**NIC, Inc.**

NIST SP800-53 Audit Plan Assessment

Version 3.0

August 1, 2017

# Version Control

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| NIST SP800-53 Audit Plan Assessment | |
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# Executive Summary

## Background

Fishtech Labs, LLC (“Fishtech”) is 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.*”

## Goals & Objectives

The outcomes of the engagement were to validate the common controls and testing procedures that NIC would be using for their ongoing self-assessments. 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.

The primary goals of this engagement are:

* Validation of NIC mappings of requirements for common controls for appropriateness
* Validation of NIC evaluation of common controls for appropriateness
* Validation of NIC collection and evaluation of evidence if appropriate

# 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 Q3 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 Q3 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 Selection

NIC selected its controls based on a crosswalk between the Payment Card Industry Data Security Standard (“PCI-DSS”) 3.2 framework and NIC Corporate Security Policy. Fishtech performed an assessment and evaluation between these selected controls for the NIC testing plans up to the Q3 2017 testing plan and NIC Corporate Security Policy. Fishtech found no controls that were not included in NIC testing plan for testing plans up to Q3 2017. Fishtech will also analyze the testing plans for future quarters, one month before the testing plan goes live to the NIC portal sites. The Q3 2017 testing plan are being validated during this version of the deliverable scheduled to be delivered to NIC by May 8, 2017. The Q4 2017 testing plan will be validated by the end of November 2017.

### Q1 2017 Controls

NIC shared the controls for the Q1 2017 testing plan with Fishtech to start the analysis for the report. Fishtech has reviewed the originally selected controls and made some recommendations to NIC to revise its testing plans to spread out the controls more evenly between the quarters.

* Incident Response (“IR”) controls from NIST SP800-45 Rev 4 have been relocated to the testing plan for Q2 2017.
* Audit and Accountability (“AU”) controls from NIST SP800-54 Rev 4 have been relocated to the testing plan for Q3 2017.

The following figures will show how these changes balance the number of controls being tested in any given quarter, while keeping the control families together in the same quarter.

**Figure 1: Proposed Percentage of Quarterly Controls Selected**

**Figure 2: Current Percentage of Quarterly Controls Selected**

Fishtech’s overall recommendations for the testing schedule of the controls for Q1 are included as an appendix to this assessment. NIC should address these and make business decisions before the publication of the testing plan for Q1 2017 on April 1, 2017. Given the short time between the Q1 review and the publication of this document, NIC could also delay testing these controls during Q1 and push the testing to future quarters if needed.

### Q2 2017 Controls

NIC shared the controls for the Q2 2017 testing plan with Fishtech on April 19, 2017 to start the analysis for the report. Fishtech has reviewed the originally selected controls and validated the methodology and the evidence collection for the Q2 2017 testing plan. Fishtech as updated the appendices to include the updated controls that were selected during the recent quarter. Fishtech also validated that the changes from the findings and recommendations from the Q1 controls have been fully implemented. Fishtech will continue to update this documentation and give recommendations to NIC regarding the control selection and applicability of the controls once the review of the testing plans have been completed.

### Q3 2017 Controls

NIC shared the controls for the Q3 2017 testing plan with Fishtech on July 21, 2017 to start the analysis for the report. Fishtech has reviewed the originally selected controls and validated the methodology and the evidence collection for the Q3 2017 testing plan. Fishtech as updated the appendices to include the updated controls that were selected during the recent quarter. Fishtech also validated that the changes from the findings and recommendations from the Q1 controls have been fully implemented. Fishtech will continue to update this documentation and give recommendations to NIC regarding the control selection and applicability of the controls once the review of the testing plans have been completed.

## Attestation of Controls Selection and Test Plan

Fishtech has examined the NIC Q1 2017 testing plan and testing schedules during the period of March 13-24, 2017. 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.

Fishtech has examined the NIC Q2 2017 testing plan and testing schedules during the period of April 20 – 28, 2017. 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 Q2 2017 testing plan.

Fishtech has examined the NIC Q3 2017 testing plan and testing schedules during the period of July 22 – 31, 2017. 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 Q3 2017 testing plan.

Appendix I-V has more of the overall testing schedule for the controls, as well as a list of controls that Fishtech will manually review this year. The goal is for Fishtech to manually review approximately 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.

## Findings and Recommendations

### Q1 2017 Testing Plan Finding and Recommendations

During the examination of the Q1 2017 testing plan, NIC has decided to move some of the control families to other quarters which will spread out the controls in a more evenly fashion. NIC agreed with the onsite Fishtech recommendations of moving the NIST SP800-53 Rev 4 IR family of controls to Q2 2017 and the NIST SP00-53 Rev 4 AU family of controls to Q3 2017. This is indicated in Figure 1 and 2 on the previous pages of this assessment.

### Q2 2017 Testing Plan Finding and Recommendations

During the examination of the Q2 2017 testing plan, Fishtech validated that the recommendations from the Q1 2017 testing plan was completely implemented. NIC included all the selected IR controls into the Q2 2017 testing plan. Fishtech has no further recommendations based off the analysis and review of the Q2 2017 testing plan.

### Q3 2017 Testing Plan Finding and Recommendations

During the examination of the Q3 2017 testing plan, Fishtech validated that the recommendations from the previous quarter testing plans have been completely implemented. Fishtech has no further recommendations based off the analysis and review of the Q3 2017 testing plan.

# Conclusion

During the assessment, only as of the Q3 2017 testing plan was analyzed and attested. Future quarter testing plans will be added to this assessment over time. This assessment should serve as a point in time attestation of the NIC Testing Strategy as of the Q3 2017 testing plan. The recommendations should help NIC to improve its quarterly testing plans and the respective testing plans of the future quarters. 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. This plan will be evaluated multiple times in the upcoming quarters and will be strengthened during each revision.

# Appendix I

## Common Control Selection and Audit Schedule

| 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 | Q3 Activity | 2018 |
| AU-03 | Q3 Activity | 2019 |
| AU-04 | Q3 Activity | 2017 |
| AU-05 | Q3 Activity | 2018 |
| AU-06 | Q3 Activity | 2019 |
| AU-08 | Q3 Activity | 2018 |
| AU-09 | Q3 Activity | 2019 |
| AU-10 | Q3 Activity | 2017 |
| AU-11 | Q3 Activity | 2018 |
| AU-12 | Q3 Activity | 2019 |
| AU-13 | 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 | Q3 Activity | 2019 |
| MA-04 | Q3 Activity | 2018 |
| MA-05 | Q3 Activity | 2019 |
| 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 | Q3 Activity | 2017 |
| PE-03 | Q3 Activity | 2018 |
| PE-04 | Q3 Activity | 2019 |
| PE-05 | Q3 Activity | 2017 |
| PE-06 | Q3 Activity | 2018 |
| PE-08 | Q3 Activity | 2019 |
| PE-17 | Q3 Activity | 2019 |
| PE-18 | 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 | Q3 Activity | 2018 |
| PS-03 | Q3 Activity | 2019 |
| PS-04 | Q3 Activity | 2017 |
| PS-06 | Q3 Activity | 2019 |
| PS-07 | Q3 Activity | 2017 |
| 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-03 | Q3 Activity | 2019 |
| SA-04 | Q3 Activity | 2017 |
| SA-05 | Q3 Activity | 2018 |
| SA-08 | Q3 Activity | 2019 |
| SA-09 | Q3 Activity | 2017 |
| SA-10 | Q3 Activity | 2018 |
| SA-11 | Q3 Activity | 2019 |
| SA-12 | Q3 Activity | 2017 |
| SA-15 | Q3 Activity | 2018 |
| SA-17 | Q3 Activity | 2019 |
| SA-18 | Q3 Activity | 2017 |
| SA-19 | Q3 Activity | 2018 |
| 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 1: Common Control Selection and Audit Schedule**

# Appendix II

## Common Control Selection for Quarter 1, 2017

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 |

**Table 2: Common Control Selection for Quarter 1, 2017**

# Appendix III

## Common Control Selection for Quarter 2, 2017

|  |  |  |
| --- | --- | --- |
| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| 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 |
| 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 |
| 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 |
| 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 |
| SE-01 | Q2 Activity | 2019 |
| SE-02 | Q2 Activity | 2017 |
| TR-01 | Q2 Activity | 2019 |
| UL-01 | Q2 Activity | 2017 |
| UL-02 | Q2 Activity | 2018 |

**Table 3: Common Control Selection for Quarter 2, 2017**

# Appendix IV

## Common Control Selection for Quarter 3, 2017

| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| --- | --- | --- |
| AU-02 | Q3 Activity | 2018 |
| AU-03 | Q3 Activity | 2019 |
| AU-04 | Q3 Activity | 2017 |
| AU-05 | Q3 Activity | 2018 |
| AU-06 | Q3 Activity | 2019 |
| AU-08 | Q3 Activity | 2018 |
| AU-09 | Q3 Activity | 2019 |
| AU-10 | Q3 Activity | 2017 |
| AU-11 | Q3 Activity | 2018 |
| AU-12 | Q3 Activity | 2019 |
| AU-13 | Q3 Activity | 2019 |
| MA-02 | Q3 Activity | 2019 |
| MA-04 | Q3 Activity | 2018 |
| MA-05 | Q3 Activity | 2019 |
| PE-02 | Q3 Activity | 2017 |
| PE-03 | Q3 Activity | 2018 |
| PE-04 | Q3 Activity | 2019 |
| PE-05 | Q3 Activity | 2017 |
| PE-06 | Q3 Activity | 2018 |
| PE-08 | Q3 Activity | 2019 |
| PE-17 | Q3 Activity | 2019 |
| PE-18 | Q3 Activity | 2019 |
| PS-02 | Q3 Activity | 2018 |
| PS-03 | Q3 Activity | 2019 |
| PS-04 | Q3 Activity | 2017 |
| PS-06 | Q3 Activity | 2019 |
| PS-07 | Q3 Activity | 2017 |
| SA-03 | Q3 Activity | 2019 |
| SA-04 | Q3 Activity | 2017 |
| SA-05 | Q3 Activity | 2018 |
| SA-08 | Q3 Activity | 2019 |
| SA-09 | Q3 Activity | 2017 |
| SA-10 | Q3 Activity | 2018 |
| SA-11 | Q3 Activity | 2019 |
| SA-12 | Q3 Activity | 2017 |
| SA-15 | Q3 Activity | 2018 |
| SA-17 | Q3 Activity | 2019 |
| SA-18 | Q3 Activity | 2017 |
| SA-19 | Q3 Activity | 2018 |

**Table 4: Common Control Selection for Quarter 3, 2017**

# Appendix V

## Common Control Selection for Quarter 4, 2017

|  |  |  |
| --- | --- | --- |
| Control Number | Control Quarter for Testing | Manual Review by Fishtech |
| AC-01 | Planned Q4 Activity | 2017 |
| 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 |
| CA-01 | 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 |
| IA-01 | Planned Q4 Activity | 2017 |
| IR-01 | Planned Q4 Activity | 2018 |
| MA-01 | Planned Q4 Activity | 2018 |
| MP-01 | Planned Q4 Activity | 2018 |
| PE-01 | Planned Q4 Activity | 2019 |
| PL-01 | Planned Q4 Activity | 2017 |
| PS-01 | Planned Q4 Activity | 2017 |
| RA-01 | Planned Q4 Activity | 2019 |
| SA-01 | Planned Q4 Activity | 2017 |
| SC-01 | Planned Q4 Activity | 2017 |
| SI-01 | Planned Q4 Activity | 2018 |

**Table 5: Common Control Selection for Quarter 4, 2017**

# Appendix VI

## Common Control Selection for NIC Offices with Datacenters

|  |  |
| --- | --- |
| Control Number | Control Name |
| PE-2 | Physical Access Authorization |
| PE-3 | Physical Access Control |
| PE-4 | Access Control for Transmission Medium |
| PE-5 | Access Control for Output Devices |
| PE-6 | Monitoring Physical Access |
| PE-8 | Visitor Access Records |
| PE-9 | Power Equipment and Cabling |
| PE-10 | Emergency Shutoff |
| PE-11 | Emergency Power |
| PE-12 | Emergency Lighting |
| PE-13 | Fire Protection |
| PE-14 | Temperature and Humidity Control |
| PE-15 | Water Damage Protection |
| PE-16 | Delivery and Removal |
| PE-17 | Alternative Work Site |
| Numerous | Rogue Access Points Assessment/Detection |

**Table 6: Common Control Selection for NIC Offices with Datacenters**

# Appendix VII

## Common Control Selection for NIC Offices without Datacenters

|  |  |
| --- | --- |
| Control Number | Control Name |
| PE-2 | Physical Access Authorization |
| PE-3 | Physical Access Control |
| PE-4 | Access Control for Transmission Medium |
| PE-5 | Access Control for Output Devices |
| PE-6 | Monitoring Physical Access |
| PE-8 | Visitor Access Records |
| PE-13 | Fire Protection |
| PE-16 | Delivery and Removal |
| PE-17 | Alternative Work Site |
| Numerous | Rogue Access Points Assessment/Detection |

**Table 7: Common Control Selection for NIC Offices without Datacenters**

# Appendix VIII

## NIC Remote Locations

| Location | Name | Address |
| --- | --- | --- |
| Alabama | Alabama Interactive, LLC | 100 North Union St., Suite 630 Montgomery, AL 36104 |
| Arkansas | Arkansas Information Consortium, LLC | 425 West Capitol Avenue, Suite 1620 Little Rock, AR 72201 |
| Colorado | Colorado Interactive, LLC | 600 17th St # 2150S Denver, CO 80202 |
| Connecticut | Connecticut Interactive | One Constitution Plaza, 8th Fl.  Hartford, CT 06103 |
| Hawaii | Hawaii Information Consortium, LLC | 201 Merchant St., Suite 1805  Honolulu, HI 96813 |
| Idaho | Idaho Information Consortium, LLC | 999 Main St., Suite 910  Boise, ID 83702 |
| Indiana | Indiana Interactive, LLC | 10 West Market St., Suite 600  Indianapolis, IN 46204 |
| Kansas | Kansas Information Consortium, LLC | 534 South Kansas Ave., Suite 1210 Topeka, KS 66603 |
| Kentucky | Kentucky Interactive, LLC | 229 West Main St., Suite 400  Frankfort, KY 40601 |
| Louisiana | Louisiana Interactive, LLC | 232 3rd Street, Suite 200 Baton Rouge, LA 70801 |
| Maine | Maine Information Network, LLC | 45 Commerce Dr., Suite 10  Augusta, ME 04330 |
| Maryland | Maryland Information Division NICUSA, Inc. | 200 Westgate Circle, Suite 402 Annapolis, MD 21401 |
| Mississippi | Mississippi Interactive, LLC | 2727 Old Canton Rd., Suite 100  Jackson, MS 39216 |
| Montana | Montana Interactive, LLC | 828 Great Northern Blvd., Suite 2A  Helena, MT 59601 |
| Nebraska | Nebraska Interactive, LLC | 301 South 13th St., Suite 301  Lincoln, NE 68508 |
| New Jersey | New Jersey Interactive, LLC | 15 West State St., 2nd Floor  Trenton, NJ 08608 |
| New Mexico | New Mexico Interactive, LLC | 1221 Flagman Way, Suite B4  Santa Fe, NM 87505 |
| NIC Federal | NIC Services (ETS Sec Ops) | 25501 W Valley Pkwy #300  Olathe, KS 66061 |
| Oklahoma | Oklahoma Interactive, LLC | 6501 Broadway Extension, Suite 250  Oklahoma City, OK 73116 |
| Oregon | Oregon Information Division NICUSA, Inc. | 198 Commercial St. SE, Suite 200  Salem, OR 97301 |
| Pennsylvania | Pennsylvania Interactive, LLC | 30 North 3rd St., Suite 200  Harrisburg, PA 17101 |
| Rhode Island | Rhode Island Interactive, LLC | One State St., Suite 401  Providence, RI 02908 |
| South Carolina | South Carolina Interactive, LLC | 1301 Gervais St., Suite 710 Columbia, SC 29201 |
| Texas | Texas NICUSA, Inc. | 100 Congress Ave., Suite 600 Austin, TX 78701 |
| Utah | Utah Interactive, LLC | 136 East South Temple, Suite 1150 Salt Lake City, UT 84111 |
| Vermont | Vermont Information Consortium, LLC | 147 State St., Second Floor Montpelier, VT 05602 |
| Virginia | Virginia Interactive, LLC | 119 West Broad Street, First Floor Richmond, VA 23220 |
| West Virginia | West Virginia Interactive, LLC | 10 Hale St., Third Floor Charleston, WV 25301 |
| Wisconsin | Wisconsin Interactive Network, LLC | 1 South Pinckney St., Suite 520  Madison, WI 53703 |

**Table 8: NIC Remote Locations and Addresses**