

August 10, 2006

MEMORANDUM FOR: William Dean
Assistant for Operations
Office of the Executive Director for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS

Attached is the OIG status of audit recommendations as of the end of July 2006.

Audits Closed. During the period from July 1 - 31, 2006, we closed one audit report (OIG-06-A-05, *Audit of NRC's Controls Over Video News Releases*).

Agency Responses Overdue. During July, agency responses for recommendations in three reports became past due: OIG-03-A-01, *Review of NRC's Handling and Marking of Sensitive Unclassified Information*, Recommendations 1 and 2; OIG-04-A-22, *Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004*, Recommendations 5 through 10; OIG-05-A-20, *Evaluation of NRC's Certification and Accreditation Efforts*, Recommendations 1 and 2. During the month, responses to recommendations in one report remained past due: OIG-00-E-09, *Special Evaluation of the Role and Structure of NRC's Executive Council*, Recommendations 1 and 2.

Unresolved Recommendations. Recommendations contained in recently released reports remained unresolved due to OIG currently performing analysis on the agency responses to those recommendations or awaiting a Commission position on the recommendations based on agency staff referral of the recommendations to the Commission.

The up-to-date status of all open recommendations is contained in the attachment to this document.

Attachment: As stated

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

Status of Audit Recommendations - Open Audits

Report Number & Title	Unresolved	Resolved	Closed	Total
OIG-00-E-09 Special Evaluation of the Role and Structure of NRC's Executive Council	0	2	0	2
OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report	0	2	0	2
OIG-02-A-12 Review of ADAMS	0	1	0	1
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information	0	2	0	2
OIG-03-A-11 Use of E-Mail at NRC	0	1	0	1
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear	0	3	5	8
OIG-04-A-11 Review of NRC's Personnel Security Program	0	1	11	12
OIG-04-A-13 Memorandum Report: Review of NRC's Reactor Operating Experience Taks Force Report	0	2	4	6
OIG-04-A-15 Review of NRC's Drug-Free Workplace Plan	0	3	0	3
OIG-04-A-20 Audit of NRC's Incident Response Program	0	11	6	17
OIG-04-A-21 System Evaluation of the Agencywide Documents Access and Management System	0	5	1	6
OIG-04-A-22 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004	0	6	10	16
OIG-04-A-23 System Evaluation of the FEE Systems	0	2	4	6
OIG-04-A-24 Systems Evaluation of the GeneralLicense Tracking System	0	4	1	5
OIG-05-A-05 Audit of NRC's Drug Testing Program	0	3	9	12
OIG-05-A-06 Audit of NRC's Baseline Inspection Program	0	1	9	10
OIG-05-A-08 System Evaluation of the Integrated Personnel Security System (IPSS)	0	7	1	8
OIG-05-A-09 Audit of the Budget Formulation Process	0	3	1	4
OIG-05-A-13 Audit of NRC's Telecommunications Program	0	6	7	13
OIG-05-A-14 System Evaluation of Listed Systems that Process Safeguards and/or Classified Information	0	5	5	10
OIG-05-A-17 Audit of NRC's Decommissioning Program	0	1	3	4
OIG-05-A-18 Security Controls Over Personal Computers and Laptops -	0	8	0	8
OIG-05-A-19 Audit of NRC's Generic Communications Program	0	3	1	4
OIG-05-A-20 Evaluation of NRC's Certification and Accreditation Efforts	0	2	0	2
OIG-05-A-21 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2005	0	10	0	10

Status of Audit Recommendations - Open Audits

Report Number & Title	Unresolved	Resolved	Closed	Total
OIG-05-A-22 Evaluation of NRC's Automated Information System Inventory Process	0	7	0	7
OIG-06-A-01 Audit of NRC's FY 2005 Financial Statements	0	10	1	11
OIG-06-A-06 Audit of NRC's Integrated Personnel Security System	0	15	2	17
OIG-06-A-07 Follow-Up Audit of the Nuclear Regulatory Commission's Decommissioning Fund Program	0	1	4	5
OIG-06-A-09 Audit of NRC's Office of Nuclear Security and Incident	0	6	0	6
OIG-06-A-10 Audit of the Development of the National Source Tracking	2	0	0	2
OIG-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process	2	0	0	2
OIG-06-A-12 Audit of NRC's Oversight of Agreement States' Licensing	0	2	0	2
OIG-06-A-13 MEMORANDUM REPORT: AUDIT OF NMSS' PROCEDURES FOR PROCESSING INSPECTION GUIDANCE	2	0	0	2
OIG-06-A-14 Evaluation of personal Privacy Information Found on NRC Network Drives	4	0	0	4
OIG-06-A-15 Computer Security Audits of the Regions and TTC	4	0	0	4
OIG-06-A-16 Computer Security Audit of Region II	5	0	0	5
OIG-06-A-17 Computer security Audit of Region III	5	0	0	5
OIG-06-A-18 Computer Security Audit of Region IV	4	0	0	4
OIG-06-A-19 Computer Security Audit of TTC	5	0	0	5
OIG-06-A-20 Audit of NRC's Implementation of Homeland Security Presidential Directive -12	6	0	0	6
OIG-99-A-01 NRC'S License Fee Development Process Needs Improvement	0	2	0	2
Grand Total	39	137	85	261

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
☐ OIG-00-E-09 Special Evaluation of the Role and Structure of NRC's Executive Council (08/31/2000)						
1	Update NRC's Management Directives	EDO	10/05/2005	11/30/2005		Resolved
1	Update NRC's Management Directives	EDO	10/24/2005	03/31/2006		Resolved
2	Communication - CIO and CFO	EDO	10/05/2005	11/30/2005		Resolved
☐ OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report (02/23/2001)						
1	Develop a Management Directive	OCFO	03/16/2006	10/31/2006		Resolved
3	Include guidance on reporting unmet goals	OCFO	03/16/2006	10/31/2006		Resolved
☐ OIG-02-A-12 Review of ADAMS (06/12/2002)						
1	Finalize and issue MD 2.5	EDO	05/12/2006	01/31/2007		Resolved
☐ OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information (10/16/2002)						
1	Update OUO Guidance	EDO	09/30/2005	06/30/2006		Resolved
2	Mandate defined markings	EDO	10/03/2005	06/30/2006		Resolved
☐ OIG-03-A-11 Use of E-Mail at NRC (03/21/2003)						
1	Revise MD 3.53	EDO, OIS	04/20/2006	10/13/2006		Resolved
☐ OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials (05/23/2003)						
1	Conduct periodic inspections	EDO			06/27/2006	Resolved
3	Document risk informed approach	EDO			06/27/2006	Resolved
☐ OIG-04-A-11 Review of NRC's Personnel Security Program (03/25/2004)						
12	Cancel OPM investigations when intern terminates.	ADM	03/14/2006	01/02/2007		Resolved
☐ OIG-04-A-13 Memorandum Report: Review of NRC's Reactor Operating Experience Taks Force Report (03/30/2004)						
1	Revise program objectives	NRR	03/23/2006	12/31/2006		Resolved
3	Establish an independent operating experience function	NRR	03/23/2006	12/31/2006		Resolved
☐ OIG-04-A-15 Review of NRC's Drug-Free Workplace Plan (05/24/2004)						
1	Revise Plan to Include Deferral of Testing Clause	ADM,HR	06/26/2006	08/15/2006		Resolved
2	Obtain HHS Approval of Drug-Free Workplace Plan Prior to Implementation	ADM,HR	06/26/2006	08/15/2006		Resolved
3	Drug-Testing Plan Revisions Must Receive Approval from HHS	ADM,HR	06/26/2006	08/15/2006		Resolved
☐ OIG-04-A-20 Audit of NRC's Incident Response Program (09/16/2004)						
1	Establish agency IRP with Performance Standards & Evaluation Mechanism	NSIR	04/24/2006	08/31/2006		Resolved
3	Update NUREG 0845	NSIR	04/24/2006	08/31/2006		Resolved
4	Conduct Periodic Reviews of Region's IRPs	NSIR	04/24/2006	08/31/2006		Resolved
6	Exercise Deployment of Response Staff	NSIR	04/24/2006	08/31/2006		Resolved
7	Establish Procedures for Handling Events at Multiple Sites	NSIR	04/24/2006	08/31/2006		Resolved
8	Conduct Exercises Involving Multiple Sites	NSIR	04/24/2006	08/31/2006		Resolved
11	Revise IRP to Address Incidents Involving Materials/Fuel Cycle Facilities	NSIR	04/24/2006	08/31/2006		Resolved
13	Update Response Technical Manual for GDPs	NSIR	04/24/2006	08/31/2006		Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
14	Improve IRP Outreach with Licensees	NSIR	04/24/2006	08/31/2006		Resolved
16	Develop & Implement Well-defined Training Program	NSIR	04/24/2006	08/31/2006		Resolved
17	Establish a centralized tracking system for IRO training	NSIR	04/24/2006	08/31/2006		Resolved
☐ OIG-04-A-21 System Evaluation of the Agencywide Documents Access and Management System (09/30/2004)						
1	Update the ADAMS Risk Assessment Report	OCIO	02/02/2006	10/06/2006		Resolved
2	Update the ADAMS Security Plan	OCIO	02/02/2006	10/06/2006		Resolved
4	Update the ADAMS Business Continuity Plan	OCIO	02/02/2006	10/06/2006		Resolved
5	Consistently define the protection requirements	OCIO	02/02/2006	10/06/2006		Resolved
6	Track all actions items resulting from testing of the ADAMS security controls	OCIO	02/02/2006	10/06/2006		Resolved
☐ OIG-04-A-22 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004 (09/30/2004)						
5	Re-certify and re-accredit the NRC Data Center/Telecommunications System.	OCIO	03/17/2006	07/28/2006		Resolved
6	Re-certify and re-accredit the NRC Local Area Network/Wide Area Network	OCIO	03/17/2006	07/28/2006		Resolved
7	Re-certify and re-accredit the Emergency Response Data System.	OCIO	03/17/2006	07/28/2006		Resolved
8	Re-certify and re-accredit the Emergency Telecommunications System	OCIO	03/17/2006	07/28/2006		Resolved
9	Update the NRC LAN/WAN Risk Assessment.	OCIO	03/17/2006	07/28/2006		Resolved
10	Update the NRC LAN/WAN Business Continuity Plan.	OCIO	03/17/2006	07/28/2006		Resolved
☐ OIG-04-A-23 System Evaluation of the FEE Systems (09/30/2004)						
1	Update the Fee Systems Security Plan	OCFO	06/29/2006	12/15/2006		Resolved
4	Update the Fee Systems Business Continuity Plan	OCFO	06/29/2006	12/15/2006		Resolved
☐ OIG-04-A-24 Systems Evaluation of the General License Tracking System (09/30/2004)						
1	Update the GLTS Security Plan	NMSS,OCIO	05/11/2006	08/31/2006		Resolved
3	Update the GLTS Business Continuity Plan	NMSS,OCIO	05/11/2006	08/31/2006		Resolved
4	Update the GLTS Security Plan	NMSS,OCIO	05/11/2006	08/31/2006		Resolved
5	Track testing of GLTS security controls	NMSS,OCIO	05/11/2006	08/31/2006		Resolved
☐ OIG-05-A-05 Audit of NRC's Drug Testing Program (12/20/2004)						
4	Revise categories of testing designated positions	ADM	08/09/2006	11/30/2006		Resolved
5	Re-evaluate categories of testing designated positions	ADM	08/09/2006	11/30/2006		Resolved
12	Update the Management Directive System to include drug testing policy	ADM	08/09/2006	11/30/2007		Resolved
☐ OIG-05-A-06 Audit of NRC's Baseline Inspection Program (12/22/2004)						
2	human performance trending	NRR	06/15/2006	09/15/2006		Resolved
☐ OIG-05-A-08 System Evaluation of the Integrated Personnel Security System (IPSS) (01/14/2005)						
1	Re-certify and re-accredit IPSS	ADM			07/28/2006	Resolved
2	Update risk assessment risk levels	ADM			07/28/2006	Resolved
3	Update plan contact info	ADM			07/28/2006	Resolved
4	Update plan life cycle & IRO capability.	ADM			07/28/2006	Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
5	Update plan control descriptions.	ADM			07/28/2006	Resolved
7	Update contingency plan	ADM			07/28/2006	Resolved
8	Consistently define plan and assessment protection requirements	ADM			07/28/2006	Resolved
☐ OIG-05-A-09 Audit of the Budget Formulation Process (01/31/2005)						
1	EDO, CFO Roles	OCFO	02/02/2006	10/31/2006		Resolved
2	PRC Role	OCFO	02/02/2006	10/31/2006		Resolved
3	Document Process	OCFO	02/02/2006	10/31/2006		Resolved
☐ OIG-05-A-13 Audit of NRC's Telecommunications Program (06/07/2005)						
1	Purchase and implement billing review software.	OCIO	07/13/2006	10/16/2006		Resolved
2	Establish benchmarks.	OCIO	07/13/2006	10/16/2006		Resolved
3	Revise MD 2.3.	OCIO	07/13/2006	10/16/2006		Resolved
4	Establish telephone line and circuit inventory requirements.	OCIO	07/13/2006	10/16/2006		Resolved
5	Enforce toll-free number requirements.	OCIO	07/13/2006	10/16/2006		Resolved
7	Discontinue \$4 per day option.	OCFO	08/07/2006	09/15/2006		Resolved
☐ OIG-05-A-14 System Evaluation of Listed Systems that Process Safeguards and/or Classified Information (08/11/2005)						
1	Correct the inaccuracies	NSIR,OIS			07/31/2006	Resolved
2	Validate the inventory	NSIR,OIS			07/31/2006	Resolved
5	Develop procedures approved security plan	NSIR,OIS			07/31/2006	Resolved
6	Develop procedures for owners respond to OIS requests	NSIR,OIS			07/31/2006	Resolved
7	Develop procedures for verifying all required security controls	NSIR,OIS			07/31/2006	Resolved
☐ OIG-05-A-17 Audit of NRC's Decommissioning Program (09/21/2005)						
1	Retain Supporting Documentation	NMSS,OCFO	04/04/2006	10/31/2006		Resolved
☐ OIG-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA (09/22/2005)						
1	Security controls on laptops	OIS	03/08/2006	09/30/2006		Resolved
2	Rules of behavior agreement for security controls	OIS	03/08/2006	09/30/2006		Resolved
3	Verify required security controls	OIS	03/08/2006	09/30/2006		Resolved
4	Provide guidance on Executive Order 13103	OIS	03/08/2006	09/30/2006		Resolved
5	Rules of behavior agreement EO 13103	OIS	03/08/2006	09/30/2006		Resolved
6	Develop procedures for monitoring compliance with Executive Order 13103	OIS	03/08/2006	09/30/2006		Resolved
7	Develop procedures in the Management Directives for disposal of equipment	OIS	03/08/2006	09/30/2006		Resolved
8	Include procedures for disposal of equipment in security plan.	OIS	03/08/2006	09/30/2006		Resolved
☐ OIG-05-A-19 Audit of NRC's Generic Communications Program (09/30/2005)						
1	Security Advisories in GC Program	NRR,NSIR	07/26/2006	01/15/2007		Resolved
3	Consistent Tracking Methodology	NRR,NSIR	07/26/2006	01/15/2007		Resolved
4	Effectiveness of GC Program	NRR	07/26/2006	01/15/2007		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
☐ OIG-05-A-20 Evaluation of NRC's Certification and Accreditation Efforts (09/30/2005)						
1	Develop and implement procedures for monitoring C&As	OIS	04/20/2006	07/28/2006		Res olved
2	Develop and implement a mechanism for holding system sponsors/owners accountable for C&As.	OIS	04/20/2006	07/28/2006		Res olved
☐ OIG-05-A-21 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2005 (09/30/2005)						
1	Categorize all NRC information systems	OIS			07/13/2006	Res olved
2	Complete self-assessments August 1, 2006.	OIS			07/13/2006	Res olved
3	Contingency Plan Test Procedures	OIS			07/13/2006	Res olved
4	Maintain other agency C&As.	OIS			07/13/2006	Res olved
5	Maintain other agency's self-assessments.	OIS			07/13/2006	Res olved
6	Maintain annual contingency plan test results other agencies.	OIS			07/13/2006	Res olved
7	Procedures for contractor oversight	OIS			07/13/2006	Res olved
8	Review and update the six completed e-authentication risk assessments.	OIS			07/13/2006	Res olved
9	Develop and implement plan for completing e-authentication risk assessments.	OIS			07/13/2006	Res olved
10	Develop and implement procedures for security awareness and training.	OIS			07/13/2006	Res olved
☐ OIG-05-A-22 Evaluation of NRC's Automated Information System Inventory Process (09/30/2005)						
1	Correct the inaccuracies in the AIS inventories	OIS	07/13/2006	09/30/2006		Res olved
2	Validate information in the AIS inventories annually.	OIS	07/13/2006	09/30/2006		Res olved
3	Provide guidance to office directors, regional administrators, and system owners/sponsors	OIS	07/13/2006	09/30/2006		Res olved
4	Develop procedures adding new systems	OIS	07/13/2006	09/30/2006		Res olved
5	Develop procedures notifying of changes	OIS	07/13/2006	09/30/2006		Res olved
6	Develop procedures for recording system information for multiple components	OIS	07/13/2006	09/30/2006		Res olved
7	Modify AIS inventories to support requirements of FISMA	OIS	07/13/2006	09/30/2006		Res olved
☐ OIG-06-A-01 Audit of NRC's FY 2005 Financial Statements (11/10/2005)						
1	Rec. 01 - Update Remediation Plan	OCFO	02/02/2006	11/30/2006		Res olved
2	Rec. 02 -Implement Compensating Controls	OCFO	02/02/2006	11/30/2006		Res olved
3	Rec. 03 - Improve Internal Controls	OCFO	02/02/2006	11/30/2006		Res olved
4	Rec. 04 - Strengthen Internal Use Software Practices	OCFO	02/02/2006	11/30/2006		Res olved
5	Rec. 05 - Coordinate with OIS and EDO	OCFO	02/02/2006	11/30/2006		Res olved
6	Rec. 06 - Devise a Communication Process	OCFO	02/02/2006	11/30/2006		Res olved
7	Rec. 07 - Implement Second Party Verification of the Accuracy of Vendor Tabes	OCFO	02/09/2006	11/30/2006		Res olved
8	Rec. 08 - Periodic Assessment of CCR Data	OCFO	02/02/2006	11/30/2006		Res olved
9	Rec. 09 - Secondary Review of High Value Payments	OCFO	02/09/2006	11/30/2006		Res olved
11	Rec. 11 - Develop Rates in Compliance with OMB Circular A-25	OCFO	02/02/2006	11/30/2006		Res olved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
☐ OIG-06-A-06 Audit of NRC's Integrated Personnel Security System (01/09/2006)						
2	Reinvestigations notifications report	ADM	03/09/2006	09/15/2006		Resolved
3	IPSS user's guide	ADM	03/09/2006	09/15/2006		Resolved
4	IPSS reinvestigation data clean-up	ADM	03/09/2006	09/15/2006		Resolved
5	duplicate system data	ADM	03/09/2006	09/15/2006		Resolved
6	Correct access vs. clearance data	ADM	03/09/2006	09/15/2006		Resolved
7	Top-to-bottom cleanup of IPSS data	ADM	04/20/2006	09/15/2006		Resolved
8	Overall IPSS data QC procedures	ADM	03/09/2006	09/15/2006		Resolved
9	Correct checks for badge issuance	ADM	03/09/2006	09/15/2006		Resolved
10	Add date logic controls	ADM	03/09/2006	09/15/2006		Resolved
12	Review IPSS role assignments	ADM	03/09/2006	09/15/2006		Resolved
13	IPSS audit trails	ADM	03/09/2006	09/15/2006		Resolved
14	IPSS audit trail reports	ADM	03/09/2006	09/15/2006		Resolved
15	Integrity Statement	ADM	04/20/2006	09/15/2006		Resolved
16	Records retention plan	ADM	03/09/2006	09/15/2006		Resolved
17	Cost-benefit analysis	ADM	03/09/2006	09/15/2006		Resolved
☐ OIG-06-A-07 Follow-Up Audit of the Nuclear Regulatory Commission's Decommissioning Fund Program (02/06/2006)						
5	Rec. 5 - Update NRC's decommissioning formula.	EDO,NRR	07/14/2006	08/31/2006		Resolved
☐ OIG-06-A-09 Audit of NRC's Office of Nuclear Security and Incident Response (02/16/2006)						
1	Prioritizing Assignments	EDO,NSIR	08/09/2006	10/31/2006		Resolved
2	Documenting Emergent Work	EDO,NSIR	08/09/2006	10/31/2006		Resolved
3	Emergent Work Log	EDO,NSIR	08/09/2006	10/31/2006		Resolved
4	Communication Policies and Procedures	EDO,NSIR	08/09/2006	10/31/2006		Resolved
5	Measure Communication Effectiveness	EDO,NSIR	08/09/2006	10/31/2006		Resolved
6	Assessment Follow-Up	EDO,NSIR	08/09/2006	10/31/2006		Resolved
☐ OIG-06-A-10 Audit of the Development of the National Source Tracking System (02/23/2006)						
1	1. Conduct Regulatory Analysis	NMSS			07/18/2006	Unresolved
2	2. Validate IDB data	NMSS	05/12/2006	06/04/2006		Unresolved
☐ OIG-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process (03/10/2006)						
1	Conduct a materials process vulnerability assessment	EDO,NMSS			06/30/2006	Unresolved
2	Modify licensing process to address identified risks	EDO,NMSS	05/12/2006	06/04/2006		Unresolved
☐ OIG-06-A-12 Audit of NRC's Oversight of Agreement States' Licensing Actions (04/14/2006)						
1	Seek and apply guidance on statistical random sampling	STP			07/06/2006	Resolved
2	Document the rationale and basis for sampling methodology	STP			07/06/2006	Resolved
☐ OIG-06-A-13 MEMORANDUM REPORT: AUDIT OF NMSS' PROCEDURES FOR PROCESSING INSPECTION GUIDANCE (06/23/2006)						

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Revise P&PL 1-76	NMSS			07/28/2006	Unresolved
2	NMSS/NRR Formal Agreement	NMSS			07/28/2006	Unresolved
<input type="checkbox"/> OIG-99-A-01 NRC'S License Fee Development Process Needs Improvement (12/14/1999)						
2	2a - OMB Circular A-25 and SFFAS No. 4	OCFO	06/22/2006	09/30/2006		Resolved
4	2c - OMB Circular A-25 and SFFA No. 4	OCFO	06/22/2006	09/30/2006		Resolved