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

OFFICE OF THE
INSPECTOR GENERAL

December 3, 2008

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 – NOVEMBER 2008

Attached is the OIG up-to-date status of all open audit recommendations as of the end of November 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 # & Name	Unresolved	Resolved	Closed	Total
OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report	0	2	0	2
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information	0	2	0	2
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials	0	2	6	8
OIG-04-A-20 Audit of NRC's Incident Response Program	0	1	16	17
OIG-04-A-22 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004	0	1	15	16
OIG-05-A-08 System Evaluation of the Integrated Personnel Security System (IPSS)	0	6	2	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 - FISMA	0	5	3	8
OIG-05-A-19 Audit of NRC's Generic Communications Program	0	3	1	4
OIG-06-A-09 Audit of NRC's Office of Nuclear Security and Incident Response	0	1	5	6
OIG-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process	0	2	0	2
OIG-06-A-21 Audit of NRC's Baseline Security and Safeguards Inspection Program	0	4	4	8
OIG-06-A-22 Audit of NRC's Process for Releasing Commission Decision Documents	0	1	1	2
OIG-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment In Regulating the Commercial Nuclear Power Industry	0	1	2	3
OIG-07-A-05 Audit of NRC's Technical Training Center	0	5	6	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	4	13	17
OIG-07-A-11 Memorandum Report: Audit of NRC's Nuclear Material Events Database	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	3	9	12
OIG-07-A-15 Audit of NRC's License Renewal Program	0	3	5	8
OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries	0	6	2	8
OIG-07-A-18 Assessment of Security at NRC Buildings	0	1	26	27
OIG-07-A-19 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2007	0	2	13	15
OIG-08-A-01 Results of the Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Years 2007 and 2006	0	2	0	2
OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program	0	2	2	4
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program	0	1	0	1
OIG-08-A-07 Audit of NRC's Oversight of Licensees Nuclear Security Officers	0	2	1	3
OIG-08-A-09 Audit of NRC's Power Uprate Program	0	6	2	8
OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN	0	2	0	2
OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting	0	6	0	6
OIG-08-A-12 Audit of NRC's USAID-Funded Activities	0	3	2	5
OIG-08-A-13 Evaluation of NRC's Training and Development Program	17	0	0	17

Status of Audit Recommendations - Open Audits

Report # & Name	Unresolved	Resolved	Closed	Total
OIG-08-A-14 Audit of NRC's Controls Over the Process for Eliminating Management Directives	0	2	0	2
OIG-08-A-16 Audit of NRC's Premium Class Travel	0	7	0	7
OIG-08-A-17 Audit of NRC's Enforcement Program	3	0	0	3
OIG-08-A-18 Independent Evaluation of NRC's Implementation of FISMA for FY 2008	0	4	0	4
OIG-08-A-19 Audit of NRC's Laptop Management	0	5	0	5
OIG-09-A-01 Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Year 2008	4	0	0	4
OIG-09-A-03 Audit of National Source Tracking System Information System Development	2	0	0	2
Grand Total	**26**	**106**	**153**	**285**

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report						
1	Develop a Management Directive	OCFO	6/16/2008	12/31/2008		Resolved
3	Include guidance on reporting unmet goals	OCFO	6/16/2008	12/31/2008		Resolved
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information						
1	Update OUO Guidance	EDO,OIS	11/18/2008	12/31/2009		Resolved
2	Mandate defined markings	EDO	11/18/2008	12/31/2009		Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials						
1	Conduct periodic inspections	EDO,NMSS			9/26/2008	Resolved
3	Document risk informed approach	EDO,NMSS			9/26/2008	Resolved
OIG-04-A-20 Audit of NRC's Incident Response Program						
4	Conduct Periodic Reviews of Region's IRPs	EDO,NSIR	9/18/2008	2/27/2009		Resolved
OIG-04-A-22 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004						
5	Re-certify and re-accredit the NRC Data Center/Telecommunications System.	CSO,EDO,OCIO	11/7/2008	4/30/2009		Resolved
OIG-05-A-08 System Evaluation of the Integrated Personnel Security System (IPSS)						
1	Re-certify and re-accredit IPSS	ADM,EDO	10/3/2008	4/30/2009		Resolved
2	Update risk assessment risk levels	ADM,EDO	10/3/2008	4/30/2009		Resolved
3	Update plan contact info	ADM,EDO	10/3/2008	4/30/2009		Resolved
4	Update plan life cycle & IRO capability.	ADM,EDO	10/3/2008	4/30/2009		Resolved
5	Update plan control descriptions.	ADM,EDO	10/3/2008	4/30/2009		Resolved
8	Consistently define plan and assessment protection requirements	ADM,EDO	10/3/2008	4/30/2009		Resolved
OIG-05-A-09 Audit of the Budget Formulation Process						
1	EDO, CFO Roles	OCFO	4/18/2008	12/31/2008		Resolved
2	PRC Role	OCFO	4/18/2008	12/31/2008		Resolved
3	Document Process	OCFO	4/18/2008	12/31/2008		Resolved
OIG-05-A-13 Audit of NRC's Telecommunications Program						
3	Revise MD 2.3.	EDO,OCIO	8/13/2008	3/29/2009		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	7/9/2008	1/15/2009		Resolved
OIG-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA						
2	Rules of behavior agreement for security controls	CSO,EDO,OIS	10/31/2008	7/31/2009		Resolved
3	Verify required security controls	CSO,EDO,OIS	10/31/2008	7/31/2009		Resolved
4	Provide guidance on Executive Order 13103	CSO,EDO,OIS	10/31/2008	7/31/2009		Resolved
5	Rules of behavior agreement EO 13103	CSO,EDO,OIS	10/31/2008	7/31/2009		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
6	Develop procedures for monitoring compliance with Executive Order 13103	CSO,EDO,OIS	10/31/2008	7/31/2009		Resolved
OIG-05-A-19 Audit of NRC's Generic Communications Program						
1	Security Advisories in GC Program	EDO,NRR,NSIR	10/2/2008	3/20/2009		Resolved
3	Consistent Tracking Methodology	EDO,NRR,NSIR	10/2/2008	3/20/2009		Resolved
4	Effectiveness of GC Program	EDO,NRR	10/2/2008	3/20/2009		Resolved
OIG-06-A-09 Audit of NRC's Office of Nuclear Security and Incident Response						
2	Documenting Emergent Work	EDO,NSIR	10/9/2008	1/30/2009		Resolved
OIG-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process						
1	Conduct a materials process vulnerability assessment	EDO,FSME,NMSS			10/29/2008	Resolved
2	Modify licensing process to address identified risks	EDO,FSME,NMSS			10/29/2008	Resolved
OIG-06-A-21 Audit of NRC's Baseline Security and Safeguards Inspection Program						
1	Required Training	NSIR	8/13/2008	12/30/2008		Resolved
4	Training Program Update	NSIR	8/13/2008	12/30/2008		Resolved
6	Sample Size Guidance	NSIR	8/13/2008	12/30/2008		Resolved
7	Sample Size Training	NSIR	8/13/2008	12/30/2008		Resolved
OIG-06-A-22 Audit of NRC's Process for Releasing Commission Decision Documents						
1	Develop a FOIA 552(a)(2) compliance program	EDO,OGC,OIS,SECY	10/9/2008	1/16/2009		Resolved
OIG-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment In Regulating the Commercial Nuclear Power Industry						
3	Full V&V for SAPHIRE and GEM	EDO,NRR,RES	7/7/2008	12/31/2008		Resolved
OIG-07-A-05 Audit of NRC's Technical Training Center						
1	Rec. 01 - Revise MD 13.1	EDO,HR	8/25/2008	3/2/2009		Resolved
3	Rec. 03 - Finalize Policies and Procedures	HR	8/28/2008	3/2/2009		Resolved
9	Rec. 09 Periodically rotate cognizant instructors	EDO,HR	8/25/2008	3/2/2009		Resolved
10	Rec. 10 Establish method to track course evaluations	HR	8/28/2008	3/2/2009		Resolved
11	Rec. 11 Evaluation of Instructor performance	HR	8/21/2008	3/2/2009		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	7/7/2008	1/30/2009		Resolved
OIG-07-A-10 Audit of NRC's Badge Access System						
8	Write and implement badge access system operating procedures	ADM,EDO	5/6/2008	12/29/2008		Resolved
10	Replace visitor badges with expiring paper badges.	ADM,EDO	5/6/2008	12/29/2008		Resolved
13	Security plan and Information System Security Officer.	ADM,EDO	5/6/2008	12/29/2008		Resolved
15	Address penetration test report.	ADM,EDO	5/6/2008	12/29/2008		Resolved
OIG-07-A-11 Memorandum Report: Audit of NRC's Nuclear Material Events Database						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Develop/implement FCNMED procedures	EDO,NMSS	7/29/2008	1/16/2009		Resolved
3	Conduct QA review of FCNMED	EDO,NMSS	7/29/2008	1/16/2009		Resolved
OIG-07-A-12 Summary Report on Byproduct Material Security and Control						
1	Independent Panel of Experts	EDO,FSME			10/29/2008	Resolved
OIG-07-A-14 Audit of NRC's Non-Capitalized Property						
2	Rec. 02 Property Custodian Evaluations	ADM,EDO			10/30/2008	Resolved
7	Rec. 07 Modify MD 13.1	ADM,EDO	8/29/2008	3/31/2009		Resolved
11	Rec. 11 Modify MD 13.1 to Notify AIGI	ADM,EDO	8/29/2008	3/31/2009		Resolved
OIG-07-A-15 Audit of NRC's License Renewal Program						
3	Document Removal Guidance	EDO,NRR	9/11/2008	2/27/2009		Resolved
4	Op Exper Reviews	EDO,NRR	9/11/2008	2/27/2009		Resolved
7	Establish backfit review process	EDO,NRR	9/11/2008	2/27/2009		Resolved
OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries						
1	Update MD 3.4	EDO,OIS	11/19/2008	4/30/2009		Resolved
2	Create supplemental guidance document	EDO,OIS	11/19/2008	4/30/2009		Resolved
3	Conduct training needs analysis	EDO,OIS	11/19/2008	4/30/2009		Resolved
4	Develop Mechanism to indicate public/non-public rationale	EDO,OIS	11/19/2008	4/30/2009		Resolved
5	Require offices to use mechanism developed to record public/non-public rationale	EDO,OIS	11/19/2008	4/30/2009		Resolved
6	Conduct Periodic Assessments	EDO,OIS	11/19/2008	4/30/2009		Resolved
OIG-07-A-18 Assessment of Security at NRC Buildings						
11	Post signs directing pedestrian traffic	ADM,EDO	10/27/2008	7/10/2009		Resolved
OIG-07-A-19 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2007						
11	Develop and implement quality assurance procedures for POA&Ms.	CSO,EDO,OIS	11/7/2008	1/30/2009		Resolved
14	Develop and implement procedures to ensure employees/contractors receive proper security training.	CSO,EDO,OIS	11/7/2008	1/30/2009		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						
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						
2	Incorporate guidance in Enforcement Policy	EDO,OE	6/30/2008	1/16/2009		Resolved
3	Develop ADR tracking system	EDO,OE	6/30/2008	1/16/2009		Resolved
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program						
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR	5/6/2008	12/30/2008		Resolved
OIG-08-A-07 Audit of NRC's Oversight of Licensees Nuclear Security Officers						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Revise regulations governing licensee behavioral observation programs.	EDO,NSIR	9/17/2008	1/30/2009		Resolved
2	Integrate behavioral observation program regulations	EDO,NSIR	9/17/2008	1/30/2009		Resolved
OIG-08-A-09 Audit of NRC's Power Uprate Program						
2	Provide Cross-References to IP 71004	EDO,NRR	9/24/2008	3/15/2009		Resolved
4	Develop Safety Evaluation Writing Training for NRR Staff	EDO,NRR	9/24/2008	3/15/2009		Resolved
5	Implement Internal Controls to Communicate the Safety Evaluation	EDO,NRR	9/24/2008	3/15/2009		Resolved
6	Strengthen or Assign a Power Uprate Coordinating Authority	EDO,NRR	9/24/2008	3/15/2009		Resolved
7	Identify Power Uprate Program Roles & Responsibilities	EDO,NRR	9/24/2008	3/15/2009		Resolved
8	Develop an Information Sharing Tool for Project Managers	EDO,NRR	9/24/2008	3/15/2009		Resolved
OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN						
1	Physical Security Survey Guidance	ADM,EDO,NSIR	7/22/2008	12/31/2008		Resolved
2	Conduct Physical Security Surveys	ADM,EDO,NSIR	7/22/2008	12/31/2008		Resolved
OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting						
1	High Level TACs	OCFO	8/22/2008	12/19/2008		Resolved
2	Recordation vehicles	OCFO	8/22/2008	12/19/2008		Resolved
3	Detailed System analysis	OCFO	8/22/2008	12/19/2008		Resolved
4	Electronic Signatures	OCFO	8/22/2008	12/19/2008		Resolved
5	Retention Requirements	OCFO	8/22/2008	12/19/2008		Resolved
6	Report on open work assignments	OCFO	8/22/2008	12/19/2008		Resolved
OIG-08-A-12 Audit of NRC's USAID-Funded Activities						
2	Correct Accounting Records	OIP	10/9/2008	1/15/2009		Resolved
3	Develop Procedures	OIP	10/9/2008	1/15/2009		Resolved
4	Internal Controls	OIP	10/9/2008	1/15/2009		Resolved
OIG-08-A-13 Evaluation of NRC's Training and Development Program						
1	Review course files	EDO,HR			9/22/2008	Unresolved
2	Develop a plan	EDO,HR			9/22/2008	Unresolved
3	Complete OP 404	EDO,HR			9/22/2008	Unresolved
4	Centralize course materials	EDO,HR			9/22/2008	Unresolved
5	Lifecycle maintenance procedure	EDO,HR			9/22/2008	Unresolved
6	Form working group	EDO,HR			9/22/2008	Unresolved
7	Schedule courses	EDO,HR			9/22/2008	Unresolved
8	Impact on employees	EDO,HR			9/22/2008	Unresolved
9	New performance metrics	EDO,HR			9/22/2008	Unresolved
10	Leverage LMS capabilities	EDO,HR			9/22/2008	Unresolved
11	Develop cost tracking	EDO,HR			9/22/2008	Unresolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
12	Finalize OP 410	EDO,HR			9/22/2008	Unresolved
13	Develop evaluation strategy	EDO,HR			9/22/2008	Unresolved
14	Evaluate collecting data	EDO,HR			9/22/2008	Unresolved
15	Develop e-learning strategy	EDO,HR			9/22/2008	Unresolved
16	Implementation plan	EDO,HR			9/22/2008	Unresolved
17	Develop a process	EDO,HR			9/22/2008	Unresolved
⊟ OIG-08-A-14 Audit of NRC's Controls Over the Process for Eliminating Management Directives						
1	Add specificity to MD 1.1	ADM,EDO	9/3/2008	3/2/2009		Resolved
2	Publish hierarchy of guidance	EDO	9/3/2008	3/2/2009		Resolved
⊟ OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO	11/7/2008	1/15/2009		Resolved
2	Interim Guidance	OCFO	11/7/2008	1/15/2009		Resolved
3	Traveler Training	OCFO	11/7/2008	1/15/2009		Resolved
4	Internal Controls - Tickets	OCFO	11/7/2008	1/15/2009		Resolved
5	Internal Controls - Vouchers	OCFO	11/7/2008	1/15/2009		Resolved
6	eTravel	OCFO	11/7/2008	1/15/2009		Resolved
7	Chairman Travel	OCFO	11/7/2008	1/15/2009		Resolved
⊟ OIG-08-A-17 Audit of NRC's Enforcement Program						
1	Develop guidance	EDO,OE			10/27/2008	Unresolved
2	Define data collection requirements	EDO,OE			10/27/2008	Unresolved
3	Develop QA process	EDO,OE			10/27/2008	Unresolved
⊟ OIG-08-A-18 Independent Evaluation of NRC's Implementation of FISMA for FY 2008						
1	Update the NRC System Information Control Database to identify all interfaces between systems	EDO,OIS	11/24/2008	8/31/2009		Resolved
2	Develop procedures for NRC System Information Control Database	EDO,OIS	11/24/2008	8/31/2009		Resolved
3	Develop policy/procedures for FDCC for all desktops and laptops	CSO,EDO	11/24/2008	8/31/2009		Resolved
4	Develop process for verifying FDCC controls are implemented on all desktops/laptops	CSO,EDO,OIS	11/24/2008	8/31/2009		Resolved
⊟ OIG-08-A-19 Audit of NRC's Laptop Management						
1	Develop policies and procedures for monitoring security controls.	EDO,OIS	11/25/2008	3/2/2009		Resolved
2	Communicate Policy for monitoring of Security Controls	EDO,OIS	11/25/2008	3/2/2009		Resolved
3	Provide mandatory formal training to IT Coordinators and Property Custodians	EDO,OIS	11/25/2008	3/2/2009		Resolved
4	Develop a process for verifying security controls are implemented on agency laptops	EDO,OIS	10/30/2008	3/2/2009		Resolved
5	Develop a protocol for updating agency laptops	EDO,OIS	11/25/2008	3/2/2009		Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-09-A-03 Audit of National Source Tracking						
1	Establish Policies and Procedures	EDO,FSME	11/20/2008	12/22/2008		Unresolved
2	Require staff to undergo periodic training on information systems development policy/procedures.	EDO,FSME	11/20/2008	12/22/2008		Unresolved