



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

**OFFICE OF THE
INSPECTOR GENERAL**

March 14, 2013

MEMORANDUM TO: R. William Borchardt
Executive Director for Operations

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

SUBJECT: STATUS OF RECOMMENDATIONS: INFORMATION
SECURITY RISK EVALUATION OF REGION III (OIG-12-A-22)

REFERENCE: REGIONAL ADMINISTRATOR MEMORANDUM DATED
FEBRUARY 27, 2013

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated February 27, 2013. Based on this response, recommendations 1-4 are closed and recommendation 5 remains in resolved status. Please provide an updated status of the resolved recommendation by April 30, 2013.

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: K. Brock, OEDO
J. Arildsen, OEDO
C. Jaegers, OEDO

INFORMATION SECURITY RISK EVALUATION OF REGION III

OIG-12-A-22

Status of Recommendations

<u>Recommendation 1:</u>	Update DI-NR-008, <i>Server Administration</i> , to (i) reflect the current Region III server infrastructure; (ii) document current backup procedures for seat-managed and NRC-managed servers; (iii) document procedures for creating Ghost images, including where those images are stored; (iv) define the schedule for creating Ghost images; (v) correct references to the current seat-management contractor; and (vi) correct any other sections impacted by the changes to the server infrastructure or the transition to the new seat-management contractor.
Agency Response Dated February 27, 2013:	Changes were made to DI-NR-008, <i>Server Administration</i> , to make the divisional instruction conform to the OIG Analysis in OIG-12-A-22. The document is currently in the Region III concurrence process and will be official in advance of the March 29, 2013, due date. The document is in ADAMS under accession number ML13057A305.
OIG Analysis:	OIG reviewed DI-NR-008, <i>Server Administration</i> , in ADAMS and determined that the document was updated to reflect the changes as stated above. Because approval for the DI-NR-008, <i>Server Administration</i> is imminent, this recommendation is considered closed.
Status:	Closed.

INFORMATION SECURITY RISK EVALUATION OF REGION III

OIG-12-A-22

Status of Recommendations

Recommendation 2: Update RP-12.1, *Region III Facility Security Program*, to describe the current requirement to review access permissions to the Region III server room and LAN closets (that are equipped with card readers) on a quarterly basis and to reflect the current NRC employee badge characteristics.

Agency Response Dated
February 27, 2013:

Changes were made to RP-12.1, *Region III Facility Security Program*, to make the regional procedure conform to the OIG Analysis in OIG-12-A-22. The document was official on November 18, 2012, and is under the ADAMS accession number ML12324A097.

OIG Analysis:

OIG's December 13, 2013, response stated that OIG understands and concurs that reviewing and approving the access list on an annual basis is adequate to ensure that permissions are up to date.

OIG has now reviewed the updated RP-12.1 and determined that it includes the requirement for annual review of access permissions to the Region III server room and LAN closets and also reflects the updated procedure for employee badge characteristics. This recommendation is therefore considered closed.

Status:

Closed.

INFORMATION SECURITY RISK EVALUATION OF REGION III

OIG-12-A-22

Status of Recommendations

Recommendation 3: Update DI-12.1, *Region III Security System Testing Process*, to describe the current requirement to review access permissions to the Region III server room and LAN closets (that are equipped with card readers) on a quarterly basis.

Agency Response Dated
February 27, 2013:

Please note the original OIG recommendation referenced the wrong name of the divisional instruction.

Changes were made to DI-12.1, *Badging Procedures*, to make the divisional instruction conform to the OIG Analysis in OIG-12-A-22. The document was official on January 29, 2013, and is under the ADAMS accession number ML13029A727.

OIG Analysis:

OIG's December 13, 2013, response stated that OIG understands and concurs that reviewing and approving the access list to the Region III server room and LAN closets on an annual basis is adequate to ensure that permissions are up to date.

OIG has now reviewed the updated DI-12.1, *Badging Procedures*, and determined that it includes the requirement for annual review of access permissions to the Region III server room and LAN closets. This recommendation is therefore considered closed.

Status:

Closed.

INFORMATION SECURITY RISK EVALUATION OF REGION III

OIG-12-A-22

Status of Recommendations

<u>Recommendation 4:</u>	Update DI-NR-006, <i>Region III Switchboard Operations</i> , to reflect the current NRC employee badge characteristics and to describe functions now performed by the protective security officer instead of the receptionist.
Agency Response Dated February 27, 2013:	Changes were made to DI-NR-006, <i>Region III Switchboard Operations</i> , to make the divisional instruction conform to the OIG Analysis in OIG-12-A-22. The document was official on January 31, 2013, and is under the ADAMS accession number ML13033A002.
OIG Analysis:	OIG reviewed the updated DI-NR-006, <i>Region III Switchboard Operations</i> , and determined that it reflects the current NRC employee badge characteristics and describes functions now performed by the protective security officer instead of the receptionist. This recommendation is therefore considered closed.
Status:	Closed.

INFORMATION SECURITY RISK EVALUATION OF REGION III

OIG-12-A-22

Status of Recommendations

<u>Recommendation 5:</u>	Update RP-3.57, <i>System of Procedures, Notices, and Division Instructions</i> , to specify which regional procedures and divisional instructions require annual review and update.
Agency Response Dated February 27, 2013:	Regional Procedure RP-3.57, <i>System of Procedures, Notices, and Division Instructions</i> , is undergoing revision to conform to the OIG Analysis in OIG-12-A-22. The document is on track to make it through the Region III concurrence process by its due date of March 29, 2013.
OIG Analysis:	The proposed action meets the intent of the recommendation. This recommendation will be closed when OIG receives the updated RP-3.57, which specifies the regional procedures and divisional instructions that require annual review and update.
Status:	Resolved.