



**Defense Nuclear Facilities  
Safety Board**

Washington, DC 20004-2901

**Office of the  
Inspector General**

October 15, 2018

MEMORANDUM TO: Glenn Sklar  
General Manager

Christopher Roscetti  
Deputy General Manager

FROM: Dr. Brett M. Baker */RA/*  
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATION: AUDIT OF DNFSB'S  
COMPLIANCE WITH THE DATA ACT (DNFSB-18-A-03)

REFERENCE: GENERAL MANAGER, DEFENSE NUCLEAR FACILITIES  
SAFETY BOARD, CORRESPONDENCE DATED  
SEPTEMBER 27, 2018

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated September 27, 2018. Based on this response, all related subparts of recommendation 1 are completed. As a result, all recommendations for this audit are considered closed.

If you have any questions or concerns, please call 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 COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (DATA Act)**

#### **DNFSB-18-A-03**

#### **Status of Recommendations**

##### Recommendation 1:

Develop, document, and implement DATA Act policies and procedures to:

- a. Create a system of internal controls that allows DNFSB to publish more reliable and timely account-level and award-level data on USAspending.gov.
- b. Ensure the submission of DNFSB's Senior Accountable Official statement of assurance with the quarterly Broker submission. This process should include documentation for a system to develop, review, and approve (when such statements are required) any categorical explanations for misalignments of the data reported for display on USAspending.gov.
- c. Define the mapping between agency specific data elements within Pegasys to the DATA Act Schema (57 elements).
- d. Define the workflow for addressing validation errors and revisions, including identifying the people and systems necessary to make changes to the data prior to submittal to the Broker, in coordination with the USDA.
- e. Define the role of the USDA FSSP in any migration or change to information systems supporting Broker submissions in coordination with USDA.
- f. Define alignment of files A through F and the cross-file linkages and cross-file calculations including documentation of systems, processes and policies for each element.
- g. Define the process to create consistent and proper handling of data across DNFSB including establishing internal roles and responsibilities and identifying the people and systems necessary to make changes to the data prior to Broker submittal.

## Audit Report

### AUDIT OF DNFSB'S COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (DATA Act)

#### DNFSB-18-A-03

#### Status of Recommendations

Agency Response Dated  
September 27, 2018: Agree.

##### Subpart a.

The General Manager approved Work Practice WP-211.1-1 on July 13, 2018. This work practice describes the system of internal controls that will enable us to publish more reliable and timely account level and award-level data on USAspending.gov.

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

##### Subpart b.

The Acting Director of the Division of Accounting and Finance, has been assigned the role of DNFSB's SAO for the Data Act Submission. The USA spending Service Desk Team, assigned her the SAO role 12/20/17, as shown in the embedded e-mail, below as supporting documentation.

The SAO's certification statement takes into account the results of the DNFSB review before and after the files are submitted to the Data Act Broker as described in DNFSB's draft procedures.

The procedures that support and ensure the submission of DNFSB's Senior Accountable Official statement of assurance with the quarterly Broker submission are described in section 7 of Work Practice WP-211.1-1, which is embedded in Recommendation a. above. These procedures include documentation for a system to develop, review, and approve (when such statements are required) any categorical explanations for misalignments of the data reported for display on USAspending.gov.

Procedures that support the submission of the SAO's statement of assurance with the quarterly Broker submission are described in section 7 of Work Practice WP-211.1-1.

## Audit Report

### AUDIT OF DNFSB'S COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (DATA Act)

#### DNFSB-18-A-03

#### Status of Recommendations

##### Recommendation 1 (cont.):

##### Subpart b (cont.).

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

##### Subpart c.

This recommendation requires DNFSB to define the mapping between agency specific data elements within Pegasys to the DATA Act Schema (57 elements).

The 57 elements are drawn not only from Pegasys but from the Federal Procurement Data System (FPDS) and from the System for Award Management (SAM). We have mapped all of them.

Our data mapping is shown in the EXCEL Workbook "The 57 Data Element Definitions & Linkages to Symplicity & Pegasys 20180706A."

This first tab of the workbook explains what the workbook contains. The second tab, "57 Elements" lists all 57 of the Data Act Elements in columns A, B, C and D. The rest of the columns on the second tab contain the location of each of the 57 Elements in Symplicity, Pegasys, FPDS and SAM and in the files produced by the DATA Act Broker. Some of the columns contain hyperlinks to supporting documentation that is contained in other tabs in the workbook. The other tabs contain various types of source documents and examples. Clicking on the links in the second tab, "57 Elements" takes one to these other tabs.

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

## Audit Report

### AUDIT OF DNFSB'S COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (DATA Act)

#### DNFSB-18-A-03

#### Status of Recommendations

##### Recommendation 1 (cont.):

###### Subpart d.

This workflow is defined in WP 214.1-1. It addresses validation errors and revisions, including identifying the people and systems necessary to make changes to the data prior to submittal to the Broker, in coordination with the USDA.

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

###### Subpart f.

DNFSB has the DAIMS validation rules and we have documented our procedures for assuring the correctness of each element in Work Process 214.1-1.

The DAIMS validation rules provided by Treasury define alignment of files A through F and the cross - file linkages and cross - file calculations, including documentation of systems, processes and policies for each element. They explain the criteria for correctness for each element in the data files A,B,C & D.

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

###### Subpart g.

DNFSB has fully implemented procedures for consistent and proper handling of data across the agency. These procedures are documented in WP 214.1-1.

Status: We request closure of this recommendation based on the actions and supporting documentation provided above.

## Audit Report

### AUDIT OF DNFSB'S COMPLIANCE WITH THE DIGITAL ACCOUNTABILITY AND TRANSPARENCY ACT OF 2014 (DATA Act)

DNFSB-18-A-03

#### Status of Recommendations

Recommendation 1 (cont.):

**OIG Analysis:**

OIG reviewed the supporting documentation attached to DNFSB's response to this recommendation and verified that the agency has fully implemented the DATA Act policies and procedures contained therein. The actions and supporting documentation for all subparts meet the intent of the recommendation. The actions for subparts a. – d. and f. – g. are now considered closed. The actions for subpart e. were previously closed. Recommendation 1 is therefore, considered closed.

**Status:**

Closed.