



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

**OFFICE OF THE  
INSPECTOR GENERAL**

March 7, 2016

MEMORANDUM TO: Robert J. Lewis  
Assistant for Operations

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

SUBJECT: STATUS OF OPEN AUDIT RECOMMENDATIONS –  
March 1, 2016

Attached is the Office of the Inspector General's (OIG) status report on all open audit recommendations as of March 1, 2016.

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. Jolicoeur, OEDO  
B. Pham, OEDO  
S. Hudson, OCFO  
EDO\_ACS Distribution

## Status of Open OIG Audit Recommendations as of 03/01/2016

#	<u>Description</u>	<u>Responsible Office</u>	<u>Next Action By</u>	<u>Date Due</u>	<u>Rec Status</u>
<b>OIG-01-A-03 Government Performance and Results Act: Review of the Fiscal Year 1999 Performance Report</b>					
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
<b>OIG-03-A-15 Audit of NRC's Regulatory Oversight of Special Nuclear Materials</b>					
1	Conduct periodic inspections	EDO, NMSS	EDO	12/27/2016	Resolved
3	Document risk informed approach	EDO, NMSS	EDO	12/27/2016	Resolved
<b>OIG-05-A-17 Audit of NRC's Decommissioning Program</b>					
1	Retain Supporting Documentation	EDO, NMSS, OCFO	OIG	03/23/2016	Resolved
<b>OIG-07-A-06 Audit of NRC's Regulation of Nuclear Fuel Cycle Facilities</b>					
1	Fuel Cycle Facility framework	EDO, NMSS	EDO	07/29/2016	Resolved
<b>OIG-10-A-13 Audit of NRC's Telework Program</b>					
6	Develop a management directive	ADM, EDO, HR	EDO	03/31/2016	Resolved
<b>OIG-10-A-20 Audit of NRC's Vendor Inspection Program</b>					
5	Clarify Commercial-Grade Dedication	EDO, NRO, NRR	OIG	02/10/2016	Resolved
6	Commercial-Grade Sampling	EDO, NRO, NRR	OIG	02/10/2016	Resolved
7	Part 21 Compliance Guidance	EDO, NRO, NRR	OIG	02/10/2016	Resolved
9	Develop Guidance to Approve Accredited Commercial-Grade Calibration Labs	EDO, NRO, NRR	OIG	02/10/2016	Resolved
<b>OIG-11-A-08 Audit of NRC's Implementation of 10 CFR Part 21, Reporting of Defects and Noncompliance</b>					
1	Revise 10 CFR Part 21	EDO, NRO, NRR	OIG	03/08/2016	Resolved
2	Expedite publication of interim guidance	EDO, NRO, NRR	OIG	03/08/2016	Resolved
4	Review, revise and reissue NUREG-0302 10 CFR Part 21 guidance	EDO, NRO, NRR	OIG	03/08/2016	Resolved
<b>OIG-11-A-14 Audit of NRC's Oversight of Master Materials Licensees</b>					
1	Define MML project managers' roles	EDO, FSME, NMSS	EDO	06/06/2016	Resolved
5	Define MML licensee regulatory oversight responsibilities	EDO, FSME, NMSS	EDO	06/06/2016	Resolved
<b>OIG-11-A-15 Audit of NRC's Shared S Drive</b>					
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
<b>OIG-12-A-04 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for FY 2011</b>					
6	Include Identified Vulnerabilities	CSO, EDO	EDO	05/27/2016	Resolved
<b>OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters</b>					

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#	<u>Description</u>	<u>Responsible Office</u>	<u>Next Action By</u>	<u>Date Due</u>	<u>Rec Status</u>
<b>OIG-12-A-09 Audit of NRC's Use of Confirmatory Action Letters (Continued)</b>					
2	Update CAL guidance	EDO, OE	EDO	05/20/2016	Resolved
<b>OIG-12-A-10 Audit of NRC's Management of the Baseline Security Inspection Report</b>					
1	Develop and Maintain a Centralized Security Findings Database	EDO, NSIR	EDO	01/31/2017	Resolved
2	Formalize and Implement Process for Maintaining Accurate Data	EDO, NSIR	EDO	01/31/2017	Resolved
3	Formalize and Implement Process for Managing SGI Findings Data	EDO, NSIR	EDO	01/31/2017	Resolved
<b>OIG-12-A-12 Audit of NRC's Protection of Safeguards Information (SGI)</b>					
2	Update MDs	EDO, NSIR	EDO	10/31/2016	Resolved
<b>OIG-12-A-15 Audit of NRC's Oversight of Industrial Radiography</b>					
1	Require licenses to be clear and consistent	EDO, NMSS	EDO	09/23/2016	Resolved
<b>OIG-13-A-02 Audit of NRC's Process for Calculating License Fees</b>					
1	Fee rule validation	OCFO	OCFO	04/15/2016	Resolved
<b>OIG-13-A-03 Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act (FISMA) for Fiscal Year 2012</b>					
10	Remote locations contingency planning	CSO, EDO, OIS	EDO	08/31/2016	Resolved
11	IT environment contingency plan	CSO, EDO, OIS	EDO	08/31/2016	Resolved
12	COOPs	CSO, EDO, OIS	EDO	08/31/2016	Resolved
13	remote site COOP	CSO, EDO, OIS	EDO	08/31/2016	Resolved
<b>OIG-13-A-08 Independent Evaluation of NRC's Use and Security of Social Media</b>					
25	Update the agency's information management and security policies to include social media	CSO, EDO, OIS, OPA	EDO	04/30/2016	Resolved
<b>OIG-13-A-16 Audit of NRC's Safeguards Information Local Area Network and Electronic Safe</b>					
2	Establish Formal Workflow Process	EDO, NSIR, OIS	EDO	10/29/2017	Resolved
3	Update Current Folder Structure	EDO, NSIR, OIS	EDO	10/29/2017	Resolved
4	Create Folder Guide for SLES	EDO, NSIR, OIS	EDO	10/29/2017	Resolved
6	Develop Change Control Process	EDO, NSIR, OIS	EDO	10/29/2017	Resolved
7	Develop Structured Access Process within SLES	EDO, NSIR, OIS	EDO	10/29/2017	Resolved
<b>OIG-13-A-17 Audit of NRC's Travel Charge Card Program</b>					
1	Pay bills daily or weekly.	ADM, EDO, OCFO	EDO	06/17/2016	Resolved
6	Implement mandatory split disbursement.	EDO, OCFO	EDO	06/17/2016	Resolved
<b>OIG-13-A-18 Audit of NRC's Budget Execution Process</b>					
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

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<b>OIG-14-A-02 Audit of NRC's Oversight of Active Component Aging</b>					
1	Perform and document need for active aging component oversight program,	EDO, NRR, OCM	OIG	03/23/2016	Resolved
2	Monitor/Collect active component age-related data.	EDO, NRR, OCM	OIG	03/23/2016	Resolved
<b>OIG-14-A-03 Independent Evaluation of NRC's Implementation of FISMA for FY 2013</b>					
1	Update inventory for contractor systems.	CSO, EDO, OIS	EDO	07/31/2016	Resolved
<b>OIG-14-A-04 Audit of NRC's Information Technology Governance</b>					
2	Revise MD 2.8	EDO, OIS	OIG	03/31/2016	Resolved
<b>OIG-14-A-08 Audit of NRC's Use of the NEWFlex Program</b>					
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
<b>OIG-14-A-17 Audit of NRC's Freedom of Information Act Process</b>					
1	Implement Technology	EDO, OIS	EDO	12/31/2016	Resolved
<b>OIG-14-A-19 Audit of NRC's Process for Revising Management Directives</b>					
1	Revise MD 1.1	ADM, EDO	EDO	04/29/2016	Resolved
2	EDO suspense date	ADM, EDO	EDO	04/29/2016	Resolved
4	Performance measure and reporting	ADM, EDO	EDO	04/29/2016	Resolved
5	Link MDs to YPAs	ADM, EDO	EDO	04/29/2016	Resolved
6	Mechanism to track YPAs	ADM, EDO	EDO	04/29/2016	Resolved
8	Revise "Related Policy Documents"	ADM, EDO	EDO	04/29/2016	Resolved
9	Revise MD 3.16	ADM, EDO	EDO	04/29/2016	Resolved
<b>OIG-14-A-20 Audit of NRC's Sequestration Process</b>					
1	Establish Guidance	EDO, OCFO	EDO	05/26/2016	Resolved
<b>OIG-14-A-21 Audit of NRC's Communications Security Program</b>					
4	Procure performance based secure fax maintenance contract.	NSIR, EDO	EDO	05/31/2016	Resolved
<b>OIG-15-A-06 Audit of NRC's Oversight of Spent Fuel Pools</b>					
1	Develop Criticality Guidance	EDO, NRR	EDO	03/30/2016	Resolved
2	Develop Inspection Guidance	EDO, NRR	EDO	03/30/2016	Resolved
3	Neutron Absorber Program	EDO, NRR	EDO	03/30/2016	Resolved
4	Update IMC 2561 & IP 60801	EDO, NRR	EDO	03/30/2016	Resolved
<b>OIG-15-A-08 Audit of NRC's Process for Ensuring Integrity in Scientific Research</b>					
1	Designate Program Owner	EDO, NRR, OIS	EDO	07/29/2016	Resolved
2	Information Correction Requests	EDO, NRR, OIS	EDO	07/29/2016	Resolved

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<b>OIG-15-A-08 Audit of NRC's Process for Ensuring Integrity in Scientific Research (Continued)</b>					
3	Annual Meeting	EDO, NRR, OIS, RES	EDO	07/29/2016	Resolved
5	Align Peer Review Guidance with OMB and NAS	EDO, NRR	EDO	07/29/2016	Resolved
<b>OIG-15-A-09 Audit of NRC's Information Technology Procurement Process</b>					
1	Develop and implement selection criteria for IT governance groups.	EDO, OIS	EDO	05/27/2016	Resolved
2	Develop and implement communication plan for NRCcustomers.	EDO, OIS	EDO	05/27/2016	Resolved
<b>OIG-15-A-12 Audit of NRC's Internal Controls Over Fee Revenue</b>					
1	Centralize TAC control	EDO, OCFO	EDO	10/20/2016	Resolved
2	Limit TAC access in HRMS	EDO, OCFO	EDO	10/20/2016	Resolved
3	Standardize TACs	EDO, OCFO	EDO	10/20/2016	Resolved
4	Improve TAC validation process	EDO, OCFO	EDO	10/20/2016	Resolved
<b>OIG-15-A-14 Audit of NRC's Construction Reactor Oversight Process</b>					
2	Implement Results of Comprehensive cROP Review	EDO, NRO, RII	OIG	03/10/2016	Resolved
<b>OIG-15-A-15 Audit of NRC's Regulatory Analysis Process</b>					
1	Cost Estimator Training	EDO, NMSS, NRR	EDO	12/31/2016	Resolved
2	Knowledge management	EDO, NMSS, NRR	EDO	12/31/2016	Resolved
3	Update guidance	EDO, NMSS, NRR	EDO	12/31/2016	Resolved
4	Prior to Proposed Rule Input	EDO, NMSS, NRR	EDO	12/31/2016	Resolved
<b>OIG-15-A-16 Audit of NRC's Reactor Business Lines' Compliance With Agency Non-Financial Internal Control Guidance</b>					
1	Implement non-financial internal control requirements	EDO	EDO	06/17/2016	Resolved
2	Implement accountability steps	EDO	EDO	06/17/2016	Resolved
3	Develop mandatory internal control training and internal control guidance	EDO	EDO	06/17/2016	Resolved
<b>OIG-15-A-17 Audit of NRC's Web-Based Licensing System (WBL)</b>					
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
<b>OIG-15-A-19 Audit of NRC's Management of Change</b>					
1	Complete Change Management framework	EDO, OCHCO	EDO	04/04/2016	Resolved
2	Promote Change Management framework	EDO, OCHCO	EDO	04/04/2016	Resolved

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<b>OIG-15-A-19 Audit of NRC's Management of Change (Continued)</b>					
3	Provide Change Management framework training	EDO, OCHCO	EDO	04/04/2016	Resolved
<b>OIG-15-A-20 Audit of NRC's Oversight of Low-Level Radioactive Waste</b>					
1	Define "long-term storage"	EDO, NMSS, NRR	EDO	03/31/2016	Resolved
2	Develop a mechanism to inform the regional offices	EDO, NMSS, NRR	EDO	03/31/2016	Resolved
<b>OIG-15-A-21 Audit of NRC Region II's Management of Its Metropolitan Atlanta Rapid Transit Authority (MARTA) Transit Subsidy Program</b>					
1	Establish Guidance, Policies, and Procedures	EDO, RII	OIG	03/30/2016	Resolved
2	Alternative contracting mechanisms	RII, EDO	OIG	03/30/2016	Resolved
3	Supervisory Review of Documents	RII, EDO	OIG	03/30/2016	Resolved
4	Reconciliation of transit data	RII, EDO	OIG	03/30/2016	Resolved
5	Recordkeeping	RII, EDO	OIG	03/30/2016	Resolved
6	Audit of User Access List	RII, EDO	OIG	03/30/2016	Resolved
<b>OIG-16-A-02 Audit of NRC's Oversight of Medical Uses of Nuclear Material</b>					
1	Clarify Medical Events	EDO, NMSS	EDO	06/30/2016	Resolved
2	Provide Medical Event Info to Licensees	EDO, NMSS	EDO	06/30/2016	Resolved
3	Develop and Implement Periodic Assessment	EDO, NMSS	EDO	06/30/2016	Resolved
4	Provide Improved Feedback to ACMUI	EDO, NMSS	EDO	06/30/2016	Resolved
<b>OIG-16-A-06 Evaluation of ADAMS</b>					
1	Implement the ADAMS RM module	ADM, EDO, OIS	EDO	04/29/2016	Resolved
2	Implement the new Enterprise Search tool	ADM, EDO, OIS	EDO	04/29/2016	Resolved
3	Reduce the number of templates	ADM, EDO, OIS	EDO	04/29/2016	Resolved
4	Place hyperlinks	ADM, EDO, OIS	EDO	04/29/2016	Resolved
7	NRC Information Security Directorate and NIST procedures	ADM, EDO, OIS	EDO	04/29/2016	Resolved
8	Configuration	ADM, EDO, OIS	EDO	04/29/2016	Resolved
9	Corrective Actions	ADM, EDO, OIS	EDO	04/29/2016	Resolved
10	Quality assurance/peer review practices	ADM, EDO, OIS	EDO	04/29/2016	Resolved
11	Senior IT Security Officer approval	ADM, EDO, OIS	EDO	04/29/2016	Resolved
12	Update the ADAMS SSP	ADM, EDO, OIS	EDO	04/29/2016	Resolved
13	Remediate security weaknesses	ADM, EDO, OIS	EDO	04/29/2016	Resolved
<b>OIG-16-A-07 Audit of NRC's Network Security Operations Center</b>					
1	Include SOC performance objectives in IT contract	EDO, OIS	EDO	10/31/2016	Resolved
2	Define SC functional requirements in IT contract	EDO, OIS	EDO	10/31/2016	Resolved
3	Define SOC functions in policy	EDO, OIS	EDO	10/31/2016	Resolved
4	Align IT contract with agency policy defining SOC functions	EDO, OIS	EDO	10/31/2016	Resolved

**Status of Open OIG Audit Recommendations  
as of 03/01/2016**

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<b>OIG-16-A-08 Audit of NRC's Operator Licensing Program for the AP1000 Power Reactor</b>					
1	Develop and Implement Consistent Interpretation	EDO, NRO	EDO	03/09/2016	Unresolved
2	Implement Staff Processes	EDO, NRO	EDO	03/09/2016	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-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-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	2	10
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-17	Audit of NRC's Freedom of Information Act Process	0	1	8
OIG-14-A-19	Audit of NRC's Process for Revising Management Directives	0	7	2
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-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	4	1
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	4	3
OIG-15-A-14	Audit of NRC's Construction Reactor Oversight Process	0	1	1



## 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-15-A-15	Audit of NRC's Regulatory Analysis Process	0	4	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	0	6	2
OIG-16-A-02	Audit of NRC's Oversight of Medical Uses of Nuclear Material	0	4	0
OIG-16-A-06	Evaluation of ADAMS	0	11	2
OIG-16-A-07	Audit of NRC's Network Security Operations Center	0	4	0
OIG-16-A-08	Audit of NRC's Operator Licensing Program for the AP1000 Power Reactor	2	0	0
<b>Total Recommendations:</b>		<b>2</b>	<b>110</b>	<b>147</b>