



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

**OFFICE OF THE  
INSPECTOR GENERAL**

February 11, 2014

MEMORANDUM TO: Mark A. Satorius  
Executive Director for Operations

FROM: Stephen D. Dingbaum */RA/*  
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S  
ONGOING ELIGIBILITY FOR ACCESS AUTHORIZATION  
(OIG-13-A-22)

REFERENCE: DIRECTOR, OFFICE OF ADMINISTRATION,  
MEMORANDUM DATED JANUARY 30, 2014

Attached is the Office of the Inspector General's analysis and status of recommendations 1 and 2 as discussed in the agency's response dated January 30, 2014. Based on this response, recommendations 1 and 2 remain in resolved status. Please provide an updated status of the resolved recommendations by July 30, 2014.

If you have any questions or concerns, please call me at 415-5915 or Beth Serepca, Team Leader, at 415-5911.

Attachment: As stated

cc: R. Mitchell, OEDO  
K. Brock, OEDO  
J. Arildsen, OEDO  
C. Jaegers, OEDO

## **Audit Report**

### **AUDIT OF NRC'S ONGOING ELIGIBILITY FOR ACCESS AUTHORIZATION**

**OIG-13-A-22**

#### **Status of Recommendations**

Recommendation 1: Develop and implement annual training that reinforces comprehension and confirms acceptance of NRC's personnel reporting requirements for continued access authorization eligibility.

**Agency Response**

Dated January 30, 2014: To ensure NRC employees are aware of and properly trained in the personnel security reporting requirements, the Division of Facilities and Security, Personnel Security Branch (PSB), conducted a coordination meeting with the Office of the Chief Human Capital Officer and the Office of Nuclear Security and Incident Response. Agreement was reached to create a module of the reporting requirements to the existing Annual Information Security Awareness Course. The course will be temporarily taken off-line to develop the required content prior to the 2014 fall training cycle.

Targeted Completion Date: December 31, 2014

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that the annual training course reinforces comprehension and confirms acceptance of NRC's personnel reporting requirements for continued access authorization eligibility.

**Status:** Resolved.

## **Audit Report**

### **AUDIT OF NRC'S ONGOING ELIGIBILITY FOR ACCESS AUTHORIZATION**

**OIG-13-A-22**

#### **Status of Recommendations**

Recommendation 2: Develop and implement a process that assigns consequences for individuals who do not comply with NRC's personnel reporting requirements for continued access authorization eligibility.

#### **Agency Response**

Dated January 30, 2014: PSB is drafting internal guidance that assigns consequences for individuals who do not comply with NRC's personnel reporting requirements for continued access authorization eligibility. PSB will continue to handle and accept reporting of items, events, or information in the same manner (i.e., direct contact with staff through telephone, e-mail, and the resource mailbox). On November 6, 2013, Yellow Announcement 13-0141 (ML13295A402) was issued to all NRC employees, consultants, experts, panel members, and contractors notifying staff of their reporting requirements in accordance with Management Directive (MD) 12.3, "NRC Personnel Security Program," regardless of their access authorization or security clearance level. PSB revised existing internal guidance to the reporting process in the Personnel Security Adjudication Tracking System (PSATS). PSB is tracking all self-reported information via the "Events" section of PSATS which identifies the issue, the date of the incident or event, and any supporting documentation. Furthermore, language will be added to "Access Authorization Approval" template e-mail reminding individuals of their responsibility to follow reporting requirements in accordance with MD 12.3.

Targeted Completion Date: December 31, 2014

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that a process was developed and implemented that assigns consequences for individuals who do not comply with NRC's personnel reporting requirements for continued access authorization eligibility.

**Status:** Resolved.