



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

**OFFICE OF THE
INSPECTOR GENERAL**

September 1, 2011

MEMORANDUM TO: R. William Borchardt
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE
NUCLEAR REGULATORY COMMISSION'S SHARED "S"
DRIVE (OIG-11-A-15)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR CORPORATE
MANAGEMENT, OFFICE OF THE EXECUTIVE DIRECTOR
FOR OPERATIONS, MEMORANDUM DATED AUGUST 25,
2011

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated August 25, 2011. Based on this response, recommendations 1 through 5 are resolved. Please provide an updated status of the resolved recommendations by April 30, 2012.

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
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AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S SHARED "S" DRIVE

OIG-11-A-15

Status of Recommendations

Recommendation 1: Revise current personally identifiable information (PII) training to include practical scenarios and knowledge checks that address processing PII on shared network drives.

Agency Response Dated
August 25, 2011:

Agree. The Office of Information Services (OIS) will identify subject matter experts (SMEs) to work with the Office of Human Resources (OHR) Instructional System Designers to form a project team to provide an effective training solution. Depending on the nature of the solution, funding may be needed for some of the work performed through OHR contracts and/or interagency agreements. Given the overlap of many of the information and computer security courses and the Human Capital Council's interest in reducing the required training burden on NRC employees, OHR has discussed combining the training into a single course. The inclusion of scenarios and knowledge checks concerning PII will be one of the objectives of this revamped training. The target completion date, assuming availability of funds, is September 30, 2012.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives documentation verifying that the training includes practical scenarios and knowledge checks that address processing PII on shared network drives.

Status: Resolved.

AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S SHARED "S" DRIVE

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Status of Recommendations

<u>Recommendation 2:</u>	Revise current information security training for NRC staff to address specific practices for protecting Sensitive Unclassified Non-Safeguards Information (SUNSI) on the agency's shared network drives.
Agency Response Dated August 25, 2011:	Agree. OIS will identify SMEs to work with the OHR Instructional System Designers to form a project team to provide an effective training solution. Depending on the nature of the solution, funding may be needed for some of the work performed through OHR contracts and/or interagency agreements. Given the overlap of many of the information and computer security courses and the Human Capital Council's interest in reducing the required training burden on NRC employees, OHR has discussed combining the training into a single course. The inclusion of specific practices for protecting SUNSI on agency shared network drives will be one of the objectives of this revamped training. The target completion date, assuming availability of funds, is September 30, 2012.
OIG Analysis:	The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives documentation verifying that the training addresses protection of SUNSI on the agency's shared network drives.
Status:	Resolved.

AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S SHARED "S" DRIVE

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Status of Recommendations

Recommendation 3: Develop Controlled Unclassified Information (CUI) policies and guidance for storing and protecting CUI in agency shared drives, and:

- a. post this guidance on the NRC intranet; and
- b. include this guidance in annual training

Agency Response Dated
August 25, 2011:

Agree. The CUI compliance plan, to include the development of policies and guidance for storing and protecting CUI in agency shared drives, is currently being developed by OIS in coordination with agency offices and regions. The plan will be provided to the CUI Executive Agent (EA) for approval no later than December 6, 2011. Development of CUI training that is specific to NRC's needs is also being incorporated into the plan. The CUI training will address guidance for storing and protecting CUI in agency shared drives. The target completion date for completing Recommendation 3, 3a, and 3b is indeterminate at this time because it is dependent upon the CUI EA approving NRC's compliance plan and giving the authority for NRC to proceed with implementation of the plan. OIS will continue to keep the OIG apprised of its planned completion date through its status of recommendations memoranda.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when CUI policies and guidance are developed, posted on the intranet, and included in annual training.

Status: Resolved.

AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S SHARED "S" DRIVE

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Status of Recommendations

<u>Recommendation 4:</u>	Provide Information Technology (IT) coordinators with role-based training focusing on NRC information and network security policies, and means for ensuring staff compliance with these policies.
Agency Response Dated August 25, 2011:	Agree. OIS and the Computer Security Office will identify SMEs to work with the OHR Instructional System Designers to form a project team to provide an effective training solution. Depending on the nature of the solution, funding may be needed for some of the work performed through OHR contracts and/or interagency agreements. Because this training will be role-based training for IT coordinators, a separate training module will be developed. The target completion date, assuming availability of funds, is September 30, 2012.
OIG Analysis:	The proposed action meets the intent of the recommendation. This recommendation will be closed when IT coordinators are provided training and a means to ensure compliance with these policies.
Status:	Resolved.

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Status of Recommendations

Recommendation 5: Implement procedures for quality assurance checks following network upgrades to ensure that access controls are preserved in shared network drives that process documents containing SUNSI/CUI.

Agency Response Dated
August 25, 2011:

Agree. OIS will work both internally and with appropriate contractors during the project planning phase of network upgrades to identify upgrades that may affect data that exists on shared network drives. For network upgrades that fit this criteria, OIS staff or contractors will capture baseline access control data before the upgrade and will perform quality assurance checks after the upgrade to ensure that access controls are preserved. At a minimum, any agency executive shared network locations affected by the upgrade, and a sample of other shared network locations affected by the upgrade, will be reviewed. The target completion date for documenting the procedure, communicating it to appropriate stakeholders and contractors, and implementing it is April 30, 2012.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that quality assurance checks are performed after upgrades to ensure that access controls are preserved.

Status:

Resolved.

AUDIT OF THE NUCLEAR REGULATORY COMMISSION'S SHARED "S" DRIVE

OIG-11-A-15

Status of Recommendations

Document Location: G:\AUDIT\11-A-15 Audit of NRC's Shared S drive, OIG response to agency response dated 082511.docx

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