Risk Management Framework

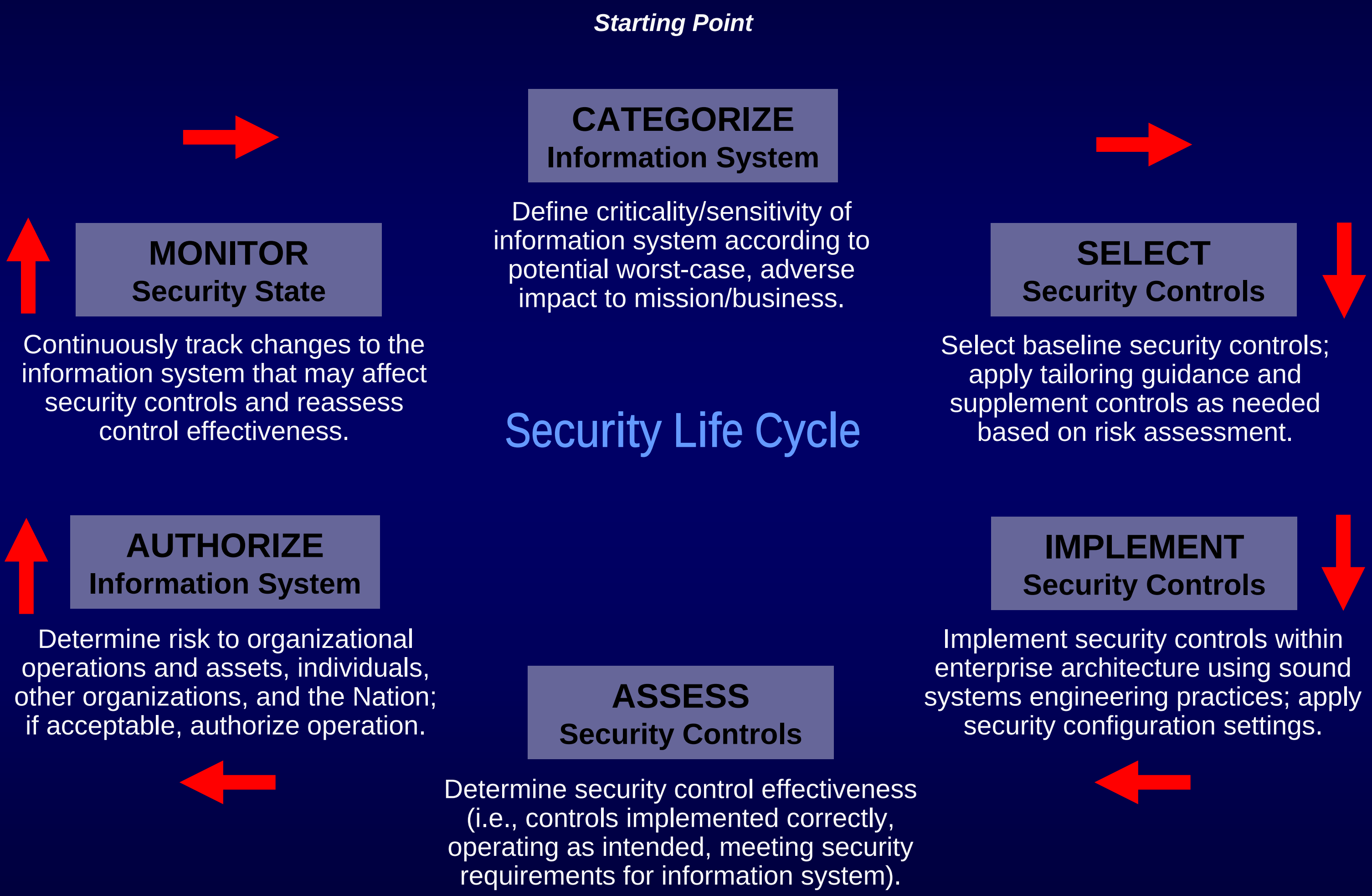
Computer Security Division

Information Technology Laboratory

Managing Enterprise Risk

- Key activities in managing enterprise-level risk—risk resulting from the operation of an information system:
  - ✓ **Categorize** the information system
  - ✓ **Select** set of minimum (baseline) security controls
  - ✓ **Refine** the security control set based on risk assessment
  - ✓ **Document** security controls in system security plan
  - ✓ **Implement** the security controls in the information system
  - ✓ **Assess** the security controls
  - ✓ **Determine** agency-level risk and risk acceptability
  - ✓ **Authorize** information system operation
  - ✓ **Monitor** security controls on a continuous basis

Risk Management Framework



Starting Point

CATEGORIZE
Information System

Define criticality/sensitivity of information system according to potential worst-case, adverse impact to mission/business.

SELECT
Security Controls

Select baseline security controls; apply tailoring guidance and supplement controls as needed based on risk assessment.

IMPLEMENT
Security Controls

Implement security controls within enterprise architecture using sound systems engineering practices; apply security configuration settings.

ASSESS
Security Controls

Determine security control effectiveness (i.e., controls implemented correctly, operating as intended, meeting security requirements for information system).

AUTHORIZE
Information System

Determine risk to organizational operations and assets, individuals, other organizations, and the Nation; if acceptable, authorize operation.

MONITOR
Security State

Continuously track changes to the information system that may affect security controls and reassess control effectiveness.

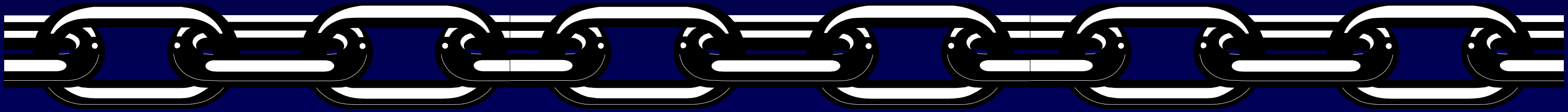
Security Life Cycle

Key Standards and Guidelines

- FIPS Publication 199 (Security Categorization)
- FIPS Publication 200 (Minimum Security Controls)
- NIST Special Publication 800-18 (Security Planning)
- NIST Special Publication 800-30 (Risk Assessment)
- NIST Special Publication 800-37 (System Risk Management Framework)
- NIST Special Publication 800-39 (Enterprise-Wide Risk Management)
- NIST Special Publication 800-53 (Recommended Security Controls)
- NIST Special Publication 800-53A (Security Control Assessment)
- NIST Special Publication 800-59 (National Security Systems)
- NIST Special Publication 800-60 (Security Category Mapping)

Many other FIPS and NIST Special Publications provide security standards and guidance supporting the FISMA legislation…

Information Security Program



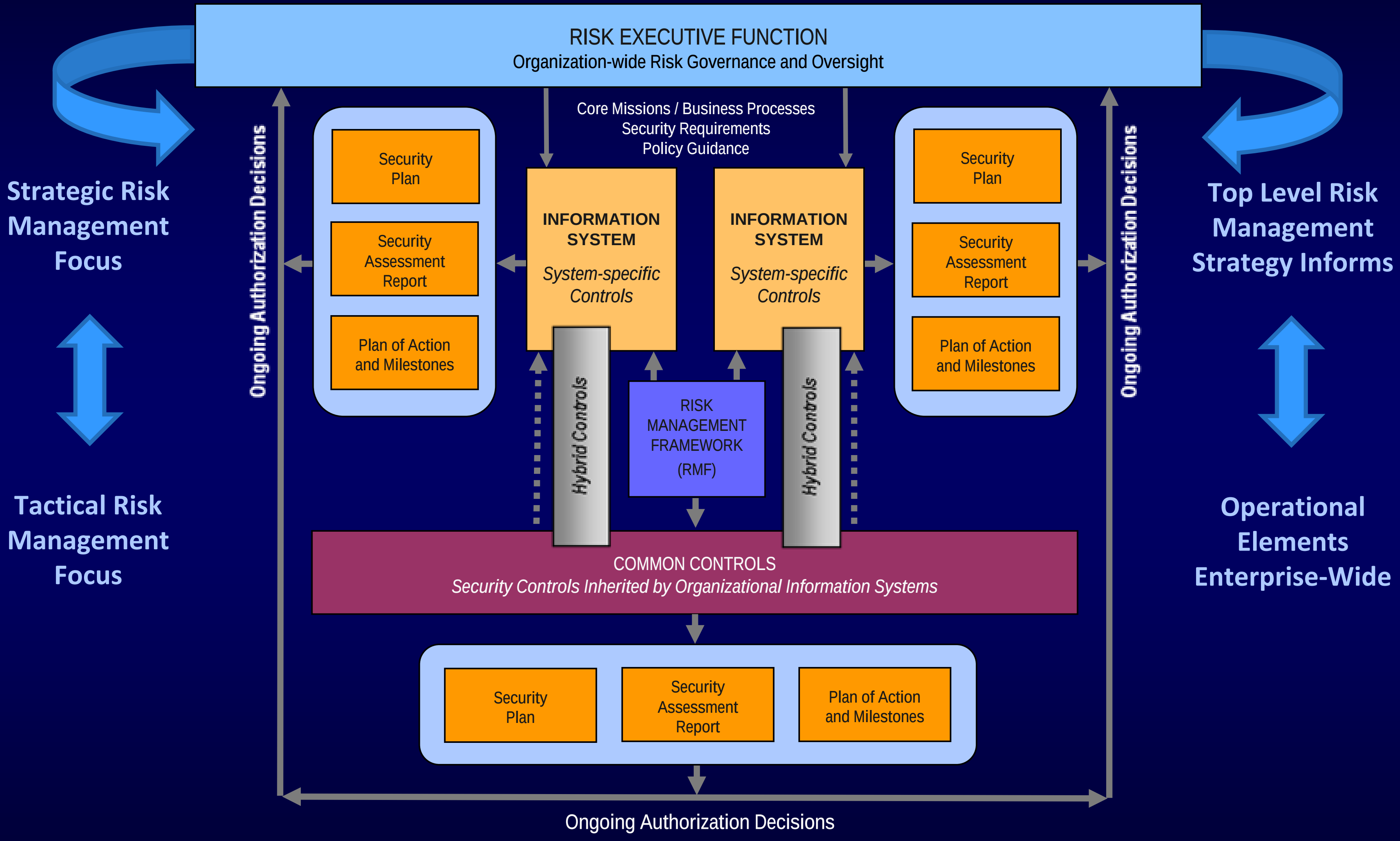
Links in the Security Chain: Management, Operational, and Technical Controls

- ✓ Risk assessment
- ✓ Security planning
- ✓ Security policies and procedures
- ✓ Contingency planning
- ✓ Incident response planning
- ✓ Security awareness and training
- ✓ Physical security
- ✓ Personnel security
- ✓ Certification, accreditation, and security assessments

- ✓ Access control mechanisms
- ✓ Identification & authentication mechanisms (Biometrics, tokens, passwords)
- ✓ Audit mechanisms
- ✓ Encryption mechanisms
- ✓ Firewalls and network security mechanisms
- ✓ Intrusion detection systems
- ✓ Security configuration settings
- ✓ Anti-viral software
- ✓ Smart cards

Adversaries attack the weakest link…where is yours?

Security Control Accountability



RISK EXECUTIVE FUNCTION

Organization-wide Risk Governance and Oversight

Strategic Risk Management Focus

Tactical Risk Management Focus

Top Level Risk Management Strategy Informs

Operational Elements Enterprise-Wide

Core Missions / Business Processes
Security Requirements
Policy Guidance

Ongoing Authorization Decisions

Security Plan

Security Assessment Report

Plan of Action and Milestones

INFORMATION SYSTEM

System-specific Controls

INFORMATION SYSTEM

System-specific Controls

Security Plan

Security Assessment Report

Plan of Action and Milestones

Ongoing Authorization Decisions

Hybrid Controls

RISK MANAGEMENT FRAMEWORK (RMF)

Hybrid Controls

COMMON CONTROLS

Security Controls Inherited by Organizational Information Systems

Security Plan

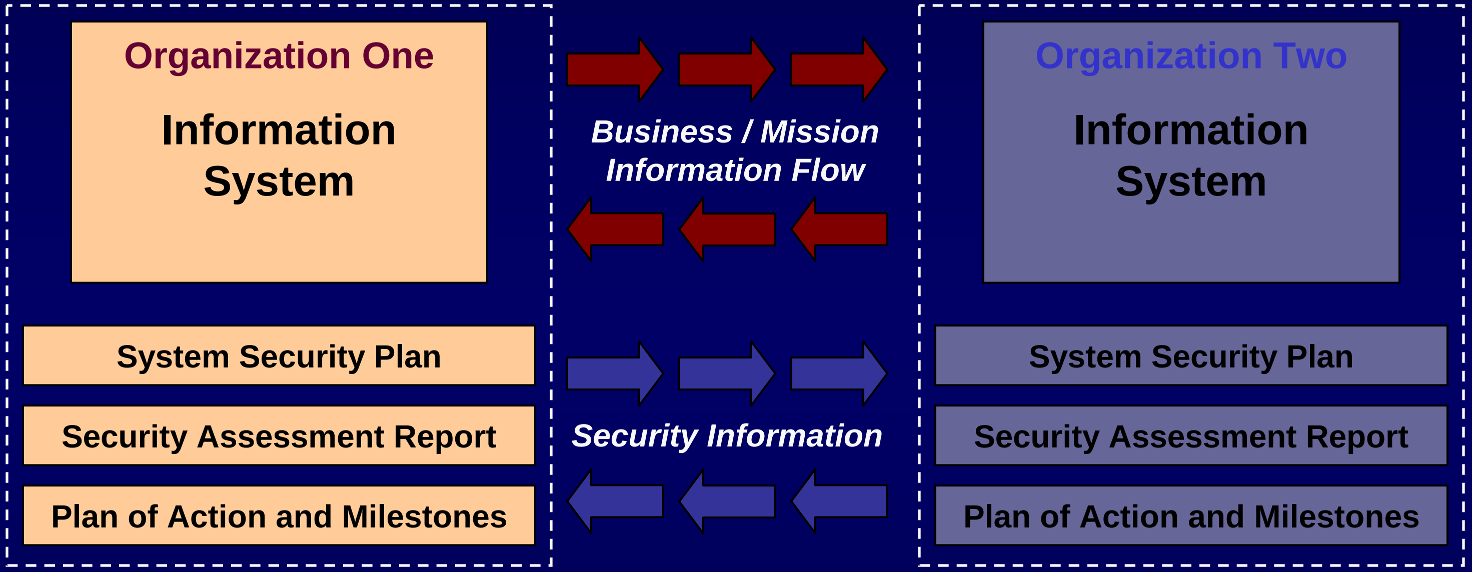
Security Assessment Report

Plan of Action and Milestones

Ongoing Authorization Decisions

The Desired End State

Security Visibility Among Business/Mission Partners



Organization One

Information System

System Security Plan

Security Assessment Report

Plan of Action and Milestones

Business / Mission Information Flow

Security Information

Organization Two

Information System

System Security Plan

Security Assessment Report

Plan of Action and Milestones

Determining the risk to the first organization's operations and assets and the acceptability of such risk

Determining the risk to the second organization's operations and assets and the acceptability of such risk

The objective is to achieve *visibility* into prospective business/mission partners information security programs BEFORE critical/sensitive communications begin…establishing levels of security due diligence.

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