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

OFFICE OF THE
INSPECTOR GENERAL

April 8, 2011

MEMORANDUM TO: Mary Muessle
Acting 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 2011

Attached is the OIG up-to-date status of all open audit recommendations as of April 6, 2011. 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-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-08 Audit of NRC's Agreement State Program	0	3	2	5
OIG-09-A-09 Audit of NRC's Warehouse Operations	0	1	8	9
OIG-09-A-16 Audit of NRC's Grant Management Program	0	3	6	9
OIG-10-A-02 Audit of NRC's Quality Assurance Planning for New Reactors	0	1	3	4
OIG-10-A-11 Social Engineering Assessment Report	0	8	4	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	0	3	0	3
OIG-10-A-16 Audit of NRC's Deployment of the National Source Tracking System	0	1	3	4
OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security	0	3	0	3
OIG-10-A-18 Assessment of Wireless devices	0	17	1	18
OIG-10-A-20 Audit of NRC's Vendor Inspection Program	2	8	0	10
OIG-10-A-21 Audit of NRC's Oversight of the Access Authorization Program for Nuclear Power Plants	0	3	0	3
OIG-11-A-02 Audit of NRC's Non-Concurrence Process	1	7	0	8
OIG-11-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act for Fiscal Year 2010	0	2	0	2
OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance	5	0	0	5
OIG-11-A-09 Audit of NRC's Implementation of HSPD-12 Phase 2	3	0	0	3
Grand Total	**11**	**94**	**67**	**172**

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	12/3/2010	5/31/2011		Resolved
3	Include guidance on reporting unmet goals	OCFO	12/3/2010	5/31/2011		Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials						
1	Conduct periodic inspections	EDO,NMSS	1/12/2011	12/30/2011		Resolved
3	Document risk informed approach	EDO,NMSS	1/12/2011	12/30/2011		Resolved
OIG-05-A-09 Audit of the Budget Formulation Process						
1	EDO, CFO Roles	OCFO	12/2/2010	5/31/2011		Resolved
2	PRC Role	OCFO	12/2/2010	5/31/2011		Resolved
3	Document Process	OCFO	12/2/2010	5/31/2011		Resolved
OIG-05-A-13 Audit of NRC's Telecommunications Program						
3	Revise MD 2.3.	EDO,OCIO			3/22/2011	Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	12/3/2010	4/21/2011		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	1/7/2011	9/30/2011		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	10/29/2011		Resolved
OIG-08-A-10 MEMORANDUM REPORT: AUDIT OF NRC'S CONTINUITY OF OPERATIONS PLAN						
1	Physical Security Survey Guidance	ADM,EDO,NSIR	12/1/2010	5/27/2011		Resolved
OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting						
3	Detailed System analysis	OCFO	3/18/2011	11/1/2011		Resolved
4	Electronic Signatures	OCFO	3/18/2011	11/1/2011		Resolved
OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO	11/3/2010	10/14/2011		Resolved
OIG-08-A-17 Audit of NRC's Enforcement Program						
2	Define data collection requirements	EDO,OE	1/31/2011	7/29/2011		Resolved
3	Develop QA process	EDO,OE	1/31/2011	7/29/2011		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			3/23/2011	Resolved
OIG-09-A-06 Audit of the Committee to Review Generic Communications						
1	Develop agencywide backfit review process	EDO,RES	3/3/2011	6/30/2011		Resolved
OIG-09-A-08 Audit of NRC's Agreement State Program						
1	Develop an IMPEP self-assessment mechanism	EDO,FSME	1/7/2011	4/15/2011		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
2	Develop guidance for identifying Agreement State information needed if State cannot perform its functions	EDO,FSME			3/29/2011	Resolved
4	Develop a standardized data collection process as the basis of a national information sharing tool	EDO,FSME	1/7/2011	4/15/2011		Resolved
OIG-09-A-09 Audit of NRC's Warehouse Operations						
2	Conduct security survey	ADM,EDO	3/16/2011	1/9/2012		Resolved
OIG-09-A-16 Audit of NRC's Grant Management Program						
1	Resolve LSS Issues	ADM,EDO	2/7/2011	7/31/2011		Resolved
2	Update MD 11.6	ADM,EDO	2/7/2011	7/31/2011		Resolved
5	Trained Staff	ADM,EDO	2/7/2011	7/31/2011		Resolved
OIG-10-A-02 Audit of NRC's Quality Assurance						
4	Incorporate assessment results of translation quality into oversight	EDO,NRO	1/31/2011	4/29/2011		Resolved
OIG-10-A-11 Social Engineering Assessment Report						
1	Secure Coding Practices	CSO,EDO	10/28/2010	4/29/2011		Resolved
3	Publicly Facing Information	CSO,EDO	10/28/2010	4/29/2011		Resolved
4	Authentication Controls	CSO,EDO	10/28/2010	4/29/2011		Resolved
5	Removeable Storage	CSO,EDO	10/28/2010	4/29/2011		Resolved
6	NRC Network Access	CSO,EDO	10/28/2010	4/29/2011		Resolved
7	Malicious File Identification	CSO,EDO	10/28/2010	4/29/2011		Resolved
8	Security Training	CSO,EDO	10/28/2010	4/29/2011		Resolved
10	Training Assessment	CSO,EDO	10/28/2010	4/29/2011		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			2/11/2011	Resolved
2	Clarify MD 11.7 - document rationale	ADM,EDO			2/11/2011	Resolved
3	Revise MD 11.7 - commercial sources	ADM,EDO			2/11/2011	Resolved
4	Interim guidance	ADM,EDO			2/11/2011	Resolved
5	Implement milestones	ADM,EDO			2/11/2011	Resolved
7	Issue delegation of authority	ADM,EDO,OCM			2/11/2011	Resolved
OIG-10-A-13 Audit of NRC's Telework Program						
2	Methods for accessing information technology systems needed.	EDO,HR,NSIR			1/31/2011	Resolved
3	Develop manual or other compensating systems	EDO,HR,NSIR			1/31/2011	Resolved
4	Coordinate agency efforts to identify and remove IT telework barriers	EDO,HR,NSIR			1/31/2011	Resolved
5	Reference procedures in telework guidance.	EDO,HR,NSIR			1/31/2011	Resolved
6	Develop a management directive	ADM,EDO,HR			1/31/2011	Resolved
7	Issue interim guidance	ADM,EDO,HR			1/31/2011	Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
8	Develop a procedure for assessing and reporting the results of full-time telework arrangements to HR.	ADM,EDO,HR			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	2/28/2011	1/20/2012		Resolved
2	Establish a timeframe for issuing closed staff meeting notices and summaries	EDO	2/28/2011	1/20/2012		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	10/20/2010	7/31/2011		Resolved
2	Develop policy to conduct annual inventories and reconcile differences.	EDO,OIS	10/20/2010	7/31/2011		Resolved
3	Calculate and communicate the costs of various calling options.	EDO,OIS	10/20/2010	7/31/2011		Resolved
OIG-10-A-16 Audit of NRC's Deployment of the National Source Tracking System						
1	Assess alternative credentialing strategies	EDO,FSME	12/2/2010	4/30/2011		Resolved
OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security						
1	Inspection Frequency	EDO,FSME	11/9/2010	10/31/2011		Resolved
2	Periodic terrorist watch list checks	EDO,FSME	11/9/2010	10/31/2011		Resolved
3	Refresher Training	EDO,FSME	11/9/2010	10/31/2011		Resolved
OIG-10-A-18 Assessment of Wireless devices						
1	Install tamper evident systems on SLES	CSO,EDO	12/1/2010	3/31/2011		Resolved
2	Conduct a system engineering trade study	CSO,EDO	12/1/2010	3/31/2011		Resolved
3	Disable Autorun on SLES	CSO,EDO	12/1/2010	3/31/2011		Resolved
5	Deploy an improved Detection and Reporting Process	CSO,EDO	12/1/2010	3/31/2011		Resolved
6	Develop and implement a technical process for isolation	CSO,EDO	12/1/2010	3/31/2011		Resolved
7	Separation of Duties Awareness	CSO,EDO	12/1/2010	3/31/2011		Resolved
8	Implement automated audit log reduction	CSO,EDO	12/1/2010	3/31/2011		Resolved
9	Configuration control and baseline documentation system	CSO,EDO	12/1/2010	3/31/2011		Resolved
10	Detection and reporting	CSO,EDO	12/1/2010	3/31/2011		Resolved
11	Revise Management Directive 12.5	CSO,EDO	12/1/2010	3/31/2011		Resolved
12	Blackberry Account Management	CSO,EDO	12/1/2010	3/31/2011		Resolved
13	Awareness of Separation of Duties	CSO,EDO	12/1/2010	3/31/2011		Resolved
14	Automation of ITI Log Information	CSO,EDO	12/1/2010	3/31/2011		Resolved
15	BES systems are not regularly reviewed	CSO,EDO	12/1/2010	3/31/2011		Resolved
16	Implement a BES Management System	CSO,EDO	12/1/2010	3/31/2011		Resolved
17	BES not managed by automation.	CSO,EDO	12/1/2010	3/31/2011		Resolved
18	BES Maintenance records need to be automated	CSO,EDO	12/1/2010	3/31/2011		Resolved
OIG-10-A-20 Audit of NRC's Vendor Inspection Program						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	Develop an NRO Vendor Inspection Program planning document	EDO,NRO	1/11/2011	5/27/2011		Unresolved
2	Develop a methodology to identify vendors.	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
3	Develop a methodology to select vendors for inspection.	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
4	Develop a vendor outreach/communications plan	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
5	Clarify Commercial-Grade Dedication	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
6	Commercial-Grade Sampling	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
7	Part 21 Compliance Guidance	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
8	Part 21 Changes on Web Site	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO,NRO,NRR	1/11/2011	5/27/2011		Unresolved
10	Develop a strategy/plan to monitor CFSI	EDO,NRO,NRR	1/11/2011	5/27/2011		Resolved
OIG-10-A-21 Audit of NRC's Oversight of the Access Authorization Program for Nuclear Power Plants						
1	BOP Training	EDO,NSIR			4/4/2011	Resolved
2	PADS Access	EDO,NSIR			4/4/2011	Resolved
3	Screening Procedures	EDO,NSIR			4/4/2011	Resolved
OIG-11-A-02 Audit of NRC's Non-Concurrence Process						
1	Define Management Expectations	EDO,OE			3/31/2011	Resolved
2	Revise MD 10.158	EDO,OE			3/31/2011	Resolved
3	Finalize MD 10.158	EDO,OE			3/31/2011	Unresolved
4	On-demand non-concurrence process training	EDO,OE			3/31/2011	Resolved
5	Update the Differing Views Contact Web page	EDO,OE			3/31/2011	Resolved
6	Identify and track all Forms 757	EDO,OE			3/31/2011	Resolved
7	Develop a Formalized System to Capture and Review Forms 757	EDO,OE			3/31/2011	Resolved
8	Perform regularly scheduled assessments of NCP	EDO,OE			3/31/2011	Resolved
OIG-11-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act for Fiscal Year 2010						
1	POA&M automated tool	CSO,EDO	1/5/2011	7/15/2011		Resolved
2	POA&M verfications	CSO,EDO	1/5/2011	7/15/2011		Resolved
OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance						
1	Revise 10 CFR Part 21	EDO,NRR	3/23/2011	4/22/2011		Unresolved
2	Expedite publication of interim guidance	EDO,NRR	3/23/2011	4/22/2011		Unresolved
3	Correct the sections of NUREG-1022, Event Reporting Guidelines	EDO,NRR	3/23/2011	4/22/2011		Unresolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO,NRR	3/23/2011	4/22/2011		Unresolved
5	Incorporate IP 36100, Inspection of 10 CFR Parts 21 and 10 CFR 50.55(e) into Baseline Inspection Program	EDO,NRR	3/23/2011	4/22/2011		Unresolved
OIG-11-A-09 Audit of NRC's Implementation of HSPD-12 Phase 2						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
1	LACS communication and outreach plan	EDO,OIS	3/30/2011	4/29/2011		Unresolved
2	LACS policy and procedure training	EDO,OIS	3/30/2011	4/29/2011		Unresolved
3	"Use case" policies and procedures	EDO,OIS	3/30/2011	4/29/2011		Unresolved