



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

**OFFICE OF THE  
INSPECTOR GENERAL**

January 22, 2015

MEMORANDUM TO: Mark A. Satorius  
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S  
SAFEGUARDS INFORMATION LOCAL AREA NETWORK  
AND ELECTRONIC SAFE (OIG-13-A-16)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES,  
MEMORANDUM DATED DECEMBER 31, 2014

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations 1-7 as discussed in the agency's response dated December 31, 2014. Based on this response, recommendations 2, 3, 4, 6, and 7 remain in resolved status. Recommendations 1 and 5 were closed previously. Please provide an updated status of the resolved recommendations by January 21, 2016.

If you have any questions or concerns, please call me at 415-5915 or Beth Serepca, Team Leader, at 415-5911.

Attachment: As stated

cc: M. Galloway, OEDO  
C. Santos, OEDO  
J. Arildsen, OEDO  
J. Flanagan, OIS  
EDO\_ACS Distribution

## Audit Report

### AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

#### Status of Recommendations

Recommendation 2: Establish a formal workflow process, similar to that used for the Agencywide Documents Access and Management System, to communicate the status of SLES (E-Safe) file uploads to SGI owners.

Agency Response Dated  
December 31, 2014:

The current SLES system will require significant modernization if it will automatically communicate the status of SLES (E-Safe) file uploads to SGI owners. The agency plans to begin modernization activities for SLES in fiscal year (FY) 2016 and complete these activities by FY 2017. As part of the SLES modernization effort, the staff will reevaluate and update system requirements to include Office of the Inspector General Recommendations, security mandates, user needs, and changes in technology. To ensure that requirements are properly formulated and prioritized, the agency will form a SLES modernization integrated project team (IPT). Members of the team will include staff from Office of Information Services (OIS), Office of the Nuclear Security Incident Response [*sic*] (NSIR), Computer Security Office, the regions, and power users of the SLES system. As an interim solution, members of the SLES records management team now notify SGI owners through e-mail when a file upload has been completed.

**Completion Date:** OIS requests extending the target date for completion of this work from December 15, 2014, to September 30, 2017, due to budget constraints in FY 2015.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that a formal workflow process has been established to communicate the status of SLES (E-Safe) file uploads to SGI owners.

**Status:** Resolved.

## Audit Report

### AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

#### Status of Recommendations

Recommendation 3: Evaluate and update the current folder structure to meet user needs.

Agency Response Dated  
December 31, 2014:

OIS and NSIR agree to evaluate and update the current folder structure to meet user needs. However, due to budget constraints, the agency has put all nonessential changes to SLES on hold until the SLES modernization effort begins in FY 2016. As part of the modernization effort, the SLES modernization IPT will evaluate and update the SLES folder structure to meet user needs. Successful completion of this task will depend upon the development of a change control process as stated in Recommendation 6. This effort will begin immediately following the implementation of the Change Control process.

**Completion Date:** OIS requests extending the target date for completion of this work from June 30, 2014, to September 30, 2017, in order to align with the system modernization activities described in Recommendation 2.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that the current folder structure has been evaluated and updated to meet user needs.

**Status:** Resolved.

## Audit Report

### AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

#### Status of Recommendations

Recommendation 4: Publish a folder guide to help users identify where SGI is stored within SLES.

Agency Response Dated  
December 31, 2014:

OIS and NSIR agree to publish a folder guide to help users identify where SGI is stored within SLES. However, due to budget constraints, the agency has put all nonessential changes to SLES on hold until the SLES modernization effort begins in FY 2016. As part of the modernization effort, the SLES modernization IPT will develop and publish a folder guide to help users identify where SGI is stored within SLES. The completion of this recommendation depends upon the folder structure evaluation and update as stated in Recommendation 3.

**Completion Date:** OIS requests extending the target date for completion of this work from August 31, 2014, to September 30, 2017, in order to align with the system modernization activities described in the status for Recommendation 2.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that a folder guide has been published to help users identify where SGI is stored within SLES.

**Status:** Resolved.

## Audit Report

### AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

#### Status of Recommendations

Recommendation 6: Develop and implement a change control process to routinely evaluate and implement any changes to SLES. Include members from the technical (OIS) and policy (NSIR) sides of SLES, as well as a representative from a Regional office, and gather user concerns from the SLES community.

Agency Response Dated  
December 31, 2014:

Due to budget constraints, the agency has put all nonessential changes to SLES on hold until the SLES modernization effort begins in FY 2016. As a result, the development of a configuration management plan has been put on hold. As part of the modernization effort, the SLES modernization IPT will develop and implement a change control process to routinely evaluate and implement changes to SLES.

**Completion Date:** OIS requests extending the target date for completion of this work from October 31, 2013, to September 30, 2017, in order to align with the system modernization activities described in the status for Recommendation 2.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives a copy of the change control process to routinely evaluate and implement any changes to SLES.

**Status:** Resolved.

## Audit Report

### AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

#### Status of Recommendations

Recommendation 7: Develop a structured access process that is consistent with the SGI need-to-know requirement and least privilege principle. This should include:

- Establishing folder owners within SLES and providing the owners the authority to approve the need-to-know authorization (as opposed to branch chiefs).
- Conducting periodic reviews of user access to folders.
- Developing a standard process to grant user access.

Agency Response Dated  
December 31, 2014:

OIS and NSIR agree to develop a structured access process that is consistent with the SGI need-to-know requirement and least privilege principle. However, due to budget constraints, the agency has put all nonessential changes to SLES on hold until the SLES modernization effort begins in FY 2016. As part of requirements definition activities for the modernized system, the need for a structure[d] access process will be included. The completion of this task depends upon the implementation of the folder restructure as described in Recommendation 3.

**Completion Date:** OIS requests extending the target date for completion of this work from December 15, 2014, to September 30, 2017, in order to align with the system modernization activities described in the status for Recommendation 2.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG evaluates the structured process and determines that it contains the three items in the recommendation.

**Status:** Resolved.