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

OFFICE OF THE
INSPECTOR GENERAL

January 7, 2010

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 – DECEMBER 2009

Attached is the OIG up-to-date status of all open audit recommendations as of the end of December 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-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-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	4	8	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	0	10	0	10
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	0	9	0	9

Status of Audit Recommendations - Open Audits

Report # & Name	Unresolved	Resolved	Closed	Total
OIG-09-A-17 Audit of NRC's Oversight of Construction at Nuclear Facilities	0	1	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	**10**	**120**	**161**	**291**

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	10/7/2009	2/28/2010		Resolved
3	Include guidance on reporting unmet goals	OCFO	10/7/2009	2/28/2010		Resolved
OIG-03-A-01 Review of NRC's Handling and Marking of Sensitive Unclassified Information						
1	Update OUO Guidance	EDO,OIS			12/22/2009	Resolved
2	Mandate defined markings	EDO,OIS			12/22/2009	Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials						
1	Conduct periodic inspections	EDO,NMSS			12/24/2009	Resolved
3	Document risk informed approach	EDO,NMSS			12/24/2009	Resolved
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
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
OIG-05-A-13 Audit of NRC's Telecommunications Program						
3	Revise MD 2.3.	EDO,OCIO	11/25/2009	1/29/2010		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	10/29/2009	2/26/2010		Resolved
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
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
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
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
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
OIG-07-A-14 Audit of NRC's Non-Capitalized Property						
7	Rec. 07 Modify MD 13.1	ADM,EDO	12/2/2009	2/26/2010		Resolved
11	Rec. 11 Modify MD 13.1 to Notify AIGI	ADM,EDO	12/2/2009	2/26/2010		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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
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
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
OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program						
2	Incorporate guidance in Enforcement Policy	EDO,OE			12/23/2009	Resolved
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program						
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR	7/10/2009	1/29/2010		Resolved
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
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
OIG-08-A-13 Evaluation of NRC's Training and Development Program						
2	Develop a plan	EDO,HR			12/23/2009	Resolved
3	Complete OP 404	EDO,HR			12/23/2009	Resolved
4	Centralize course materials	EDO,HR			12/23/2009	Resolved
7	Schedule courses	EDO,HR			12/23/2009	Resolved
8	Impact on employees	EDO,HR			12/23/2009	Resolved
9	New performance metrics	EDO,HR			12/23/2009	Resolved
10	Leverage LMS capabilities	EDO,HR			12/23/2009	Resolved
11	Develop cost tracking	EDO,HR			12/23/2009	Resolved
13	Develop evaluation strategy	EDO,HR			12/23/2009	Resolved
14	Evaluate collecting data	EDO,HR			12/23/2009	Resolved
16	Implementation plan	EDO,HR			12/23/2009	Resolved
17	Develop a process	EDO,HR			12/23/2009	Resolved
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
OIG-08-A-17 Audit of NRC's Enforcement Program						
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

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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-03 Audit of National Source Tracking System Information System Development						
1	Establish Policies and Procedures	EDO,FSME,OIS			12/22/2009	Resolved
2	Require staff to undergo periodic training on information systems development policy/procedures.	EDO,FSME,OIS			12/22/2009	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						
2	Require annual, unannounced, full-scale evaucation drills	ADM,EDO	12/18/2009	7/30/2010		Resolved
10	Update maps	ADM,EDO	12/18/2009	7/30/2010		Resolved
11	Consistently place maps	ADM,EDO	12/18/2009	7/30/2010		Resolved
12	Post luminescent signs and markings indicating exit accesses	ADM,EDO	12/18/2009	7/30/2010		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	12/10/2009	4/15/2010		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

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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			12/29/2009	Resolved
2	Encourage cross-training	EDO,NSIR			12/29/2009	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	12/3/2009	6/30/2010		Resolved
2	Include the date combinations were last changed in the combination inventory.	CSO,EDO	12/3/2009	6/30/2010		Resolved
3	Document combination management procedures.	CSO,EDO	12/3/2009	6/30/2010		Resolved
4	Update documented backup procedures to reflect the actual backup procedures in place.	CSO,EDO	12/3/2009	6/30/2010		Resolved
5	Develop and implement procedures to send backup info offsite.	CSO,EDO	12/3/2009	6/30/2010		Resolved
6	Develop and document a contingency plan for the Region II seat-managed infrastructure servers.	CSO,EDO	12/3/2009	6/30/2010		Resolved
7	Develop and document a contingency plan for the Region II NRC-managed servers.	CSO,EDO	12/3/2009	6/30/2010		Resolved
8	Develop and document a contingency plan for the Region II badge access system server.	CSO,EDO	12/3/2009	6/30/2010		Resolved
9	Evaluate vulnerabilities identified by the network vulnerability assessment, identify false positives, and resolve remaining vulnerabilities.	CSO,EDO	12/3/2009	6/30/2010		Resolved
10	Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.	CSO,EDO	12/3/2009	6/30/2010		Resolved
– OIG-09-A-14 Office of the Inspector General Information System Security Evaluation of Region IV - Arlington, TX						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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
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 assessmen, 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	12/10/2009	5/7/2010		Resolved
2	Update MD 11.6	ADM,EDO	12/10/2009	5/7/2010		Resolved
3	Interim Guidance	ADM,EDO	12/10/2009	5/7/2010		Resolved
4	Develop Training Program	ADM,EDO	12/10/2009	5/7/2010		Resolved
5	Trained Staff	ADM,EDO	12/10/2009	5/7/2010		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
6	Tracking System	ADM,EDO	12/10/2009	5/7/2010		Resolved
7	File Organization	ADM,EDO	12/10/2009	5/7/2010		Resolved
8	QA on Files	ADM,EDO	12/10/2009	5/7/2010		Resolved
9	Issue regulation	ADM,EDO,OGC	12/10/2009	5/7/2010		Resolved
-	**OIG-09-A-17 Audit of NRC's Oversight of Construction at Nuclear Facilities**					
1	Enhance CIP Guidance	EDO,NRO	12/10/2009	6/1/2010		Resolved
-	**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
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			12/17/2009	Unresolved
2	Develop a QA review process	EDO,NRO			12/17/2009	Unresolved
3	Determine impacts of document translation quality	EDO,NRO			12/17/2009	Unresolved
4	Incorporate assessment results of translation quality into oversight	EDO,NRO			12/17/2009	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			12/16/2009	Unresolved
2	Implement the plan to release SPELL	EDO,RES			12/16/2009	Unresolved
3	Re-affirm and communicate management's support for the program	EDO,RES			12/16/2009	Unresolved
-	**OIG-10-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act for Fiscal Year 2009**					

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Interface Procedures	EDO,OIS	11/17/2009	12/17/2009		Unresolved