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| FedRAMP System Security Plan (SSP)    Microsoft  Office 365 DoD SSP  Version #  Date |



System Security Plan

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How to contact us

For questions about FedRAMP, or for technical questions about this document including how to use it, contact [*info@FedRAMP.gov*](mailto:info@fedramp.gov)

For more information about the FedRAMP project, see [www.FedRAMP.gov](http://www.fedramp.gov)

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System Security Plan Approvals

Cloud Service Provider Signatures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | | | |
| Name | Greg Roberts | | Date |  |
| Title | Authorizing Official Microsoft | | | |
| Cloud Service Provider | | Microsoft | | |
|  | | | | |
|  | | | | |
|  | | | | |
| Name | Shawn Veney | | Date |  |
| Title | Information System Security Officer | | | |
| Cloud Service Provider | | Microsoft | | |
|  | | | | |
|  | | | | |
|  | | | | |
| Name |  | | Date |  |
| Title |  | | | |
| Cloud Service Provider | |  | | |
|  | |  | | |

# Information System Name/Title

This System Security Plan provides an overview of the security requirements for Office 365 and describes the controls in place or planned for implementation to provide a level of security appropriate for storing and processing DoD controlled unclassified information, including National Security Systems (NSS) according to the DoD Cloud Computing Security Requirements Guide (SRG), version 1, release 3, dated March 6, 2017 the information to be transmitted, processed or stored by the system. Information security is vital to our critical infrastructure and its effective performance and protection is a key component of our national security program. Proper management of information technology systems is essential to ensure the confidentiality, integrity and availability of the data transmitted, processed or stored by Office 365.

The security safeguards implemented for the Office 365 system meet the policy and control requirements set forth in this System Security Plan. All systems are subject to monitoring consistent with applicable laws, regulations, agency policies, procedures and practices.

Table 1‑1. Information System Name and Title

| Unique Identifier | Information System Name | Information System Abbreviation |
| --- | --- | --- |
| F1402113099 | Office 365 (Formerly “Office 365 with ITAR – Defense”) | Office 365 DoD (Formerly “Office 365 with ITAR – Defense”) |

# Information System Categorization

The overall information system sensitivity categorization is recorded in Table 2‑1. Security Categorization that follows. Directions for attaching the FIPS 199 document may be found in the following section: **Attachment 10. FIPS 199**.

Table 2‑1. Security Categorization

|  |  |
| --- | --- |
| System Sensitivity Level: | High (H) |

This document categorizes the Cloud Service Offering (CSO) according to the FIPS Publication 199, *Standards for Security Categorization of Federal Information and Information Systems*. Although related, all DoD system must be categorized according to the CNSSI 1253– which maintains impact ratings of the three information assurance tenets. The DoD Cloud Security SRG bases the set of controls on CNSSI 1253 Moderate Confidentiality and Moderate Integrity security protections, but leaves the Availability impact rating to agreements between the Mission Owner and the Cloud Security Provider. Unlike the FIPS 199 system categorization based on the “high watermark” of the three information assurance tenets, CNSSI 1253 maintains the three ratings separately.

## Information Types

This section describes how the information types used by the information system are categorized for confidentiality, integrity and availability sensitivity levels.

The following tables identify the information types that are input, stored, processed and/or output from Office 365. The selection of the information types is based on guidance provided by Office of Management and Budget (OMB) Federal Enterprise Architecture Program Management Office Business Reference Model 2.0 and FIPS Pub 199, Standards for Security Categorization of Federal Information and Information Systems which is based on NIST Special Publication (SP) 800-60, Guide for Mapping Types of Information and Information Systems to Security Categories.

The tables also identify the security impact levels for confidentiality, integrity and availability for each of the information types expressed as low, moderate, or high. The security impact levels are based on the potential impact definitions for each of the security objectives (i.e., confidentiality, integrity and availability) discussed in NIST SP 800-60 and FIPS Pub 199.

The potential impact is low if—

* The loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
* A limited adverse effect means that, for example, the loss of confidentiality, integrity, or availability might: (i) cause a degradation in mission capability to an extent and duration that the organization is able to perform its primary functions, but the effectiveness of the functions is noticeably reduced; (ii) result in minor damage to organizational assets; (iii) result in minor financial loss; or (iv) result in minor harm to individuals.

The potential impact is moderate if—

* The loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
* A serious adverse effect means that, for example, the loss of confidentiality, integrity, or availability might: (i) cause a significant degradation in mission capability to an extent and duration that the organization is able to perform its primary functions, but the effectiveness of the functions is significantly reduced; (ii) result in significant damage to organizational assets; (iii) result in significant financial loss; or (iv) result in significant harm to individuals that does not involve loss of life or serious life threatening injuries.

The potential impact is high if—

* The loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.
* A severe or catastrophic adverse effect means that, for example, the loss of confidentiality, integrity, or availability might: (i) cause a severe degradation in or loss of mission capability to an extent and duration that the organization is not able to perform one or more of its primary functions; (ii) result in major damage to organizational assets; (iii) result in major financial loss; or (iv) result in severe or catastrophic harm to individuals involving loss of life or serious life threatening injuries.

Table 2‑2. Sensitivity Categorization of Information Types

| **Information Type**  **(Use only information types from NIST SP 800-60, Volumes I and II**  **as amended)** | **NIST 800-60 identifier for Associated Information Type** | **Confidentiality** | **Integrity** | **Availability** |
| --- | --- | --- | --- | --- |
| System Development | C.3.5.1 | Low (L) | Moderate (M) | Low (L) |
| Lifecycle/Change Management | C.3.5.2 | Low (L) | Moderate (M) | Low (L) |
| System Maintenance | C.3.5.3 | Low (L) | Moderate (M) | Low (L) |
| IT Infrastructure Maintenance | C.3.5.4 | Low (L) | Low (L) | Low (L) |
| Information Security | C.3.5.5 | Low (L) | Moderate (M) | Moderate (M) |
| Record Retention | C.3.5.6 | Low (L) | Low (L) | Low (L) |
| Information Management | C.3.5.7 | Low (L) | Moderate (M) | Low (L) |
| System and Network Monitoring | C.3.5.8 | Moderate (M) | Moderate (M) | Low (L) |
| Information Sharing | C.3.5.9 | Low (L) | Low (L) | Moderate (M) |

### DoD Impact Levels

Per the DoD Cloud Computing (CC) SRG, the DoD has established four Information Impact Levels based on information sensitivity level and the potential impact should the confidentiality or integrity of the information be compromised. This SSP addendum document covers those additional security controls for Information Impact Levels 4 & 5 as defined in the DoD CC SRG. Information Impact Level 4 cloud offerings house and/or process sensitive or controlled unclassified information (CUI) deemed to require protection from unauthorized disclosure as established by Executive Order (EO) 13556, Controlled Unclassified Information (November 2010) , Part 2002 of 32 CFR , the CUI Registry and DoDM 5200.01, Vol 4. Information Impact Level 5 cloud offerings house and/or process sensitive or controlled unclassified information (CUI) deemed to require a high level of security protections suitable for National Security Systems (NSS). Using the IA model of confidentiality, integrity, and availability (C-I-A), the Information Impact Level 4 & 5 data has a moderate confidentiality level of impact and a moderate integrity level. The availability level of impact is open for this (as it is for all) Information Impact Level and is subject to determination by the data owner or customer, and may be specified in the service level agreement (SLA) between the CSP and the specific customer of the cloud service and assessed as part of the operational assessment leading to authorization to operate the DoD mission. However, it is expected that the CSO will at least meet the availability security controls resident in the FedRAMP High baseline. Therefore, the DoD assessment considers the capability of the CSO to meet the levels of service that might be in these SLAs through applicable security controls.

### 2.1.2. Level 4: Controlled Unclassified Information

Level 4 accommodates unclassified information that under law or policy requires protection from unauthorized disclosure as established by Executive Order 13556 (November 2010) or other mission critical data (controlled unclassified information (CUI)) but does not rise to the designation of National Security System (NSS) information (or similar higher level of protection).

See Section 2 - DoD FedRAMP+ Security Controls/Enhancements in the SRG for selected controls for L4.

### 2.1.3. Level 5: Controlled Unclassified Information

Level 5 accommodates CUI that requires a higher level of protection as deemed necessary by the

information owner, public law, or other government regulations. Level 5 also supports

unclassified National Security Systems (NSSs) due to the inclusion of NSS specific requirements

in the FedRAMP+ controls/control enhancements (C/CEs). As such, NSS must be implemented

at Level 5.

See Section 2 - DoD FedRAMP+ Security Controls/Enhancements in the SRG for selected controls for L5.

## Security Objectives Categorization (FIPS 199) (CNSSI 1253)[[1]](#footnote-2)

Based on the information provided in Table 2‑2. Sensitivity Categorization of Information Types, for Office 365, default to the high-water mark for the Information Types as identified in Table 2‑3. Security Impact Level below.[[2]](#footnote-3)

Table ‑. Security Impact Level

| Security Objective | Low, Moderate or High |
| --- | --- |
| Confidentiality | High (H) |
| Integrity | High (H) |
| Availability | High (H) |

Through review and analysis, it has been determined that the baseline CNSS 1253 security categorization for Office 365 system is listed in the Table 2‑4. Baseline Security Configuration that follows.

Table 2‑4. Baseline Security Configuration

|  |  |
| --- | --- |
| Office 365 Security Categorization | High (H) |

Using this categorization, in conjunction with the risk assessment and any unique security requirements, we have established the security controls for this system, as detailed in this SSP.

## Digital Identity Determination

The digital identity information may be found in Attachment 3, Digital Identity Worksheet.

Note: NIST SP 800-63-3, Digital Identity Guidelines, does not recognize the four Levels of Assurance model previously used by federal agencies and described in OMB M-04-04, instead requiring agencies to individually select levels corresponding to each function being performed.

The digital identity level is Level 3: AAL3, IAL3, FAL3

# Information System Owner

The following individual is identified as the system owner or functional proponent/advocate for this system.

Table 3‑1. Information System Owner

| Information System Owner Information | |
| --- | --- |
| * Name | Greg Roberts |
| * Title | Microsoft Office 365 Principal Group Program Manager |
| * Company / Organization | Microsoft / Office 365 |
| * Address | 1 Microsoft Way, Redmond, WA |
| * Phone Number | +1 (425) 722-6538 |
| * Email Address | groberts@microsoft.com |

In addition to the system owner identified above, a DoD assessment requires an Air Force/DLA advocate to sponsor the NIPRNet connection (through the DoD Cloud Access Point (CAP)) and to indicate that the priority status of the CSO to meet one or more DoD mission needs. It is expected that an Air Force/DLA component sponsor/advocate is willing to provide resources in support of the DoD FedRAMP High assessment. This may be the same or different DoD organization(s). Table 3-2 identifies the NIPRNet connection sponsor and Table 3-3 identifies the DoD organizational sponsor/advocate[[3]](#footnote-4).

***Table 3- 2 DoD NIPRNet Connection Sponsor***

|  |  |
| --- | --- |
| Name | Keith Strandell / Michael Sides |
| Title |  |
| DoD Organization | Air Force / DLA |
| Address |  |
| Phone Number |  |
| Email Address | [Keith.strandell.3@us.af.mil](mailto:Keith.strandell.3@us.af.mil) / [Michael.sides@dla.mil](mailto:Michael.sides@dla.mil) |

***Table 3- 3 DoD CSO Sponsor/Advocate***

|  |  |
| --- | --- |
| Name | Keith Strandell / Michael Sides |
| Title |  |
| DoD Organization | Air Force / DLA |
| Address |  |
| Phone Number |  |
| Email Address | [Keith.strandell.3@us.af.mil](mailto:Keith.strandell.3@us.af.mil) / [Michael.sides@dla.mil](mailto:Michael.sides@dla.mil) |

# Authorizing Officials

The Authorizing Official (AO) or Designated Approving Authority (DAA) for this information system is Roger S. Greenwell, Chief, Cybersecurity / Authorizing Official - Defense Information Systems Agency Risk Management Executive's Office, and Joseph F. Klimavicz, Chief Information Officer, Department of Justice. The DoD Authorizing Official for this DoD assessment is the DISA AO, Roger S. Greenwell, Chief, Cybersecurity / Authorizing Official - Defense Information Systems Agency Risk Management Executive's Office.

# Other Designated Contacts

The following individual(s) identified below possess in-depth knowledge of this system and/or its functions and operation.

Table 5‑1. Information System Management Point of Contact

| Information System Management Point of Contact | |
| --- | --- |
| Name | Melodi Crowley |
| Title | Principal Program Manager |
| Company / Organization | Microsoft / Office 365 Foundation |
| Address | 1 Microsoft Way, Redmond, WA 980521 |
| Phone Number | +1 (425) 722-8363 |
| Email Address | mcrowley@microsoft.com |

| Information System Management Point of Contact | |
| --- | --- |
| Name | Brittany Smith |
| Title | Sr. Program Manager |
| Company / Organization | Microsoft / Office 365 Foundation |
| Address | 1 Microsoft Way, Redmond, WA 980521 |
| Phone Number | +1 (425) 705-4258 |
| Email Address | Brittany.Smith@microsoft.com |

Table 5‑2. Information System Technical Point of Contact

| Information System Technical Point of Contact | |
| --- | --- |
| Name | Shawn Veney |
| Title | O365 Principal Architect |
| Company / Organization | Microsoft/ Office 365 Foundation |
| Address | 1 Microsoft Way, Redmond, WA 98052 |
| Phone Number | +1 (425) 706--9386 |
| Email Address | shawnven@microsoft.com |

| Point of Contact | |
| --- | --- |
| Name | Brittany Smith |
| Title | Sr. Program Manager |
| Company / Organization | Microsoft / Office 365 Foundation |
| Address | 1 Microsoft Way, Redmond, WA 980521 |
| Phone Number | +1 (425) 705-4258 |
| Email Address | Brittany.Smith@microsoft.com |

# Assignment of Security Responsibility

The Information System Security Officers (ISSO), or their equivalent, identified below, have been appointed in writing and are deemed to have significant cyber and operational role responsibilities.

Table 6‑1. Microsoft Internal ISSO (or Equivalent) Point of Contact

| **Microsoft Internal ISSO (or Equivalent) Point of Contact** | |
| --- | --- |
| Name | Shawn Veney |
| Title | O365 Principal Architect |
| Company / Organization | Microsoft/ Office 365 Foundation |
| Address | 1 Microsoft Way, Redmond, WA 98052 |
| Phone Number | +1 (425) 706--9386 |
| Email Address | shawnven@microsoft.com |

Table 6‑2. AO Point of Contact

| AO Point of Contact | |
| --- | --- |
| Name | Roger S. Greenwell |
| Title | Chief, Cybersecurity / Authorizing Official |
| Organization | Defense Information Systems Agency Risk Management Executive’s Office |
| Address | P.O. Box 549, Fort Meade, MD 20755 |
| Phone Number | N/A |
| Email Address | N/A |

# Information System Operational Status

The system is currently in the life-cycle phase shown in Table 7‑1. System Status that follows. (Only operational systems can be granted an ATO).

Table 7‑1. System Status

| **System Status** | | |
| --- | --- | --- |
| ☒ | Operational | The system is operating and in production. |
| ☐ | Under Development | The system is being designed, developed, or implemented |
| ☐ | Major Modification | The system is undergoing a major change, development, or transition. |
| ☐ | Other | Explain: |

# Information System Type

Office 365 makes use of unique managed service provider architecture layer(s).

## Cloud Service Models

Information systems, particularly those based on cloud architecture models, are made up of different service layers. Below are some questions that help the system owner determine if their system is a cloud followed by specific questions to help the system owner determine the type of cloud.

| **Question (Yes/No)** | **Conclusion** |
| --- | --- |
| Does the system use virtual machines? | A no response means that system is most likely not a cloud. |
| Does the system have the ability to expand its capacity to meet customer demand? | A no response means that the system is most likely not a cloud. |
| Does the system allow the consumer to build anything other than servers? | A no response means that the system is an IaaS. A yes response means that the system is either a PaaS or a SaaS. |
| Does the system offer the ability to create databases? | A yes response means that the system is a PaaS. |
| Does the system offer various developer toolkits and APIs? | A yes response means that the system is a PaaS. |
| Does the system offer only applications that are available by obtaining a login? | A yes response means that system is a SaaS. A no response means that the system is either a PaaS or an IaaS. |

The layers of Office 365 defined in this SSP are indicated in Table 8‑1. Service Layers Represented in this SSP that follows.

Table 8‑1. Service Layers Represented in this SSP

| **Service Provider Architecture Layers** | | |
| --- | --- | --- |
| ☒ | Software as a Service (SaaS) | Major Application |
| ☐ | Platform as a Service (PaaS) | Major Application |
| ☐ | Infrastructure as a Service (IaaS) | General Support System |
| ☐ | Other | Explain: |

Note: Refer to NIST SP 800-145 for information on cloud computing architecture models.

Throughout this SSP, the CSP must clearly delineate responsibility for security between the CSO and the Mission Owner (customer), which depends on how the CSP presents the security features it supports in the CSO. Under IaaS the Mission Owner is fully responsible for securing the guest operating systems and applications that they build; the CSP will be responsible for securing the virtualization OS (i.e., hypervisor) and supporting infrastructure. Under PaaS, the Mission Owner is fully responsible for securing the guest operating systems and the platform applications and applications that they build. Depending upon how the CSP presents the security features it supports in the CSO, the delineation of responsibility may partially shift from the Mission Owner to the CSP with respect to the guest operating systems and the platform applications. The CSP might take responsibility for securing these areas of a PaaS CSO as part of the core service or as an add-on component. The CSP should explain any customer responsibilities in each applicable control implementation solution description.

## Cloud Deployment Models[[4]](#footnote-5)

Information systems are made up of different deployment models. The deployment models of Office 365 that are defined in this SSP and are not leveraged by any other FedRAMP Authorizations, are indicated in Table 8‑2. Cloud Deployment Model Represented in this SSP that follows. In order for a CSO to be approved for Levels 4 & 5 information processing, only DoD and Federal government tenants and users are allowed. Any other cloud service customer (or corporate tenant) must be on a physically different offering, including the underlying infrastructure[[5]](#footnote-6). Infrastructure (as related to cloud services), is the physical hardware (i.e., server platforms and storage), and the network interconnecting the hardware that supports the cloud service and its virtualization technology (if used). This includes the systems and networks used by the CSO to manage the infrastructure[[6]](#footnote-7). The CSP allows the following tenants and users within the system boundary of the CSO as described in table 8-2-1.

| Service Provider Cloud Deployment Model | | |
| --- | --- | --- |
| ☐ | Public | Cloud services and infrastructure supporting multiple organizations and agency clients |
| ☐ | Private | Cloud services and infrastructure dedicated to a specific organization/agency and no other clients |
| ☒ | Government Only Community | Cloud services and infrastructure shared by several organizations/agencies with same policy and compliance considerations |
| ☐ | Hybrid | Explain: (e.g., cloud services and infrastructure that provides private cloud for secured applications and data where required and public cloud for other applications and data) |

Table 8‑2. Cloud Deployment Model Represented in this SS

| Service Provider Cloud Deployment Model | | | Allowed system tenants |
| --- | --- | --- | --- |
|  | Public | Cloud services or infrastructure supporting tenants other than DoD and Federal government missions.[[7]](#footnote-8)  Clients |  |
|  | DOD Private / Community | Cloud services and/or infrastructure dedicated to DoD tenants and users. This may support multiple DoD missions. |  |
|  | Federal Government Community | Cloud services and/or infrastructure shared by several Federal agencies and/or DoD missions, with no other resident organizations | GCC and DoD tenants |
|  | Hybrid | Explain: (e.g., cloud services and infrastructure that provides private cloud for secured applications and data where required and public cloud for other applications and data) |  |

Table 8-2-1. Cloud Deployment Model

## Leveraged Authorizations

Office 365 plans to leverage a pre-existing FedRAMP Authorization. FedRAMP Authorizations leveraged by Office 365 are listed in Table 8‑3. Leveraged Authorizations that follows.

| Information System Name | Service Provider/System Owner | Date Granted | Authorizing Official | Assessment Organization |
| --- | --- | --- | --- | --- |
| Microsoft Azure Government Community Cloud (F1603087869) | Microsoft | 5/3/2019 | FedRAMP JAB | Kratos SecureInfo |
| Akamai Content Delivery Services (F1206061353) | Akamai | 8/23/2013 | FedRAMP JAB | Coalfire Systems, Inc. |

Table 8‑3. Leveraged Authorizations

Office 365 plans to leverage a pre-existing Provisional Authorization or includes any IaaS, PaaS or SaaS provided by any organization outside the boundary of Office 365 This includes the FedRAMP High baseline Provisional Authorization for this CSO, as long as the authorization was issued by the FedRAMP JAB or an U.S. Government Federal Agency ATO package residing in the FedRAMP Secure Repository, as long as performed by an accredited FedRAMP 3PAO[[8]](#footnote-9). Provisional Authorizations and other services leveraged by Office 365 are noted in Table 8-3-1. While the CSO inherits controls and compliance from the authorized systems, the CSP for Office 365 is ultimately contractually responsible for complete compliance. If the leveraged CSO does not have a DoD CC SRG Provisional Authorization, it will be assessed along with the CSO submitted.[[9]](#footnote-10)

Relevant points of contacts for the leveraged authorizations are listed in the tables below.

|  |  |  |
| --- | --- | --- |
| **Microsoft Azure Government Community Cloud (F1603087869)** | Authorizing Official | Assessment Organization |
| Name | FedRAMP JAB | Kratos SecureInfo |
| Company / Organization | FedRAMP | Kratos SecureInfo |
| Address | General Services Administration 1800 F Street NW Washington, DC 20006 | Washington, DC Office 14130 Sullyfield Circle, Suite H Chantilly, VA 20151 |
| Phone Number |  | 888.677.9351 |
| Email Address | info@fedramp.gov |  |
| **Akamai Content Delivery Services (F1206061353)** | Authorizing Official | Assessment Organization |
| Name | FedRAMP JAB | Coalfire Systems, Inc. |
| Company / Organization | FedRAMP | Coalfire Systems, Inc. |
| Address | General Services Administration 1800 F Street NW Washington, DC 20006 | 1633 Westlake Avenue N. Suite 100 Seattle, WA 98109 |
| Phone Number |  | 877.224.8077 |
| Email Address | info@fedramp.gov |  |

***Table 8-3-2. Leveraged Authorizations Points of Contacts***

# General System Description

This section includes a general description of Office 365.

## System Function or Purpose

This service overview focuses on providing the background necessary to understand the implementation details in section 13 of this SSP. Section 9.1 provides a brief discussion of the customer-facing features and functionality of Office 365. Section 9.2, 9.3 and 9.4 provide a high-level overview of the security components, boundary, users and architecture of Office 365. Section 9.5 provides a summary of each component of Office 365 explaining how that component fits within the Office 365 security architecture.

### Service Summary

Office 365 is a cloud computing-based subscription service offering from Microsoft. Cloud computing has been defined by NIST as a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or cloud provider interaction. Further, as defined within NIST SP 800-145 (The NIST Definition of Cloud Computing), the service model for Office 365 is Software-as-a-Service (SaaS). SaaS is a model of software deployment whereby one or more applications and the computational resources to run them are provided for use on demand as a turnkey service. Its main purpose is to reduce the total cost of hardware and software development, maintenance, and operations. Security provisions are carried out mainly by the cloud provider. The cloud subscriber does not manage or control the underlying cloud infrastructure or individual applications, except for preference selections and limited administrative application settings.

Office 365 provides customers with cloud versions of Exchange Online (EXO), SharePoint Online (SPO) (including Project Online, and OneDrive for Business), Skype for Business (SFB), Information Protection (IP), Office Online (WAC), Office 365 Suite User Experience (SUE), Bing, Microsoft Teams (MSTeams), and Customer Insight and Analysis (CIA). Detailed service descriptions for each service team are included in section 9.5 of this SSP.

Office 365 has a number of supporting services in addition to these core, customer-facing services: The Office 365 Remote Access Service (ORAS), Office Service Infrastructure (OSI), Activity Feed Service (AFS), Search Content Service (SCS), Office Intelligent services (IS), Bing, and Loki. Each core and supporting service is supported by a unique group of developers, testers, and administrators referred to throughout this document as a “service team.” Each service is deployed onto service-specific servers, whether physical or virtual. While each service team follows Microsoft O365 policy, their services may have unique implementations of some security controls. For this reason, the SSP provides unique answers for each service where necessary. Where services have identical implementations, the implementation details are combined. A description of each service, including an explanation of that service team’s high-level architecture is provided in section 9.5 of this SSP.

### Security Overview

Office 365 security and compliance is managed by a team named Office 365 Trust. Office 365 Trust ensures that all services comply with security controls, manages audits, writes and enforces Microsoft policy, manages POA&Ms, and manages FedRAMP continuous monitoring. Please see the applicable controls from section 13 of this SSP for details on implementations of these responsibilities. Incident Response is managed for all service teams by the Office 365 Security Incident & Response team (SIR); details can be found in the Incident Response controls in section 13 of this SSP. Contingency and continuity planning are managed by the “Business Continuity Management Team” (BCM) in coordination with Office 365 Trust; details can be found in the Contingency Planning controls in section 13 of this SSP.

All Office services are either:

• Hosted on Microsoft Azure IaaS/PaaS product, which has a FedRAMP P-ATO. In this case, the physical servers are owned by Office 365, the operating system and software are managed by Office 365, and network layer and network layer protections are implemented by Azure. The configuration of the network layer/protection is managed by Office 365 in coordination with Azure. Azure is responsible for physical and environmental security. These servers are located in continental United States (CONUS) data centers as described in the Azure SSP. Details of Office 365 service teams hosted on Azure are located in section 9.5 of this SSP.

• Hosted on Azure Government’s IaaS or PaaS products, which have a FedRAMP P-ATO. In this case, the service is run on Azure virtual machines. Office 365 is responsible for the child OS protections; Azure is responsible for parent OS protections. Network layer protections are implemented by Azure and are managed in coordination with Azure. For details on Azure’s network, parent OS, and physical security refer to the Azure SSP.

Note that in either case, implementation of network layer security controls between the private and public community cloud internet and Office 365 is inherited from Azure. In all cases, there is a default deny-all policy for inbound traffic; only the specific ports and protocols required for the operation of the service and listed in Attachment 14 - Ports, Protocols and Services of this SSP are allowed. All traffic leaving the Office 365 boundary is encrypted and restricted as discussed primarily in the System and Communications Protection control family of this SSP. Section 10.1 has a detailed discussion of data flows crossing the Office 365 accreditation boundary.

Office 365 was built from the ground up as a multitenant cloud solution, considering the benefits and risks associated with that architecture. Microsoft designed Office 365 with the assumption that tenants of the system may be hostile and built in protections to ensure that tenants of Office 365 do not pose a risk to each other. Office 365 offers customers the scalability and cost savings of a multitenant cloud while preventing a weak security implementation by impacting the security of Office 365 or another Office 365 tenant.

Office 365 was designed using the principles of defense in depth. Cross tenant protections are implemented at the application layer to ensure that customers cannot compromise Office 365 applications to gain unauthorized access to the information of other tenants. Protections are also implemented at the network layer to prevent interception of network traffic and resource starvation attacks. Protections are additionally implemented at the operating system layer to prevent side channel attacks. Details regarding the protections implemented to prevent cross-tenant attacks are documented in “Tenant Isolation in Office 365.”

### Active Directory Federation Service (ADFS)

Microsoft requires that Government customers of Office 365 use Active Directory Federation Services (ADFS) for user provisioning, identity management, authentication, and permissions management. ADFS allows customers to maintain control of user identification and authentication from within their network and operating environment when using Office 365.

The implementation of ADFS creates a one-way trust from Office 365 to the customer’s existing AD infrastructure. When a Federal user attempts to access Office 365, the user is redirected to a login page that is hosted on the customer’s ADFS server. The user provides their credentials to this ADFS server, which validates them using the customer’s existing AD infrastructure. If the credentials are validated, the customer’s ADFS server issues a SAML ticket containing information about the user’s identity and group membership. The customer ADFS server signs this ticket using one half of an asymmetric key pair and the user sends the ticket to Office 365 via encrypted TLS 1.2. Office 365 validates the signature using the other half of the asymmetric key pair and grants access based on the ticket.

The use of ADFS requires directory synchronization between Office 365 and the customer’s ADFS server for user provisioning and de-provisioning. This synchronization occurs over a mutually authenticated encrypted TLS 1.2 connection. Additional information about the process of deploying ADFS and directory synchronization can be found at:

<http://technet.microsoft.com/en-us/library/jj205462.aspx>

Use of ADFS means that the customer retains full or partial responsibility for many security controls, particularly within the Access Control and Identification and Authentication control families. Information about how the ADFS requirement affects specific security controls is provided with the relevant controls in section 13 of this SSP.

## Information System Components and Boundaries

The Office 365 major application is hosted in Azure for Government data centers located across the continental United States. The Office 365 major application utilizes and is encompassed by the infrastructure services of the Azure General Support System (GSS) provided by those data centers. Office 365 equipment is physically housed within a secure cage in each data center which has been access restricted to only Office 365 authorized personnel, equipment, and information.

### 9.2.1 External Boundary

The physical boundary of Office 365 is limited to the racks containing hardware identified as belonging to Office 365 in the Office 365 Inventory (see Attachment 13 and CM-8 of this SSP). All equipment listed on this inventory is within the accreditation boundary and is covered by this document. All equipment within the boundary is located within a secure cage as described above; Office 365 approves screening/approval processes for personnel with access to the cage, as well as equipment, and information placed in the cage. All equipment external to the Office 365 racks within the secure cage is external to this accreditation boundary. Any external devices connected to the racks or otherwise leveraged in support of the Office 365 application are covered by current or pending Interconnection Security Agreements.

The data flow diagram below in figure 10-1 depicts the high-level architecture of the Office 365 environment. Office 365 is directly attached to the Azure GSS which provides infrastructure services. Office 365 is logically connected to client(s) networks, the Microsoft Corporate network, and the Public Internet via the Azure GSS. A private connection to the customer allows for secure communications between the customer clients and Office 365 DoD.

The connection to the public internet allows Office 365 personnel to remotely manage devices and hosts within the secure cage environment – for administrators, all remote sessions are negotiated through FIPS 140-2 validated TLS 1.2 tunnels through the RDP gateways.

### 9.2.2. Internal Boundary

Office 365 deployed within the secure cage environment maintains several layers of segmentation between organization capacity partitions. Different capacity partitions are deployed on a dedicated infrastructure per service team offering. The management infrastructure is physically and logically separated from the capacity partitions and is used to administer capacity servers and associated applications.

Office 365 capacity partitions include service specific capacity networks that are logically and physically separated from management networks and networks used to carry customer and user requests to the service. Office 365 has both firewalls and intrusion detection systems (IDS) that regulate network flows between capacity, management and user facing networks and provide filtering and logging controls. This means an organization’s customer content is protected and segmented through the use of an organization specific capacity partition.

The Office 365 system design leverages the Microsoft provided IP address space allocated to each capacity partition and management infrastructure. Only user facing interfaces of the services are assigned customer routable, visible IP addresses from the Microsoft address space block. Internal service interfaces and networks not exposed to the customer use non-globally routable (e.g. RFC 1918 or equivalent) addresses. The use of Microsoft IP addressing within Office 365 service is independent of any security controls – network policies and restrictions pertaining to communications to and between capacity, management and user facing networks are applied irrespectively of the IP addressing scheme used.

### 9.2.3. Cosmos

Cosmos is a Microsoft service which resides outside the boundary of Office 365 DoD, that stores and reports on Office 365 log data. Office 365 scrubs logs of customer content before sending logs to Cosmos. Specifically, scrubbing takes fields containing customer content, hashes that data, and replaces the field with the hashed value. The rewritten log is sent to Cosmos, while each service team stores a mapping of hash keys to hashes within the Office 365 accreditation boundary. Cosmos can then correlate, alert, and report on these anonymized hashes. If an alert or report requires investigation, the logs are imported back inside the boundary. The service team can then repopulate the logs to their original state using the hash to key mapping. Because of the important nature of the Cosmos service, even though it does not store or process any customer content, it is expected that Cosmos security pertaining to protecting Office 365 will be assessed directly as part of FedRAMP accreditation auditing. Connections to Cosmos happen over FIPS 140-2 compatible TLS 1.2 on specifically approved ports and protocols These connections traverse the Azure network infrastructure where default-deny policies and other network protections are enforced.

### 9.2.4. Geneva

Geneva is an extensible collection of libraries, tools and services that enable services to do Monitoring, Diagnostics and Analytics at scale. It is designed to support the requirements of all internal cloud services available on Azure and PilotFish environments. The Geneva System is part of the Cloud Engineering Services (CloudES) suite and active monitoring is offered to allow teams to build rich alerting. Geneva is a fully compliant offering (Azure and Office 365) and available in all national clouds.

## Types of Users

All personnel have their status categorized with a sensitivity level in accordance with PS-2. Personnel (employees or contractors) of service providers are considered Internal Users. All other users are considered External Users. User privileges (authorization permission after authentication takes place) are described in Table 9‑1. Personnel Roles and Privileges that follows.

Table 9‑1. Personnel Roles and Privileges

| **Role** | **Internal or External** | **Privileged (P), Non-Privileged (NP), or No Logical Access (NLA)** | **Sensitivity Level** | **Authorized Privileges** | **Functions Performed** |
| --- | --- | --- | --- | --- | --- |
| Customer User | External | NLA | N/A | Customer portal administration | Accesses Office 365 services |
| Customer Administrator | External | P | N/A | Office 365 service production administrative access | Administers customer user accounts, modifies Office 365 service configurations |
| Service Engineer Operations | Internal | P | High-Risk | Service team administrative access | Administers production Office 365 service |
| Program Manager | Internal | P | Severe | Service team development environment access | Manages service team compliance |
| Developer | Internal | P | Moderate | Service team testing environment access | Develops Office 365 DoD |
| Tester | Internal | P | Moderate | N/A | Tests Office 365 DoD |
| O365 Trust Program Manager | Internal | P | Limited | N/A | Responsible for compliance across all service teams, maintains compliance documentation |
| O365 Security Manager | Internal | P | Limited | N/A | Provides security governance and services, including vulnerability scanning, identity management, security incident response, audit collection and anti-virus |
| BCM | Internal | P | Limited | Customer portal administration | Responsible for creation and maintenance of service team contingency plans |

The count of current users is proprietary information that is owned by Microsoft. The forecast of expected future customer users and internal administrators is proprietary information that is owned by Microsoft.

## Network Architecture

Assessors should be able to easily map hardware, software and network inventories back to this diagram.

The logical network topology is shown in Figure 9‑2 Network Diagram mapping the data flow between components.

The following Figure 9‑2 Network Diagram(s) provides a visual depiction of the system network components that constitute Office 365 DoD.

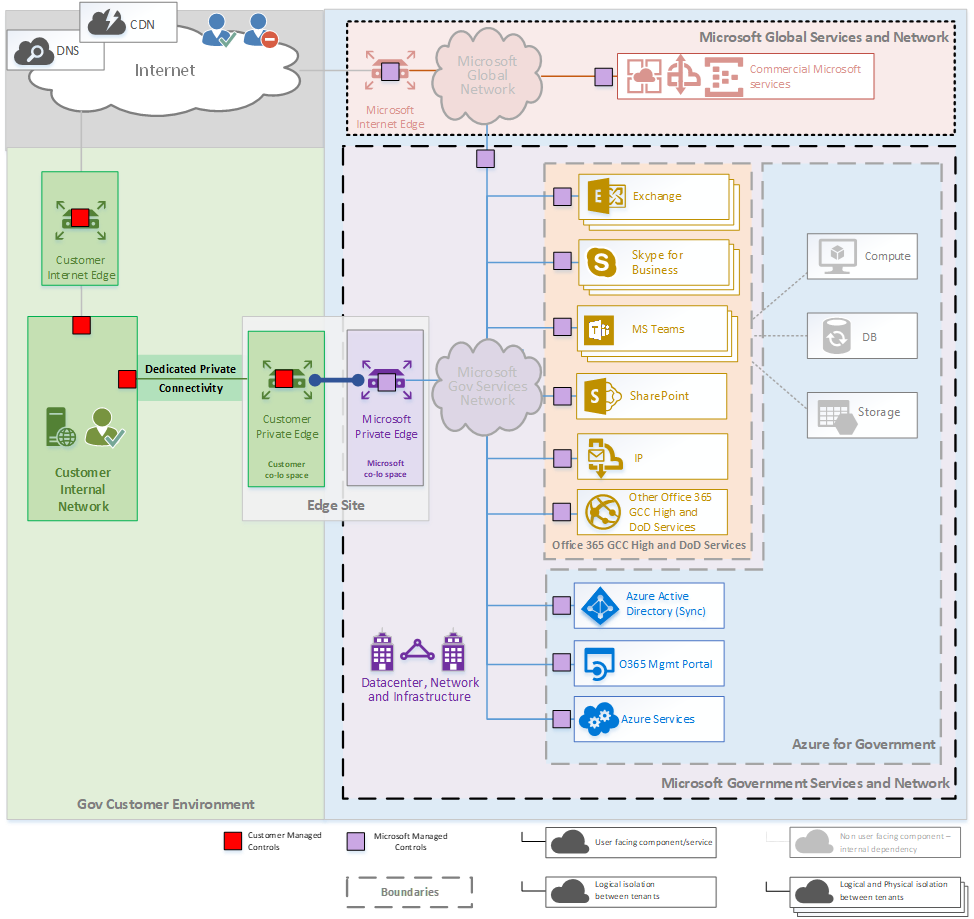


Figure 9‑1. Network Diagram

## Service Description

Office 365 DoD is a set of dedicated, Microsoft-hosted, cloud computing-based messaging and collaboration solutions including Microsoft Exchange Online, Microsoft SharePoint Online and Microsoft Skype For Business. These online services are designed to provide organizations with streamlined communication, high availability, comprehensive security, and simplified information technology (IT) management. Office 365 provides the rich interactivity of on-premises client and server applications with the flexibility and scalability of web-based services. Ancillary components, such as the Administration Center, Sign In application, and Azure Active Directory (AAD) synchronization tool, are also provided as part of Office 365 DoD. Below are detailed descriptions of the customer-facing services and support services offered in the Office 365 environment.

### Exchange Online (EXO)

Exchange Online (EXO) with Support service is a remotely hosted enterprise messaging solution managed by Microsoft. It provides a reliable, security-enhanced messaging environment with the flexibility to meet changing business needs.

EXO provides the core business capabilities of Exchange Server from a dedicated hosting environment per organization. EXO gives users single sign-on access to email, calendar, and contacts from virtually anywhere, at any time.

Together with the Microsoft Outlook messaging and collaboration client, EXO simplifies communications. It improves the way information is shared and how users connect with others, while also increasing message security and compliance. This combination gives organizations a comprehensive time and information management solution for improved collaboration with customers, partners, and coworkers.

The EXO solution includes Exchange Server deployments that are integrated with other components to provide a comprehensive, remotely hosted messaging service for the enterprise.

An EXO customer assigns messaging seats to users in its organization. Each messaging seat has a mailbox. Folders and messages in these mailboxes reside on a computer running Exchange Server at an Azure data center.

EXO is hosted on physical servers within Azure CONUS data centers. These servers are joined to a security domain managed by EXO. Network access to these servers is controlled by Azure-owned and managed network devices using rules managed by EXO and approved by Office 365. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between EXO servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access EXO through remote desktop gateways managed by the Office 365 Remote Access Service (ORAS); this access requires YubiKey-based multifactor authentication.

Users interact with EXO via software email clients (e.g. Outlook) and webmail. Users’ access to customer content is based on claims information contained in tickets issued by AAD. The user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. EXO reads this ticket and based on the username and groups within grants access to authorized mailboxes. No EXO customer content is sent outside of Office 365 other than to the customer and all customer interaction occurs over FIPS 140-2 compatible TLS 1.2 (with the exception of customer-written emails sent to external email addresses). Customer content within EXO is physically stored in Azure CONUS data centers and in Office 365 -specific racks for Office 365.

Diagram

Description automatically generated

Figure 9‑2. Exchange Online Data Flows

### SharePoint Online (SPO)

SharePoint Online (SPO) allows customers to share and manage content, knowledge, and applications to empower teamwork, quickly find information, and seamlessly collaborate across the organization.

SPO (including Project Online, and OneDrive for Business) is hosted on physical servers within Azure CONUS data centers. Network access to these servers is controlled by Azure-owned and managed network devices using rules managed by SPO and approved by Office 365 GCC High and DoD. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SPO servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access SPO through remote desktop gateways managed by the Office 365 Remote Access Service (ORAS); this access requires multi-factor authentication.

Customer users interact with SPO through web browsers. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. SPO reads the ticket and based on the username and groups within grants access to authorized SharePoint sites and files. No SPO customer content is sent outside of Office 365 GCC High and DoD other than to the customer, and customer interaction occurs over FIPS 140-2 compatible TLS 1.2. Customer content within SPO (i.e. SharePoint pages) is physically stored in Azure CONUS data centers and in Office 365 GCC High and DoD-specific racks for Office 365 GCC High and DoD.

Diagram

Description automatically generated

Figure 9‑5. SharePoint Online Data Flows

### Skype for Business (SFB)

Skype for Business (SFB) is a unified communications (UC) platform that integrates common channels of business communication and online meetings. It supports instant messaging, presence, audio and video calling, audio and video conferencing, and broadcast meetings. SFB integrates with Exchange and SharePoint.

SFB is hosted on physical servers within Azure CONUS data centers. The physical servers are joined to a security domain managed by SFB. Network access to these servers is controlled by Azure managed network devices using rules managed by O365. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SFB servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access SFB through remote desktop gateways managed by The Office 365 Remote Access Service (ORAS); this access requires multi-factor authentication.

Customer users interact with SFB through the SFB client and web browsers. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. SFB reads the ticket and based on the permissions grants access to authorized SFB sessions. Customer content is primarily handled internal to O365 services or on approved Azure services. All communications with the customer utilize FIPS 140-2 compatible TLS 1.2 or SRTP protocols.

When stored, customer calls, messages, voicemail and IM conversations are stored within EXO. If a customer uploads content to a meeting, it is encrypted and stored on SFB servers within the Office 365 GCC High and DoD - Defense boundary for the life of the meeting, and is deleted once the meeting ends. Diagram

Description automatically generated

Figure 9‑3. Skype for Business Data Flows

### Office Online (WAC)

Skype for Business (SFB) is a unified communications (UC) platform that integrates common channels of business communication and online meetings. It supports instant messaging, presence, audio and video calling, audio and video conferencing, and broadcast meetings. SFB integrates with Exchange and SharePoint.

SFB is hosted on physical servers within Azure CONUS data centers. The physical servers are joined to a security domain managed by SFB. Network access to these servers is controlled by Azure managed network devices using rules managed by O365. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SFB servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access SFB through remote desktop gateways managed by The Office 365 Remote Access Service (ORAS); this access requires multi-factor authentication.

Customer users interact with SFB through the SFB client and web browsers. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. SFB reads the ticket and based on the permissions grants access to authorized SFB sessions. Customer content is primarily handled internal to O365 services or on approved Azure services. All communications with the customer utilize FIPS 140-2 compatible TLS 1.2 or SRTP protocols.

When stored, customer calls, messages, voicemail and IM conversations are stored within EXO. If a customer uploads content to a meeting, it is encrypted and stored on SFB servers within the Office 365 GCC High and DoD - Defense boundary for the life of the meeting, and is deleted once the meeting ends.

Diagram

Description automatically generated

Figure 9‑6. Office Online Web Apps Data Flows

### Office 365 Remote Access Service (ORAS)

The Office 365 Remote Access Service (ORAS) provides a security domain and a set of remote Terminal Services Gateways (TSGs) used by service teams. The TSGs use Remote Desktop Protocol (RDP) over HTTPS to establish a secure, encrypted connection between remote users on the Internet and the internal network resources on which their productivity applications run.

ORAS is hosted on Azure virtual servers and physically resides in Azure CONUS datacenters. These servers are joined to a security domain managed by ORAS. Network access to these servers is controlled by Azure-managed network devices using rules managed by Azure and approved by Office 365 DoD. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between ORAS servers and other service teams, Microsoft networks, and the internet.

Microsoft administrators access ORAS through remote desktop gateways managed by ORAS; this access requires Yubi-Key-based multi-factor authentication.

Customer users and customer administrators do not interact with ORAS and ORAS does not process or store any customer content.

Diagram, box and whisker chart

Description automatically generated

Figure 9‑7. Office 365 Remote Access Service Data Flows

### Information Protection (IP)

Information Protection (IP, formerly named Exchange Online Protection (EOP)) provides anti-virus, anti-malware, and anti-spam filtering for email sent to Office 365 customers.

Data Loss Prevention (DLP) is a feature of Information Protection (IP). IP has built in message protections such as message hygiene, encryption, and other message protections in place to protect customer emails from unauthorized access and distribution.

IP is hosted on physical servers within Azure CONUS data centers and in Office 365 DoD-specific racks for Office 365 DoD. Network access to these servers is controlled by Azure-managed network devices using rules managed by IP and approved by Office 365 DoD. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between IP servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access ORAS through remote desktop gateways managed by the Office 365 Remote Access Service (ORAS); this access requires YubiKey-based multi-factor authentication.

If enabled by customer administrators, customer users can interact with IP via web browser to configure spam filter sensitivity and mail routing rules. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. IP reads the ticket and based on the username and groups grants access to view and modify the appropriate mail rules. Customer emails are processed but not stored by IP. No IP customer content is sent outside of Office 365 other than to the customer and customer interaction occurs over FIPS 140-2 compatible TLS 1.2.

Diagram

Description automatically generated

Figure 9‑4. Information Protection Data Flows

### Office 365 Suite User Experience (SUE)

Skype for Business (SFB) is a unified communications (UC) platform that integrates common channels of business communication and online meetings. It supports instant messaging, presence, audio and video calling, audio and video conferencing, and broadcast meetings. SFB integrates with Exchange and SharePoint.

SFB is hosted on physical servers within Azure CONUS data centers. The physical servers are joined to a security domain managed by SFB. Network access to these servers is controlled by Azure managed network devices using rules managed by O365. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SFB servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access SFB through remote desktop gateways managed by The Office 365 Remote Access Service (ORAS); this access requires multi-factor authentication.

Customer users interact with SFB through the SFB client and web browsers. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. SFB reads the ticket and based on the permissions grants access to authorized SFB sessions. Customer content is primarily handled internal to O365 services or on approved Azure services. All communications with the customer utilize FIPS 140-2 compatible TLS 1.2 or SRTP protocols.

When stored, customer calls, messages, voicemail and IM conversations are stored within EXO. If a customer uploads content to a meeting, it is encrypted and stored on SFB servers within the Office 365 GCC High and DoD - Defense boundary for the life of the meeting, and is deleted once the meeting ends.

Diagram, box and whisker chart

Description automatically generated with medium confidence

Figure 9‑8. Suite User Experience Data Flows

### Office Service Infrastructure (OSI)

Office Service Infrastructure (OSI) provides a platform for backend applications that enhance the overall Office 365 service offering. OSI is hosted on Azure and contains deployment, hosting and monitoring infrastructure applications which include services as Forms, Planner, Click2Run (only part of GCC High, not the DoD service offering), Office Licensing Service, and Roaming, etc.

OSI and the applications hosted on OSI are hosted on virtual servers managed by Azure, and Azure is responsible for ensuring that OSI virtual machines are provisioned in Azure Government CONUS data centers. Network access to these servers is controlled by Azure devices using rules managed by OSI and approved by Office 365 DoD. Azure provides the implementation of network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SUE virtual machines and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the above data flow diagram and ATTACHMENT 14 – Ports, Protocols and Services of this SSP, are allowed.

Microsoft administrators access OSI provisioned virtual machines via RDP. This process requires enabling an account with a random password and then connecting using that account. This process is gated by two-factor authentication. Users do not interact with OSI and OSI does not store customer content. Connections between Office applications or SUE and OSI occur over FIPS 140-2 compatible TLS 1.2.

Diagram

Description automatically generated with medium confidence

Figure 9‑9. Office Service Infrastructure Data Flows

### 9.5.9. Azure Active Directory (AAD)

Azure Active Directory (AAD) supports customer authentication, but is not part of the Office 365 accreditation boundary. Azure Active Directory provides a single-sign-on identity and access management solution along with a robust set of tools to manage users and groups. This solution provides secure access to the Office 365 online services. Full details of AAD’s security architecture and control implementations can be found in the Microsoft Azure SSP. AAD contains backend services which provide user account management, including the services that support ADFS as described in section 9.1.2.

Customers are required to enable Active Directory Federation Services (ADFS) to manage their users’ identities and authorizations. Users do not interact with AAD directly. Connections between AAD and the customer’s Active Directory infrastructure are protected via FIPS-validated TLS 1.2.

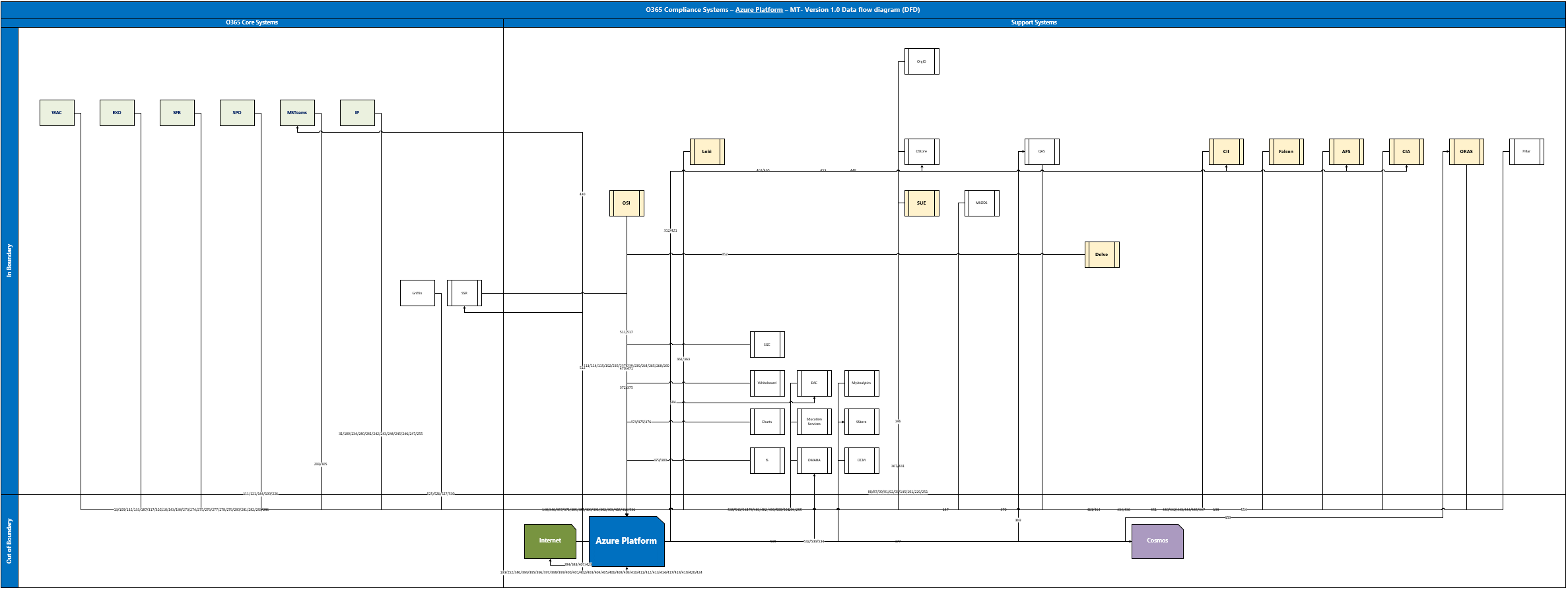


Figure 9‑10. Azure Active Directory Data Flows

### 9.5.11. Microsoft Teams (MSTeams)

Microsoft Teams (MSTeams) is an immersive workspace solution that provides instant messaging and group chat, voice/video calling and conferencing, file sharing, and shared workspace. Microsoft administrators access MSTeams through remote desktop gateways managed by ORAS; this access requires YubiKey-based multi-factor authentication.

MSTeams is hosted on physical servers within Azure CONUS data centers managed by Azure and use the Azure Pilotfish service, as well as Azure micro services such as Storage and Streaming Media. The physical servers may be joined to a security domain managed by Azure. Network access to these servers is controlled by Azure-managed network devices using rules managed by Skype organization and approved by Office 365 DoD. Azure also implements network intrusion detection and denial of service protection. All Azure based services are hosted on VMs, or hardware managed by Azure. There is an ACL-based default-deny policy in place for all virtual machines that only allows use of explicitly defined ports/protocols necessary for delivery of the service. Only the flows documented in the above data flow diagram and section 9.5 of this SSP, are allowed. Azure services accessed by API only are managed as part of the Azure compliance portfolio.

Users interact with MSTeams through the MSTeams client and web browsers. The user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD and MSTeams then issue internals tickets to be used to access various components. MSTeams reads the ticket and based on the permissions grants access to authorized MSTeams resources. Customer content is primarily handled internal to O365 services or on approved Azure services. All communications with the customer utilize FIPS 140-2 compatible protocols. When stored, customer calls, messages, voicemail and IM conversations are stored in EXO, Azure storage, or Object Store. Content uploaded to MSTeams is stored in SharePoint. For GCC services, all Azure PaaS services consumed by MSTeams are hosted in the United States and are approved to handle data in accordance with the appropriate data handling standard.

Diagram

Description automatically generated

Figure 9‑12. Microsoft Teams Data Flows

### 9.5.10. Bing

The Bing service consists of several first party, backend services (Falcon, Object Store, QAS) designed to support customer facing Office 365 services.

Connections with Bing teams occur over FIPS 140-2 validated TLS 1.2. Additionally, customer content stored by Bing teams are encrypted with a FIPS 140-2 validated algorithm. Users do not directly interact with customer content stored by Bing.

Some Bing teams are hosted on servers managed by Pilotfish within Azure CONUS data centers. This includes the management of baseline configurations and hardware components. Additionally, Pilotfish provides antivirus scanning as well as BeyondTrust vulnerability scanning. There is an ACL-based default-deny policy in place between Bing servers and other service teams, Microsoft networks, and the internet.

K9 is the security monitoring capability is provided through Pilotfish. K9 is used by some teams to collect, store and perform real-time analysis on security logs to flag suspected intrusions or unusual activity. Bing teams coordinate with both Pilotfish and the Office 365 Security and Incident Response teams on events requiring further investigation.

Microsoft administrators access Bing teams through remote desktop gateways managed by ORAS; this access requires YubiKey-based multi-factor authentication.

Chart, box and whisker chart

Description automatically generated

Figure 9‑11. Bing Data Flows

### 9.5.12. Activity Feed Service (AFS)

Skype for Business (SFB) is a unified communications (UC) platform that integrates common channels of business communication and online meetings. It supports instant messaging, presence, audio and video calling, audio and video conferencing, and broadcast meetings. SFB integrates with Exchange and SharePoint.

SFB is hosted on physical servers within Azure CONUS data centers. The physical servers are joined to a security domain managed by SFB. Network access to these servers is controlled by Azure managed network devices using rules managed by O365. Azure also implements network intrusion detection and denial of service protection. There is an ACL-based default-deny policy in place between SFB servers and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the data flow diagram and section 10.2 of this SSP, are allowed.

Microsoft administrators access SFB through remote desktop gateways managed by The Office 365 Remote Access Service (ORAS); this access requires multi-factor authentication.

Customer users interact with SFB through the SFB client and web browsers. The customer user authenticates to their own ADFS infrastructure which will issue a ticket that AAD will validate; AAD then issues an internal ticket. SFB reads the ticket and based on the permissions grants access to authorized SFB sessions. Customer content is primarily handled internal to O365 services or on approved Azure services. All communications with the customer utilize FIPS 140-2 compatible TLS 1.2 or SRTP protocols.

When stored, customer calls, messages, voicemail and IM conversations are stored within EXO. If a customer uploads content to a meeting, it is encrypted and stored on SFB servers within the Office 365 GCC High and DoD - Defense boundary for the life of the meeting, and is deleted once the meeting ends.

Diagram

Description automatically generated

Figure 9‑13. Activity Feed Service Data Flows

### 9.5.13. Search Content Service (SCS)

The Search Content Service (SCS) is a backend service that enables SharePoint document search. SCS receives a real-time stream of parsed changes to documents (create, update, delete) from SharePoint Online (SPO) or a customer’s on-premise SharePoint instance. This data is then pushed to search indexes. Customers do not interact directly with SCS.

SCS is hosted on Azure virtual servers within Azure CONUS data centers. Network access to these servers is controlled by Azure devices using rules managed by SCS and approved by Office 365 DoD. Azure is responsible for the implementation of network intrusion detection and denial of service protection. Microsoft administrators do not access SCS virtual machines directly. Authorized administrators access the SCS environment through gateways which requires multifactor authentication. Network access to these servers is controlled by Azure-managed network devices and approved by Office 365 DoD.

Connections with SCS occur over FIPS 140-2 validated TLS. Customer content collected by SCS is stored encrypted in Azure storage.

Chart, box and whisker chart

Description automatically generated

Figure 9‑14. Search Content Service Data Flows

### 9.5.14. Office Intelligent Services (IS)

Office Intelligent Services back features in the Windows, Mac, iOS, Android, and online clients. These features and services enhance the user's experience with Office and allow them to achieve more.

Features include: Augmentation Loop, Enrichment, Image-To-Doc, Editor, Grammar, Translation, Scripts, Templates, Dictation, PowerPoint Presentation Coach, Transcription, PowerPoint Designer, Recent Documents, Smart Lookup, Tell Me, and Word/Excel/PowerPoint Conversion Services

Licensing, Device Management, Configuration, Sign-in, Redirection, Roaming settings are also considered part of this bucket.

Office Intelligent Services is also responsible for full online services from Forms, Planner, Sway, Desktop Admin Portal, Fluid, and Whiteboard.

Diagram

Description automatically generated with low confidence

Figure 9‑15. Office Intelligent Services Data Flows

### 9.5.15. Customer Insight and Analysis (CIA)

Customer Insight and Analysis, also known as “Usage Reports,” (CIA) is a reporting service in the tenant Admin Portal to show data such as O365 license consumption and service usage to assist with making business decisions.

CIA is hosted on Azure virtual servers within Azure CONUS data centers. Network access to these servers is controlled by Azure devices using rules managed by CIA and approved by Office 365 DoD. Microsoft administrators do not access CIA virtual machines directly. Administrators access the CIA environment through gateways which requires multifactor authentication. Network access to these servers is controlled by Azure-managed network devices and approved by Office 365 DoD. Azure also implements network intrusion detection and denial of service protection.

Customers interact with CIA via the Customer Admin Portal. Connections with CIA occur over FIPS 140-2 validated TLS. Customer content collected by CIA is stored and encrypted in Azure storage.

Diagram

Description automatically generated

Figure 9‑16. Customer Insight and Analysis Data Flows

### 9.5.16. Live People Card (Loki)

Live People Card, also known as "Loki,” is an Azure hosted service which powers people experiences with low latency across different O365 products (for example: Outlook, SharePoint, OneDrive). Example people experiences powered by Loki are Live Persona Cards and People Hub. It is a stateless service that doesn’t master data. The data served back to Loki’s clients is coming from Loki’s dependency services (for example Exchange, Microsoft Graph, SPO). For better performance, Loki is using Redis to cache encrypted customer data for up to 24 hours.

Loki is hosted on Azure virtual servers within Azure CONUS data centers. Network access to these servers is controlled by Azure devices using rules managed by Loki and approved by Office 365 DoD. Azure is responsible for implementation of network intrusion detection and denial of service protection. There is a default-deny network access policy in place between Loki virtual machines and other service teams, Microsoft networks, and the internet. Only the flows, limited to specific ports and protocols and documented in the above data flow diagram and ATTACHMENT 14 – Ports, Protocols and Services of this SSP, are allowed.

Microsoft administrators do not access Loki virtual machines directly. Administrators access the service through a “jump box” VM in the Loki environment and remote desktop gateways managed by ORAS; this access requires YubiKey-based multifactor authentication.

Customers interact with Loki via web browser protected by FIPS 140-2 compatible TLS.

Chart, box and whisker chart

Description automatically generated

Figure 9‑17. Live People Card Data Flows

9.5.17 Cloud Input Intelligence (CII)

Diagram

Description automatically generated

*Figure 9‑19 Cloud Input Intelligence Data Flows*

Cloud Input Intelligence (CII), also known as “Windows Ink,” provides a compliant platform that allows developers to provide cutting-edge capabilities on all devices, utilizing data driven personalized experiences that capture user intent on technology that will be always-learning more over time. This service enables applications built on the CII service to provide improved experiences in inking, text entry and other input modalities across a user's devices.

CII is driven by a set of Service Fabric applications hosted within Azure CONUS data centers and managed by CII utilizing the rules established by the Office 365 Trust team. CII uses Azure API Management (APIM) to act as the front door service for the REST APIs exposed to the application developers. APIM has the capability to throttle incoming traffic and apply policy rules which are implemented by the CII team to provide denial of service protection. APIM also is constrained to use TLS 1.2 and HTTPS for all communications with the calling application. In addition, all clusters have a highly restrictive set of network routing rules to prevent access to most ports and utilizes a certificate-based handshake between all callers (exclusively APIM) and the clusters to prevent unauthorized access over the ports that are open. ​

All subscriptions are owned by the Torus tenant and authorized On-Call engineers must elevate using a smart card and email approval process which provides access to the environment via Azure Portal. Just In Time access to Azure VMs utilizes a similar mechanism and real time created accounts with unique passwords which expire after a given time period.

CII is a stateless service and does not store any customer content. Callers to the service are exclusively applications that have been authorized access to the APIM instance via a subscription key. Calls without a valid subscription key are rejected by API Management.​

## Data Ownership and Security

Microsoft recognizes that privacy is a critical element of a highly secure computing experience, and that customers have high expectations about how Microsoft collects, uses, and stores their data. A key tenet of Microsoft’s privacy program is that a customer’s data and operations must be regarded as private and restricted to that customer.

Customers retain ownership and copyright to all content they upload to Microsoft servers. Microsoft retains ownership and copyright to all Microsoft’s online services property applications, system platforms, logs generated on those platforms, and other Microsoft proprietary infrastructure and data.

Microsoft can provide Federal customers with a Privacy Impact Assessment (PIA), as part of the Office 365 Authorization and Accreditation (A&A) packets, which details safeguards in place related to collection and usage of personal information.

### 9.6.1 Data Location

Application data resides in multiple data centers located around the United States. Data is replicated between the data centers continuously. Additional CONUS datacenters may be added in the future as demand requires. Expanding Office 365 into new datacenters does not change the system architecture, stated controls sets or system boundaries.

Table 9-2. Data Center Locations

| Data Center | Abbreviation | Location |
| --- | --- | --- |
| Chicago | CH1 | Chicago, IL |
| San Antonio-2 | SN2 | San Antonio, TX |
| Des Moines 2 | DM2 | Des Moines, IA |
| San Antonio-1 | SN1 | San Antonio, TX |
| Boydton 3 (DoD) | BN3 | Boydton, VA |
| Cheyenne-1 | CYS01 | Cheyenne, WY |
| Boydton | BN1 | Boydton, VA |
| Des Moines 3 (DoD) | DM3 | Des Moines, IA |

### 9.6.2. Data Ownership

Customers retain ownership and copyright to all their content. Microsoft retains ownership and copyright to the Office 365 applications, system platforms, logs generated on those platforms, and other Microsoft proprietary infrastructure and data.

### 9.6.3 Data Security

Microsoft has implemented a robust security management program to secure the data of organizations subscribing to the Office 365 offering. Specifically, Office 365 has been secured at the physical security, operating system, application, and network infrastructure levels. The system complies with NIST Special Publication 800-53, Revision 4, high impact security controls and procedures described in the Federal Information Security Modernization Act of 2014 (FISMA) and associated Federal IT Security laws and regulations.

# System Environment and Inventory

Directions for attaching the FedRAMP Inventory Workbook may be found in the following section: Attachment 13, FedRAMP Inventory Workbook.

## Data Flow

The data flow in and out of the system boundaries is represented in Figure 10-1. Data Flow Diagram, below.

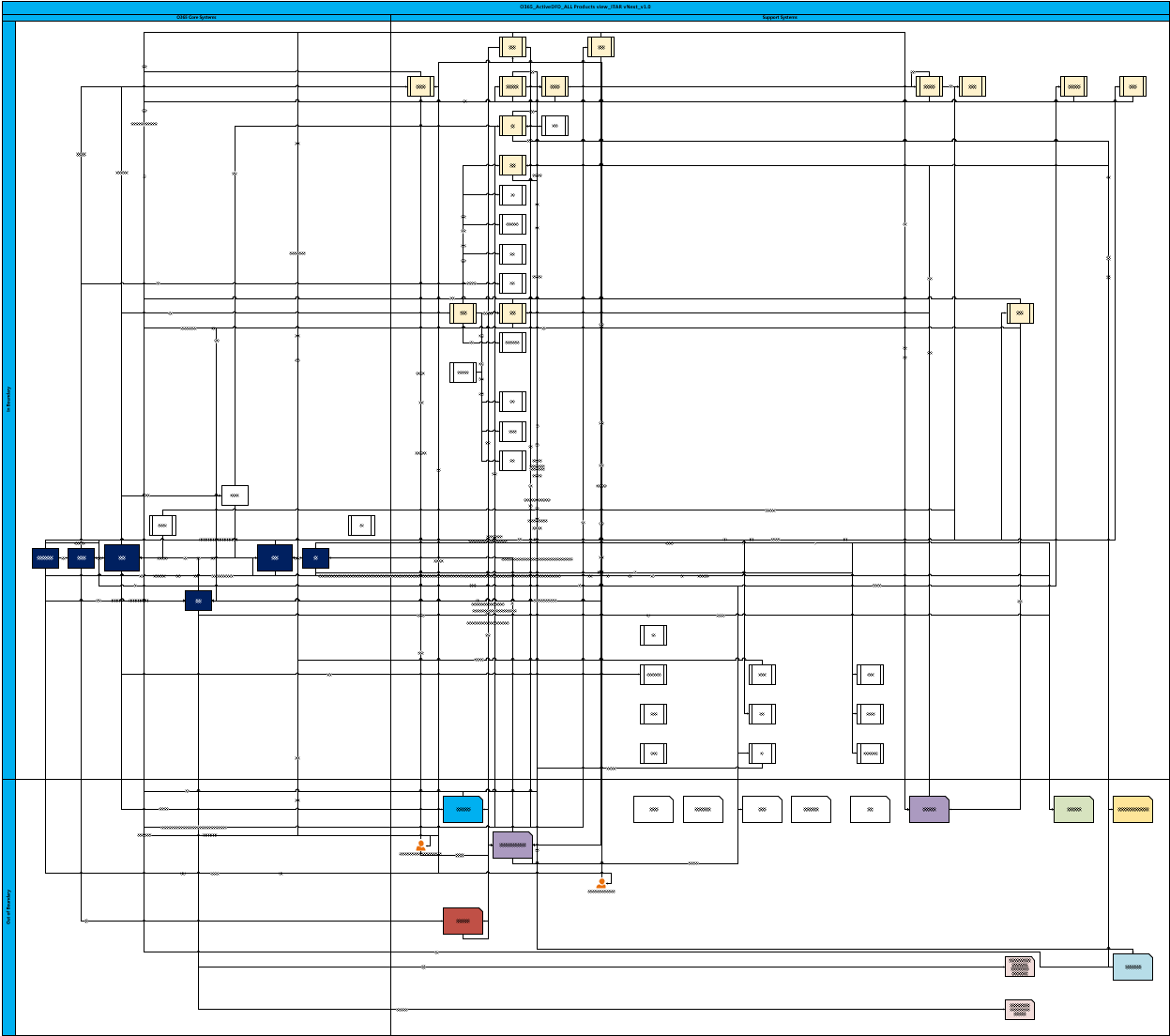


Figure 10‑1. Data Flow Diagram

The above diagram and accompanying legend documents all data flows between Office 365 service teams, between Office 365 and interconnected systems, and between Office 365 and customers. The data flows involving customer content are discussed here in narrative format, but detailed information about each flow, including source and destination, is available from Microsoft, provided appropriate confidentiality agreements are in place.

## Ports, Protocols and Services

Due to the scale of the Microsoft Office 365 environment, the Ports, Protocols, and Services table is provided in Attachment 14 – Ports & Protocols.

# System Interconnections

Table 11‑1 System Interconnections below is consistent with Table 13‑3 CA-3 Authorized Connections.

Table 11‑1. System Interconnections

| **SP\* IP Address and Interface** | **External Organization Name and IP Address of System** | **External Point of Contact and Phone Number** | **Connection Security (IPSec VPN, SSL, Certificates, Secure File Transfer, etc.)\*\*** | **Data Direction**  **(incoming, outgoing, or both)** | **Information Being Transmitted** | **Port or Circuit Numbers** |
| --- | --- | --- | --- | --- | --- | --- |
| N/A | Core Services Engineering (CSE, formerly MSIT) CorpNet | Lisa Reshaur  (425) 703-1935 | Secure File Transfer | Incoming and outgoing | Minor applications hosted within the MSIT architecture to support operations related activities of the Office 365 major application. | Multiple |
| N/A | Akamai | David Yoon  (703) 621-4023 | TLS 1.2 | Incoming and outgoing | Publicly available web content is transmitted through Akamai | N/A |
| N/A | Azure Government (including GSGO) | Roger Chiou  (425) 538-4631 | TLS 1.2, IPsec, SSH, RDP | Incoming and outgoing | System data, application data | Multiple |
| N/A | Cosmos | Ryan Waite  (425) 706-1894 | TLS 1.2 | Incoming and outgoing | Scrubbed Office 365 audit data | Multiple |

\*Service Processor

\*\*Internet Protocol Security (IPSec), Virtual Private Network (VPN), Secure Sockets Layer (SSL)

# Laws, Regulations, Standards and Guidance

A summary of FedRAMP Laws and Regulations is included in ATTACHMENT 12 – FedRAMP Laws and Regulations.

## Applicable Laws and Regulations

The FedRAMP Laws and Regulations can be found on this web page: [Templates.](https://www.fedramp.gov/templates)

Table 12-1 Office 365 Law and Regulations includes additional laws and regulations specific to Office 365.

Table 12‑1. Office 365 Laws and Regulations

| **Identification Number** | **Title** | **Date** | **Link** |
| --- | --- | --- | --- |
|  | N/A |  |  |

## Applicable Standards and Guidance

The FedRAMP Standards and Guidance be found on this web page: [Templates](https://www.fedramp.gov/templates)

Table 12‑2. Office 365 DoD Standards and Guidance includes in this section any additional standards and guidance specific to Office 365 .

Table ‑. Office 365 DoD Standards and Guidance

| **Identification Number** | **Title** | | | **Date** | **Link** |
| --- | --- | --- | --- | --- | --- |
|  | | Department of Defense Cloud Computing Security Requirements Guide V1 R3 | 12/18/17 | | [DISA SRG 1.3](https://iasecontent.disa.mil/cloud/Downloads/Cloud_Computing_SRG_v1r3.pdf) |

# Minimum Security Controls

Security controls must meet minimum security control baseline requirements. Upon categorizing a system as Low, Moderate, or High sensitivity in accordance with FIPS 199, the corresponding security control baseline standards apply. Some of the control baselines have enhanced controls which are indicated in parentheses.

Security controls that are representative of the sensitivity of Office 365 are described in the sections that follow. Security controls that are designated as “Not Selected” or “Withdrawn by NIST” are not described unless they have additional FedRAMP controls. Guidance on how to describe the implemented standard can be found in NIST 800-53, Rev 4. Control enhancements are marked in parentheses in the sensitivity columns.

Systems that are categorized as FIPS 199 Low use the controls designated as Low, systems categorized as FIPS 199 Moderate use the controls designated as Moderate and systems categorized as FIPS 199 High use the controls designated as High. A summary of which security standards pertain to which sensitivity level is found in Table 13‑1 Summary of Required Security Controls that follows.

Table 13‑1. Summary of Required Security Controls

| **ID** | **Control Description** | **Sensitivity Level** | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **Low** | **Moderate** | **High** | SRG IL4 IL5 | |
| AC | Access Control | | | | | |
| AC-1 | Access Control Policy and Procedures | AC-1 | AC-1 | AC-1 | AC-1 (Ext) | |
| AC-2 | Account Management | AC-2 | AC-2 (1) (2) (3) (4) (5) (7) (9) (10) (12) | AC-2 (1) (2) (3) (4) (5) (7) (9) (10) (11) (12) (13) | AC-2 (Privacy) (Ext) (9)(Privacy) (13) | |
| AC-3 | Access Enforcement | AC-3 | AC-3 | AC-3 | AC-3 (Ext) (4) (9)(Ext) (9)(Privacy) | |
| AC-4 | Information Flow Enforcement | Not Selected | AC-4 (21) | AC-4 (8) (21) | AC-4 | |
| AC-5 | Separation of Duties | Not Selected | AC-5 | AC-5 | AC-4 (8)(Privacy) (12)(Privacy) (15)(Privacy) (17) (Privacy) (18)(Privacy) | |
| AC-6 | Least Privilege | Not Selected | AC-6 (1) (2) (5) (9) (10) | AC-6 (1) (2) (3) (5) (7) (8) (9) (10) | AC-6 (7) (7)(Privacy) (8) | |
| AC-7 | Unsuccessful Logon Attempts | AC-7 | AC-7 | AC-7 (2) | Not Selected | |
| AC-8 | System Use Notification | AC-8 | AC-8 | AC-8 | Not Selected | |
| AC-10 | Concurrent Session Control | Not Selected | AC-10 | AC-10 | Not Selected | |
| AC-11 | Session Lock | Not Selected | AC-11 (1) | AC-11 (1) | AC-11 (Privacy) (Ext) | |
| AC-12 | Session Termination | Not Selected | AC-12 | AC-12 (1) | AC-12 (1) | |
| AC-14 | Permitted Actions Without Identification or Authentication | AC-14 | AC-14 | AC-14 | Not Selected | |
| AC-16 | Security Attributes | Not Selected | Not Selected | Not Selected | AC-16 (Privacy) (3)(Privacy) (6) | |
| AC-17 | Remote Access | AC-17 | AC-17 (1) (2) (3) (4) (9) | AC-17 (1) (2) (3) (4) (9) | AC-17 (6) | |
| AC-18 | Wireless Access | AC-18 | AC-18 (1) | AC-18 (1) (3) (4) (5) | AC-18 (3) | |
| AC-19 | Access Control For Mobile Devices | AC-19 | AC-19 (5) | AC-19 (5) | AC-19 (Ext) (5)(Ext) (5)(Privacy) | |
| AC-20 | Use of External Information Systems | AC-20 | AC-20 (1) (2) | AC-20 (1) (2) | AC-20 (Ext) (3)(Privacy) (3)(Ext) | |
| AC-21 | Information Sharing | Not Selected | AC-21 | AC-21 | Not Selected | |
| AC-22 | Publicly Accessible Content | AC-22 | AC-22 | AC-22 | Not Selected | |
| AC-23 | Data Mining Protection | Not Selected | Not Selected | Not Selected | AC-23 (Ext) | |
| AP | **Authority and Purpose** | | | | | |
| AP-1 | Authority to Collect | Not Selected | Not Selected | Not Selected | AP-1 (Privacy) | |
| AP-2 | Purpose Specification | Not Selected | Not Selected | Not Selected | AP-2 (Privacy) | |
| AR | **Accountability, Audit, and Risk Management** | | | | | |
| AR-1 | Governance and Privacy Program | Not Selected | Not Selected | Not Selected | AR-1 (Privacy) (Ext) | |
| AR-2 | Governance and Privacy Program | Not Selected | Not Selected | Not Selected | AR-2 (Privacy) (Ext) | |
| AR-3 | Privacy Requirements for Contractors and Service Providers | Not Selected | Not Selected | Not Selected | AR-3 (Ext) | |
| AR-4 | Privacy Monitoring and Auditing | Not Selected | Not Selected | Not Selected | AR-4 (Privacy) | |
| AR-5 | Privacy Awareness and Training | Not Selected | Not Selected | Not Selected | AR-5 (Privacy) (Ext) | |
| AR-6 | Privacy Reporting | Not Selected | Not Selected | Not Selected | AR-6 (Privacy) | |
| AR-7 | Privacy-Enhanced System Design and Development | Not Selected | Not Selected | Not Selected | AR-7 (Privacy) | |
| AR-8 | Accounting of Disclosures | Not Selected | Not Selected | Not Selected | AR-8 (Privacy) | |
| AT | **Awareness and Training** | | | | | |
| AT-1 | Security Awareness and Training Policy and Procedures | AT-1 | AT-1 | AT-1 | Not Selected | |
| AT-2 | Security Awareness Training | AT-2 | AT-2 (2) | AT-2 (2) | AT-2 (Ext) | |
| AT-3 | Role-Based Security Training | AT-3 | AT-3 | AT-3 (3) (4) | AT-3 (Ext) (2) (4) | |
| AT-4 | Security Training Records | AT-4 | AT-4 | AT-4 | Not Selected | |
| AU | **Audit and Accountability** | | | | | |
| AU-1 | Audit and Accountability Policy and Procedures | AU-1 | AU-1 | AU-1 | AU-1 (Privacy) | |
| AU-2 | Audit Events | AU-2 | AU-2 (3) | AU-2 (3) | AU-2 (Privacy) | |
| AU-3 | Content of Audit Records | AU-3 | AU-3 (1) | AU-3 (1) (2) | Not Selected | |
| AU-4 | Audit Storage Capacity | AU-4 | AU-4 | AU-4 | AU-4 (1) | |
| AU-5 | Response to Audit Processing Failures | AU-5 | AU-5 | AU-5 (1) (2) | Not Selected | |
| AU-6 | Audit Review, Analysis and Reporting | AU-6 | AU-6 (1) (3) | AU-6 (1) (3) (4) (5) (6) (7) (10) | AU-6 (4) (10) | |
| AU-7 | Audit Reduction and Report Generation | Not Selected | AU-7 (1) | AU-7 (1) | AU-7 (2) | |
| AU-8 | Time Stamps | AU-8 | AU-8 (1) | AU-8 (1) | Not Selected | |
| AU-9 | Protection of Audit Information | AU-9 | AU-9 (2) (4) | AU-9 (2) (3) (4) | AU-9 (3) | |
| AU-10 | Non-repudiation | Not Selected | Not Selected | AU-10 | AU-10 (1) | |
| AU-11 | Audit Record Retention | AU-11 | AU-11 | AU-11 | Not Selected | |
| AU-12 | Audit Generation | AU-12 | AU-12 | AU-12 (1) (3) | AU-12 (3) | |
| AU-16 | Sharing of Audit Information | Not Selected | Not Selected | Not Selected | AU-16 (2) | |
| CA | **Security Assessment and Authorization** | | | | | |
| CA-1 | Security Assessment and Authorization Policies and Procedures | CA-1 | CA-1 | CA-1 | Not Selected | |
| CA-2 | Security Assessments | CA-2 (1) | CA-2 (1) (2) (3) | CA-2 (1) (2) (3) | CA-2 (Privacy) | |
| CA-3 | System Interconnections | CA-3 | CA-3 (3) (5) | CA-3 (3) (5) | CA-3 (Privacy) (1) (3) (5) | |
| CA-5 | Plan of Action and Milestones | CA-5 | CA-5 | CA-5 | Not Selected | |
| CA-6 | Security Authorization | CA-6 | CA-6 | CA-6 | CA-6 (Ext) | |
| CA-7 | Continuous Monitoring | CA-7 | CA-7 (1) | CA-7 (1) (3) | Not Selected | |
| CA-8 | Penetration Testing | Not Selected | CA-8 (1) | CA-8 (1) | CA-8 (Privacy) | |
| CA-9 | Internal System Connections | CA-9 | CA-9 | CA-9 | CA-9 (Privacy) (1) | |
| CM | **Configuration Management** | | | | | |
| CM-1 | Configuration Management Policy and Procedures | CM-1 | CM-1 | CM-1 | Not Selected | |
| CM-2 | Baseline Configuration | CM-2 | CM-2 (1) (2) (3) (7) | CM-2 (1) (2) (3) (7) | Not Selected | |
| CM-3 | Configuration Change Control | Not Selected | CM-3 (2) | CM-3 (1) (2) (4) (6) | CM-3 (4) (6) | |
| CM-4 | Security Impact Analysis | CM-4 | CM-4 | CM-4 (1) | CM-4 (1) (2) | |
| CM-5 | Access Restrictions For Change | Not Selected | CM-5 (1) (3) (5) | CM-5 (1) (2) (3) (5) | CM-5 (6) | |
| CM-6 | Configuration Settings | CM-6 | CM-6 (1) | CM-6 (1) (2) | Not Selected | |
| CM-7 | Least Functionality | CM-7 | CM-7 (1) (2) (5)\* | CM-7 (1) (2) (5) | Not Selected | |
| CM-8 | Information System Component Inventory | CM-8 | CM-8 (1) (3) (5) | CM-8 (1) (2) (3) (4) (5) | Not Selected | |
| CM-9 | Configuration Management Plan | Not Selected | CM-9 | CM-9 | Not Selected | |
| CM-10 | Software Usage Restrictions | CM-10 | CM-10 (1) | CM-10 (1) | Not Selected | |
| CM-11 | User-Installed Software | CM-11 | CM-11 | CM-11 (1) | Not Selected | |
| \*FedRAMP does not include CM-7 (4) in the Moderate Baseline. NIST supplemental guidance states that CM-7 (4) is not required if (5) is implemented. | | | | | |
| CP | **Contingency Planning** | | | | | |
| CP-1 | Contingency Planning Policy and Procedures | CP-1 | CP-1 | CP-1 | Not Selected | |
| CP-2 | Contingency Plan | CP-2 | CP-2 (1) (2) (3) (8) | CP-2 (1) (2) (3) (4) (5) (8) | CP-2 (5) | |
| CP-3 | Contingency Training | CP-3 | CP-3 | CP-3 (1) | Not Selected | |
| CP-4 | Contingency Plan Testing | CP-4 | CP-4 (1) | CP-4 (1) (2) | Not Selected | |
| CP-6 | Alternate Storage Site | Not Selected | CP-6 (1) (3) | CP-6 (1) (2) (3) | Not Selected | |
| CP-7 | Alternate Processing Site | Not Selected | CP-7 (1) (2) (3) | CP-7 (1) (2) (3) (4) | CP-7 (Privacy) | |
| CP-8 | Telecommunications Services | Not Selected | CP-8 (1) (2) | CP-8 (1) (2) (3) (4) | Not Selected | |
| CP-9 | Information System Backup | CP-9 | CP-9 (1) (3) | CP-9 (1) (2) (3) (5) | CP-9 (Ext) | |
| CP-10 | Information System Recovery and Reconstitution | CP-10 | CP-10 (2) | CP-10 (2) (4) | Not Selected | |
| DI | **Data Quality and Integrity** | | | | | |
| DI-1 | Data Quality | Not Selected | Not Selected | Not Selected | DI-1 (Privacy) (1)(Privacy) (2)(Privacy) | |
| DM | **Data Minimization and Retention** | | | | | |
| DM-1 | Minimization of PII Used in Testing, Training, and Research | Not Selected | Not Selected | Not Selected | DM-1 (Privacy) | |
| DM-2 | Data Retention and Disposal | Not Selected | Not Selected | Not Selected | DM-2 (Privacy) (1)(Privacy) | |
| DM-3 | Minimization of PII Used in Testing, Training, and Research | Not Selected | Not Selected | Not Selected | DM-3 (1)(Privacy) | |
| GR | **General Readiness** | | | | | |
| GR-1 | FedRAMP V2 Compliance Standard | Not Selected | Not Selected | Not Selected | GR-1 | |
| GR-2 | DoD Sponsor / Champion | Not Selected | Not Selected | Not Selected | GR-2 | |
| GR-3 | Separation among CSO Tenants | Not Selected | Not Selected | Not Selected | GR-3 | |
| GR-4 | DIB Participation | Not Selected | Not Selected | Not Selected | GR-4 | |
| GR-5 | DoD Cloud Access Point | Not Selected | Not Selected | Not Selected | GR-5 | |
| GR-6 | DoD PKI | Not Selected | Not Selected | Not Selected | GR-6 | |
| GR-7 | Data Locations | Not Selected | Not Selected | Not Selected | GR-7 | |
| GR-8 | CUI Categories | Not Selected | Not Selected | Not Selected | GR-8 | |
| GR-9 | Data Spill Incident Handling | Not Selected | Not Selected | Not Selected | GR-9 | |
| GR-10 | Communication With DoD Entities | Not Selected | Not Selected | Not Selected | GR-10 | |
| GR-11 | CND SP Tier II Notification | Not Selected | Not Selected | Not Selected | GR-11 | |
| GR-12 | Cyber Defense SP Tier III | Not Selected | Not Selected | Not Selected | GR-12 | |
| GR-13 | Notice of Scheduled Outages | Not Selected | Not Selected | Not Selected | GR-13 | |
| GR-14 | CSO Personnel | Not Selected | Not Selected | Not Selected | GR-14 | |
| GR-15 | Defense in Depth Architecture | Not Selected | Not Selected | Not Selected | GR-15 | |
| GR-16 | Use of Authoritative DoD DNS Server | Not Selected | Not Selected | Not Selected | GR-16 | |
| GR-17 | DoD Incident Response | Not Selected | Not Selected | Not Selected | GR-17 | |
| GR-17 | DoD Incident Response | Not Selected | Not Selected | Not Selected | GR-17 | |
| GR-18 | DoD STIGS and SRGs | Not Selected | Not Selected | Not Selected | GR-18 | |
| GR-19 | Requirement for Mission System Inclusion | Not Selected | Not Selected | Not Selected | GR-19 | |
| IA | **Identification and Authentication** | | | | | |
| IA-1 | Identification and Authentication Policy and Procedures | IA-1 | IA-1 | IA-1 | Not Selected | |
| IA-2 | Identification and Authentication (Organizational Users) | IA-2 (1) (12) | IA-2 (1) (2) (3) (5) (8) (11) (12) | IA-2 (1) (2) (3) (4) (5) (8) (9) (11) (12) | IA-2 (6)(Privacy) (7)(Privacy) (9)(Privacy) | |
| IA-3 | Device Identification and Authentication | Not Selected | IA-3 | IA-3 | IA-3 (1) | |
| IA-4 | Identifier Management | IA-4 | IA-4 (4) | IA-4 (4) | IA-4 (Ext) (4)(Privacy) | |
| IA-5 | Authenticator Management | IA-5 (1) (11) | IA-5 (1) (2) (3) (4) (6) (7) (11) | IA-5 (1) (2) (3) (4) (6) (7) (8) (11) (13) | IA-5 (13) | |
| IA-6 | Authenticator Feedback | IA-6 | IA-6 | IA-6 | Not Selected | |
| IA-7 | Cryptographic Module Authentication | IA-7 | IA-7 | IA-7 | Not Selected | |
| IA-8 | Identification and Authentication (Non-Organizational Users) | IA-8 (1) (2) (3) (4) | IA-8 (1) (2) (3) (4) | IA-8 (1) (2) (3) (4) | Not Selected | |
| IP | **Individual Participation and Redress** | | | | | |
| IP-1 | Consent | Not Selected | Not Selected | Not Selected | IP-1 (Privacy) (1)(Privacy) | |
| IP-2 | Individual Access | Not Selected | Not Selected | Not Selected | IP-2 (Privacy) (Ext) | |
| IP-3 | Redress | Not Selected | Not Selected | Not Selected | IP-3 (Privacy) | |
| IP-4 | Complaint Management | Not Selected | Not Selected | Not Selected | IP-4 (Privacy) (1)(Privacy) | |
| AT | **Awareness and Training** | | | | | |
| IR-1 | Incident Response Policy and Procedures | IR-1 | IR-1 | IR-1 | IR-1 (Privacy) | |
| IR-2 | Incident Response Training | IR-2 | IR-2 | IR-2 (1) (2) | Not Selected | |
| IR-3 | Incident Response Testing | Not Selected | IR-3 (2) | IR-3 (2) | Not Selected | |
| IR-4 | Incident Handling | IR-4 | IR-4 (1) | IR-4 (1) (2) (3) (4) (6) (8) | IR-4 (3) (3)(Ext) (4) (6) (7) (8) | |
| IR-5 | Incident Monitoring | IR-5 | IR-5 | IR-5 (1) | IR-5 (1) | |
| IR-6 | Incident Reporting | IR-6 | IR-6 (1) | IR-6 (1) | IR-6 (Privacy) (2) | |
| IR-7 | Incident Response Assistance | IR-7 | IR-7 (1) (2) | IR-7 (1) (2) | Not Selected | |
| IR-8 | Incident Response Plan | IR-8 | IR-8 | IR-8 | Not Selected | |
| IR-9 | Information Spillage Response | Not Selected | IR-9 (1) (2) (3) (4) | IR-9 (1) (2) (3) (4) | Not Selected | |
| IR-10 | Integrated Information security Analysis Team | Not Selected | Not Selected | Not Selected | IR-10 (Privacy) | |
| MA | **Maintenance** | | | | | |
| MA-1 | System Maintenance Policy and Procedures | MA-1 | MA-1 | MA-1 | MA-1 (Ext) | |
| MA-2 | Controlled Maintenance | MA-2 | MA-2 | MA-2 (2) | Not Selected | |
| MA-3 | Maintenance Tools | Not Selected | MA-3 (1) (2) (3) | MA-3 (1) (2) (3) | Not Selected | |
| MA-4 | Nonlocal Maintenance | MA-4 | MA-4 (2) | MA-4 (2) (3) (6) | MA-4 (3) (6) | |
| MA-5 | Maintenance Personnel | MA-5 | MA-5 (1) | MA-5 (1) | Not Selected | |
| MA-6 | Timely Maintenance | Not Selected | MA-6 | MA-6 | Not Selected | |
| MP | **Media Protection** | | | | | |
| MP-1 | Media Protection Policy and Procedures | MP-1 | MP-1 | MP-1 | MP-1 (Privacy) | |
| MP-2 | Media Access | MP-2 | MP-2 | MP-2 | MP-2 (Privacy) | |
| MP-3 | Media Marking | Not Selected | MP-3 | MP-3 | Not Selected | |
| MP-4 | Media Storage | Not Selected | MP-4 | MP-4 | MP-4 (Privacy) | |
| MP-5 | Media Transport | Not Selected | MP-5 (4) | MP-5 (4) | MP-5 (Privacy) | |
| MP-6 | Media Sanitization | MP-6 | MP-6 (2) | MP-6 (1) (2) (3) | MP-6 (Privacy) (1)(Privacy) (6)(Privacy) | |
| MP-7 | Media Use | MP-7 | MP-7 (1) | MP-7 (1) | MP-7 (Privacy) | |
| MP-8 | Controlled Unclassified Information | Not Selected | Not Selected | Not Selected | MP-8 (3)(Privacy) | |
| PE | **Physical and Environmental Protection** | | | | | |
| PE-1 | Physical and Environmental Protection Policy and Procedures | PE-1 | PE-1 | PE-1 | Not Selected | |
| PE-2 | Physical Access Authorizations | PE-2 | PE-2 | PE-2 | PE-2 (1)(Privacy) | |
| PE-3 | Physical Access Control | PE-3 | PE-3 | PE-3 (1) | PE-3 (1) | |
| PE-4 | Access Control For Transmission Medium | Not Selected | PE-4 | PE-4 | Not Selected | |
| PE-5 | Access Control For Output Devices | Not Selected | PE-5 | PE-5 | Not Selected | |
| PE-6 | Monitoring Physical Access | PE-6 | PE-6 (1) | PE-6 (1) (4) | Not Selected | |
| PE-8 | Visitor Access Records | PE-8 | PE-8 | PE-8 (1) | Not Selected | |
| PE-9 | Power Equipment and Cabling | Not Selected | PE-9 | PE-9 | Not Selected | |
| PE-10 | Emergency Shutoff | Not Selected | PE-10 | PE-10 | Not Selected | |
| PE-11 | Emergency Power | Not Selected | PE-11 | PE-11 (1) | Not Selected | |
| PE-12 | Emergency Lighting | PE-12 | PE-12 | PE-12 | Not Selected | |
| PE-13 | Fire Protection | PE-13 | PE-13 (2) (3) | PE-13 (1) (2) (3) | Not Selected | |
| PE-14 | Temperature and Humidity Controls | PE-14 | PE-14 (2) | PE-14 (2) | Not Selected | |
| PE-15 | Water Damage Protection | PE-15 | PE-15 | PE-15 (1) | Not Selected | |
| PE-16 | Delivery and Removal | PE-16 | PE-16 | PE-16 | Not Selected | |
| PE-17 | Alternate Work Site | Not Selected | PE-17 | PE-17 | Not Selected | |
| PE-18 | Location of Information System Components | Not Selected | Not Selected | PE-18 | PE-18 (Privacy) | |
| PL | **Planning** | | | | | |
| PL-1 | Security Planning Policy and Procedures | PL-1 | PL-1 | PL-1 | PL-1 (Ext) | |
| PL-2 | System Security Plan | PL-2 | PL-2 (3) | PL-2 (3) | PL-2 (Ext) | |
| PL-4 | Rules of Behavior | PL-4 | PL-4 (1) | PL-4 (1) | PL-4 (Ext) | |
| PL-8 | Information Security Architecture | Not Selected | PL-8 | PL-8 | PL-8 (1) | |
| PM | **Program Management** | | | | | |
| PM-1 | Information Security Program Plan | Not Selected | Not Selected | Not Selected | PM-1 (Privacy) | |
| PM-2 | Senior Information Security Officer | Not Selected | Not Selected | Not Selected | PM-2 (Privacy) (Ext) | |
| PM-3 | Information Security Resources | Not Selected | Not Selected | Not Selected | PM-3 (Privacy) | |
| PM-5 | Information System Inventory | Not Selected | Not Selected | Not Selected | PM-5 (Privacy) | |
| PM-7 | Enterprise Architecture | Not Selected | Not Selected | Not Selected | PM-7 (Privacy) | |
| PM-9 | Risk Management Strategy | Not Selected | Not Selected | Not Selected | PM-9 (Privacy) (Ext) | |
| PM-10 | Security Authorization Process | Not Selected | Not Selected | Not Selected | PM-10 (Privacy) (Ext) | |
| PM-11 | Mission/Business Process Definition | Not Selected | Not Selected | Not Selected | PM-11 (Privacy) (Ext) | |
| PM-12 | Insider Threat Program | Not Selected | Not Selected | Not Selected | PM-12 (Ext) | |
| PM-14 | Information Security Program Plan | Not Selected | Not Selected | Not Selected | PM-14 (Privacy) (Ext) | |
| PM-15 | Risk Management Strategy | Not Selected | Not Selected | Not Selected | PM-15 (Privacy) | |
| PS | **Personnel Security** | | | | | |
| PS-1 | Personnel Security Policy and Procedures | PS-1 | PS-1 | PS-1 | PS-1 (Ext) | |
| PS-2 | Position Risk Designation | PS-2 | PS-2 | PS-2 | PS-2 (Ext) | |
| PS-3 | Personnel Screening | PS-3 | PS-3 (3) | PS-3 (3) | PS-3 (Ext) (3) | |
| PS-4 | Personnel Termination | PS-4 | PS-4 | PS-4 (2) | PS-4 (1) | |
| PS-5 | Personnel Transfer | PS-5 | PS-5 | PS-5 | PS-5 (Ext) | |
| PS-6 | Access Agreements | PS-6 | PS-6 | PS-6 | PS-6 (3) | |
| PS-7 | Third-Party Personnel Security | PS-7 | PS-7 | PS-7 | Not Selected | |
| PS-8 | Personnel Sanctions | PS-8 | PS-8 | PS-8 | PS-8 (Ext) | |
| RA | **Risk Assessment** | | | | | |
| RA-1 | Risk Assessment Policy and Procedures | RA-1 | RA-1 | RA-1 | RA-1 (Ext) | |
| RA-2 | Security Categorization | RA-2 | RA-2 | RA-2 | RA-2 (Ext) | |
| RA-3 | Risk Assessment | RA-3 | RA-3 | RA-3 | RA-3 (Privacy) (Ext) | |
| RA-5 | Vulnerability Scanning | RA-5 | RA-5 (1) (2) (3) (5) (6) (8) | RA-5 (1) (2) (3) (4) (5) (6) (8) (10) | Not Selected | |
| SA | **System and Services Acquisition** | | | | | |
| SA-1 | System and Services Acquisition Policy and Procedures | SA-1 | SA-1 | SA-1 | Not Selected | |
| SA-2 | Allocation of Resources | SA-2 | SA-2 | SA-2 | SA-2 (Ext) | |
| SA-3 | System Development Life Cycle | SA-3 | SA-3 | SA-3 |  | |
| SA-4 | Acquisition Process | SA-4 (10) | SA-4 (1) (2) (8) (9) (10) | SA-4 (1) (2) (8) (9) (10) | SA-4 (Ext) (7) | |
| SA-5 | Information System Documentation | SA-5 | SA-5 | SA-5 | Not Selected | |
| SA-8 | Security Engineering Principles | Not Selected | SA-8 | SA-8 | Not Selected | |
| SA-9 | External Information System Services | SA-9 | SA-9 (1) (2) (4) (5) | SA-9 (1) (2) (4) (5) | SA-9 (Ext) (5)(Ext) | |
| SA-10 | Developer Configuration Management | Not Selected | SA-10 (1) | SA-10 (1) | Not Selected | |
| SA-11 | Developer Security Testing and Evaluation | Not Selected | SA-11 (1) (2) (8) | SA-11 (1) (2) (8) | SA-11 (Ext) (5)(Privacy) (5)(Ext) | |
| SA-12 | Supply Chain Protection | Not Selected | Not Selected | SA-12 | SA-12 | |
| SA-15 | Development Process, Standards and Tools | Not Selected | Not Selected | SA-15 | SA-15 (9) (Privacy)(Ext) | |
| SA-16 | Developer-Provided Training | Not Selected | Not Selected | SA-16 | Not Selected | |
| SA-17 | Developer Security Architecture and Design | Not Selected | Not Selected | SA-17 | SA-17 (Privacy)(Ext) | |
| SA-19 | Component Authenticity | Not Selected | Not Selected | Not Selected | SA-19 | |
| SA-21 | Developer Screening | Not Selected | Not Selected | Not Selected | SA-21 (Privacy) | |
| SC | **System and Communications Protection** | | | | | |
| SC-1 | System and Communications Protection Policy and Procedures | SC-1 | SC-1 | SC-1 | Not Selected | |
| SC-2 | Application Partitioning | Not Selected | SC-2 | SC-2 | SC-2 (Ext) | |
| SC-3 | Security Function Isolation | Not Selected | Not Selected | SC-3 | Not Selected | |
| SC-4 | Information In Shared Resources | Not Selected | SC-4 | SC-4 | Not Selected | |
| SC-5 | Denial of Service Protection | SC-5 | SC-5 | SC-5 | Not Selected | |
| SC-6 | Resource Availability | Not Selected | SC-6 | SC-6 | Not Selected | |
| SC-7 | Boundary Protection | SC-7 | SC-7 (3) (4) (5) (7) (8) (12) (13) (18) | SC-7 (3) (4) (5) (7) (8) (10) (12) (13) (18) (20) (21) | SC-7 (10) (11) (14) (14)(Privacy) | |
| SC-8 | Transmission Confidentiality and Integrity | Not Selected | SC-8 (1) | SC-8 (1) | SC-8 (Privacy) (1)(Privacy)(Ext) (2)(Privacy) (2) | |
| SC-10 | Network Disconnect | Not Selected | SC-10 | SC-10 | Not Selected | |
| SC-12 | Cryptographic Key Establishment and Management | SC-12 | SC-12 (2) (3) | SC-12 (1) (2) (3) | SC-12 (Privacy) | |
| SC-13 | Cryptographic Protection | SC-13 | SC-13 | SC-13 | SC-13 (Privacy) | |
| SC-15 | Collaborative Computing Devices | SC-15 | SC-15 | SC-15 | Not Selected | |
| SC-17 | Public Key Infrastructure Certificates | Not Selected | SC-17 | SC-17 | Not Selected | |
| SC-18 | Mobile Code | Not Selected | SC-18 | SC-18 | SC-18 (3) (4) | |
| SC-19 | Voice Over Internet Protocol | Not Selected | SC-19 | SC-19 | Not Selected | |
| SC-20 | Secure Name / Address Resolution Service (Authoritative Source) | SC-20 | SC-20 | SC-20 | Not Selected | |
| SC-21 | Secure Name / Address Resolution Service (Recursive or Caching Resolver) | SC-21 | SC-21 | SC-21 | Not Selected | |
| SC-22 | Architecture and Provisioning for Name / Address Resolution Service | SC-22 | SC-22 | SC-22 | Not Selected | |
| SC-23 | Session Authenticity | Not Selected | SC-23 | SC-23 (1) | SC-23 (1) (3) (5) | |
| SC-24 | Fail in Known State | Not Selected | Not Selected | SC-24 | Not Selected | |
| SC-28 | Protection of Information At Rest | Not Selected | SC-28 (1) | SC-28 (1) | SC-28 (Privacy) (1)(Ext) | |
| SC-39 | Process Isolation | SC-39 | SC-39 | SC-39 | Not Selected | |
| SE | **Security** | | | | | |
| SE-1 | Inventory of Personally Identifiable Information | Not Selected | Not Selected | Not Selected | SE-1 (Privacy) | |
| SE-2 | Privacy Incident Response | Not Selected | Not Selected | Not Selected | SE-2 (Privacy) | |
| SI | **System and Information Integrity** | | | | | |
| SI-1 | System and Information Integrity Policy and Procedures | SI-1 | SI-1 | SI-1 | Not Selected | |
| SI-2 | Flaw Remediation | SI-2 | SI-2 (2) (3) | SI-2 (1) (2) (3) | SI-2 (6) | |
| SI-3 | Malicious Code Protection | SI-3 | SI-3 (1) (2) (7) | SI-3 (1) (2) (7) | SI-3 (10 | |
| SI-4 | Information System Monitoring | SI-4 | SI-4 (1) (2) (4) (5) (14) (16) (23) | SI-4 (1) (2) (4) (5) (11) (14) (16) (18) (19) (20) (22) (23) (24) | SI-4 (12) (19) (20) (22) | |
| SI-5 | Security Alerts, Advisories and Directives | SI-5 | SI-5 | SI-5 (1) | Not Selected | |
| SI-6 | Security Function Verification | Not Selected | SI-6 | SI-6 | Not Selected | |
| SI-7 | Software, Firmware and Information Integrity | Not Selected | SI-7 (1) (7) | SI-7 (1) (2) (5) (7) (14) | SI-7 (Privacy) (6)(Privacy)(Ext) | |
| SI-8 | Spam Protection | Not Selected | SI-8 (1) (2) | SI-8 (1) (2) | Not Selected | |
| SI-10 | Information Input Validation | Not Selected | SI-10 | SI-10 | SI-10 (Privacy) (3) | |
| SI-11 | Error Handling | Not Selected | SI-11 | SI-11 | SI-11 (Privacy) | |
| SI-12 | Information Handling and Retention | SI-12 | SI-12 | SI-12 | SI-12 (Ext) | |
| SI-16 | Memory Protection | SI-16 | SI-16 | SI-16 | Not Selected | |
| TR | **Transparency** | | | | | |
| TR-1 | Privacy Notice | Not Selected | Not Selected | Not Selected | TR-1 (Privacy) | |
| TR-2 | System of Records Notices and Privacy Act Statements | Not Selected | Not Selected | Not Selected | TR-2 (Privacy) (1)(Privacy) | |
| TR-3 | Dissemination of Privacy Program Information | Not Selected | Not Selected | Not Selected | TR-3 (Privacy) | |
| UL | **Use Limitation** | | | | | |
| UL-1 | Internal Use | Not Selected | Not Selected | Not Selected | UL-1 (Privacy)(Ext) | |
| UL-2 | Information Sharing with Third Parties | Not Selected | Not Selected | Not Selected | UL-2 (Privacy)(Ext) | |

Note: The -1 Controls (AC-1, AU-1, SC-1, etc.) cannot be inherited and must be provided in some way by the service provider.

The definitions in Table 13‑2 Control Origination and Definitions indicate where each security control originates.

Table 13‑2. Control Origination and Definitions

| **Control Origination** | **Definition** | **Example** |
| --- | --- | --- |
| Service Provider Corporate | A control that originates from the Microsoft corporate network. | DNS from the corporate network provides address resolution services for the information system and the service offering. |
| Service Provider System Specific | A control specific to a particular system at Microsoft and the control is not part of the standard corporate controls. | A unique host-based intrusion detection system (HIDs) is available on the service offering platform but is not available on the corporate network. |
| Service Provider Hybrid | A control that makes use of both corporate controls and additional controls specific to a particular system at the Microsoft. | There are scans of the corporate network infrastructure; scans of databases and web-based application are system specific. |
| Configured by Customer | A control where the customer needs to apply a configuration in order to meet the control requirement. | User profiles, policy/audit configurations, enabling/disabling key switches (e.g., enable/disable http\* or https, etc.), entering an IP range specific to their organization are configurable by the customer. |
| Provided by Customer | A control where the customer needs to provide additional hardware or software in order to meet the control requirement. | The customer provides a SAML SSO solution to implement two-factor authentication. |
| Shared | A control that is managed and implemented partially by the Microsoft and partially by the customer. | Security awareness training must be conducted by both the CSPN and the customer. |
| Inherited from pre-existing FedRAMP Authorization for Azure Government (F1603087869), 9/25/2017 | A control that is inherited from another Microsoft system that has already received a FedRAMP Authorization. | A PaaS or SaaS provider inherits PE controls from an IaaS provider. |

\*Hyper Text Transport Protocol (http)

Responsible Role indicates the role of CSP employee who can best respond to questions about the particular control that is described.

## Access Control (AC)

### AC-1 Access Control Policy and Procedures Requirements (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [*FedRAMP* Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all personnel*]:
   1. An access control policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the access control policy and associated access controls; and
2. Reviews and updates the current:
   1. Access control policy [FedRAMP Assignment: at least annually]; and
   2. Access control procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

**AC-1 Additional CNSSI 1253 Privacy Overlay Requirements:**

**PHI Control Extension:**

The organization develops, disseminates, and reviews/updates the access control policies and procedures complying with the HIPAA Minimum Necessary Rule and permitted or required uses and disclosures, to limit unnecessary or inappropriate access to PHI.

| **AC-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_1\_role}} | |
| Parameter AC-01(a): {{ac\_1\_a\_parameter}} | |
| Parameter AC-01(b)(1): {{ac\_1\_b\_1\_parameter}} | |
| Parameter AC-01(b)(2): {{ac\_1\_b\_2\_parameter}} | |
| {{ac\_1\_status}} | |
| {{ac\_1\_origination}} | |

| AC-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_1\_a\_implementation}} |
| Part b | {{ac\_1\_b\_implementation}} |
| Ext. | {{ac\_1\_ext\_implementation}} |

### AC-2 Account Management (H) (L4) (L5)

The organization:

1. Identifies and selects the following types of information system accounts to support organizational missions/business functions: [Assignment: organization-defined information system account types];
2. Assigns account managers for information system accounts;
3. Establishes conditions for group and role membership;
4. Specifies authorized users of the information system, group and role membership, and access authorizations (i.e., privileges) and other attributes (as required) for each account;
5. Requires approvals by [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: ISSM or ISSO*] for requests to create information system accounts;
6. Creates, enables, modifies, disables, and removes information system accounts in accordance with [Assignment: organization-defined procedures or conditions];
7. Monitors the use of information system accounts;
8. Notifies account managers:
   1. When accounts are no longer required;
   2. When users are terminated or transferred; and
   3. When individual information system usage or need-to-know changes;
9. Authorizes access to the information system based on:
   1. A valid access authorization;
   2. Intended system usage; and
   3. Other attributes as required by the organization or associated missions/business functions;
10. Reviews accounts for compliance with account management requirements [FedRAMP Assignment: monthly for privileged accessed, every six (6) months for non-privileged access] [DoD SRG Assignment: at least annually]; and
11. Establishes a process for reissuing shared/group account credentials (if deployed) when individuals are removed from the group.

**AC-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Apply the Low PII confidentiality impact level Control Extension. Implement access controls within the information system based on users’ or user group’s need for access to PII in the performance of their duties. Organizations should provide access only to the minimum amount of PII necessary for users to perform their duties.

**PHI Control Extension:**

Apply the High PII confidentiality impact level Control Extension.

| **AC-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_role}} | |
| Parameter AC-02(a): {{ac\_2\_a\_parameter}} | |
| Parameter AC-02(e): {{ac\_2\_e\_parameter}} | |
| Parameter AC-02(f): {{ac\_2\_f\_parameter}} | |
| Parameter AC-02(j): {{ac\_2\_j\_parameter}} | |
| {{ac\_2\_status}} | |
| {{ac\_2\_origination}} | |

| **AC-2 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{ac\_2\_a\_implementation}} |
| Part b | {{ac\_2\_b\_implementation}} |
| Part c | {{ac\_2\_c\_implementation}} |
| Part d | {{ac\_2\_d\_implementation}} |
| Part e | {{ac\_2\_e\_implementation}} |
| Part f | {{ac\_2\_f\_implementation}} |
| Part g | {{ac\_2\_g\_implementation}} |
| Part h | {{ac\_2\_h\_implementation}} |
| Part i | {{ac\_2\_i\_implementation}} |
| Part j | {{ac\_2\_j\_implementation}} |
| Part k | {{ac\_2\_k\_implementation}} |
| Ext. | {{ac\_2\_ext\_implementation}} |

#### AC-2 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to support the management of information system accounts.

| **AC-2(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_1\_role}} | |
| {{ac\_2\_1\_status}} | |
| {{ac\_2\_1\_origination}} | |

|  |
| --- |
| AC-2 (1) What is the solution and how is it implemented? |
| {{ac\_2\_1\_implementation}} |

#### AC-2 (2) Control Enhancement (H)

The information system automatically [FedRAMP Selection: disables] temporary and emergency accounts after [FedRAMP Assignment: 24 hours from last use] [DoD SRG Assignment: For temporary user accounts: 72 hours; For emergency admin accounts: never].

| **AC-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_2\_role}} | |
| Parameter AC-2(2)1: {{ac\_2\_2\_1\_parameter}} | |
| Parameter AC-2(2)2: {{ac\_2\_2\_2\_parameter}} | |
| {{ac\_2\_2\_status}} | |
| {{ac\_2\_2\_origination}} | |

|  |
| --- |
| AC-2 (2) What is the solution and how is it implemented? |
| {{ac\_2\_2\_implementation}} |

#### AC-2 (3) Control Enhancement (H)

The information system automatically disables inactive accounts after [FedRAMP Assignment: thirty-five (35) days for user accounts]. [*DoD SRG Assignment: thirty-five (35) days*]

AC-2 (3) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines the time period for non-user accounts (e.g., accounts associated with devices). The time periods are approved and accepted by the JAB/AO. Where user management is a function of the service, reports of activity of consumer users shall be made available.

| **AC-2 (3)** | **Control Enhancement Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_3\_role}} | |
| Parameter AC-02(3):{{ac\_2\_3\_parameter}} | |
| {{ac\_2\_3\_status}} | |
| {{ac\_2\_3\_origination}} | |

|  |
| --- |
| AC-2 (3) What is the solution and how is it implemented |
| {{ac\_2\_3\_implementation}} |

#### AC-2 (4) Control Enhancement (H)

The information system automatically audits account creation, modification, enabling, disabling, and removal actions, and notifies [FedRAMP Assignment: organization and/or service provider system owner] [DoD SRG Assignment: system administrator and ISSO]

| **AC-2 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_4\_role}} | |
| Parameter AC-02(4):{{ac\_2\_4\_parameter}} | |
| {{ac\_2\_4\_status}} | |
| {{ac\_2\_4\_origination}} | |

|  |
| --- |
| AC-2 (4) What is the solution and how is it implemented? |
| {{ac\_2\_4\_implementation}} |

#### AC-2 (5) Control Enhancement (H)

The organization requires that users log out when [FedRAMP Assignment: inactivity is anticipated to exceed fifteen (15) minutes] [DoD SRG Assignment: At the end of the users standard work period unless otherwise defined in formal organizational policy].

**AC-2 (5) Additional FedRAMP Requirements and Guidance:**

Guidance: Should use a shorter timeframe than AC-12

| **AC-2 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_5\_role}} | |
| Parameter AC-02(5): {{ac\_2\_5\_parameter}} | |
| {{ac\_2\_5\_status}} | |
| {{ac\_2\_5\_origination}} | |

|  |
| --- |
| AC-2 (5) What is the solution and how is it implemented? |
| {{ac\_2\_5\_implementation}} |

#### AC-2 (7) Control Enhancement (H)

The organization:

1. Establishes and administers privileged user accounts in accordance with a role-based access scheme that organizes allowed information system access and privileges into roles;
2. Monitors privileged role assignments; and
3. Takes [FedRAMP Assignment: disables//revokes access within an organization-specified timeframe] [DoD SRG Assignment: Disables (or revokes) privileged user account] when privileged role assignments are no longer appropriate.

|  |  |
| --- | --- |
| **AC-2 (7)** | **Control Summary Information** |
| Responsible Role: {{ac\_2\_7\_role}} | |
| Parameter AC-02(7)(c):{{ac\_2\_7\_parameter}} | |
| {{ac\_2\_7\_status}} | |
| {{ac\_2\_7\_origination}} | |

| AC-2 (7) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_2\_7\_a\_implementation}} |
| Part b | {{ac\_2\_7\_b\_implementation}} |
| Part c | {{ac\_2\_7\_c\_implementation}} |

#### AC-2 (9) Control Enhancement (H) (L4) (l5)

The organization only permits the use of shared/group accounts that meet [FedRAMP Assignment: organization-defined need with justification statement that explains why such accounts are necessary] [*DoD SRG Assignment: In support of auditing and accountability, shared/group accounts are not permitted unless the requirement to uniquely attribute user activity to the account is implemented; exceptions may be approved on a case-by-case basis. Personal accounts will not be shared*].

AC-2 (9) Additional FedRAMP Requirements and Guidance: Required if shared/group accounts are deployed.

| **AC-2 (9)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_9\_role}} | |
| Parameter AC-02(9): {{ac\_2\_9\_parameter}} | |
| Parameter AC-2(9) (Privacy): {{ac\_2\_9\_p\_parameter}} | |
| {{ac\_2\_9\_status}} | |
| {{ac\_2\_9\_origination}} | |

|  |
| --- |
| AC-2 (9) What is the solution and how is it implemented? |
| {{ac\_2\_9\_implementation}} |

#### AC-2 (10) Control Enhancement (M) (H)

The information system terminates shared/group account credentials when members leave the group.

AC-2 (10) Additional FedRAMP Requirements and Guidance: Required if shared/group accounts are deployed.

| **AC-2 (10)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_10\_role}} | |
| {{ac\_2\_10\_status}} | |
| {{ac\_2\_10\_origination}} | |

|  |
| --- |
| AC-2 (10) What is the solution and how is it implemented? |
| {{ac\_2\_10\_implementation}} |

#### AC-2 (11) Control Enhancement (H)

The information system enforces [Assignment: organization-defined circumstances and/or usage conditions] for [Assignment: organization-defined information system accounts].

| AC-2 (11) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_2\_11\_role}} | |
| Parameter AC-2 (11)-1: {{ac\_2\_11\_1\_parameter}} | |
| Parameter AC-2 (11)-2: {{ac\_2\_11\_2\_parameter}} | |
| {{ac\_2\_11\_status}} | |
| {{ac\_2\_11\_origination}} | |

| AC-2 (11) What is the solution and how is it implemented? |
| --- |
| {{ac\_2\_11\_implementation}} |

#### AC-2 (12) Control Enhancement (H)

The organization:

1. Monitors information system accounts for [Assignment: organization-defined atypical use]; and
2. Reports atypical usage of information system accounts to [FedRAMP Assignment: at a minimum, the ISSO and/or similar role within the organization] [DoD SRG Assignment: at a minimum, the ISSO] .

AC-2 (12) (a) and AC-2 (12) (b) Additional FedRAMP Requirements and Guidance: Required for privileged accounts.

| **AC-2 (12)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_2\_12\_role}} | |
| Parameter AC-02(12)(a):{{ac\_2\_12\_a\_parameter}} | |
| Parameter AC-02(12)(b):{{ac\_2\_12\_b\_parameter}} | |
| {{ac\_2\_12\_status}} | |
| {{ac\_2\_12\_origination}} | |

| AC-2 (12) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_2\_12\_a\_implementation}} |
| Part b | {{ac\_2\_12\_b\_implementation}} |

#### AC-2 (13) Control Enhancement (H) (L4) (L5)

The organization disables accounts of users posing a significant risk within [FedRAMP Assignment: one (1) hour] [DoD SRG Assignment: 30 minutes unless otherwise defined in formal organizational policy] of discovery of the risk.

| AC-2 (13) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_2\_13\_role}} | |
| Parameter AC-2 (13): {{ac\_2\_13\_parameter}} | |
| {{ac\_2\_13\_status}} | |
| {{ac\_2\_13\_origination}} | |

| AC-2 (13) What is the solution and how is it implemented? |
| --- |
| {{ac\_2\_13\_implementation}} |

### AC-3 Access Enforcement (L) (M) (H) (L4) (L5)

The information system enforces approved authorizations for logical access to information and system resources in accordance with applicable access control policies.

**AC-3 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Organizations shall control access to PII through access enforcement mechanisms. For example, implement role-based access controls and configure access controls so that each user can access only the pieces of information necessary for the user’s role or only permit users to access PII through an application that restricts their access to the PII the users require, instead of allowing users direct access to a database or files containing PII.

| **AC-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_3\_role}} | |
| {{ac\_3\_status}} | |
| {{ac\_3\_origination}} | |

| AC-3 What is the solution and how is it implemented? | |
| --- | --- |
| AC-3 | {{ac\_3\_implementation}} |
| Ext. | {{ac\_3\_ext\_implementation}} |

#### AC-3 (4) Control Enhancement (L4) (L5)

The information system enforces [*Assignment: organization-defined discretionary access control policy*] over defined subjects and objects where the policy specifies that a subject that has been granted access to information can do one or more of the following:

1. Pass the information to any other subjects or objects;
2. Grant its privileges to other subjects;
3. Change security attributes on subjects, objects, the information system, or the information system’s components;
4. Choose the security attributes to be associated with newly created or revised objects; or
5. Change the rules governing access control.

| **AC-3 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_3\_4\_role}} | |
| Parameter AC-3(4): {{ac\_3\_4\_parameter}} | |
| {{ac\_3\_4\_status}} | |
| {{ac\_3\_4\_origination}} | |

| AC-3 (4) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_3\_4\_a\_implementation}} |
| Part b | {{ac\_3\_4\_b\_implementation}} |
| Part c | {{ac\_3\_4\_c\_implementation}} |
| Part d | {{ac\_3\_4\_d\_implementation}} |
| Part e | {{ac\_3\_4\_a\_implementation}} |

#### AC-3 (9) Control Enhancement (L4) (L5)

The information system does not release information outside of the established system boundary unless:

1. The receiving [*Assignment: organization-defined information system or system component*] provides [*Assignment: organization-defined security safeguards*]; and;
2. [*Assignment: organization-defined security safeguards*] are used to validate the appropriateness of the information designated for release.

**AC-3 (9) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Applicable policy mandates establishing policy regarding access to PII, including PHI, are the Privacy Act of 1974, E-Government Act of 2002 (Section 208), and HIPAA. PII may only be released when authorized, there is a need to know, and adequate assurances of protection have been provided.

| **AC-3 (9)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_3\_9\_role}} | |
| Parameter AC-3(9)(a): {{ac\_3\_9\_a\_parameter}} | |
| Parameter AC-3(9)(b): {{ac\_3\_9\_b\_parameter}} | |
| {{ac\_3\_9\_status}} | |
| {{ac\_3\_9\_origination}} | |

| AC-3 (9) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_3\_9\_a\_implementation}} |
| Part b | {{ac\_3\_9\_b\_implementation}} |
| Ext. | {{ac\_3\_9\_ext\_implementation}} |

### AC-4 Information Flow Enforcement (M) (H)

The information system enforces approved authorizations for controlling the flow of information within the system and between interconnected systems based on [Assignment: organization-defined information flow control policies].

| **AC-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_role}} | |
| Parameter AC-04: {{ac\_4\_parameter}} | |
| {{ac\_4\_status}} | |
| {{ac\_4\_origination}} | |

| AC-4 What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_implementation}} |

#### AC-4 (8) Control Enhancement (H) (L4) (L5)

The information system enforces information flow control using [Assignment: organization-defined security policy filters] as a basis for flow control decisions for [Assignment: organization-defined information flows].

| AC-4 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_4\_8\_role}} | |
| Parameter AC-4 (8)-1: {{ac\_4\_8\_1\_parameter}} | |
| Parameter AC-4 (8)-2: {{ac\_4\_8\_2\_parameter}} | |
| {{ac\_4\_8\_status}} | |
| {{ac\_4\_8\_origination}} | |

| AC-4 (8) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_8\_implementation}} |

#### AC-4 (12) Control Enhancement (L4) (l5)

The information system, when transferring information between different security domains, uses [*Assignment: organization-defined data type identifiers*] to validate data essential for information flow decisions.

| **AC-4 (12)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_12\_role}} | |
| Parameter AC-4(12): {{ac\_4\_12\_parameter}} | |
| {{ac\_4\_12\_status}} | |
| {{ac\_4\_12\_origination}} | |

| AC-4 (12) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_12\_implementation}} |

#### AC-4 (15) Control Enhancement (L4) (L5)

The information system, when transferring information between different security domains, examines the information for the presence of [*Assignment: organized-defined unsanctioned information*] and prohibits the transfer of such information in accordance with the [*Assignment: organization-defined security policy*].

| **AC-4 (15)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_15\_role}} | |
| Parameter AC-4(15)-1: {{ac\_4\_15\_1\_parameter}} | |
| Parameter AC-4(15)-2: {{ac\_4\_15\_2\_parameter}} | |
| {{ac\_4\_15\_status}} | |
| {{ac\_4\_15\_origination}} | |

| AC-4 (15) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_15\_implementation}} |

#### AC-4 (17) Control Enhancement (L4) (L5)

The information system uniquely identifies and authenticates source and destination points by [*Selection (one or more): organization, system, application, individual*] for information transfer.

| **AC-4 (17)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_17\_role}} | |
| Parameter AC-4(17): {{ac\_4\_17\_parameter}} | |
| {{ac\_4\_17\_status}} | |
| {{ac\_4\_17\_origination}} | |

| AC-4 (17) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_17\_implementation}} |

#### AC-4 (18) Control Enhancement (L4) (L5)

The information system binds security attributes to information using [*Assignment: organization-defined binding techniques*] to facilitate information flow policy enforcement.

| **AC-4 (18)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_18\_role}} | |
| Parameter AC-4(18): {{ac\_4\_18\_parameter}} | |
| {{ac\_4\_18\_status}} | |
| {{ac\_4\_18\_origination}} | |

| AC-4 (18) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_18\_implementation}} |

#### AC-4 (21) Control Enhancement (M) (H)

The information system separates information flows logically or physically using [Assignment: organization-defined mechanisms and/or techniques] to accomplish [Assignment: organization-defined required separations by types of information].

| **AC-4 (21)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_4\_21\_role}} | |
| Parameter AC-4(21)-1: {{ac\_4\_21\_1\_parameter}} | |
| Parameter AC-4(21)-2: {{ac\_4\_21\_2\_parameter}} | |
| {{ac\_4\_21\_status}} | |
| {{ac\_4\_21\_origination}} | |

| AC-4 (21) What is the solution and how is it implemented? |
| --- |
| {{ac\_4\_21\_implementation}} |

### AC-5 Separation of Duties (M) (H)

The organization:

Separates [Assignment: organization-defined duties of individuals];

Documents separation of duties of individuals; and

Defines information system access authorizations to support separation of duties.

AC-5 Additional FedRAMP Requirements and Guidance:

Guidance: CSPs have the option to provide a separation of duties matrix as an attachment to the SSP. Directions for attaching the Separation of Duties Matrix document may be found in Attachment 11, Separation of Duties Matrix.

| **AC-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_5\_role}} | |
| Parameter AC-05(a): {{ac\_5\_parameter}} | |
| {{ac\_5\_status}} | |
| {{ac\_5\_origination}} | |

| AC-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_5\_a\_implementation}} |
| Part b | {{ac\_5\_b\_implementation}} |
| Part c | {{ac\_5\_c\_implementation}} |

### AC-6 Least Privilege (M) (H)

The organization employs the principle of least privilege, allowing only authorized accesses for users (or processes acting on behalf of users) which are necessary to accomplish assigned tasks in accordance with organizational missions and business functions.

| **AC-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_role}} | |
| {{ac\_6\_status}} | |
| {{ac\_6\_origination}} | |

| AC-6 What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_implementation}} |

#### AC-6 (1) Control Enhancement (H)

The organization explicitly authorizes access to [FedRAMP Assignment: all functions not publicly accessible and all security-relevant information not publicly available] [DoD SRG Assignment: all functions not publicly accessible and all security-relevant information not publicly available].

| **AC-6 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_1\_role}} | |
| Parameter AC-06(1): {{ac\_6\_1\_parameter}} | |
| {{ac\_6\_1\_status}} | |
| {{ac\_6\_1\_origination}} | |

| AC-6 (1) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_1\_implementation}} |

#### AC-6 (2) Control Enhancement (M) (H)

The organization requires that users of information system accounts, or roles, with access to [FedRAMP Assignment: all security functions] [*DoD SRG Assignment: all security functions*], use non-privileged accounts or roles, when accessing non-security functions.

AC-6 (2) Additional FedRAMP Requirements and Guidance: Examples of security functions include but are not limited to: establishing system accounts, configuring access authorizations (i.e., permissions, privileges), setting events to be audited, and setting intrusion detection parameters, system programming, system and security administration, other privileged functions.

| **AC-6 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_2\_role}} | |
| Parameter AC-06(2): {{ac\_6\_2\_parameter}} | |
| {{ac\_6\_2\_status}} | |
| {{ac\_6\_2\_origination}} | |

| AC-6 (2) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_2\_implementation}} |

#### AC-6 (3) Control Enhancement (H)

The organization authorizes network access to [FedRAMP Assignment: all privileged commands] only for [Assignment: organization-defined compelling operational needs] and documents the rationale for such access in the security plan for the information system.

| AC-6 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_6\_3\_role}} | |
| Parameter AC-6 (3)-1: {{ac\_6\_3\_1\_parameter}} | |
| Parameter AC-6 (3)-2: {{ac\_6\_3\_2\_parameter}} | |
| {{ac\_6\_3\_status}} | |
| {{ac\_6\_3\_origination}} | |

| AC-6 (3) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_3\_implementation}} |

#### AC 6 (5) Control Enhancement (M) (H)

The organization restricts privileged accounts on the information system to [Assignment: organization-defined personnel or roles].

| **AC-6 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_5\_role}} | |
| Parameter AC-06(5): {{ac\_6\_5\_parameter}} | |
| {{ac\_6\_5\_status}} | |
| {{ac\_6\_5\_origination}} | |

| AC-6 (5) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_5\_implementation}} |

#### AC-6 (7) Control Enhancement (H) (L4) (L5)

The organization:

1. Reviews [FedRAMP Assignment: at a minimum, annually] [DoD SRG Assignment: at a minimum, annually] the privileges assigned to [FedRAMP Assignment: all users with privileges] [DoD SRG Assignment: All users] to validate the need for such privileges; and
2. Reassigns or removes privileges, if necessary, to correctly reflect organizational mission/business needs.

| AC-6 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_6\_7\_role}} | |
| Parameter AC-6(7)(a)-1: {{ac\_6\_7\_1\_parameter}} | |
| Parameter AC-6(7)(a)-2: {{ac\_6\_7\_2\_parameter}} | |
| {{ac\_6\_7\_status}} | |
| {{ac\_6\_7\_origination}} | |

| AC-6 (7) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_6\_7\_a\_implementation}} |
| Part b | {{ac\_6\_7\_b\_implementation}} |

#### AC-6 (8) Control Enhancement (H)

The information system prevents [FedRAMP Assignment: any software except software explicitly documented] [*DoD SRG Assignment: any software except software explicitly documented*] from executing at higher privilege levels than users executing the software.

| AC-6 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_6\_8\_role}} | |
| Parameter AC-6 (8): {{ac\_6\_8\_parameter}} | |
| {{ac\_6\_8\_status}} | |
| {{ac\_6\_8\_origination}} | |

| AC-6 (8) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_8\_implementation}} |

#### AC-6 (9) Control Enhancement (M) (H)

The information system audits the execution of privileged functions.

| **AC-6 (9)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_9\_role}} | |
| {{ac\_6\_9\_status}} | |
| {{ac\_6\_9\_origination}} | |

| AC-6 (9) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_9\_implementation}} |

#### AC-6 (10) Control Enhancement (M) (H)

The information system prevents non-privileged users from executing privileged functions to include disabling, circumventing, or altering implemented security safeguards/countermeasures.

| **AC-6 (10)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_6\_10\_role}} | |
| {{ac\_6\_10\_status}} | |
| {{ac\_6\_10\_origination}} | |

| AC-6 (10) What is the solution and how is it implemented? |
| --- |
| {{ac\_6\_10\_implementation}} |

### AC-7 Unsuccessful Login Attempts (H)

The organization:

Enforces a limit of [FedRAMP Assignment: not more than three (3)] [DoD SRG Assignment: not more than three (3)] consecutive invalid logon attempts by a user during a [FedRAMP Assignment: fifteen (15) minutes] [DoD SRG Assignment: fifteen (15) minutes]; and

Automatically [Selection: locks the account/node for a [FedRAMP Assignment: minimum of three (3) hours or until unlocked by an administrator [DoD SRG Assignment: until released by an administrator]; delays next logon prompt according to [Assignment: organization-defined delay algorithm] [DoD SRG Assignment: minimum of 5 seconds] when the maximum number of unsuccessful attempts is exceeded.

| **AC-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_7\_role}} | |
| Parameter AC-7(a)-1: {{ac\_7\_a\_1\_parameter}} | |
| Parameter AC-7(a)-2: {{ac\_7\_a\_2\_parameter}} | |
| Parameter AC-7(b)-1: {{ac\_7\_b\_1\_parameter}} | |
| Parameter AC-7(b)-2: {{ac\_7\_b\_2\_parameter}} | |
| {{ac\_7\_status}} | |
| {{ac\_7\_origination}} | |

| AC-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_7\_a\_implementation}} |
| Part b | {{ac\_7\_b\_implementation}} |

#### AC-7 (2) Control Enhancement (H)

The information system purges/wipes information from [FedRAMP Assignment: mobile devices as defined by organization policy] based on [Assignment: organization-defined purging/wiping requirements/techniques] after [FedRAMP Assignment: three (3)] consecutive, unsuccessful device logon attempts.

| AC-7 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_7\_2\_role}} | |
| Parameter AC-7 (2)-1: {{ac\_7\_2\_1\_parameter}} | |
| Parameter AC-7 (2)-2: {{ac\_7\_2\_2\_parameter}} | |
| Parameter AC-7 (2)-3: {{ac\_7\_2\_3\_parameter}} | |
| {{ac\_7\_2\_status}} | |
| {{ac\_7\_2\_origination}} | |

| AC-7 (2) What is the solution and how is it implemented? |
| --- |
| {{ac\_7\_2\_implementation}} |

### AC-8 System Use Notification (L) (M) (H)

The information system:

1. Displays to users [Assignment: organization-defined system use notification message or banner (FedRAMP Assignment: see additional Requirements and Guidance)] [DoD SRG Assignment: The content of DTM 08-060, "Policy on Use of Department of Defense (DoD) Information Systems – Standard Consent Banner and User Agreement," March 2013] before granting access to the system that provides privacy and security notices consistent with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and guidance and states that:
   1. Users are accessing a U.S. Government information system;
   2. Information system usage may be monitored, recorded, and subject to audit;
   3. Unauthorized use of the information system is prohibited and subject to criminal and civil penalties; and
   4. Use of the information system indicates consent to monitoring and recording;
2. Retains the notification message or banner on the screen until users acknowledge the usage conditions and take explicit actions to log on to or further access the information system; and
3. For publicly accessible systems:
   1. Displays system use information [Assignment: organization-defined conditions (FedRAMP Assignment: see additional Requirements and Guidance)] [DoD SRG Assignment: The content of DTM 08-060, "Policy on Use of Department of Defense (DoD) Information Systems – Standard Consent Banner and User Agreement," March 2013], before granting further access;
   2. Displays references, if any, to monitoring, recording, or auditing that are consistent with privacy accommodations for such systems that generally prohibit those activities; and
   3. Includes a description of the authorized uses of the system.

AC-8 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider shall determine elements of the cloud environment that require the System Use Notification control. The elements of the cloud environment that require System Use Notification are approved and accepted by the JAB/AO.

Requirement: The service provider shall determine how System Use Notification is going to be verified and provide appropriate periodicity of the check. The System Use Notification verification and periodicity are approved and accepted by the JAB/AO.

Guidance: If performed as part of a Configuration Baseline check, then the % of items requiring setting that are checked and that pass (or fail) check can be provided.

Requirement: If not performed as part of a Configuration Baseline check, then there must be documented agreement on how to provide results of verification and the necessary periodicity of the verification by the service provider. The documented agreement on how to provide verification of the results are approved and accepted by the JAB/AO.

| **AC-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_8\_role}} | |
| Parameter AC-08(a):{{ac\_8\_a\_parameter}} | |
| Parameter AC-08(c)(1):{{ac\_8\_c\_1\_parameter}} | |
| {{ac\_8\_status}} | |
| {{ac\_8\_origination}} | |

| AC-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_8\_a\_implementation}} |
| Part b | {{ac\_8\_b\_implementation}} |
| Part c | {{ac\_8\_c\_implementation}} |

Additional FedRAMP Requirements and Guidance

Requirement 1: The service provider shall determine elements of the cloud environment that require the System Use Notification control. The elements of the cloud environment that require System Use Notification are approved and accepted by the JAB/AO.

Requirement 2: The service provider shall determine how System Use Notification is going to be verified and provide appropriate periodicity of the check. The System Use Notification verification and periodicity are approved and accepted by the JAB/AO. If performed as part of a Configuration Baseline check, then the % of items requiring setting that are checked and that pass (or fail) check can be provided.

Requirement 3: If not performed as part of a Configuration Baseline check, then there must be documented agreement on how to provide results of verification and the necessary periodicity of the verification by the service provider. The documented agreement on how to provide verification of the results are approved and accepted by the JAB/AO.

| **AC-8 Req.** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_8\_r\_role}} | |
| {{ac\_8\_r\_status}} | |
| {{ac\_8\_r\_origination}} | |

| AC-8 What is the solution and how is it implemented? | |
| --- | --- |
| Req. 1 | {{ac\_8\_r\_1\_implementation}} |
| Req. 2 | {{ac\_8\_r\_2\_implementation}} |
| Req. 3 | {{ac\_8\_r\_3\_implementation}} |

### AC-10 Concurrent Session Control (M) (H)

The information system limits the number of concurrent sessions for each [Assignment: organization-defined account and/or account type] [DoD SRG Assignment: all account types and or/accounts] to [FedRAMP Assignment: three (3) sessions for privileged access and two (2) sessions for non-privileged access].

| **AC-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_10\_role}} | |
| Parameter AC-10-1: {{ac\_10\_1\_parameter}} | |
| Parameter AC-10-2: {{ac\_10\_2\_parameter}} | |
| {{ac\_10\_status}} | |
| {{ac\_10\_origination}} | |

| AC-10 What is the solution and how is it implemented? |
| --- |
| {{ac\_10\_implementation}} |

### AC-11 Session Lock (M) (H) (L4) (L5)

The information system:

1. Prevents further access to the system by initiating a session lock after [FedRAMP Assignment: fifteen (15) minutes] [DoD SRG Assignment: fifteen (15) minutes] of inactivity or upon receiving a request from a user; and
2. Retains the session lock until the user reestablishes access using established identification and authentication procedures.

**AC-11 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Period of inactivity shall be no more than 30 minutes before session lock occurs for remote and mobile devices and requires user re-authentication. As agencies continue to migrate to laptops and docking stations making clients increasingly mobile, this is a logical extension of that requirement.

| **AC-11** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_11\_role}} | |
| Parameter AC-11(a): {{ac\_11\_a\_parameter}} | |
| {{ac\_11\_status}} | |
| {{ac\_11\_origination}} | |

| AC-11 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_11\_a\_implementation}} |
| Part b | {{ac\_11\_b\_implementation}} |
| Ext. | {{ac\_11\_ext\_implementation}} |

#### AC-11 (1) Control Enhancement (M) (H)

The information system conceals, via the session lock, information previously visible on the display with a publicly viewable image.

| **AC-11 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_11\_1\_role}} | |
| {{ac\_11\_1\_status}} | |
| {{ac\_11\_1\_origination}} | |

| AC-11 (1) What is the solution and how is it implemented? |
| --- |
| {{ac\_11\_1\_implementation}} |

### AC-12 Session Termination (M) (H)

The information system automatically terminates a user session after [Assignment: organization-defined conditions or trigger events requiring session disconnect].

| **AC-12** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_12\_role}} | |
| Parameter AC-12: {{ac\_12\_parameter}} | |
| {{ac\_12\_status}} | |
| {{ac\_12\_origination}} | |

| AC-12 What is the solution and how is it implemented? |
| --- |
| {{ac\_12\_implementation}} |

#### AC-12 (1) Control Enhancement (H)

The information system:

1. Provides a logout capability for user-initiated communications sessions whenever authentication is used to gain access to [Assignment: organization-defined information resources] [DoD SRG Assignment: all]; and
2. Displays an explicit logout message to users indicating the reliable termination of authenticated communications sessions.

AC-12(1) Additional FedRAMP Requirements and Guidance:

Guidance: Testing for logout functionality (OTG-SESS-006) https://www.owasp.org/index.php/Testing\_for\_logout\_functionality\_%28OTG-SESS-006%29

| AC-12 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_12\_1\_role}} | |
| Parameter AC-12(1)(a)1: {{ac\_12\_1\_a\_1\_parameter}} | |
| {{ac\_12\_1\_status}} | |
| {{ac\_12\_1\_origination}} | |

| AC-12(1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_12\_1\_a\_implementation}} |
| Part b | {{ac\_12\_1\_b\_implementation}} |

### AC-14 Permitted Actions without Identification or Authentication (L) (M) (H)

The organization:

1. Identifies [Assignment: organization-defined user actions] that can be performed on the information system without identification or authentication consistent with organizational missions/business functions; and
2. Documents and provides supporting rationale in the security plan for the information system, user actions not requiring identification or authentication.

| **AC-14** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_14\_role}} | |
| Parameter AC-14(a): {{ac\_14\_a\_parameter}} | |
| {{ac\_14\_status}} | |
| {{ac\_14\_origination}} | |

| AC-14 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_14\_a\_implementation}} |
| Part b | {{ac\_14\_b\_implementation}} |

### AC-16 Security Attributes (L4) (L5)

The organization:

1. Provides the means to associate [*Assignment: organization-defined types of security attributes*] having [*Assignment: organization-defined security attribute values*] with information in storage, in process, and/or in transmission;
2. Ensures that the security attribute associations are made and retained with the information;
3. Establishes the permitted [*DoD Assignment: security attributes defined in AC-16, CCIs 2256-2258*] [*Assignment: organization-defined security attributes*] for [*DoD Assignment: all information systems*] [*Assignment: organization-defined information systems*]; and
4. Determines the permitted [*DoD Assignment: the values defined in AC-16, CCIs 2259-2261*] [*Assignment: organization-defined values or ranges*] for each of the established security attributes.

| **AC-16** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_16\_role}} | |
| Parameter AC-16(a)-1: {{ac\_16\_a\_1\_parameter}} | |
| Parameter AC-16(a)-2: {{ac\_16\_a\_2\_parameter}} | |
| Parameter AC-16(c)-1: {{ac\_16\_c\_1\_parameter}} | |
| Parameter AC-16(c)-2: {{ac\_16\_c\_2\_parameter}} | |
| Parameter AC-16(d): {{ac\_16\_d\_parameter}} | |
| {{ac\_16\_status}} | |
| {{ac\_16\_origination}} | |

| AC-16 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_16\_a\_implementation}} |
| Part b | {{ac\_16\_b\_implementation}} |
| Part c | {{ac\_16\_c\_implementation}} |
| Part d | {{ac\_16\_d\_implementation}} |

#### AC-16 (3) Control Enhancement (L4) (l5)

The information system maintains the association and integrity of [*Assignment: organization-defined security attributes*] to [*Assignment: organization-defined subjects and objects*].

| **AC-16 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_16\_3\_role}} | |
| Parameter AC-16(3)-1: {{ac\_16\_3\_1\_parameter}} | |
| Parameter AC-16(3)-2: {{ac\_16\_3\_2\_parameter}} | |
| {{ac\_16\_3\_status}} | |
| {{ac\_16\_3\_origination}} | |

| AC-16 (3) What is the solution and how is it implemented? |
| --- |
| {{ac\_16\_3\_implementation}} |

#### AC-16 (6) control Enhancement (L4) (L5)

The organization allows personnel to associate, and maintain the association of [*Assignment: organization-defined security attributes*] with [*Assignment: organization-defined subjects and objects*] in accordance with [*Assignment: organization-defined security policies*].

| **AC-16 (6)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_16\_6\_role}} | |
| Parameter AC-16(6)-1: {{ac\_16\_6\_1\_parameter}} | |
| Parameter AC-16(6)-2: {{ac\_16\_6\_2\_parameter}} | |
| Parameter AC-16(6)-3: {{ac\_16\_6\_3\_parameter}} | |
| {{ac\_16\_6\_status}} | |
| {{ac\_16\_6\_origination}} | |

| AC-16 (6) What is the solution and how is it implemented? |
| --- |
| {{ac\_16\_6\_implementation}} |

### AC-17 Remote Access (L) (M) (H)

The organization:

1. Establishes and documents usage restrictions, configuration/connection requirements, and implementation guidance for each type of remote access allowed; and
2. Authorizes remote access to the information system prior to allowing such connections.

| **AC-17** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_role}} | |
| {{ac\_17\_status}} | |
| {{ac\_17\_origination}} | |

| AC-17 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_17\_a\_implementation}} |
| Part b | {{ac\_17\_b\_implementation}} |

#### AC-17 (1) Control Enhancement (M) (H)

The information system monitors and controls remote access methods.

| **AC-17 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_1\_role}} | |
| {{ac\_17\_1\_status}} | |
| {{ac\_17\_1\_origination}} | |

| AC-17 (1) What is the solution and how is it implemented? |
| --- |
| {{ac\_17\_1\_implementation}} |

#### AC-17 (2) Control Enhancement (M) (H)

The information system implements cryptographic mechanisms to protect the confidentiality and integrity of remote access sessions.

| **AC-17 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_2\_role}} | |
| {{ac\_17\_2\_status}} | |
| {{ac\_17\_2\_origination}} | |

| AC-17 (2) What is the solution and how is it implemented? |
| --- |
| {{ac\_17\_2\_implementation}} |

#### AC-17 (3) Control Enhancement (M) (H)

The information system routes all remote accesses through [Assignment: organization-defined number] managed network access control points.

| **AC-17 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_3\_role}} | |
| Parameter AC-17(3): {{ac\_17\_3\_parameter}} | |
| {{ac\_17\_3\_status}} | |
| {{ac\_17\_3\_origination}} | |

| AC-17 (3) What is the solution and how is it implemented? |
| --- |
| {{ac\_17\_3\_implementation}} |

#### AC-17 (4) Control Enhancement (M) (H)

The organization:

1. Authorizes the execution of privileged commands and access to security-relevant information via remote access only for [Assignment: organization-defined needs]; and
2. Documents the rationale for such access in the security plan for the information system.

| **AC-17 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_4\_role}} | |
| Parameter AC-17(4)(a): {{ac\_17\_4\_a\_parameter}} | |
| {{ac\_17\_4\_status}} | |
| {{ac\_17\_4\_origination}} | |

| AC-17 (4) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_17\_4\_a\_implementation}} |
| Part b | {{ac\_17\_4\_b\_implementation}} |

#### AC-17 (6) Control Enhancement (L4) (L5)

The organization ensures that users protect information about remote access mechanisms from unauthorized use and disclosure.

| **AC-17 (6)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_6\_role}} | |
| {{ac\_17\_6\_status}} | |
| {{ac\_17\_6\_origination}} | |

| AC-17 (6) What is the solution and how is it implemented? |
| --- |
| {{ac\_17\_6\_implementation}} |

#### AC-17 (9) Control Enhancement (M) (H)

The organization provides the capability to expeditiously disconnect or disable remote access to the information system within [FedRAMP Assignment: fifteen (15) minutes] [DoD SRG Assignment: immediately].

| **AC-17 (9)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_17\_9\_role}} | |
| Parameter AC-17(9): {{ac\_17\_9\_parameter}} | |
| {{ac\_17\_9\_status}} | |
| {{ac\_17\_9\_origination}} | |

| AC-17 (9) What is the solution and how is it implemented? |
| --- |
| {{ac\_17\_9\_implementation}} |

### AC-18 Wireless Access Restrictions (L) (M) (H)

The organization:

1. Establishes usage restrictions, configuration/connection requirements, and implementation guidance for wireless access; and
2. Authorizes wireless access to the information system prior to allowing such connections.

| **AC-18** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_18\_role}} | |
| {{ac\_18\_status}} | |
| {{ac\_18\_origination}} | |

| AC-18 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_18\_a\_implementation}} |
| Part b | {{ac\_18\_b\_implementation}} |

#### AC-18 (1) Control Enhancement (M) (H)

The information system protects wireless access to the system using authentication of [Selection (one or more): users; devices] and encryption.

| **AC-18 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_18\_1\_role}} | |
| Parameter AC-18(1): {{ac\_18\_1\_parameter}} | |
| {{ac\_18\_1\_status}} | |
| {{ac\_18\_1\_origination}} | |

| AC-18 (1) What is the solution and how is it implemented? |
| --- |
| {{ac\_18\_1\_implementation}} |

#### AC-18 (3) Control Enhancement (H) (L4) (L5)

The organization disables, when not intended for use, wireless networking capabilities internally embedded within information system components prior to issuance and deployment.

| AC-18 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_18\_3\_role}} | |
| {{ac\_18\_3\_status}} | |
| {{ac\_18\_3\_origination}} | |

| AC-18 (3) What is the solution and how is it implemented? |
| --- |
| {{ac\_18\_3\_implementation}} |

#### AC-18 (4) Control Enhancement (H)

The organization identifies and explicitly authorizes users allowed to independently configure wireless networking capabilities.

| AC-18 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_18\_4\_role}} | |
| {{ac\_18\_4\_status}} | |
| {{ac\_18\_4\_origination}} | |

| AC-18 (4) What is the solution and how is it implemented? |
| --- |
| {{ac\_18\_4\_implementation}} |

#### AC-18 (5) Control Enhancement (H)

The organization selects radio antennas and calibrates transmission power levels to reduce the probability that usable signals can be received outside of organization-controlled boundaries.

| AC-18 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ac\_18\_5\_role}} | |
| {{ac\_18\_5\_status}} | |
| {{ac\_18\_5\_origination}} | |

| AC-18 (5) What is the solution and how is it implemented? |
| --- |
| {{ac\_18\_5\_implementation}} |

### AC-19 Access Control for Portable and Mobile Systems (L) (M) (H) (L4) (L5)

The organization:

1. Establishes usage restrictions, configuration requirements, connection requirements, and implementation guidance for organization-controlled mobile devices; and
2. Authorizes the connection of mobile devices to organizational information systems.

**AC-19 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Encrypt information on all mobile devices that contains high PII confidentiality impact level information.

| **AC-19** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_19\_role}} | |
| {{ac\_19\_status}} | |
| {{ac\_19\_origination}} | |

| AC-19 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_19\_a\_implementation}} |
| Part b | {{ac\_19\_b\_implementation}} |
| Ext. | {{ac\_19\_ext\_implementation}} |

#### AC-19 (5) Control Enhancement (M) (H) (L4) (l5)

The organization employs [Selection: full-device encryption; container encryption] to protect the confidentiality and integrity of information on [Assignment: organization-defined mobile devices].

**AC-19 (5) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Encrypt information on all mobile devices that contains high PII confidentiality impact level information.

| **AC-19 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_19\_5\_role}} | |
| Parameter AC-19(5)-1: {{ac\_19\_5\_1\_parameter}} | |
| Parameter AC-19(5)-2: {{ac\_19\_5\_2\_parameter}} | |
| {{ac\_19\_5\_status}} | |
| {{ac\_19\_5\_origination}} | |

| AC-19 (5) What is the solution and how is it implemented? | |
| --- | --- |
| AC-19 (5) | {{ac\_19\_5\_implementation}} |
| Ext. | {{ac\_19\_5\_ext\_implementation}} |

### AC-20 Use of External Information Systems (L) (M) (H) (L4) (L5)

The organization establishes terms and conditions, consistent with any trust relationships established with other organizations owning, operating, and/or maintaining external information systems, allowing authorized individuals to:

1. Access the information system from external information systems; and
2. Process, store, or transmit organization-controlled information using external information systems.

**AC-20 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Privacy requirements shall be addressed in agreements that cover relationships in which external information systems are used to access, process, store, or transmit and manage PII. Access to PII from external information systems (including, but not limited to, personally owned information systems/devices) is limited to those organizations and individuals with a binding agreement to terms and conditions of privacy requirements which protect the PII.

| **AC-20** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_20\_role}} | |
| {{ac\_20\_status}} | |
| {{ac\_20\_origination}} | |

| AC-20 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_20\_a\_implementation}} |
| Part b | {{ac\_20\_b\_implementation}} |
| Ext. | {{ac\_20\_ext\_implementation}} |

#### AC-20 (1) Control Enhancement (M) (H)

The organization permits authorized individuals to use an external information system to access the information system or to process, store, or transmit organization-controlled information only when the organization:

1. Verifies the implementation of required security controls on the external system as specified in the organization’s information security policy and security plan; or
2. Retains approved information system connection or processing agreements with the organizational entity hosting the external information system.

| **AC-20 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_20\_1\_role}} | |
| {{ac\_20\_1\_status}} | |
| {{ac\_20\_1\_origination}} | |

| AC-20 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_20\_1\_a\_implementation}} |
| Part b | {{ac\_20\_1\_b\_implementation}} |

#### AC-20 (2) Control Enhancement (M) (H)

The organization [Selection: restricts; prohibits] the use of organization-controlled portable storage devices by authorized individuals on external information systems.

| **AC-20 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_20\_2\_role}} | |
| Parameter AC-20(2): {{ac\_20\_2\_parameter}} | |
| {{ac\_2-\_2\_status}} | |
| {{ac\_20\_2\_origination}} | |

| AC-20 (2) What is the solution and how is it implemented? |
| --- |
| {{ac\_20\_2\_implementation}} |

#### AC-20 (3) Control Enhancement (L4) (L5)

The organization [*Selection: restricts; prohibits*] the use of non-organizationally owned information systems, system components, or devices to process, store, or transmit organizational information.

**AC-20 (3) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

At a minimum, controls must include implementation of either full-device or virtual container encryption to reduce the vulnerability of PII contained on mobile devices. Prior to being provided access to PII on remote devices, device users must acknowledge through a binding agreement their responsibilities to safeguard the PII accessible from the device and that they are aware of and agree to the organization’s capabilities to manage the organization’s PII on the device, including confiscation, in consultation with the organization’s counsel, if necessary to remove the PII.

| **AC-20 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_20\_3\_role}} | |
| {{ac\_20\_3\_status}} | |
| {{ac\_20\_3\_origination}} | |

| AC-20 (3) What is the solution and how is it implemented? | |
| --- | --- |
| AC-20 (3) | {{ac\_20\_3\_implementation}} |
| Ext. | {{ac\_20\_3\_ext\_implementation}} |

### AC-21 Information Sharing (M) (H)

The organization:

1. Facilitates information sharing by enabling authorized users to determine whether access authorizations assigned to the sharing partner match the access restrictions on the information for [Assignment: organization-defined information sharing circumstances where user discretion is required]; and
2. Employs [Assignment: organization-defined automated mechanisms or manual processes] to assist users in making information sharing/collaboration decisions.

| **AC-21** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_21\_role}} | |
| Parameter AC-21(a): {{ac\_21\_a\_parameter}} | |
| Parameter AC-21(b): {{ac\_21\_b\_parameter}} | |
| {{ac\_21\_status}} | |
| {{ac\_21\_origination}} | |

| AC-21 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_21\_a\_implementation}} |
| Part b | {{ac\_21\_b\_implementation}} |

### AC-22 Publicly Accessible Content (L) (M) (H)

The organization:

1. Designates individuals authorized to post information onto a publicly accessible information system;
2. Trains authorized individuals to ensure that publicly accessible information does not contain nonpublic information;
3. Reviews the proposed content of information prior to posting onto the publicly accessible information system to ensure that nonpublic information is not included; and
4. Reviews the content on the publicly accessible information system for nonpublic information [FedRAMP Assignment: at least quarterly] [DoD SRG Assignment: Every 90 days or as new information is posted] and removes such information, if discovered.

| **AC-22** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_22\_role}} | |
| Parameter AC-22(d): {{ac\_22\_d\_parameter}} | |
| {{ac\_22\_status}} | |
| {{ac\_22\_origination}} | |

| AC-22 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ac\_22\_a\_implementation}} |
| Part b | {{ac\_22\_b\_implementation}} |
| Part c | {{ac\_22\_c\_implementation}} |
| Part d | {{ac\_22\_d\_implementation}} |

### AC-23 Data Mining Protection (L4) (L5)

The organization employs [*Assignment: organization-defined data mining prevention and detection techniques*] for [*Assignment: organization-defined data storage objects*] to adequately detect and protect against data mining.

**AC-23 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

When conducting data mining (as defined in the Federal Agency Data Mining Reporting Act of 2007, see Section 7, “Definitions,” below) ensure the following are addressed for each data mining relationship in support of a Data Mining Impact Analysis (DMIA):

* An assessment of the impact or likely impact of the implementation of the data mining activity on the privacy and civil liberties of individuals, including a thorough description of the actions that are being taken or will be taken with regard to the property, privacy, or other rights or privileges of any individual or individuals as a result of the implementation of the data mining activity.
* A list and analysis of the laws and regulations that govern the information being or to be collected, reviewed, gathered, analyzed, or used in conjunction with the data mining activity, to the extent applicable in the context of the data mining activity.
* A thorough discussion of the policies, procedures, and guidelines that are in place or that are to be developed and applied in the use of such data mining activity in order to protect the privacy and applicable due process rights of individuals, such as redress procedures; and ensure that only accurate and complete information is collected, reviewed, gathered, analyzed, or used, and guard against any harmful consequences of potential inaccuracies.

| **AC-23** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ac\_23\_role}} | |
| Parameter AC-23-1: {{ac\_23\_1\_parameter}} | |
| Parameter AC-23-2: {{ac\_23\_2\_parameter}} | |
| {{ac\_23\_status}} | |
| {{ac\_23\_origination}} | |

| AC-23 What is the solution and how is it implemented? | |
| --- | --- |
| AC-23 | {{ac\_23\_implementation}} |
| Ext. | {{ac\_23\_ext\_implementation}} |

## Authority and Purpose (AP)

### AP-1 Authority to Collect (L4) (L5)

The organization determines and documents the legal authority that permits the collection, use, maintenance, and sharing of personally identifiable information (PII), either generally or in support of a specific program or information system need.

| **AP-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ap\_1\_role}} | |
| {{ap\_1\_status}} | |
| {{ap\_1\_origination}} | |

| **AP-1 - What is the solution and how is it implemented?** |
| --- |
| {{ap\_1\_implementation}} |

### AP-2 Purpose Specification (L4) (L5)

The organization describes the purpose(s) for which personally identifiable information (PII) is collected, used, maintained, and shared in its privacy notices.

| **AP-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ap\_2\_role}} | |
| {{ap\_2\_status}} | |
| {{ap\_2\_origination}} | |

| **AP-2 What is the solution and how is it implemented?** |
| --- |
| {{ap\_2\_implementation}} |

## Accountability, Audit, and Risk Management (AR)

### AR-1 Governance and Privacy Program (L4) (L5)

The organization:

1. Appoints a Senior Agency Official for Privacy (SAOP)/Chief Privacy Officer (CPO) accountable for developing, implementing, and maintaining an organization-wide governance and privacy program to ensure compliance with all applicable laws and regulations regarding the collection, use, maintenance, sharing, and disposal of personally identifiable information (PII) by programs and information systems;
2. Monitors federal privacy laws and policy for changes that affect the privacy program;
3. Allocates [*Assignment: organization-defined allocation of budget and staffing*] sufficient resources to implement and operate the organization-wide privacy program;
4. Develops a strategic organizational privacy plan for implementing applicable privacy controls, policies, and procedures;
5. Develops, disseminates, and implements operational privacy policies and procedures that govern the appropriate privacy and security controls for programs, information systems, or technologies involving PII; and;
6. Updates privacy plan, policies, and procedures [*Assignment: organization-defined frequency, at least biennially*].

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Development of the strategic organizational privacy plan must be done in consultation with the CIO and CISO. The organization establishes and institutionalizes contact for its privacy professionals with selected groups and associations within the privacy community:

1. To facilitate ongoing privacy education and training for organizational personnel;
2. To maintain currency with recommended privacy practices, techniques, and technologies; and
3. To share current privacy-related information including threats, vulnerabilities, and incidents.

| **AR-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_1\_role}} | |
| Parameter AR-1(c): {{ar\_1\_c\_parameter}} | |
| Parameter AR-1(f): {{ar\_1\_f\_parameter}} | |
| {{ar\_1\_status}} | |
| {{ar\_1\_origination}} | |

| **AR-1 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ar\_1\_a\_implementation}} |
| **Part b** | {{ar\_1\_b\_implementation}} |
| **Part c** | {{ar\_1\_c\_implementation}} |
| **Part d** | {{ar\_1\_d\_implementation}} |
| **Part e** | {{ar\_1\_e\_implementation}} |
| **Part f** | {{ar\_1\_f\_implementation}} |
| **Ext.** | {{ar\_1\_ext\_implementation}} |

### AR-2 Governance and Privacy Program (L4) (L5)

The organization:

1. Documents and implements a privacy risk management process that assesses privacy risk to individuals resulting from the collection, sharing, storing, transmitting, use, and disposal of personally identifiable information (PII); and;
2. Conducts Privacy Impact Assessments (PIAs) for information systems, programs, or other activities that pose a privacy risk in accordance with applicable law, OMB policy, or any existing organizational policies and procedures.

| **AR-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_2\_p\_role}} | |
| {{ar\_2\_p\_status}} | |
| {{ar\_2\_p\_origination}} | |

| **AR-2(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ar\_a\_implementation}} |
| **Part b** | {{ar\_b\_implementation}} |

AR-3 Privacy Requirements for Contractors and Service Providers (L4) (L5)

The organization:

1. Establishes privacy roles, responsibilities, and access requirements for contractors and service providers; and
2. Includes privacy requirements in contracts and other acquisition-related documents.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The contract or other acquisition-related documents must flow-down privacy and security clauses to ensure sub-contractors adequately protect PII.

**PHI Control Extension:**

Under HIPAA, a business associate must ensure its contracts or other arrangements with subcontractors meet the requirements of 45 §C.F.R. §164.504(e)

| **AR-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_3\_role}} | |
| {{ar\_3\_status}} | |
| {{ar\_3\_origination}} | |

| **AR-3 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ar\_3\_a\_implementation}} |
| **Part b** | {{ar\_3\_b\_implementation}} |
| **Ext.** | {{ar\_3\_ext\_implementation}} |

AR-4 Privacy Monitoring and Auditing (L4) (L5)

The organization monitors and audits privacy controls and internal privacy policy [*Assignment: organization-defined frequency*] to ensure effective implementation.

| **AR-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_4\_role}} | |
| Parameter AR-4(Privacy): {{ar\_4\_parameter}} | |
| {{ar\_4\_status}} | |
| {{ar\_4\_origination}} | |

| **AR-4(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{ar\_4\_implementation}} |

AR-5 Privacy Awareness and Training (L4) (L5)

The organization:

1. Develops, implements, and updates a comprehensive training and awareness strategy aimed at ensuring that personnel understand privacy responsibilities and procedures;
2. Administers basic privacy training [Assignment: organization-defined frequency, at least annually] and targeted, role-based privacy training for personnel having responsibility for personally identifiable information (PII) or for activities that involve PII [Assignment: organization-defined frequency, at least annually]; and
3. Ensures that personnel certify (manually or electronically) acceptance of responsibilities for privacy requirements [Assignment: organization-defined frequency, at least annually].

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Communications and training related to privacy and security must be job-specific and commensurate with the employee’s responsibilities. Agencies must initially train employees (including managers) on their privacy and security responsibilities before permitting access to organization information and information systems. Thereafter, agencies must provide at least annual refresher training to ensure employees continue to understand their responsibilities. Additional or advanced training should also be provided commensurate with increased responsibilities or change in duties. Both initial and refresher training must include acceptable rules of behavior and the consequences when the rules are not followed. For agencies implementing telework and other authorized remote access programs, training must also include the rules of such programs.

| **AR-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_5\_role}} | |
| Parameter AR-5(b)(Privacy): {{ar\_5\_b\_parameter}} | |
| Parameter AR-5(c)(Privacy): {{ar\_5\_c\_parameter}} | |
| {{ar\_5\_status}} | |
| {{ar\_5\_origination}} | |

| **AR-5 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ar\_5\_a\_implementation}} |
| **Part b** | {{ar\_5\_b\_implementation}} |
| **Part c** | {{ar\_5\_c\_implementation}} |
| **Ext.** | {{ar\_5\_ext\_implementation}} |

AR-6 Privacy Reporting (L4) (L5)

The organization develops, disseminates, and updates reports to the Office of Management and Budget (OMB), Congress, and other oversight bodies, as appropriate, to demonstrate accountability with specific statutory and regulatory privacy program mandates, and to senior management and other personnel with responsibility for monitoring privacy program progress and compliance.

| **AR-6(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_6\_role}} | |
| {{ar\_6\_status}} | |
| {{ar\_6\_origination}} | |

| **AR-6 What is the solution and how is it implemented?** |
| --- |
| {{ar\_6\_p\_implementation}} |

AR-7 Privacy-Enhanced System Design and Development (L4) (L5)

The organization designs information systems to support privacy by automating privacy controls.

| **AR-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_7\_role}} | |
| {{ar\_7\_status}} | |
| {{ar\_7\_origination}} | |

| **AR-7 What is the solution and how is it implemented?** |
| --- |
| {{ar\_7\_implementation}} |

AR-8 Accounting of Disclosures (L4) (L5)

The organization:

1. Keeps an accurate accounting of disclosures of information held in each system of records under its control, including:
   1. Date, nature, and purpose of each disclosure of a record; and
   2. Name and address of the person or agency to which the disclosure was made;
2. Retains the accounting of disclosures for the life of the record or five years after the disclosure is made, whichever is longer; and
3. Makes the accounting of disclosures available to the person named in the record upon request.

| **AR-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ar\_8\_role}} | |
| {{ar\_8\_status}} | |
| {{ar\_8\_origination}} | |

| **AR-8 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ar\_8\_a\_implementation}} |
| **Part b** | {{ar\_8\_b\_implementation}} |
| **Part c** | {{ar\_8\_c\_implementation}} |

## Awareness and Training (AT)

### AT-1 Security Awareness and Training Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [DoD SRG Assignment: all personnel]:
   1. A security awareness and training policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the security awareness and training policy and associated security awareness and training controls; and
2. Reviews and updates the current:
   1. Security awareness and training policy [*FedRAMP Assignment: at least annually*[*DoD SRG Assignment: at least every 3 years*]; and
   2. Security awareness and training procedures [*FedRAMP Assignment: at least annually or whenever a significant change occurs*] [DoD SRG Assignment: at least annually].

| **AT-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{at\_1\_role}} | |
| Parameter AT-01(a): {{at\_1\_a\_parameter}} | |
| Parameter AT-01(b)(1): {{at\_1\_b\_1\_parameter}} | |
| Parameter AT-01(b)(2): {{at\_1\_b\_2\_parameter}} | |
| {{at\_1\_status}} | |
| {{at\_1\_origination}} | |

| AT-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{at\_1\_a\_implementation}} |
| Part b | {{at\_1\_b\_implementation}} |

### AT-2 Security Awareness (L) (M) (H) (L4) (L5)

The organization provides basic security awareness training to information system users (including managers, senior executives, and contractors):

1. As part of initial training for new users;
2. When required by information system changes; and
3. [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: annually*] thereafter.

**AT-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Provide privacy training for all systems with PII, commensurate with the PII confidentiality impact level. Integrate privacy training with general Information Assurance (IA) training.

| **AT-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{at\_2\_role}} | |
| Parameter AT-02(c): {{at\_2\_c\_parameter}} | |
| {{at\_2\_status}} | |
| {{at\_2\_origination}} | |

| AT-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{at\_2\_a\_implementation}} |
| Part b | {{at\_2\_b\_implementation}} |
| Part c | {{at\_2\_c\_implementation}} |
| Ext. | {{at\_2\_ext\_implementation}} |

#### AT-2 (2) Control Enhancement (M) (H)

The organization includes security awareness training on recognizing and reporting potential indicators of insider threat.

| **AT-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{at\_2\_2\_role}} | |
| {{at\_2\_2\_status}} | |
| {{at\_2\_2\_origination}} | |

| AT-2 (2) What is the solution and how is it implemented? |
| --- |
| {{at\_2\_2\_implementation}} |

### AT-3 Role-Based Security Training (L) (M) (H) (L4) (L5)

The organization provides role-based security training to personnel with assigned security roles and responsibilities:

1. Before authorizing access to the information system or performing assigned duties;
2. When required by information system changes; and
3. [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: Annually*] thereafter.

**AT-3 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Provide role-based privacy training for all systems with PII, commensurate with the PII confidentiality impact level.

| **AT-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{at\_3\_role}} | |
| Parameter AT-03(c): {{at\_3\_c\_parameter}} | |
| {{at\_3\_status}} | |
| {{at\_3\_origination}} | |

| AT-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{at\_3\_a\_implementation}} |
| Part b | {{at\_3\_b\_implementation}} |
| Part c | {{at\_3\_c\_implementation}} |
| Ext. | {{at\_3\_ext\_implementation}} |

#### AT-3 (2) Control Enhancement (L4) (L5)

The organization includes practical exercises in security training that reinforce training objectives.

| AT-3 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{at\_3\_2\_role}} | |
| Parameter AT-3(2)-1: {{at\_3\_2\_1\_parameter}} | |
| Parameter AT-3(2)-2: {{at\_3\_2\_2\_parameter}} | |
| {{at\_3\_2\_status}} | |
| {{at\_3\_2\_origination}} | |

| AT-3 (2) What is the solution and how is it implemented? |
| --- |
| {{at\_3\_2\_implementation}} |

#### AT-3 (3) Control Enhancement (H)

The organization includes practical exercises in security training that reinforce training objectives.

| AT-3 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{at\_3\_3\_role}} | |
| {{at\_3\_3\_status}} | |
| {{at\_3\_3\_origination}} | |

| AT-3 (3) What is the solution and how is it implemented? |
| --- |
| {{at\_3\_3\_implementation}} |

#### AT-3 (4) Control Enhancement (H) (L4) (L5)

The organization provides training to its personnel on [FedRAMP Assignment: malicious code indicators as defined by organization incident policy/capability] to recognize suspicious communications and anomalous behavior in organizational information systems.

| AT-3 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{at\_3\_4\_role}} | |
| Parameter AT-3 (4): {{at\_3\_4\_parameter}} | |
| {{at\_3\_4\_status}} | |
| {{at\_3\_4\_origination}} | |

| AT-3 (4) What is the solution and how is it implemented? |
| --- |
| {{at\_3\_4\_implementation}} |

### AT-4 Security Training Records (H)

The organization:

1. Documents and monitors individual information system security training activities including basic security awareness training and specific information system security training; and
2. Retains individual training records for [FedRAMP Assignment: at least five (5) years or 5 years after completion of a specific training program ] [DoD SRG Assignment: at least five (5) years or 5 years after completion of a specific training program].

| **AT-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{at\_4\_role}} | |
| Parameter AT-04(b): {{at\_4\_b\_parameter}} | |
| {{at\_4\_status}} | |
| {{at\_4\_origination}} | |

| AT-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{at\_4\_a\_implementation}} |
| Part b | {{at\_4\_b\_implementation}} |

## Audit and Accountability (AU)

### AU-1 Audit and Accountability Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the ISSO and ISSM and others as the local organization deems appropriate]*:
   1. An audit and accountability policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the audit and accountability policy and associated audit and accountability controls; and
2. Reviews and updates the current:
   1. Audit and accountability policy [*FedRAMP Assignment: at least annually*] [*DoD SRG Assignment annually*]; and
   2. Audit and accountability procedures [*FedRAMP Assignment: at least annually or whenever a significant change occurs*] [*DoD SRG Assignment: at least annually*].

| **AU-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_1\_role}} | |
| Parameter AU-01(a): {{au\_1\_a\_parameter}} | |
| Parameter AU-01(b)(1): {{au\_1\_b\_1\_parameter}} | |
| Parameter AU-01(b)(2): {{au\_1\_b\_2\_parameter}} | |
| {{au\_1\_status}} | |
| {{au\_1\_origination}} | |

| AU-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_1\_a\_implementation}} |
| Part b | {{au\_1\_b\_implementation}} |

### AU-2 Audit Events (L) (M) (H) (L4) (L5)

The organization:

1. Determines that the information system is capable of auditing the following events: [FedRAMP Assignment: [Successful and unsuccessful account logon events, account management events, object access, policy change, privilege functions, process tracking, and system events. For Web applications: all administrator activity, authentication checks, authorization checks, data deletions, data access, data changes, and permission changes] [DoD SRG Assignment: Successful and unsuccessful attempts to access, modify, or delete privileges, security objects, security levels, or categories of information (e.g. classification levels). Successful and unsuccessful logon attempts, Privileged activities or other system level access, Starting and ending time for user access to the system, Concurrent logons from different workstations, Successful and unsuccessful accesses to objects, All program initiations, All direct access to the information system. All account creations, modifications, disabling, and terminations. All kernel module load, unload, and restart];
2. Coordinates the security audit function with other organizational entities requiring audit-related information to enhance mutual support and to help guide the selection of auditable events;
3. Provides a rationale for why the auditable events are deemed to be adequate to support after-the-fact investigations of security incidents; and
4. Determines that the following events are to be audited within the information system: [FedRAMP Assignment: organization-defined subset of the auditable events defined in AU-2 a. to be audited continually for each identified event] [*DoD SRG Assignment: all auditable events defined in AU-2 (a) per occurrence*].

AU-2 Additional FedRAMP Requirements and Guidance:

Requirement: Coordination between service provider and consumer shall be documented and accepted by the JAB/AO.

| **AU-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_2\_role}} | |
| Parameter AU-02(a): {{au\_2\_a\_parameter}} | |
| Parameter AU-02(d): {{au\_2\_d\_parameter}} | |
| {{au\_2\_status}} | |
| {{au\_2\_origination}} | |

| AU-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_2\_a\_implementation}} |
| Part b | {{au\_2\_b\_implementation}} |
| Part c | {{au\_2\_c\_implementation}} |
| Part d | {{au\_2\_d\_implementation}} |

#### AU-2 (3) Control Enhancement (M) (H)

The organization reviews and updates the audited events [FedRAMP Assignment: annually or whenever there is a change in the threat environment] [DoD SRG Assignment: Annually and based on situational awareness of threats, vulnerabilities].

AU-2 (3) Additional FedRAMP Requirements and Guidance:

Guidance: Annually or whenever changes in the threat environment are communicated to the service provider by the JAB/AO.

| **AU-2 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_2\_3\_role}} | |
| Parameter AU-02(3): {{au\_2\_3\_parameter}} | |
| {{au\_2\_3\_status}} | |
| {{au\_2\_3\_origination}} | |

| AU-2 (3) What is the solution and how is it implemented? |
| --- |
| {{au\_2\_3\_implementation}} |

### AU-3 Content of Audit Records (L) (M) (H)

The information system generates audit records containing information that establishes what type of event occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and the identity of any individuals or subjects associated with the event.

| **AU-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_3\_role}} | |
| {{au\_3\_status}} | |
| {{au\_3\_origination}} | |

| **AU-3 What is the solution and how is it implemented?** |
| --- |
| {{au\_3\_implementation}} |

#### AU-3 (1) Control Enhancement (H)

The information system generates audit records containing the following additional information: [FedRAMP Assignment: organization-defined additional, more detailed information] [DoD SRG Assignment: At a minimum, full text recording of commands or the individual identities of group account users].

AU-3 (1) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines audit record types [FedRAMP Assignment: session, connection, transaction, or activity duration; for client-server transactions, the number of bytes received and bytes sent; additional informational messages to diagnose or identify the event; characteristics that describe or identify the object or resource being acted upon; individual identities of group account users; full-text of privileged commands]. The audit record types are approved and accepted by the JAB/AO.

Guidance: For client-server transactions, the number of bytes sent and received gives bidirectional transfer information that can be helpful during an investigation or inquiry.

| **AU-3 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_3\_1\_role}} | |
| Parameter AU-03(1): {{au\_3\_1\_parameter}} | |
| {{au\_3\_1\_status}} | |
| {{au\_3\_1\_origination}} | |

| AU-3 (1) What is the solution and how is it implemented? |
| --- |
| {{au\_3\_1\_implementation}} |

#### AU-3 (2) Control Enhancement (H)

The information system provides centralized management and configuration of the content to be captured in audit records generated by [FedRAMP Assignment: all network, data storage, and computing devices].

| AU-3 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_3\_2\_role}} | |
| Parameter AU-3 (2): {{au\_3\_2\_parameter}} | |
| {{au\_3\_2\_status}} | |
| {{au\_3\_2\_origination}} | |

| AU-3 (2) What is the solution and how is it implemented? |
| --- |
| {{au\_3\_2\_implementation}} |

### AU-4 Audit Storage Capacity (L) (M) (H)

The organization allocates audit record storage capacity in accordance with [Assignment: organization-defined audit record storage requirements].

| **AU-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_4\_role}} | |
| Parameter AU-04: {{au\_4\_parameter}} | |
| {{au\_4\_status}} | |
| {{au\_4\_origination}} | |

| AU-4 What is the solution and how is it implemented? |
| --- |
| {{au\_4\_implementation}} |

#### AU-4 (1) Control Enhancement (L4) (L5)

The information system off-loads audit records [*DoD Assignment: At a minimum, real-time for interconnected systems and weekly for stand-alone systems*] [*Assignment: organization-defined frequency*] onto a different system or media than the system being audited.

| **AU-4 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_4\_1\_role}} | |
| Parameter AU-4(1): {{au\_4\_1\_parameter}} | |
| {{au\_4\_1\_status}} | |
| {{au\_4\_1\_origination}} | |

| **AU-4 (1) What is the solution and how is it implemented?** |
| --- |
| {{au\_4\_1\_implementation}} |

### AU-5 Response to Audit Processing Failures (L) (M) (H)

The information system:

1. Alerts [Assignment: organization-defined personnel or roles] [DoD SRG Assignment: at a minimum, the SCA and ISSO] in the event of an audit processing failure; and
2. Takes the following additional actions: [FedRAMP Assignment: organization-defined actions to be taken; (overwrite oldest record)] [*DoD SRG Assignment: low-impact: overwrite oldest audit records; moderate-impact: shut down*].

| **AU-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_5\_role}} | |
| Parameter AU-05(a): {{au\_5\_a\_parameter}} | |
| Parameter AU-05(b): {{au\_5\_parameter}} | |
| {{au\_5\_status}} | |
| {{au\_5\_origination}} | |

| AU-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_5\_a\_implementation}} |
| Part b | {{au\_5\_b\_implementation}} |

#### AU-5 (1) Control Enhancement (H)

The information system provides a warning to [Assignment: organization-defined personnel, roles, and/or locations] within [Assignment: organization-defined time period] when allocated audit record storage volume reaches [Assignment: organization-defined percentage] of repository maximum audit record storage capacity.

| AU-5 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_5\_1\_role}} | |
| Parameter AU-5 (1)-1: {{au\_5\_1\_1\_parameter}} | |
| Parameter AU-5 (1)-2: {{au\_5\_1\_2\_parameter}} | |
| Parameter AU-5 (1)-3: {{au\_5\_1\_3\_parameter}} | |
| {{au\_5\_1\_status}} | |
| {{au\_5\_1\_origination}} | |

| AU-5 (1) What is the solution and how is it implemented? |
| --- |
| {{au\_5\_1\_implementation}} |

#### AU-5 (2) Control Enhancement (H)

The information system provides an alert in [FedRAMP Assignment: organization-defined real-time] to [FedRAMP Assignment: service provider personnel with authority to address failed audit events] when the following audit failure events occur: [FedRAMP Assignment: audit failure events requiring real-time alerts, as defined by organization audit policy].

| AU-5 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_5\_2\_role}} | |
| Parameter AU-5 (2)-1: {{au\_5\_2\_1\_parameter}} | |
| Parameter AU-5 (2)-2: {{au\_5\_2\_2\_parameter}} | |
| Parameter AU-5 (2)-3: {{au\_5\_2\_3\_parameter}} | |
| {{au\_5\_2\_status}} | |
| {{au\_5\_2\_origination}} | |

| AU-5 (2) What is the solution and how is it implemented? |
| --- |
| {{au\_5\_2\_implementation}} |

### AU-6 Audit Review, Analysis, and Reporting (L) (M) (H)

The organization:

1. Reviews and analyzes information system audit records [FedRAMP Assignment: at least weekly] [*DoD SRG Assignment: every seven days or more frequently if required by an alarm event or anomaly*] for indications of [Assignment: organization-defined inappropriate or unusual activity]; and
2. Reports findings to [*FedRAMP* Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSO and ISSM*].

AU-6 Additional FedRAMP Requirements and Guidance:

Requirement: Coordination between service provider and consumer shall be documented and accepted by the Authorizing Official. In multi-tenant environments, capability and means for providing review, analysis, and reporting to consumer for data pertaining to consumer shall be documented.

| **AU-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_6\_role}} | |
| Parameter AU-6(a)-1: {{au\_6\_a\_1\_parameter}} | |
| Parameter AU-6(a)-2: {{au\_6\_a\_2\_parameter}} | |
| Parameter AU-6(b): {{au\_6\_b\_parameter}} | |
| {{au\_6\_status}} | |
| {{au\_6\_origination}} | |

| AU-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_6\_a\_implementation}} |
| Part b | {{au\_6\_b\_implementation}} |

#### AU-6 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to integrate audit review, analysis, and reporting processes to support organizational processes for investigation and response to suspicious activities.

| **AU-6 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_6\_1\_role}} | |
| {{au\_6\_1\_status}} | |
| {{au\_6\_1\_origination}} | |

| AU-6 (1) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_1\_implementation}} |

#### AU-6 (3) Control Enhancement (M) (H)

The organization analyzes and correlates audit records across different repositories to gain organization-wide situational awareness.

| **AU-6 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_6\_3\_role}} | |
| {{au\_6\_3\_status}} | |
| {{au\_6\_3\_origination}} | |

| AU-6 (3) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_3\_implementation}} |

#### AU-6 (4) Control Enhancement (H) (L4) (L5)

The information system provides the capability to centrally review and analyze audit records from multiple components within the system.

| AU-6 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_6\_4\_role}} | |
| {{au\_6\_4\_status}} | |
| {{au\_6\_4\_origination}} | |

| AU-6 (4) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_4\_implementation}} |

#### AU-6 (5) Control Enhancement (H)

The organization integrates analysis of audit records with analysis of [FedRAMP Selection (one or more): vulnerability scanning information; performance data; information system monitoring information; penetration test data; [Assignment: organization-defined data/information collected from other sources]] to further enhance the ability to identify inappropriate or unusual activity.

| AU-6 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_6\_5\_role}} | |
| Parameter AU-6 (5): {{au\_6\_5\_parameter}} | |
| {{au\_6\_5\_status}} | |
| {{au\_6\_5\_origination}} | |

| AU-6 (5) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_5\_implementation}} |

#### AU-6 (6) Control Enhancement (H)

The organization correlates information from audit records with information obtained from monitoring physical access to further enhance the ability to identify suspicious, inappropriate, unusual, or malevolent activity.

AU-6 Additional FedRAMP Requirements and Guidance:

Requirement: Coordination between service provider and consumer shall be documented and accepted by the JAB/AO.

| AU-6 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_6\_6\_role}} | |
| {{au\_6\_6\_status}} | |
| {{au\_6\_6\_origination}} | |

| AU-6 (6) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_6\_implementation}} |

#### AU-6 (7) Control Enhancement (H)

The organization specifies the permitted actions for each [FedRAMP Selection (one or more): information system process; role; user] associated with the review, analysis, and reporting of audit information.

| AU-6 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_6\_7\_role}} | |
| Parameter AU-6 (7): {{au\_6\_7\_parameter}} | |
| {{au\_6\_7\_status}} | |
| {{au\_6\_7\_origination}} | |

| AU-6 (7) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_7\_implementation}} |

#### AU-6 (10) Control Enhancement (H) (L4) (L5)

The organization adjusts the level of audit review, analysis, and reporting within the information system when there is a change in risk based on law enforcement information, intelligence information, or other credible sources of information.

| AU-6 (10) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_6\_10\_role}} | |
| {{au\_6\_10\_status}} | |
| {{au\_6\_10\_origination}} | |

| AU-6 (10) What is the solution and how is it implemented? |
| --- |
| {{au\_6\_10\_implementation}} |

### AU-7 Audit Reduction and Report Generation (M) (H)

The information system provides an audit reduction and report generation capability that:

1. Supports on-demand audit review, analysis, and reporting requirements and after-the-fact investigations of security incidents; and
2. Does not alter the original content or time ordering of audit records.

| **AU-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_7\_role}} | |
| {{au\_7\_status}} | |
| {{au\_7\_origination}} | |

| AU-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_7\_a\_implementation}} |
| Part b | {{au\_7\_b\_implementation}} |

#### AU-7 (1) Control Enhancement (M) (H)

The information system provides the capability to process audit records for events of interest based on [Assignment: organization-defined audit fields within audit records].

| **AU-7 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_7\_1\_role}} | |
| Parameter AU-07(1): {{au\_7\_1\_parameter}} | |
| {{au\_7\_1\_status}} | |
| {{au\_7\_1\_origination}} | |

| AU-7 (1) What is the solution and how is it implemented? |
| --- |
| {{au\_7\_1\_implementation}} |

#### AU-7 (2) Control Enhancement (L4) (L5)

The information system provides the capability to sort and search audit records for events of interest based on the content of [*Assignment: organization-defined audit fields within audit records*].

| **AU-7 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_7\_2\_role}} | |
| Parameter AU-7(2): {{au\_7\_2\_parameter}} | |
| {{au\_7\_2\_status}} | |
| {{au\_7\_2\_origination}} | |

| AU-7 (2) What is the solution and how is it implemented? |
| --- |
| {{au\_7\_2\_implementation}} |

### AU-8 Time Stamps (L) (M) (H)

The information system:

1. Uses internal system clocks to generate time stamps for audit records; and
2. Records time stamps for audit records that can be mapped to Coordinated Universal Time (UTC) or Greenwich Mean Time (GMT) and meets [Assignment: one second granularity of time measurement] [*DoD SRG* Assignment: one second granularity of time measurement].

| **AU-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_8\_role}} | |
| Parameter AU-08(b): {{au\_8\_b\_parameter}} | |
| {{au\_8\_status}} | |
| {{au\_8\_origination}} | |

| AU-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_8\_a\_implementation}} |
| Part b | {{au\_8\_b\_implementation}} |

#### AU-8 (1) Control Enhancement (M) (H)

The information system:

1. Compares the internal information system clocks with [FedRAMP Assignment: authoritative time source: [[*http://tf.nist.gov/tf-cgi/servers.cgi*](http://tf.nist.gov/tf-cgi/servers.cgi)] [at least hourly]] [*DoD SRG Assignment: every 24 hours for networked systems*]; and
2. Synchronizes the internal system clocks to the authoritative time source when the time difference is greater than [Assignment: organization-defined time period] [*DoD SRG Assignment: the organizationally defined granularity in AU-8*].

| **AU-8 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_8\_1\_role}} | |
| Parameter AU-8(1)(a)-1: {{au\_8\_1\_a\_1\_parameter}} | |
| Parameter AU-8(1)(a)-2: {{au\_8\_1\_a\_2\_parameter}} | |
| Parameter AU-8(1)(b): {{au\_8\_1\_b\_parameter}} | |
| {{au\_8\_1\_status}} | |
| {{au\_8\_1\_origination}} | |

| AU-8 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_8\_1\_a\_implementation}} |
| Part b | {{au\_8\_1\_b\_implementation}} |

AU-8 (1) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider selects primary and secondary time servers used by the NIST Internet time service. The secondary server is selected from a different geographic region than the primary server.

Requirement: The service provider synchronizes the system clocks of network computers that run operating systems other than Windows to the Windows Server Domain Controller emulator or to the same time source for that server.

Guidance: The service provider selects primary and secondary time servers used by the NIST Internet time service, or by a Stratum-1 time server. The secondary server is selected from a different geographic region than the primary server.

If using Windows Active Directory, all servers should synchronize time with the time source for the Windows Domain Controller. If using some other directory services (e.g., LDAP), all servers should synchronize time with the time source for the directory server. Synchronization of system clocks improves the accuracy of log analysis.

| **AU-8 (1) Req.** | **Additional Control Enhancement Summary Information** |
| --- | --- |
| Responsible Role: {{au\_8\_1\_r\_role}} | |
| Parameter AU-8(1)(a)-1: {{au\_8\_1\_a\_1\_r\_parameter}} | |
| Parameter AU-8(1)(a)-2: {{au\_8\_1\_a\_2\_r\_parameter}} | |
| Parameter AU-8(1)(b): {{au\_8\_1\_b\_r\_parameter}} | |
| {{au\_8\_1\_r\_status}} | |
| {{au\_8\_1\_r\_origination}} | |

| AU-8 (1) Req. What is the solution and how is it implemented? | |
| --- | --- |
| Req. 1 | {{au\_8\_1\_r\_1\_implementation}} |
| Req. 2 | {{au\_8\_1\_r\_2\_implementation}} |

### AU-9 Protection of Audit Information (L) (M) (H)

The information system protects audit information and audit tools from unauthorized access, modification, and deletion.

| **AU-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_9\_role}} | |
| {{au\_9\_status}} | |
| {{au\_9\_origination}} | |

| AU-9 What is the solution and how is it implemented? |
| --- |
| {{au\_9\_implementation}} |

#### AU-9 (2) Control Enhancement (M) (H)

The information system backs up audit records [FedRAMP Assignment: at least weekly] [DoD SRG Assignment: at least weekly] onto a physically different system or system component than the system or component being audited.

| **AU-9 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_9\_2\_role}} | |
| Parameter AU-09(2): {{au\_9\_2\_parameter}} | |
| {{au\_9\_2\_status}} | |
| {{au\_9\_2\_origination}} | |

| AU-9 (2) What is the solution and how is it implemented? |
| --- |
| {{au\_9\_2\_implementation}} |

#### AU-9 (3) Control Enhancement (H) (L4) (L5)

The information system implements cryptographic mechanisms to protect the integrity of audit information and audit tools.

| **AU-9 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_9\_3\_role}} | |
| {{au\_9\_3\_status}} | |
| {{au\_9\_3\_origination}} | |

| AU-9 (3) What is the solution and how is it implemented? |
| --- |
| {{au\_9\_3\_implementation}} |

#### AU-9 (4) Control Enhancement (M) (H)

The organization authorizes access to management of audit functionality to only [Assignment: organization-defined subset of privileged users].

| **AU-9 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_9\_4\_role}} | |
| Parameter AU-09(4): {{au\_9\_4\_parameter}} | |
| {{au\_9\_4\_status}} | |
| {{au\_9\_4\_origination}} | |

| AU-9 (4) What is the solution and how is it implemented? |
| --- |
| {{au\_9\_4\_implementation}} |

### AU-10 Non-repudiation (H) (L4) (L5)

The information system protects against an individual (or process acting on behalf of an individual) falsely denying having performed [FedRAMP Assignment: minimum actions including the addition, modification, deletion, approval, sending, or receiving of data] [*DoD SRG Assignment: actions defined by DoD I 8520.02 and DODI 8520.03*].

| **AU-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_10\_role}} | |
| Parameter AU-10: {{au\_10\_parameter}} | |
| {{au\_10\_status}} | |
| {{au\_10\_origination}} | |

| AU-10 What is the solution and how is it implemented? |
| --- |
| {{au\_10\_implementation}} |

#### AU-10 (1) Control Enhancement (L4) (L5)

The information system:

1. Binds the identity of the information producer with the information to [*Assignment: organization-defined strength of binding*]
2. Provides the means for authorized individuals to determine the identity of the producer of the information.

| **AU-10 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_10\_1\_role}} | |
| Parameter AU-10 (1): {{au\_10\_1\_parameter}} | |
| {{au\_10\_1\_status}} | |
| {{au\_10\_1\_origination}} | |

| AU-10 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_10\_1\_a\_implementation}} |
| Part b | {{au\_10\_1\_b\_implementation}} |

### AU-11 Audit Record Retention (H)

The organization retains audit records for [FedRAMP Assignment: at least one (1) year] [*DoD SRG Assignment: 5 years for SAMI; Otherwise for at least one year*] to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.

AU-11 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider retains audit records on-line for at least ninety days and further preserves audit records off-line for a period that is in accordance with NARA requirements

| **AU-11** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_11\_role}} | |
| Parameter AU-11: {{au\_11\_parameter}} | |
| {{au\_11\_status}} | |
| {{au\_11\_origination}} | |

| AU-11 What is the solution and how is it implemented? |
| --- |
| {{au\_11\_implementation}} |

### AU-12 Audit Generation (L) (M) (H)

The information system:

1. Provides audit record generation capability for the auditable events defined in AU-2 a. at [FedRAMP Assignment: all information system components where audit capability is deployed/available] [*DoD SRG Assignment: all information system and network components*];
2. Allows [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: ISSM or individuals appointed by the ISSM*] to select which auditable events are to be audited by specific components of the information system; and
3. Generates audit records for the events defined in AU-2 d. with the content defined in AU-3.

| **AU-12** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_12\_role}} | |
| Parameter AU-12(a): {{au\_12\_a\_parameter}} | |
| Parameter AU-12(b): {{au\_12\_b\_parameter}} | |
| {{au\_12\_status}} | |
| {{au\_12\_origination}} | |

| AU-12 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{au\_12\_a\_implementation}} |
| Part b | {{au\_12\_b\_implementation}} |
| Part c | {{au\_12\_c\_implementation}} |

#### AU-12 (1) Control Enhancement (H) (L4) (L5)

The information system compiles audit records from [FedRAMP Assignment: all network, data storage, and computing devices] into a system-wide (logical or physical) audit trail that is time-correlated to within [Assignment: organization-defined level of tolerance for relationship between time stamps of individual records in the audit trail] [*DoD SRG Assignment: Time tracking tolerance defined in AU-8*].

| AU-12 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_12\_1\_role}} | |
| Parameter AU-12 (1)-1: {{au\_12\_1\_1\_parameter}} | |
| Parameter AU-12 (1)-2: {{au\_12\_1\_2\_parameter}} | |
| {{au\_12\_1\_status}} | |
| {{au\_12\_1\_origination}} | |

| AU-12 (1) What is the solution and how is it implemented? |
| --- |
| {{au\_12\_1\_implementation}} |

#### AU-12 (3) Control Enhancement (H) (L4) (L5)

The information system provides the capability for [FedRAMP Assignment: service provider-defined individuals or roles with audit configuration responsibilities] to change the auditing to be performed on [FedRAMP Assignment: all network, data storage, and computing devices] based on [Assignment: organization-defined threat situations] within [Assignment: organization-defined time thresholds].

| AU-12 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{au\_12\_3\_role}} | |
| Parameter AU-12 (3)-1: {{au\_12\_3\_1\_parameter}} | |
| Parameter AU-12 (3)-2: {{au\_12\_3\_2\_parameter}} | |
| Parameter AU-12 (3)-3: {{au\_12\_3\_3\_parameter}} | |
| Parameter AU-12 (3)-4: {{au\_12\_3\_4\_parameter}} | |
| {{au\_12\_3\_status}} | |
| {{au\_12\_3\_origination}} | |

| AU-12 (3) What is the solution and how is it implemented? |
| --- |
| {{au\_12\_3\_implementation}} |

### AU-16 Cross-Organizational Auditing

#### AU-16 (2) Control Enhancement (L4) (L5)

The organization provides cross-organizational audit information to [*Assignment: organization defined organizations*] based on [*Assignment: organization-defined cross-organizational sharing agreements*].

| **AU-16 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{au\_16\_2\_role}} | |
| Parameter AU-16(2)-1: {{au\_16\_2\_1\_parameter}} | |
| Parameter AU-16(2)-2: {{au\_16\_2\_2\_parameter}} | |
| {{au\_16\_2\_status}} | |
| {{au\_16\_2\_origination}} | |

| AU-16 (2) What is the solution and how is it implemented? |
| --- |
| {{au\_16\_2\_implementation}} |

## Security Assessment and Authorization (CA)

### CA-1 Certification, Authorization, Security Assessment Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [*FedRAMP* Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all personnel*]
   1. A security assessment and authorization policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the security assessment and authorization policy and associated security assessment and authorization controls; and
2. Reviews and updates the current:
   1. Security assessment and authorization policy [*FedRAMP Assignment: at least annually*] [*DoD SRG Assignment: at least every 3 years*] and
   2. Security assessment and authorization procedures [*FedRAMP Assignment: at least at least annually or whenever a significant change occurs*] [*DoD SRG Assignment: at least annually*].

| **CA-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_1\_role}} | |
| Parameter CA-01(a): {{ca\_1\_a\_parameter}} | |
| Parameter CA-01(b)(1): {{ca\_1\_b\_1\_parameter}} | |
| Parameter CA-01(b)(2): {{ca\_1\_b\_2\_parameter}} | |
| {{ca\_1\_status}} | |
| {{ca\_1\_origination}} | |

| CA-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_1\_a\_implementation}} |
| Part b | {{ca\_1\_b\_implementation}} |

### CA-2 Security Assessments (L) (M) (H) (L4) (L5)

The organization:

1. Develops a security assessment plan that describes the scope of the assessment including:
   1. Security controls and control enhancements under assessment;
   2. Assessment procedures to be used to determine security control effectiveness; and
   3. Assessment environment, assessment team, and assessment roles and responsibilities;
2. Assesses the security controls in the information system and its environment of operation [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually for technical controls] to determine the extent to which the controls are implemented correctly, operating as intended, and producing the desired outcome with respect to meeting established security requirements;
3. Produces a security assessment report that documents the results of the assessment; and
4. Provides the results of the security control assessment to [FedRAMP Assignment: individuals or roles to include the FedRAMP Program Management Office (PMO)] [*DoD SRG Assignment: at a minimum, the CSP’s ISSO and ISSM, FedRAMP PMO (as applicable), the DISA A&A/SCA team, and the customer’s MCD*].

CA-2 Additional FedRAMP Requirements and Guidance

Guidance: See the FedRAMP Documents page under Key Cloud Service

Provider (CSP) Documents> Annual Assessment Guidance

<https://www.FedRAMP.gov/documents/>

| **CA-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_2\_role}} | |
| Parameter CA-02(b): {{ca\_2\_b\_parameter}} | |
| Parameter CA-02(d): {{ca\_2\_d\_parameter}} | |
| {{ca\_2\_status}} | |
| {{ca\_2\_origination}} | |

| CA-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_2\_a\_implementation}} |
| Part b | {{ca\_2\_b\_implementation}} |
| Part c | {{ca\_2\_c\_implementation}} |
| Part d | {{ca\_2\_d\_implementation}} |

#### CA-2 (1) Control Enhancement (L) (M) (H)

The organization employs assessors or assessment teams with [*FedRAMP* Assignment: organization-defined level of independence] [*DoD SRG Assignment: Added to NIST Baseline for “Low” FedRAMP baseline*] to conduct security control assessments.

CA-2 (1) Additional FedRAMP Requirements and Guidance:

Requirement: For JAB Authorization, must use an accredited Third Party Assessment Organization (3PAO).

| **CA-2 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_2\_1\_role}} | |
| Parameter CA-02(1): {{ca\_2\_1\_parameter}} | |
| {{ca\_2\_1\_status}} | |
| {{ca\_2\_1\_origination}} | |

| CA-2 (1) What is the solution and how is it implemented? |
| --- |
| {{ca\_2\_1\_implementation}} |

#### CA-2 (2) Control Enhancement (M) (H)

The organization includes as part of security control assessments, [FedRAMP Assignment: at least annually][*DoD SRG Assignment: at least annually*], [Selection: announced; unannounced], [Selection (one or more): in-depth monitoring; vulnerability scanning; malicious user testing through Red Team exercises; insider threat assessment; performance/load testing; [*FedRAMP* Assignment: organization-defined other forms of security assessment]].

CA-2 (2) Additional FedRAMP Requirements and Guidance:

Requirement: To include 'announced', 'vulnerability scanning’ to occur at least annually.

| **CA-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_2\_2\_role}} | |
| Parameter CA-2(2)-1: {{ca\_2\_2\_1\_parameter}} | |
| Parameter CA-2(2)-2: {{ca\_2\_2\_2\_parameter}} | |
| Parameter CA-2(2)-3: {{ca\_2\_2\_3\_parameter}} | |
| Parameter CA-2(2)-4: {{ca\_2\_2\_4\_parameter}} | |
| {{ca\_2\_2\_status}} | |
| {{ca\_2\_2\_origination}} | |

| CA-2 (2) What is the solution and how is it implemented? |
| --- |
| {{ca\_2\_2\_implementation}} |

#### CA-2 (3) Control Enhancement (M) (H)

The organization accepts the results of an assessment of [FedRAMP Assignment: organization-defined information system] [DoD SRG Assignment: organization-defined information system] performed by [FedRAMP Assignment: any FedRAMP Accredited 3PAO] [DoD SRG Assignment: any FedRAMP Accredited 3PAO] when the assessment meets [FedRAMP Assignment: the conditions of the JAB/AO in the FedRAMP Repository] [DoD SRG Assignment: the conditions of the JAB/AO in the FedRAMP Repository].

| **CA-2 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_2\_3\_role}} | |
| Parameter CA-2(3)-1: {{ca\_2\_3\_1\_parameter}} | |
| Parameter CA-2(3)-2: {{ca\_2\_3\_2\_parameter}} | |
| Parameter CA-2(3)-3: {{ca\_2\_3\_3\_parameter}} | |
| {{ca\_2\_3\_status}} | |
| {{ca\_2\_3\_origination}} | |

| CA-2 (3) What is the solution and how is it implemented? |
| --- |
| {{ca\_2\_3\_implementation}} |

### CA-3 System Interconnections (L) (M) (H) (L4) (L5)

The organization:

1. Authorizes connections from the information system to other information systems through the use of Interconnection Security Agreements;
2. Documents, for each interconnection, the interface characteristics, security requirements, and the nature of the information communicated; and
3. Reviews and updates Interconnection Security Agreements [FedRAMP Assignment: at least annually and on input from FedRAMP] [*DoD SRG Assignment: at least annually*].

Table 13‑3. CA-3 Authorized Connections

| **Authorized Connections Information System Name** | **Name of Organization Microsoft System Connects To** | **Role and Name of Person Who Signed Connection Agreement** | **Name and Date of Interconnection Agreement** |
| --- | --- | --- | --- |
| CorpNet | Microsoft | Core Services Engineering (CSE, formerly MSIT) Sr. Director, Operations Risk Management  Lisa Reshaur | N/A |
| CorpNet is the Microsoft corporate network. CorpNet contains services run on Microsoft’s corporate network, not dedicated to Office 365, such as source code repositories, system documentation repositories, and change ticketing. | | | |
| Cosmos | Microsoft | Group Program Manager, Cosmos  Ryan Waite | N/A |
| Cosmos is a service, not dedicated to Office 365, that stores and reports on Office 365 log data. Office 365 scrubs logs of customer information before sending logs to Cosmos. | | | |
| Azure (including GSGO) | Microsoft | Azure ISSO  Roger Chiou | N/A |
| Azure is a service, not dedicated to Office 365 GCC, that provides services for scalable, on-demand computing services. GSGO provides datacenter and network infrastructure, services and security. GSGO is physically and logically segregated from the public network. | | | |
| Akamai | Akamai | Senior Director, Public Sector  David Yoon | Office 365 and Akamai MOU, 10/10/2018 |
| Akamai is a service, not dedicated to Office 365, that provides Global Traffic Management (GTM), and HTTP Content Delivery. This connection is covered via an ISA with Akamai. | | | |

| CA-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ca\_3\_role}} | |
| Parameter CA-03(c): {{ca\_3\_c\_parameter}} | |
| {{ca\_3\_status}} | |
| {{ca\_3\_origination}} | |

| CA-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_3\_a\_implementation}} |
| Part b | {{ca\_3\_b\_implementation}} |
| Part c | {{ca\_3\_c\_implementation}} |

#### CA-3 (1) Control Enhancement (L4) (L5)

The organization prohibits the direct connection of an [*DoD Assignment: all unclassified NSS*] [*Assignment: organization-defined unclassified, national security system*] to an external network without the use of [*Assignment: organization-defined boundary protection device*].

| **CA-3 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_3\_1\_role}} | |
| Parameter CA-3(1)-1: {{ca\_3\_1\_1\_parameter}} | |
| Parameter CA-3(1)-2: {{ca\_3\_1\_2\_parameter}} | |
| {{ca\_3\_1\_status}} | |
| {{ca\_3\_1\_origination}} | |

| **CA-3 (1) What is the solution and how is it implemented?** |
| --- |
| {{ca\_3\_1\_implementation}} |

#### CA-3 (3) Control Enhancement (M) (H) (L4) (L5)

The organization prohibits the direct connection of an [*FedRAMP* Assignment: organization-defined unclassified, non-national security system] to an external network without the use of [FedRAMP Assignment: boundary protections which meet Trusted Internet Connection (TIC) requirements] [FedRAMP Assignment: boundary protections which meet Trusted Internet Connection (TIC) requirements].

CA-3 (3) Additional FedRAMP Requirements and Guidance:

**Guidance:** Refer to Appendix H – Cloud Considerations of the TIC Reference Architecture document. Link: <https://www.dhs.gov/publication/tic-reference-architecture-22>

| Responsible Role: O365 Trust Program Manager | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_3\_3\_role}} | |
| Parameter CA-3(3)-1: {{ca\_3\_3\_1\_parameter}} | |
| Parameter CA-3(3)-2: {{ca\_3\_3\_2\_parameter}} | |
| {{ca\_3\_3\_status}} | |
| {{ca\_3\_3\_origination}} | |

| **CA-3 (3) What is the solution and how is it implemented?** |
| --- |
| {{ca\_3\_3\_implementation}} |

#### CA-3 (5) Control Enhancement (H) (L4) (L5)

The organization employs [FedRAMP Selection: deny-all, permit by exception] [*DoD SRG Selection: deny-all, permit by exception*]policy for allowing [FedRAMP Assignment: any systems] [[*DoD SRG Assignment: any systems requiring external connectivity*] to connect to external information systems.

CA-3 (5) Additional FedRAMP Requirements and Guidance:

Guidance: For JAB Authorization, CSPs shall include details of this control in their architecture briefing.

| **CA-3 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_3\_5\_role}} | |
| Parameter CA-3(5)-1: {{ca\_3\_5\_1\_parameter}} | |
| Parameter CA-3(5)-2: {{ca\_3\_5\_2\_parameter}} | |
| {{ca\_3\_5\_status}} | |
| {{ca\_3\_5\_origination}} | |

| CA-3 (5) What is the solution and how is it implemented? |
| --- |
| {{ca\_3\_5\_implementation}} |

### CA-5 Plan of Action and Milestones (L) (M) (H)

The organization:

1. Develops a plan of action and milestones for the information system to document the organization’s planned remedial actions to correct weaknesses or deficiencies noted during the assessment of the security controls and to reduce or eliminate known vulnerabilities in the system; and
2. Updates existing plan of action and milestones [FedRAMP Assignment: at least monthly] [*DoD SRG Assignment: at least monthly*] based on the findings from security controls assessments, security impact analyses, and continuous monitoring activities.

CA-5 Additional FedRAMP Requirements and Guidance:

Requirement: Plan of Action & Milestones (POA&M must be provided at least monthly.

Guidance: See the FedRAMP Documents page under Key Cloud Service

Provider (CSP) Documents> Plan of Action and Milestones (POA&M) Template Completion Guide

<https://www.FedRAMP.gov/documents/>

| **CA-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_5\_role}} | |
| Parameter CA-05(b): {{ca\_5\_b\_parameter}} | |
| {{ca\_5\_status}} | |
| {{ca\_5\_origination}} | |

| CA-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_5\_a\_implementation}} |
| Part b | {{ca\_5\_b\_implementation}} |

### CA-6 Security Authorization (L) (M) (H) (L4) (L5)

The organization:

1. Assigns a senior-level executive or manager as the authorizing official for the information system;
2. Ensures that the authorizing official authorizes the information system for processing before commencing operations; and
3. Updates the security authorization [FedRAMP Assignment: in accordance with OMB A-130 requirements or when a significant change occurs] [*DoD SRG Assignment: at least every three years, whenever there is a significant change to the system, or if there is a change to the environment in which the system operates*].

CA-6c Additional FedRAMP Requirements and Guidance:

Guidance: Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F ([SP 800-37](http://csrc.nist.gov/publications/nistpubs/800-37-rev1/sp800-37-rev1-final.pdf)). The service provider describes the types of changes to the information system or the environment of operations that would impact the risk posture. The types of changes are approved and accepted by the JAB/AO.

**CA-6 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Prior to authorizing an information system containing PII a privacy impact assessment must be completed.

| **CA-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_6\_role}} | |
| Parameter CA-06(c): {{ca\_6\_c\_parameter}} | |
| {{ca\_6\_status}} | |
| {{ca\_6\_origination}} | |

| CA-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_6\_a\_implementation}} |
| Part b | {{ca\_6\_b\_implementation}} |
| Part c | {{ca\_6\_c\_implementation}} |
| Ext. | {{ca\_6\_ext\_implementation}} |

### CA-7 Continuous Monitoring (L) (M) (H)

The organization develops a continuous monitoring strategy and implements a continuous monitoring program that includes:

1. Establishment of [Assignment: organization-defined metrics] to be monitored;
2. Establishment of [Assignment: organization-defined frequencies] for monitoring and [Assignment: organization-defined frequencies] for assessments supporting such monitoring;
3. Ongoing security control assessments in accordance with the organizational continuous monitoring strategy;
4. Ongoing security status monitoring of organization-defined metrics in accordance with the organizational continuous monitoring strategy;
5. Correlation and analysis of security-related information generated by assessments and monitoring;
6. Response actions to address results of the analysis of security-related information; and
7. Reporting the security status of organization and the information system to [FedRAMP Assignment: to meet Federal and FedRAMP requirements] [Assignment: organization-defined frequency].

CA-7 Additional FedRAMP Requirements and Guidance:

Requirement: Operating System Scans: at least monthly Database and Web Application Scans: at least monthly. All scans performed by Independent Assessor: at least annually.

Guidance: CSPs must provide evidence of closure and remediation of a high vulnerability within the timeframe for standard POA&M updates.

Guidance: See the FedRAMP Documents page under Key Cloud Service

Provider (CSP) Documents> Continuous Monitoring Strategy Guide

<https://ww.FedRAMP.gov/documents/>

| **CA-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_7\_role}} | |
| Parameter CA-07(a): {{ca\_7\_a\_parameter}} | |
| Parameter CA-7(b)-1: {{ca\_7\_b\_1\_parameter}} | |
| Parameter CA-7(b)-2: {{ca\_7\_b\_2\_parameter}} | |
| Parameter CA-7(g)-1: {{ca\_7\_g\_1\_parameter}} | |
| Parameter CA-7(g)-2: {{ca\_7\_g\_2\_parameter}} | |
| {{ca\_7\_status}} | |
| {{ca\_7\_origination}} | |

| CA-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ca\_7\_a\_implementation}} |
| Part b | {{ca\_7\_b\_implementation}} |
| Part c | {{ca\_7\_c\_implementation}} |
| Part d | {{ca\_7\_d\_implementation}} |
| Part e | {{ca\_7\_e\_implementation}} |
| Part f | {{ca\_7\_f\_implementation}} |
| Part g | {{ca\_7\_g\_implementation}} |

CA-7 Additional FedRAMP Requirements and Guidance:

Requirement 1: Operating System Scans: at least monthly

Requirement 2: Database and Web Application Scans: at least monthly

Requirement 3: All scans performed by Independent Assessor: at least annually

| **CA-7 Req.** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_7\_r\_role}} | |
| {{ca\_7\_r\_status}} | |
| {{ca\_7\_r\_origination}} | |

| CA-7 What is the solution and how is it implemented? | |
| --- | --- |
| Req. 1 | {{ca\_7\_r\_1\_implementation}} |
| Req. 2 | {{ca\_7\_r\_2\_implementation}} |
| Req. 3 | {{ca\_7\_r\_3\_implementation}} |

#### CA-7 (1) Control Enhancement (M) (H)

The organization employs assessors or assessment teams with [Assignment: organization-defined level of independence] to monitor the security controls in the information system on an ongoing basis.

| **CA-7 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_7\_1\_role}} | |
| Parameter CA-7(1): {{ca\_7\_1\_parameter}} | |
| {{ca\_7\_1\_status}} | |
| {{ca\_7\_1\_origination}} | |

| CA-7 (1) What is the solution and how is it implemented? |
| --- |
| {{ca\_7\_1\_implementation}} |

#### CA-7 (3) Control Enhancement (H)

The organization employs trend analyses to determine if security control implementations, the frequency of continuous monitoring activities, and/or the types of activities used in the continuous monitoring process need to be modified based on empirical data.

| CA-7 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ca\_7\_3\_role}} | |
| {{ca\_7\_3\_status}} | |
| {{ca\_7\_3\_origination}} | |

| CA-7 (3) What is the solution and how is it implemented? |
| --- |
| {{ca\_7\_3\_implementation}} |

### CA-8 Penetration Testing (M) (H) (L4) (L5)

The organization conducts penetration testing [FedRAMP Assignment: at least annually] on [Assignment: organization-defined information systems or system components].

CA-8 Additional FedRAMP Requirements and Guidance

Guidance: See the FedRAMP Documents page under Key Cloud Service

Provider (CSP) Documents> Penetration Test Guidance

| **CA-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_8\_role}} | |
| Parameter CA-8-1: {{ca\_8\_1\_parameter}} | |
| Parameter CA-8-2: {{ca\_8\_2\_parameter}} | |
| {{ca\_8\_status}} | |
| {{ca\_8\_origination}} | |

| **CA-8 What is the solution and how is it implemented?** |
| --- |
| {{ca\_8\_implementation}} |

#### CA-8 (1) Control Enhancement (M) (H)

The organization employs an independent penetration agent or penetration team to perform penetration testing on the information system or system components.

| **CA-8 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_8\_1\_role}} | |
| {{ca\_8\_1\_status}} | |
| {{ca\_8\_1\_origination}} | |

| CA-8 (1) What is the solution and how is it implemented? |
| --- |
| {{ca\_8\_1\_implementation}} |

### CA-9 Internal System Connections (L) (M) (H)

The organization:

1. Authorizes internal connections of [Assignment: organization-defined information system components or classes of components] to the information system; and
2. Documents, for each internal connection, the interface characteristics, security requirements, and the nature of the information communicated.

| **CA-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_9\_role}} | |
| Parameter CA-9(a): {{ca\_9\_a\_parameter}} | |
| {{ca\_9\_status}} | |
| {{ca\_9\_origination}} | |

| **CA-9 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{ca\_9\_a\_implementation}} |
| Part b | {{ca\_9\_b\_implementation}} |

#### CA-9 (1) Control Enhancement (L4) (L5)

The information system performs security compliance checks on constituent system components prior to the establishment of the internal connection.

| **CA-9 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ca\_9\_1\_role}} | |
| {{ca\_9\_1\_status}} | |
| {{ca\_9\_1\_origination}} | |

| CA-9 (1) What is the solution and how is it implemented? |
| --- |
| {{ca\_9\_1\_implementation}} |

## Configuration Management (CM)

### CM-1 Configuration Management Policies and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [DoD SRG Assignment: all stakeholders in the configuration management process]:
   1. A configuration management policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the configuration management policy and associated configuration management controls; and
2. Reviews and updates the current:
   1. Configuration management policy [FedRAMP Assignment: at least annually ] [*DoD SRG Assignment: annually*]; and
   2. Configuration management procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

| **CM-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_1\_role}} | |
| Parameter CM-01(a): {{cm\_1\_a\_parameter}} | |
| Parameter CM-01(b)(1): {{cm\_1\_b\_1\_parameter}} | |
| Parameter CM-01(b)(2): {{cm\_1\_b\_2\_parameter}} | |
| {{cm\_1\_status}} | |
| {{cm\_1\_origination}} | |

| **CM-1 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_1\_a\_implementation}} |
| Part b | {{cm\_1\_b\_implementation}} |

### CM-2 Baseline Configuration (L) (M) (H)

The organization develops, documents, and maintains under configuration control, a current baseline configuration of the information system.

| **CM-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_2\_role}} | |
| {{cm\_2\_status}} | |
| {{cm\_2\_origination}} | |

| CM-2 What is the solution and how is it implemented? |
| --- |
| {{cm\_2\_implementation}} |

#### CM-2 (1) Control Enhancement (H)

The organization reviews and updates the baseline configuration of the information system:

1. [FedRAMP Assignment: at least annually or when a significant change occurs] [*DoD SRG Assignment: at least annually*];
2. When required due to [FedRAMP Assignment: to include when directed by the JAB] [*DoD ARG Assignment: baseline configuration changes or as events dictate such as changes due to USCYBERCOM tactical orders/ directives or cyber-attacks*]; and
3. As an integral part of information system component installations and upgrades.

CM-2 (1) (a) Additional FedRAMP Requirements and Guidance:

Guidance: Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F, Page F-7.

| **CM-2 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_2\_1\_role}} | |
| Parameter CM-02(1)(a): {{cm\_2\_1\_a\_parameter}} | |
| Parameter CM-02(1)(b): {{cm\_2\_1\_b\_parameter}} | |
| {{cm\_2\_1\_status}} | |
| {{cm\_2\_1\_origination}} | |

| CM-2 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_2\_1\_a\_implementation}} |
| Part b | {{cm\_2\_1\_b\_implementation}} |
| Part c | {{cm\_2\_1\_c\_implementation}} |

#### CM-2 (2) Control Enhancement (M) (H)

The organization employs automated mechanisms to maintain an up-to-date, complete, accurate, and readily available baseline configuration of the information system.

| **CM-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_2\_2\_role}} | |
| {{cm\_2\_2\_status}} | |
| {{cm\_2\_2\_origination}} | |

| CM-2 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_2\_2\_implementation}} |

#### CM-2 (3) Control Enhancement (H)

The organization retains [FedRAMP Assignment: the previously approved baseline configuration of IS components ] to support rollback.

| **CM-2 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_2\_3\_role}} | |
| Parameter CM-02(3): {{cm\_2\_3\_parameter}} | |
| {{cm\_2\_3\_status}} | |
| {{cm\_2\_3\_origination}} | |

| CM-2 (3) What is the solution and how is it implemented? |
| --- |
| {{cm\_2\_3\_implementation}} |

#### CM-2 (7) Control Enhancement (M) (H)

The organization:

1. Issues [Assignment: organization-defined information systems, system components, or devices] with [Assignment: organization-defined configurations] to individuals traveling to locations that the organization deems to be of significant risk; and
2. Applies [Assignment: organization-defined security safeguards] to the devices when the individuals return.

| **CM-2 (7)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_2\_7\_role}} | |
| Parameter CM-2(7)(a)-1: {{cm\_2\_7\_a\_1\_parameter}} | |
| Parameter CM-2(7)(a)-2: {{cm\_2\_7\_a\_2\_parameter}} | |
| Parameter CM-2(7)(b): {{cm\_2\_7\_b\_parameter}} | |
| {{cm\_2\_7\_status}} | |
| {{cm\_2\_7\_origination}} | |

| CM-2 (7) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_2\_7\_a\_implementation}} |
| Part b | {{cm\_2\_7\_b\_implementation}} |

### CM-3 Configuration Change Control (M) (H)

The organization:

1. Determines the types of changes to the information system that are configuration-controlled;
2. Reviews proposed configuration-controlled changes to the information system and approves or disapproves such changes with explicit consideration for security impact analyses;
3. Documents configuration change decisions associated with the information system;
4. Implements approved configuration-controlled changes to the information system;
5. Retains records of configuration-controlled changes to the information system for [Assignment: organization-defined time period] [*DoD SRG Assignment: the time period should be defined at the organization’s CCB*];

CM-3 (e) Additional FedRAMP Requirements and Guidance:

Guidance: In accordance with record retention policies and procedures.

1. Audits and reviews activities associated with configuration-controlled changes to the information system; and
2. Coordinates and provides oversight for configuration change control activities through [FedRAMP Assignment: see additional FedRAMP requirements and guidance] [*DoD SRG Assignment: CAB*] that convenes [Selection (one or more): [Assignment: organization-defined frequency] [*DoD SRG Assignment: As needed*]; [Assignment: organization-defined configuration change conditions] [*DoD SRG Assignment: Major change*]].

CM-3 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider establishes a central means of communicating major changes to or developments in the information system or environment of operations that may affect its services to the federal government and associated service consumers (e.g., electronic bulletin board, web status page). The means of communication are approved and accepted by the JAB/AO.

| **CM-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_3\_role}} | |
| Parameter CM-3(e): {{cm\_3\_e\_parameter}} | |
| Parameter CM-3(g)-1: {{cm\_3\_g\_1\_parameter}} | |
| Parameter CM-3(g)-2: {{cm\_3\_g\_2\_parameter}} | |
| Parameter CM-3(g)-3: {{cm\_3\_g\_3\_parameter}} | |
| {{cm\_3\_status}} | |
| {{cm\_3\_origination}} | |

| CM-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_3\_a\_implementation}} |
| Part b | {{cm\_3\_b\_implementation}} |
| Part c | {{cm\_3\_c\_implementation}} |
| Part d | {{cm\_3\_d\_implementation}} |
| Part e | {{cm\_3\_e\_implementation}} |
| Part f | {{cm\_3\_f\_implementation}} |
| Part g | {{cm\_3\_g\_implementation}} |

#### CM-3 (1) Control Enhancement (H)

The organization employs automated mechanisms to:

1. Document proposed changes to the information system;
2. Notify [Assignment: organization-defined configuration management approval authorities] of proposed changes to the information system and request change approval;
3. Highlight proposed changes to the information system that have not been approved or disapproved by [FedRAMP Assignment: organization agreed upon time period];
4. Prohibit changes to the information system until designated approvals are received;
5. Document all changes to the information system; and
6. Notify [FedRAMP Assignment: organization-defined configuration management approval authorities] when approved changes to the information system are completed.

| CM-3 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_3\_1\_role}} | |
| Parameter CM-3 (1)(b): {{cm\_3\_1\_b\_parameter}} | |
| Parameter CM-3 (1)(c): {{cm\_3\_1\_c\_parameter}} | |
| Parameter CM-3 (1)(f): {{cm\_3\_1\_f\_parameter}} | |
| {{cm\_3\_1\_status}} | |
| {{cm\_3\_1\_origination}} | |

| CM-3 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_3\_1\_a\_implementation}} |
| Part b | {{cm\_3\_1\_b\_implementation}} |
| Part c | {{cm\_3\_1\_c\_implementation}} |
| Part d | {{cm\_3\_1\_d\_implementation}} |
| Part e | {{cm\_3\_1\_e\_implementation}} |
| Part f | {{cm\_3\_1\_f\_implementation}} |

#### CM-3 (2) Control Enhancement (M)(H)

The organization tests, validates, and documents changes to the information system before implementing the changes on the operational system.

| CM-3 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_3\_2\_role}} | |
| {{cm\_3\_2\_status}} | |
| {{cm\_3\_2\_origination}} | |

| CM-3 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_3\_2\_implementation}} |

#### CM-3 (4) Enhancement (H) (L4) (L5)

The organization requires an information security representative to be a member of the [FedRAMP Assignment: configuration control board (CCB) or similar (as defined in CM-3)] [DoD SRG Assignment: configuration control board (CCB) or similar (as defined in CM-3)].

| CM-3 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_3\_4\_role}} | |
| Parameter CM-3 (4): {{cm\_3\_4\_parameter}} | |
| {{cm\_3\_4\_status}} | |
| {{cm\_3\_4\_origination}} | |

| CM-3 (4) What is the solution and how is it implemented? |
| --- |
| {{cm\_3\_4\_implementation}} |

#### CM-3 (6) Enhancement (H) (L4) (L5)

The organization ensures that cryptographic mechanisms used to provide [FedRAMP Assignment: all security safeguards that rely on cryptography] [*DoD SRG Assignment: All security safeguards that rely on cryptography*] are under configuration management.

| CM-3 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_3\_6\_role}} | |
| Parameter CM-3 (6): {{cm\_3\_6\_parameter}} | |
| {{cm\_3\_6\_status}} | |
| {{cm\_3\_6\_origination}} | |

| CM-3 (6) What is the solution and how is it implemented? |
| --- |
| {{cm\_3\_6\_implementation}} |

### CM-4 Security Impact Analysis (L) (M) (H)

The organization analyzes changes to the information system to determine potential security impacts prior to change implementation.

| **CM-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_4\_role}} | |
| {{cm\_4\_status}} | |
| {{cm\_4\_origination}} | |

| CM-4 What is the solution and how is it implemented? |
| --- |
| {{cm\_4\_implementation}} |

#### CM-4 (1) Control Enhancement (H) (L4) (L5)

The organization analyzes changes to the information system in a separate test environment before implementation in an operational environment, looking for security impacts due to flaws, weaknesses, incompatibility, or intentional malice.

| **CM-4 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_4\_1\_role}} | |
| {{cm\_4\_1\_status}} | |
| {{cm\_4\_1\_origination}} | |

| CM-4 (1) What is the solution and how is it implemented? |
| --- |
| {{cm\_4\_1\_implementation}} |

#### CM-4 (2) control Enhancement (L4) (L5)

The organization, after the information system is changed, checks the security functions to verify that the functions are implemented correctly, operating as intended, and producing the desired outcome with regard to meeting the security requirements for the system.

| **CM-4 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_4\_2\_role}} | |
| {{cm\_4\_2\_status}} | |
| {{cm\_4\_2\_origination}} | |

| CM-4 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_4\_2\_implementation}} |

### CM-5 Access Restrictions for Change (M) (H)

The organization defines, documents, approves, and enforces physical and logical access restrictions associated with changes to the information system.

| **CM-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_5\_role}} | |
| {{cm\_5\_status}} | |
| {{cm\_5\_origination}} | |

| CM-5 What is the solution and how is it implemented? |
| --- |
| {{cm\_5\_implementation}} |

#### CM-5 (1) Control Enhancement (M) (H)

The information system enforces access restrictions and supports auditing of the enforcement actions.

| **CM-5 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_5\_1\_role}} | |
| {{cm\_5\_1\_status}} | |
| {{cm\_5\_1\_origination}} | |

| CM-5 (1) What is the solution and how is it implemented? |
| --- |
| **{**{cm\_5\_1\_implementation}} |

#### CM-5 (2) Control Enhancement (H)

The organization reviews information system changes [FedRAMP Assignment: at least every thirty (30) days] and [Assignment: organization-defined circumstances] to determine whether unauthorized changes have occurred.

| CM-5 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_5\_2\_role}} | |
| Parameter CM-5 (2)-1: {{cm\_5\_2\_1\_parameter}} | |
| Parameter CM-5 (2)-2: {{cm\_5\_2\_2\_parameter}} | |
| {{cm\_5\_2\_status}} | |
| {{cm\_5\_2\_origination}} | |

| CM-5 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_5\_2\_implementation}} |

#### CM-5 (3) Control Enhancement (M) (H)

The information system prevents the installation of [Assignment: organization-defined software and firmware components] [*DoD SRG Assignment: any software or firmware components when the vendor provides digitally signed products*] without verification that the component has been digitally signed using a certificate that is recognized and approved by the organization.

CM-5 (3) Additional FedRAMP Requirements and Guidance:

Guidance: If digital signatures/certificates are unavailable, alternative cryptographic integrity checks (hashes, self-signed certs, etc.) can be used.

| **CM-5 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_5\_3\_role}} | |
| Parameter CM-05(3): {{cm\_5\_3\_parameter}} | |
| {{cm\_5\_3\_status}} | |
| {{cm\_5\_3\_origination}} | |

| CM-5 (3) What is the solution and how is it implemented? |
| --- |
| {{cm\_5\_3\_implementation}} |

#### CM-5 (5) Control Enhancement (M) (H)

The organization:

1. Limits privileges to change information system components and system-related information within a production or operational environment; and
2. Reviews and reevaluates privileges [FedRAMP Assignment: at least quarterly] [*DoD SRG Assignment: at least quarterly*].

| **CM-5 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_5\_5\_role}} | |
| Parameter CM-05(5)(b): {{cm\_5\_5\_b\_parameter}} | |
| {{cm\_5\_5\_status}} | |
| {{cm\_5\_5\_origination}} | |

| CM-5 (5) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_5\_5\_a\_implementation}} |
| Part b | {{cm\_5\_5\_b\_implementation}} |

#### CM-5 (6) Control Enhancement (L4) (L5)

The organization limits privileges to change software resident within software libraries.

| **CM-5 (6)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_5\_6\_role}} | |
| {{cm\_5\_6\_status}} | |
| {{cm\_5\_6\_origination}} | |

| **CM-5 (6) What is the solution and how is it implemented?** |
| --- |
| {{cm\_5\_6\_implementation}} |

### CM-6 Configuration Settings (L) (M) (H)

The organization:

1. Establishes and documents configuration settings for information technology products employed within the information system using [FedRAMP Assignment: see CM-6(a) Additional FedRAMP Requirements and Guidance] [*DoD SRG assignments: DoD security configuration or implementation guidance (e.g. STIGs, SRGs, NSA configuration guides, CTOs, DTMs etc.)*] that reflect the most restrictive mode consistent with operational requirements;

CM-6(a) Additional FedRAMP Requirements and Guidance:

Requirement 1: The service provider shall use the Center for Internet Security guidelines (Level 1) to establish configuration settings or establishes its own configuration settings if USGCB is not available. If no recognized USGCB is available for the technology in use, the CSP should create their own baseline and include a justification statement as to how they came up with the baseline configuration settings.

Requirement 2: The service provider shall ensure that checklists for configuration settings are Security Content Automation Protocol (SCAP) (<http://scap.nist.gov/>) validated or SCAP compatible (if validated checklists are not available).

Guidance: Information on the USGCB checklists can be found at: <https://csrc.nist.gov/Projects/United-States-Government-Configuration-Baseline>.

1. Implements the configuration settings;
2. Identifies, documents, and approves any deviations from established configuration settings for [Assignment: organization-defined information system components] [*DoD SRG Assignment: All configurable information system components*] based on [Assignment: organization-defined operational requirements]; and
3. Monitors and controls changes to the configuration settings in accordance with organizational policies and procedures.

| **CM-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_6\_role}} | |
| Parameter CM-6(a)-1: {{cm\_6\_a\_1\_parameter}} | |
| Parameter CM-6(a)-2: {{cm\_6\_a\_2\_parameter}} | |
| Parameter CM-6(c)-1: {{cm\_6\_c\_1\_parameter}} | |
| Parameter CM-6(c)-2: {{cm\_6\_c\_2\_parameter}} | |
| {{cm\_6\_status}} | |
| {{cm\_6\_origination}} | |

| **CM-6 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_6\_a\_implementation}} |
| Part b | {{cm\_6\_b\_implementation}} |
| Part c | {{cm\_6\_c\_implementation}} |
| Part d | {{cm\_6\_d\_implementation}} |

#### CM-6 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to centrally manage, apply, and verify configuration settings for [Assignment: organization-defined information system components].

| **CM-6 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_6\_1\_role}} | |
| Parameter CM-06(1): {{cm\_6\_1\_parameter}} | |
| {{cm\_6\_1\_status}} | |
| {{cm\_6\_1\_origination}} | |

| CM-6 (1) What is the solution and how is it implemented? |
| --- |
| {{cm\_6\_1\_implementation}} |

#### CM-6 (2) Control Enhancement (H)

The organization employs [Assignment: organization-defined security safeguards] to respond to unauthorized changes to [Assignment: organization-defined configuration settings].

| CM-6 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_6\_2\_role}} | |
| Parameter CM-6 (2)-1: {{cm\_6\_2\_1\_parameter}} | |
| Parameter CM-6 (2)-2: {{cm\_6\_2\_2\_parameter}} | |
| {{cm\_6\_2\_status}} | |
| {{cm\_6\_2\_origination}} | |

| CM-6 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_6\_2\_implementation}} |

### CM-7 Least Functionality (L) (M) (H)

The organization:

1. Configures the information system to provide only essential capabilities; and
2. Prohibits or restricts the use of the following functions, ports, protocols, and/or services [FedRAMP Assignment: United States Government Configuration Baseline (USGCB)] [*DoD SRG Assignment: IAW DoDI 8551.01*]

CM-7 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider shall use the Center for Internet Security guidelines (Level 1) to establish list of prohibited or restricted functions, ports, protocols, and/or services or establishes its own list of prohibited or restricted functions, ports, protocols, and/or services if USGCB is not available. If no recognized USGCB is available for the technology in use, the CSP should create their own baseline and include a justification statement as to how they came up with the baseline configuration settings.

Guidance: Information on the USGCB checklists can be found at: <https://csrc.nist.gov/Projects/United-States-Government-Configuration-Baseline>

Partially derived from AC-17 (8).

| **CM-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_7\_role}} | |
| Parameter CM-07(b): {{cm\_7\_parameter}} | |
| {{cm\_7\_status}} | |
| {{cm\_7\_origination}} | |

| CM-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_7\_a\_implementation}} |
| Part b | {{cm\_7\_b\_implementation}} |

#### CM-7 (1) Control Enhancement (M) (H)

The organization:

1. Reviews the information system [FedRAMP Assignment: at least monthly] [DoD SRG Assignment: at least monthly] to identify unnecessary and/or nonsecure functions, ports, protocols, and services; and
2. Disables [Assignment: organization-defined functions, ports, protocols, and services within the information system deemed to be unnecessary and/or nonsecure] [*DoD SRG Assignment: non-secure functions ports, protocols and services are defined in DoDI 8551.01*].

| **CM-7 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_7\_1\_role}} | |
| Parameter CM-07(1)(a): {{cm\_7\_1\_a\_parameter}} | |
| Parameter CM-07(1)(b): {{cm\_7\_1\_b\_parameter}} | |
| {{cm\_7\_1\_status}} | |
| {{cm\_7\_1\_origination}} | |

| CM-7 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_7\_1\_a\_implementation}} |
| Part b | {{cm\_7\_1\_b\_implementation}} |

#### CM-7 (2) Control Enhancement (M) (H)

The information system prevents program execution in accordance with [Selection (one or more): [Assignment: organization-defined policies regarding software program usage and restrictions]; rules authorizing the terms and conditions of software program usage].

CM-7(2) Additional FedRAMP Requirements and Guidance:

Guidance: This control shall be implemented in a technical manner on the information system to only allow programs to run that adhere to the policy (i.e., white listing). This control is not to be based off of strictly written policy on what is allowed or not allowed to run.

| **CM-7 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_7\_2\_role}} | |
| Parameter CM-07(2): {{cm\_7\_2\_parameter}} | |
| {{cm\_7\_2\_status}} | |
| {{cm\_7\_2\_origination}} | |

| **CM-7 (2) What is the solution and how is it implemented?** |
| --- |
| {{cm\_7\_2\_implementation}} |

#### CM-7 (5) Control Enhancement (H)

The organization:

1. Identifies [Assignment: organization-defined software programs authorized to execute on the information system];
2. Employs a deny-all, permit-by-exception policy to allow the execution of authorized software programs on the information system; and
3. Reviews and updates the list of authorized software programs [FedRAMP Assignment: at least quarterly or when there is a change] [*DoD SRG Assignment: monthly*].

| **CM-7 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_7\_5\_role}} | |
| Parameter CM-07(5)(a): {{cm\_7\_5\_a\_parameter}} | |
| Parameter CM-07(5)(c): {{cm\_7\_5\_c\_parameter}} | |
| {{cm\_7\_5\_status}} | |
| {{cm\_7\_5\_origination}} | |

| **CM-7 (5) What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_7\_5\_a\_implementation}} |
| Part b | {{cm\_7\_5\_b\_implementation}} |
| Part c | {{cm\_7\_5\_c\_implementation}} |

### CM-8 Information System Component Inventory (L) (M) (H)

The organization:

1. Develops and documents an inventory of information system components that:
   1. Accurately reflects the current information system;
   2. Includes all components within the authorization boundary of the information system;
   3. Is at the level of granularity deemed necessary for tracking and reporting; and
   4. Includes [Assignment: organization-defined information deemed necessary to achieve effective information system component accountability] [*DoD SRG Assignment: hardware inventory specifications (manufacturer, type, model, serial number, physical location), software license information, information system/component owner, and for a networked component/device, the machine name*]; and
2. Reviews and updates the information system component inventory [FedRAMP Assignment: at least monthly] [DoD SRG Assignment: at least monthly].

CM-8 Additional FedRAMP Requirements and Guidance:

Requirement: Must be provided at least monthly or when there is a change.

| **CM-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_8\_role}} | |
| Parameter CM-08(a)(4): {{cm\_8\_a\_4\_parameter}} | |
| Parameter CM-08(b): {{cm\_8\_b\_parameter}} | |
| {{cm\_8\_status}} | |
| {{cm\_8\_origination}} | |

| CM-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_8\_a\_implementation}} |
| Part b | {{cm\_8\_b\_implementation}} |

#### CM-8 (1) Control Enhancement (M) (H)

The organization updates the inventory of information system components as an integral part of component installations, removals, and information system updates.

| **CM-8 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_8\_1\_role}} | |
| {{cm\_8\_1\_status}} | |
| {{cm\_8\_1\_origination}} | |

| CM-8 (1) What is the solution and how is it implemented? |
| --- |
| {{cm\_8\_1\_implementation}} |

#### CM-8 (2) Control Enhancement (H)

The organization employs automated mechanisms to help maintain an up-to-date, complete, accurate, and readily available inventory of information system components.

| CM-8 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_8\_2\_role}} | |
| {{cm\_8\_2\_status}} | |
| {{cm\_8\_2\_origination}} | |

| CM-8 (2) What is the solution and how is it implemented? |
| --- |
| {{cm\_8\_2\_implementation}} |

#### CM-8 (3) Control Enhancement (M) (H)

The organization:

1. Employs automated mechanisms [FedRAMP Assignment: Continuously, using automated mechanisms with a maximum five-minute delay in detection] [*DoD SRG Assignment: continuously]* to detect the presence of unauthorized hardware, software, and firmware components within the information system; and
2. Takes the following actions when unauthorized components are detected: [Selection (one or more): disables network access by such components; isolates the components; notifies [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the ISSO and ISSM and others as the local organization deems appropriate]*.

| **CM-8 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_8\_3\_role}} | |
| Parameter CM-08(3)(a): {{cm\_8\_3\_a\_parameter}} | |
| Parameter CM-08(3)(b): {{cm\_8\_3\_b\_parameter}} | |
| {{cm\_8\_3\_status}} | |
| {{cm\_8\_3\_origination}} | |

| CM-8 (3) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cm\_8\_3\_a\_implementation}} |
| Part b | {{cm\_8\_3\_b\_implementation}} |

#### CM-8 (4) Control Enhancement (H)

The organization includes in the information system component inventory information, a means for identifying by [Selection (one or more): name; [FedRAMP Assignment: position and role]], individuals responsible/accountable for administering those components.

| CM-8 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_8\_4\_role}} | |
| Parameter CM-8 (4): {{cm\_8\_4\_parameter}} | |
| {{cm\_8\_4\_status}} | |
| {{cm\_8\_4\_origination}} | |

| **CM-8 (4) What is the solution and how is it implemented?** |
| --- |
| {{cm\_8\_4\_implementation}} |

#### CM-8 (5) Control Enhancement (M) (H)

The organization verifies that all components within the authorization boundary of the information system are not duplicated in other information system inventories.

| **CM-8 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_8\_5\_role}} | |
| {{cm\_8\_5\_status}} | |
| {{cm\_8\_5\_origination}} | |

| CM-8 (5) What is the solution and how is it implemented? |
| --- |
| {{cm\_8\_5\_implementation}} |

### CM-9 Configuration Management Plan (M) (H)

The organization develops, documents, and implements a configuration management plan for the information system that:

1. Addresses roles, responsibilities, and configuration management processes and procedures;
2. Establishes a process for identifying configuration items throughout the system development life cycle and for managing the configuration of the configuration items;
3. Defines the configuration items for the information system and places the configuration items under configuration management; and
4. Protects the configuration management plan for unauthorized disclosure and modification.

| **CM-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_9\_role}} | |
| {{cm\_9\_status}} | |
| {{cm\_9\_origination}} | |

| **CM-9 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_9\_a\_implementation}} |
| Part b | {{cm\_9\_b\_implementation}} |
| Part c | {{cm\_9\_c\_implementation}} |
| Part d | {{cm\_9\_d\_implementation}} |

### CM-10 Software Usage Restrictions (L) (M) (H)

The organization:

1. Uses software and associated documentation in accordance with contract agreements and copyright laws;
2. Tracks the use of software and associated documentation protected by quantity licenses to control copying and distribution; and
3. Controls and documents the use of peer-to-peer file sharing technology to ensure that this capability is not used for the unauthorized distribution, display, performance, or reproduction of copyrighted work.

| **CM-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_10\_role}} | |
| {{cm\_10\_status}} | |
| {{cm\_10\_origination}} | |

| **CM-10 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_10\_a\_implementation}} |
| Part b | {{cm\_10\_b\_implementation}} |
| Part c | {{cm\_10\_c\_implementation}} |

#### CM-10 (1) Control Enhancement (M) (H)

The organization establishes the following restrictions on the use of open source software: [Assignment: organization-defined restrictions] [*DoD SRG Assignment: IAW DoD Memorandum "Clarifying Guidance Regarding Open Source Software (OSS)" 16 Oct 2009 (http://dodcio.defense.gov/Home/Issuances/DoDCIOMemorandums.aspx)*].

| **CM-10 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_10\_1\_role}} | |
| Parameter CM-10(1): {{cm\_10\_1\_parameter}} | |
| {{cm\_10\_1\_status}} | |
| {{cm\_10\_1\_origination}} | |

| **CM-10 (1) What is the solution and how is it implemented?** |
| --- |
| {{cm\_10\_1\_implementation}} |

### CM-11 User-Installed Software (M) (H)

The organization:

1. Establishes [Assignment: organization-defined policies] governing the installation of software by users;
2. Enforces software installation policies through [Assignment: organization-defined methods]; and
3. Monitors policy compliance [FedRAMP Assignment: Continuously (via CM-7 (5))] [*DoD SRG Assignment: continuously*].

| **CM-11** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cm\_11\_role}} | |
| Parameter CM-11(a): {{cm\_11\_a\_parameter}} | |
| Parameter CM-11(b): {{cm\_11\_b\_parameter}} | |
| Parameter CM-11(c): {{cm\_11\_c\_parameter}} | |
| {{cm\_11\_status}} | |
| {{cm\_11\_origination}} | |

| **CM-11 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cm\_11\_a\_implementation}} |
| Part b | {{cm\_11\_b\_implementation}} |
| Part c | {{cm\_11\_c\_implementation}} |

#### CM-11 (1) Control Enhancement (H)

The information system alerts [Assignment: organization-defined personnel or roles] when the unauthorized installation of software is detected.

| CM-11 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cm\_11\_1\_role}} | |
| Parameter CM-11 (1): {{cm\_11\_1\_parameter}} | |
| {{cm\_11\_1\_status}} | |
| {{cm\_11\_1\_origination}} | |

| **CM-11 (1) What is the solution and how is it implemented?** |
| --- |
| {{cm\_11\_1\_implementation}} |

## Contingency Planning (CP)

### CP-1 Contingency Planning Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all stakeholders identified in the contingency plan*]:
   1. A contingency planning policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the contingency planning policy and associated contingency planning controls; and
2. Reviews and updates the current:
   1. Contingency planning policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. Contingency planning procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [DoD SRG Assignment: at least annually].

| **CP-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_1\_role}} | |
| Parameter CP-01(a)(1): {{cp\_1\_a\_1\_parameter}} | |
| Parameter CP-01(a)(2): {{cp\_1\_a\_2\_parameter}} | |
| Parameter CP-01(b)(1): {{cp\_1\_b\_1\_parameter}} | |
| Parameter CP-01(b)(2): {{cp\_1\_b\_2\_parameter}} | |
| {{cp\_1\_status}} | |
| {{cp\_1\_origination}} | |

| **CP-1 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_1\_a\_implementation}} |
| Part b | {{cp\_1\_b\_implementation}} |

### CP-2 Contingency Plan (L) (M) (H)

The organization:

1. Develops a contingency plan for the information system that:
   1. Identifies essential missions and business functions and associated contingency requirements;
   2. Provides recovery objectives, restoration priorities, and metrics;
   3. Addresses contingency roles, responsibilities, assigned individuals with contact information;
   4. Addresses maintaining essential missions and business functions despite an information system disruption, compromise, or failure;
   5. Addresses eventual, full information system restoration without deterioration of the security safeguards originally planned and implemented; and
   6. Is reviewed and approved by [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSM and ISSO*];
2. Distributes copies of the contingency plan to [Assignment: organization-defined key contingency personnel (identified by name and/or by role) and organizational elements] [*DoD SRG Assignment: all stakeholders identified in the contingency plan*];
3. Coordinates contingency planning activities with incident handling activities;
4. Reviews the contingency plan for the information system [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually];
5. Updates the contingency plan to address changes to the organization, information system, or environment of operation and problems encountered during contingency plan implementation, execution, or testing;
6. Communicates contingency plan changes to [Assignment: organization-defined key contingency personnel (identified by name and/or by role) and organizational elements] [*DoD SRG Assignment: all stakeholders identified in the contingency plan*]; and
7. Protects the contingency plan from unauthorized disclosure and modification.

CP-2 Additional FedRAMP Requirements and Guidance:

Requirement: For JAB authorizations the contingency lists include designated FedRAMP personnel.

| **CP-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_2\_role}} | |
| Parameter CP-02(a)(6): {{cp\_2\_a\_6\_parameter}} | |
| Parameter CP-02(b): {{cp\_2\_b\_parameter}} | |
| Parameter CP-02(d): {{cp\_2\_d\_parameter}} | |
| Parameter CP-02(f): {{cp\_2\_f\_parameter}} | |
| {{cp\_2\_status}} | |
| {{cp\_2\_origination}} | |

| CP-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cp\_2\_a\_implementation}} |
| Part b | {{cp\_2\_b\_implementation}} |
| Part c | {{cp\_2\_c\_implementation}} |
| Part d | {{cp\_2\_d\_implementation}} |
| Part e | {{cp\_2\_e\_implementation}} |
| Part f | {{cp\_2\_f\_implementation}} |
| Part g | {{cp\_2\_g\_implementation}} |

#### CP-2 (1) Control Enhancement (M) (H)

The organization coordinates contingency plan development with organizational elements responsible for related plans.

| **CP-2 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_2\_1\_role}} | |
| {{cp\_2\_1\_status}} | |
| {{cp\_2\_1\_origination}} | |

| CP-2 (1) What is the solution and how is it implemented? |
| --- |
| {{cp\_2\_1\_implementation}} |

#### CP-2 (2) Control Enhancement (M) (H)

The organization conducts capacity planning so that necessary capacity for information processing, telecommunications, and environmental support exists during contingency operations.

| **CP-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_2\_2\_role}} | |
| {{cp\_2\_2\_status}} | |
| {{cp\_2\_2\_origination}} | |

| CP-2 (2) What is the solution and how is it implemented? |
| --- |
| {{cp\_2\_2\_implementation}} |

#### CP-2 (3) Control Enhancement (M) (H)

The organization plans for the resumption of essential missions and business functions within [Assignment: organization-defined time period] [*DoD SRG Assignment: 1 hour (high availability), 12 hours(moderate availability)*], of contingency plan activation.

| **CP-2 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_2\_3\_role}} | |
| Parameter CP-02(3): {{cp\_2\_3\_parameter}} | |
| {{cp\_2\_3\_status}} | |
| {{cp\_2\_3\_origination}} | |

| **CP-2 (3) What is the solution and how is it implemented?** |
| --- |
| {{cp\_2\_3\_implementation}} |

#### CP-2 (4) Control Enhancement (H)

The organization plans for the resumption of all missions and business functions within [FedRAMP Assignment: time period defined in service provider and organization Service Level Agreement (SLA)] of contingency plan activation.

| CP-2 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_2\_4\_role}} | |
| Parameter CP-2 (4): {{cp\_2\_4\_parameter}} | |
| {{cp\_2\_4\_status}} | |
| {{cp\_2\_4\_origination}} | |

| CP-2 (4) What is the solution and how is it implemented? |
| --- |
| {{cp\_2\_4\_implementation}} |

#### CP-2 (5) Control Enhancement (H) (L4) (L5)

The organization plans for the continuance of essential missions and business functions with little or no loss of operational continuity and sustains that continuity until full information system restoration at primary processing and/or storage sites.

| CP-2 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_2\_5\_role}} | |
| {{cp\_2\_5\_status}} | |
| {{cp\_2\_5\_origination}} | |

| CP-2 (5) What is the solution and how is it implemented? |
| --- |
| {{cp\_2\_5\_implementation}} |

#### CP-2 (8) Control Enhancement (M) (H)

The organization identifies critical information system assets supporting essential missions and business functions.

| **CP-2 (8)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_2\_8\_role}} | |
| {{cp\_2\_8\_status}} | |
| {{cp\_2\_8\_origination}} | |

| **CP-2 (8) What is the solution and how is it implemented?** |
| --- |
| {{cp\_2\_8\_implementation}} |

### CP-3 Contingency Training (L) (M) (H)

The organization provides contingency training to information system users consistent with assigned roles and responsibilities:

1. Within [FedRAMP Assignment: ten (10) days] [DoD SRG Assignment: ten (10) days] of assuming a contingency role or responsibility;
2. When required by information system changes; and
3. [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually] thereafter.

| **CP-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_3\_role}} | |
| Parameter CP-03(a): {{cp\_3\_a\_parameter}} | |
| Parameter CP-03(c): {{cp\_3\_c\_parameter}} | |
| {{cp\_3\_status}} | |
| {{cp\_3\_origination}} | |

| **CP-3 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_3\_a\_implementation}} |
| Part b | {{cp\_3\_b\_implementation}} |
| Part c | {{cp\_3\_c\_implementation}} |

#### CP-3 (1) Control Enhancement (H)

The organization incorporates simulated events into contingency training to facilitate effective response by personnel in crisis situations.

| CP-3 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_3\_1\_role}} | |
| {{cp\_3\_1\_status}} | |
| {{cp\_3\_1\_origination}} | |

| **CP-3 (1) What is the solution and how is it implemented?** |
| --- |
| {{cp\_3\_1\_implementation}} |

### CP-4 Contingency Plan Testing (H)

The organization:

1. Tests the contingency plan for the information system [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually] using [FedRAMP Assignment: functional exercises] to determine the effectiveness of the plan and the organizational readiness to execute the plan;

CP-4(a) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider develops test plans in accordance with NIST Special Publication 800-34 (as amended) and provides plans to FedRAMP prior to initiating testing. Test plans are approved and accepted by the JAB/AO prior to initiating testing.

1. Reviews the contingency plan test results; and
2. Initiates corrective actions, if needed.

| **CP-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_4\_role}} | |
| Parameter CP-4(a)-1: {{cp\_4\_a\_1\_parameter}} | |
| Parameter CP-4(a)-2: {{cp\_4\_a\_2\_parameter}} | |
| {{cp\_4\_status}} | |
| {{cp\_4\_origination}} | |

| **CP-4 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_4\_a\_implementation}} |
| Part b | {{cp\_4\_b\_implementation}} |
| Part c | {{cp\_4\_c\_implementation}} |

#### CP-4 (1) Control Enhancement (M) (H)

The organization coordinates contingency plan testing and/or exercises with organizational elements responsible for related plans.

| **CP-4 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_4\_1\_role}} | |
| {{cp\_4\_1\_status}} | |
| {{cp\_4\_1\_origination}} | |

| **CP-4 (1) What is the solution and how is it implemented?** |
| --- |
| {{cp\_4\_1\_implementation}} |

#### CP-4 (2) Control Enhancement (H)

The organization tests the contingency plan at the alternate processing site:

1. To familiarize contingency personnel with the facility and available resources; and
2. To evaluate the capabilities of the alternate processing site to support contingency operations.

| CP-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_4\_2\_role}} | |
| {{cp\_4\_2\_status}} | |
| {{cp\_4\_2\_origination}} | |

| CP-4 (2) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cp\_4\_2\_a\_implementation}} |
| Part b | {{cp\_4\_2\_b\_implementation}} |

### CP-6 Alternate Storage Site (M) (H)

The organization:

1. Establishes an alternate storage site including necessary agreements to permit the storage and retrieval of information system backup information; and
2. Ensures that the alternate storage site provides information security safeguards equivalent to that of the primary site.

| **CP-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_6\_role}} | |
| {{cp\_6\_status}} | |
| {{cp\_6\_origination}} | |

| **CP-6 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_6\_a\_implementation}} |
| Part b | {{cp\_6\_b\_implementation}} |

#### CP-6 (1) Control Enhancement (M) (H)

The organization identifies an alternate storage site that is separated from the primary storage site to reduce susceptibility to the same threats.

| **CP-6 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_6\_1\_role}} | |
| {{cp\_6\_1\_status}} | |
| {{cp\_6\_1\_origination}} | |

| **CP-6 (1) What is the solution and how is it implemented?** |
| --- |
| {{cp\_6\_1\_implementation}} |

#### CP-6 (2) Control Enhancement (H)

The organization configures the alternate storage site to facilitate recovery operations in accordance with recovery time and recovery point objectives.

| CP-6 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_6\_2\_role}} | |
| {{cp\_6\_2\_status}} | |
| {{cp\_6\_2\_origination}} | |

| **CP-6 (2) What is the solution and how is it implemented?** |
| --- |
| {{cp\_6\_2\_implementation}} |

#### CP-6 (3) Control Enhancement (M) (H)

The organization identifies potential accessibility problems to the alternate storage site in the event of an area-wide disruption or disaster and outlines explicit mitigation actions.

| **CP-6 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_6\_3\_role}} | |
| {{cp\_6\_3\_status}} | |
| {{cp\_6\_3\_origination}} | |

| **CP-6 (3) What is the solution and how is it implemented?** |
| --- |
| {{cp\_6\_3\_implementation}} |

### CP-7 Alternate Processing Site (M) (H) (L4) (L5)

The organization:

1. Establishes an alternate processing site including necessary agreements to permit the transfer and resumption of [Assignment: organization-defined information system operations] for essential missions/business functions within [FedRAMP Assignment: see additional FedRAMP requirements and guidance] [*DoD SRG Assignment: 1 hour (Availability High) 12 hours (Availability Moderate) as defined in the contingency plan*]when the primary processing capabilities are unavailable;

CP-7a Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines a time period consistent with the recovery time objectives and business impact analysis.

1. Ensures that equipment and supplies required to transfer and resume operations are available at the alternate processing site or contracts are in place to support delivery to the site within the organization-defined time period for transfer/resumption; and
2. Ensures that the alternate processing site provides information security safeguards equivalent to that of the primary site.

| **CP-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_7\_role}} | |
| Parameter CP-7(a)-1: {{cp\_7\_a\_1\_parameter}} | |
| Parameter CP-7(a)-2: {{cp\_7\_a\_2\_parameter}} | |
| {{cp\_7\_status}} | |
| {{cp\_7\_origination}} | |

| CP-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{cp\_7\_a\_implementation}} |
| Part b | {{cp\_7\_b\_implementation}} |
| Part c | {{cp\_7\_c\_implementation}} |

#### CP-7 (1) Control Enhancement (M) (H)

The organization identifies an alternate processing site that is separated from the primary processing site to reduce susceptibility to the same threats.

CP-7(1) Additional FedRAMP Requirements and Guidance

Guidance: The service provider may determine what is considered a sufficient degree of separation between the primary and alternate processing sites, based on the types of threats that are of concern. For one particular type of threat (i.e., hostile cyber-attack), the degree of separation between sites will be less relevant.

| **CP-7 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_7\_1\_role}} | |
| {{cp\_7\_1\_status}} | |
| {{cp\_7\_1\_origination}} | |

| **CP-7 (1) What is the solution and how is it implemented?** |
| --- |
| {{cp\_7\_1\_implementation}} |

#### CP-7 (2) Control Enhancement (M) (H)

The organization identifies potential accessibility problems to the alternate processing site in the event of an area-wide disruption or disaster and outlines explicit mitigation actions.

| **CP-7 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_7\_2\_role}} | |
| {{cp\_7\_2\_status}} | |
| {{cp\_7\_2\_origination}} | |

| CP-7 (2) What is the solution and how is it implemented? |
| --- |
| {{cp\_7\_2\_implementation}} |

#### CP-7 (3) Control Enhancement (M) (H)

The organization develops alternate processing site agreements that contain priority-of-service provisions in accordance with organizational availability requirements (including recovery time objectives).

| **CP-7 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_7\_3\_role}} | |
| {{cp\_7\_3\_status}} | |
| {{cp\_7\_3\_origination}} | |

| **CP-7 (3) What is the solution and how is it implemented?** |
| --- |
| {{cp\_7\_3\_implementation}} |

#### CP-7 (4) Control Enhancement (H)

The organization prepares the alternate processing site so that the site is ready to be used as the operational site supporting essential missions and business functions.

| CP-7 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_7\_4\_role}} | |
| {{cp\_7\_4\_status}} | |
| {{cp\_7\_4\_origination}} | |

| **CP-7 (4) What is the solution and how is it implemented?** |
| --- |
| {{cp\_7\_4\_implementation}} |

### CP-8 Telecommunications Services (M) (H)

The organization establishes alternate telecommunications services including necessary agreements to permit the resumption of [Assignment: organization-defined information system operations] for essential missions and business functions within [FedRAMP Assignment: See CP-8 additional FedRAMP requirements and guidance] [*DoD SRG Assignment: 1 hour (Availability High) 12 hours (Availability Moderate) as defined in the contingency plan*] when the primary telecommunications capabilities are unavailable at either the primary or alternate processing or storage sites.

CP-8 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines a time period consistent with the recovery time objectives and business impact analysis.

| **CP-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_8\_role}} | |
| Parameter CP-8-1: {{cp\_8\_1\_parameter}} | |
| Parameter CP-8-2: {{cp\_8\_2\_parameter}} | |
| {{cp\_8\_status}} | |
| {{cp\_8\_origination}} | |

| **CP-8 What is the solution and how is it implemented?** |
| --- |
| {{cp\_8\_implementation}} |

#### CP-8 (1) Control Enhancement (M) (H)

The organization:

1. Develops primary and alternate telecommunications service agreements that contain priority- of-service provisions in accordance with organizational availability requirements (including recovery time objectives); and
2. Requests Telecommunications Service Priority for all telecommunications services used for national security emergency preparedness in the event that the primary and/or alternate telecommunications services are provided by a common carrier.

| **CP-8 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_8\_1\_role}} | |
| {{cp\_8\_1\_status}} | |
| {{cp\_8\_1\_origination}} | |

| **CP-8 (1) What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_8\_1\_a\_implementation}} |
| Part b | {{cp\_8\_1\_b\_implementation}} |

#### CP-8 (2) Control Enhancement (M) (H)

The organization obtains alternate telecommunications services to reduce the likelihood of sharing a single point of failure with primary telecommunications services.

| **CP-8 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_8\_2\_role}} | |
| {{cp\_8\_2\_status}} | |
| {{cp\_8\_2\_origination}} | |

| **CP-8 (2) What is the solution and how is it implemented?** |
| --- |
| {{cp\_8\_2\_implementation}} |

#### CP-8 (3) Control Enhancement (H)

The organization obtains alternate telecommunications services from providers that are separated from primary service providers to reduce susceptibility to the same threats.

| CP-8 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_8\_3\_role}} | |
| {{cp\_8\_3\_status}} | |
| {{cp\_8\_3\_origination}} | |

| CP-8 (3) What is the solution and how is it implemented? |
| --- |
| {{cp\_8\_3\_implementation}} |

#### CP-8 (4) Control Enhancement (H)

The organization:

1. Requires primary and alternate telecommunications service providers to have contingency plans;
2. Reviews provider contingency plans to ensure that the plans meet organizational contingency requirements; and
3. Obtains evidence of contingency testing/training by providers [FedRAMP Assignment: annually].

| CP-8 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_8\_4\_role}} | |
| Parameter CP-8(4)(c): {{cp\_8\_4\_c\_parameter}} | |
| {{cp\_8\_4\_status}} | |
| {{cp\_8\_4\_origination}} | |

| **CP-8 (4) What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_8\_4\_a\_implementation}} |
| Part b | {{cp\_8\_4\_b\_implementation}} |
| Part c | {{cp\_8\_4\_c\_implementation}} |

### CP-9 Information System Backup (L) (M) (H) (L4) (L5)

The organization:

CP-9 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider shall determine what elements of the cloud environment require the Information System Backup control. The service provider shall determine how Information System Backup is going to be verified and appropriate periodicity of the check.

1. Conducts backups of user-level information contained in the information system [FedRAMP Assignment: daily incremental; weekly full]

CP-9 (a) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider maintains at least three backup copies of user-level information (at least one of which is available online).

1. Conducts backups of system-level information contained in the information system [FedRAMP Assignment: daily incremental; weekly full];

CP-9 (b) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider maintains at least three backup copies of system-level information (at least one of which is available online).

1. Conducts backups of information system documentation including security-related documentation [FedRAMP Assignment: daily incremental; weekly full]; and

CP-9 (c) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider maintains at least three backup copies of information system documentation including security information (at least one of which is available online).

1. Protects the confidentiality, integrity, and availability of backup information at storage locations.

**CP-9 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Use the encryption methodology specified in SC-13 to encrypt moderate and high PII confidentiality impact level information in backups at the storage location.

**PHI Control Extension:**

Establish procedures that create a retrievable, exact copy of the PHI before any movement of information system equipment.

| **CP-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_9\_role}} | |
| Parameter CP-09(a): {{cp\_9\_a\_parameter}} | |
| Parameter CP-09(b): {{cp\_9\_b\_parameter}} | |
| Parameter CP-09(c): {{cp\_9\_c\_parameter}} | |
| {{cp\_9\_status}} | |
| {{cp\_9\_origination}} | |

| **CP-9 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{cp\_9\_a\_implementation}} |
| Part b | {{cp\_9\_b\_implementation}} |
| Part c | {{cp\_9\_c\_implementation}} |
| Part d | {{cp\_9\_d\_implementation}} |
| Ext. | {{cp\_9\_ext\_implementation}} |

#### CP-9 (1) Control Enhancement (H)

The organization tests backup information [FedRAMP Assignment: at least monthly] [*DoD SRG Assignment: at least monthly in accordance with contingency plan*] to verify media reliability and information integrity.

| **CP-9 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_9\_1\_role}} | |
| Parameter CP-09(1): {{cp\_9\_1\_parameter}} | |
| {{cp\_9\_1\_status}} | |
| {{cp\_9\_1\_origination}} | |

| **CP-9 (1) What is the solution and how is it implemented?** |
| --- |
| {{cp\_9\_1\_implementation}} |

#### CP-9 (2) Control Enhancement (H)

The organization uses a sample of backup information in the restoration of selected information system functions as part of contingency plan testing.

| CP-9 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_9\_2\_role}} | |
| {{cp\_9\_2\_status}} | |
| {{cp\_9\_2\_origination}} | |

| **CP-9 (2) What is the solution and how is it implemented?** |
| --- |
| {{cp\_9\_2\_implementation}} |

#### CP-9 (3) Control Enhancement (M) (H)

The organization stores backup copies of [Assignment: organization-defined critical information system software and other security-related information] in a separate facility or in a fire-rated container that is not collocated with the operational system.

| **CP-9 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_9\_3\_role}} | |
| Parameter CP-09(3): {{cp\_9\_3\_parameter}} | |
| {{cp\_9\_3\_status}} | |
| {{cp\_9\_3\_origination}} | |

| **CP-9 (3) What is the solution and how is it implemented?** |
| --- |
| {{cp\_9\_3\_implementation}} |

#### CP-9 (5) Control Enhancement (H)

The organization transfers information system backup information to the alternate storage site [FedRAMP Assignment: time period and transfer rate consistent with the recovery time and recovery point objectives defined in the service provider and organization SLA].

| CP-9 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_9\_5\_role}} | |
| Parameter CP-9 (5): {{cp\_9\_5\_parameter}} | |
| {{cp\_9\_5\_status}} | |
| {{cp\_9\_5\_origination}} | |

| **CP-9 (5) What is the solution and how is it implemented?** |
| --- |
| {{cp\_9\_5\_implementation}} |

### CP-10 Information System Recovery and Reconstitution (L) (M) (H)

The organization provides for the recovery and reconstitution of the information system to a known state after a disruption, compromise, or failure.

| **CP-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_10\_role}} | |
| {{cp\_10\_status}} | |
| {{cp\_10\_origination}} | |

| **CP-10 What is the solution and how is it implemented?** |
| --- |
| {{cp\_10\_implementation}} |

#### CP-10 (2) Control Enhancement (M) (H)

The information system implements transaction recovery for systems that are transaction-based.

| **CP-10 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{cp\_10\_2\_role}} | |
| {{cp\_10\_2\_status}} | |
| {{cp\_10\_2\_origination}} | |

| **CP-10 (2) What is the solution and how is it implemented?** |
| --- |
| {{cp\_10\_2\_implementation}} |

#### CP-10 (4) Control Enhancement (H)

The organization provides the capability to restore information system components within [FedRAMP Assignment: time period consistent with the restoration time-periods defined in the service provider and organization SLA] from configuration-controlled and integrity-protected information representing a known, operational state for the components.

| CP-10 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{cp\_10\_4\_role}} | |
| Parameter CP-10 (4): {{cp\_10\_4\_parameter}} | |
| {{cp\_10\_4\_status}} | |
| {{cp\_10\_4\_origination}} | |

| **CP-10 (4) What is the solution and how is it implemented?** |
| --- |
| {{cp\_10\_4\_implementation}} |

## Data Quality and Integrity (DI)

### DI-1 Data Quality (L4) (L5)

The organization:

1. Confirms to the greatest extent practicable upon collection or creation of personally identifiable information (PII), the accuracy, relevance, timeliness, and completeness of that information;
2. Collects PII directly from the individual to the greatest extent practicable;
3. Checks for, and corrects as necessary, any inaccurate or outdated PII used by its programs or systems [*Assignment: organization-defined frequency*]; and
4. Issues guidelines ensuring and maximizing the quality, utility, objectivity, and integrity of disseminated information.

| **DI-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{di\_1\_role}} | |
| Parameter DI-1 (c)(Privacy): {{di\_1\_c\_parameter}} | |
| {{di\_1\_status}} | |
| {{di\_1\_origination}} | |

| **DI-1 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{di\_1\_a\_implementation}} |
| Part b | {{di\_1\_b\_implementation}} |
| Part c | {{di\_1\_c\_implementation}} |
| Part d | {{di\_1\_d\_implementation}} |

#### DI-1 (1) Control Enhancement

The organization requests that the individual or individuals authorized representative validate PII during the collection process.

| **DI-1(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{di\_1\_1\_role}} | |
| {{di\_1\_1\_status}} | |
| {{di\_1\_1\_origination}} | |

| **DI-1(1) What is the solution and how is it implemented?** |
| --- |
| {{di\_1\_1\_implementation}} |

#### DI-1 (2) Control Enhancement

The organization requests that the individual or individual’s authorized representative revalidate that PII collected is still accurate [*Assignment: organization-defined frequency*].

| **DI-1(2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: Customer {{di\_1\_2\_role}} | |
| Parameter DI-1(2) (Privacy): {{di\_1\_2\_parameter}} | |
| {{di\_1\_2\_status}} | |
| {{di\_1\_2\_origination}} | |

| **DI-1(2) - What is the solution and how is it implemented?** |
| --- |
| {{di\_1\_2\_implementation}} |

## Data Minimization and Retention (DM)

### DM-1 Minimization of Personally Identifiable Information (L4) (L5)

The organization:

1. Identifies the minimum personally identifiable information (PII) elements that are relevant and necessary to accomplish the legally authorized purpose of collection;
2. Limits the collection and retention of PII to the minimum elements identified for the purposes described in the notice and for which the individual has provided consent; and
3. Conducts an initial evaluation of PII holdings and establishes and follows a schedule for regularly reviewing those holdings [*Assignment: organization-defined frequency, at least annually*] to ensure that only PII identified in the notice is collected and retained, and that the PII continues to be necessary to accomplish the legally authorized purpose

| **DM-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{dm\_1\_role}} | |
| Parameter DM-1(c): {{dm\_1\_c\_parameter}} | |
| {{dm\_1\_status}} | |
| {{dm\_1\_origination}} | |

| **DM-1(Privacy)- What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{dm\_1\_a\_implementation}} |
| **Part b** | {{dm\_1\_b\_implementation}} |
| **Part c** | {{dm\_1\_c\_implementation}} |

### DM-2 Data Retention and Disposal (L4) (L5)

The organization:

1. Retains each collection of personally identifiable information (PII) for [*Assignment: organization-defined time period*] to fulfill the purpose(s) identified in the notice or as required by law;
2. Disposes of, destroys, erases, and/or anonymizes the PII, regardless of the method of storage, in accordance with a NARA-approved record retention schedule and in a manner that prevents loss, theft, misuse, or unauthorized access; and
3. Uses [*Assignment: organization-defined techniques or methods*] to ensure secure deletion or destruction of PII (including originals, copies, and archived records).

| **DM-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{dm\_2\_role}} | |
| Parameter DM-2(a): {{dm\_2\_a\_parameter}} | |
| Parameter DM-2(c): {{dm\_2\_b\_parameter}} | |
| {{dm\_2\_status}} | |
| {{dm\_2\_origination}} | |

| **DM-2 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{dm\_2\_a\_implementation}} |
| **Part b** | {{dm\_2\_b\_implementation}} |
| **Part c** | {{dm\_2\_c\_implementation}} |

#### DM-2 (1) (Privacy) Data Retention and Disposal | System Configuration (L4) (L5)

The organization, where feasible, configures its information systems to record the date PII is collected, created, or updated and when PII is to be deleted or archived under an approved record retention schedule.

| **DM-2(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{dm\_2\_1\_role}} | |
| {{dm\_2\_1\_status}} | |
| {{dm\_2\_1\_origination}} | |

| **DM-2(1) What is the solution and how is it implemented?** |
| --- |
| {{dm\_2\_1\_implementation}} |

### DM-3 Minimization of PII Used in Testing, Training, and Research (L4) (L5)

The organization:

1. Develops policies and procedures that minimize the use of personally identifiable information (PII) for testing, training, and research; and
2. Implements controls to protect PII used for testing, training, and research.

| **DM-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{dm\_3\_role}} | |
| {{dm\_3\_status}} | |
| {{dm\_3\_origination}} | |

| **DM-3 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{dm\_3\_a\_implementation}} |
| **Part b** | {{dm\_3\_b\_implementation}} |

#### DM-3 (1) Minimization of PII Used in TEsting, Training, and Research | Risk Minimization Techniques (L4) (L5)

The organization, where feasible, uses techniques to minimize the risk to privacy of using PII for research, testing, or training.

| **DM-3(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{dm\_3\_1\_role}} | |
| {{dm\_3\_1\_status}} | |
| {{dm\_3\_1\_origination}} | |

| **DM-3(1) What is the solution and how is it implemented?** |
| --- |
| {{dm\_3\_1\_implementation}} |

## General Readiness (GR)

### DoD General Readiness Requirements (L4) (L5)

The DoD Cloud Security SRG also levies some requirements that are especially important for DoD missions and/or not directly attributable to specific NIST 800-53 security controls. These are provided below in similar form as the control families to aid the respondent in their response. The CSO respondent is expected to respond to these additional requirements but is it acceptable to provide references to the security controls for detail where applicable.

Although, these requirements may impact the NIST SP 800-53 security controls, they are extracted into overarching questions to help DISA and the CSP determine whether their offering best fits the security model for DoD Level 5 processing. If the CSO finds that they are unable to implement these general requirements they are encouraged to pursue a lower SRG level.

In general, CSOs may offer equivalent mechanisms to the DoD-specific requirements in the security controls (and general requirements). These will be considered on a case-by-case basis. [[10]](#footnote-11)

**DoD Guidance**: *The CSP shall answer the questions below and may then elaborate in the responses to the security control implementation descriptions in the solution descriptions in the security controls, where applicable. Where applicable, SRG references have been included*.

### GR-1 FedRAMP v2 compliance standard (L4) (L5)

Has this system, or another instantiation of this system, undergone a FedRAMP v2 cloud assessment at the Moderate level? If so,

1. Is the assessment to FedRAMP v2 (NIST 800-53 Rev 4)? If not, what are the plans to transition to version 2.0?
2. provide status information of that evaluation(s) and any information pertaining to the assessment that the DoD could use as an input to this assessment
3. provide a summary of any Plan of Action & Milestones (POA&M) items, controls with alternate implementations, future implementations, or any other deviation from fully meeting the FedRAMP v2 Moderate baseline security controls.
4. Who was/is your assessment/auditor (e.g. third-party assessment organization or approved DoD assessor)?[[11]](#footnote-12)

If not, what are your plans (if any) and schedule for FedRAMP participation

| **GR-1** | **Requirement Summary** |
| --- | --- |
| Implementation Status (check all that apply):  ☒ Yes ☐ Partial ☐ In process ☐ Planned ☐ No | |

| **GR-1 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{gr\_1\_a\_implementation}} |
| Part b | {{gr\_1\_b\_implementation}} |
| Part c | {{gr\_1\_c\_implementation}} |
| Part d | {{gr\_1\_d\_implementation}} |
| If no, plans? | {{gr\_1\_x\_implementation}} |

### GR-2 DOD sponsor/champion (L4) (L5)

Do you have a DoD organization willing, committed, or planning to

1. Sponsor your connection to the DODIN?
2. Provide resources for the DoD assessment?
3. Use the CSO?

If so, provide details and contact information.

If not, please indicate any plans to obtain a DoD sponsor for the assessment.

| **GR-2** | **Requirement Summary** |
| --- | --- |
| Implementation Status (check all that apply):  ☒ Yes ☐ Partial ☐ In process ☐ Planned ☐ No | |

| **GR-2 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_2\_a\_implementation}} |
| **Part b** | {{gr\_2\_b\_implementation}} |
| **Part c** | {{gr\_2\_c\_implementation}} |

### GR-3 Separation among CSO tenants (L4) (L5)

1. Will there be only Federal government (including DoD) tenants (customers) in the CSO, or the infrastructure it resides on? If not, are those non-Federal tenants on physically separate systems and infrastructures than the Federal Government (including DoD) tenants?
2. Is there strong virtual separation among the Federal government (including DoD) tenants? If so, summarize the technologies, techniques and/or mechanisms.

**DoD Requirement**: *The CSO must be able to segregate Federal government information at the Federal government Mission Owner level. The CSP must then be capable, upon request of the contracting officer(s) or in response to a subpoena, of isolating one or more Federal Government Mission Owner’s data into an environment where it may be reviewed, scanned, or forensically evaluated in a secure space or via secure remote connection with access limited to authorized Government personnel identified by the Contracting Officer, and without the CSP’s involvement or provide a forensic digital image of the requested Federal government information[[12]](#footnote-13).*

| **GR-3** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☒ Yes ☐ Planned ☐ No | |

| **GR-3 What is the solution and how is it implemented?** | |
| --- | --- |
| Part a | {{gr\_3\_a\_implementation}} |
| Part b | {{gr\_3\_b\_implementation}} |

### GR-4 DIB participation (L4) (L5)

a. Does the CSP currently participate in the Defense Industrial base (DIB) Cyber Security/Information Assurance (CS/IA) Program?

b. If not, is the CSP willing or planning to participate in the DIB CS/IA Program?

c. Does the CSP meet the requirements to access DIBNet-U as specified by the DIB CS/IA Program?

d. Is the CSP able to report all incidents via the on-line Defense Industrial Base (DIB) Cyber incident Form? If not, provide your plans to communicate incidents with the DoD and how the level of assurance is equivalent to that program[[13]](#footnote-14).

**DoD Guidance**: *DIB CS/IA program membership is voluntary, although cyber incident reporting as described under IR-6 is mandatory.*

**DoD Guidance**: *Information on the DIB CS/IA Program can be found at* [*http://dibnet.dod.mil/*](http://dibnet.dod.mil/)*. Further instruction on connection to the DoDIN can be found in Chairman of the Chief of Staff (CJCS) Instruction 6211.02D at* [*http://www.dtic.mil/cjcs\_directives/cdata/unlimit/6211\_02.pdf*](http://www.dtic.mil/cjcs_directives/cdata/unlimit/6211_02.pdf)

| **GR-4** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☐ Yes ☐ Planned ☒Equivalent ☐ No | |

| **GR-4 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_4\_a\_implementation}} |
| **Part b** | {{gr\_4\_b\_implementation}} |
| **Part c** | {{gr\_4\_c\_implementation}} |
| **Part d** | {{gr\_4\_d\_implementation}} |

### GR-5 DoD Cloud Access Point (L4) (L5)

1. Will the CSO connect to DoDIN through one or more approved DoD Cloud Access Point for all external connections?
2. Will the CSO force all DoD traffic to and from the CSO infrastructure through a DoD cloud access point (CAP)? Is the architecture through one or more boundary CAPs (BCAP) or internal CAP (ICAP)? Which ones?

| **GR-5** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☒Yes ☐ Partial ☐Planned ☐ Equivalent ☐ No | |

| **GR-5 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_5\_a\_implementation}} |
| **Part b** | {{gr\_5\_b\_implementation}} |

GR-6 DoD PKI (L4) (L5)

1. Does the CSO enforce DoD PKI (in accordance with DoDI 8520.03) for the authentication of both privileged and non-privileged users? This includes both the use of CAC physical tokens or Alt tokens, as well as DoD certificate revocation resources.
2. Is the CSO DoD PK-enabled for their customer ordering/service management portals for all service offerings?
3. If the CSO is a SaaS, is the CSO DoD PK-enabled for general DoD user access?

***DoD Guidance****: Mission Owner personnel that are involved in managing any portion of a CSP’s service offering or who are able to order services from the CSO ( i.e., possesses accounts on the CSO’s customer ordering and service management interfaces or portals for any service offering (IaaS/PaaS, SaaS)), are considered Privileged Users by DoD and therefore are required to authenticate using DoD CAC or Alt Token IAW DoDI 8520.03.[[14]](#footnote-15)*

| **GR-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_6\_role}} | |
| Implementation Status (check all that apply):  ☒ Yes ☐ Planned ☐No | |

| **GR-6 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_6\_a\_implementation}} |
| **Part b** | {{gr\_6\_b\_implementation}} |
| **Part c** | {{gr\_6\_c\_implementation}} |

GR-7 Data Locations (L4) (L5)

Does the CSO ensure that all DoD data remains in the States, districts, territories, and outlying areas of the United States and hence ensuring that the data remain under U.S. jurisdiction at all times?

***DoD Requirement****: The CSO provides a list of the physical locations where the data could be stored at any given time and how it is ensured that the data remains within these boundaries.*

| **GR-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_7\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐ Planned ☐Equivalent ☐ No | |

| **GR-7 What is the solution and how is it implemented?** |
| --- |
| {{gr\_7\_implementation}} |

GR-8 CUI categories (L4) (L5)

Does the CSO plan to support controlled (sensitive) unclassified information or sensitive information subject to privacy protection? If so, which CUI categories does the CSO plan to support?[[15]](#footnote-16)

| **GR-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_8\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐ Planned ☐Equivalent ☐ No | |

| **GR-8 What is the solution and how is it implemented?** |
| --- |
| {{gr\_8\_implementation}} |

GR-9 Data spill incident handling (L4) (L5)

Does the CSP have a set of data spill security process and procedure – covering both classified spills as well as unauthorized release of sensitive information?

*Guidance: A data spill or “spillage” is an unauthorized transfer of classified information or Controlled Unclassified Information to an information system that is not accredited for the applicable security level of the data or information.*

| **GR-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_9\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-9 What is the solution and how is it implemented?** |
| --- |
| {{gr\_9\_implementation}} |

GR-10 Communication WITH DOD entities (L4) (L5)

Does the CSP have a DoD-approved medium assurance PKI credential for each person requiring secure communications with DoD entities?[[16]](#footnote-17)

| **GR-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_10\_role}} | |
| Implementation Status (check all that apply):  ☐Yes ☐Partial ☐Planned ☒Equivalent ☐No | |

| **GR-10 What is the solution and how is it implemented?** |
| --- |
| {{gr\_10\_implementation}} |

GR-11 CND SP Tier II notification (L4) (L5)

Is the CSP able to receive, act upon and report Compliance with CND Tier II directives and notifications?[[17]](#footnote-18)

***DoD Guidance****: CSOs must preferably have either a DoD PKI certificate or a DoD-approved External Certification Authority (ECA) medium-assurance PKI Certificate for each person that needs to communicate with DoD via encrypted email. Equivalent alternative measures will be assessed on a case by case basis.[[18]](#footnote-19)*

| **GR-11** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_11\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-11 What is the solution and how is it implemented?** |
| --- |
| {{gr\_11\_implementation}} |

GR-12 Cyber Defense SP Tier III (L4) (L5)

Does the CSO provide for CND services to provide for a secure environment for Mission Owner's systems, applications, and virtual networks, effectively functioning as an extension of the DoD CND Tier 3 entity (i.e., the Mission Owner) toward this end? Does the CSO:

1. Provide local operational direction and support for CND within their infrastructure and service offerings.
2. Fully maintain, patch, monitor, and protect the infrastructure, operating systems, and applications supporting all service offerings.
3. Fully maintain, patch, monitor, and protect the portion of the CSO offering, operating systems and applications as defined in the service offering
4. And as contracted:
   1. Coordinate with the MCND regarding incident response and the mitigation of threats to DoD cloud-based mission systems/applications and data.
   2. Provide timely incident and system health reports.
   3. Maintain bidirectional Cyber Situational Awareness?

.

| **GR-12** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_12\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-12 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_12\_a\_implementation}} |
| **Part b** | {{gr\_12\_b\_implementation}} |
| **Part c** | {{gr\_12\_c\_implementation}} |
| **Part d** | {{gr\_12\_d\_implementation}} |

GR-13 Notice of scheduled outages (L4) (L5)

Does the CSO have a notification process for scheduled outages to both customers and the DoD CND SP Tier II?

**DoD Requirement**: *CSPs must notify Tier II CND of planned system outages in advance and provide details on planned activities during the outage*. *CSPs must notify all affected MCD providers or Authorized Services Interruption (ASI) under their control what an outage starts and upon return to service.[[19]](#footnote-20)*

| **GR-13** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_13\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-13 What is the solution and how is it implemented?** |
| --- |
| {{gr\_13\_implementation}} |

GR-14 CSO Personnel (L4) (L5)

1. Does the CSP establish position sensitivity risk determinations based on OPM guidance and the Position Sensitivity Tool?
2. How does the CSP restrict potential access to DoD information to U.S. Citizens?
3. Are all CSO roles with access to DoD CUI categorized as critical sensitive been subject to a satisfactory Single Scope Background Investigation or other background investigation for high risk?
4. Are other CSO roles categorized as moderate risk position designations with access to non-critical sensitive information subject to a satisfactory moderate risk background investigation or a National Agency Check with Law and Credit?

| **GR-14** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_14\_role}} | |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-14 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_14\_a\_implementation}} |
| **Part b** | {{gr\_14\_b\_implementation}} |
| **Part c** | {{gr\_14\_c\_implementation}} |
| **Part d** | {{gr\_14\_d\_implementation}} |

GR-15 Defense in depth architecture (L4) (L5)

How does the CSO implement defense in depth measures including the division of responsibilities with customer tenants?

***DoD Requirement/Guidance****: CSOs must consider the DoD concepts of defense in depth: hardening, host firewalls and intrusion detection, strong access control, robust auditing, protecting the networks with application layer firewalls, proxies, web content filters, email gateways, intrusion detection/prevention, DMZ/gateway architecture, and robust network traffic monitoring. If virtualization is used, these measures must also be used to protect the virtual environment along with the use of hypervisor-based firewall/filtering/routing mechanisms or virtual security appliances.[[20]](#footnote-21)*

| **GR-15** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{gr\_15\_role}} | |
| Implementation Status (check all that apply)  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No ☐Not Applicable (not SaaS) | |

| **GR-15 What is the solution and how is it implemented?** |
| --- |
| {{gr\_15\_implementation}} |

GR-16 Use of authoritative DoD DNS servers (L4) (L5)

1. Does the CSO use a DoD authoritative DNS server on the NIPRNET?
2. Is the CSO addressed in the .mil domain?
3. Does your DNS service include URL redirection or dynamic DNS solutions? If so, are the DNS services protected using a DNS proxy? Does it support DNSSec?
4. What is the CSP DNS management architecture, or outsourced DNS services?

| **GR-16** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-16 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{gr\_16\_a\_implementation}} |
| **Part b** | {{gr\_16\_b\_implementation}} |
| **Part c** | {{gr\_16\_c\_implementation}} |
| **Part d** | {{gr\_16\_d\_implementation}} |

GR-17 DoD Incident response (L4) (L5)

Does the CSO implement incident response in accordance with Section 6.4 of the DoD CC SRG?

| **GR-17** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-17 If so, what is the solution and how is it implemented?** |
| --- |
| {{gr\_17\_implementation}} |

GR-18 DoD STIGS and SRGs (L4) (L5)

Is the CSO compliant with all applicable SRGs and STIGS. Which STIGS/SRGs are applicable and for which does the CSO use an equivalent?

| **GR-18** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☒Yes ☐Partial ☐Planned ☐Equivalent ☐No | |

| **GR-18 If so, what is the solution and how is it implemented?** |
| --- |
| {{gr\_18\_implementation}} |

GR-19 Requirement for mission system inclusion (L4) (L5)

Does your cloud service offering require anything be installed at the customer site (e.g. hardware appliance, software, client, agent, etc.?) If so, what are they and what is the role of each? How is the security of these validated?

| **GR-19** | **Control Summary Information** |
| --- | --- |
| Implementation Status (check all that apply):  ☐Yes ☐ Planned ☒ No | |

| **GR-19 If so, what is the solution and how is it implemented?** |
| --- |
| {{gr\_19\_implementation}} |
| Control Origination (check all that apply):  ☐ Service Provider Corporate  ☐ Service Provider System Specific  ☐ Service Provider Hybrid (Corporate and System Specific)  ☐ Configured by Customer (Customer System Specific)  ☐ Provided by Customer (Customer System Specific)  ☐ Shared (Service Provider and Customer Responsibility)  ☐ Inherited from pre-existing FedRAMP Authorization for Azure Government (F1603087869), 9/25/2017 for Azure Government (F1603087869)  ☒ Not Applicable |

## Identification and Authentication (IA)

### IA-1 Identification and Authentication Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the ISSO and ISSM and other as the local organization deems appropriate*]:
   1. An identification and authentication policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the identification and authentication policy and associated identification and authentication controls; and

(b) Reviews and updates the current:

* 1. Identification and authentication policy [FedRAMP Assignment: at least annually [*DoD SRG Assignment: annually*]; and
  2. Identification and authentication procedures [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least annually*].

| **IA-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_1\_role}} | |
| Parameter IA-1(a): {{ia\_1\_a\_parameter}} | |
| Parameter IA-1(b)(1): {{ia\_1\_b\_1\_parameter}} | |
| Parameter IA-1(b)(2): {{ia\_1\_b\_2\_parameter}} | |
| {{ia\_1\_status}} | |
| {{ia\_1\_origination}} | |

| IA-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ia\_1\_a\_implementation}} |
| Part b | {{ia\_1\_b\_implementation}} |

### IA-2 User Identification and Authentication (L) (M) (H)

The information system uniquely identifies and authenticates organizational users (or processes acting on behalf of organizational users).

| **IA-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_role}} | |
| {{ia\_2\_status}} | |
| {{ia\_2\_origination}} | |

| IA-2 What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_implementation}} |

#### IA-2 (1) Control Enhancement (L) (M) (H)

The information system implements multifactor authentication for network access to privileged accounts.

| **IA-2 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_1\_role}} | |
| {{ia\_2\_1\_status}} | |
| {{ia\_2\_1\_origination}} | |

| IA-2 (1) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_1\_implementation}} |

#### IA-2 (2) Control Enhancement (M) (H)

The information system implements multifactor authentication for network access to non-privileged accounts.

| **IA-2 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_2\_role}} | |
| {{ia\_2\_2\_status}} | |
| {{ia\_2\_2\_origination}} | |

| IA-2 (2) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_2\_implementation}} |

#### IA-2 (3) Control Enhancement (M) (H)

The information system implements multifactor authentication for local access to privileged accounts.

| **IA-2 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_3\_role}} | |
| {{ia\_2\_3\_status}} | |
| {{ia\_2\_3\_origination}} | |

| IA-2 (3) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_3\_implementation}} |

#### IA-2 (4) Control Enhancement (H)

The information system implements multifactor authentication for local access to non-privileged accounts.

| IA-2 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ia\_2\_4\_role}} | |
| {{ia\_2\_4\_status}} | |
| {{ia\_2\_4\_origination}} | |

| IA-2 (4) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_4\_implementation}} |

#### IA-2 (5) Control Enhancement (M) (H)

The organization requires individuals to be authenticated with an individual authenticator when a group authenticator is employed.

| **IA-2 (5)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_5\_role}} | |
| {{ia\_2\_5\_status}} | |
| {{ia\_2\_5\_origination}} | |

| IA-2 (5) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_5\_implementation}} |

#### IA-2 (6) Control Enhancement (L4) (L5)

The information system implements multifactor authentication for network access to privileged accounts such that one of the factors is provided by a device separate from the system gaining access and the device meets [*Assignment: organization-defined strength of mechanism requirements*].

| **IA-2 (6)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_6\_role}} | |
| {{ia\_2\_6\_status}} | |
| {{ia\_2\_6\_origination}} | |

| IA-2 (6) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_6\_implementation}} |

#### IA-2 (7) Control Enhancement (L4) (L5)

The information system implements multifactor authentication for network access to nonprivileged accounts such that one of the factors is provided by a device separate from the system gaining access and the device meets [*Assignment: organization-defined strength of mechanism requirements*].

| **IA-2 (7)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_7\_role}} | |
| {{ia\_2\_7\_status}} | |
| {{ia\_2\_7\_origination}} | |

| IA-2 (7) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_7\_implementation}} |

#### IA-2 (8) Control Enhancement (M) (H)

The information system implements replay-resistant authentication mechanisms for network access to privileged accounts.

| **IA-2 (8)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_8\_role}} | |
| {{ia\_2\_8\_status}} | |
| {{ia\_2\_8\_origination}} | |

| IA-2 (8) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_8\_implementation}} |

#### IA-2 (9) Control Enhancement (H) (L4) (L5)

The information system implements replay-resistant authentication mechanisms for network access to non-privileged accounts.

| IA-2 (9) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ia\_2\_9\_role}} | |
| {{ia\_2\_9\_status}} | |
| {{ia\_2\_9\_origination}} | |

| IA-2 (9) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_9\_implementation}} |

#### IA-2 (11) Control Enhancement (M) (H)

The information system implements multifactor authentication for remote access to privileged and non-privileged accounts such that one of the factors is provided by a device separate from the system gaining access and the device meets [FedRAMP Assignment: FIPS 140-2, NIAP\* Certification, or NSA approval] [*DoD SRG Assignment: DoD PKI or a technology approved by their Authorizing Official, FIPS 140-2, NIAP Certification, or NSA approval*].

\*National Information Assurance Partnership (NIAP)

Additional FedRAMP Requirements and Guidance:

Guidance: PIV = separate device. Please refer to NIST SP 800-157 Guidelines for Derived Personal Identity Verification (PIV) Credentials. FIPS 140-2 means validated by the Cryptographic Module Validation Program (CMVP).

| **IA-2 (11)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_11\_role}} | |
| Parameter IA-02(11): {{ia\_2\_11\_parameter}} | |
| {{ia\_2\_11\_status}} | |
| {{ia\_2\_11\_origination}} | |

| IA-2 (11) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_11\_implementation}} |

#### IA-2 (12) Control Enhancement (L) (M) (H)

The information system accepts and electronically verifies Personal Identity Verification (PIV) credentials.

IA-2 (12) Additional FedRAMP Requirements and Guidance:

Guidance: Include Common Access Card (CAC), i.e., the DoD technical implementation of PIV/FIPS 201/HSPD-12.

| **IA-2 (12)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_2\_12\_role}} | |
| {{ia\_2\_12\_status}} | |
| {{ia\_2\_12\_origination}} | |

| IA-2 (12) What is the solution and how is it implemented? |
| --- |
| {{ia\_2\_12\_implementation}} |

### IA-3 Device Identification and Authentication (M) (H)

The information system uniquely identifies and authenticates [Assignment: organization-defined specific and/or types of devices] [*DoD SRG Assignment: all mobile devices and network connected endpoint devices (including but not limited to: workstations, printers, servers (outside a datacenter), VoIP Phones, VTC CODECs)*] before establishing a [Selection (one or more): local; remote; network] connection.

| **IA-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_3\_role}} | |
| Parameter IA-3(1): {{ia\_3\_1\_parameter}} | |
| Parameter IA-3-2: {{ia\_3\_2\_parameter}} | |
| {{ia\_3\_status}} | |
| {{ia\_3\_origination}} | |

| IA-3 What is the solution and how is it implemented? |
| --- |
| {{ia\_3\_implementation}} |

#### IA-3 (1) control Enhancement (L4) (L5)

The information system authenticates [*Assignment: organization-defined specific devices and/or types of devices] before establishing [Selection (one or more): local; remote; network*] connection using bidirectional authentication that is cryptographically based.

| **IA-3 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_3\_1\_role}} | |
| {{ia\_3\_1\_status}} | |
| {{ia\_3\_1\_origination}} | |

| IA-3 (1) What is the solution and how is it implemented? |
| --- |
| {{ia\_3\_1\_implementation}} |

### IA-4 Identifier Management (H)

The organization manages information system identifiers for users and devices by:

1. Receiving authorization from [FedRAMP Assignment at a minimum, the ISSO (or similar role within the organization)] [*DoD SRG assignment: ISSM or ISSO*] to assign an individual, group, role, or device identifier;
2. Selecting an identifier that identifies an individual, group, role, or device;
3. Assigning the identifier to the intended individual, group, role, or device;
4. Preventing reuse of identifiers for [FedRAMP Assignment: at least two (2) years] *[DoD SRG Assignment: at least two years]*; and
5. Disabling the identifier after [FedRAMP Assignment: thirty-five (35) days (see additional requirements and guidance)] [*DoD SRG Assignment: thirty-five (35) days*]

IA-4e Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines the time period of inactivity for device identifiers.

Guidance: For DoD clouds, see DoD cloud website for specific DoD requirements that go above and beyond FedRAMP <http://iase.disa.mil/cloud_security/Pages/index.aspx>.

**IA-4 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

SSNs, and parts of SSNs, must not be used as system identifiers. Identifier management must ensure that any access to, or action involving, PII is attributable to a unique individual.

| **IA-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_4\_role}} | |
| Parameter IA-04(a): {{ia\_4\_a\_parameter}} | |
| Parameter IA-04(d): {{ia\_4\_d\_parameter}} | |
| Parameter IA-04(e): {{ia\_4\_e\_parameter}} | |
| {{ia\_4\_status}} | |
| {{ia\_4\_origination}} | |

| IA-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ia\_4\_a\_implementation}} |
| Part b | {{ia\_4\_b\_implementation}} |
| Part c | {{ia\_4\_c\_implementation}} |
| Part d | {{ia\_4\_d\_implementation}} |
| Part e | {{ia\_4\_e\_implementation}} |
| Ext. | {{ia\_4\_ext\_implementation}} |

#### IA-4 (3) Control Enhancement (L4) (L5)

The organization requires multiple forms of certification of individual identification such as documentary evidence or a combination of documents and biometrics be presented to the registration authority.

| **IA-4 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_4\_3\_role}} | |
| {{ia\_4\_3\_status}} | |
| {{ia\_4\_3\_origination}} | |

| IA-4 (3) What is the solution and how is it implemented? |
| --- |
| {{ia\_4\_3\_implementation}} |

#### IA-4 (4) Control Enhancement (M) (H)

The organization manages individual identifiers by uniquely identifying each individual as [FedRAMP Assignment: contractors; foreign nationals] [*DoD SRG Assignment: contractor or government employee and by nationality. User identifiers will follow the same format as DoD user e-mail addresses (john.smith.ctr@army.mil or john.smith.uk@army.mil); - DoD user e-mail display names (e.g., John Smith, Contractor <john.smith.ctr@army.mil> or John Smith, United Kingdom <john.smith.uk@army.mil>); and - automated signature blocks (e.g., John Smith, Contractor, J-6K, Joint Staff or John Doe, Australia, LNO, Combatant Command). Contractors who are also foreign nationals are identified as both, e.g.,* [*john.smith.ctr.uk@army.mil*](mailto:john.smith.ctr.uk@army.mil)].

| **IA-4 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_4\_4\_role}} | |
| Parameter IA-04(4): {{ia\_4\_4\_parameter}} | |
| {{ia\_4\_4\_status}} | |
| {{ia\_4\_4\_origination}} | |

| IA-4 (4) What is the solution and how is it implemented? |
| --- |
| {{ia\_4\_4\_implementation}} |

### IA-5 Authenticator Management (H)

The organization manages information system authenticators by:

1. Verifying, as part of the initial authenticator distribution, the identity of the individual, group, role, or device receiving the authenticator;
2. Establishing initial authenticator content for authenticators defined by the organization;
3. Ensuring that authenticators have sufficient strength of mechanism for their intended use;
4. Establishing and implementing administrative procedures for initial authenticator distribution, for lost/compromised or damaged authenticators, and for revoking authenticators;
5. Changing default content of authenticators prior to information system installation;
6. Establishing minimum and maximum lifetime restrictions and reuse conditions for authenticators;
7. Changing/refreshing authenticators [Assignment: organization-defined time period by authenticator type] [*DoD SRG Assignment: CAC – every 3 years, or 1 year from term of contract, Passwords – 60 days, Biometrics – every 3 years*].
8. Protecting authenticator content from unauthorized disclosure and modification;
9. Requiring individuals to take, and having devices implement, specific security safeguards to protect authenticators; and
10. Changing authenticators for group/role accounts when membership to those accounts’ changes.

IA-5 Additional FedRAMP Requirements and Guidance:

Requirement: Authenticators must be compliant with NIST SP 800-63-3 Digital Identity Guidelines IAL, AAL, FAL level 3. Link <https://pages.nist.gov/800-63-3>

| **IA-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_role}} | |
| Parameter IA-05(g): {{ia\_5\_g\_parameter}} | |
| {{ia\_5\_status}} | |
| {{ia\_5\_origination}} | |

| IA-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ia\_5\_a\_implementation}} |
| Part b | {{ia\_5\_b\_implementation}} |
| Part c | {{ia\_5\_c\_implementation}} |
| Part d | {{ia\_5\_d\_implementation}} |
| Part e | {{ia\_5\_e\_implementation}} |
| Part f | {{ia\_5\_f\_implementation}} |
| Part g | {{ia\_5\_g\_implementation}} |
| Part h | {{ia\_5\_h\_implementation}} |
| Part i | {{ia\_5\_i\_implementation}} |
| Part j | {{ia\_5\_j\_implementation}} |

#### IA-5 (1) Control Enhancement (H)

The information system, for password-based authentication:

1. Enforces minimum password complexity of [Assignment: organization-defined requirements for case sensitivity, number of characters, mix of upper-case letters, lower-case letters, numbers, and special characters, including minimum requirements for each type] [*DoD SRG Assignment: minimum of 15 Characters, 1 of each of the following character sets: - Upper-case - Lower-case - Numeric - Special characters*];
2. Enforces at least the following number of changed characters when new passwords are created: [FedRAMP Assignment: at least fifty percent (50%)] [*DoD SRG Assignment: at least one*];
3. Stores and transmits only cryptographically protected passwords;
4. Enforces password minimum and maximum lifetime restrictions of [Assignment: organization- defined numbers for lifetime minimum, lifetime maximum] [*DoD SRG Assignment: Minimum of 24 hours, maximum 60 days*];
5. Prohibits password reuse for [FedRAMP Assignment: twenty-four (24)] [*DoD SRG Assignment: twenty-four (24)*] generations; and
6. Allows the use of a temporary password for system logons with an immediate change to a permanent password.

**IA-5 (1) a and d Additional FedRAMP Requirements and Guidance:**

**Guidance:** If password policies are compliant with NIST SP 800-63B Memorized Secret (Section 5.1.1) Guidance, the control may be considered compliant.

| **IA-5 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_1\_role}} | |
| Parameter IA-05(1)(a): {{ia\_5\_1\_a\_parameter}} | |
| Parameter IA-05(1)(b): {{ia\_5\_1\_b\_parameter}} | |
| Parameter IA-05(1)(d): {{ia\_5\_1\_d\_parameter}} | |
| Parameter IA-05(1)(e): {{ia\_5\_1\_e\_parameter}} | |
| {{ia\_5\_1\_status}} | |
| {{ia\_5\_1\_origination}} | |

| IA-5 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ia\_5\_1\_a\_implementation}} |
| Part b | {{ia\_5\_1\_b\_implementation}} |
| Part c | {{ia\_5\_1\_c\_implementation}} |
| Part d | {{ia\_5\_1\_d\_implementation}} |
| Part e | {{ia\_5\_1\_e\_implementation}} |
| Part f | {{ia\_5\_1\_f\_implementation}} |

#### IA-5 (2) Control Enhancement (M) (H)

The information system, for PKI-based authentication:

1. Validates certifications by constructing and verifying a certification path to an accepted trust anchor including checking certificate status information;
2. Enforces authorized access to the corresponding private key;
3. Maps the authenticated identity to the account of the individual or group; and
4. Implements a local cache of revocation data to support path discovery and validation in case of inability to access revocation information via the network.

| **IA-5 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_2\_role}} | |
| {{ia\_5\_2\_status}} | |
| {{ia\_5\_2\_origination}} | |

| IA-5 (2) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ia\_5\_2\_a\_implementation}} |
| Part b | {{ia\_5\_2\_b\_implementation}} |
| Part c | {{ia\_5\_2\_c\_implementation}} |
| Part d | {{ia\_5\_2\_d\_implementation}} |

#### IA-5 (3) Control Enhancement (M) (H)

The organization requires that the registration process to receive [FedRAMP Assignment: All hardware/biometric (multifactor authenticators] [*DoD SRG Assignment: the DoD PKI CP defines the role and responsibilities of a DoD PKI Registration Authority (RA). The NSS PKI CP defines the role and responsibilities of an NSS PKI RA*] be conducted [FedRAMP Selection: in person] before [Assignment: organization-defined registration authority] [*DoD SRG Assignment: the DoD PKI RA-LRA CPS defines the nomination process for DoD PKI RAs. The NSS PKI DoD RPS defines the nomination process for NSS PKI Ras for DoD*] with authorization by [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the DoD PKI CP defines DoD PKI subscribers and the authentication requirements for issuance of credentials to subscribers. The NSS PKI CP defines NSS PKI subscribers and the authentication requirements for issuance of credentials to subscribers*].

| **IA-5 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_3\_role}} | |
| Parameter IA-5(3)(1): {{ia\_5\_3\_1\_parameter}} | |
| Parameter IA-5(3)(2): {{ia\_5\_3\_2\_parameter}} | |
| Parameter IA-5(3)(3): {{ia\_5\_3\_3\_parameter}} | |
| Parameter IA-5(3)(4): {{ia\_5\_3\_4\_parameter}} | |
| {{ia\_5\_3\_status}} | |
| {{ia\_5\_3\_origination}} | |

| IA-5 (3) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_3\_implementation}} |

#### IA-5 (4) Control Enhancement (H)

The organization employs automated tools to determine if password authenticators are sufficiently strong to satisfy [FedRAMP Assignment: complexity as identified in IA-5 (1) Control Enhancement (H) Part A] [*DoD SRG Assignment: complexity as identified in IA-5 (1) Part A*].

IA-5(4) Additional FedRAMP Requirements and Guidance:

Guidance: If automated mechanisms which enforce password authenticator strength at creation are not used, automated mechanisms must be used to audit strength of created password authenticators.

| **IA-5 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_4\_role}} | |
| Parameter IA-05(4): {{ia\_5\_4\_parameter}} | |
| {{ia\_5\_4\_status}} | |
| {{ia\_5\_4\_origination}} | |

| IA-5 (4) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_4\_implementation}} |

#### IA-5 (6) Control Enhancement (M) (H)

The organization protects authenticators commensurate with the security category of the information to which use of the authenticator permits access.

| **IA-5 (6)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_6\_role}} | |
| {{ia\_5\_6\_status}} | |
| {{ia\_5\_6\_origination}} | |

| IA-5 (6) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_6\_implementation}} |

#### IA-5 (7) Control Enhancement (M) (H)

The organization ensures that unencrypted static authenticators are not embedded in applications or access scripts or stored on function keys.

| **IA-5 (7)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_7\_role}} | |
| {{ia\_5\_7\_status}} | |
| {{ia\_5\_7\_origination}} | |

| IA-5 (7) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_7\_implementation}} |

#### IA-5 (8) Control Enhancement (H)

The organization implements [FedRAMP Assignment: different authenticators on different systems] to manage the risk of compromise due to individuals having accounts on multiple information systems.

| IA-5 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ia\_5\_8\_role}} | |
| Parameter IA-5 (8): {{ia\_5\_8\_parameter}} | |
| {{ia\_5\_8\_status}} | |
| {{ia\_5\_8\_origination}} | |

| IA-5 (8) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_8\_implementation}} |

#### IA-5 (11) Control Enhancement (L) (M) (H)

The information system, for hardware token-based authentication, employs mechanisms that satisfy [Assignment: organization-defined token quality requirements*] [DoD SRG Assignment: DoDI 8520.03].*

| **IA-5 (11)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_5\_11\_role}} | |
| Parameter IA-05(11): {{ia\_5\_11\_parameter}} | |
| {{ia\_5\_11\_status}} | |
| {{ia\_5\_11\_origination}} | |

| IA-5 (11) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_11\_implementation}} |

#### IA-5 (13) Control Enhancement (H) (L4) (L5)

The information system prohibits the use of cached authenticators after [Assignment: organization-defined time period].

| IA-5 (13) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ia\_5\_13\_role}} | |
| Parameter IA-5 (13): {{ia\_5\_13\_parameter}} | |
| {{ia\_5\_13\_status}} | |
| {{ia\_5\_13\_origination}} | |

| IA-5 (13) What is the solution and how is it implemented? |
| --- |
| {{ia\_5\_13\_implementation}} |

### IA-6 Authenticator Feedback (L) (M) (H)

The information system obscures feedback of authentication information during the authentication process to protect the information from possible exploitation/use by unauthorized individuals.

| **IA-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_6\_role}} | |
| {{ia\_6\_status}} | |
| {{ia\_6\_origination}} | |

| IA-6 What is the solution and how is it implemented? |
| --- |
| {{ia\_6\_implementation}} |

### IA-7 Cryptographic Module Authentication (L) (M) (H)

The information system implements mechanisms for authentication to a cryptographic module that meet the requirements of applicable federal laws, Executive Orders, directives, policies, regulations, standards, and guidance for such authentication.

| **IA-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_7\_role}} | |
| {{ia\_7\_status}} | |
| {{ia\_7\_origination}} | |

| IA-7 What is the solution and how is it implemented? |
| --- |
| {{ia\_7\_implementation}} |

### IA-8 Identification and Authentication (Non-Organizational Users) (L) (M) (H)

The information system uniquely identifies and authenticates non-organizational users (or processes acting on behalf of non-organizational users).

| **IA-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_8\_role}} | |
| {{ia\_8\_status}} | |
| {{ia\_8\_origination}} | |

| IA-8 What is the solution and how is it implemented? |
| --- |
| {{ia\_8\_implementation}} |

#### IA-8 (1) Control Enhancement (L) (M) (H)

The information system accepts and electronically verifies Personal Identity Verification (PIV) credentials from other federal agencies.

| **IA-8 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_8\_1\_role}} | |
| {{ia\_8\_1\_status}} | |
| {{ia\_8\_1\_origination}} | |

| IA-8 (1) What is the solution and how is it implemented? |
| --- |
| {{ia\_8\_1\_implementation}} |

#### IA-8 (2) Control Enhancement (L) (M) (H)

The information system accepts only FICAM-approved third-party credentials.

| **IA-8 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_8\_2\_role}} | |
| {{ia\_8\_2\_status}} | |
| {{ia\_8\_2\_origination}} | |

| IA-8 (2) What is the solution and how is it implemented? |
| --- |
| {{ia\_8\_2\_implementation}} |

#### IA-8 (3) Control Enhancement (L) (M) (H)

The organization employs only FICAM-approved information system components in [Assignment: organization-defined information systems] to accept third-party credentials.

| **IA-8 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_8\_3\_role}} | |
| Parameter IA-08(3): {{ia\_8\_3\_parameter}} | |
| {{ia\_8\_3\_status}} | |
| {{ia\_8\_3\_origination}} | |

| IA-8 (3) What is the solution and how is it implemented? |
| --- |
| {{ia\_8\_3\_implementation}} |

#### IA-8 (4) Control Enhancement (L) (M) (H)

The information system conforms to FICAM-issued profiles.

| **IA-8 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ia\_8\_4\_role}} | |
| {{ia\_8\_4\_status}} | |
| {{ia\_8\_4\_origination}} | |

| IA-8 (4) What is the solution and how is it implemented? |
| --- |
| {{ia\_8\_4\_implementation}} |

## Individual Participation and Redress (IP)

### IP-1 Consent (L4) (L5)

The organization:

1. Provides means, where feasible and appropriate, for individuals to authorize the collection, use, maintaining, and sharing of personally identifiable information (PII) prior to its collection;
2. Provides appropriate means for individuals to understand the consequences of decisions to approve or decline the authorization of the collection, use, dissemination, and retention of PII;
3. Obtains consent, where feasible and appropriate, from individuals prior to any new uses or disclosure of previously collected PII; and
4. Ensures that individuals are aware of and, where feasible, consent to all uses of PII not initially described in the public notice that was in effect at the time the organization collected the PII.

| IP-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ip\_1\_role}} | |
| {{ip\_1\_status}} | |
| {{ip\_1\_origination}} | |

| IP-1 What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{ip\_1\_a\_implementation}} |
| **Part b** | {{ip\_1\_b\_implementation}} |
| **Part c** | {{ip\_1\_c\_implementation}} |
| **Part d** | {{ip\_1\_d\_implementation}} |

#### IP-1 (1) Control Enhancement (L4) (L5)

The organization implements mechanisms to support itemized or tiered consent for specific uses of data.

| **IP-1(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ip\_1\_1\_role}} | |
| {{ip\_1\_1\_status}} | |
| {{ip\_1\_1\_origination}} | |

| **IP-1(1) What is the solution and how is it implemented?** |
| --- |
| {{ip\_1\_1\_implementation}} |

IP-2 Individual Access (L4) (L5)

The organization:

1. Provides individuals the ability to have access to their personally identifiable information (PII) maintained in its system(s) of records;
2. Publishes rules and regulations governing how individuals may request access to records maintained in a Privacy Act system of records
3. Publishes access procedures in System of Records Notices (SORNs); and
4. Adheres to Privacy Act requirements and OMB policies and guidance for the proper processing of Privacy Act requests.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**PHI Control Extension:**

Implement policies and procedures to comply with the regulatory requirements governing an individual’s right to access copies of their PHI, including electronic copies.

| **IP-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ip\_2\_role}} | |
| {{ip\_2\_status}} | |
| {{ip\_2\_origination}} | |

| **IP-2 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ip\_2\_a\_implementation}} |
| **Part b** | {{ip\_2\_b\_implementation}} |
| **Part c** | {{ip\_2\_c\_implementation}} |
| **Part d** | {{ip\_2\_d\_implementation}} |
| **Ext.** | {{ip\_2\_ext\_implementation}} |

**IP-3**

IP-3 Redress (L4) (L5)

The organization:

1. Provides a process for individuals to have inaccurate personally identifiable information (PII) maintained by the organization corrected or amended, as appropriate; and
2. Establishes a process for disseminating corrections or amendments of the PII to other authorized users of the PII, such as external information-sharing partners and, where feasible and appropriate, notifies affected individuals that their information has been corrected or amended.

| **IP-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ip\_3\_role}} | |
| {{ip\_3\_status}} | |
| {{ip\_3\_origination}} | |

| **IP-3 What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ip\_3\_a\_implementation}} |
| **Part b** | {{ip\_3\_b\_implementation}} |

IP-4 Complaint management (L4) (L5)

The organization implements a process for receiving and responding to complaints, concerns, or questions from individuals about the organizational privacy practices.

| **IP-4(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ip\_4\_role}} | |
| {{ip\_4\_status}} | |
| {{ip\_4\_origination}} | |

| **IP-4 What is the solution and how is it implemented?** |
| --- |
| {{ip\_4\_implementation}} |

#### IP-4 (1) Control Enhancement (L4) (L5)

The organization responds to complaints, concerns, or questions from individuals within [*Assignment: organization-defined time period*].

| **IP-4(1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ip\_4\_1\_role}} | |
| Parameter IP-04(1): {{ip\_4\_1\_parameter}} | |
| {{ip\_4\_1\_status}} | |
| {{ip\_4\_1\_origination}} | |

| **IP-4(1) What is the solution and how is it implemented?** |
| --- |
| {{ip\_4\_1\_implementation}} |

## Incident Response (IR)

### IR-1 Incident Response Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment all personnel identified as stakeholders in the incident response process, as well as the ISSM and ISSO*]:
2. An incident response policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
3. Procedures to facilitate the implementation of the incident response policy and associated incident response controls; and
4. Reviews and updates the current:
5. Incident response policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
6. Incident response procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

| **IR-1** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_1\_role}} | |
| Parameter IR-01(a): {{ir\_1\_a\_parameter}} | |
| Parameter IR-01(b)(1): {{ir\_1\_b\_1\_parameter}} | |
| Parameter IR-01(b)(2): {{ir\_1\_b\_2\_parameter}} | |
| {{ir\_1\_status}} | |
| {{ir\_1\_origination}} | |

| IR-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_1\_a\_implementation}} |
| Part b | {{ir\_1\_b\_implementation}} |

### IR-2 Incident Response Training (H)

The organization provides incident response training to information system users consistent with assigned roles and responsibilities in accordance with NIST SP 800-53 Rev 4:

1. Within [FedRAMP Assignment: ten (10) days] [*DoD SRG Assignment: 30 working days*] of assuming an incident response role or responsibility;
2. When required by information system changes; and
3. [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually] thereafter.

| **IR-2** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_2\_role}} | |
| Parameter IR-02(a): {{ir\_2\_a\_parameter}} | |
| Parameter IR-02(c): {{ir\_2\_c\_parameter}} | |
| {{ir\_2\_status}} | |
| {{ir\_2\_origination}} | |

| IR-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_2\_a\_implementation}} |
| Part b | {{ir\_2\_b\_implementation}} |
| Part c | {{ir\_2\_c\_implementation}} |

#### IR-2 (1) Control Enhancement (H)

The organization incorporates simulated events into incident response training to facilitate effective response by personnel in crisis situations.

| IR-2 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_2\_1\_role}} | |
| {{ir\_2\_1\_status}} | |
| {{ir\_2\_1\_origination}} | |

| IR-2 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_2\_1\_implementation}} |

#### IR-2 (2) Control Enhancement (H)

The organization employs automated mechanisms to provide a more thorough and realistic incident response training environment.

| IR-2 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_2\_2\_role}} | |
| {{ir\_2\_2\_status}} | |
| {{ir\_2\_2\_origination}} | |

| IR-2 (2) What is the solution and how is it implemented? |
| --- |
| {{ir\_2\_2\_implementation}} |

### IR-3 Incident Response Testing (H)

The organization tests the incident response capability for the information system [FedRAMP Assignment: at least every six (6) months] [DoD SRG Assignment: at least every six (6) months] using [FedRAMP Assignment: see additional FedRAMP Requirements and Guidance] [*DoD SRG assignment: tested as defined in the incident response plan*] to determine the incident response effectiveness and documents the results.

IR-3 Additional FedRAMP Requirements and Guidance:

Requirements: The service provider defines tests and/or exercises in accordance with NIST Special Publication 800-61 (as amended). For JAB authorization, the service provider provides test plans to the JAB/AO annually. Test plans are approved and accepted by the JAB/AO prior to the test commencing.

| **IR-3** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_3\_role}} | |
| Parameter IR-3-1: {{ir\_3\_1\_parameter}} | |
| Parameter IR-3-2: {{ir\_3\_2\_parameter}} | |
| {{ir\_3\_status}} | |
| {{ir\_3\_origination}} | |

| IR-3 What is the solution and how is it implemented? |
| --- |
| {{ir\_3\_implementation}} |

#### IR-3 (2) Control Enhancement (M) (H)

The organization coordinates incident response testing with organizational elements responsible for related plans.

| **IR-3 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_3\_2\_role}} | |
| {{ir\_3\_2\_status}} | |
| {{ir\_3\_2\_origination}} | |

| IR-3 (2) What is the solution and how is it implemented? |
| --- |
| {{ir\_3\_2\_implementation}} |

### IR-4 Incident Handling (L) (M) (H)

The organization:

1. Implements an incident handling capability for security incidents that includes preparation, detection and analysis, containment, eradication, and recovery;
2. Coordinates incident handling activities with contingency planning activities; and
3. Incorporates lessons learned from ongoing incident handling activities into incident response procedures, training, and testing/exercises, and implements the resulting changes accordingly.

IR-4 Additional FedRAMP Requirements and Guidance:

Requirement: The service provider ensures that individuals conducting incident handling meet personnel security requirements commensurate with the criticality/sensitivity of the information being processed, stored, and transmitted by the information system.

| **IR-4** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_4\_role}} | |
| {{ir\_4\_status}} | |
| {{ir\_4\_origination}} | |

| IR-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_4\_a\_implementation}} |
| Part b | {{ir\_4\_b\_implementation}} |
| Part c | {{ir\_4\_c\_implementation}} |

#### IR-4 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to support the incident handling process.

| **IR-4 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_4\_1\_role}} | |
| {{ir\_4\_1\_status}} | |
| {{ir\_4\_1\_origination}} | |

| IR-4 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_1\_implementation}} |

#### IR-4 (2) Control Enhancement (H)

The organization includes dynamic reconfiguration of [FedRAMP Assignment: all network, data storage, and computing devices] as part of the incident response capability.

| IR-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_2\_role}} | |
| Parameter IR-4 (2): {{ir\_4\_2\_parameter}} | |
| {{ir\_4\_2\_status}} | |
| {{ir\_4\_2\_origination}} | |

| IR-4 (2) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_2\_implementation}} |

#### IR-4 (3) Control Enhancement (H) (L4) (L5)

The organization identifies [Assignment: organization-defined classes of incidents][*DoD SRG Assignment: Classes of incidents defined in CJCSM 6510.01B Appendix A-Enclosure B*] and [Assignment: organization-defined actions to take in response to classes of incident] [*DoD SRG Assignment: Actions defined in CJCSM 6510.01B*] to ensure continuation of organizational missions and business functions.

**IR-4 (3) Additional CNSSI 1253 Privacy Overlay Requirements:**

**PHI Control Extension:**

Organizations establish policies and procedures for responding to an emergency or other occurrence (for example, fire, vandalism, system failure, and natural disaster) that damages systems that contain PHI including procedures to enable continuation of critical business processes for the protection of PHI and for obtaining necessary PHI during an emergency. Additionally, HIPAA requires organizations to conduct a risk analysis to determine whether and to what extent they establish procedures that allow facility access in support of restoration of lost data under the disaster recovery plan in the event of an emergency.

| IR-4 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_3\_role}} | |
| Parameter IR-4 (3)-1: {{ir\_4\_3\_1\_parameter}} | |
| Parameter IR-4 (3)-2: {{ir\_4\_3\_2\_parameter}} | |
| {{ir\_4\_3\_status}} | |
| {{ir\_4\_3\_origination}} | |

| IR-9 What is the solution and how is it implemented? | |
| --- | --- |
| IR-4 (3) | {{ir\_4\_3\_implementation}} |
| Ext. | {{ir\_4\_3\_ext\_implementation}} |

#### IR-4 (4) Control Enhancement (H) (L4) (L5)

The organization correlates incident information and individual incident responses to achieve an organization-wide perspective on incident awareness and response.

| IR-4 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_4\_role}} | |
| {{ir\_4\_4\_status}} | |
| {{ir\_4\_4\_origination}} | |

| IR-4 (4) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_4\_implementation}} |

#### IR-4 (6) Control Enhancement (H) (L4) (L5)

The organization implements incident handling capability for insider threats.

| IR-4 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_6\_role}} | |
| {{ir\_4\_6\_status}} | |
| {{ir\_4\_6\_origination}} | |

| IR-4 (6) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_6\_implementation}} |

#### IR-4 (7) Control Enhancement (L4) (L5)

The organization coordinates incident handling capability for insider threats across [*Assignment: organization-defined components or elements of the organization*].

| IR-4 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_7\_role}} | |
| Parameter IR-4 (7): {{ir\_4\_7\_parameter}} | |
| {{ir\_4\_7\_status}} | |
| {{ir\_4\_7\_origination}} | |

| IR-4 (7) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_7\_implementation}} |

#### IR-4 (8) Control Enhancement (H) (L4) (L5)

The organization coordinates with [FedRAMP Assignment: external organizations including consumer incident responders and network defenders and the appropriate consumer incident response team (CIRT)/ Computer Emergency Response Team (CERT) (such as US-CERT, DoD CERT, IC CERT)] [*DoD SRG Assignment: The appropriate CIRT/CERT (such as US-CERT, DoD CERT, IC CERT)*] to correlate and share [Assignment: organization-defined incident information] [*DoD SRG Assignment: Incident information as defined in section 6.5 – Cyber Incident Reporting and Response*] to achieve a cross- organization perspective on incident awareness and more effective incident responses.

| IR-4 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_4\_8\_role}} | |
| Parameter IR-4 (8)-1: {{ir\_4\_8\_1\_parameter}} | |
| Parameter IR-4 (8)-2: {{ir\_4\_8\_2\_parameter}} | |
| {{ir\_4\_8\_status}} | |
| {{ir\_4\_8\_origination}} | |

| IR-4 (8) What is the solution and how is it implemented? |
| --- |
| {{ir\_4\_8\_implementation}} |

### IR-5 Incident Monitoring (L) (M) (H)

The organization tracks and documents information system security incidents.

| **IR-5** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_5\_role}} | |
| {{ir\_5\_status}} | |
| {{ir\_5\_origination}} | |

| IR-5 What is the solution and how is it implemented? |
| --- |
| {{ir\_5\_implementation}} |

#### IR-5 (1) Control Enhancement (H) (L4) (L5)

The organization employs automated mechanisms to assist in the tracking of security incidents and in the collection and analysis of incident information.

| IR-5 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ir\_5\_1\_role}} | |
| {{ir\_5\_1\_status}} | |
| {{ir\_5\_1\_origination}} | |

| IR-5 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_5\_1\_implementation}} |

### IR-6 Incident Reporting (L) (M) (H) (L4) (L5)

The organization:

1. Requires personnel to report suspected security incidents to the organizational incident response capability within [FedRAMP Assignment: US-CERT incident reporting timelines as specified in NIST SP800-61 (as amended)] [*DoD SRG Assignment: the timeframes specified by CJCSM 6510.01B (Table C-A-1) unless the data owner provides more restrictive guidance*]; and
2. Reports security incident information to [Assignment: organization-defined authorities] *[DoD SRG Assignment: the appropriate CIRT/CERT (such as US-CERT, DoD CERT, IC]*.

IR-6 Additional FedRAMP Requirements and Guidance

Requirement: Report security incident information according to FedRAMP Incident Communications Procedure.

| **IR-6** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_6\_role}} | |
| Parameter IR-06(a): {{ir\_6\_a\_parameter}} | |
| Parameter IR-06(b): {{ir\_6\_b\_parameter}} | |
| {{ir\_6\_status}} | |
| {{ir\_6\_origination}} | |

| IR-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_6\_a\_implementation}} |
| Part b | {{ir\_6\_b\_implementation}} |

#### IR-6 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to assist in the reporting of security incidents.

| **IR-6 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_6\_1\_role}} | |
| {{ir\_6\_1\_status}} | |
| {{ir\_6\_1\_origination}} | |

| IR-6 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_6\_1\_implementation}} |

#### IR-6 (2) Control Enhancement (L4) (L5)

The organization reports information system vulnerabilities associated with reported security incidents to [*Assignment: organization-defined personnel or roles*].

| **IR-6 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_6\_2\_role}} | |
| {{ir\_6\_2\_status}} | |
| {{ir\_6\_2\_origination}} | |

| IR-6 (2) What is the solution and how is it implemented? |
| --- |
| {{ir\_6\_2\_implementation}} |

### IR-7 Incident Response Assistance (L) (M) (H)

The organization provides an incident response support resource, integral to the organizational incident response capability that offers advice and assistance to users of the information system for the handling and reporting of security incidents.

| **IR-7** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_7\_role}} | |
| {{ir\_7\_status}} | |
| {{ir\_7\_origination}} | |

| IR-7 What is the solution and how is it implemented? |
| --- |
| {{ir\_7\_implementation}} |

#### IR-7 (1) Control Enhancement (M) (H)

The organization employs automated mechanisms to increase the availability of incident response related information and support.

| **IR-7 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_7\_1\_role}} | |
| {{ir\_7\_1\_status}} | |
| {{ir\_7\_1\_origination}} | |

| IR-7 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_7\_1\_implementation}} |

#### IR-7 (2) Control Enhancement (M) (H)

The organization:

1. Establishes a direct, cooperative relationship between its incident response capability and external providers of information system protection capability; and
2. Identifies organizational incident response team members to the external providers.

| **IR-7 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_7\_2\_role}} | |
| {{ir\_7\_2\_status}} | |
| {{ir\_7\_2\_origination}} | |

| IR-7 (2) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_7\_2\_a\_implementation}} |
| Part b | {{ir\_7\_2\_b\_implementation}} |

### IR-8 Incident Response Plan (L) (M) (H)

The organization:

1. Develops an incident response plan that:
2. Provides the organization with a roadmap for implementing its incident response capability;
3. Describes the structure and organization of the incident response capability;
4. Provides a high-level approach for how the incident response capability fits into the overall organization;
5. Meets the unique requirements of the organization, which relate to mission, size, structure, and functions;
6. Defines reportable incidents;
7. Provides metrics for measuring the incident response capability within the organization;
8. Defines the resources and management support needed to effectively maintain and mature an incident response capability; and
9. Is reviewed and approved by [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: a minimum, the ISSM and ISSO*];
10. Distributes copies of the incident response plan to [FedRAMP Assignment: see additional FedRAMP Requirements and Guidance] [*DoD SRG Assignment: all stakeholders identified in the incident response plan*].

IR-8(b) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines a list of incident response personnel (identified by name and/or by role) and organizational elements. The incident response list includes designated FedRAMP personnel.

1. Reviews the incident response plan [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually];
2. Updates the incident response plan to address system/organizational changes or problems encountered during plan implementation, execution, or testing;
3. Communicates incident response plan changes to [FedRAMP Assignment: see additional FedRAMP Requirements and Guidance] [*DoD SRG Assignment: all stakeholders identified in the incident response plan, not later than 30 days after the change is made*].

IR-8(e) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines a list of incident response personnel (identified by name and/or by role) and organizational elements. The incident response list includes designated FedRAMP personnel.

1. Protects the incident response plan from unauthorized disclosure and modification.

| **IR-8** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_8\_role}} | |
| Parameter IR-08(a)(8): {{ir\_8\_a\_8\_parameter}} | |
| Parameter IR-08(b): {{ir\_8\_b\_parameter}} | |
| Parameter IR-08(c): {{ir\_8\_c\_parameter}} | |
| Parameter IR-08(e): {{ir\_8\_e\_parameter}} | |
| {{ir\_8\_status}} | |
| {{ir\_8\_origination}} | |

| IR-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_8\_a\_implementation}} |
| Part b | {{ir\_8\_b\_implementation}} |
| Part c | {{ir\_8\_c\_implementation}} |
| Part d | {{ir\_8\_d\_implementation}} |
| Part e | {{ir\_8\_e\_implementation}} |
| Part f | {{ir\_8\_f\_implementation}} |

### IR-9 Information Spillage Response (M) (H)

The organization responds to information spills by:

1. Identifying the specific information involved in the information system contamination;
2. Alerting [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the OCA, the information owner/originator, the ISSM, the activity security manager and the responsible computer incident response center*] of the information spill using a method of communication not associated with the spill;
3. Isolating the contaminated information system or system component;
4. Eradicating the information from the contaminated information system or component;
5. Identifying other information systems or system components that may have been subsequently contaminated; and
6. Performing other [Assignment: organization-defined actions] [*DoD SRG Assignment: teim-sensitive actions that are necessary to limit the amount of damage or access. Keep a log of all actions taken regarding the CS/IA incident response, including the date/time of the action, who performed the action; create and maintain records, such as tickets, as appropriate for their role*]*.*

| **IR-9** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_9\_role}} | |
| Parameter IR-09(b): {{ir\_9\_b\_parameter}} | |
| Parameter IR-09(f): {{ir\_9\_f\_parameter}} | |
| {{ir\_9\_status}} | |
| {{ir\_9\_origination}} | |

| IR-9 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ir\_9\_a\_implementation}} |
| Part b | {{ir\_9\_b\_implementation}} |
| Part c | {{ir\_9\_c\_implementation}} |
| Part d | {{ir\_9\_d\_implementation}} |
| Part e | {{ir\_9\_e\_implementation}} |
| Part f | {{ir\_9\_f\_implementation}} |

#### IR-9 (1) Control Enhancement (M) (H)

The organization assigns [Assignment: organization-defined personnel or roles] with responsibility for responding to information spills.

| **IR-9 (1)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_9\_1\_role}} | |
| Parameter IR-09(1): {{ir\_9\_1\_parameter}} | |
| {{ir\_9\_1\_status}} | |
| {{ir\_9\_1\_origination}} | |

| IR-9 (1) What is the solution and how is it implemented? |
| --- |
| {{ir\_9\_1\_implementation}} |

#### IR-9 (2) Control Enhancement (M)

The organization provides information spillage response training [FedRAMP Assignment: at least annually ] [DoD SRG Assignment: at least annually].

| **IR-9 (2)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_9\_2\_role}} | |
| Parameter IR-09(2): {{ir\_9\_2\_parameter}} | |
| {{ir\_9\_2\_status}} | |
| {{ir\_9\_2\_origination}} | |

| IR-9 (2) What is the solution and how is it implemented? |
| --- |
| {{ir\_9\_2\_implementation}} |

#### IR-9 (3) Control Enhancement (M) (H)

The organization implements [Assignment: organization-defined procedures] to ensure that organizational personnel impacted by information spills can continue to carry out assigned tasks while contaminated systems are undergoing corrective actions.

| **IR-9 (3)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_9\_3\_role}} | |
| Parameter IR-09(3): {{ir\_9\_3\_parameter}} | |
| {{ir\_9\_3\_status}} | |
| {{ir\_9\_3\_origination}} | |

| IR-9 (3) What is the solution and how is it implemented? |
| --- |
| {{ir\_9\_3\_implementation}} |

#### IR-9 (4) Control Enhancement (M) (H)

The organization employs [Assignment: organization-defined security safeguards] for personnel exposed to information not within assigned access authorizations.

| **IR-9 (4)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_9\_4\_role}} | |
| Parameter IR-09(4): {{ir\_9\_4\_parameter}} | |
| {{ir\_9\_4\_status}} | |
| {{ir\_9\_4\_origination}} | |

| IR-9 (4) What is the solution and how is it implemented? |
| --- |
| {{ir\_9\_4\_implementation}} |

### IR-10 Integrated Information Security Analysis Team (L4) (L5

The organization establishes an integrated team of forensic/malicious code analysts, tool developers, and real-time operations personnel.

| **IR-10** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ir\_10\_role}} | |
| {{ir\_10\_status}} | |
| {{ir\_10\_origination}} | |

| IR-10 What is the solution and how is it implemented? |
| --- |
| {{ir\_10\_implementation}} |

## Maintenance (MA)

### MA-1 System Maintenance Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: All stakeholders identified in the maintenance policy*]:
2. A system maintenance policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
3. Procedures to facilitate the implementation of the system maintenance policy and associated system maintenance controls; and
4. Reviews and updates the current:
   1. System maintenance policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every three (3) years*]; and
   2. System maintenance procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

**MA-1 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

System maintenance policy and procedures must ensure that Contractors having access to records (i.e., files or data) maintained in a system of records are contractually bound to be covered by the Privacy Act.

| MA-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_1\_role}} | |
| Parameter MA-01(a): {{ma\_1\_a\_parameter}} | |
| Parameter MA-01(b)(1): {{ma\_1\_b\_1\_parameter}} | |
| Parameter MA-01(b)(2): {{ma\_1\_b\_2\_parameter}} | |
| {{ma\_1\_status}} | |
| {{ma\_1\_origination}} | |

| MA-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_1\_a\_implementation}} |
| Part b | {{ma\_1\_b\_implementation}} |
| Ext. | {{ma\_1\_ext\_implementation}} |

### MA-2 Controlled Maintenance (L) (M) (H)

The organization:

1. Schedules, performs, documents, and reviews records of maintenance and repairs on information system components in accordance with manufacturer or vendor specifications and/or organizational requirements;
2. Approves and monitors all maintenance activities, whether performed on site or remotely and whether the equipment is serviced on site or removed to another location;
3. Requires that [Assignment: organization-defined personnel or roles] explicitly approve the removal of the information system or system components from organizational facilities for off-site maintenance or repairs;
4. Sanitizes equipment to remove all information from associated media prior to removal from organizational facilities for off-site maintenance or repairs;
5. Checks all potentially impacted security controls to verify that the controls are still functioning properly following maintenance or repair actions; and
6. Includes [Assignment: organization-defined maintenance-related information] in organizational maintenance records.

| MA-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_2\_role}} | |
| Parameter MA-2(c): {{ma\_2\_c\_parameter}} | |
| Parameter MA-2(f): {{ma\_2\_f\_parameter}} | |
| {{ma\_2\_status}} | |
| {{ma\_2\_origination}} | |

| MA-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_2\_a\_implementation}} |
| Part b | {{ma\_2\_b\_implementation}} |
| Part c | {{ma\_2\_c\_implementation}} |
| Part d | {{ma\_2\_d\_implementation}} |
| Part e | {{ma\_2\_e\_implementation}} |
| Part f | {{ma\_2\_f\_implementation}} |

#### MA-2 (2) Control Enhancement (H)

The organization:

1. Employs automated mechanisms to schedule, conduct, and document maintenance and repairs; and
2. Produces up-to date, accurate, and complete records of all maintenance and repair actions requested, scheduled, in process, and completed.

| MA-2 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_2\_2\_role}} | |
| {{ma\_2\_2\_status}} | |
| {{ma\_2\_2\_origination}} | |

| MA-2 (2) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_2\_2\_a\_implementation}} |
| Part b | {{ma\_2\_2\_b\_implementation}} |

### MA-3 Maintenance Tools (M) (H)

The organization approves, controls, and monitors information system maintenance tools.

| MA-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_3\_role}} | |
| {{ma\_3\_status}} | |
| {{ma\_3\_origination}} | |

| MA-3 What is the solution and how is it implemented? |
| --- |
| {{ma\_3\_implementation}} |

#### MA-3 (1) Control Enhancement (M) (H)

The organization inspects the maintenance tools carried into a facility by maintenance personnel for improper or unauthorized modifications.

| MA-3 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_3\_1\_role}} | |
| {{ma\_3\_1\_status}} | |
| {{ma\_3\_1\_origination}} | |

| MA-3 (1) What is the solution and how is it implemented? |
| --- |
| {{ma\_3\_1\_implementation}} |

#### MA-3 (2) Control Enhancement (M) (H)

The organization checks media containing diagnostic and test programs for malicious code before the media are used in the information system.

| MA-3 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_3\_2\_role}} | |
| {{ma\_3\_2\_status}} | |
| {{ma\_3\_2\_origination}} | |

| MA-3 (2) What is the solution and how is it implemented? |
| --- |
| {{ma\_3\_2\_implementation}} |

#### MA-3 (3) Control Enhancement (M) (H)

The organization prevents the unauthorized removal of maintenance equipment containing organizational information by:

1. Verifying that there is no organizational information contained on the equipment;
2. Sanitizing or destroying the equipment;
3. Retaining the equipment within the facility; or
4. Obtaining an exemption from [FedRAMP Assignment: the information owner explicitly authorizes removal of the equipment from the facility].

| MA-3 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_3\_3\_role}} | |
| Parameter MA-03(3)(d): {{ma\_3\_3\_d\_parameter}} | |
| {{ma\_3\_3\_status}} | |
| {{ma\_3\_3\_origination}} | |

| MA-3 (3) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_3\_3\_a\_implementation}} |
| Part b | {{ma\_3\_3\_b\_implementation}} |
| Part c | {{ma\_3\_3\_c\_implementation}} |
| Part d | {{ma\_3\_3\_d\_implementation}} |

### MA-4 Remote Maintenance (L) (M) (H)

The organization:

1. Approves and monitors nonlocal maintenance and diagnostic activities;
2. Allows the use of nonlocal maintenance and diagnostic tools only as consistent with organizational policy and documented in the security plan for the information system;
3. Employs strong authenticators in the establishment of nonlocal maintenance and diagnostic sessions;
4. Maintains records for nonlocal maintenance and diagnostic activities; and
5. Terminates session and network connections when nonlocal maintenance is completed.

| MA-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_4\_role}} | |
| {{ma\_4\_status}} | |
| {{ma\_4\_origination}} | |

| MA-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_4\_a\_implementation}} |
| Part b | {{ma\_4\_b\_implementation}} |
| Part c | {{ma\_4\_c\_implementation}} |
| Part d | {{ma\_4\_d\_implementation}} |
| Part e | {{ma\_4\_e\_implementation}} |

#### MA-4 (2) Control Enhancement (M) (H)

The organization documents in the security plan for the information system, the policies and procedures for the establishment and use of nonlocal maintenance and diagnostic connections.

| MA-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_4\_2\_role}} | |
| {{ma\_4\_2\_status}} | |
| {{ma\_4\_2\_origination}} | |

| MA-4 (2) What is the solution and how is it implemented? |
| --- |
| {{ma\_4\_2\_implementation}} |

#### MA-4 (3) Control Enhancement (H) (L4) (L5)

The organization:

1. Requires that nonlocal maintenance and diagnostic services be performed from an information system that implements a security capability comparable to the capability implemented on the system being serviced; or
2. Removes the component to be serviced from the information system prior to nonlocal maintenance or diagnostic services, sanitizes the component (with regard to organizational information) before removal from organizational facilities, and after the service is performed, inspects and sanitizes the component (with regard to potentially malicious software) before reconnecting the component to the information system.

| MA-4 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_4\_3\_role}} | |
| {{ma\_4\_3\_status}} | |
| {{ma\_4\_3\_origination}} | |

| MA-4 (3) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_4\_3\_a\_implementation}} |
| Part b | {{ma\_4\_3\_b\_implementation}} |

#### MA-4 (6) Enhancement (H) (L4) (L5)

The information system implements cryptographic mechanisms to protect the integrity and confidentiality of nonlocal maintenance and diagnostic communications.

| MA-4 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_4\_6\_role}} | |
| {{ma\_4\_6\_status}} | |
| {{ma\_4\_6\_origination}} | |

| MA-4 (6) What is the solution and how is it implemented? |
| --- |
| {{ma\_4\_6\_implementation}} |

### MA-5 Maintenance Personnel (L) (M) (H)

The organization:

1. Establishes a process for maintenance personnel authorization and maintains a list of authorized maintenance organizations or personnel;
2. Ensures that non-escorted personnel performing maintenance on the information system have required access authorizations; and
3. Designates organizational personnel with required access authorizations and technical competence to supervise the maintenance activities of personnel who do not possess the required access authorizations.

| MA-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_5\_role}} | |
| {{ma\_5\_status}} | |
| {{ma\_5\_origination}} | |

| MA-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_5\_a\_implementation}} |
| Part b | {{ma\_5\_b\_implementation}} |
| Part c | {{ma\_5\_c\_implementation}} |

#### MA-5 (1) Control Enhancement (H)

The organization:

1. Implements procedures for the use of maintenance personnel that lack appropriate security clearances or are not U.S. citizens, that include the following requirements:
   1. Maintenance personnel who do not have needed access authorizations, clearances, or formal access approvals are escorted and supervised during the performance of maintenance and diagnostic activities on the information system by approved organizational personnel who are fully cleared, have appropriate access authorizations, and are technically qualified;
   2. Prior to initiating maintenance or diagnostic activities by personnel who do not have needed access authorizations, clearances or formal access approvals, all volatile information storage components within the information system are sanitized and all nonvolatile storage media are removed or physically disconnected from the system and secured; and
2. Develops and implements alternate security safeguards in the event an information system component cannot be sanitized, removed, or disconnected from the system.

| MA-5 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_5\_1\_role}} | |
| {{ma\_5\_1\_status}} | |
| {{ma\_5\_1\_origination}} | |

| MA-5 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ma\_5\_1\_a\_implementation}} |
| Part b | {{ma\_5\_1\_b\_implementation}} |

### MA-6 Timely Maintenance (M) (H)

The organization obtains maintenance support and/or spare parts for [Assignment: organization-defined information system components] within [Assignment: organization-defined time period] [*DoD SRG Assignment: Within 24 hours(Low and Moderate Availability) or immediately upon failure for (High Availability)*] of failure.

| MA-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ma\_6\_role}} | |
| Parameter MA-6(1): {{ma\_6\_1\_parameter}} | |
| Parameter MA-6(2): {{ma\_6\_2\_parameter}} | |
| {{ma\_6\_status}} | |
| {{ma\_6\_origination}} | |

| MA-6 What is the solution and how is it implemented? |
| --- |
| {{ma\_6\_implementation}} |

## Media Protection (MP)

### MP-1 Media Protection Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all users*]:
   1. A media protection policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the media protection policy and associated media protection controls; and
2. Reviews and updates the current:
   1. Media protection policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. Media protection procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

| MP-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_1\_role}} | |
| Parameter MP-01(a): {{mp\_1\_a\_parameter}} | |
| Parameter MP-01(b)(1): {{mp\_1\_b\_1\_parameter}} | |
| Parameter MP-01(b)(2): {{mp\_1\_b\_2\_parameter}} | |
| {{mp\_1\_status}} | |
| {{mp\_1\_origination}} | |

| MP-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{mp\_1\_a\_implementation}} |
| Part b | {{mp\_1\_b\_implementation}} |

### MP-2 Media Access (H) (L4) (L5)

The organization restricts access to [FedRAMP Assignment: any digital and non-digital media deemed sensitive] [*DoD SRG Assignment: All types of digital and/or non-digital media containing information not cleared for public release*] to [Assignment: organization-defined personnel or roles].

| MP-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_2\_role}} | |
| Parameter MP-2-1: {{mp\_2\_1\_parameter}} | |
| Parameter MP-2-2: {{mp\_2\_2\_parameter}} | |
| {{mp\_2\_status}} | |
| {{mp\_2\_origination}} | |

| MP-2 What is the solution and how is it implemented? |
| --- |
| {{mp\_2\_implementation}} |

### MP-3 Media Labeling (M) (H)

The organization:

1. Marks information system media indicating the distribution limitations, handling caveats, and applicable security markings (if any) of the information; and
2. Exempts [FedRAMP Assignment: no removable media types] [*DoD SRG Assignment: nothing unless otherwise exempted by DoDI 5200.01 and DoDM 5200.01 Vol 1-4*] from marking as long as the media remain within [Assignment: organization-defined controlled areas] [*DoD SRG Assignment: all areas unless otherwise exempted by DoDI 5200.01 and DoDM 5200.01 Vol 1-4*].

MP-3(b) Additional FedRAMP Requirements and Guidance:

Guidance: Second parameter in MP-3(b)-2 is not applicable.

| MP-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_3\_role}} | |
| Parameter MP-3(b)-1: {{mp\_3\_b\_1\_parameter}} | |
| Parameter MP-3(b)-2: {{mp\_3\_b\_2\_parameter}} | |
| {{mp\_3\_status}} | |
| {{mp\_3\_origination}} | |

| MP-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{mp\_3\_a\_implementation}} |
| Part b | {{mp\_3\_b\_implementation}} |

### MP-4 Media Storage (M) (H) (L4) (L5)

The organization:

1. Physically controls and securely stores [FedRAMP Assignment: [all types of digital and non-digital media with sensitive information] [*DoD SRG Assignment: all digital and non-digital media containing sensitive, controlled, and/or classified information*] within [FedRAMP Assignment: see additional FedRAMP requirements and guidance] [*DoD SRG Assignment: areas approved for processing or storing data IAW the sensitivity and/or classification level of the information contained on/within the media*]; and

MP-4a Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines controlled areas within facilities where the information and information system reside.

1. Protects information system media until the media are destroyed or sanitized using approved equipment, techniques, and procedures.

| MP-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_4\_role}} | |
| Parameter MP-4(a)-1: {{mp\_4\_a\_1\_parameter}} | |
| Parameter MP-4(a)-2: {{mp\_4\_a\_2\_parameter}} | |
| {{mp\_4\_status}} | |
| {{mp\_4\_origination}} | |

| MP-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{mp\_4\_a\_implementation}} |
| Part b | {{mp\_4\_b\_implementation}} |

### MP-5 Media Transport (M) (H) (L4) (L5)

The organization:

1. Protects and controls [FedRAMP Assignment: all media with sensitive information] [*DoD SRG Assignment: all digital and non-digital media containing sensitive, controlled, and/or classified information*] during transport outside of controlled areas using [FedRAMP Assignment: for digital media, encryption using a FIPS 140-2 validated encryption module; for non-digital media, secured in locked container] [*DoD SRG Assignment: DoDI 5200.1R and other organizationally defined security safeguards*];

MP-5a Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines security measures to protect digital and non-digital media in transport. The security measures are approved and accepted by the JAB/AO.

1. Maintains accountability for information system media during transport outside of controlled areas;
2. Documents activities associated with the transport of information system media; and
3. Restricts the activities associated with transport of information system media to authorized personnel.

| MP-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_5\_role}} | |
| Parameter MP-5(a)-1: {{mp\_5\_a\_1\_parameter}} | |
| Parameter MP-5(a)-2: {{mp\_5\_a\_2\_parameter}} | |
| {{mp\_5\_status}} | |
| {{mp\_5\_origination}} | |

| MP-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{mp\_5\_a\_implementation}} |
| Part b | {{mp\_5\_b\_implementation}} |
| Part c | {{mp\_5\_c\_implementation}} |
| Part d | {{mp\_5\_d\_implementation}} |

#### MP-5 (4) Control Enhancement (M) (H)

The organization employs cryptographic mechanisms to protect the confidentiality and integrity of information stored on digital media during transport outside of controlled areas.

| MP-5 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_5\_4\_role}} | |
| {{mp\_5\_4\_status}} | |
| {{mp\_5\_4\_origination}} | |

| MP-5 (4) What is the solution and how is it implemented? |
| --- |
| {{mp\_5\_4\_implementation}} |

### MP-6 Media Sanitization and Disposal (H) (L4) (L5)

The organization:

1. Sanitizes [*Assignment: organization-defined information system media*] [*DoD SRG Assignment: all media*]prior to disposal, release out of organizational control, or release for reuse using[*FedRAMP Assignment: techniques and procedures IAW NIST SP 800-88 R1, Appendix A - Minimum Sanitization Recommendations*] [*DoD SRG Assignment: techniques and procedures IAW NIST SP 800-88 and Section 5.9: Reuse and Disposal of Storage Media and Hardware*] in accordance with applicable federal and organizational standards and policies; and
2. Employs sanitization mechanisms with the strength and integrity commensurate with the security category or classification of the information.

| MP-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_6\_role}} | |
| Parameter MP-6(a)-1: {{mp\_6\_a\_1\_parameter}} | |
| Parameter MP-6(a)-2: {{mp\_6\_a\_2\_parameter}} | |
| {{mp\_6\_status}} | |
| {{mp\_6\_origination}} | |

| MP-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{mp\_6\_a\_implementation}} |
| Part b | {{mp\_6\_b\_implementation}} |

#### MP-6 (1) Control Enhancement (H) (L4) (L5)

The organization reviews, approves, tracks, documents, and verifies media sanitization and disposal actions.

| MP-6 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_6\_1\_role}} | |
| {{mp\_6\_1\_status}} | |
| {{mp\_6\_1\_origination}} | |

| MP-6 (1) What is the solution and how is it implemented? |
| --- |
| {{mp\_6\_1\_implementation}} |

#### MP-6 (2) Control Enhancement (H)

The organization tests sanitization equipment and procedures [FedRAMP Assignment: at least every six (6) months] [*DoD SRG Assignment: every 180 days*] to verify that the intended sanitization is being achieved.

MP-6(2) Additional FedRAMP Requirements and Guidance:

Guidance: Equipment and procedures may be tested or evaluated for effectiveness.

| MP-6 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_6\_2\_role}} | |
| Parameter MP-06(2): {{mp\_6\_2\_parameter}} | |
| {{mp\_6\_2\_status}} | |
| {{mp\_6\_2\_origination}} | |

| MP-6 (2) What is the solution and how is it implemented? |
| --- |
| {{mp\_6\_2\_implementation}} |

#### MP-6 (3) Control Enhancement (H)

The organization applies nondestructive sanitization techniques to portable storage devices prior to connecting such devices to the information system under the following circumstances: [Assignment: organization-defined circumstances requiring sanitization of portable storage devices].

| MP-6 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_6\_3\_role}} | |
| Parameter MP-6 (3): {{mp\_6\_3\_parameter}} | |
| {{mp\_6\_3\_status}} | |
| {{mp\_6\_3\_origination}} | |

| MP-6 (3) What is the solution and how is it implemented? |
| --- |
| {{mp\_6\_3\_implementation}} |

#### MP-6 (8) Control Enhancement (L4) (L5)

The organization provides the capability to purge/wipe information from [*Assignment: organization-defined information systems, system components, or devices*] either remotely or under the following conditions: [*Assignment: organization-defined conditions*].

| MP-6 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_6\_8\_role}} | |
| Parameter MP-6(8)-1: {{mp\_6\_8\_1\_parameter}} | |
| Parameter MP-6(8)-2: {{mp\_6\_8\_2\_parameter}} | |
| {{mp\_6\_8\_status}} | |
| {{mp\_6\_8\_origination}} | |

| MP-6 (1) What is the solution and how is it implemented? |
| --- |
| {{mp\_6\_8\_implementation}} |

### MP-7 Media Use (L) (M) (H) (L4) (L5)

The organization [Selection: restricts; prohibits] the use of [Assignment: organization-defined types of information system media] on [Assignment: organization-defined information systems or system components] using [Assignment: organization-defined security safeguards].

| MP-7 | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_7\_role}} | |
| Parameter MP-7-1: {{mp\_7\_1\_parameter}} | |
| Parameter MP-7-2: {{mp\_7\_2\_parameter}} | |
| Parameter MP-7-3: {{mp\_7\_3\_parameter}} | |
| Parameter MP-7-4: {{mp\_7\_4\_parameter}} | |
| {{mp\_7\_status}} | |
| {{mp\_7\_origination}} | |

| MP-7 What is the solution and how is it implemented? |
| --- |
| {{mp\_7\_implementation}} |

#### MP-7 (1) Control Enhancement (M) (H)

The organization prohibits the use of portable storage devices in organizational information systems when such devices have no identifiable owner.

| MP-7 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_7\_1\_role}} | |
| {{mp\_7\_1\_status}} | |
| {{mp\_7\_1\_origination}} | |

| MP-7 (1) is the solution and how is it implemented? |
| --- |
| {{mp\_7\_1\_implementation}} |

### MP-8 Media Downgrading (L4) (L5)

#### MP-8 (3) Control Enhancement (L4) (L5)

The organization downgrades information system media containing [*Assignment: organization-defined Controlled Unclassified Information (CUI)*] prior to public release in accordance with applicable federal and organizational standards and policies.

| MP-8 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{mp\_8\_3\_role}} | |
| Parameter MP-8(3): {{mp\_8\_3\_parameter}} | |
| {{mp\_8\_3\_status}} | |
| {{mp\_8\_3\_origination}} | |
| MP-8 (3) What is the solution and how is it implemented? | |
| {{mp\_8\_3\_implementation}} | |

## Physical and Environmental Protection (PE)

### PE-1 Physical and Environmental Protection Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all personnel*]:
   1. A physical and environmental protection policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the physical and environmental protection policy and associated physical and environmental protection controls; and
2. Reviews and updates the current:
   1. Physical and environmental protection policy [FedRAMP Assignment: at least annually ] [*DoD SRG Assignment: annually*]; and
   2. Physical and environmental protection procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs].

| PE-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_1\_role}} | |
| Parameter PE-1(a): {{pe\_1\_a\_parameter}} | |
| Parameter PE-1(b)(1): {{pe\_1\_b\_1\_parameter}} | |
| Parameter PE-1(b)(2): {{pe\_1\_b\_2\_parameter}} | |
| {{pe\_1\_status}} | |
| {{pe\_1\_origination}} | |

| PE-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_1\_a\_implementation}} |
| Part b | {{pe\_1\_b\_implementation}} |

### PE-2 Physical Access Authorizations (H)

The organization:

1. Develops, approves, and maintains a list of individuals with authorized access to the facility where the information system resides;
2. Issues authorization credentials for facility access;
3. Reviews the access list detailing authorized facility access by individuals [FedRAMP Assignment: at least every ninety (90) days ] [*DoD SRG Assignment: Every 90 days*]; and
4. Removes individuals from the facility access list when access is no longer required.

| PE-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_2\_role}} | |
| Parameter PE-02(c): {{pe\_2\_c\_parameter}} | |
| {{pe\_2\_status}} | |
| {{pe\_2\_origination}} | |

| PE-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_2\_a\_implementation}} |
| Part b | {{pe\_2\_b\_implementation}} |
| Part c | {{pe\_2\_c\_implementation}} |
| Part d | {{pe\_2\_d\_implementation}} |

#### PE-2 (1) Control Enhancement (L4) (l5)

The organization authorizes physical access to the facility where the information system resides based on position or role.

| PE-2 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_2\_1\_role}} | |
| {{pe\_2\_1\_status}} | |
| {{pe\_2\_1\_origination}} | |

| PE-2 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_2\_1\_implementation}} |

### PE-3 Physical Access Control (L) (M) (H)

The organization:

1. Enforces physical access authorizations at [Assignment: organization-defined entry/exit points to the facility where the information system resides] by:
   1. Verifying individual access authorizations before granting access to the facility; and
2. Controlling ingress/egress to the facility using [FedRAMP Assignment: CSP defined physical access control systems/devices AND guards] [*DoD SRG Assignment: CSP defined physical access control systems/devices AND guards*];
3. Maintains physical access audit logs for [Assignment: organization-defined entry/exit points];
4. Provides [Assignment: organization-defined security safeguards] to control access to areas within the facility officially designated as publicly accessible;
5. Escorts visitors and monitors visitor activity [FedRAMP Assignment: in all circumstances within restricted access area where the information system resides] [*DoD SRG Assignment: in all circumstances within restricted access area where the information system resides*];
6. Secures keys, combinations, and other physical access devices;
7. Inventories [Assignment: organization-defined physical access devices] [*DOD SRG Assignment: minimally keys or any other physical token used to gain access*] every [FedRAMP Assignment: at least annually]; and
8. Changes combinations and keys [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: as required by security relevant events, at least annually*] and/or when keys are lost, combinations are compromised, or individuals are transferred or terminated.

| PE-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_3\_role}} | |
| Parameter PE-3(a)(1): {{pe\_3\_a\_1\_parameter}} | |
| Parameter PE-3(a)(2): {{pe\_3\_a\_2\_parameter}} | |
| Parameter PE-3(b): {{pe\_3\_b\_parameter}} | |
| Parameter PE-3(c): {{pe\_3\_c\_parameter}} | |
| Parameter PE-3(d): {{pe\_3\_d\_parameter}} | |
| Parameter PE-3(f)-1: {{pe\_3\_f\_1\_parameter}} | |
| Parameter PE-3(f)-2: {{pe\_3\_f\_2\_parameter}} | |
| Parameter PE-3(g): {{pe\_3\_g\_parameter}} | |
| {{pe\_3\_status}} | |
| {{pe\_3\_origination}} | |

| PE-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_3\_a\_implementation}} |
| Part b | {{pe\_3\_b\_implementation}} |
| Part c | {{pe\_3\_c\_implementation}} |
| Part d | {{pe\_3\_d\_implementation}} |
| Part e | {{pe\_3\_e\_implementation}} |
| Part f | {{pe\_3\_f\_implementation}} |
| Part g | {{pe\_3\_g\_implementation}} |

#### PE-3 (1) Control Enhancement (H) (L4) (L5)

The organization enforces physical access authorizations to the information system in addition to the physical access controls for the facility at [Assignment: organization-defined physical spaces containing components of the information system].

| PE-3 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_3\_1\_role}} | |
| Parameter PE-3 (1): {{pe\_3\_1\_parameter}} | |
| {{pe\_3\_1\_status}} | |
| {{pe\_3\_1\_origination}} | |

| PE-3 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_3\_1\_implementation}} |

### PE-4 Access Control for Transmission Medium (M) (H)

The organization controls physical access to [Assignment: organization-defined information system distribution and transmission lines] within organizational facilities using [Assignment: organization-defined security safeguards].

| PE-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_4\_role}} | |
| Parameter PE-4-1: {{pe\_4\_1\_parameter}} | |
| Parameter PE-4-2: {{pe\_4\_2\_parameter}} | |
| {{pe\_4\_status}} | |
| {{pe\_4\_origination}} | |

| PE-4 What is the solution and how is it implemented? |
| --- |
| {{pe\_4\_implementation}} |

### PE-5 Access Control for Output Devices (M) (H)

The organization controls physical access to information system output devices to prevent unauthorized individuals from obtaining the output.

| PE-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_5\_role}} | |
| {{pe\_5\_status}} | |
| {{pe\_5\_origination}} | |

| PE-5 What is the solution and how is it implemented? |
| --- |
| {{pe\_5\_implementation}} |

### PE-6 Monitoring Physical Access (L) (M) (H)

The organization:

1. Monitors physical access to the facility where the information system resides to detect and respond to physical security incidents;
2. Reviews physical access logs [FedRAMP Assignment: at least monthly] [DoD SRG Assignment: at least monthly] and upon occurrence of [Assignment: organization-defined events or potential indications of events]; and
3. Coordinates results of reviews and investigations with the organization’s incident response capability.

| PE-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_6\_role}} | |
| Parameter PE-6(b)-1: {{pe\_6\_b\_1\_parameter}} | |
| Parameter PE-6(b)-2: {{pe\_6\_b\_2\_parameter}} | |
| {{pe\_6\_status}} | |
| {{pe\_6\_origination}} | |

| PE-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_6\_a\_implementation}} |
| Part b | {{pe\_6\_b\_implementation}} |
| Part c | {{pe\_6\_c\_implementation}} |

#### PE-6 (1) Control Enhancement (M) (H)

The organization monitors physical intrusion alarms and surveillance equipment.

| PE-6 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_6\_1\_role}} | |
| {{pe\_6\_1\_status}} | |
| {{pe\_6\_1\_origination}} | |

| PE-6 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_6\_1\_implementation}} |

#### PE-6 (4) Control Enhancement (H)

The organization monitors physical access to the information system in addition to the physical access monitoring of the facility as [Assignment: organization-defined physical spaces containing one or more components of the information system].

| PE-6 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_6\_4\_role}} | |
| Parameter PE-6 (4): {{pe\_6\_4\_parameter}} | |
| {{pe\_6\_4\_status}} | |
| {{pe\_6\_4\_origination}} | |

| PE-6 (4) What is the solution and how is it implemented? |
| --- |
| {{pe\_6\_4\_implementation}} |

### PE-8 Visitor Access Records (L) (M) (H)

The organization:

1. Maintains visitor access records to the facility where the information system resides for [FedRAMP Assignment: for a minimum of one (1) year] [DoD SRG Assignment: for a minimum of one year]; and
2. Reviews visitor access records [FedRAMP Assignment: at least monthly] [FedRAMP Assignment: at least monthly]

| PE-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_8\_role}} | |
| Parameter PE-8(a): {{pe\_8\_a\_parameter}} | |
| Parameter PE-8(b): {{pe\_8\_b\_parameter}} | |
| {{pe\_8\_status}} | |
| {{pe\_8\_origination}} | |

| PE-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_8\_a\_implementation}} |
| Part b | {{pe\_8\_b\_implementation}} |

#### PE-8 (1) Control Enhancement (H)

The organization employs automated mechanisms to facilitate the maintenance and review of visitor access records.

| PE-8 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_8\_1\_role}} | |
| {{pe\_8\_1\_status}} | |
| {{pe\_8\_1\_origination}} | |
| PE-8 (1) What is the solution and how is it implemented? | |
| {{pe\_8\_1\_implementation}} | |

### PE-9 Power Equipment and Cabling (M) (H)

The organization protects power equipment and power cabling for the information system from damage and destruction.

| PE-9 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_9\_role}} | |
| {{pe\_9\_status}} | |
| {{pe\_9\_origination}} | |

| PE-9 What is the solution and how is it implemented? |
| --- |
| {{pe\_9\_implementation}} |

### PE-10 Emergency Shutoff (M) (H)

The organization:

1. Provides the capability of shutting off power to the information system or individual system components in emergency situations;
2. Places emergency shutoff switches or devices in [Assignment: organization-defined location by information system or system component] [*DoD SRG Assignment: or near more than one egress point of the IT area and it is labeled*] to facilitate safe and easy access for personnel; and
3. Protects emergency power shutoff capability from unauthorized activation.

| PE-10 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_10\_role}} | |
| Parameter PE-10(b): {{pe\_10\_b\_parameter}} | |
| {{pe\_10\_status}} | |
| {{pe\_10\_origination}} | |

| PE-10 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_10\_a\_implementation}} |
| Part b | {{pe\_10\_b\_implementation}} |
| Part c | {{pe\_10\_c\_implementation}} |

### PE-11 Emergency Power (M) (H)

The organization provides a short-term uninterruptible power supply to facilitate [Selection (one or more): an orderly shutdown of the information system; transition of the information system to long-term alternate power] in the event of a primary power source loss.

| PE-11 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_11\_role}} | |
| Parameter PE-11: {{pe\_11\_parameter}} | |
| {{pe\_11\_status}} | |
| {{pe\_11\_origination}} | |

| PE-11 What is the solution and how is it implemented? |
| --- |
| {{pe\_11\_implementation}} |

#### PE-11 (1) Control Enhancement (H)

The organization provides a long-term alternate power supply for the information system that is capable of maintaining minimally required operational capability in the event of an extended loss of the primary power source.

| PE-11 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_11\_1\_role}} | |
| {{pe\_11\_1\_status}} | |
| {{pe\_11\_1\_origination}} | |

| PE-11 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_11\_1\_implementation}} |

### PE-12 Emergency Lighting (L) (M) (H)

The organization employs and maintains automatic emergency lighting for the information system that activates in the event of a power outage or disruption and that covers emergency exits and evacuation routes within the facility.

| PE-12 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_12\_role}} | |
| {{pe\_12\_status}} | |
| {{pe\_12\_origination}} | |

| PE-12 What is the solution and how is it implemented? |
| --- |
| {{pe\_12\_implementation}} |

### PE-13 Fire Protection (L) (M) (H)

The organization employs and maintains fire suppression and detection devices/systems for the information system that are supported by an independent energy source.

| PE-13 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_13\_role}} | |
| {{pe\_13\_status}} | |
| {{pe\_13\_origination}} | |

| PE-13 What is the solution and how is it implemented? |
| --- |
| {{pe\_13\_implementation}} |

#### PE-13 (1) Control Enhancement (H)

The organization employs fire detection devices/systems for the information system that activate automatically and notify [FedRAMP Assignment: service provider building maintenance/physical security personnel] and [FedRAMP Assignment: service provider emergency responders with incident response responsibilities] in the event of a fire.

| PE-13 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_13\_1\_role}} | |
| Parameter PE-13 (1)-1: {{pe\_13\_1\_1\_parameter}} | |
| Parameter PE-13 (1)-2: {{pe\_13\_1\_2\_parameter}} | |
| {{pe\_13\_1\_status}} | |
| {{pe\_13\_1\_origination}} | |

| PE-13 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_13\_1\_implementation}} |

#### PE-13 (2) Control Enhancement (M) (H)

The organization employs fire suppression devices/systems for the information system that provide automatic notification of any activation [Assignment: organization-defined personnel or roles] and [Assignment: organization-defined emergency responders].

| PE-13 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_13\_2\_role}} | |
| Parameter PE-13(2)-1: {{pe\_13\_2\_1\_parameter}} | |
| Parameter PE-13(2)-2: {{pe\_13\_2\_2\_parameter}} | |
| {{pe\_13\_2\_status}} | |
| {{pe\_13\_2\_origination}} | |

| PE-13 (2) What is the solution and how is it implemented? |
| --- |
| {{pe\_13\_2\_implementation}} |

#### PE-13 (3) Control Enhancement (M) (H)

The organization employs an automatic fire suppression capability for the information system when the facility is not staffed on a continuous basis.

| PE-13 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_13\_3\_role}} | |
| {{pe\_13\_3\_status}} | |
| {{pe\_13\_3\_origination}} | |

| PE-13 (3) What is the solution and how is it implemented? |
| --- |
| {{pe\_13\_3\_implementation}} |

### PE-14 Temperature and Humidity Controls (L) (M) (H)

The organization:

1. Maintains temperature and humidity levels within the facility where the information system resides at [FedRAMP Assignment: consistent with American Society of Heating, Refrigerating and Air-conditioning Engineers (ASHRAE) document entitled "Thermal Guidelines for Data Processing Environments] [*DoD SRG Assignment: for commercial grade information systems: 65.4-80.6 degrees F; 45%-60% Relative Humidity; Dew Point 41.9° – 59°F; measured at the air intake inlet of the IT equipment casing; For other systems, levels within manufacturer specifications*]; and

PE-14 (a) Additional FedRAMP Requirements and Guidance:   
Requirement: The service provider measures temperature at server inlets and humidity levels by dew point.

1. Monitors temperature and humidity levels [FedRAMP Assignment: continuously] [*DoD SRG Assignment: Continuously unless manufacturer specifications allow for a wide enough tolerance that control is not required*].

| PE-14 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_14\_role}} | |
| Parameter PE-14(a): {{pe\_14\_a\_parameter}} | |
| Parameter PE-14(b): {{pe\_14\_b\_parameter}} | |
| {{pe\_14\_status}} | |
| {{pe\_14\_origination}} | |

| PE-14 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_14\_a\_implementation}} |
| Part b | {{pe\_14\_b\_implementation}} |

#### PE-14 (2) Control Enhancement (M) (H)

The organization employs temperature and humidity monitoring that provides an alarm or notification of changes potentially harmful to personnel or equipment.

| PE-14 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_14\_2\_role}} | |
| {{pe\_14\_2\_status}} | |
| {{pe\_14\_2\_origination}} | |

| PE-14 (2) What is the solution and how is it implemented? |
| --- |
| {{pe\_14\_2\_implementation}} |

### PE-15 Water Damage Protection (L) (M) (H)

The organization protects the information system from damage resulting from water leakage by providing master shutoff or isolation valves that are accessible, working properly, and known to key personnel.

| PE-15 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_15\_role}} | |
| {{pe\_15\_status}} | |
| {{pe\_15\_origination}} | |

| PE-15 What is the solution and how is it implemented? |
| --- |
| {{pe\_15\_implementation}} |

#### PE-15 (1) Control Enhancement (H)

The organization employs automated mechanisms to detect the presence of water in the vicinity of the information system and alerts [FedRAMP Assignment: service provider building maintenance /physical security personnel].

| PE-15 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_15\_1\_role}} | |
| Parameter PE-15 (1): {{pe\_15\_1\_parameter}} | |
| {{pe\_15\_1\_status}} | |
| {{pe\_15\_1\_origination}} | |

| PE-15 (1) What is the solution and how is it implemented? |
| --- |
| {{pe\_15\_1\_implementation}} |

### PE-16 Delivery and Removal (L) (M) (H)

The organization authorizes, monitors, and controls [FedRAMP Assignment: all information system components] entering and exiting the facility and maintains records of those items.

| PE-16 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_16\_role}} | |
| Parameter PE-16: {{pe\_16\_parameter}} | |
| {{pe\_16\_status}} | |
| {{pe\_16\_origination}} | |

| PE-16 What is the solution and how is it implemented? |
| --- |
| {{pe\_16\_implementation}} |

### PE-17 Alternate Work Site (M) (H)

The organization:

1. Employs [Assignment: organization-defined security controls] at alternate work sites;
2. Assesses as feasible, the effectiveness of security controls at alternate work sites; and
3. Provides a means for employees to communicate with information security personnel in case of security incidents or problems.

| PE-17 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_17\_role}} | |
| Parameter PE-17(a): {{pe\_17\_a\_parameter}} | |
| {{pe\_17\_status}} | |
| {{pe\_17\_origination}} | |

| PE-17 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pe\_17\_a\_implementation}} |
| Part b | {{pe\_17\_b\_implementation}} |
| Part c | {{pe\_17\_c\_implementation}} |

### PE-18 Location of Information System Components (H) (L4) (L5)

The organization positions information system components within the facility to minimize potential damage from [FedRAMP Assignment: physical and environmental hazards identified during threat assessment] and to minimize the opportunity for unauthorized access.

| PE-18 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pe\_18\_role}} | |
| Parameter PE-18: {{pe\_18\_parameter}} | |
| {{pe\_18\_status}} | |
| {{pe\_18\_origination}} | |

| PE-18 What is the solution and how is it implemented? |
| --- |
| {{pe\_18\_implementation}} |

## Planning (PL)

### PL-1 Security Planning Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all personnel*]:
2. A security planning policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
3. Procedures to facilitate the implementation of the security planning policy and associated security planning controls; and
4. Reviews and updates the current:
5. Security planning policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
6. Security planning procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

**PL-1 Additional CNSSI 1253 Privacy Overlay Requirements:**

**PHI Control Extension:**

The organization retains the policies and procedures in written form (which may be electronic) for 6 years from the date of its creation or the date when it was last in effect, whichever is later. The organization makes the documentation available to those persons responsible for implementing the procedures to which the document pertains.

| PL-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_1\_role}} | |
| Parameter PL-01(a): {{pl\_1\_a\_parameter}} | |
| Parameter PL-1(b)(1): {{pl\_1\_b\_1\_parameter}} | |
| Parameter PL-1(b)(2): {{pl\_1\_b\_2\_parameter}} | |
| {{pl\_1\_status}} | |
| {{pl\_1\_origination}} | |

| PL-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pl\_1\_a\_implementation}} |
| Part b | {{pl\_1\_b\_implementation}} |
| Ext. | {{pl\_1\_ext\_implementation}} |

### PL-2 System Security Plan (L) (M) (H) (L4) (L5)

The organization:

1. Develops a security plan for the information system that:
2. Is consistent with the organization’s enterprise architecture;
3. Explicitly defines the authorization boundary for the system;
4. Describes the operational context of the information system in terms of missions and business processes;
5. Provides the security categorization of the information system including supporting rationale;
6. Describes the operational environment for the information system and relationships with or connections to other information;
7. Provides an overview of the security requirements for the system;
8. Identifies any relevant overlays, if applicable;
9. Describes the security controls in place or planned for meeting those requirements including a rationale for the tailoring decisions; and
10. Is reviewed and approved by the authorizing official or designated representative prior to plan implementation;
11. Distributes copies of the security plan and communicates subsequent changes to the plan to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSO, ISSM and SCA*];
12. Reviews the security plan for the information system [FedRAMP Assignment: at least annually] [DoD *SRG* Assignment: at least annually];
13. Updates the plan to address changes to the information system/environment of operation or problems identified during plan implementation or security control assessments; and
14. Protects the security plan from unauthorized disclosure and modification.

**PL-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The system security plan (SSP) must provide the security category and the PII confidentiality impact level of the system (as described in NIST SP 800-122), describe relationships with, and data flows of, PII to other systems, provides an overview of security and privacy requirements for the system, including the security controls within the Privacy Overlays. The SSP must define the boundary within the system where PII is stored, processed, and/or maintained. The person responsible for meeting information system privacy requirements must provide input to the SSP.

| PL-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_2\_role}} | |
| Parameter PL-02(b): {{pl\_2\_b\_parameter}} | |
| Parameter PL-2(c): {{pl\_2\_c\_parameter}} | |
| {{pl\_2\_status}} | |
| {{pl\_2\_origination}} | |

| PL-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pl\_2\_a\_implementation}} |
| Part b | {{pl\_2\_b\_implementation}} |
| Part c | {{pl\_2\_c\_implementation}} |
| Part d | {{pl\_2\_d\_implementation}} |
| Part e | {{pl\_2\_e\_implementation}} |
| Ext. | {{pl\_2\_ext\_implementation}} |

#### PL-2 (3) Control Enhancement (M) (H)

The organization plans and coordinates security-related activities affecting the information system with [Assignment: organization-defined individuals or groups] before conducting such activities in order to reduce the impact on other organizational entities.

| PL-2 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_2\_3\_role}} | |
| Parameter PL-2(3): {{pl\_2\_3\_parameter}} | |
| {{pl\_2\_3\_status}} | |
| {{pl\_2\_3\_origination}} | |

| PL-2 (3) What is the solution and how is it implemented? |
| --- |
| {{pl\_2\_3\_implementation}} |

### PL-4 Rules of Behavior (H) (L4) (L5)

The organization:

1. Establishes and makes readily available to individuals requiring access to the information system, the rules that describe their responsibilities and expected behavior with regard to information and information system usage;
2. Receives a signed acknowledgment from such individuals, indicating that they have read, understand, and agree to abide by the rules of behavior, before authorizing access to information and the information system;
3. Reviews and updates the rules of behavior [FedRAMP Assignment: annually] [*DoD SRG Assignment: annually*]; and
4. Requires individuals who have signed a previous version of the rules of behavior to read and resign when the rules of behavior are revised/updated.

**PL-4 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Pursuant to OMB M-07-16, organizational rules of behavior must include a policy outlining the rules of behavior to safeguard personally identifiable information (PII) and identifying consequences and corrective actions for failure to follow these rules. Consequences should be commensurate with level of responsibility and type of PII involved.

| PL-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_4\_role}} | |
| Parameter PL-04(c): {{pl\_4\_parameter}} | |
| {{pl\_4\_status}} | |
| {{pl\_4\_origination}} | |

| PL-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pl\_4\_a\_implementation}} |
| Part b | {{pl\_4\_b\_implementation}} |
| Part c | {{pl\_4\_c\_implementation}} |
| Part d | {{pl\_4\_d\_implementation}} |
| Ext. | {{pl\_4\_ext\_implementation}} |

#### PL-4 (1) Control Enhancement (M) (H)

The organization includes in the rules of behavior, explicit restrictions on the use of social media/ networking sites and posting organizational information on public websites.

| PL-4 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_4\_1\_role}} | |
| {{pl\_4\_1\_status}} | |
| {{pl\_4\_1\_origination}} | |

| PL-4 (1) What is the solution and how is it implemented? |
| --- |
| {{pl\_4\_1\_implementation}} |

### PL-8 Information Security Architecture (M) (H)

The organization:

1. Develops an information security architecture for the information system that:
   1. Describes the overall philosophy, requirements, and approach to be taken with regard to protecting the confidentiality, integrity, and availability of organizational information;
   2. Describes how the information security architecture is integrated into and supports the enterprise architecture; and
   3. Describes any information security assumptions about, and dependencies on, external services;
2. Reviews and updates the information security architecture [FedRAMP Assignment: at least annually or when a significant change occurs] [DoD SRG Assignment: at least annually] to reflect updates in the enterprise architecture; and

PL-8 (b) Additional FedRAMP Requirements and Guidance:

Guidance: Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F, on Page F-8.

1. Ensures that planned information security architecture changes are reflected in the security plan, the security Concept of Operations (CONOPS), and organizational procurements/acquisitions.

| PL-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_8\_role}} | |
| Parameter PL-8(b): {{pl\_8\_b\_parameter}} | |
| {{pl\_8\_status}} | |
| {{pl\_8\_origination}} | |

| PL-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{pl\_8\_a\_implementation}} |
| Part b | {{pl\_8\_b\_implementation}} |
| Part c | {{pl\_8\_c\_implementation}} |

#### PL-8 (1) Control Enhancement (L4) (L5)

The organization designs its security architecture using a defense-in-depth approach that:

1. Allocates [Assignment: organization-defined security safeguards] to [Assignment: organization-defined locations and architectural layers]; and
2. Ensures that the allocated security safeguards operate in a coordinated and mutually reinforcing manner.

| PL-8 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{pl\_8\_1\_role}} | |
| Parameter PL-8(1)(a): {{pl\_8\_1\_a\_parameter}} | |
| Parameter PL-8(1)(b): {{pl\_8\_1\_b\_parameter}} | |
| {{pl\_8\_1\_status}} | |
| {{pl\_8\_1\_origination}} | |

| PL-8 (1) What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{pl\_8\_1\_a\_implementation}} |
| **Part b** | {{pl\_8\_1\_b\_implementation}} |

## Program Management (PM)

### PM-1 Information Security Program Plan (L4) (L5)

The organization:

1. Develops and disseminates an organization-wide information security program plan that:
2. Provides an overview of the requirements for the security program and a description of the security program management controls and common controls in place or planned for meeting those requirements;
3. Includes the identification and assignment of roles, responsibilities, management commitment, coordination among organizational entities, and compliance;
4. Reflects coordination among organizational entities responsible for the different aspects of information security (i.e., technical, physical, personnel, cyber-physical); and
5. Is approved by a senior official with responsibility and accountability for the risk being incurred to organizational operations (including mission, functions, image, and reputation), organizational assets, individuals, other organizations, and the Nation;
6. Reviews the organization-wide information security program plan [*Assignment: organization defined frequency*];
7. Updates the plan to address organizational changes and problems identified during plan implementation or security control assessments; and
8. Protects the information security program plan from unauthorized disclosure and modification.

| **PM-1** | | **Control Summary Information** |
| --- | --- | --- |
| Responsible Role: {{pm\_1\_role}} | | |
| Parameter PM-1(b)(Privacy): {{pm\_1\_parameter}} | | |
| {{pm\_1\_status}} | | |
| {{pm\_1\_origination}} | | |
| PM-1- What is the solution and how is it implemented? | | |
| **Part a** | {{pm\_1\_a\_implementation}} | |
| **Part b** | {{pm\_1\_b\_implementation}} | |
| **Part c** | {{pm\_1\_c\_p\_implementation}} | |
| **Part d** | {{pm\_1\_d\_implementation}} | |

### PM-2 Senior Information Security Officer (L4) (L5)

The organization appoints a senior information security officer with the mission and resources to coordinate, develop, implement, and maintain an organization-wide information security program.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**PHI Control Extension:**

The organization must designate privacy and security officials responsible for the development and implementation of the policies and procedures required by HIPAA (45 C.F.R. parts 160 and 164).

| **PM-2(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_2\_role}} | |
| {{pm\_2\_status}} | |
| {{pm\_2\_origination}} | |

| **PM-2(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{pm\_2\_implementation}} |

### PM-3 Information Security Resources (L4) (L5)

The organization:

1. Ensures that all capital planning and investment requests include the resources needed to implement the information security program and documents all exceptions to this requirement;
2. Employs a business case/Exhibit 300/Exhibit 53 to record the resources required; and
3. Ensures that information security resources are available for expenditure as planned.

| **PM-3(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_3\_role}} | |
| {{pm\_3\_status}} | |
| {{pm\_3\_origination}} | |

| **PM-3(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_3\_a\_implementation}} |
| **Part b** | {{pm\_3\_b\_implementation}} |
| **Part c** | {{pm\_3\_c\_implementation}} |

### PM-5 Information System Inventory (L4) (L5)

The organization develops and maintains an inventory of its information systems.

| **PM-5(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_5\_role}} | |
| {{pm\_5\_status}} | |
| {{pm\_5\_origination}} | |

| **PM-5(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{pm\_5\_implementation}} |

### PM-7 Enterprise Architecture (L4) (L5)

The organization develops an enterprise architecture with consideration for information security and the resulting risk to organizational operations, organizational assets, individuals, other organizations, and the Nation.

| **PM-7(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_7\_role}} | |
| {{pm\_7\_status}} | |
| {{pm\_7\_origination}} | |

| **PM-7(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{pm\_7\_implementation}} |

### PM-9 Risk Management Strategy (L4) (L5)

The organization:

1. Develops a comprehensive strategy to manage risk to organizational operations and assets, individuals, other organizations, and the Nation associated with the operation and use of information systems;
2. Implements the risk management strategy consistently across the organization; and
3. Reviews and updates the risk management strategy [Assignment: organization-defined frequency] or as required, to address organizational changes.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level and PHI Control Extension:**

The risk management strategy must include a process to evaluate and address privacy risks for individuals, information (data) and PHI such as risk to individual, risk to the system, risk to the organization, and risk to the enterprise. In addition to business risks that arise out of privacy violations, such as reputation or liability risks, organizational policies should also focus on minimizing the risk of harm to individuals.

| **PM-9(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_9\_role}} | |
| Parameter PM-9(c)(Privacy): {{pm\_9\_c\_parameter}} | |
| {{pm\_9\_status}} | |
| {{pm\_9\_origination}} | |

| **PM-9(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_9\_a\_implementation}} |
| **Part b** | {{pm\_9\_b\_implementation}} |
| **Part c** | {{pm\_9\_c\_implementation}} |
| **Ext.** | {{pm\_9\_ext\_implementation}} |

### PM-10 Risk Management Strategy (L4) (L5)

The organization:

1. Manages (i.e., documents, tracks, and reports) the security state of organizational information systems and the environments in which those systems operate through security authorization processes;
2. Designates individuals to fulfill specific roles and responsibilities within the organizational risk management process; and
3. Fully integrates the security authorization processes into an organization-wide risk management program.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The organization's security authorization process must ensure privacy safeguards and privacy documentation requirements, such PIAs and SORNs when applicable, have been appropriately addressed prior to any security authorization.

**PHI Control Extension:**

The organization's security authorization process must ensure privacy safeguards and privacy documentation requirements have been appropriately addressed prior to any security authorization.

| **PM-10(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_10\_role}} | |
| {{pm\_10\_status}} | |
| {{pm\_10\_origination}} | |

| **PM-10(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_10\_a\_implementation}} |
| **Part b** | {{pm\_10\_b\_implementation}} |
| **Part c** | {{pm\_10\_c\_implementation}} |
| **Ext.** | {{pm\_10\_ext\_implementation}} |

### PM-11 Risk Management Strategy (L4) (L5)

The organization:

1. Defines mission/business processes with consideration for information security and the resulting risk to organizational operations, organizational assets, individuals, other organizations, and the Nation; and
2. Determines information protection needs arising from the defined mission/business processes and revises the processes as necessary, until achievable protection needs are obtained.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

When defining mission/business processes for information security and identifying resulting risks, the organization must address the privacy risks stemming from those processes.

| **PM-11(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_11\_role}} | |
| {{pm\_11\_status}} | |
| {{pm\_11\_origination}} | |

| **PM-11(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_11\_a\_implementation}} |
| **Part b** | {{pm\_11\_b\_implementation}} |
| **Ext.** | {{pm\_11\_ext\_implementation}} |

### PM-12 Insider Threat Program (L4) (L5)

The organization implements an insider threat program that includes a cross-discipline insider threat incident handling team.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

When defining the requirements for and designing an organization's insider threat program, the insider threat team must engage the participation, and obtain concurrence, of the organization's Privacy Officer prior to implementation. For existing insider threat programs, conduct a review of the program with the organization’s Privacy Officer to ensure program meets applicable privacy requirements.

| **PM-12(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_12\_role}} | |
| {{pm\_12\_status}} | |
| {{pm\_12\_origination}} | |

| **PM-12(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{pm\_12\_implementation}} |

### PM-14 Information Security Program Plan (L4) (L5)

The organization:

1. Implements a process for ensuring that organizational plans for conducting security testing, training, and monitoring activities associated with organizational information systems:
2. Are developed and maintained; and
3. Continue to be executed in a timely manner;
4. Reviews testing, training, and monitoring plans for consistency with the organizational risk management strategy and organization-wide priorities for risk response actions.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Reviews testing, training and monitoring plans for consistency with the organizational privacy risk management strategy.

| **PM-14(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_14\_role}} | |
| {{pm\_14\_status}} | |
| {{pm\_14\_origination}} | |

| **PM-14(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_14\_a\_implementation}} |
| **Part b** | {{pm\_14\_b\_implementation}} |
| **Ext.** | {{pm\_14\_ext\_implementation}} |

### PM-15 Risk Management Strategy (L4) (L5)

The organization establishes and institutionalizes contact with selected groups and associations within the security community:

1. To facilitate ongoing security education and training for organizational personnel; To facilitate ongoing security education and training for organizational personnel;
2. To maintain currency with recommended security practices, techniques, and technologies; and
3. To share current security-related information including threats, vulnerabilities, and incidents.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The organization establishes and institutionalizes contact for its privacy professionals with both the organization’s security community and selected groups and associations within the Federal privacy community:

1. To facilitate ongoing privacy education and training for organizational personnel;
2. To maintain currency with recommended privacy practices, techniques, and technologies; and
3. To share current privacy-related information including threats, vulnerabilities, and incidents.

| **PM-15(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{pm\_15\_role}} | |
| {{pm\_15\_status}} | |
| {{pm\_15\_origination}} | |

| **PM-15(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{pm\_15\_a\_implementation}} |
| **Part b** | {{pm\_15\_b\_implementation}} |
| **Part c** | {{pm\_15\_c\_implementation}} |
| **Ext.** | {{pm\_15\_ext\_implementation}} |

## Personnel Security (PS)

### PS-1 Personnel Security Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: all personnel*]:
   1. A personnel security policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the personnel security policy and associated personnel security controls; and
2. Reviews and updates the current:
   1. Personnel security policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. Personnel security procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

**PS-1 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The personnel security policies and procedures shall address the different levels of background investigations, or other personnel security requirements, necessary to access different levels of PII.

| PS-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_1\_role}} | |
| Parameter PS-01(a): {{ps\_1\_a\_parameter}} | |
| Parameter PS-01(b)(1): {{ps\_1\_b\_1\_parameter}} | |
| Parameter PS-1(b)(2): {{ps\_1\_b\_2\_parameter}} | |
| {{ps\_1\_status}} | |
| {{ps\_1\_origination}} | |

| PS-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_1\_a\_implementation}} |
| Part b | {{ps\_1\_b\_implementation}} |
| Ext. | {{ps\_1\_ext\_implementation}} |

### PS-2 Position Categorization (H)

The organization:

1. Assigns a risk designation to all positions;
2. Establishes screening criteria for individuals filling those positions; and
3. Reviews and revises position risk designations [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: annually*].

**PS-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Whether a member of the workforce will be working with PII is a factor in determining the screening criteria for working in the position.

| PS-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_2\_role}} | |
| Parameter PS-2(c): {{ps\_2\_c\_parameter}} | |
| {{ps\_2\_status}} | |
| {{ps\_2\_origination}} | |

| PS-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_2\_a\_implementation}} |
| Part b | {{ps\_2\_b\_implementation}} |
| Part c | {{ps\_2\_c\_implementation}} |
| Ext. | {{ps\_2\_ext\_implementation}} |

### PS-3 Personnel Screening (L) (M) (H) (L4) (L5)

The organization:

1. Screens individuals prior to authorizing access to the information system; and
2. Rescreens individuals according to [FedRAMP Assignment: For national security clearances; a reinvestigation is required during the fifth (5th) year for top secret security clearance, the tenth (10th) year for secret security clearance, and fifteenth (15th) year for confidential security clearance. For moderate risk law enforcement and high impact public trust level, a reinvestigation is required during the fifth (5th) year. There is no reinvestigation for other moderate risk positions or any low risk positions] [DoD SRG Assignment: For national security clearances; a reinvestigation is required during the fifth (5th) year for top secret security clearance, the tenth (10th) year for secret security clearance, and fifteenth (15th) year for confidential security clearance. For moderate risk law enforcement and high impact public trust level, a reinvestigation is required during the fifth (5th) year. There is no reinvestigation for other moderate risk positions or any low risk positions].

**PS-3 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Individuals that work with PII are screened prior to being provided access to the PII and re-screened as determined by the organization.

| PS-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_3\_role}} | |
| Parameter PS-03(b): {{ps\_3\_b\_parameter}} | |
| {{ps\_3\_status}} | |
| {{ps\_3\_origination}} | |

| PS-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_3\_a\_implementation}} |
| Part b | {{ps\_3\_b\_implementation}} |
| Ext. | {{ps\_3\_ext\_implementation}} |

#### PS-3 (3) Control Enhancement (M) (H) (L4) (L5)

The organization ensures that individuals accessing an information system processing, storing, or transmitting information requiring special protection:

1. Have valid access authorizations that are demonstrated by assigned official government duties; and
2. Satisfy [FedRAMP Assignment: personnel screening criteria – as required by specific information] [*DoD SRG Assignment*: personnel screening criteria – as required by specific information].

| PS-3 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_3\_3\_role}} | |
| Parameter PS-3(3)(b): {{ps\_3\_3\_b\_parameter}} | |
| {{ps\_3\_3\_status}} | |
| {{ps\_3\_3\_origination}} | |

| PS-3 (3) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_3\_3\_a\_implementation}} |
| Part b | {{ps\_3\_3\_b\_implementation}} |

### PS-4 Personnel Termination (H)

The organization, upon termination of individual employment:

1. Disables information system access within [FedRAMP Assignment: eight (8) hours] [*DoD SRG Assignment: 8 hours if unable to coordinate account deactivation with the time of termination*];
2. Terminates/revokes any authenticators/credentials associated with the individual;
3. Conducts exit interviews that include a discussion of [Assignment: organization-defined information security topics];
4. Retrieves all security-related organizational information system-related property;
5. Retains access to organizational information and information systems formerly controlled by terminated individual; and
6. Notifies [Assignment: organization-defined personnel or roles] [DoD SRG Assignment: at a minimum, the ISSO and personnel responsible for revoking credentials] within [Assignment: organization-defined time period] [DoD SRG Assignment: immediately or within 24 hours].

| PS-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_4\_role}} | |
| Parameter PS-04(a): {{ps\_4\_a\_parameter}} | |
| Parameter PS-4(c): {{ps\_4\_c\_parameter}} | |
| Parameter PS-4(f)-1: {{ps\_4\_f\_1\_parameter}} | |
| Parameter PS-4(f)-2: {{ps\_4\_f\_2\_parameter}} | |
| {{ps\_4\_status}} | |
| {{ps\_4\_origination}} | |

| PS-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_4\_a\_implementation}} |
| Part b | {{ps\_4\_b\_implementation}} |
| Part c | {{ps\_4\_c\_implementation}} |
| Part d | {{ps\_4\_d\_implementation}} |
| Part e | {{ps\_4\_e\_implementation}} |
| Part f | {{ps\_4\_f\_implementation}} |

#### PS-4 (1) Control Enhancement (L4) (L5)

The organization:

1. Notifies terminated individuals of applicable, legally binding post-employment requirements for the protection of organizational information; and
2. Requires terminated individuals to sign an acknowledgment of post-employment requirements as part of the organizational termination process.

| PS-4 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_4\_1\_role}} | |
| {{ps\_4\_1\_status}} | |
| {{ps\_4\_1\_origination}} | |

| PS-4 (1) What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{ps\_4\_1\_a\_implementation}} |
| **Part b** | {{ps\_4\_1\_b\_implementation}} |

#### PS-4 (2) Control Enhancement (H)

The organization employs automated mechanisms to notify [FedRAMP Assignment: access control personnel responsible for disabling access to the system] upon termination of an individual.

| PS-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_4\_2\_role}} | |
| Parameter PS-4 (2): {{ps\_4\_2\_parameter}} | |
| {{ps\_4\_2\_status}} | |
| {{ps\_4\_2\_origination}} | |

| PS-4 (2) What is the solution and how is it implemented? |
| --- |
| {{ps\_4\_2\_implementation}} |

### PS-5 Personnel Transfer (H) (L4) (L5)

The organization:

1. Reviews and confirms ongoing operational need for current logical and physical access authorizations to information systems/facilities when individuals are reassigned or transferred to other positions within the organization;
2. Initiates [Assignment: organization-defined transfer or reassignment actions] [*DoD SRG Assignment: actions to ensure all system accesses no longer required are removed*] within [FedRAMP Assignment: twenty-four (24) hours] [*DoD SRG Assignment: immediately*];
3. Modifies access authorization as needed to correspond with any changes in operational need due to reassignment or transfer; and
4. Notifies [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSO and personnel responsible for transferring credentials*] within [FedRAMP Assignment: twenty-four (24) hours] [*DoD SRG Assignment: twenty-four (24) hours*].

**PS-5 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Individuals that work with PII are screened prior to being provided access to the PII and re-screened as determined by the organization.

| PS-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_5\_role}} | |
| Parameter PS-5(b)-1: {{ps\_5\_b\_1\_parameter}} | |
| Parameter PS-5(b)-2: {{ps\_5\_b\_2\_parameter}} | |
| Parameter PS-5(d)-1: {{ps\_5\_d\_1\_parameter}} | |
| Parameter PS-5(d)-2: {{ps\_5\_d\_2\_parameter}} | |
| {{ps\_5\_status}} | |
| {{ps\_5\_origination}} | |

| PS-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_5\_a\_implementation}} |
| Part b | {{ps\_5\_b\_implementation}} |
| Part c | {{ps\_5\_c\_implementation}} |
| Part d | {{ps\_5\_d\_implementation}} |
| Ext. | {{ps\_5\_ext\_implementation}} |

### PS-6 Access Agreements (H)

The organization:

1. Develops and documents access agreements for organizational information systems;
2. Reviews and updates the access agreements [FedRAMP Assignment: at least annually] [DoD SRG Assignment: at least annually]; and
3. Ensures that individuals requiring access to organizational information and information systems:
   1. Sign appropriate access agreements prior to being granted access; and
   2. Re-sign access agreements to maintain access to organizational information systems when access agreements have been updated or [FedRAMP Assignment: at least annually and any time there is a change to the user's level of access] [FedRAMP Assignment: at least annually].

| PS-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_6\_role}} | |
| Parameter PS-6(b): {{ps\_6\_b\_parameter}} | |
| Parameter PS-6(c)(2): {{ps\_6\_c\_2\_parameter}} | |
| {{ps\_6\_status}} | |
| {{ps\_6\_origination}} | |

| PS-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_6\_a\_implementation}} |
| Part b | {{ps\_6\_b\_implementation}} |
| Part c | {{ps\_6\_c\_implementation}} |

#### PS-6 (3) Control Enhancement (L4) (L5)

The organization:

1. Notifies terminated individuals of applicable, legally binding post-employment requirements for the protection of organizational information; and
2. Requires individuals to sign an acknowledgement of these requirements, if applicable, as part of granting initial access to covered information

| PS-6 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_6\_3\_role}} | |
| {{ps\_6\_3\_status}} | |
| {{ps\_6\_3\_origination}} | |

| PS-6 (3) What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{ps\_6\_3\_a\_implementation}} |
| **Part b** | {{ps\_6\_3\_b\_implementation}} |

### PS-7 Third-Party Personnel Security (H)

The organization:

1. Establishes personnel security requirements including security roles and responsibilities for third-party providers;
2. Requires third-party providers to comply with personnel security policies and procedures established by the organization;
3. Documents personnel security requirements;
4. Requires third-party providers to notify [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSO and personnel responsible for transferring credentials*]of any personnel transfers or terminations of third-party personnel who possess organizational credentials and/or badges, or who have information system privileges within [FedRAMP Assignment: terminations: immediately; transfers: within twenty-four (24) hours] [*DoD SRG Assignment: 24 hrs if unable to coordinate account deactivation with the time of transfer or termination*]; and
5. Monitors provider compliance.

| PS-7 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_7\_role}} | |
| Parameter PS-07(d)-1: {{ps\_7\_d\_1\_parameter}} | |
| Parameter PS-7(d)-2: {{ps\_7\_d\_2\_parameter}} | |
| {{ps\_7\_status}} | |
| {{ps\_7\_origination}} | |

| PS-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_7\_a\_implementation}} |
| Part b | {{ps\_7\_b\_implementation}} |
| Part c | {{ps\_7\_c\_implementation}} |
| Part d | {{ps\_7\_d\_implementation}} |
| Part e | {{ps\_7\_e\_implementation}} |

### PS-8 Personnel Sanctions (H) (L4) (L5)

The organization:

1. Employs a formal sanctions process for personnel failing to comply with established information security policies and procedures; and
2. Notifies [FedRAMP Assignment: at a minimum, the ISSO and/or similar role within the organization] [*DoD SRG Assignment: at a minimum, the ISSO*]within [Assignment: organization-defined time period] [*DoD SRG Assignment: immediately*] when a formal employee sanctions process is initiated, identifying the individual sanctioned and the reason for the sanction.

**PS-8 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

The organization employs a formal sanctions process for individuals failing to comply with established privacy policies and procedures.

| PS-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{ps\_8\_role}} | |
| Parameter PS-8(b)-1: {{ps\_8\_b\_1\_parameter}} | |
| Parameter PS-8(b)-2: {{ps\_8\_b\_2\_parameter}} | |
| {{ps\_8\_status}} | |
| {{ps\_8\_origination}} | |

| PS-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{ps\_8\_a\_implementation}} |
| Part b | {{ps\_8\_b\_implementation}} |
| Ext. | {{ps\_8\_ext\_implementation}} |

## Risk Assessment (RA)

### RA-1 Risk Assessment Policy and Procedures (H) (L4) (L5)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSM and ISSO*]:
   1. A risk assessment policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the risk assessment policy and associated risk assessment controls; and
2. Reviews and updates the current:
   1. Risk assessment policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. Risk assessment procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

**RA-1 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Organization risk assessment policy and procedures shall incorporate the requirements to conduct information system privacy risk management processes across the life cycle of an information system collecting, using, maintaining, and/or disseminating PII.

| RA-1 | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{ra\_1\_role}} | | |
| Parameter RA-01(a): {{ra\_1\_a\_parameter}} | | |
| Parameter RA-01(b)(1): {{ra\_1\_b\_1\_parameter}} | | |
| Parameter RA-1(b)(2): {{ra\_1\_b\_2\_parameter}} | | |
| {{ps\_1\_status}} | | |
| {{ra\_1\_origination}} | | |
| RA-1 What is the solution and how is it implemented? | | |
| Part a | {{ra\_1\_a\_implementation}} | |
| Part b | {{ra\_1\_b\_implementation}} | |
| Ext. | {{ra\_1\_ext\_implementation}} | |

### RA-2 Security Categorization (L) (M) (H) (L4) (L5)

The organization:

1. Categorizes information and the information system in accordance with applicable Federal Laws, Executive Orders, directives, policies, regulations, standards, and guidance;
2. Documents the security categorization results (including supporting rationale) in the security plan for the information system; and
3. Ensures the security categorization decision is reviewed and approved by the AO or authorizing official designated representative.

**RA-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Involve the SAOP, the CPO, or their designee when conducting the security categorization process for information systems containing PII or PHI.

| RA-2 | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{ra\_2\_role}} | | |
| {{ra\_2\_status}} | | |
| {{ra\_2\_origination}} | | |
| RA-2 What is the solution and how is it implemented? | | |
| Part a | {{ra\_2\_a\_implementation}} | |
| Part b | {{ra\_2\_b\_implementation}} | |
| Part c | {{ra\_2\_c\_implementation}} | |
| Ext. | {{ra\_2\_ext\_implementation}} | |

### RA-3 Risk Assessment (H) (L4) (L5)

The organization:

1. Conducts an assessment of risk, including the likelihood and magnitude of harm, from the unauthorized access, use, disclosure, disruption, modification, or destruction of the information system and the information it processes, stores, or transmits;
2. Documents risk assessment results in [Selection: security plan; risk assessment report; [FedRAMP Assignment: security assessment report] [*DoD SRG Assignment: a risk assessment report*];
3. Reviews risk assessment results [FedRAMP Assignment: in accordance with OMB A-130 requirements or when a significant change occurs] [*DoD SRG Assignment: at least every three years or when a significant change occurs*];
4. Disseminates risk assessment results to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: ISSM, ISSO, AO, and the PM*]; and
5. Updates the risk assessment [FedRAMP Assignment: in accordance with OMB A-130 requirements or when a significant change occurs] [DoD SRG Assignment: at least every three years or when a significant change occurs]; or whenever there are significant changes to the information system or environment of operation (including the identification of new threats and vulnerabilities), or other conditions that may impact the security state of the system.

RA-3 Additional FedRAMP Requirements and Guidance:

Guidance: Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F

RA-3 (d) Requirement: Include all Authorizing Officials; for JAB authorizations to include FedRAMP.

**RA-3 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Include an assessment of the potential risks and vulnerabilities to the confidentiality, integrity, and availability of PII in the related risk assessment documentation.

| RA-3 | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{ra\_3\_role}} | | |
| Parameter RA-03(b): {{ra\_3\_b\_parameter}} | | |
| Parameter RA-03(c): {{ra\_3\_c\_parameter}} | | |
| Parameter RA-03(d): {{ra\_3\_d\_parameter}} | | |
| Parameter RA-3(e): {{ra\_3\_e\_parameter}} | | |
| {{ra\_3\_status}} | | |
| {{ra\_3\_origination}} | | |
| RA-3 What is the solution and how is it implemented? | | |
| Part a | {{ra\_3\_a\_implementation}} | |
| Part b | {{ra\_3\_b\_implementation}} | |
| Part c | {{ra\_3\_c\_implementation}} | |
| Part d | {{ra\_3\_d\_implementation}} | |
| Part e | {{ra\_3\_e\_implementation}} | |
| Ext. | {{ra\_3\_ext\_implementation}} | |

### RA-5 Vulnerability Scanning (L) (M) (H)

The organization:

1. Scans for vulnerabilities in the information system and hosted applications [FedRAMP Assignment: monthly operating system/infrastructure; monthly web applications and databases] [*DoD SRG Assignment: every 30 days or as directed by an authoritative source (e.g. IAVM, CTOs, DTMs, STIGs)*]and when new vulnerabilities potentially affecting the system/applications are identified and reported;

RA-5 (a) Additional FedRAMP Requirements and Guidance:

Requirement: An accredited independent assessor scans operating systems/infrastructure, web applications, and databases once annually.

1. Employs vulnerability scanning tools and techniques that promote interoperability among tools and automate parts of the vulnerability management process by using standards for:
   1. Enumerating platforms, software flaws, and improper configurations;
   2. Formatting and making transparent, checklists and test procedures; and
   3. Measuring vulnerability impact;
2. Analyzes vulnerability scan reports and results from security control assessments
3. Remediates legitimate vulnerabilities; [FedRAMP Assignment: high-risk vulnerabilities mitigated within thirty (30) days from date of discovery; moderate risk vulnerabilities mitigated within ninety (90) days from date of discovery; low risk vulnerabilities mitigated within one hundred and eighty (180) days from date of discovery] [*DoD SRG Assignment: IAW an authoritative source (e.g. IAVM, CTOs, DTMs)*], in accordance with an organizational assessment of risk; and
4. Shares information obtained from the vulnerability scanning process and security control assessments with [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSM and ISSO*] to help eliminate similar vulnerabilities in other information systems (i.e., systemic weaknesses or deficiencies).

RA-5 (e) Additional FedRAMP Requirements and Guidance:

Requirement: To include all Authorizing Officials; for JAB authorizations to include FedRAMP.

RA-5 Additional FedRAMP Requirements and Guidance

Guidance: See the FedRAMP Documents page under Key Cloud Service Provider (CSP) Documents> Vulnerability Scanning Requirements

| RA-5 | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{ra\_5\_role}} | | |
| Parameter RA-5(a): {{ra\_5\_a\_parameter}} | | |
| Parameter RA-5(d): {{ra\_5\_d\_parameter}} | | |
| Parameter RA-5(e): {{ra\_5\_e\_parameter}} | | |
| {{ra\_5\_status}} | | |
| {{ra\_5\_origination}} | | |
| RA-5 What is the solution and how is it implemented? | | |
| Part a | {{ra\_5\_a\_implementation}} | |
| Part b | {{ra\_5\_b\_implementation}} | |
| Part c | {{ra\_5\_c\_implementation}} | |
| Part d | {{ra\_5\_d\_implementation}} | |
| Part e | {{ra\_5\_e\_implementation}} | |

#### RA-5 (1) Control Enhancement (M) (H)

The organization employs vulnerability scanning tools that include the capability to readily update the list of information system vulnerabilities to be scanned.

| RA-5 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_1\_role}} | |
| {{ra\_5\_1\_status}} | |
| {{ra\_5\_1\_origination}} | |
| RA-5 (1) What is the solution and how is it implemented? | |
| {{ra\_5\_1\_implementation}} | |

#### RA-5 (2) Control Enhancement (M) (H)

The organization updates the information system vulnerabilities scanned [Selection (one or more): [FedRAMP Assignment: prior to a new scan] [DoD SRG Assignment: prior to a new scan]].

| RA-5 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_2\_role}} | |
| Parameter RA-5(2): {{ra\_5\_2\_parameter}} | |
| {{ra\_5\_2\_status}} | |
| {{ra\_5\_2\_origination}} | |
| RA-5 (2) What is the solution and how is it implemented? | |
| {{ra\_5\_2\_implementation}} | |

#### 

#### RA-5 (3) Control Enhancement (M) (H)

The organization employs vulnerability scanning procedures that can demonstrate the breadth and depth of coverage (i.e., information system components scanned and vulnerabilities checked).

| RA-5 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_3\_role}} | |
| {{ra\_5\_3\_status}} | |
| {{ra\_5\_3\_origination}} | |
| RA-5 (3) What is the solution and how is it implemented? | |
| {{ra\_5\_3\_implementation}} | |

#### RA-5 (4) Control Enhancement (H)

The organization determines what information about the information system is discoverable by adversaries and subsequently takes [FedRAMP Assignment: notify appropriate service provider personnel and follow procedures for organization and service provider-defined corrective actions].

| RA-5 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_4\_role}} | |
| Parameter RA-5 (4): {{ra\_5\_4\_parameter}} | |
| {{ra\_5\_4\_status}} | |
| {{ra\_5\_4\_origination}} | |
| RA-5 (4) What is the solution and how is it implemented? | |
| {{ra\_5\_4\_implementation}} | |

#### RA-5 (5) Control Enhancement (M) (H)

The organization includes privileged access authorization to [FedRAMP Assignment: operating systems, databases, web applications] [*DoD SRG Assignment: all information system and infrastructure components*] for selected [FedRAMP Assignment: all scans].

| RA-5 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_5\_role}} | |
| Parameter RA-5(5)-1: {{ra\_5\_5\_1\_parameter}} | |
| Parameter RA-5(5)-2: {{ra\_5\_5\_2\_parameter}} | |
| {{ra\_5\_5\_status}} | |
| {{ra\_5\_5\_origination}} | |
| RA-5 (5) What is the solution and how is it implemented? | |
| {{ra\_5\_5\_implementation}} | |

#### RA-5 (6) Control Enhancement (M) (H)

The organization employs automated mechanisms to compare the results of vulnerability scans over time to determine trends in information system vulnerabilities.

| RA-5 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_6\_role}} | |
| {{ra\_5\_6\_status}} | |
| {{ra\_5\_6\_origination}} | |
| RA-5 (6) What is the solution and how is it implemented? | |
| {{ra\_5\_6\_implementation}} | |

#### RA-5 (8) Control Enhancement (L) (M) (H)

The organization reviews historic audit logs to determine if a vulnerability identified in the information system has been previously exploited.

RA-5(8) Additional FedRAMP Requirements and Guidance:

Requirement: This enhancement is required for all high vulnerability scan findings.

Guidance: While scanning tools may label findings as high or critical, the intent of the control is based around NIST's definition of high vulnerability.

| RA-5 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_8\_role}} | |
| {{ra\_5\_8\_status}} | |
| {{ra\_5\_8\_origination}} | |
| RA-5 (8) What is the solution and how is it implemented? | |
| {{ra\_5\_8\_implementation}} | |

#### RA-5 (10) Control Enhancement (H)

The organization correlates the output from vulnerability scanning tools to determine the presence of multi-vulnerability/multi-hop attack vectors.

RA-5 (10) Additional FedRAMP Requirements and Guidance:

Guidance: If multiple tools are not used, this control is not applicable.

| RA-5 (10) | Control Summary Information |
| --- | --- |
| Responsible Role: {{ra\_5\_10\_role}} | |
| {{ra\_5\_10\_status}} | |
| {{ra\_5\_10\_origination}} | |
| RA-5 (10) What is the solution and how is it implemented? | |
| {{ra\_5\_10\_implementation}} | |

## System and Services Acquisition (SA)

### SA-1 System and Services Acquisition Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignments: all personnel*]:
   1. A system and services acquisition policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the system and services acquisition policy and associated system and services acquisition controls; and
2. Reviews and updates the current:
   1. System and services acquisition policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. System and services acquisition procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

| SA-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_1\_role}} | |
| Parameter SA-1(a): {{sa\_1\_a\_parameter}} | |
| Parameter SA-1(b)(1): {{sa\_1\_b\_1\_parameter}} | |
| Parameter SA-1(b)(2): {{sa\_1\_b\_2\_parameter}} | |
| {{sa\_1\_status}} | |
| {{sa\_1\_origination}} | |

| SA-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_1\_a\_implementation}} |
| Part b | {{sa\_1\_b\_implementation}} |

### SA-2 Allocation of Resources (L) (M) (H) (L4) (L5)

The organization:

1. Determines information security requirements for the information system or information system service in mission/business process planning;
2. Determines, documents, and allocates the resources required to protect the information system or information system service as part of its capital planning and investment control process; and
3. Establishes a discrete line item for information security in organizational programming and budgeting documentation.

**SA-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

As part of the capital planning and investment control process, the organization must determine, document, and allocate resources required to protect the privacy and confidentiality of PII in the information system.

| SA-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_2\_role}} | |
| {{sa\_2\_status}} | |
| {{sa\_2\_origination}} | |

| SA-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_2\_a\_implementation}} |
| Part b | {{sa\_2\_b\_implementation}} |
| Part c | {{sa\_2\_c\_implementation}} |
| Ext. | {{sa\_2\_ext\_implementation}} |

### SA-3 System Development Life Cycle (L) (M) (H)

The organization:

1. Manages the information system using [Assignment: organization-defined system development life cycle] that incorporates information security considerations;
2. Defines and documents information security roles and responsibilities throughout the system development life cycle;
3. Identifies individuals having information security roles and responsibilities; and
4. Integrates the organizational information security risk management process into system development life cycle activities.

| SA-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_3\_role}} | |
| Parameter SA-3(a): {{sa\_3\_a\_parameter}} | |
| {{sa\_3\_status}} | |
| {{sa\_3\_origination}} | |

| SA-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_3\_a\_implementation}} |
| Part b | {{sa\_3\_b\_implementation}} |
| Part c | {{sa\_3\_c\_implementation}} |
| Part d | {{sa\_3\_d\_implementation}} |

### SA-4 Acquisitions Process (L) (M) (H) (L4) (L5)

The organization includes the following requirements, descriptions, and criteria, explicitly or by reference, in the acquisition contract for the information system, system component, or information system service in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, guidelines, and organizational mission/business needs:

1. Security functional requirements;
2. Security strength requirements;
3. Security assurance requirements;
4. Security-related documentation requirements;
5. Requirements for protecting security-related documentation;
6. Description of the information system development environment and environment in which the system is intended to operate; and
7. Acceptance criteria.

Additional FedRAMP Requirements and Guidance:

Guidance: The use of Common Criteria (ISO/IEC 15408) evaluated products is strongly preferred.  
See <https://www.niap-ccevs.org/Product/PCL.cfm> or <http://www.commoncriteriaportal.org/products>

**SA-4 Additional CNSSI Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

When acquiring information systems, components, or services used to store, process, or transmit PII, ensure the following, in consultation with the privacy office, are included in the acquisition contract:

(h) List of security and privacy controls from the Privacy Overlays necessary to ensure protection of PII and, if appropriate, enforce applicable privacy requirements.

(i) Privacy requirements set forth in Appendix J of NIST SP 800-53, Rev. 4, including privacy training and awareness, and rules of behavior.

(j) Privacy functional requirements, i.e., functional requirements specific to privacy.

(k) FAR Clauses per FAR Part 24 and Part 39.105, and any other organization specific privacy clause

**PHI Control Extension:**

When acquiring information systems, components, or services used to store, process, or transmit PHI, in addition to the requirements for PII, ensure the following in consultation with the privacy office:

1. Necessary memorandum of understanding, memorandum of agreement, or other data sharing agreement are obtained.

| SA-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_role}} | |
| {{sa\_4\_status}} | |
| {{sa\_4\_origination}} | |

| SA-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_4\_a\_implementation}} |
| Part b | {{sa\_4\_b\_implementation}} |
| Part c | {{sa\_4\_c\_implementation}} |
| Part d | {{sa\_4\_d\_implementation}} |
| Part e | {{sa\_4\_e\_implementation}} |
| Part f | {{sa\_4\_f\_implementation}} |
| Part g | {{sa\_4\_g\_implementation}} |
| Ext. | {{sa\_4\_ext\_implementation}} |

#### SA-4 (1) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to provide a description of the functional properties of the security controls to be employed.

| SA-4 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_1\_role}} | |
| {{sa\_4\_1\_status}} | |
| {{sa\_4\_1\_origination}} | |

| SA-4 (1) What is the solution and how is it implemented? |
| --- |
| {{sa\_4\_1\_implementation}} |

#### SA-4 (2) Control Enhancement (H)

The organization requires the developer of the information system, system component, or information system service to provide design and implementation information for the security controls to be employed that includes: [FedRAMP Selection (one or more): at a minimum to include security-relevant external system interfaces; high-level design; low-level design; source code or network and data flow diagram] [DoD SRG Assignment: to include security-relevant external system interfaces and high-level design]; [organization-defined design/implementation information]]at [Assignment: organization-defined level of detail].

| SA-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_2\_role}} | |
| Parameter SA-4(2)-1: {{sa\_4\_2\_1\_parameter}} | |
| Parameter SA-4(2)-2: {{sa\_4\_2\_2\_parameter}} | |
| {{sa\_4\_2\_status}} | |
| {{sa\_4\_2\_origination}} | |

| SA-4 (2) What is the solution and how is it implemented? |
| --- |
| {{sa\_4\_2\_implementation}} |

#### SA-4 (7) Control Enhancement (L4) (L5)

The organization:

1. Limits the use of commercially provided information assurance (IA) and IA-enabled information technology products to those products that have been successfully evaluated against a National Information Assurance partnership (NIAP)-approved Protection Profile for a specific technology type, if such a profile exists; and
2. Requires, if no NIAP-approved Protection Profile exists for a specific technology type but a commercially provided information technology product relies on cryptographic functionality to enforce its security policy, that the cryptographic module is FIPS-validated.

| SA-4 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_7\_role}} | |
| {{sa\_4\_7\_status}} | |
| {{sa\_4\_7\_origination}} | |

| SA-4 (7) What is the solution and how is it implemented? | |
| --- | --- |
| **SI-4 (7)** | {{sa\_4\_7\_implementation}} |
| **Ext.** | {{sa\_4\_7\_ext\_implementation}} |

#### SA-4 (8) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to produce a plan for the continuous monitoring of security control effectiveness that contains [FedRAMP Assignment: at least the minimum requirement as defined in control CA-7].

SA-4 (8) Additional FedRAMP Requirements and Guidance:

Guidance: CSP must use the same security standards regardless of where the system component or information system service is acquired.

| SA-4 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_8\_role}} | |
| Parameter SA-4(8): {{sa\_4\_8\_parameter}} | |
| {{sa\_4\_8\_status}} | |
| {{sa\_4\_8\_origination}} | |

| SA-4 (8) What is the solution and how is it implemented? |
| --- |
| {{sa\_4\_8\_implementation}} |

#### SA-4 (9) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to identify early in the system development life cycle, the functions, ports, protocols, and services intended for organizational use.

| SA-4 (9) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_9\_role}} | |
| {{sa\_4\_9\_status}} | |
| {{sa\_4\_9\_origination}} | |

| SA-4 (9) What is the solution and how is it implemented? |
| --- |
| {{sa\_4\_9\_implementation}} |

#### SA-4 (10) Control Enhancement (M) (H)

The organization employs only information technology products on the FIPS 201-approved products list for Personal Identity Verification (PIV) capability implemented within organizational information systems.

| SA-4 (10) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_4\_10\_role}} | |
| {{sa\_4\_10\_status}} | |
| {{sa\_4\_10\_origination}} | |

| SA-4 (10) What is the solution and how is it implemented? |
| --- |
| {{sa\_4\_10\_implementation}} |

### SA-5 Information System Documentation (H)

The organization:

1. Obtains administrator documentation for the information system, system component, or information system service that describes:
   1. Secure configuration, installation, and operation of the system, component, or service;
   2. Effective use and maintenance of security functions/mechanisms; and
   3. Known vulnerabilities regarding configuration and use of administrative (i.e., privileged) functions;
2. Obtains user documentation for the information system, system component, or information system service that describes:
   1. User-accessible security functions/mechanisms and how to effectively use those security functions/mechanisms;
   2. Methods for user interaction, which enables individuals to use the system, component, or service in a more secure manner; and
   3. User responsibilities in maintaining the security of the system, component, or service;
3. Documents attempts to obtain information system, system component, or information system service documentation when such documentation is either unavailable or nonexistent and [Assignment: organization-defined actions] in response;
4. Protects documentation as required, in accordance with the risk management strategy; and
5. Distributes documentation to [FedRAMP Assignment: at a minimum, the ISSO (or similar role within the organization)] [*DoD SRG Assignment: at a minimum, the ISSO, ISSM, and SCA*].

| SA-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_5\_role}} | |
| Parameter SA-5(c): {{sa\_5\_c\_parameter}} | |
| Parameter SA-5(e): {{sa\_5\_e\_parameter}} | |
| {{sa\_5\_status}} | |
| {{sa\_5\_origination}} | |

| SA-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_5\_a\_implementation}} |
| Part b | {{sa\_5\_b\_implementation}} |
| Part c | {{sa\_5\_c\_implementation}} |
| Part d | {{sa\_5\_d\_implementation}} |
| Part e | {{sa\_5\_e\_implementation}} |

### SA-8 Security Engineering Principles (M) (H)

The organization applies information system security engineering principles in the specification, design, development, implementation, and modification of the information system.

| SA-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_8\_role}} | |
| {{sa\_8\_status}} | |
| {{sa\_8\_origination}} | |

| SA-8 What is the solution and how is it implemented? |
| --- |
| {{sa\_8\_implementation}} |

### SA-9 External Information System Services (L) (M) (H)

The organization:

1. Requires that providers of external information system services comply with organizational information security requirements and employ [FedRAMP Assignment: FedRAMP Security Controls Baseline(s) if Federal information is processed or stored within the external system] [*DoD SRG Assignment: security controls defined in CNSSI 1253*] in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and guidance;
2. Defines and documents government oversight and user roles and responsibilities with regard to external information system services; and
3. Employs [FedRAMP Assignment: Federal/FedRAMP Continuous Monitoring requirements must be met for external systems where Federal information is processed or stored] [*DoD SRG Assignment:* Federal/FedRAMP Continuous Monitoring requirements must be met for external systems where Federal information is processed or stored] to monitor security control compliance by external service providers on an ongoing basis.

Additional FedRAMP Requirements and Guidance

Guidance: See the FedRAMP Documents page under Key Cloud Service Provider (CSP) Documents> Continuous Monitoring Strategy Guide  
<https://www.fedramp.gov/documents>

Guidance: Independent Assessors should assess the risk associated with the use of external services. See the FedRAMP page under Key Cloud Service Provider (CSP) Documents>FedRAMP Authorization Boundary Guidance

SA-9 Additional CNSSI 1253 Privacy Overlay Requirements:

**PHI Control Extension:**

The information security requirements and controls are documented through a written contract, or other arrangement that meets the requirements of 45 C.F.R. §164.314(a). This guidance is not intended to cover the acquisition of services of all third-party providers, only those who rise to the level of a business associate of a covered entity.

| SA-9 | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{sa\_9\_role}} | | |
| Parameter SA-09(a): {{sa\_9\_a\_parameter}} | | |
| Parameter SA-9(c): {{sa\_9\_c\_parameter}} | | |
| {{sa\_9\_status}} | | |
| {{sa\_9\_origination}} | | |
| SA-9 What is the solution and how is it implemented? | | |
| Part a | {{sa\_9\_a\_implementation}} | |
| Part b | {{sa\_9\_b\_implementation}} | |
| Part c | {{sa\_9\_c\_implementation}} | |
| Ext. | {{sa\_9\_ext\_implementation}} | |

#### SA-9 (1) Control Enhancement (M) (H)

The organization:

1. Conducts an organizational assessment of risk prior to the acquisition or outsourcing of dedicated information security services; and
2. Ensures that the acquisition or outsourcing of dedicated information security services is approved by [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the DoD Component CIO or their delegate(s)*].

| SA-9 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_9\_1\_role}} | |
| Parameter SA-9(1)(b): {{sa\_9\_1\_1\_b\_parameter}} | |
| {{sa\_9\_1\_status}} | |
| {{sa\_9\_1\_origination}} | |

| SA-9 (1) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_9\_1\_a\_implementation}} |
| Part b | {{sa\_9\_1\_b\_implementation}} |

#### SA-9 (2) Control Enhancement (M) (H)

The organization requires providers of [FedRAMP Assignment: All external systems where Federal information is processed or stored] [*DoD SRG Assignment: all external system where Federal information is processed, transmitted or stored*] to identify the functions, ports, protocols, and other services required for the use of such services.

| SA-9 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_9\_2\_role}} | |
| Parameter SA-9(2): {{sa\_9\_2\_parameter}} | |
| {{sa\_9\_2\_status}} | |
| {{sa\_9\_2\_origination}} | |

| SA-9 (2) What is the solution and how is it implemented? |
| --- |
| {{sa\_9\_2\_implementation}} |

#### SA-9 (4) Control Enhancement (M) (H)

The organization employs [Assignment: organization-defined security safeguards] to ensure that the interests of [FedRAMP Assignment: All external systems where Federal information is processed or stored] [DoD SRG Assignment: All external systems where Federal information is processed or stored] are consistent with and reflect organizational interests.

| SA-9 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_9\_4\_role}} | |
| Parameter SA-9(4)-1: {{sa\_9\_4\_1\_parameter}} | |
| Parameter SA-9(4)-2: {{sa\_9\_4\_2\_parameter}} | |
| {{sa\_9\_4\_status}} | |
| {{sa\_9\_4\_origination}} | |

| SA-9 (4) What is the solution and how is it implemented? |
| --- |
| {{sa\_9\_4\_implementation}} |

#### SA-9 (5) Control Enhancement (M) (H) (L4) (L5)

The organization restricts the location of [FedRAMP Selection: information processing, information data, AND information services] [DoD SRG Selection: information processing, information data, AND information services] to [Assignment: organization-defined locations] based on [Assignment: organization-defined requirements or conditions].

Additional FedRAMP Requirements and Guidance

Guidance: System services refer to FTP, Telnet, and TFTP, etc.

**SA-9 (5) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

If the service provider will be maintaining PII outside of the United States, the organization must evaluate the legal environment of the country in which the information will be maintained to ensure US equities are protected. If the service provider is located in the US and the PII is about non-US Citizens, then the organization must address the data transfer requirements of the country whose citizens PII is collected or maintained and must ensure that country's privacy/data protection legal requirements are met. Coordinate with your organization's legal counsel, privacy office, and Department of State representative in meeting this requirement.

| SA-9 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_9\_5\_role}} | |
| Parameter SA-9(5)-1: {{sa\_9\_5\_1\_parameter}} | |
| Parameter SA-9(5)-2: {{sa\_9\_5\_2\_parameter}} | |
| Parameter SA-9(5)-3: {{sa\_9\_5\_3\_parameter}} | |
| {{sa\_9\_5\_status}} | |
| {{sa\_9\_5\_origination}} | |

| SA-9 (5) What is the solution and how is it implemented? |
| --- |
| {{sa\_9\_5\_implementation}} |

### SA-10 Developer Configuration Management (M) (H)

The organization requires the developer of the information system, system component, or information system service to:

1. Perform configuration management during system, component, or service [FedRAMP Selection: development, implementation, AND operation] [DoD SRG Selection: development, implementation, AND operation];
2. Document, manage, and control the integrity of changes to [Assignment: organization-defined configuration items under configuration management];
3. Implement only organization-approved changes to the system, component, or service;
4. Document approved changes to the system, component, or service and the potential security impacts of such changes; and
5. Track security flaws and flaw resolution within the system, component, or service and report findings to [Assignment: organization-defined personnel] [*DoD SRG Assignment: at a minimum, the ISSO and ISSM*].

SA-10 (e) Additional FedRAMP Requirements and Guidance:

Requirement: For JAB authorizations, track security flaws and flaw resolution within the system, component, or service and report findings to organization-defined personnel, to include FedRAMP.

| SA-10 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_10\_role}} | |
| Parameter SA-10(a): {{sa\_10\_a\_parameter}} | |
| Parameter SA-10(b): {{sa\_10\_b\_parameter}} | |
| Parameter SA-10(e): {{sa\_10\_e\_parameter}} | |
| {{sa\_10\_status}} | |
| {{sa\_10\_origination}} | |

| SA-10 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_10\_a\_implementation}} |
| Part b | {{sa\_10\_b\_implementation}} |
| Part c | {{sa\_10\_c\_implementation}} |
| Part d | {{sa\_10\_d\_implementation}} |
| Part e | {{sa\_10\_e\_implementation}} |

#### SA-10 (1) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to enable integrity verification of software and firmware components.

| SA-10 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_10\_1\_role}} | |
| {{sa\_10\_1\_status}} | |
| {{sa\_10\_1\_origination}} | |

| SA-10 (1) What is the solution and how is it implemented? |
| --- |
| {{sa\_10\_1\_implementation}} |

### SA-11 Developer Security Testing and Evaluation (M) (H) (L4) (L5)

The organization requires the developer of the information system, system component, or information system service to:

1. Create and implement a security assessment plan;
2. Perform [Selection (one or more): unit; integration; system; regression] [*DoD SRG* Selection (one or more): unit; integration; system; regression] testing/evaluation at [Assignment: organization-defined depth and coverage];
3. Produce evidence of the execution of the security assessment plan and the results of the security testing/evaluation;
4. Implement a verifiable flaw remediation process; and
5. Correct flaws identified during security testing/evaluation.

**SA-11 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

For information systems containing PII, the organization requires the developer of the information system, system component, or information system service to:

a). Create and implement a security assessment plan that includes assessment of privacy controls.

b). In testing:

* + 1. minimize to the use of PII to the maximum extent practicable.
    2. only conduct testing with actual PII if a formal MOA, MOU, or data exchange agreement has been established between the data owner of the PII and the entity developing/testing the information system including how loss, theft, or compromise (i.e., breach) of PII is to be handled.
    3. de-identify or anonymize PII to the maximum extent practicable.
    4. coordinate use of PII with the privacy office before conducting any testing.

| SA-11 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_11\_role}} | |
| Parameter SA-11(b)-1: {{sa\_11\_b\_1\_parameter}} | |
| Parameter SA-11(b)-2: {{sa\_11\_b\_2\_parameter}} | |
| {{sa\_11\_status}} | |
| {{sa\_11\_origination}} | |

| SA-11 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_11\_a\_implementation}} |
| Part b | {{sa\_11\_b\_implementation}} |
| Part c | {{sa\_11\_c\_implementation}} |
| Part d | {{sa\_11\_d\_implementation}} |
| Part e | {{sa\_11\_e\_implementation}} |
| Ext. | {{sa\_11\_ext\_implementation}} |

#### SA-11 (1) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to employ static code analysis tools to identify common flaws and document the results of the analysis.

SA-11 (1) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider documents in the Continuous Monitoring Plan, how newly developed code for the information system is reviewed.

| SA-11 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_11\_1\_role}} | |
| {{sa\_11\_1\_status}} | |
| {{sa\_11\_1\_origination}} | |

| SA-11 (1) What is the solution and how is it implemented? |
| --- |
| {{sa\_11\_1\_implementation}} |

#### SA-11 (2) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to perform threat and vulnerability analyses and subsequent testing/ evaluation of the as-built system, component, or service.

| SA-11 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_11\_2\_role}} | |
| {{sa\_11\_2\_status}} | |
| {{sa\_11\_2\_origination}} | |

| SA-11 (2) What is the solution and how is it implemented? |
| --- |
| {{sa\_11\_2\_implementation}} |

#### SA-11 (5) Control Enhancement (L4) (L5)

The organization requires the developer of the information system, system component, or information system service to perform penetration testing at [Assignment: organization-defined breadth/depth] and with [Assignment: organization-defined constraints].

| SA-11 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_11\_5\_role}} | |
| {{sa\_11\_5\_status}} | |
| {{sa\_11\_5\_origination}} | |

| SA-11 (5) What is the solution and how is it implemented? | |
| --- | --- |
| **SA-11 (5)** | {{sa\_11\_5\_implementation}} |
| **Ext.** | {{sa\_11\_5\_ext\_implementation}} |

#### SA-11 (8) Control Enhancement (M) (H)

The organization requires the developer of the information system, system component, or information system service to employ dynamic code analysis tools to identify common flaws and document the results of the analysis.

| SA-11 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_11\_8\_role}} | |
| {{sa\_11\_8\_status}} | |
| {{sa\_11\_8\_origination}} | |

| SA-11 (8) What is the solution and how is it implemented? |
| --- |
| {{sa\_11\_8\_implementation}} |

### SA-12 Supply Chain Protection (H)

The organization protects against supply chain threats to the information system, system component, or information system service by employing [FedRAMP Assignment: organization and service provider-defined personnel security requirements, approved HW/SW vendor list/ process, and secure SDLC procedures] [*DoD SRG Assignment: measures of protection IAW DoDI 5200.44, "Protection of Mission Critical Functions to Achieve Trusted Systems and Networks (TSN)"*] as part of a comprehensive, defense-in-breadth information security strategy.

| SA-12 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_12\_role}} | |
| Parameter SA-12: {{sa\_12\_parameter}} | |
| {{sa\_12\_status}} | |
| {{sa\_12\_origination}} | |

| SA-12 What is the solution and how is it implemented? |
| --- |
| {{sa\_12\_implementation}} |

### SA-15 Development Process, Standards, and Tools (H)

The organization:

1. Requires the developer of the information system, system component, or information system service to follow a documented development process that:
   1. Explicitly addresses security requirements;
   2. Identifies the standards and tools used in the development process;
   3. Documents the specific tool options and tool configurations used in the development process; and
   4. Documents, manages, and ensures the integrity of changes to the process and/or tools used in development; and
2. Reviews the development process, standards, tools, and tool options/configurations [FedRAMP Assignment: as needed and as dictated by the current threat posture] to determine if the process, standards, tools, and tool options/configurations selected and employed can satisfy [FedRAMP Assignment: organization and service provider- defined security requirements].

| SA-15 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_15\_role}} | |
| Parameter SA-15 (b)-1: {{sa\_15\_b\_1\_parameter}} | |
| Parameter SA-15 (b)-2: {{sa\_15\_b\_2\_parameter}} | |
| {{sa\_15\_status}} | |
| {{sa\_15\_origination}} | |

| SA-15 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_15\_a\_implementation}} |
| Part b | {{sa\_15\_b\_implementation}} |

#### SA-15 (9) Control Enhancement (L4) (L5)

The organization approves, documents, and controls the use of live data in development and test environments for the information system, system component, or information system service.

**SA-15 (9) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Before use of live data containing PII in a preproduction environment, the organization shall:

1. Implement policies and procedures in coordination with the privacy office for evaluating the risk of use of PII in a preproduction environment.
2. Protect, per NIST SP 800-122, the PII within the preproduction environment at the same level as in the production environment.
3. Use anonymized data substitution (See NIST SP 800-122, Section 4.2.4) if possible.

| SA-15 (9) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_15\_9\_role}} | |
| {{sa\_15\_9\_status}} | |
| {{sa\_15\_9\_origination}} | |

| SA-15 (9) What is the solution and how is it implemented? | |
| --- | --- |
| **SA-15 (9)** | {{sa\_15\_9\_implementation}} |
| **Ext.** | {{sa\_15\_9\_ext\_implementation}} |

### SA-16 Developer-Provided Training (H)

The organization requires the developer of the information system, system component, or information system service to provide [Assignment: organization-defined training] on the correct use and operation of the implemented security functions, controls, and/or mechanisms.

| SA-16 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_16\_role}} | |
| Parameter SA-16: {{sa\_16\_parameter}} | |
| {{sa\_16\_status}} | |
| {{sa\_16\_origination}} | |

| SA-16 What is the solution and how is it implemented? |
| --- |
| {{sa\_16\_implementation}} |

### SA-17 Developer Security Architecture and Design (H) (L4) (L5)

The organization requires the developer of the information system, system component, or information system service to produce a design specification and security architecture that:

1. Is consistent with and supportive of the organization’s security architecture which is established within and is an integrated part of the organization’s enterprise architecture;
2. Accurately and completely describes the required security functionality, and the allocation of security controls among physical and logical components; and
3. Expresses how individual security functions, mechanisms, and services work together to provide required security capabilities and a unified approach to protection.

| SA-17 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_17\_role}} | |
| {{sa\_17\_status}} | |
| {{sa\_17\_origination}} | |

| SA-17 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sa\_17\_a\_implementation}} |
| Part b | {{sa\_17\_b\_implementation}} |
| Part c | {{sa\_17\_c\_implementation}} |
| Ext | {{sa\_17\_ext\_implementation}} |

### SA-19 Component Authenticity (L4) (L5)

The organization:

1. Develops and implements anti-counterfeit policy and procedures that include the means to detect and prevent counterfeit components from entering the information system; and
2. Reports counterfeit information system components to [*Selection (one or more): source of counterfeit component;* [*DoD Assignment: at a minimum, USCYBERCOM*] [*Assignment: organization-defined external reporting organizations*]; [*DoD Assignment: at a minimum, the ISSO, ISSM, and PM*] [*Assignment: organization-defined personnel or roles*]].

| SA-19 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_19\_role}} | |
| {{sa\_19\_status}} | |
| {{sa\_19\_origination}} | |

| SA-19 What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{sa\_19\_a\_implementation}} |
| **Part b** | {{sa\_19\_b\_implementation}} |

### SA-21 Developer Screening (L4) (L5)

The organization requires that the developer of [Assignment: organization-defined information system, system component, or information system service]:

1. Have appropriate access authorizations as determined by assigned [*Assignment: organization-defined official government duties*]
2. Satisfy [*Assignment: organization-defined additional personnel screening criteria*].

| SA-21 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sa\_21\_role}} | |
| Parameter SA-21: {{sa\_21\_parameter}} | |
| Parameter SA-21(a): {{sa\_21\_a\_parameter}} | |
| Parameter SA-21(b): {{sa\_21\_b\_parameter}} | |
| {{sa\_21\_status}} | |
| {{sa\_21\_origination}} | |

| SA-21 What is the solution and how is it implemented? | |
| --- | --- |
| **Part a** | {{sa\_21\_a\_implementation}} |
| **Part b** | {{sa\_21\_b\_implementation}} |

## System and Communications Protection (SC)

### SC-1 System and Communications Protection Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSO and ISSM*]:
   1. A system and communications protection policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
   2. Procedures to facilitate the implementation of the system and communications protection policy and associated system and communications protection controls; and
2. Reviews and updates the current:
   1. System and communications protection policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
   2. System and communications protection procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [*DoD SRG Assignment: at least annually*].

| SC-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_1\_role}} | |
| Parameter SC-1(a): {{sc\_1\_a\_parameter}} | |
| Parameter SC-1(b)(1): {{sc\_1\_b\_1\_parameter}} | |
| Parameter SC-1(b)(2): {{sc\_1\_b\_2\_parameter}} | |
| {{sc\_1\_status}} | |
| {{sc\_1\_origination}} | |

| SC-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_1\_a\_implementation}} |
| Part b | {{sc\_1\_b\_implementation}} |

### SC-2 Application Partitioning (M) (H) (L4) (L5)

The information system separates user functionality (including user interface services) from information system management functionality.

**SC-2 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

In any situation where PII is present, PII shall be stored on a logical or physical partition separate from the applications and software partition.

**PHI Control Extension:**

Apply the Moderate and High PII Confidentiality Impact Level Control Extension.

| SC-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_2\_role}} | |
| {{sc\_2\_status}} | |
| {{sc\_2\_origination}} | |

| SC-2 What is the solution and how is it implemented? | |
| --- | --- |
| **SC-2** | {{sc\_2\_implementation}} |
| **Ext.** | {{sc\_2\_ext\_implementation}} |

### SC-3 Security Function Isolation (H)

The information system isolates security functions from non-security functions.

| SC-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_3\_role}} | |
| {{sc\_3\_status}} | |
| {{sc\_3\_origination}} | |

| SC-3 What is the solution and how is it implemented? |
| --- |
| {{sc\_3\_implementation}} |

### SC-4 Information in Shared Resources (M) (H)

The information system prevents unauthorized and unintended information transfer via shared system resources.

| SC-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_4\_role}} | |
| {{sc\_4\_status}} | |
| {{sc\_4\_origination}} | |

| SC-4 What is the solution and how is it implemented? |
| --- |
| {{sc\_4\_implementation}} |

### SC-5 Denial of Service Protection (L) (M) (H)

The information system protects against or limits the effects of the following types of denial of service attacks: [Assignment: organization-defined types of denial of service attacks or reference to source for such information] by employing [Assignment: organization-defined security safeguards].

| SC-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_5\_role}} | |
| Parameter SC-5-1: {{sc\_5\_1\_parameter}} | |
| Parameter SC-5-2: {{sc\_5\_2\_parameter}} | |
| {{sc\_5\_status}} | |
| {{sc\_5\_origination}} | |

| SC-5 What is the solution and how is it implemented? |
| --- |
| {{sc\_5\_implementation}} |

### SC-6 Resource Availability (M) (H)

The information system protects the availability of resources by allocating [Assignment: organization-defined resources] by [Selection (one or more); priority; quota; [Assignment: organization-defined security safeguards]].

| SC-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_6\_role}} | |
| Parameter SC-6-1: {{sc\_6\_1\_parameter}} | |
| Parameter SC-6-2: {{sc\_6\_2\_parameter}} | |
| Parameter SC-6-3: {{sc\_6\_3\_parameter}} | |
| {{sc\_6\_status}} | |
| {{sc\_6\_origination}} | |

| SC-6 What is the solution and how is it implemented? |
| --- |
| {{sc\_6\_implementation}} |

### SC-7 Boundary Protection (L) (M) (H)

The information system:

1. Monitors and controls communications at the external boundary of the system and at key internal boundaries within the system; and
2. Implements subnetworks for publicly accessible system components that are [Selection: physically; logically] separated from internal organizational networks; and
3. Connects to external networks or information systems only through managed interfaces consisting of boundary protection devices arranged in accordance with organizational security architecture.

| SC-7 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_role}} | |
| Parameter SC-07(b): {{sc\_7\_b\_parameter}} | |
| {{sc\_7\_status}} | |
| {{sc\_7\_origination}} | |

| SC-7 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_7\_a\_implementation}} |
| Part b | {{sc\_7\_b\_implementation}} |
| Part c | {{sc\_7\_c\_implementation}} |

#### SC-7 (3) Control Enhancement (M) (H)

The organization limits the number external network connections to the information system.

| SC-7 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_3\_role}} | |
| {{sc\_7\_3\_status}} | |
| {{sc\_7\_3\_origination}} | |

| SC-7 (3) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_3\_implementation}} |

#### SC-7 (4) Control Enhancement (H)

The organization:

1. Implements a managed interface for each external telecommunication service;
2. Establishes a traffic flow policy for each managed interface;
3. Protects the confidentiality and integrity of the information being transmitted across each interface;
4. Documents each exception to the traffic flow policy with a supporting mission/business need and duration of that need; and
5. Reviews exceptions to the traffic flow policy [FedRAMP Assignment: at least every ninety (90) days or whenever there is a change in the threat environment that warrants a review of the exceptions] [*DoD SRG Assignment: every 180 days*] and removes exceptions that are no longer supported by an explicit mission/business need.

| SC-7 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_4\_role}} | |
| Parameter SC-07(4)(e): {{sc\_7\_4\_e\_parameter}} | |
| {{sc\_7\_4\_status}} | |
| {{sc\_7\_4\_origination}} | |

| SC-7 (4) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_7\_4\_a\_implementation}} |
| Part b | {{sc\_7\_4\_b\_implementation}} |
| Part c | {{sc\_7\_4\_c\_implementation}} |
| Part d | {{sc\_7\_4\_d\_implementation}} |
| Part e | {{sc\_7\_4\_e\_implementation}} |

#### SC-7 (5) Control Enhancement (M) (H)

The information system at managed interfaces denies network traffic by default and allows network communications traffic by exception (i.e., deny all, permit by exception).

| SC-7 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_5\_role}} | |
| {{sc\_7\_5\_status}} | |
| {{sc\_7\_5\_origination}} | |

| SC-7 (5) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_5\_implementation}} |

#### SC-7 (7) Control Enhancement (M) (H)

The information system, in conjunction with a remote device, prevents the device from simultaneously establishing non-remote connections with the system and communicating via some other connection to resources in external networks.

| SC-7 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_7\_role}} | |
| {{sc\_7\_7\_status}} | |
| {{sc\_7\_7\_origination}} | |

| SC-7 (7) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_7\_implementation}} |

#### SC-7 (8) Control Enhancement (M) (H)

The information system routes [Assignment: organization-defined internal communications traffic] [*DoD SRG Assignment: protocols as designated by PPSM guidance (e.g. HTTPS, HTTP, FTP, SNMP)*] to [Assignment: organization-defined external networks] [*DoD SRG Assignment: any network external to the authorization boundary*] through authenticated proxy servers at managed interfaces.

| SC-7 (8) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_8\_role}} | |
| Parameter SC-7(8)-1: {{sc\_7\_8\_1\_parameter}} | |
| Parameter SC-7(8)-2: {{sc\_7\_8\_2\_parameter}} | |
| {{sc\_7\_8\_status}} | |
| {{sc\_7\_8\_origination}} | |

| SC-7 (8) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_8\_implementation}} |

#### SC-7 (10) Control Enhancement (H)

The organization prevents the unauthorized exfiltration of information across managed interfaces.

| SC-7 (10) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_10\_role}} | |
| {{sc\_7\_10\_status}} | |
| {{sc\_7\_10\_origination}} | |

| SC-7 (10) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_10\_implementation}} |

#### SC-7 (11) Control Enhancement (L4) (L5)

The information system only allows incoming communications from [*Assignment: organization-defined authorized sources*] to be routed to [*Assignment: organization-defined authorized destinations*].

| SC-7 (11) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_11\_role}} | |
| Parameter SC-7(11)-1: {{sc\_7\_11\_1\_parameter}} | |
| Parameter SC-7(11)-2: {{sc\_7\_11\_2\_parameter}} | |
| {{sc\_7\_11\_status}} | |
| {{sc\_7\_11\_origination}} | |

| SC-7 (11) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_11\_implementation}} |

#### SC-7 (12) Control Enhancement (H)

The organization implements [FedRAMP Assignment: Host Intrusion Prevention System (HIPS), Host Intrusion Detection System (HIDS), or minimally a host-based firewall] [*DoD SRG Assignment: McAfee Host Intrusion Prevention(HIPS)*] at [Assignment: organization-defined information system components] [*DoD SRG Assignment: all information system components*].

| SC-7 (12) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_12\_role}} | |
| Parameter SC-7(12)-1: {{sc\_7\_12\_1\_parameter}} | |
| Parameter SC-7(12)-2: {{sc\_7\_12\_2\_parameter}} | |
| {{sc\_7\_12\_status}} | |
| {{sc\_7\_12\_origination}} | |

| SC-7 (12) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_12\_implementation}} |

#### SC-7 (13) Control Enhancement (H)

The organization isolates [FedRAMP Assignment: See SC-7 (13) additional FedRAMP Requirements and Guidance] [*DoD SRG Assignment: key information security tools, mechanisms, and support components such as, but not limited to PKI, Patching infrastructure, HBSS, CND Tools, Special Purpose Gateway, vulnerability tracking systems, honeypots, internet access points (IAPs); network element and data center administrative/management traffic; Demilitarized Zones (DMZs), Server farms/computing centers, centralized audit log servers etc.*] from other internal information system components by implementing physically separate subnetworks with managed interfaces to other components of the system.

SC-7 (13) Additional FedRAMP Requirements and Guidance:

Requirement: The service provider defines key information security tools, mechanisms, and support components associated with system and security administration and security administration and isolates those tools, mechanisms, and support components from other internal information system components via physically or logically separate subnets.

Guidance: Examples include: information security tools, mechanisms, and support components such as, but not limited to public key infrastructure (PKI), patching infrastructure, cyber defense tools, special purpose gateway, vulnerability tracking systems, internet access points (IAPs); network element and data center administrative/management traffic; demilitarized zones (DMZs), Server farms/computing centers, centralized audit log servers, etc.

| SC-7 (13) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_13\_role}} | |
| Parameter SC-07(13): {{sc\_7\_13\_parameter}} | |
| {{sc\_7\_13\_status}} | |
| {{sc\_7\_13\_origination}} | |

| SC-7 (13) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_13\_implementation}} |

#### SC-7 (14) Control Enhancement (L4) (L5)

The organization protects against unauthorized physical connections at [*DoD Assignment: internet access points, enclave LAN to WAN, cross domain solutions, and any DoD Approved Alternate Gateways*] [*Assignment: organization-defined managed interfaces*].

| SC-7 (14) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_14\_role}} | |
| Parameter SC-7(14): {{sc\_7\_14\_parameter}} | |
| {{sc\_7\_14\_status}} | |
| {{sc\_7\_14\_origination}} | |

| SC-7 (11) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_14\_implementation}} |

#### SC-7 (18) Control Enhancement (M) (H)

The information system fails securely in the event of an operational failure of a boundary protection device.

| SC-7 (18) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_18\_role}} | |
| {{sc\_7\_18\_status}} | |
| {{sc\_7\_18\_origination}} | |

| SC-7 (18) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_18\_implementation}} |

#### SC-7 (20) Control Enhancement (H)

The information system provides the capability to dynamically isolate/segregate [Assignment: organization-defined information system components] from other components of the system.

| SC-7 (20) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_20\_role}} | |
| Parameter SC-7(20): {{sc\_7\_20\_parameter}} | |
| {{sc\_7\_20\_status}} | |
| {{sc\_7\_20\_origination}} | |
| SC-7 (20) What is the solution and how is it implemented? | |
| {{sc\_7\_20\_implementation}} | |

#### SC-7 (21) Control Enhancement (H)

The organization employs boundary protection mechanisms to separate [Assignment: organization-defined information system components] supporting [Assignment: organization-defined mission and/or business functions].

| SC-7 (21) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_7\_21\_role}} | |
| Parameter SC-7 (21)-1: {{sc\_7\_21\_1\_parameter}} | |
| Parameter SC-7 (21)-2: {{sc\_7\_21\_2\_parameter}} | |
| {{sc\_7\_21\_status}} | |
| {{sc\_7\_21\_origination}} | |

| SC-7 (21) What is the solution and how is it implemented? |
| --- |
| {{sc\_7\_21\_implementation}} |

### SC-8 Transmission confidentiality and Integrity (M) (H) (L4) (L5)

The information system protects the [FedRAMP Assignment: confidentiality AND integrity] of transmitted information.

| SC-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_8\_role}} | |
| Parameter SC-8: {{sc\_8\_parameter}} | |
| {{sc\_8\_status}} | |
| {{sc\_8\_origination}} | |

| SC-8 What is the solution and how is it implemented? |
| --- |
| {{sc\_8\_implementation}} |

#### SC-8 (1) Control Enhancement (M) (H) (L4) (L5)

The information system implements cryptographic mechanisms to [FedRAMP Assignment: prevent unauthorized disclosure of information AND detect changes to information] [DoD SRG Assignment: prevent unauthorized disclosure of information AND detect changes to information] during transmission unless otherwise protected by [FedRAMP Assignment: a hardened or alarmed carrier Protective Distribution System (PDS)] [DoD SRG Assignment: a hardened or alarmed carrier Protective Distribution System (PDS)].

**SC-8 (1) Additional CNSSI 1253 Privacy Overlay Requirements**

**High PII Confidentiality Impact Level Control Extension:**

PII must be protected by NSA-approved or FIPS-validated encryption to ensure the information’s confidentiality and integrity during transmission

| SC-8 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_8\_1\_role}} | |
| Parameter SC-8(1)-1: {{sc\_8\_1\_1\_parameter}} | |
| Parameter SC-8(1)-2: {{sc\_8\_1\_2\_parameter}} | |
| {{sc\_8\_1\_status}} | |
| {{sc\_8\_1\_origination}} | |

| SC-8 (1) What is the solution and how is it implemented? |
| --- |
| {{sc\_8\_1\_implementation}} |

#### SC-8 (2) Control Enhancement (L4) (L5)

The information system maintains the [*Selection (one or more): confidentiality; integrity*] of information during preparation for transmission and during reception

**SI-8 (2) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Either FIPS-validated or NSA-approved cryptography shall be used to detect unauthorized changes to software, firmware, and information.

| SI-8 (2) | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{sc\_8\_2\_role}} | | |
| Parameter SC-8(2): {{sc\_8\_2\_parameter}} | | |
| {{sc\_8\_2\_status}} | | |
| {{sc\_8\_2\_origination}} | | |
| SI-8 (2) What is the solution and how is it implemented? | | |
| **SI-8 (2)** | {{sc\_8\_2\_implementation}} | |
| **Ext.** | {{sc\_8\_2\_ext\_implementation}} | |

### SC-10 Network Disconnect (H)

The information system terminates the network connection associated with a communications session at the end of the session or after [FedRAMP Assignment: no longer than ten (10) minutes for privileged sessions and no longer than fifteen (15) minutes for user session] [*DoD SRG Assignment: 10 minutes privileged sessions and 15 minutes for user sessions*] of inactivity.

| SC-10 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_10\_role}} | |
| Parameter SC-10: {{sc\_10\_parameter}} | |
| {{sc\_10\_status}} | |
| {{sc\_10\_origination}} | |

| SC-10 What is the solution and how is it implemented? |
| --- |
| {{sc\_10\_implementation}} |

### SC-12 Cryptographic Key Establishment & Management (L) (M) (H) (L4) (L5)

The organization establishes and manages cryptographic keys for required cryptography employed within the information system in accordance with [Assignment: organization-defined requirements for key generation, distribution, storage, access, and destruction] [*DoD SRG Assignment: DoDI 8520.02 "Public Key Infrastructure and Public Key Enabling" and DoDI 8520.03 "Identity Authentication for Information Systems*].

SC-12 Additional FedRAMP Requirements and Guidance:

Guidance: Federally approved and validated cryptography.

| SC-12 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_12\_role}} | |
| Parameter SC-12: {{sc\_12\_parameter}} | |
| {{sc\_12\_status}} | |
| {{sc\_12\_origination}} | |

| SC-12 What is the solution and how is it implemented? |
| --- |
| {{sc\_12\_implementation}} |

#### SC-12 (1) Control Enhancement (H)

The organization maintains availability of information in the event of the loss of cryptographic keys by users.

| SC-12 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_12\_1\_role}} | |
| {{sc\_12\_1\_status}} | |
| {{sc\_12\_1\_origination}} | |

| SC-12 (1) What is the solution and how is it implemented? |
| --- |
| {{sc\_12\_1\_implementation}} |

#### SC-12 (2) Control Enhancement (M) (H)

The organization produces, controls, and distributes symmetric cryptographic keys using [FedRAMP Selection: NIST FIPS-compliant] [*DoD SRG Assignment: NIST Approved for Unclassified systems, NSA Approved for Classified systems*] key management technology and processes.

| SC-12 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_12\_2\_role}} | |
| Parameter SC-12(2): {{sc\_12\_2\_parameter}} | |
| {{sc\_12\_2\_status}} | |
| {{sc\_12\_2\_origination}} | |

| SC-12 (2) What is the solution and how is it implemented? |
| --- |
| {{sc\_12\_2\_implementation}} |

#### SC-12 (3) Control Enhancement (M) (H)

The organization produces, controls, and distributes asymmetric cryptographic keys using [Selection: NSA-approved key management technology and processes; approved PKI Class 3 certificates or prepositioned keying material; approved PKI Class 3 or Class 4 certificates and hardware security tokens that protect the user’s private key].

| SC-12 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_12\_3\_role}} | |
| Parameter SC-12 (3): {{sc\_12\_3\_parameter}} | |
| {{sc\_12\_3\_status}} | |
| {{sc\_12\_3\_origination}} | |

| SC-12 (3) What is the solution and how is it implemented? |
| --- |
| {{sc\_12\_3\_implementation}} |

### SC-13 Use of Cryptography (L) (M) (H) (L4) (L5)

The information system implements [FedRAMP Assignment: FIPS-validated or NSA-approved cryptography] [DoD SRG Assignment: Protection of classified information: NSA-approved cryptography; provision of digital signatures and hashing: FIPS-validated cryptography] in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, and standards.

| SC-13 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_13\_role}} | |
| Parameter SC-13: {{sc\_13\_parameter}} | |
| {{sc\_13\_status}} | |
| {{sc\_13\_origination}} | |

| SC-13 What is the solution and how is it implemented? |
| --- |
| {{sc\_13\_implementation}} |

### SC-15 Collaborative Computing Devices (M) (H)

The information system:

1. Prohibits remote activation of collaborative computing devices with the following exceptions: [FedRAMP Assignment: no exceptions] [*DoD SRG Assignment: Dedicated VTC suites located in approved VTC locations that are centrally managed*] and
2. Provides an explicit indication of use to users physically present at the devices.

SC-15 Additional FedRAMP Requirements and Guidance:

Requirement: The information system provides disablement (instead of physical disconnect) of collaborative computing devices in a manner that supports ease of use.

| SC-15 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_15\_role}} | |
| Parameter SC-15(a): {{sc\_15\_a\_parameter}} | |
| {{sc\_15\_status}} | |
| {{sc\_15\_origination}} | |

| SC-15 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_15\_a\_implementation}} |
| Part b | {{sc\_15\_b\_implementation}} |

SC-15 Additional FedRAMP Requirements and Guidance:

Requirement: The information system provides disablement (instead of physical disconnect) of collaborative computing devices in a manner that supports ease of use.

| SC-15 Req. | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_15\_r\_role}} | |
| {{sc\_15\_r\_status}} | |
| {{sc\_15\_r\_origination}} | |

| SC-15 What is the solution and how is it implemented? | |
| --- | --- |
| Req. 1 | {{sc\_15\_r\_implementation}} |

### SC-17 Public Key Infrastructure Certificates (M) (H)

The organization issues public key certificates under an [Assignment: organization-defined certificate policy] [DoD SRG Assignment: DoDI 8520.02, "Public Key Infrastructure (PKI) and Public Key (PK) Enabling] or obtains public key certificates from an approved service provider.

| SC-17 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_17\_role}} | |
| Parameter SC-17: {{sc\_17\_parameter}} | |
| {{sc\_17\_status}} | |
| {{sc\_17\_origination}} | |

| SC-17 What is the solution and how is it implemented? |
| --- |
| {{sc\_17\_implementation}} |

### SC-18 Mobile Code (M) (H)

The organization:

1. Defines acceptable and unacceptable mobile code and mobile code technologies;
2. Establishes usage restrictions and implementation guidance for acceptable mobile code and mobile code technologies; and
3. Authorizes, monitors, and controls the use of mobile code within the information system.

| SC-18 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_18\_role}} | |
| {{sc\_18\_status}} | |
| {{sc\_18\_origination}} | |

| SC-18 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_18\_a\_implementation}} |
| Part b | {{sc\_18\_b\_implementation}} |
| Part c | {{sc\_18\_c\_implementation}} |

#### SC-18 (3) Control Enhancement (L4) (L5)

The information system prevents the download and execution of [*Assignment: organization-defined unacceptable mobile code*]

| SC-18 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_18\_3\_role}} | |
| Parameter SC-18(3): {{sc\_18\_3\_parameter}} | |
| {{sc\_18\_3\_status}} | |
| {{sc\_18\_3\_origination}} | |

| SC-18 (3) What is the solution and how is it implemented? |
| --- |
| {{sc\_18\_3\_implementation}} |

#### SC-18 (4) Control Enhancement (L4) (L5)

The information system prevents the automatic execution of mobile code in [*DoD Assignment: DoDI 8552.01 "Use of Mobile Code Technologies in DoD Information Systems"*] [*Assignment: organization-defined software applications*] and enforces [*DoD Assignment: the user be prompted*] [*Assignment: organization-defined actions*] prior to executing the code.

| SC-18 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_18\_4\_role}} | |
| Parameter SC-18(4)-1: {{sc\_18\_4\_1\_parameter}} | |
| Parameter SC-18(4)-2: {{sc\_18\_4\_2\_parameter}} | |
| {{sc\_18\_4\_status}} | |
| {{sc\_18\_4\_origination}} | |

| SC-18 (4) What is the solution and how is it implemented? |
| --- |
| {{sc\_18\_4\_implementation}} |

### SC-19 Voice Over Internet Protocol (M) (H)

The organization:

1. Establishes usage restrictions and implementation guidance for Voice over Internet Protocol (VoIP) technologies based on the potential to cause damage to the information system if used maliciously; and
2. Authorizes, monitors, and controls the use of VoIP within the information system.

| SC-19 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_19\_role}} | |
| {{sc\_19\_status}} | |
| {{sc\_19\_origination}} | |

| SC-19 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_19\_a\_implementation}} |
| Part b | {{sc\_19\_b\_implementation}} |

### SC-20 Secure Name / Address Resolution Service (Authoritative Source) (L) (M) (H)

The information system:

1. Provides additional data origin authentication and integrity verification artifacts along with the authoritative name resolution data the system returns in response to external name/address resolution queries; and
2. Provides the means to indicate the security status of child zones and (if the child supports secure resolution services) to enable verification of a chain of trust among parent and child domains, when operating as part of a distributed, hierarchical namespace.

| SC-20 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_20\_role}} | |
| {{sc\_20\_status}} | |
| {{sc\_20\_origination}} | |

| SC-20 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{sc\_20\_a\_implementation}} |
| Part b | {{sc\_20\_b\_implementation}} |

### SC-21 Secure Name / Address Resolution Service (Recursive or Caching Resolver) (L) (M) (H)

The information system requests and performs data origin authentication and data integrity verification on the name/address resolution responses the system receives from authoritative sources.

| SC-21 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_21\_role}} | |
| {{sc\_21\_status}} | |
| {{sc\_21\_origination}} | |

| SC-21 What is the solution and how is it implemented? |
| --- |
| {{sc\_21\_implementation}} |

### SC-22 Architecture and Provisioning for Name / Address Resolution Service (L) (M) (H)

The information systems that collectively provide name/address resolution service for an organization are fault-tolerant and implement internal/external role separation.

| SC-22 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_22\_role}} | |
| {{sc\_22\_status}} | |
| {{sc\_22\_origination}} | |

| SC-22 What is the solution and how is it implemented? |
| --- |
| {{sc\_22\_implementation}} |

### SC-23 Session Authenticity (M) (H)

The information system protects the authenticity of communications sessions.

| SC-23 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_23\_role}} | |
| {{sc\_23\_status}} | |
| {{sc\_23\_origination}} | |

| SC-23 What is the solution and how is it implemented? |
| --- |
| {{sc\_23\_implementation}} |

#### SC-23 (1) Enhancement (H) (L4) (L5)

The information system invalidates session identifiers upon user logout or other session termination.

| SC-23 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_23\_1\_role}} | |
| {{sc\_23\_1\_status}} | |
| {{sc\_23\_1\_origination}} | |

| SC-23 (1) What is the solution and how is it implemented? |
| --- |
| {{sc\_23\_1\_implementation}} |

#### SC-23 (3) Control Enhancement (L4) (L5)

The information system generates a unique session identifier for each session with [*Assignment: organization-defined randomness requirements*] and recognizes only session identifiers that are system-generated.

| SC-23 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_23\_3\_role}} | |
| Parameter SC-23(3): {{sc\_23\_3\_parameter}} | |
| {{sc\_23\_3\_status}} | |
| {{sc\_23\_3\_origination}} | |

| SC-23 (3) What is the solution and how is it implemented? |
| --- |
| {{sc\_23\_3\_implementation}} |

#### SC-23 (5) Control Enhancement (L4) (L5)

The information system only allows the use of [*DoD Assignment: DoD PKI established certificate authorities*] [*Assignment: organization-defined certificate authorities*] for verification of the establishment of protected sessions.

| SC-23 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_23\_5\_role}} | |
| Parameter SC-23(5): {{sc\_23\_5\_parameter}} | |
| {{sc\_23\_5\_status}} | |
| {{sc\_23\_5\_origination}} | |

| SC-23 (5) What is the solution and how is it implemented? |
| --- |
| {{sc\_23\_5\_implementation}} |

### SC-24 Fail in Known State (H)

The information system fails to a [Assignment: organization-defined known-state] for [Assignment: organization-defined types of failures] preserving [Assignment: organization-defined system state information] in failure.

| SC-24 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_24\_role}} | |
| Parameter SC-24-1: {{sc\_24\_1\_parameter}} | |
| Parameter SC-24-2: {{sc\_24\_2\_parameter}} | |
| Parameter SC-24-3: {{sc\_24\_3\_parameter}} | |
| {{sc\_24\_status}} | |
| {{sc\_24\_origination}} | |

| SC-24 What is the solution and how is it implemented? |
| --- |
| {{sc\_24\_implementation}} |

### SC-28 Protection of Information at Rest (M) (H) (L4) (L5)

The information system protects the [FedRAMP Selection: confidentiality AND integrity] [DoD SRG Selection: confidentiality AND integrity] of [Assignment: organization-defined information at rest].

SC-28 Additional FedRAMP Requirements and Guidance:

Guidance: The organization supports the capability to use cryptographic mechanisms to protect information at rest.

| SC-28 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_28\_role}} | |
| Parameter SC-28-1: {{sc\_28\_1\_parameter}} | |
| Parameter SC-28-2: {{sc\_28\_2\_parameter}} | |
| {{sc\_28\_status}} | |
| {{sc\_28\_origination}} | |

| SC-28 What is the solution and how is it implemented? |
| --- |
| {{sc\_28\_implementation}} |

#### SC-28 (1) Control Enhancement (M) (H) (L4) (L5)

The information system implements cryptographic mechanisms to prevent unauthorized disclosure and modification of [Assignment: organization-defined information] on [FedRAMP Assignment: all information system components storing customer data deemed sensitive] [*DoD SRG Assignment: any information system components storing data defined in SC-28(1), value 1*]

**SC-28 (1) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Organizations must:

1. Encrypt data at rest in mobile devices for confidentiality to protect against loss, theft, or compromise.
2. Encrypt data stored in network share drives to insure confidentiality.
3. Encrypt storage/back-up data where physical protection is either not available, not implemented, or not audited.
4. Encrypt PII in a database.
5. Encrypt data stored in the cloud — whether or not the cloud is government or private.

| SC-28 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_28\_1\_role}} | |
| Parameter SC-28(1)-1: {{sc\_28\_1\_1\_parameter}} | |
| Parameter SC-28(1)-2: {{sc\_28\_1\_2\_parameter}} | |
| {{sc\_28\_1\_status}} | |
| {{sc\_28\_1\_origination}} | |

| SC-28 (1) What is the solution and how is it implemented? |
| --- |
| {{sc\_28\_1\_implementation}} |

### SC-39 Process Isolation (L) (M) (H)

The information system maintains a separate execution domain for each executing process.

| SC-39 | Control Summary Information |
| --- | --- |
| Responsible Role: {{sc\_39\_role}} | |
| {{sc\_39\_status}} | |
| {{sc\_39\_origination}} | |

| SC-39 What is the solution and how is it implemented? |
| --- |
| {{sc\_39\_implementation}} |

## Security (SE)

### SE-1 Security | Inventory of Personally Identifiable Information

The organization:

1. Establishes, maintains, and updates [*Assignment: organization-defined frequency*] an inventory that contains a listing of all programs and information systems identified as collecting, using, maintaining, or sharing personally identifiable information (PII); and
2. Provides each update of the PII inventory to the CIO or information security official [*Assignment: organization-defined frequency*] to support the establishment of information security requirements for all new or modified information systems containing PII.

| SE-1(Privacy) | Control Summary Information |
| --- | --- |
| Responsible Role: {{se\_1\_role}} | |
| Parameter SE-1(a)(Privacy): {{se\_1\_a\_parameter}} | |
| Parameter SE-1(b)(Privacy): {{se\_1\_b\_parameter}} | |
| {{se\_1\_status}} | |
| {{se\_1\_origination}} | |

| SE-1(Privacy) - What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{se\_1\_a\_implementation}} |
| Part b | {{se\_1\_b\_implementation}} |

### SE-2 Security | Privacy Incident Response

The organization:

1. Develops and implements a Privacy Incident Response Plan; and
2. Provides an organized and effective response to privacy incidents in accordance with the organizational Privacy Incident Response Plan

| SE-2(Privacy) | Control Summary Information |
| --- | --- |
| Responsible Role: {{se\_2\_role}} | |
| {{se\_2\_status}} | |
| {{se\_2\_origination}} | |

| SE-2(Privacy) - What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{se\_2\_a\_implementation}} |
| Part b | {{se\_2\_b\_implementation}} |

## System and Information Integrity (SI)

### SI-1 System and Information Integrity Policy and Procedures (H)

The organization:

1. Develops, documents, and disseminates to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment all appointed information assurance personnel*]:
2. A system and information integrity policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and
3. Procedures to facilitate the implementation of the system and information integrity policy and associated system and information integrity controls; and
4. Reviews and updates the current:
5. System and information integrity policy [FedRAMP Assignment: at least annually] [*DoD SRG Assignment: at least every 3 years*]; and
6. System and information integrity procedures [FedRAMP Assignment: at least annually or whenever a significant change occurs] [DoD SRG Assignment: at least annually].

| SI-1 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_1\_role}} | |
| Parameter SI-1(a): {{si\_1\_a\_parameter}} | |
| Parameter SI-1(b)(1): {{si\_1\_b\_1\_parameter}} | |
| Parameter SI-1(b)(2): {{si\_1\_b\_2\_parameter}} | |
| {{si\_1\_status}} | |
| {{si\_1\_origination}} | |

| SI-1 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_1\_a\_implementation}} |
| Part b | {{si\_1\_b\_implementation}} |

### SI-2 Flaw Remediation (L) (M) (H)

The organization:

1. Identifies, reports, and corrects information system flaws;
2. Tests software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation;
3. Installs security-relevant software and firmware updates within [FedRAMP Assignment: thirty (30) days of release of updates] [*DoD SRG Assignment: within the time period directed by an authoritative source (e.g. IAVM, CTOs, DTMs, STIGs)*] of the release of the updates; and
4. Incorporates flaw remediation into the organizational configuration management process.

| SI-2 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_2\_role}} | |
| Parameter SI-2(c): {{si\_2\_c\_parameter}} | |
| {{si\_2\_status}} | |
| {{si\_2\_origination}} | |

| SI-2 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_2\_a\_implementation}} |
| Part b | {{si\_2\_b\_implementation}} |
| Part c | {{si\_2\_c\_implementation}} |
| Part d | {{si\_2\_d\_implementation}} |

#### SI-2 (1) Control Enhancement (H)

The organization centrally manages the flaw remediation process.

| SI-2 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_2\_1\_role}} | |
| {{si\_2\_1\_status}} | |
| {{si\_2\_1\_origination}} | |

| SI-2 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_2\_1\_implementation}} |

#### SI-2 (2) Control Enhancement (M) (H)

The organization employs automated mechanisms [FedRAMP Assignment: at least monthly] [*DoD SRG Assignment: Continuously with HBSS 30 days for any additional internal network scans not covered by HBSS Annually for external scans by (Computer Network Defense Service Provider) CNDSP*] to determine the state of information system components with regard to flaw remediation.

| SI-2 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_2\_2\_role}} | |
| Parameter SI-2(2): {{si\_2\_2\_parameter}} | |
| {{si\_2\_2\_status}} | |
| {{si\_2\_2\_origination}} | |

| SI-2 (2) What is the solution and how is it implemented? |
| --- |
| {{si\_2\_2\_implementation}} |

#### SI-2 (3) Control Enhancement (M) (H)

The organization:

1. Measures the time between flaw identification and flaw remediation; and
2. Establishes [Assignment: organization-defined benchmarks] [*DoD SRG Assignment: within the period directed by an authoritative source (e.g. IAVM, CTOs, DTMs, STIGs)*] for taking corrective actions.

| SI-2 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_2\_3\_role}} | |
| Parameter SI-2(3)(b): {{si\_2\_3\_b\_parameter}} | |
| {{si\_2\_3\_status}} | |
| {{si\_2\_3\_origination}} | |

| SI-2 (3) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_2\_3\_a\_implementation}} |
| Part b | {{si\_2\_3\_b\_implementation}} |

#### SI-2 (6) Control Enhancement (L4) (L5)

The organization removes [*DoD Assignment: All upgraded/replaced software and firmware components that are no longer required for operation*] [*Assignment: organization - defined software and firmware components*] after updated versions have been installed.

| SI-2 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_2\_6\_role}} | |
| Parameter SI-2(3)(b): {{si\_2\_6\_b\_parameter}} | |
| {{si\_2\_6\_status}} | |
| {{si\_2\_6\_origination}} | |

| SI-2 (6) What is the solution and how is it implemented? |
| --- |
| {{si\_2\_6\_implementation}} |

### SI-3 Malicious Code Protection (H)

The organization:

1. Employs malicious code protection mechanisms at information system entry and exit points to detect and eradicate malicious code;
2. Updates malicious code protection mechanisms whenever new releases are available in accordance with organizational configuration management policy and procedures;
3. Configures malicious code protection mechanisms to:
   1. Perform periodic scans of the information system [FedRAMP Assignment: at least weekly] [DoD SRG Assignment: at least weekly] and real-time scans of files from external sources at [FedRAMP Assignment: to include endpoints] [DoD SRG Assignment: to include endpoints] as the files are downloaded, opened, or executed in accordance with organizational security policy; and
   2. [FedRAMP Assignment: to include blocking and quarantining malicious code and alerting administrator or defined security personnel near-real-time] [*DoD SRG Assignment: block and quarantine malicious code and then send an alert to the administrator immediately (in real time) or in near real-time*] in response to malicious code detection; and
4. Addresses the receipt of false positives during malicious code detection and eradication and the resulting potential impact on the availability of the information system.

| SI-3 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_3\_role}} | |
| Parameter SI-3(c)(1)-1: {{si\_3\_c\_1\_1\_parameter}} | |
| Parameter SI-3(c)(1)-2: {{si\_3\_c\_1\_2\_parameter}} | |
| Parameter SI-3(c)(2): {{si\_3\_c\_2\_parameter}} | |
| {{si\_3\_status}} | |
| {{si\_3\_origination}} | |

| SI-3 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_3\_a\_implementation}} |
| Part b | {{si\_3\_b\_implementation}} |
| Part c | {{si\_3\_c\_implementation}} |
| Part d | {{si\_3\_d\_implementation}} |

#### SI-3 (1) Control Enhancement (M) (H)

The organization centrally manages malicious code protection mechanisms.

| SI-3 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_3\_1\_role}} | |
| {{si\_3\_1\_status}} | |
| {{si\_3\_1\_origination}} | |

| SI-3 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_3\_1\_implementation}} |

#### SI-3 (2) Control Enhancement (M) (H)

The information system automatically updates malicious code protection mechanisms.

| SI-3 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_3\_2\_role}} | |
| {{si\_3\_2\_status}} | |
| {{si\_3\_2\_origination}} | |

| SI-3 (2) What is the solution and how is it implemented? |
| --- |
| {{si\_3\_2\_implementation}} |

#### SI-3 (7) Control Enhancement (M) (H)

The information system implements non-signature-based malicious code detection mechanisms.

| SI-3 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_3\_7\_role}} | |
| {{si\_3\_7\_status}} | |
| {{si\_3\_7\_origination}} | |
| SI-3 (7) What is the solution and how is it implemented? | |
| {{si\_3\_7\_implementation}} | |

#### SI-3 (10) Control Enhancement (L4) (L5)

The organization:

1. Employs [*Assignment: organization-defined tools and techniques*] to analyze the characteristics and behavior of malicious code; and
2. Incorporates the results from malicious code analysis into organizational incident response and flaw remediation processes.

| SI-3 (10) | | Control Summary Information |
| --- | --- | --- |
| Responsible Role: {{si\_3\_10\_role}} | | |
| Parameter SI-3(10)(a): {{si\_3\_10\_a\_parameter}} | | |
| {{si\_3\_10\_status}} | | |
| {{si\_3\_10\_origination}} | | |
| SI-3 (10) What is the solution and how is it implemented? | | |
| Part a | {{si\_3\_10\_a\_implementation}} | |
| Part b | {{si\_3\_10\_b\_implementation}} | |

### SI-4 Information System Monitoring (L) (M) (H)

The organization:

1. Monitors the information system to detect:
   1. Attacks and indicators of potential attacks in accordance with [Assignment: organization-defined monitoring objectives] [*DoD SRG Assignment: sensor placement and monitoring requirements within CJCSI 6510.01F*] ; and
   2. Unauthorized local, network, and remote connections;
2. Identifies unauthorized use of the information system through [Assignment: organization-defined techniques and methods];
3. Deploys monitoring devices (i) strategically within the information system to collect organization-determined essential information; and (ii) at ad hoc locations within the system to track specific types of transactions of interest to the organization;
4. Protects information obtained from intrusion-monitoring tools from unauthorized access, modification, and deletion;
5. Heightens the level of information system monitoring activity whenever there is an indication of increased risk to organizational operations and assets, individuals, other organizations, or the Nation based on law enforcement information, intelligence information, or other credible sources of information;
6. Obtains legal opinion with regard to information system monitoring activities in accordance with applicable federal laws, Executive Orders, directives, policies, or regulations; and
7. Provides [Assignment: organization-defined information system monitoring information] [*DoD SRG Assignment: monitoring information related to a change in security posture and vulnerabilities that affects the DoD Mission Owner’s system/application/information*] to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the AOs who issued the PA and the customer’s ATO, and the DoD Mission Owner’s MCD*] [Selection (one or more): as needed; [Assignment: organization-defined frequency] ] [*DoD SRG Assignment: as needed*].

SI-4 Additional FedRAMP Requirements and Guidance:

Guidance: See US-CERT Incident Response Reporting Guidelines.

| SI-4 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_role}} | |
| Parameter SI-4(a)(1): {{si\_4\_a\_1\_parameter}} | |
| Parameter SI-4(b): {{si\_4\_b\_parameter}} | |
| Parameter SI-4(g)-1: {{si\_4\_g\_1\_parameter}} | |
| Parameter SI-4(g)-2: {{si\_4\_g\_2\_parameter}} | |
| Parameter SI-4(g)-3: {{si\_4\_g\_3\_parameter}} | |
| {{si\_4\_status}} | |
| {{si\_4\_origination}} | |

| SI-4 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_4\_a\_implementation}} |
| Part b | {{si\_4\_b\_implementation}} |
| Part c | {{si\_4\_c\_implementation}} |
| Part d | {{si\_4\_d\_implementation}} |
| Part e | {{si\_4\_e\_implementation}} |
| Part f | {{si\_4\_f\_implementation}} |
| Part g | {{si\_4\_g\_implementation}} |

#### SI-4 (1) Control Enhancement (M) (H)

The organization connects and configures individual intrusion detection tools into an information system-wide intrusion detection system.

| SI-4 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_1\_role}} | |
| {{si\_4\_1\_status}} | |
| {{si\_4\_1\_origination}} | |

| SI-4 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_1\_implementation}} |

#### SI-4 (2) Control Enhancement (M) (H)

The organization employs automated tools to support near real-time analysis of events.

| SI-4 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_2\_role}} | |
| {{si\_4\_2\_status}} | |
| {{si\_4\_2\_origination}} | |

| SI-4 (2) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_2\_implementation}} |

#### SI-4 (4) Control Enhancement (M) (H)

The information system monitors inbound and outbound communications traffic [FedRAMP Assignment: continuously] [DoD SRG Assignment: continually] for unusual or unauthorized activities or conditions.

| SI-4 (4) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_4\_role}} | |
| Parameter SI-4(4): {{si\_4\_4\_parameter}} | |
| {{si\_4\_4\_status}} | |
| {{si\_4\_4\_origination}} | |

| SI-4 (4) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_4\_implementation}} |

#### SI-4 (5) Control Enhancement (M) (H)

The information system alerts [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSM and ISSO*] when the following indications of compromise or potential compromise occur: [Assignment: organization-defined compromise indicators] [*DoD SRG Assignment: Real time intrusion detection and when there are threats identified by authoritative sources (e.g. CTOs) and IAW incident categories I, II, IV, & VII within CJCSM 6510.01B*].

SI-4 (5) Additional FedRAMP Requirements and Guidance:

Guidance: In accordance with the incident response plan.

| SI-4 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_5\_role}} | |
| Parameter SI-4(5)-1: {{si\_4\_5\_1\_parameter}} | |
| Parameter SI-4(5)-2: {{si\_4\_5\_2\_parameter}} | |
| {{si\_4\_5\_status}} | |
| {{si\_4\_5\_origination}} | |

| SI-4 (5) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_5\_implementation}} |

#### SI-4 (11) Control Enhancement (H)

The organization analyzes outbound communications traffic at the external boundary of the information system and selected [Assignment: organization-defined interior points within the system (e.g., subnetworks, subsystems)] to discover anomalies.

| SI-4 (11) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_11\_role}} | |
| Parameter SI-4 (11): {{si\_4\_11\_parameter}} | |
| {{si\_4\_11\_status}} | |
| {{si\_4\_11\_origination}} | |

| SI-4 (11) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_11\_implementation}} |

#### SI-4 (12) Control Enhancement (L4) (L5)

The organization employs automated mechanisms to alert security personnel of the following inappropriate or unusual activities with security implications: [*DoD Assignment: When there are threats identified by authoritative sources (e.g. CTOs) and IAW with CJCSM 6510.01B] [Assignment: organization-defined activities that trigger alerts*].

| SI-4 (12) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_12\_role}} | |
| Parameter SI-4(12): {{si\_4\_12\_parameter}} | |
| {{si\_4\_12\_status}} | |
| {{si\_4\_12\_origination}} | |

| SI-4 (12) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_12\_implementation}} |

#### SI-4 (14) Control Enhancement (M) (H)

The organization employs a wireless intrusion detection system to identify rogue wireless devices and to detect attack attempts and potential compromises/breaches to the information system.

| SI-4 (14) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_14\_role}} | |
| {{si\_4\_14\_status}} | |
| {{si\_4\_14\_origination}} | |

| SI-4 (14) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_14\_implementation}} |

#### SI-4 (16) Control Enhancement (M) (H)

The organization correlates information from monitoring tools employed throughout the information system.

| SI-4 (16) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_16\_role}} | |
| {{si\_4\_16\_status}} | |
| {{si\_4\_16\_origination}} | |

| SI-4 (16) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_16\_implementation}} |

#### SI-4 (18) Control Enhancement (H)

The organization analyzes outbound communications traffic at the external boundary of the information system (i.e., system perimeter) and at [Assignment: organization-defined interior points within the system (e.g., subnetworks, subsystems)] to detect covert exfiltration of information.

| SI-4 (18) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_18\_role}} | |
| Parameter SI-4 (18): {{si\_4\_18\_parameter}} | |
| {{si\_4\_18\_status}} | |
| {{si\_4\_18\_origination}} | |

| SI-4 (18) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_18\_implementation}} |

#### SI-4 (19) Control Enhancement (H) (L4) (L5)

The organization implements [Assignment: organization-defined additional monitoring] of individuals who have been identified by [Assignment: organization-defined sources] as posing an increased level of risk.

| SI-4 (19) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_19\_role}} | |
| Parameter SI-4 (19)-1: {{si\_4\_19\_1\_parameter}} | |
| Parameter SI-4 (19)-2: {{si\_4\_19\_2\_parameter}} | |
| {{si\_4\_19\_status}} | |
| {{si\_4\_19\_origination}} | |

| SI-4 (19) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_19\_implementation}} |

#### SI-4 (20) Control Enhancement (H) (L4) (L5)

The organization implements [Assignment: organization-defined additional monitoring] of privileged users.

| SI-4 (20) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_20\_role}} | |
| Parameter SI-4 (20): {{si\_4\_20\_parameter}} | |
| {{si\_4\_20\_status}} | |
| {{si\_4\_20\_origination}} | |

| SI-4 (20) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_20\_implementation}} |

#### SI-4 (22) Control Enhancement (H)

The information system detects network services that have not been authorized or approved by [Assignment: organization-defined authorization or approval processes] [*DoD SRG Assignment: at a minimum the ISSM or ISSO*] and [Selection (one or more): audits; alerts [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: at a minimum, the ISSM or ISSO*].

| SI-4 (22) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_22\_role}} | |
| Parameter SI-4 (22)-1: {{si\_4\_22\_1\_parameter}} | |
| Parameter SI-4 (22)-2: {{si\_4\_22\_2\_parameter}} | |
| {{si\_4\_22\_status}} | |
| {{si\_4\_22\_origination}} | |

| SI-4 (22) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_22\_implementation}} |

#### SI-4 (23) Control Enhancement (M) (H)

The organization implements [Assignment: organization-defined host-based monitoring mechanisms] [*DoD SRG Assignment: Host-based monitoring software*] at [Assignment: organization-defined information system components] [*DoD SRG Assignment: all components*].

| SI-4 (23) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_23\_role}} | |
| Parameter SI-4(23)-1: {{si\_4\_23\_1\_parameter}} | |
| Parameter SI-4(23)-2: {{si\_4\_23\_2\_parameter}} | |
| {{si\_4\_23\_status}} | |
| {{si\_4\_23\_origination}} | |

| SI-4 (23) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_23\_implementation}} |

#### SI-4 (24) Control Enhancement (H)

The information system discovers, collects, distributes, and uses indicators of compromise.

| SI-4 (24) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_4\_24\_role}} | |
| {{si\_4\_24\_status}} | |
| {{si\_4\_24\_origination}} | |

| SI-4 (24) What is the solution and how is it implemented? |
| --- |
| {{si\_4\_24\_implementation}} |

### SI-5 Security Alerts & Advisories (L) (M) (H)

The organization:

1. Receives information system security alerts, advisories, and directives from [FedRAMP Assignment: to include US-CERT] [*DoD SRG Assignment: at a minimum, USCYBERCOM*] on an ongoing basis;
2. Generates internal security alerts, advisories, and directives as deemed necessary;
3. Disseminates security alerts, advisories, and directives to [FedRAMP Assignment: to include system security personnel and administrators with configuration/patch-management responsibilities] [*DoD SRG Assignment: the ISSO and ISSM/*JFHQ-DoDIN for vetting. JFHQ-DoDIN will pass the information to the accredited CSSPs. CSSPs are responsible for ensuring all Mission Owner entities receive the information. Mission Owner organizations will ensure all local Op Centers/LAN shops receive information (i.e. Component IT System and Security Personnel) (e.g. ISSM, ISSOs, and system administrators)]; and
4. Implements security directives in accordance with established time frames, or notifies the issuing organization of the degree of noncompliance.

| SI-5 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_5\_role}} | |
| Parameter SI-5(a): {{si\_5\_a\_parameter}} | |
| Parameter SI-5(c): {{si\_5\_c\_parameter}} | |
| {{si\_5\_status}} | |
| {{si\_5\_origination}} | |

| SI-5 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_5\_a\_implementation}} |
| Part b | {{si\_5\_b\_implementation}} |
| Part c | {{si\_5\_c\_implementation}} |
| Part d | {{si\_5\_d\_implementation}} |

#### SI-5 (1) Control Enhancement (H)

The organization employs automated mechanisms to make security alert and advisory information available throughout the organization.

| SI-5 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_5\_1\_role}} | |
| {{si\_5\_1\_status}} | |
| {{si\_5\_1\_origination}} | |

| SI-5 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_5\_1\_implementation}} |

### SI-6 Security Functionality Verification (M) (H)

The information system:

1. Verifies the correct operation of [Assignment: organization-defined security functions];
2. Performs this verification [FedRAMP Assignment: to include upon system startup and/or restart at least monthly] [DoD SRG Assignment: to include upon system startup and/or restart at least monthly];
3. Notifies [FedRAMP Assignment: to include system administrators and security personnel] [DoD SRG Assignment: to include system administrators and security personnel] of failed security verification tests; and
4. [Selection (one or more): shuts the information system down; restarts the information system; [FedRAMP Assignment: to include notification of system administrators and security personnel] [DoD SRG Assignment: to include notification of system administrators and security personnel] when anomalies are discovered.

| SI-6 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_6\_role}} | |
| Parameter SI-6(a): {{si\_6\_a\_parameter}} | |
| Parameter SI-6(b): {{si\_6\_b\_parameter}} | |
| Parameter SI-6(c): {{si\_6\_c\_parameter}} | |
| Parameter SI-6(d): {{si\_6\_d\_parameter}} | |
| {{si\_6\_status}} | |
| {{si\_6\_origination}} | |

| SI-6 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_6\_a\_implementation}} |
| Part b | {{si\_6\_b\_implementation}} |
| Part c | {{si\_6\_c\_implementation}} |
| Part d | {{si\_6\_d\_implementation}} |

### SI-7 Software & Information Integrity (M) (H) (L4) (L5)

The organization employs integrity verification tools to detect unauthorized changes to [Assignment: organization-defined software, firmware, and information].

| SI-7 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_role}} | |
| Parameter SI-7: {{si\_7\_parameter}} | |
| {{si\_7\_status}} | |
| {{si\_7\_origination}} | |

| SI-7 What is the solution and how is it implemented? |
| --- |
| {{si\_7\_implementation}} |

#### SI-7 (1) Control Enhancement (M) (H)

The information system performs an integrity check of [Assignment: organization-defined software, firmware, and information] [FedRAMP Selection (one or more): at startup; at [FedRAMP Assignment: to include security-relevant events]; [FedRAMP Assignment: at least monthly] [DoD SRG Assignment: to include security relevant events and at least monthly]].

| SI-7 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_1\_role}} | |
| Parameter SI-7(1)-1: {{si\_7\_1\_1\_parameter}} | |
| Parameter SI-7(1)-2: {{si\_7\_1\_2\_parameter}} | |
| Parameter SI-7(1)-3: {{si\_7\_1\_3\_parameter}} | |
| {{si\_7\_1\_status}} | |
| {{si\_7\_1\_origination}} | |

| SI-7 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_7\_1\_implementation}} |

#### SI-7 (2) Control Enhancement (H)

The organization employs automated tools that provide notification to [Assignment: organization- defined personnel or roles]] upon discovering discrepancies during integrity verification.

| SI-7 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_2\_role}} | |
| Parameter SI-7 (2): {{si\_7\_2\_parameter}} | |
| {{si\_7\_2\_status}} | |
| {{si\_7\_2\_origination}} | |

| SI-7 (2) What is the solution and how is it implemented? |
| --- |
| {{si\_7\_2\_implementation}} |

#### SI-7 (5) Control Enhancement (H)

The information system automatically [Selection (one or more): shuts the information system down; restarts the information system; implements [Assignment: organization-defined security safeguard]] when integrity violations are discovered.

| SI-7 (5) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_5\_role}} | |
| Parameter SI-7 (5): {{si\_7\_5\_parameter}} | |
| {{si\_7\_5\_status}} | |
| {{si\_7\_5\_origination}} | |
| SI-7 (5) What is the solution and how is it implemented? | |
| {{si\_7\_5\_implementation}} | |

#### SI-7 (6) Control Enhancement (L4) (L5)

The information system implements cryptographic mechanisms to detect unauthorized changes to software, firmware, and information

**SI-7 (6) Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Either FIPS-validated or NSA-approved cryptography shall be used to detect unauthorized changes to software, firmware, and information.

| SI-7 (6) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_6\_role}} | |
| {{si\_7\_6\_status}} | |
| {{si\_7\_6\_origination}} | |

| SI-7 (6) What is the solution and how is it implemented? | |
| --- | --- |
| **Ext.** | {{si\_7\_6\_ext\_implementation}} |

#### SI-7 (7) Control Enhancement (M) (H)

The organization incorporates the detection of unauthorized [Assignment: organization-defined security-relevant changes to the information system] into the organizational incident response capability.

| SI-7 (7) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_7\_role}} | |
| Parameter SI-07(7): {{si\_7\_7\_parameter}} | |
| {{si\_7\_7\_status}} | |
| {{si\_7\_7\_origination}} | |

| SI-7 (7) What is the solution and how is it implemented? |
| --- |
| {{si\_7\_7\_implementation}} |

#### SI-7 (14) Control Enhancement (H)

The organization:

1. Prohibits the use of binary or machine-executable code from sources with limited or no warranty and without the provision of source code; and
2. Provides exceptions to the source code requirement only for compelling mission/ operational requirements and with the approval of the authorizing official.

| SI-7 (14) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_7\_14\_role}} | |
| {{si\_7\_14\_status}} | |
| {{si\_7\_14\_origination}} | |

| SI-7 (14) What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_7\_14\_a\_implementation}} |
| Part b | {{si\_7\_14\_b\_implementation}} |

### SI-8 Spam Protection (M) (H)

The organization:

1. Employs spam protection mechanisms at information system entry and exit points to detect and take action on unsolicited messages; and
2. Updates spam protection mechanisms when new releases are available in accordance with organizational configuration management policies and procedures.

| SI-8 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_8\_role}} | |
| {{si\_8\_status}} | |
| {{si\_8\_origination}} | |

| SI-8 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_8\_a\_implementation}} |
| Part b | {{si\_8\_b\_implementation}} |

#### SI-8 (1) Control Enhancement (M) (H)

The organization centrally manages spam protection mechanisms.

| SI-8 (1) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_8\_1\_role}} | |
| {{si\_8\_1\_status}} | |
| {{si\_8\_1\_origination}} | |

| SI-8 (1) What is the solution and how is it implemented? |
| --- |
| {{si\_8\_1\_implementation}} |

#### SI-8 (2) Control Enhancement (M) (H)

The organization automatically updates spam protection mechanisms.

| SI-8 (2) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_8\_2\_role}} | |
| {{si\_8\_2\_status}} | |
| {{si\_8\_2\_origination}} | |
| SI-8 (2) What is the solution and how is it implemented? | |
| {{si\_8\_2\_implementation}} | |

### SI-10 Information Input Validation (M) (H) (L4) (L5)

The information system checks the validity of [Assignment: organization-defined information inputs] [DoD SRG Assignment: all inputs except those identified specifically by the organization].

| SI-10 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_10\_role}} | |
| Parameter SI-10: {{si\_10\_parameter}} | |
| {{si\_10\_status}} | |
| {{si\_10\_origination}} | |

| SI-10 What is the solution and how is it implemented? |
| --- |
| {{si\_10\_implementation}} |

#### SI-10 (3) Control Enhancement (L4) (L5)

The information system behaves in a predictable and documented manner that reflects organizational and system objectives when invalid inputs are received.

| SI-10 (3) | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_10\_3\_role}} | |
| {{si\_10\_3\_status}} | |
| {{si\_10\_3\_origination}} | |

| SI-10 (3) What is the solution and how is it implemented? |
| --- |
| {{si\_10\_3\_implementation}} |

### SI-11 Error Handling (M) (H) (L4) (L5)

The information system:

1. Generates error messages that provide information necessary for corrective actions without revealing information that could be exploited by adversaries; and
2. Reveals error messages only to [Assignment: organization-defined personnel or roles] [*DoD SRG Assignment: the ISSO, ISSM and SCA*].

| SI-11 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_11\_role}} | |
| Parameter SI-11(b): {{si\_11\_b\_parameter}} | |
| {{si\_11\_status}} | |
| {{si\_11\_origination}} | |

| SI-11 What is the solution and how is it implemented? | |
| --- | --- |
| Part a | {{si\_11\_a\_implementation}} |
| Part b | {{si\_11\_b\_implementation}} |

### SI-12 Information Output Handling and Retention (L4) (L5)

The organization handles and retains information within the information system and information output from the system in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements.

**SI-12 Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

For PII maintained in a Privacy Act system of records, the corresponding record management requirements, including retention periods, must be addressed in the system of records notice (SORN).

PHI Control Extension:

HIPAA requires that the following actions, activities, and assessments relating to the security of systems containing PHI be documented and retained for at least six years from the date of its creation or the date when it was last in effect, whichever is later:

* Decisions regarding addressable implementation specifications, specifically why it would not be reasonable and appropriate to implement the implementation specification in question;
* A user's right of access to a workstation, transaction, program, or process;
* Security incidents and their outcomes;
* Satisfactory assurances that a business associate will appropriately safeguard PHI. This documentation is recorded in a written contract or other arrangement with the business associate and must meet the applicable requirements of business associate agreements. If satisfactory assurances cannot be attained, document the attempt and the reasons that these assurances cannot be obtained;
* Repairs and modifications to the physical components of a facility which are related to security (for example, hardware, walls, doors, and locks); and
* Changes to organizational policies and procedures. The organization handles and retains information within the information system and information output from the system in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements.

| SI-12 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_12\_role}} | |
| {{si\_12\_status}} | |
| {{si\_12\_origination}} | |

| SI-12 What is the solution and how is it implemented? | |
| --- | --- |
| **SI-12** | {{si\_12\_implementation}} |
| **Ext.** | {{si\_12\_ext\_implementation}} |

### SI-16 Memory Protection (M) (H)

The information system implements [Assignment: organization-defined fail-safe procedures] to protect its memory from unauthorized code execution.

| SI-16 | Control Summary Information |
| --- | --- |
| Responsible Role: {{si\_16\_role}} | |
| Parameter SI-16-1: {{si\_16\_1\_parameter}} | |
| {{si\_16\_status}} | |
| {{si\_16\_origination}} | |

| SI-16 What is the solution and how is it implemented? |
| --- |
| {{si\_16\_implementation}} |

## Transparency (TR)

### TR-1 Privacy Notice (L4) (L5)

The organization

1. provides effective notice to the public and to individuals regarding:
2. its activities that impact privacy, including its collection, use, sharing, safeguarding, maintenance, and disposal of personally identifiable information (PII)
3. authority for collecting PII
4. the choices, if any, individuals may have regarding how the organization uses PII and the consequences of exercising or not exercising those choices
5. the ability to access and have PII amended or corrected if necessary
6. Describes:
7. the PII the organization collects and the purpose(s) for which it collects that information
8. how the organization uses PII internally
9. whether the organization shares PII with external entities, the categories of those entities, and the purposes for such sharing
10. whether individuals have the ability to consent to specific uses or sharing of PII and how to exercise any such consent
11. how individuals may obtain access to PII
12. how the PII will be protected
13. Revises its public notices to reflect changes in practice or policy that affect PII or changes in its activities that impact privacy, before or as soon as practicable after the change.

| **TR-1(Privacy)** | | | **Control Summary Information** |
| --- | --- | --- | --- |
| Responsible Role: {{tr\_1\_role}} | | | |
| {{tr\_1\_status}} | | | |
| {{tr\_1\_origination}} | | | |
|  | | **TR-1(Privacy) - What is the solution and how is it implemented?** | | |
| **Part a** | {{tr\_1\_a\_implementation}} | | | |
| **Part b** | {{tr\_1\_b\_implementation}} | | | |
| **Part c** | {{tr\_1\_c\_implementation}} | | | |

### TR-2 System of Records Notices and Privacy Act Statements (L4) (L5)

The organization

1. Publishes System of Records Notices (SORNs) in the Federal Register, subject to required oversight processes, for systems containing personally identifiable information (PII);
2. Keeps SORNs current; and
3. Includes Privacy Act Statements on its forms that collect PII, or on separate forms that can be retained by individuals, to provide additional formal notice to individuals from whom the information is being collected.

| **TR-2(Privacy)** | | | **Control Summary Information** |
| --- | --- | --- | --- |
| Responsible Role: {{tr\_2\_role}} | | | |
| {{tr\_2\_status}} | | | |
| {{tr\_2\_origination}} | | | |
|  | | **TR-2(Privacy) - What is the solution and how is it implemented?** | |
| **Part a** | {{tr\_2\_a\_implementation}} | | |
| **Part b** | {{tr\_2\_b\_implementation}} | | |
| **Part c** | {{tr\_2\_c­\_implementation}} | | |

#### TR–2 (1) Control Enhancement (L4) (L5)

The organization publishes SORNs on its public website.

| **TR-2(1) (Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{tr\_2\_1\_role}} | |
| {{tr\_2\_1\_status}} | |
| {{tr\_2\_1\_origination}} | |
| **TR-2(1) (Privacy) - What is the solution and how is it implemented?** | |
| {{tr\_2\_1\_implementation}} | |

### TR-3 Dissemination of Privacy Program Information (L4) (L5)

The organization

1. Ensures that the public has access to information about its privacy activities and is able to communicate with its Senior Agency Official for Privacy (SAOP)/Chief Privacy Officer (CPO); and
2. Ensures that its privacy practices are publicly available through organizational websites or otherwise.

| **TR-3(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{tr\_3\_role}} | |
| {{tr\_3\_status}} | |
| {{tr\_3\_origination}} | |

|  | | **TR-3(Privacy) - What is the solution and how is it implemented?** |
| --- | --- | --- |
| **Part a** | {{tr\_3\_a\_implementation}} | |
| **Part b** | {{tr\_3\_b\_implementation}} | |

## Use Limitation (UL)

### UL-1 Internal Use (L4) (L5)

The organization uses personally identifiable information (PII) internally only for the authorized purpose(s) identified in the Privacy Act and/or in public notices.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

All PII must be used for an official government purpose only. The officers and employees of the organization must have a need for the PII in the performance of their official duties. These requirements apply to all PII regardless of its coverage by the Privacy Act.

| **UL-1(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ul\_1\_role}} | |
| {{ul\_1\_status}} | |
| {{ul\_1\_origination}} | |

| **UL-1(Privacy) - What is the solution and how is it implemented?** |
| --- |
| {{ul\_1\_implementation}} |

### UL-2 Information Sharing with Third Parties (L4) (L5)

The organization:

1. Shares personally identifiable information (PII) externally, only for the authorized purposes identified in the Privacy Act and/or described in its notice(s) or for a purpose that is compatible with those purposes;
2. Where appropriate, enters into Memoranda of Understanding, Memoranda of Agreement, Letters of Intent, Computer Matching Agreements, or similar agreements, with third parties that specifically describe the PII covered and specifically enumerate the purposes for which the PII may be used;
3. Monitors, audits, and trains its staff on the authorized sharing of PII with third parties and on the consequences of unauthorized use or sharing of PII; and
4. Evaluates any proposed new instances of sharing PII with third parties to assess whether the sharing is authorized and whether additional or new public notice is required.

**Additional CNSSI 1253 Privacy Overlay Requirements:**

**High PII Confidentiality Impact Level Control Extension:**

Consistent with the Purpose Specification and Use Limitation FIPPs, sharing of PII must be compatible with the purpose for which it was collected. Consistent with the Transparency FIPP, any subsequent sharing that is not compatible may not be done until additional notice is provided to the individual, their consent is obtained, and relevant documents are updated or published; e.g., when applicable and appropriate publish an updated SORN to cover the additional incompatible sharing and obtain consent from the affected individuals.

| **UL-2(Privacy)** | **Control Summary Information** |
| --- | --- |
| Responsible Role: {{ul\_2\_role}} | |
| {{ul\_2\_status}} | |
| {{ul\_2\_origination}} | |

| **UL-2(Privacy) - What is the solution and how is it implemented?** | |
| --- | --- |
| **Part a** | {{ul\_2\_a\_implementation}} |
| **Part b** | {{ul\_2\_b\_implementation}} |
| **Part c** | {{ul\_2\_c\_implementation}} |
| **Part d** | {{ul\_2\_d\_implementation}} |
| **Ext.** | {{ul\_2\_ext\_implementation}} |

# 14. Acronyms

The master list of FedRAMP acronym and glossary definitions for all FedRAMP templates is available on the FedRAMP website [Documents](https://www.fedramp.gov/documents) page.

Please send suggestions about corrections, additions, or deletions to info@fedramp.gov.

Systems Security Plan Attachments

# Attachments

Table 15‑1. Names of Provided Attachments

|  |  |  |
| --- | --- | --- |
| **Attachment #** | **Attachment Name** | **File Name** |
| **01** | **Information Security Policies and Procedures** | FedRAMP ATTACHMENT 01 O365 Information Security Policy 2019.docx |
| **02** | **User Guide** | FedRAMP ATTACHMENT 02 O365 GCC High and DoD User Guide.docx |
| **03** | **Digital Identity Worksheet** | Included in Section 15 |
| **04** | **Privacy Threshold Analysis** | Included in Section 15 |
| **04** | **Privacy Impact Assessment** | FedRAMP ATTACHMENT 04 Office 365 DoD PIA v4.0 Final.docx |
| **05** | **Rules of Behavior** | FedRAMP ATTACHMENT 05 O365 GCC High and DoD Rules of Behavior v1.5 05.09.2019.docx |
| **06** | **Information System Contingency Plan** | FedRAMP ATTACHMENT 06 O365 ISCPs (*Subfolder for each team)* |
| **07** | **Configuration Management Plan** | FedRAMP ATTACHMENT 07 O365 Configuration Management Plan v1.7 03.22.19.docx |
| **08** | **Incident Response Plan** | FedRAMP ATTACHMENT 08 M365 Security Response Plan 03.01.2019.docx |
| **09** | **CIS Workbook** | FedRAMP ATTACHMENT 09 O365 GCC High and DoD Control Implementation Summary v1.0.xlsx |
| **10** | **FIPS 199** | Included in Section 15 |
| **11** | **Separation of Duties Matrix** | Included in Section 15 |
| **12** | **Laws and Regulations** | FedRAMP ATTACHMENT 12 A12-FedRAMP-Laws-and-Regulations.xlsx |
| **13** | **Inventory** | FedRAMP ATTACHMENT 13 O365 GCC High DoD Inventory 05.05.2019.xlsx |
| **14** | **Ports & Protocols** | FedRAMP ATTACHMENT 14 O365 GCC High and DoD Ports and Protocols v3.0.docx |
| **15** | **Office 365 Internal Documents** | Listed in Section 15 |

## ATTACHMENT 1 - Information Security Policies and Procedures

All Authorization Packages must include an Information Security Policies and Procedures attachment, which will be reviewed for quality.

## ATTACHMENT 2 - User Guide

All Authorization Packages must include an Information Security Policies and Procedures attachment, which will be reviewed for quality .

## ATTACHMENT 3 - Digital Identity Worksheet

The Digital Identity section explains the objective for selecting the appropriate Digital Identity levels for the candidate system. Guidance on selecting the system authentication technology solution is available in NIST SP 800-63, Revision 3, Digital Identity Guidelines.

### Introduction and Purpose

This document provides guidance on digital identity services (Digital Identity, which is the process of establishing confidence in user identities electronically presented to an information system). Authentication focuses on the identity proofing process (IAL), the authentication process (AAL), and the assertion protocol used in a federated environment to communicate authentication and attribute information (if applicable) (FAL). NIST SP 800-63-3, Digital Identity Guidelines, does not recognize the four Levels of Assurance model previously used by federal agencies and described in OMB M-04-04, instead requiring agencies to individually select levels corresponding to each function being performed.

NIST SP 800-63-3 can be found at the following URL: [NIST SP 800-63-3](https://pages.nist.gov/800-63-3/)

### Information System Name/Title

This Digital Identity Plan provides an overview of the security requirements for Office 365 in accordance with NIST SP 800-63-3.

Table ‑. Information System Name and Title

| Unique Identifier | Information System Name | Information System Abbreviation |
| --- | --- | --- |
| F1402113099 | Office 365 DoD | Office 365 DoD |

### Digital Identity Level Definitions

NIST SP 800-63-3 defines three levels in each of the components of identity assurance to categorize a federal information system’s Digital Identity posture. NIST SP 800-63-3 defines the Digital Identity levels as:

* IAL – refers to the identity proofing process.
* AAL – refers to the authentication process.
* FAL – refers to the strength of an assertion in a federated environment, used to communicate authentication and attribute information (if applicable) to a relying party (RP).

FedRAMP maps its system categorization levels to NIST 800-63-3’s levels as shown in Table 15-3:

Table 15‑3. Mapping FedRAMP Levels to NIST SP 800-63-3 Levels

| FedRAMP System Categorization | Identity Assurance Level (IAL) | Authenticator Assurance Level (AAL) | Federation Assurance Level (FAL) |
| --- | --- | --- | --- |
| **High** | IAL3: In-person, or supervised remote identity proofing | AAL3: Multi-factor required based on hardware-based cryptographic authenticator and approved cryptographic techniques | FAL3: The subscriber (user) must provide proof of possession of a cryptographic key, which is referenced by the assertion. The assertion is signed and encrypted by the identity provider, such that only the relying party can decrypt it |
| **Moderate** | IAL2: In-person or remote, potentially involving a “trusted referee” | AAL2: Multi-factor required, using approved cryptographic techniques | FAL2: Assertion is signed and encrypted by the identity provider, such that only the relying party can decrypt it |
| **Low** | IAL1: Self-asserted | AAL1: Single-factor or multi-factor | FAL1: Assertion is digitally signed by the identity provider |
| **FedRAMP Tailored LI-SaaS** | IAL1: Self-asserted | AAL1: Single-factor or multi-factor | FAL1: Assertion is digitally signed by the identity provider |

Selecting the appropriate Digital Identity level for a system enables the system owner to determine the right system authentication technology solution for the selected Digital Identity levels. Guidance on selecting the system authentication technology solution is available in NIST SP 800-63-3.

### Review Maximum Potential Impact Levels

Microsoft has assessed the potential risk from Digital Identity errors, or Digital Identity misuse, related to a user’s asserted identity. Microsoft has taken into consideration the potential for harm (impact) and the likelihood of the occurrence of the harm and has identified an impact profile as found in Table 15‑4 Potential Impacts for Assurance Levels.

Assurance is defined as 1) the degree of confidence in the vetting process used to establish the identity of the individual to whom the credential was issued, and 2) the degree of confidence that the individual who uses the credential is the individual to whom the credential was issued.

Table 15‑4. Potential Impacts for Assurance Levels

|  | Assurance Level Impact Profile | | |
| --- | --- | --- | --- |
| Potential Impact Categories | 1 | 2 | 3 |
| Inconvenience, distress or damage to standing or reputation | Low | Mod | High |
| Financial loss or agency liability | Low | Mod | High |
| Harm to agency programs or public interests | N/A | Low/Mod | High |
| Unauthorized release of sensitive information | N/A | Low/Mod | High |
| Personal Safety | N/A | Low | Mod/High |
| Civil or criminal violations | N/A | Low/Mod | High |

### Digital Identity Level Selection

The Microsoft has identified that they support the Digital Identity Level that has been selected for the Office 365 DoD as noted in Table 15‑5 Digital Identity Level. The selected Digital Identity Level indicated is supported for federal agency consumers of the cloud service offering. Implementation details of the Digital Identity mechanisms are provided in the System Security Plan under control IA-2.

Table 15‑5. Digital Identity Level

| Digital Identity Level | Maximum Impact Profile | Selection |
| --- | --- | --- |
| Level 1: AAL1, IAL1, FAL1 | Low | ☐ |
| Level 2: AAL2, IAL2, FAL2 | Moderate | ☐ |
| Level 3: AAL3, IAL3, FAL3 | High | ☒ |

## ATTACHMENT 4 - PTA / PIA

All Authorization Packages must include a Privacy Threshold Analysis (PTA) and if necessary, the Privacy Impact Assessment (PIA) attachment, which will be reviewed for quality.

The PTA is included in this section, and the PIA Template can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

The PTA and PIA Template includes a summary of laws, regulations and guidance related to privacy issues in ATTACHMENT 12 – FedRAMP Laws and Regulations.

### Privacy Overview and Point of Contact (POC)

The Table 15‑6. Office 365 DoD Privacy POC individual is identified as the Office 365 DoD; Privacy Officer and POC for privacy at Microsoft.

Table 15‑6. Office 365 DoD Privacy POC

| Name | Greg Roberts |
| --- | --- |
| Title | Microsoft Office 365 Principal Group Program Manager |
| CSP / Organization | Microsoft / O365 |
| Address | 1 Microsoft Way, Redmond, WA 98052 |
| Phone Number | +1 (425) 722-6538 |
| Email Address | groberts@microsoft.com |

#### 

#### Applicable Laws and Regulations

The FedRAMP Laws and Regulations may be found on: [Templates](https://www.fedramp.gov/templates). A summary of FedRAMP Laws and Regulations is included in the System Security Plan (SSP) ATTACHMENT 12 – FedRAMP Laws and Regulations.

Table 12-1 Office 365 Law and Regulations includes additional laws and regulations specific to Office 365.

Table 12‑1. Office 365 Laws and Regulations include additional laws and regulations that are specific to Office 365 DoD. These will include laws and regulations from the Federal Information Security Management Act (FISMA), Office of Management and Budget (OMB) circulars, Public Law (PL), United States Code (USC), and Homeland Security Presidential Directives (HSPD).

Table 15‑7. Office 365 DoD Laws and Regulations

| Identification Number | Title | Date | Link |
| --- | --- | --- | --- |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

#### Applicable Standards and Guidance

The FedRAMP Standards and Guidance may be found on: [Templates](https://www.fedramp.gov/templates). The FedRAMP Standards and Guidance is included in the System Security Plan (SSP) ATTACHMENT 12 – FedRAMP Laws and Regulations. For more information, see the FedRAMP website.

Table 12‑2. Office 365 DoD Standards and Guidance includes any additional standards and guidance that are specific to Office 365 DoD. These will include standards and guidance from Federal Information Processing Standard (FIPS) and National Institute of Standards and Technology (NIST) Special Publications (SP).

Table 15‑8. Office 365 DoD Standards and Guidance

| Identification Number | Title | Date | Link |
| --- | --- | --- | --- |
|  | Department of Defense Cloud Computing Security Requirements Guide V1 R3 | 12/18/17 | [DISA SRG 1.3](https://iasecontent.disa.mil/cloud/Downloads/Cloud_Computing_SRG_v1r3.pdf) |

#### Personally Identifiable Information (PII)

Personally Identifiable Information (PII) as defined in OMB Memorandum M-07-16 refers to information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. Information that could be tied to more than one person (date of birth) is not considered PII unless it is made available with other types of information that together could render both values as PII (for example, date of birth and street address). A non-exhaustive list of examples of types of PII includes:

* + Social Security numbers
  + Passport numbers
  + Driver’s license numbers
  + Biometric information
  + DNA information
  + Bank account numbers

PII does not refer to business information or government information that cannot be traced back to an individual person.

### Privacy Threshold Analysis

Microsoft performs a Privacy Threshold Analysis annually to determine if PII is collected by any of the Office 365 DoD components. If PII is discovered, a Privacy Impact Assessment is performed. The Privacy Impact Assessment template used by Microsoft can be found in Section 3. This section constitutes the Privacy Threshold Analysis and findings.

#### Qualifying Questions

|  |  |
| --- | --- |
| Yes | 1. Does the ISA collect, maintain, or share PII in any identifiable form? |
| No | 1. Does the ISA collect, maintain, or share PII information from or about the public? |
| Yes | 1. Has a Privacy Impact Assessment ever been performed for the ISA? |
| No | 1. Is there a Privacy Act System of Records Notice (SORN) for this ISA system?  If yes; the SORN identifier and name is: |

If answers to Questions 1-4 are all “No” then a Privacy Impact Assessment may be omitted. If any of the answers to Question 1-4 are “Yes” then complete a Privacy Impact Assessment.

#### Designation

Check one.

|  |  |
| --- | --- |
| ☒ | A Privacy Sensitive System |
| ☐ | Not a Privacy Sensitive System (in its current version) |

The Privacy Impact Assessment Template can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

## ATTACHMENT 5 - Rules of Behavior

All Authorization Packages must include a Rules of Behavior (RoB) attachment, which will be reviewed for quality.

The RoB describes controls associated with user responsibilities and certain expectations of behavior for following security policies, standards and procedures. Security control PL-4 requires a CSP to implement rules of behavior.

The Rules of Behavior Template can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

The Template provides two example sets of rules of behavior: one for Internal Users and one for External Users. The CSP should modify each of these two sets to define the rules of behavior necessary to secure their system.

## ATTACHMENT 6 - Information System Contingency Plan

All Authorization Packages must include an Information System Contingency Plan attachment, which will be reviewed for quality.

The Information System Contingency Plan Template can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

The Information System Contingency Plan Template is provided for CSPs, 3PAOs, government contractors working on FedRAMP projects, government employees working on FedRAMP projects and any outside organizations that want to make use of the FedRAMP Contingency Planning process.

## ATTACHMENT 7 - Configuration Management Plan

All Authorization Packages must include a Configuration Management Plan attachment, which will be reviewed for quality.

## ATTACHMENT 8 - Incident Response Plan

All Authorization Packages must include an Incident Response Plan attachment, which will be reviewed for quality.

## ATTACHMENT 9 - CIS Workbook

All Authorization Packages must include Control Implementation Summary (CIS) Workbook attachment, which will be reviewed for quality.

The Template can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

## ATTACHMENT 10 - FIPS 199

All Authorization Packages must include a Federal Information Processing Standard (FIPS) 199 Section, which will be reviewed for quality.

The FIPS-199 Categorization report includes the determination of the security impact level for the cloud environment that may host any or all of the service models: IaaS, PaaS and SaaS. The ultimate goal of the security categorization is for the CSP to be able to select and implement the FedRAMP security controls applicable to its environment.

### Introduction and Purpose

This section is intended to be used by service providers who are applying for an Authorization through the U.S. federal government FedRAMP program.

The Federal Information Processing Standard 199 (FIPS 199) Categorization (Security Categorization) report is a key document in the security authorization package developed for submission to the Federal Risk and Authorization Management Program (FedRAMP) authorizing officials. The FIPS199 Categorization report includes the determination of the security impact level for the cloud environment that may host any or all of the service models (Information as a Service (IaaS), Platform as a Service (PaaS), and Software as a Service (SaaS). The ultimate goal of the security categorization is for the cloud service provider (CSP) to be able to select and implement the FedRAMP security controls applicable to its environment.

The purpose of the FIPS199 Categorization report is for the CSP to assess and complete the categorization of their cloud environment, to provide the categorization to the System Owner/Certifier and the FedRAMP Joint Authorization Board (JAB) and in helping them to make a determination of the CSP’s ability to host systems at that level. The completed security categorization report will aid the CSP in selection and implementation of FedRAMP security controls at the determined categorization level.

### Scope

The scope of the FIPS199 Categorization report includes the assessment of the information type categories as defined in the NIST Special Publication 800-60 Volume II Revision 1 Appendices to Guide for Mapping Types of Information and Information Systems to Security Categories.

### System Description

Office 365 has been determined to have a security categorization of High (H) .

### Methodology

Impact levels are determined for each information type based on the security objectives (confidentiality, integrity, availability). The confidentiality, integrity, and availability impact levels define the security sensitivity category of each information type. The FIPS PUB 199 is the high watermark for the impact level of all the applicable information types.

The FIPS PUB 199 analysis represents the information type and sensitivity levels of the CSP’s cloud service offering (and is not intended to include sensitivity levels of agency data). Customer agencies will be expected to perform a separate FIPS 199 Categorization report analysis for their own data hosted on the CSP’s cloud environment. The analysis must be added as an appendix to the SSP and drive the results for the Categorization section

The Table 15‑9 CSP Applicable Information Types with Security Impact Levels Using NIST SP 800-60 V2 R1below uses the NIST SP 800-60 V2 R1 Volume II Appendices to Guide for Mapping Types of Information and Information Systems to Security Categories to identify information types with the security impacts.

Table 15‑9. CSP Applicable Information Types with Security Impact Levels Using NIST SP 800-60 V2 R1

| Information Type | NIST SP 800-60 V2 R1  Recommended Confidentiality Impact Level | NIST SP 800-60 V2 R1  Recommended Integrity Impact Level | NIST SP 800-60 V2 R1  Recommended Availability Impact Level | CSP Selected Confidentiality Impact Level | CSP Selected Integrity Impact Level | CSP Selected Availability Impact Level | Statement  for Impact Adjustment Justification |
| --- | --- | --- | --- | --- | --- | --- | --- |
| System Development | Low | Moderate | Low | Low | Moderate | Low |  |
| Lifecycle/Change Management | Low | Moderate | Low | Low | Moderate | Low |  |
| System Maintenance | Low | Moderate | Low | Low | Moderate | Low |  |
| IT Infrastructure Maintenance | Low | Low | Low | Low | Low | Low |  |
| Information Security | Low | Moderate | Moderate | Low | Moderate | Moderate |  |
| Record Retention | Low | Low | Low | Low | Low | Low |  |
| Information Management | Low | Moderate | Low | Low | Moderate | Low |  |
| System and Network Monitoring | Moderate | Moderate | Low | Moderate | Moderate | Low |  |
| Information Sharing | Low | Low | Moderate | Low | Low | Moderate |  |
| System Development | Low | Moderate | Low | Low | Moderate | Low |  |
| Lifecycle/Change Management | Low | Moderate | Low | Low | Moderate | Low |  |
| System Maintenance | Low | Moderate | Low | Low | Moderate | Low |  |
| IT Infrastructure Maintenance | Low | Low | Low | Low | Low | Low |  |

## ATTACHMENT 11 - Separation of Duties Matrix

All Authorization Packages have the option to provide a Separation of Duties Matrix attachment, which will be reviewed for quality.

As stated in AC-05(b): The separation of duties is documented through eligibilities (roles) assigned to service team administrators in account management tools.

## ATTACHMENT 12 - FedRAMP Laws and Regulations

The Table 15‑8 FedRAMP Templates that Reference FedRAMP Laws and Regulations Standards and Guidance lists all of the FedRAMP templates in which FedRAMP laws, regulations, standards and guidance are referenced.

Table 15‑10. FedRAMP Templates that Reference FedRAMP Laws and Regulations Standards and Guidance

| Phase | Document Title | |
| --- | --- | --- |
| Document Phase | SSP | System Security Plan |
| SSP Attachment 4 | PTA/PIA | Privacy Threshold Analysis and Privacy Impact Assessment |
| SSP Attachment 6 | ISCP | Information System Contingency Plan |
| SSP Attachment 10 | FIPS 199 | FIPS 199 Categorization |
| Assess Phase | SAP | Security Assessment Plan |
| Authorize Phase | SAR | Security Assessment Report |

The FedRAMP Laws and Regulations can be submitted as an appendix or an attachment. The attachment can be found on this page: [Templates](https://www.fedramp.gov/templates).

Note: All NIST Computer Security Publications can be found at the following  
URL: <http://csrc.nist.gov/publications/PubsSPs.html>

## ATTACHMENT 13 - FedRAMP Inventory Workbook

All Authorization Packages must the Inventory attachment, which will be reviewed for quality.

When completed, FedRAMP will accept this inventory workbook as the inventory information required by the following:

* System Security Plan
* Security Assessment Plan
* Security Assessment Report
* Information System Contingency Plan
* Initial POAM
* Monthly Continuous Monitoring (POAM or as a separate document)

The FedRAMP Inventory Workbook can be found on the following FedRAMP website page: [Templates](https://www.fedramp.gov/templates).

Note: A complete and detailed list of the system hardware and software inventory is required per NIST SP 800-53, Rev 4 CM-8.

## ATTACHMENT 14 – Ports, Protocols, and Services

The Ports, Protocols, & Services in use in Office 365 will be provided as an attachment. This attachment has been provided separately to the 3PAO.

## ATTACHMENT 15 – Office 365 Internal Documents

This section is to list the Office 365 internal documents noted in this SSP that are onsite for auditor review. It is not a separate attachment.

Table 15-10 Office 365 Internal Documents

|  |
| --- |
| Document Name |
| Microsoft Documentation Retention Policy |
| Microsoft Enterprise Online Services Data Taxonomy (aka Asset Classification Standard) |
| Office 365 Data Handling Standard |
| Active Framework Controls |
| Office 365 Risk Management SOP |
| Office 365 with Support Standard Operating Procedures (SOPs)  (formerly Office ITAR Defense) |
| Office 365 Continuous Monitoring Strategy Guide |

1. In accordance with the DoD CC SRG, Section 5.1.2, all DOD systems must categorize their systems according to CNSS 1253, whether or not they are a national security system (NSS). [↑](#footnote-ref-2)
2. Although the DoD CC SRG leaves the assessment of availability to the mission owner (through contracts or service level agreements), the CSP is expected to claim a level of service availability that meets or exceeds the FedRAMP High baseline. In some circumstances, security control parameters are dependent on the claimed level of service availability. Reflects DoD CC SRG Sections 3.1 and 5.1.2 [↑](#footnote-ref-3)
3. Under the CSM, there were issues with requiring a sponsor of the assessment because that term implied financial commitment. Therefore the term has been changed to “sponsor/advocate.” What it means to advocate for a CSO will be defined further in a separate guidance document but includes the willingness to provide resources to support the DoD assessment. [↑](#footnote-ref-4)
4. Reflects DoD CC SRG, Section 2.1 [↑](#footnote-ref-5)
5. In accordance with DoD CC SRG, Section 5.2.3 [↑](#footnote-ref-6)
6. In accordance with Section 5.2.3 of the DoD CC SRG, marketing terms such as “GCC High compliant” or “government clouds” must be substantiated by providing access to valid documentation of compliance with Department of State's Directorate of Defense Trade Controls or the [↑](#footnote-ref-7)
7. In accordance with DoD CC CSRG Section 5.2.2, if the cloud service, or the underlying infrastructure it resides on, contains any non-Federal US government tenant such as state or local governments, industry partners, or foreign governments, it is a considered a public (shared) infrastructure. [↑](#footnote-ref-8)
8. In accordance with the DoD CC SRG, Section 2.2 [↑](#footnote-ref-9)
9. In accordance with the DoD CC SRG, Section 2.6. [↑](#footnote-ref-10)
10. In accordance with DoD CC SRG section 5.1.2 [↑](#footnote-ref-11)
11. In accordance with DoD CC SRG Section 4.1 [↑](#footnote-ref-12)
12. Reflects DoD CC SRG Section 5.2.2.5 [↑](#footnote-ref-13)
13. In accordance with DoD CC SRG Section 6.4.3 [↑](#footnote-ref-14)
14. In accordance with DoD CC SRG Section 5.4.1, Table 4 [↑](#footnote-ref-15)
15. In accordance with DoD CC SRG Section 5.1.2. [↑](#footnote-ref-16)
16. In accordance with DoD CC SRG Sections 6.4.3, 6.8 [↑](#footnote-ref-17)
17. In accordance with DoD CC SRG Section 6.5 [↑](#footnote-ref-18)
18. In accordance with DoD CC SRG Section 6.8. Additional information can be found at the IASE PKI/ECA page: <http://iase.disa.mil/pki/eca/Pages/index.aspx> [↑](#footnote-ref-19)
19. In accordance with DoD CC SRG Section 6.7 [↑](#footnote-ref-20)
20. In accordance with DoD CC SRG Section 5.10.3 [↑](#footnote-ref-21)