
***NRC OFFICE OF THE INSPECTOR
GENERAL STRATEGIC PLAN
FOR NRC AND DNFSB***

FY 2019 - 2023

July 25, 2018



A MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to present the U.S Nuclear Regulatory Commission (NRC) Office of the Inspector General (OIG) *Strategic Plan* for fiscal years (FY) 2019-2023. This plan describes OIG's strategic direction, including our mission, goals, strategies, and actions, and, importantly, the performance measures we will use to hold our managers and staff accountable for the plan's execution and achievement.

This updated *Strategic Plan* emphasizes a sustained commitment to helping both NRC and the Defense Nuclear Facilities Safety Board (DNFSB) address the major issues and challenges they face. It also creates shared accountability for OIG regarding the goals we expect to achieve and the strategies we will use to do so. As part of this commitment, we used an outcome based framework that links strategy to measurement. We will revisit this *Strategic Plan* periodically during the FY 2019-2023 timeframe to determine whether emerging NRC and/or DNFSB challenges and issues warrant an update to this plan prior to the next strategic planning cycle. This new plan also includes, for the first time, an OIG human capital goal intended to support the continued high-performance of OIG's staff.

To develop this plan, OIG sought input from internal and external stakeholders concerning their highest priorities and expectations for OIG's future work and challenges. OIG also used this input to help identify obstacles that could impede and assets that support OIG's fulfillment of its mission to ***provide independent, objective audit and investigative oversight of Nuclear Regulatory Commission and Defense Nuclear Facilities Safety Board operations to protect people and the environment.***

As NRC's and DNFSB's challenges and issues continue to evolve, this plan, as needed, will be adjusted to be relevant, timely, and responsive. This plan will provide structure, priorities, and alignment for the OIG Annual Plan and budget submission and form the basis for personal accountability by all OIG managers and staff.

While this document focuses on OIG's goals, strategies, and actions, we will also ensure that all work and interaction with the NRC, DNFSB, the public, and all stakeholders will be guided by our values:

- Integrity.
- Credibility.
- Independence.
- Objectivity.

Together with the OIG staff and the collaborative efforts of the agencies, I look forward to implementing this plan.



Hubert T. Bell
Inspector General

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PART I:

U.S. NUCLEAR REGULATORY COMMISSION

SECTION I – MISSION, VISION, AND GOALS

NRC OIG Mission

The Atomic Energy Act of 1954, as amended, and the Energy Reorganization Act of 1974, as amended, established NRC's basic regulatory mission. NRC's mission is to license and regulate the Nation's civilian use of radioactive materials to provide reasonable assurance of adequate protection of public health and safety and to promote the common defense and security and to protect the environment.

The American people expect excellence and accountability from their Government. Toward that end, the U.S. Congress passed the Inspector General (IG) Act in 1978 to ensure integrity and efficiency within the Federal Government and its programs. NRC's OIG was established as a statutory entity on April 15, 1989, in accordance with the 1988 amendment to the IG Act. More recently, under the Consolidated Appropriations Act, 2014, the NRC Inspector General was authorized for 2014 and subsequent years to exercise the same authorities with respect to the Defense Nuclear Facilities Safety Board (DNFSB), as the NRC Inspector General exercises under the IG Act with respect to NRC.

As specified under the Government Performance and Results Modernization Act of 2010, Federal strategic planning documents are restricted to goals, objectives, and strategies within the scope of the organization's mission. The information in this plan has been reviewed to ensure that it falls under NRC OIG's mission to

Provide independent, objective audit and investigative oversight of Nuclear Regulatory Commission and Defense Nuclear Facilities Safety Board operations to protect people and the environment.

OIG has the legislative mandate to conduct audits, evaluations, investigations, inquiries, and other reviews of NRC and DNFSB programs and operations. OIG also reviews existing and proposed legislation, regulations, and directives and provides comments, as appropriate, regarding any significant concern. This oversight responsibility promotes economy, effectiveness, efficiency, and accountability within the agency; strengthens compliance with laws and regulations; and assists in detecting and preventing fraud, waste, and mismanagement in NRC and DNFSB programs and operations.

OIG regularly keeps the NRC Chairman, the DNFSB Chairman, and members of Congress fully and currently informed about the most critical risks and vulnerabilities, recommends corrective actions, and monitors NRC and DNFSB progress in implementing those actions.

Part I of OIG's *Strategic Plan* focuses on OIG's work at NRC and Part II focuses on OIG's work at DNFSB. Part III of the plan describes an overarching OIG human capital goal, and Part IV discusses how OIG assesses performance.

NRC OIG Vision

Aligning with NRC's Mission and Setting Clear Outcome Goals

The FY 2019-2023 OIG strategic planning process emphasized clear outcome goals that support and align with the agency's mission and for which OIG managers and staff can be held accountable. OIG managers and staff conducted situational and strategic assessments to support the development of clear and measurable strategies aimed at addressing NRC's most critical and pressing challenges.

As part of this effort, OIG also analyzed its latest assessment of NRC's most serious management and performance challenges, recent work completed by OIG's audit and investigative units, NRC's draft strategic framework for FY 2019-2023, and NRC's high-level budget guidance for FY 2019. This process resulted in an OIG *Strategic Plan* featuring three strategic goals that align with NRC's revised mission and vision.

NRC OIG External Strategic Vision Statement

Advancing nuclear safety and security through audits, evaluations, and investigations.

This revised vision statement advances the office's responsibility to prevent and detect fraud, waste, and abuse.

In pursuit of this strategic vision, OIG will update, as needed, the strategies and actions pertaining to the mission critical areas identified by OIG. Our strategic planning process is dynamic and does not end with the publication of this document. Current issues as well as revisions of laws, procedures, and agency priorities require attention to varying conditions, operating environments, and other technical, financial, and organizational changes. Auditors and investigators will play a major role in informing further refinements. By focusing on the most serious challenges that pose the greatest potential risk to safety and security, NRC OIG will use this strategic document to guide its work, deploy resources, and reemphasize OIG accountability for positive change.

NRC OIG Internal Vision Statement

One collaborative team for optimal performance.

This new internal vision statement for OIG emphasizes the importance of all OIG staff working together in a way that is mutually strengthening and supportive of OIG's overarching mission. In this way, investigators, auditors, and other OIG staff collaborate within their functional entity and across organizational lines to ensure the highest quality in all OIG products.

NRC OIG Strategic Goals

OIG's three NRC strategic goals¹ are individual and distinct; together, they allow OIG to assess its success in fulfilling its vision. OIG's strategic goals for NRC are

Strategic Goal 1: Safety – Strengthen NRC's efforts to protect public health and safety and the environment.

Strategic Goal 2: Security – Strengthen NRC's security efforts in response to an evolving threat environment.

Strategic Goal 3: Corporate Management – Increase the economy, efficiency, and effectiveness with which NRC manages and exercises stewardship over its resources.

To ensure that each OIG audit, evaluation, and investigation aligns with these goals, program areas selected for audit and evaluation are included in the *Annual Plan* after being crosswalked against the *Strategic Plan* to ensure alignment with OIG's strategic goals. Furthermore, each OIG audit, evaluation, and investigation is also linked with one or more of the most serious management and performance challenges identified by the IG as facing the agency and detailed in Section 3 of this document.

¹ In addition to these three NRC-specific strategic goals, OIG also has a human capital goal intended to support and sustain a workforce that is efficient and effective. Part III of this document describes this human capital goal and related strategies and actions.

SECTION 2 – BACKGROUND

Role of the OIG

To execute their mission, Inspectors General (IG) have substantial independence and authority to perform their role without interference from the agencies they oversee. The role of IGs has been specified by law and includes

- Conducting audits and investigations of agency programs.
- Timely access to all agency records, reports, audits, reviews, documents, open recommendations, or other materials.
- Issuing subpoenas for all necessary information, data, reports, and other documentary evidence.
- Independent personnel authority to select, appoint, and employ their own staffs to include subject-matter experts as required.
- Independent budget authority.
- Independent contracting authority.
- Requesting assistance from other Federal, State, and local government agencies.

The Inspector General Act of 1978, as amended through the IG Empowerment Act of 2016, conveys the responsibilities and independence of Offices of Inspectors General in their role to improve the Federal Government's efficiency and effectiveness; prevent and detect fraud, waste, and abuse in Federal agencies; and keep agency heads, Congress, and the public fully and currently informed of the findings of IG work. Nevertheless, OIG's success hinges on its ability to effectively communicate with NRC staff and facilitate positive change within the agency. Without the ability to clearly communicate and facilitate change, OIG would be unable to achieve its outcomes or vision.

To perform its duties, OIG employs auditors, management analysts, engineers, criminal investigators, investigative analysts, legal counsel, and support personnel. OIG also uses specialized firms and private sector contractors to provide technical expertise as needed.

Audits

OIG conducts performance, financial, and contract audits and evaluations to fulfill its audit mission. Performance audits focus on NRC administrative and program operations and evaluate the effectiveness and efficiency with which managerial responsibilities are carried out and whether the programs achieve intended results. Financial audits provide an audit opinion on NRC's financial statements and evaluate financial programs. Contract audits evaluate the cost of goods and services procured by NRC from commercial enterprises. In addition, the audit staff prepare evaluation reports that present OIG perspectives or information on specific topics.

Investigations

OIG conducts investigations relating to the integrity of NRC's programs and operations to fulfill its investigative mission. Most OIG investigations focus on allegations of fraud, waste, and abuse and violations of law or misconduct by NRC employees and contractors. Additionally, OIG investigates allegations of irregularities or abuses in NRC programs and operations with special emphasis on those NRC activities that impact public health and safety. Periodically, OIG issues *Event Inquiries* that document OIG's examination of events or agency regulatory actions and identify staff actions that may have contributed to the occurrence of an event. OIG also issues *Special Inquiries* that document instances where inadequacies in NRC regulatory oversight may have resulted in a potential adverse impact on public health and safety.

NRC Operating Environment

NRC's mission is to license and regulate the Nation's civilian use of radioactive materials to protect public health and safety, promote the common defense and security, and protect the environment. The agency also has a role in enhancing nuclear safety and security throughout the world.

NRC is headquartered in suburban Maryland, just outside of Washington, DC; has four regional offices located throughout the United States; and operates a technical training center located in Chattanooga, TN.

The agency carries out its mission through various licensing, inspection, research, and enforcement programs. NRC currently regulates 99 commercial nuclear power reactors operating in 30 States at 59 sites; 78 Independent Spent Fuel Storage Installations; 31 research and test reactors; 13 fuel cycle facilities; 11 uranium recovery sites; and approximately 2,600 licenses issued for research, medical, industrial, government, and academic uses of nuclear material. NRC is also overseeing 20 nuclear reactors in various stages of decommissioning. In addition, 37 States referred to as Agreement States administer approximately 17,000 licenses, through signed agreements with the NRC under which they regulate byproduct materials, source materials, and certain quantities of special nuclear materials in their respective States.

OIG audit and investigative oversight responsibilities are derived from the agency's wide array of programs, functions, and support activities established to accomplish NRC's mission.

SECTION 3 – SITUATIONAL ASSESSMENT

Strategic Challenges Facing NRC

As a Federal agency directly exposed to changing domestic and international business, security, and environmental factors, NRC and, derivatively, OIG face a rapidly adapting operating environment. For that reason, a thorough and adaptive “situational assessment” of the agency’s operating environment is a critical requirement for a meaningful NRC OIG *Strategic Plan* and formed a core piece of OIG’s strategic planning process.

Since the last OIG *Strategic Plan* was published, the landscape in which NRC operates has changed. In October 2017, the IG identified the following as the most serious management and performance challenges facing NRC:

1. Regulation of nuclear reactor safety programs.
2. Regulation of nuclear materials and radioactive waste programs.
3. Management of security over internal infrastructure (personnel, physical, and cyber security) and nuclear security.
4. Management of information technology and information management.
5. Management of financial programs.
6. Management of administrative functions.

OIG’s characterization of these challenges as significant was based on audit and investigative work conducted by OIG staff along with OIG’s continuous effort to monitor issues and trends affecting NRC as they emerge and evolve.

Through OIG’s Issue Area Monitor (IAM) program, OIG staff monitor agency performance with regard to these management challenges. These challenges, in conjunction with OIG’s strategic goals, serve as an important basis for deciding which audits, evaluations, and investigations to conduct each fiscal year.

As part of OIG’s strategic planning process, OIG grouped the challenges into three categories: (1) Safety Challenges, (2) Security Challenges, and (3) Corporate Management Challenges. The following constitutes OIG’s situational assessment of these challenges. OIG staff identified the issues described in each category as posing significant risks for NRC in that failure to address them adequately will impair the agency’s ability to accomplish its mission. This assessment serves as the basis for OIG’s FY 2019-2023 strategies and actions as described in Part I, Section 4, of this document.

Safety Challenges

Agreement State Oversight

NRC faces challenges to ensure that the oversight of the evolving Agreement State program remains effective while NRC and the States are facing severe resource constraints.

Decommissioning

NRC faces challenges with regard to the increased number of nuclear facilities shutting down. As such, the agency must deal with an ever increasing amount of work associated with sites undergoing decommissioning.

Emerging Technical and Regulatory Issues

NRC faces challenges identifying and responding to emerging technical and regulatory issues in a timely and balanced manner. The agency continues to focus on risk-informed regulatory strategies.

Industrial, Medical, and Academic

NRC faces challenges ensuring the oversight of nuclear materials in the evolving context of industrial, medical, and academic applications.

Knowledge Management

NRC faces challenges in identifying, capturing, and transferring knowledge learned during the licensing, construction, and operation of nuclear facilities.

Licensing

NRC faces challenges in processing license actions (e.g., new and small modular reactors, amendments, renewals) for reactors and materials. The challenge is to provide a timely review while ensuring such a review is thorough, effective, and transparent.

Radiological Waste

NRC faces challenges associated with the storage and management of high- and low-level radiological waste.

Security Challenges

Balancing Transparency and Information Security

NRC faces a challenge to balance the public's need for information to allow its involvement in the regulatory process with the need to protect information that has a potential to impact the security of nuclear power plants, research and test reactors, and other NRC-regulated facilities.

Emergency Preparedness and Incident Response

NRC's role in supporting emergency preparedness and incident response within the nuclear industry and State and local governments is critical in light of the worldwide terrorist threat, natural disasters, and growing populations around nuclear power plants.

Evolving Threats to Licensees

NRC continues to face a number of challenges in ensuring the public is protected from improper use of nuclear materials and technology. Thus, NRC must maintain a comprehensive assessment of threats and effectively integrate security considerations into its regulatory process. This includes cybersecurity challenges.

Support U.S. Non-Proliferation Goals

NRC faces new challenges in supporting U.S. international interests in the safe and secure use of nuclear material and technology and in nuclear non-proliferation. These challenges include improving controls on the import and export of nuclear materials and equipment and NRC successfully exercising its international oversight commitments such as helping foreign regulators boost their efforts for controlling radioactive sources.

Corporate Management Challenges

Adapting to Changing Regulatory and Industry Conditions

Continuing congressional and stakeholder pressures are expected to result in ongoing changes to this regulatory environment, and will thereby necessitate adjustments in the allotment and deployment of NRC resources to support agency programs and operations. In addition, fluctuations in the financial and energy markets, as well as external events affecting nuclear energy safety and security, will result in changes in industry approaches to new construction and reactor technologies, as well as to safeguarding public health and safety. Such changes will pose regulatory challenges for the NRC. Frequently, they may result in “unfunded mandates” wherein increasingly stringent or complex regulatory requirements must be overseen or enforced by the agency with reduced resources. To this end, NRC must reconcile the need to adapt to externally driven changes in the regulatory mission with the need to accommodate limits upon agency resources through reorganization and rebalancing efforts.

Information Management

NRC must continue modernizing information technology for the use of both agency staff and the public. Continuing upgrades in hardware and software remain a necessity in order to maintain employee and agency productivity, efficiency and effectiveness. Furthermore, improved standardization and centralization of systems is needed to address redundant or “stovepiped” information technology systems in different agency programs and offices.

Maintaining Human Capital

Due to limits on resources, staffing reductions will continue to result in the departure of senior NRC experts and managers through retirement or buyout. Will require sustained efforts in knowledge management, by which departing senior staff can effectively pass essential institutional and technical knowledge to successors. Such efforts include formal training, lessons-learned activities, mentorship programs and other resources, which are similarly subject to limits upon funding and staffing. Moreover, staffing changes will also continue to result in directed reassignments which place longtime staff in unfamiliar positions also requiring effective training and knowledge transfer from predecessors.

NRC's Security Threats

NRC must protect its infrastructure and ensure its facilities, computers, data, staff, and competencies are adequately protected against threats while providing for continuity of operations.

Managing Financial Resources in a Declining Budget Environment

NRC must maintain and improve its management and control over financial resources and procurement practices. With ongoing, and likely continuing, reductions in budgetary resources, the agency must sustain its efforts to maximize efficiency in its financial management practices and programs. Many NRC staffing reductions are in the areas of corporate management and administrative support reductions; reduced support for oversight of procurement functions, financial management, and internal control may result in increased vulnerability to fraud, waste, abuse, or mismanagement.

OIG's *Strategic Plan* focuses on positive, enduring, and measurable change, specifically in response to the challenges mentioned above. The OIG strategies that follow are designed to mitigate these challenges. Moreover, each year, OIG prepares an *Annual Plan* that has an audit and investigative component and links to the OIG *Strategic Plan*. The *Annual Plan*, which is distributed to the Congress and NRC management, identifies specific NRC program areas and priorities, strategies, and actions on which OIG audit resources will be focused. The *Annual Plan* also describes specific investigative priorities and goals and identifies particular agency programs and operations that are of special interest to the investigative unit.

SECTION 4 – GOALS, STRATEGIES, AND ACTIONS

Strategic Goal 1: Safety

Strengthen NRC's efforts to protect public health and safety and the environment.

Discussion: NRC performs critical functions to ensure the safe and secure use of radioactive materials in the United States and to protect both the public and radiation workers from radiation hazards that could result from the use of radioactive materials. NRC provides licensing and oversight activities for 99 commercial nuclear power reactors; research, test, and training reactors; radioactive materials used in medicine, academia, and industry; and nuclear waste.

NRC is responsible for maintaining an established regulatory framework for the safe and secure use of civilian nuclear reactors, including commercial nuclear power plants as well as research, test, and training reactors. NRC's regulatory oversight responsibilities in the reactor arena include developing policy and rulemaking, licensing and inspecting reactors, licensing reactor operators, and enforcing regulations. The agency is also facing the increased number of plants that are closing down and undergoing decommissioning.

NRC is also responsible for regulatory oversight of the safe and secure use of nuclear materials; medical, industrial, and academic applications, uranium recovery activities; and for the storage and disposal of high-level and low-level radioactive waste. NRC is authorized to grant licenses for the possession and use of radioactive materials and establish regulations to govern the possession and use of those materials.

Upon a State's request, NRC may enter into an agreement to relinquish its authority to the State to regulate certain radioactive materials and limited quantities of special nuclear material. The State must demonstrate that its regulatory program is adequate to protect public health and safety and compatible with NRC's program. The States that enter into an agreement assuming this regulatory authority from NRC are called Agreement States. The number of Agreement States continues to increase.

NRC regulates high-level radioactive waste generated from commercial nuclear power reactors. High-level radioactive waste is either spent (used) reactor fuel when it is accepted for disposal or waste material remaining after spent fuel is reprocessed. Because of its highly radioactive fission products, high-level radioactive waste must be handled and stored with care. Because radioactive waste becomes harmless only through decay (which can take hundreds of thousands of years for high-level waste), the material must be stored, and ultimately disposed of in a way that provides adequate protection of the public for a very long time. Due to the uncertainty surrounding a permanent repository for high-level radioactive waste, NRC has been reviewing the issues associated with storing high-level radioactive waste at existing reactor sites or at away-from-reactor sites, and interim storage facilities for the foreseeable future.

NRC must address its safety challenges to fulfill its mission of protecting public health and safety and the environment. NRC must be prepared to address emerging technical and

regulatory issues in a timely manner as well as be able to capture and transfer knowledge learned through experience. In an ever evolving and resource-constrained climate, it is of paramount importance that the agency implements its programs as effectively and efficiently as possible.

Strategy 1-1: Identify risk areas associated-with NRC's oversight of nuclear facilities, and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's licensing and certification activities.
- b. NRC's inspection activities.
- c. NRC activities for promoting a strong internal/external safety culture.
- d. NRC's research activities.
- e. NRC's risk management of aging, obsolescence, and decommissioning.
- f. NRC's ability to timely identify and effectively respond to emerging technical and regulatory issues.
- g. NRC's actions to integrate operating experience and lessons-learned into regulatory activities.
- h. NRC's oversight of supply chain vulnerabilities to include the prevention of counterfeit, fraudulent, and substandard items entering the supply chain.
- i. NRC's efforts to address stakeholder and staff safety concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to NRC's oversight of nuclear facilities.
- j. Internal/external stakeholders' concerns and allegations related to NRC's oversight of nuclear facilities.

Strategy 1-2: Identify risk areas facing NRC's oversight of nuclear materials, and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's implementation of programs for tracking nuclear materials.
- b. NRC's regulatory activities with Agreement States.
- c. NRC's licensing and certification activities.
- d. NRC's inspection activities.
- e. NRC activities for promoting a strong internal/ external safety culture.
- f. NRC's research activities.
- g. NRC's risk management of aging, obsolescence, and decommissioning.
- h. NRC's ability to timely identify and effectively respond to emerging technical and regulatory issues.
- i. NRC's actions to integrate operating experience and lessons-learned into regulatory activities.
- j. NRC's efforts to address stakeholder and staff safety concerns (including those

expressed as non-concurrences and Differing Professional Opinions) related to NRC's oversight of nuclear materials.

- k. Internal/external stakeholders' concerns and allegations related to NRC's oversight of nuclear materials.

Strategy 1-3: Identify risk areas associated with NRC's oversight of high-level and low level waste, and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's regulatory activities involving any interim and/or permanent high-level radioactive waste repositories.
- b. NRC's licensing and certification activities.
- c. NRC's inspection activities.
- d. NRC activities for promoting a strong internal/external safety culture.
- e. NRC's research activities.
- f. NRC's ability to timely identify and effectively respond to emerging technical and regulatory issues.
- g. NRC's actions to integrate operating experience and lessons-learned into regulatory activities.
- h. NRC's efforts to address stakeholder and staff safety concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to NRC's oversight of high-level and low-level waste.
- i. Internal/external stakeholders' concerns and allegations related to NRC's oversight of high-level and low-level waste.

Strategic Goal 2: Security

Strengthen NRC's security efforts in response to an evolving threat environment.

Discussion: NRC must ensure that nuclear power and materials licensees take adequate measures to protect their facilities against radiological sabotage. NRC faces the challenge of adapting to dynamic threats while also maintaining a stable security oversight regime commensurate with the agency's mission as a fair and impartial regulator. NRC has well-established inspection programs for evaluating the physical, cyber, and personnel security activities of nuclear power and materials licensees.

NRC must respond to a cyber threat environment where adversaries' tactics and capabilities rapidly evolve. Cyber security also entails oversight challenges related to the mix of digital and analog systems at NRC licensees. For example, digital equipment upgrades could impact licensee operations and security.

NRC plays a critical role in overseeing and supporting the emergency preparedness and incident

response capabilities of its licensees. This oversight includes the integration of licensee plans with government agencies in light of natural disasters and terrorist threats.

NRC supports U.S. international interests in both the safe and secure use of nuclear material and technology and nuclear non-proliferation. This includes improving controls on the import and export of nuclear materials and equipment and exercising its international oversight commitments.

Strategy 2-1: Identify risks involved in securing nuclear reactors, fuel cycle facilities, and materials, and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. Adequacy of NRC oversight of security of nuclear reactors, fuel cycle facilities, materials, and waste facilities.
- b. Adequacy of NRC responses to an evolving threat environment.
- c. NRC coordination with other agencies.
- d. Adequacy of NRC efforts to develop and implement a comprehensive cyber security program for nuclear power plants and fuel cycle facilities.
- e. NRC's oversight of licensee security responsibilities.
- f. NRC's response to complaints or incidents related to a chilled work environment.
- g. Effectiveness of NRC's oversight against radiological sabotage and theft or diversion of materials.
- h. NRC's efforts to address stakeholder and staff concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to the securing of nuclear reactors, fuel cycle facilities, and materials.
- i. Internal/external stakeholders' concerns and allegations related to the securing of nuclear reactors, fuel cycle facilities, and materials.

Strategy 2-2: Identify risks in emergency preparedness and incident response, and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's management of emergency preparedness guidelines, regulations, and programs.
- b. NRC's management of coordination with Federal, state, and local governments, and licensees.
- c. NRC's addressing and responding to emergencies and nuclear incidents.
- d. NRC's efforts to address stakeholder and staff security concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to emergency preparedness and incident response.

- e. Internal/external stakeholders' concerns and allegations related to emergency preparedness and incident response.

Strategy 2-3: Identify risks in international security activities, and conduct audits and/or investigations that lead to program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's international activities, (i.e., material control and accountability, incident response, and non-proliferation, import and export of nuclear materials).
- b. NRC's efforts to address stakeholder and staff security concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to international security activities.
- c. Internal/external stakeholders' concerns and allegations related to international security activities.

Strategic Goal 3: Corporate Management

Increase the economy, efficiency, and effectiveness with which NRC manages and exercises stewardship over its resources.

Discussion: NRC faces significant challenges to efficiently, effectively and economically manage its corporate resources within the parameters of its budget. NRC must continue to provide infrastructure and support to accomplish its regulatory mission while responding to continuous scrutiny of budgetary levels, evolving regulatory requirements, changing industry and market conditions, and the continuously developing security threat environment.

Addressing limitations upon agency budgetary and financial resources and the resulting impact on organizational staffing, human capital, information management and internal financial oversight will require a continuing, well considered process of adaptation throughout the next strategic planning period. NRC must continue its efforts to maintain its capability to effectively use its financial resources and to manage other factors that are largely budget dependent. Such factors include reductions in long-tenured staffing, which require knowledge preservation and transfer, the effective deployment of limited resources to meet changing regulatory requirements, efficient adaptation to changing industry conditions, and the need for continued improvement in information technology capabilities.

Further, NRC must protect its infrastructure and take the necessary steps to ensure that its staff, facilities, information, and information technology assets are adequately protected against insider and external threats while maintaining operations. NRC faces the challenge of balancing transparency with information security.

OIG will continue to target corporate management risk areas for audits and investigations, to fulfill its statutory responsibilities to evaluate agency financial management, and work with NRC to identify and improve areas of weakness, particularly in areas subjected to budgetary

pressures.

Strategy: 3-1: Identify areas of corporate management risk within NRC and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's management of human capital to include training and development programs, knowledge management, and recruiting and retention activities.
- b. NRC's financial management practices to include development and collection of fees and budget processes.
- c. Provide reasonable assurance that NRC's financial statements are presented fairly in all material aspects.
- d. NRC's development, implementation, and lifecycle management of information technology tools and systems.
- e. NRC's management of administrative functions, such as training, procurement, property and facilities.
- f. The efficiency and effectiveness of NRC's management of changes caused by internal and external factors.
- g. NRC activities and their effectiveness in fostering an environment where corporate management issues can be raised without fear of retaliation.
- h. NRC's efforts to address stakeholder and staff corporate management concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to human capital, procurement, and information technology.
- i. Internal/external stakeholders' concerns and allegations related to human capital, procurement, financial management, and information technology.

Strategy 3-2: Identify risks in maintaining a secure infrastructure (i.e., physical, personnel, and cyber security), and conduct audits and/or investigations that lead to NRC program and operational improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. NRC's management of threats to its facilities, personnel, and information systems.
- b. NRC's implementation of physical, personnel, and cyber security controls and procedures.
- c. Internal and external cyber breaches of NRC's infrastructure.
- d. NRC's management of controls on transparency and information security.
- e. NRC's efforts to address stakeholder and staff security concerns (including those expressed as non-concurrences and Differing Professional Opinions) related to the maintenance of a secure infrastructure and the balance of transparency and information security.

- f. Internal/external stakeholders' concerns and allegations related to the maintenance of a secure infrastructure and the balance of transparency and information security.

PART II:

Defense Nuclear Facilities Safety Board

SECTION 1 - MISSION, VISION, AND GOALS

OIG Mission

Congress created DNFSB in September 1988 as an independent Executive Branch agency to identify the nature and consequences of potential threats to public health and safety at Department of Energy (DOE) defense nuclear facilities, elevate those issues to the highest levels of authority, and inform the public. DNFSB strives to protect public health and safety by ensuring implementation of safety standards at DOE defense nuclear facilities, conducting in-depth reviews of new DOE defense facilities during design and construction to ensure the early integration of safety into design, and providing oversight to prevent an accidental detonation of a nuclear weapon during the evaluation maintenance, or dismantlement process.

The Consolidated Appropriations Act, 2014, provided that notwithstanding any other provision of law, the NRC Inspector General is authorized in 2014 and subsequent years to exercise the same authorities with respect to DNFSB, as determined by the NRC IG, as the IG exercises under the Inspector General Act of 1978 (5 U.S.C. App.) with respect to NRC.

As specified under the Government Performance and Results Modernization Act of 2010, Federal strategic planning documents are restricted to goals, objectives, and strategies within the scope of the organization's mission. The information in this plan has been reviewed to ensure that it falls under OIG's mission to

***Provide independent, objective audit and investigative oversight of
Nuclear Regulatory Commission and Defense Nuclear Facilities
Safety Board operations to protect people and the environment.***

OIG Vision

Aligning with DNFSB's Mission and Setting Clear Outcome Goals

OIG's FY 2019-2023 strategic planning process emphasized clear outcome goals that support and align with DNFSB's mission and for which OIG managers and staff can be held accountable. OIG managers and staff conducted situational and strategic assessments to support the development of clear and measurable strategies aimed at addressing DNFSB's most critical and pressing challenges.

As part of this effort, OIG also analyzed its latest assessment of DNFSB's most serious management and performance challenges, recent work completed by OIG's audit and investigative units, and DNFSB's mission and strategic goals. This process resulted in an OIG Strategic Plan for DNFSB featuring three strategic goals.

OIG External Strategic Vision:

Advancing nuclear safety and security through audits, evaluations, and investigations.

OIG Internal Strategic Vision

One collaborative team for optimal performance.

In pursuit of these visions, OIG will update, as needed, the strategies and actions pertaining to the mission critical areas identified by OIG. OIG's strategic planning process is dynamic and does not end with the publication of this document. Conditions and revisions of laws, procedures, and agency priorities require attention to varying conditions, operating environments, and other technical, financial, and organizational changes. Auditors and investigators will play a major role in all further refinements. By focusing on the most serious management and performance challenges that pose the greatest potential risk to safety and security, OIG will use this strategic document to guide its work, deploy resources, and reemphasize OIG accountability for positive change.

OIG Strategic Goals for DNFSB

OIG's three DNFSB strategic goals are individual and distinct; together, they allow OIG to assess its success in fulfilling its vision. OIG's strategic goals are

Strategic Goal 1: Safety – Strengthen DNFSB efforts to oversee the safe operation of DOE defense nuclear facilities.

Strategic Goal 2: Security – Strengthen DNFSB security efforts in response to an evolving threat environment.

Strategic Goal 3: Corporate Management – Increase the economy, efficiency, and effectiveness with which DNFSB manages and exercises stewardship over its resources.

To ensure that each OIG audit, evaluation, and investigation aligns with these goals, program areas selected for audit and evaluation will be included in the *Annual Plan* after being crosswalked against the Strategic Plan to ensure alignment with OIG's strategic goals. Furthermore, each OIG audit, evaluation, and investigation will also be linked with one or more of the most serious management and performance challenges identified by the IG as facing the agency and detailed in Part II, Section 3, of this document.

SECTION 2 – BACKGROUND

Role of the OIG

To execute their mission, Inspectors General have substantial independence and authority to perform their role without interference from the agencies they oversee. The role of IGs has been specified by law and includes:

- Conducting audits and investigations of agency programs.
- Timely access to all agency records, reports, audits, reviews, documents, open recommendations, or other materials.
- Issuing subpoenas for all necessary information, data, reports, and other documentary evidence.
- Independent personnel authority to select, appoint, and employ their own staffs to include subject-matter experts as required.
- Independent budget authority.
- Independent contracting authority.
- Requesting assistance from other Federal, State, and local government agencies.

The Inspector General Act of 1978, as amended through the IG Empowerment Act of 2016, conveys the responsibilities and independence of Offices of Inspectors General in their role to improve the Federal Government's efficiency and effectiveness; prevent and detect fraud, waste, and abuse in Federal agencies; and keep agency heads, Congress, and the public fully and currently informed of the findings of IG work. Nevertheless, OIG's success hinges on its ability to effectively communicate with DNFSB staff and facilitate positive change within the agency. Without the ability to clearly communicate and facilitate change, OIG would be unable to achieve its outcomes or vision.

To perform its duties, OIG employs auditors, management analysts, engineers, criminal investigators, investigative analysts, legal counsel, and support personnel. OIG also uses specialized firms and private sector contractors to provide technical expertise as needed.

Audits

OIG conducts performance, financial, and contract audits and evaluations to fulfill its audit mission. Performance audits focus on DNFSB administrative and program operations and evaluate the effectiveness and efficiency with which managerial responsibilities are carried out and whether the programs achieve intended results. Financial audits provide an audit opinion on DNFSB's financial statements and evaluate financial programs. In addition, the audit staff prepare evaluation reports that present OIG perspectives or information on specific topics.

Investigations

OIG conducts investigations relating to the integrity of DNFSB's programs and operations to fulfill its investigative mission. Most OIG investigations focus on allegations of fraud, waste, and abuse and violations of law or misconduct by DNFSB employees and contractors

DNFSB Operating Environment

Congress established the Board in September 1988 in response to growing concerns about the level of health and safety protection that DOE was providing the public and workers at defense nuclear facilities. In so doing, Congress sought to provide the general public with added assurance that DOE's defense nuclear facilities are being safely designed, constructed, operated, and decommissioned.

DNFSB's board is composed of five respected experts in the field of nuclear safety with demonstrated competence and knowledge relevant to its independent investigative and oversight functions. The agency is supported by approximately 110 technical and administrative staff personnel and an annual budget of approximately \$31 million.

OIG audit and investigative oversight responsibilities are derived from the agency's wide array of programs, functions, and support activities established to accomplish DNFSB's mission.

SECTION 3 – SITUATIONAL ASSESSMENT

Strategic Challenges Facing DNFSB

In October 2017, the IG identified the following as the most serious management and performance challenges facing DNFSB:

1. Management of a healthy and sustainable organizational culture and climate.
2. Management of security over internal infrastructure (personnel, physical, and cyber security) and nuclear security.
3. Management of administrative functions.
4. Management of technical programs.

OIG's characterization of these challenges as significant was based on audit and investigative work conducted by OIG staff along with OIG's continuous effort to monitor issues and trends faced by DNFSB as they emerge and evolve.

As part of OIG's strategic planning process, OIG grouped the challenges into three categories: (1) Safety Challenges, (2) Security Challenges, and (3) Corporate Management Challenges. The following constitutes OIG's situational assessment of these challenges. OIG staff identified the issues described within each category as posing significant risks for DNFSB in that failure to address them adequately will impair the agency's ability to accomplish its mission. This assessment serves as the basis for OIG's FY 2019-2023 DNFSB strategies and actions.

Safety Challenges

Construction

DNFSB faces challenges in its processes for review of design and specifications for construction of new and modified DOE defense nuclear facilities.

Decommissioning

DNFSB faces challenges in its oversight of the volume of work at DOE sites undergoing decommissioning.

Emerging Technical Issues

DNFSB faces challenges identifying and evaluating emerging technical issues at a variety of complex DOE defense nuclear facilities.

Change Management

DNFSB faces change management challenges, with knowledge management as a key component, as the agency makes changes to their processes and organizational structure.

Security Challenges

DNFSB's Security Threats

DNFSB must protect its infrastructure and ensure its facilities, computers, data, staff, and competencies are adequately protected against emerging threats while providing for continuity of operations.

Balancing Transparency and Information Security

DNFSB faces a challenge to balance the public's need for information with the need to protect information that has a potential to impact the security of DOE Defense Nuclear Facilities.

Corporate Management Challenges

New DNFSB initiatives, evolving organizational relationships with DOE, and limits on the availability of resources

These require human capital focused efforts toward the retention of qualified staff in a sometimes uncertain work environment; maintenance and improvement of information technology capabilities, particularly capabilities to meet requirements to securely and appropriately handling a variety of classified or sensitive information; and effective financial management, particularly in the area of contracts and procurement. This must all be performed within the constraints of a limited budget and a relatively small support staff.

SECTION 4 – GOALS, STRATEGIES, AND ACTIONS

Strategic Goal 1: Safety

Strengthen DNFSB's efforts to oversee the safe operation of DOE defense nuclear facilities.

Strategy 1-1: Identify risk areas associated with DNFSB's oversight of DOE defense nuclear facilities and conduct audits and/or investigations that lead to improved DNFSB performance and communications.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. DNFSB's work plan development process.
- b. DNFSB's process for reviewing designs for construction and modifications.
- c. DNFSB's process for reviewing decommissioning progress.
- d. DNFSB's process for balancing the assessment for emergent issues versus planned work.
- e. DNFSB's process for maintaining staff's technical skill sets.
- f. DNFSB's conduct of self-assessment (to include mission effectiveness and communication with DOE) and process improvement.
- g. DNFSB's automated work and issue tracking capabilities.
- h. Internal/external stakeholders' concerns and allegations related to DNFSB's oversight of DOE defense nuclear facilities.

Strategic Goal 2: Security

Strengthen DNFSB's security efforts in response to an evolving threat environment.

Strategy 2-1: Identify risks in maintaining a secure infrastructure (i.e., facility, personnel, and cyber security), and conduct audits and/or investigations that lead to DNFSB improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. DNFSB's management of threats to its facility, personnel, and information systems.
- b. DNFSB's implementation of facility, personnel, and cyber security controls and procedures.
- c. Internal and external cyber breaches of DNFSB's infrastructure.
- d. The adequacy of DNFSB's response to complaints or incidents related to a chilled work environment.
- e. Physical and personnel security, including insider threat mitigation or economic espionage.
- f. Internal/external stakeholders' concerns and allegations related to the security of DNFSB's infrastructure.

Strategy 2-2: Identify risks in balancing transparency and information security, and conduct audits and/or investigations that lead to DNFSB improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. DNFSB's management of controls on transparency and information security.
- b. Information security violations.
- c. Internal/external stakeholders' concerns and allegations related to the balance of transparency and information security.

Strategic Goal 3: Corporate Management

Increase the economy, efficiency, and effectiveness with which DNFSB manages and exercises stewardship over its resources.

Strategy 3-1: Identify areas of corporate management risk within DNFSB and conduct audits and/or investigations that lead to DNFSB program improvements.

Action: *Conduct audits/evaluations and/or investigations in the following areas:*

- a. DNFSB's management of human capital to include training and development programs, knowledge management, and recruiting and retention activities.
- b. DNFSB's management of administrative functions and financial activities to include congressional requirements.
- c. DNFSB's development, implementation, and lifecycle management of information technology tools and systems.
- d. DNFSB's management of change through its implementation of best practices (to include training, project management, knowledge management, and process improvement).
- e. Implementation of processes at DNFSB to encourage an environment where technical or non-technical issues can be raised without fear of retaliation.
- f. Internal/external stakeholders' concerns and allegations related to human capital, procurement, financial management, and information technology.

PART III:

OIG HUMAN CAPITAL GOAL

SECTION 1 – BACKGROUND

The Office of Personnel Management (OPM) issued 5 CFR Part 250, “Personnel Management in Agencies,” effective April 11, 2017, to align human capital management practices to broader agency strategic planning activities, and better align human capital activities with an agency’s mission and strategic goals. OPM envisioned this would enable agency leadership to better leverage the workforce to achieve results.

Based on the direction in 5 CFR Part 250 and recognizing the potential benefits of a strategic human capital goal, OIG developed a goal, strategies, and actions that focus specifically on maintaining and supporting excellence in OIG’s workforce. Unlike OIG’s other strategic goals, the human capital goal is not specific to NRC or DNFSB, but rather is applicable to the entire OIG staff regardless of job function or agency focus.

SECTION 2 – GOAL, STRATEGIES, AND ACTIONS

Strategic OIG Human Capital Goal

Maintain support for a workforce that is skilled, collaborative, and engaged in high-impact audit, investigative, and other activities for the Office of the Inspector General.

Strategy 1-1: Provide continual learning and professional development opportunities.

Action: *Require all staff to prepare an individual training and development plan to be reviewed and approved by their supervisor that describes skills needed and the corresponding training and developmental activities identified to meet an employee’s career goals and support work assignments.*

Strategy 1-2: Increase collaboration and knowledge sharing across OIG.

Actions:

- a. *Enhance knowledge sharing at audits/investigations counterpart meetings.*
- b. *Seek opportunities for audits and investigations staff to support each other in ongoing work.*

Strategy 1-3: Ensure prioritization of critical work activities and appropriate alignment with available resources.

Action: *Assign resources to maximize timely completion of high-impact activities.*

Strategy 1-4: Support staff efforts to optimize work-life balance.

Action: *Integrate work activities with opportunities to telework.*

PART IV:

ASSESSMENT OF GOAL ACHIEVEMENT FOR
NRC AND DNFSB

Section I - How OIG Measures Its Performance

Implementing and Measuring OIG Work for Results

Following new guidance provided through the Government Performance and Results Modernization Act (GPRMA) of 2010, OIG continually monitors and assesses the results of its own work to improve both agency performance and OIG responsiveness to the most serious risks facing the agency. Importantly, this performance management strategy affords the agency the opportunity to correct or mitigate identified risks and vulnerabilities before they become critical.

In general, OIG measures its performance by assessing whether the majority of its work results in (1) a high impact on improving NRC's and DNFSB's safety, security, and corporate management programs; (2) results in audit recommendations agreed to by the NRC and DNFSB; (3) final agency action regarding OIG audit recommendations; (4) action taken by NRC and DNFSB in response to issued OIG investigative reports; (5) referral of closed investigations with criminal or civil aspects to prosecutorial/administrative authorities for action; (6) closed investigations concluded with a judicial, civil, or administrative action being taken, or the issuance of a clearance memorandum, and (7) timely completion. In addition, OIG has introduced an internally focused human capital goal intended to support the contributions of a talented and motivated workforce. OIG will measure fulfillment of this goal by assessing the percentage of employees with approved training or development plans and the percentage of employees who fulfill their plans, the percentage of audits and investigations that involve collaboration between the two entities, and the percentage of OIG employee Federal Employment Viewpoint Surveys that reflect a positive work-life balance.

OIG's strategies for achieving its strategic goals and measures for assessing performance are outcome-based. All OIG's strategies were crafted with accompanying performance measures to track execution and there will be a regular focus on these measures as outlined in GPRMA. OIG performance measures are listed in the *Strategic Plan* Appendix.

As part of the process for refining strategies and measures, staff designated as Issue Area Monitors (IAM) are assigned responsibility for keeping informed about major agency programs and activities. The broad IAM areas address nuclear reactors, nuclear materials, nuclear waste, information management, security, financial and administrative programs, human resources, and international programs.

The audit planning process, which is informed by the OIG *Strategic Plan* and NRC's/DNFSB's management and performance challenges, yields the most productive and highest priority audit assignments. OIG's priority for conducting audits is based on (1) high risk agency areas; (2) mandatory legislative requirements ; (3) emphasis by the President, Congress, NRC/DNFSB Chairman, or other NRC Commissioners/DNFSB Board Members; (4) a program's susceptibility to fraud, manipulation, or other irregularities; (5) dollar magnitude or resources involved in the proposed audit area; (6) newness, changed conditions, or sensitivity of an organization,

program, function, or activities; (7) prior audit experience, including the adequacy of internal controls; and (8) availability of audit resources.

OIG investigation strategies and initiatives add value to agency programs and operations by identifying and investigating allegations of fraud, waste, and abuse leading to criminal, civil, and administrative penalties and recoveries by focusing on results. OIG has designed specific performance targets that aim to maximize effectiveness. Additionally, OIG investigates allegations of irregularities or abuses in NRC programs and operations with special emphasis on those NRC activities that impact public health and safety. It is OIG's goal that outcomes from these investigations will result in the long-term elimination of similar issues going forward.

SECTION 2 - EXTERNAL FACTORS POTENTIALLY AFFECTING GOAL ACHIEVEMENT

External factors are the potential obstacles to achieving goals that are outside of OIG's influence. The last several years have seen an increase in environmental, political, business, and Governmentwide factors that have a potential for delaying or disrupting both NRC/DNFSB and OIG from accomplishing their goals. For OIG in particular, unforeseen incidents and issues sometimes give rise to new and unplanned work. For example, as a result of external allegations or requests over the past several years, OIG conducted unplanned audits and high priority investigations. While OIG prioritizes these requests as necessary, such unanticipated demands may take precedence over the goals and strategies presented in this *Strategic Plan*. However, it is OIG's intent to minimize work that delays or disrupts achievement of the strategies and goals described in this plan.

Potential external factors foreseen for OIG's work at NRC and DNFSB during FY 2019-2023 include

- Unplanned statutory mandates.
- Changes in operating environments.
- Financial restrictions or reductions.
- New or unforeseen natural disasters.
- Unpredicted security or terrorist incidents.
- New technological advances.
- International and domestic issues or events.

SECTION 3 - PROGRAM EVALUATIONS

Program evaluations were not used to update this *Strategic Plan*. Rather, the IG Act, as amended, requires the periodic independent review of all audit and investigative programs within Offices of Inspector General.

Accordingly, the OIG audit program undergoes an independent peer review conducted by a similar-sized Federal OIG every 3 years to ensure that internal quality controls are in place and operating, and to determine whether established audit standards policies and procedures are being followed. Likewise, the OIG investigative program is subject to independent reviews. These reviews are also conducted by a similar-sized Federal OIG every 3 years to determine whether adequate internal safeguards and management procedures exist to ensure that the law enforcement powers are properly exercised. Both the audit and investigative programs continue to receive favorable reviews by these independent evaluators.

To provide additional assurances beyond the independent peer reviews, OIG assigns internal staff to review its audit program annually and retains independent consultants to review the investigative program in peer review interim years to ensure that the programs are operating in accordance with applicable standards, safeguards, and procedures.

APPENDIX: PERFORMANCE MEASURES FOR NRC, DNFSB, AND OIG HUMAN CAPITAL STRATEGIC GOALS

NRC STRATEGIC GOAL 1: SAFETY

Strengthen NRC's efforts to protect public health and safety and the environment.

- a. Percentage of OIG audit products and activities that cause the agency to take corrective action to improve agency safety programs; ratify adherence to agency policies, procedures, or requirements; or identify real dollar savings or reduced regulatory burden (i.e., high impact).
- b. Percentage of audit recommendations agreed to by agency.
- c. Percentage of final agency actions taken within 2 years on audit recommendations.
- d. Percentage of OIG investigative products and activities that identify opportunities for improvements to agency safety programs; ratify adherence to policies/procedures; or confirm or disprove allegations of wrongdoing (e.g., high impact).
- e. Percentage of agency actions taken in response to investigative reports.
- f. Percentage of cases completed within 18 months.
- g. Percentage of closed investigations referred to DOJ or other relevant authorities.
- h. Percentage of closed investigations resulting in indictments, convictions, civil suits or settlements, judgments, administrative actions, monetary results, or IG clearance letters.

NRC STRATEGIC GOAL 2: SECURITY

Strengthen NRC's security efforts in response to an evolving threat environment.

- a. Percentage of OIG audit products and activities that cause the agency to take corrective action to improve agency security programs; ratify adherence to agency policies, procedures, or requirements; or identify real dollar savings or reduced regulatory burden (high impact).
- b. Percentage of audit recommendations agreed to by agency.
- c. Percentage of final agency actions taken within 2 years on audit recommendations.
- d. Percentage of OIG investigative products and activities that identify opportunities for improvements to agency security programs; ratify adherence to policies/procedures; or confirm or disprove allegations of wrongdoing (e.g., high impact).
- e. Percentage of agency actions taken in response to investigative reports.
- f. Percentage of cases completed within 18 months.
- g. Percentage of closed investigations referred to DOJ or other relevant authorities.
- h. Percentage of closed investigations resulting in indictments, convictions, civil suits or settlements, judgments, administrative actions, monetary results, or IG clearance letters.

NRC STRATEGIC GOAL 3: CORPORATE MANAGEMENT

Improve the economy, efficiency, and effectiveness with which NRC manages and exercises stewardship over its resources.

- a. Percentage of OIG audit products and activities that cause the agency to take corrective action to improve agency corporate management programs; ratify adherence to agency policies, procedures, or requirements; or identify real dollar savings or reduced regulatory burden (i.e., high impact).
- b. Percentage of audit recommendations agreed to by agency.
- c. Percentage of final agency actions taken within 2 years on audit recommendations.
- d. Percentage of OIG investigative products and activities that identify opportunities for improvements to agency corporate management programs; ratify adherence to policies/procedures; or confirm or disprove allegations of wrongdoing (e.g., high impact).
- e. Percentage of agency actions taken in response to investigative reports.
- f. Percentage of cases completed within 18 months.
- g. Percentage of closed investigations referred to DOJ or other relevant authorities.
- h. Percentage of closed investigations resulting in indictments, convictions, civil suits or settlements, judgments, administrative actions, monetary results, or IG clearance letters.

DNFSB Strategic Goals Strategic Goal 1: Safety – Strengthen DNFSB efforts to oversee the safe operation of DOE defense nuclear facilities.

Strategic Goal 2: Security – Strengthen DNFSB security efforts in response to an evolving threat environment.

Strategic Goal 3: Corporate Management – Increase the economy, efficiency, and effectiveness with which DNFSB manages and exercises stewardship over its resources.

- a. Percentage of OIG audit products and activities that cause the agency to take corrective action to improve agency safety, security, or corporate management programs; ratify adherence to agency policies, procedures, or requirements; or identify real dollar savings or reduced regulatory burden (i.e., high impact).
- b. Percentage of audit recommendations agreed to by agency.
- c. Percentage of final agency actions taken within 2 years on audit recommendations.
- d. Percentage of OIG investigative products and activities that identify opportunities for improvements to agency safety, security, or corporate management programs; ratify adherence to policies/procedures; or confirm or disprove allegations of wrongdoing (e.g., high impact).
- e. Percentage of agency actions taken in response to investigative reports
- f. Percentage of cases completed within 18 months.

OIG HUMAN CAPITAL STRATEGIC GOAL:

Maintain support for a workforce that is skilled, collaborative, and engaged in high-impact audit, investigative, and other activities for the Office of the Inspector General.²

- a. Percentage of employees with approved individual training/development plans.
- b. Percentage of audits and investigations that involve collaboration between the two entities.
- c. Percentage of OIG employee FEVS responses that reflect a positive work-life balance.

² No additional measures are proposed to assess high-impact activities or alignment of work with resources as indicators are already reflected in safety, security, and corporate management measures.