



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

**OFFICE OF THE
INSPECTOR GENERAL**

November 15, 2017

MEMORANDUM TO: Victor M. McCree
Executive Director for Operations

FROM: Dr. Brett M. Baker */RA/*
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: INDEPENDENT
EVALUATION OF NRC'S IMPLEMENTATION OF THE
FEDERAL INFORMATION SECURITY MODERNIZATION
ACT OF 2014 FOR FISCAL YEAR 2017-REGION IV,
ARLINGTON, TEXAS (OIG-17-A-25)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR MATERIALS,
WASTE, RESEARCH, STATE, TRIBAL, COMPLIANCE,
ADMINISTRATION, AND HUMAN CAPITAL PROGRAMS,
MEMORANDUM DATED OCTOBER 27, 2017

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated October 27, 2017. Based on this response, recommendations 1 and 2 are closed and recommendation 3 is resolved. Please provide an updated status of the resolved recommendation by January 31, 2018.

If you have any questions or concerns, please call me at (301) 415-5915, or Beth Serepca, Team Leader at (301) 415-5911.

Attachment: As stated

cc: R. Lewis, OEDO
H. Rasouli, OEDO
J. Jolicoeur, OEDO
J. Bowen, OEDO
EDO_ACS Distribution

Audit Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MODERNIZATION ACT OF 2014 FOR FISCAL YEAR 2017-REGION IV, ARLINGTON, TEXAS

OIG-17-A-25

Status of Recommendations

Recommendation 1: Update Region IV policy guides that are due for review in accordance with PG 0001.13.

Agency Response Dated
October 27, 2017:

Agree. Region IV is updating policy guides that are due for review in accordance with PG 0001.13.

Region IV's completion date for updating its policy guides is November 15, 2017.

OIG Analysis:

OIG spoke with the point of contact to determine if the Region IV policy guides were updated as required. OIG confirmed that the policy guides were updated. This recommendation is therefore considered closed.

Status:

Closed.

Audit Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MODERNIZATION ACT OF 2014 FOR FISCAL YEAR 2017-REGION IV, ARLINGTON, TEXAS

OIG-17-A-25

Status of Recommendations

Recommendation 2: Update the backup procedures for Region IV NRC-managed servers to include backup procedures for the Region IV IT [Information Technology] support server and for sending backups to an offsite storage location.

Agency Response Dated
October 27, 2017:

Agree. Region IV is updating its document that describes the backup procedures for its support servers and process for sending backups to its offsite location.

Region IV's completion date for updating the backup procedural guide is November 15, 2017.

OIG Analysis:

OIG spoke with the point of contact to determine if the Region IV back up procedures were updated as required. OIG confirmed the procedures were updated to include addressing backup procedures for the support server and for sending backups to an offsite storage location. Therefore, this recommendation is considered closed.

Status:

Closed.

Audit Report

INDEPENDENT EVALUATION OF NRC'S IMPLEMENTATION OF THE FEDERAL INFORMATION SECURITY MODERNIZATION ACT OF 2014 FOR FISCAL YEAR 2017-REGION IV, ARLINGTON, TEXAS

OIG-17-A-25

Status of Recommendations

<u>Recommendation 3:</u>	Address the identified vulnerabilities within the timeframes specified in ISD [Information Security Directorate] standard ISD-STD-0020, <i>Organization Defined Values for System Security Controls</i> .
Agency Response Dated October 27, 2017:	Agree. Region IV will address identified vulnerabilities within the timeframes specified in ISD standard ISD-STD-0020, <i>Organization Defined Values for System Security Controls</i> , or submit a deviation request in accordance with ISD Process ISD-PROS-1324, <i>Deviation Request Process</i> . Region IV anticipates completing the remediation for the identified high risk and moderate risk findings by October 31, 2017, and November 30, 2017, respectively. Region IV anticipates completing the remainder of all remediation/deviation requests by December 29, 2017.
OIG Analysis:	The proposed action meets the intent of the recommendation. This recommendation will be closed when the identified vulnerabilities are addressed within the timeframes specified in ISD standard ISD-STD-0020.
Status:	Resolved.