

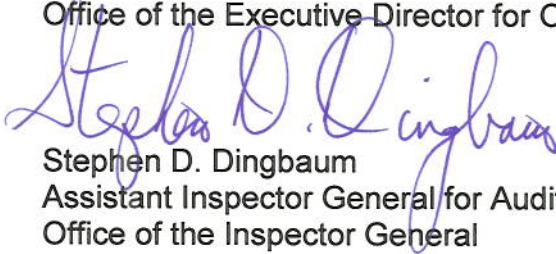


UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

**OFFICE OF THE
INSPECTOR GENERAL**

December 3, 2009

MEMORANDUM TO: Nader Mamish
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 2009

Attached is the OIG up-to-date status of all open audit recommendations as of the end of November 2009. Should you have any questions, please feel free to contact Tony Lipuma at 301-415-5910.

Attachment: As stated

cc: J. Arildsen, OEDO
J. Andersen, OEDO
C. Jaegers, 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-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 | 2 | 6 | 8 |
| 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 | 1 | 10 | 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 | 2 | 15 | 17 |
| 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 | 1 | 7 | 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 | 1 | 14 | 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-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 | 2 | 4 | 6 |
| OIG-08-A-13 Evaluation of NRC's Training and Development Program | 0 | 12 | 5 | 17 |
| OIG-08-A-16 Audit of NRC's Premium Class Travel | 0 | 2 | 5 | 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 | 2 | 3 | 5 |
| OIG-09-A-01 Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Year 2008 | 0 | 4 | 0 | 4 |
| 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 | 0 | 5 | 0 | 5 |
| OIG-09-A-09 Audit of NRC's Warehouse Operations | 0 | 5 | 4 | 9 |
| OIG-09-A-11 Information Systems Security Evaluation of the Technical Training Center | 0 | 8 | 0 | 8 |
| OIG-09-A-12 Audit of NRC's Force-on-Force Inspection Program | 0 | 2 | 0 | 2 |
| OIG-09-A-13 Office of the Inspector General Information System Security Evaluation of Region II - Atlanta, GA | 10 | 0 | 0 | 10 |

Status of Audit Recommendations - Open Audits

| Report # & Name | Unresolved | Resolved | Closed | Total |
|---|------------|------------|------------|------------|
| OIG-09-A-14 Office of the Inspector General Information System Security Evaluation of Region IV - Arlington, TX | 0 | 6 | 0 | 6 |
| OIG-09-A-15 Office of the Inspector General Information System Security Evaluation of Region III - Lisle, IL | 0 | 6 | 0 | 6 |
| OIG-09-A-16 Audit of NRC's Grant Management Program | 9 | 0 | 0 | 9 |
| OIG-09-A-17 Audit of NRC's Oversight of Construction at Nuclear Facilities | 1 | 0 | 0 | 1 |
| OIG-09-A-19 Audit of NRC's Material Control and Accounting Security Measures for Special Nuclear Materials at Fuel Cycle Facilities | 0 | 3 | 0 | 3 |
| OIG-09-A-20 Office of the Inspector General Information System Security Evaluation of Region I - King of Prussia, PA | 0 | 5 | 0 | 5 |
| OIG-10-A-01 Audit of NRC's Physical Security Inspection Program for Category I Fuel Cycle Facilities | 2 | 0 | 0 | 2 |
| OIG-10-A-02 Audit of NRC's Quality Assurance Planning for New Reactors | 4 | 0 | 0 | 4 |
| OIG-10-A-03 Memorandum Report: Audit of NRC's Management Directive 6.8, Lessons Learned Program | 3 | 0 | 0 | 3 |
| OIG-10-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act for Fiscal Year 2009 | 1 | 0 | 0 | 1 |
| Grand Total | 30 | 112 | 161 | 303 |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|-------------------------------------|---|--------------------|-------------------------|---------------------|--------------------------|----------|
| <input checked="" type="checkbox"/> | OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report | | | | | |
| 1 | Develop a Management Directive | OCFO | 10/7/2009 | 2/28/2010 | | Resolved |
| 3 | Include guidance on reporting unmet goals | OCFO | 10/7/2009 | 2/28/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information | | | | | |
| 1 | Update ODO Guidance | EDO,OIS | 11/18/2008 | 12/31/2009 | | Resolved |
| 2 | Mandate defined markings | EDO | 11/18/2008 | 12/31/2009 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials | | | | | |
| 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 |
| <input checked="" type="checkbox"/> | OIG-04-A-20 Audit of NRC's Incident Response Program | | | | | |
| 4 | Conduct Periodic Reviews of Region's IRPs | EDO,NSIR | 10/7/2009 | 5/3/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-05-A-09 Audit of the Budget Formulation Process | | | | | |
| 1 | EDO, CFO Roles | OCFO | 10/30/2009 | 2/28/2010 | | Resolved |
| 2 | PRC Role | OCFO | 10/30/2009 | 2/28/2010 | | Resolved |
| 3 | Document Process | OCFO | 10/30/2009 | 2/28/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-05-A-13 Audit of NRC's Telecommunications Program | | | | | |
| 3 | Revise MD 2.3. | EDO,OCIO | 11/25/2009 | 1/29/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-05-A-17 Audit of NRC's Decommissioning Program | | | | | |
| 1 | Retain Supporting Documentation | EDO,NMSS,OCFO | 10/29/2009 | 2/26/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-05-A-18 Security Controls Over Personal Computers and Laptops - FISMA | | | | | |
| 3 | Verify required security controls | CSO,EDO,OIS | 10/30/2009 | 6/5/2010 | | Resolved |
| 6 | Develop procedures for monitoring compliance with Executive Order 13103 | CSO,EDO,OIS | 10/30/2009 | 6/5/2010 | | Resolved |
| <input checked="" type="checkbox"/> | 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 | 10/7/2009 | 5/4/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-07-A-05 Audit of NRC's Technical Training Center | | | | | |
| 1 | Rec. 01 - Revise MD 13.1 | ADM,EDO,HR | 11/20/2009 | 2/16/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities | | | | | |
| 1 | Fuel Cycle Facility framework | EDO,NMSS | 8/26/2009 | 1/29/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-07-A-10 Audit of NRC's Badge Access System | | | | | |
| 13 | Security plan and Information System Security Officer. | ADM,EDO | 6/12/2009 | 2/26/2010 | | Resolved |
| 15 | Address penetration test report. | ADM,EDO | 6/12/2009 | 2/26/2010 | | Resolved |
| <input checked="" type="checkbox"/> | OIG-07-A-14 Audit of NRC's Non-Capitalized Property | | | | | |
| 7 | Rec. 07 Modify MD 13.1 | ADM,EDO | | | 10/30/2009 | Resolved |
| 11 | Rec. 11 Modify MD 13.1 to Notify AIGI | ADM,EDO | | | 10/30/2009 | Resolved |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|--------------------------|---|--------------------|-------------------------|---------------------|--------------------------|----------|
| <input type="checkbox"/> | OIG-07-A-15 Audit of NRC's License Renewal Program | | | | | |
| 7 | Establish backfit review process | EDO,NRR | 11/6/2009 | 4/30/2010 | | Resolved |
| <input type="checkbox"/> | OIG-07-A-16 Audit of NRC's Process for Placing Documents in the ADAMS Public and Non-Public Libraries | | | | | |
| 3 | Conduct training needs analysis | EDO,OIS | | | 11/13/2009 | Resolved |
| 6 | Conduct Periodic Assessments | EDO,OIS | | | 11/13/2009 | Resolved |
| <input type="checkbox"/> | OIG-07-A-18 Assessment of Security at NRC Buildings | | | | | |
| 11 | Post signs directing pedestrian traffic | ADM,EDO | 7/9/2009 | 3/31/2010 | | Resolved |
| <input type="checkbox"/> | 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 | 10/30/2009 | 3/31/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program | | | | | |
| 2 | Incorporate guidance in Enforcement Policy | EDO,OE | 6/22/2009 | 1/15/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program | | | | | |
| 1 | Develop and implement plans for a cybersecurity oversight program | EDO,NSIR | 7/10/2009 | 1/29/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN | | | | | |
| 1 | Physical Security Survey Guidance | ADM,EDO,NSIR | 10/7/2009 | 2/22/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting | | | | | |
| 3 | Detailed System analysis | OCFO | 10/30/2009 | 4/30/2010 | | Resolved |
| 4 | Electronic Signatures | OCFO | 10/30/2009 | 4/30/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-13 Evaluation of NRC's Training and Development Program | | | | | |
| 2 | Develop a plan | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 3 | Complete OP 404 | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 4 | Centralize course materials | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 7 | Schedule courses | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 8 | Impact on employees | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 9 | New performance metrics | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 10 | Leverage LMS capabilities | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 11 | Develop cost tracking | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 13 | Develop evaluation strategy | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 14 | Evaluate collecting data | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 16 | Implementation plan | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| 17 | Develop a process | EDO,HR | 5/6/2009 | 12/31/2009 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-16 Audit of NRC's Premium Class Travel | | | | | |
| 1 | Update MD 14.1 | OCFO | 11/6/2009 | 1/15/2010 | | Resolved |
| 6 | eTravel | OCFO | 11/6/2009 | 1/15/2010 | | Resolved |
| <input type="checkbox"/> | OIG-08-A-17 Audit of NRC's Enforcement Program | | | | | |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|---|--|--------------------|-------------------------|---------------------|--------------------------|----------|
| 1 | Develop guidance | EDO,OE | 7/10/2009 | 1/15/2010 | | Resolved |
| 2 | Define data collection requirements | EDO,OE | 7/10/2009 | 1/15/2010 | | Resolved |
| 3 | Develop QA process | EDO,OE | 7/10/2009 | 1/15/2010 | | Resolved |
| ☐ 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 | CSO,EDO,OIS | 11/4/2009 | 3/31/2010 | | Resolved |
| 2 | Develop procedures for NRC System Information Control Database | CSO,EDO,OIS | 11/4/2009 | 3/31/2010 | | Resolved |
| 3 | Develop policy/procedures for FDCC for all desktops and laptops | CSO,EDO | 11/4/2009 | 3/31/2010 | | Resolved |
| 4 | Develop process for verifying FDCC controls are implemented on all desktops/laptops | CSO,EDO,OIS | 11/4/2009 | 3/31/2010 | | Resolved |
| ☐ OIG-08-A-19 Audit of NRC's Laptop Management | | | | | | |
| 4 | Develop a process for verifying security controls are implemented on agency laptops | CSO,EDO,OIS | 10/30/2009 | 6/5/2010 | | Resolved |
| 5 | Develop a protocol for updating agency laptops | CSO,EDO,OIS | 10/30/2009 | 6/5/2010 | | Resolved |
| ☐ OIG-09-A-01 Audit of the United States Nuclear Regulatory Commission's Financial Statements for Fiscal Year 2008 | | | | | | |
| 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 |
| ☐ OIG-09-A-03 Audit of National Source Tracking System Information System Development | | | | | | |
| 1 | Establish Policies and Procedures | EDO,FSME,OIS | 8/26/2009 | 1/4/2010 | | Resolved |
| 2 | Require staff to undergo periodic training on information systems development policy/procedures. | EDO,FSME,OIS | 8/26/2009 | 1/4/2010 | | Resolved |
| ☐ OIG-09-A-06 Audit of the Committee to Review Generic Communications | | | | | | |
| 1 | Develop agencywide backfit review process | EDO | 8/26/2009 | 1/29/2010 | | Resolved |
| 2 | Role of CRGR in agency backfit reviews | EDO | 8/26/2009 | 1/29/2010 | | Resolved |
| ☐ OIG-09-A-07 Audit of NRC's Occupant Emergency Program | | | | | | |
| 1 | Require annual training | ADM,EDO | | | 11/27/2009 | Resolved |
| 2 | Require annual, unannounced, full-scale evacuation drills | ADM,EDO | | | 11/27/2009 | Resolved |
| 3 | Provide employees with periodic guidance for occupant emergency plans and procedures | ADM,EDO | | | 11/27/2009 | Resolved |
| 4 | Develop procedures governing maintenance of AEDs | ADM,EDO | | | 11/27/2009 | Resolved |
| 5 | Post contact information and telephones near all AEDs | ADM,EDO | | | 11/27/2009 | Resolved |
| 7 | Include AED program in agency's occupant emergency plans. | ADM,EDO | | | 11/27/2009 | Resolved |
| 8 | Develop procedures for consistently issuing PEKs | ADM,EDO | | | 11/27/2009 | Resolved |
| 10 | Update maps | ADM,EDO | | | 11/27/2009 | Resolved |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|--|---|--------------------|-------------------------|---------------------|--------------------------|------------|
| 11 | Consistently place maps | ADM,EDO | | | 11/27/2009 | Resolved |
| 12 | Post luminescent signs and markings indicating exit accesses | ADM,EDO | | | 11/27/2009 | Resolved |
| [-] OIG-09-A-08 Audit of NRC's Agreement State Program | | | | | | |
| 1 | Develop an IMPEP self-assessment mechanism | EDO,FSME | 10/8/2009 | 4/15/2010 | | Resolved |
| 2 | Develop guidance for identifying Agreement State information needed if State cannot perform its functions | EDO,FSME | 10/8/2009 | 4/15/2010 | | Resolved |
| 3 | Develop standardized procedures for communicating to the Agreement States | EDO,FSME | | | 10/29/2009 | Resolved |
| 4 | Develop a standardized data collection process as the basis of a national information sharing tool | EDO,FSME | 10/8/2009 | 4/15/2010 | | Resolved |
| 5 | Revise IMPEP Procedures to include a review of events not recorded in NMED | EDO,FSME | 10/8/2009 | 4/15/2010 | | Resolved |
| [-] OIG-09-A-09 Audit of NRC's Warehouse Operations | | | | | | |
| 2 | Conduct security survey | ADM,EDO | | | 11/27/2009 | Resolved |
| 4 | Maintain dBase III until location information reflected in SPMS | ADM,EDO | | | 11/27/2009 | Resolved |
| 5 | Use only SPMS for property locations | ADM,EDO | | | 11/27/2009 | Resolved |
| 6 | Develop procedure for property movements | ADM,EDO | | | 11/27/2009 | Resolved |
| 9 | Modify security cage | ADM,EDO | | | 11/27/2009 | Resolved |
| [-] OIG-09-A-11 Information Systems Security Evaluation of the Technical Training Center | | | | | | |
| 1 | Comprehensive training in access system | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 2 | Comprehensive documentation access control system | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 3 | Complete hardening of badge access system | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 4 | Activate TTC's IDS | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 5 | Develop and implement backup information storing | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 6 | Document backup implementation procedures | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 7 | Evaluate Vulnerabilities | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| 8 | Perform Network Vulnerability Scan | CSO,EDO | 10/7/2009 | 1/29/2010 | | Resolved |
| [-] OIG-09-A-12 Audit of NRC's Force-on-Force | | | | | | |
| 1 | Develop and Implement Communication Plan | EDO,NSIR | 10/5/2009 | 1/4/2010 | | Resolved |
| 2 | Encourage cross-training | EDO,NSIR | 10/5/2009 | 1/4/2010 | | Resolved |
| [-] OIG-09-A-13 Office of the Inspector General Information System Security Evaluation of Region II - Atlanta, GA | | | | | | |
| 1 | Document key management procedures. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 2 | Include the date combinations were last changed in the combination inventory. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 3 | Document combination management procedures. | CSO,EDO | | | 10/28/2009 | Unresolved |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|--|--|--------------------|-------------------------|---------------------|--------------------------|------------|
| 4 | Update documented backup procedures to reflect the actual backup procedures in place. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 5 | Develop and implement procedures to send backup info offsite. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 6 | Develop and document a contingency plan for the Region II seat-managed infrastructure servers. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 7 | Develop and document a contingency plan for the Region II NRC-managed servers. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 8 | Develop and document a contingency plan for the Region II badge access system server. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 9 | Evaluate vulnerabilities identified by the network vulnerability assessment, identify false positives, and resolve remaining vulnerabilities. | CSO,EDO | | | 10/28/2009 | Unresolved |
| 10 | Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved. | CSO,EDO | | | 10/28/2009 | Unresolved |
| [-] OIG-09-A-14 Office of the Inspector General Information System Security Evaluation of Region IV - Arlington, TX | | | | | | |
| 1 | Develop and implement procedures for sending information system backup information to an offsite location. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 2 | Develop and document a contingency plan for the Region IV seat-managed infrastructure servers. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 3 | Develop and document a contingency plan for the Region IV NRC-managed servers. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 4 | Develop and document a contingency plan for the Region IV badge access system server. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 5 | Evaluate the vulnerabilities identified by the network vulnerability assessment, identify any false positives and resolve the remaining vulnerabilities. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 6 | Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| [-] OIG-09-A-15 Office of the Inspector General Information System Security Evaluation of Region III - Lisle, IL | | | | | | |
| 1 | Fully document backup procedures. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 2 | Develop and implement procedures for storing backup tapes onsite in a waterproof and fireproof cabinet or safe. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|--|--|--------------------|-------------------------|---------------------|--------------------------|------------|
| 3 | Develop and document a contingency plan for the Region III seat-managed infrastructure servers. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 4 | Develop and document a contingency plan for the Region III NRC-managed servers. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 5 | Evaluate the vulnerabilities identified by the network vulnerability assessment, identify any false positives and resolve the remaining vulnerabilities. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| 6 | Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved. | EDO,OIS | 11/25/2009 | 3/31/2010 | | Resolved |
| ❑ OIG-09-A-16 Audit of NRC's Grant Management Program | | | | | | |
| 1 | Resolve LSS Issues | ADM,EDO | | | 11/3/2009 | Unresolved |
| 2 | Update MD 11.6 | ADM,EDO | | | 11/3/2009 | Unresolved |
| 3 | Interim Guidance | ADM,EDO | | | 11/3/2009 | Unresolved |
| 4 | Develop Training Program | ADM,EDO | | | 11/3/2009 | Unresolved |
| 5 | Trained Staff | ADM,EDO | | | 11/3/2009 | Unresolved |
| 6 | Tracking System | ADM,EDO | | | 11/3/2009 | Unresolved |
| 7 | File Organization | ADM,EDO | | | 11/3/2009 | Unresolved |
| 8 | QA on Files | ADM,EDO | | | 11/3/2009 | Unresolved |
| 9 | Issue regulation | ADM,EDO,OGC | | | 11/3/2009 | Unresolved |
| ❑ OIG-09-A-17 Audit of NRC's Oversight of Construction at Nuclear Facilities | | | | | | |
| 1 | Enhance CIP Guidance | EDO,NRO | | | 10/30/2009 | Unresolved |
| ❑ OIG-09-A-19 Audit of NRC's Material Control and Accounting Security Measures for Special Nuclear Materials at Fuel Cycle Facilities | | | | | | |
| 1 | Procedures | EDO,NMSS | 11/25/2009 | 2/26/2010 | | Resolved |
| 2 | DOE Alternative | EDO,NMSS | 11/25/2009 | 2/26/2010 | | Resolved |
| 3 | Manager Training | EDO,NMSS | 11/25/2009 | 2/26/2010 | | Resolved |
| ❑ OIG-09-A-20 Office of the Inspector General Information System Security Evaluation of Region I - King of Prussia, PA | | | | | | |
| 1 | Update the backup procedures found in the Region I Standard Operating Procedures for AIS Security. | EDO,OIS | 11/25/2009 | 8/31/2010 | | Resolved |
| 2 | Develop and document a contingency plan for the Region I seat-managed infrastructure servers. | EDO,OIS | 11/25/2009 | 8/31/2010 | | Resolved |
| 3 | Develop and document a contingency plan for the Region I NRC-managed servers. | EDO,OIS | 11/25/2009 | 8/31/2010 | | Resolved |
| 4 | Evaluate the vulnerabilities identified by the network vulnerability assessment, identify any false positives and resolve the remaining vulnerabilities. | EDO,OIS | 11/25/2009 | 8/31/2010 | | Resolved |

Status of OIG Audit Recommendations

| Rec # | Description | Responsible Office | Last OIG Correspondence | Agency Response Due | Agency Response Received | Status |
|---|--|--------------------|-------------------------|---------------------|--------------------------|------------|
| 5 | Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved. | EDO,OIS | 11/25/2009 | 8/31/2010 | | Resolved |
| [-] OIG-10-A-01 Audit of NRC's Physical Security | | | | | | |
| 1 | Security Training | NMSS | 11/3/2009 | 12/3/2009 | | Unresolved |
| 2 | Periodic Guidance Review | NMSS | 11/3/2009 | 12/3/2009 | | Unresolved |
| [-] OIG-10-A-02 Audit of NRC's Quality Assurance | | | | | | |
| 1 | Define QA review coordination requirements | EDO,NRO | 11/16/2009 | 12/16/2009 | | Unresolved |
| 2 | Develop a QA review process | EDO,NRO | 11/16/2009 | 12/16/2009 | | Unresolved |
| 3 | Determine impacts of document translation quality | EDO,NRO | 11/16/2009 | 12/16/2009 | | Unresolved |
| 4 | Incorporate assessment results of translation quality into oversight | EDO,NRO | 11/16/2009 | 12/16/2009 | | Unresolved |
| [-] OIG-10-A-03 Memorandum Report: Audit of NRC's Management Directive 6.8, Lessons Learned Program | | | | | | |
| 1 | Develop and implement a strategy for communicating agencywide lessons learned and program | EDO,RES | 11/17/2009 | 12/17/2009 | | Unresolved |
| 2 | Implement the plan to release SPELL | EDO,RES | 11/17/2009 | 12/17/2009 | | Unresolved |
| 3 | Re-affirm and communicate management's support for the program | EDO,RES | 11/17/2009 | 12/17/2009 | | Unresolved |
| [-] OIG-10-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act for Fiscal Year 2009 | | | | | | |
| 1 | Interface Procedures | EDO,OIS | 11/17/2009 | 12/17/2009 | | Unresolved |