



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

**OFFICE OF THE
INSPECTOR GENERAL**

May 13, 2013

MEMORANDUM TO: Reginald W. Mitchell
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 –
MAY 2013

Attached is the OIG up-to-date status of all open audit recommendations as of May 8, 2013. Should you have any questions, please feel free to contact Steven Zane at 301-415-5912.

Attachment: As stated

cc: K. Brock, OEDO
J. Arildsen, OEDO
C. Jaegers, OEDO

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	4/8/2013	8/30/2013		Resolved
3	Include guidance on reporting unmet goals	EDO,OCFO	4/8/2013	8/30/2013		Resolved
OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials						
1	Conduct periodic inspections	EDO,NMSS	2/6/2013	12/11/2013		Resolved
3	Document risk informed approach	EDO,NMSS	2/6/2013	12/11/2013		Resolved
OIG-05-A-17 Audit of NRC's Decommissioning Program						
1	Retain Supporting Documentation	EDO,NMSS,OCFO	2/8/2013	8/19/2013		Resolved
OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities						
1	Fuel Cycle Facility framework	EDO,NMSS	12/11/2012	11/25/2013		Resolved
OIG-08-A-16 Audit of NRC's Premium Class Travel						
1	Update MD 14.1	OCFO	4/30/2013	8/31/2013		Resolved
OIG-09-A-06 Audit of the Committee to Review Generic Communications						
1	Develop agencywide backfit review process	EDO,RES	4/30/2013	11/13/2013		Resolved
OIG-10-A-11 Social Engineering Assessment Report						
3	Publicly Facing Information	CSO,EDO	11/20/2012	7/1/2013		Resolved
4	Authentication Controls	CSO,EDO	11/20/2012	7/1/2013		Resolved
5	Removeable Storage	CSO,EDO	11/20/2012	7/1/2013		Resolved
7	Malicious File Identification	CSO,EDO	11/20/2012	7/1/2013		Resolved
OIG-10-A-13 Audit of NRC's Telework Program						
6	Develop a management directive	ADM,EDO,HR	3/28/2013	2/28/2014		Resolved
OIG-10-A-18 Assessment of Wireless devices						
11	Revise Management Directive 12.5	CSO,EDO	4/18/2013	10/31/2013		Resolved
12	Blackberry Account Management	CSO,EDO	3/18/2013	10/31/2013		Resolved
OIG-10-A-20 Audit of NRC's Vendor Inspection Program						
2	Develop a methodology to identify vendors.	EDO,NRO,NRR	3/26/2013	8/6/2013		Resolved
5	Clarify Commercial-Grade Dedication	EDO,NRO,NRR	3/26/2013	8/6/2013		Resolved
6	Commercial-Grade Sampling	EDO,NRO,NRR	3/26/2013	8/6/2013		Resolved
7	Part 21 Compliance Guidance	EDO,NRO,NRR	3/26/2013	8/6/2013		Resolved
9	Develop Guidance to Approve Accredited Comm	EDO,NRO,NRR	3/26/2013	8/6/2013		Resolved
OIG-11-A-02 Audit of NRC's Non-Concurrence Process						
3	Finalize MD 10.158	EDO,OE	3/25/2013	6/30/2013		Resolved
4	On-demand non-concurrence process training	EDO,OE	3/25/2013	6/30/2013		Resolved
8	Perform regularly scheduled assessments of NC	EDO,OE	3/25/2013	6/30/2013		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,NRO,NRR			4/23/2013	Resolved
2	Expedite publication of interim guidance	EDO,NRO,NRR			4/23/2013	Resolved
3	Correct the sections of NUREG-1022, Event Rep	EDO,NRO,NRR			4/23/2013	Resolved
4	Review, revise and reissue NUREG-0302 10 CF1	EDO,NRO,NRR			4/23/2013	Resolved
5	Incorporate IP 36100, Inspection of 10 CFR Part:	EDO,NRO,NRR			4/23/2013	Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees						
1	Define MML project managers' roles	EDO,FSME	12/4/2012	4/30/2013		Resolved
4	Modify MML permittee inspection selection guida	EDO,FSME	12/4/2012	4/30/2013		Resolved
5	Define MML licensee regulatory oversight respor	EDO,FSME	12/4/2012	4/30/2013		Resolved
OIG-11-A-15 Audit of NRC's Shared S Drive						
2	Training to Protect SUNSI on Shared Drives	EDO,OIS	11/20/2012	7/2/2013		Resolved
3	CUI Policies for Shared Drives	EDO,OIS	11/20/2012	7/2/2013		Resolved
4	IT Coordinator Training	EDO,OIS	11/20/2012	7/2/2013		Resolved
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments						
3	Develop Training on use of commitments	EDO,NRR	3/26/2013	10/11/2013		Resolved
5	Track safety significant commitments, if needed.	EDO,NRR	3/26/2013	10/11/2013		Resolved
OIG-12-A-02 Independent Evaluation of NRC's Contract Award Process						
1	Develop or update policies and procedures.	ADM,EDO	1/31/2013	6/28/2013		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			5/1/2013	Resolved
2	Config Management	CSO,EDO			5/1/2013	Resolved
3	Performance Measures	CSO,EDO			5/1/2013	Resolved
4	Software compliance Assessments	CSO,EDO			5/1/2013	Resolved
5	Performance Measures Included	CSO,EDO			5/1/2013	Resolved
6	Include Identified Vulnerabilities	CSO,EDO			5/1/2013	Resolved
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters						
2	Update CAL guidance	EDO,OE	3/4/2013	9/6/2013		Resolved
3	Conduct CAL audits	EDO,OE	3/4/2013	9/6/2013		Resolved
OIG-12-A-10 Audit of NRC's Management of the Baseline Security Inspection Report						
1	Develop and Maintain a Centralized Security Fin	EDO,NSIR	11/20/2012	7/2/2013		Resolved
2	Formalize and Implement Process for Maintainin	EDO,NSIR	11/19/2012	7/2/2013		Resolved
3	Formalize and Implement Process for Managing	EDO,NSIR	11/20/2012	7/2/2013		Resolved
4	Formalize and Implement Procedures for Testing	EDO,NSIR	11/20/2012	7/2/2013		Resolved
5	Formalize and Implement Process for Periodic R	EDO,NSIR	11/20/2012	7/2/2013		Resolved
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)						
1	Develop Structured Reporting Process	EDO,NSIR	3/25/2013	1/7/2014		Resolved
2	Update MDs	EDO,NSIR	3/25/2013	1/7/2014		Resolved
3	Develop Interim Guidance	EDO,NSIR	3/25/2013	1/7/2014		Resolved
4	Update Online Training	EDO,NSIR	3/25/2013	1/7/2014		Resolved
5	Update MD 12.7	EDO,NSIR	3/25/2013	1/7/2014		Resolved
8	Refresher Training	EDO,NSIR	3/25/2013	1/7/2014		Resolved
OIG-12-A-13 Audit of NRC's Management of Import/Export Authorizations						
1	Biennial fee review process.	EDO,OIP	1/17/2013	5/20/2013		Resolved
4	Fee Revenue Policies and Procedures	EDO,OIP	1/17/2013	5/20/2013		Resolved
5	Verify that revenue was collected and deposited.	EDO,OIP	1/17/2013	5/20/2013		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-12-A-14 Audit of NRC's Issuance of General Licenses						
2	Visit Existing Licensees	EDO,FSME	3/18/2013	11/15/2013		Resolved
3	Visit New Licensees	EDO,FSME	3/18/2013	11/15/2013		Resolved
4	Analyze Data & Take Action	EDO,FSME	2/28/2013	11/15/2013		Resolved
OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography						
1	Require licenses to be clear and consistent	EDO,FSME	9/20/2012	5/31/2013		Resolved
2	Define licensees' location for inspection	EDO,FSME	9/20/2012	5/31/2013		Resolved
3	Selection methodology for field stations	EDO,FSME	9/20/2012	5/31/2013		Resolved
4	Arrange temporary job site inspections	EDO,FSME	9/20/2012	5/31/2013		Resolved
7	Increase awareness of offshore radiography	EDO,FSME	9/20/2012	5/31/2013		Resolved
8	Guidance for NRC inspections in Agreement Sta	EDO,FSME	9/20/2012	5/31/2013		Resolved
OIG-12-A-16 Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC) Process						
4	Develop and deliver training for the ITAAC proce	EDO,NRO	5/6/2013	7/31/2013		Resolved
7	Determine which SSCs manufactured/assembled	EDO,NRO	5/6/2013	7/31/2013		Resolved
8	Develop coordination strategy for Vendor Inspek	EDO,NRO	5/6/2013	7/31/2013		Resolved
10	Develop and implement change management pr	EDO,NRO	5/6/2013	7/31/2013		Unresolved
OIG-12-A-17 Information Security Risk Evaluation of Region II- Atlanta, GA. -						
2	Key Management Procedures Need Improverme	EDO,RII	1/29/2013	6/3/2013		Resolved
3	Key Combination management	EDO,RII	1/29/2013	6/3/2013		Resolved
7	Estblish and complete the laptop process	EDO,RII	1/29/2013	6/3/2013		Resolved
8	Update ROI 1250.1/1250.2	EDO,RII	1/29/2013	6/3/2013		Resolved
9	Develop procedures for IT security program	EDO,RII	1/29/2013	6/3/2013		Resolved
OIG-12-A-18 Memorandum Report: Audit of NRC's Contract Administration of the EPM Contract						
1	Update MD 11.1	ADM,EDO,OIS	4/22/2013	8/30/2013		Resolved
3	Develop/implement agencywide standard for inv	ADM,EDO,OIS	4/22/2013	8/30/2013		Unresolved
4	Certify the accuracy of invoices for contract NRC	EDO	4/22/2013	8/30/2013		Unresolved
OIG-12-A-19 Audit of NRC's Use of Orders						
1	EDO identify & document order followup require	EDO,OE			3/13/2013	Resolved
2	OCFO identify & document order followup require	EDO,OCFO,OE			3/13/2013	Resolved
3	OIP identify & document order followup requirem	EDO,OE,OIP			3/13/2013	Resolved
4	OIP seek updated delegation of authority to issue	EDO,OE,OIP			3/13/2013	Resolved
5	EDO seek updated delegation of authority to issu	EDO,OE			3/13/2013	Resolved
OIG-12-A-21 Audit of NRC's 10 CFR Part 31 General Licensing Program						
1	Licensee Notification	EDO,FSME	1/8/2013	9/30/2013		Resolved
2	Licensee Renotification	EDO,FSME	1/8/2013	9/30/2013		Resolved
OIG-13-A-02 Audit of NRC's Process for Calculating License Fees						
1	Fee rule validation	OCFO	4/22/2013	8/30/2013		Resolved
2	Desk Procedures	OCFO	4/22/2013	8/30/2013		Resolved
3	QC Checklists	OCFO	4/22/2013	8/30/2013		Resolved
4	Supervisory Review	OCFO	4/22/2013	8/30/2013		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
OIG-13-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2012						
1	New system inventory	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
2	biannual inventory update	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
3	Systems in NSICS	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
4	Regional office consolidated inventory	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
5	Consolidated inventory	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
6	Rack diagram	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
7	POA&M training	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
8	POA&M automated tool	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
9	Short term disruptions	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
10	Remote locations contingency planning	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
11	IT environment contingency plan	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
12	COOPs	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
13	remote site COOP	CSO,EDO,OIS	12/20/2012	7/12/2013		Resolved
OIG-13-A-06 Information Security Risk Evaluation of Region I – King of Prussia, PA						
1	Update Region I instruction 0710.1	EDO,OIS	2/8/2013	5/30/2013		Resolved
2	Update Region I Instruction 0730.1	EDO,OIS	2/8/2013	5/30/2013		Resolved
3	Update Regional Instruction 0180.1	EDO,OIS	2/8/2013	5/30/2013		Resolved
OIG-13-A-07 Information Security Risk Evaluation of Region IV - Arlington, TX						
1	Backup procedures are inadequate	EDO,OIS	2/8/2013	7/1/2013		Resolved
2	Develop backup procedures for NRC-servers	EDO,OIS	2/8/2013	7/1/2013		Resolved
3	Send backups offsite	EDO,OIS	2/8/2013	7/1/2013		Resolved
4	Establish general laptop system	EDO,OIS	2/8/2013	7/1/2013		Resolved
5	Update PG 0754.2	EDO,OIS	2/8/2013	7/1/2013		Resolved
6	Update PG 0001.11	EDO,OIS	2/8/2013	7/1/2013		Resolved
OIG-13-A-08 Independent Evaluation of NRC's Use and Security of Social Media						
1	Broaden NRC's definition with nuclear social mex	EDO,OPA	4/2/2013	1/5/2014		Resolved
2	Develop and Implement a process to monitor use	EDO,OPA	3/25/2013	1/5/2014		Resolved
3	Develop a baseline for performance by benchma	EDO,OPA	3/25/2013	1/5/2014		Resolved
4	Generate content periodically	EDO,OPA	3/25/2013	1/5/2014		Resolved
9	Develop and Implement a process for the use of	EDO,OPA	3/25/2013	1/5/2014		Resolved
17	Engage in active outreach to bloggers and other	EDO,OPA	3/25/2013	1/5/2014		Resolved
20	Periodically host a blogger's rountable	EDO,OPA	3/25/2013	1/5/2014		Resolved
25	Update the agency's information management ar	CSO,EDO,OIS	3/25/2013	1/5/2014		Resolved
26	Conduct annual security and vulnerability assess	CSO,EDO	3/25/2013	1/5/2014		Resolved
29	Disseminate electronic agencywide Yellow Anno	CSO,EDO,OIS	3/18/2013	1/5/2014		Resolved
30	Revise warning messages for network users	CSO,EDO,OIS	3/25/2013	1/5/2014		Resolved
31	Revise the Problem Report to include a link	CSO,EDO,OIS	3/25/2013	1/5/2014		Resolved
OIG-13-A-09 Audit of NRC's Progress in Carrying Out The "25 Point Implementation Plan to Reform Federal Information Technology Management"						
1	Review non-major IT investments.	OIS,EDO	3/5/2013	8/30/2013		Resolved

Status of OIG Audit Recommendations

Rec #	Description	Responsible Office	Last OIG Correspondence	Agency Response Due	Agency Response Received	Status
2	Institutionalize Training and Retention Best Pract	ADM,EDO	3/5/2013	8/30/2013		Resolved
3	Include all NRC data center infrastructure in data	OIS,EDO	3/5/2013	8/30/2013		Resolved
4	Create short- and long-term plans for the 3WFN	OIS,EDO	3/5/2013	8/30/2013		Resolved
OIG-13-A-11 TTC Security Risk Evaluation of NRC's Technical training Center						
1	Current Authority to Operate	CSO,EDO	3/7/2013	5/10/2013		Resolved
OIG-13-A-14 Audit of NRC's Safety Training and Development for Technical Staff						
1	New Assessments	EDO,HR			4/12/2013	Unresolved
2	Existing Assessments	EDO,HR			4/12/2013	Unresolved
OIG-13-A-16 Audit of NRC's Safeguards Information Local Area Network and Electronic Safe						
1	Designate SLES Business Champion	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
2	Establish Formal Workflow Process	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
3	Update Current Folder Structure	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
4	Create Folder Guide for SLES	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
5	Develop Communication Plan with SLES Users	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
6	Develop Change Control Process	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
7	Develop Structured Access Process within SLES	EDO,NSIR,OIS	4/1/2013	5/17/2013		Unresolved
OIG-13-A-17 Audit of NRC's Travel Charge Card Program						
1	Pay bills daily or weekly.	EDO,OCFO			5/3/2013	Unresolved
2	Check refund deals to ensure competitive rate.	EDO,OCFO			5/3/2013	Unresolved
3	Explore "tag along" options.	EDO,OCFO			5/3/2013	Unresolved
4	Revise MD 14.1.	EDO,OCFO			5/3/2013	Unresolved
5	Identify and enforce use of card by frequent travel	EDO,OCFO			5/3/2013	Unresolved
6	Implement mandatory split disbursement.	EDO,OCFO			5/3/2013	Unresolved
7	Use the Citibank reports.	EDO,OCFO			5/3/2013	Unresolved
8	Ensure appropriate staff complete Citibank training	EDO,OCFO			5/3/2013	Unresolved
9	Ensure staff attend annual GSA training.	EDO,OCFO			5/3/2013	Unresolved
10	Benchmark to atleast 3 agencies.	EDO,OCFO			5/3/2013	Unresolved
11	Analyze benchmarking information.	EDO,OCFO			5/3/2013	Unresolved
12	Develop and implement procedures to maintain c	EDO,OCFO			5/3/2013	Unresolved

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	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-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-09-A-06 Audit of the Committee to Review Generic Communications	0	1	1	2
OIG-10-A-11 Social Engineering Assessment Report	0	4	8	12
OIG-10-A-13 Audit of NRC's Telework Program	0	1	7	8
OIG-10-A-18 Assessment of Wireless devices	0	2	16	18
OIG-10-A-20 Audit of NRC's Vendor Inspection Program	0	5	5	10
OIG-11-A-02 Audit of NRC's Non-Concurrence Process	0	3	5	8
OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defe	0	5	0	5
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees	0	3	2	5
OIG-11-A-15 Audit of NRC's Shared S Drive	0	3	2	5
OIG-11-A-17 Audit of NRC's Management of Licensee Commitments	0	2	3	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 Inf	0	6	0	6
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters	0	2	2	4
OIG-12-A-10 Audit of NRC's Management of the Baseline Security Inspection Rep	0	5	0	5
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)	0	6	2	8
OIG-12-A-13 Audit of NRC's Management of Import/Export Authorizations	0	3	4	7
OIG-12-A-14 Audit of NRC's Issuance of General Licenses	0	3	1	4
OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography	0	6	2	8
OIG-12-A-16 Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criter	1	3	6	10
OIG-12-A-17 Information Security Risk Evaluation of Region II- Atlanta, GA. -	0	5	4	9
OIG-12-A-18 Memorandum Report: Audit of NRC's Contract Administration of the	2	1	1	4
OIG-12-A-19 Audit of NRC's Use of Orders	0	5	0	5
OIG-12-A-21 Audit of NRC's 10 CFR Part 31 General Licensing Program	0	2	0	2
OIG-13-A-02 Audit of NRC's Process for Calculating License Fees	0	4	0	4
OIG-13-A-03 Independent Evaluation of NRC's Implementation of the Federal Inf	0	13	0	13
OIG-13-A-06 Information Security Risk Evaluation of Region I - King of Prussia, P	0	3	0	3
OIG-13-A-07 Information Security Risk Evaluation of Region IV - Arlington, TX	0	6	0	6
OIG-13-A-08 Independent Evaluation of NRC's Use and Security of Social Media	0	12	22	34
OIG-13-A-09 Audit of NRC's Progress in Carrying Out The "25 Point Implementati	0	4	0	4
OIG-13-A-11 TTC Security Risk Evaluation of NRC's Technical training Center	0	1	0	1
OIG-13-A-14 Audit of NRC's Safety Training and Development for Technical Staff	2	0	0	2
OIG-13-A-16 Audit of NRC's Safeguards Information Local Area Network and Ele	7	0	0	7
OIG-13-A-17 Audit of NRC's Travel Charge Card Program	12	0	0	12
Grand Total	24	127	112	263