January 29, 2010

MEMORANDUM TO: R. William Borchardt
Executive Director for Operations

FROM: Stephen D. Dingbaum **/RA/**
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF
NATIONAL SOURCE TRACKING SYSTEM INFORMATION
SYSTEM DEVELOPMENT (OIG-09-A-03)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES,
MEMORANDUM DATED DECEMBER 22, 2009

Attached is the Office of the Inspector General's (OIG) analysis and status of
recommendations as discussed in the agency's response dated December 22, 2009.
Based on this response, recommendations 1 and 2 are closed. All recommendations
related to this report are now closed.

If you have any questions or concerns, please call me at 415-5915 or Beth Serepca,
Team Leader, at 415-5911.

Attachment: As stated

cc: N. Mamish, OEDO
J. Arildsen, OEDO
J. Anderson, OEDO
C. Jaegers, OEDO

**AUDIT OF NATIONAL SOURCE TRACKING SYSTEM
INFORMATION SYSTEM DEVELOPMENT**

OIG-09-A-03

Status of Recommendations

Recommendation 1:   Establish polices and procedures that:

      a.   Specify quality standards for Certification and Accreditation (C&A) and Project Management Methodology (PMM) documents.

      b.   Specify sequence and protocols for submission and review of C&A and PMM documents, to include milestones linked to project schedules.

      c.   Clarify staff roles, responsibilities and qualifications to better integrate internal stakeholders efforts.

Agency Response Dated:
December 22, 2009   a.   A quality review checklist has been created for each document associated with both the C&A and PMM processes and is accessible from the PMM Web site. This Quality Standards Checklist document is designed to serve as an additional guidance tool when completing the project documentation. Each checklist enables authors of project documentation to ensure that their artifacts address the intent of each document and adequately meet project needs. Use of this Quality Standards Checklist is not mandatory, but is an aid for project teams when reviewing project documentation. The Quality Standards Checklist can be found in the Agencywide Documents Access and Management System (ML093240340). CONTACT: Georgette Price, OIS/BPIAD 301-415-2988

      b. The sequence and protocols for submission and review of the C&A and PMM documents, as well as the linkage between the C&A and PMM processes, has been accomplished through integrating the C&A workflows into the PMM flow diagrams on the PMM Web site (Enclosure: Figure 1). This integration visually displays how the C&A process should be performed simultaneously with the PMM process.

Recommendation 1 (continued):

Major C&A milestones have been added to the appropriate workflows to help determine the point during the project schedule when completion of ocuments should be accomplished (Figure 2). C&A workflow activities and tasks and the Continuous Monitoring Workflow were reviewed and updated (Figures 3 and 4). Activity diagrams were reviewed for accuracy and the details were updated to display the proper inputs and outputs (Figures 5 and 6). Finally, the Project Schedule Template was updated to include the C&A milestones and activities (Figure 7). These enhancements provide an integrated view of the C&A and PMM processes.

c. To clarify the staff roles and responsibilities on the PMM Web site, each of the roles identified were reviewed and updated (Figure 8). In addition, new roles were added and defined (Figure 9). For each role identified on the PMM Web site, a section was added that lists the qualifications required to adequately perform the specified role (Figure 10). In addition, the role linkages to tasks and work products have been reviewed and updated (Figure 11).

OIG Analysis: OIG reviewed the quality checklist, the PMM flow diagrams, and the staff roles and responsibilities and determined that policies and procedures have been established that specify quality standards for the C&A and PMM documents; specify sequence and protocols to include milestones linked to project schedules; and clarify staff roles and responsibilities to better integrate internal stakeholders efforts. This recommendation is therefore closed.

Status: Closed.

Audit Report

AUDIT OF NATIONAL SOURCE TRACKING SYSTEM
INFORMATION SYSTEM DEVELOPMENT

OIG-09-A-03

Status of Recommendations

<u>Recommendation 2</u>:	Require staff involved in information systems development to undergo periodic training on these policies and procedures.

Agency Response Dated:
December 22, 2009   There is currently a PMM course available, PMM 916, which is designed to introduce students to the concepts, structure and underlying tenets of the PMM, and the information Technology (IT) investment   management process that NRC uses to facilitate effective selection, implementation, management, and evaluation of IT investments throughout the system life cycle. This course is required for all IT project managers and recommended for staff assigned to IT project teams.

To address this recommendation, a PMM review course, PMM 2063, has been designed and implemented for students who have previously completed the PMM 916 course. The new course is designed for project managers to review the concepts, structure, and underlying tenets of the PMM. Beginning in the second quarter of Fiscal Year 2010, the Office of Information Services will require all IT project managers, and recommend that staff assigned to IT project teams who have previously completed PMM 916, attend this refresher course every three years. This course will be implemented as a Computer Based training course for ease of completion. The course is currently available in iLearn.

OIG Analysis: OIG reviewed the PMM courses and determined that the two courses meets the intent of periodic training on policies and procedures. This recommendation is therefore closed.

Status: Closed.