

# SA&A – ESDC Virtual Assistant (EVA) Chat: Full Deployment [SA-ID1216]

## Evidence Document



Version **x.x**

Status **Draft**

Date **YYYY-MMM-DD**

Classification **Protected B when  
complete**



Version	Date Issued	Author	Description of Change
0.1	Dec 13 2024	Maria DAIGLE (Security practitioner)	First draft
0.2	Before Jan 16 2025	Abdur Rafey MATIN (Security champion)	Updated answer for various controls
1.0	Jan 16 2025	Maria DAIGLE (Security practitioner)	Final v1
1.1	Before Jan 24 2025	Abdur Rafey MATIN (Security champion)	Updated answer for various controls
2.0	Jan 24 2025	Maria DAIGLE (Security practitioner)	Final v2
2.1	Before Jan 30 2025	Abdur Rafey MATIN (Security champion)	Updated answer for various controls
3.0	Jan 30 2025	Maria DAIGLE (Security practitioner)	Final v3
3.1	Before Jan 31 2025	Abdur Rafey MATIN (Security champion)	Updated answer for various controls
4.0	Jan 31 2025	Maria DAIGLE (Security practitioner)	Final v4

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The Web layout is recommended to see the whole table below:

- **Menu:** View
- **Section:** Views
- **Option:** Web layout

Evidence → Controls ↓	Evidence description	Name of other file(s) containing evidence
<b>1. Access Control (AC)</b>	 ---	 ---
(#1) AC-2 -> Account Management	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>EVA Chat Roles (Application).</b></p> <p>A- Types of Accounts: The identified types of EVA Chat accounts - EVA Chat Admin, EVA Chat User, and EVA Chat Reader - that support organizational missions/business functions.</p> <p>B - Account Managers: The IT Manager AICoE, team is responsible for EVA Solution and serve as account managers. IT Manager will be responsible to manage the participants for the EVA Chat Admin role. The admin role will be assigned by approval of IT Manager.</p> <p>C- Conditions for Membership: The permissions, access authorizations, and attributes for each role are mapped out in the RBAC documents. The AICoE DevOps team is entrusted with account operations Our business client's will provide the list of users to be added to the EVA Chat user. On Managers approval, the User will be given access to EVA Chat User.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.           <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

D- Authorized Users & Privileges: All these users are going to be Azure AD users and those users' management by ESDC identity Access Management Team. The users are managed using Microsoft Entra ID previously called Active Directory for single sign on to the application. The requests will be done through ticketing system, including enabling, modifying, and disabling accounts as per IT Manager's approval. The authorized users and their access authorizations, privileges, and other attributes are outlined in the RBAC documents.

E- Account Creation Approvals: The creation, enabling, and modification of accounts need approval by the IT Manager, as per specified protocol. The permission for each role, access authorizations, and other attributes, settings are described in the RBAC Documents. AICoE DevOps team will be responsible to create, enable, modified, or disables accounts on the approval of IT Manager. The creation, deletion, modification, or deactivation of the users falls under the departmental user management strategy.

F- Account Modifications: The AICoE DevOps team modifies, disables, and removes accounts accordingly.

G- Account Monitoring: A monthly meeting will be held to monitor the users accounts and their privileges. This will make sure; a user has a valid access and privileges according to their need. The list of accounts no longer required will be deleted on IT Manager's approval.

H- Notifications to Account Managers: The AICoE DevOps team is entrusted with account operations including enabling, modifying, and disabling accounts as per IT Manager's approval.

I- Access Authorization: Access to the EVA Chat is given based on valid access authorization, intended system usage, and role-defined access as approved by IT Manager. The list of users is provided by Business Client Manager and is approved by IT Manager from AICoE team. The admin group manages the configuration of the application. They also manage the user settings. The members of this admin group can manager the configuration of the application such as selecting the model, adding and remove admin users and deleting the chat history and so on. The first admin user will be added during the installation of the application and then other admin users can be added/removed.

J- Compliance Review: There's a system in place to review accounts for compliance, the frequency of which is monthly.

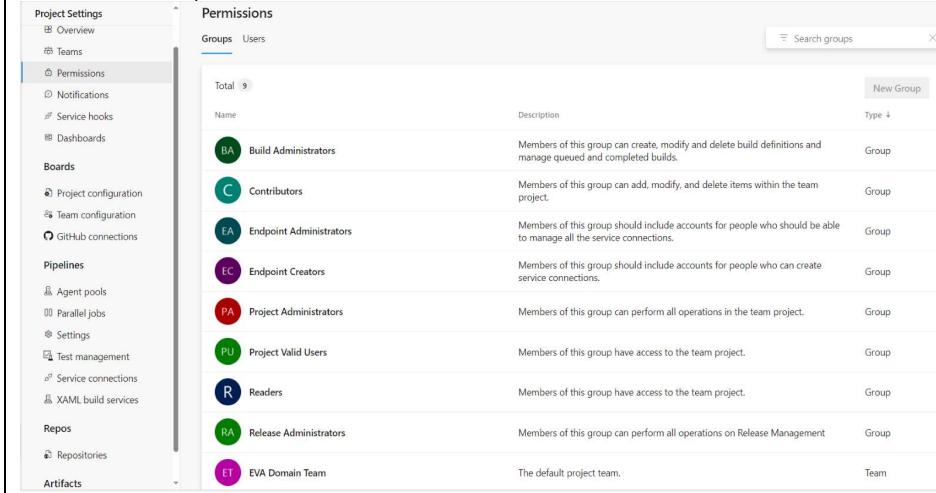
K -Shared/group Account Credentials: N/A.

All Users   11			
ROLE	NAME	EMAIL	OAUTH ID
admin	Ayre, Kathleen [INC]	kathleen.ayre@hrsdc-rhdc.gc.ca	microsoft@GGJgTxPMV7MH9Lu2HRHqXxVrFq1DPGgFQJj19ssHaxo
user	Whitley, Todd TW [INC]	todd.whitley@hrsdc-rhdc.gc.ca	microsoft@P1-e3jf9o7f51nVrRporoP17ipfuSCayellPkAvsug
user	Chen, Hongyu H [INC]	hongyu.chen@hrsdc-rhdc.gc.ca	microsoft@3Ouv-PKNNPnP7rs2Oc_0MowvQn-m3kEbaccakrmSVg
user	O'Rourke, Shannon SM [INC]	shannon.orourke@servicecanada.gc.ca	microsoft@KycgNldfM93W8tQ3cohLCRs7]CqbYcd4GwmfPRFts
user	Del Fante, Adam AF [INC]	adam.delante@hrsdc-rhdc.gc.ca	microsoft@K4ygrlnQQT-OF0DA1lgcdlcrsMuOW-CUkCmQ53B9q0
user	Ngo, Quan Q [INC]	quan.ngo@hrsdc-rhdc.gc.ca	microsoft@u9opgBFYp3tREH27x13yFqkNIT3gCW3ajza5LmTY
admin	Chen, Zhong Z [INC]	zhongpaul.chen@hrsdc-rhdc.gc.ca	microsoft@p7N--GBQ99r2tNGhHvtOM65jy0tu782YhKRny4r_E
admin	Matin, Abdur Rafeey AM [INC]	abdurr.matin@hrsdc-rhdc.gc.ca	microsoft@4qh4DBnfPG3hDizmTObMoudEaSSRobaFdUwQh4DVLD8
user	Nie, Sunny [INC]	sunny.nie@hrsdc-rhdc.gc.ca	microsoft@3eb5VQKQDOP54zqT5dgVMekOjPrxQmsguIqvWehZs
admin	Lee, Mark	mark.lee@hrsdc-rhdc.gc.ca	microsoft@O037VJHVB05Biot6IuJYNgEQwKXL5ghyGk6d9HEOSfB
admin	Wu, Bozhou B [INC]	bozhou.wu@hrsdc-rhdc.gc.ca	microsoft@GBGPATmb8xa4Zf77-ztNDbwjFfoaNGoBQwWBBrvh3nE

#### Azure DevOps

Azure DevOps serves as the management platform for roles and responsibilities, code repositories, and pipelines associated with development activities for this project. All requests for role changes and access will be made via an established ticketing system, to ensure we have records of all changes. All requests require approval from the Automation Infrastructure Services, (AIS) Infrastructure Manager before they are implemented, in compliance with AC-2's requirement for oversight and approval.

The Azure DevOps will be the tool to manage the roles/responsibilities, code repository and pipelines. For the development activities. Any request will be made through a ticketing system, with the approval from Manager to actions it. In the Azure DevOps, several permissions are set at the project level or the organization level (set by AIS team). For this project that we have created (EVA Domain Team), the AIS team has created the following project-level groups. Please refer to RBAC document for detailed roles and permissions.

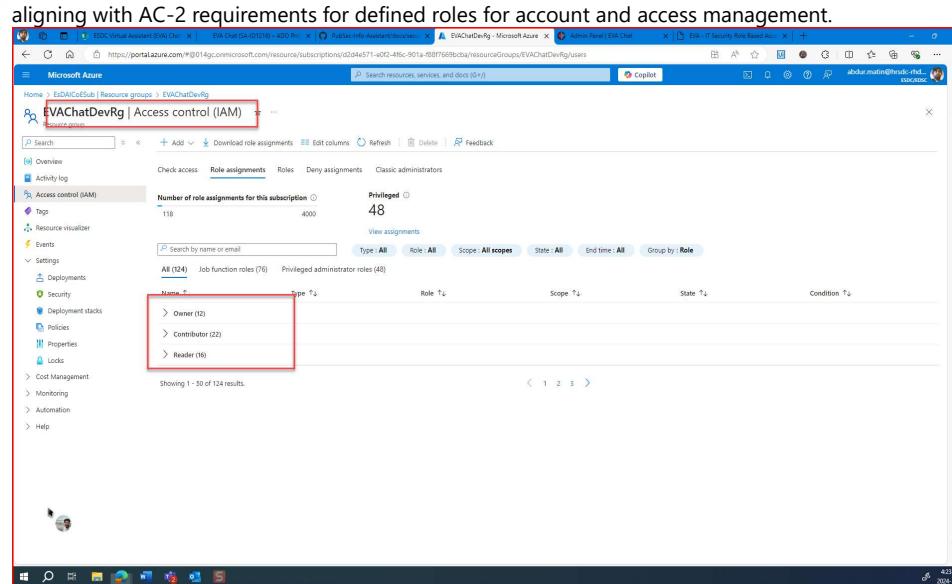


A screenshot of the Azure DevOps 'Permissions' page under 'Project Settings'. The left sidebar shows various project management sections like Overview, Teams, Notifications, Service hooks, Dashboards, Boards, Pipelines, Repos, and Artifacts. The 'Teams' section is currently selected. The main area displays a table of nine project-level groups:

Name	Description	Type	
BA	Build Administrators	Members of this group can create, modify and delete build definitions and manage queued and completed builds.	Group
C	Contributors	Members of this group can add, modify, and delete items within the team project.	Group
EA	Endpoint Administrators	Members of this group should include accounts for people who should be able to manage all the service connections.	Group
EC	Endpoint Creators	Members of this group should include accounts for people who can create service connections.	Group
PA	Project Administrators	Members of this group can perform all operations in the team project.	Group
PU	Project Valid Users	Members of this group have access to the team project.	Group
R	Readers	Members of this group have access to the team project.	Group
RA	Release Administrators	Members of this group can perform all operations on Release Management	Group
EVT	EVA Domain Team	The default project team.	Team

#### Azure Platform

Access to the Azure platform within our organization is strictly controlled through Microsoft's built-in role-based access control (RBAC). As per the principles of AC-2 Access Control, users are assigned to these roles based on their specific tasks and responsibilities. This approach ensures that every user has access privileges tailored to their distinct job requirements, adhering to the principle of least privilege. The assignment and management of these roles fall under the responsibility of the Manager of the Infrastructure AIS team,



(#2) AC-2(5) -> Account Management | Inactivity  
Logout

#### Evidence description

**Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin – Jan 16, 2025]**

#### Statement describing evidence

Recommendation from Practitioner to the solution team, for this control.

**Implementation status:** Inherited

#### Justification - Source:

The links below contain the answer related to the [brackets] in the Control Statement.

##### Definition

###### Control Statement

The organization requires that users log out when [Assignment: organization-defined time-period of expected inactivity or description of when to log out].

#### Name of other file(s) containing evidence

**Latest at the top**

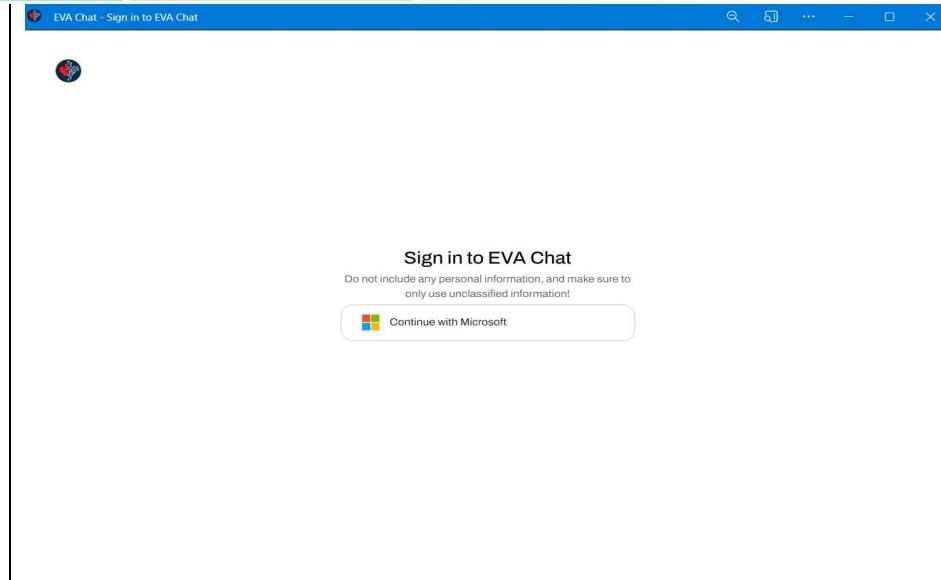
**Iteration #1**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

	<p>(1 of 2) What's the Big Deal If... I leave my computer on all night or I shut it right off at the end of the day?  <a href="http://iservice.prv/eng/is/security/tools_and_resources/toolkit/end_of_day.shtml">http://iservice.prv/eng/is/security/tools_and_resources/toolkit/end_of_day.shtml</a></p> <p>Excerpt(s):</p> <ul style="list-style-type: none"> <li>• You must follow the proper procedure of "Start-Shut Down-Restart-OK" every night</li> <li>• If you work offsite ... log off, in order to keep your VPN connection alive to allow for patches and software updates</li> </ul> <p>(2 of 2) The golden rules of VPN  <a href="https://esdc.prv/en/news/corporate/2023/07/11.shtml">https://esdc.prv/en/news/corporate/2023/07/11.shtml</a></p> <p>Excerpt(s):</p> <ul style="list-style-type: none"> <li>• You must restart your computer device (e.g., laptop or tablet) ... at least a minimum of two days a week (non-consecutive days).</li> <li>• After your device has restarted, please keep it connected to the Internet overnight, leaving the laptop lid open if using this device.</li> </ul>	
(#3) AC-2(7) -> Account Management   Role-Based Schemes	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b>  <b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>EVA Application</b></p> <p>1. Our EVA Application has three distinct roles: Admin, User, and Reader. Admins are granted extensive access privileges to control user access, remove users, and set the default AI language model for all users. Users are regular participants and can create, edit, or publish content within their own scope but lack access to system settings or user management functionalities. Readers, who are users awaiting approval, have very limited access until their account status is updated.</p> <p>2. To comply with AC-2(7), AICoE team, continuously review the access privileges of certificates associated with these roles. Additionally, permissions, access authorizations, other attributes, and role settings are defined in our attached RBAC Document.</p> <p>3. Our AICoE DevOps team is tasked with account creation, modification, enablement, or deactivation tasks. They act following the IT Manager's approval and our organizational user management strategy.</p> <p>Implementing AC-2(7), we hold monthly meetings to review and confirm the appropriateness of users' access and privileges. This procedure assures that each user's access is valid and aligns with their role requirements. Accounts no longer needed are flagged during these meetings and deleted with the IT Manager's approval, further asserting our adherence to AC-2(7).</p> <p>All these measures ensure we adhere to the AC-2(7) control by regularly reviewing access privileges of PKI certificates assigned to different roles within the EVA Application.</p> <p><b>Azure Platform and DevOps</b></p> <p>1. Azure DevOps functions as our principal tool for managing roles and responsibilities, along with maintaining the code repository and establishing pipelines for development activities. Our procedure for ensuring strict control over modifications to the Azure DevOps environment involves a process in which requests are submitted through a ticketing system and approved by management prior to execution.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1. <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>

	<p>2. Compliance with the AC-2(7) requirement of Public Key Infrastructure (PKI) certificate privilege review necessitates periodic verification of assigned roles and responsibilities. To address this, we have permissions in Azure DevOps set at the project or organizational level by AIS Infrastructure team, as per the guidelines set forth by ESDC. Any significant alterations to these permissions essentially involve PKI certificate privilege dynamics and thus, adhere to a strict review and approval process.</p> <p>3. For our EVA Domain Team project, AIS Infrastructure team have created specific project-level groups which are actively reviewed and updated based on our organizational requirements and security protocols. Detailed roles and permissions regarding this project are documented in the attached RBAC document.</p> <p>This process allows us to conduct regular audits, reviews account roles, and validates privileges. In doing so, we ensure we adhere to AC-2(7)'s need for regular review of PKI certificate access privileges, thereby upholding the highest standards of cybersecurity for our Azure DevOps environment.</p>	
(#4) AC-3 -> Access Enforcement	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>In our EVA application, access control is stringently enforced in accordance with the security control AC-3. The handling of user identities and authentication is directed by Microsoft Entra ID, previously known as Active Directory. This system ensures that all users must authenticate through a single sign-on process to gain access to the EVA application. This mechanism acts as a gatekeeper, allowing only verified and approved users who have been assigned appropriate access permissions to enter the system. This aligns with the principles of AC-3 security control, as it verifies user credentials and ensures the enforcement of assigned authorizations before granting system access.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1 Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul> </li> </ul>

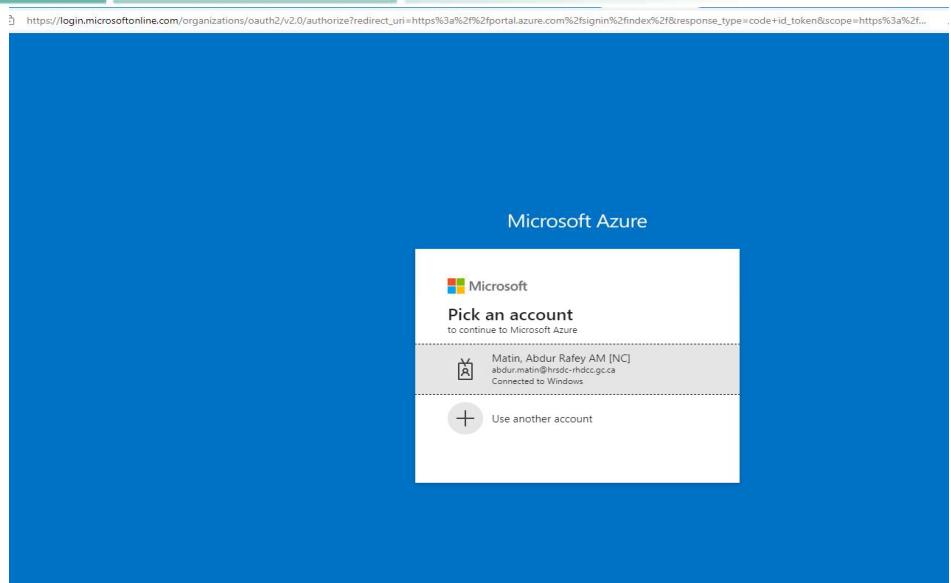


#### Azure Platform and DevOps

For access to Azure Platform and Azure DevOps, we utilize the Microsoft Entra ID, formerly known as Active Directory, which aligns with AC-3 Access Control security guidelines. This central identity service enforces access control by ensuring that users authenticate via a single sign-on mechanism before gaining access to the Azure Portal and the corresponding EVA infrastructure.

This rigorous access enforcement serves as a gatekeeper by permitting only authenticated and appropriately authorized users to enter the Azure Platform and DevOps environment. Being regulated in line with AC-3 control, it validates user credentials and restricts access to only those users with assigned authorizations, which optimizes our cybersecurity efforts.



		
(#5) AC-4 -> Information Flow Enforcement	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>EVA Application</b></p> <p>Within our EVA application environment, we adhere strictly to AC-4, the information flow enforcement security control. All users granted access to the EVA application are part of the ESDC network. This is intentionally designed as a secure mode deployment to ensure that the information flow is controlled and can't be accessed outside the ESDC network. This helps to fortify our information flow enforcement strategy, thus preventing potential leaks or unauthorized access to the data and maintaining the integrity of our information systems. The result is effective enforcement of our organization's security policies and assurance of our commitment to the AC-4 control.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>EVA Architecture_V1.pdf</li> <li>EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> <p>The assumptions included in this RACI file have not been reviewed by the management team.</p>

Name	IPAM Pool	IPv4	IPv6	Available IPs	Delegated to
AIDevEnrichAppServices	-	10.72.209.128/26	-	59	Microsoft.Web...
AIDevFuncAppServices	-	10.72.209.64/26	-	59	Microsoft.Web...
AIDevAppServices	-	10.72.209.0/25	-	59	Microsoft.Web...

### Azure Platform and DevOps

Our Azure Platform and DevOps environment align with AC-4 security control, which governs the guidelines for information flow enforcement.

Our cloud infrastructure is exclusively connected to a Virtual Network (VNet) which resides within the confines of the ESDC firewall. This setup forms a secure pathway for information flow, as all data transfer is strictly controlled and originates from SCED.

This arrangement warrants that data flowing in and out of our system is strictly monitored and controlled, thereby ensuring compliance with AC-4 security control. It minimizes the risk of unauthorized data access or leakage, enforcing a dependable flow of information, and reinforcing our commitment to upholding the highest security measures in our Azure Platform and DevOps environment.

(#6) AC-5 -> Separation of Duties	<b>Evidence description</b>	<b>Name of other file(s) containing evidence</b>
	<p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p>A-The assignment of roles and responsibilities lies with AICoE DevOps team has been designed strategically to adhere to the AC-5 security control guidelines, which emphasize the separation of duties (SoD). The detailed list of team members, their designations, roles, and titles can be found in the attached AICoE Team Member document. The details of the roles and access is provided in the RBAC document V1.0</p> <p>Here is the separation of duties within application and platform.</p> <p><b>EVA Application.</b></p> <p>B-Within the EVA Application, access and responsibility allocation are based on the principle of SoD. Every individual with an Active Directory (AD) account can become a user.</p>	<p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.0.pdf</li> <li>• AICoE_Team_and_titles_V1.0.pdf <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>



C- More privileged Admin roles are added from within the application itself, ensuring the separation between regular users and

Admin Panel						
Dashboard		Settings				
All Users B			Search			
ROLE	NAME	EMAIL	DAUTH ID	LAST ACTIVE	CREATED AT	⋮
admin	Ayre, Kathleen KS [NC]	kathleen.ayre@nrcd-phbcz.gc.ca	microsoftfd031gjPmH7M40LzD9RqXoVfPgC0PgQJL9wakHa	17 hours ago	December 16, 2024	
user	Whitley, Todd VR [NC]	todd.whitley@nrcd-phbcz.gc.ca	microsoftf14-819a7370MvP0rgUv0fUgtfUgtfUgtfUPkAneq	17 hours ago	December 16, 2024	
user	Chen, Hongyu H [NC]	hongyu.chen@nrcd-phbcz.gc.ca	microsoftf02-0vNmNHEPTh2OzC_MtWw-Qn+R6zEdC0amHfPg	16 hours ago	December 16, 2024	
user	O'Dowdke, Shannon SM [NC]	shannon.odowdke@nrcd-phbcz.gc.ca	microsoftfb69c9f0HmT3WPH0u1L7R7uP0g140d9mPPYfS	2 hours ago	December 16, 2024	
user	Def family, Adam AF [NC]	adam.deffamily@nrcd-phbcz.gc.ca	microsoftf4K_Aygpe-Q0T-0FCD43gbzLnRfBw-C0kChzD3889q	an hour ago	December 16, 2024	
user	Ngao, Quan Q [NC]	quan.ngao@nrcd-phbcz.gc.ca	microsoftfjg-ck0ggfH27z1fPqXfT3gCW3qpxLntV	38 minutes ago	December 16, 2024	
admin	Chen, Zheng Z [NC]	zhengchen@nrcd-phbcz.gc.ca	microsoftfppj-N-0BZ099-12HdHvOM9fMsEh0u7821HfMyArJ_E	12 minutes ago	December 16, 2024	
admin	Matin, Abdur Rafeey AM [NC]	abdur.rafeey@nrcd-phbcz.gc.ca	microsoftfjg-ck0ggfH27z1fPqXfT3gCW3qpxLntV	a few seconds ago	December 16, 2024	
						⋮ Click on the user role button to change a user's role

## Administrators

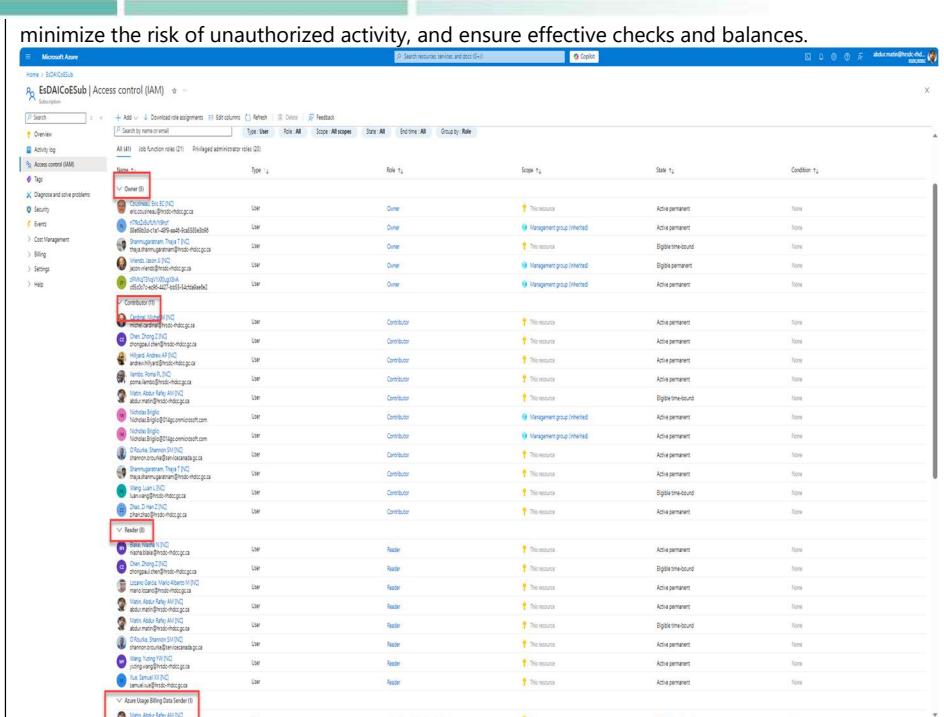
Azure Platform and DevOps

A- For the Azure Platform and DevOps, roles are assigned based on individual duties. This is managed by AIS team for assigning various roles. Some roles are predefined, Built-In Roles and some custom roles are also created to meet our specific needs.

B- The account assignments are made according to these roles within the Azure Cloud.

C- This SoD approach adheres to the AC-5 security control by preventing any single individual from having influence over an entire process or system, which could otherwise potentially lead to fraud or error. This way, we maintain a robust security control system,





(#7) AC-6 -> Least Privilege	Evidence description	Name of other file(s) containing evidence
	<p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> <b>EVA Chat Application</b></p> <p>EVA Chat, a secure and private iteration of ChatGPT leveraging OpenAI services and Azure cognitive services, fully adheres to AC-6 security controls enforcing the principle of least privilege. The application inherits all security features, including role-based privileges and system access control, and is hosted on a secure, Azure PB cloud infrastructure located within Canada. Differing from the parent ChatGPT, EVA Chat will not send data for model training purposes, enhancing data security.</p> <p>We've categorized three types of users within the EVA Application: Admin, User, and Reader. This segregation ensures that the least privilege principle is upheld.</p> <p>Users and Readers are 'Least Privilege' users:</p>	<p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA</li> </ul> </li> <li>○ The assumptions included in this RACI file were developed by the management team.</li> </ul>

	<p>User: Regular participants in the application, they only have permissions to create, edit, and publish their own content. They are restricted from accessing system settings or managing users, aligning with the 'least privilege' principle.</p> <p>Reader: These users have the most limited access within the application. Pending approval, they can only view a "pending approval" page after logging in. They are limited in performing any tasks until their account status has been updated, restricting system interactions to the minimum necessary.</p> <p>Admin: Admins, conversely, can manage users and system settings, but their activities are also tailored to their roles in accordance with least privilege principle.</p> <p>The RBAC document incorporates an in-depth description of these functions and illustrates our commitment to following AC-6 Least Privilege controls in allocating access rights to users based on their tasks.</p> <p><b>Azure Platform and DevOps</b></p> <p>In the Azure platform and Azure DevOps environment, we maintain strict compliance with AC-6 security controls by applying the principle of least privilege. We categorize users into three types: Owners, Contributors, and Readers.</p> <p>The Reader role in Azure is designed explicitly to embody the principle of least privilege. Readers have read-only access and are permitted to view all resources but cannot make any changes within a specific scope. This restricted role is crucial in minimizing potential security risks, as it limits each user to the access necessary for their tasks.</p> <p>Simultaneously, in our EVA project team, we enforce a similar Reader role, where users can view project information, including the codebase, work items, and other artifacts, but cannot modify them. This application of least privilege bolsters overall system security and integrity.</p> <p>A comprehensive breakdown of these roles and permissions, including the principle of least privilege, is available in our RBAC document. The implementation of this protocol demonstrates our commitment to enforcing AC-6 least privilege controls within both Azure Platform and Azure DevOps.</p>	
(#8) AC-6(1) -> Least Privilege   Authorize Access to Security Functions	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>EVA Application</b></p> <p>In our EVA application, a pivotal aspect of security control, in line with AC-6(1), is administering data management and managing connections to OpenAI services. Ensuring the principle of least privilege, only admins, our most trusted personnel, have been granted rights to perform security-sensitive tasks. These tasks include setting the passwords to API services and updating data models. By restricting these capabilities to admins, we are restricting access to these crucial security functions to the absolute minimum number of people necessary, thus reducing potential attack vectors. This approach underlines our adherence to the AC-6(1) security control, where we ensure the authorization of access to security functions aligns with the least privilege principle.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.           <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

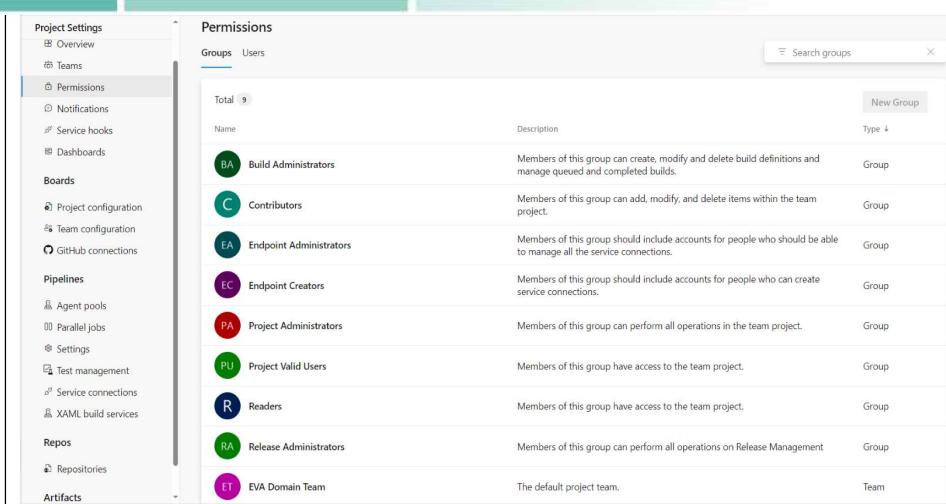


The screenshot shows two instances of the Admin Panel interface. The top instance is titled 'Manage Ollama Models' and includes sections for 'Pull a model from Ollama.com', 'Delete a model', and 'Create a model'. The bottom instance shows 'Connections' and 'Models' listed under 'General' settings, with 'Connections' highlighted by a red box. Both instances show 'General', 'Users', and 'Web Search' options.

#### Azure Platform and DevOps

Utilizing Azure DevOps, permissions are strategically established at the project or organization level, as defined by ESDC. For the EVA Domain Team project, the system has automatically generated several project-level groups, each assigned specific project-level permissions.

In alignment with AC-6(1) security control, access to the project is stringently managed by adding users or groups to these default security groups, rather than creating any custom security groups that could grant custom access to the Azure DevOps environment. Such a scheme enforces least privilege, allowing only necessary access to users based on their roles and responsibilities. Further enforcing the principle of least privilege under AC-6(1), only Project Administrators possess the authority to add or remove custom security groups. These inherited security groups from Microsoft Azure allow us to authorize access to security functions, ensuring robust security management and reinforcing our adherence to AC-6(1) guidelines.



Please refer to the RBAC document.

(#9) AC-6(2) -> Least Privilege | Non-Privileged Access for Non-Security Functions

#### Evidence description

**Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin - Jan 16, 2025]**

#### Statement describing evidence:

##### EVA Application

In the EVA Application, access is given based on three roles: Admin, User, and Reader, with the User and Reader roles specifically designed for non-privileged access.

##### User:

Regular participants or 'Users' can create, edit, and publish their own content. However, in compliance with AC-6(2), their access is limited - they do not have the authority to alter system settings or manipulate user management functions, ensuring they are non-privileged.

##### Reader:

Users under this role are awaiting approval and consequently have limited access. They can only view a "pending approval" page after logging in. Only after the Admin role updates their account status do they gain restricted access. In keeping with AC-6(2), they have non-privileged access.

Descriptions of the functions for each role are detailed in our RBAC document.

##### Azure Platform and DevOps

For Azure Platform and DevOps, we have inherited certain roles from Microsoft Azure following non-privileged access principles (AC-6(2)):

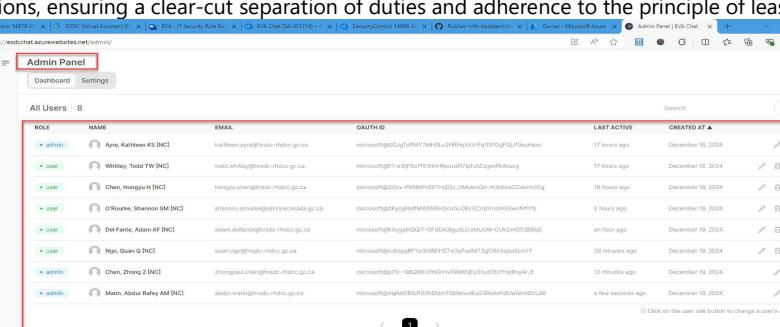
#### Name of other file(s) containing evidence

**Latest at the top**

**Iteration #1**

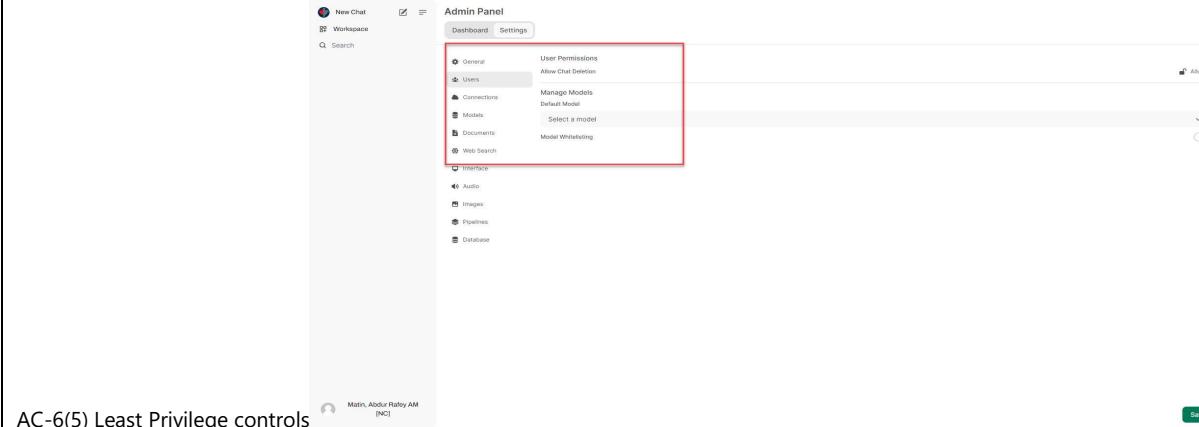
See file(s):

- EVA - IT Security Role Based Access Control (RBAC) -V1.
  - RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

	<p><b>Project Valid Users:</b> These users have permission to access the project and view information within the collection, well within the remit of non-privileged access.</p> <p><b>Release Administrators:</b> These roles have permissions to manage release operations. However, Release Administrators don't have access to other high-level administrative or security functions. More details are available in the given RBAC document. By doing this, we adhere to the AC-6(2) control by confining non-administrative users' activities to non-privileged actions. Descriptions of the functions for each role are detailed in our RBAC document.</p>	
(#10) AC-6(5) -> Least Privilege   Privileged Accounts	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b> <b>EVA Application</b></p> <p>The EVA Application strictly adheres to AC-6(5) security control requirements, where access to privileged functions is restricted to a minimal number of accounts to uphold the principle of Least Privilege.</p> <p>Admin users are individually identified and granted high-level access privileges by the EVA chat application. These admins are designated to control and manage users and their access. While they can remove users and set default AI language models for all users, this privilege is not extended to regular users.</p> <p>Regular users are explicitly restricted from performing administrative functions. Notably, only admins on the approved list can carry out privileged functions, ensuring a clear-cut separation of duties and adherence to the principle of least privilege in compliance with AC-</p>  <p>6(5).</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.       <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

Moreover, the settings corresponding to regular users are also managed by the admins, eliminating the risk of regular users escalating their privileges without appropriate authorization. This concurs with AC-6(5) control requirements that mandate restrictions on less privileged users performing any privileged functions.

A comprehensive description of these role functions is documented in our RBAC document, reflecting our commitment to upholding the



AC-6(5) Least Privilege controls

#### Azure Platform and DevOps

Within our Azure Platform and Azure DevOps environment, we incorporate stringent measures aligning with the AC-6(5) security control, enforcing the principle of least privilege for privileged functions.

The creation of our infrastructure resources, as well as the deployment and hosting of EVA application instances, is controlled exclusively by dedicated administrators. These high-level tasks, which are classified as privileged functions, are not accessible to regular users, ensuring full compliance with the AC-6(5) regulations.

Our robust role-based access control (RBAC) system, described in detail within the RBAC document, distinctly outlines these privileged functions, providing a transparent demarcation of responsibilities. This strict enforcement of role-based permissions underscores our commitment to the principle of least privilege per the AC-6(5) security control least privilege provision while bolstering the overall security of our Azure Platform and Azure DevOps environment.

[Owner - Microsoft Azure](#)

The screenshot shows the Microsoft Azure IAM Role Definition page for the 'Owner' role. The 'Actions' tab is selected, displaying a list of permissions. A red box highlights the 'Actions' section under the 'MicrosoftAAD' role definition.

Type	Permissions	Description
Other	Subscription Registration Action	Subscription Registration Action
Other	Unregister Domain Service	Unregister Domain Service
Other	Register Domain Service	Register Domain Service
Read	...	...
Read	...	...
Read	Read Domain Service	Read Domain Services
Write	Write Domain Service	Write Domain Service
Delete	Delete Domain Service	Delete Domain Service
Read	Get the network endpoints of all outbound dependencies	Get the network endpoints of all outbound dependencies
AirPush	air push	air push
Read	Get the diagnostic setting for Domain Service	Gets the diagnostic setting for Domain Service
Write	Write diagnostic setting for the Domain Service resource	Creates or updates the diagnostic setting for the Domain Service resource
Read	Gets the available log for Domain Service	Gets the available log for Domain Service
Read	Metrics for Domain Service	Gets metrics for Domain Service
Read	Read Ou Container	Read Ou Containers
Write	Write Ou Container	Write Ou Container

(#11) AC-6(9) -> Least Privilege | Auditing Use of Privileged Functions

#### Evidence description

Latest at the top

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**Iteration #2**  
[Abdur Rafey Matin - Jan 30, 2025]

#### Statement describing evidence:

#### Assessor Note?

Did you get confirmation from Cyber Security Operations? Here is your statement: Partial implementation (b/c Wait for confirmation for Cyber Security Operation team). The Security Information and Event Management (SIEM) tool would be used for this purpose.

#### Response:

Yes, The SIEM manager confirmed the RACI in the following email.

#### Extra Details:

The audit plans and strategy cover:

Please see the document for EVA Cloud audit Strategy. The Audit Strategy document also highlights that we are working with Cyber Security Operations team to use their mechanism of auditing. Azure Paas, peer to hub via Sentinel SIEM. Refer to the documents.

#### Name of other file(s) containing evidence

Latest at the top

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**Iteration #2**

See file(s):

- RE\_AU-6(3) - Audit Review\_Analysis\_and Reporting\_ Repositories - Sentinel SIEM - Process description (RACI).
- AICoE EVA Cloud Solution Audit Strategy v1.docx
- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx  
The assumptions included in this RACI file have been communicated to the management team.

Here is a snapshot of our Azure subscription. It allows the audit of the access control. → Please see Audit document for this extra details.

Name	Description	Type	Category	Details
Owner	Grants full access to manage all resources, including the ability to assign roles in Azure RBAC.	BuiltInRole	General	View
Contributor	Grants full access to manage all resources, but does not allow you to assign roles in Azure RBAC, manage assignments in Azure, or change resource tags.	BuiltInRole	General	View
Reader	View all resources, but does not allow you to make any changes.	BuiltInRole	General	View
Access Review Operator Service Role	Let you grant Access Review System app permissions to discover and revoke access as needed by the access review process.	BuiltInRole	None	View
AcrDelete	acr delete	BuiltInRole	Containers	View
AcrImageSigner	acr image signer	BuiltInRole	Containers	View
AcrPull	acr pull	BuiltInRole	Containers	View
AcrPush	acr push	BuiltInRole	Containers	View
AcrQuarantineReader	acr quarantine data reader	BuiltInRole	Containers	View
AcrQuarantineWriter	acr quarantine data writer	BuiltInRole	Containers	View
Advisor Recommendations Contributor	View assessment recommendations, accepted review recommendations, and manage the recommendations lifecycle (mark as resolved).	BuiltInRole	None	View
Advisor Reviews Contributor	View reviews for a workload and triage recommendations linked to them.	BuiltInRole	None	View
Advisor Reviews Reader	View reviews for a workload and recommendations linked to them.	BuiltInRole	None	View
AgFood Platform Dataset Admin	Provides access to Dataset APIs.	BuiltInRole	None	View
Android Platform Service Partner Contributor	Provides contribute access to manage resource related entities in Android Platform Service.	BuiltInRole	None	View

(#12) AC-6(10) -> Least Privilege | Prohibit Non-Privileged Users from Executing Privileged Functions

#### Evidence description

Latest at the top

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Iteration #1  
[Abdur Rafey Matin - Jan 16, 2025]

#### Statement describing evidence:

##### EVA Application

Within our EVA application, we uphold the AC-6(10) security control, which addresses prohibition of non-privileged users from executing privileged functions and strictly implements the principle of least privilege. Admin users are specified within the EVA chat application and have proprietary control over users and their access. Admins possess the privilege to remove users and set the default AI language model for all users. Importantly, in compliance with AC-6(10), regular users are explicitly prohibited from performing these and other administrative functions.

#### Name of other file(s) containing evidence

Latest at the top

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Iteration #1

See file(s):

- EVA - IT Security Role Based Access Control (RBAC) -V1.
  - RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

ROLE	NAME	EMAIL	OAUTH ID	LAST ACTIVE	CREATED AT
admin	Ayse, Kaliheen K [INC]	kalimben.ayse@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	17 hours ago	December 16, 2024
user	Whitley, Todd TW [INC]	todd.whitley@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	17 hours ago	December 16, 2024
user	Chen, Hongyu H [INC]	hongyu.chen@rhizo.co.za	microsoftf310u-PENNPHEP77120c_0Mawqdn-m3k3axCkemnGq	16 hours ago	December 16, 2024
user	O'Hurkane, Shannon SM [INC]	shannon.o'hurkane@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	2 hours ago	December 16, 2024
user	Dot Farre, Adam AF [INC]	adam.dotfarre@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	an hour ago	December 16, 2024
user	Ngo, Quoc Q [INC]	quoc.ngo@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	38 minutes ago	December 16, 2024
admin	Chen, Zheng Z [INC]	zhengpaul.chen@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	12 minutes ago	December 16, 2024
admin	Martin, Abstur Rayley AM [INC]	abstur.martin@rhizo.co.za	microsoftf001gjvHNM7M9SLQD9Hxp0vNfqt0f0gjSQu19eHxe	a few seconds ago	December 16, 2024

Click on the user role button to change a user's role.



Within this framework, the creation of infrastructure resources and the deployment or hosting of EVA application instances is a privileged function. Therefore, these operations are exclusively administered by appointed Admins and explicitly prohibited for regular users. Such binding of privileged functions to a specific class of users directly adheres to AC-6(10) control requirements. For further insight into these privileged functions and the authority they hold, please refer to the RBAC document. This guidance fully outlines our commitment to the non-privileged execution of privileged actions, ensuring a robust security stance compliant with AC-6(10)

guidelines.

(#13) AC-8 -> System Use Notification

#### Evidence description

Latest at the top

**Iteration #1**  
[Abdur Rafey Matin - Jan 16, 2025]

#### Statement describing evidence:

##### EVA Application

A -As an inherent aspect of our EVA Application's user experience, we prioritize clear communication of responsible system usage in line with the AC-8 security control.

EVA utilizes a variety of notifications designed to guide users on the approved usage of the application and relevant details associated with logging in. These notifications serve critical roles in informing our users about their obligations concerning the data they input, ensuring the highest level of compliance with data security considerations.

B-By incorporating these notifications, we maintain transparency with our users, pre-emptively address potential misuse, and uphold our commitment to adhering to the AC-8 (System Use Notification) security control.

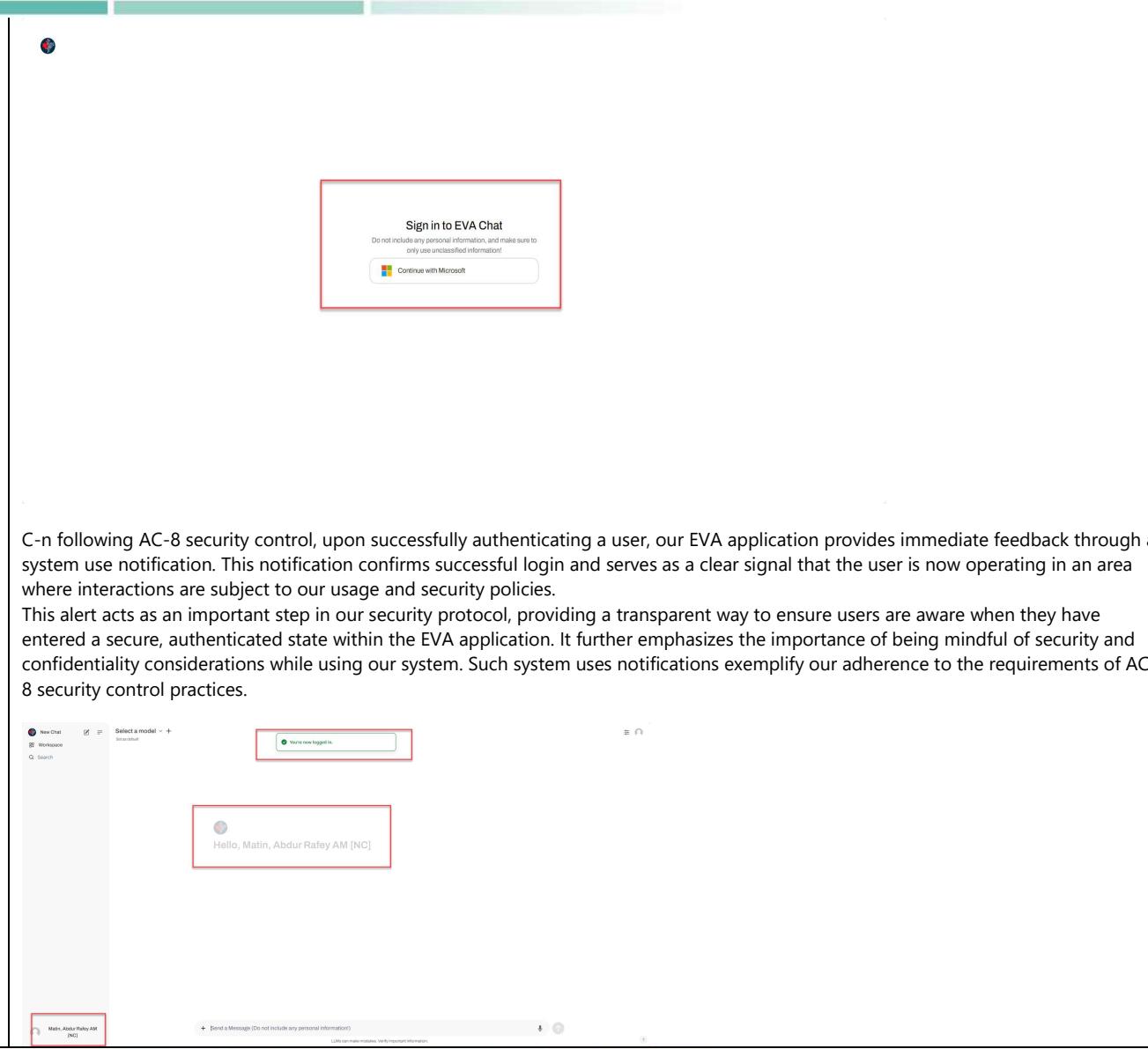
#### Name of other file(s) containing evidence

Latest at the top

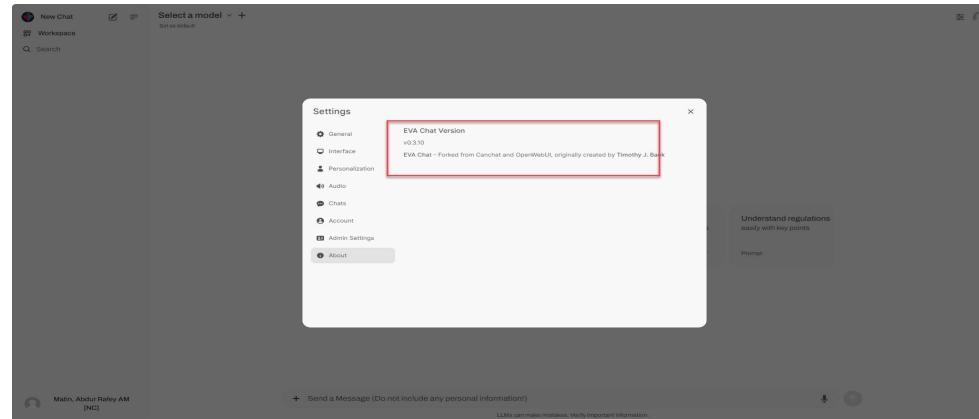
**Iteration #1**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.



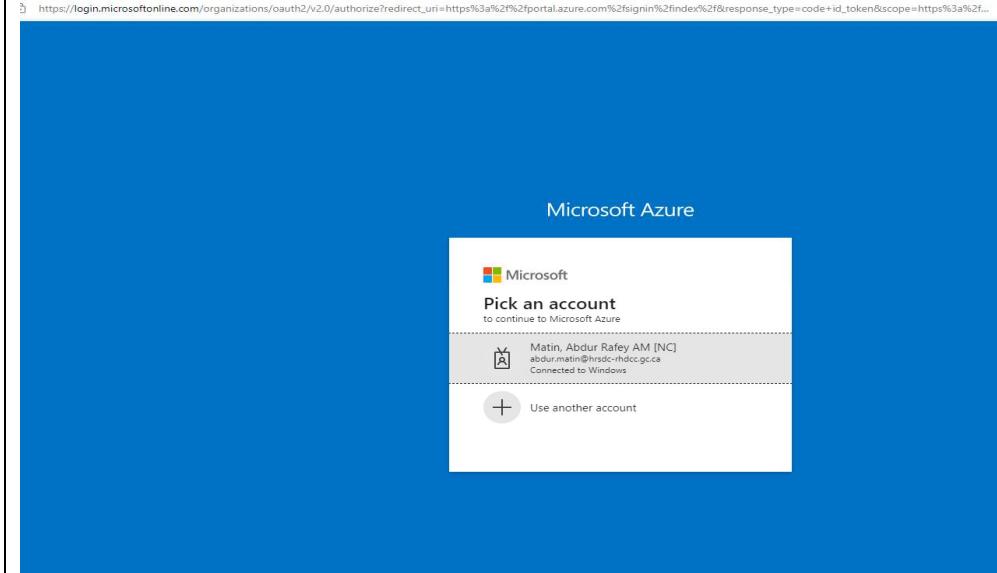
It also displays a notification about the version of EVA Chat.



#### Azure Platform and DevOps

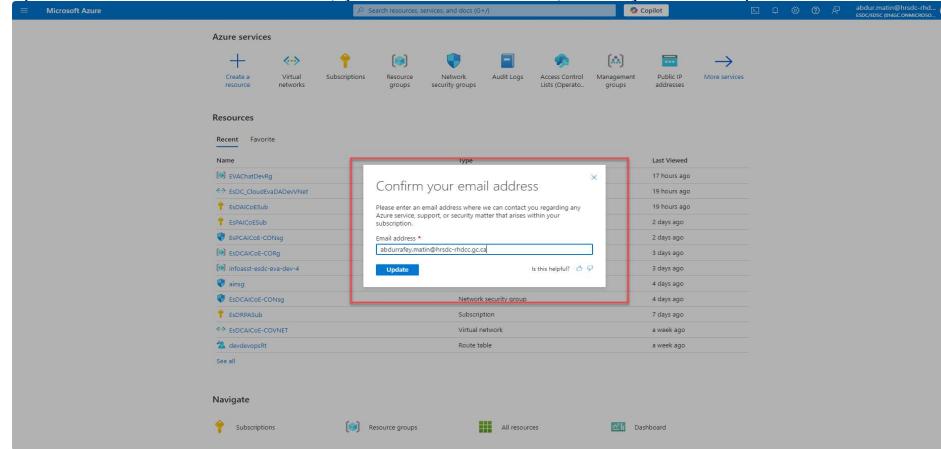
A-Our Azure Platform and DevOps environment adhere rigorously to the AC-8 (System Use Notification) security control, guaranteeing that users are properly informed about their ongoing interactions with the system.

B-For users accessing the Azure platform, system notifications are provided to help them select the correct account for the portal. This feature ensures that all users are accurately aware of the privileges and access rights associated with their roles as they sign in.

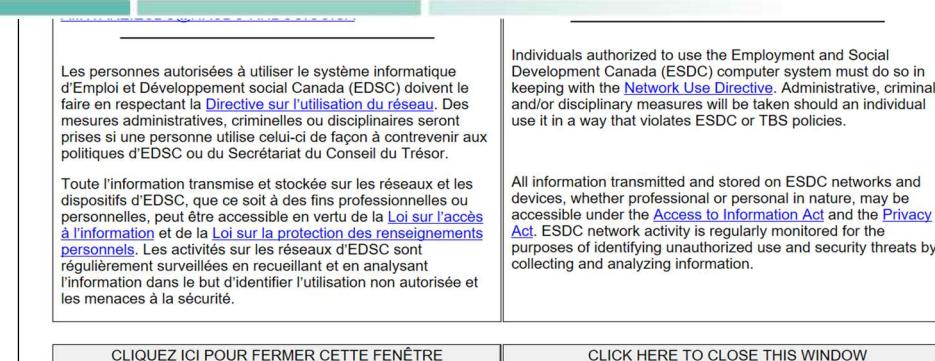


C-Moreover, Azure constantly monitors account statuses and will generate automated system notifications if an account requires any updates or changes. Such notifications keep users informed of their account's status and any necessary action needed to maintain access or improve security.

These strategies — providing immediate feedback on login actions and maintaining continual communication about account status — uphold our commitment to AC-8 (System Use Notification) security control implementation.



Windows  
A,C



**B**

(#14) AC-11 -> Session Lock	Evidence description  Latest at the top  ----- Iteration #1 [Abdur Rafey Matin - Jan 16, 2025]  Statement describing evidence: See file ->	Name of other file(s) containing evidence  Latest at the top  ----- Iteration #1  See file(s): <ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li></ul>
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- The assumptions included in this RACI file have not been management team.

**Statement describing evidence:**

Recommendation from Practitioner to the solution team, for this control.

**Implementation status:** Inherited

**Justification - Source:**

[GCPedia] GC ESA Artifact Repository

[https://www.gcpedia.gc.ca/wiki/GC\\_ESA\\_Artifact\\_Repository](https://www.gcpedia.gc.ca/wiki/GC_ESA_Artifact_Repository)

[GCPedia] Security Baseline Configuration ver 2.3

[https://www.gcpedia.gc.ca/gcwiki/images/d/d9/Microsoft\\_365\\_Security\\_Baseline\\_Configuration\\_ver\\_2.3.xlsx](https://www.gcpedia.gc.ca/gcwiki/images/d/d9/Microsoft_365_Security_Baseline_Configuration_ver_2.3.xlsx)

Excerpt:

Control	Control ID	Enhancement	Name	Proposed approach
AC	11		SESSION LOCK	<p>Inherited from Windows 10 assessment, and in-tune configuration for mobile devices</p> <p>In addition, when using Single sign on and federation, ADFS Token lifetime configuration must be set as follows to meet the requirements of CCCS ITSP-031 guidance :</p> <p>WebSSOLifetime: max 12 Hours - (Default is 8 hours)      TokenLifetime: 30 mins - (Configuration change required as the default is set to 10 hours)      Persistent Single Sign-On (PersistentSsoLifetimeMins): Disabled - (Configuration change required as this is currently set to 7 days)</p> <p>At the Azure AD level, similar settings must be configured :</p> <ul style="list-style-type: none"> <li>In Azure AD Sign-in frequency defines the time period before a user is asked to sign in again when attempting to access a resource.</li> <li>A user reauthentication will be triggered by a password change, an incompliant device, or account disable. You can also explicitly revoke users' sessions using PowerShell. The Azure AD default configuration comes down to "don't ask users to provide their credentials if security posture of their sessions has not changed".</li> <li>A persistent browser session allows users to remain signed in after closing and reopening their browser window. Persistent session should be disabled.</li> <li>Azure conditional access sign-in frequency or Azure AD level token lifetimes can be configured to meet this control</li> </ul>

(#15) AC-14 -> Permitted Actions without Identification or Authentication

**Evidence description**

Latest at the top

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Iteration #1

[Abdur Rafey Matin - Jan 16, 2025]

**Statement describing evidence:**

EVA Application

A- In keeping with AC-14 security controls that revolve around restricted actions without authentication, our procedure ensures that actions on laptops or Virtual Machines (VMs) require an authenticated Active Directory (AD) account login, with a username and password.

B- Furthermore, for access to the EVA application, users are authenticated by Microsoft Entra ID, previously known as Active Directory, which necessitates single sign-on. This strict login process adheres to the AC-14 security control by ensuring that only the authenticated users with valid credentials are permitted access to the application or the system layers.

**Name of other file(s) containing evidence**

Latest at the top

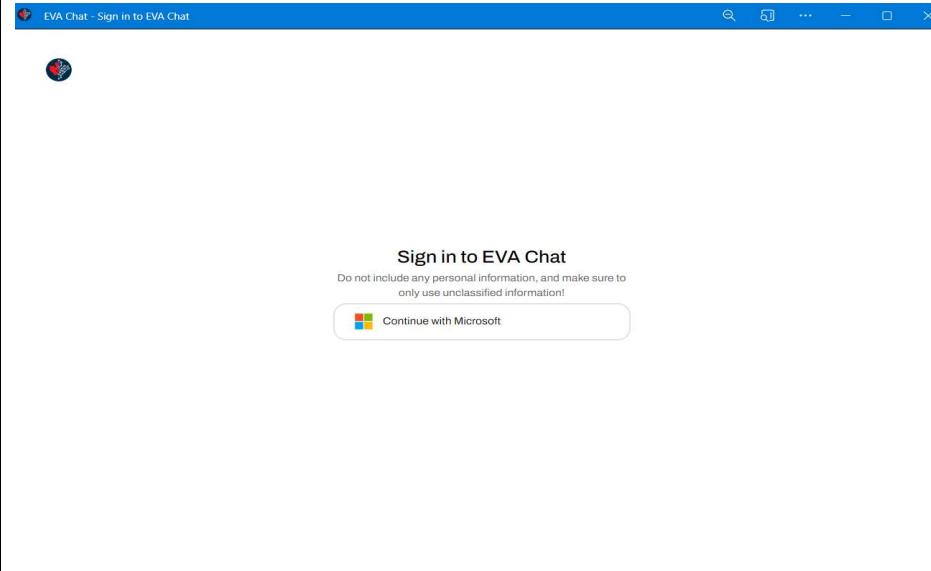
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Iteration #1

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

By enforcing strict identification and authentication, we prevent unauthorized actions on our systems, thereby aligning with AC-14 security controls' commitment to reducing unauthenticated activities.



#### Azure Platform and DevOps (Inherited)

A- In compliance with AC-14 (Permitted Actions Without Identification or Authentication) security controls, access to our Azure Platform and DevOps environment is strictly regulated.

Users are precisely controlled via Microsoft Entra ID, formerly known as Active Directory, which requires single sign-on for access to the Azure Portal and the associated EVA infrastructure.

B-This ensures that no actions can be performed without proper identification and authentication. By strictly mandating a secure sign-on process, we prevent unauthorized use and inhibit potential security threats, demonstrating our commitment to AC-14 security controls.



This approach underscores our dedication to cyber security and compliance with regulatory standards.

[https://login.microsoftonline.com/organizations/oauth2/v2.0/authorize?redirect\\_uri=https%3a%2f%2fportal.azure.com%2fsignin%2index%2f&response\\_type=code+id\\_token&scope=https%3a%2f%2fapi.portal.azure.com%2f%24signing%2f&client\\_id=191d84d3-17a2-4a8c-974b-0dca7410a44d&state=12345](https://login.microsoftonline.com/organizations/oauth2/v2.0/authorize?redirect_uri=https%3a%2f%2fportal.azure.com%2fsignin%2index%2f&response_type=code+id_token&scope=https%3a%2f%2fapi.portal.azure.com%2f%24signing%2f&client_id=191d84d3-17a2-4a8c-974b-0dca7410a44d&state=12345)



(#16) AC-16 -> Security Attributes

**Evidence description**

Latest at the top

-----  
**Iteration #1**  
[Abdur Rafey Matin – Jan 16, 2025]

**Statement describing evidence:**

This is N/A because there is no export of data from EVA application.

**Name of other file(s) containing evidence**

Latest at the top

-----  
**Iteration #1**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

(#17) AC-16(2) -> Security Attributes | Attribute Value Changes by Authorized Individuals

**Evidence description**

Latest at the top

-----  
**Iteration #1**  
[Abdur Rafey Matin - Jan 16, 2025]

**Name of other file(s) containing evidence**

Latest at the top

-----  
**Iteration #1**

See file(s):

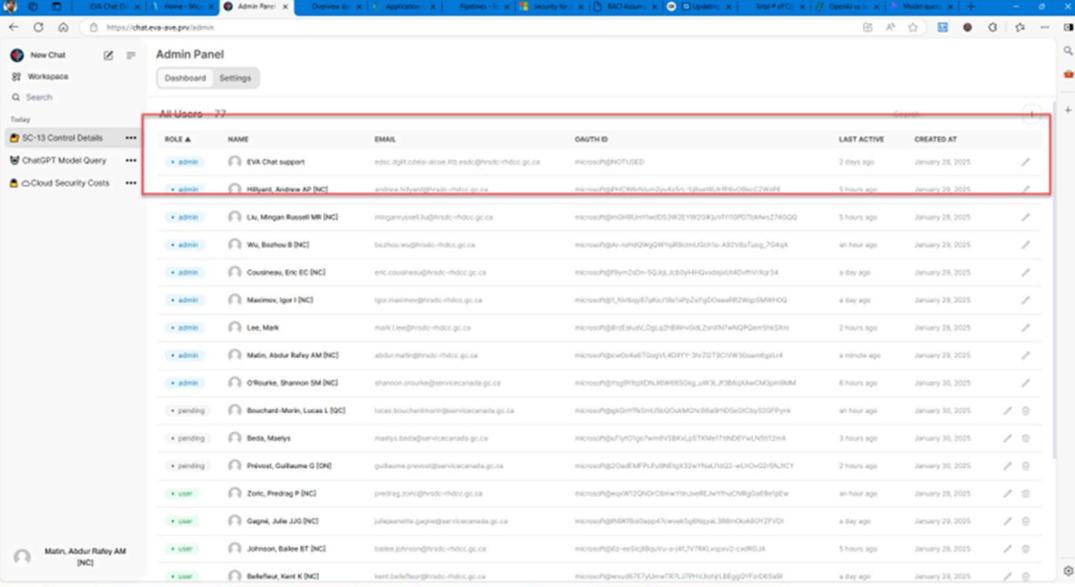


	<p><b>Statement describing evidence:</b> This is N/A because there is no export of data from EVA application.</p>	<ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#18) AC-16(4) -> Security Attributes   Association of Attributes by Authorized Individuals	<p><b>Evidence description</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> This is N/A because there is no export of data from EVA application.</p>	<p><b>Name of other file(s) containing evidence</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> See file(s):           <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </p>
(#19) AC-16(5) -> Security Attributes   Attribute Displays for Output Devices	<p><b>Evidence description</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> This is N/A because there is no export of data from EVA application.</p>	<p><b>Name of other file(s) containing evidence</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> See file(s):           <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </p>
<b>2. Awareness and training (AT)</b>	---	---
(#20) AT-3 -> Role-Based Security Training	<p><b>Evidence description</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> Abdur Rafey Matin – Jan 10, 2025]</p> <p><b>Statement describing evidence:</b> A- It is part of on-boarding plan for the employee to complete the training plan and go through the RBAC document for the clarification of the roles and responsibilities.</p>	<p><b>Name of other file(s) containing evidence</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> See file(s):           <ul style="list-style-type: none"> <li>• AICOE Generatvie AI Team Training Action Plan_V01.docx</li> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </p>



	<p>B- The Training plan is designed for the employees to create awareness and the capacity to follow the proper access of the application. The training plan contains specific training related to Role base Access and security.</p> <p>C- The AICoE Management requires every employee to refresh the training plan every year, to maintain the concept of role-based access and ensure the security of the system.</p>	<ul style="list-style-type: none"> <li><input type="radio"/> The assumptions included in this RACI file have not been management team.</li> </ul>
(#21) AT-3(4) -> Role-Based Security Training   Suspicious Communications and Anomalous System Behavior	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b> The Training plan is designed for the employees to create awareness and the capacity to follow the proper access of the application. The training plan contains specific training related to Role base Access and security. It has a specific training to recognize suspicious communication and anomalous behaviour. The training is called "Microsoft Purview Information Protection". Also the employees are required to complete their mandatory training on handling the protected information within the department. This course is completed from SABA</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s): <ul style="list-style-type: none"> <li>• AICOE Generativie AI Team Training Action Plan V1.docx</li> <li>• EVA - IT Security Role Based Access Control Strategy V1.docx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> </p> <ul style="list-style-type: none"> <li><input type="radio"/> The assumptions included in this RACI file have not been management team.</li> </ul>
<b>3. Audit and accountability (AU)</b>	---	---
(#22) AU-2 -> Audit Events	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.1 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_ Analysis_ and Reporting _ Repositories - Sentinel SIEM - Process description (RACI).xlsx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> </p> <ul style="list-style-type: none"> <li>The assumptions included in this RACI file have not been management team.</li> </ul>

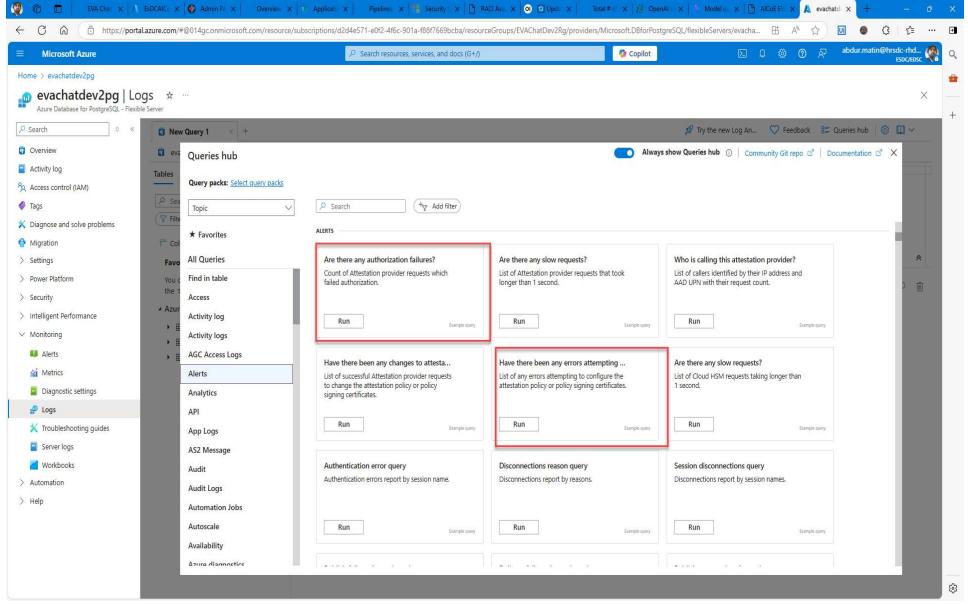


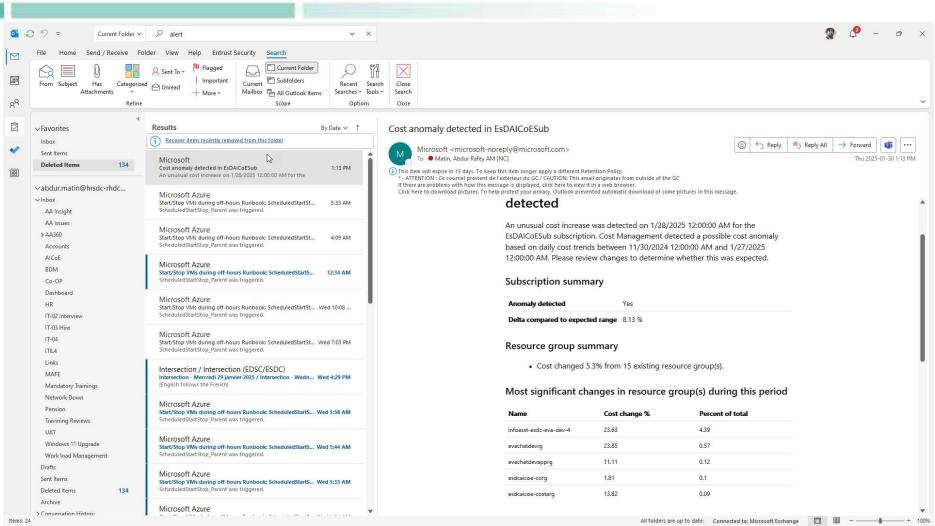
<p>(#23) AU-2(3) -&gt; Audit Events   Reviews and Updates</p> <p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> <b>Abdur Rafey Matin – Jan 30, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Assessor notes</b> Evidence mentions that there will be someone, but no indication who that is or HOW they will perform their tasks. Where do they go to see the info?</p> <p><b>Response:</b></p> <p><b>Who monitors the audit events:</b> An Admin group has been created with "EVA Chat Support". Two members will alternate each week to go through the audit logs, and update their Team lead in case of any issue with the system, or suspicious event. The EVA Chat support team will also follow up in case any audit has been reported by (<b>Sentinel SIEM</b>). <b>A baseline level of security monitoring exists for all resources connected to the Sentinel SIEM through the CloudOps policy. (See Conformation email ➔</b></p> 	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RE_AU-6(3) - Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx The assumptions included in this RACI file have not been management team.</li> </ul>
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	<p><b>How and where is the information accessed?</b></p> <p>There are two different systems for logging in EVA Chat: The information is stored in:</p> <ul style="list-style-type: none"> <li>• <b>Microsoft Azure Logs</b> Login to Azure portal with Admin access EVA Chat admin have access to those logs. This log only shows post, get, and requests and whether they were successful or not.</li> <li>• <b>PostgreSQL Database plus volume file share:</b> (Login to Azure portal with Admin access and access the PostgreSQL DB. EVA Chat admin have access to <b>chat history, authentication of users, list of users</b>. The EVA Chat admin and Automation Infrastructure Services (AIS) team have access to PostgreSQL</li> </ul> <p><b>Please see the document for EVA Cloud audit Strategy.</b> AICoE EVA Cloud Solution Audit Strategy v1.docx Section → 1.1 had been updated with the above information. Section -&gt; 3.0</p> <p>See file -&gt;</p>	
(#24) AU-3 -> Content of Audit Records	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.1</p> <p>See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) - _Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI). <ul style="list-style-type: none"> <li>◦ RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>
(#25) AU-3(1) -> Content of Audit Records   Additional Audit Information	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>

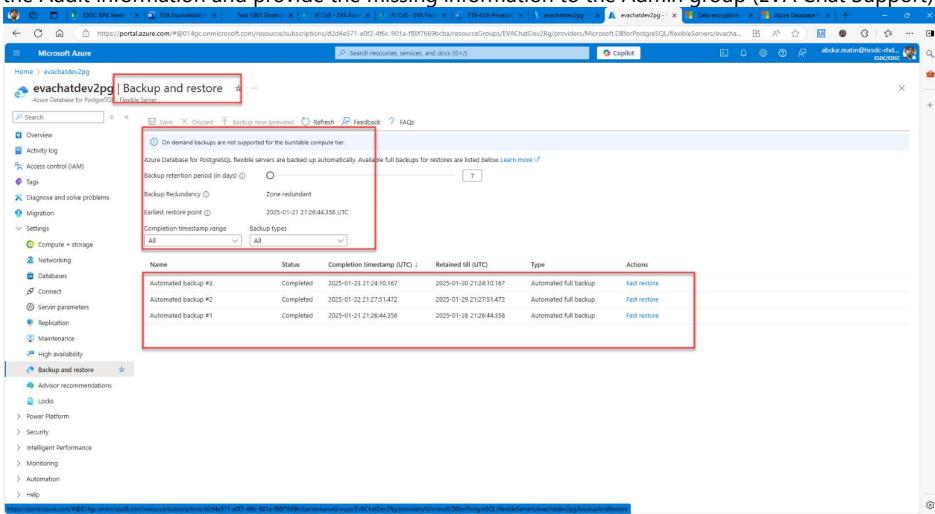
	<p><b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.1  See file -&gt;</p>	<p>See files:</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#26) AU-4 -> Audit Storage Capacity	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.2 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#27) AU-4(1) -> Audit Storage Capacity   Transfer to Alternate Storage	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.2 and 1.2.4 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• Correlate Audit Repositories - Sentinel SIE description (RACI).msg</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



<p>(#28) AU-5 -&gt; Response to Audit Processing Failures</p>	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> <b>Abdur Rafey Matin – Jan 30, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Assessor Note:</b> <b>This is not the intent of this control. This control is about alerting someone when the audit capability fails.</b></p> <p><b>Response:</b></p> <ol style="list-style-type: none"> <li>For the PostgreSQL DB the alter queries are presented. These queries will be monitored and executed by AIS team to provide any audit failure or breakage of information. These queries will be executed by AIS team</li> </ol>  <ol style="list-style-type: none"> <li>Microsoft Azure will generate alter in case of any failure to the system including logs, or file share. This alter is send to all EVA Chat Admin and EVA Chat Support. The EVA Chat support will streamline the information and pass it to IT Manager for Development and IT Manager AIS.</li> </ol>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx The assumptions included in this RACI file have been confirmed by the management team.</li> </ul>
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- C. There is a backup system activated in Microsoft Azure, which can be used to restore the information. The AIS team will restore the Audit information and provide the missing information to the Admin group (EVA Chat Support) in case of an loss event.



	<p>Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.3.4.</p> <p>See file -&gt;</p>	
(#29) AU-6 -> Audit Review, Analysis, and Reporting	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> <b>Abdur Rafey Matin – Jan 31, 2025]]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Assessor notes</b> <b>How often do you check for system abuse?</b></p> <p><b>Response</b> An Admin group has been created with "EVA Chat Support". <b>Two members will alternate weekly to go through the audit logs, and update their Team lead</b> in case of any issue with the system, or suspicious event. The EVA Chat support team will also follow up in case any audit has been reported by (<b>Sentinel SIEM</b>). <b>A baseline level of security monitoring exists for all resources connected to the Sentinel SIEM through the CloudOps policy. (See Conformation email ➔</b></p> <p>Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.1 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>○ RE_AU-6(3) - _Audit Review_Analysis_and Reporting Repositories - Sentinel SIEM - Process description (RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> </ul> <p>The assumptions included in this RACI file have been confirmed by the management team.</p>
(#30) AU-6(1) -> Audit Review, Analysis, and Reporting   Process Integration	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p>Please see the document for EVA Cloud audit Strategy.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> </ul>

	<p>AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file -&gt;</p>	<ul style="list-style-type: none"> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).             <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>
(#31) AU-6(3) -> Audit Review, Analysis, and Reporting   Correlate Audit Repositories	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p>Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):             <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </p>
(#32) AU-6(4) -> Audit Review, Analysis, and Reporting   Central Review and Analysis	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):             <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </p>



	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b>  <b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file ->	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#[#34]) AU-7(1) -> Audit Reduction and Report Generation   Automatic Processing	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b>  <b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file ->	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#[#35]) AU-7(2) -> Audit Reduction and Report Generation   Automatic Sort and Search	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> </ul>



	<p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4 See file -&gt;</p>	<ul style="list-style-type: none"> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#36) AU-8 -> Time Stamps	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):           <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </p> <p>○ The assumptions included in this RACI file have not been management team.</p>
(#37) AU-8(1) -> Time Stamps   Synchronization with Authoritative Time Source	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):           <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </p> <p>○ The assumptions included in this RACI file have not been management team.</p>



#38) AU-9 -> Protection of Audit Information	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b>  <b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.3 See file ->	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>
(#39) AU-9(2) -> Protection of Audit Information   Audit Backup on Separate Physical Systems / Components	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]]</b>  <b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.3 See file ->	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>
(#40) AU-9(4) -> Protection of Audit Information   Access by Subset of Privileged Users	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b>  <b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.3	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> </ul>

	See file ->	<ul style="list-style-type: none"> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#41) AU-9(6) -> Protection of Audit Information   Read-Only Access	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> <p>○ The assumptions included in this RACI file have not been management team.</p>
(#42) AU-11 -> Audit Record Retention	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> <b>Abdur Rafey Matin – Jan 30, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Assessor Note:</b> currently set to 3 months, however you are mentioning an annual review. What will they review if the logs are only kept for 3 months?</p> <p><b>Response:</b> Very well pointed out. The meeting that was provided as evidence was only to review the audit events. I with the consultation of IT Manager of EVA Development Team have organized a quarterly meeting to review the content of audit. This will be supervised by IT Manager and supported by Senior Technical Advisors. See section 3.2. for the details.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) - Audit Review_Analysis_and Reporting_ Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> <p>○ The assumptions included in this RACI file have not been management team.</p>



	<p>Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.2.2 → <b>Log Retention Policy</b> Section 3.1 → <b>3.1 Review of Audit Events:</b> Section 3.2 → Audit records Quarterly review and record retention policy review See file -&gt;</p>	
(#43) AU-12 -> Audit Generation	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy</li> <li>• FW_AU-6(3) -_ Audit Review _Analysis _and Reporting _Correlate Audit Repositories - Sentinel SIEM - Process description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#44) AU-12(1) -> Audit Generation   System-Wide / Time-Correlated Audit Trail	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy v1.docx</li> <li>• FW_AU-6(3) -_ Audit Review _Analysis _and Reporting _Correlate Audit Repositories - Sentinel SIEM - Process description (RACI). <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



(#45) AU-12(2) -> Audit Generation   Standardized Formats	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 24, 2025]</p> <p><b>Statement describing evidence:</b> Please see the document for EVA Cloud audit Strategy. AICoE EVA Cloud Solution Audit Strategy v1.docx Section 1.4.3 See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Solution Audit Strategy</li> <li>• FW_AU-6(3) -_Audit Review_Analysis_a Correlate Audit Repositories - Sentinel SIE description (RACI).msg</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> <p>○ The assumptions included in this RACI file have not been management team.</p>
<b>4. Security Assessment and Authorization (CA)</b>	---	---
(#46) CA-5 -> Plan of Action and Milestones	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 23, 2025]</p> <p><b>Statement describing evidence:</b> The IITB solution team complies with the ESDC Standard processes. Link to the ESDC SA&amp;A process:           <ul style="list-style-type: none"> <li>• <a href="#">Infographic-SAA Process.pdf</a></li> </ul>           Link to the ESDC risk register           <ul style="list-style-type: none"> <li>• <a href="https://apps.powerapps.com/play/e/df96c79d-f6d8-4b79-87d4-6fc4ff2d383f/a/7ce4aa04-9a8e-4629-93b3-9a642b8d98cd?tenantId=9ed55846-8a81-4246-acd8-b1a01abfc0d1">https://apps.powerapps.com/play/e/df96c79d-f6d8-4b79-87d4-6fc4ff2d383f/a/7ce4aa04-9a8e-4629-93b3-9a642b8d98cd?tenantId=9ed55846-8a81-4246-acd8-b1a01abfc0d1</a></li> </ul> </p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#47) CA-6 -> Security Authorization	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 23, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p>

	<p><b>Statement describing evidence:</b></p> <ul style="list-style-type: none"> <li>• Justification for Inherited</li> <li>• See file -&gt;</li> </ul>	<ul style="list-style-type: none"> <li>• EVA Chat SAQ (not signed yet - Nov 20 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>• The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#48) CA-7 -> Continuous Monitoring	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 23, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Inherited</p> <ul style="list-style-type: none"> <li>• See file -&gt;</li> </ul> <p>Justification for Inherited</p> <ul style="list-style-type: none"> <li>• The answer for this controls is the same for all SA&amp;As</li> </ul> <p>Extra details:</p> <ul style="list-style-type: none"> <li>• ESDC ITSec HAS NOT established continuous monitoring related to SA&amp;As.</li> <li>• Assessments are conducted with an on-demand basis, when requested by the solution teams.</li> <li>• Security Assessment and Authorization (SA&amp;A) Process link <a href="#">here</a></li> <li>• Excerpts: <ul style="list-style-type: none"> <li>○ The SA&amp;A can be required if:</li> <li>○ Software is being procured:</li> <li>○ There is a new in-house application,</li> <li>○ There is a significant change to an existing software, or;</li> <li>○ There is a need to conduct a refresh on an existing SA&amp;A.</li> </ul> </li> </ul>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s): <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul> </p>
(#49) CA-9 -> Internal System Connections	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 07, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>A-The EVA Chat is deployed in secure mode. Secure mode builds on the Single Virtual Network Pattern in which all components of our workload are inside a single virtual network (VNet). The virtual network isolates our resources and traffic from other VNets and provides a boundary for applying security policies.</p> <p>B- Services deployed within the same virtual network communicate securely. This additional level of isolation helps prevent unauthorized external access to services and helps protect our data. The document EVA Architectures_V1 outlined the high-level architecture and</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s): <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v3.xlsx</li> <li>Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 20 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul> </li> </ul> </p>

	defines all internal system connections. Also, additional information related to cloud connectivity is mentioned in CCQ and SAQ documents.	
(#50) CA-9(1) -> Internal System Connections   Security Compliance Checks	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 07, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>The EVA Chat is deployed in secure mode. Secure mode builds on the Single Virtual Network Pattern in which all components of our workload are inside a single virtual network (VNet). The virtual network isolates our resources and traffic from other VNets and provides a boundary for applying security policies.</p> <p>Services deployed within the same virtual network communicate securely. This additional level of isolation helps prevent unauthorized external access to services and helps protect our data. The document EVA Architectures_V1 outlined the high-level architecture and defines all internal system connections. Also, additional information related to cloud connectivity is mentioned in CCQ and SAQ documents.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v3.xlsx</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>EVA Architecture_V1.pdf</li> <li>EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>o The assumptions included in this RACI file have not been reviewed by the management team.</p>
<b>5. Configuration management (CM)</b>	---	---
(#51) CM-2 -> Baseline Configuration	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>Section 1.1 (EVA Chat Application) <b>Error! Bookmark not defined.</b></li> <li>Section 1.1.1 (Application Baseline Configuration) <b>Error! Bookmark not defined.</b></li> <li>Section 1.2 (EVA Chat Cloud Infrastructure Configuration Management) <b>Error! Bookmark not defined.</b></li> <li>Section 1.2.1 (Platform Baseline Configuration) <b>Error! Bookmark not defined.</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>AICoE EVA Cloud configuration management_V1.xlsx</li> <li>RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>o The assumptions included in this RACI file have not been reviewed by the management team.</p>



#(52) CM-2(1) -> Baseline Configuration   Reviews and Updates	<b>Evidence description</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1 (EVA Chat Application) <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.1.1 (Application Baseline Configuration <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2 (EVA Chat Cloud Infrastructure Configuration Management. <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.1 (Platform Baseline Configuration <b>Error! Bookmark not defined.</b>)</li> </ul> <p><b>Please See file →</b></p>	<b>Name of other file(s) containing evidence</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#[53] CM-2(2) -> Baseline Configuration   Automation Support for Accuracy / Currency	<b>Evidence description</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1 (EVA Chat Application) <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.1.1 (Application Baseline Configuration <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2 (EVA Chat Cloud Infrastructure Configuration Management. <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.1 (Platform Baseline Configuration <b>Error! Bookmark not defined.</b>)</li> </ul> <p><b>Please See file →</b></p>	<b>Name of other file(s) containing evidence</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#[54] CM-3 -> Configuration Change Control	<b>Evidence description</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p>	<b>Name of other file(s) containing evidence</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Section 1.1.2 (Application Configuration Change Control)</li> <li>○ Section 1.2.2 (Platform Configuration Change Control)</li> </ul> <p><b>Please See file →</b></p>	<b>Error! Bookmark not defined.)</b> <b>Error! Bookmark not defined.)</b>	
(#55) CM-3(2) -> Configuration Change Control   Test / Validate / Document Changes	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> no mention in the evidence of testing the changes before deploying to Prod</p> <p><b>Response:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b> Section 1.1.2.2 Validation Testing and Documentation Section 1.1.2.3 Change Management and Implementation</p> <p><b>Please See file →</b></p>	<b>Name of other file(s) containing evidence</b> Latest at the top <hr/> <b>Iteration #2</b> See file(s): <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>	
(#56) CM-3(3) -> Configuration Change Control   Automated Change Implementation	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1.2 (Application Configuration Change Control)</li> <li>○ Section 1.2.2 (Platform Configuration Change Control)</li> </ul> <p><b>Please See file →</b></p>	<b>Name of other file(s) containing evidence</b> Latest at the top <hr/> <b>Iteration #1</b> See file(s): <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>	



(#57) CM-3(4) -> Configuration Change Control   Security Representative	<p><b>Evidence description</b></p> <p>Latest at the top</p> <p>-----</p> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> no mention of a security representative</p> <p><b>Response:</b></p> <p><b>Security Representative for EVA Chat Application</b></p> <p>A Senior Technical Advisor is assigned as a Security Champion to oversee the security configuration and management. The Security Champion will consult IT Manager Development Team, IT Team lead of the Development team for any security configuration related issues.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <p>-----</p> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"><li>○ AICoE EVA Cloud configuration management_V1</li><li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li><li>○ The assumptions included in this RACI file have not been management team.</li></ul>
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The screenshot shows an email message in a web-based interface. The subject line is "RE: ESDC Virtual Assistant (EVA) Chat: Full Deployment [SA-ID1216] - Ready for ST&E ...". The email is from Maria Daigle, MD [NC]. The recipient list includes DGIIT.SECTI EMES\_Applications / Applications\_ST&E ITSEC.IITB (EDSC/ESDC), Mario M [NC], Erin EE [NC], NC-ITSRM-STIGR-GD, Gérarda G [NC], Laura L [NC], and others. The message body starts with "Hi ST&E team," followed by a note about helping with deliverables and a bullet point: "i.e.: The solution team is ready for the ST&E Demo meeting." A red box highlights the text "[New] See email thread below for updated security champion (.cc Abdur Rafey Matin)". Below this, there is a "Best regards / Meilleures salutations" section from Maria Daigle, P. Eng., with her title as a Security Analyst at Employment and Social Development Canada / Government of Canada. The email ends with a quote from Jeff Bezos: "'The most important thing is to focus obsessively on the customer. Our goal is to be earth's most customer-centric company.' — Jeff Bezos". The bottom of the email shows the standard Outlook-style header with "From:", "Sent:", "To:", "Cc:", "Subject:", and the full list of recipients.

## RE: Next Steps: SA&amp;A Kick-off for: ESDC Virtual Assistant (EVA) Chat: Full Deployment ...



Blake, Niasha N [NC]  
 To: Daigle, Maria MD [NC]  
 Cc: Chen, Zhong Z [NC]; Lozano Garcia, Mario Alberto M [NC];  
 Matin, Abdur Rafey AM [NC]

Tue 2024-12-10 12:53 PM

(1) Follow up. Start by December 10, 2024. Due by December 10, 2024.

Hello Maria,

Rafey has recently joined our team as our IT04 - Senior Technical Advisor for Platform Operations and Support.

Please ensure he has access to the documentation and links below and ensure he is invited to all SA&amp;A discussions.

Thank You,

**NIASHA BLAKE**

Centre d'habilitation en intelligence artificielle / Artificial Intelligence Centre of Enablement  
 Direction générale d'innovation, information et technologies | Innovation, Information and Technology Branch  
 Emploi et Développement social Canada | Employment and Social Development Canada  
 +1 819-643-5314  
[niasha.blake@hrsdc-rhdc.gc.ca](mailto:niasha.blake@hrsdc-rhdc.gc.ca)

**From:** Daigle, Maria MD [NC] <[maria.daigle@hrsdc-rhdc.gc.ca](mailto:maria.daigle@hrsdc-rhdc.gc.ca)>  
**Sent:** December 10, 2024 11:03 AM  
**To:** Lozano Garcia, Mario Alberto M [NC] <[mario.lozano@hrsdc-rhdc.gc.ca](mailto:mario.lozano@hrsdc-rhdc.gc.ca)>; Chen, Zhong Z [NC] <[zhongpaul.chen@hrsdc-rhdc.gc.ca](mailto:zhongpaul.chen@hrsdc-rhdc.gc.ca)>; Presta, Marco M [NC] <[marco.presta@hrsdc-rhdc.gc.ca](mailto:marco.presta@hrsdc-rhdc.gc.ca)>; Blake, Niasha N [NC] <[niasha.blake@hrsdc-rhdc.gc.ca](mailto:niasha.blake@hrsdc-rhdc.gc.ca)>  
**Cc:** Gratton, Mario M [NC] <[mario.m.gratton@hrsdc-rhdc.gc.ca](mailto:mario.m.gratton@hrsdc-rhdc.gc.ca)>  
**Subject:** RE: Next Steps: SA&A Kick-off for: ESDC Virtual Assistant (EVA) Chat: Full Deployment [SA-ID1216]

Hi Eva Chat Solution team,

(1 of 2) The list of controls (190) has been confirmed by the assessor yesterday. My apologies for the delay.

- ([read-only](#)) **EVA Chat PaaS SCTM (Mario Gratton - Dec 09 2024).xlsx**
- I will schedule a meeting with you later this week, to explain the process.
  - IT Security is now using Azure DevOps to manage the evidence gathering workflow.
  - I am currently working on getting the evidence gathering environment ready.

(2 of 2) FYI, once you have answered the 4 questions in email below, this will be used as evidence for some controls in the list above.

Many thanks and have a great day all!

**This evidence is presented in the EVA Chat configuration management document in the following sections.**

- Section 1.3 (Security Representative)
- **Section 1.1.2 (Application Configuration Change Control** *Error! Bookmark not defined.*)
- Section 1.2.2 (Platform Configuration Change Control *Error! Bookmark not defined.*)

**Please See file →**

(#58) CM-3(6) -> Configuration Change Control   Cryptography Management	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b> See file(s):
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	<p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.2 (Application Configuration Change Control      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.2 (Platform Configuration Change Control      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.4 (Cryptographic Management)</li> </ul> <p><b>Please See file →</b></p>	<ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#59) CM-4 -> Security Impact Analysis	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.3 (Application Security Impact Analysis      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.3 (Platform Security Impact Analysis      <b>Error! Bookmark not defined.</b>)</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#60) CM-4(1) -> Security Impact Analysis   Separate Test Environments	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.3 (Application Security Impact Analysis      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.3 (Platform Security Impact Analysis      <b>Error! Bookmark not defined.</b>)</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#61) CM-4(2) -> Security Impact Analysis   Verification of Security Functions	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p>

**Statement describing evidence:****Accessor Note:**

no mention in evidence of checking the security functions as worded in this control

**Response:**

Defender for Cloud continuously monitors the configuration of your Azure resources to identify potential security vulnerabilities and recommends actions to mitigate them. All the resources are continuously being monitored by Microsoft Defender which is part of Azure cloud. The security functions are always verified and monitored.

**For Example:**

- 1.The Key Vault secrets should have an expiration date as recommended by the Defender:
2. Audit diagnostic setting for selected resource type.
3. Firewall should be enabled on Key Vault

Resource type	Count	Severity
Azure Database for PostgreSQL	1	Medium
storage account	1	Low
container registry	1	High
key vault	1	Medium
storage account	1	Medium

**See file(s):**

- AICoE EVA Cloud configuration management\_V1
- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx
- The assumptions included in this RACI file have not been management team.

The screenshot shows the Microsoft Azure portal with the URL <https://portal.azure.com/#@014gc.commicrosoft.com/resource/subscriptions/d204e571-e024-4fbc-901a-f8ff796fbcb4/resourceGroups/EVACHatDev2Rg/security>. The page displays a list of security recommendations under the 'Security' tab. One recommendation is highlighted with a red box: 'Key Vault secrets should have an expiration date'. The table below shows the details of the findings:

Description	Resource type	Count	Severity
[Preview] Container images in Azure registry should have vulnerability findings resolved	azure resources	22	High
Key Vault secrets should have an expiration date	key vault	1	High
Geo-redundant storage should be enabled for Storage Accounts	storage account	1	Low
Audit diagnostic setting for selected resource types	key vault	1	Low

**This evidence is presented in the EVA Chat configuration management document in the following sections.**

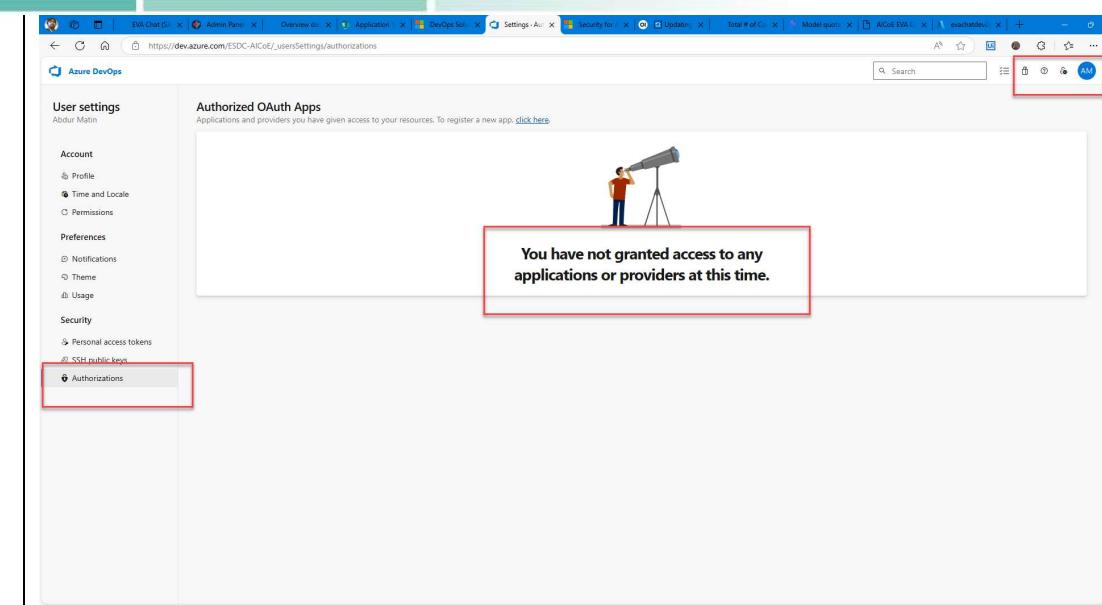
- Section 1.1.3 (Application Security Impact Analysis **Error! Bookmark not defined.**)
- Section 1.2.3 (Platform Security Impact Analysis **Error! Bookmark not defined.**)

**Please See file →**

(#62) CM-5 -> Access Restrictions for Change	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> <b>[Abdur Rafeey Matin – Jan 28, 2025]</b>  <b>Statement describing evidence:</b>  <b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b>	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b>  See file(s):
	<ul style="list-style-type: none"> <li>○ Section 1.1.4 (Application Access Restrictions for Change <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.4 (Platform Access Restrictions for Change <b>Error! Bookmark not defined.</b>)</li> </ul>	<ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



	<b>Please See file →</b>	
(#63) CM-5(1) -> Access Restrictions for Change   Automated Access Enforcement / Auditing	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafeey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> where is the evidence to support "auditing of enforcement action" such as "Change requested by Bob is denied" leaves an audit trail...</p> <p><b>Response:</b></p> <p><b>Access Enforcement:</b> This account has only read access to the EVA Application repository. If this user tries to make any change to the repository this message is displayed.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"><li>○ RE_AU-6(3) - Audit Review_Analysis_and Reporting Repositories - Sentinel SIEM - Process description (R)</li><li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li><li>○ The assumptions included in this RACI file have not been management team.</li></ul>



#### Audit Trails

Since our cloud subscription is Azure PaaS peered to the hub, Cloud operation team will provide Audit trails through Sentinel SIEM. A baseline level of security monitoring exists for all resources connected to the Sentinel SIEM through the CloudOps policy. The SIEM manager confirmed the RACI in the following email.

AU-6(3) -> Audit Review, Analysis, and Reporting   Correlate Audit Repositories (Sentinel SIEM)			
Who is responsible → Process steps ↓	Cloud Operations <ul style="list-style-type: none"> <li>SPO: link <a href="#">here</a></li> <li>GD mailbox: <ul style="list-style-type: none"> <li>EDSC.SOUTIEN.DOPS. INFONUAGIQUES-CLOUD. OPS.SUPPORT.ESDC</li> </ul> </li> </ul>	Cyber Security Operations <ul style="list-style-type: none"> <li>SPO link: Not available</li> <li>GD mailbox: <ul style="list-style-type: none"> <li>EDSC.SECTI-ITSEC.ESDC</li> </ul> </li> </ul>	IITB Solution Team
1. Request creation of new Azure PaaS/IaaS subscriptions			✓
2. Create new subscriptions	✓		
3. Configure subscriptions to automatically send logs to Sentinel SIEM	✓		
• Apply policy to new subscriptions • Default policy name for all IaaS/PaaS: ◦ <a href="#">CloudOps-PolicySetAssignment-Monitoring-DeployLAW-EslZMg</a>			
4. Monitor alerts from Sentinel SIEM		✓	
• Analysis of audit records, eliminate false positives, etc • Triage/prioritise • Report findings to designated suscription owners • Etc.			
5. Manage problems			✓
• Triage/prioritise • Test in Non-prod • Update Prod • Etc.			

(#64) CM-5(2) -> Access Restrictions for Change   Review System Changes	<b>Evidence description</b> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> <b>evidence does not address the "review" requirement</b></p> <p><b>Response:</b></p> <p><b>System changes review and mitigation</b> The application is managed through EVA Admin role. The AICoE Configuration Management committee, that includes, IT Manager, IT Team Lead, and Senior Technical Advisor, meet quarterly to discuss the management strategies. The team can regroup together in case of any unauthored access to the application. The Cloud Operation team will report any unauthorized access to the application to the</p>	<b>Name of other file(s) containing evidence</b> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>◦ AICoE EVA Cloud configuration management_V1</li> <li>◦ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul>
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designated subscription owner. The Senior Technical Advisor, (Security Champion) will organize immediate meetings of configuration Management committee to discuss the impact of unauthorized access and any changes related to it. The committee will take proper action to mitigate the incident.

AU-6(3) -> Audit Review, Analysis, and Reporting   Correlate Audit Repositories (Sentinel SIEM)			
Who is responsible → Process steps ↓	Cloud Operations	Cyber Security Operations	IITB Solution Team
1. Request creation of new Azure PaaS/IaaS subscriptions			✓
2. Create new subscriptions • Prod • Non-prod	✓		
3. Configure subscriptions to automatically send logs to Sentinel SIEM • Apply policy to new subscriptions • Default policy name for all IaaS/PaaS: ◦ CloudOps-PolicySetAssignment-Monitoring-DeployLAW-EslZMg	✓		
4. Monitor alerts from Sentinel SIEM • Analysis of audit records, eliminate false positives, etc • Triage/prioritize • Report findings to designated subscription owners • Etc.		✓	
5. Manage problems • Triage/prioritize • Test in Non-prod • Update Prod • Etc.			✓

This evidence is presented in the EVA Chat configuration management document in the following sections.

- Section 1.1.4 (Application Access Restrictions for Change) **Error! Bookmark not defined.**
- Section 1.2.4 (Platform Access Restrictions for Change) **Error! Bookmark not defined.**

Please See file →

(#65) CM-5(5) -> Access Restrictions for Change | Limit Production / Operational Privileges

#### Evidence description

Latest at the top

-----  
Iteration #1  
[Abdur Rafey Matin – Jan 28, 2025]

#### Statement describing evidence:

This evidence is presented in the EVA Chat configuration management document in the following sections.

- Section 1.1.4 (Application Access Restrictions for Change) **Error! Bookmark not defined.**

#### Name of other file(s) containing evidence

Latest at the top

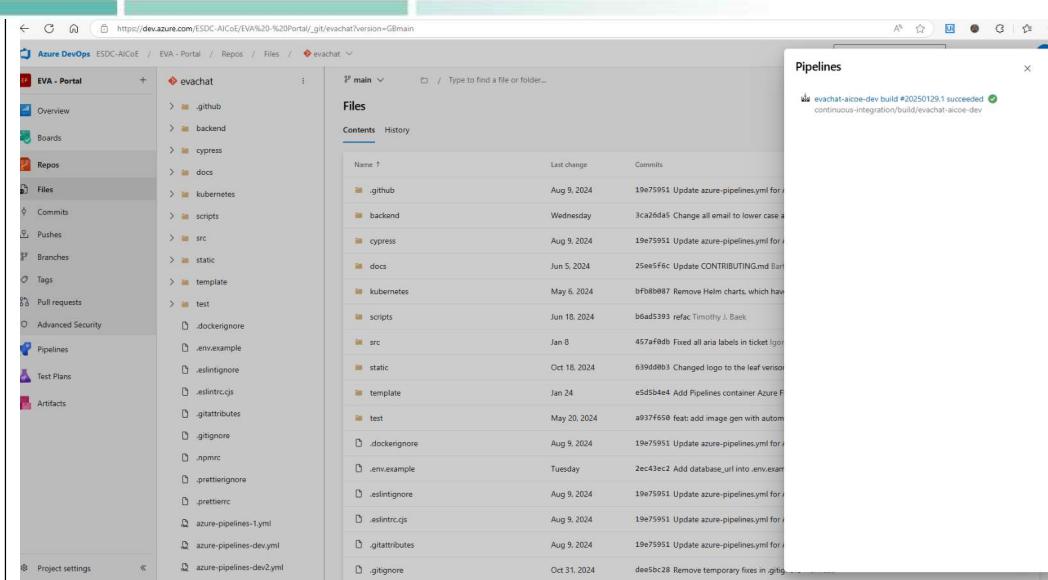
-----  
Iteration #1

#### See file(s):

- AICoE EVA Cloud configuration management\_V1
- RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx
- The assumptions included in this RACI file have not been management team.

	<ul style="list-style-type: none"> <li>○ Section 1.2.4 (Platform Access Restrictions for Change) <b>Error! Bookmark not defined.)</b>  <b>Please See file →</b></li> </ul>	
(#66) CM-5(6) -> Access Restrictions for Change   Limit Library Privileges	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1.4 (Application Access Restrictions for Change) <b>Error! Bookmark not defined.)</b></li> <li>○ Section 1.2.4 (Platform Access Restrictions for Change) <b>Error! Bookmark not defined.)</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#67) CM-6 -> Configuration Settings	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1.5 (Application Configuration Settings) <b>Error! Bookmark not defined.)</b></li> <li>○ Section 1.2.5 (Platform Configuration Settings) <b>Error! Bookmark not defined.)</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#68) CM-6(1) -> Configuration Settings   Automated Central Management / Application / Verification	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>

	<p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections</p> <ul style="list-style-type: none"> <li>○ Section 1.1.5 (Application Configuration Settings) <b>Error! Bookmark not defined.</b></li> <li>○ Section 1.2.5 (Platform Configuration Settings) <b>Error! Bookmark not defined.</b></li> </ul> <p><b>Please See file →</b></p>	<p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#69) CM-6(2) -> Configuration Settings   Respond to Unauthorized Changes	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b></p> <p>what tools and how do you respond to unauthorized changes?</p> <p><b>Response:</b></p> <p><b>Unauthorized Changes to Configuration</b></p> <p>The AICoE DevOps team will have a weekly review of the EVA Chat configuration files on the GitHub code repository. The team will match the original configuration with the current state. In case any change in configuration is detected will immediately be informed to the IT Team lead and IT Manager. On the directive of IT Manager, the DevOps will rebuild the pipeline and re-deploy the application with the original set of comigration.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



**This evidence is presented in the EVA Chat configuration management document in the following sections.**

- Section 1.1.5 (Application Configuration Settings) **Error! Bookmark not defined.**)
- Section 1.2.5 (Platform Configuration Settings) **Error! Bookmark not defined.**)

**Please See file →**

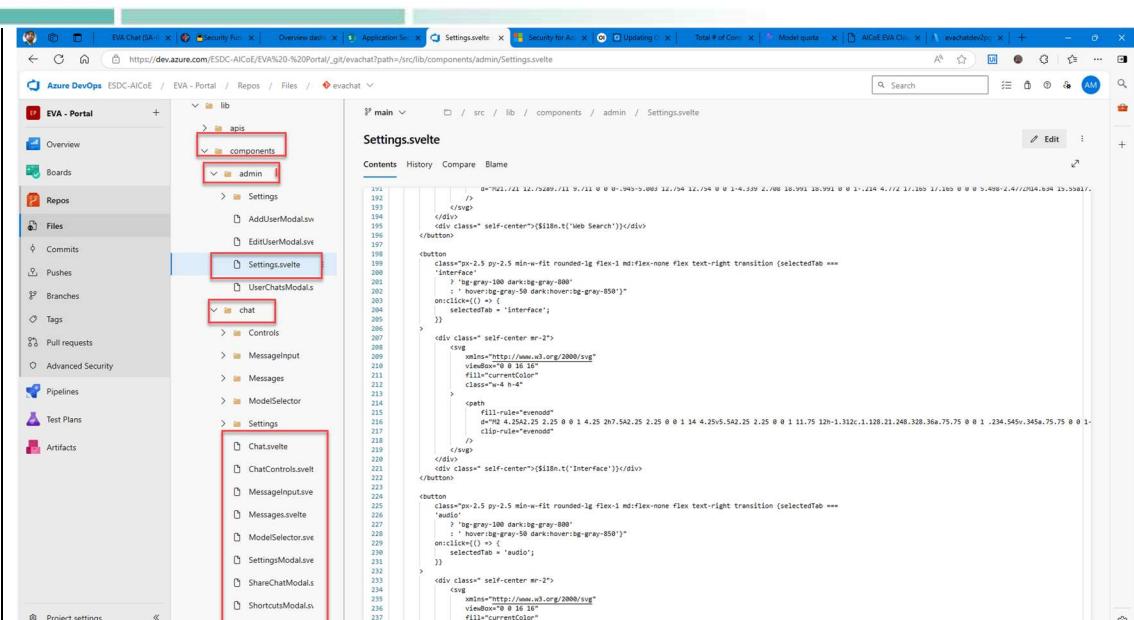
(#70) CM-7 -> Least Functionality	Evidence description  Latest at the top  ----- <b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]  Statement describing evidence:  <b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b> <ul style="list-style-type: none"> <li>○ Section 1.1.6 (Application Least Functionality) <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.6 (Platform Least Functionality) <b>Error! Bookmark not defined.</b>)</li> </ul>	Name of other file(s) containing evidence  Latest at the top  ----- <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
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	<b>Please See file →</b>	
(#71) CM-7(1) -> Least Functionality   Periodic Review	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.6 (Application Least Functionality) <b>Error! Bookmark not defined.</b></li> <li>○ Section 1.2.6 (Platform Least Functionality) <b>Error! Bookmark not defined.</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#72) CM-7(3) -> Least Functionality   Registration Compliance	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.6 (Application Least Functionality) <b>Error! Bookmark not defined.</b></li> <li>○ Section 1.2.6 (Platform Least Functionality) <b>Error! Bookmark not defined.</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#73) CM-8 -> Information System Component Inventory	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>

	<p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.7 (Application Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.7 (Platform Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> </ul> <p>Please See file →</p>	<p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#74) CM-8(1) -> Information System Component Inventory   Updates During Installations / Removals	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.7 (Application Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.7 (Platform Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> </ul> <p>Please See file →</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#75) CM-8(2) -> Information System Component Inventory   Automated Maintenance	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>This evidence is presented in the EVA Chat configuration management document in the following sections.</p> <ul style="list-style-type: none"> <li>○ Section 1.1.7 (Application Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.7 (Platform Information System Component Inventory      <b>Error! Bookmark not defined.</b>)</li> </ul> <p>Please See file →</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



<p>(#76) CM-8(3) -&gt; Information System Component Inventory   Automated Unauthorized Component Detection</p>	<p><b>Evidence description</b>  <b>Evidence description</b>  Latest at the top</p> <hr/> <p><b>Iteration #2</b>  <b>[Abdur Rafey Matin – Feb 03, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b></p> <p><b>This aspect is not in the evidence:</b>  "detect the presence of unauthorized..."</p> <p><b>Response:</b>  The unauthorized component detected is integrated with CI/CD pipelines. The Azure package scanning tool checks for the unwanted libraries. There is a components modal group created to maintain the integrity of components. There are Svelte Dev Tool files created to inspect the state and hierarchies of the component. When the deployment pipeline is executed, it uses this modal file to deploy the approved list of components using this file.</p> <p>There are two main sets of Components. All the components are listed in these files. These files can only be modified by EVA Chat Admin. When the pipelines are executed, it checks for the list of components. Only components from this list will get deployed, hence ensuring the integrity of the system. <b>This will never always prevent any duplication of components.</b> This is the automated mechanism of system component inventory.</p> <p><b>1. Admin</b>  AddUserModal.svelte  Settings.svelte  UserChatsModal.svelte</p> <p><b>2. Chat (User)</b>  ChatControls.svelte  SettingsModal.svelte  TagChatModal.svelte</p>	<p><b>Name of other file(s) containing evidence</b>  Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
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The screenshot shows the Azure DevOps interface for the EVA - Portal project. The left sidebar lists various project sections like Overview, Boards, Repos, Files, Commits, Pushes, Branches, Tags, Pull requests, Advanced Security, Pipelines, Test Plans, and Artifacts. The main area displays the file structure under 'Repos' for the 'evachat' repository. A specific file, 'Settings.svelte', is open in the code editor. The code is written in Svelte, a dynamic HTML templating language. Several components are highlighted with red boxes: 'components/admin/Settings.svelte', 'components/chat/ChatControls.svelte', 'components/messages/MessageInput.svelte', 'components/messages/Messages.svelte', 'components/settings/SettingsModal.svelte', and 'components/settings/Chats.svelte'. The code editor shows the source code with line numbers from 191 to 377.

The Admin can also verify from the history, if the component list has been altered or modified.

```

1 <script>
2   import { createEventDispatcher, getContext } from 'svelte';
3   const dispatch = createEventDispatcher();
4   const libName = getContext('libName');
5
6   import X from '$lib/components/common/X';
7   import { Settings } from '$lib/components/admin/Settings';
8   import Values from '$lib/components/common/Values';
9   import FileItem from '$lib/components/common/FileItem';
10
11  export let models = [];
12
13  export let chatFile = '';
14  export let values = {};
15  export let params = {};
16
17  <div class="dark-text-white">
18    <div class="flex justify-between dark:text-gray-100 mb-2">
19      <div class="flex flex-col gap-1">
20        <div class="self-center" style="font-size: 1.5em; font-weight: bold; color: #007bff; text-decoration: underline; cursor: pointer;">
21          <span>Close Chat Controls</span>
22        </div>
23        <div class="self-center" style="font-size: 1.5em; font-weight: bold; color: #007bff; text-decoration: underline; cursor: pointer;">
24          <span>Close</span>
25        </div>
26      </div>
27      <div class="flex flex-col gap-1" style="margin-left: 10px; align-items: center; justify-content: space-around; width: fit-content; margin-bottom: 10px; border: 1px solid #007bff; padding: 5px; border-radius: 5px; background-color: #e6f2ff; font-size: 0.8em; font-weight: bold; color: #007bff; text-decoration: underline; cursor: pointer;">
28        <div>Close</div>
29      </div>
30    </div>
31    <div class="dark-text-gray-200 text-sm font-primary">
32      <div>{chatFile.length > 0}</div>
33      <div><div class="mb-1.5 font-medium" style="border-bottom: 1px solid #007bff; padding-bottom: 2px; margin-bottom: 5px; font-size: 0.9em; font-weight: bold; color: #007bff; text-decoration: underline; cursor: pointer;">
34        <span>Chat Controls</span>
35      </div>
36      <div class="flex flex-col gap-1">
37        <div>{chatFile.length > 0}</div>
38        <div>{chatFile[0].name}</div>
39        <div>{chatFile[0].url}</div>
40      </div>
41    </div>
42  </div>

```

This evidence is presented in the EVA Chat configuration management document in the following sections.

- Section 1.1.7 (Application Information System Component Inventory) **Error! Bookmark not defined.)**
- Section 1.2.7 (Platform Information System Component Inventory) **Error! Bookmark not defined.)**

Please See file →

(#77) CM-8(4) -> Information System Component Inventory | Accountability Information

#### Evidence description

Latest at the top

**Iteration #1**  
[Abdur Rafey Matin – Jan 28, 2025]

#### Statement describing evidence:

This evidence is presented in the EVA Chat configuration management document in the following sections.

- Section 1.1.7 (Application Information System Component Inventory) **Error! Bookmark not defined.)**
- Section 1.2.7 (Platform Information System Component Inventory) **Error! Bookmark not defined.)**

Name of other file(s) containing evidence

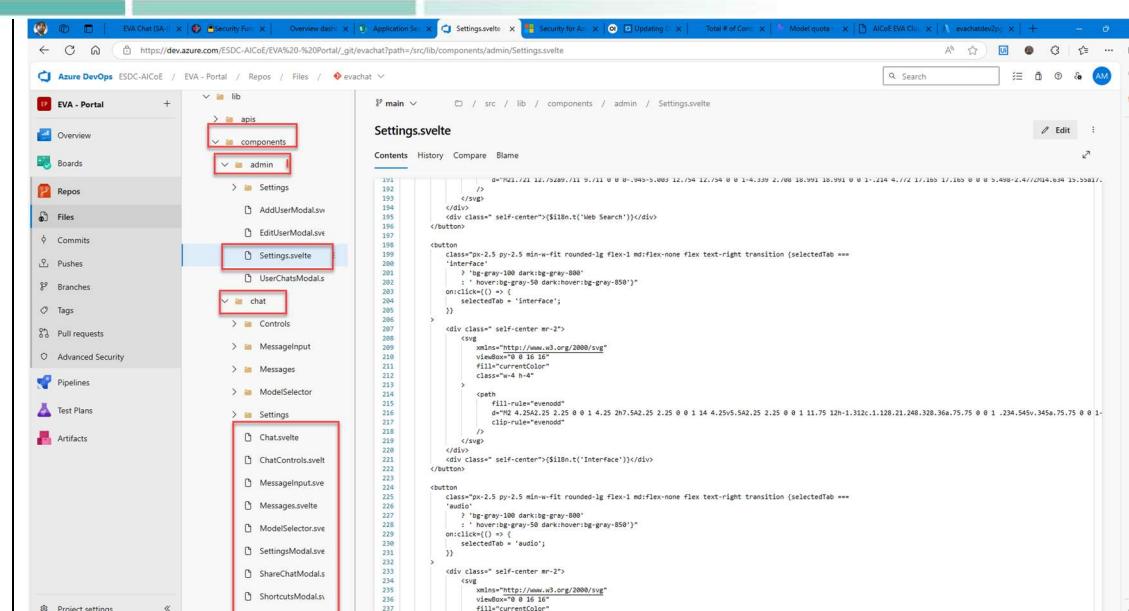
Latest at the top

**Iteration #1**

See file(s):

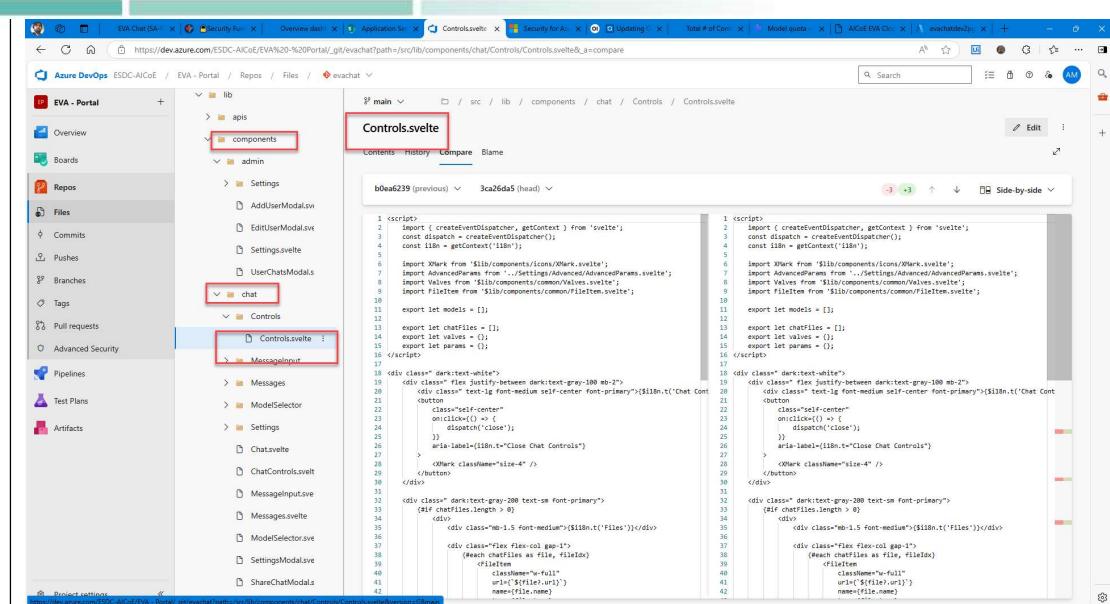
- AICoE EVA Cloud configuration management\_V1
- RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx
- The assumptions included in this RACI file have not been management team.

	<b>Please See file →</b>	
(#78) CM-8(5) -> Information System Component Inventory   No Duplicate Accounting of Components	<p><b>Evidence description</b>  <b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b>  <b>[Abdur Rafey Matin – Feb 03, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b>  How is this performed? Not explained in the evidence.?</p> <p><b>Response:</b>  <b>Response:</b>  The unauthorized component detected in integrated with CI/CD pipelines. The Azure package scanning tool checks for the unwanted libraries. There is a components modal group created to maintain the integrity of components. There are Svelte Dev Tool files created to inspect the state and hierarchies of the component. When the deployment pipeline is executed. It uses this modal file to deploy the approved list of components using this file.</p> <p>There are two main set of Components. All the components are listed in these files. These files can only be modified by EVA Chat Admin. When the pipelines are executed, it checks for list of components. Only component from this list will get deployed, hence ensuring the integrity of the system. <b>This will never always prevent any duplication of components.</b> This is the automated mechanism of system component inventory.</p> <ol style="list-style-type: none"> <li>1. <b>Admin</b>  AddUserModal.svelte  Settings.svelte  UserChatsModal.svelte</li> <li>2. <b>Chat (User)</b>  ChatControls.svelte  SettingsModal.svelte  TagChatModal.svelte</li> </ol>	<p><b>Name of other file(s) containing evidence</b>  <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



The screenshot shows the Azure DevOps interface for the EVA - Portal project. The left sidebar lists various project sections like Overview, Boards, Repos, and Files. The main area displays the file structure under 'Repos' for the 'evachat' branch. A specific file, 'Settings.svelte', is open in the code editor. The code is written in Svelte, a dynamic HTML templating language. Several components are highlighted with red boxes: 'components/admin/Settings.svelte', 'components/chat/ChatControls.svelte', 'components/chat/MessageInput.svelte', 'components/chat/Messages.svelte', 'components/chat/ModelSelector.svelte', 'components/chat/SettingsModal.svelte', 'components/chat/ShareChatModals.svelte', 'components/chat/ShortcutsModals.svelte', and 'components/chat/TacChatModal.svelte'. The code editor shows the source code with line numbers from 191 to 377.

The Admin can also verify from the history, if the component list has been altered or modified.



**This evidence is presented in the EVA Chat configuration management document in the following sections.**

- Section 1.1.7 (Application Information System Component Inventory)
  - Section 1.2.7 (Platform Information System Component Inventory)

Please See file →

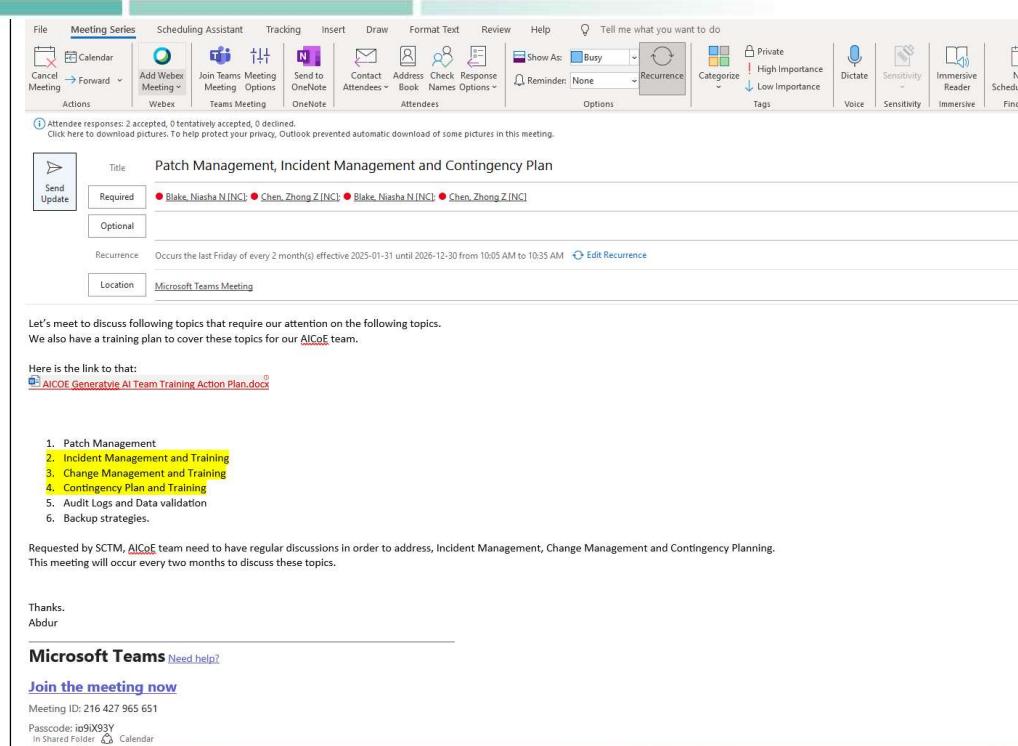
(#79) CM-9 -> Configuration Management Plan	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 28, 2025]</b>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
	<b>Statement describing evidence:</b>  <b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b> <ul style="list-style-type: none"> <li>○ Section 1.1.8 (Application Configuration Management Plan   <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.8 (Platform Configuration Management Plan   <b>Error! Bookmark not defined.</b>)</li> </ul>	

	<b>Please See file →</b>	
(#80) CM-10 -> Software Usage Restrictions	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 28, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Chat configuration management document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.1.9 (Application Software Usage Restrictions) <b>Error! Bookmark not defined.</b>)</li> <li>○ Section 1.2.9 (Platform Software Usage Restrictions<b>Error! Bookmark not defined.</b>)</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud configuration management_V1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
<b>6. Contingency planning (CP)</b>	---	---
(#81) CP-2 -> Contingency Plan	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.0 → Plan Scope</li> <li>○ Section 1.2 → Recovery Contacts</li> <li>○ Section 2.2 → Recovery Strategy</li> <li>○ Section 2.2.1 → Recovery Capability</li> <li>○ Section 2.2.3 → PostgreSQL DB Backup</li> <li>○ Section 2.2.4 → EVA Application Backup</li> <li>○ Section 3.1 → Recovery Steps for Application on the Cloud</li> </ul>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>a. The assumptions included in this RACI file have not been management team.</li> </ul>

	<b>Please See file →</b>	
(#82) CP-2(1) -> Contingency Plan   Coordinate with Related Plans	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.0 → Plan Scope</li> <li>○ Section 1.2 → Recovery Contacts</li> <li>○ Section 2.2 → Recovery Strategy</li> <li>○ Section 2.2.1 → Recovery Capability</li> <li>○ Section 2.2.3 → PostgreSQL DB Backup</li> <li>○ Section 2.2.4 → EVA Application Backup</li> <li>○ Section 3.1 → Recovery Steps for Application on the Cloud</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>
(#83) CP-2(2) -> Contingency Plan   Capacity Planning	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 1.0 → Plan Scope</li> <li>○ Section 1.2 → Recovery Contacts</li> <li>○ Section 2.2 → Recovery Strategy</li> <li>○ Section 2.2.1 → Recovery Capability</li> <li>○ Section 2.2.3 → PostgreSQL DB Backup</li> </ul>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>

	<ul style="list-style-type: none"> <li>○ Section 2.2.4 → EVA Application Backup</li> <li>○ Section 3.1 → Recovery Steps for Application on the Cloud</li> </ul> <p><b>Please See file →</b></p>	
(#84) CP-2(4) -> Contingency Plan   Resume All Missions / Business Functions	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> There is no indication of time period other than the generic statement (without actual values): Recovery Time Capability: Meets RTO and RPO</p> <p><b>Response:</b> <b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 3.1.1 → Recovery Steps and testing</li> <li>○ <b>Section 3.1.3 Resume All Mission and Recovery Time</b></li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>
(#85) CP-2(6) -> Contingency Plan   Alternate Processing / Storage Site	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 3.1.2 → Alternate Processing</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>

(#86) CP-3 -> Contingency Training	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>A- It is part of on-boarding plan for the employee to complete the training plan that includes a training on contingency Resiliency and continuity, and Service Assurance The employee will also go through the RBAC document for the clarification of the roles and responsibilities.</p> <p>B- The Training plan is designed for the employees to ensure continuity of services and safeguards required for that purpose.</p> <p>C- The AICoE Management requires every employee to refresh the training plan every year, to keep the employees up to date on the concepts.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE Generatvie AI Team Training Action Plan_V01.docx</li> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1...</li> <li>    • RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#87) CP-3(1) -> Contingency Training   Simulated Events	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>The AICoE team will handle requests from NSD tickets. The ticket will send to the IT Manager. The IT Manager will assign the ticket to the relevant member handling the incident. The employees must complete a training plan that covers the Incident management.</p> <p>A bi-month meeting will be held to discuss the contingency plans and training required for that purpose. AI Management and Senior TA meeting is scheduled every two months discuss the incident response action items.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE Generatvie AI Team Training Action Plan_V01.docx</li> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1...</li> <li>    • RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



(#88) CP-4 -> Contingency Plan Testing	<b>Evidence description</b>  <b>Latest at the top</b>  <b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]  <b>Statement describing evidence:</b>  <b>Accessor Note:</b> This control is about testing the CP at set frequencies. At what frequency are you testing the CP?  <b>Response:</b>	<b>Name of other file(s) containing evidence</b>  <b>Latest at the top</b>  <b>Iteration #2</b>  See file(s): <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P...</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have by the management team.</p>
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	<p>The Contingency plan will go through a full scale testing every six months which will include:</p> <ol style="list-style-type: none"> <li>1. Review the components of EVA Chat architecture</li> <li>2. Review the environment configuration (Dev, Staging and Prod)</li> <li>3. Review the backup of Azure Pipelines</li> <li>4. Review the backup of Database, logs and Fileshare</li> </ol> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>o Section 3.1.1 → Recovery Steps and testing</li> </ul> <p><b>Please See file →</b></p>	
(#89) CP-4(1) -> Contingency Plan Testing   Coordinate with Related Plans	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>o Section 3.1.1 → Recovery Steps and testing</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have by the management team.</p>
(#90) CP-4(2) -> Contingency Plan Testing   Alternate Processing Site	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>o Section 3.1 → Recovery Steps for Application on the Cloud</li> <li>o Section 3.1.2 → Alternate Processing</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have by the management team.</p>

(#91) CP-6 -> Alternate Storage Site	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 3.1.1 → Recovery Steps and testing</li> <li>○ Section 3.1.2 → Alternate Processing</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan v3.xlsx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>
(#92) CP-7 -> Alternative Processing Site	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 3.1.1 → Recovery Steps and testing</li> <li>○ Section 3.1.2 → Alternate Processing</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan v3.xlsx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have been reviewed by the management team.</p>



#93) CP-9 -> Information System Backup	<b>Evidence description</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Azure Logs:</b> This log only shows post, get, and requests and whether they were successful or not. They are stored in azure app container, and it is backed up daily incremental.</p> <p><b>PostgreSQL Database plus volume fileshare:</b></p> <ul style="list-style-type: none"> <li>• Chat History</li> <li>• (Approved List of users) will be switched to azure user group.</li> <li>• Authentication information (Email and OAuth Sub, timestamp)</li> <li>• Uploaded Files</li> </ul> <p>Currently there is no set time as it is on pilot, and it gets frequently wiped due to database and schema changes. This can be configured. In the future we plan to keep the chat history and uploaded file for days which is standard best practice. Chat history will be kept for configurable time. By default, it is minimum 7. This can be configured up to 35 days. We can configure it to stay for days which is standard best practice. The retention configuration is shown in the image.</p>		<b>Name of other file(s) containing evidence</b> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>○ AICoE EVA Cloud Solution Audit Strategy v1</li> <li>○ RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
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Name	Status	Completion timestamp (UTC)	Retained till (UTC)	Type	Actions
Automated backup #3	Completed	2025-01-23 21:24:10.167	2025-01-30 21:24:10.167	Automated full backup	Fast restore
Automated backup #2	Completed	2025-01-22 21:27:51.472	2025-01-29 21:27:51.472	Automated full backup	Fast restore
Automated backup #1	Completed	2025-01-21 21:26:44.358	2025-01-28 21:26:44.358	Automated full backup	Fast restore

**Section → 1.1 Information type and event**

**Section → 1.2.2 Log Retention Policy**

→ See File

(#94) CP-9(1) -> Information System Backup | Testing for Reliability / Integrity

**Evidence description**

**Latest at the top**

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**Iteration #2**

**[Abdur Rafey Matin – Feb 03, 2025]**

**Statement describing evidence:**

**Accessor Note:**

This control is about testing the capability to perform backup and to test the quality of backups.  
the evidence provided does not address this.

**Response:**

**Name of other file(s) containing evidence**

**Latest at the top**

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**Iteration #1**

See file(s):

- AICoE EVA Cloud Contingency and Technical Recovery Plan
- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx
  - a. The assumptions included in this RACI file have been reviewed by the management team.

Restoration sampling is not required on Azure. Azure Database backup can be restored to a target database with different name specified. The restoration can be verified offline from the main database. The Azure resources are backed up daily and incrementally. The last day backup will provide the reliable and complete set of information.

#### [evachatdev2pg - Microsoft Azure](#)

Azure Database for PostgreSQL flexible servers are backed up automatically. Available full backups for restores are listed below.

Name	Status	Completion timestamp (UTC)	Retained till (UTC)	Type	Actions
Automated backup #7	Completed	2025-02-02 21:20:13.409	2025-02-09 21:20:13.409	Automated full backup	Fast restore
Automated backup #6	Completed	2025-02-01 21:23:22.390	2025-02-08 21:23:22.390	Automated full backup	Fast restore
Automated backup #5	Completed	2025-01-31 21:23:38.774	2025-02-07 21:22:38.774	Automated full backup	Fast restore
Automated backup #4	Completed	2025-01-30 21:21:42.584	2025-02-06 21:21:42.584	Automated full backup	Fast restore
Automated backup #3	Completed	2025-01-29 21:20:30.966	2025-02-05 21:20:30.966	Automated full backup	Fast restore
Automated backup #2	Completed	2025-01-28 21:19:25.770	2025-02-04 21:19:25.770	Automated full backup	Fast restore
Automated backup #1	Completed	2025-01-27 21:23:39.976	2025-02-03 21:23:39.976	Automated full backup	Fast restore

(#95) CP-9(2) -> Information System Backup | Test Restoration using Sampling

#### Evidence description

Latest at the top

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Iteration #1  
[Abdur Rafey Matin – Feb 03, 2025]

#### Name of other file(s) containing evidence

Latest at the top

-----  
Iteration #1

See file(s):

**Statement describing evidence:****Accessor Note:**

This control is about testing the capability to perform backup and to test the quality of backups. the evidence provided does not address this.

**Response:**

Restoration sampling is not required on Azure. Azure Database backup can be restored to a target database with different name specified. The restoration can be verified offline from the main database. The Azure resources are backed up daily and incrementally. The last day backup will provide the reliable and complete set of information.

[evachatdev2pg - Microsoft Azure](#)

Azure Database for PostgreSQL flexible servers are backed up automatically. Available full backups for restores are listed below. The last backup contains the complete set of information.

Name	Status	Completion timestamp (UTC)	Retained till (UTC)	Type	Actions
Automated backup #7	Completed	2025-02-02 21:20:13.409	2025-02-09 21:20:13.409	Automated full backup	Fast restore
Automated backup #6	Completed	2025-02-01 21:23:22.390	2025-02-08 21:23:22.390	Automated full backup	Fast restore
Automated backup #5	Completed	2025-01-31 21:22:38.774	2025-02-07 21:22:38.774	Automated full backup	Fast restore
Automated backup #4	Completed	2025-01-30 21:21:42.584	2025-02-06 21:21:42.584	Automated full backup	Fast restore
Automated backup #3	Completed	2025-01-29 21:20:30.966	2025-02-05 21:20:30.966	Automated full backup	Fast restore
Automated backup #2	Completed	2025-01-28 21:19:25.770	2025-02-04 21:19:25.770	Automated full backup	Fast restore
Automated backup #1	Completed	2025-01-27 21:22:33.976	2025-02-03 21:22:33.976	Automated full backup	Fast restore

- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx
  - a. The assumptions included in this RACI file have been reviewed by the management team.

(#96) CP-9(3) -> Information System Backup   Separate Storage for Critical Information	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Extra Details.</p> <p>There are two different types of information that we store for EVA Chat application. They both are stored in separate locations, and they are different type of information.</p> <ol style="list-style-type: none"> <li>1. Azure Logs (Stored in App Container Logs), post, get, and requests and whether they were successful or not.           <pre>INFO: 127.0.0.1:44100 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:52338 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:57358 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:44754 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:59780 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:43844 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:33664 - "GET / HTTP/1.1" 200 OK INFO: 127.0.0.1:50802 - "GET / HTTP/1.1" 200 OK</pre> </li> <li>2. PostgreSQL Diabase plus Volume file Share (Chat History)</li> </ol>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx           <ul style="list-style-type: none"> <li>a. The assumptions included in this RACI file have been reviewed by the management team.</li> </ul> </li> </ul>	

Name	Status	Completion timestamp (UTC)	Retained till (UTC)	Type	Actions
Automated backup #3	Completed	2025-01-23 21:24:10.167	2025-01-30 21:24:10.167	Automated full backup	Fast restore
Automated backup #2	Completed	2025-01-22 21:27:51.472	2025-01-29 21:27:51.472	Automated full backup	Fast restore
Automated backup #1	Completed	2025-01-21 21:26:44.358	2025-01-28 21:26:44.358	Automated full backup	Fast restore

**Section → 1.1 Information type and event**

→ See File

(#97) CP-9(5) -> Information System Backup | Transfer to Alternate Storage Site

**Evidence description**

Latest at the top

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Iteration #1

[Abdur Rafeey Matin – Jan 29, 2025]

Statement describing evidence:

This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.

- Section 2.1.1 Recovery Capability
- Section 2.2.3 PostGresQL DB Backup
- Section 2.2.4 Application Backup
- Section 3.1.1 → Recovery Steps and testing
- Section 3.1.3 → Resume All Mission

**Name of other file(s) containing evidence**

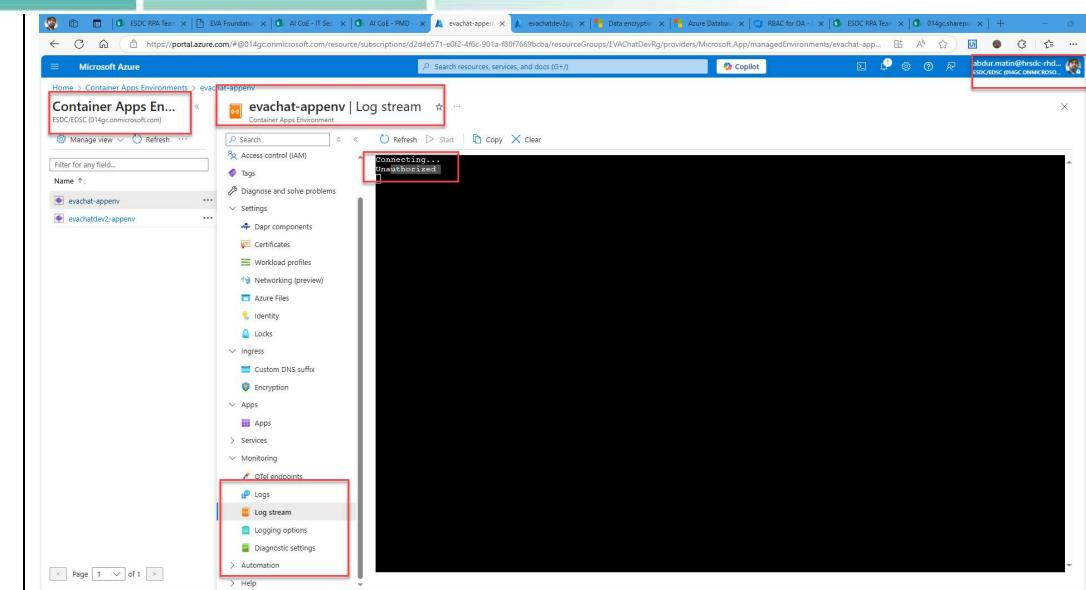
Latest at the top

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Iteration #1

See file(s):

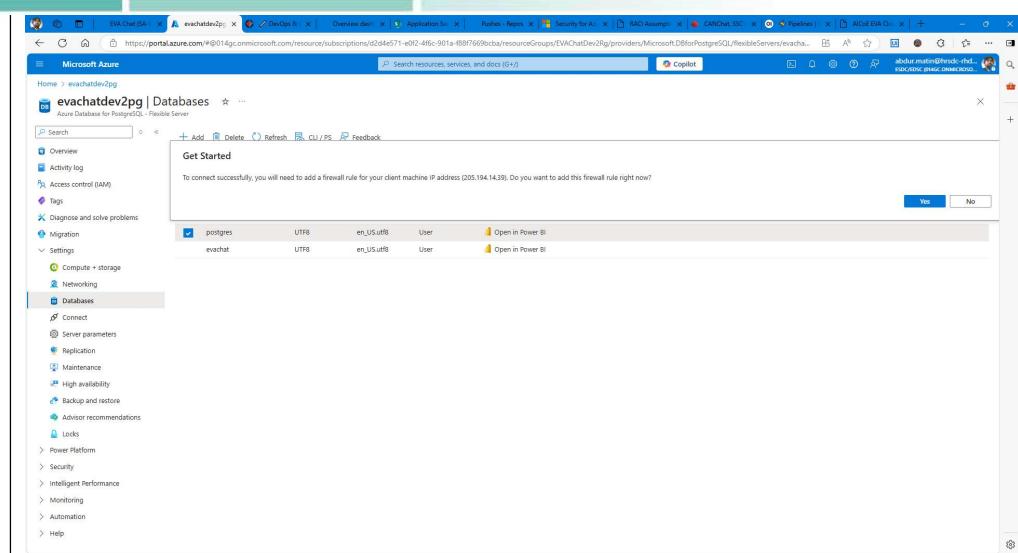
- AICoE EVA Cloud Contingency and Technical Recovery P
- RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx
  - a. The assumptions included in this RACI file have by the management team.

	<p>Please See file →</p>	
(#98) CP-9(7) -> Information System Backup   Dual Authorization	<p><b>Evidence description</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Extra Details;</b> There are two different types of information that we store for EVA Chat application. They both are stored in separate locations, and they are different type of information.</p> <p>1. Azure Logs (Stored in App Container Logs), post, get, and requests and whether they were successful or not. This type of log is requiring dual authentication.</p> <ul style="list-style-type: none"><li>• The first authentication is from Microsoft soft Entra ID to log in to Azure Portal.</li><li>• Once you are in the portal, you need special access to access the logs or delete the logs.</li></ul>	<p><b>Name of other file(s) containing evidence</b> <b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"><li>• AICoE EVA Cloud Contingency and Technical Recovery P</li><li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx<ul style="list-style-type: none"><li>a. The assumptions included in this RACI file have by the management team.</li></ul></li></ul>



2. PostgreSQL Database plus Volume file Share (Chat History)

- The first authentication is from Microsoft soft Entra ID to log in to Azure Portal.
- Once you are at the Database level, you need another permission to be part of the AD group to access the PostgreSQL.

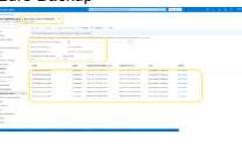
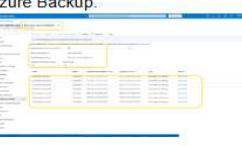


(#99) CP-10 -> Information System Recovery and Reconstitution	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 29, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b></p> <ul style="list-style-type: none"> <li>○ Section 2.1.1 Recovery Capability</li> <li>○ Section 2.2.3 PostGresSQL DB Backup</li> <li>○ Section 2.2.4 Application Backup</li> <li>○ Section 3.1.1 → Recovery Steps and testing</li> <li>○ Section 3.1.3 → Resume All Mission</li> </ul> <p><b>Please See file →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery Plan</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx             <ul style="list-style-type: none"> <li>a. The assumptions included in this RACI file have been reviewed by the management team.</li> </ul> </li> </ul>
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(#100) CP-10(2) -> Information System Recovery and Reconstitution   Transaction Recovery	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 29, 2025]</b> <b>Statement describing evidence:</b> <b>This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.</b> <ul style="list-style-type: none"> <li>○ Section 2.1.1 Recovery Capability</li> <li>○ Section 2.2.3 PostGresSQL DB Backup</li> <li>○ Section 2.2.4 Application Backup</li> <li>○ Section 3.1.1 → Recovery Steps and testing</li> <li>○ Section 3.1.2 → Alternate Processing</li> </ul> <b>Please See file →</b>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have by the management team.</p>
(#101) CP-10(4) -> Information System Recovery and Reconstitution   Restore within Time Period	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #2</b> <b>[Abdur Rafey Matin – Feb 03, 2025]</b> <b>Statement describing evidence:</b> <b>Accessor Note</b> Where is the "expected time period" documented? <b>Response:</b>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #2</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Contingency and Technical Recovery P</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</li> </ul> <p>a. The assumptions included in this RACI file have by the management team.</p>



	<b>Recovery Time</b>	<b>Description</b>
EVA Chat Application	~ 3 to 4 hours	This is backed up daily. The application will be restored from the Azure Backup 
PostGres SQL DB	~ 3 to 4 hours	This is backed up daily. The application will be restored from the Azure Backup. 
Azure Data Center	~ 24 to 48 Hours	EVA Chat Infrastructure is hosted on Microsoft Azure Cloud if the data centre is gone, it will take a 24 to 48 hours to restore.

This evidence is presented in the EVA Contingency and Technical Recovery Plan document in the following sections.

- Resume All Mission and Recovery Time

Please See file →

## 7. Identification and Authentication (IA)

(#102) IA-2(10) -> Identification and Authentication (Organizational Users) | Single Sign-On

### Evidence description

Latest at the top

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Iteration #1  
[Abdur Rafey Matin – Jan 16, 2025]

Statement describing evidence:

### Name of other file(s) containing evidence

Latest at the top

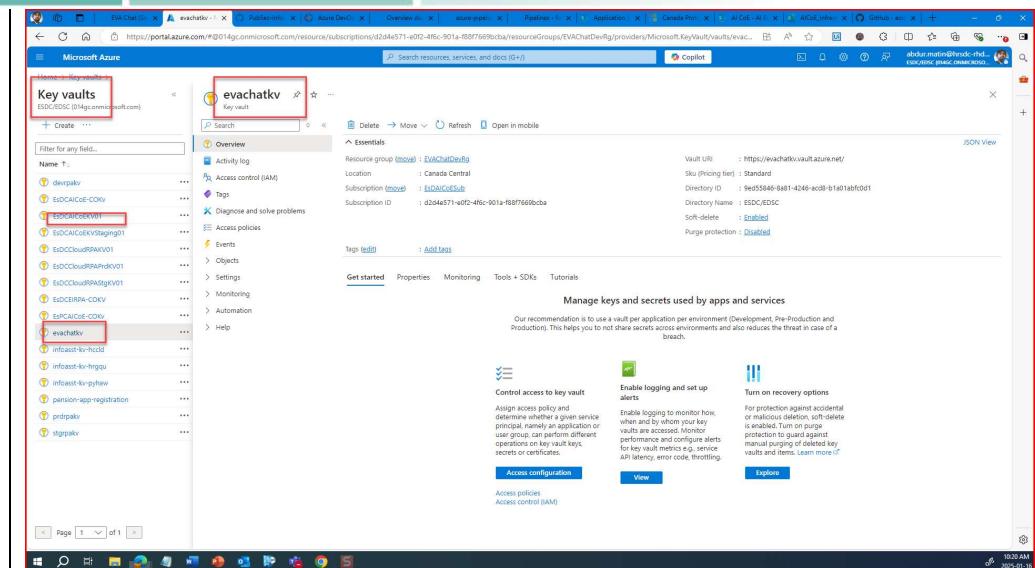
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Iteration #1

See file(s):

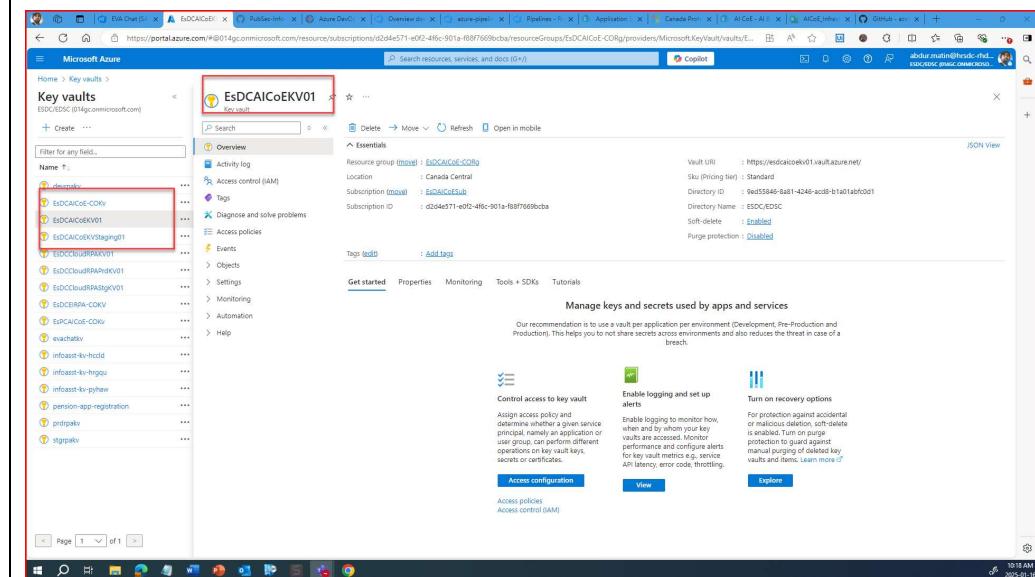
- RACI Assumptions - EVA Chat (SA-ID1216)

	<p><b>Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</b></p> <p>Implementation status: Inherited</p> <ul style="list-style-type: none"> <li>• IAM team (EntralID)</li> <li>and/or</li> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> <p>Justification:</p> <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntralID is used for Identification/authentication.</li> </ul> <p>See file -&gt;</p>	<ul style="list-style-type: none"> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#103) IA-3 -> Device Identification and Authentication	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</b></p> <p>Implementation status: Inherited</p> <ul style="list-style-type: none"> <li>• IAM team (EntralID)</li> <li>and/or</li> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> <p>Justification:</p> <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntralID is used for Identification/authentication.</li> </ul> <p>See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#104) IA-4(7) -> Identifier Management   In Person Registration	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p>

	<p>[Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</b></p> <p>Implementation status: Inherited</p> <ul style="list-style-type: none"> <li>• IAM team (EntraID)</li> </ul> <p>and/or</p> <ul style="list-style-type: none"> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> <p>Justification:</p> <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntraID is used for Identification/authentication.</li> </ul> <p>See file -&gt;</p>	<p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul>
(#105) IA-5(7) -> Authenticator Management   No Embedded Unencrypted Static Authenticators	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p><b>[[Abdur Rafey Matin – Jan 16, 2025]]</b></p> <p><b>Statement describing evidence:</b></p> <p>We use Azure Key Vaults to use long for all secrets. <b>(No Prod)</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul>



The screenshot shows the Microsoft Azure Key Vault Overview page for the vault named 'evachatkv'. The vault is located in the 'Canada Central' region and is associated with the 'EduC4EDC' directory. It was created on January 16, 2023, at 10:30 AM. The vault URL is https://evachatkv.vault.azure.net/. The 'Access control (IAM)' section shows that the vault has been assigned to the 'EduC4EDC' directory. The 'Essentials' section provides details about the vault's location, subscription, and soft-delete status. The 'Manage keys and secrets used by apps and services' section includes links for 'Control access to key vault', 'Enable logging and set up alerts', and 'Turn on recovery options'. The left sidebar lists other key vaults under the 'Key vaults' heading.

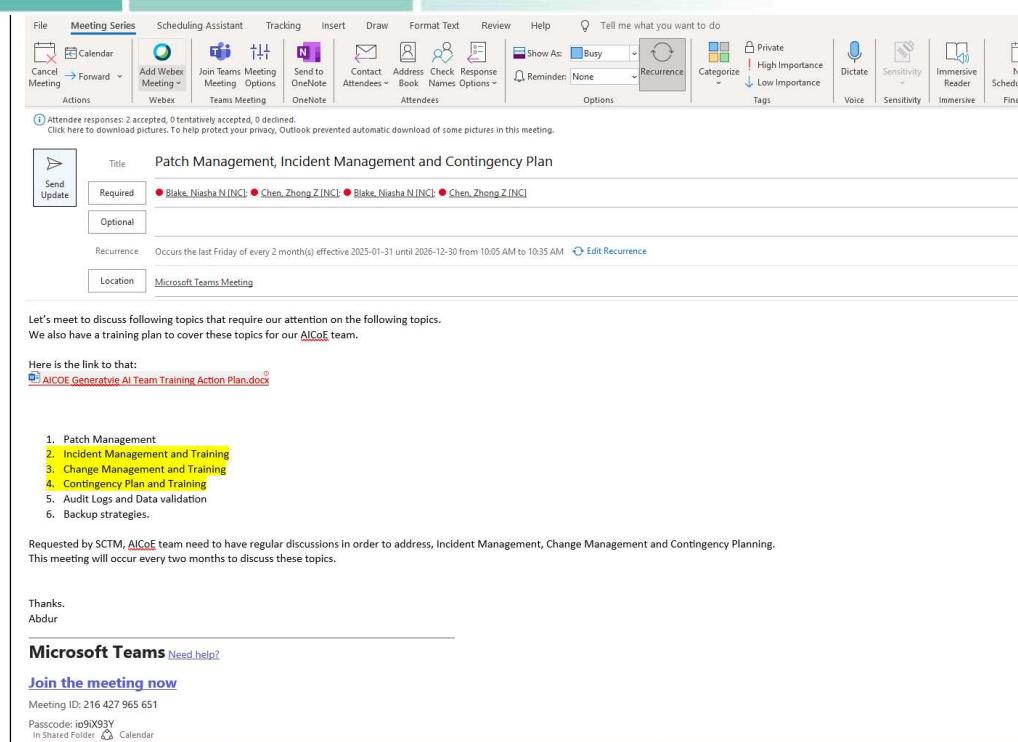
The screenshot shows the Microsoft Azure Key Vault Overview page for the vault named 'EsDCAICoEKV01'. The vault is located in the 'Canada Central' region and is associated with the 'EduC4EDC' directory. It was created on January 16, 2023, at 10:18 AM. The vault URL is https://esdcaicoekv01.vault.azure.net/. The 'Access control (IAM)' section shows that the vault has been assigned to the 'EduC4EDC' directory. The 'Essentials' section provides details about the vault's location, subscription, and soft-delete status. The 'Manage keys and secrets used by apps and services' section includes links for 'Control access to key vault', 'Enable logging and set up alerts', and 'Turn on recovery options'. The left sidebar lists other key vaults under the 'Key vaults' heading.

#106) IA-5(9) -> Authenticator Management   Cross-Organizational Credential Management	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 16, 2025]</b> <b>Statement describing evidence:</b> <a href="#">Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</a> Implementation status: Inherited <ul style="list-style-type: none"> <li>• IAM team (EntraID)</li> <li>and/or</li> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> Justification: <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntraID is used for Identification/authentication.</li> </ul> See file ->	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> See file(s): <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
#107) IA-5(13) -> Authenticator Management   Expiration of Cached Authenticators	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 16, 2025]</b> <b>Statement describing evidence:</b> <a href="#">Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</a> Implementation status: Inherited <ul style="list-style-type: none"> <li>• IAM team (EntraID)</li> <li>and/or</li> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> Justification: <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntraID is used for Identification/authentication.</li> </ul>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> See file(s): <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



	See file ->	
(#108) IA-7 -> Cryptographic Module Authentication	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p style="color: blue;">Same answer for IA-2(*), IA-3, IA-4(7), IA-5(9), IA-5(13), IA-7</p> <p>Implementation status: Inherited</p> <ul style="list-style-type: none"> <li>• IAM team (EntralID)</li> <li>and/or</li> <li>• DECA team (Desktop Engineering and Corporate Applications)</li> </ul> <p>Justification:</p> <ul style="list-style-type: none"> <li>• All users are ESDC employees.</li> <li>• EntralID is used for Identification/authentication.</li> </ul> <p>See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
<b>8. Incident response (IR)</b>		
(#109) IR-2 -> Incident Response Training	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 16, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p>

	<p><b>Statement describing evidence:</b>            A- It is part of on-boarding plan for the employee to complete the training plan that includes a training on incident management They also have to go through the RBAC document for the clarification of the roles and responsibilities.            B- The Training plan is designed for the employees to provide proper incident response. The training plan contains specific training on incident response.            C- The AICoE Management requires every employee to refresh the training plan every year, to keep the employees up to date on the concepts.</p>	<ul style="list-style-type: none"> <li>• AICoE Generatvie AI Team Training Action Plan_V01.doc</li> <li>• EVA - IT Security Role Based Access Control (RBAC) -V1.               <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </li> </ul>
(#110) IR-2(1) -> Incident Response Training   Simulated Events	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b>  <b>[Abdur Rafey Matin - JAN 16, 2025]</b></p> <p><b>Statement describing evidence:</b>            The AICoE team will handle requests from NSD tickets. The ticket will send to the IT Manager. The IT Manager will assign the ticket to the relevant member handling the incident. The employees have to complete a training plan that convers the Incident management.</p> <p>A bi-month meeting will be held to discuss the Incident response items and actions. AI Management and Senior TA meeting is scheduled every two months discuss the incident response action items.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):           <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul> </p>



(#111) IR-3 -&gt; Incident Response Testing

**Evidence description****Latest at the top****Iteration #2**  
**[Abdur Rafey Matin - JAN 31, 2025]****Statement describing evidence:**

Please refer to the section below of the Incident Management Document.  
Section 1.1.5 → Security Incident Management Process.  
Section 1.1.5.1 → Incident Response Plan

**Name of other file(s) containing evidence****Latest at the top****Iteration #2**

## See file(s):

- AI CoE EVA Cloud Incident Management process\_V1.docx
  - RACI Assumptions - EVA Chat (SA-ID1216)
  - The assumptions included in this RACI file have not been management team.

(#112) IR-3(2) -> Incident Response Testing   Coordination with Related Plans	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Please refer to the section below of the Incident Management Document.</p> <p>Section 1.1.3 → Incident Call Routing Section 1.1.5.1 → Incident Response Plan. Section 1.1.8.1 → Contacting the National Service Des Section 1.1.8.2 → Contacting the EVA Technical Team Section 1.1.8.3. → Contacting the Cloud Operations Team.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#113) IR-4 -> Incident Handling	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> In the document called "Evidence Description", we are supposed to get a copy of the actual evidence to assess. Simply pointing to other documents does not constitute evidence. At least, point to the exact section in the document where the evidence lies.</p> <p><b>Response:</b></p> <p>Please refer to the section below of the Incident Management Document. Section 1.1.3 → Incident Call Routing <b>Section 1.1.5.1 → Incident Response Plan</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

	<b>Section 1.1.6.1 → Timeline and Timeframes</b> Section 1.1.8.1 → Contacting the National Service Des Section 1.1.8.2 → Contacting the EVA Technical Team Section 1.1.8.3. → Contacting the Cloud Operations Team.	
(#114) IR-4(3) -> Incident Handling   Continuity of Operations	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Please refer to the section below of the Incident Management Document.  <b>Section 1.1.5.1 → Incident Response Plan</b>  <b>Section 1.1.6.1 → Timeline and Timeframes</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management process_V1.docx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#115) IR-4(4) -> Incident Handling   Information Correlation	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Please refer to the section below of the Incident Management Document.  <b>Section 1.1.5 → Security Incident Management Process.</b>  <b>Section 1.1.5.1--&gt; Incident Response Plan</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management process_V1.docx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#116) IR-5 -> Incident Monitoring	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/>

	<p><b>[Abdur Rafey Matin - JAN 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#117) IR-6(2) -> Incident Reporting   Vulnerabilities Related to Incidents	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #2</b> <b>[Abdur Rafey Matin - JAN 31, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> In the document called "Evidence Description", we are supposed to get a copy of the actual evidence to assess. Simply pointing to other documents does not constitute evidence. At least, point to the exact section in the document where the evidence lies.</p> <p><b>Response:</b></p> <p>Please refer to the section below of the Incident Management Document. Section 1.1.5 → Security Incident Management Process. Section 1.1.6.4. ESDC Security Operations Center (SOC)</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#118) IR-8 -> Incident Response Plan	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> <b>[Abdur Rafey Matin - JAN 24, 2025]</b></p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

(#119) IR-9 -> Information Spillage Response	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> Please provide the evidence in the evidence document. There is no evidence provided. It simply points to 2 other documents where one is a list of assumptions that have not yet been confirmed by management team.</p> <p><b>Response:</b></p> <p>Please refer to the section below of the Incident Management Document. Section 1.1.5 → Security Incident Management Process. Section 1.1.5 → Security Incident Management Process Section 1.1.6.2 → Monitoring and Auditing Section 1.1.6.3. → Correlation of Information.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#120) IR-9(1) -> Information Spillage Response   Responsible Personnel	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Please refer to the section below of the Incident Management Document. Section 1.1.8.1 → Contacting the National Service Des Section 1.1.8.2 → Contacting the EVA Technical Team</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

	Section 1.1.8.3. → Contacting the Cloud Operations Team.	
(#121) IR-9(2) -> Information Spillage Response   Training	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Accessor Note:</b> What is this training? Can we get a copy for this assessment?</p> <p><b>Response</b></p> <p>AICOE Generative AI Team Training Action Plan_V01 <b>Section 4</b> <a href="#">Microsoft Purview Information Protection   Microsoft Learn</a></p> <p>A- It is part of on-boarding plan for the employee to complete the training plan that includes a training on Information spillage. B- The Training plan is designed for the employees to provide proper incident response. The training plan contains specific training on Information spillage. . C- The AICoE Management requires every employee to refresh the training plan every year, to keep the employees up to date on the concepts.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICOE Generative AI Team Training Action Plan_V01</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#122) IR-9(3) -> Information Spillage Response   Post-Spill Operations	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - JAN 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Please refer to the section below of the Incident Management Document. Section 1.1.5 → Security Incident Management Process Section 1.1.6.2 → Monitoring and Auditing Section 1.1.6.3. → Correlation of Information.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management process</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

(#123) IR-9(4) -> Information Spillage Response   Exposure to Unauthorized Personnel	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - JAN 24, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA Cloud Incident Management p...</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
<b>9. Maintenance (MA)</b>	---	---
(#124) MA-2 -> Controlled Maintenance	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Section 2.2 → Continuous Deployment and Maintenance</b> <b>Section 2.2.1 → Continuous Operations and Maintenance</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycl...</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#125) MA-3 -> Maintenance Tools	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p>

	<p><b>Statement describing evidence:</b></p> <p><b>Section 2.2.1 → Continuous Operations and Maintenance</b></p> <p><b>See files →</b></p>	<ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#126) MA-4 -> Nonlocal Maintenance	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Section 2.2 → Continuous Deployment and Maintenance</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p><b>See file(s):</b></p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#127) MA-4(1) -> Nonlocal Maintenance   Auditing and Review	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.1 → Continuous Monitoring</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p><b>See file(s):</b></p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#128) MA-4(2) -> Nonlocal Maintenance   Document Nonlocal Maintenance	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p>

	<p>[Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Section 2.2 → Continuous Deployment and Maintenance</b>  <b>Section 2.2.1 → Continuous Operations and Maintenance</b></p> <p><b>See files →</b></p>	<p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#129) MA-4(3) -> Nonlocal Maintenance   Comparable Security / Sanitization	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b>  <b>[Abdur Rafey Matin – Jan 27, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Section 2.2.1 → Continuous Operations and Maintenance</b>  <b>Section 2.3 → Security features implementation:</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#130) MA-4(4) -> Nonlocal Maintenance   Authentication / Separation of Maintenance Sessions	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b>  <b>[Abdur Rafey Matin – Jan 27, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p><b>Section 2.2.1 → Continuous Operations and Maintenance</b>  <b>Section 2.3 → Security features implementation:</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

(#131) MA-4(5) -> Nonlocal Maintenance   Approvals and Notifications	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.2 → Continuous Deployment and Maintenance</b> <b>2.2.2 → Maintenance Schedule and personnel</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#132) MA-4(6) -> Nonlocal Maintenance   Cryptographic Protection	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.2 → Continuous Deployment and Maintenance</b> <b>2.2.2 → Maintenance Schedule and personnel</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#133) MA-5 -> Maintenance Personnel	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/>

	<p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.2.2 → Maintenance Schedule and personnel</b></p> <p><b>See files →</b></p>	<p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#134) MA-5(1) -> Maintenance Personnel   Individuals without Appropriate Access	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.2.2 → Maintenance Schedule and personnel</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#135) MA-6 -> Timely Maintenance	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>2.2.2 → Maintenance Schedule and personnel</b></p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



<b>10. Media protection (MP)</b>		
<b>11. Physical and environmental protection (PE)</b>		
<b>12. Planning (PL)</b>		
(#136) PL-2 -> System Security Plan	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>EVA will be hosted up to and including Protected B environment, leveraging Azure OpenAI services. This setup ensures that all information processed and generated by EVA remains within a secure infrastructure, compliant with the Canadian Centre for Cyber Security (CCCS) guidelines and GC privacy standards.</p> <p>Unlike public genAI tools such as ChatGPT, which have raised concerns about data security and privacy, EVA is designed to handle protected information with the utmost care, ensuring that employee and departmental data are protected at all times.</p> <p>The EVA platform is a secure, robust, and highly functional virtual assistant powered by Azure OpenAI services. It will be hosted within a Protected B environment, ensuring compliance with stringent ESDC, Canadian Centre for Cyber Security (CCCS), and Government of Canada (GC) standards for privacy, security, and accessibility.</p> <p>This initiative addresses critical concerns raised by IITB pillars regarding existing tools like OpenAI's ChatGPT, which have been identified as lacking in these areas. EVA is fully compliant with these standards, ensuring a safe and reliable genAI experience for all ESDC employees.</p> <p><b>See files →</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA Foundation Business Case - EARB_V</li> <li>• IITB-EVA-Privacy Checklist-signed-160720</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

#137) PL-2(3) -> System Security Plan   Plan / Coordinate with Other Organizational Entities	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 27, 2025]</b>  <b>Statement describing evidence:</b> <p>EVA will be hosted up to and including Protected B environment, leveraging Azure OpenAI services. This setup ensures that all information processed and generated by EVA remains within a secure infrastructure, compliant with the Canadian Centre for Cyber Security (CCCS) guidelines and GC privacy standards.</p> <p>Unlike public genAI tools such as ChatGPT, which have raised concerns about data security and privacy, EVA is designed to handle protected information with the utmost care, ensuring that employee and departmental data are protected at all times.</p> <p>The EVA platform is a secure, robust, and highly functional virtual assistant powered by Azure OpenAI services. It will be hosted within a Protected B environment, ensuring compliance with stringent ESDC, Canadian Centre for Cyber Security (CCCS), and Government of Canada (GC) standards for privacy, security, and accessibility.</p> <p>This initiative addresses critical concerns raised by IITB pillars regarding existing tools like OpenAI's ChatGPT, which have been identified as lacking in these areas. EVA is fully compliant with these standards, ensuring a safe and reliable genAI experience for all ESDC employees.</p> <p><b>See files →</b></p>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b>  <b>See file(s):</b> <ul style="list-style-type: none"> <li>• EVA Foundation Business Case - EARB_V...</li> <li>• IITB-EVA-Privacy Checklist-signed-160720...</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216...</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
#138) PL-4 -> Rules of Behavior	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 27, 2025]</b>  <b>Statement describing evidence:</b> <p>Please see file →</p>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b>  <b>See file(s):</b> <ul style="list-style-type: none"> <li>• IITB-EVA-Privacy Checklist-signed-160720...</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216...</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



EVA Chat would be using Up to and including Protected B information. Here is a snapshot from our privacy checklist documents.

**PROGRAM OR ACTIVITY DESCRIPTION**

Please provide background information and a description of the program or activity, and indicate if this is a new initiative or a modification of an existing one.

From EVA Foundational project high level requirements

[EVA Foundational Project - LITE HL Bus Req.docx \(sharepoint.com\)](#)

The ESDC Virtual Assistant (EVA) aims to provide a state-of-the-art generative AI service tailored for Employment and Social Development Canada (ESDC) employees. EVA leverages Azure OpenAI services within a protected B environment, ensuring compliance with ESDC, Canadian Centre for Cyber Security (CCCS), and Government of Canada standards for accessibility, privacy, and security. Unlike existing tools such as OpenAI ChatGPT which have been found to have accessibility, privacy, and security issues by IITB pillars, EVA will adhere strictly to these standards.

EVA is designed to augment and support ESDC employees in their work, enhancing productivity without replacing the essential human elements of the work culture and ethics. The virtual assistant will offer a comprehensive suite of language services, including advanced text analysis, language detection, text translation, speech-to-text and text-to-speech conversion, and computer vision capabilities for image analysis and interpretation. Support for both official languages, English and French, is integral to EVA's functionality.

EVA represents a significant advancement in the use of generative AI within ESDC, providing a secure, accessible, and highly functional tool to enhance employee productivity and service delivery. By reducing reliance on insecure and

Privacy Checklist for ESDC Virtual Assistant Foundation

less accessible tools like ChatGPT or Bing, EVA will ensure that ESDC's standards for privacy, security, and accessibility are met, supporting employees in their vital roles within the organization.

EVA is a new initiate and does not have any dependencies on existing data or systems.

(#139) PL-7 -> Security Concept of Operations

**Evidence description**

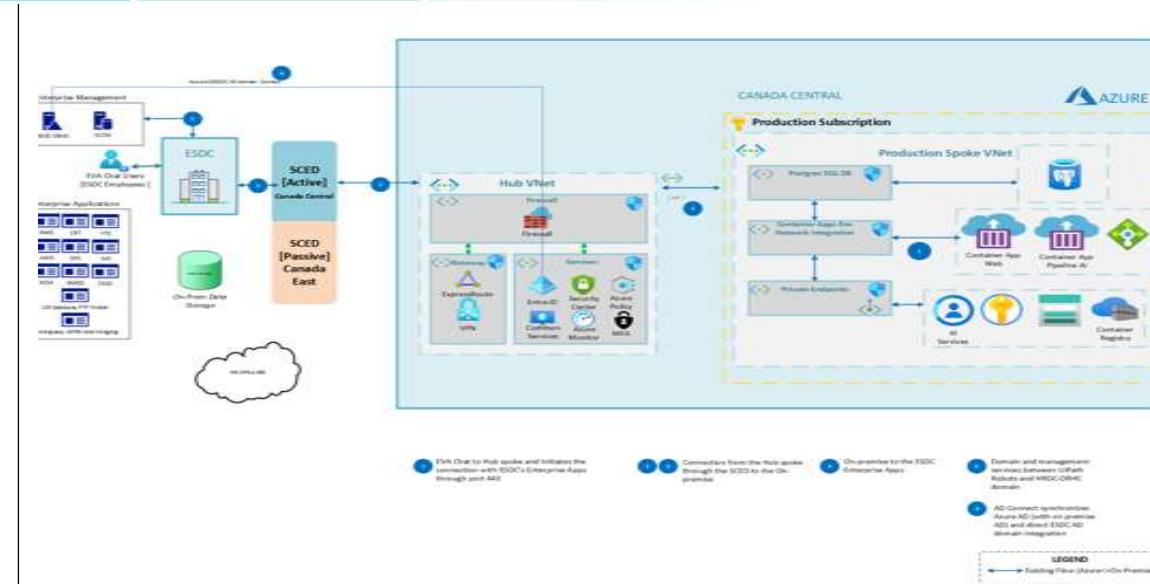
Latest at the top

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Iteration #1

**Name of other file(s) containing evidence**

Latest at the top

	<p><b>[Abdur Rafey Matin – Jan 27, 2025]</b></p> <p><b>Statement describing evidence:</b> Please see file →</p>	<p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA_Solution_ConOps_(Work_in_Progress)</li> <li>• EVA_Architecture_V1.pdf</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#140) PL-8 -> Information System Architecture	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>[Abdur Rafey Matin – Jan 27, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p>EVA Chat Security Architecture and components.</p> <ul style="list-style-type: none"> <li>• Users → ESDC Employees (Web interface)</li> <li>• Traffic → All traffic will be going through Secure Cloud Enablement Defence (SCED) managed by SSC</li> <li>• Hub and Spoke Model</li> <li>• Hub VNet <ul style="list-style-type: none"> <li>• Managed by Cloud Operations ESDC</li> <li>• Firewall using Gateways and Services <ul style="list-style-type: none"> <li>• EntraID, Azure Security Policies, Azure Monitor</li> <li>• VPN connection</li> </ul> </li> </ul> </li> <li>• Spoke Vnet (Canada Central) <ul style="list-style-type: none"> <li>• 3 Different subnet <ul style="list-style-type: none"> <li>• PostgreSQL</li> <li>• Container Application Environment Network Integration</li> <li>• Private Endpoints</li> </ul> </li> </ul> </li> </ul>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• EVA_Architecture_V1.pdf</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



### 13. Program management (PM)

### 14. Personal security (PS)

(#141) PS-5 -> Personnel Transfer

#### Evidence description

Latest at the top

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Iteration #1  
[Abdur Rafey Matin – Jan 16, 2025]

Statement describing evidence:

EVA Application

#### Name of other file(s) containing evidence

Latest at the top

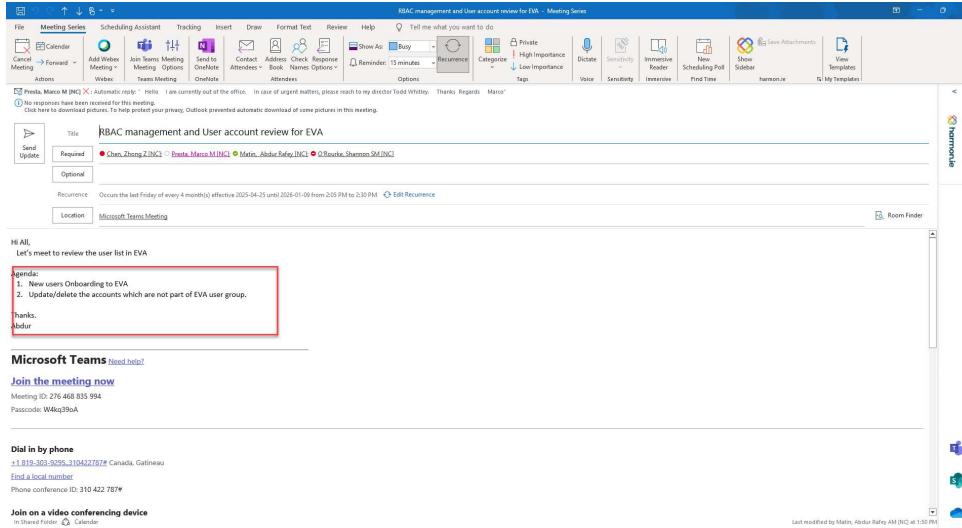
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Iteration #1

See file(s):

- EVA - IT Security Role Based Access Control V1.0.docx
- RACI Assumptions - EVA Chat (SA-ID1216)

There is a meeting every one 4 months, to review the user accounts access to EVA Chat. A committee of Technical Advisors and Team lead from AICoE team participate to discuss the following agenda:

1. New users Onboarding to EVA
2. Update/delete the accounts which are not part of EVA user group.



The EVA allows the Admin role the functionality to delete the user account that are no longer required to be part of EVA application. Also, the Applications allows Admin to approve new users. The description of the roles are provided in the RBAC document.

- The assumptions included in this RACI file have not been management team.

The screenshot shows the Admin Panel interface with a list of users. The top navigation bar has tabs for 'New Chat', 'Workspace', 'Dashboard', and 'Settings'. The 'Dashboard' tab is highlighted with a red box. Below the navigation, there's a search bar and a table titled 'All Users' with 138 entries. The table columns include 'ROLE', 'NAME', 'EMAIL', 'OAUTH ID', 'LAST ACTIVE', and 'CREATED AT'. Each user entry has a red box around the 'Edit' icon in the action column.

ROLE	NAME	EMAIL	OAUTH ID	LAST ACTIVE	CREATED AT
admin	Ngo, Quan Q [NC]	quan.ngo@esdc-rhdc.gc.ca	microsoft@uboggBFy3t9lEH27x3yFoyH13gCW5qjaS.mY	21 days ago	November 27, 2024
user	Krizza, Marie M [NC]	marie.krizza@labour-travail.gc.ca	microsoft@9st727vFFoW0Dun4fDhICJZvCBwvHRsg5el-m-qFY	a day ago	November 27, 2024
user	Liu, Yu-Hsien YHL [NC]	yuhsien.liu@esdc-rhdc.gc.ca	microsoft@370fNu4uNvLUNPM4apH4gVChDp7h_cze0c0rREA	a month ago	November 27, 2024
user	Hedfield, Chris	caroline.ledoux@esdc-rhdc.gc.ca	microsoft@SeKu07vSpUgeKE3Ndxka3NPfK6236eggs/PPKKU7w	a month ago	November 27, 2024
user	Johnson, Matthew [NC]	matthew.centralregistrar@servicecanada.gc.ca	microsoft@wexpIeE3D60-2YE7BnawUvnJQl_Blfnp7jQA	24 days ago	November 27, 2024
user	Jung, Min Ki M [NC]	minji.jung@esdc-rhdc.gc.ca	microsoft@fBC0jgE622Nz2UT1lwWApfG203gMdyv+hR9	3 days ago	November 27, 2024
user	Lafemire, Francois FL [NC]	francois.lafemire@esdc-rhdc.gc.ca	microsoft@QU-iQ2N-WfHnTfQDwFpmcOkk6iEqJ02dF	a month ago	November 27, 2024
admin	Wu, Bochou [NC]	bochou.wu@esdc-rhdc.gc.ca	microsoft@5dGWA9Tn6xaJ77-jNxDwPfwohGobAWBnn3e	18 minutes ago	November 27, 2024
admin	Parsons, Kristel KC [NC]	kristel.parsons@esdc-rhdc.gc.ca	microsoft@vzEVVidkeyISJ_PnNvNvHrzb-JUxMDJmOlko	10 minutes ago	November 27, 2024
admin	Chen, Zhong Z [NC]	zhongzhou.chen@esdc-rhdc.gc.ca	microsoft@jN-0SG09-2fN0H-Hr0M85Ej1uJd827YHkRny4r_E	a day ago	November 27, 2024
admin	Maximov, Igor [NC]	igor.maximov@esdc-rhdc.gc.ca	microsoft@gx1PILJkicd06sd0uXJ0fmb7B2yHMa-ppozf	a day ago	November 27, 2024
admin	Lev, Mark	mark.lev@esdc-rhdc.gc.ca	microsoft@0337yJHv65Bt7ByYN96wvKOLshyek0hEC98	an hour ago	November 27, 2024
user	Cooper, Cory CR [NC]	cory.cooper@esdc-rhdc.gc.ca	microsoft@4_JEsUPak0pTE4847QnPZYwqJ-7R0Qz77MUhqe	a month ago	November 27, 2024
user	Bouri, Roni RB [NC]	roni.bouri@esdc-rhdc.gc.ca	microsoft@lU0g4yhJb0mWhVh+o4805TpDnXPfew9s0g	22 days ago	November 27, 2024
user	Gauthier, Alain R [NC]	alain.gauthier@esdc-rhdc.gc.ca	microsoft@M4vneWtG8ChV_gIPYB_RwvIEhDFMfFc	2 days ago	November 27, 2024
user	Francoeur, Justin J [NC]	justin.francoeur@esdc-rhdc.gc.ca	microsoft@2hPQayfITYWidtSFDrnt0pPyGB8t80uutCxel0	21 hours ago	November 27, 2024

**Azure Platform:**

The Automation Infrastructure Services (AIS) team manages the user access on their side.

**15. Risk assessment (RA)**

#142) RA-2 -&gt; Security Categorization

**Evidence description****Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin – Jan 23, 2025]**

**Statement describing evidence:**

Refer to the documents provided for this controls.

**Name of other file(s) containing evidence****Latest at the top****Iteration #1**

See file(s):

- EVA Chat SAQ (not signed yet - Nov 20 2024)
- RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx
  - The assumptions included in this RACI file confirmed by the management team.



(#143) RA-5 -&gt; Vulnerability Scanning

**Evidence description****Latest at the top****Iteration #2****Abdur Rafey Matin – Jan 30, 2025]****Statement describing evidence:**

The EVA application is secured by triple safety measures:

**1. Microsoft Defender for Cloud managed by Infrastructure team (AIS)**

The EVA Chat is hosted on Microsoft Azure ESDC Cloud. The Microsoft Azure has its own tool for Vulnerability Scanning. It is called Microsoft Defender for Cloud. You can find the vulnerability scan for our '**EsDAICoESub**' Azure subscription in the Microsoft Defender for Cloud screen

The screenshot shows the Microsoft Azure Defender for Cloud interface. At the top, there's a navigation bar with various tabs like Home, Subscriptions, and Pipelines. Below the navigation, a breadcrumb trail shows the path: Home > Subscriptions > EsDAICoESub > Resource groups > EVAChatDevAppRg > Security > Recommendations.

The main area is titled 'Recommendations' and contains three sections: 'Defender CSPM', 'Risk based recommendations', and 'Foundational CSPM'. The 'Risk based recommendations' section is highlighted with a red box. It displays a summary of findings: 0 Critical, 0 High, 0 Medium, and 0 Low risk recommendations. Below this, a table lists specific recommendations, each with a red box around it. The columns in the table include Title, Affected resource, Risk level, Risk factors, Attack paths, Owner, Status, and Insights. The table shows multiple entries related to storage accounts and their configuration.

**2. Application Internal Scanning Tool:**

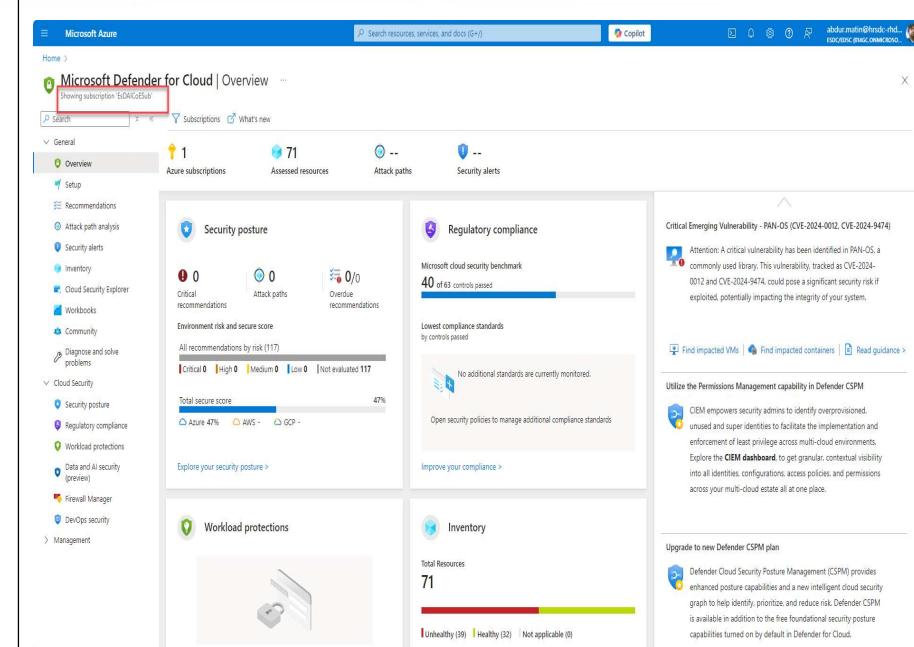
Before we deploy any package for the EVA, the scanning is done, through Security Scanning tool. This has been integrated into CICD pipeline,

**Name of other file(s) containing evidence****Latest at the top****Iteration #2**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx  
The assumptions included in this RACI file have not been reviewed by the management team.

(#144) RA-5(1) -> Vulnerability Scanning   Update Tool Capability	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> <b>Abdur Rafey Matin – Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b></p> <p>The EVA Chat is hosted on Microsoft Azure ESDC Cloud. The Microsoft Azure has its own tool for Vulnerability Scanning. It is called Microsoft Defender for Cloud. You can find the vulnerability scan for our '<b>EsDAICoESub</b> Azure subscription in the Microsoft Defender for Cloud screen. The tool is constantly updated by Microsoft Azure, They link provides list of updates, that were release for Defnder. The AIS team, regularly updates the Scanning tool to make sure the resources are safe.</p> <p><a href="#">What's new in Microsoft Defender for Cloud features - Microsoft Defender for Cloud   Microsoft Learn</a></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <ul style="list-style-type: none"><li>• ST&amp;E report (not available yet)</li><li>• Will be provided at the end of the evidence gathering phase</li></ul> <p>See file(s):</p> <ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li><li>◦ The assumptions included in this RACI file have not been reviewed by the management team.</li></ul>	



**The formal departmental security team is going to perform a security testing and produce ST&E report. Partial implementation (b/c the ST&E report is not available yet).**

(#145) RA-5(2) -> Vulnerability Scanning | Update by Frequency / Prior to New Scan / When Identified

#### Evidence description

Latest at the top

-----  
**Iteration #1**  
**Abdur Rafey Matin – Jan 16, 2025]**

#### Statement describing evidence:

The EVA Chat is hosted on Microsoft Azure ESDC Cloud. The Microsoft Azure has its own tool for Vulnerability Scanning. It is called Microsoft Defender for Cloud. You can find the vulnerability scan for our '**EsDAICoESub**' Azure subscription in the Microsoft Defender for Cloud screen.

The tools provide list of any threat, and their actions that can be performed to protect any risk. A link to our Azure cloud subscription Defender is provided.

#### Name of other file(s) containing evidence

Latest at the top

-----  
**Iteration #1**

- ST&E report (not available yet)
- Will be provided at the end of the evidence gathering phase

See file(s):

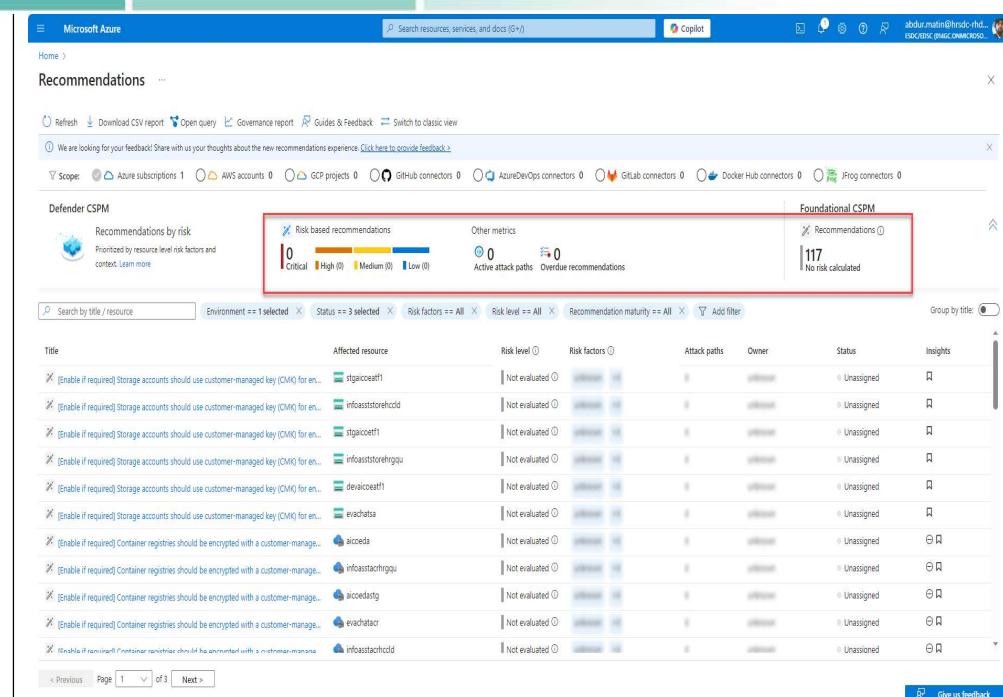
- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

The formal departmental security team is going to perform a security testing and produce ST&E report.  
Partial implementation (b/c the ST&E report is not available yet).

#### Microsoft Defender for Cloud - Microsoft Azure

The screenshot shows the Microsoft Defender for Cloud Overview page. At the top, there are four main status indicators: 'Azure subscriptions' (1), 'Assessed resources' (71), 'Attack paths' (0), and 'Security alerts' (0). The 'Assessed resources' section is highlighted with a red box. Below these are four cards: 'Security posture' (0 critical, 0 high, 0 medium, 0 low, 0 not evaluated), 'Regulatory compliance' (40 of 63 controls passed), 'Workload protections' (represented by a shield icon), and 'Inventory' (71 total resources, 39 unhealthy, 32 healthy, 0 not applicable). To the right, a sidebar displays a 'Critical Emerging Vulnerability - PAN-OS' alert (CVE-2024-0012, CVE-2024-9474) with a red box around it, and sections for 'Utilize the Permissions Management capability in Defender CSPM' and 'Upgrade to new Defender CSPM plan'.

Following are the recommendation provided by Defender prior to new scan.



## 16. System and service acquisition (SA)

(#146) SA-2 -> Allocation of Resources

### Evidence description

Latest at the top

-----  
**Iteration #1**  
**Abdur Rafey Matin – Jan 16, 2025]**

#### Statement describing evidence:

The project governance structure ensures proper funding is in place.

- Justification for Inherited
- See file ->

### Name of other file(s) containing evidence

Latest at the top

-----  
**Iteration #1**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

(#147) SA-3 -> System Development Lifecycle	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Refer to the documents provided for this controls. See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle &amp; Security Engineering.docx <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>	
(#148) SA-8 -> Security Engineering Principles	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>Refer to the documents provided for this controls. See file -&gt;</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• AICoE EVA System Development Life cycle Engineering.docx</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>	
(#149) SA-11 -> Developer Security Testing and Evaluation	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 15, 2025]</p> <p><b>Statement describing evidence:</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>• ST&amp;E report (not available yet)</p> <p>• Will be provided at the end of the evidence gathering phase</p>	

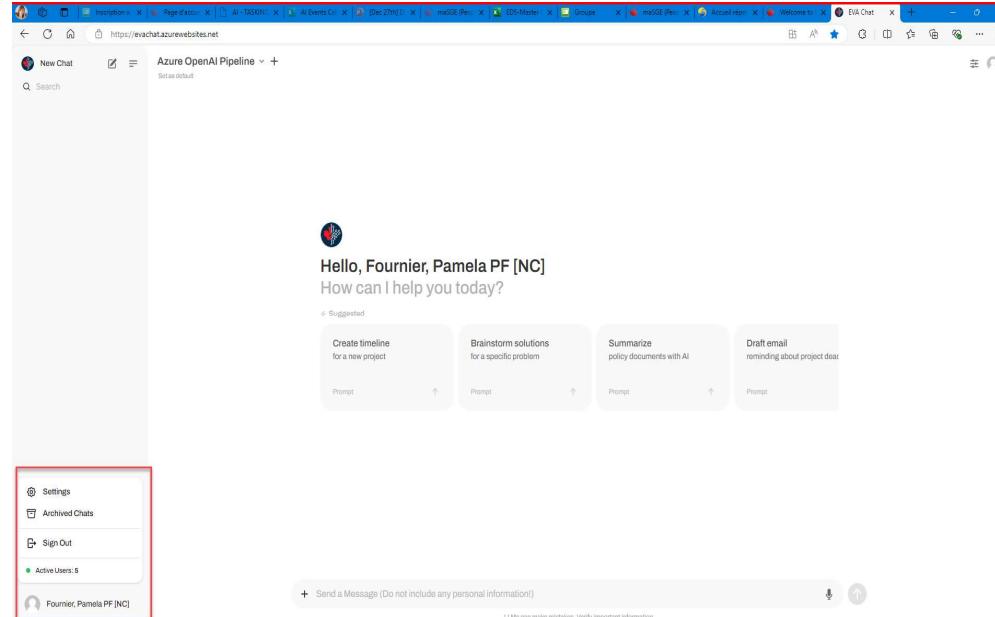
	<ul style="list-style-type: none"> <li>The AICoE EVA System Development Life cycle &amp; Security Engineering document discusses the security testing topic. See file -&gt;</li> <li>Partial implementation (b/c the ST&amp;E report is not available yet) ST&amp;E report will verify the security of data-in-transit</li> </ul>	<p>See file(s):</p> <ul style="list-style-type: none"> <li>AICoE EVA System Development Life cycle Engineering.docx</li> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>The assumptions included in this RACI file have not been management team.</li> </ul>
(#150) SA-11(2) -> Developer Security Testing and Evaluation   Threat and Vulnerability Analyses	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 15, 2025]</p> <p><b>Statement describing evidence:</b></p> <ul style="list-style-type: none"> <li>The AICoE EVA System Development Life cycle &amp; Security Engineering document discusses the security testing topic. See file -&gt;</li> <li>Partial implementation (b/c the ST&amp;E report is not available yet) ST&amp;E report will verify the security of data-in-transit</li> </ul>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <ul style="list-style-type: none"> <li>ST&amp;E report (not available yet)</li> <li>Will be provided at the end of the evidence gathering phase</li> </ul> <p>See file(s):</p> <ul style="list-style-type: none"> <li>AICoE EVA System Development Life cycle Engineering.docx</li> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>The assumptions included in this RACI file have not been management team.</li> </ul>
<b>17. System and communication protection (SC)</b>	---	---
(#151) SC-2 -> Application Partitioning	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin – Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>EVA Application</b></p> <p>In EVA Chat Application the information system management-related functionalities are separated in the EVA interface. The Admin panel is only visible to admin role. The application partitioning is reflected in the RBAC document. The admin only gets to view the admin panel. The normal user does not have that interface</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>EVA - IT Security Role Based Access Control (RBAC) -V1. <ul style="list-style-type: none"> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>The assumptions included in this RACI file have not been management team.</li> </ul>

**Admin View**

The Admin Panel Dashboard displays a list of users under the heading "All Users". A red box highlights the "Dashboard" tab in the top navigation bar. The user list includes columns for ROLE, NAME, EMAIL, OAUTH ID, LAST ACTIVE, and CREATED AT. Several users are highlighted with red boxes: "admin" Ngo, Quan Q [NC], "user" Kroka, Marie M [NC], "user" Liu, Yu-Hsien YHL [NC], "user" Hoffeld, Chris, "user" Johnson, Matthew [NC], "user" Jung, Min Ki M [NC], "user" Lefebvre, Francois F. [NC], "user" Wu, Bozhou B [NC], "admin" Parsons, Kristel K [NC], "admin" Chen, Zheng Z [NC], "admin" Maximov, Igor I [NC], "admin" Lee, Mark, "user" Cooper, Cory C [NC], "user" Bourj, Rona RB [NC], "user" Gauthier, Alain R [NC], and "user" Francoeur, Justin J [NC].

The Admin panel provides the following functionalities in the setting tab.

The Admin Panel Settings page shows user permissions for different categories. A red box highlights the "User Permissions" section. Under "Users", permissions include Manage Models, Default Model, Azure OpenAI Pipeline, and Model Whitelisting. Other sections shown are General, Connections, Models, Documents, Web Search, Interface, Audio, Images, Pipelines, and Database. A "Save" button is visible at the bottom right.

**User View**

(#152) SC-2(1) -> Application Partitioning | Interfaces for Non-Privileged Users

**Evidence description****Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin – Jan 16, 2025]**

**Statement describing evidence:****EVA Application**

In EVA Chat Application the information system management-related functionalities are separated in the EVA interface. The Admin panel is only visible to admin role. The application partitioning is reflected in the RBAC document. The admin only gets to view the admin panel. The normal user does not have that interface.

**Admin View****Name of other file(s) containing evidence**

**Latest at the top**

**Iteration #1**

See file(s):

- EVA - IT Security Role Based Access Control (RBAC) -V1.
  - RACI Assumptions - EVA Chat (SA-ID1216)
  - The assumptions included in this RACI file have not been reviewed by the management team.

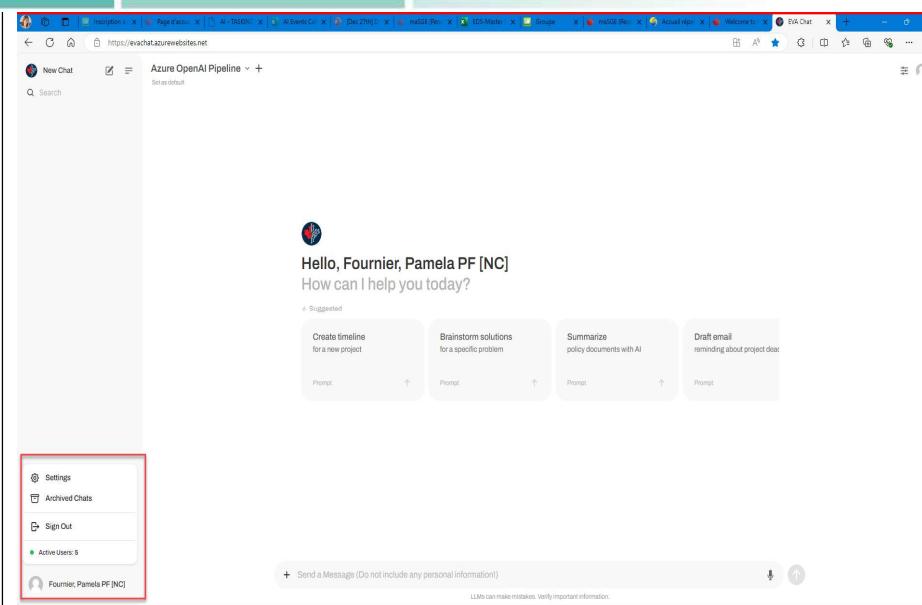
The Admin panel displays a list of users with their roles, names, emails, and authentication IDs. The 'Role' column includes entries like 'admin', 'user', and 'superuser'. A red box highlights the 'admin' role for the first user listed.

ROLE	NAME	EMAIL	AUTH ID	LAST ACTIVE	CREATED AT
admin	Ngo, Quan G [NC]	quang.ngo@nrcic-rhics.gc.ca	microssoft@nrcic-rhics.gc.ca	19 days ago	November 27, 2024
user	Krizza, Marie M [NC]	marie.krizza@global-travel.gc.ca	microssoft@97c7e7ef9f9d0c4af2bc2c127259a42b5fa-m-qFy	15 minutes ago	November 27, 2024
user	Liu, Yu-Hsien HHL [NC]	yuhx.liu@nrcic-rhics.gc.ca	microssoft@510fb4ab461e949a48914940f027-ze.JkrvRE4	a month ago	November 27, 2024
superuser	Hastfield, Chris	caroline.lehoux@nrcic-rhics.gc.ca	microssoft@4e2012f1a1824232d1a109422d346949f993f7w	a month ago	November 27, 2024
user	Johnson, Matthew [NC]	matthew.northcarolinagovservicecanada.gc.ca	microssoft@veny4CE32hdO-2Y1b9cnef1vnJQz_BsfJnp7jQ0A	22 days ago	November 27, 2024
user	Jung, Min Ki M [NC]	minkjung@nrcic-rhics.gc.ca	microssoft@E8Cqfm9t2NzDUTlmmWgpf22G3lgMvdx4q9Rt	a day ago	November 27, 2024
user	Laferriere, Francois FL [NC]	francois.laferriere@nrcic-rhics.gc.ca	microssoft@QI-SQBW-QHns/HffVfQ200wfFrgs0d9H4d3EqJ22dY	a month ago	November 27, 2024
user	Wu, Bozhou B [NC]	bozhou.wu@nrcic-rhics.gc.ca	microssoft@G8DPA7mxdXx4277-zhDswfHoelGoQwBtbvrc3d	a day ago	November 27, 2024
admin	Parsons, Krista KC [NC]	krista.parsons@nrcic-rhics.gc.ca	microssoft@VcfIVwvyc1LJPhgnhrdrqgb-jtu8QJLJm-0k0g	5 hours ago	November 27, 2024
admin	Chen, Zheng Z [NC]	zhengz.chen@nrcic-rhics.gc.ca	microssoft@Tn-GBZ99-2NGH4v04465jyfhu7621y60ny4r_E	4 hours ago	November 27, 2024
admin	Maximov, Igor I [NC]	igor.maximov@nrcic-rhics.gc.ca	microssoft@YEP4LJw0d35656du0VJ06n7782y0Ma-riq7Y	a day ago	November 27, 2024
admin	Lee, Mark	mark.lee@nrcic-rhics.gc.ca	microssoft@20271VhB0d3t78u7m84QwKLohy4d40sHE05fR	a day ago	November 27, 2024
user	Cooper, Cory CR [NC]	cory.cooper@nrcic-rhics.gc.ca	microssoft@4_2Ed0PUkepT844410aP2YHg-7940Q77K0ape	28 days ago	November 27, 2024
user	Bour, Ron R [NC]	ron.bour@nrcic-rhics.gc.ca	microssoft@RUsq47nJ8kwXn1Qh0d4481p1p2Xf9fnewf8d0g	20 days ago	November 27, 2024
user	Gauthier, Alain R [NC]	alain.r.gauthier@nrcic-rhics.gc.ca	microssoft@RgUmeV1fT0SCmV_gfP9f9fRv1ETfDFMpf	an hour ago	November 27, 2024
user	Francoeur, Justin J [NC]	justin.francoeur@nrcic-rhics.gc.ca	microssoft@DnPcupBYTWak3F0mdnspfPyQ8ts80BunCwG	a day ago	November 27, 2024

The Admin panel provides the following functionalities in the setting tab.

The settings tab shows user permissions. Under 'User Permissions', the 'Manage Models' permission is highlighted with a red box. Other permissions listed include 'Connections', 'Models', 'Documents', 'Web Search', 'Interface', 'Audio', 'Images', 'Plots', and 'Database'.

User View



(#153) SC-5 -> Denial of Service Protection	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b>  <b>Statement describing evidence:</b> Refer to the documents provided for this controls.	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b> See file(s): <ul style="list-style-type: none"><li>Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li></ul> Note : The following documents are referenced in the above : <ul style="list-style-type: none"><li>EVA Architecture_V1.pdf</li><li>EVA Chat SAQ (not signed yet - Nov 2</li><li>RACI Assumptions - EVA Chat (SA-ID1216)</li><li>The assumptions included in this RACI file have not been management team.</li></ul>
(#154) SC-7 -> Boundary Protection	<b>Evidence description</b>  Latest at the top  -----	<b>Name of other file(s) containing evidence</b>  Latest at the top  -----

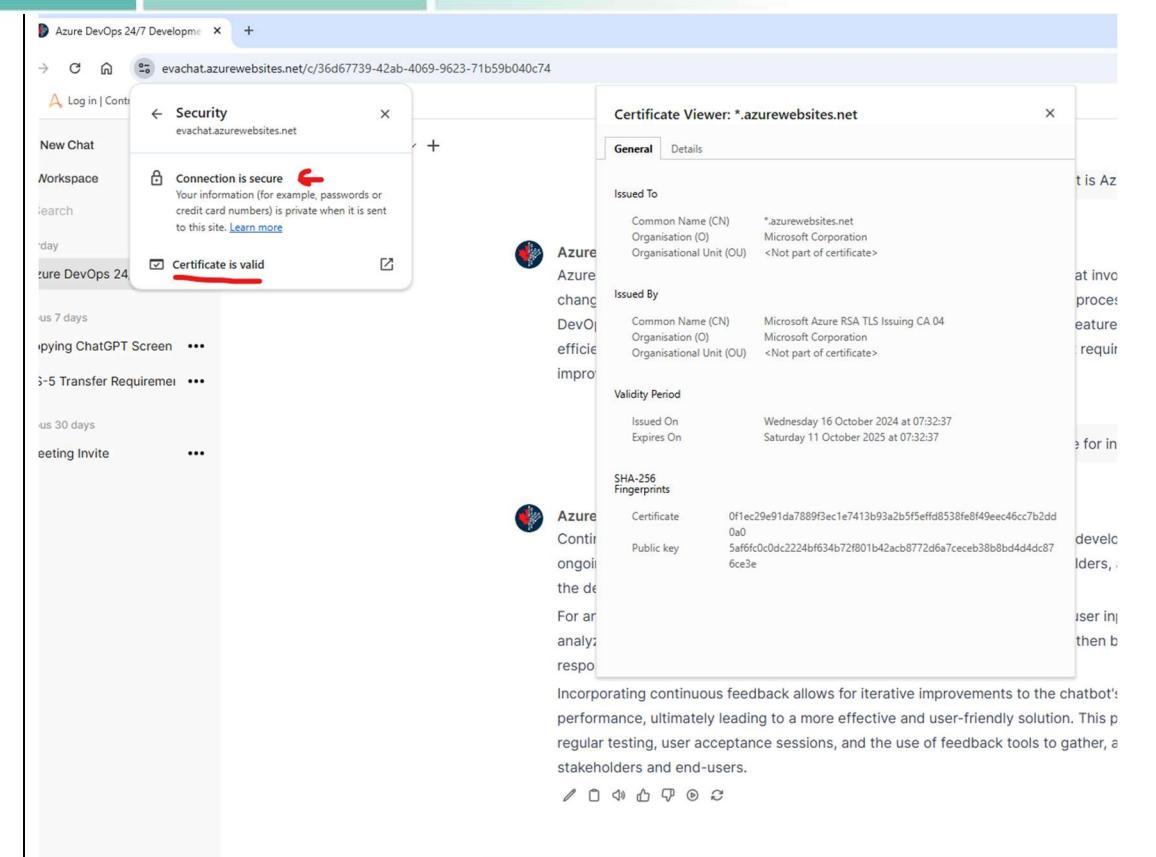
	<p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA Architecture_V1.pdf</li> <li>◦ EVA Chat SAQ (not signed yet - Nov 2</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul>
(#155) SC-7(5) -> Boundary Protection   Deny by Default / Allow by Exception	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA Architecture_V1.pdf</li> <li>◦ EVA Chat SAQ (not signed yet - Nov 2</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>◦ The assumptions included in this RACI file have not been management team.</li> </ul>
(#156) SC-7(8) -> Boundary Protection   Route Traffic to Authenticated Proxy Servers	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>[Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA Architecture_V1.pdf</li> <li>◦ EVA Chat SAQ (not signed yet - Nov 2</li> </ul>

		<ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#157) SC-7(13) -> Boundary Protection   Isolation of Security Tools / Mechanisms / Support Components	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p><b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#158) SC-7(18) -> Boundary Protection   Fail Secure	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p><b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



(#159) SC-8 -> Transmission Confidentiality and Integrity	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b>  <b>Statement describing evidence:</b>  Refer to the documents provided for this controls. Partial implementation (b/c the ST&E report is not available yet) ST&E report will verify the security of data-in-transit.  Using the Google web browser, the connection property shows the connection is secure for the data in transit.  <b>NON-PROD</b> <a href="https://evachat.azurewebsites.net/auth">https://evachat.azurewebsites.net/auth</a> .  <b>Connection is Secure</b> <b>Certificate is Valid</b> <b>Here is a copy of the certificate EVA uses as part of azurewebsites.net</b>	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b> <ul style="list-style-type: none"><li>• ST&amp;E report (not available yet)</li><li>• Will be provided at the end of the evidence gathering phase.</li></ul> See file(s): <ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li><li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li></ul>
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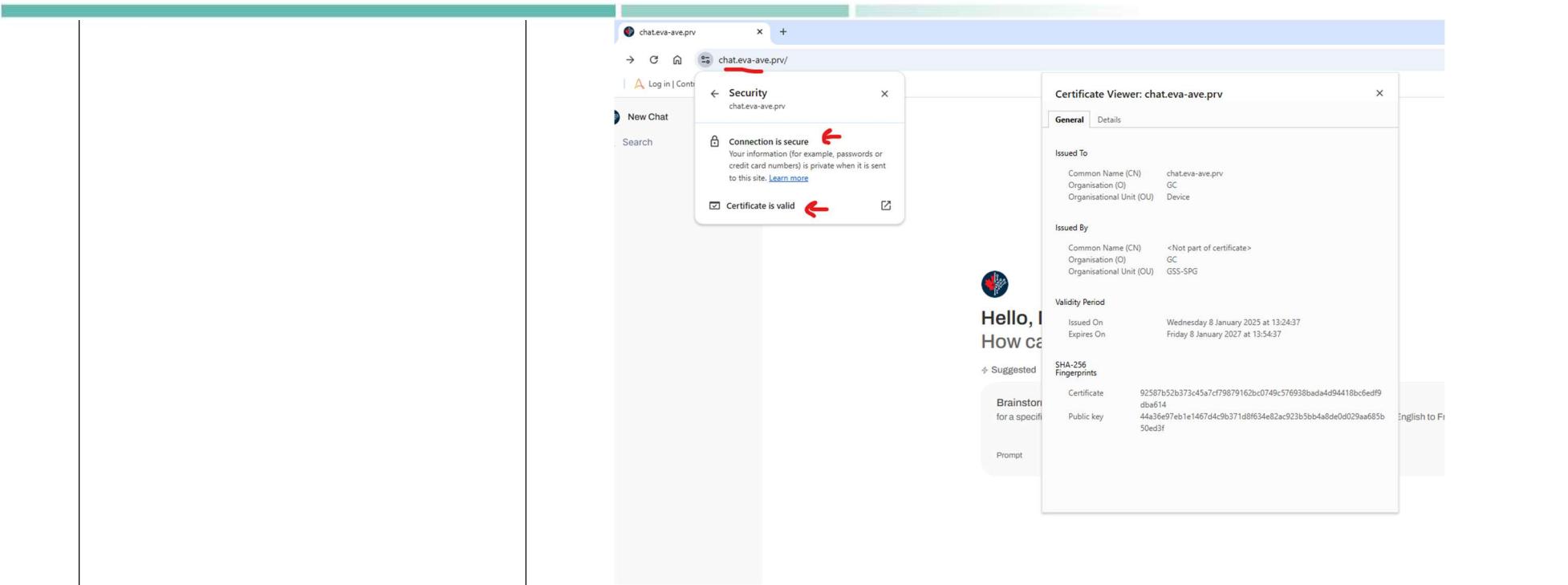


**PROD**

<https://chat.eva-ave.prv/auth>

**Connection is Secure**  
**Certificate is Valid**

Here is a copy of the certificate EVA uses as part of azurewebsites.net



(#160) SC-8(1) -> Transmission Confidentiality and Integrity | Cryptographic or Alternate Physical Protection

#### Evidence description

Latest at the top

-----  
**Iteration #1**  
**[Abdur Rafey Matin - Jan 23, 2025]**

#### Statement describing evidence:

Refer to the documents provided for this controls.

Partial implementation (b/c the ST&E report is not available yet)  
ST&E report will verify the security of data-in-transit.

Using the Google web browser, the connection property shows the connection is secure for the data in transit.

#### NON-PROD

<https://evachat.azurewebsites.net/auth>.

#### Name of other file(s) containing evidence

Latest at the top

-----  
**Iteration #1**

- ST&E report (not available yet)
- Will be provided at the end of the evidence gathering phase

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)
- The assumptions included in this RACI file have not been management team.

**Connection is Secure  
Certificate is Valid**

**Here is a copy of the certificate EVA uses as part of azurewebsites.net**

Azure DevOps 24/7 Development

evachat.azurewebsites.net/c/36d67739-42ab-4069-9623-71b59b040c74



**Certificate Viewer: \*.azurewebsites.net**

**General**

**Issued To**

Common Name (CN)	*.azurewebsites.net
Organisation (O)	Microsoft Corporation
Organisational Unit (OU)	<Not part of certificate>

**Issued By**

Common Name (CN)	Microsoft Azure RSA TLS Issuing CA 04
Organisation (O)	Microsoft Corporation
Organisational Unit (OU)	<Not part of certificate>

**Validity Period**

Issued On	Wednesday 16 October 2024 at 07:32:37
Expires On	Saturday 11 October 2025 at 07:32:37

**SHA-256 Fingerprints**

Certificate	0f1ec29e91da7889f3ec1e7413b93a2b5f5effd8530fe8f49ee46cc7b2dd0a0
Public key	5af6fc0c0dc2224bf634b721801b42acb8772d6a7ceceb38b8bd4d4dc876ce3e

Incorporating continuous feedback allows for iterative improvements to the chatbot's performance, ultimately leading to a more effective and user-friendly solution. This p regular testing, user acceptance sessions, and the use of feedback tools to gather, a stakeholders and end-users.

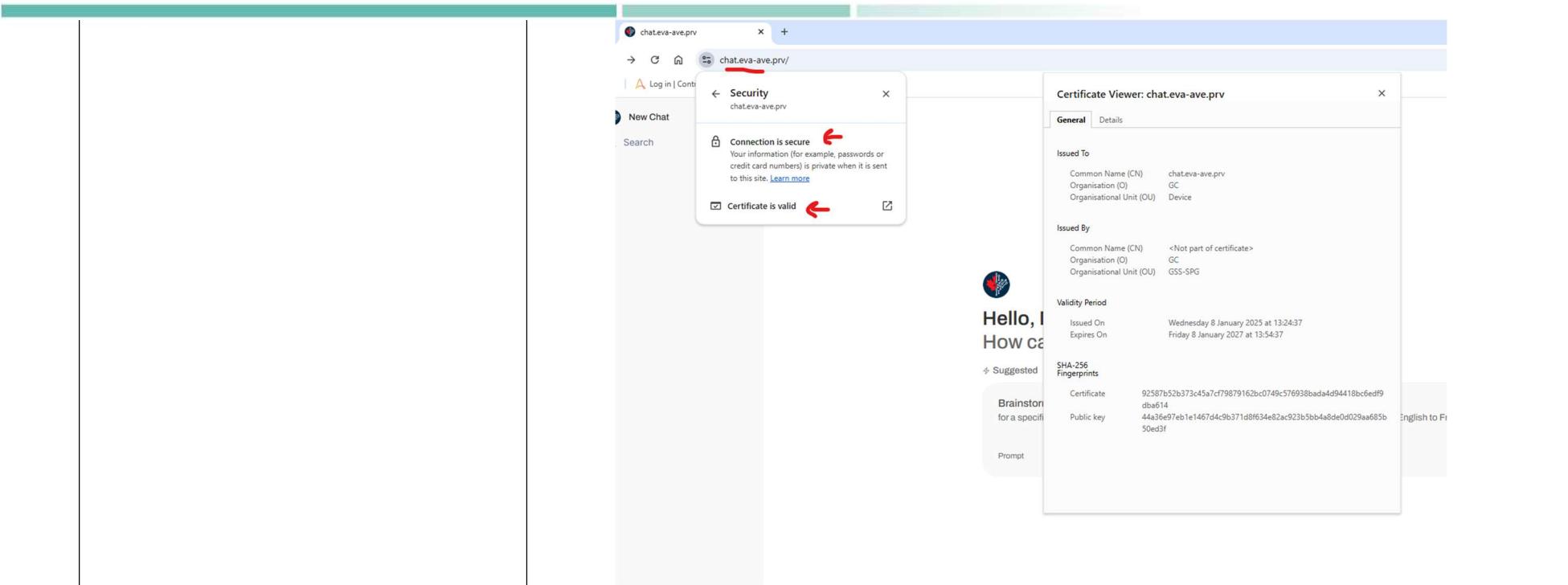


**PROD**

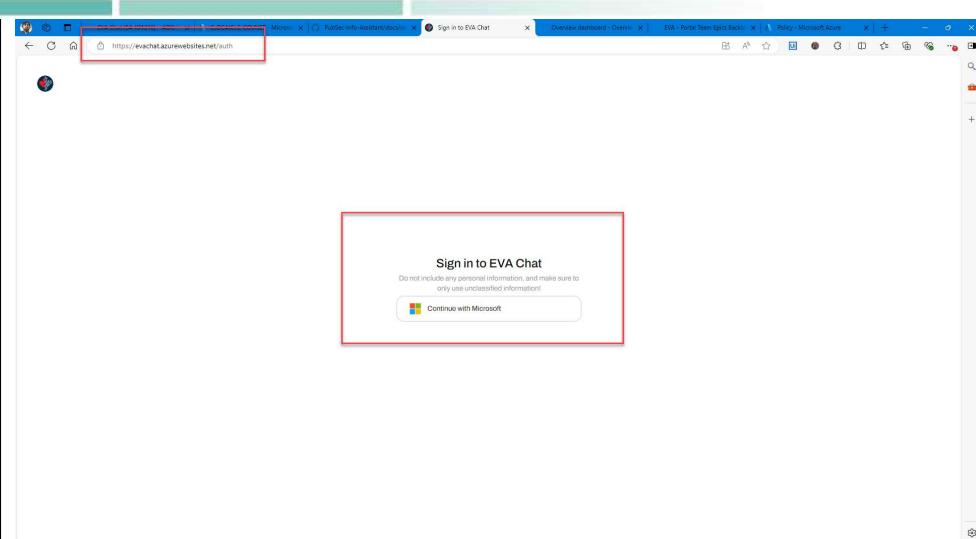
<https://chat.eva-ave.prv/auth>

**Connection is Secure  
Certificate is Valid**

**Here is a copy of the certificate EVA uses as part of azurewebsites.net**



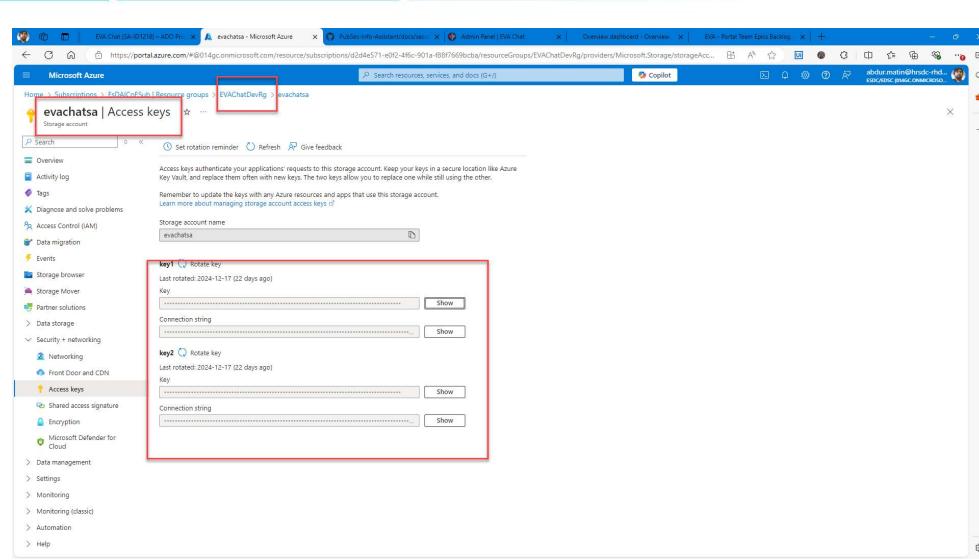
#161) SC-10 -> Network Disconnect	<b>Evidence description</b> <b>Latest at the top</b>  <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b>  <b>Statement describing evidence:</b> The EVA application disconnects as soon as VPN connection is broken or the user is not part of Active directory. The application signs out if the network breaks. The user can again log into the application using single sign-on as soon as network connectivity is available. This will be part of inherited control.	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b>  <b>Iteration #1</b> <ul style="list-style-type: none"> <li>• ST&amp;E report (not available yet)</li> <li>• Will be provided at the end of the evidence gathering phase.</li> </ul> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
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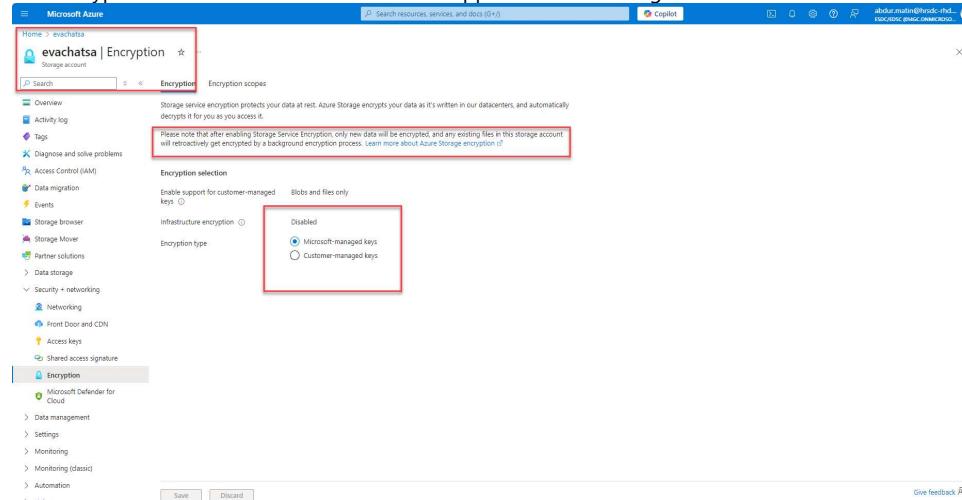
Partial implementation (b/c the ST&E report is not available yet)  
ST&E report will verify the security of data-in-transit

(#162) SC-12 -> Cryptographic Key Establishment and Management	<b>Evidence description</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 23, 2025]</b>	<b>Name of other file(s) containing evidence</b> <b>Latest at the top</b> <hr/> <b>Iteration #1</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID121)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
	<p><b>Statement describing evidence:</b></p> <p>The EVA Chat application uses Access keys to authenticate the applications and requests to access storage accounts. The keys are secured in Azure Key Vault. The Microsoft Azure Key Vault allows to replace them often with new keys. The two keys allow you to replace one while still using the other. This is in accordance with applicable GC legislation and TBS policies, directives, and standards.</p> <p>A snapshot of Azure Key Vault is show below. It allows key vault and objects to be purged during retention period.</p>	





The Encryption has been enabled for EVA chat application and storage.



Detailed information on Encryption keys can be found on Microsoft documentations. Here are some links.

**Extra Details:**

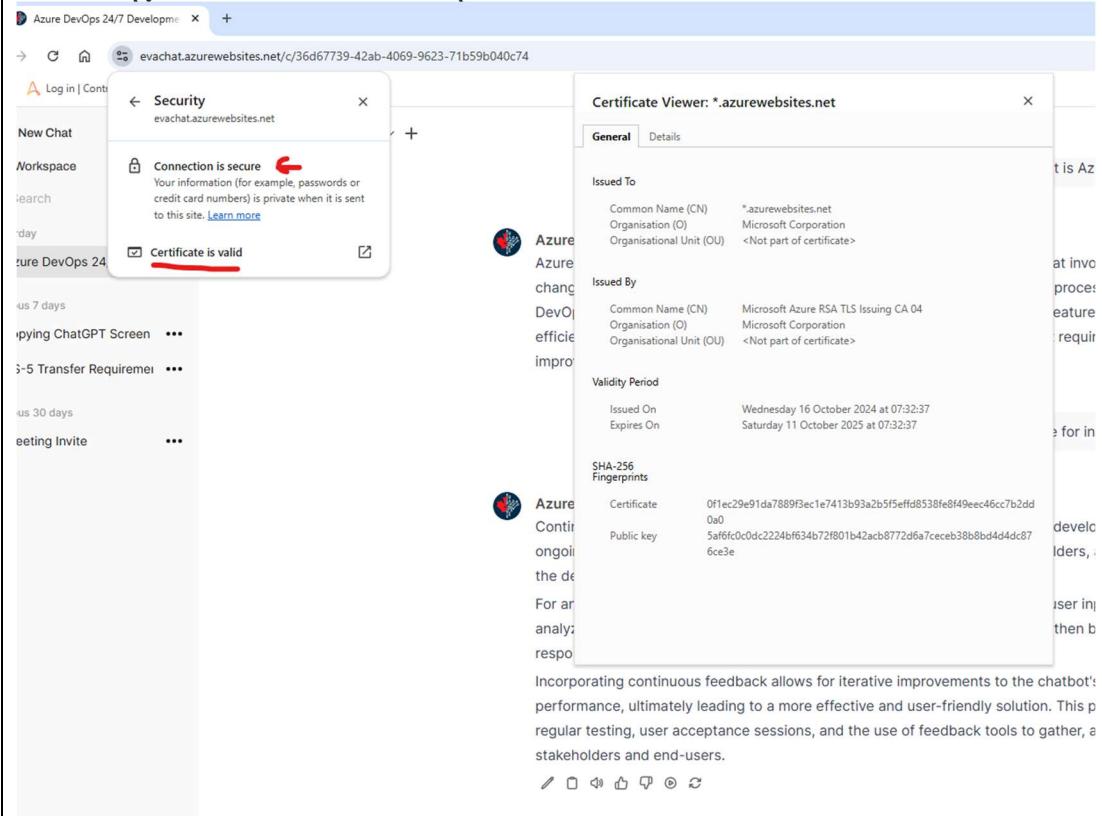
Using the Google web browser, the connection property shows the connection is secure for the data in transit.

**NON-PROD**

<https://evachat.azurewebsites.net/auth>.

**Connection is Secure****Certificate is Valid**

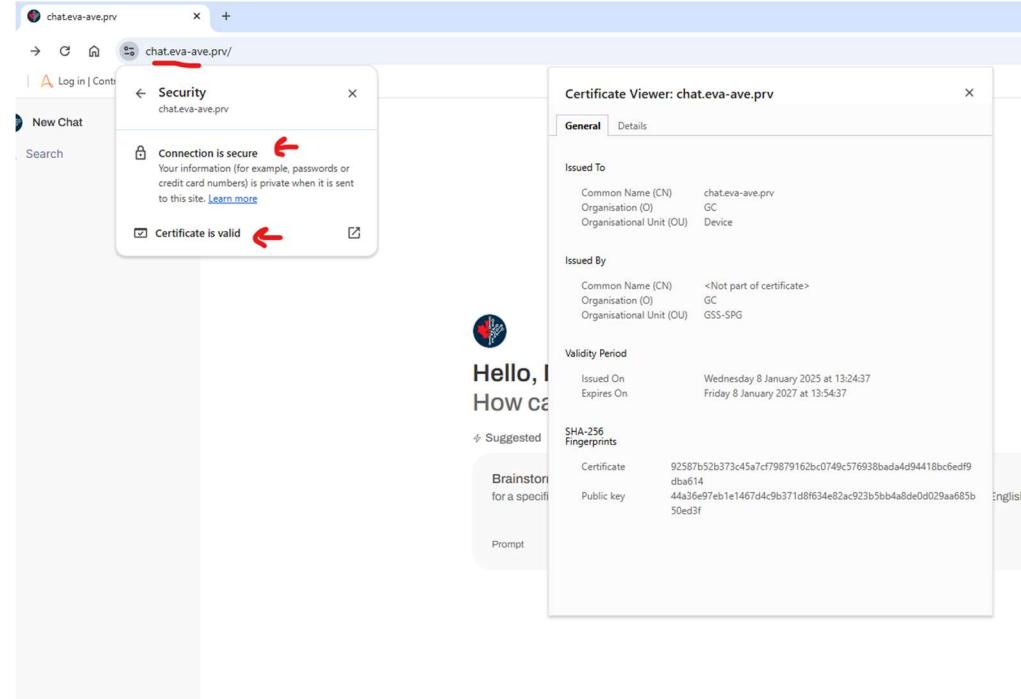
Here is a copy of the certificate EVA uses as part of azurewebsites.net



**PROD**  
<https://chat.eva-ave.prv/auth>

**Connection is Secure**  
**Certificate is Valid**

Here is a copy of the certificate EVA uses as part of azurewebsites.net



(#163) SC-12(1) -> Cryptographic Key Establishment and Management | Availability

#### Evidence description

Latest at the top

-----  
**Iteration #1**  
**[Abdur Rafey Matin - Jan 23, 2025]**

Statement describing evidence:

#### Name of other file(s) containing evidence

Latest at the top

-----  
**Iteration #1**

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216)

The EVA Chat application uses Access keys to authenticate the applications and requests to access storage accounts. The keys are secured in Azure Key Vault. The Microsoft Azure Key Vault allows to replace them often with new keys. The two keys allow you to replace one while still using the other. This is in accordance with applicable GC legislation and TBS policies, directives, and standards.

A snapshot of Azure Key Vault is show below. It allows key vault and objects to be purged during retention period

The screenshot shows the 'Properties' tab of the Azure Key Vault 'evachatkv'. The 'Purge protection' section is highlighted with a red box. It contains a radio button for 'Disable purge protection (allow key vault and objects to be purged during retention period)' and another for 'Enable purge protection (enforce a mandatory retention period for deleted vaults and vault objects)'. The 'Disable' option is selected.

The Encryption has been enabled for EVA chat application and storage.

The screenshot shows the 'Encryption' section of the Azure Container Apps Environment 'evachat-appenv'. The 'Peer-to-Peer encryption' setting is highlighted with a red box and is set to 'Enabled'. A note below states: 'Enabling peer-to-peer encryption may increase response latency and reduce maximum throughput in scenarios with many active connections. Learn more'.

- The assumptions included in this RACI file have not been management team.

**Extra Details:**

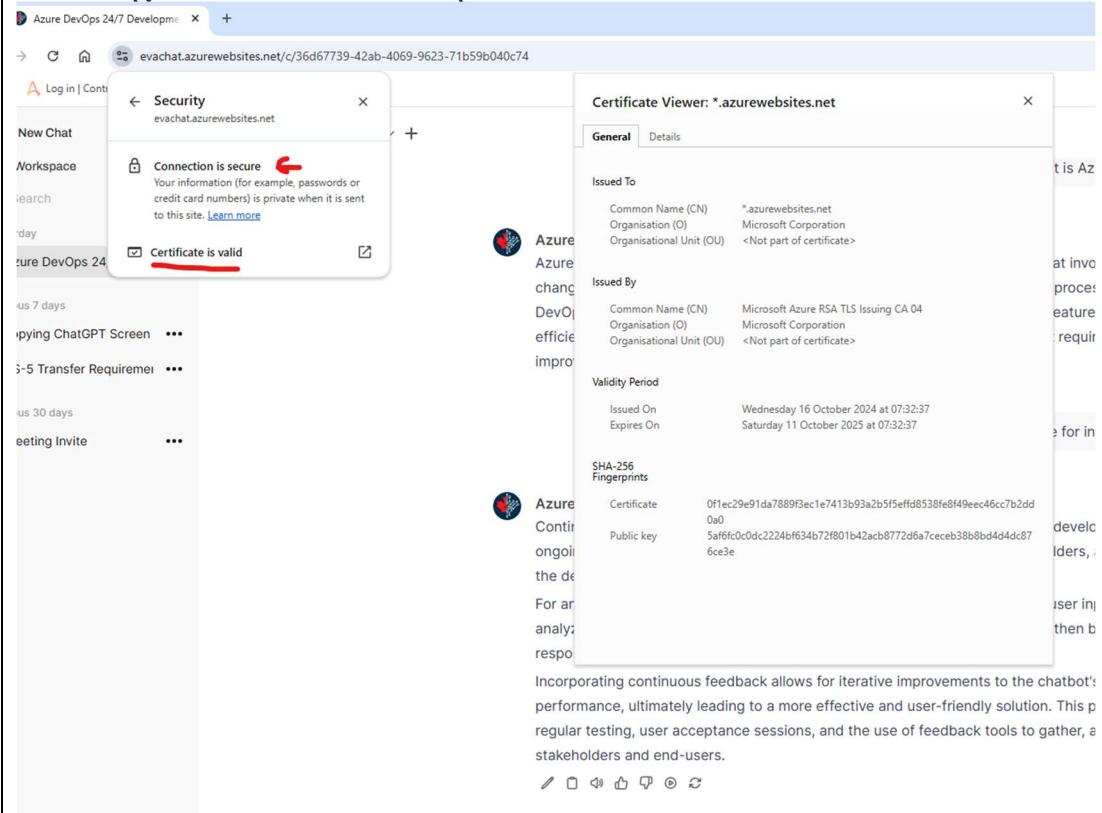
Using the Google web browser, the connection property shows the connection is secure for the data in transit.

**NON-PROD**

<https://evachat.azurewebsites.net/auth>.

**Connection is Secure****Certificate is Valid**

Here is a copy of the certificate EVA uses as part of azurewebsites.net

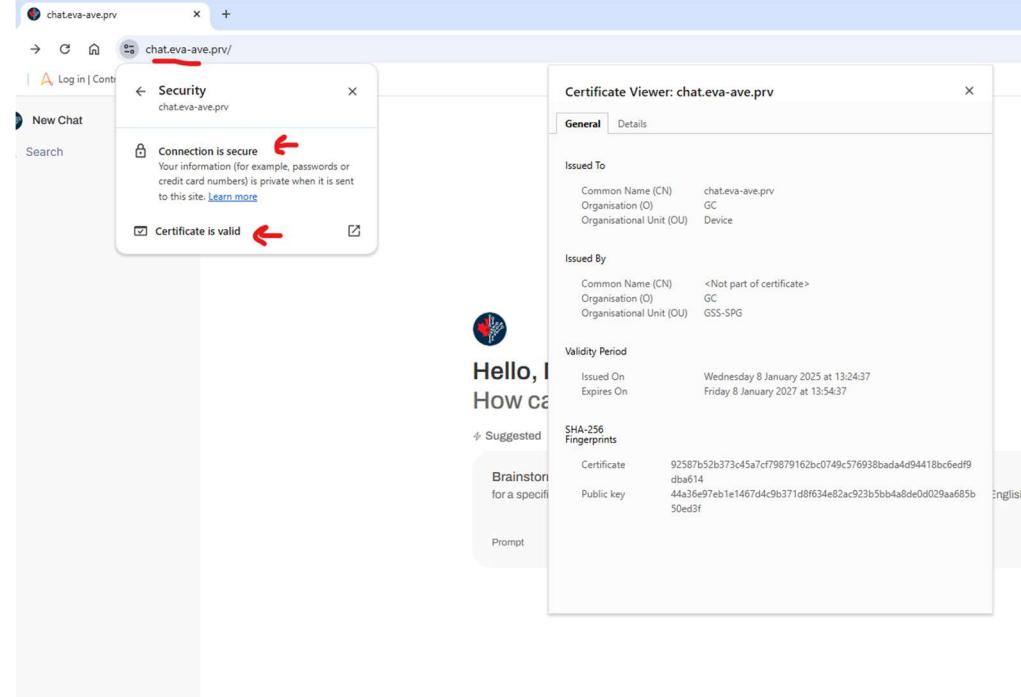


Incorporating continuous feedback allows for iterative improvements to the chatbot's performance, ultimately leading to a more effective and user-friendly solution. This involves regular testing, user acceptance sessions, and the use of feedback tools to gather input from stakeholders and end-users.

**PROD**  
<https://chat.eva-ave.prv/auth>

**Connection is Secure**  
**Certificate is Valid**

Here is a copy of the certificate EVA uses as part of azurewebsites.net



(#164) SC-13 -> Cryptographic Protection

**Evidence description**

**Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin - Jan 31, 2025]**

**Statement describing evidence:**

**Name of other file(s) containing evidence**

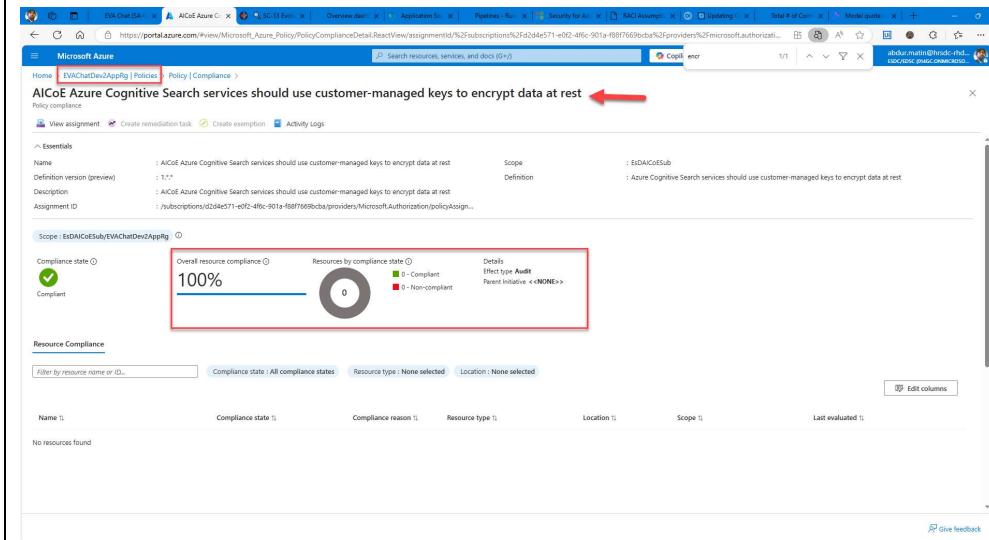
**Latest at the top**

**Iteration #1**

See file(s):

**AICOE Generative AI Team Training Action Plan\_V01**

**Implemented Policy (100% compliance): AICoE Azure Cognitive Search services should use customer-managed keys to encrypt data at rest**

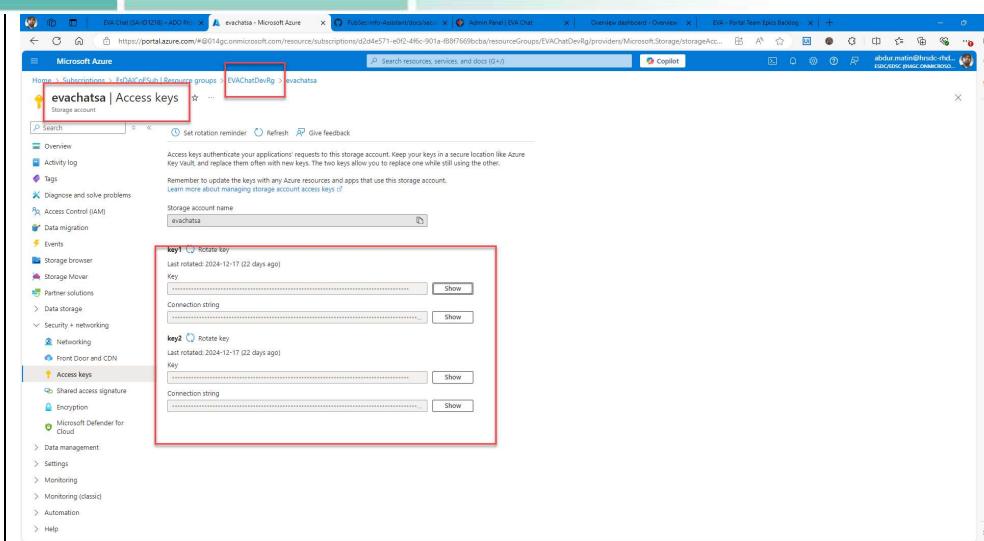


**Use of Azure Key Vault**

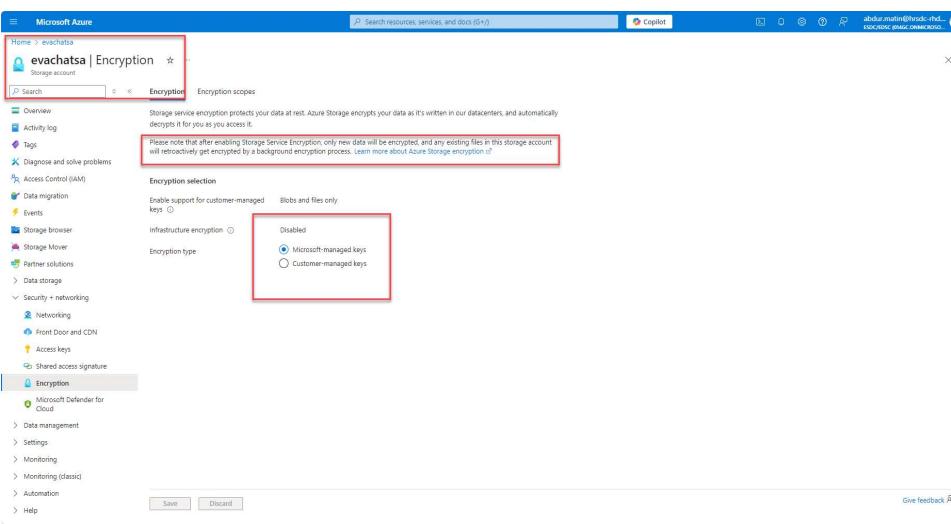
The EVA Chat application uses Access keys to authenticate the applications' requests to access this storage account. This keeps the keys in a secured. The Microsoft Azure Key Vault allows to replace them often with new keys. The two keys allow you to replace one while still using the other. This is in accordance with applicable GC legislation and TBS policies, directives and standards.

RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx

- The assumptions included in this RACI file have not been management team.

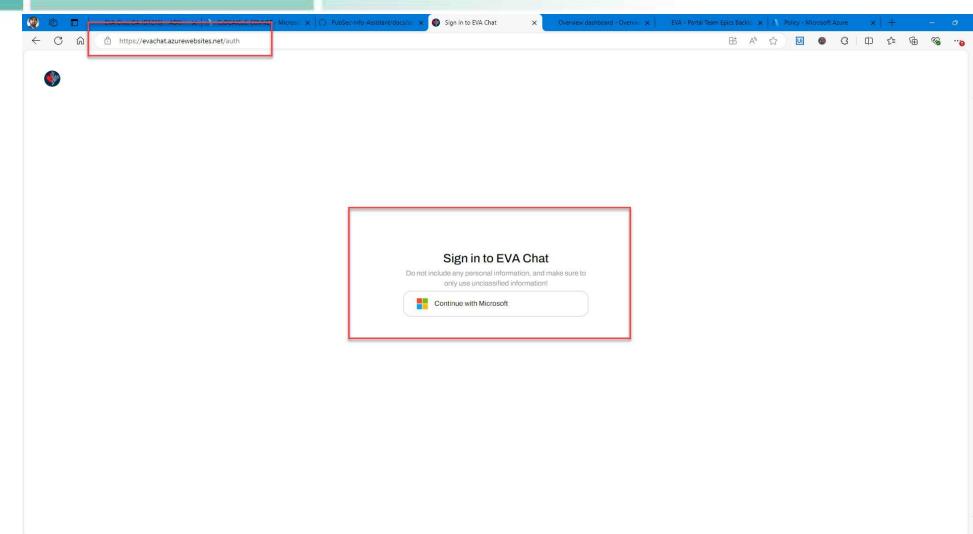


### (Encrypted Keys)



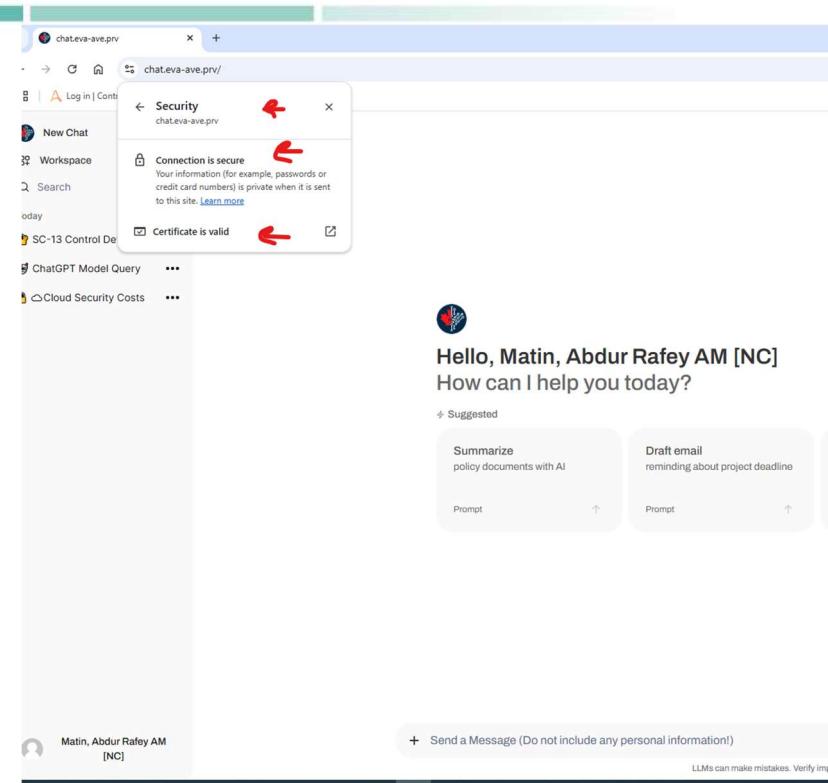
	<p>Detailed information on Encryption keys can be found on Microsoft documentations. Here are some links.</p> <p><b>Encryption keys info can be found here.</b></p> <p><a href="https://docs.microsoft.com/en-us/azure/security/fundamentals/encryption-atrest">https://docs.microsoft.com/en-us/azure/security/fundamentals/encryption-atrest</a></p> <p>Encryption Info for the Application:</p> <p><a href="https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-credential-storage-in-cv.html">https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-credential-storage-in-cv.html</a></p> <p><a href="https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-authentication-with-control-room.html">https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-authentication-with-control-room.html</a></p> <p><a href="https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-list-of-cryptographic-providers.html">https://docs.automationanywhere.com/bundle/enterprise-v2019/page/enterprise-cloud/topics/security-architecture/cloud-list-of-cryptographic-providers.html</a></p> <p><b>Training:</b>  <b>The AICoE employees must follow the training plan that covers the topic of encryption and cryptography.</b>  <a href="#">Microsoft Purview Information Protection   Microsoft Learn</a></p> <p><b>ST&amp;E Report can also confirm the use of cryptography in EVA application to secure the information communication.</b></p>	
(#165) SC-23 -> Session Authenticity	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b>  <b>[Abdur Rafey Matin - Jan 30, 2025]</b></p> <p><b>The session is authenticated by:</b></p> <p>1. <b>Access Control:</b> In our EVA application, access control is stringently enforced. The handling of user identities and authentication is directed by Microsoft Entra ID, previously known as Active Directory. This system ensures that all users must authenticate through a single sign-on process to gain access to the EVA application. Once the user signs out of the application, he has to be part of Active directory every time to log back into the application.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>See file(s):</p> <p>RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</p> <ul style="list-style-type: none"> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>





3. **Secure HTTPS:** EVA Application uses HTTPS which Ensure that the application is session and session is authenticated.





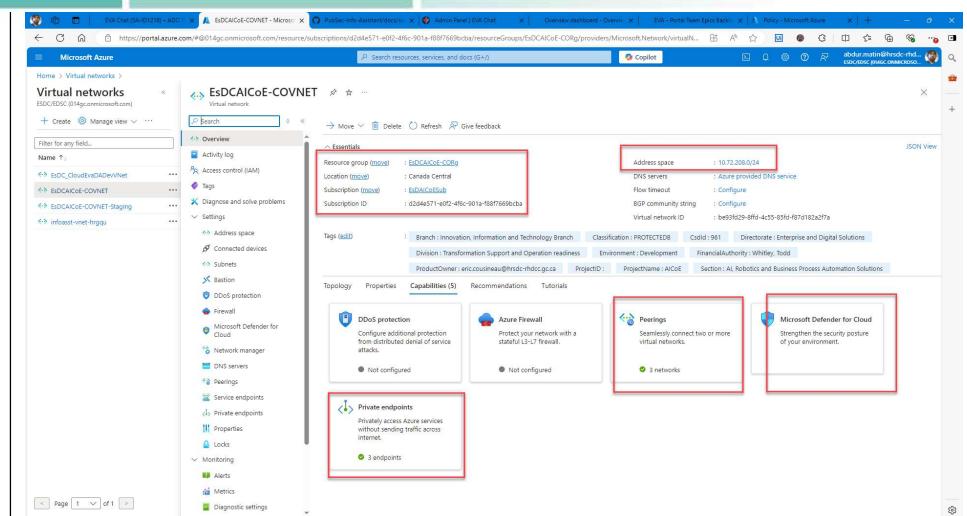
ST&E Testing will also cover this evidence in their testing report. We will provide the report once it is available.

#### Extra Details

The EVA application is hosted on ESDC Cloud infrastructure which is exclusively connected to a Virtual Network (VNet) which resides within the confines of the ESDC firewall. This setup forms a secure pathway for information flow during the connection session. All data transfer during a session is strictly controlled and originates from SCED.

This arrangement warrants that data flowing in and out of our system is strictly monitored and controlled, thereby ensuring compliance with SC-23 security control. It minimizes the risk of unauthorized data access or leakage, enforcing a dependable flow of information, and reinforcing our commitment to upholding highest security measures





(#166) SC-23(1) -> Session Authenticity | Invalidate Session Identifiers at Logout

#### Evidence description

**Latest at the top**

**Iteration #2**  
**[Abdur Rafey Matin - Jan 31, 2025]**

#### Statement describing evidence:

In our EVA application, access control is stringently enforced. The handling of user identities and authentication is directed by Microsoft Entra ID, previously known as Active Directory. This system ensures that all users must authenticate through a single sign-on process to gain access to the EVA application. Once the user signs out of the application, he has to be part of Active directory every time to log back into the application.

#### Name of other file(s) containing evidence

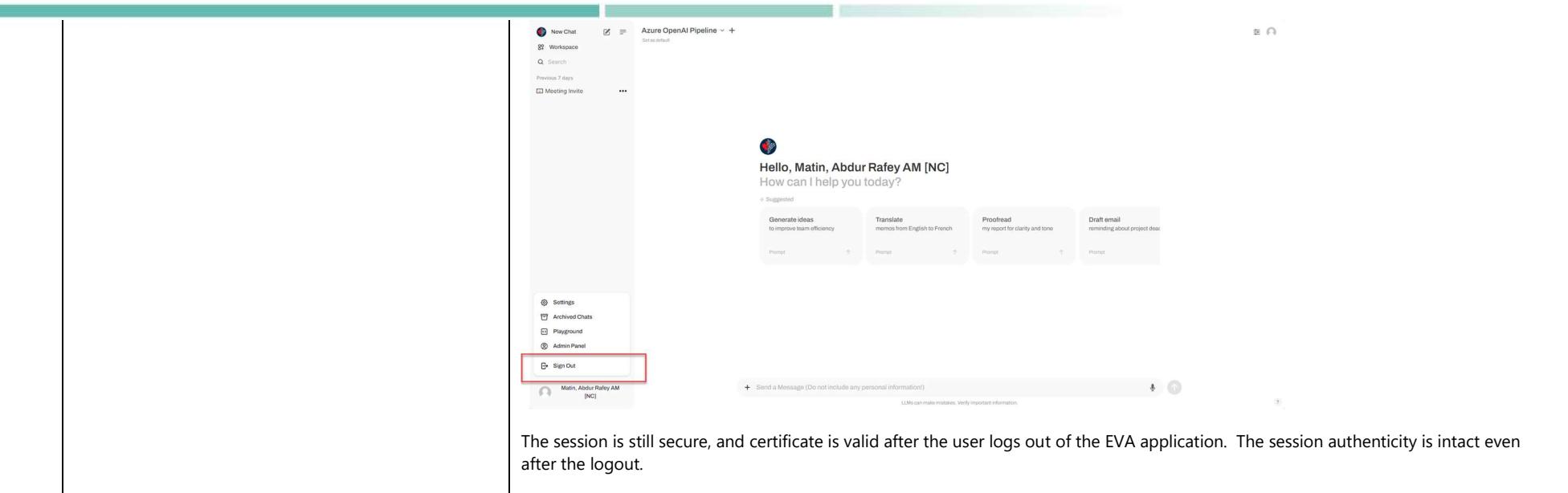
**Latest at the top**

**Iteration #2**

See file(s):

RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx

- The assumptions included in this RACI file have not been management team.



	 <p><b>Sign in to EVA Chat</b> Do not include any personal information, and make sure to only use unclassified information! <a href="#">Continue with Microsoft</a></p>	
<p>ST&amp;E Testing will also cover this evidence security of data-in-transit in their testing report. We will provide the report once it is available.</p>		
(#167) SC-24 -> Fail in Known State	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 23, 2025]</p> <p><b>Statement describing evidence:</b> Partial implementation (b/c the ST&amp;E report is not available yet) ST&amp;E report will verify the security of data-in-transit.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <ul style="list-style-type: none"> <li>• ST&amp;E report (not available yet)</li> <li>• Will be provided at the end of the evidence gathering phase</li> </ul> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>

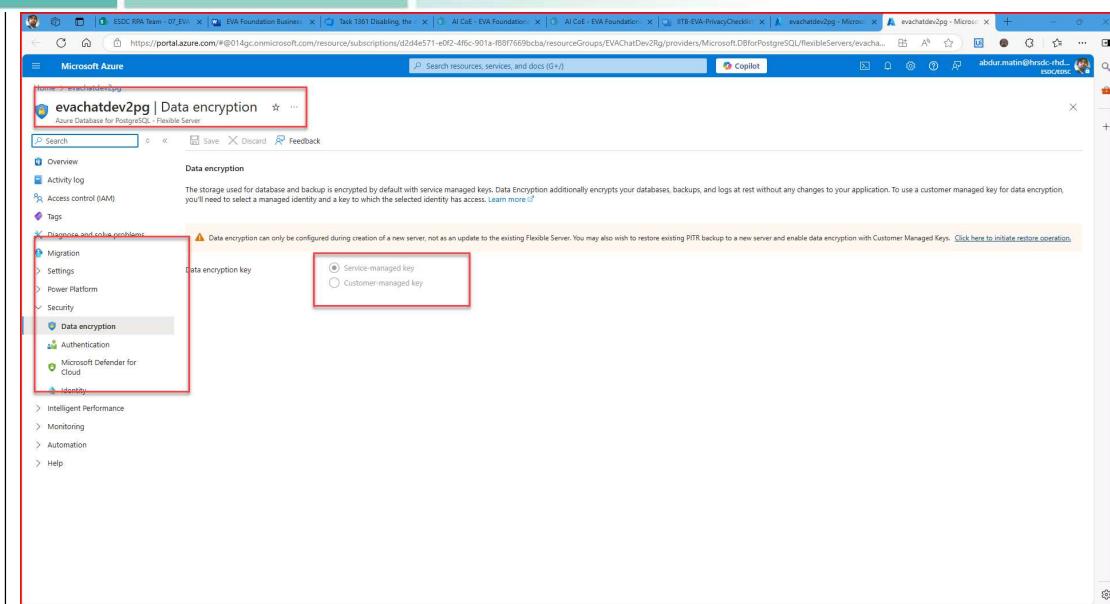
(#168) SC-28 -> Protection of Information at Rest	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 24, 2025]</b>  <b>Statement describing evidence:</b>  The Storage account is configured for This is under Security of Storage account: The encryption type is Microsoft managed keys	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li><li>○ The assumptions included in this RACI file have not been management team.</li></ul>
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**Postgres SQL Information at Rest**  
**Encrypted**



[Data encryption - Azure Database for PostgreSQL - Flexible Server | Microsoft Learn](#)

## 18. System and information integrity (SI)

(#169) SI-2 -> Flaw Remediation

### Evidence description

Latest at the top

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Iteration #1

[Abdur Rafey Matin - Jan 29, 2025]

#### Statement describing evidence:

Refer to the documents provided for this controls.

The EVA code is stored in Azure DevOps GitHub repos. Everything is stored in the Azure DevOps. The code is pushed through Azure

### Name of other file(s) containing evidence

Latest at the top

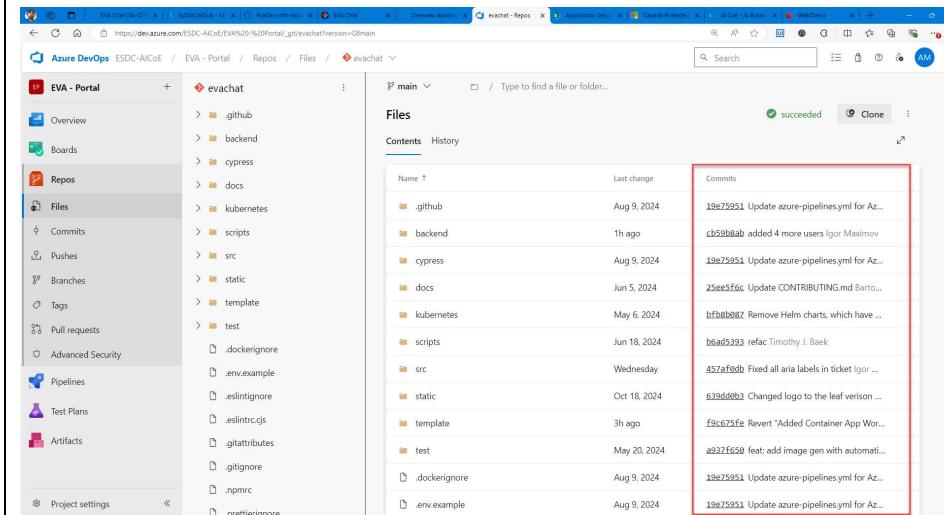
-----  
Iteration #1

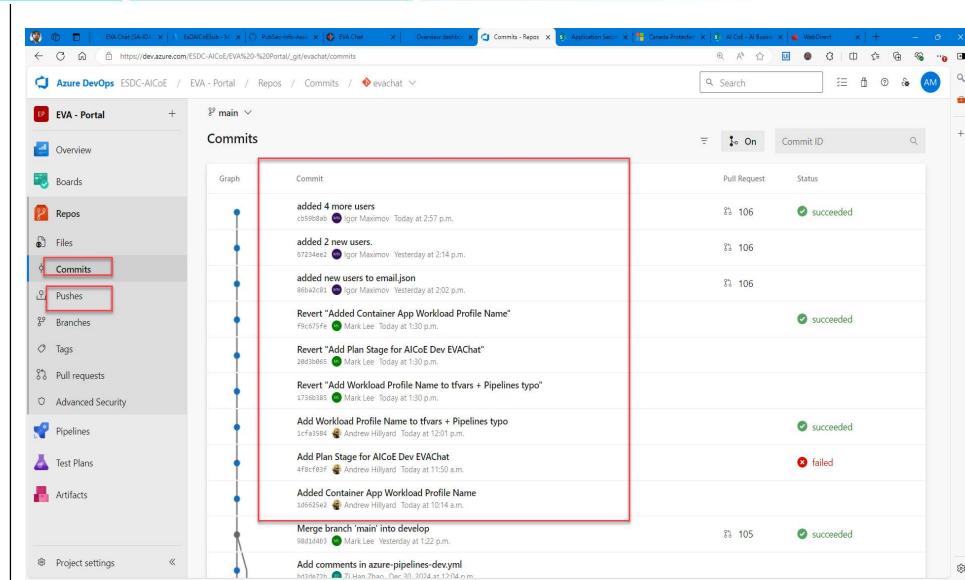
See file(s):

- AICoE EVA System Development Life cycle & Security
- RACI Assumptions - EVA Chat (SA-ID1216) v3.xlsx
  - The assumptions included in this RACI file have been confirmed by the management team.

Pipeline. The code is versioned in branches and stored in the central repositories. If there is any flaw in the code or any things needs to be updated, the code is checked out, the developer makes modification and commits the change. Once the change is committed. The DevOps team based on the release mechanism and push the changes to the main branch. The code is pushed through pipelines, making sure the integrity of the entire EVA application. In this way any flaw to the system is remediated.

The deployment will be reviewed and approved by minimum two technical authorities assigned by the Management...

**Extra Details:****Section 1.1.1 → See File for details. (AICoE EVA System Development Life cycle & Security Engineering)**



(#170) SI-4 -&gt; Information System Monitoring

**Evidence description****Latest at the top**


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**Iteration #1**  
**[Abdur Rafey Matin - Jan 16, 2025]**
**Statement describing evidence:**  
Refer to the documents provided for this controls.
**Name of other file(s) containing evidence****Latest at the top**


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**Iteration #1**

See file(s):

- Cloud Questionnaire - Supplemental material  
EVA Chat\_V1.0.docx
- Note : The following documents are referenced in the above :
- EVA Chat\_waf\_request\_form\_V1.0
  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025
  - Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - MicrosoftDefenderForCloudRegulatoryCompliance
    - Cloud Connectivity Questionnaire (SA-ID1.0.docx

		<p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>● RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#171) SI-4(2) -> Information System Monitoring   Automated Tools for Real-Time Analysis	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>● Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA_Chat_waf_request_form_V1.0</li> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> <ul style="list-style-type: none"> <li>● Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.0</li> </ul> <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>● RACI Assumptions - EVA Chat (SA-ID1216)</li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#172) SI-4(4) -> Information System Monitoring   Inbound and Outbound Communications Traffic	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b></p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <p>-----</p> <p><b>Iteration #1</b></p> <p>See file(s):</p>



	<p>Refer to the documents provided for this controls.</p>	<ul style="list-style-type: none"> <li>Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>EVA_Chat_waf_request_form_V1.0</li> <li>Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>EVA Architecture_V1.pdf</li> <li>EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#173) SI-4(5) -> Information System Monitoring   System-Generated Alerts	<p><b>Evidence description</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b></p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s): <ul style="list-style-type: none"> <li>Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>EVA_Chat_waf_request_form_V1.0</li> <li>Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>EVA Architecture_V1.pdf</li> <li>EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> </ul> </p>



		<ul style="list-style-type: none"> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#174) SI-4(7) -> Information System Monitoring   Automated Response to Suspicious Events	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx           <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA_Chat_waf_request_form_V1.0</li> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v           <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#175) SI-4(10) -> Information System Monitoring   Visibility of Encrypted Communications	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx           <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>○ EVA Chat waf request form V1.0</li> </ul> </li> </ul>

		<ul style="list-style-type: none"> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>● Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2025)</li> <li>● RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>
(#176) SI-4(11) -> Information System Monitoring   Analyze Communications Traffic Anomalies	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>● Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA_Chat_waf_request_form_V1.0</li> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>● Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2025)</li> <li>● RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been management team.</li> </ul>



#177) SI-4(12) -> Information System Monitoring   Automated Alerts	<b>Evidence description</b> Latest at the top ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b> <b>Statement describing evidence:</b> Refer to the documents provided for this controls.	<b>Name of other file(s) containing evidence</b> Latest at the top ----- <b>Iteration #1</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx               <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA_Chat_waf_request_form_V1.0</li> <li>◦ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>◦ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>◦ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>◦ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.0               <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA Architecture_V1.pdf</li> <li>◦ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>◦ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(178) SI-4(13) -> Information System Monitoring   Analyze Traffic /Event Patterns	<b>Evidence description</b> Latest at the top ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b> <b>Statement describing evidence:</b> Refer to the documents provided for this controls.	<b>Name of other file(s) containing evidence</b> Latest at the top ----- <b>Iteration #1</b> <b>See file(s):</b> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx               <p>Note : The following documents are referenced in the above :</p> <ul style="list-style-type: none"> <li>◦ EVA_Chat_waf_request_form_V1.0</li> <li>◦ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>◦ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>◦ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> </ul>



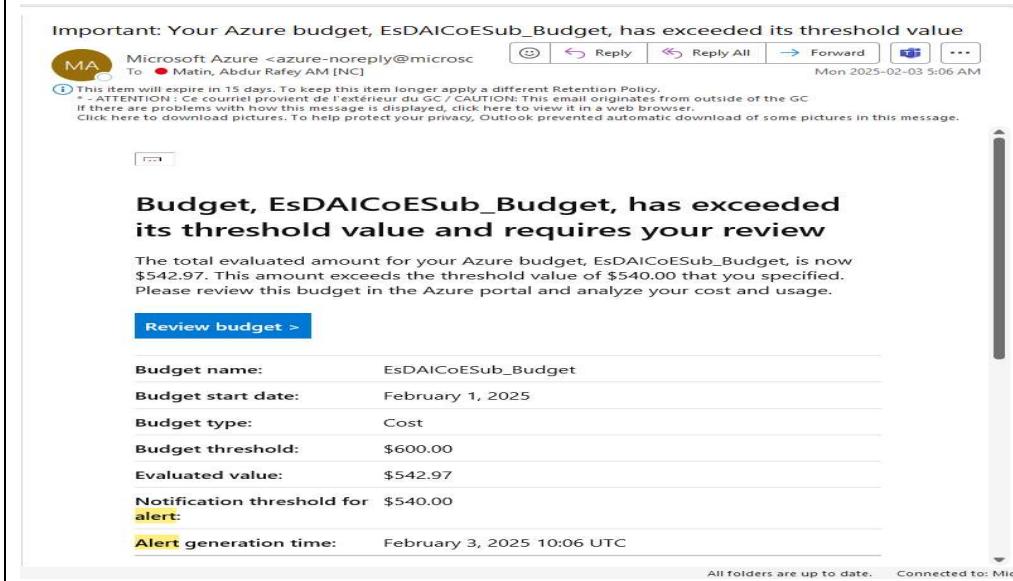
		<ul style="list-style-type: none"> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance_V1.0.pdf</li> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#179) SI-4(14) -> Information System Monitoring   Wireless Intrusion Detection	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 16, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA_Chat_waf_request_form_V1.0</li> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance_V1.0.pdf</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance_V1.0.pdf</li> </ul> </li> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.0.docx Note : The following documents are referenced in the above : <ul style="list-style-type: none"> <li>○ EVA Architecture_V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> <li>• RACI Assumptions - EVA Chat (SA-ID1216)</li> </ul> </li> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul>
(#180) SI-5 -> Security Alerts, Advisories, and Directives	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin – Feb 03, 2025]</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p>

**Statement describing evidence:****Accessor Note:**

this control is about keeping current with advisories, alerts, vulnerabilities, directives...  
The evidence provided talks about code.

**Response:****Email Alters from Microsoft Azure Subscription**

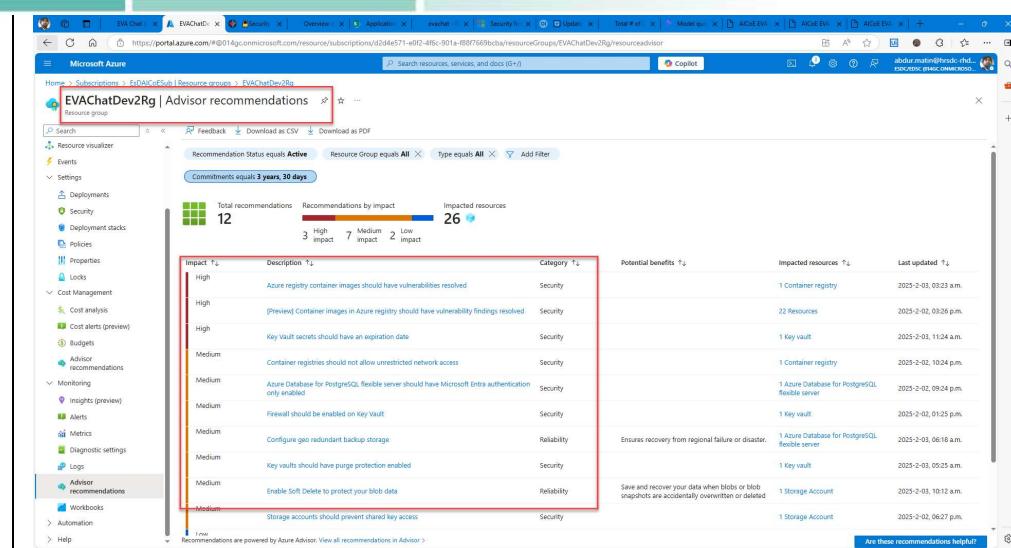
1.- The EVA chat application is hosted on Azure Cloud, AICoE (EsDAICoESub) Subscription. The Azure infrastructure is supported with various type of advisories, alters and vulnerabilities. For Example, An alter is generated when the expected cost is set to exceed the threshold.

**2.- Advisor recommendations (Applicaiton Related)**

The Azure Advisor recommendation provide advisories related to optimal use of application hosted on infrastructure such as "Azure registry container images should have vulnerabilities resolved" "

**See file(s):**

- AICoE EVA System Development Life cycle & Security
- RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx
- The assumptions included in this RACI file have not been reviewed by the management team.



### 3.- Advisor recommendations (Cost Related)

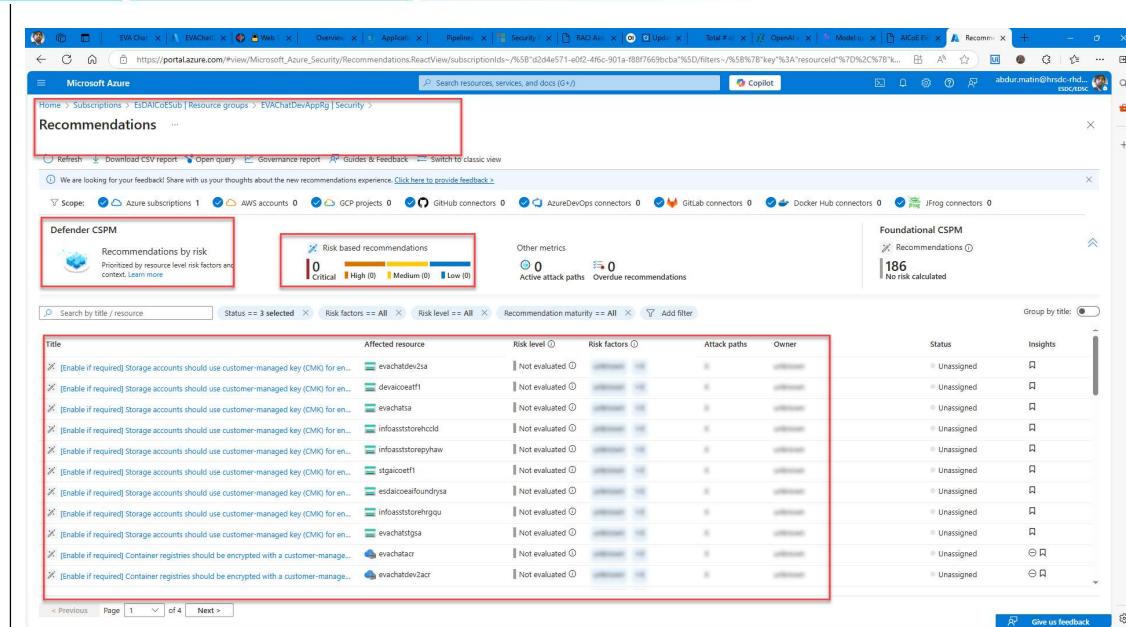
The Azure Advisor recommendation provide advisories related to the optimizing the cost such as “Consider App Service reserved instance to save over your on-demand costs”

The screenshot shows the Microsoft Azure Subscriptions page for the 'EsDAICoESub' subscription. A red box highlights the 'Advisor recommendations' section. The interface displays four active recommendations categorized by impact (High, Medium, Low). Each recommendation includes a description, potential yearly savings, impacted resources, and last updated date.

Impact	Description	Potential yearly savings based on ...	Impacted resources	Last updated
High	Right-size or shutdown underutilized virtual machines. <a href="#">Quick fix</a>	3,316 USD	3 Virtual machines	2023-2-03, 08:40 a.m.
High	Purchasing a savings plan for compute could unlock lower prices.	3,101 CAD	1 Subscription	2023-2-03, 05:29 a.m.
High	Consider virtual machine reserved instance to save over your on-demand costs.	3,751 CAD	1 Subscription	2023-2-03, 11:51 a.m.
High	Consider App Service reserved instance to save over your on-demand costs	1,424 CAD	1 Subscription	2023-2-03, 07:56 a.m.

### 1. Microsoft Defender for Cloud managed by Infrastructure team (AIS)

The EVA Chat is hosted on Microsoft Azure ESDC Cloud. The Microsoft Azure has its own tool for Vulnerability Scanning. It is called Microsoft Defender for Cloud. You can find the vulnerability scan for our 'EsDAICoESub' Azure subscription in the Microsoft Defender for Cloud screen



(#181) SI-7 -> Software, Firmware, and Information Integrity

#### Evidence description

Latest at the top

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#### Iteration #1

[Abdur Rafey Matin - Jan 28, 2025]

#### Statement describing evidence:

Refer to the documents provided for this controls.

The EVA code is stored Azure DevOps GitHub repos. Everything is stored in the Azure DevOps. The code is pushed through Azure Pipeline. The application is hosted in Azure Cloud. The cloud is integrated with Microsoft Defender. The Defender constantly provides alters and notifications about that threat, or noncompliance. Report attached.

#### Extra Details:

Section 1.1.1 → See File for details. (AICoE EVA System Development Life cycle & Security Engineering)

The EVA code is stored Azure DevOps GitHub repose. Everything is stored in the ESDC-AICoE Team Repository

#### Name of other file(s) containing evidence

Latest at the top

---

#### Iteration #1

See file(s):

- Cloud Questionnaire - Supplemental material (SA-ID1216)  
Chat\_V1.0.docx  
Note : The following documents are referenced in the above :
  - EVA\_Chat\_waf\_request\_form\_V1.0
  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025
  - Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - MicrosoftDefenderForCloudRegulatoryCompliance
- Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v  
Note : The following documents are referenced in the above :

The EVA application code is pushed through secure azure pipelines. The release is planned by the Azure DevOps.

**Pipelines Section:**

- Recently run pipelines:**
  - evachat-develop (Last run: #20250114.2 - Updated azure-pipelines.yml with new service connection and dockerfile)
  - evachat-aicoe-dev (Last run: #20250114.7 - added 4 more users)
  - evachat-rpa-openwebui (Last run: #20241115.3 - Fix typo in openwebui-pipelines-compose.yml)
  - eva (Last run: #20240527.10 - Change service name to sshd)
  - canchat (Last run: #20240328.1 - Updated const.ts)
  - EVA - Portal (Last run: #20240307.1 - Merged PR 4: Locale FR update)

- AICoE EVA System Development Life cycle & Security Eng
  - EVA Architecture\_V1.pdf
  - EVA Chat SAQ (not signed yet - Nov 2024)
- RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx
  - The assumptions included in this RACI file have not been reviewed by the management team.

(#182) SI-7(1) -> Software, Firmware, and Information Integrity | Integrity Checks

### Evidence description

Latest at the top

**Iteration #1**  
[Abdur Rafey Matin - Jan 28, 2025]

#### Statement describing evidence:

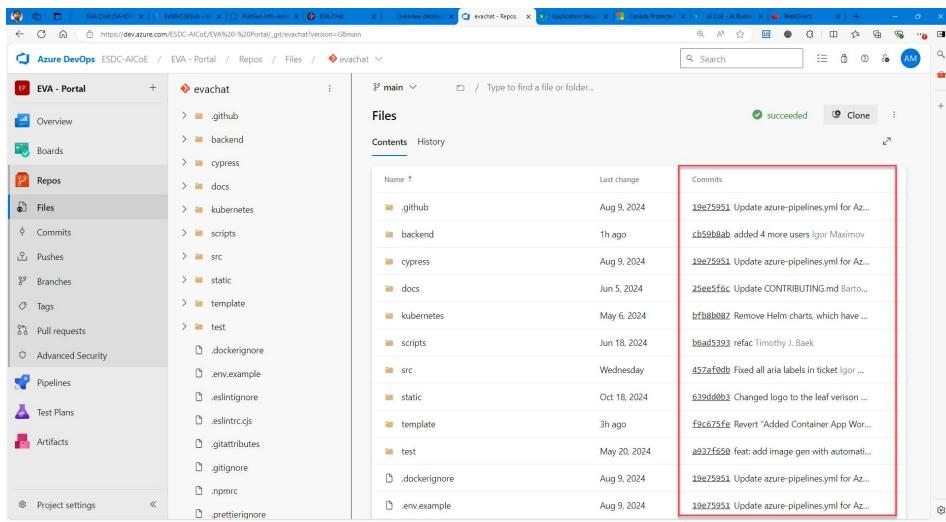
Refer to the documents provided for this controls.

The EVA code is stored Azure DevOps GitHub repos. Everything is stored in the Azure DevOps. The code is pushed through Azure Pipeline. The application is hosted in Azure Cloud. The cloud is integrated with Microsoft Defender. The Defender constantly provides alters and notifications about that threat, or noncompliance. Report attached.

#### Extra Details:

##### Section 1.1.1 → See File for details. (AIoE EVA System Development Life cycle & Security Engineering)

The EVA code is stored Azure DevOps GitHub repos. Everything is stored in the team ESDC-AICoE. In this team the project is EVA Portal. Inside the project all the code is stored in the repos. The commits are controlled by Azure DevOps to make sure, there are no conflicting changes. Every commit is tracked with the proper information and making sure there are no conflicts.



### Name of other file(s) containing evidence

Latest at the top

**Iteration #1**

See file(s):

- Cloud Questionnaire - Supplemental material (SA-ID1216) Chat\_V1.0.docx
 

Note : The following documents are referenced in the above :

  - EVA\_Chat\_waf\_request\_form\_V1.0
  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025
  - Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - MicrosoftDefenderForCloudRegulatoryCompliance
- Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.xlsx
 

Note : The following documents are referenced in the above :
- AIoE EVA System Development Life cycle & Security Engineering
  - EVA Architecture \_V1.pdf
  - EVA Chat SAQ (not signed yet - Nov 2024)
- RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx
  - The assumptions included in this RACI file have not been management team.

(#183) SI-7(2) -> Software, Firmware, and Information Integrity | Automated Notifications of Integrity Violations

### Evidence description

Latest at the top

**Iteration #1**  
**[Abdur Rafey Matin - Jan 28, 2025]**

#### Statement describing evidence:

Refer to the documents provided for this controls.

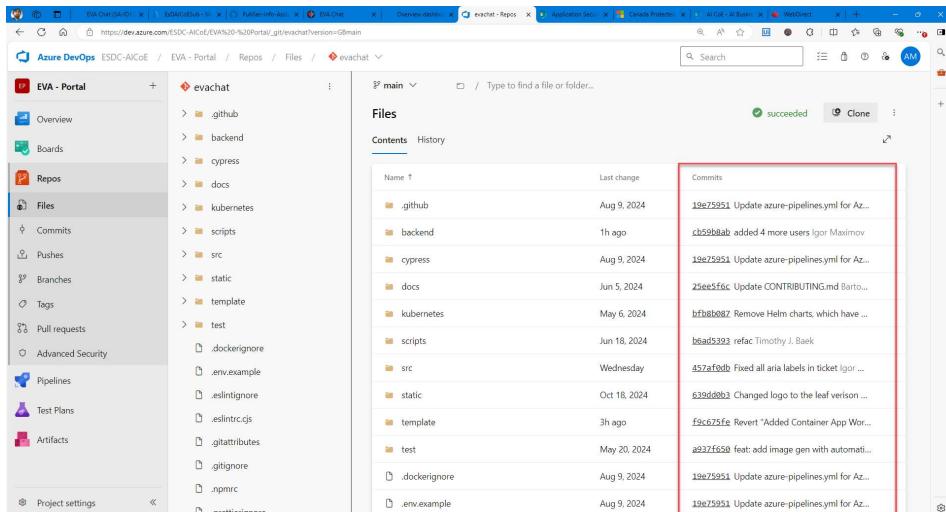
The EVA code is stored Azure DevOps GitHub repos. Everything is stored in the Azure DevOps. The code is pushed through Azure Pipeline. The application is hosted in Azure Cloud. The cloud is integrated with Microsoft Defender. The Defender constantly provides alters and notifications about that threat, or noncompliance. Report attached.

#### Extra Details

##### Section 1.1.1 → See File for details. (AI CoE EVA System Development Life cycle & Security Engineering)

The EVA code is stored Azure DevOps GitHub repos.

ESDC-AICoE. In this team the project is EVA Portal. Inside the project all the code is stored in the repos. The commits are controlled by Azure DevOps to make sure, there are no conflicting changes. Every commit is tracked with the proper information and making sure there are no conflicts.



### Name of other file(s) containing evidence

Latest at the top

**Iteration #1**

See file(s):

- Cloud Questionnaire - Supplemental material (SA-ID1216) Chat\_V1.0.docx
 

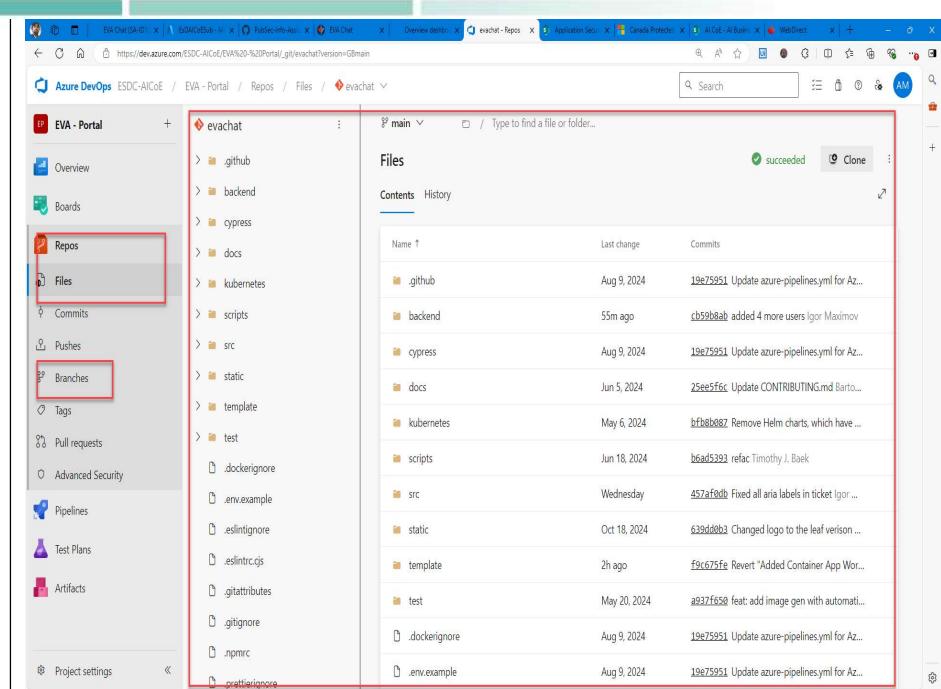
Note : The following documents are referenced in the above :

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  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025
  - Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - MicrosoftDefenderForCloudRegulatoryCompliance
- Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.xlsx
 

Note : The following documents are referenced in the above :
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  - EVA Architecture \_V1.pdf
  - EVA Chat SAQ (not signed yet - Nov 2024)
- RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx
  - The assumptions included in this RACI file have not been management team.

#184) SI-7(3) -> Software, Firmware, and Information Integrity   Centrally-Managed Integrity Tools	Evidence description	Name of other file(s) containing evidence
	<p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 28, 2025]</p> <p><b>Statement describing evidence:</b> Refer to the documents provided for this controls.</p> <p>The EVA code is stored Azure DevOps GitHub repository. Everything is stored in the Azure DevOps. The code is pushed through Azure Pipeline. The application is hosted in Azure Cloud. The cloud is integrated with Microsoft Defender. The Defender constantly provides alerts and notifications about that threat, or noncompliance. Report attached.</p> <p><b>Extra Details</b></p> <ul style="list-style-type: none"> <li>• <b>Section 1.1.1 → See File for details.</b> (AICoE EVA System Development Life cycle &amp; Security Engineering) The EVA code is stored Azure DevOps GitHub repository. Everything is stored in the ESDC-AICoE Team Repository</li> </ul>	<p><b>Latest at the top</b></p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"> <li>• Cloud Questionnaire - Supplemental material (SA-ID1216) Chat_V1.0.docx <ul style="list-style-type: none"> <li>Note : The following documents are referenced in the above :</li> <li>○ EVA_Chat_waf_request_form_V1.0</li> <li>○ Microsoft cloud security benchmark Compliance Report_Dev_Jan012025</li> <li>○ Microsoft cloud security benchmark Compliance Report_Prod_Jan012025</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> <li>○ MicrosoftDefenderForCloudRegulatoryCompliance</li> </ul> </li> <li>• Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.xlsx <ul style="list-style-type: none"> <li>Note : The following documents are referenced in the above :</li> </ul> </li> <li>• AICoE EVA System Development Life cycle &amp; Security Engineering <ul style="list-style-type: none"> <li>○ EVA Architecture _V1.pdf</li> <li>○ EVA Chat SAQ (not signed yet - Nov 2024)</li> </ul> </li> <li>• RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx <ul style="list-style-type: none"> <li>○ The assumptions included in this RACI file have not been reviewed by the management team.</li> </ul> </li> </ul>





(#185) SI-7(7) -> Software, Firmware, and Information Integrity | Integration of Detection and Response

#### Evidence description

**Latest at the top**

**Iteration #1**  
**[Abdur Rafey Matin - Jan 28, 2025]**

#### Statement describing evidence:

Refer to the documents provided for this controls.

The EVA code is stored Azure DevOps GitHub repository. Everything is stored in the Azure DevOps. The code is pushed through Azure Pipeline. The application is hosted in Azure Cloud. The cloud is integrated with Microsoft Defender. The Defender constantly provides alters and notifications about that threat, or noncompliance. Report attached.

#### Extra Details

#### Name of other file(s) containing evidence

**Latest at the top**

**Iteration #1**

#### See file(s):

- Cloud Questionnaire - Supplemental material (SA-ID1216) Chat\_V1.0.docx  
Note : The following documents are referenced in the above :
  - EVA\_Chat\_waf\_request\_form\_V1.0
  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025

ESDC-AICoE. In this team the project is EVA Portal. Inside the project all the code is stored in the repos. The pipeline pushes the code and if there is any issues, it generates repose with failed.

- **Section 1.1.1 → See File for details.** (AICoE EVA System Development Life cycle & Security Engineering)  
The EVA code is stored Azure DevOps GitHub repose. Everything is stored in the ESDC-AICoE Team Repository

Date	Push Details	Status
2025-01-14 (5 updates)	Pull Request 106: added new users to email.json Updated to f9c675fe: Revert "Added Container App Workload Profile Name" Updated to 1cfa3584: Add Workload Profile Name to tfvars + Pipelines type Updated to 4f8cf03f: Add Plan Stage for AICoE Dev EVACHat Updated to 1d6625e2: Added Container App Workload Profile Name	succeeded (except 4f8cf03f)
2024-12-30 (2 updates)	Updated to bd2de72b: Add comments in azure-pipelines-dev.yml Updated to 4bed9da7: Update azure-pipelines-dev.yml for new service connection	succeeded

- Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
- MicrosoftDefenderForCloudRegulatoryCompliance
- MicrosoftDefenderForCloudRegulatoryCompliance
- Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.xlsx  
Note : The following documents are referenced in the above :
- AICoE EVA System Development Life cycle & Security Engineering
  - EVA Architecture\_V1.pdf
  - EVA Chat SAQ (not signed yet - Nov 2024)
- RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx
  - The assumptions included in this RACI file have not been reviewed by the management team.

(#186) SI-7(14) -> Software, Firmware, and Information Integrity | Binary or Machine Executable Code

#### Evidence description

**Latest at the top**

**Iteration #1**  
[Abdur Rafey Matin - Jan 28, 2025]

#### Statement describing evidence:

- **Section 1.1.1 → See File for details.** (AICoE EVA System Development Life cycle & Security Engineering)

#### Name of other file(s) containing evidence

**Latest at the top**

**Iteration #1**

See file(s):

- Cloud Questionnaire - Supplemental material (SA-ID1216) Chat\_V1.0.docx

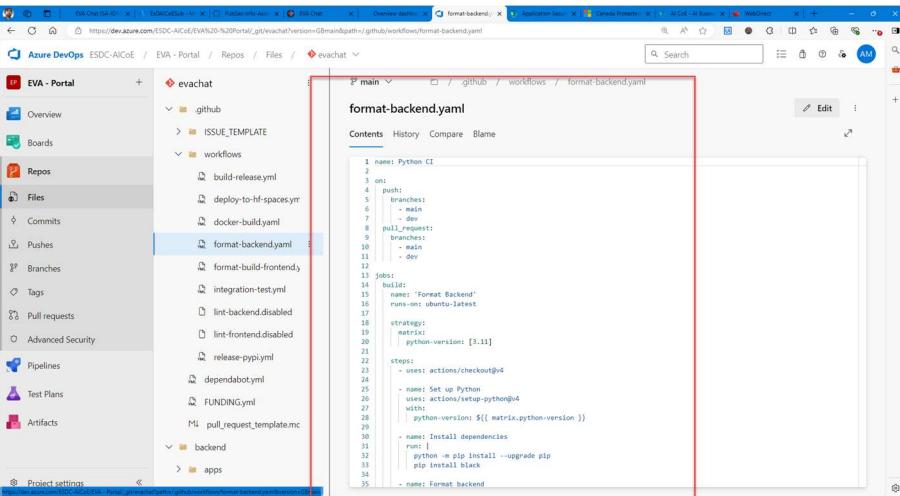
The EVA code is stored in Azure DevOps GitHub repository. Everything is stored in the ESDC-AICoE Team Repository

**There are two types of code from EVA Chat branches.**

1. evachat (Contains the application code)
2. evachat pipeline (Contains the integration code).

The source code is upgraded from Share Service Canada (SSC) for the CanChat application. It has been customized from SSC for accessibility service, security and privacy.

Internal scanning of code is done by the dev team. Microsoft Azure Defender does the scanning of element form the dev team



```

name: Python CI
on:
  push:
    branches:
      - main
      - dev
  pull_request:
    branches:
      - main
      - dev
jobs:
  build:
    name: "Format Backend"
    runs-on: ubuntu-latest
    strategy:
      matrix:
        python-version: [3.11]
    steps:
      - uses: actions/checkout@v4
      - name: Set up Python
        uses: actions/setup-python@v4
        with:
          python-version: ${{ matrix.python-version }}
      - name: Install dependencies
        run: |
          python -m pip install --upgrade pip
          pip install black
      - name: Format backend

```

Note : The following documents are referenced in the above :

- EVA Chat\_waf\_request\_form\_V1.0
  - Microsoft cloud security benchmark Compliance Report\_Dev\_Jan012025
  - Microsoft cloud security benchmark Compliance Report\_Prod\_Jan012025
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - MicrosoftDefenderForCloudRegulatoryCompliance
  - Cloud Connectivity Questionnaire (SA-ID1216) EVA Chat v1.xlsx
- Note : The following documents are referenced in the above :
- AICoE EVA System Development Life cycle & Security Eng
    - EVA Architecture\_V1.pdf
    - EVA Chat SAQ (not signed yet - Nov 2025)
  - RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx
  - The assumptions included in this RACI file have not been management team.

(#187) SI-10 -> Information Input Validation

#### Evidence description

Latest at the top

**Iteration #1**  
[Abdur Rafey Matin - Jan 16, 2025]]

**Statement describing evidence:**  
Partial implementation (b/c the ST&E report is not available yet)  
ST&E report will verify the security of data-in-transit

#### Name of other file(s) containing evidence

Latest at the top

**Iteration #1**

- ST&E report (not available yet)
- Will be provided at the end of the evidence gathering phase

See file(s):

- RACI Assumptions - EVA Chat (SA-ID1216) v1.xlsx

		<ul style="list-style-type: none"><li>○ The assumptions included in this RACI file have not been management team.</li></ul>
(#188) SI-11 -> Error Handling	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b> [Abdur Rafey Matin - Jan 31, 2025]</p> <p><b>Statement describing evidence:</b></p> <p><b>Assessor Questions?</b> Are there any error messages coming out of EVA Chat?</p> <p>Yes, there are several error messages displayed to tackle error handling: Here are the few of the error messages EVA Chat application produces.</p> <p><b>Inside Code:</b> “Please contact admin for further assistance”</p> <div style="background-color: black; color: white; padding: 10px; width: fit-content; margin-left: auto; margin-right: auto;"><pre>const showError = (error) =&gt; {   let errors = error.split('\n');   if (errors[1]){     const newErrorMessage = \$i18n.t(errors[0]) + " " + \$i18n.t('Please contact admin for further assistance.')     toast.error(newErrorMessage);   }   else {     toast.error(error);   } }</pre></div> <p>“Model not selected. Please contact admin for further assistance” “Oops! There was an error in the previous response. Please try again or contact admin”</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #2</b></p> <p>RACI Assumptions - EVA Chat (SA-ID1216) v4.xlsx</p> <ul style="list-style-type: none"><li>○ The assumptions included in this RACI file have not been management team.</li></ul>



```
if (selectedModels.includes('')) {
    showError($i18n.t('Model not selected. Please contact admin for further assistance.'));
} else if (messages.length != 0 && messages.at(-1).done != true) {
    // Response not done
    console.log('wait');
} else if (messages.length != 0 && messages.at(-1).error) {
    // Error in response
    showError(
        $i18n.t(
            `Oops! There was an error in the previous response. Please try again or contact admin.`
        )
    );
}
```

Model Idx not found

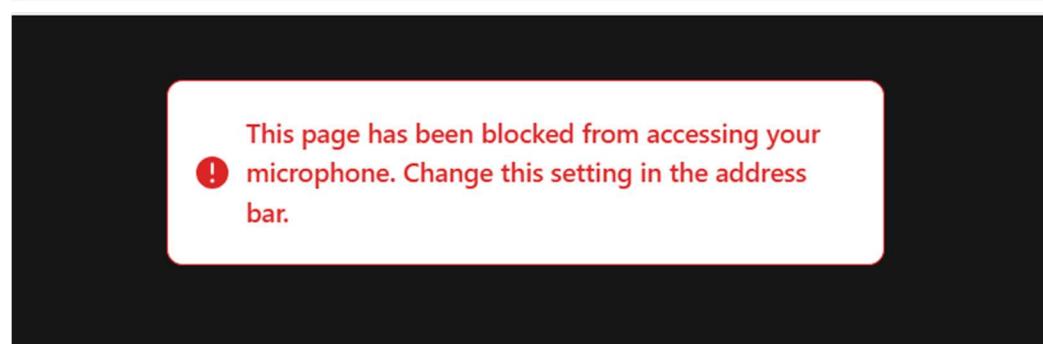
```
} else {
    showError($i18n.t(`Model ${modelId} not found`));
}
```

"Invalid Format"

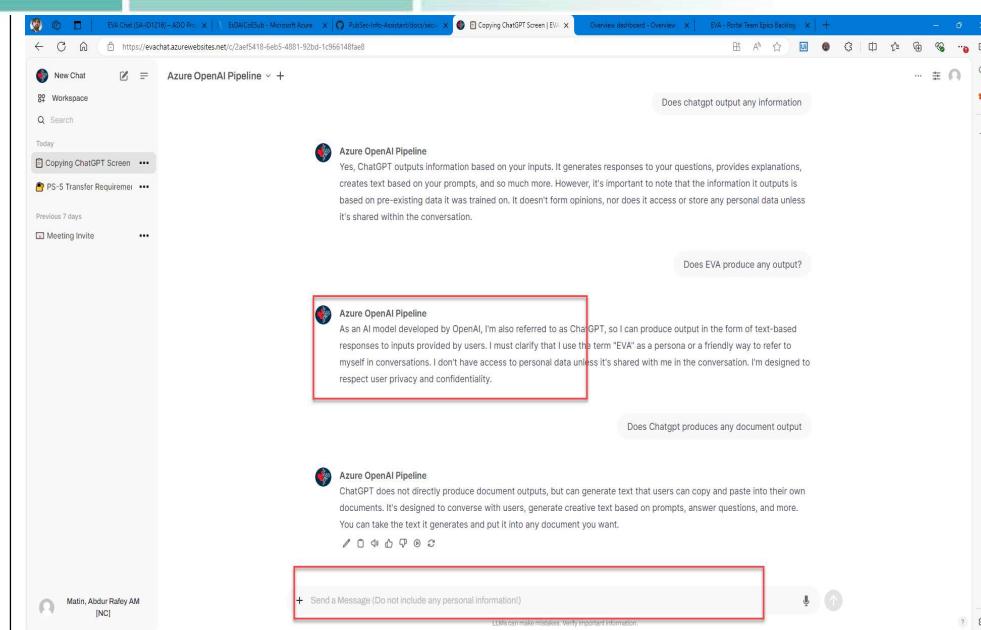
```
} else {
    toast.error(`Row ${idx + 1}: invalid format.`);
}
```

"Failed to update settings"

```
if (res) {  
    toast.success(i18n.t('Settings updated successfully'));  
} else {  
    toast.error(i18n.t('Failed to update settings'));  
}  
};
```

**Application Display:**

	<p>Something went wrong :/ 500: The content provided is empty. Please ensure that there is text or data present before proceeding.</p>	
(#189) SI-12 -> Information Handling and Retention	<p><b>Evidence description</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b> [Abdur Rafey Matin - Jan 27, 2025]</p> <p><b>Statement describing evidence:</b></p> <p>The EVA Chat application does not directly produce any type of document outputs but can generate text that users can copy and paste into their own documents. The data is generated from Large language model, hence data retention policies does not apply for EVA Chat.</p> <p>It's designed to converse with users, generate creative text based on prompts, answer questions, and more. However, it's important to note that the information it outputs is based on pre-existing data it was trained on. It doesn't form opinions, nor does it access or store any personal data unless it's shared within the conversation. The only information that can be send to EVA is up to Protected B. Also, it does not provide any print option in the application. This has been approved in SAQ.</p>	<p><b>Name of other file(s) containing evidence</b></p> <p>Latest at the top</p> <hr/> <p><b>Iteration #1</b></p> <p>See file(s):</p> <ul style="list-style-type: none"><li>• EVA Chat SAQ (not signed yet - Nov 20 2024).pdf<ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li><li>○ The assumptions included in this RACI file have not been management team.</li></ul></li></ul>



(#190) SI-16 -> Memory Protection	<b>Evidence description</b>  Latest at the top  ----- <b>Iteration #1</b> <b>[Abdur Rafey Matin - Jan 16, 2025]</b>  <b>Statement describing evidence:</b> This is at Microsoft OS level. Azure PaaS, peer to hub. It is inherited.	<b>Name of other file(s) containing evidence</b>  Latest at the top  ----- <b>Iteration #1</b>  See file(s): <ul style="list-style-type: none"><li>• RACI Assumptions - EVA Chat (SA-ID1216)</li><li>○ The assumptions included in this RACI file have not been management team.</li></ul>
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