Status of Recommendations of OIG-12-A-10
Audit of NRC's Baseline Security and Safeguards Inspection Procedure

Recommendation 1

Develop and maintain a centralized database of security findings data to be used for evaluating licensee performance trends, and communicating this information to the U.S. Nuclear Regulatory Commission (NRC) staff, industry, and appropriate public stakeholders.

Status
In response to Recommendation 1 from the Office of the Inspector General's (OIG's) audit of the NRC's Management of the Baseline Security Inspection Program (OIG-12-A-10), the Office of Nuclear Security and Incident Response (NSIR) assembled a working group with representatives from the Office of Nuclear Reactor Regulation (NRR), the Office of Information Services (OIS), and the Computer Security Office to assess various alternatives for a technologic solution for tracking security inspection findings in a secure environment.

Based on group discussion and after analyzing the solution, NSIR agrees with OIS's and NRR's assessment to pursue a Reactor-Replacement Program System (RRPS)-based solution that encompasses specific NSIR requirements. NSIR has considered all viable solutions and considers this solution to be the most cost effective with no additional cost to NSIR and the agency.

NSIR and NRR will continue to meet to ensure that NSIR requirements are accounted for as part of the RRPS development effort. RRPS is still in the development phase and is expected to be fully implemented in calendar year (CY) 2017. In addition, OIS and NSIR will maintain this path forward regarding any plan related to the upgrade of the Safeguards Information Local Area Network and Electronic Safe (SLES). NSIR considers this effort to effectively address the OIG recommendation to develop and maintain a centralized database of security findings data without introducing any additional technical or computer security risk.

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Recommendation 2

Formalize and implement a process for maintaining current and accurate data within a centralized database.

Status
NSIR is continuing to develop an office procedure to ensure that data from the security inspection reports is archived in a centralized database. NSIR expects to have an office procedure in place for tracking and trending security findings concurrent with the rollout and

implementation of the new RRPS in CY 2017. This procedure will be finalized following the establishment of the recommended database(s).

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Recommendation 3

Formalize and implement a process for ensuring Safeguards Information (SGI) findings data is currently accessible for use in trending security findings issues.

Status
In response to Recommendation 3 from the OIG's audit of the NRC's Management of the Baseline Security Inspection Program (OIG-12-A-10), NSIR assembled a working group with representatives from NRR, OIS and the NSIR Cyber Security Directorate to assess various alternatives for a technologic solution for tracking security inspection findings in a secure environment. As discussed in the status of Recommendation 2, NSIR will develop an office procedure to ensure that SGI findings are categorized and archived into a centralized database in a manner consistent with the sensitivity designation of the information in conjunction with the rollout and implementation of RRPS occurring in CY 2017.

It is important to note that the RRPS under development does not currently include the capability to protect and store SGI inspection data. Under the security baseline inspection program, 200-250 inspections are conducted annually with approximately 10-percent of those inspection results containing findings designated as SGI.

As stated in Recommendation 1, the working group identified and evaluated the alternatives for the establishment of a secure database that would ensure the accessibility and usability of SGI findings data by the NRC staff. See Enclosure 2, "Analysis of Alternatives – Technology Solution for Tracking NSIR Inspection Findings," for more detailed information.

NSIR will pursue Option 5, RRPS-based solution, with NSIR requirements partially incorporated into RRPS. This solution would add some of NSIR's requirements into RRPS, while continuing to store SGI information in SLES. RRPS development efforts will take into account any NSIR tracking and trending requirement, and account for any minor business process difference. Inspection reports containing SGI will continue to be stored in SLES, and referenced by the associated document (i.e., NS) number in RPPS. This solution further leverages NRC's investment in RRPS at no additional cost to the agency and tracking and trending functions can be performed within RRPS, taking advantage of document and system security built into the platform. This option further assists the staff in reducing the manual tracking burden. The projected implementation date is scheduled to occur in CY 2017.

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