



March 8, 2022

MEMORANDUM TO: Joel C. Spangenberg
Executive Director of Operations

FROM: Eric Rivera **/RA/**
Acting Assistant Inspector General for Audits
Office of the Inspector General

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE
DEFENSE NUCLEAR FACILITIES SAFETY BOARD'S
(DNFSB'S) PROCESS FOR PLANNING AND
IMPLEMENTING OVERSIGHT ACTIVITIES
(DNFSB-22-A-03)

REFERENCE: GENERAL MANAGER, DEFENSE NUCLEAR FACILITIES
SAFETY BOARD, CORRESPONDENCE DATED MARCH 7,
2022

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the DNFSB's response dated March 7, 2022. Based on this response, recommendations one, two, and three are open and resolved. Please provide an updated status of the open and resolved recommendations by January 16, 2023.

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

Attachment: As stated

cc: J. Biggins, GM
T. Tadlock, OEDO
R. Howard, OEDO

Audit Report

AUDIT OF THE DEFENSE NUCLEAR FACILITIES SAFETY BOARD'S (DNFSB'S) PROCESS FOR PLANNING AND IMPLEMENTING OVERSIGHT ACTIVITIES

(DNFSB-22-A-03)

Status of Recommendations

Recommendation 1:

As an agency overall, and the respective Board members themselves, continue to identify, implement, and directly participate in, process improvements that will provide clearer direction and priorities from the Board during the early phases of the work planning process, such as incorporating strategic direction from the Board into the planning memo.

Agency Response Dated
March 7, 2022:

Agree. A fundamental way the Board provides direction and priorities is through its Board Policy Statements. To continue to make improvements, the Board and its staff will work to update and consolidate the following Board Policy Statements (PS) into one or more new Board Policy Statements:

- PS-2: Transmittal of Trip Reports and other Safety Information to the Secretary of Energy dated December 31, 1992.
- PS-3: Oversight of Decommissioning Activities at Defense Nuclear Facilities dated August 19, 1996.
- PS-6: Oversight of Design and Construction of Defense Nuclear Facilities dated July 24, 2017.
- PS-7: Communication and Disposition of Safety Items dated May 22, 2018.
- PS-8: Oversight of Department of Energy Defense Nuclear Facility Standards dated June 28, 2018.
- PS-9: Resident Inspector Program of the Defense Nuclear Facilities Safety Board dated May 9, 2018.

As envisioned, the new Board Policy Statement(s) will include the use of a systematic and graded approach to prioritizing safety oversight that incorporates Board safety priorities that have been articulated and established in the Board's strategic plan and performance goals.

Audit Report

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(DNFSB-22-A-03)

Status of Recommendations

Recommendation 1 (cont.):

Agency Response (continued):

Following the completion of the Board's Policy Statement(s), the staff will review and revise its procedures to ensure the Board's direction and priorities are incorporated in the early phases of the work planning process to include providing the Board's strategic direction in the planning memo.

Target Completion Date: December 31, 2022

OIG Analysis:

The proposed actions meet the intent of the recommendation. The recommendation will be closed when the OIG verifies that the DNFSB has completed the new Board Policy Statement(s), and the staff has revised its procedures to incorporate Board direction and priorities in the early phases of the work planning process.

Status:

Open: Resolved.

Audit Report

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(DNFSB-22-A-03)

Status of Recommendations

Recommendation 2:

Develop and implement a strategy for maintaining routine awareness of future subject matter areas that may become understaffed.

Agency Response Dated
March 7, 2022:

Agree. For FY 2022, the agency evaluated its staffing requirements including the number of resident inspectors assigned to each DOE site and the current number of engineers in needed specialty areas. This was the fourth year the staff has completed the resident inspector staffing analysis. In addition, the agency has developed and implemented training and mentoring programs to ensure the staff are given the tools needed to perform their safety oversight duties. A new Board Policy Statement will be created to formalize this.

Additionally, as part of the agency's new Human Capital Plan, offices will be provided guidance on identifying staffing needs, reviewing the skill sets of existing employees, and maintaining routine awareness of subject matter expert areas that may become understaffed.

Target Completion Date: December 31, 2022

OIG Analysis:

The proposed actions meet the intent of the recommendation. The recommendation will be closed when the OIG verifies that the DNFSB has created guidance on identifying staffing needs, reviewing the skill sets of existing employees, and maintaining routine awareness of subject matter expert areas that may become understaffed, and that the DNFSB has a strategy in place to implement the guidance.

Status:

Open: Resolved.

Audit Report

AUDIT OF THE DEFENSE NUCLEAR FACILITIES SAFETY BOARD'S (DNFSB'S) PROCESS FOR PLANNING AND IMPLEMENTING OVERSIGHT ACTIVITIES

(DNFSB-22-A-03)

Status of Recommendations

Recommendation 3: Strengthen expertise in subject matter expert areas that lack depth through knowledge management and training.

Agency Response Dated
March 7, 2022:

In specific response to the focus of the audit's findings, in coordination with the Human Resources Director, the Office of the Technical Director (OTD) will review and revise its practices related to knowledge management and training. Knowledge management includes current practices to capture information in the SharePoint system and efforts to conduct knowledge transfer from more experienced staff to less experienced staff. The agency is updating the Operating Procedure for training and OTD will provide input into the Operating Procedure for technical areas where subject matter expertise lacks depth.

OIG Analysis: The proposed actions meet the intent of the recommendation. The recommendation will be closed when the OIG verifies that the DNFSB has revised its practices related to knowledge management and training to address subject matter areas that lack depth and updated the Operating Procedure for training, with input from the OTD.

Status: Open: Resolved.