



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

**OFFICE OF THE
INSPECTOR GENERAL**

November 9, 2011

MEMORANDUM TO: Nader Mamish
Assistant for Operations
Office of the Executive Director for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS –
NOVEMBER 2011

Attached is the OIG up-to-date status of all open audit recommendations as of November 7, 2011. Should you have any questions, please feel free to contact Steven Zane at 301-415-5912.

Attachment: As stated

cc: J. Arildsen, OEDO
K. Brock, 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-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	1	4	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-11 Social Engineering Assessment Report	0	7	5	12
OIG-10-A-12 Audit of NRC's Management of Agreements with Department of Energy Laboratories	0	4	3	7
OIG-10-A-13 Audit of NRC's Telework Program	0	3	5	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-17 Audit of NRC's Oversight of Irradiator Security	0	3	0	3
OIG-10-A-18 Assessment of Wireless devices	0	8	10	18
OIG-10-A-20 Audit of NRC's Vendor Inspection Program	0	9	1	10
OIG-11-A-02 Audit of NRC's Non-Concurrence Process	0	5	3	8
OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance	0	5	0	5
OIG-11-A-10 Audit of NRC's Oversight of ISFSI Security	0	2	2	4
OIG-11-A-12 Audit of NRC's Oversight of Independent Spent Fuel Storage Installations Safety	0	2	0	2
OIG-11-A-13 Audit of NRC's Purchase Card Program	0	6	0	6
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees	0	5	0	5
OIG-11-A-15 Audit of NRC's Shared S Drive	0	5	0	5
OIG-11-A-16 Audit of NRC's iLearn Learning Management System	0	5	0	5
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments	5	0	0	5
OIG-11-A-18 Audit of SAPHIRE 8 System	3	0	0	3

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	EDO,OCFO	11/2/2011	8/31/2012		Resolved
3	Include guidance on reporting unmet goals	EDO,OCFO	11/2/2011	8/31/2012		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	8/8/2011	10/31/2011		Resolved
2	PRC Role	OCFO	8/8/2011	10/31/2011		Resolved
3	Document Process	OCFO	8/8/2011	10/31/2011		Resolved
OIG-05-A-13 Audit of NRC's Telecommunications Program						
3	Revise MD 2.3.	EDO,OCIO	6/21/2011	9/26/2011		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	8/26/2011	3/22/2012		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	9/19/2011	3/12/2012		Resolved
OIG-08-A-06 Memorandum Report: NRC's Planned Cybersecurity Program						
1	Develop and implement plans for a cybersecurity oversight program	EDO,NSIR			11/2/2011	Resolved
OIG-08-A-11 Audit of NRC's Accounting and Control Over Time and Labor Reporting						
3	Detailed System analysis	OCFO			11/4/2011	Resolved
4	Electronic Signatures	OCFO			11/4/2011	Resolved
OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO			10/13/2011	Resolved
OIG-08-A-17 Audit of NRC's Enforcement Program						
2	Define data collection requirements	EDO,OE	8/31/2011	2/10/2012		Resolved
3	Develop QA process	EDO,OE	8/31/2011	2/10/2012		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			10/24/2011	Resolved
OIG-09-A-06 Audit of the Committee to Review Generic Communications						
1	Develop agencywide backfit review process	EDO,RES	7/28/2011	12/30/2011		Resolved
OIG-09-A-08 Audit of NRC's Agreement State Program						
4	Develop a standardized data collection process as the basis of a national information sharing tool	EDO,FSME	8/15/2011	2/1/2012		Resolved
OIG-09-A-09 Audit of NRC's Warehouse Operations						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
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	8/15/2011	1/31/2012		Resolved
2	Update MD 11.6	ADM,EDO	8/15/2011	1/31/2012		Resolved
5	Trained Staff	ADM,EDO	8/15/2011	1/31/2012		Resolved
OIG-10-A-11 Social Engineering Assessment Report						
3	Publicly Facing Information	CSO,EDO			10/25/2011	Resolved
4	Authentication Controls	CSO,EDO			10/25/2011	Resolved
5	Removeable Storage	CSO,EDO			10/25/2011	Resolved
6	NRC Network Access	CSO,EDO			10/25/2011	Resolved
7	Malicious File Identification	CSO,EDO			10/25/2011	Resolved
8	Security Training	CSO,EDO			10/25/2011	Resolved
10	Training Assessment	CSO,EDO			10/25/2011	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	5/6/2011	2/10/2012		Resolved
2	Clarify MD 11.7 - document rationale	ADM,EDO	5/6/2011	2/10/2012		Resolved
3	Revise MD 11.7 - commercial sources	ADM,EDO	5/6/2011	2/10/2012		Resolved
7	Issue delegation of authority	ADM,EDO,OCM	5/6/2011	2/10/2012		Resolved
OIG-10-A-13 Audit of NRC's Telework Program						
5	Reference procedures in telework guidance.	EDO,HR,NSIR	10/19/2011	9/10/2012		Resolved
6	Develop a management directive	ADM,EDO,HR	10/19/2011	9/10/2012		Resolved
8	Develop a procedure for assessing and reporting the results of full-time telework arrangements to HR.	ADM,EDO,HR	10/19/2011	9/10/2012		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	9/9/2011	1/31/2012		Resolved
2	Develop policy to conduct annual inventories and reconcile differences.	EDO,OIS	9/9/2011	1/31/2012		Resolved
3	Calculate and communicate the costs of various calling options.	EDO,OIS	9/9/2011	1/31/2012		Resolved
OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security						
1	Inspection Frequency	EDO,FSME			10/31/2011	Resolved
2	Periodic terrorist watch list checks	EDO,FSME			10/31/2011	Resolved
3	Refresher Training	EDO,FSME			10/31/2011	Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-10-A-18 Assessment of Wireless devices						
10	Detection and reporting	CSO,EDO			10/20/2011	Resolved
11	Revise Management Directive 12.5	CSO,EDO			11/21/2011	Resolved
12	Blackberry Account Management	CSO,EDO			10/20/2011	Resolved
13	Awareness of Separation of Duties	CSO,EDO			10/20/2011	Resolved
14	Automation of ITI Log Information	CSO,EDO			10/20/2011	Resolved
15	BES systems are not regularly reviewed	CSO,EDO			10/20/2011	Resolved
16	Implement a BES Management System	CSO,EDO			10/20/2011	Resolved
17	BES not managed by automation.	CSO,EDO			10/20/2011	Resolved
OIG-10-A-20 Audit of NRC's Vendor Inspection Program						
1	Develop an NRO Vendor Inspection Program planning document	EDO,NRO	7/27/2011	1/6/2012		Resolved
2	Develop a methodology to identify vendors.	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
3	Develop a methodology to select vendors for inspection.	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
4	Develop a vendor outreach/communications plan	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
5	Clarify Commercial-Grade Dedication	EDO,NRO,NRR	7/20/2011	1/6/2012		Resolved
6	Commercial-Grade Sampling	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
7	Part 21 Compliance Guidance	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
10	Develop a strategy/plan to monitor CFSI	EDO,NRO,NRR	7/27/2011	1/6/2012		Resolved
OIG-11-A-02 Audit of NRC's Non-Concurrence Process						
2	Revise MD 10.158	EDO,OE	9/9/2011	1/30/2012		Resolved
3	Finalize MD 10.158	EDO,OE	9/9/2011	1/30/2012		Resolved
4	On-demand non-concurrence process training	EDO,OE	9/9/2011	1/30/2012		Resolved
6	Identify and track all Forms 757	EDO,OE	9/9/2011	1/30/2012		Resolved
8	Perform regularly scheduled assessments of NCP	EDO,OE	9/9/2011	1/30/2012		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	9/16/2011	4/6/2012		Resolved
2	Expedite publication of interim guidance	EDO,NRR	9/16/2011	4/6/2012		Resolved
3	Correct the sections of NUREG-1022, Event Reporting Guidelines	EDO,NRR	9/16/2011	4/6/2012		Resolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO,NRR	9/16/2011	4/6/2012		Resolved
5	Incorporate IP 36100, Inspection of 10 CFR Parts 21 and 10 CFR 50.55(e) into Baseline Inspection Program	EDO,NRR	8/16/2011	4/6/2012		Resolved
OIG-11-A-10 Audit of NRC's Oversight of ISFSI Security						
1	Process document	EDO,NSIR	10/6/2011	6/4/2012		Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
3	training program	EDO,NSIR	10/6/2011	6/4/2012		Resolved
OIG-11-A-12 Audit of NRC's Oversight of Independent Spent Fuel Storage Installations Safety						
1	Inspector Training	EDO,NMSS			10/26/2011	Resolved
2	Routine Inspection Frequency	EDO,NMSS			10/26/2011	Resolved
OIG-11-A-13 Audit of NRC's Purchase Card Program						
1	Periodic Reminder to Cardholders	ADM,EDO	8/8/2011	2/15/2012		Resolved
2	Update NRC Purchase Card Handbook	ADM,EDO	8/8/2011	2/15/2012		Resolved
3	Revise Purchase Card Training	ADM,EDO	8/8/2011	2/15/2012		Resolved
4	Continuous Monitoring	ADM,EDO	8/8/2011	2/15/2012		Resolved
5	Develop Desk Procedures	ADM,EDO	8/8/2011	2/15/2012		Resolved
6	Document Periodic Reconciliations	ADM,EDO	8/8/2011	2/15/2012		Resolved
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees						
1	Define MML project managers' roles	EDO,FSME	9/14/2011	12/30/2011		Resolved
2	Develop a training notification process	EDO,FSME	9/14/2011	12/30/2011		Resolved
3	Develop a training registration process	EDO,FSME	9/14/2011	12/30/2011		Resolved
4	Modify MML permittee inspection selection guidance	EDO,FSME	9/14/2011	12/30/2011		Resolved
5	Define MML licensee regulatory oversight responsibilities	EDO,FSME	9/14/2011	12/30/2011		Resolved
OIG-11-A-15 Audit of NRC's Shared S Drive						
1	PII Training	EDO,OIS	9/1/2011	4/30/2012		Resolved
2	Training to Protect SUNSI on Shared Drives	EDO,OIS	9/1/2011	4/30/2012		Resolved
3	CUI Policies for Shared Drives	EDO,OIS	9/1/2011	4/30/2012		Resolved
4	IT Coordinator Training	EDO,OIS	9/1/2011	4/30/2012		Resolved
5	Quality Assurance Checks to Preserve Access Controls on Shared Drives	EDO,OIS	9/1/2011	4/30/2012		Resolved
OIG-11-A-16 Audit of NRC's iLearn Learning Management System						
1	Issue guidance for fields	EDO,HR	9/16/2011	2/15/2012		Resolved
2	Quality assurance program	EDO,HR	9/16/2011	2/15/2012		Resolved
3	Correct iLearn fields	EDO,HR	9/16/2011	2/15/2012		Resolved
4	Policies and procedures	EDO,HR	9/16/2011	2/15/2012		Resolved
5	Training	EDO,HR	9/16/2011	2/15/2012		Resolved
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments						
1	Revise LIC-105 on sampling direction for commitment audits.	EDO			10/18/2011	Unresolved
2	Revise LIC-105 on expectations of commitment audits.	EDO			10/18/2011	Unresolved
3	Develop Training on use of commitments	EDO			10/18/2011	Unresolved
4	Identify safety significant commitments.	EDO			10/18/2011	Unresolved
5	Track safety significant commitments, if needed.	EDO			10/18/2011	Unresolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-11-A-18 Audit of SAPPHIRE 8 System						
1	Granting Access	EDO,RES			10/19/2011	Unresolved
2	Reviewing Access	EDO,RES			10/19/2011	Unresolved
3	Deactivation	EDO,RES			10/19/2011	Unresolved