

July 14, 2006

MEMORANDUM TO: Luis A. Reyes
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: EVALUATION OF
NRC'S AUTOMATED INFORMATION SYSTEM (AIS)
INVENTORY PROCESS (OIG-05-A-22)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES
MEMORANDUM DATED JUNE 30, 2006

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated June 30, 2006. Based on these responses, recommendations 1 through 7 are resolved. Please provide an update on all resolved recommendations by September 30, 2006.

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

Attachment: Status of Recommendations

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

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 1: Correct the inaccuracies in the AIS inventories.

Response Dated
June 30, 2006:

The reconciliation and consolidation of the two inventories within AIS is approximately 95 percent complete. As noted in the OIG Evaluation Report OIG-05-A-22 (September 30, 2005), the information contained in these inventories was inaccurate and inconsistent. Staff are continuing to work to resolve inaccuracies in the existing inventories. Staff estimate that the inventories will be reconciled and ready for upload into the NRC Systems Inventory and Configuration Database (NSICD) system by July 30, 2006.

OIG Analysis:

The proposed corrective action addresses the intent of OIG's recommendation. Recommendation 1 will be closed once OIG has received verification that the inaccuracies contained in the AIS inventory have been corrected.

Status:

Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 2: Validate the information in the AIS inventories annually.

Response Dated
June 30, 2006:

Staff are working closely with system owners to ensure updates, including contact information and operational status, are current as part of the reconciliation process. As stated in recommendation 1, staff estimate that the inventories will be validated and ready for upload into the NSICD system by July 30, 2006.

OIG Analysis:

This response does not indicate the measures that the agency has taken or plans to take to annually validate the information in the AIS inventories. Recommendation 2 will be closed once OIG has received documentation that the process to validate the AIS inventories has been incorporated into office procedures.

Status:

Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 3: Provide guidance on the type of information required from the office directors, regional administrators, and system owners/sponsors when providing AIS inventory updates.

Response Dated
June 30, 2006:

The OIS, in coordination with the Office of the Chief Financial Officer (OCFO), conducts biannual data calls as part of the capitalization of hardware and software to update the systems inventory. This request collects inventory information from system owners information is then validated during the Information Systems Security Risk Assessment. The data calls are typically conducted in the first and fourth quarter of the fiscal year. The OIS is working with OCFO to ensure that the next data call guidance issued by the OCFO will instruct system owners on the type of information required.

OIG Analysis: The proposed corrective actions address the intent of this recommendation. Recommendation 3 will be closed once OIG has received a copy of the AIS inventory update guidance.

Status: Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 4: Develop and implement procedures for adding new systems to the AIS inventories.

Response Dated
June 30, 2006:

As the AIS inventories are consolidated under NSICD; OIS has developed draft procedures for adding new systems to the historical inventory while updating it with new information. The OIS is presently in the process of reviewing these procedures to ensure accuracy. Final procedures are estimated to be available by the time of the system's operational deployment on July 30, 2006.

OIG Analysis:

The corrective action addresses the intent of OIG's recommendation. Recommendation 4 will be closed once OIG has received documentation that the process for adding new systems to the AIS inventories has been incorporated into office procedures.

Status:

Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 5: Develop and implement procedures for notifying OIS of changes in system information in the AIS inventories.

Response Dated
June 30, 2006:

The data call guidance developed under recommendation 3 will provide procedures for notifying OIS of changes in system information in the AIS inventories. The OIS is presently in the process of reviewing these procedures to ensure accuracy. Final procedures are estimated to be available by the time of the system's operational deployment on July 30, 2006.

OIG Analysis:

The corrective action addresses the intent of OIG's recommendation. Recommendation 5 will be closed once OIG has received documentation that the procedure for system owners to notify OIS of changes to system information in the AIS inventories has been implemented.

Status:

Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 6: Develop and implement procedures for recording system information for systems that are composed of multiple components.

Response Dated
June 30, 2006:

As the AIS inventories are consolidated under NSICD; OIS has developed draft procedures for recording system information for systems that are composed of multiple components. The OIS is presently in the process of reviewing these procedures to ensure accuracy. Final procedures are estimated to be available by the time of the system's operational deployment on July 30, 2006.

OIG Analysis:

The corrective actions address the intent of OIG's recommendation. Recommendation 6 will be closed once OIG has received documentation that the procedure for recording system information for systems that are composed of multiple components has been incorporated into office procedures.

Status:

Resolved.

Audit Report

Evaluation of NRC's Automated Information System (AIS) Inventory Process OIG-05-A-22

Status of Recommendations

Recommendation 7: Modify the AIS system inventory systems to capture all of the data needed to meet FISMA requirements.

Response Dated
June 30, 2006:

As the AIS inventories are consolidated under NSICD, the new single inventory system will capture data needed to meet OMB FISMA reporting requirements. NSICD will be able to report quarterly Plan of Action and Milestones updates as well as produce metrics for OMB and the OIG.

OIG Analysis:

The proposed corrective action addresses the intent of OIG's recommendation. Recommendation 7 will be closed once OIG has received documentation that the AIS system inventory systems have been modified to capture FISMA required data.

Status:

Resolved.