**NIC, Inc.**

NIST SP800-53 Attestation

(NIC Internal Only)

Version 1.0

July 31, 2017

# Version Control

|  |  |
| --- | --- |
| NIST SP800-53 Audit Plan Assessment | |
| Client Name | NIC, Inc. |
| Client Contact | Rodney Caudle, Director of Information Security  Rob Harvey, Lead Security Analyst |
| Document Issue No | 2.0 |
| Author(s) | Kylen Griffin – Governance, Risk & Compliance |
| Reviewed by: | Joe Mendygral – Governance, Risk & Compliance |
| Project Manager | Alexis Hayob – Project Manager |
| Delivery Date | May 5, 2017 |
| Data Classification | Client Confidential |

|  |  |  |  |
| --- | --- | --- | --- |
| NIST SP800-53 Audit Plan Assessment Revision History | | | |
| Version | Description | Author | Date |
| 1.0 | Initial Version for Q1 2017 responses | Kylen Griffin | July 31, 2017 |
| 2.0 | Updated with the Q2 2017 responses | Kylen Griffin |  |
| 3.0 | Updated with the Q3 2017 responses | Kylen Griffin |  |
| 4.0 | Updated with the Q4 2017 responses | Kylen Griffin |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Table of Contents

[Version Control 2](#_Toc489020688)

[Executive Summary 5](#_Toc489020689)

[Background 5](#_Toc489020690)

[Goals & Objectives 5](#_Toc489020691)

[Assessment Details 6](#_Toc489020692)

[Testing Plan Methodology 6](#_Toc489020693)

[Common Control Testing and Responses 6](#_Toc489020694)

[Portal Response 7](#_Toc489020695)

[Findings and Recommendations 10](#_Toc489020696)

[Conclusion 11](#_Toc489020697)

[Appendix I 12](#_Toc489020698)

[Control Testing – Quarter 1 12](#_Toc489020699)

[APPENDIX II 14](#_Toc489020700)

[Control Testing – Quarter 2 14](#_Toc489020701)

[APPENDIX III 16](#_Toc489020702)

[Control Testing – Quarter 3 16](#_Toc489020703)

[APPENDIX IV 18](#_Toc489020704)

[Control Testing – Quarter 4 18](#_Toc489020705)

[APPENDIX V 20](#_Toc489020706)

[Control Testing – 2017 20](#_Toc489020707)

[APPENDIX VI 26](#_Toc489020708)

[Control Rating Definitions 26](#_Toc489020709)

[APPENDIX VII 27](#_Toc489020710)

[Portal Response to Q1 2017 Testing Plan 27](#_Toc489020711)

[APPENDIX VIII 28](#_Toc489020712)

[Portal Response to Q2 2017 Testing Plan 28](#_Toc489020713)

[APPENDIX IX 29](#_Toc489020714)

[Portal Response to Q3 2017 Testing Plan 29](#_Toc489020715)

[APPENDIX X 30](#_Toc489020716)

[Portal Response to Q4 2017 Testing Plan 30](#_Toc489020717)

[APPENDIX XI 31](#_Toc489020718)

[Portal Response to Annual 2017 Testing Plan – March to 100% Answered 31](#_Toc489020719)

[APPENDIX XII 32](#_Toc489020720)

[Audit Schedule for NIC Common Controls 32](#_Toc489020721)

[APPENDIX XIII 38](#_Toc489020722)

[Audit Schedule for FY2017 38](#_Toc489020723)

[APPENDIX XIV 40](#_Toc489020724)

[Audit Schedule for FY2018 40](#_Toc489020725)

[APPENDIX XV 42](#_Toc489020726)

[Audit Schedule for FY2019 42](#_Toc489020727)

[Table 1: NIC Common Controls Scorecard as of June 30, 2017 6](#_Toc489020728)

[Figure 1: NIC Common Control Summary of Q1, 2017 7](#_Toc489020729)

[Figure 2: NIC Common Controls Portal Response as of June 30, 2017 8](#_Toc489020730)

[Table 2: Common Control Selection for Quarter 1, 2017 13](#_Toc489020731)

[Table 3: Common Control Selection for Quarter 2, 2017 15](#_Toc489020732)

[Table 4: Common Control Selection for Quarter 3, 2017 17](#_Toc489020733)

[Table 5: Common Control Selection for Quarter 4, 2017 19](#_Toc489020734)

[Figure 3: Quarterly Portal Response as of June 30, 2017 27](#_Toc489020735)

[Figure 4: Quarterly Portal Response as of September 30, 2017 28](#_Toc489020736)

[Figure 5: Quarterly Portal Response as of December 31, 2017 29](#_Toc489020737)

[Figure 6: Quarterly Portal Response as of March 31, 2018 30](#_Toc489020738)

[Figure 7: Annual Portal Response as of June 30, 2017 31](#_Toc489020739)

[Table 6: Audit Schedule for NIC Common Controls 37](#_Toc489020740)

[Table 7: Audit Schedule for FY2017 39](#_Toc489020741)

[Table 8: Audit Schedule for FY2018 41](#_Toc489020742)

[Table 9: Audit Schedule for FY2019 43](#_Toc489020743)

# Executive Summary

## Background

Fishtech Labs, LLC (“Fishtech”) is currently assisting NICUSA, Inc. and its subsidiaries (together referred to herein as “NIC”) with validating, evaluating, and testing the NIC common controls based on National Institute of Standards and Technology (“NIST”) Special Publication (“SP”) 800-53 revision 4, “*Security and Privacy Controls for Federal Information Systems and Organizations.*” Fishtech has validated the controls that NIC selected to be appropriate for the business, ensured they were tested accurately, and enforced across the NIC enterprise. Fishtech evaluated the current controls and testing in place and developed an audit assessment, this document, based on industry best practices including NIST SP800-53A revision 4, “*Assessing Security and Privacy Controls in Federal Information Systems and Organizations.*”

Fishtech is providing NIC, a customized attestation of the NIC Common Controls. This attestation and assessment are based off the framework assessments that are provided by Fishtech. Fishtech will be reviewing one third of the NIC Common Controls this year, as well as attesting that all of the testing that is being performed by NIC is being done in accordance with best practices. All of the portals will be answering questions from the NIC test plan, and Fishtech will be reviewing these, documenting the response and providing any necessary feedback to NIC to ensure the adequate coverage of the controls.

## Goals & Objectives

The goals and objectives of this engagement are to analyze and assess NIC’s common controls against common practices to ensure that the controls selected are appropriate for NIC. NIC Common Controls have been tested and validated to ensure compliance to the NIC Test Plan. As part of this engagement NIC and the Portals have readily shared information with Fishtech regarding the network and controls. This engagement was conducted as a full disclosure by NIC and the Portals as well as being non-evasive to the NIC and Portal networks.

# Assessment Details

## Testing Plan Methodology

Fishtech has evaluated the NIC testing plan methodology and the evidence that will be collected from the assessment to the Q1 2017 testing plan. NIC has utilized the NIST SP 800-53A Rev 4 “Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans” to write the testing questions that are in the NIC testing plan through the Q1 2017 testing plan. The testing plan steps of documentation upload, documentation review, and interview personnel reflects steps for NIST SP80-53A Rev 4, which are examine, interview, and test. It is the opinion of Fishtech that NIC is gathering appropriate evidence from the portal and will give more information on this evidence collection in later revisions of this document.

## Common Control Testing and Responses

Fishtech developed the NIC Common Control Scorecard by reviewing and testing the documentation provided by the Portals and NIC by way of their existing control response. The review compared the existing control responses against the NIC Common Controls. During this engagement, Fishtech identified the following control ratings within the existing control responses. Once the number of portals that answered the NIC Common Controls exceeds fifty percent, then the control rating is established. The breakdown of the controls are as follows:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Quarterly Responses** | **Total # of Controls** | **Control Rating** | | |
| **Implemented** | **In Progress** | **Absent** |
| Q1 | 51 | 0 | 51 | 0 |

Table 1: NIC Common Controls Scorecard as of June 30, 2017

Figure 1: NIC Common Control Summary of Q1, 2017

For more information regarding specific controls and their status, refer to Appendix I-IV for the quarterly breakdown of the controls or Appendix V for the yearly consolidated table of all of the NIC Common Controls. Definitions for each of the aforementioned control ratings (Implemented, In Progress, Absent, Non-Applicable) are provided in Appendix VI.

### Portal Response

Fishtech is actively monitoring the Portal’s answers to the current quarter’s testing plan. The chart below shows how much of the current quarter’s testing plan each portal has obtained. This response rate will be updated each quarter to reflect the current quarter’s testing plan responses. The historical information will be included into the appendices to include past quarter response rate and the historical response rate for each portal.

Figure 2: NIC Common Controls Portal Response as of June 30, 2017

The following table has the controls that are being tested and how many of the portals have currently answered the controls testing steps within the assigned quarter. If less than fifty percent of the portals have answered the questions for that control, then the controls will be listed as in progress until over fifty percent of the portals have finished their responses.

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AC-02 | Q1 Activity | 16.67% | In Progress |
| AC-03 | Q1 Activity | 10.00% | In Progress |
| AC-04 | Q1 Activity | 10.00% | In Progress |
| AC-05 | Q1 Activity | 20.00% | In Progress |
| AC-06 | Q1 Activity | 16.67% | In Progress |
| AC-07 | Q1 Activity | 16.67% | In Progress |
| AC-08 | Q1 Activity | 13.33% | In Progress |
| AC-11 | Q1 Activity | 13.33% | In Progress |
| AC-12 | Q1 Activity | 16.67% | In Progress |
| AC-16 | Q1 Activity | 6.67% | In Progress |
| AC-17 | Q1 Activity | 13.33% | In Progress |
| AC-18 | Q1 Activity | 16.67% | In Progress |
| AC-19 | Q1 Activity | 10.00% | In Progress |
| AC-20 | Q1 Activity | 10.00% | In Progress |
| IA-02 | Q1 Activity | 10.00% | In Progress |
| IA-03 | Q1 Activity | 10.00% | In Progress |
| IA-04 | Q1 Activity | 10.00% | In Progress |
| IA-05 | Q1 Activity | 10.00% | In Progress |
| IA-06 | Q1 Activity | 6.67% | In Progress |
| IA-08 | Q1 Activity | 13.33% | In Progress |
| MP-02 | Q1 Activity | 10.00% | In Progress |
| MP-03 | Q1 Activity | 10.00% | In Progress |
| MP-04 | Q1 Activity | 10.00% | In Progress |
| MP-05 | Q1 Activity | 10.00% | In Progress |
| MP-06 | Q1 Activity | 10.00% | In Progress |
| MP-07 | Q1 Activity | 10.00% | In Progress |
| SC-03 | Q1 Activity | 13.33% | In Progress |
| SC-04 | Q1 Activity | 10.00% | In Progress |
| SC-07 | Q1 Activity | 10.00% | In Progress |
| SC-08 | Q1 Activity | 6.67% | In Progress |
| SC-10 | Q1 Activity | 6.67% | In Progress |
| SC-12 | Q1 Activity | 10.00% | In Progress |
| SC-13 | Q1 Activity | 10.00% | In Progress |
| SC-17 | Q1 Activity | 10.00% | In Progress |
| SC-23 | Q1 Activity | 10.00% | In Progress |
| SC-28 | Q1 Activity | 10.00% | In Progress |
| SC-38 | Q1 Activity | 6.67% | In Progress |
| SC-39 | Q1 Activity | 10.00% | In Progress |
| SC-40 | Q1 Activity | 10.00% | In Progress |
| SI-02 | Q1 Activity | 10.00% | In Progress |
| SI-03 | Q1 Activity | 13.33% | In Progress |
| SI-04 | Q1 Activity | 10.00% | In Progress |
| SI-05 | Q1 Activity | 10.00% | In Progress |
| SI-06 | Q1 Activity | 10.00% | In Progress |
| SI-07 | Q1 Activity | 13.33% | In Progress |
| SI-08 | Q1 Activity | 20.00% | In Progress |
| SI-10 | Q1 Activity | 10.00% | In Progress |
| SI-11 | Q1 Activity | 10.00% | In Progress |
| SI-12 | Q1 Activity | 10.00% | In Progress |
| SI-15 | Q1 Activity | 13.33% | In Progress |
| SI-16 | Q1 Activity | 13.33% | In Progress |

# Findings and Recommendations

Most portal owners have not been responsive and thorough with the responses to the Q1 testing plan and have not completed any controls for Q1. While some portals have answered their Q1 testing plan question, some portals have answered some of the testing questions for some of these missing controls. All of the testing questions for the control must be answered before the control will be considered implemented. Fishtech would recommend that the portal owners answer the controls that were missing from their Q1 testing plan response.

As long as the portal owners catch up these controls before starting the Q2 Testing Plan then it is the opinion of Fishtech that they will successfully complete the NIC Common Control Testing Plan for FY 2017. This document is intended to become a living document and future revisions will be necessary to update how well portal owners are answering the future quarter testing plans from NIC.

# Conclusion

During the assessment, only the Q1 2017 testing plan responses were analyzed. Future quarter testing plans will be added to this assessment over time. The recommendations should help NIC to improve its quarterly testing plans and the respective testing plans of the future quarters. This plan will be evaluated multiple times in the upcoming quarters and will be strengthened during each revision. Ultimately, the strength of the testing plan will be dependent on the response from the individual portal owners and how well they adapt into the NIC overall plan. Future revisions will reflect the future quarter testing plan and additional information that has become available to Fishtech from NIC and the Portal Owners. At the end of the year a finalized version of this document will be provided to NIC and will constitute the completion of the FY 2017 NIC Common Control Testing Plan and Assessment.

# Appendix I

## Control Testing – Quarter 1

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AC-02 | Q1 Activity | 16.67% | In Progress |
| AC-03 | Q1 Activity | 10.00% | In Progress |
| AC-04 | Q1 Activity | 10.00% | In Progress |
| AC-05 | Q1 Activity | 20.00% | In Progress |
| AC-06 | Q1 Activity | 16.67% | In Progress |
| AC-07 | Q1 Activity | 16.67% | In Progress |
| AC-08 | Q1 Activity | 13.33% | In Progress |
| AC-11 | Q1 Activity | 13.33% | In Progress |
| AC-12 | Q1 Activity | 16.67% | In Progress |
| AC-16 | Q1 Activity | 6.67% | In Progress |
| AC-17 | Q1 Activity | 13.33% | In Progress |
| AC-18 | Q1 Activity | 16.67% | In Progress |
| AC-19 | Q1 Activity | 10.00% | In Progress |
| AC-20 | Q1 Activity | 10.00% | In Progress |
| IA-02 | Q1 Activity | 10.00% | In Progress |
| IA-03 | Q1 Activity | 10.00% | In Progress |
| IA-04 | Q1 Activity | 10.00% | In Progress |
| IA-05 | Q1 Activity | 10.00% | In Progress |
| IA-06 | Q1 Activity | 6.67% | In Progress |
| IA-08 | Q1 Activity | 13.33% | In Progress |
| MP-02 | Q1 Activity | 10.00% | In Progress |
| MP-03 | Q1 Activity | 10.00% | In Progress |
| MP-04 | Q1 Activity | 10.00% | In Progress |
| MP-05 | Q1 Activity | 10.00% | In Progress |
| MP-06 | Q1 Activity | 10.00% | In Progress |
| MP-07 | Q1 Activity | 10.00% | In Progress |
| SC-03 | Q1 Activity | 13.33% | In Progress |
| SC-04 | Q1 Activity | 10.00% | In Progress |
| SC-07 | Q1 Activity | 10.00% | In Progress |
| SC-08 | Q1 Activity | 6.67% | In Progress |
| SC-10 | Q1 Activity | 6.67% | In Progress |
| SC-12 | Q1 Activity | 10.00% | In Progress |
| SC-13 | Q1 Activity | 10.00% | In Progress |
| SC-17 | Q1 Activity | 10.00% | In Progress |
| SC-23 | Q1 Activity | 10.00% | In Progress |
| SC-28 | Q1 Activity | 10.00% | In Progress |
| SC-38 | Q1 Activity | 6.67% | In Progress |
| SC-39 | Q1 Activity | 10.00% | In Progress |
| SC-40 | Q1 Activity | 10.00% | In Progress |
| SI-02 | Q1 Activity | 10.00% | In Progress |
| SI-03 | Q1 Activity | 13.33% | In Progress |
| SI-04 | Q1 Activity | 10.00% | In Progress |
| SI-05 | Q1 Activity | 10.00% | In Progress |
| SI-06 | Q1 Activity | 10.00% | In Progress |
| SI-07 | Q1 Activity | 13.33% | In Progress |
| SI-08 | Q1 Activity | 20.00% | In Progress |
| SI-10 | Q1 Activity | 10.00% | In Progress |
| SI-11 | Q1 Activity | 10.00% | In Progress |
| SI-12 | Q1 Activity | 10.00% | In Progress |
| SI-15 | Q1 Activity | 13.33% | In Progress |
| SI-16 | Q1 Activity | 13.33% | In Progress |

Table 2: Common Control Selection for Quarter 1, 2017

# APPENDIX II

## Control Testing – Quarter 2

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AP-02 | Q2 Activity |  |  |
| AR-01 | Q2 Activity |  |  |
| AR-03 | Q2 Activity |  |  |
| AR-04 | Q2 Activity |  |  |
| AR-07 | Q2 Activity |  |  |
| CP-02 | Q2 Activity |  |  |
| CP-04 | Q2 Activity |  |  |
| CP-06 | Q2 Activity |  |  |
| CP-07 | Q2 Activity |  |  |
| CP-08 | Q2 Activity |  |  |
| CP-09 | Q2 Activity |  |  |
| CP-10 | Q2 Activity |  |  |
| CP-11 | Q2 Activity |  |  |
| DM-01 | Q2 Activity |  |  |
| DM-02 | Q2 Activity |  |  |
| DM-03 | Q2 Activity |  |  |
| IR-02 | Q2 Activity |  |  |
| IR-03 | Q2 Activity |  |  |
| IR-04 | Q2 Activity |  |  |
| IR-05 | Q2 Activity |  |  |
| IR-06 | Q2 Activity |  |  |
| IR-07 | Q2 Activity |  |  |
| IR-08 | Q2 Activity |  |  |
| IR-10 | Q2 Activity |  |  |
| PL-02 | Q2 Activity |  |  |
| PL-04 | Q2 Activity |  |  |
| PL-08 | Q2 Activity |  |  |
| PL-09 | Q2 Activity |  |  |
| PM-01 | Q2 Activity |  |  |
| PM-02 | Q2 Activity |  |  |
| PM-03 | Q2 Activity |  |  |
| PM-05 | Q2 Activity |  |  |
| PM-07 | Q2 Activity |  |  |
| PM-08 | Q2 Activity |  |  |
| PM-09 | Q2 Activity |  |  |
| PM-10 | Q2 Activity |  |  |
| PM-11 | Q2 Activity |  |  |
| PM-15 | Q2 Activity |  |  |
| SE-01 | Q2 Activity |  |  |
| SE-02 | Q2 Activity |  |  |
| TR-01 | Q2 Activity |  |  |
| UL-01 | Q2 Activity |  |  |
| UL-02 | Q2 Activity |  |  |

Table 3: Common Control Selection for Quarter 2, 2017

# APPENDIX III

## Control Testing – Quarter 3

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AU-02 | Planned Q3 Activity |  |  |
| AU-03 | Planned Q3 Activity |  |  |
| AU-04 | Planned Q3 Activity |  |  |
| AU-05 | Planned Q3 Activity |  |  |
| AU-06 | Planned Q3 Activity |  |  |
| AU-07 | Planned Q3 Activity |  |  |
| AU-08 | Planned Q3 Activity |  |  |
| AU-09 | Planned Q3 Activity |  |  |
| AU-10 | Planned Q3 Activity |  |  |
| AU-11 | Planned Q3 Activity |  |  |
| AU-12 | Planned Q3 Activity |  |  |
| MA-02 | Planned Q3 Activity |  |  |
| MA-03 | Planned Q3 Activity |  |  |
| MA-04 | Planned Q3 Activity |  |  |
| MA-05 | Planned Q3 Activity |  |  |
| MA-06 | Planned Q3 Activity |  |  |
| PE-02 | Planned Q3 Activity |  |  |
| PE-03 | Planned Q3 Activity |  |  |
| PE-04 | Planned Q3 Activity |  |  |
| PE-05 | Planned Q3 Activity |  |  |
| PE-06 | Planned Q3 Activity |  |  |
| PE-08 | Planned Q3 Activity |  |  |
| PE-09 | Planned Q3 Activity |  |  |
| PE-10 | Planned Q3 Activity |  |  |
| PE-11 | Planned Q3 Activity |  |  |
| PE-12 | Planned Q3 Activity |  |  |
| PE-13 | Planned Q3 Activity |  |  |
| PE-14 | Planned Q3 Activity |  |  |
| PE-15 | Planned Q3 Activity |  |  |
| PE-16 | Planned Q3 Activity |  |  |
| PE-17 | Planned Q3 Activity |  |  |
| PS-02 | Planned Q3 Activity |  |  |
| PS-03 | Planned Q3 Activity |  |  |
| PS-04 | Planned Q3 Activity |  |  |
| PS-05 | Planned Q3 Activity |  |  |
| PS-06 | Planned Q3 Activity |  |  |
| PS-07 | Planned Q3 Activity |  |  |
| PS-08 | Planned Q3 Activity |  |  |
| SA-02 | Planned Q3 Activity |  |  |
| SA-03 | Planned Q3 Activity |  |  |
| SA-04 | Planned Q3 Activity |  |  |
| SA-05 | Planned Q3 Activity |  |  |
| SA-08 | Planned Q3 Activity |  |  |
| SA-09 | Planned Q3 Activity |  |  |
| SA-10 | Planned Q3 Activity |  |  |
| SA-11 | Planned Q3 Activity |  |  |

Table 4: Common Control Selection for Quarter 3, 2017

# APPENDIX IV

## Control Testing – Quarter 4

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AC-01 | Planned Q4 Activity |  |  |
| AT-01 | Planned Q4 Activity |  |  |
| AT-02 | Planned Q4 Activity |  |  |
| AT-03 | Planned Q4 Activity |  |  |
| AT-04 | Planned Q4 Activity |  |  |
| AU-01 | Planned Q4 Activity |  |  |
| CA-01 | Planned Q4 Activity |  |  |
| CA-02 | Planned Q4 Activity |  |  |
| CA-03 | Planned Q4 Activity |  |  |
| CA-05 | Planned Q4 Activity |  |  |
| CA-06 | Planned Q4 Activity |  |  |
| CA-07 | Planned Q4 Activity |  |  |
| CA-09 | Planned Q4 Activity |  |  |
| CM-01 | Planned Q4 Activity |  |  |
| CM-03 | Planned Q4 Activity |  |  |
| CM-04 | Planned Q4 Activity |  |  |
| CM-05 | Planned Q4 Activity |  |  |
| CM-06 | Planned Q4 Activity |  |  |
| CM-07 | Planned Q4 Activity |  |  |
| CM-08 | Planned Q4 Activity |  |  |
| CM-09 | Planned Q4 Activity |  |  |
| CM-10 | Planned Q4 Activity |  |  |
| CM-11 | Planned Q4 Activity |  |  |
| CM-2 | Planned Q4 Activity |  |  |
| CP-01 | Planned Q4 Activity |  |  |
| IA-01 | Planned Q4 Activity |  |  |
| IR-01 | Planned Q4 Activity |  |  |
| MA-01 | Planned Q4 Activity |  |  |
| MP-01 | Planned Q4 Activity |  |  |
| PE-01 | Planned Q4 Activity |  |  |
| PL-01 | Planned Q4 Activity |  |  |
| PS-01 | Planned Q4 Activity |  |  |
| RA-01 | Planned Q4 Activity |  |  |
| RA-02 | Planned Q4 Activity |  |  |
| RA-03 | Planned Q4 Activity |  |  |
| RA-05 | Planned Q4 Activity |  |  |
| SA-01 | Planned Q4 Activity |  |  |
| SC-01 | Planned Q4 Activity |  |  |
| SI-01 | Planned Q4 Activity |  |  |

Table 5: Common Control Selection for Quarter 4, 2017

# APPENDIX V

## Control Testing – 2017

| Control Number | Control Quarter for Testing | Percentage of Response | Control Rating |
| --- | --- | --- | --- |
| AC-01 | Planned Q4 Activity |  |  |
| AC-02 | Q1 Activity |  | In Progress |
| AC-03 | Q1 Activity |  | In Progress |
| AC-04 | Q1 Activity |  | In Progress |
| AC-05 | Q1 Activity |  | In Progress |
| AC-06 | Q1 Activity |  | In Progress |
| AC-07 | Q1 Activity |  | In Progress |
| AC-08 | Q1 Activity |  | In Progress |
| AC-11 | Q1 Activity |  | In Progress |
| AC-12 | Q1 Activity |  | In Progress |
| AC-16 | Q1 Activity |  | In Progress |
| AC-17 | Q1 Activity |  | In Progress |
| AC-18 | Q1 Activity |  | In Progress |
| AC-19 | Q1 Activity |  | In Progress |
| AC-20 | Q1 Activity |  | In Progress |
| AP-02 | Q2 Activity |  |  |
| AR-01 | Q2 Activity |  |  |
| AR-03 | Q2 Activity |  |  |
| AR-04 | Q2 Activity |  |  |
| AR-07 | Q2 Activity |  |  |
| AT-01 | Planned Q4 Activity |  |  |
| AT-02 | Planned Q4 Activity |  |  |
| AT-03 | Planned Q4 Activity |  |  |
| AT-04 | Planned Q4 Activity |  |  |
| AU-01 | Planned Q4 Activity |  |  |
| AU-02 | Planned Q3 Activity |  |  |
| AU-03 | Planned Q3 Activity |  |  |
| AU-04 | Planned Q3 Activity |  |  |
| AU-05 | Planned Q3 Activity |  |  |
| AU-06 | Planned Q3 Activity |  |  |
| AU-07 | Planned Q3 Activity |  |  |
| AU-08 | Planned Q3 Activity |  |  |
| AU-09 | Planned Q3 Activity |  |  |
| AU-10 | Planned Q3 Activity |  |  |
| AU-11 | Planned Q3 Activity |  |  |
| AU-12 | Planned Q3 Activity |  |  |
| CA-01 | Planned Q4 Activity |  |  |
| CA-02 | Planned Q4 Activity |  |  |
| CA-03 | Planned Q4 Activity |  |  |
| CA-05 | Planned Q4 Activity |  |  |
| CA-06 | Planned Q4 Activity |  |  |
| CA-07 | Planned Q4 Activity |  |  |
| CA-09 | Planned Q4 Activity |  |  |
| CM-01 | Planned Q4 Activity |  |  |
| CM-03 | Planned Q4 Activity |  |  |
| CM-04 | Planned Q4 Activity |  |  |
| CM-05 | Planned Q4 Activity |  |  |
| CM-06 | Planned Q4 Activity |  |  |
| CM-07 | Planned Q4 Activity |  |  |
| CM-08 | Planned Q4 Activity |  |  |
| CM-09 | Planned Q4 Activity |  |  |
| CM-10 | Planned Q4 Activity |  |  |
| CM-11 | Planned Q4 Activity |  |  |
| CM-2 | Planned Q4 Activity |  |  |
| CP-01 | Planned Q4 Activity |  |  |
| CP-02 | Q2 Activity |  |  |
| CP-04 | Q2 Activity |  |  |
| CP-06 | Q2 Activity |  |  |
| CP-07 | Q2 Activity |  |  |
| CP-08 | Q2 Activity |  |  |
| CP-09 | Q2 Activity |  |  |
| CP-10 | Q2 Activity |  |  |
| CP-11 | Q2 Activity |  |  |
| DM-01 | Q2 Activity |  |  |
| DM-02 | Q2 Activity |  |  |
| DM-03 | Q2 Activity |  |  |
| IA-01 | Planned Q4 Activity |  |  |
| IA-02 | Q1 Activity |  | In Progress |
| IA-03 | Q1 Activity |  | In Progress |
| IA-04 | Q1 Activity |  | In Progress |
| IA-05 | Q1 Activity |  | In Progress |
| IA-06 | Q1 Activity |  | In Progress |
| IA-08 | Q1 Activity |  | In Progress |
| IR-01 | Planned Q4 Activity |  |  |
| IR-02 | Q2 Activity |  |  |
| IR-03 | Q2 Activity |  |  |
| IR-04 | Q2 Activity |  |  |
| IR-05 | Q2 Activity |  |  |
| IR-06 | Q2 Activity |  |  |
| IR-07 | Q2 Activity |  |  |
| IR-08 | Q2 Activity |  |  |
| IR-10 | Q2 Activity |  |  |
| MA-01 | Planned Q4 Activity |  |  |
| MA-02 | Planned Q3 Activity |  |  |
| MA-03 | Planned Q3 Activity |  |  |
| MA-04 | Planned Q3 Activity |  |  |
| MA-05 | Planned Q3 Activity |  |  |
| MA-06 | Planned Q3 Activity |  |  |
| MP-01 | Planned Q4 Activity |  |  |
| MP-02 | Q1 Activity |  | In Progress |
| MP-03 | Q1 Activity |  | In Progress |
| MP-04 | Q1 Activity |  | In Progress |
| MP-05 | Q1 Activity |  | In Progress |
| MP-06 | Q1 Activity |  | In Progress |
| MP-07 | Q1 Activity |  | In Progress |
| PE-01 | Planned Q4 Activity |  |  |
| PE-02 | Planned Q3 Activity |  |  |
| PE-03 | Planned Q3 Activity |  |  |
| PE-04 | Planned Q3 Activity |  |  |
| PE-05 | Planned Q3 Activity |  |  |
| PE-06 | Planned Q3 Activity |  |  |
| PE-08 | Planned Q3 Activity |  |  |
| PE-09 | Planned Q3 Activity |  |  |
| PE-10 | Planned Q3 Activity |  |  |
| PE-11 | Planned Q3 Activity |  |  |
| PE-12 | Planned Q3 Activity |  |  |
| PE-13 | Planned Q3 Activity |  |  |
| PE-14 | Planned Q3 Activity |  |  |
| PE-15 | Planned Q3 Activity |  |  |
| PE-16 | Planned Q3 Activity |  |  |
| PE-17 | Planned Q3 Activity |  |  |
| PL-01 | Planned Q4 Activity |  |  |
| PL-02 | Q2 Activity |  |  |
| PL-04 | Q2 Activity |  |  |
| PL-08 | Q2 Activity |  |  |
| PL-09 | Q2 Activity |  |  |
| PM-01 | Q2 Activity |  |  |
| PM-02 | Q2 Activity |  |  |
| PM-03 | Q2 Activity |  |  |
| PM-05 | Q2 Activity |  |  |
| PM-07 | Q2 Activity |  |  |
| PM-08 | Q2 Activity |  |  |
| PM-09 | Q2 Activity |  |  |
| PM-10 | Q2 Activity |  |  |
| PM-11 | Q2 Activity |  |  |
| PM-15 | Q2 Activity |  |  |
| PS-01 | Planned Q4 Activity |  |  |
| PS-02 | Planned Q3 Activity |  |  |
| PS-03 | Planned Q3 Activity |  |  |
| PS-04 | Planned Q3 Activity |  |  |
| PS-05 | Planned Q3 Activity |  |  |
| PS-06 | Planned Q3 Activity |  |  |
| PS-07 | Planned Q3 Activity |  |  |
| PS-08 | Planned Q3 Activity |  |  |
| RA-01 | Planned Q4 Activity |  |  |
| RA-02 | Planned Q4 Activity |  |  |
| RA-03 | Planned Q4 Activity |  |  |
| RA-05 | Planned Q4 Activity |  |  |
| SA-01 | Planned Q4 Activity |  |  |
| SA-02 | Planned Q3 Activity |  |  |
| SA-03 | Planned Q3 Activity |  |  |
| SA-04 | Planned Q3 Activity |  |  |
| SA-05 | Planned Q3 Activity |  |  |
| SA-08 | Planned Q3 Activity |  |  |
| SA-09 | Planned Q3 Activity |  |  |
| SA-10 | Planned Q3 Activity |  |  |
| SA-11 | Planned Q3 Activity |  |  |
| SC-01 | Planned Q4 Activity |  |  |
| SC-03 | Q1 Activity |  | In Progress |
| SC-04 | Q1 Activity |  | In Progress |
| SC-07 | Q1 Activity |  | In Progress |
| SC-08 | Q1 Activity |  | In Progress |
| SC-10 | Q1 Activity |  | In Progress |
| SC-12 | Q1 Activity |  | In Progress |
| SC-13 | Q1 Activity |  | In Progress |
| SC-17 | Q1 Activity |  | In Progress |
| SC-23 | Q1 Activity |  | In Progress |
| SC-28 | Q1 Activity |  | In Progress |
| SC-38 | Q1 Activity |  | In Progress |
| SC-39 | Q1 Activity |  | In Progress |
| SC-40 | Q1 Activity |  | In Progress |
| SE-01 | Q2 Activity |  |  |
| SE-02 | Q2 Activity |  |  |
| SI-01 | Planned Q4 Activity |  |  |
| SI-02 | Q1 Activity |  | In Progress |
| SI-03 | Q1 Activity |  | In Progress |
| SI-04 | Q1 Activity |  | In Progress |
| SI-05 | Q1 Activity |  | In Progress |
| SI-06 | Q1 Activity |  | In Progress |
| SI-07 | Q1 Activity |  | In Progress |
| SI-08 | Q1 Activity |  | In Progress |
| SI-10 | Q1 Activity |  | In Progress |
| SI-11 | Q1 Activity |  | In Progress |
| SI-12 | Q1 Activity |  | In Progress |
| SI-15 | Q1 Activity |  | In Progress |
| SI-16 | Q1 Activity |  | In Progress |
| TR-01 | Q2 Activity |  |  |
| UL-01 | Q2 Activity |  |  |
| UL-02 | Q2 Activity |  |  |

# APPENDIX VI

## Control Rating Definitions

* **Absent** – No existing policy, procedure, or standard was identified that would fully satisfy the requirements of industry regarded security best practices or applicable regulatory mandates.
* **Implemented** – Sufficient policies, procedures, or standards exist to satisfy the requirements of industry regarded security best practices or applicable regulatory mandates.
* **In Progress** – Portal did not answer the control in the assigned quarter, but time still remains for the portal to answer the control before the end of the yearly testing plan.
* **Not Applicable** – Control was not applicable to the assessed framework.

# APPENDIX VII

## Portal Response to Q1 2017 Testing Plan

Figure 3: Quarterly Portal Response as of June 30, 2017

# APPENDIX VIII

## Portal Response to Q2 2017 Testing Plan

Figure 4: Quarterly Portal Response as of September 30, 2017

# APPENDIX IX

## Portal Response to Q3 2017 Testing Plan

Figure 5: Quarterly Portal Response as of December 31, 2017

# APPENDIX X

## Portal Response to Q4 2017 Testing Plan

Figure 6: Quarterly Portal Response as of March 31, 2018

# APPENDIX XI

## Portal Response to Annual 2017 Testing Plan – March to 100% Answered

Figure 7: Annual Portal Response as of June 30, 2017

# APPENDIX XII

## Audit Schedule for NIC Common Controls

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| AC-01 | Planned Q4 Activity | 2017 |
| AC-02 | Q1 Activity | 2018 |
| AC-03 | Q1 Activity | 2019 |
| AC-04 | Q1 Activity | 2017 |
| AC-05 | Q1 Activity | 2018 |
| AC-06 | Q1 Activity | 2019 |
| AC-07 | Q1 Activity | 2017 |
| AC-08 | Q1 Activity | 2018 |
| AC-11 | Q1 Activity | 2019 |
| AC-12 | Q1 Activity | 2017 |
| AC-16 | Q1 Activity | 2018 |
| AC-17 | Q1 Activity | 2019 |
| AC-18 | Q1 Activity | 2017 |
| AC-19 | Q1 Activity | 2018 |
| AC-20 | Q1 Activity | 2019 |
| AP-02 | Q2 Activity | 2017 |
| AR-01 | Q2 Activity | 2018 |
| AR-03 | Q2 Activity | 2019 |
| AR-04 | Q2 Activity | 2017 |
| AR-07 | Q2 Activity | 2018 |
| AT-01 | Planned Q4 Activity | 2019 |
| AT-02 | Planned Q4 Activity | 2017 |
| AT-03 | Planned Q4 Activity | 2018 |
| AT-04 | Planned Q4 Activity | 2019 |
| AU-01 | Planned Q4 Activity | 2017 |
| AU-02 | Planned Q3 Activity | 2018 |
| AU-03 | Planned Q3 Activity | 2019 |
| AU-04 | Planned Q3 Activity | 2017 |
| AU-05 | Planned Q3 Activity | 2018 |
| AU-06 | Planned Q3 Activity | 2019 |
| AU-07 | Planned Q3 Activity | 2017 |
| AU-08 | Planned Q3 Activity | 2018 |
| AU-09 | Planned Q3 Activity | 2019 |
| AU-10 | Planned Q3 Activity | 2017 |
| AU-11 | Planned Q3 Activity | 2018 |
| AU-12 | Planned Q3 Activity | 2019 |
| CA-01 | Planned Q4 Activity | 2017 |
| CA-02 | Planned Q4 Activity | 2018 |
| CA-03 | Planned Q4 Activity | 2019 |
| CA-05 | Planned Q4 Activity | 2017 |
| CA-06 | Planned Q4 Activity | 2018 |
| CA-07 | Planned Q4 Activity | 2019 |
| CA-09 | Planned Q4 Activity | 2017 |
| CM-01 | Planned Q4 Activity | 2018 |
| CM-03 | Planned Q4 Activity | 2019 |
| CM-04 | Planned Q4 Activity | 2017 |
| CM-05 | Planned Q4 Activity | 2018 |
| CM-06 | Planned Q4 Activity | 2019 |
| CM-07 | Planned Q4 Activity | 2017 |
| CM-08 | Planned Q4 Activity | 2018 |
| CM-09 | Planned Q4 Activity | 2019 |
| CM-10 | Planned Q4 Activity | 2017 |
| CM-11 | Planned Q4 Activity | 2018 |
| CM-2 | Planned Q4 Activity | 2019 |
| CP-01 | Planned Q4 Activity | 2017 |
| CP-02 | Q2 Activity | 2018 |
| CP-04 | Q2 Activity | 2019 |
| CP-06 | Q2 Activity | 2017 |
| CP-07 | Q2 Activity | 2018 |
| CP-08 | Q2 Activity | 2019 |
| CP-09 | Q2 Activity | 2017 |
| CP-10 | Q2 Activity | 2018 |
| CP-11 | Q2 Activity | 2019 |
| DM-01 | Q2 Activity | 2017 |
| DM-02 | Q2 Activity | 2018 |
| DM-03 | Q2 Activity | 2019 |
| IA-01 | Planned Q4 Activity | 2017 |
| IA-02 | Q1 Activity | 2018 |
| IA-03 | Q1 Activity | 2019 |
| IA-04 | Q1 Activity | 2017 |
| IA-05 | Q1 Activity | 2018 |
| IA-06 | Q1 Activity | 2019 |
| IA-08 | Q1 Activity | 2017 |
| IR-01 | Planned Q4 Activity | 2018 |
| IR-02 | Q2 Activity | 2019 |
| IR-03 | Q2 Activity | 2017 |
| IR-04 | Q2 Activity | 2018 |
| IR-05 | Q2 Activity | 2019 |
| IR-06 | Q2 Activity | 2017 |
| IR-07 | Q2 Activity | 2018 |
| IR-08 | Q2 Activity | 2019 |
| IR-10 | Q2 Activity | 2017 |
| MA-01 | Planned Q4 Activity | 2018 |
| MA-02 | Planned Q3 Activity | 2019 |
| MA-03 | Planned Q3 Activity | 2017 |
| MA-04 | Planned Q3 Activity | 2018 |
| MA-05 | Planned Q3 Activity | 2019 |
| MA-06 | Planned Q3 Activity | 2017 |
| MP-01 | Planned Q4 Activity | 2018 |
| MP-02 | Q1 Activity | 2019 |
| MP-03 | Q1 Activity | 2017 |
| MP-04 | Q1 Activity | 2018 |
| MP-05 | Q1 Activity | 2019 |
| MP-06 | Q1 Activity | 2017 |
| MP-07 | Q1 Activity | 2018 |
| PE-01 | Planned Q4 Activity | 2019 |
| PE-02 | Planned Q3 Activity | 2017 |
| PE-03 | Planned Q3 Activity | 2018 |
| PE-04 | Planned Q3 Activity | 2019 |
| PE-05 | Planned Q3 Activity | 2017 |
| PE-06 | Planned Q3 Activity | 2018 |
| PE-08 | Planned Q3 Activity | 2019 |
| PE-09 | Planned Q3 Activity | 2017 |
| PE-10 | Planned Q3 Activity | 2018 |
| PE-11 | Planned Q3 Activity | 2019 |
| PE-12 | Planned Q3 Activity | 2017 |
| PE-13 | Planned Q3 Activity | 2018 |
| PE-14 | Planned Q3 Activity | 2019 |
| PE-15 | Planned Q3 Activity | 2017 |
| PE-16 | Planned Q3 Activity | 2018 |
| PE-17 | Planned Q3 Activity | 2019 |
| PL-01 | Planned Q4 Activity | 2017 |
| PL-02 | Q2 Activity | 2018 |
| PL-04 | Q2 Activity | 2019 |
| PL-08 | Q2 Activity | 2017 |
| PL-09 | Q2 Activity | 2018 |
| PM-01 | Q2 Activity | 2019 |
| PM-02 | Q2 Activity | 2017 |
| PM-03 | Q2 Activity | 2018 |
| PM-05 | Q2 Activity | 2019 |
| PM-07 | Q2 Activity | 2017 |
| PM-08 | Q2 Activity | 2018 |
| PM-09 | Q2 Activity | 2019 |
| PM-10 | Q2 Activity | 2017 |
| PM-11 | Q2 Activity | 2018 |
| PM-15 | Q2 Activity | 2019 |
| PS-01 | Planned Q4 Activity | 2017 |
| PS-02 | Planned Q3 Activity | 2018 |
| PS-03 | Planned Q3 Activity | 2019 |
| PS-04 | Planned Q3 Activity | 2017 |
| PS-05 | Planned Q3 Activity | 2018 |
| PS-06 | Planned Q3 Activity | 2019 |
| PS-07 | Planned Q3 Activity | 2017 |
| PS-08 | Planned Q3 Activity | 2018 |
| RA-01 | Planned Q4 Activity | 2019 |
| RA-02 | Planned Q4 Activity | 2017 |
| RA-03 | Planned Q4 Activity | 2018 |
| RA-05 | Planned Q4 Activity | 2019 |
| SA-01 | Planned Q4 Activity | 2017 |
| SA-02 | Planned Q3 Activity | 2018 |
| SA-03 | Planned Q3 Activity | 2019 |
| SA-04 | Planned Q3 Activity | 2017 |
| SA-05 | Planned Q3 Activity | 2018 |
| SA-08 | Planned Q3 Activity | 2019 |
| SA-09 | Planned Q3 Activity | 2017 |
| SA-10 | Planned Q3 Activity | 2018 |
| SA-11 | Planned Q3 Activity | 2019 |
| SC-01 | Planned Q4 Activity | 2017 |
| SC-03 | Q1 Activity | 2018 |
| SC-04 | Q1 Activity | 2019 |
| SC-07 | Q1 Activity | 2017 |
| SC-08 | Q1 Activity | 2018 |
| SC-10 | Q1 Activity | 2019 |
| SC-12 | Q1 Activity | 2017 |
| SC-13 | Q1 Activity | 2018 |
| SC-17 | Q1 Activity | 2019 |
| SC-23 | Q1 Activity | 2017 |
| SC-28 | Q1 Activity | 2018 |
| SC-38 | Q1 Activity | 2019 |
| SC-39 | Q1 Activity | 2017 |
| SC-40 | Q1 Activity | 2018 |
| SE-01 | Q2 Activity | 2019 |
| SE-02 | Q2 Activity | 2017 |
| SI-01 | Planned Q4 Activity | 2018 |
| SI-02 | Q1 Activity | 2019 |
| SI-03 | Q1 Activity | 2017 |
| SI-04 | Q1 Activity | 2018 |
| SI-05 | Q1 Activity | 2019 |
| SI-06 | Q1 Activity | 2017 |
| SI-07 | Q1 Activity | 2018 |
| SI-08 | Q1 Activity | 2019 |
| SI-10 | Q1 Activity | 2017 |
| SI-11 | Q1 Activity | 2018 |
| SI-12 | Q1 Activity | 2019 |
| SI-15 | Q1 Activity | 2017 |
| SI-16 | Q1 Activity | 2018 |
| TR-01 | Q2 Activity | 2019 |
| UL-01 | Q2 Activity | 2017 |
| UL-02 | Q2 Activity | 2018 |

Table 6: Audit Schedule for NIC Common Controls

# APPENDIX XIII

## Audit Schedule for FY2017

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| AC-01 | Planned Q4 Activity | 2017 |
| AC-04 | Q1 Activity | 2017 |
| AC-07 | Q1 Activity | 2017 |
| AC-12 | Q1 Activity | 2017 |
| AC-18 | Q1 Activity | 2017 |
| AP-02 | Q2 Activity | 2017 |
| AR-04 | Q2 Activity | 2017 |
| AT-02 | Planned Q4 Activity | 2017 |
| AU-01 | Planned Q4 Activity | 2017 |
| AU-04 | Planned Q3 Activity | 2017 |
| AU-07 | Planned Q3 Activity | 2017 |
| AU-10 | Planned Q3 Activity | 2017 |
| CA-01 | Planned Q4 Activity | 2017 |
| CA-05 | Planned Q4 Activity | 2017 |
| CA-09 | Planned Q4 Activity | 2017 |
| CM-04 | Planned Q4 Activity | 2017 |
| CM-07 | Planned Q4 Activity | 2017 |
| CM-10 | Planned Q4 Activity | 2017 |
| CP-01 | Planned Q4 Activity | 2017 |
| CP-06 | Q2 Activity | 2017 |
| CP-09 | Q2 Activity | 2017 |
| DM-01 | Q2 Activity | 2017 |
| IA-01 | Planned Q4 Activity | 2017 |
| IA-04 | Q1 Activity | 2017 |
| IA-08 | Q1 Activity | 2017 |
| IR-03 | Q2 Activity | 2017 |
| IR-06 | Q2 Activity | 2017 |
| IR-10 | Q2 Activity | 2017 |
| MA-03 | Planned Q3 Activity | 2017 |
| MA-06 | Planned Q3 Activity | 2017 |
| MP-03 | Q1 Activity | 2017 |
| MP-06 | Q1 Activity | 2017 |
| PE-02 | Planned Q3 Activity | 2017 |
| PE-05 | Planned Q3 Activity | 2017 |
| PE-09 | Planned Q3 Activity | 2017 |
| PE-12 | Planned Q3 Activity | 2017 |
| PE-15 | Planned Q3 Activity | 2017 |
| PL-01 | Planned Q4 Activity | 2017 |
| PL-08 | Q2 Activity | 2017 |
| PM-02 | Q2 Activity | 2017 |
| PM-07 | Q2 Activity | 2017 |
| PM-10 | Q2 Activity | 2017 |
| PS-01 | Planned Q4 Activity | 2017 |
| PS-04 | Planned Q3 Activity | 2017 |
| PS-07 | Planned Q3 Activity | 2017 |
| RA-02 | Planned Q4 Activity | 2017 |
| SA-01 | Planned Q4 Activity | 2017 |
| SA-04 | Planned Q3 Activity | 2017 |
| SA-09 | Planned Q3 Activity | 2017 |
| SC-01 | Planned Q4 Activity | 2017 |
| SC-07 | Q1 Activity | 2017 |
| SC-12 | Q1 Activity | 2017 |
| SC-23 | Q1 Activity | 2017 |
| SC-39 | Q1 Activity | 2017 |
| SE-02 | Q2 Activity | 2017 |
| SI-03 | Q1 Activity | 2017 |
| SI-06 | Q1 Activity | 2017 |
| SI-10 | Q1 Activity | 2017 |
| SI-15 | Q1 Activity | 2017 |
| UL-01 | Q2 Activity | 2017 |

Table 7: Audit Schedule for FY2017

# APPENDIX XIV

## Audit Schedule for FY2018

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| AC-02 | Q1 Activity | 2018 |
| AC-05 | Q1 Activity | 2018 |
| AC-08 | Q1 Activity | 2018 |
| AC-16 | Q1 Activity | 2018 |
| AC-19 | Q1 Activity | 2018 |
| AR-01 | Q2 Activity | 2018 |
| AR-07 | Q2 Activity | 2018 |
| AT-03 | Planned Q4 Activity | 2018 |
| AU-02 | Planned Q3 Activity | 2018 |
| AU-05 | Planned Q3 Activity | 2018 |
| AU-08 | Planned Q3 Activity | 2018 |
| AU-11 | Planned Q3 Activity | 2018 |
| CA-02 | Planned Q4 Activity | 2018 |
| CA-06 | Planned Q4 Activity | 2018 |
| CM-01 | Planned Q4 Activity | 2018 |
| CM-05 | Planned Q4 Activity | 2018 |
| CM-08 | Planned Q4 Activity | 2018 |
| CM-11 | Planned Q4 Activity | 2018 |
| CP-02 | Q2 Activity | 2018 |
| CP-07 | Q2 Activity | 2018 |
| CP-10 | Q2 Activity | 2018 |
| DM-02 | Q2 Activity | 2018 |
| IA-02 | Q1 Activity | 2018 |
| IA-05 | Q1 Activity | 2018 |
| IR-01 | Planned Q4 Activity | 2018 |
| IR-04 | Q2 Activity | 2018 |
| IR-07 | Q2 Activity | 2018 |
| MA-01 | Planned Q4 Activity | 2018 |
| MA-04 | Planned Q3 Activity | 2018 |
| MP-01 | Planned Q4 Activity | 2018 |
| MP-04 | Q1 Activity | 2018 |
| MP-07 | Q1 Activity | 2018 |
| PE-03 | Planned Q3 Activity | 2018 |
| PE-06 | Planned Q3 Activity | 2018 |
| PE-10 | Planned Q3 Activity | 2018 |
| PE-13 | Planned Q3 Activity | 2018 |
| PE-16 | Planned Q3 Activity | 2018 |
| PL-02 | Q2 Activity | 2018 |
| PL-09 | Q2 Activity | 2018 |
| PM-03 | Q2 Activity | 2018 |
| PM-08 | Q2 Activity | 2018 |
| PM-11 | Q2 Activity | 2018 |
| PS-02 | Planned Q3 Activity | 2018 |
| PS-05 | Planned Q3 Activity | 2018 |
| PS-08 | Planned Q3 Activity | 2018 |
| RA-03 | Planned Q4 Activity | 2018 |
| SA-02 | Planned Q3 Activity | 2018 |
| SA-05 | Planned Q3 Activity | 2018 |
| SA-10 | Planned Q3 Activity | 2018 |
| SC-03 | Q1 Activity | 2018 |
| SC-08 | Q1 Activity | 2018 |
| SC-13 | Q1 Activity | 2018 |
| SC-28 | Q1 Activity | 2018 |
| SC-40 | Q1 Activity | 2018 |
| SI-01 | Planned Q4 Activity | 2018 |
| SI-04 | Q1 Activity | 2018 |
| SI-07 | Q1 Activity | 2018 |
| SI-11 | Q1 Activity | 2018 |
| SI-16 | Q1 Activity | 2018 |
| UL-02 | Q2 Activity | 2018 |

Table 8: Audit Schedule for FY2018

# APPENDIX XV

## Audit Schedule for FY2019

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| AC-03 | Q1 Activity | 2019 |
| AC-06 | Q1 Activity | 2019 |
| AC-11 | Q1 Activity | 2019 |
| AC-17 | Q1 Activity | 2019 |
| AC-20 | Q1 Activity | 2019 |
| AR-03 | Q2 Activity | 2019 |
| AT-01 | Planned Q4 Activity | 2019 |
| AT-04 | Planned Q4 Activity | 2019 |
| AU-03 | Planned Q3 Activity | 2019 |
| AU-06 | Planned Q3 Activity | 2019 |
| AU-09 | Planned Q3 Activity | 2019 |
| AU-12 | Planned Q3 Activity | 2019 |
| CA-03 | Planned Q4 Activity | 2019 |
| CA-07 | Planned Q4 Activity | 2019 |
| CM-03 | Planned Q4 Activity | 2019 |
| CM-06 | Planned Q4 Activity | 2019 |
| CM-09 | Planned Q4 Activity | 2019 |
| CM-2 | Planned Q4 Activity | 2019 |
| CP-04 | Q2 Activity | 2019 |
| CP-08 | Q2 Activity | 2019 |
| CP-11 | Q2 Activity | 2019 |
| DM-03 | Q2 Activity | 2019 |
| IA-03 | Q1 Activity | 2019 |
| IA-06 | Q1 Activity | 2019 |
| IR-02 | Q2 Activity | 2019 |
| IR-05 | Q2 Activity | 2019 |
| IR-08 | Q2 Activity | 2019 |
| MA-02 | Planned Q3 Activity | 2019 |
| MA-05 | Planned Q3 Activity | 2019 |
| MP-02 | Q1 Activity | 2019 |
| MP-05 | Q1 Activity | 2019 |
| PE-01 | Planned Q4 Activity | 2019 |
| PE-04 | Planned Q3 Activity | 2019 |
| PE-08 | Planned Q3 Activity | 2019 |
| PE-11 | Planned Q3 Activity | 2019 |
| PE-14 | Planned Q3 Activity | 2019 |
| PE-17 | Planned Q3 Activity | 2019 |
| PL-04 | Q2 Activity | 2019 |
| PM-01 | Q2 Activity | 2019 |
| PM-05 | Q2 Activity | 2019 |
| PM-09 | Q2 Activity | 2019 |
| PM-15 | Q2 Activity | 2019 |
| PS-03 | Planned Q3 Activity | 2019 |
| PS-06 | Planned Q3 Activity | 2019 |
| RA-01 | Planned Q4 Activity | 2019 |
| RA-05 | Planned Q4 Activity | 2019 |
| SA-03 | Planned Q3 Activity | 2019 |
| SA-08 | Planned Q3 Activity | 2019 |
| SA-11 | Planned Q3 Activity | 2019 |
| SC-04 | Q1 Activity | 2019 |
| SC-10 | Q1 Activity | 2019 |
| SC-17 | Q1 Activity | 2019 |
| SC-38 | Q1 Activity | 2019 |
| SE-01 | Q2 Activity | 2019 |
| SI-02 | Q1 Activity | 2019 |
| SI-05 | Q1 Activity | 2019 |
| SI-08 | Q1 Activity | 2019 |
| SI-12 | Q1 Activity | 2019 |
| TR-01 | Q2 Activity | 2019 |

Table 9: Audit Schedule for FY2019