



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

OFFICE OF THE
INSPECTOR GENERAL

September 7, 2016

MEMORANDUM TO: Victor M. McCree
Executive Director for Operations

FROM: 
Steven E. Zane
Acting Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: INDEPENDENT
EVALUATION OF NRC'S IMPLEMENTATION OF THE
FEDERAL INFORMATION SECURITY MANAGEMENT
ACT FOR FISCAL YEAR 2012 (OIG-13-A-03)

REFERENCE: CHIEF INFORMATION OFFICER MEMORANDUM DATED
AUGUST 31, 2016

Attached is the Office of the Inspector General's (OIG) analysis and status of the recommendations as discussed in the agency's response dated August 31, 2016. Based on this response, recommendation 10 is closed and recommendations 11, 12, and 13 remain in resolved status. Recommendations 1, 2, 3, 4, 5, 6, 7, 8, and 9 were previously closed. Please provide an updated status of the resolved recommendations by February 13, 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: R. Lewis, OEDO
H. Rasouli, OEDO
J. Jolicoeur, OEDO
J. Bowen, OEDO
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Evaluation Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT FOR FISCAL YEAR 2012

OIG-13-A-03

Status of Recommendations

Recommendation 10: Update the IT environment contingency plan to update contingency planning procedures specific to NRC remote locations that are not up-to-date. Specifically, update the list of IT environment servers supporting NRC remote locations that are referenced in Appendix H of the IT environment contingency plan and update the contingency plans for NRC remote locations that are attached to the IT environment contingency plan.

Agency Response Dated
August 31, 2016:

On August 17, 2015, the regional offices and the TTC received a short-term authorization until June 30, 2017, for their FISMA Regional Information System. The Regional Information System Security Officer continues to work with all of the regions and Information Security Directorate (ISD) to complete the necessary FISMA ATO documentation, which includes a contingency plan for all the assets that are part of the Regional System Boundary.

The Information Technology Infrastructure (ITI) managed assets that reside in Regions 1 through 4 and the TTC have been added to the ITI device list found in Appendix H. In addition, the ITI regional contingency plans for Regions 1 through 3 that are attached to the ITI contingency plan have been updated. (see enclosure).

OCIO requests that Recommendation 10 be closed. Please refer to the most recent ITI contingency plan found in the enclosure of this memo.

OIG Analysis: OIG reviewed the updated contingency plan and determined that it met the intent of the recommendation. This recommendation is therefore closed.

Status: Closed.

Evaluation Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT FOR FISCAL YEAR 2012

OIG-13-A-03

Status of Recommendations

Recommendation 11: Update the IT environment contingency plan to include contingency procedures for the IT environment and other IT components supporting the one NRC remote location for which these procedures are missing.

Agency Response Dated
August 31, 2016:

On August 17, 2015, the Regional Offices and TTC received a short-term authorization until June 30, 2017, for their FISMA Regional System. The Regional Information System Security Officer continues to work with all of the regions and the Information Security Directorate (ISD) to complete the necessary FISMA ATO documentation which includes a contingency plan for all the assets that are part of the Regional System boundary.

The IT environment contingency plan has been updated to include contingency procedures for the IT environment and other ITI managed components supporting the NRC remote locations. The ITI contingency plan has been updated with contingency plan procedures specific to the ITI system boundary that extends into each of the Regional offices with the exception of one NRC remote location, the TCC (see Appendix G and H of the enclosure). Contingency plan procedures are currently being developed for the ITI components that support the TTC.

Revised Target Completion Date: January 30, 2017

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that OIS has updated the IT environment contingency plan to include contingency procedures for the IT environment and other IT components supporting the one NRC remote location for which these procedures are missing.

Status: Resolved.

Evaluation Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT FOR FISCAL YEAR 2012

OIG-13-A-03

Status of Recommendations

Recommendation 12: Update the COOPs for NRC remote locations that are referenced in Appendix G of the IT environment contingency plan to include current IT environment configurations at NRC remote locations and to address situations where the IT environment at those locations is unavailable for any reason.

Agency Response Dated
August 31, 2016:

The development of the Regional contingency plan for the Regional System are needed to incorporate a COOP plan for each NRC remote location that is referenced in Appendix G of the ITI Contingency Plan (enclosed). The development of the Regional contingency plan is approximately 75% complete.

Revised Target Completion Date: January 30, 2017

OIG Analysis:

The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that OIS updated the COOPs for NRC remote locations that are referenced in Appendix G of the IT environment contingency plan to include current IT environment configurations at NRC remote locations and to address situations where the IT environment at those locations is unavailable for any reason.

Status:

Resolved.

Evaluation Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT FOR FISCAL YEAR 2012

OIG-13-A-03

Status of Recommendations

Recommendation 13: Develop a COOP for the IT environment and other IT components supporting the one NRC remote location that does not have a COOP.

Agency Response Dated
August 31, 2016:

The development of the Regional Contingency Plan is needed to incorporate a continuity of operations plan for each NRC remote location including the TTC that is referenced in Appendix G of the ITI Contingency Plan. The update to the ITI Contingency Plan, Appendix G will include the information technology environment and other information technology components supporting the Technical Training Center.

Revised Target Completion Date: January 30, 2017

OIG Analysis: The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives verification that OIS developed a COOP for the IT environment and other IT components supporting the one NRC remote location that does not have a COOP.

Status: Resolved.