



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

**OFFICE OF THE
INSPECTOR GENERAL**

November 6, 2015

MEMORANDUM TO: Frederick Brown
Assistant for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS –
NOVEMBER 5, 2015

Attached is the Office of the Inspector General's (OIG) status report on all open audit recommendations as of November 5, 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

Status of Open OIG Audit Recommendations as of 11/05/2015

#	<u>Description</u>	<u>Responsible Office</u>	<u>Next Action By</u>	<u>Date Due</u>	<u>Rec Status</u>
OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report					
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					
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					
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					
1	Fuel Cycle Facility framework	EDO, NMSS	EDO	07/29/2016	Resolved
OIG-10-A-11 Social Engineering Assessment Report					
4	Authentication Controls	CSO, EDO, OIS	EDO	01/04/2016	Resolved
OIG-10-A-13 Audit of NRC's Telework Program					
6	Develop a management directive	ADM, EDO, HR	EDO	03/31/2016	Resolved
OIG-10-A-20 Audit of NRC's Vendor Inspection Program					
5	Clarify Commercial-Grade Dedication	EDO, NRO, NRR	EDO	01/08/2016	Resolved
6	Commercial-Grade Sampling	EDO, NRO, NRR	EDO	01/08/2016	Resolved
7	Part 21 Compliance Guidance	EDO, NRO, NRR	EDO	01/08/2016	Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO, NRO, NRR	EDO	01/08/2016	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	EDO	01/08/2016	Resolved
2	Expedite publication of interim guidance	EDO, NRO, NRR	EDO	01/08/2016	Resolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO, NRO, NRR	EDO	01/08/2016	Resolved
OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees					
1	Define MML project managers' roles	EDO, FSME, NMSS	EDO	02/22/2016	Resolved
5	Define MML licensee regulatory oversight responsibilities	EDO, FSME, NMSS	EDO	02/22/2016	Resolved
OIG-11-A-15 Audit of NRC's Shared S Drive					
2	Training to Protect SUNSI on Shared Drives	EDO, OIS	EDO	03/01/2016	Resolved
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					

Status of Open OIG Audit Recommendations as of 11/05/2015

#	<u>Description</u>	<u>Responsible Office</u>	<u>Next Action By</u>	<u>Date Due</u>	<u>Rec Status</u>
OIG-12-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for FY 2011 (Continued)					
6	Include Identified Vulnerabilities	CSO, EDO	EDO	05/27/2016	Resolved
OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters					
2	Update CAL guidance	EDO, OE	EDO	12/18/2015	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	OIG	11/30/2015	Resolved
2	Formalize and Implement Process for Maintaining Accurate Data	EDO, NSIR	OIG	11/30/2015	Resolved
3	Formalize and Implement Process for Managing SGI Findings Data	EDO, NSIR	OIG	11/30/2015	Resolved
OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)					
2	Update MDs	EDO, NSIR	EDO	10/31/2016	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-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	OIG	11/19/2015	Resolved
OIG-13-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2012					
10	Remote locations contingency planning	CSO, EDO, OIS	EDO	12/31/2015	Resolved
11	IT environment contingency plan	CSO, EDO, OIS	EDO	12/31/2015	Resolved
12	COOPs	CSO, EDO, OIS	EDO	12/31/2015	Resolved
13	remote site COOP	CSO, EDO, OIS	EDO	12/31/2015	Resolved
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 Structured Access Process within SLES	EDO, NSIR, OIS	EDO	01/21/2016	Resolved
OIG-13-A-17 Audit of NRC's Travel Charge Card Program					

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OIG-13-A-17 Audit of NRC's Travel Charge Card Program (Continued)					
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	03/31/2016	Resolved
3	Budget object codes	EDO, OCFO	OCFO	03/31/2016	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	EDO	02/19/2016	Resolved
2	Monitor/Collect active component age-related data.	EDO, NRR, OCM	EDO	02/19/2016	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	07/31/2016	Resolved
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	08/01/2016	Resolved
3	Make NEWFlex training available for all employees	EDO, HR	EDO	08/01/2016	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	OIG	12/02/2015	Resolved
OIG-14-A-12 Survey of NRC's Support Provided to Resident Inspectors					
1	Formal Mechanism	EDO, NRR	EDO	01/08/2016	Resolved
2	Management Roles and Responsibilities	EDO, NRR	EDO	01/08/2016	Resolved
OIG-14-A-17 Audit of NRC's Freedom of Information Act Process					
1	Implement Technology	EDO, OIS	EDO	12/31/2015	Resolved
2	Annual Reviews	EDO, OIS	EDO	12/31/2015	Resolved
5	FOIA e-learning	EDO, OIS	EDO	12/31/2015	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

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OIG-14-A-19 Audit of NRC's Process for Revising Management Directives (Continued)					
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	EDO	12/30/2015	Resolved
OIG-14-A-21 Audit of NRC's Communications Security Program					
4	Procure performance based secure fax maintenance contract.	NSIR, EDO	EDO	05/31/2016	Resolved
OIG-15-A-02 Independent Evaluation of FISMA					
1	Develop 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	11/13/2015	Resolved
OIG-15-A-06 Audit of NRC's Oversight of Spent Fuel Pools					
1	Develop Criticality Guidance	EDO, NRR	OIG	12/02/2015	Resolved
2	Develop Inspection Guidance	EDO, NRR	OIG	12/02/2015	Resolved
3	Neutron Absorber Program	EDO, NRR	OIG	12/02/2015	Resolved
4	Update IMC 2561 & IP 60801	EDO, NRR	OIG	12/02/2015	Resolved
OIG-15-A-08 Audit of NRC's Process for Ensuring Integrity in Scientific Research					
1	Designate Program Owner	EDO, NRR, OIS	EDO	07/29/2016	Resolved
2	Information Correction Requests	EDO, NRR, OIS	EDO	07/29/2016	Resolved
3	Annual Meeting	EDO, NRR, OIS, RES	EDO	07/29/2016	Resolved
4	Schedule for RES Office Guidance	EDO, NRR, RES	EDO	07/29/2016	Resolved
5	Align Peer Review Guidance with OMB and NAS	EDO, NRR	EDO	07/29/2016	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	OIG	12/02/2015	Resolved
2	Develop and implement communication plan for NRCcustomers.	EDO, OIS	OIG	12/02/2015	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

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OIG-15-A-12 Audit of NRC's Internal Controls Over Fee Revenue (Continued)					
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	OIG	12/04/2015	Resolved
2	Implement Results of Comprehensive cROP Review	EDO, NRO, RII	OIG	12/04/2015	Resolved
OIG-15-A-15 Audit of NRC's Regulatory Analysis Process					
1	Cost Estimator Training	EDO, NMSS, NRR	EDO	12/31/2015	Resolved
2	Knowledge management	EDO, NMSS, NRR	EDO	12/31/2015	Unresolved
3	Update guidance	EDO, NMSS, NRR	EDO	12/31/2015	Resolved
4	Prior to Proposed Rule Input	EDO, NMSS, NRR	EDO	12/31/2015	Resolved
OIG-15-A-16 Audit of NRC's Reactor Business Lines' Compliance With Agency Non-Financial Internal Control Guidance					
1	Implement non-financial internal control requirements	EDO	EDO	01/15/2016	Resolved
2	Implement accountability steps	EDO	EDO	01/15/2016	Resolved
3	Develop mandatory internal control training and internal control guidance	EDO	EDO	01/15/2016	Resolved
OIG-15-A-17 Audit of NRC's Web-Based Licensing System (WBL)					
1	Standardized business processes	EDO, NMSS, RI, RIII, RIV	EDO	06/30/2016	Resolved
2	Revise WBL roles	EDO, NMSS, RI, RIII, RIV	EDO	06/30/2016	Resolved
3	Quality assurance mechanisms	EDO, NMSS, OIS, RI, RIII, RIV	EDO	06/30/2016	Resolved
4	Identify inspection WBL user needs	EDO, NMSS, OIS, RI, RIII, RIV	EDO	06/30/2016	Resolved
OIG-15-A-19 Audit of NRC's Management of Change					
1	Complete Change Management framework	EDO, OCHCO	EDO	04/04/2016	Resolved
2	Promote Change Management framework	EDO, OCHCO	EDO	04/04/2016	Resolved
3	Provide Change Management framework training	EDO, OCHCO	EDO	04/04/2016	Resolved
OIG-15-A-20 Audit of NRC's Oversight of Low-Level Radioactive Waste					
1	Define "long-term storage"	EDO, NMSS, NRR	OIG	11/27/2015	Unresolved
2	Develop a mechanism to inform the regional offices	EDO, NMSS, NRR	OIG	11/27/2015	Unresolved
OIG-15-A-21 Audit of NRC Region II's Management of Its Metropolitan Atlanta Rapid Transit Authority (MARTA) Transit Subsidy Program					
1	Establish Guidance, Policies, and Procedures	EDO, RII	OIG	12/03/2015	Unresolved
2	Alternative contracting mechanisms	RII, EDO	OIG	12/03/2015	Unresolved

**Status of Open OIG Audit Recommendations
as of 11/05/2015**

<u>#</u>	<u>Description</u>	<u>Responsible Office</u>	<u>Next Action By</u>	<u>Date Due</u>	<u>Rec Status</u>
OIG-15-A-21 Audit of NRC Region II's Management of Its Metropolitan Atlanta Rapid Transit Authority (MARTA) Transit Subsidy Program (Continued)					
3	Supervisory Review of Documents	RII, EDO	OIG	12/03/2015	Unresolved
4	Reconciliation of transit data	RII, EDO	OIG	12/03/2015	Unresolved
5	Recordkeeping	RII, EDO	OIG	12/03/2015	Unresolved
6	Audit of User Access List	RII, EDO	OIG	12/03/2015	Unresolved
7	Name Change	RII, EDO	OIG	12/03/2015	Unresolved
8	FY15 FMFIA Submission	RII, EDO	OIG	12/03/2015	Unresolved
OIG-16-A-02 Audit of NRC's Oversight of Medical Uses of Nuclear Material					
1	Clarify Medical Events	EDO, NMSS	EDO	12/04/2015	Unresolved
2	Provide Medical Event Info to Licensees	EDO, NMSS	EDO	12/04/2015	Unresolved
3	Develop and Implement Periodic Assessment	EDO, NMSS	EDO	12/04/2015	Unresolved
4	Provide Improved Feedback to ACMUI	EDO, NMSS	EDO	12/04/2015	Unresolved

Summary of Audit Recommendations for Open OIG Audits

<u>Report #</u>	<u>Report Title</u>	<u>Unresolved</u>	<u>Resolved</u>	<u>Closed</u>
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-10-A-11	Social Engineering Assessment Report	0	1	11
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	1	5
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-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	4	9
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	2	6
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	1	2
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
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	3	6
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

Summary of Audit Recommendations for Open OIG Audits

<u>Report #</u>	<u>Report Title</u>	<u>Unresolved</u>	<u>Resolved</u>	<u>Closed</u>
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	0	2	0
OIG-15-A-15	Audit of NRC's Regulatory Analysis Process	1	3	0
OIG-15-A-16	Audit of NRC's Reactor Business Lines' Compliance With Agency Non-Financial Internal Control Guidance	0	3	0
OIG-15-A-17	Audit of NRC's Web-Based Licensing System (WBL)	0	4	0
OIG-15-A-19	Audit of NRC's Management of Change	0	3	0
OIG-15-A-21	Audit of NRC Region II's Management of Its Metropolitan Atlanta Rapid Transit Authority (MARTA) Transit Subsidy Program	8	0	0
OIG-16-A-02	Audit of NRC's Oversight of Medical Uses of Nuclear Material	4	0	0
Total Recommendations:		13	99	147