



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

**OFFICE OF THE
INSPECTOR GENERAL**

January 22, 2020

MEMORANDUM TO: Maureen E. Wylie
Chief Financial Officer

Margaret M. Doane
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE U.S.
NUCLEAR REGULATORY COMMISSION'S INTERNAL
CONTROLS OVER FEE REVENUE (OIG-15-A-12)

REFERENCE: CHIEF FINANCIAL OFFICER MEMORANDUM DATED
DECEMBER 9, 2019

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated December 9, 2019. Based on this response, recommendation 1 remain open and resolved. Recommendations 2, 3, 4 and 5 through 7 have been closed. Please provide an updated status of recommendation 1 by April 1, 2020.

OIG issued this report in final on March 19, 2015, and by memorandum dated May 6, 2015, the agency acknowledged agreement with OIG on these recommendations. Office of Management and Budget Circular No. A-123 (M-16-17), Section C, dated July 15, 2016, states "Management has a responsibility to complete action, in a timely manner, on audit recommendations on which agreement with the OIG has been reached." Audit recommendation number 1 has been in resolved status for more than 3 years.

If you have questions or concerns, please call me at (301) 415-5915, or Eric Rivera, Deputy Assistant Inspector General for Audit, at (301) 415-7032.

Attachment: As stated

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Audit Report

AUDIT OF NRC'S INTERNAL CONTROLS OVER FEE REVENUE

OIG-15-A-12

Status of Recommendations

Recommendation 1: Establish policies and procedures to centralize the control of TAC setup.

Agency Response Dated
December 9, 2019:

Agree. The OCFO has completed all requirements for the updating and publication of MD 10.43 and delivered to the Chairman's office on August 14, 2019. The Office of Administration then provided a revised version on October 15, 2019 incorporating requested edits. This document is still with the Chairman's office for final signature.

Milestones:

1. Centralize in the OCFO the control of setup for CACs that are non-billable, non-docket – Complete.
2. Provide guidance and conduct CAC system user training about: the procedures for CAC setup, the data exchange in relation to the program office workload management systems, and the OCFO approval/governance role – Complete
3. Establish policies and procedures to centralize the control of CAC setup for billable, docket-related, and/or project-related CACs – Complete.
4. Update Management Directive 10.43, Time and Labor Reporting – The OCFO awaiting the final issuance of MD 10.43. The OCFO lead is Erikka LeGrand.

OIG Analysis:

The actions proposed by the agency meet the intent of the recommendation. This recommendation will be closed after OIG reviews the finalized MD 10.43 and verifies that the new policies and procedures and revised Management Directive referenced in the agency's September 11, 2019, memorandum adequately establishes policies and procedures to centralize the control of CAC setup.

Status:

Open: Resolved