



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

**OFFICE OF THE
INSPECTOR GENERAL**

August 4, 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 THE U.S.
NUCLEAR REGULATORY COMMISSION'S PROCESS
FOR PLACING OFFICIAL AGENCY RECORDS IN THE
AGENCYWIDE DOCUMENTS ACCESS AND
MANAGEMENT SYSTEM (ADAMS) (OIG-19-A-20)

REFERENCE: CHIEF INFORMATION OFFICER MEMORANDUM DATED
JUNE 29, 2021

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations discussed in the agency's response dated June 29, 2021. Based on this response, recommendations 3 and 5 are closed. Recommendations 1, 2, and 4 were previously closed. Therefore, all recommendations associated with this audit are now closed and no further action is needed.

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

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Audit Report

AUDIT OF THE U.S. NUCLEAR REGULATORY COMMISSION'S PROCESS FOR PLACING OFFICIAL AGENCY RECORDS IN THE 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
June 29, 2021:

OCIO conducted searches in the ADAMS Main Library to identify potential personal papers. OCIO completed the review of the results in early June 2021. On June 11, 2021, the personal papers identified were provided to the owners to remove or identify that they were Federal records and should be kept in ADAMS. All documents identified as personal papers were reviewed and removed from ADAMS by June 22, 2021.

Additionally, a Yellow Announcement, YA-21-0048, "Update to Guidance on Handling of Personal Papers", was published (6/25/2021) reminding staff of the policies and procedures for the handling and use of personal papers, as well as informing them of the agency's periodic review of personal papers in ADAMS.

Target date for completion: Completed

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

OIG Analysis: The OIG reviewed the supporting documentation provided by the OCIO point of contact on June 29, 2021 and has verified that the OCIO ran queries to identify and remove personal papers from the ADAMS and has implemented the policy changes that addressed issues like the periodicity for personal paper removal. As a result, this recommendation is closed.

Status: Closed.

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AUDIT OF THE U.S. NUCLEAR REGULATORY COMMISSION'S PROCESS FOR PLACING OFFICIAL AGENCY RECORDS IN THE 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
June 29, 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 remain in an Opt-In approach. As of April 5, 2021, the remaining Capstone Officials' email is managed under an Opt-Out approach.

Email capture of the Commissioners' and the Chairman's email under the Opt-In approach within MS365 requires self-selection of email for retention after which selected email is then stored within individual secured folders in ADAMS and managed according to the applicable retention schedule (permanent retention) automatically by the IER solution.

Email capture for the other Capstone Officials (e.g., EDO, DEDOs, Office Directors, Regional Administrators) is managed under the Opt-Out approach within MS365. Under the Opt-Out approach, email is automatically captured, stored, and retention schedules applied. Capstone Officials under this approach may exclude email messages that are not permanent records before their departure from the Capstone role.

Revised Target Completion Date: Third Quarter FY 2021

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

Audit Report

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

(OIG-19-A-20)

Status of Recommendations

Recommendation 5 (cont.):

OIG Analysis: The OIG reviewed the supporting documentation provided by the OCIO point of contact on August 2, 2021 and has verified that the NRC has implemented processes and procedures to ensure Capstone officials use the Capstone tool in compliance with NARA requirements. As a result, this recommendation is closed.

Status: Closed.