

OFFICE OF
INSPECTOR GENERAL



Report of Evaluation

**OIG 2014 Evaluation of the
Farm Credit Administration's
Compliance with the
Federal Information Security
Management Act**

November 14, 2014

E-14-01

Tammy Rapp
Auditor-in-Charge

FARM CREDIT ADMINISTRATION

Memorandum

Office of Inspector General
1501 Farm Credit Drive
McLean, Virginia 22102-5090



November 14, 2014

The Honorable Jill Long Thompson, Board Chair and Chief Executive Officer
The Honorable Kenneth A. Spearman, Board Member
The Honorable Leland A. Strom, Board Member
Farm Credit Administration
1501 Farm Credit Drive
McLean, Virginia 22102-5090

Dear Board Chair Long Thompson and FCA Board Members Spearman and Strom:

The Office of the Inspector General (OIG) completed the 2014 independent evaluation of the Farm Credit Administration's compliance with the Federal Information Security Management Act (FISMA). The objectives of this evaluation were to perform an independent assessment of FCA's information security program and assess FCA's compliance with FISMA.

The results of our evaluation revealed that FCA has an information security program that continues to mature. Of the 11 areas the Office of Management and Budget required OIGs to evaluate during 2014, FCA established a program in 10 of the areas. We identified 1 area, Continuous Monitoring, where the Agency agreed to make improvements.

We appreciate the courtesies and professionalism extended to the evaluation staff. If you have any questions about this evaluation, I would be pleased to meet with you at your convenience.

Respectfully,

A handwritten signature in black ink that reads 'Elizabeth M. Dean'.

Elizabeth M. Dean
Inspector General

Office of Inspector General (OIG) Evaluation: FISMA 2014

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Executive Summary

The Farm Credit Administration (FCA or Agency) has an information security program that continues to mature and contains the following elements:

- Information security policies and procedures
- Risk based approach to information security
- Continuous monitoring
- Standard baseline configurations
- Identity and access management program
- Incident response program
- Risk based security controls
- Security authorization process
- Security awareness and training program
- Corrective action for significant information security weaknesses
- Remote access controls
- Continuity of operations plan and tests
- Oversight of contractor systems
- Capital planning and investment process that incorporates information security requirements

Executive Summary

- FCA's Chief Information Officer (CIO) and experienced IT team are proactive in their approach to information security.
- The IT team and system sponsors were responsive to suggestions made for improvement during the FISMA evaluation and, in many cases, the IT staff made immediate changes to strengthen the information security program.
- Of the 11 areas Office of Management and Budget (OMB) required OIGs to evaluate during 2014, FCA established a program in 10 of the areas that is consistent with National Institute of Standards and Technology's (NIST) and OMB's guidelines.
- We identified one area where improvements need to be made which resulted in an agreed-upon action:
 1. Continuous monitoring (see pages 4-5)

Introduction and Background

- The President signed into law the E-Government Act (Public Law 107-347), which includes Title III, Information Security, on December 17, 2002.
 - Title III permanently reauthorized the Government Information Security Reform Act of 2000 and renamed it the Federal Information Security Management Act (FISMA) of 2002.
 - The purpose of FISMA was to strengthen the security of the Federal government's information systems and develop minimum standards for agency systems.
- FISMA requires an agency's CIO and OIG to conduct annual assessments of the agency's information security program.
- OMB issued Memorandum M-15-01 with reporting instructions for complying with FISMA's annual reporting requirements and reporting on the agency's privacy management program. Results of the CIO and OIG assessments are reported to the OMB through CyberScope.
- Appendix A contains the IG Section Report as submitted to OMB through CyberScope.
- Appendix B describes the objectives, scope, and methodology used for this evaluation.

Continuous Monitoring Management

The Agency is in the process of developing an enterprise-wide continuous monitoring program that assesses the security state of information systems that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

OMB M-15-01 and M-14-03 require agencies to develop and maintain an information security continuous monitoring (ISCM) strategy and establish an ISCM program.

FCA's continuous monitoring program currently includes the following attributes:

- Continuous monitoring of controls at identified monitoring frequencies defined in the infrastructure security plan
- Malicious code protection
- Vulnerability scanning
- Log monitoring
- Notification of unauthorized devices
- Notification of changes or additions to sensitive accounts
- Ongoing monitoring of security alerts and updates from vendors and appropriate action
- Commitment to annual independent penetration test and resolving identified weaknesses as quickly as possible
- Commitment to periodic security tests and evaluations of major systems

However, FCA is in the process of developing an overarching enterprise-wide strategy for its continuous monitoring program. The requirements and expectations for continuous monitoring programs continue to evolve. FCA is monitoring progress in this area and plans to incorporate best practices implemented by other small agencies.

Agreed-upon Action:

1. The Office of Management Services (OMS) agreed to define, document, and implement an enterprise-wide information security continuous monitoring program consistent with OMB policy and NIST guidelines.

Configuration Management

The Agency established and maintains a configuration management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

FCA's security configuration management program includes the following attributes:

- Documented policies and procedures for configuration management
- Standard baseline configuration for workstations and servers
- Implementation of the United States Government Configuration Baseline (USGCB)
- Regular scanning of servers for vulnerabilities and compliance within the baseline configuration
- Controls to prevent unauthorized software
- Controls to prevent unauthorized devices
- Timely remediation of identified vulnerabilities
- Process for timely and secure installation of software patches
- Monitoring and analysis of critical security alerts to determine potential impact to FCA systems

Identity and Access Management

The Agency established and maintains an identity and access management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The account and identity management program identifies users and network devices and includes the following attributes:

- Documented policies and procedures for requesting, issuing, changing, and closing information system accounts
- Identifies and authenticates information system users before allowing access
- Detects unauthorized devices and disables connectivity
- Dual-factor authentication
- Strengthened controls over use of elevated privileges
- Information system accounts created, managed, monitored, and disabled by authorized personnel
- Periodic review of information system accounts to ensure access permissions provided to users are current and appropriate
- Controls to prevent, detect, or notify authorized personnel of suspicious account activity or devices

OIS performed an annual review of permissions to a major application as a result of an agreed-upon action in the 2013 FISMA evaluation. The purpose of the annual review is to ensure access is limited to authorized users.

Incident Response and Reporting

The Agency established and maintains an incident response and reporting program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The incident response and reporting program includes the following attributes:

- Documented policies and procedures
- Security awareness training and articles
- A 24 hour Helpline available to employees needing incident assistance
- A requirement that agency staff report within one hour to the OMS Helpline any IT equipment, personally identifiable information (PII), or sensitive information that is suspected to be missing, lost, or stolen
- During FY 2014, FCA had the following types of incidents:
 - Malware on laptops
 - Phishing email attempts
 - Misplaced or lost HSPD12 cards and smart phones (some lost phones and cards were recovered)
 - A laptop that was lost during shipping and later recovered
- Analysis was performed for each incident before responding appropriately and timely to minimize further damage
- A log was maintained of security incidents, and appropriate officials were notified depending on the nature of the incident

Risk Management

FCA established and maintains a risk management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The risk management program includes the following attributes:

- Addresses risk from organization, mission, business, and information system perspectives
- Information systems categorized based on Federal Information Processing Standards (FIPS) Publications 199 and Special Publications (SP) 800-60
- Security plans based on risk that identify minimum baseline controls selected, documented, and implemented
- Periodic assessments of controls through a combination of continuous monitoring, self-assessments, independent penetration tests, and independent security tests and evaluations
- Authorizing official considers risk of items identified during the certification process before signing the “Authorization to Operate”
- Regular communications with senior management

Security Training

The Agency established and maintains a security training program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The security training program includes the following attributes:

- Mandatory annual security awareness training for employees and contractors using small group sessions:
 - Cyber security and how it affects FCA
 - Protecting PII and sensitive information
 - Use of the internet, e-mail, and FCA network
 - Signs your computer has been compromised and steps to take
 - Standardized hardware and software
- Security training meeting with new employees
- New employees and contractors required to certify they have read and understand FCA's computer security policies and responsibilities after briefing by the IT Security Specialist
- Ongoing awareness program that includes e-mails and news alerts with security tips and notices of new threats
- Specialized training required for users with significant security responsibilities
- Identification and tracking of mandatory security training

Plans of Action & Milestones (POA&M)

The Agency established and maintains a POA&M program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The POA&M program tracks and monitors known information security weaknesses and includes the following attributes:

- Policy for developing plans of action and milestones
- Process for developing plans of corrective action for significant information security weaknesses and tracking their implementation
- Compensating controls until outstanding items are remediated

Remote Access Management

The Agency established and maintains a remote access program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The remote access program includes the following attributes:

- Policies and procedures for authorizing, monitoring, and controlling all methods of remote access
- Protection against unauthorized connections
- Virtual private network (VPN) for secure encrypted transmission of data outside of the Agency's network
- Encryption on local hard drives and USB drives to protect sensitive data and PII
- Forced encryption when creating CDs and DVDs
- Security policy and device management for Agency smart phones and authorized personal devices
- Remote contractor access for diagnostic purposes tightly controlled and closely supervised by IT staff

Contingency Planning

The Agency established and maintains an enterprise-wide business continuity/disaster recovery program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines.

The contingency planning program includes the following attributes:

- Business continuity plan and disaster recovery plan periodically updated to support the restoration of essential operations and systems after a disruption or failure
- Alternative processing site with essential systems successfully activated during a government wide test
- Backup strategy includes daily and weekly backups of data and systems
- Off-site storage and encryption for backups
- Disaster recovery documentation maintained offsite that contains critical software and procedures needed to recreate systems
- Employee notification system used to alert employees of office closings and other events

Contractor Systems

The Agency established and maintains a program to oversee systems operated on its behalf by contractors or other entities, including Agency systems and services residing in the cloud external to the Agency.

The contractor system oversight program includes the following attributes:

- Written agreements for contractor systems and interconnections
- Updated inventory of contractor systems and interconnections
- Security plans for contractor systems reviewed and updated annually
- Due diligence reviews performed and security controls monitored for the outsourced financial, payroll, and personnel systems
- Site visits to review security documentation and verify financial system providers employed adequate security measures to protect data, applications, and services
- User accounts and privileges periodically reviewed for outsourced financial, payroll, and personnel systems

OMS strengthened its oversight of an outsourced personnel system as a result of an agreed-upon action in the 2013 FISMA evaluation.

Security Capital Planning

The Agency established and maintains a security program that is integrated with the information technology capital planning and investment program.

The program includes the following attributes:

- Policies and procedures that stress importance of information security and protecting sensitive information
- Capital planning and investment process that incorporates information security requirements
- Enterprise architecture that ensures IT investments support core business functions and provides security standards
- Information security resources are available as planned

Appendix A: OIG Section Report in CyberScope

Inspector General

Section Report

2014

Annual FISMA
Report

Farm Credit Administration

Section 1: Continuous Monitoring Management

- 1.1 Has the organization established an enterprise-wide continuous monitoring program that assesses the security state of information systems that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?**

No

Comments:

The Agency is in the process of developing an enterprise-wide continuous monitoring program that assesses the security state of information systems that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines. The requirements and expectations for continuous monitoring programs continue to evolve. FCA is monitoring progress in this area and plans to incorporate best practices implemented by other small agencies.

- 1.1.1 Documented policies and procedures for continuous monitoring (NIST SP 800-53: CA-7).**

Yes

- 1.1.2 Documented strategy for information security continuous monitoring (ISCM).**

No

- 1.1.3 Implemented ISCM for information technology assets.**

No

- 1.1.4 Evaluate risk assessments used to develop their ISCM strategy.**

No

- 1.1.5 Conduct and report on ISCM results in accordance with their ISCM strategy.**

No

- 1.1.6 Ongoing assessments of security controls (system-specific, hybrid, and common) that have been performed based on the approved continuous monitoring plans (NIST SP 800-53, 800-53A).**

No

- 1.1.7 Provides authorizing officials and other key system officials with security status reports covering updates to security plans and security assessment reports, as well as a common and consistent POA&M program that is updated with the frequency defined in the strategy and/or plans (NIST SP 800-53, 800-53A).**

Yes

Section 1: Continuous Monitoring Management

- 1.2 Please provide any additional information on the effectiveness of the organization's Continuous Monitoring Management Program that was not noted in the questions above.

n/a

Section 2: Configuration Management

- 2.1 Has the organization established a security configuration management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

- 2.1.1 Documented policies and procedures for configuration management.

Yes

- 2.1.2 Defined standard baseline configurations.

Yes

- 2.1.3 Assessments of compliance with baseline configurations.

Yes

- 2.1.4 Process for timely (as specified in organization policy or standards) remediation of scan result deviations.

Yes

- 2.1.5 For Windows-based components, USGCB secure configuration settings are fully implemented, and any deviations from USGCB baseline settings are fully documented.

Yes

- 2.1.6 Documented proposed or actual changes to hardware and software configurations.

Yes

- 2.1.7 Process for timely and secure installation of software patches.

Yes

Section 2: Configuration Management

2.1.8 Software assessing (scanning) capabilities are fully implemented (NIST SP 800-53: RA-5, SI-2).

No

Comments:

Servers and network devices are periodically scanned for compliance with the baseline configuration. However, a risk based decision was made to not implement routine scanning of workstations and printers for compliance with FCA's baseline configuration. A cost benefit analysis with consideration of compensating controls was an integral part of the decision.

2.1.9 Configuration-related vulnerabilities, including scan findings, have been remediated in a timely manner, as specified in organization policy or standards. (NIST SP 800-53: CM-4, CM-6, RA-5, SI-2)

Yes

2.1.10 Patch management process is fully developed, as specified in organization policy or standards. (NIST SP 800-53: CM-3, SI-2).

Yes

2.2 Please provide any additional information on the effectiveness of the organization's Configuration Management Program that was not noted in the questions above.

n/a

2.3 Does the organization have an enterprise deviation handling process and is it integrated with the automated capability.

No

Comments:

Servers and network devices are periodically scanned for compliance with the baseline configuration. However, a risk based decision was made to not implement routine scanning of workstations and printers for compliance with FCA's baseline configuration. A cost benefit analysis with consideration of compensating controls was an integral part of the decision.

2.3.1 Is there a process for mitigating the risk introduced by those deviations?

Yes

Section 3: Identity and Access Management

3.1 Has the organization established an identity and access management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines and identifies users and network devices? Besides the improvement opportunities that have been identified by the OIG, does the program include the following attributes?

Yes

Section 3: Identity and Access Management

- 3.1.1 Documented policies and procedures for account and identity management (NIST SP 800-53: AC-1).
Yes
- 3.1.2 Identifies all users, including Federal employees, contractors, and others who access organization systems (NIST SP 800-53, AC-2).
Yes
- 3.1.3 Identifies when special access requirements (e.g., multi-factor authentication) are necessary.
Yes
- 3.1.4 If multi-factor authentication is in use, it is linked to the organization's PIV program where appropriate (NIST SP 800-53, IA-2).
Yes
- 3.1.5 Organization has planned for implementation of PIV for logical access in accordance with government policies (HSPD 12, FIPS 201, OMB M-05-24, OMB M-07-06, OMB M-08-01, OMB M-11-11).
Yes
- 3.1.6 Organization has adequately planned for implementation of PIV for physical access in accordance with government policies (HSPD 12, FIPS 201, OMB M-05-24, OMB M-07-06, OMB M-08-01, OMB M-11-11).
Yes
- 3.1.7 Ensures that the users are granted access based on needs and separation-of-duties principles.
Yes
- 3.1.8 Identifies devices with IP addresses that are attached to the network and distinguishes these devices from users (For example: IP phones, faxes, and printers are examples of devices attached to the network that are distinguishable from desktops, laptops, or servers that have user accounts).
Yes
- 3.1.9 Identifies all user and non-user accounts. (Refers to user accounts that are on a system. Data user accounts are created to pull generic information from a database or a guest/anonymous account for generic login purposes. They are not associated with a single user or a specific group of users.)
Yes
- 3.1.10 Ensures that accounts are terminated or deactivated once access is no longer required.
Yes

Section 3: Identity and Access Management

3.1.11 Identifies and controls use of shared accounts.

Yes

3.2 Please provide any additional information on the effectiveness of the organization's Identity and Access Management Program that was not noted in the questions above.

n/a

Section 4: Incident Response and Reporting

4.1 Has the organization established an incident response and reporting program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

4.1.1 Documented policies and procedures for detecting, responding to, and reporting incidents (NIST SP 800-53: IR-1).

Yes

4.1.2 Comprehensive analysis, validation and documentation of incidents.

Yes

4.1.3 When applicable, reports to US-CERT within established timeframes (NIST SP 800-53, 800-61, and OMB M-07-16, M-06-19).

Yes

4.1.4 When applicable, reports to law enforcement within established timeframes (NIST SP 800-61).

Yes

4.1.5 Responds to and resolves incidents in a timely manner, as specified in organization policy or standards, to minimize further damage (NIST SP 800-53, 800-61, and OMB M-07-16, M-06-19).

Yes

4.1.6 Is capable of tracking and managing risks in a virtual/cloud environment, if applicable.

Yes

4.1.7 Is capable of correlating incidents.

Yes

Section 4: Incident Response and Reporting

4.1.8 Has sufficient incident monitoring and detection coverage in accordance with government policies (NIST SP 800-53, 800-61; OMB M-07-16, M-06-19).

Yes

4.2 Please provide any additional information on the effectiveness of the organization's Incident Management Program that was not noted in the questions above.

n/a

Section 5: Risk Management

5.1 Has the organization established a risk management program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

5.1.1 Documented policies and procedures for risk management, including descriptions of the roles and responsibilities of participants in this process.

Yes

5.1.2 Addresses risk from an organization perspective with the development of a comprehensive governance structure and organization-wide risk management strategy as described in NIST SP 800-37, Rev.1.

Yes

5.1.3 Addresses risk from a mission and business process perspective and is guided by the risk decisions from an organizational perspective, as described in NIST SP 800-37, Rev. 1.

Yes

5.1.4 Addresses risk from an information system perspective and is guided by the risk decisions from an organizational perspective and the mission and business perspective, as described in NIST SP 800-37, Rev. 1.

Yes

5.1.5 Has an up-to-date system inventory.

Yes

5.1.6 Categorizes information systems in accordance with government policies.

Yes

Section 5: Risk Management

- 5.1.7 Selects an appropriately tailored set of baseline security controls.
Yes
- 5.1.8 Implements the tailored set of baseline security controls and describes how the controls are employed within the information system and its environment of operation.
Yes
- 5.1.9 Assesses the security controls using appropriate assessment procedures to determine the extent to which the controls are implemented correctly, operating as intended, and producing the desired outcome with respect to meeting the security requirements for the system.
Yes
- 5.1.10 Authorizes information system operation based on a determination of the risk to organizational operations and assets, individuals, other organizations, and the Nation resulting from the operation of the information system and the decision that this risk is acceptable.
Yes
- 5.1.11 Ensures information security controls are monitored on an ongoing basis, including assessing control effectiveness, documenting changes to the system or its environment of operation, conducting security impact analyses of the associated changes, and reporting the security state of the system to designated organizational officials.
Yes
- 5.1.12 Information-system-specific risks (tactical), mission/business-specific risks, and organizational-level (strategic) risks are communicated to appropriate levels of the organization.
Yes
- 5.1.13 Senior officials are briefed on threat activity on a regular basis by appropriate personnel (e.g., CISO).
Yes
- 5.1.14 Prescribes the active involvement of information system owners and common control providers, chief information officers, senior information security officers, authorizing officials, and other roles as applicable in the ongoing management of information-system-related security risks.
Yes
- 5.1.15 Security authorization package contains system security plan, security assessment report, and POA&M in accordance with government policies. (NIST SP 800-18, SP 800-37).
Yes

Section 5: Risk Management

5.1.16 Security authorization package contains accreditation boundaries, defined in accordance with government policies, for organization information systems.

Yes

5.2 Please provide any additional information on the effectiveness of the organization's Risk Management Program that was not noted in the questions above.

n/a

Section 6: Security Training

6.1 Has the organization established a security training program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

6.1.1 Documented policies and procedures for security awareness training (NIST SP 800-53: AT-1).

Yes

6.1.2 Documented policies and procedures for specialized training for users with significant information security responsibilities.

Yes

6.1.3 Security training content based on the organization and roles, as specified in organization policy or standards.

Yes

6.1.4 Identification and tracking of the status of security awareness training for all personnel (including employees, contractors, and other organization users) with access privileges that require security awareness training.

Yes

6.1.5 Identification and tracking of the status of specialized training for all personnel (including employees, contractors, and other organization users) with significant information security responsibilities that require specialized training.

Yes

6.1.6 Training material for security awareness training contains appropriate content for the organization (NIST SP 800-50,800-53).

Yes

Section 6: Security Training

6.2 Please provide any additional information on the effectiveness of the organization's Security Training Program that was not noted in the questions above.

n/a

Section 7: Plan Of Action & Milestones (POA&M)

7.1 Has the organization established a POA&M program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines and tracks and monitors known information security weaknesses? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

7.1.1 Documented policies and procedures for managing IT security weaknesses discovered during security control assessments and that require remediation.

Yes

7.1.2 Tracks, prioritizes, and remediates weaknesses.

Yes

7.1.3 Ensures remediation plans are effective for correcting weaknesses.

Yes

7.1.4 Establishes and adheres to milestone remediation dates.

Yes

7.1.5 Ensures resources and ownership are provided for correcting weaknesses.

Yes

7.1.6 POA&Ms include security weaknesses discovered during assessments of security controls and that require remediation (do not need to include security weakness due to a risk-based decision to not implement a security control) (OMB M-04-25).

Yes

7.1.7 Costs associated with remediating weaknesses are identified (NIST SP 800-53, Rev. 3, Control PM-3 and OMB M-04-25).

Yes

Section 7: Plan Of Action & Milestones (POA&M)

7.1.8 Program officials report progress on remediation to CIO on a regular basis, at least quarterly, and the CIO centrally tracks, maintains, and independently reviews/validates the POA&M activities at least quarterly (NIST SP 800-53, Rev. 3, Control CA-5; OMB M-04-25).

Yes

7.2 Please provide any additional information on the effectiveness of the organization's POA&M Program that was not noted in the questions above.

n/a

Section 8: Remote Access Management

8.1 Has the organization established a remote access program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

8.1.1 Documented policies and procedures for authorizing, monitoring, and controlling all methods of remote access (NIST 800-53: AC-1, AC-17).

Yes

8.1.2 Protects against unauthorized connections or subversion of authorized connections.

Yes

8.1.3 Users are uniquely identified and authenticated for all access (NIST SP 800-46, Section 4.2, Section 5.1).

Yes

8.1.4 Telecommuting policy is fully developed (NIST SP 800-46, Section 5.1).

Yes

8.1.5 If applicable, multi-factor authentication is required for remote access (NIST SP 800-46, Section 2.2, Section 3.3).

Yes

8.1.6 Authentication mechanisms meet NIST SP 800-63 guidance on remote electronic authentication, including strength mechanisms.

Yes

Section 8: Remote Access Management

8.1.7 Defines and implements encryption requirements for information transmitted across public networks.

Yes

8.1.8 Remote access sessions, in accordance with OMB M-07-16, are timed-out after 30 minutes of inactivity, after which re-authentication is required.

Yes

8.1.9 Lost or stolen devices are disabled and appropriately reported (NIST SP 800-46, Section 4.3, US-CERT Incident Reporting Guidelines).

Yes

8.1.10 Remote access rules of behavior are adequate in accordance with government policies (NIST SP 800-53, PL-4).

Yes

8.1.11 Remote access user agreements are adequate in accordance with government policies (NIST SP 800-46, Section 5.1, NIST SP 800-53, PS-6).

Yes

8.2 Please provide any additional information on the effectiveness of the organization's Remote Access Management that was not noted in the questions above.

n/a

8.3 Does the organization have a policy to detect and remove unauthorized (rogue) connections?

Yes

Section 9: Contingency Planning

9.1 Has the organization established an enterprise-wide business continuity/disaster recovery program that is consistent with FISMA requirements, OMB policy, and applicable NIST guidelines? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?

Yes

9.1.1 Documented business continuity and disaster recovery policy providing the authority and guidance necessary to reduce the impact of a disruptive event or disaster (NIST SP 800-53: CP-1).

Yes

Section 9: Contingency Planning

- 9.1.2 The organization has incorporated the results of its system's Business Impact Analysis (BIA) into the analysis and strategy development efforts for the organization's Continuity of Operations Plan (COOP), Business Continuity Plan (BCP), and Disaster Recovery Plan (DRP) (NIST SP 800-34).
Yes
- 9.1.3 Development and documentation of division, component, and IT infrastructure recovery strategies, plans and procedures (NIST SP 800-34).
Yes
- 9.1.4 Testing of system specific contingency plans.
Yes
- 9.1.5 The documented BCP and DRP are in place and can be implemented when necessary (FCD1, NIST SP 800-34).
Yes
- 9.1.6 Development of test, training, and exercise (TT&E) programs (FCD1, NIST SP 800-34, NIST SP 800-53).
Yes
- 9.1.7 Testing or exercising of BCP and DRP to determine effectiveness and to maintain current plans.
Yes
- 9.1.8 After-action report that addresses issues identified during contingency/disaster recovery exercises (FCD1, NIST SP 800-34).
Yes
- 9.1.9 Systems that have alternate processing sites (FCD1, NIST SP 800-34, NIST SP 800-53).
Yes
- 9.1.10 Alternate processing sites are not subject to the same risks as primary sites (FCD1, NIST SP 800-34, NIST SP 800-53).
Yes
- 9.1.11 Backups of information that are performed in a timely manner (FCD1, NIST SP 800-34, NIST SP 800-53).
Yes
- 9.1.12 Contingency planning that considers supply chain threats.
Yes

Section 9: Contingency Planning

9.2 Please provide any additional information on the effectiveness of the organization's Contingency Planning Program that was not noted in the questions above.

n/a

Section 10: Contractor Systems

10.1 Has the organization established a program to oversee systems operated on its behalf by contractors or other entities, including organization systems and services residing in the cloud external to the organization? Besides the improvement opportunities that may have been identified by the OIG, does the program includes the following attributes?

Yes

10.1.1 Documented policies and procedures for information security oversight of systems operated on the organization's behalf by contractors or other entities, including organization systems and services residing in a public cloud.

Yes

10.1.2 The organization obtains sufficient assurance that security controls of such systems and services are effectively implemented and comply with Federal and organization guidelines (NIST SP 800-53: CA-2).(Base)

Yes

10.1.3 A complete inventory of systems operated on the organization's behalf by contractors or other entities, including organization systems and services residing in a public cloud.

Yes

10.1.4 The inventory identifies interfaces between these systems and organization-operated systems (NIST SP 800-53: PM-5).

Yes

10.1.5 The organization requires appropriate agreements (e.g., MOUs, Interconnection Security Agreements, contracts, etc.) for interfaces between these systems and those that it owns and operates.

Yes

10.1.6 The inventory of contractor systems is updated at least annually.

Yes

10.1.7 Systems that are owned or operated by contractors or entities, including organization systems and services residing in a public cloud, are compliant with FISMA requirements, OMB policy, and applicable NIST guidelines.

Yes

Section 10: Contractor Systems

- 10.2 Please provide any additional information on the effectiveness of the organization's Contractor Systems Program that was not noted in the questions above.
n/a

Section 11: Security Capital Planning

- 11.1 Has the organization established a security capital planning and investment program for information security? Besides the improvement opportunities that may have been identified by the OIG, does the program include the following attributes?
Yes
- 11.1.1 Documented policies and procedures to address information security in the capital planning and investment control (CPIC) process.
Yes
 - 11.1.2 Includes information security requirements as part of the capital planning and investment process.
Yes
 - 11.1.3 Establishes a discrete line item for information security in organizational programming and documentation (NIST SP 800-53: SA-2).
Yes
 - 11.1.4 Employs a business case/Exhibit 300/Exhibit 53 to record the information security resources required (NIST SP 800-53: PM-3).
Yes
 - 11.1.5 Ensures that information security resources are available for expenditure as planned.
Yes
- 11.2 Please provide any additional information on the effectiveness of the organization's Security Capital Planning Program that was not noted in the questions above.
n/a

REPORT

Fraud | Waste | Abuse | Mismanagement



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