



UNITED STATES
NUCLEAR REGULATORY COMMISSION
 REGION IV
 1600 EAST LAMAR BLVD
 ARLINGTON, TEXAS 76011-4511

July 19, 2013

MEMORANDUM TO: File

 FROM: Harold McKelvey */RA/*
 Chief, IT Branch, Region IV

 SUBJECT: Note to File

The following is the excerpt from NRC Office of the Inspector General's (OIG) Information Security Risk Evaluation of Region IV.

"Please note that status update memoranda that are in response to publically available OIG audit report recommendations should be profiled in ADAMS to be publically available, and the memorandum should not be marked to the contrary."

Region IV's memorandum submitted in response to the OIG's security risk evaluation was entered into ADAMS as non-publicly available. This Note-to-File is changing the properties of the memorandum to "publicly available." The enclosures to the memo have been removed since they included sensitive internal information. As noted below, the concurrence block has been updated to document this change.

S:RAS\Green Ticket\G20130110 RIV Response Update Publicly Available ML13200A152

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| ADAMS: <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes | <input checked="" type="checkbox"/> SUNSI Review Complete | Reviewer Initials: HWM |
| | <input checked="" type="checkbox"/> Publicly Available | <input checked="" type="checkbox"/> Non-Sensitive |
| Category A. | <input type="checkbox"/> Non-publicly Available | <input type="checkbox"/> Sensitive |
| KEYWORD: | | |
| RIV:C:DRMA/ITB | DRMA:Dir | |
| HWMcKelvey | MLHays | |
| <i>/RA/</i> | <i>/RA EClay Acting for/</i> | |
| 07/19/2013 | 07/19/2013 | |

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
REGION IV
1600 EAST LAMAR BLVD
ARLINGTON, TEXAS 76011-4511

June 27, 2013

MEMORANDUM TO: Stephen D. Dingbaum
Assistant Inspector General for Audits
Office of the Inspector General

FROM: Arthur T. Howell III *ATJH for A Howell*
Regional Administrator

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

This memorandum is in response to your memorandum of February 8, 2013, and provides the status of resolved recommendations identified during Office of Inspector General's (OIG) September 17-21, 2013 Information System Security evaluation.

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:

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

Status:

Region IV has revised backup procedures and updated the documentation that addresses the six items. (Enclosure 1).

Expected Completion: Completed
Point of Contact: Harold McKelvey

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:

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.

Status:

Region IV has developed backup procedures (Enclosure 2) and purchased equipment for NRC-managed servers. An Enterprise Change Request (ECR) for the hardware and software has been submitted to the Office of Information Services (OIS) for review and approval. The ECR was approved by OIS on June 12, 2013, which pushed the installation out further. Scheduling of server downtime is in process.

Expected Completion: August 31, 2013
Point of Contact: Harold McKelvey

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:

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

Status:

Region IV has developed procedures for sending backups of NRC-managed servers to an offsite location in accordance with Computer Security Office (CSO) Standard CSO-STD-2002. The procedures are included in the backup documentation (Enclosure 2). The offsite vendor has not yet been determined.

Expected Completion: August 31, 2013
Point of Contact: Harold McKelvey

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:

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

Status:

Region IV is working with the CSO to establish a general laptop system as part of the region's certification and accreditation (C&A) process. Region IV is attempting to use MAR (agency contracted C&A vendor) in conjunction with CSO to perform the C&A for Region IV. Coordination efforts have created a short delay.

Expected Completion: September 30, 2013

Point of Contact: Harold McKelvey

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:

Region IV has internal processes and policies in place to ensure physical security of the office. The 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.

Status:

Region IV is working with the NRC's Division of Facilities (ADM/DFS) updating PG 0754.2 and has revised procedures for the regional office.

Expected Completion: September 30, 2013

Point of Contact: Harold McKelvey

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:

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.

S. Dingbaum

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Status:

Region IV Administrator has approved PG 0001.12 and is included in the operating procedures for the region. (ML13043A577)

Expected Completion: Completed
Point of Contact: Harold McKelvey

Enclosures 1 and 2

CONTACT: Harold W. McKelvey, ITB/DRMA
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| Category A.7 | <input checked="" type="checkbox"/> Non-publicly Available | <input checked="" type="checkbox"/> Sensitive | | |
| KEYWORD: MD 3.4 Non-Public | | | | |
| HWMcKelvey | EClay | MLHays | RLewis | ATHowe III |
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