UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

April 3, 2008

OFFICE OF THE
INSPECTOR GENERAL

MEMORANDUM FOR: Vonna L. Ordaz
Assistant for Operations
Office of the Executive Director for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS – MARCH 2008

Attached is the OIG up-to-date status of all open audit recommendations as of the end of March 2008. Should you have any questions please feel free to contact Tony Lipuma at 301-415-5910.

Attachment: As stated

cc: J. Arildsen, OEDO
P. Shea, OEDO

Status of Audit Recommendations - Open Audits

Report Number & Title		Unresolved	Resolved	Closed	Total
		10	0	0	10
OIG-01-A-03	Government Performance and Results Act: Review of the Fisca	0	2	0	2
OIG-03-A-01	Review of NRC's Handling and Marking of Sensitive Unclassifie	0	2	0	2
OIG-03-A-15	Audit of NRC's Regulatory Oversight of Special Nuclear Materia	0	3	5	8
OIG-04-A-15	Review of NRC's Drug-Free Workplace Plan	0	1	2	3
OIG-04-A-20	Audit of NRC's Incident Response Program	0	5	12	17
OIG-04-A-21	System Evaluation of the Agencywide Documents Access and M	0	5	1	6
OIG-04-A-22	Independent Evaluation of NRC's Implementation of the Federa	0	4	12	16
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	2	10	12
OIG-05-A-08	System Evaluation of the Integrated Personnel Security System	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	1	12	13
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 - FISM	0	6	2	8
OIG-05-A-19	Audit of NRC's Generic Communications Program	0	3	1	4
OIG-06-A-06	Audit of NRC's Integrated Personnel Security System	0	1	16	17
OIG-06-A-09	Audit of NRC's Office of Nuclear Security and Incident Respons	0	2	4	6
OIG-06-A-10	Audit of the Development of the National Source Tracking Syste	0	1	1	2
OIG-06-A-11	Audit of the NRC Byproduct materials License Application and F	0	2	0	2
OIG-06-A-21	Audit of NRC's Baseline Security and Safeguards Inspection Pr	0	4	4	8
OIG-06-A-22	Audit of NRC's Process for Releasing Commission Decision Do	0	1	1	2
OIG-06-A-24	Evaluation of NRC's Use of Probabilistic Risk Assessment In Re	0	2	1	3
OIG-07-A-05	Audit of NRC's Technical Training Center	0	7	4	11
OIG-07-A-06	Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities	0	1	0	1
OIG-07-A-10	Audit of NRC's Badge Access System	0	6	11	17
OIG-07-A-11	Memorandum Report: Audit of NRC's Nuclear Material Events I	0	2	1	3
OIG-07-A-12	Summary Report on Byproduct Material Security and Control	0	1	0	1
OIG-07-A-14	Audit of NRC's Non-Capitalized Property	0	12	0	12
OIG-07-A-15	Audit of NRC's License Renewal Program	0	8	0	8
OIG-07-A-16	Audit of NRC's Process for Placing Documents in the ADAMS F	0	8	0	8
OIG-07-A-18	Assessment of Security at NRC Buildings	0	22	5	27
OIG-07-A-19	Independent Evaluation of NRC's Implementation of the Federa	0	8	7	15
OIG-08-A-01	Results of the Audit of the United States Nuclear Regulatory Co	0	2	0	2
OIG-08-A-03	Audit of NRC's Alternative Dispute Resolution Program	0	4	0	4
OIG-08-A-06	Memorandum Report: NRC's Planned Cybersecurity Program	1	0	0	1
Grand Total		**11**	**142**	**119**	**272**

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Rece	Status
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	12/11/2007	03/31/2008		Resolved
3	Include guidance on reporting unmet goals	OCFO	12/11/2007	03/31/2008		Resolved
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information (10/16/2002)						
1	Update OUO Guidance	EDO	12/26/2006	12/31/2008		Resolved
2	Mandate defined markings	EDO	12/26/2006	12/31/2008		Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials (05/23/2003)						
1	Conduct periodic inspections	EDO,NMSS			12/07/2007	Resolved
3	Document risk informed approach	EDO,NMSS			12/07/2007	Resolved
4	Require annual inventories	EDO,NMSS			12/07/2007	Resolved
OIG-04-A-15 Review of NRC's Drug-Free Workplace Plan (05/24/2004)						
3	Drug-Testing Plan Revisions Must Receive Approval from HHS	ADM,HR	11/15/2007	03/25/2008		Resolved
OIG-04-A-20 Audit of NRC's Incident Response Program (09/16/2004)						
3	Update NUREG 0845	NSIR			01/11/2008	Resolved
4	Conduct Periodic Reviews of Region's IRPs	NSIR			01/11/2008	Resolved
8	Conduct Exercises Involving Multiple Sites	NSIR			01/11/2008	Resolved
11	Revise IRP to Address Incidents Involving Materials/Fuel Cycle Facilities	NSIR			01/11/2008	Resolved
13	Update Response Technical Manual for GDPs	NSIR			01/11/2008	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	02/28/2008	06/02/2008		Resolved
2	Update the ADAMS Security Plan	OCIO	02/28/2008	06/02/2008		Resolved
4	Update the ADAMS Business Continuity Plan	OCIO	02/28/2008	06/02/2008		Resolved
5	Consistently define the protection requirements	OCIO	02/28/2008	06/02/2008		Resolved
6	Track all actions items resulting from testing of the ADAMS security controls	OCIO	02/28/2008	06/02/2008		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	02/12/2008	04/25/2008		Resolved
7	Re-certify and re-accredit the Emergency Response Data System.	OCIO	02/12/2008	04/25/2008		Resolved
8	Re-certify and re-accredit the Emergency Telecommunications System	OCIO	02/12/2008	04/25/2008		Resolved
10	Update the NRC LAN/WAN Business Continuity Plan.	OCIO	02/12/2008	04/25/2008		Resolved
OIG-04-A-24 Systems Evlaluation of the GeneralLicense Tracking System (09/30/2004)						
1	Update the GLTS Security Plan	NMSS,OCIO	12/10/2007	04/28/2008		Resolved
3	Update the GLTS Business Continuity Plan	NMSS,OCIO	12/10/2007	04/28/2008		Resolved
4	Update the GLTS Security Plan	NMSS,OCIO	12/10/2007	04/28/2008		Resolved
OIG-05-A-05 Audit of NRC's Drug Testing Program (12/20/2004)						
12	Update the Management Directive System to include drug testing policy	ADM			03/20/2008	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	01/30/2008	09/15/2008		Resolved
2	Update risk assessment risk levels	ADM	01/30/2008	09/15/2008		Resolved
3	Update plan contact info	ADM	01/30/2008	09/15/2008		Resolved
4	Update plan life cycle & IRO capability.	ADM	01/30/2008	09/15/2008		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Rece	Status
5	Update plan control descriptions.	ADM	01/30/2008	09/15/2008		Resolved
7	Update contingency plan	ADM	01/30/2008	09/15/2008		Resolved
8	Consistently define plan and assessment protection requirements	ADM	01/30/2008	09/15/2008		Resolved
OIG-05-A-09 Audit of the Budget Formulation Process (01/31/2005)						
1	EDO, CFO Roles	OCFO	12/10/2007	03/31/2008		Resolved
2	PRC Role	OCFO	12/10/2007	03/31/2008		Resolved
3	Document Process	OCFO	12/10/2007	03/31/2008		Resolved
OIG-05-A-13 Audit of NRC's Telecommunications Program (06/07/2005)						
3	Revise MD 2.3.	OCIO	02/28/2008	08/01/2008		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program (09/21/2005)						
1	Retain Supporting Documentation	NMSS,OCFO	03/28/2008	06/30/2008		Resolved
OIG-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA (09/22/2005)						
1	Security controls on laptops	OIS	11/28/2007	04/28/2008		Resolved
2	Rules of behavior agreement for security controls	OIS	11/28/2007	04/28/2008		Resolved
3	Verify required security controls	OIS	02/12/2008	04/28/2008		Resolved
4	Provide guidance on Executive Order 13103	OIS	11/28/2007	04/28/2008		Resolved
5	Rules of behavior agreement EO 13103	OIS	11/28/2007	04/28/2008		Resolved
6	Develop procedures for monitoring compliance with Executive Order 13103	OIS	11/28/2007	04/28/2008		Resolved
OIG-05-A-19 Audit of NRC's Generic Communications Program (09/30/2005)						
1	Security Advisories in GC Program	NRR,NSIR			02/01/2008	Resolved
3	Consistent Tracking Methodology	NRR,NSIR			02/01/2008	Resolved
4	Effectiveness of GC Program	NRR			02/01/2008	Resolved
OIG-06-A-06 Audit of NRC's Integrated Personnel Security System (01/09/2006)						
17	Cost-benefit analysis	ADM			03/14/2008	Resolved
OIG-06-A-09 Audit of NRC's Office of Nuclear Security and Incident Response (02/16/2006)						
2	Documenting Emergent Work	EDO,NSIR	03/07/2008	06/27/2008		Resolved
6	Assessment Follow-Up	EDO,NSIR	03/07/2008	06/27/2008		Resolved
OIG-06-A-10 Audit of the Development of the National Source Tracking System (02/23/2006)						
1	1. Conduct Regulatory Analysis	EDO,NMSS	11/16/2007	04/30/2008		Resolved
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	DO,FSME,NMS			03/31/2008	Resolved
2	Modify licensing process to address identified risks	DO,FSME,NMS			03/31/2008	Resolved
OIG-06-A-21 Audit of NRC's Baseline Security and Safeguards Inspection Program (09/08/2006)						
1	Required Training	NSIR	03/25/2008	08/04/2008		Resolved
4	Training Program Update	NSIR	03/25/2008	08/04/2008		Resolved
6	Sample Size Guidance	NSIR	03/25/2008	08/04/2008		Resolved
7	Sample Size Training	NSIR	03/25/2008	08/04/2008		Resolved
OIG-06-A-22 Audit of NRC's Process for Releasing Commission Decision Documents (09/08/2006)						
1	Develop a FOIA 552(a)(2) compliance program	EDO,OGC,SECY			12/26/2007	Resolved
OIG-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment In Regulating the Commercial Nuclear Power Industry (09/29/2006)						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Rece	Status
1	Implement process for maintaining PRA models	NRR,RES			01/17/2008	Resolved
3	Full V&V for SAPHIRE and GEM	NRR,RES			01/17/2008	Resolved
OIG-07-A-05 Audit of NRC's Technical Training Center (01/09/2007)						
1	Rec. 01 - Revise MD 13.1	EDO,HR	03/28/2008	07/15/2008		Resolved
3	Rec. 03 - Finalize Policies and Procedures	HR	01/22/2008	07/15/2008		Resolved
4	Rec. 04 Maintenance Policy	HR	01/22/2008	07/15/2008		Resolved
5	Rec. 05 Policy for Pending Changes	HR	01/22/2008	07/15/2008		Resolved
9	Rec. 09 Periodically rotate cognizant instructors	HR	01/22/2008	07/15/2008		Resolved
10	Rec. 10 Establish method to track course evaluations	HR	01/22/2008	07/15/2008		Resolved
11	Rec. 11 Evaluation of Instructor performance	HR	01/22/2008	07/15/2008		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities (01/10/2007)						
1	Fuel Cycle Facility framework	NMSS	03/03/2008	09/30/2009		Resolved
OIG-07-A-10 Audit of NRC's Badge Access System (01/23/2007)						
5	Institute quarterly quality assurance reviews of system data	ADM			03/25/2008	Resolved
8	Write and implement badge access system operating procedures	ADM			03/25/2008	Resolved
10	Replace visitor badges with expiring paper badges.	ADM			03/25/2008	Resolved
13	Security plan and Information System Security Officer.	ADM			03/25/2008	Resolved
14	Documentation to support interim authority to operate.	ADM			03/25/2008	Resolved
15	Address penetration test report.	ADM			03/25/2008	Resolved
OIG-07-A-11 Memorandum Report: Audit of NRC's Nuclear Material Events Database (03/23/2007)						
1	Develop/implement FCNMED procedures	NMSS	01/07/2008	07/11/2008		Resolved
3	Conduct QA review of FCNMED	NMSS	01/07/2008	07/11/2008		Resolved
OIG-07-A-12 Summary Report on Byproduct Material Security and Control (03/30/2007)						
1	Independent Panel of Experts	EDO,FSME			03/31/2008	Resolved
OIG-07-A-14 Audit of NRC's Non-Capitalized Property (07/12/2007)						
1	Rec. 01 SES Performance Plan	ADM,EDO			02/29/2008	Resolved
2	Rec. 02 Property Custodian Evaluations	ADM,EDO			02/29/2008	Resolved
3	Rec. 03 Performance Measures	ADM,EDO			02/29/2008	Resolved
4	Rec. 04 Property Custodian Training	ADM,EDO			02/29/2008	Resolved
5	Rec. 05 Threshold Increase	ADM,EDO			02/29/2008	Resolved
6	Rec. 06 Modify Form 395	ADM,EDO			02/29/2008	Resolved
7	Rec. 07 Modify MD 13.1	ADM,EDO			02/29/2008	Resolved
8	Rec. 08 Interim Guidance	ADM,EDO			02/29/2008	Resolved
9	Rec. 09 Reemphasize Physical Security	ADM,EDO			02/29/2008	Resolved
10	Rec. 10 Survey NRC Physical Security Measures	ADM,EDO			02/29/2008	Resolved
11	Rec. 11 Modify MD 13.1 to Notify AIGI	ADM,EDO			02/29/2008	Resolved
12	Rec. 12 Interim Guidance to Notify AIGI	ADM,EDO			02/29/2008	Resolved
OIG-07-A-15 Audit of NRC's License Renewal Program (09/05/2007)						
1	Report-writing Standards	EDO,NRR	01/07/2008	06/30/2008		Resolved
2	Revise QA process	EDO,NRR	01/07/2008	06/30/2008		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Rece	Status
3	Document Removal Guidance	EDO,NRR	01/07/2008	06/30/2008		Resolved
4	Op Exper Reviews	EDO,NRR	01/07/2008	06/30/2008		Resolved
5	Complete IP 71003	EDO,NRR	01/07/2008	06/30/2008		Resolved
6	Communicate IP 71003 details	EDO,NRR	01/07/2008	06/30/2008		Resolved
7	Establish backfit review process	EDO,NRR	01/07/2008	06/30/2008		Resolved
8	Commission's SOC	EDO,NRR	01/07/2008	06/30/2008		Resolved
OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries (09/06/2007)						
1	Update MD 3.4	OIS			03/19/2008	Resolved
2	Create supplemental guidance document	OIS			03/19/2008	Resolved
3	Conduct training needs analysis	OIS			03/19/2008	Resolved
4	Develop Mechanism to indicate public/non-public rationale	OIS			03/19/2008	Resolved
5	Require offices to use mechanism developed to record public/non-public rationale	OIS			03/19/2008	Resolved
6	Conduct Periodic Assessments	OIS			03/19/2008	Resolved
7	Notify office directors of all documents assigned non-public, pending review status fo	OIS			03/19/2008	Resolved
8	Add a non-public, pending review category to E-RIDS notifications.	OIS			03/19/2008	Resolved
OIG-07-A-18 Assessment of Security at NRC Buildings (09/25/2007)						
1	Control of pedestrians	ADM	11/28/2007	04/28/2008		Resolved
2	Add additional cameras	ADM	11/28/2007	04/28/2008		Resolved
3	Consider blank screen technology	ADM	11/06/2007	04/28/2008		Resolved
5	Install vehicle barrier	ADM	11/28/2007	04/28/2008		Resolved
6	Install fencing around gas equipment	ADM	11/28/2007	04/28/2008		Resolved
7	Install lock on electrical transformer gate	ADM	11/28/2007	04/28/2008		Resolved
10	Apply mylar film	ADM	11/28/2007	04/28/2008		Resolved
11	Post signs directing pedestrian traffic	ADM	11/28/2007	04/28/2008		Resolved
12	Place warning sign	ADM	11/28/2007	04/28/2008		Resolved
13	Increase width of painted walkway	ADM	11/28/2007	04/28/2008		Resolved
14	Clearly mark activation buttons and remove obstructions	ADM	11/28/2007	04/28/2008		Resolved
15	Review EOP appendices	ADM	11/28/2007	04/28/2008		Resolved
16	complete apendices A,D, and E for EOP	ADM	11/28/2007	04/28/2008		Resolved
17	Install alarm on emergency egress door	ADM	11/28/2007	04/28/2008		Resolved
18	Conduct a fire alarm audibility test in the HOO area	ADM	11/28/2007	04/28/2008		Resolved
20	Implement more robust back up power system	ADM	11/28/2007	04/28/2008		Resolved
21	Develop guard post orders on contingency plans	ADM	11/28/2007	04/28/2008		Resolved
22	Consider assigning security manager in Las Vegas	ADM	11/28/2007	04/28/2008		Resolved
23	Develop and refine plans for hearings in Las Vegas	ADM	11/28/2007	04/28/2008		Resolved
25	Conduct electrical study of UPS	ADM	11/28/2007	04/28/2008		Resolved
26	Develop implementing procedures too sensitive for EOP	ADM	11/28/2007	04/28/2008		Resolved
27	Conduct tabletop exercises	ADM	11/28/2007	04/28/2008		Resolved
OIG-07-A-19 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2007 (09/28/2007)						
1	Review Security Categorizations	OIS	11/16/2007	03/31/2008		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Rece	Status
2	Categorize all NRC major applications and general support systems	OIS	11/16/2007	03/31/2008		Resolved
2	Categorize all NRC major applications and general support systems	OIS	02/11/2008	04/15/2008		Resolved
3	Conduct annual self-assessments in accordance with guidance	OIS	11/16/2007	03/31/2008		Resolved
10	Develop and Implement a methodology for identifying which listed systems reside on	OIS	02/11/2008	04/15/2008		Resolved
11	Develop and implement quality assurance procedures for POA&Ms.	OIS	11/16/2007	03/31/2008		Resolved
12	Follow NIST guidance when issuing IATOs	OIS	11/16/2007	03/31/2008		Resolved
13	Develop and implement quality assurance procedures for certification and accreditatic	OIS	11/16/2007	03/31/2008		Resolved
14	Develop and implement procedures to ensure employees/contractors receive proper se	OIS	11/16/2007	03/31/2008		Resolved
OIG-08-A-01 Results of the Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Years 2007 and 2006 (11/09/2007)						
1	System Vulnerabilities	OCFO	12/18/2007	11/28/2008		Resolved
2	Fee Billing System Controls	OCFO	12/18/2007	11/28/2008		Resolved
OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program (12/14/2007)						
1	Develop interim guidance	EDO,OE	02/19/2008	06/02/2008		Resolved
2	Incorporate guidance in Enforcement Policy	EDO,OE	02/19/2008	06/02/2008		Resolved
3	Develop ADR tracking system	EDO,OE	02/19/2008	06/02/2008		Resolved
4	Create an ADR Management Directive	EDO	02/19/2008	06/02/2008		Resolved