two recommendations for staff action. This memorandum provides the staff analysis and recommendations for disposition of these two recommendations.

Recommendation 1

Confirm that the inclusion of records with payment data for awards without contract actions are in accordance with Treasury guidelines, and enhance the agency's policies and procedures regarding the resolution or acceptance of Broker warnings and file linkage testing.

NRC Response

Detailed discussions on the subject audit report (OIG-18-A-03) were held on February 14, 2018, between the OIG and the Office of the Chief Financial Officer (OCFO) staff which included a review of the Digital Accountability and Transparency (DATA) Act requirements as well as a

CONTACT: Anthony C. Rossi, OCFO/DOC
(301) 415-7341

review of the audit approach taken by the contract auditors. We have jointly determined that the NRC is in compliance with the DATA Act requirements for submitting Files A, B, and C, and the aforementioned files were reconciled successfully to Files D1 and D2. As a result, the NRC data submission was in accordance with Treasury guidelines, and therefore, the recommendation should be closed.

Recommendation 2

Enhance the Senior Accountable Official (SAO) Statement of Assurance to provide categorical explanations for all data misalignments, including unresolved Broker warnings, and accurately indicate the extent of testing performed over file linkages.

NRC Response

Detailed discussions on the subject audit report (OIG-18-A-03) were held on February 14, 2018, between OIG and OCFO staff which included a review of the Office of Management and Budget requirements of the content of the DATA Act SAO Statement of Assurance. We have jointly determined that the NRC is in compliance with the Office of Management and Budget requirements which left much of the form and content of the Statement to the discretion of the agency and did not prescribe a form and content. This includes the decision whether to address warning messages as part of the Statement. As a result, the NRC Statement submission was in accordance with Treasury guidelines, and therefore, the recommendation should be closed.

cc: OGC
ADM

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (OIG-18-A-03), dated March 14, 2018

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