



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

**OFFICE OF THE
INSPECTOR GENERAL**

February 16, 2016

MEMORANDUM TO: Victor M. McCree
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF NRC'S
SAFEGUARDS INFORMATION LOCAL AREA NETWORK
AND ELECTRONIC SAFE (OIG-13-A-16)

REFERENCE: CHIEF INFORMATION OFFICER MEMORANDUM DATED
JANUARY 27, 2016

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations 1-7 as discussed in the agency's response dated January 27, 2016. Based on this response, recommendations 2, 3, 4, 6, and 7 remain in resolved status. Recommendations 1 and 5 were closed previously. Please provide an updated status of the resolved recommendations by October 29, 2017.

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: F. Brown, OEDO
B. Pham, OEDO
J. Jolicoeur, OEDO
D. Ash, OEDO
EDO_ACS Distribution

Audit Report

AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

Status of Recommendations

Recommendation 2: Establish a formal workflow process, similar to that used for the Agencywide Documents Access and Management System, to communicate the status of SLES (E-Safe) file uploads to SGI owners.

Agency Response Dated
January 27, 2016:

The recommendation listed above is still on track for implementation as part of the SLES modernization effort by September 2017. The Office of the Chief Information Officer (OCIO) is developing the SLES Modernization Plan to begin modernization activities in fiscal year (FY) 2016 and complete these activities by the end of FY 2017. In December 2015, OCIO created the SLES Modernization Integrated Project Plan (IPT).

OCIO believes that the modernization plan, if properly resourced, will lead to a system that is more stable and responsive to users' needs, while being cost effective. The IPT will include staff from the OCIO, Office of the Nuclear Security and Incident response, the regions, and key SLES users. The IPT will reevaluate the system requirements and recommend a technical solution to update the existing system platform or implement a different platform to effectively and efficiently implement the system requirements, including OIG recommendations.

Current Target Completion Date: September 30, 2017.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that a formal workflow process has been established to communicate the status of SLES (E-Safe) file uploads to SGI owners.

Status: Resolved.

Audit Report

AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

Status of Recommendations

Recommendation 3: Evaluate and update the current folder structure to meet user needs.

Agency Response Dated
January 27, 2016:

The recommendation listed above is still on track for implementation as part of the SLES modernization effort by September 2017. The Office of the Chief Information Officer (OCIO) is developing the SLES Modernization Plan to begin modernization activities in fiscal year (FY) 2016 and complete these activities by the end of FY 2017. In December 2015, OCIO created the SLES Modernization Integrated Project Plan (IPT).

OCIO believes that the modernization plan, if properly resourced, will lead to a system that is more stable and responsive to users' needs, while being cost effective. The IPT will include staff from the OCIO, Office of the Nuclear Security and Incident response, the regions, and key SLES users. The IPT will reevaluate the system requirements and recommend a technical solution to update the existing system platform or implement a different platform to effectively and efficiently implement the system requirements, including OIG recommendations.

Current Target Completion Date: September 30, 2017.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that the current folder structure has been evaluated and updated to meet user needs.

Status: Resolved.

Audit Report

AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

Status of Recommendations

Recommendation 4: Publish a folder guide to help users identify where SGI is stored within SLES.

Agency Response Dated
January 27, 2016:

The recommendation listed above is still on track for implementation as part of the SLES modernization effort by September 2017. The Office of the Chief Information Officer (OCIO) is developing the SLES Modernization Plan to begin modernization activities in fiscal year (FY) 2016 and complete these activities by the end of FY 2017. In December 2015, OCIO created the SLES Modernization Integrated Project Plan (IPT).

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Current Target Completion Date: September 30, 2017.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG is provided with documentation verifying that a folder guide has been published to help users identify where SGI is stored within SLES.

Status: Resolved.

Audit Report

AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

Status of Recommendations

Recommendation 6: Develop and implement a change control process to routinely evaluate and implement any changes to SLES. Include members from the technical (OIS) and policy (NSIR) sides of SLES, as well as a representative from a Regional office, and gather user concerns from the SLES community.

Agency Response Dated
January 27, 2016:

The recommendation listed above is still on track for implementation as part of the SLES modernization effort by September 2017. The Office of the Chief Information Officer (OCIO) is developing the SLES Modernization Plan to begin modernization activities in fiscal year (FY) 2016 and complete these activities by the end of FY 2017. In December 2015, OCIO created the SLES Modernization Integrated Project Plan (IPT).

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Current Target Completion Date: September 30, 2017.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives a copy of the change control process to routinely evaluate and implement any changes to SLES.

Status: Resolved.

Audit Report

AUDIT OF NRC'S SAFEGUARDS INFORMATION LOCAL AREA NETWORK AND ELECTRONIC SAFE

OIG-13-A-16

Status of Recommendations

- Recommendation 7: Develop a structured access process that is consistent with the SGI need-to-know requirement and least privilege principle. This should include:
- Establishing folder owners within SLES and providing the owners the authority to approve the need-to-know authorization (as opposed to branch chiefs).
 - Conducting periodic reviews of user access to folders.
 - Developing a standard process to grant user access.

Agency Response Dated
January 27, 2016:

The recommendation listed above is still on track for implementation as part of the SLES modernization effort by September 2017. The Office of the Chief Information Officer (OCIO) is developing the SLES Modernization Plan to begin modernization activities in fiscal year (FY) 2016 and complete these activities by the end of FY 2017. In December 2015, OCIO created the SLES Modernization Integrated Project Plan (IPT).

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Current Target Completion Date: September 30, 2017.

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG evaluates the structured process and determines that it contains the three items in the recommendation.

Status: Resolved.