



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

OFFICE OF THE  
INSPECTOR GENERAL

April 2, 2009

MEMORANDUM TO: R. William Borchardt  
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 (OIG-05-A-08)

REFERENCE: DIRECTOR, OFFICE OF ADMINISTRATION,  
MEMORANDUM DATED MARCH 30, 2009

Attached is the Office of the Inspector General analysis and status of recommendations as discussed in the agency's response dated March 30, 2009. Based on this response, recommendations 1, 2, 3, 4, 5, and 8 remain in resolved status. Recommendations 6 and 7 were closed previously. Please provide an updated status of these recommendations by July 31, 2009.

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: V. Ordaz, OEDO  
J. Arildsen, OEDO  
P. Shea, OEDO

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### Status of Recommendations

Recommendation 1: Re-certify and re-accredit IPSS based on an independent, comprehensive, and fully documented assessment of all management, operational, and technical controls.

Agency Response Dated  
March 30, 2009: Both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.

OIG Analysis: The proposed action addresses the intent of OIG's recommendation. Recommendation 1 will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.

**Status:** Resolved.

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### Status of Recommendations

Recommendation 2: Update the IPSS Risk Assessment Report to include: (1) Tables with accurate risk levels and all identified vulnerability/threat pairs, (2) Recommendations for all identified risks, or provide a rationale for providing only recommended controls for high and medium level risks, and (3) A complete risk assessment of actual threats and vulnerabilities to IPSS.

Agency Response Dated  
March 30, 2009:

As discussed previously, both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.

OIG Analysis:

The proposed action addresses the intent of OIG's recommendation. This recommendation will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.

**Status:**

Resolved.

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### Status of Recommendations

Recommendation 3: Update the IPSS System Security Plan to include: (1) Complete contact information for the responsible organization; (2) Consistent identification of the system owner; (3) Complete contact information for personnel supporting the system, including the Program Manager, and other NRC organizations providing support; (4) Assignment of security responsibility in a section consistent with NIST guidance; and (5) Complete contact information for personnel with security responsibilities, including other NRC organizations with security responsibilities for the system.

Agency Response Dated  
March 30, 2009:

As discussed previously, both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.

OIG Analysis: The proposed action addresses the intent of OIG's recommendation. This recommendation will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.

**Status:** Resolved.

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### 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.
Agency Response Dated March 30, 2009:	As discussed previously, both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.
OIG Analysis:	The proposed action addresses the intent of OIG's recommendation. This recommendation will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.
<b>Status:</b>	Resolved.

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### Status of Recommendations

<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.
Agency Response Dated March 30, 2009:	As discussed previously, both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.
OIG Analysis:	The proposed action addresses the intent of OIG's recommendation. This recommendation will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.
<b>Status:</b>	Resolved.

## Audit Report

### SYSTEM EVALUATION OF THE INTEGRATED PERSONNEL SECURITY SYSTEM OIG-05-A-08

#### Status of Recommendations

Recommendation 8: Update the IPSS System Security Plan and/or IPSS self-assessment to consistently define the protection requirements (confidentiality, integrity, availability).

Agency Response Dated  
March 30, 2009:

As discussed previously, both ADM and CSO have determined that it will be more cost-effective to review the full documentation of the Combined-HIA umbrella system at the same time. The targeted completion date for Recommendations 1, 2, 3, 4, 5, and 8 has been revised to June 26, 2009, to allow for the contractor to complete the security plan package, for both ADM and CSO to review the package, and then for the CSO to approve the final package and provide the ATO.

OIG Analysis:

The proposed action addresses the intent of OIG's recommendation. This recommendation will be closed after OIG has reviewed documentation showing that the new system has been certified and accredited.

**Status:**

Resolved.