

September 16, 2005

MEMORANDUM TO: Luis A. Reyes
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: SYSTEM
EVALUATION OF THE INTEGRATED PERSONNEL
SECURITY SYSTEM (IPSS) (OIG-05-A-08)

REFERENCE: OFFICE OF ADMINISTRATION DIRECTOR
MEMORANDUM DATED AUGUST 31, 2005

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated August 31, 2005. Based on this response, recommendations 1, 2, 3, 4, 5, 6, 7, and 8 are resolved. Please provide an updated status of the resolved recommendations by January 30, 2006.

If you have any questions or concerns, please call me at 415-5915.

Attachment: As stated

cc: W. Dean, OEDO
M. Malloy, OEDO
P. Tressler, OEDO

Audit Report
System Evaluation of the Integrated Personnel Security System (IPSS)
OIG-05-A-08

Status of Recommendations

<u>Recommendation 1:</u>	Re-certify and re-accredit IPSS based on an independent, comprehensive, and fully documented assessment of all management, operational, and technical controls.
Response Dated August 31, 2005:	SB, with support from OIS, expects to re-certify and re-accredit IPSS based on an independent, comprehensive, and fully documented assessment of all management, operational, and technical controls by June 30, 2006.
OIG Response:	The proposed corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG evaluates IPSS' re-certification and re-accreditation.
Status:	Resolved.

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Status of Recommendations

<u>Recommendation 2:</u>	Update the IPSS Risk Assessment Report to include: <ul style="list-style-type: none">➤ Tables with accurate risk levels and all identified vulnerability/threat pairs.➤ Recommendations for all identified risks, or provide a rationale for providing only recommended controls for high and medium level risks.➤ A complete risk assessment of actual threats and vulnerabilities to IPSS.
Response Dated August 31, 2005:	SB, with support from OIS, expects to update the Risk Assessment Report by December 15, 2005, to include those items specified in this recommendation.
OIG Response:	The proposed corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG evaluates the updated IPSS Risk Assessment Report.
Status:	Resolved.

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Status of Recommendations

<u>Recommendation 3:</u>	<p>Update the IPSS System Security Plan to include:</p> <ul style="list-style-type: none">➤ Complete contact information for the responsible organization.➤ Consistent identification of the system owner.➤ Complete contact information for personnel supporting the system, including the Program Manager, and other NRC organizations providing support.➤ Assignment of security responsibility in a section consistent with NIST guidance.➤ Complete contact information for personnel with security responsibilities, including other NRC organizations with security responsibilities for the system.
Response Dated August 31, 2005:	<p>SB, with support from OIS, expects to update the IPSS System Security Plan by January 18, 2006, to include those items specified in this recommendation.</p>
OIG Response:	<p>The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the IPSS System Security Plan contains the required information.</p>
Status:	<p>Resolved.</p>

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Status of Recommendations

<u>Recommendation 4:</u>	Update the IPSS System Security Plan to include a section on planning for security in the life cycle and a section on incident response capability.
Response Dated August 31, 2005:	SB, with assistance from OIS, expects to update the IPSS System Security Plan by January 18, 2006, to include a section on planning for security in the life cycle, and a section on incident response capability.
OIG Response:	The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the updated IPSS System Security Plan includes a section on planning for security in the life cycle and a section on incident response capability.
Status:	Resolved.

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<u>Recommendation 5:</u>	Update the IPSS System Security Plan to describe all controls currently in place. In-place controls are those marked at least at Level 3 in the self-assessment and that were documented as passed in the last Security Test and Evaluation Report, or in any test and evaluation on controls added since publication of that report.
Response Dated August 31, 2005:	SB, with support from OIS, expects to update the IPSS System Security Plan by January 18, 2006, to describe all controls currently in place.
OIG Response:	The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the updated IPSS System Security Plan describes the required information.
Status:	Resolved.

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Recommendation 6: Update the IPSS self-assessment to reflect controls in place. In-place controls are those that were documented as passed in the last Security Test and Evaluation Report, or in any test and evaluation on controls added since publication of that report.

Response Dated
August 31, 2005: On July 6, 2005, SB met with OIS and its contractor to update the IPSS FISMA self-assessment to reflect controls currently in place. A draft report was received from the contractor on August 30, 2005. NRC comments will be provided to the contractor by September 6, 2005, and we anticipate receipt of the final report by September 9, 2005.

OIG Response: The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the updated IPSS self-assessment contains the required information.

Status: Resolved.

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Recommendation 7:

Update the IPSS Contingency Plan to include:

- A description of the system covered in the contingency plan. The description should include the system architecture, location(s), and any other important technical considerations. A system architecture diagram, including security devices (e.g., firewalls, internal and external connections), is useful.
- Complete and up-to-date contact information for all personnel, including backup personnel responsible for implementing the IPSS Contingency Plan.
- A description of the overall structure of contingency teams, including the hierarchy and coordination mechanisms and requirements among the teams. The description should include an overview of team member roles and responsibilities in a contingency situation. Teams and team members should be designated for specific response and recovery roles during contingency plan activation.
- More detailed steps for recovery actions and assign procedures to the appropriate recovery team(s).
- Procedures for restoring system operations, with a focus on how to clean the alternate site of any equipment or other materials belonging to the organization.

Response Dated
August 31, 2005:

SB, with support from OIS, expects to update the IPSS Contingency Plan by March 20, 2006, to include those items specified in this recommendation.

OIG Response:

The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the updated IPSS self-assessment contains the required information.

Status:

Resolved.

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<u>Recommendation 8:</u>	Update the IPSS System Security Plan and/or IPSS self-assessment to consistently define the protection requirements (confidentiality, integrity, availability).
Response Dated August 31, 2005:	SB, with support from OIS, expects to update the IPSS System Security Plan and IPSS self-assessment to consistently define the protection requirements (confidentiality, integrity, availability) by January 18, 2006.
OIG Response:	The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG verifies that the updated documentation consistently defines the protection requirements (confidentiality, integrity, availability).
Status:	Resolved.