



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

**OFFICE OF THE
INSPECTOR GENERAL**

February 8, 2013

MEMORANDUM TO: R. William Borchardt
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: INFORMATION
SECURITY RISK EVALUATION OF REGION IV (OIG-13-A-07)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR CORPORATE
MANAGEMENT MEMORANDUM DATED FEBRUARY 1, 2013

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated February 1, 2013. Based on this response, all recommendations are resolved. Please provide an updated status of the resolved recommendations by July 1, 2013.

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
K. Brock, OEDO
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INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 1: Update the backup procedures for seat-managed servers to (i) reflect the current Region IV seat-managed server infrastructure; (ii) document current backup procedures for seat-managed servers; (iii) document procedures for creating Ghost images, including where those images are stored; (iv) define the schedule for creating Ghost images; (v) correct references to current seat-management contractor; and (vi) correct any other sections impacted by the changes to the server infrastructure or the transition to the new seat-management contractor.

Agency Response Dated
February 1, 2013:

Region IV will revise backup procedures and update documentation to address the six specific items listed in recommendation to ensure conformance to NRC standards.

Planned Completion Date: May 31, 2013.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when documentation is provided that shows the revised backup procedures and the updated documentation to include all specific items listed above.

Status:

Resolved.

INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 2: Develop documented backup procedures for NRC-managed servers. The procedures should include the same level of detail as the backup procedures for seat-managed servers.

Agency Response Dated
February 1, 2013:

Region IV will purchase equipment and create backup procedures for NRC-managed servers. Data backup processes for NRC-managed servers will match criteria established for seat-managed servers.

Planned Completion Date: June 28, 2013.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives a copy of the backup procedures for NRC-managed servers and determines it includes the same level of detail as the backup procedures for seat-managed servers.

Status:

Resolved.

INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 3: Develop and implement procedures for sending backups of NRC-managed servers to an offsite storage location in accordance with NRC requirements.

Agency Response Dated
February 1, 2013:

Region IV will establish procedures to store backups of NRC-managed servers at an offsite location in accordance with NRC standards.

Planned Completion Date: June 28, 2013.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives and reviews the procedures for sending backups of NRC-managed servers to an offsite location.

Status:

Resolved.

INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 4: Establish a general laptop system and complete the process described in the NRC Laptop Security Policy for authorization of the general laptop system.

Agency Response Dated
February 1, 2013:

Region IV will work with NRC's Computer Security Office to establish a general laptop system and complete the authorization process.

Planned Completion Date: August 30, 2013.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives documentation on the general laptop system and determines that the Region has completed the process described in the NRC laptop policy for authorization of the general laptop system.

Status:

Resolved.

INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 5: Update PG 0754.2, Physical Security Plan, to reflect the new office location, describe the current access control procedures for visitors, and describe functions now performed by the security guards.

Agency Response Dated
February 1, 2013:

Region IV has internal processes and policies in place to ensure physical security of the Office. NRC's Division of Facilities and Region IV are working together to develop a generic security plan which will be used for all NRC facilities. While this agency document is being developed, Region IV will update the current implementing procedures to reflect the new office location.

Planned Completion Date: October 1, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives the updated PG 0754.2 or the generic security plan and verifies that either plan includes the elements described above.

Status: Resolved.

INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

Status of Recommendations

Recommendation 6: Update PG 0001.11, RIV Policy Guide and Office Notice System, to specify which regional policy guides require annual review and update.

Agency Response Dated February 1, 2013: PG 0001.12, (updated from PG 0001.11), RIV Policy Guide and Office Notice System, has been revised and is currently in the regional procedure approval process.

Planned Completion Date: February 1, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. The region has updated policy PG 0001.12. This recommendation will be closed when OIG receives the updated RIV Policy Guide and Office Notice and verifies that it specifies which regional guides require annual review and update.

Status: Resolved.