

June 29, 2006

MEMORANDUM TO: Luis A. Reyes  
Executive Director for Operations

Jesse L. Funches  
Chief Financial Officer

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

SUBJECT: STATUS OF RECOMMENDATIONS: SYSTEM  
EVALUATION OF THE FEE SYSTEMS  
(OIG-04-A-23)

REFERENCE: DEPUTY CHIEF FINANCIAL OFFICER  
MEMORANDUM DATED JUNE 6, 2006

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated June 6, 2006. Based on this information, recommendation 3 is closed and recommendations 1 and 4 remain resolved. Please provide an updated status of the resolved recommendations by December 15, 2006.

If you have any questions or concerns, please call me at 415-5915.

Attachment: As stated

cc: W. Dean, OEDO  
M. Malloy, OEDO  
P. Tressler, OEDO

**Audit Report  
System Evaluation of the Fee System  
OIG-04-A-23**

**Status of Recommendations**

Recommendation 1: Update the Fee Systems Security Plan to describe all controls currently in place. In-place controls are those marked at least at Level 3 in the self-assessment, and that were documented as passed in the last Security Test and Evaluation Plan and Report or in any test and evaluation on controls added since publication of that report.

Response Dated  
June 6, 2006:

The Fee Systems Security Plan is being updated as part of the Fee Systems re-certification and re-accreditation effort currently being performed with the assistance of an Office of Information Services (OIS) contractor. Based upon the current OIS project plan, the System Security Plan is targeted for completion before the end of this fiscal year.

OIG Response:

The proposed corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives and evaluates the contents of the updated Fee Systems Security Plan.

**Status:** Resolved.

**Audit Report**  
**System Evaluation of the Fee System**  
**OIG-04-A-23**

**Status of Recommendations**

Recommendation 3: Keep copies of the As-Built System Documentation in the same location as the Fee Systems Business Continuity Plan to facilitate access during disaster recovery.

Response Dated  
June 6, 2006:

We have enclosed a screen print from ADAMS displaying the Fee Systems As-Built Documentation and User Guides that are co-located with the Fee Systems Business Continuity Plan and other security documentation in ADAMS.

OIG Response:

OIG reviewed the screen prints provided June 23, 2006, illustrating the As-Built System Documentation contained in ADAMS, as well as the screen prints that your office provided June 28, 2006, illustrating the As-Built System Documentation contained in Rational ClearCase (the configuration management tool used to house Fee Systems documentation). We have verified that the Fee Systems As-Built Documentation and User Guides stored in the configuration management tool have also been co-located with the Fee Systems security documentation in ADAMS.

The agency also provided information on why there are only 8 As-Built System documents, when there are 10 individual systems comprising the Fee Systems. FEESET is considered a subsystem of PC/MATANN and does not have separate documentation, and that the As-Built System Documentation for FACANN was only recently developed and is not currently in ADAMS. The contractor who maintains the As-Built System Documentation does not maintain that documentation for FACANN, therefore it is not located in the configuration management tool, but is maintained elsewhere. The corrective action addressed the intent of this recommendation.

**Status:** Closed.

**Audit Report**  
**System Evaluation of the Fee System**  
**OIG-04-A-23**

**Status of Recommendations**

Recommendation 4: Update the Fee Systems Business Continuity Plan to include the following changes:

- Record modifications to the plan in a record of changes to include what changes were made (e.g., the page numbers or section numbers where the changes were made), why the changes were made (e.g., annual update or update during re-accreditation), and date of change.
- Include an order of succession that identifies personnel responsible to assume authority for executing the contingency plan in the event the designated person is unavailable or unable to do so.
- Include a description of the overall structure of contingency teams, including the hierarchy and coordination mechanisms and requirements among the teams. The description should include an overview of team member roles and responsibilities in a contingency situation. Teams and team members should be designated for specific response and recovery roles during contingency plan activation.
- Describe the methods used to notify recovery personnel during business and non-business hours.
- Include more detailed steps for recovery actions and assign procedures to the appropriate recovery team(s).
- Include procedures for restoring system operations, with a focus on how to clean the alternate site of any equipment or other materials belonging to the organization.

**Audit Report  
System Evaluation of the Fee System  
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**Status of Recommendations**

Recommendation 4, continued

Response Dated  
June 6, 2006:

The Fee Systems Business Continuity Plan will be updated as a follow-on to the Fee Systems re-certification and re-accreditation effort currently underway. We expect the Business Continuity Plan to be completed by December 2006.

OIG Response:

The proposed corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives and evaluates the updated Fee Systems Business Continuity Plan.

**Status**

Resolved.