

July 30, 2013

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

FROM: William M. Dean */RA by David C. Lew For/*
Regional Administrator

SUBJECT: STATUS OF RECOMMENDATIONS: INFORMATION SECURITY
RISK EVALUATION OF REGION I – KING OF PRUSSIA, PA
(OIG 13-A-06)

REFERENCE: EXECUTIVE DIRECTOR FOR OPERATIONS, MEMORANDUM
DATED FEBRUARY 1, 2013

The enclosure provides an updated status of our commitments in response to the OIG report on information system security evaluation of Region I, as documented in the subject report and the above referenced memorandum. Final copies of supporting information (i.e., internal Region I procedures) will be placed in ADAMS.

Enclosure:
Status of Recommendations 1, 2 and 3

cc w/enclosures:
R. Borchardt, OEDO
D. Ash, OEDO
M. Johnson, OEDO

CONTACT: Louis Manning, RI/DRM
(610) 337-5044

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DOCUMENT NAME: G20130102 Status Of Recommendations Info Security Risk Eval Of Region I.Docx
ADAMS ACCESSION NUMBER Package ML13205A026 Response: ML13211A070

X Sunsi Review		X Non-Sensitive		X Publicly Available	
		Sensitive		Non-Publicly Available	
OFFICE	RI/DRM	RI/DRM	RI/RA		
NAME	LManning	PRBaker	WMDean/ DCL for		
DATE	0730/13	0730/13	0730/13		

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Audit Report

INFORMATION SECURITY RISK EVALUATION OF
REGION I – KING OF PRUSSIA, PA

OIG-13-A-06

Region I's Status Update of Recommendations

Recommendation 1: Update Region I Instruction 0710.1, *Region I 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:

Agree. Region I is in the process of updating Regional Instruction 0710.1, *Region I Security Plan*. The revised Instruction will include updated procedures and functions (responsibilities) as a result of the Region I Office relocation. The current access control procedures for visitors are posted in a How-To Instruction entitled *Security Access to Region I Office* on the Region I intranet. Issuance of the revised regional instruction will be tracked in the Region I Corrective Action Program.

Estimated completion: Region I anticipates completing the revision of Regional Instruction 0710.1 by April 30, 2013.

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives the updated Regional Instruction 0710.1 and verifies that it includes the new office location, describes the current access procedures for visitors, and describes functions now performed by security guards.

Status:

Resolved

Region I Status Update:

Region I revised Regional Instruction 0710.1. The revised Instruction includes updated procedures and functions (responsibilities) as a result of the Region I Office relocation. The current access control procedures for visitors are posted in a How-To Instruction entitled *Security Access to Region I Office* on the Region I intranet. Supporting documentation will be sent under a separate cover. We consider this matter complete.

Enclosure

Audit Report

INFORMATION SECURITY RISK EVALUATION OF
REGION I – KING OF PRUSSIA, PA

OIG-13-A-06

Region I's Status Update of Recommendations

Recommendation 2: Update Region I Instruction 0730.1, *NRC Identification Badge Issuance and Protection*, to describe the current badge issuance procedures and to reflect the current NRC employee badge characteristics.

Agency Response Dated
February 1, 2013

Agree. Region I is in the process of consolidating the badge issuance procedures that reflect the current NRC employee badge characteristics into lower tier implementing instructions (How-To instructions and standard operating procedures (SOPs)) in conjunction with a revision of Regional Instruction 0710.1, *Region I Security Plan*. As a result of this consolidation effort, Region I will cancel Regional Instruction, 0730.1. Issuance of the revised Regional Instruction 0710.1 and lower tier instructions will be tracked in the Region I Corrective Action Program.

Estimated completion: Region I anticipates completing the revision of Regional Instruction 0710.1 by April 30, 2013.

OIG Analysis: The proposed action of cancelling Region I Instruction 0730.1 and revising Regional Instruction 0710.1 meets the intent of the recommendation. This recommendation will be closed when OIG receives the revised Regional Instruction 0710.1 and determines that it contains the current badge issuance procedures and reflects the current NRC employee badge characteristics.

Status: Resolved

Region I Status Update: Region I consolidated the badge issuance procedures that reflect the current NRC employee badge characteristics into lower tier implementing instructions (How-To instructions and standard operating procedures (SOPs)) in conjunction with the revision of Regional Instruction 0710.1, *Region I Security Plan*. As a result of this consolidation effort, Region I canceled Regional Instruction, 0730.1. Supporting documentation will be sent under a separate cover. We consider this matter complete.

Enclosure

Audit Report

INFORMATION SECURITY RISK EVALUATION OF
REGION I – KING OF PRUSSIA, PA

OIG-13-A-06

Region I's Status Update of Recommendations

Recommendation 3: Update Regional Instruction 0180.1, *Region I System of Instructions*, to specify which regional implementing instructions require annual review and update.

Agency Response Dated
February 1, 2013:

Agree: Regional Instruction 0180.1, *Region I System of Instructions*, requires that all implementing instructions be reviewed periodically and that recurring action items be used to track completion of recurring requirements. Requirements to update Region I IT security program procedures and implementing instructions annually in accordance with external requirements (e.g., Federal Information Security Management Act of 2002) will be added to Regional Instruction 0710.1, *Region I Security Plan*, and tracked as a recurring action item. Issuance of the revised regional instructions will be tracked in the Region I Corrective Action Program.

Estimated completion: Region I anticipates completing the revision of Regional Instruction 710.1 by April 30, 2013.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives the updated Regional Instruction 0710.1 and determines that it specifies which regional implementing instructions require annual review and update.

Status: Resolved

Region I Status Update: Requirements to update Region I IT security program procedures and implementing instructions annually in accordance with external requirements (e.g., Federal Information Security Management Act of 2002) were added to the revised version of Regional Instruction 0710.1, *Region I Security Plan*. Supporting documentation will be sent under a separate cover. We consider this matter complete.

Enclosure