

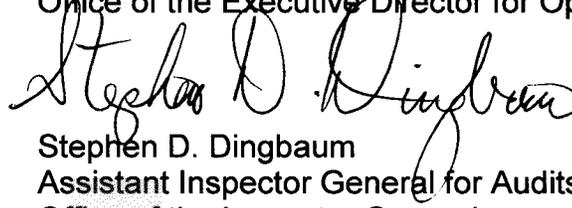


**UNITED STATES  
NUCLEAR REGULATORY COMMISSION**  
WASHINGTON, D.C. 20555-0001

OFFICE OF THE  
INSPECTOR GENERAL

May 6, 2009

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



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

FROM:

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS –  
APRIL 2009

Attached is the OIG up-to-date status of all open audit recommendations as of the end of April 2009. 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-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process	0	2	0	2
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	2	9	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	3	14	17
OIG-07-A-11 Memorandum Report: Audit of NRC's Nuclear Material Events Database	0	2	1	3
OIG-07-A-14 Audit of NRC's Non-Capitalized Property	0	2	10	12
OIG-07-A-15 Audit of NRC's License Renewal Program	0	2	6	8
OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries	0	2	6	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-03 Audit of NRC's Alternative Dispute Resolution Program	0	1	3	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-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN	0	1	1	2
OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting	0	4	2	6
OIG-08-A-13 Evaluation of NRC's Training and Development Program	0	16	1	17
OIG-08-A-14 Audit of NRC's Controls Over the Process for Eliminating Management Directives	0	1	1	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	0	3	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	3	2	5
OIG-09-A-01 Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Year 2008	0	4	0	4

## Status of Audit Recommendations - Open Audits

Report # & Name	Unresolved	Resolved	Closed	Total
OIG-09-A-03 Audit of National Source Tracking System Information System Development	0	2	0	2
OIG-09-A-06 Audit of the Committee to Review Generic Communications	0	2	0	2
OIG-09-A-07 Audit of NRC's Occupant Emergency Program	0	10	2	12
OIG-09-A-08 Audit of NRC's Agreement State Program	5	0	0	5
OIG-09-A-09 Audit of NRC's Warehouse Operations	9	0	0	9
<b>Grand Total</b>	<b>14</b>	<b>106</b>	<b>159</b>	<b>279</b>

## Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
<b>[-] OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report</b>						
1	Develop a Management Directive	OCFO	1/7/2009	1/15/2010		Resolved
3	Include guidance on reporting unmet goals	OCFO	1/7/2009	1/15/2010		Resolved
<b>[-] OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information</b>						
1	Update OOU Guidance	EDO,OIS	11/18/2008	12/31/2009		Resolved
2	Mandate defined markings	EDO	11/18/2008	12/31/2009		Resolved
<b>[-] OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials</b>						
1	Conduct periodic inspections	EDO,NMSS	3/31/2009	12/31/2009		Resolved
3	Document risk informed approach	EDO,NMSS	3/31/2009	12/31/2009		Resolved
<b>[-] OIG-04-A-20 Audit of NRC's Incident Response Program</b>						
4	Conduct Periodic Reviews of Region's IRPs	EDO,NSIR	2/27/2009	8/28/2009		Resolved
<b>[-] OIG-04-A-22 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2004</b>						
5	Re-certify and re-accredit the NRC Data Center/Telecommunications System.	CSO,EDO,OCIO	4/16/2009	7/31/2009		Resolved
<b>[-] OIG-05-A-08 System Evaluation of the Integrated Personnel Security System (IPSS)</b>						
1	Re-certify and re-accredit IPSS	ADM,EDO	4/2/2009	7/31/2009		Resolved
2	Update risk assessment risk levels	ADM,EDO	4/2/2009	7/31/2009		Resolved
3	Update plan contact info	ADM,EDO	4/2/2009	7/31/2009		Resolved
4	Update plan life cycle & IRO capability.	ADM,EDO	4/2/2009	7/31/2009		Resolved
5	Update plan control descriptions.	ADM,EDO	4/2/2009	7/31/2009		Resolved
8	Consistently define plan and assessment protection requirements	ADM,EDO	4/2/2009	7/31/2009		Resolved
<b>[-] OIG-05-A-09 Audit of the Budget Formulation Process</b>						
1	EDO, CFO Roles	OCFO	12/22/2008	1/15/2010		Resolved
2	PRC Role	OCFO	12/22/2008	1/15/2010		Resolved
3	Document Process	OCFO	12/22/2008	1/15/2010		Resolved
<b>[-] OIG-05-A-13 Audit of NRC's Telecommunications Program</b>						
3	Revise MD 2.3.	EDO,OCIO	4/16/2009	10/30/2009		Resolved
<b>[-] OIG-05-A-17 Audit of NRC's Decommissioning Program</b>						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	12/22/2008	1/15/2010		Resolved
<b>[-] OIG-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA</b>						
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
<b>[-] OIG-06-A-11 Audit of the NRC Byproduct materials License Application and Review Process</b>						
1	Conduct a materials process vulnerability assessment	EDO,FSME,NMSS	1/12/2009	6/30/2009		Resolved
2	Modify licensing process to address identified risks	EDO,FSME,NMSS	1/12/2009	6/30/2009		Resolved
<b>[-] OIG-06-A-22 Audit of NRC's Process for Releasing Commission Decision Documents</b>						
1	Develop a FOIA 552(a)(2) compliance program	EDO,OGC,OIS,SEC Y			12/30/2008	Resolved
<b>[-] OIG-06-A-24 Evaluation of NRC's Use of Probabilistic Risk Assessment in Regulating the Commercial Nuclear Power Industry</b>						
3	Full V&V for SAPHIRE and GEM	EDO,NRR,RES	2/20/2009	8/28/2009		Resolved
<b>[-] OIG-07-A-05 Audit of NRC's Technical Training Center</b>						
1	Rec. 01 - Revise MD 13.1	ADM,EDO,HR	4/20/2009	10/15/2009		Resolved
11	Rec. 11 Evaluation of Instructor performance	EDO,HR	4/20/2009	10/15/2009		Resolved
<b>[-] OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities</b>						
1	Fuel Cycle Facility framework	EDO,NMSS	2/20/2009	8/28/2009		Resolved
<b>[-] OIG-07-A-10 Audit of NRC's Badge Access System</b>						
8	Write and implement badge access system operating procedures	ADM,EDO	1/16/2009	5/29/2009		Resolved
13	Security plan and Information System Security Officer.	ADM,EDO	1/16/2009	5/29/2009		Resolved
15	Address penetration test report.	ADM,EDO	1/16/2009	5/29/2009		Resolved
<b>[-] OIG-07-A-11 Memorandum Report: Audit of NRC's Nuclear Material Events Database</b>						
1	Develop/implement FCNMED procedures	EDO,NMSS			4/15/2009	Resolved
3	Conduct QA review of FCNMED	EDO,NMSS			4/15/2009	Resolved
<b>[-] OIG-07-A-14 Audit of NRC's Non-Capitalized Property</b>						
7	Rec. 07 Modify MD 13.1	ADM,EDO	3/18/2009	10/31/2009		Resolved
11	Rec. 11 Modify MD 13.1 to Notify AIGI	ADM,EDO	3/18/2009	10/31/2009		Resolved
<b>[-] OIG-07-A-15 Audit of NRC's License Renewal Program</b>						
4	Op Exper Reviews	EDO,NRR	3/31/2009	9/30/2009		Resolved
7	Establish backfit review process	EDO,NRR	3/31/2009	9/30/2009		Resolved
<b>[-] OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries</b>						
3	Conduct training needs analysis	EDO,OIS	4/2/2009	11/30/2009		Resolved
6	Conduct Periodic Assessments	EDO,OIS	4/2/2009	11/30/2009		Resolved
<b>[-] OIG-07-A-18 Assessment of Security at NRC Buildings</b>						
11	Post signs directing pedestrian traffic	ADM,EDO	10/27/2008	7/10/2009		Resolved
<b>[-] OIG-07-A-19 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2007</b>						
11	Develop and implement quality assurance procedures for POA&Ms.	CSO,EDO,OIS			3/24/2009	Resolved

## Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
14	Develop and implement procedures to ensure employees/contractors receive proper security training.	CSO,EDO,OIS			3/24/2009	Resolved
<b>☐ OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program</b>						
2	Incorporate guidance in Enforcement Policy	EDO,OE	2/25/2009	6/1/2009		Resolved
<b>☐ OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program</b>						
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR	1/9/2009	6/26/2009		Resolved
<b>☐ OIG-08-A-07 Audit of NRC's Oversight of Licensees Nuclear Security Officers</b>						
1	Revise regulations governing licensee behavioral observation programs.	EDO,NSIR	2/18/2009	5/15/2009		Resolved
2	Integrate behavioral observation program regulations	EDO,NSIR	2/18/2009	5/15/2009		Resolved
<b>☐ OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN</b>						
1	Physical Security Survey Guidance	ADM,EDO,NSIR	3/18/2009	6/26/2009		Resolved
<b>☐ OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting</b>						
1	High Level TACs	OCFO	1/21/2009	7/15/2009		Resolved
2	Recordation vehicles	OCFO	1/21/2009	7/15/2009		Resolved
3	Detailed System analysis	OCFO	1/21/2009	7/15/2009		Resolved
4	Electronic Signatures	OCFO	1/21/2009	7/15/2009		Resolved
<b>☐ OIG-08-A-13 Evaluation of NRC's Training and Development Program</b>						
1	Review course files	EDO,HR			3/25/2009	Resolved
2	Develop a plan	EDO,HR			3/25/2009	Resolved
3	Complete OP 404	EDO,HR			3/25/2009	Resolved
4	Centralize course materials	EDO,HR			3/25/2009	Resolved
6	Form working group	EDO,HR			3/25/2009	Resolved
7	Schedule courses	EDO,HR			3/25/2009	Resolved
8	Impact on employees	EDO,HR			3/25/2009	Resolved
9	New performance metrics	EDO,HR			3/25/2009	Resolved
10	Leverage LMS capabilities	EDO,HR			3/25/2009	Resolved
11	Develop cost tracking	EDO,HR			3/25/2009	Resolved
12	Finalize OP 410	EDO,HR			3/25/2009	Resolved
13	Develop evaluation strategy	EDO,HR			3/25/2009	Resolved
14	Evaluate collecting data	EDO,HR			3/25/2009	Resolved
15	Develop e-learning strategy	EDO,HR			3/25/2009	Resolved
16	Implementation plan	EDO,HR			3/25/2009	Resolved
17	Develop a process	EDO,HR			3/25/2009	Resolved
<b>☐ OIG-08-A-14 Audit of NRC's Controls Over the Process for Eliminating Management Directives</b>						
2	Publish hierarchy of guidance	ADM,EDO	2/25/2009	7/31/2009		Resolved

# Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
<b>[-] OIG-08-A-16 Audit of NRC's Premium Class Travel</b>						
1	Update MD 14.1	OCFO			4/21/2009	Resolved
2	Interim Guidance	OCFO			4/21/2009	Resolved
3	Traveler Training	OCFO			4/21/2009	Resolved
4	Internal Controls - Tickets	OCFO			4/21/2009	Resolved
5	Internal Controls - Vouchers	OCFO			4/21/2009	Resolved
6	eTravel	OCFO			4/21/2009	Resolved
7	Chairman Travel	OCFO			4/21/2009	Resolved
<b>[-] OIG-08-A-17 Audit of NRC's Enforcement Program</b>						
1	Develop guidance	EDO,OE	12/3/2008	6/5/2009		Resolved
2	Define data collection requirements	EDO,OE	12/3/2008	6/5/2009		Resolved
3	Develop QA process	EDO,OE	12/3/2008	6/5/2009		Resolved
<b>[-] OIG-08-A-18 Independent Evaluation of NRC's Implementation of FISMA for FY 2008</b>						
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
<b>[-] OIG-08-A-19 Audit of NRC's Laptop Management</b>						
3	Provide mandatory formal training to IT Coordinators and Property Custodians	EDO,OIS	4/30/2009	10/15/2009		Resolved
4	Develop a process for verifying security controls are implemented on agency laptops	EDO,OIS	4/30/2009	10/15/2009		Resolved
5	Develop a protocol for updating agency laptops	EDO,OIS	4/30/2009	10/15/2009		Resolved
<b>[-] OIG-09-A-01 Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Year 2008</b>						
1	Plans to replace core financial management system.	OCFO	12/8/2008	12/10/2009		Resolved
2	Policies on calculating accounts payable.	OCFO	12/8/2008	12/10/2009		Resolved
3	Review and test accounts payable process	OCFO	12/8/2008	12/10/2009		Resolved
4	Develop historical relationships for accounts payable	OCFO	12/8/2008	12/10/2009		Resolved
<b>[-] OIG-09-A-03 Audit of National Source Tracking</b>						
1	Establish Policies and Procedures	EDO,FSME	3/18/2009	8/28/2009		Resolved
2	Require staff to undergo periodic training on information systems development policy/procedures.	EDO,FSME	3/18/2009	8/28/2009		Resolved
<b>[-] OIG-09-A-06 Audit of the Committee to Review Generic Communications</b>						
1	Develop agencywide backfit review process	EDO	3/25/2009	7/31/2009		Resolved

## Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
2	Role of CRGR in agency backfit reviews	EDO	3/25/2009	7/31/2009		Resolved
<b>☐ OIG-09-A-07 Audit of NRC's Occupant Emergency Program</b>						
1	Require annual training	ADM,EDO	3/25/2009	11/30/2009		Resolved
2	Require annual, unannounced, full-scale evacuation drills	ADM,EDO	3/25/2009	11/30/2009		Resolved
3	Provide employees with periodic guidance for occupant emergency plans and procedures	ADM,EDO	3/25/2009	11/30/2009		Resolved
4	Develop procedures governing maintenance of AEDs	ADM,EDO	3/25/2009	11/30/2009		Resolved
5	Post contact information and telephones near all AEDs	ADM,EDO	3/25/2009	11/30/2009		Resolved
7	Include AED program in agency's occupant emergency plans.	ADM,EDO	3/25/2009	11/30/2009		Resolved
8	Develop procedures for consistently issuing PEKs	ADM,EDO	3/25/2009	11/30/2009		Resolved
10	Update maps	ADM,EDO	3/25/2009	11/30/2009		Resolved
11	Consistently place maps	ADM,EDO	3/25/2009	11/30/2009		Resolved
12	Post luminescent signs and markings indicating exit accesses	ADM,EDO	3/25/2009	11/30/2009		Resolved
<b>☐ OIG-09-A-08 Audit of NRC's Agreement State Program</b>						
1	Develop an IMPEP self-assessment mechanism	EDO,FSME			4/14/2009	Unresolved
2	Develop guidance for identifying Agreement State information needed if State cannot perform its functions	EDO,FSME			4/14/2009	Unresolved
3	Develop standardized procedures for communicating to the Agreement States	EDO,FSME			4/14/2009	Unresolved
4	Develop a standardized data collection process as the basis of a national information sharing tool	EDO,FSME			4/14/2009	Unresolved
5	Revise IMPEP Procedures to include a review of events not recorded in NMED	EDO,FSME			4/14/2009	Unresolved
<b>☐ OIG-09-A-09 Audit of NRC's Warehouse Operations</b>						
1	Conduct safety inspections	EDO,HR	3/31/2009	4/30/2009		Unresolved
2	Conduct security survey	ADM,EDO	3/31/2009	4/30/2009		Unresolved
3	Designate security staff to monitor and operate video surveillance system	ADM,EDO	3/31/2009	4/30/2009		Unresolved
4	Maintain dBase III until location information reflected in SPMS	ADM,EDO	3/31/2009	4/30/2009		Unresolved
5	Use only SPMS for property locations	ADM,EDO	3/31/2009	4/30/2009		Unresolved
6	Develop procedure for property movements	ADM,EDO	3/31/2009	4/30/2009		Unresolved
7	Produce periodic reports accountability and control	ADM,EDO	3/31/2009	4/30/2009		Unresolved
8	Require PM fulfill training	ADM,EDO	3/31/2009	4/30/2009		Unresolved
9	Modify security cage	ADM,EDO	3/31/2009	4/30/2009		Unresolved