



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

OFFICE OF THE
INSPECTOR GENERAL

July 10, 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 JUNE 26, 2009

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated June 26, 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 October 30, 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

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
June 26, 2009:

The certification package for IPSS will be submitted to the Computer Security Office for Accreditation by June 30, 2009. CSO estimates that a reasonable timeframe to review the final package, present it to the Designated Approving Authorities, and receive an Authority to Operate is August 31, 2009.

OIG Analysis:

The proposed action addresses the intent of OIG's recommendation. Recommendation 1 will be closed after OIG has reviewed documentation and determined that the new system is 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
June 26, 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. Recommendation 2 will be closed after OIG has reviewed documentation and determined that the new system is 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
June 26, 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. Recommendation 3 will be closed after OIG has reviewed documentation and determined that the new system is 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 June 26, 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. Recommendation 4 will be closed after OIG has reviewed documentation and determined that the new system is certified and accredited.
Status:	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 June 26, 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. Recommendation 5 will be closed after OIG has reviewed documentation and determined that the new system is certified and accredited.
Status:	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
June 26, 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. Recommendation 8 will be closed after OIG has reviewed documentation and determined that the new system has been certified and accredited.

Status:

Resolved.