

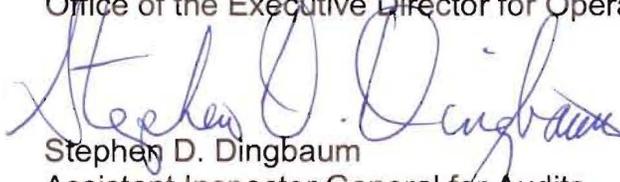


**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001

**OFFICE OF THE
INSPECTOR GENERAL**

May 5, 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 –
APRIL 2010

Attached is the OIG up-to-date status of all open audit recommendations as of the end of April 2010. Should you have any questions, please feel free to contact Steven Zane at 301-415-5912.

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-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-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities	0	1	0	1
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	1	16	17
OIG-08-A-16 Audit of NRC's Premium Class Travel	0	1	6	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	3	1	4
OIG-08-A-19 Audit of NRC's Laptop Management	0	2	3	5
OIG-09-A-06 Audit of the Committee to Review Generic Communications	0	1	1	2
OIG-09-A-07 Audit of NRC's Occupant Emergency Program	0	3	9	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	1	8	9
OIG-09-A-11 Information Systems Security Evaluation of the Technical Training Center	0	3	5	8
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	4	2	6
OIG-09-A-16 Audit of NRC's Grant Management Program	0	8	1	9
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	2	1	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

Status of Audit Recommendations - Open Audits

Report # & Name	Unresolved	Resolved	Closed	Total
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	0	3	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
OIG-10-A-09 Audit of NRC's Personnel Security Clearance Program for Employees	0	1	2	3
OIG-10-A-11 Social Engineering Assessment Report	12	0	0	12
Grand Total	19	85	156	260

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Received	Status
10-A-12 Audit of NRC's Management of						
1	Revise MD 11.7 - market research	ADM,EDO	4/23/2010	5/24/2010		Unresolved
2	Clarify MD 11.7 - document rationale	ADM,EDO	4/23/2010	5/24/2010		Unresolved
3	Revise MD 11.7 - commercial sources	ADM,EDO	4/23/2010	5/24/2010		Unresolved
4	Interim guidance	ADM,EDO	4/23/2010	5/24/2010		Unresolved
5	Implement milestones	ADM,EDO	4/23/2010	5/24/2010		Unresolved
6	Update MOU	ADM,EDO	4/23/2010	5/24/2010		Unresolved
7	Issue delegation of authority	ADM,EDO,OCM	4/23/2010	5/24/2010		Unresolved
OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report						
1	Develop a Management Directive	OCFO	3/15/2010	9/30/2010		Resolved
3	Include guidance on reporting unmet goals	OCFO	3/15/2010	9/30/2010		Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials						
1	Conduct periodic inspections	EDO,NMSS	3/9/2010	11/30/2010		Resolved
3	Document risk informed approach	EDO,NMSS	3/9/2010	11/30/2010		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	3/9/2010	9/30/2010		Resolved
2	PRC Role	OCFO	3/9/2010	9/30/2010		Resolved
3	Document Process	OCFO	3/9/2010	9/30/2010		Resolved
OIG-05-A-13 Audit of NRC's Telecommunications Program						
3	Revise MD 2.3.	EDO,OCIO	2/26/2010	5/28/2010		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	4/8/2010	9/20/2010		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-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	2/19/2010	4/30/2010		Resolved
OIG-07-A-15 Audit of NRC's License Renewal Program						
7	Establish backfit review process	EDO,NRR			4/26/2010	Resolved
OIG-07-A-18 Assessment of Security at NRC Buildings						
11	Post signs directing pedestrian traffic	ADM,EDO	4/9/2010	7/19/2010		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	4/9/2010	6/29/2010		Resolved
OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program						
2	Incorporate guidance in Enforcement Policy	EDO,OE			4/8/2010	Resolved
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR	2/26/2010	8/31/2010		Resolved
☐ OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN						
1	Physical Security Survey Guidance	ADM,EDO,NSIR	3/30/2010	10/25/2010		Resolved
☐ OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting						
3	Detailed System analysis	OCFO			4/30/2010	Resolved
4	Electronic Signatures	OCFO			4/30/2010	Resolved
☐ OIG-08-A-13 Evaluation of NRC's Training and Development Program						
9	New performance metrics	EDO,HR			4/16/2010	Resolved
☐ OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO			4/30/2010	Resolved
☐ OIG-08-A-17 Audit of NRC's Enforcement Program						
1	Develop guidance	EDO,OE	3/9/2010	6/30/2010		Resolved
2	Define data collection requirements	EDO,OE	3/9/2010	6/30/2010		Resolved
3	Develop QA process	EDO,OE	3/9/2010	6/30/2010		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 interfac	CSO,EDO,OIS	4/15/2010	6/15/2010		Resolved
2	Develop procedures for NRC System Information Control Database	CSO,EDO,OIS	4/15/2010	6/15/2010		Resolved
4	Develop process for verifying FDCC controls are implemented on all deskto	CSO,EDO,OIS	4/15/2010	6/15/2010		Resolved
☐ OIG-08-A-19 Audit of NRC's Laptop Management						
4	Develop a process for verifying security controls are implemented on agenc	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-06 Audit of the Committee to Review Generic Communications						
1	Develop agencywide backfit review process	EDO,RES	3/18/2010	1/31/2011		Resolved
☐ OIG-09-A-07 Audit of NRC's Occupant Emergency Program						
2	Require annual, unannounced, full-scale evacuation drills	ADM,EDO	3/30/2010	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
☐ OIG-09-A-08 Audit of NRC's Agreement State Program						
1	Develop an IMPEP self-assessment mechanism	EDO,F,SME			4/9/2010	Resolved
2	Develop guidance for identifying Agreement State information needed if Sta	EDO,F,SME			4/9/2010	Resolved
3	Develop standardized procedures for communicating to the Agreement Stat	EDO,F,SME			4/9/2010	Resolved
4	Develop a standardized data collection process as the basis of a national in	EDO,F,SME			4/9/2010	Resolved
5	Revise IMPEP Procedures to include a review of events not recorded in NM	EDO,F,SME			4/9/2010	Resolved
☐ OIG-09-A-09 Audit of NRC's Warehouse Operations						
2	Conduct security survey	ADM,EDO	1/8/2010	8/31/2010		Resolved
☐ OIG-09-A-11 Information Systems Security Evaluation of the Technical Training Center						
3	Complete hardening of badge access system	CSO,EDO	2/26/2010	6/30/2010		Resolved
4	Activate TTC's IDS	CSO,EDO	2/26/2010	6/30/2010		Resolved
6	Document backup implementation procedures	CSO,EDO	2/26/2010	6/30/2010		Resolved
☐ OIG-09-A-13 Office of the Inspector General Information System Security Evaluation of Region II - Atlanta, GA						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Received	Status
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 inventc	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 proced	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 i	CSO,EDO	12/3/2009	6/30/2010		Resolved
7	Develop and document a contingency plan for the Region II NRC-managed	CSO,EDO	12/3/2009	6/30/2010		Resolved
8	Develop and document a contingency plan for the Region II badge access s	CSO,EDO	12/3/2009	6/30/2010		Resolved
9	Evaluate vulnerabilities identified by the network vulnerability assessment, ic	CSO,EDO	12/3/2009	6/30/2010		Resolved
10	Perform a network vulnerability scan following remediation to verify all vulne	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						
1	Develop and implement procedures for sending information system backup	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
2	Develop and document a contingency plan for the Region IV seat-managed	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
3	Develop and document a contingency plan for the Region IV NRC-managed	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
4	Develop and document a contingency plan for the Region IV badge access	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
5	Evaluate the vulnerabilities identified by the network vulnerability assessmei	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
6	Perform a network vulnerability scan following remediation to verify all vulne	EDO,OIS,RIV	4/9/2010	8/31/2010		Resolved
☐ OIG-09-A-15 Office of the Inspector General Information System Security Evaluation of Region III - Lisle, IL						
3	Develop and document a contingency plan for the Region III seat-managed	EDO,OIS,RIII	3/15/2010	9/17/2010		Resolved
4	Develop and document a contingency plan for the Region III NRC-managed	EDO,OIS,RIII	3/15/2010	9/17/2010		Resolved
5	Evaluate the vulnerabilities identified by the network vulnerability assessmei	EDO,OIS,RIII	3/15/2010	9/17/2010		Resolved
6	Perform a network vulnerability scan following remediation to verify all vulne	EDO,OIS,RIII	3/15/2010	9/17/2010		Resolved
☐ OIG-09-A-16 Audit of NRC's Grant Management Program						
1	Resolve LSS Issues	ADM,EDO			3/30/2010	Resolved
2	Update MD 11.6	ADM,EDO	12/10/2009	5/7/2010		Resolved
3	Interim Guidance	ADM,EDO			3/30/2010	Resolved
4	Develop Training Program	ADM,EDO			4/30/2010	Resolved
5	Trained Staff	ADM,EDO	12/10/2009	5/7/2010		Resolved
6	Tracking System	ADM,EDO	12/10/2009	5/7/2010		Resolved
8	QA on Files	ADM,EDO			3/30/2010	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	3/31/2010	1/31/2011		Resolved
2	DOE Alternative	EDO,NMSS	3/31/2010	1/31/2011		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 Pr	EDO,OIS	11/25/2009	8/31/2010		Resolved
2	Develop and document a contingency plan for the Region I seat-managed ir	EDO,OIS	11/25/2009	8/31/2010		Resolved
3	Develop and document a contingency plan for the Region I NRC-managed s	EDO,OIS	11/25/2009	8/31/2010		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	OIG Correspondence	Agency Response Due	Agency Response Received	Status
4	Evaluate the vulnerabilities identified by the network vulnerability assessment	EDO,OIS	11/25/2009	8/31/2010		Resolved
5	Perform a network vulnerability scan following remediation to verify all vulnerabilities	EDO,OIS	11/25/2009	8/31/2010		Resolved
☐ OIG-10-A-01 Audit of NRC's Physical Security						
1	Security Training	EDO,NMSS			4/16/2010	Unresolved
2	Periodic Guidance Review	EDO,NMSS			4/16/2010	Unresolved
☐ OIG-10-A-02 Audit of NRC's Quality Assurance						
1	Define QA review coordination requirements	EDO,NRO	4/20/2010	4/30/2010		Unresolved
2	Develop a QA review process	EDO,NRO	4/20/2010	4/30/2010		Unresolved
3	Determine impacts of document translation quality	EDO,NRO	4/20/2010	4/30/2010		Unresolved
4	Incorporate assessment results of translation quality into oversight	EDO,NRO	4/20/2010	4/30/2010		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	EDO,RES	4/9/2010	5/17/2010		Resolved
2	Implement the plan to release SPELL	EDO,RES	4/9/2010	5/17/2010		Resolved
3	Re-affirm and communicate management's support for the program	EDO,RES	4/9/2010	5/17/2010		Resolved
☐ 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			12/10/2009	Unresolved
☐ OIG-10-A-09 Audit of NRC's Personnel Security						
1	Develop Reports	ADM,EDO	4/9/2010	7/15/2010		Resolved
☐ OIG-10-A-11 Social Engineering Assessment Report						
1	Secure Coding Practices	CSO,EDO			4/22/2010	Unresolved
2	Malicious Activity	CSO,EDO			4/22/2010	Unresolved
3	Publicly Facing Information	CSO,EDO			4/22/2010	Unresolved
4	Authentication Controls	CSO,EDO			4/22/2010	Unresolved
5	Removeable Storage	CSO,EDO			4/22/2010	Unresolved
6	NRC Network Access	CSO,EDO			4/22/2010	Unresolved
7	Malicious File Identification	CSO,EDO			4/22/2010	Unresolved
8	Security Training	CSO,EDO			4/22/2010	Unresolved
9	Security Announcement	CSO,EDO			4/22/2010	Unresolved
10	Training Assessment	CSO,EDO			4/22/2010	Unresolved
11	Visitor Policy	ADM,EDO			4/22/2010	Unresolved
12	Access Control	ADM,EDO			4/22/2010	Unresolved