



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

**OFFICE OF THE
INSPECTOR GENERAL**

August 7, 2012

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 –
AUGUST 2012

Attached is the OIG up-to-date status of all open audit recommendations as of August 3, 2012. 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-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-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-09-A-06 Audit of the Committee to Review Generic Communications	0	1	1	2
OIG-10-A-11 Social Engineering Assessment Report	0	5	7	12
OIG-10-A-13 Audit of NRC's Telework Program	0	3	5	8
OIG-10-A-17 Audit of NRC's Oversight of Irradiator Security	0	1	2	3
OIG-10-A-18 Assessment of Wireless devices	0	2	16	18
OIG-10-A-20 Audit of NRC's Vendor Inspection Program	0	6	4	10
OIG-11-A-02 Audit of NRC's Non-Concurrence Process	0	4	4	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	1	3	4
OIG-11-A-12 Audit of NRC's Oversight of Independent Spent Fuel Storage Installations Safety	0	1	1	2
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	4	1	5
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments	0	5	0	5
OIG-12-A-02 Independent Evaluation of NRC's Contract Award Process	0	1	4	5
OIG-12-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for FY 2011	0	6	0	6
OIG-12-A-06 Audit of NRC's Oversight of Decommissioned Uranium Recovery Sites and Sites Undergoing Decommissioning	0	2	0	2
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters	0	4	0	4
OIG-12-A-10 Audit of NRC's Management of the Baseline Security Inspection Report	0	5	0	5
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)	1	7	0	8
OIG-12-A-13 Audit of NRC's Management of Import/Export Authorizations	0	6	1	7
OIG-12-A-14 Audit of NRC's Issuance of General Licenses	4	0	0	4
OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography	8	0	0	8
OIG-12-A-16 Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC) Process	10	0	0	10
Grand Total	23	86	66	175

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	1/9/2012	1/11/2013		Resolved
3	Document risk informed approach	EDO,NMSS	1/9/2012	1/11/2013		Resolved
OIG-05-A-09 Audit of the Budget Formulation Process						
1	EDO, CFO Roles	OCFO	3/21/2012	11/30/2012		Resolved
2	PRC Role	OCFO	3/16/2012	11/30/2012		Resolved
3	Document Process	OCFO	3/21/2012	11/30/2012		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	5/21/2012	10/31/2012		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	3/19/2012	11/30/2012		Resolved
OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO	6/6/2012	8/31/2012		Resolved
OIG-08-A-17 Audit of NRC's Enforcement Program						
2	Define data collection requirements	EDO,OE	3/9/2012	9/7/2012		Resolved
3	Develop QA process	EDO,OE	3/9/2012	9/7/2012		Resolved
OIG-09-A-06 Audit of the Committee to Review Generic Communications						
1	Develop agencywide backfit review process	EDO,RES	5/21/2012	9/14/2012		Resolved
OIG-10-A-11 Social Engineering Assessment Report						
3	Publicly Facing Information	CSO,EDO	3/7/2012	10/2/2012		Resolved
4	Authentication Controls	CSO,EDO	3/7/2012	10/2/2012		Resolved
5	Removeable Storage	CSO,EDO	3/7/2012	10/2/2012		Resolved
7	Malicious File Identification	CSO,EDO	3/7/2012	10/2/2012		Resolved
8	Security Training	CSO,EDO	3/7/2012	10/2/2012		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-17 Audit of NRC's Oversight of Irradiator Security						
2	Periodic terrorist watch list checks	EDO,FSME	6/28/2012	11/15/2012		Resolved
OIG-10-A-18 Assessment of Wireless devices						

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
11	Revise Management Directive 12.5	CSO,EDO	6/27/2012	12/28/2012		Resolved
12	Blackberry Account Management	CSO,EDO	6/27/2012	12/28/2012		Resolved
OIG-10-A-20 Audit of NRC's Vendor Inspection Program						
1	Develop an NRO Vendor Inspection Program planning document	EDO,NRO	3/9/2012	8/6/2012		Resolved
2	Develop a methodology to identify vendors.	EDO,NRO,NRR	3/9/2012	8/6/2012		Resolved
5	Clarify Commercial-Grade Dedication	EDO,NRO,NRR	3/9/2012	8/6/2012		Resolved
6	Commercial-Grade Sampling	EDO,NRO,NRR	3/9/2012	8/6/2012		Resolved
7	Part 21 Compliance Guidance	EDO,NRO,NRR	3/9/2012	8/6/2012		Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO,NRO,NRR	3/9/2012	8/6/2012		Resolved
OIG-11-A-02 Audit of NRC's Non-Concurrence Process						
2	Revise MD 10.158	EDO,OE	2/24/2012	12/31/2012		Resolved
3	Finalize MD 10.158	EDO,OE	2/24/2012	12/31/2012		Resolved
4	On-demand non-concurrence process training	EDO,OE	2/24/2012	12/31/2012		Resolved
8	Perform regularly scheduled assessments of NCP	EDO,OE	2/24/2012	12/31/2012		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	5/4/2012	11/13/2012		Resolved
2	Expedite publication of interim guidance	EDO,NRR	5/4/2012	11/13/2012		Resolved
3	Correct the sections of NUREG-1022, Event Reporting Guidelines	EDO,NRR	5/4/2012	11/13/2012		Resolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO,NRR	5/4/2012	11/13/2012		Resolved
5	Incorporate IP 36100, Inspection of 10 CFR Parts 21 and 10 CFR 50.55(e) into Baseline Inspection Program	EDO,NRR	5/4/2012	11/13/2012		Resolved
OIG-11-A-10 Audit of NRC's Oversight of ISFSI Security						
1	Process document	EDO,NSIR	5/10/2012	10/15/2012		Resolved
OIG-11-A-12 Audit of NRC's Oversight of Independent Spent Fuel Storage Installations Safety						
1	Inspector Training	EDO,NMSS	3/29/2012	10/15/2012		Resolved
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees						
1	Define MML project managers' roles	EDO,FSME	1/26/2012	9/17/2012		Resolved
2	Develop a training notification process	EDO,FSME	1/26/2012	9/17/2012		Resolved
3	Develop a training registration process	EDO,FSME	1/26/2012	9/17/2012		Resolved
4	Modify MML permittee inspection selection guidance	EDO,FSME	1/26/2012	9/17/2012		Resolved
5	Define MML licensee regulatory oversight responsibilities	EDO,FSME	1/26/2012	9/17/2012		Resolved
OIG-11-A-15 Audit of NRC's Shared S Drive						
2	Training to Protect SUNSI on Shared Drives	EDO,OIS	5/8/2012	11/2/2012		Resolved
3	CUI Policies for Shared Drives	EDO,OIS	5/8/2012	11/2/2012		Resolved

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Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
4	IT Coordinator Training	EDO,OIS	5/8/2012	11/2/2012		Resolved
5	Quality Assurance Checks to Preserve Access Controls on Shared Drives	EDO,OIS	5/8/2012	11/2/2012		Resolved
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments						
1	Revise LIC-105 on sampling direction for commitment audits.	EDO,NRR	4/16/2012	10/31/2012		Resolved
2	Revise LIC-105 on expectations of commitment audits.	EDO,NRR	4/16/2012	10/31/2012		Resolved
3	Develop Training on use of commitments	EDO,NRR	4/16/2012	10/31/2012		Resolved
4	Identify safety significant commitments.	EDO,NRR	4/16/2012	10/31/2012		Resolved
5	Track safety significant commitments, if needed.	EDO,NRR	4/16/2012	10/31/2012		Resolved
OIG-12-A-02 Independent Evaluation of NRC's Contract Award Process						
1	Develop or update policies and procedures.	ADM,EDO	6/21/2012	11/15/2012		Resolved
OIG-12-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for FY 2011						
1	Risk Management	CSO,EDO	12/29/2011	11/26/2012		Resolved
2	Config Management	CSO,EDO	12/29/2011	11/26/2012		Resolved
3	Performance Measures	CSO,EDO	12/29/2011	11/26/2012		Resolved
4	Software compliance Assessments	CSO,EDO	12/29/2011	11/26/2012		Resolved
5	Performance Measures Included	CSO,EDO	12/29/2011	11/26/2012		Resolved
6	Include Identified Vulnerabilities	CSO,EDO	12/29/2011	11/26/2012		Resolved
OIG-12-A-06 Audit of NRC's Oversight of Decommissioned Uranium Recovery Sites and Sites Undergoing Decommissioning						
1	MOU Compliance	EDO,FSME	1/27/2012	10/15/2012		Resolved
2	Inspection Guidance	EDO,FSME	1/27/2012	10/15/2012		Resolved
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters						
1	Designate a central control point	EDO,OE	4/30/2012	1/15/2013		Resolved
2	Update CAL guidance	EDO,OE	4/30/2012	1/15/2013		Resolved
3	Conduct CAL audits	EDO,OE	4/30/2012	1/15/2013		Resolved
4	Implement CAL tracking system	EDO,OE	4/30/2012	1/15/2013		Resolved
OIG-12-A-10 Audit of NRC's Management of the Baseline Security Inspection Report						
1	Develop and Maintain a Centralized Security Findings Database	EDO,NSIR	5/2/2012	11/2/2012		Resolved
2	Formalize and Implement Process for Maintaining Accurate Data	EDO,NSIR	5/2/2012	11/2/2012		Resolved
3	Formalize and Implement Process for Managing SGI Findings Data	EDO,NSIR	5/2/2012	11/2/2012		Resolved
4	Formalize and Implement Procedures for Testing Draft SDP Tools	EDO,NSIR	5/2/2012	11/2/2012		Resolved
5	Formalize and Implement Process for Periodic Review of SDP Tools	EDO,NSIR	5/2/2012	11/2/2012		Resolved
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)						
1	Develop Structured Reporting Process	EDO,NSIR	6/28/2012	9/3/2012		Resolved
2	Update MDs	EDO,NSIR	6/28/2012	9/3/2012		Resolved
3	Develop Interim Guidance	EDO,NSIR	6/28/2012	9/3/2012		Unresolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
4	Update Online Training	EDO,NSIR	6/28/2012	9/3/2012		Resolved
5	Update MD 12.7	EDO,NSIR	6/28/2012	9/3/2012		Resolved
6	Interim Guidance	EDO,NSIR	6/28/2012	9/3/2012		Resolved
7	Formal Business Processes	EDO,NSIR	6/28/2012	9/3/2012		Resolved
8	Refresher Training	EDO,NSIR	6/21/2012	9/3/2012		Resolved
OIG-12-A-13 Audit of NRC's Management of Import/Export Authorizations						
1	Biennial fee review process.	EDO,OIP	6/20/2012	9/10/2012		Resolved
2	Develop program office TACs.	EDO,OIP	6/20/2012	9/10/2012		Resolved
3	Performance Evaluation Metric	EDO,OIP	6/20/2012	9/10/2012		Resolved
4	Fee Revenue Policies and Procedures	EDO,OIP	6/20/2012	9/10/2012		Resolved
5	Verify that revenue was collected and deposited.	EDO,OIP	6/20/2012	9/10/2012		Resolved
6	Checklist step applicability	EDO,OIP	6/20/2012	9/10/2012		Resolved
OIG-12-A-14 Audit of NRC's Issuance of General Licenses						
1	Transfer Devices to an SL	EDO,FSME	6/28/2012	7/30/2012		Unresolved
2	Visit Existing Licensees	EDO,FSME	6/28/2012	7/30/2012		Unresolved
3	Visit New Licensees	EDO,FSME	6/28/2012	7/30/2012		Unresolved
4	Analyze Data & Take Action	EDO,FSME	6/28/2012	7/30/2012		Unresolved
OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography						
1	Require licenses to be clear and consistent	EDO,FSME	6/28/2012	7/30/2012		Unresolved
2	Define licensees' location for inspection	EDO,FSME	6/28/2012	7/30/2012		Unresolved
3	Selection methodology for field stations	EDO,FSME	6/28/2012	7/30/2012		Unresolved
4	Arrange temporary job site inspections	EDO,FSME	6/28/2012	7/30/2012		Unresolved
5	Transportation to offshore platforms	EDO,FSME	6/28/2012	7/30/2012		Unresolved
6	Transportation to lay-barges	EDO,FSME	6/28/2012	7/30/2012		Unresolved
7	Increase awareness of offshore radiography	EDO,FSME	6/28/2012	7/30/2012		Unresolved
8	Guidance for NRC inspections in Agreement States	EDO,FSME	6/28/2012	7/30/2012		Unresolved
OIG-12-A-16 Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC) Process						
1	Develop Formal Guidelines for Strategy Documents	EDO,NRO	7/12/2012	8/13/2012		Unresolved
2	Specify procedures for updating Strategy Docs and communicating/coordinating changes.	EDO,NRO	7/12/2012	8/13/2012		Unresolved
3	Provide guidance for non-targeted ITAAC & Clarify roles & responsibilities for ITAAC closure notification review	EDO,NRO	7/12/2012	8/13/2012		Unresolved
4	Develop and deliver training for the ITAAC process based on the results of needs assessments.	EDO,NRO	7/12/2012	8/13/2012		Unresolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
5	Designate a specific Project Manager for CIPIMS as required by the Project Management Methodology.	EDO,NRO	7/12/2012	8/13/2012		Unresolved
6	Develop and maintain project artifacts for CIPIMS as required in the Project Management Methodology.	EDO,NRO	7/12/2012	8/13/2012		Unresolved
7	Determine which SSCs manufactured/assembled off-site should be inspected prior to arrival at construction sites	EDO,NRO	7/12/2012	8/13/2012		Unresolved
8	Develop coordination strategy for Vendor Inspections and ITAAC process	EDO,NRO	7/12/2012	8/13/2012		Unresolved
9	Develop plan to correct communication/coordination problems between HQ and Region II	EDO,NRO	7/12/2012	8/13/2012		Unresolved
10	Develop and implement change management process for ITAAC	EDO,NRO	7/12/2012	8/13/2012		Unresolved