January 11, 2007

MEMORANDUM FOR:	Michael Johnson 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 December 2006

Attached is the OIG up-to-date status of all open audit recommendations as of the end of December 2006. Should you have any questions please feel free to contact me at 301-415-5915.

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 Materials	0	. 3	5	8
OIG-04-A-11 Review of NRC's Personnel Security Program	0	1	11	12
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	9	8	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 Evlaluation of the GeneralLicense Tracking System	0	3	2	. 5
OIG-05-A-05 Audit of NRC's Drug Testing Program	0	3	9	12
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	5	8	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 - FISMA	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	1	1	2
OIG-05-A-21 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2005	0	9	1	10
OIG-05-A-22 Evaluation of NRC's Automated Information System Inventory Process	0	7	0	7
OIG-06-A-06 Audit of NRC's Integrated Personnel Security System	0	12	. 5	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 Response	0	6	0	6
OIG-06-A-10 Audit of the Development of the National Source Tracking System	. 1	1	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 Actions	0	1	1	2
OIG-06-A-13 MEMORANDUM REPORT: AUDIT OF NMSS' PROCEDURES FOR PROCESSING INSPECTION GUIDANCE	0	2	0	·
OIG-06-A-14 Evaluation of personal Privacy Information Found on NRC Network Drives	0	3	1	4
OIG-06-A-17 Computer security Audit of Region III	0	3	2	5

Status of Audit Recommendations - Open Audits

Report Number & Title	Unresolved	Resolved	Closed	Total
OIG-06-A-20 Audit of NRC's Implementation of Homeland Security Presidentia Directive -12	¹¹ 0	3	3	6
OIG-06-A-21 Audit of NRC's Baseline Security and Safeguards Inspection Program	0	7	2	9
OIG-06-A-22 Audit of NRC's Process for Releasing Commission Decision Documents	1	1	0	2
OIG-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment In Regulating the Commercial Nuclear Power Industry	3	0	0	3
OIG-06-A-26 Independent Evaluation of NRC's Implementation of FISMA for FY 2006	0	3	0	3
OIG-07-A-02 Audit of NRC's FY 2006 Financial Statements	0	5	0	5
OIG-07-A-04 Social Engineering Assessment	10	0	0	10
OIG-99-A-01 NRC'S License Fee Development Process Needs Improvement	0	2	0	2
Grand Total	17	142	89	248

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Rec # Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Status
□ OIG-00-E-09 Special Evaluation of the Role and Structure of NRC's Executive Court	an a	Correspondence	Due	Kettervett
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	1 1/30/2005	Resolved
□ OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year				
1 Develop a Management Directive	OCFO	12/26/2006	06/29/2007	Resolved
3 Include guidance on reporting unmet goals	OCFO	12/26/2006	06/29/2007	Resolved
□ OIG-02-A-12 Review of ADAMS (06/12/2002)	na na ana amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solatan Na katalona amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solatana amin'ny solata		akan dini Tiri da wida da da Ka	
1 Finalize and issue MD 2.5	EDO	12/26/2006	03/01/2007	Resolved
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Info	rmation (10/16/200	2)		
1 Update OUO Guidance	EDO	12/26/2006	11/03/2008	Resolved
2 Mandate defined markings	EDO	en en en della		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
	5/23/2003)			
1 Conduct periodic inspections	EDO,NMSS	11/20/2006	12/31/2007	Resolved
3 Document risk informed approach	EDO,NMSS	11/20/2006	12/31/2007	Resolved
4 Require annual inventories	EDO,NMSS	11/20/2006	12/31/2007	Resolved
□ OIG-04-A-11 Review of NRC's Personnel Security Program (03/25/2004)	nin an a' an	and Physics and a short of the second s	n normalis, i no be elementaria i no i	 Comparison of a set of an invariant of the set of the
12 Cancel OPM investigations when intern terminates.	ADM	03/14/2006	01/02/2007	Resolved
□ OIG-04-A-15 Review of NRC's Drug-Free Workplace Plan (05/24/2004)				(a) An and a second s second second s Second second secon second second sec
1 Revise Plan to Include Deferral of Testing Clause	ADM,HR	09/11/2006	11/30/2006	Resolved
2 Obtain HHS Approval of Drug-Free Workplace Plan Prior to Implementation	ADM,HR	09/11/2006	11/30/2006	Resolved
3 Drug-Testing Plan Revisions Must Receive Approval from HHS	ADM,HR	09/11/2006	11/30/2006	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	11/22/2006	06/30/2007	Resolved
3 Update NUREG 0845	NSIR	11/22/2006	06/30/2007	Resolved
4 Conduct Periodic Reviews of Region's IRPs	NSIR	11/22/2006	06/30/2007	Resolved
8 Conduct Exercises Involving Multiple Sites	NSIR	11/22/2006	06/30/2007	Resolved
11 Revise IRP to Address Incidents Involving Materials/Fuel Cycle Facilities	NSIR	11/22/2006	06/30/2007	Resolved
13 Update Response Technical Manual for GDPs	NSIR	11/22/2007	06/30/2007	Resolved
14 Improve IRP Outreach with Licensees	NSIR	11/22/2006	06/30/2007	Resolved
16 Develop & Implement Well-defined Training Program	NSIR	11/22/2006	06/30/2006	Resolved
17 Establish a centralized tracking system for IRO training	NSIR	11/22/2006	06/30/2007	Resolved
OIG-04-A-21 System Evaluation of the Agencywide Documents Access and Manager	ment System (09/30/	2004)		

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	3	Document Process	and a second	The second secon		Resolved
		G-05-A-13 Audit of NRC's Telecommunications Program (06/07/2005)			1 0 ji - 1 0	

Rec #	Description	Responsible	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Purchase and implement billing review software.	OCIO		1	12/21/2006	Resolved
2	Establish benchmarks.	OCIO			12/21/2006	Resolved
3	Revise MD 2.3.	OCIO			12/21/2006	Resolved
4	Establish telephone line and circuit inventory requirements.	OCIO			12/21/2006	Resolved
5	Enforce toll-free number requirements.	OCIO	07/13/2006	10/16/2006		Resolved
E OIC	G-05-A-14 System Evaluation of Listed Systems that Process Safeguards and/or (Classified Information	on (08/11/2005)			
1	Correct the inaccuracies	NSIR,OIS	01/09/2007	04/12/2007		Resolved
2	Validate the inventory	NSIR,OIS	01/09/2007	04/12/2007		Resolved
5	Develop procedures approved security plan	NSIR,OIS	01/09/2007	04/12/2007		Resolved
6	Develop procedures for owners respond to OIS requests	NSIR,OIS	01/09/2007	04/12/2007		Resolved
7	Develop procedures for verifying all required security controls	NSIR,OIS	01/09/2007	04/12/2007		Resolved
⊡ OIO	G-05-A-17 Audit of NRC's Decommissioning Program (09/21/2005)	W . Zami	200 - 10 ⁰ 0 - 10			
1	Retain Supporting Documentation	NMSS,OCFO	11/06/2006	06/29/2007		Resolved
∃ OIO	G-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA (0)	9/22/2005)				
1	Security controls on laptops	OIS	11/14/2006	04/01/2007		Resolved
2	Rules of behavior agreement for security controls	OIS	11/14/2006	04/01/2007		Resolved
3	Verify required security controls	OIS	11/14/2006	04/01/2007		Resolved
4	Provide guidance on Executive Order 13103	OIS	11/14/2006	04/01/2007		Resolved
5	Rules of behavior agreement EO 13103	OIS	11/14/2006	04/01/2007		Resolved
6	Develop procedures for monitoring compliance with Executive Order 13103	OIS	11/14/2006	04/01/2007		Resolved
7	Develop procedures in the Management Directives for disposal of equipment	OIS	11/14/2006	04/01/2007	· · · ·	Resolved
8	Include procedures for disposal of equipment in security plan.	OIS	11/14/2006	04/01/2007		Resolved
E OIO	G-05-A-19 Audit of NRC's Generic Communications Program (09/30/2005)			nga na angalak nganga kanananan sa angalak nganganga kananan sa sa sa		
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
	G-05-A-20 Evaluation of NRC's Certification and Accreditation Efforts (09/30/20	05)		, See e	and the second	
1	Develop and implement procedures for monitoring C&As	OIS	12/26/2006	03/16/2007		Resolved
	G-05-A-21 Independent Evaluation of NRC's Implementation of the Federal Info	rmation Security Ma	anagement Act (FISMA) for Fisca	al Year 2005 (09/3	30/2005)
1	Categorize all NRC information systems	OIS	12/26/2006	07/31/2007	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Resolved
3	Contingency Plan Test Procedures	OIS	12/26/2006	07/31/2007		Resolved
4	Maintain other agency C&As.	OIS	12/26/2006	07/31/2007		Resolved
5	Maintain other agency's self-assessments.	OIS	12/26/2006	07/31/2007		Resolved
6	Maintain annual contingency plan test results other agencies.	OIS	12/26/2006	07/31/2007		Resolved
7	Procedures for contractor oversight	OIS	12/26/2006	07/31/2007		Resolved

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Ag	ency Response Status
8	Review and update the six completed e-authentication risk assessments.	OIS	12/19/2006	07/31/2007	Resolved
9	Develop and implement plan for completing e-authentication risk assessments.	OIS	12/26/2006	07/31/2007	Resolved
10	Develop and implement procedures for security awareness and training.	OIS	12/26/2006	07/31/2007	Resolved
E OIO	G-05-A-22 Evaluation of NRC's Automated Information System Inventory Proces	ss (09/30/2005)		and the second	
1	Correct the inaccuracies in the AIS inventories	OIS	11/21/2006	01/12/2007	Resolved
2	Validate information in the AIS inventories annually.	OIS	11/21/2006	01/12/2007	Resolved
3	Provide guidance to office directors, regional administrators, and system owners/sponsors	OIS	11/21/2006	01/12/2007	Resolved
4	Develop procedures adding new systems	OIS	11/21/2006	01/12/2007	Resolved
5	Develop procedures notifying of changes	OIS	11/21/2006	01/12/2007	Resolved
6	Develop procedures for recording system information for multiple components	OIS	11/21/2006	01/12/2007	Resolved
7	Modify AIS inventories to support requirements of FISMA	OIS			Resolved
E OIO	G-06-A-06 Audit of NRC's Integrated Personnel Security System (01/09/2006)				
2	Reinvestigations notifications report	ADM	01/09/2007	02/26/2007	Resolved
3	IPSS user's guide	ADM	01/09/2007	02/26/2007	Resolved
4	IPSS reinvestigation data clean-up	ADM	01/09/2007	02/26/2007	Resolved
5	duplicate system data	ADM	01/09/2007	02/26/2007	Resolved
6	Correct access vs. clearance data	ADM	01/09/2007	02/26/2007	Resolved
7	Top-to-bottom cleanup of IPSS data	ADM	01/09/2007	02/26/2007	Resolved
9	Correct checks for badge issuance	ADM	01/09/2007	02/26/2007	Resolved
10	Add date logic controls	ADM	01/09/2007	02/26/2007	Resolved
13	IPSS audit trails	ADM	01/09/2007	02/26/2007	Resolved
14	IPSS audit trail reports	ADM	01/09/2007	02/26/2007	Resolved
15	Integrity Statement	ADM	01/09/2007	02/26/2007	Resolved
17	Cost-benefit analysis	ADM	01/09/2007	02/26/2007	Resolved
🖃 OIG	-06-A-07 Follow-Up Audit of the Nuclear Regulatory Commission's Decommissi	oning Fund Progra	am (02/06/2006)	and the second	
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 (02/1	6/2006)	Province of the second s	Anana an anna an an t-t-t-t-t-t-t-t-t-t-t-t-t-t-t-t-t-t-t-	NUMBER OF A CONTRACT THE CONTRACT OF A CONTRAC
1	Prioritizing Assignments	EDO, NSIR	12/26/2006	05/31/2007	Resolved
2	Documenting Emergent Work	EDO, NSIR	12/26/2006	05/31/2007	Resolved
3	Emergent Work Log	EDO, NSIR	12/26/2006	05/31/2007	Resolved
4	Communication Policies and Procedures	EDO,NSIR	12/26/2006	05/31/2007	Resolved
5	Measure Communication Effectiveness	EDO, NSIR	12/26/2006	05/31/2007	Resolved
6	Assessment Follow-Up	EDO, NSIR	12/26/2006	05/31/2007	Resolved
🖃 OIG	-06-A-10 Audit of the Development of the National Source Tracking System (02/				

Thursday, January 11, 2007

Rec #	Description	Responsible	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	1. Conduct Regulatory Analysis	NMSS			1 1/30/2006	Unresolved
2	2. Validate IDB data	NMSS			11/30/2006	Resolved
	G-06-A-11 Audit of the NRC Byproduct materials License Application and	Review Process (03/10/200)6)			
1	Conduct a materials process vulnerability assessment	EDO, NMSS	09/27/2006	11/30/2006		Unresolved
2	Modify licensing process to address identified risks	EDO, NMS S	09/27/2006	09/27/2006		Unresolved
	G-06-A-12 Audit of NRC's Oversight of Agreement States' Licensing Actio	ns (04/14/2006)				
2	Document the rationale and basis for sampling methodology	STP	11/22/2006	07/15/2007		Resolved
	G-06-A-13 MEMORANDUM REPORT: AUDIT OF NMSS' PROCEDUR	ES FOR PROCESSING IN	SPECTION G	UIDANCE (06/23	3/2006)	
1	Revise P&PL 1-76	NMSS	08/15/2006	01/31/2007		Resolved
2	NMSS/NRR Formal Agreement	NMSS	08/15/2006	01/31/2007		Resolved
∃ OIO	-06-A-14 Evaluation of personal Privacy Information Found on NRC Net	work Drives (06/30/2006)	, " """ under eine inderne eine			
2	2. Remind employees files may be viewed	OIS	10/05/2006	01/02/2007		Resolved
3	3. Develop polices reviewing drives	OIS	10/05/2006	01/02/2007		Resolved
4	4. Conduct review and remove privacy information	OIS	10/05/2006	01/02/2007	 K Landon Munudamu da 	Resolved
	G-06-A-17 Computer security Audit of Region III (07/11/2006)					
1	true walls	EDO	CONTRACTOR INTERACTION	n franciska doka z strano z konzel z stranomiska S 1	12/20/2006	Resolved
3	screen saver lock policy	EDO			12/20/2006	Resolved
5	test contingency plan	EDO			12/20/2006	Resolved
	-06-A-20 Audit of NRC's Implementation of Homeland Security Presiden	tial Directive -12 (08/01/20	06)		2 Art - 1997 - 1997 - 1997	
3	Provide checklists of responsibilities.	ADM	01/05/2007	03/19/2007		Resolved
5	Expand HSPD-12 working group.	ADM	01/05/2007	12/19/2006		Resolved
6	Develop an HSPD-12 charter.	ADM	01/05/2007	03/19/2007		Resolved
	-06-A-21 Audit of NRC's Baseline Security and Safeguards Inspection Pro-	ogram (09/08/2006)				
1	Required Training	NSIR	12/22/2006	04/30/2007		Resolved
3	Security Oversight Responsibilities	NSIR	12/22/2006	04/30/2007		Resolved
4	Training Program Update	NSIR	12/22/2006	04/30/2007		Resolved
4	Training Program Update	NSIR	12/22/2006	04/30/2007		Resolved
6	Sample Size Guidance	NSIR	12/22/2006	04/30/2007		Resolved
7	Sample Size Training	NSIR	12/22/2006	04/30/2007	 Community of control of the second sec	Resolved
8	Security Findings Database	NSIR	12/22/2006	04/30/2007		Resolved
E OIG	-06-A-22 Audit of NRC's Process for Releasing Commission Decision Doc	uments (09/08/2006)				
1	Develop a FOIA 552(a)(2) compliance program	EDO,OGC,SEC	12/26/2006	03/01/2007		Resolved
2	Review unpublished SECY papers and SRMs for disclosure	EDO, OGC, SEC	12/26/2006	03/01/2007		Unresolved
OIG	-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment In Re	gulating the Commercial N	Nuclear Power I	ndustry (09/29/20	006)	
1	Implement process for maintaining PRA models	NRR,RES			11/27/2006	Unresolved

Rec #	Description	Responsible -	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
2	PRA software (SAPHIRE/GEM) configuration control process	NRR,RES	· · · · · · · · · · · · · · · · · · ·		11/27/2006	Unresolved
3	Full V&V for SAPHIRE and GEM	NRR,RES			11/27/2006	Unresolved
	-06-A-26 Independent Evaluation of NRC's Implementation of FISMA for FY 2	2006 (09/29/2006)				
1	1. Identify controls of a high-impact system	OIS	12/26/2006	04/01/2007		Resolved
2	2. Re-categorize Network Continuity of Operations System	OIS	12/26/2006	04/01/2007		Resolved
3	3. Re-evaluate the procedures developed for identifying POA&M weaknesses	OIS	12/26/2006	04/01/2007		Resolved
🖃 OIG	-07-A-02 Audit of NRC's FY 2006 Financial Statements (11/09/2006)					
1	Rec. 01 - Assessment of Fee Billing System	OCFO	12/06/2006	11/15/2007		Resolved
2	Rec. 02 - Implement Compensating Controls	OCFO	12/06/2006	11/15/2007		Resolved
3	Rec. 03 - Coordinate and Collaborate with EDO	OCFO	12/06/2006	11/15/2007		Resolved
4	Rec. 04 - Coordinate with OIS and EDO	OCFO	12/06/2006	11/15/2007		Resolved
5	Rec. 05 - Implement the results of assessment strategy	OCFO	12/06/2006	11/15/2007		Resolved
E OIG	-99-A-01 NRC'S License Fee Development Process Needs Improvement (12/14/1	1999)	· · · · · · · · · · · · · · · · · · ·			
2	2a - OMB Circular A-25 and SFFAS No. 4	OCFO	06/22/2006	09/30/2006	annas anns a' anns a' anns a'	Resolved
4	2c - OMB Circular A-25 and SFFA No. 4	OCFO	06/22/2006	09/30/2006	···· · · · · · · · · · · · · · · · · ·	Resolved