**NIC, Inc.**

Texas NICUSA, LLC

NIC Common Control Attestation

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 | 1.0 |
| Author(s) | Kylen Griffin – Governance, Risk & Compliance |
| Reviewed by: | Joe Mendygral – Governance, Risk & Compliance |
| Project Manager | Alexis Hayob – Project Manager |
| Delivery Date | July 31, 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](#_Toc489020647)

[Executive Summary 5](#_Toc489020648)

[Background 5](#_Toc489020649)

[Goals & Objectives 5](#_Toc489020650)

[Attestation of Controls Selection and Test Plan 5](#_Toc489020651)

[Assessment Details 7](#_Toc489020652)

[Testing Plan Methodology 7](#_Toc489020653)

[Common Control Testing and Responses 7](#_Toc489020654)

[Findings and Recommendations 9](#_Toc489020655)

[Conclusion 10](#_Toc489020656)

[Appendix I 11](#_Toc489020657)

[Control Testing – Quarter 1 11](#_Toc489020658)

[APPENDIX II 13](#_Toc489020659)

[Control Testing – Quarter 2 13](#_Toc489020660)

[APPENDIX III 15](#_Toc489020661)

[Control Testing – Quarter 3 15](#_Toc489020662)

[APPENDIX IV 17](#_Toc489020663)

[Control Testing – Quarter 4 17](#_Toc489020664)

[APPENDIX V 19](#_Toc489020665)

[Control Testing – 2017 19](#_Toc489020666)

[APPENDIX VI 25](#_Toc489020667)

[Audit Schedule for NIC Common Controls 25](#_Toc489020668)

[APPENDIX VII 31](#_Toc489020669)

[Audit Schedule for FY2017 31](#_Toc489020670)

[APPENDIX VIII 33](#_Toc489020671)

[Audit Schedule for FY2018 33](#_Toc489020672)

[APPENDIX IX 35](#_Toc489020673)

[Audit Schedule for FY2019 35](#_Toc489020674)

[APPENDIX X 37](#_Toc489020675)

[Control Rating Definitions 37](#_Toc489020676)

[Table 1: NIC Common Control Scorecard 7](#_Toc489020677)

[Figure 1: NIC Common Control Summary of Q1, 2017 8](#_Toc489020678)

[Table 2: Common Control Selection for Quarter 1, 2017 12](#_Toc489020679)

[Table 3: Common Control Selection for Quarter 2, 2017 14](#_Toc489020680)

[Table 4: Common Control Selection for Quarter 3, 2017 16](#_Toc489020681)

[Table 5: Common Control Selection for Quarter 4, 2017 18](#_Toc489020682)

[Table 6: Common Control Selection for Annual Testing Plan 24](#_Toc489020683)

[Table 7: Audit Schedule for NIC Common Controls 30](#_Toc489020684)

[Table 8: Audit Schedule for FY2017 32](#_Toc489020685)

[Table 9: Audit Schedule for FY2018 34](#_Toc489020686)

[Table 10: Audit Schedule for FY2019 36](#_Toc489020687)

# 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. For the purpose of this document Fishtech will focus on the responses given by Texas NICUSA, LLC covering the State of Texas portal, (“Texas Portal”).

## 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 Texas Portal have readily shared information with Fishtech regarding the network and controls. This engagement was conducted as a full disclosure by NIC and the Texas Portal as well as being non-evasive to the NIC and Texas Portal networks.

## Attestation of Controls Selection and Test Plan

Fishtech has examined the NIC Common Control 2017 testing plan and testing schedules. The testing plans were assessed against the criteria set forth in NIST SP 800-53A Rev 4 “Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans”. Fishtech has affirmed the fairness of the presentation of the controls, the suitability of the selected controls, and the effectiveness of the controls described in the NIC Common Control 2017 testing plan and testing schedules.

Fishtech continually examines the NIC testing plan and testing schedules during the period of March 14, 2017 – March 31, 2018. The testing plans were assessed against the criteria set forth in NIST SP 800-53A Rev 4 “Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans”. Fishtech has affirmed the fairness of the presentation of the controls, the suitability of the selected controls, and the effectiveness of the controls described in the NIC Q1 2017 testing plan.

Appendix I-V has more of the overall testing schedule for the controls. The manually review audit schedule can be found in Appendix VI – IX. The goal is for Fishtech to manually review one third of the controls this year, with the remaining two thirds reviewed in the next two years.

Fishtech’s assessment will involve performing procedures to obtain evidence to assess the effectiveness of the controls described in the testing plans. Fishtech will conduct its assessment in accordance with best practices and the standards set forth in NIST SP 800-53A Rev 4 “Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans”. Fishtech will manually review one-third of the overall controls selected during this assessment period between April 1, 2017 and March 31, 2018. The remaining controls will be manually reviewed during the next two years. One-third of all controls will be reviewed each year until all selected controls have been manually reviewed. Fishtech’s assessment will include evaluating the overall presentation of the selected controls and the evidence Fishtech obtains is sufficient and appropriate to provide a reasonable basis for our opinion on the overall NIC quarterly testing plan and Testing Schedule.

# 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 Texas Portal and will give more information on this evidence collection in later revisions of this document. Fishtech has reviewed the completed Q1 2017 testing plan answers from the Texas Portal.

## Common Control Testing and Responses

Fishtech developed the NIC Common Control Scorecard by reviewing and testing the documentation provided by the Texas Portal 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. The breakdown of the controls are as follows:

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

Table 1: NIC Common Control Scorecard

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 X. Appendix VI-IX are the audit schedule for Fishtech review of all of the NIC Common Controls on a three-year rotational schedule.

# Findings and Recommendations

Currently, there are no findings or recommendations for the Texas Portal in regard to the quarterly testing plans. The Texas Portal owners have been very responsive and thorough with the responses to the Q1 testing plan and have completed all fifty-one (“51”) controls for Q1. As long as the Texas Portal keeps up the level and accuracy of their responses, 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 Texas Portal is 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 as becomes available to Fishtech from NIC and the Texas Portal. At the end of the year a finalized version of this document will be provided to the Texas Portal 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 | Answered this Quarter | Control Rating |
| --- | --- | --- | --- |
| AC-02 | Q1 Activity | Yes | Implemented |
| AC-03 | Q1 Activity | Yes | Implemented |
| AC-04 | Q1 Activity | Yes | Implemented |
| AC-05 | Q1 Activity | Yes | Implemented |
| AC-06 | Q1 Activity | Yes | Implemented |
| AC-07 | Q1 Activity | Yes | Implemented |
| AC-08 | Q1 Activity | Yes | Implemented |
| AC-11 | Q1 Activity | Yes | Implemented |
| AC-12 | Q1 Activity | Yes | Implemented |
| AC-16 | Q1 Activity | Yes | Implemented |
| AC-17 | Q1 Activity | Yes | Implemented |
| AC-18 | Q1 Activity | Yes | Implemented |
| AC-19 | Q1 Activity | Yes | Implemented |
| AC-20 | Q1 Activity | Yes | Implemented |
| IA-02 | Q1 Activity | Yes | Implemented |
| IA-03 | Q1 Activity | Yes | Implemented |
| IA-04 | Q1 Activity | Yes | Implemented |
| IA-05 | Q1 Activity | Yes | Implemented |
| IA-06 | Q1 Activity | Yes | Implemented |
| IA-08 | Q1 Activity | Yes | Implemented |
| MP-02 | Q1 Activity | Yes | Implemented |
| MP-03 | Q1 Activity | Yes | Implemented |
| MP-04 | Q1 Activity | Yes | Implemented |
| MP-05 | Q1 Activity | Yes | Implemented |
| MP-06 | Q1 Activity | Yes | Implemented |
| MP-07 | Q1 Activity | Yes | Implemented |
| SC-03 | Q1 Activity | Yes | Implemented |
| SC-04 | Q1 Activity | Yes | Implemented |
| SC-07 | Q1 Activity | Yes | Implemented |
| SC-08 | Q1 Activity | Yes | Implemented |
| SC-10 | Q1 Activity | Yes | Implemented |
| SC-12 | Q1 Activity | Yes | Implemented |
| SC-13 | Q1 Activity | Yes | Implemented |
| SC-17 | Q1 Activity | Yes | Implemented |
| SC-23 | Q1 Activity | Yes | Implemented |
| SC-28 | Q1 Activity | Yes | Implemented |
| SC-38 | Q1 Activity | Yes | Implemented |
| SC-39 | Q1 Activity | Yes | Implemented |
| SC-40 | Q1 Activity | Yes | Implemented |
| SI-02 | Q1 Activity | Yes | Implemented |
| SI-03 | Q1 Activity | Yes | Implemented |
| SI-04 | Q1 Activity | Yes | Implemented |
| SI-05 | Q1 Activity | Yes | Implemented |
| SI-06 | Q1 Activity | Yes | Implemented |
| SI-07 | Q1 Activity | Yes | Implemented |
| SI-08 | Q1 Activity | Yes | Implemented |
| SI-10 | Q1 Activity | Yes | Implemented |
| SI-11 | Q1 Activity | Yes | Implemented |
| SI-12 | Q1 Activity | Yes | Implemented |
| SI-15 | Q1 Activity | Yes | Implemented |
| SI-16 | Q1 Activity | Yes | Implemented |

Table 2: Common Control Selection for Quarter 1, 2017

# APPENDIX II

## Control Testing – Quarter 2

| Control Number | Control Quarter for Testing | Answered this Quarter | 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 | Answered this Quarter | 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 | Answered this Quarter | 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 | Answered this Quarter | Control Rating |
| --- | --- | --- | --- |
| AC-01 | Planned Q4 Activity |  |  |
| AC-02 | Q1 Activity | Yes | Implemented |
| AC-03 | Q1 Activity | Yes | Implemented |
| AC-04 | Q1 Activity | Yes | Implemented |
| AC-05 | Q1 Activity | Yes | Implemented |
| AC-06 | Q1 Activity | Yes | Implemented |
| AC-07 | Q1 Activity | Yes | Implemented |
| AC-08 | Q1 Activity | Yes | Implemented |
| AC-11 | Q1 Activity | Yes | Implemented |
| AC-12 | Q1 Activity | Yes | Implemented |
| AC-16 | Q1 Activity | Yes | Implemented |
| AC-17 | Q1 Activity | Yes | Implemented |
| AC-18 | Q1 Activity | Yes | Implemented |
| AC-19 | Q1 Activity | Yes | Implemented |
| AC-20 | Q1 Activity | Yes | Implemented |
| 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 | Yes | Implemented |
| IA-03 | Q1 Activity | Yes | Implemented |
| IA-04 | Q1 Activity | Yes | Implemented |
| IA-05 | Q1 Activity | Yes | Implemented |
| IA-06 | Q1 Activity | Yes | Implemented |
| IA-08 | Q1 Activity | Yes | Implemented |
| 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 | Yes | Implemented |
| MP-03 | Q1 Activity | Yes | Implemented |
| MP-04 | Q1 Activity | Yes | Implemented |
| MP-05 | Q1 Activity | Yes | Implemented |
| MP-06 | Q1 Activity | Yes | Implemented |
| MP-07 | Q1 Activity | Yes | Implemented |
| 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 | Yes | Implemented |
| SC-04 | Q1 Activity | Yes | Implemented |
| SC-07 | Q1 Activity | Yes | Implemented |
| SC-08 | Q1 Activity | Yes | Implemented |
| SC-10 | Q1 Activity | Yes | Implemented |
| SC-12 | Q1 Activity | Yes | Implemented |
| SC-13 | Q1 Activity | Yes | Implemented |
| SC-17 | Q1 Activity | Yes | Implemented |
| SC-23 | Q1 Activity | Yes | Implemented |
| SC-28 | Q1 Activity | Yes | Implemented |
| SC-38 | Q1 Activity | Yes | Implemented |
| SC-39 | Q1 Activity | Yes | Implemented |
| SC-40 | Q1 Activity | Yes | Implemented |
| SE-01 | Q2 Activity |  |  |
| SE-02 | Q2 Activity |  |  |
| SI-01 | Planned Q4 Activity |  |  |
| SI-02 | Q1 Activity | Yes | Implemented |
| SI-03 | Q1 Activity | Yes | Implemented |
| SI-04 | Q1 Activity | Yes | Implemented |
| SI-05 | Q1 Activity | Yes | Implemented |
| SI-06 | Q1 Activity | Yes | Implemented |
| SI-07 | Q1 Activity | Yes | Implemented |
| SI-08 | Q1 Activity | Yes | Implemented |
| SI-10 | Q1 Activity | Yes | Implemented |
| SI-11 | Q1 Activity | Yes | Implemented |
| SI-12 | Q1 Activity | Yes | Implemented |
| SI-15 | Q1 Activity | Yes | Implemented |
| SI-16 | Q1 Activity | Yes | Implemented |
| TR-01 | Q2 Activity |  |  |
| UL-01 | Q2 Activity |  |  |
| UL-02 | Q2 Activity |  |  |

Table 6: Common Control Selection for Annual Testing Plan

# APPENDIX VI

## 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 7: Audit Schedule for NIC Common Controls

# APPENDIX VII

## 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 8: Audit Schedule for FY2017

# APPENDIX VIII

## 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 9: Audit Schedule for FY2018

# APPENDIX IX

## 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 10: Audit Schedule for FY2019

# APPENDIX X

## 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.