



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

**OFFICE OF THE  
INSPECTOR GENERAL**

July 25, 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:** REGIONAL ADMINISTRATOR MEMORANDUM DATED  
JUNE 27, 2013

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated June 27, 2013. Based on this response, recommendations 1, 2, 3, and 6 are now closed. Recommendations 4 and 5 remain in resolved status. Please provide an updated status of the resolved recommendations by October 31, 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: R. Mitchell, OEDO  
K. Brock, OEDO  
J. Arildsen, OEDO  
C. Jaegers, OEDO

## Evaluation Report

### 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  
June 27, 2013:

Region IV has revised backup procedures and updated the documentation that addresses the six items.

OIG Analysis:

OIG reviewed the revised backup procedures and determined that the updated documentation adequately addresses the six items listed in Recommendation 1. This recommendation is therefore considered closed.

**Status:**

Closed.

## Evaluation Report

### 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  
June 27, 2013:

Region IV has developed backup procedures 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 pushes the installation out further. Scheduling of server downtime is in process.

OIG Analysis:

OIG reviewed the backup procedures for NRC-managed servers and determined that the procedures include the same level of detail as the backup procedures for seat-managed servers. This recommendation is therefore considered closed.

**Status:**

Closed.

## Evaluation Report

### 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  
June 27, 2013:

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. The offsite vendor has yet to be determined.

OIG Analysis:

OIG reviewed the procedures for sending backups of NRC-managed servers to an offsite location and determined that they meet the intent of the recommendation. This recommendation is therefore considered closed.

**Status:**

Closed.

## Evaluation Report

### 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  
June 27, 2013:

Region IV is working with NRC's 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 Date: September 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 Security Policy for authorization of the general laptop system.

**Status:** Resolved.

## Evaluation Report

### INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

#### Status of Recommendations

<u>Recommendation 5:</u>	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 June 27, 2013:	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 Date: September 30, 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 Physical Security Plan, and verifies that it reflects the new office location, describes the current access control procedures for visitors, and describes the functions now performed by the security guards.
Status:	Resolved.

## Evaluation Report

### INFORMATION SECURITY RISK EVALUATION OF REGION IV

OIG-13-A-07

#### Status of Recommendations

<u>Recommendation 6:</u>	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 June 27, 2013:	Region IV Administrator has approved PG 0001.12, (updated from PG 0001.11), and is included in the operating procedures for the region. (ML13043A577)
OIG Analysis:	OIG reviewed the updated RIV Policy Guide and Office Notice and verified that it specified which regional guides require annual review and update. This recommendation is therefore closed.
<b>Status:</b>	Closed.