



**DEFENSE NUCLEAR FACILITIES
SAFETY BOARD**

WASHINGTON, D.C. 20004-2901

OFFICE OF THE
INSPECTOR GENERAL

February 19, 2020

MEMORANDUM TO: Chairman Bruce Hamilton

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF DNFSB'S
ISSUE AND COMMITMENT TRACKING SYSTEM (IACS)
AND ITS RELATED PROCESSES (DNFSB-19-A-02)

REFERENCE: CHAIRMAN, DEFENSE NUCLEAR FACILITIES SAFETY
BOARD, CORRESPONDENCE DATED
February 10, 2020

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in DNFSB's response dated February 10, 2020. Based on this response, recommendations 1 and 5 are open and resolved. Recommendations 2, 7, and 8 are now closed. Recommendations 3, 4, and 6 were previously closed.

Please provide an updated status of each of the resolved recommendations by October 31, 2020.

If you have any questions or concerns, please call me at (301) 415-5915 or Mike Blair, Team Leader, at (301) 415-8399.

cc: G. Sklar, OGM
R. Howard, OGM

Audit Report

AUDIT OF DNFSB'S ISSUE AND COMMITMENT TRACKING SYSTEM (IACTS) AND ITS RELATED PROCESSES

DNFSB-19-A-02

Status of Recommendations

<u>Recommendation 1:</u>	Provide training for the agency, including Board members, focusing on effective communication and trust in the workplace.
Agency Response Dated February 2020:	<p>Board members continue to meet with facilitators from the Federal Mediation and Conciliation Service (FMCS) to help strengthen communication and trust within the Board and with the SES corps. Both the Board members and staff were trained in Clifton Strengths and Crucial Conversations concepts in CY 2019. In July and August 2019, Clifton Strengths training was an agency-wide employee engagement effort to empower employees to identify, understand, and maximize their respective strengths. In December 2019, the Board and staff were provided Crucial Conversations training, thereby providing another example of DNFSB's continued employee engagement efforts to understand how healthy communication improves morale, trust, and better team building.</p> <p>This recommendation is still in progress.</p>
OIG Analysis:	<p>The proposed action meets the intent of the recommendation. The recommendation will be closed when OIG verifies the creation of the Employee Engagement Plan and that DNFSB Board members and staff have been trained on effective communication and trust in the workplace.</p>
Status:	Open: Resolved.

Audit Report

AUDIT OF DNFSB'S ISSUE AND COMMITMENT TRACKING SYSTEM (IACTS) AND ITS RELATED PROCESSES

DNFSB-19-A-02

Status of Recommendations

Recommendation 2: Develop a set of principles/values, with input from staff, to help provide the agency a more unified direction relative to DOE safety oversight.

Agency Response Dated
February 2020:

The Board contracted with NAPA to prepare a revised strategic plan for DNFSB that will help to provide the agency with a unified direction. During development, the Board socialized the draft strategic plan with stakeholders, including the Assistant IG for Audits and Congress. The revised plan covers 2018-2022, and is intended to be used as a transition guide to enhance Agency culture and overall performance, both internally and externally. The strategic plan is now available on DNFSB's public website at DNFSB Strategic Plan 2018-2022 (revised).

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

OIG Analysis: OIG reviewed DNFSB's Strategic Plan 2018 – 2022 (revised) and confirmed the new plan meets the intent of the recommendation. Therefore, this recommendation is now closed.

Status: Closed.

Audit Report

AUDIT OF DNFSB'S ISSUE AND COMMITMENT TRACKING SYSTEM (IACS) AND ITS RELATED PROCESSES

DNFSB-19-A-02

Status of Recommendations

Recommendation 5: Create and implement a policy to consistently track RFBA's through a tracking mechanism or through IACS.

Agency Response Dated February 2020:

The GS-15 Manager of Board Operations will, among other duties, develop and manage a tracking system for Board actions. Development of the tracking system for Board actions is now expected to be completed by 3rd quarter FY 2020.

This recommendation is still in progress.

OIG Analysis:

The proposed action meets the intent of the recommendation. The recommendation will be closed when OIG verifies the creation and implementation of the RFBA tracking process.

Status:

Open: Resolved.

Audit Report

AUDIT OF DNFSB'S ISSUE AND COMMITMENT TRACKING SYSTEM (IACS) AND ITS RELATED PROCESSES

DNFSB-19-A-02

Status of Recommendations

Recommendation 7: Create and implement a policy to conduct self-assessments for common Board member processes (e.g. RFBAs, notational voting, Yellow Folder process, etc.) to determine how these processes could be improved.

Agency Response Dated
February 2020:

The Board's procedures already require a bi-annual review. Specifically, section 1.C. states, "The Executive Secretary shall initiate a review at least every two years to incorporate any organizational updates, consider changes for improving efficiency and effectiveness, and address conformance with any applicable legal requirements and Board policies." The GS-15 Manager of Board Operations will perform this function that is already required in the Board's procedures. Both the verification of hiring the Manager of Board Operations, and the corresponding Position Description are included [below] as supporting documentation.

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

OIG Analysis:

OIG confirmed the hiring of a new GS-15, Manager of Board Operations, in January 2020. OIG also reviewed the new position description which states, in part, the employee is "Responsible for internal communications across the Agency, including developing and implementing communication processes between all Agency Offices, the Chairman, GM, and Board Members. Identifies challenges and emerging issues faced by Agency. Works with Office Directors and agency staff to recognize internal and external communications opportunities and solutions, and defines and executes appropriate strategies to support them." OIG concludes that this meets the intent of the recommendation. Therefore, this recommendation is now closed.

Status:

Closed.

Audit Report

AUDIT OF DNFSB'S ISSUE AND COMMITMENT TRACKING SYSTEM (IACTS) AND ITS RELATED PROCESSES

DNFSB-19-A-02

Status of Recommendations

Recommendation 8: Examine and update the Board Procedures to ensure greater communication and coordination within the Board.

Agency Response Dated
February 2020:

The Board's procedures already require a bi-annual review. Specifically, section 1.C. states, "The Executive Secretary shall initiate a review at least every two years to incorporate any organizational updates, consider changes for improving efficiency and effectiveness, and address conformance with any applicable legal requirements and Board policies." The GS-15 Manager of Board Operations will perform this function. Both the verification of hiring the Manager of Board Operations, and the corresponding Position Description are included [below] as supporting documentation.

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

OIG Analysis:

OIG confirmed the hiring of a new GS-15, Manager of Board Operations, in January 2020. OIG also reviewed the new position description which states, in part, the employee is "Responsible for internal communications across the Agency, including developing and implementing communication processes between all Agency Offices, the Chairman, GM, and Board Members." OIG concludes that this meets the intent of the recommendation. Therefore, this recommendation is now closed.

Status: Closed.