

May 11, 2006

MEMORANDUM TO: Luis A. Reyes
Executive Director for Operations

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

SUBJECT: SYSTEM EVALUATION OF THE GENERAL
LICENSE TRACKING SYSTEM (OIG-04-A-24)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES
MEMORANDUM DATED FEBRUARY 17, 2006

DIRECTOR, OFFICE OF MATERIALS SAFETY AND
SAFEGUARDS, MEMORANDUM DATED
FEBRUARY 21, 2006

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's responses dated February 17 and 21, 2006. Based on these responses, recommendation 2 is closed and recommendations 1, 3, 4, and 5, are resolved. Please provide an updated status of the resolved recommendations by August 31, 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

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Status of Recommendations

Recommendation 1: Update the GLTS 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
February 21, 2006:

On January 6, 2006, OIS issued a limited Interim Authority to Operate (IATO) for GLTS. NMSS must complete and submit a formal documentation package to the Director, OIS, no later than April 3, 2006, requesting an IATO, until the full accreditation package is approved. As of February 14, 2006, the Division of Contracts projects that the FISMA contract will not be awarded before mid-April 2006.

NMSS submits the following schedule for completion of GLTS certification and accreditation activities. OIS will prioritize systems and assign the contractor tasks once the contract has been awarded. OIG recommendations 1 through 4 are represented in parentheses after the scheduled item:

Revised System Security Plan (1 & 4) - OIS task date + 2 months

OIG Response:

The proposed corrective action addresses the intent of this recommendation; however NMSS needs to clarify the expected date of completion of the GLTS Security Plan. This recommendation will be closed when OIG receives and evaluates the updated GLTS Security Plan.

Status:

Resolved.

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Status of Recommendations

<u>Recommendation 2:</u>	Update the GLTS 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 February 17, 2006:	The GLTS self-assessment was performed in July 2005 to assess the security controls and is enclosed.
Response Dated February 21, 2006:	NMSS submits the following schedule for completion of GLTS certification and accreditation activities. OIS will prioritize systems and assign the contractor tasks once the contract has been awarded. OIG recommendations 1 through 4 are represented in parentheses after the scheduled item: Annual Self-Assessment (2) - July/August 2006
OIG Response:	OIG received and evaluated the updated GLTS self-assessment. The corrective action addressed the intent of this recommendation. This recommendation is therefore closed.
Status:	Closed.

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Status of Recommendations

Recommendation 3:

Update the GLTS Business Continuity Plan to include the following changes:

- 🕒➤ Record modifications to the plan in a record of changes to include what changes were made (e.g., the page numbers or section numbers where the changes were made), why the changes were made (e.g., annual update or update during re-accreditation), and date of change.
- 🕒➤ Describe the methods used to notify recovery personnel during business and non-business hours.
- 🕒➤ Incorporate all teams roles and responsibilities and relevant points of contact information for team leaders, alternate team leaders, and team members.
- 🕒➤ Include 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
February 21, 2006:

NMSS submits the following schedule for completion of GLTS certification and accreditation activities. OIS will prioritize systems and assign the contractor tasks once the contract has been awarded. OIG recommendations 1 through 4 are represented in parentheses after the scheduled item:

Revised System Security Plan (1 & 4) - OIS task date + 2 months.

OIG Response:

The proposed corrective action addresses the intent of OIG's recommendation, however NMSS needs to identify the specific dates that the GLTS Business Continuity Plan is expected to be completed. This recommendation will be closed when OIG receives and evaluates the updated GLTS Business Continuity Plan.

Status:

Resolved.

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Status of Recommendations

<u>Recommendation 4:</u>	Update the GLTS Security Plan and/or GLTS self-assessment to consistently define the protection requirements (confidentiality, integrity, availability).
Response Dated February 21, 2006:	NMSS submits the following schedule for completion of GLTS certification and accreditation activities. OIS will prioritize systems and assign the contractor tasks once the contract has been awarded. OIG recommendations 1 through 4 are represented in parentheses after the scheduled item: Revised System Security Plan (1 & 4) - OIS task date + 2 months
OIG Response:	The proposed corrective action addresses the intent of OIG's recommendation however NMSS needs to clarify the expected date of completion of the GLTS Security Plan. This recommendation will be closed when OIG receives and evaluates the updated GLTS Security Plan with consistently defined protection requirements.
Status:	Resolved.

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Status of Recommendations

Recommendation 5: Track all action items resulting from testing of the GLTS security controls and contingency plan in either the agency's internal tracking system or in the agency's plan of action and milestones submitted to OMB.

Response Dated
February 17, 2006: The GLTS self-assessment was performed in July 2005 to assess the security controls and is enclosed. The self-assessment did not reveal any issues that need to be tracked.

The GLTS contingency plan has not yet been tested. All major application and general support system owners have been notified that contingency plans are due to be tested no later than June 1, 2006. Once the GLTS contingency plan is tested, all issues identified during the test will be tracked in the Information Technology Systems Security Tracking System along with all corrective actions. This recommendation is being tracked in the GLTS Plan of Action and Milestones as item number 05-09.

OIG Response: The proposed corrective action addresses the intent of OIG's recommendation. This recommendation will be closed when OIG receives and evaluates the agency's process for tracking all action items from testing the GLTS security controls and contingency plan.

Status: Resolved.

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Status of Recommendations