



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

**OFFICE OF THE
INSPECTOR GENERAL**

April 27, 2021

MEMORANDUM TO: Margaret M. Doane
Executive Director for Operations

FROM: Eric Rivera */RA/*
Acting Assistant Inspector General for Audit

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF U.S.
NUCLEAR REGULATORY COMMISSION'S PROCESS
FOR PLACING OFFICIAL AGENCY RECORDS IN
AGENCY DOCUMENTS ACCESS AND MANAGEMENT
SYSTEM (ADAMS) (OIG-19-A-20)

REFERENCE: CHIEF INFORMATION OFFICER MEMORANDUMS
DATED MARCH 26, 2021 AND APRIL 23, 2020

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations discussed in the agency's responses dated March 26, 2021 and April 23, 2020. Based on these responses, recommendation four is closed, while recommendations three and five are open and resolved. Please provide an updated status of the resolved recommendations by June 30, 2021.

If you have any questions or concerns, please call me at (301) 415-5915, or Vicki Foster, Team Leader, at (301) 415-5909.

Attachment: As stated

cc: C. Haney, OEDO
S. Miotla, OEDO
J. Jolicoeur, OEDO
S. Mroz, OEDO
RidsEdoMailCenterResource
OIG Liaison Resource
EDO_ACS Distribution

Audit Report

AUDIT OF U.S. NUCLEAR REGULATORY COMMISSION'S PROCESS FOR PLACING OFFICIAL AGENCY RECORDS IN ADAMS

(OIG-19-A-20)

Status of Recommendations

Recommendation 3: Conduct an initial review of ADAMS to identify and remove personal papers, and implement a policy to conduct such reviews on a periodic basis.

Agency Response Dated
April 23, 2020:

OCIO established an internal procedure to conduct these reviews on a recurring basis and continues to search to identify and remove personal papers. In cases in which it is unclear whether identified documents are "personal papers", OCIO may consult with owners to make the appropriate determination. The NRC believes the intent of this recommendation has been fulfilled.

Target date for completion: Completed

Point of Contact: Kenny Nguyen, OCIO/GEMSD/IMSB
(301) 415-1938

OIG Analysis:

The NRC marked recommendation three as closed in the agency responses dated October 22, 2020, and March 26, 2021. That assertion was inaccurate. OIG did not review documentation and close recommendation 3. The OIG determines the status of recommendations in accordance with applicable [guidance](#).

The proposed actions meet the intent of the recommendation. OIG staff met with the OCIO points of contact on April 16, 2021 and confirmed that the OCIO has yet to run queries to identify and remove personal papers from ADAMS and to implement the policy changes that must address issues like the periodicity for personal paper removal. The OIG will close the recommendation after receipt and review of agency supporting documentation needed to verify that the NRC has identified and removed personal papers from ADAMS and has implemented the revised agency policy for periodically reviewing ADAMS for personal papers.

Status: Open: Resolved.

Audit Report

AUDIT OF U.S. NUCLEAR REGULATORY COMMISSION'S PROCESS FOR PLACING OFFICIAL AGENCY RECORDS IN ADAMS

(OIG-19-A-20)

Status of Recommendations

Recommendation 4: Strengthen internal controls to prevent individuals from entering personal papers in ADAMS.

Agency Response Dated
March 26, 2021:

The static warning message on the ADAMS Navigator page advising submitters that personal papers must not be placed in ADAMS, has been successfully deployed in ADAMS Release 1.12 as of March 5, 2021.

Revised Target Completion Date: Completed

Point of Contact: Kenny Nguyen, OCIO/GEMSD/DPRB
(301) 415-1938

OIG Analysis:

During the meeting with the OCIO points of contact on April 16, 2021, the OIG verified, and screen captured the presence of the static warning message against placing personal papers in ADAMS when attempting to add a record into ADAMS. As a result, this recommendation is closed.

Status: Closed.

Audit Report

AUDIT OF U.S. NUCLEAR REGULATORY COMMISSION'S PROCESS FOR PLACING OFFICIAL AGENCY RECORDS IN ADAMS

(OIG-19-A-20)

Status of Recommendations

Recommendation 5: Strengthen internal controls to ensure use of the Capstone tool and compliance with NARA requirements.

Agency Response Dated
March 26, 2021:

OCIO briefed the Commissioners' Assistants (CAs) and Senior Leadership in November 2020, and secured approval during the Agency Mission Meeting on March 3, 2021, for moving to a dual Opt-In/Opt-Out approach to Capstone email management. The Commissioners and the Chairman will remain in an Opt-In approach. OCIO will implement the Opt-Out approach in the O365 environment for the rest of the Capstone Officials effective April 5, 2021.

Revised Target Completion Date: Third Quarter FY 2021

Point of Contact: Marianne Narick, OCIO/GEMSD/DPRB
(301) 415-2175

OIG Analysis: The proposed actions meet the intent of the recommendation. The OIG will close the recommendation after verifying that the NRC has implemented processes and procedures to ensure Capstone officials use the Capstone tool in compliance with NARA requirements.

Status: Open: Resolved.