

# EVALUATION REPORT

## REDACTED VERSION

Office of the Inspector General Information  
System Security Evaluation of Region II -  
Atlanta, GA

OIG-09-A-13 September 28, 2009



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**Office of the Inspector General  
Information System Security Evaluation of  
Region II – Atlanta, GA**

**Contract Number: GS-00F-0001N  
Delivery Order Number: 20291**

**September 16, 2009**

## EXECUTIVE SUMMARY

### BACKGROUND

The U.S. Nuclear Regulatory Commission (NRC) has four regional offices that conduct inspection, enforcement, investigation, licensing, and emergency response programs for nuclear reactors, fuel facilities, and materials licensees. The Region II office operates under the direction of a Regional Administrator and is located in Atlanta, Georgia. The region covers a ten-state area, including seven states with nuclear power plants. Region II also includes Puerto Rico and the U.S. Virgin Islands. Region II also oversees commercial nuclear fuel processing facilities in Illinois which is part of Region III, as well as New Mexico and Washington which are part of Region IV. In addition, Region II also handles all construction inspection activities for new nuclear power plants and fuel cycle facilities in all regions. The Region II office plans to move to another location in the Atlanta, Georgia area in the next six months.

On December 17, 2002, the President signed the E-Government Act of 2002, which included the Federal Information Security Management Act (FISMA) of 2002. FISMA outlines the information security management requirements for agencies, which include an annual independent evaluation of an agency's information security program<sup>1</sup> and practices to determine their effectiveness. This evaluation must include testing the effectiveness of information security policies, procedures, and practices for a representative subset of the agency's information systems. FISMA also requires assessment of compliance with FISMA requirements and related information security policies, procedures, standards, and guidelines. FISMA requires the annual evaluation to be performed by the agency's Inspector General or by an independent external auditor.

The NRC Office of the Inspector General (OIG) requested that the four NRC regional offices and the Technical Training Center (TTC) be included in the independent evaluation of the agency's implementation of FISMA for fiscal year 2009. Information security policies, procedures, and practices at the regional offices and the TTC were last assessed in 2003 and 2006. This report describes evaluation findings for Region II.

### PURPOSE

The objectives of the information system security evaluation of Region II were to:

- Evaluate the adequacy of NRC's information security program and practices for NRC automated information systems as implemented at Region II.
- Evaluate the effectiveness of agency information security control techniques as implemented at Region II.
- Evaluate corrective actions planned and taken as a result of previous OIG evaluations.

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<sup>1</sup> For the purposes of FISMA, the agency uses the term "information system security program."

## **RESULTS IN BRIEF**

Region II has made improvements in its implementation of NRC's information system security program and practices for NRC automated information systems since the previous evaluations in 2003 and 2006. All corrective actions from the previous evaluations have been implemented. However, the information system security program and practices are not always consistent with the NRC's automated information systems security program as defined in Management Directive (MD) and Handbook 12.5, *NRC Automated Information Systems Security Program*, other NRC policies, FISMA, and National Institute of Standards and Technology (NIST) guidance. Areas needing improvement included: physical and environmental controls; continuity of operations and emergency planning; and configuration management. Specifics cannot be presented in this publicly released version of this report.

## **RECOMMENDATIONS**

This report makes recommendations to the Executive Director for Operations to improve NRC's information system security program and implementation of FISMA at Region II.