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

OFFICE OF THE
INSPECTOR GENERAL

November 25, 2009

MEMORANDUM TO: R. William Borchardt
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL (OIG-09-A-15)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR REACTOR AND PREPAREDNESS PROGRAMS, OFFICE OF THE EXECUTIVE DIRECTOR FOR OPERATIONS, MEMORANDUM DATED NOVEMBER 2, 2009

Attached is the Office of the Inspector General's analysis and status of recommendations 1, 2, 3, 4, 5, and 6 discussed in the agency's response dated November 2, 2009. Based on this response, all recommendations are resolved. Please provide an updated status of the resolved recommendations by March 31, 2010.

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: N. Mamish, OEDO
J. Andersen, OEDO
J. Arlidsen, OEDO
C. Jaegers, OEDO

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 1:	Fully document backup procedures to include the tape rotation schedule, the procedures for sending and receiving backup tapes to the offsite storage location, and the procedures for periodically testing the backups.
Agency Response Dated November 2, 2009:	Agree. Region III IT staff will update the Divisional Instruction DI-NR-008 "Server Administration" to explicitly address backup tape rotation schedule, procedures for sending and receiving backup tapes from offsite storage, and procedures for periodically testing the backups. Expected Completion: February 26, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has documented and implemented backup procedures for testing and offsite storage of backup tapes.
Status:	Resolved.

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 2:	Develop and implement procedures for storing backup tapes onsite in a waterproof and fireproof cabinet or safe.
Agency Response Dated November 2, 2009:	Agree. Region III IT staff will update the Divisional Instruction DI-NR-008 "Server Administration" to explicitly define procedures for storing backup tapes onsite in a waterproof and fireproof cabinet or safe. A waterproof and fireproof cabinet or safe will be procured following the update of the Divisional Instruction provided resources are available this fiscal year. Expected Completion: February 26, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has developed and implemented backup procedures for storing tapes onsite in a fireproof cabinet or safe.
Status:	Resolved.

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 3:	Develop and document a contingency plan for the Region III seat-managed infrastructure servers.
Agency Response Dated November 2, 2009:	Agree. Region III will work with the Office of Information Services (OIS) to update the agency's contingency plan and develop any regional procedures needed to ensure recovery of seat managed infrastructure servers following an emergency or system disruption. Expected Completion: August 4, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has developed and documented a contingency plan for seat-managed infrastructure servers.
Status:	Resolved.

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 4:	Develop and document a contingency plan for the Region III NRC-managed servers.
Agency Response Dated November 2, 2009:	Agree. Region III will work with the Office of Information Services (OIS) to update the agency's contingency plan and develop any regional procedures needed to ensure recovery of NRC managed infrastructure servers following an emergency or system disruption. Expected Completion: August 4, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has developed and documented a contingency plan for NRC-managed servers.
Status:	Resolved.

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 5:	Evaluate the vulnerabilities identified by the network vulnerability assessment and develop a plan and schedule to identify any false positives and to resolve the remaining vulnerabilities.
Agency Response Dated November 2, 2009:	Agree. Region III will evaluate the vulnerabilities identified by the network vulnerability assessment and work with the Office of Information Services (OIS) and the Computer Security Office (CSO) to develop a plan and work to identify any false positives. Any remaining vulnerabilities will be resolved. Expected Completion: August 4, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has performed a vulnerability assessment and developed a plan and schedule to identify any false positives and to also resolve the remaining vulnerabilities.
Status:	Resolved.

Audit Report

INFORMATION SYSTEMS SECURITY EVALUATION OF REGION III – LISLE, IL

OIG-09-A-15

Status of Recommendations

Recommendation 6:	Perform a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.
Agency Response Dated November 2, 2009:	Agree. Region III will work with the Office of Information Services (OIS) to conduct a network vulnerability scan to validate the remediation of vulnerabilities. Expected Completion: August 4, 2010.
OIG Analysis:	The corrective action addresses the intent of this recommendation. This recommendation will be closed when OIG receives documentation that Region III has performed a network vulnerability scan following remediation to verify all vulnerabilities have been resolved.
Status:	Resolved.