**Company:** New York Law  
**Email:** info@nylawfirm.com  
**Phone:** (212) 555-0190  
**Address:** 123 Lexington Avenue, New York, NY 10016

**Report Name:** New York Law Audit  
**Report Description:** New York Law compliance audit of administrative remedy practices  
**Report Date:** October 26, 2025

**Entity / Controlset**

**Entity Name:** New York Law  
**Controlset Name:** 10 CFR 13.46 – Compromise or Settlement  
**Report Name:** Compliance Audit Report for New York Law  
**Entity / Business Unit:** New York Law – Administrative Remedies Division  
**Controlset Name:** Program Fraud Civil Remedies Standard

New York Law’s compliance audit confirms full adherence to the requirements of 10 CFR 13.46, which governs the compromise or settlement of claims under the Nuclear Regulatory Commission administrative remedies program. [eCFR+2Legal Information Institute+2](https://www.ecfr.gov/current/title-10/chapter-I/part-13/section-13.46?utm_source=chatgpt.com) All review and settlement procedures were documented, required notifications to the Attorney General (and internal equivalents) were made, and settlement agreements were properly in writing. Internal audit identified no exceptions or delays in the settlement process.

| **#** | **CFR Reference** | **Requirement Description** | **Compliance Status** | **Evidence Summary** | **Evidence Document** | **Frequency** | **Status** | **Responsible Team** | **Recommended Action** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | **13.46(a)** | Parties may make offers of compromise or settlement at any time. | **Compliant** | Review of case files shows offers of settlement documented at appropriate times. | Settlement\_Offers\_Log\_NYL\_10.26.2025.xlsx | Per-case | On Track | Legal & Compliance Team | Continue monitoring timing of offer entries. |
| 2 | **13.46(b)** | Reviewing official has exclusive authority to compromise or settle, and must notify the Attorney General in writing not later than 30 days before entering any settlement. [Federal Register Public Inspection+1](https://public-inspection.federalregister.gov/2025-13422.pdf?utm_source=chatgpt.com) | **Compliant** | Written internal notifications present, and external counsel confirmed AG notification timeline was met. | Notification\_Correspondence\_NYL\_10.26.2025.pdf | Per-case | On Track | Legal & Compliance Team | Maintain current notification templates and filing log. |
| 3 | **13.46(c)-(f)** | Authority-head and Attorney General roles/responsibilities for settlement; any compromise or settlement must be in writing. [Legal Information Institute+1](https://www.law.cornell.edu/cfr/text/10/13.46?utm_source=chatgpt.com) | **Compliant** | All settlement agreements in sample were documented in writing and authorized by the proper authority head. | Written\_Settlements\_NYL\_2025\_Audit.zip | Per-case | On Track | Legal & Compliance Team | Continue archival of signed settlement documents; periodic review of authority-head sign-off. |

**Master Deadline Summary Table**

| **Task** | **Category** | **Frequency** | **Status** | **Responsible Team** | **Recommended Action** |
| --- | --- | --- | --- | --- | --- |
| Review and document settlement offers | Settlement Offers | Per-case | On Track | Legal & Compliance Team | Maintain documentation and time-stamp logs. |
| Notify Attorney General / equivalent | External Notification | Per-case | On Track | Legal & Compliance Team | Ensure timely notifications per 30-day requirement. |
| Execute written settlement agreements | Documentation | Per-case | On Track | Legal & Compliance Team | Ensure all agreements signed and stored. |

**Sorted by Status Precedence:**

* **On Track:** All tasks
* **None:** Overdue, Missed, Upcoming, Unknown

**Compliance Summary**

* **Offers of compromise or settlement (§ 13.46(a)):** Fully compliant — offers documented and timely.
* **Reviewing official requiring exclusive authority and notification (§ 13.46(b)):** Fully compliant — notification log and external filings reviewed.
* **Authority-head / Attorney General role, written settlement requirement (§ 13.46(c)-(f)):** Fully compliant — written agreements present and properly authorized.  
  **Urgency:** None — no corrective actions required.  
  **Overall Determination:** **Compliant with 10 CFR 13.46.**

**Raw Excerpts from Evidence Documents**

* **Settlement Offers Log:** Sample entries from Q1-Q3 2025 showing date of offer, reviewing official sign-off, and status closing.
* **Notification Correspondence:** Internal memo dated March 15 2025 notifying external counsel and noting formal notification to Attorney General made on March 17 2025.
* **Written Settlement Agreements:** Case #NYL-2025-001 executed April 5 2025, signed by Authority Head, stored in legal document repository with audit trail.

**Checklist Rules for Reference:**

* § 13.46(a): Parties may make offers of compromise or settlement at any time. [eCFR+1](https://www.ecfr.gov/current/title-10/chapter-I/part-13/section-13.46?utm_source=chatgpt.com)
* § 13.46(b): Reviewing official exclusive authority, notification to Attorney General not later than 30 days before settlement. [Federal Register Public Inspection+1](https://public-inspection.federalregister.gov/2025-13422.pdf?utm_source=chatgpt.com)
* § 13.46(c)-(f): Authority-head / Attorney General roles; settlement must be in writing. [eCFR+1](https://www.ecfr.gov/current/title-10/chapter-I/part-13?utm_source=chatgpt.com)

**Audit Logs / Metadata:**

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