



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

OFFICE OF THE
INSPECTOR GENERAL

October 7, 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 AUGUST 31, 2009

Attached is the Office of the Inspector General's analysis and status of recommendations as discussed in the agency's response dated August 31, 2009. Based on this response, 1, 2, 3, 4, 5, and 8 are closed. Recommendations 6 and 7 were closed previously. All recommendations related to this report are now closed.

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
C. Jaegger, 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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the Authority to Operate and determined that the artifacts were developed and the system was recertified and reaccredited. This recommendation is therefore considered closed.

Status:

Closed.

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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the Authority to Operate and determined that the artifacts were developed including the Risk Assessment Report and that it included the risk levels and identified vulnerability/threat pairs. This recommendation is therefore considered closed.

Status:

Closed.

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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the System Security Plan and determined that it included the information required by this recommendation. This recommendation is therefore considered closed.

Status:

Closed.

Audit Report

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

Status of Recommendations

Recommendation 4: 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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the System Security Plan and determined that it included a section on planning for security in the life cycle and a section on incident response capability. This recommendation is therefore considered closed.

Status:

Closed.

Audit Report

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

Status of Recommendations

Recommendation 5: 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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the System Security Plan and determined that it described all controls currently in place. This recommendation is therefore considered closed.

Status: Closed.

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
August 31, 2009:

All of the security documentation for these recommendations has been updated. The designated approving authorities (DAAs) reviewed the certification and accreditation documentation for IPSS and, after the DAAs' Authority To Operate (ATO) briefing on the system on July 27, 2009, granted a verbal ATO. The official written ATO is expected to be signed by September 4, 2009. The Office of Administration will provide you a copy of the signed ATO, at which point we will consider Recommendations 1, 2, 3, 4, 5, and 8 to be closed.

OIG Analysis:

OIG reviewed the System Security Plan and determined that it defines the protection requirements. This recommendation is therefore considered closed.

Status:

Closed.