

September 24, 2007

MEMORANDUM TO: Luis A. Reyes
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: SYSTEM
EVALUATION OF THE AGENCYWIDE DOCUMENTS
ACCESS AND MANAGEMENT SYSTEM (OIG-04-A-21)

REFERENCE: DIRECTOR, OFFICE OF INFORMATION SERVICES,
MEMORANDUM DATED JUNE 28, 2007

Attached is the Office of the Inspector General (OIG) analysis and status of the recommendations as discussed in the agency's response dated June 28, 2007. Based on this response, recommendations 1, 2, 4, 5, and 6 remain in resolved status. Recommendation 3 was previously closed. Please provide an updated status of the resolved recommendations by February 1, 2008.

If you have questions or concerns, please call me at 415-5915.

Attachment: As stated

cc: V. Ordaz, OEDO
M. Malloy, OEDO
P. Tressler, OEDO

Audit Report
System Evaluation of the Agencywide Documents
Access and Management System
OIG-04-A-21

Status of Recommendations

Recommendation 2: Update ADAMS Security Plan to describe all controls currently in place. In-place controls are those marked at least at Level 3 in the self-assessment and that were documented as passed in the last Security Test and Evaluation Plan and Report or in any test and evaluation on controls added since publication of that report.

Response Dated
June 28, 2007:

The ADAMS System Security Plan (SSP) is being updated as part of the ADAMS certification and accreditation (C&A) process. We are ensuring that the plan describes all controls currently in place and are currently working with contractor staff. The scheduled completion date for the SSP was July 13, 2007.

OIG Analysis:

According to the 4th quarter POA&M, the final plan will be completed after any update from the security test and evaluation, which has not yet been done. The proposed action addresses the issue discussed in the report and the intent of the recommendation. This recommendation will be closed when the ADAMS SSP is provided to OIG for verification that the final updated Plan describes all controls in place.

Status:

Resolved.

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Status of Recommendations

Recommendation 4: Update the ADAMS Business Continuity Plan to include the following changes:

- Describe the methods used to notify recovery personnel during business and non-business hours for all scenarios.
- Incorporate all teams' roles and responsibilities and relevant points of contact information for team leaders, alternate team leaders, and team members for all scenarios.
- Include procedures for restoring system operations, with a focus on how to clean the alternate site of any equipment or other materials belonging to the organization.

Response Dated
June 28, 2007:

The ADAMS Business Continuity Plan (BCP) is being updated as part of the ADAMS C&A, and we are ensuring it includes the recommended changes. The BCP is dependent on a completed and approved SSP. We are currently working with contractor staff and the scheduled completion date for the BCP is November 26, 2007.

OIG Analysis:

The proposed action addresses the issue discussed in the report and the intent of the recommendation. This recommendation will be closed when OIG verifies that the updated ADAMS Business Continuity Plan contains the recommended changes.

Status:

Resolved.

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Status of Recommendations

Recommendation 5: Update ADAMS Security Plan and/or ADAMS self-assessment to consistently define the protection requirements (confidentiality, integrity, availability).

Response Dated
June 28, 2007:

The ADAMS SSP is being updated as part of the ADAMS security C&A and we are ensuring that the plan describes all controls currently in place. We are working with contractor staff and the scheduled completion date for the SSP is July 13, 2007. ADAMS completed an annual self assessment on June 28, 2006 and will be completing this year's by August 1, 2007. The self assessment consistently defines the protection requirements (confidentiality, integrity, availability).

OIG Analysis:

This recommendation is still open on the 4th quarter POA&M. The proposed action addresses the issue discussed in the report and the intent of the recommendation. This recommendation will be closed when OIG verifies that the ADAMS Security Plan and/or ADAMS self-assessment consistently defines the protection requirements.

Status:

Resolved.

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Status of Recommendations

Recommendation 6: Track all actions items resulting from testing of the ADAMS security controls and contingency plan in either the agency's internal tracking system or in the agency's plan of action and milestones submitted to OMB.

Response Dated
June 28, 2007:

All items resulting from testing of the ADAMS security controls and contingency plan will be placed in either Rationale Clear Case, the agency's internal tracking system, or in the agency's plan of action and milestones submitted to OMB. Rational Clear Case will be updated to track all action items as results become available. We expect to have the test results documented by January 29, 2008.

OIG Analysis:

The proposed action addresses the issue discussed in the report and the intent of the recommendation. This recommendation will be closed when OIG verifies that all actions items resulting from testing of the ADAMS security controls and contingency plan reviews are tracked.

Status:

Resolved.