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

OFFICE OF THE
INSPECTOR GENERAL

October 6, 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 – SEPTEMBER 2010

Attached is the OIG up-to-date status of all open audit recommendations as of the end of September 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-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-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities	0	1	0	1
OIG-07-A-18 Assessment of Security at NRC Buildings	0	1	26	27
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-16 Audit of NRC's Premium Class Travel	0	1	6	7
OIG-08-A-17 Audit of NRC's Enforcement Program	0	2	1	3
OIG-08-A-18 Independent Evaluation of NRC's Implementation of FISMA for FY 2008	0	1	3	4
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	1	11	12
OIG-09-A-08 Audit of NRC's Agreement State Program	0	4	1	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	3	3	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	5	4	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	4	1	5
OIG-10-A-02 Audit of NRC's Quality Assurance Planning for New Reactors	0	2	2	4
OIG-10-A-11 Social Engineering Assessment Report	0	12	0	12
OIG-10-A-12 Audit of NRC's Management of Agreements with Department of Energy Laboratories	0	6	1	7
OIG-10-A-13 Audit of NRC's Telework Program	0	7	1	8
OIG-10-A-14 Memorandum Report: Audit of NRC's Process for Closed Meetings	0	2	0	2
OIG-10-A-15 Audit of NRC Employee Use of the Federal Calling Card	3	0	0	3
OIG-10-A-16 Audit of NRC's Deployment of the National Source Tracking System	4	0	0	4
OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security	3	0	0	3
OIG-10-A-18 Assessment of Wireless devices	18	0	0	18
OIG-10-A-20 Audit of NRC's Vendor Inspection Program	10	0	0	10

Status of Audit Recommendations - Open Audits

Report # & Name	Unresolved	Resolved	Closed	Total
OIG-10-A-21 Audit of NRC's Oversight of the Access Authorization Program for Nuclear Power Plants	3	0	0	3
Grand Total	**41**	**88**	**107**	**236**

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	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-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	7/7/2010	12/1/2010		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-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	5/18/2010	11/30/2010		Resolved
OIG-07-A-18 Assessment of Security at NRC Buildings						
11	Post signs directing pedestrian traffic	ADM,EDO			10/4/2010	Resolved
OIG-08-A-03 Audit of NRC's Alternative Dispute Resolution Program						
2	Incorporate guidance in Enforcement Policy	EDO,OE	8/6/2010	11/19/2010		Resolved
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program						
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR	9/1/2010	10/29/2010		Resolved
OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN						
1	Physical Security Survey Guidance	ADM,EDO,NSIR	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			10/1/2010	Resolved
4	Electronic Signatures	OCFO			10/1/2010	Resolved
OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO	6/7/2010	10/14/2011		Resolved
OIG-08-A-17 Audit of NRC's Enforcement Program						
2	Define data collection requirements	EDO,OE	8/30/2010	12/31/2010		Resolved
3	Develop QA process	EDO,OE	8/30/2010	12/31/2010		Resolved
OIG-08-A-18 Independent Evaluation of NRC's Implementation of FISMA for FY 2008						
4	Develop process for verifying FDCC controls are implemented on all desktops/laptops	CSO,EDO,OIS	7/7/2010	12/1/2010		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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 evaucation drills	ADM,EDO			9/27/2010	Resolved
OIG-09-A-08 Audit of NRC's Agreement State Program						
1	Develop an IMPEP self-assessment mechanism	EDO,FSME	5/24/2010	11/15/2010		Resolved
2	Develop guidance for identifying Agreement State information needed if State cannot perform its functions	EDO,FSME	5/24/2010	11/15/2010		Resolved
3	Develop standardized procedures for communicating to the Agreement States	EDO,FSME	5/24/2010	11/15/2010		Resolved
4	Develop a standardized data collection process as the basis of a national information sharing tool	EDO,FSME	5/24/2010	11/15/2010		Resolved
OIG-09-A-09 Audit of NRC's Warehouse Operations						
2	Conduct security survey	ADM,EDO			8/26/2010	Resolved
OIG-09-A-11 Information Systems Security Evaluation of the Technical Training Center						
3	Complete hardening of badge access system	CSO,EDO			9/28/2010	Resolved
4	Activate TTC's IDS	CSO,EDO			9/28/2010	Resolved
6	Document backup implementation procedures	CSO,EDO			9/28/2010	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,RII			9/23/2010	Resolved
2	Include the date combinations were last changed in the combination inventory.	CSO,EDO,RII			9/23/2010	Resolved
3	Document combination management procedures.	CSO,EDO,RII			9/23/2010	Resolved
4	Update documented backup procedures to reflect the actual backup procedures in place.	CSO,EDO,RII			9/23/2010	Resolved
5	Develop and implement procedures to send backup info offsite.	CSO,EDO,RII			9/23/2010	Resolved
6	Develop and document a contingency plan for the Region II seat-managed infrastructure servers.	CSO,EDO,RII			9/23/2010	Resolved
7	Develop and document a contingency plan for the Region II NRC-managed servers.	CSO,EDO,RII			9/23/2010	Resolved
8	Develop and document a contingency plan for the Region II badge access system server.	CSO,EDO,RII			9/23/2010	Resolved
9	Evaluate vulnerabilities identified by the network vulnerability assessment, identify false positives, and resolve remaining vulnerabilities.	CSO,EDO,RII			9/23/2010	Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
10	Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.	CSO,EDO,RII			9/23/2010	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 information to an offsite location.	EDO,OIS,RIV	9/30/2010	11/30/2010		Resolved
2	Develop and document a contingency plan for the Region IV seat-managed infrastructure servers.	EDO,OIS,RIV	9/30/2010	11/30/2010		Resolved
3	Develop and document a contingency plan for the Region IV NRC-managed servers.	EDO,OIS,RIV	9/30/2010	11/30/2010		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 infrastructure servers.	EDO,OIS,RIII			9/17/2010	Resolved
4	Develop and document a contingency plan for the Region III NRC-managed servers.	EDO,OIS,RIII			9/17/2010	Resolved
5	Evaluate the vulnerabilities identified by the network vulnerability assessmen, identify any false positives and resolve the remaining vulnerabilities.	EDO,OIS,RIII			9/17/2010	Resolved
6	Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.	EDO,OIS,RIII			9/17/2010	Resolved
⊟ OIG-09-A-16 Audit of NRC's Grant Management Program						
1	Resolve LSS Issues	ADM,EDO	8/26/2010	12/31/2010		Resolved
2	Update MD 11.6	ADM,EDO	8/26/2010	12/31/2010		Resolved
5	Trained Staff	ADM,EDO	8/26/2010	12/31/2010		Resolved
6	Tracking System	ADM,EDO	8/26/2010	12/31/2010		Resolved
8	QA on Files	ADM,EDO	8/26/2010	12/31/2010		Resolved
⊟ OIG-09-A-17 Audit of NRC's Oversight of Construction at Nuclear Facilities						
1	Enhance CIP Guidance	EDO,NRO	6/11/2010	1/3/2011		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	7/13/2010	1/10/2011		Resolved
2	DOE Alternative	EDO,NMSS	7/13/2010	1/10/2011		Resolved
⊟ OIG-09-A-20 Office of the Inspector General Information System Security Evaluation of Region I - King of Prussia, PA						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
2	Develop and document a contingency plan for the Region I seat-managed infrastructure servers.	EDO,OIS,RI			9/21/2010	Resolved
3	Develop and document a contingency plan for the Region I NRC-managed servers.	EDO,OIS,RI			9/21/2010	Resolved
4	Evaluate the vulnerabilities identified by the network vulnerability assessment, identify any false positives and resolve the remaining vulnerabilities.	EDO,OIS,RI			9/21/2010	Resolved
5	Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.	EDO,OIS,RI			9/21/2010	Resolved
⊟ OIG-10-A-02 Audit of NRC's Quality Assurance						
3	Determine impacts of document translation quality	EDO,NRO	8/17/2010	12/15/2010		Resolved
4	Incorporate assessment results of translation quality into oversight	EDO,NRO	5/26/2010	12/15/2010		Resolved
⊟ OIG-10-A-11 Social Engineering Assessment Report						
1	Secure Coding Practices	CSO,EDO			9/22/2010	Resolved
2	Malicious Activity	CSO,EDO			9/22/2010	Resolved
3	Publicly Facing Information	CSO,EDO			9/22/2010	Resolved
4	Authentication Controls	CSO,EDO			9/22/2010	Resolved
5	Removeable Storage	CSO,EDO			9/22/2010	Resolved
6	NRC Network Access	CSO,EDO			9/22/2010	Resolved
7	Malicious File Identification	CSO,EDO			9/22/2010	Resolved
8	Security Training	CSO,EDO			9/22/2010	Resolved
9	Security Announcement	CSO,EDO			9/22/2010	Resolved
10	Training Assessment	CSO,EDO			9/22/2010	Resolved
11	Visitor Policy	ADM,CSO,EDO			9/22/2010	Resolved
12	Access Control	ADM,CSO,EDO			9/22/2010	Resolved
⊟ OIG-10-A-12 Audit of NRC's Management of Agreements with Department of Energy Laboratories						
1	Revise MD 11.7 - market research	ADM,EDO	6/22/2010	10/29/2010		Resolved
2	Clarify MD 11.7 - document rationale	ADM,EDO	7/22/2010	10/29/2010		Resolved
3	Revise MD 11.7 - commercial sources	ADM,EDO	7/22/2010	10/29/2010		Resolved
4	Interim guidance	ADM,EDO	7/22/2010	10/29/2010		Resolved
5	Implement milestones	ADM,EDO	7/22/2010	10/29/2010		Resolved
7	Issue delegation of authority	ADM,EDO,OCM	7/22/2010	10/29/2010		Resolved
⊟ OIG-10-A-13 Audit of NRC's Telework Program						
2	Methods for accessing information technology systems needed.	EDO,HR,NSIR	8/19/2010	1/31/2011		Resolved
3	Develop manual or other compensating systems	EDO,HR,NSIR	8/19/2010	1/31/2011		Resolved
4	Coordinate agency efforts to identify and remove IT telework barriers	EDO,HR,NSIR	8/19/2010	1/31/2011		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
5	Reference procedures in telework guidance.	EDO,HR,NSIR	8/19/2010	1/31/2011		Resolved
6	Develop a management directive	ADM,EDO,HR	8/19/2010	1/31/2011		Resolved
7	Issue interim guidance	ADM,EDO,HR	8/19/2010	1/31/2011		Resolved
8	Develop a procedure for assessing and reporting the results of full-time telework arrangements to HR.	ADM,EDO,HR	8/19/2010	1/31/2011		Resolved
⊟ OIG-10-A-14 Memorandum Report: Audit of NRC's Process for Closed Meetings						
1	Revise MD 3.5 to enhance NRC's closed staff meeting process	EDO	8/6/2010	1/7/2011		Resolved
2	Establish a timeframe for issuing closed staff meeting notices and summaries	EDO	8/6/2010	1/7/2011		Resolved
⊟ OIG-10-A-15 Audit of NRC Employee Use of the Federal Calling Card						
1	Assess validity of high calling card usage.	EDO,OIS			8/24/2010	Unresolved
2	Develop policy to conduct annual inventories and reconcile differences.	EDO,OIS			8/24/2010	Unresolved
3	Calculate and communicate the costs of various calling options.	EDO,OIS			8/24/2010	Unresolved
⊟ OIG-10-A-16 Audit of NRC's Deployment of the National Source Tracking System						
1	Assess alternative credentialing strategies	EDO,FSME			10/1/2010	Unresolved
2	Help Desk updates on NSTS user issues	EDO,FSME			10/1/2010	Unresolved
3	NSTS document control policies and processes	EDO,FSME			10/1/2010	Unresolved
4	Implement read only capability as needed	EDO,FSME			10/1/2010	Unresolved
⊟ OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security						
1	Inspection Frequency	EDO,FSME			9/29/2010	Unresolved
2	Periodic terrorist watch list checks	EDO,FSME			9/29/2010	Unresolved
3	Refresher Training	EDO,FSME			9/29/2010	Unresolved
⊟ OIG-10-A-18 Assessment of Wireless devices						
1	Install tamper evident systems on SLES	CSO,EDO	9/17/2010	10/18/2010		Unresolved
2	Conduct a system engineering trade study	CSO,EDO	9/17/2010	10/18/2010		Unresolved
3	Disable Autorun on SLES	CSO,EDO	9/17/2010	10/18/2010		Unresolved
4	Administrative Passwords for SLES Wireless Clients	CSO,EDO	9/17/2010	10/18/2010		Unresolved
5	Deploy an improved Detection and Reporting Process	CSO,EDO	9/17/2010	10/18/2010		Unresolved
6	Develop and implement a technical process for isolation	CSO,EDO	9/17/2010	10/18/2010		Unresolved
7	Separation of Duties Awareness	CSO,EDO	9/17/2010	10/18/2010		Unresolved
8	Implement automated audit log reduction	CSO,EDO	9/17/2010	10/18/2010		Unresolved
9	Configuration control and baseline documentation system	CSO,EDO	9/17/2010	10/18/2010		Unresolved
10	Detection and reporting	CSO,EDO	9/17/2010	10/18/2010		Unresolved
11	Revise Management Directive 12.5	CSO,EDO	9/17/2010	10/18/2010		Unresolved
12	Blackberry Account Management	CSO,EDO	9/17/2010	10/18/2010		Unresolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
13	Awareness of Separation of Duties	CSO,EDO	9/17/2010	10/18/2010		Unresolved
14	Automation of ITI Log Information	CSO,EDO	9/17/2010	10/18/2010		Unresolved
15	BES systems are not regularly reviewed	CSO,EDO	9/17/2010	10/18/2010		Unresolved
16	Implement a BES Management System	CSO,EDO	9/17/2010	10/18/2010		Unresolved
17	BES not managed by automation.	CSO,EDO	9/17/2010	10/18/2010		Unresolved
18	BES Maintenance records need to be automated	CSO,EDO	9/17/2010	10/18/2010		Unresolved
⊟ **OIG-10-A-20 Audit of NRC's Vendor Inspection Program**						
1	Develop an NRO Vendor Inspection Program planning document	EDO,NRO	9/28/2010	10/28/2010		Unresolved
2	Develop a methodology to identify vendors.	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
3	Develop a methodology to select vendors for inspection.	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
4	Develop a vendor outreach/communications plan	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
5	Clarify Commercial-Grade Dedication	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
6	Commercial-Grade Sampling	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
7	Part 21 Compliance Guidance	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
8	Part 21 Changes on Web Site	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
10	Develop a strategy/plan to monitor CFSI	EDO,NRO,NRR	9/28/2010	10/28/2010		Unresolved
⊟ **OIG-10-A-21 Audit of NRC's Oversight of the Access Authorization Program for Nuclear Power Plants**						
1	BOP Training	EDO,NSIR	9/30/2010	11/1/2010		Unresolved
2	PADS Access	EDO,NSIR	9/30/2010	11/1/2010		Unresolved
3	Screening Procedures	EDO,NSIR	9/30/2010	11/1/2010		Unresolved