# FRTIB FISMA 2021 Audit Briefing

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**Thrift Savings Plan**
Federal Retirement Thrift Investment Board
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# Agenda

| Topic | Slide |
|---|---|
| FY21 FISMA Audit Results | **3** |
| FY21 FISMA Audit Recommendations | **4-7** |

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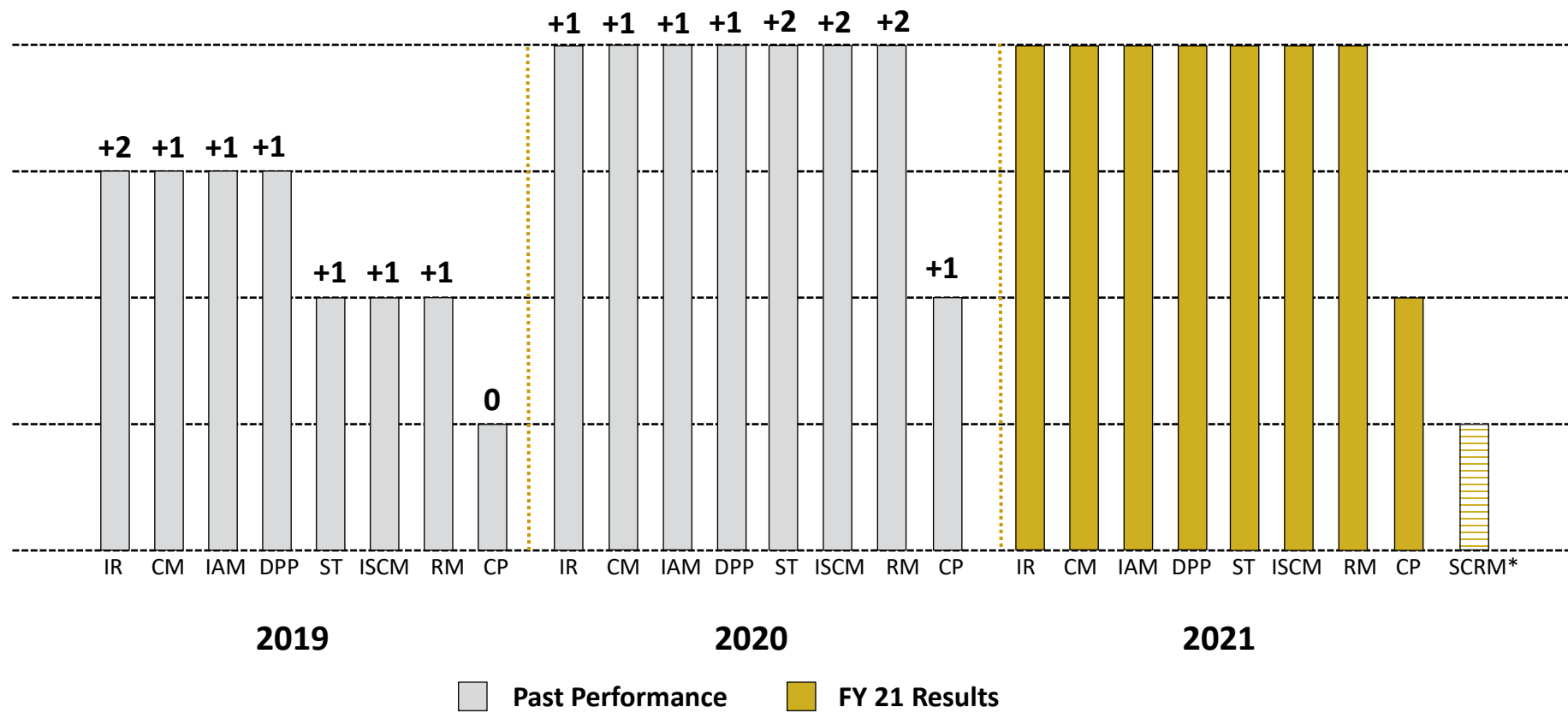
# FY 2021 FISMA Audit Results

The below table outlines the audit results for the FY21 FISMA Audit.



**Level 4**: Managed and Measureable

**Level 3**: Consistently Implemented

**Level 2**: Defined

**Level 1**: Ad-hoc

2019 results: IR +2, CM +1, IAM +1, DPP +1, ST +1, ISCM +1, RM +1, CP 0

2020 results: IR +1, CM +1, IAM +1, DPP +1, ST +2, ISCM +2, RM +2, CP +1

2019 | 2020 | 2021

Legend: ☐ Past Performance  ◼ FY 21 Results

X-axis labels: IR CM IAM DPP ST ISCM RM CP | IR CM IAM DPP ST ISCM RM CP | IR CM IAM DPP ST ISCM RM CP SCRM*

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* SCRM scores not counted in the overall **Identify** function rating

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**#1 Inventory of Data Breaches**

Develop a standard data elements/taxonomy to maintain a complete and accurate population of data beaches

**CURRENT**

Manually tracking breaches in spreadsheet

No consistent language used for similar events

**IN DEVELOPMENT**

Developing breach desktop guide which will capture additional details

Will include taxonomy of events / language to use

**IN DEVELOPMENT**

Collaborating with Converge (new record keeper) to finalize taxonomy

Will update breach desktop guide to include final taxonomy

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**#2 Required Training Completion**

Implement a penalty table to ensure users complete required training in a timely manner

IMPLEMENTED

Effective October 1, 2021, FRTIB implemented penalty table for those who repeatedly fail phishing exercises

Escalation for those who click on phishing links

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## #3 Process Health Metrics (PHM) Data Quality

Develop additional data validation processes to ensure manually tracked metrics are captured and recorded accurately within PHM

**IMPLEMENTED**

Enhanced data quality review process ahead of each dashboard publication

Distributing screenshots to each stakeholder for secondary review and validation

Second manager review

**IMPLEMENTED**

Quarterly deep dive of each domain to validate continued accuracy month over month

**IN DEVELOPMENT**

Continuing to evolve cybersecurity metrics program in collaboration with Converge

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## #4 Contingency Planning in a Managed Service Environment

Update existing contingency planning policies, procedures and processes to account for a third-party managed systems

**IMPLEMENTED**

Updated annual contingency planning training to include third-party managed systems

**IMPLEMENTED**

Conducted 5 tabletop contingency exercises, covering High Value Assets (HVAs) and cloud systems

**IMPLEMENTED**

Conducted review of Managed Service Provider Contingency Plans to evaluate how they interconnect with Agency Contingency Plans

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# Questions?

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