

November 21, 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 SEPTEMBER 15, 2006

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated September 15, 2006. Based on these responses, recommendations 1 through 7 are resolved. Please provide an update on all resolved recommendations by January 12, 2007.

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

Attachment: Status of Recommendations

cc: M. Johnson, 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
September 15, 2006: All discrepancies between the inventories have been identified and resolved. The inventories are now ready for upload, consolidation, and test. After consolidation, the information content will be verified to ensure accuracy. We anticipate completion of this activity by February 21, 2007.

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

<u>Recommendation 2:</u>	Validate the information in the AIS inventories annually.
Response Dated September 15, 2006:	The Senior Information Technology Security Officer (SITSO) will send via memo to each system owner the current system information as recorded in the inventory during the first quarter of FY 2007. System owners will be asked for information correction or verification by February 1, 2007. This information will then be incorporated into the single inventory.
OIG Analysis:	OIS omitted the word, "annual" from this response. The intent of this recommendation is not only to validate the information in the AIS inventories, but to do so annually. Recommendation 2 will be closed once OIG has received documentation that the process to annually 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
September 15, 2006: The IT security information data call and the OCFO data call will remain separate for FY 2007. OIS will work with OCFO on the timing of the data call to ensure the data call meets the needs for both purposes and anticipate that the data call will be integrated in FY 2008.

OIG Analysis: The proposed corrective action does not address the intent of the recommendation. This response does not indicate the guidance that OIS is developing for office directors, regional administrators, and system owners/sponsors for providing AIS inventory updates to OIS. Recommendation 3 will be closed once OIG has received a copy of the AIS inventory updated 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
September 15, 2006: Final procedures are still anticipated to be available after final deployment [of the NSICD system]. We anticipate completion of verified procedures by December 1, 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

<u>Recommendation 5:</u>	Develop and implement procedures for notifying OIS of changes in system information in the AIS inventories.
Response Dated September 15, 2006:	Final procedures are still anticipated to be available after final deployment. We anticipate completion of verified procedures by December 1, 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

<u>Recommendation 6:</u>	Develop and implement procedures for recording system information for systems that are composed of multiple components.
Response Dated September 15, 2006:	Final procedures are still anticipated to be available after final deployment. We anticipate completion of verified procedures by December 1, 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

<u>Recommendation 7:</u>	Modify the AIS system inventory systems to capture all of the data needed to meet FISMA requirements.
Response Dated September 15, 2006:	We anticipate completion of modifications, testing, and verification of this activity by February 21, 2007.
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.