July 6, 2015

MEMORANDUM TO: Melanie A. Galloway
                   Assistant for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS –
                   JULY 2015

Attached is the Office of the Inspector General's (OIG) status report on all open audit recommendations as of July 2, 2015. Should you have any questions, please feel free to contact Steven Zane, Deputy Assistant Inspector General for Audits, at 301-415-5912.

Attachment: As stated

cc: J. Arildsen, OEDO
        J. Jolicoeur, OEDO
        B. Pham, OEDO
        S. Hudson, OCFO
        EDO_ACS Distribution

Summary of Audit Recommendations for Open OIG Audits

Report #	Report Title	Unresolved	Resolved	Closed
OIG-01-A-03	Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report	0	2	0
OIG-03-A-15	Audit of NRC's Regulatory Oversight of Special Nuclear Materials	0	2	6
OIG-05-A-17	Audit of NRC's Decommissioning Program	0	1	3
OIG-07-A-06	Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities	0	1	0
OIG-09-A-06	Audit of the Committee to Review Generic Communications	0	1	1
OIG-10-A-11	Social Engineering Assessment Report	0	2	10
OIG-10-A-13	Audit of NRC's Telework Program	0	1	7
OIG-10-A-20	Audit of NRC's Vendor Inspection Program	0	4	6
OIG-11-A-08	Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance	0	3	2
OIG-11-A-14	Audit of NRC's Oversight of Master Materials Licensees	0	2	3
OIG-11-A-15	Audit of NRC's Shared S Drive	0	2	3
OIG-12-A-04	Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for FY 2011	0	4	2
OIG-12-A-09	Audit of NRC's Use of Confirmatory Action Letters	0	1	3
OIG-12-A-10	Audit of NRC's Management of the Baseline Security Inspection Report	0	3	2
OIG-12-A-12	Audit of NRC's Protection of Safeguards Information (SGI)	0	1	7
OIG-12-A-15	Audit of NRC's Oversight of Industrial Radiography	0	1	7
OIG-12-A-16	Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC) Process	0	1	9
OIG-12-A-21	Audit of NRC·s 10 CFR Part 31 General Licensing Program	0	1	1
OIG-13-A-02	Audit of NRC's Process for Calculating License Fees	0	1	3
OIG-13-A-03	Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2012	0	6	7
OIG-13-A-08	Independent Evaluation of NRC's Use and Security of Social Media	0	1	33
OIG-13-A-16	Audit of NRC's Safeguards Information Local Area Network and Electronic Safe	0	5	2
OIG-13-A-17	Audit of NRC's Travel Charge Card Program	0	3	9
OIG-13-A-18	Audit of NRC's Budget Execution Process	0	3	5
OIG-13-A-20	Audit of NRC's Compliance With 10 CFR Part 51 Relative to Environmental Impact Statements	0	6	0
OIG-14-A-02	Audit of NRC's Oversight of Active Component Aging	0	2	0
OIG-14-A-03	Independent Evaluation of NRC's Implementation of FISMA for FY 2013	0	3	0
OIG-14-A-04	Audit of NRC's Information Technology Governance	0	1	3
OIG-14-A-08	Audit of NRC's Use of the NEWFlex Program	0	2	3
OIG-14-A-09	Audit of NRC's Implementation of Its National Environmental Policy Act Responsibilities	0	1	0

Summary of Audit Recommendations for Open OIG Audits

Report #	Report Title	Unresolved	Resolved	Closed
OIG-14-A-12	Survey of NRC's Support Provided to Resident Inspectors	0	2	0
OIG-14-A-17	Audit of NRC's Freedom of Information Act Process	0	9	0
OIG-14-A-19	Audit of NRC's Process for Revising Management Directives	0	8	1
OIG-14-A-20	Audit of NRC's Sequestration Process	0	1	0
OIG-14-A-21	Audit of NRC's Communications Security Program	0	1	3
OIG-15-A-02	Independent Evaluation of FISMA	0	1	0
OIG-15-A-05	Audit of NRC's Task Interface Agreement Process	0	1	0
OIG-15-A-06	Audit of NRC's Oversight of Spent Fuel Pools	0	4	0
OIG-15-A-08	Audit of NRC's Process for Ensuring Integrity in Scientific Research	0	5	0
OIG-15-A-09	Audit of NRC's Information Technology Procurement Process	0	2	0
OIG-15-A-12	Audit of NRC's Internal Controls Over Fee Revenue	0	6	1
OIG-15-A-14	Audit of NRC's Construction Reactor Oversight Process	2	0	0
OIG-15-A-15	Audit of NRC's Regulatory Analysis Process	4	0	0
OIG-15-A-16	Audit of NRC's Reactor Business Lines' Compliance With Agency Non-Financial Internal Control Guidance	3	0	0
OIG-15-A-17	Audit of NRC's Web-Based Licensing System (WBL)	4	0	0
	Total Recommendations:	**13**	**107**	**142**

#	Description	Responsible Office	Next Action By	Date Due	Rec Status

OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Develop a Management Directive	EDO, OCFO	EDO	03/31/2016	Resolved
3	Include guidance on reporting unmet goals	EDO, OCFO	EDO	03/31/2016	Resolved

OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Conduct periodic inspections	EDO, NMSS	EDO	12/31/2015	Resolved
3	Document risk informed approach	EDO, NMSS	EDO	12/31/2015	Resolved

OIG-05-A-17 Audit of NRC's Decommissioning Program

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Retain Supporting Documentation	EDO, NMSS, OCFO	EDO	02/19/2016	Resolved

OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Fuel Cycle Facility framework	EDO, NMSS	EDO	08/29/2015	Resolved

OIG-09-A-06 Audit of the Committee to Review Generic Communications

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Develop agencywide backfit review process	EDO	EDO	09/01/2015	Resolved

OIG-10-A-11 Social Engineering Assessment Report

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
4	Authentication Controls	CSO, EDO, OIS	EDO	07/30/2015	Resolved
5	Removeable Storage	CSO, EDO, OIS	EDO	07/30/2015	Resolved

OIG-10-A-13 Audit of NRC's Telework Program

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
6	Develop a management directive	ADM, EDO, HR	EDO	09/30/2015	Resolved

OIG-10-A-20 Audit of NRC's Vendor Inspection Program

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
5	Clarify Commercial-Grade Dedication	EDO, NRO, NRR	EDO	07/17/2015	Resolved
6	Commercial-Grade Sampling	EDO, NRO, NRR	EDO	07/17/2015	Resolved
7	Part 21 Compliance Guidance	EDO, NRO, NRR	EDO	07/17/2015	Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO, NRO, NRR	EDO	07/17/2015	Resolved

OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Revise 10 CFR Part 21	EDO, NRO, NRR	EDO	07/10/2015	Resolved
2	Expedite publication of interim guidance	EDO, NRO, NRR	EDO	07/10/2015	Resolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO, NRO, NRR	EDO	07/10/2015	Resolved

OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Define MML project managers' roles	EDO, FSME, NMSS	EDO	09/04/2015	Resolved
5	Define MML licensee regulatory oversight responsibilities	EDO, FSME, NMSS	EDO	09/04/2015	Resolved

OIG-11-A-15 Audit of NRC's Shared S Drive

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
2	Training to Protect SUNSI on Shared Drives	EDO, OIS	EDO	03/01/2016	Resolved

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
OIG-11-A-15 Audit of NRC's Shared S Drive (Continued)					
3	CUI Policies for Shared Drives	EDO, OIS	EDO	03/01/2016	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	OIG	08/03/2015	Resolved
4	Software compliance Assessments	CSO, EDO	OIG	08/03/2015	Resolved
5	Perfomance Measures Included	CSO, EDO	OIG	08/03/2015	Resolved
6	Include Identified Vulnerabilities	CSO, EDO	OIG	08/03/2015	Resolved
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters					
2	Update CAL guidance	EDO, OE	OIG	07/22/2015	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	EDO	10/30/2015	Resolved
2	Formalize and Implement Process for Maintaining Accurate Data	EDO, NSIR	EDO	10/30/2015	Resolved
3	Formalize and Implement Process for Managing SGI Findings Data	EDO, NSIR	EDO	10/30/2015	Resolved
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)					
2	Update MDs	EDO, NSIR	EDO	11/02/2015	Resolved
OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography					
1	Require licenses to be clear and consistent	EDO, NMSS	EDO	02/01/2016	Resolved
OIG-12-A-16 Audit of NRC's Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC) Process					
10	Develop and implement change management process for ITAAC	EDO, NRO	EDO	08/31/2015	Resolved
OIG-12-A-21 Audit of NRC·s 10 CFR Part 31 General Licensing Program					
2	Licensee Renotification	EDO, NMSS	EDO	01/29/2016	Resolved
OIG-13-A-02 Audit of NRC's Process for Calculating License Fees					
1	Fee rule validation	OCFO	OCFO	10/16/2015	Resolved
OIG-13-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2012					
7	POA&M training	CSO, EDO, OIS	EDO	10/31/2015	Resolved
8	POA&M automated tool	CSO, EDO, OIS	EDO	10/31/2015	Resolved
10	Remote locations contingency planning	CSO, EDO, OIS	EDO	10/31/2015	Resolved
11	IT environment contingency plan	CSO, EDO, OIS	EDO	10/31/2015	Resolved
12	COOPs	CSO, EDO, OIS	EDO	10/31/2015	Resolved
13	remote site COOP	CSO, EDO, OIS	EDO	10/31/2015	Resolved

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
OIG-13-A-08 Independent Evaluation of NRC's Use and Security of Social Media					
25	Update the agency's information management and security policies to include social media	CSO, EDO, OIS, OPA	EDO	04/30/2016	Resolved
OIG-13-A-16 Audit of NRC's Safeguards Information Local Area Network and Electronic Safe					
2	Establish Formal Workflow Process	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
3	Update Current Folder Structure	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
4	Create Folder Guide for SLES	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
6	Develop Change Control Process	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
7	Develop Stuctured Access Process within SLES	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
OIG-13-A-17 Audit of NRC's Travel Charge Card Program					
1	Pay bills daily or weekly.	ADM, EDO, OCFO	EDO	11/30/2015	Resolved
4	Revise MD 14.1.	EDO, OCFO	EDO	11/30/2015	Resolved
6	Implement mandatory split disbursement.	EDO, OCFO	EDO	11/30/2015	Resolved
OIG-13-A-18 Audit of NRC's Budget Execution Process					
1	Implement Planning, Budgeting & Performance Management process	EDO, OCFO	OCFO	08/31/2015	Resolved
3	Budget object codes	EDO, OCFO	OCFO	08/31/2015	Resolved
8	Clarify Allowance Holder delegations	EDO, OCFO	OCFO	08/31/2015	Resolved
OIG-13-A-20 Audit of NRC's Compliance With 10 CFR Part 51 Relative to Environmental Impact Statements					
1	Develop Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
2	Implement Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
3	Develop Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
4	Implement Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
5	Develop Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
6	Implement Agencywide Guidance	EDO, NMSS, NRO, NRR	OIG	07/31/2015	Resolved
OIG-14-A-02 Audit of NRC's Oversight of Active Component Aging					
1	Perform and document need for active aging component oversight program,	EDO, NRR, OCM	OIG	07/22/2015	Resolved
2	Monitor/Collect active component age-related data.	EDO, NRR, OCM	OIG	07/22/2015	Resolved
OIG-14-A-03 Independent Evaluation of NRC's Implementation of FISMA for FY 2013					
1	Update inventory for contractor systems.	CSO, EDO, OIS	EDO	07/31/2015	Resolved
2	Complete authorization activities.	CSO, EDO, OIS	EDO	07/31/2015	Resolved
3	Develop procedures for IT security.	CSO, EDO, OIS	EDO	07/31/2015	Resolved

Status of Open OIG Audit Recommendations
as of 07/02/2015

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
OIG-14-A-04 Audit of NRC's Information Technology Governance					
2	Revise MD 2.8	EDO, OIS	EDO	03/01/2016	Resolved
OIG-14-A-08 Audit of NRC's Use of the NEWFlex Program					
2	Add NEWFlex training to Supervisor Development Program	EDO, HR	EDO	09/30/2015	Resolved
3	Make NEWFlex training available for all employees	EDO, HR	EDO	09/30/2015	Resolved
OIG-14-A-09 **Audit of NRC's Implementation of Its** **National Environmental Policy Act Responsibilities**					
1	Develop and Implement Guidance	EDO, FSME, NMSS	EDO	10/30/2015	Resolved
OIG-14-A-12 Survey of NRC's Support Provided to Resident Inspectors					
1	Formal Mechanism	EDO, NRR	EDO	09/01/2015	Resolved
2	Management Roles and Responsibilities	EDO, NRR	EDO	09/01/2015	Resolved
OIG-14-A-17 Audit of NRC's Freedom of Information Act Process					
1	Implement Technology	EDO, OIS	EDO	06/30/2015	Resolved
2	Annual Reviews	EDO, OIS	EDO	06/30/2015	Resolved
3	Timely Updates	EDO, OIS	EDO	06/30/2015	Resolved
4	Develop Training	EDO, OIS	EDO	06/30/2015	Resolved
5	FOIA e-learning	EDO, OIS	EDO	06/30/2015	Resolved
6	Training for Staff	EDO, OIS	EDO	06/30/2015	Resolved
7	Document Review	EDO, OIS	EDO	06/30/2015	Resolved
8	Confirm Management Review	EDO, OIS	EDO	06/30/2015	Resolved
9	Revise Guidance	EDO, OIS	EDO	06/30/2015	Resolved
OIG-14-A-19 Audit of NRC's Process for Revising Management Directives					
1	Revise MD 1.1	ADM, EDO	EDO	11/30/2015	Resolved
2	EDO suspense date	ADM, EDO	EDO	11/30/2015	Resolved
3	Kickoff meeting participation	ADM, EDO	EDO	11/30/2015	Resolved
4	Performance measure and reporting	ADM, EDO	EDO	11/30/2015	Resolved
5	Link MDs to YPAs	ADM, EDO	EDO	11/30/2015	Resolved
6	Mechanism to track YPAs	ADM, EDO	EDO	11/30/2015	Resolved
8	Revise "Related Policy Documents"	ADM, EDO	EDO	11/30/2015	Resolved
9	Revise MD 3.16	ADM, EDO	EDO	11/30/2015	Resolved
OIG-14-A-20 Audit of NRC's Sequestration Process					
1	Establish Guidance	EDO, OCFO	OIG	07/06/2015	Resolved
OIG-14-A-21 Audit of NRC's Communications Security Program					

Status of Open OIG Audit Recommendations
as of 07/02/2015

#	Description	Responsible Office	Next Action By	Date Due	Rec Status

OIG-14-A-21 Audit of NRC's Communications Security Program (Continued)

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
4	Procure performance based secure fax maintenance contract.	NSIR, EDO	EDO	08/28/2015	Resolved

OIG-15-A-02 Independent Evaluation of FISMA

| 1 | Develp a Plan for Updating all Security Plans | CSO, EDO | EDO | 10/23/2015 | Resolved |

OIG-15-A-05 Audit of NRC's Task Interface Agreement Process

| 1 | Develop Sufficient Internal Controls | EDO, NRR | EDO | 09/15/2015 | Resolved |

OIG-15-A-06 Audit of NRC's Oversight of Spent Fuel Pools

1	Develop Criticality Guidance	EDO, NRR	EDO	10/30/2015	Resolved
2	Develop Inspection Guidance	EDO, NRR	EDO	10/30/2015	Resolved
3	Neutron Absorber Program	EDO, NRR	EDO	10/30/2015	Resolved
4	Update IMC 2561 & IP 60801	EDO, NRR	EDO	10/30/2015	Resolved

OIG-15-A-08 Audit of NRC's Process for Ensuring Integrity in Scientific Research

1	Designate Program Owner	EDO, OIS	EDO	09/30/2015	Resolved
2	Information Correction Requests	EDO, OIS	EDO	09/30/2015	Resolved
3	Annual Meeting	EDO, OIS, RES	EDO	09/30/2015	Resolved
4	Schedule for RES Office Guidance	EDO, RES	EDO	09/30/2015	Resolved
5	Align Peer Review Guidance with OMB and NAS	EDO	EDO	09/30/2015	Resolved

OIG-15-A-09 Audit of NRC's Information Technology Procurement Process

| 1 | Develop and implement selection criteria for IT governance groups. | EDO, OIS | EDO | 10/30/2015 | Resolved |
| 2 | Develop and implement communication plan for NRCcustomers. | EDO, OIS | EDO | 10/30/2015 | Resolved |

OIG-15-A-12 Audit of NRC's Internal Controls Over Fee Revenue

1	Centralize TAC control	EDO, OCFO	EDO	01/31/2016	Resolved
2	Limit TAC access in HRMS	EDO, OCFO	EDO	01/31/2016	Resolved
3	Standardize TACs	EDO, OCFO	EDO	01/31/2016	Resolved
4	Improve TAC validation process	EDO, OCFO	EDO	01/31/2016	Resolved
5	Improve the PM/RI Overhead process	EDO, OCFO	EDO	01/31/2016	Resolved
7	Provide sufficient contractor details on invoices.	EDO, OCFO	EDO	01/31/2016	Resolved

OIG-15-A-14 Audit of NRC's Construction Reactor Oversight Process

| 1 | Develop and Implement Review to Identify cROP Process Inefficiencies | EDO, NRO, RII | EDO | 07/16/2015 | Unresolved |
| 2 | Implement Results of Comprehensive cROP Review | EDO, NRO, RII | EDO | 07/16/2015 | Unresolved |

OIG-15-A-15 Audit of NRC's Regulatory Analysis Process

| 1 | Cost Estimator Training | EDO, NMSS, NRR | EDO | 07/24/2015 | Unresolved |

#	Description	Responsible Office	Next Action By	Date Due	Rec Status

OIG-15-A-15 Audit of NRC's Regulatory Analysis Process (Continued)

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
2	Knowledge management	EDO, NMSS, NRR	EDO	07/24/2015	Unresolved
3	Update guidance	EDO, NMSS, NRR	EDO	07/24/2015	Unresolved
4	Prior to Proposed Rule Input	EDO, NMSS, NRR	EDO	07/24/2015	Unresolved

OIG-15-A-16 Audit of NRC's Reactor Business Lines' Compliance With Agency Non-Financial Internal Control Guidance

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Implement non-financial internal control requirements	EDO	EDO	07/27/2015	Unresolved
2	Implement accountability steps	EDO	EDO	07/27/2015	Unresolved
3	Develop mandatory internal control training and internal control guidance	EDO	EDO	07/27/2015	Unresolved

OIG-15-A-17 Audit of NRC's Web-Based Licensing System (WBL)

#	Description	Responsible Office	Next Action By	Date Due	Rec Status
1	Standardized business processes	EDO, NMSS, RI, RIII, RIV	EDO	07/29/2015	Unresolved
2	Revise WBL roles	EDO, NMSS, RI, RIII, RIV	EDO	07/29/2015	Unresolved
3	Quality assurance mechanisms	EDO, NMSS, OIS, RI, RIII, RIV	EDO	07/29/2015	Unresolved
4	Identify inspection WBL user needs	EDO, NMSS, OIS, RI, RIII, RIV	EDO	07/29/2015	Unresolved