(b)(3):50 USC § 3605

# (U) DoD FISMA Oversight and Compliance Reporting

**UNCLASSIFIED**

From Intellipedia

The **Federal Information Security Management Act** (FISMA) was passed by Congress and signed into law by the President as part of the E-Government Act of 2002 (Pub. L. No. 107-347). Its goals include development of a comprehensive framework to protect the government's information, operations, and assets. FISMA assigns specific responsibilities to Federal agencies, the National Institute of Standards and Technology (NIST) and the Office of Management and Budget (OMB) in order to strengthen information system security. In particular, FISMA requires the head of each agency to implement policies and procedures to cost-effectively reduce information technology security risks to an acceptable level.

To ensure the adequacy and effectiveness of information security controls, FISMA requires agency Privacy officials, Chief Information Officers, and Inspectors General to conduct annual reviews of the agency's information security program and report the results to OMB. OMB uses this data to assist in its oversight responsibilities and to prepare this annual report to Congress and the GAO on agency compliance with the Act.

Links are provided below to the DoD FISMA guidance documents and the most current annual FISMA report.

## Contents

## DoD FY14 Annual FISMA & Privacy Management Report

- FY14 Annual FISMA & Privacy Management Report (b)(3):50 USC § 3605

## DoD FY15 FISMA Reporting Timelines

| Date ⊠ | Reporting Milestones ⊠ |
|---|---|
| | There will be no **FY15 Q1** FISMA Survey in DCS. Components will not asked to report their FISMA data. |
| | There will be no **FY15 Q2** FISMA Survey in DCS. Components will not asked to report their FISMA data. |
| 4/24/2015 | **FY15 Q3 FISMA Survey OPEN in DCS. ** PENDING DoDCIO Leadership reporting decision **** |
| 6/16/2015 | DoD Deadline for **FY15 Q3** FISMA Reporting in DCS. ** PENDING DoDCIO **Leadership reporting decision **** |
| 6/26/2014 | **FY15 Annual** FISMA Survey OPEN in DCS. |
| 9/11/2014 | **Date TENTATIVE** DoD Deadline for FY15 Annual FISMA Reporting in DCS. |

# Current DoD FISMA Reporting Guidance

*Please add this page to your "watchlist." To take advantage of this feature, click on the "blue star" at the top of this page. You will automatically receive alerts when information on this page is changed or updated!*

As in prior reporting cycles, CC/S/As are to submit their FY15 Annual FISMA Report via DCS (DoD Cyberscope), the Department's platform for FISMA data collection and reporting.

FY15 ANNUAL REPORTING PROCESS:
1. The DoD CIO Memorandum Instructions for FY15 Annual FISMA Reporting are PENDING, expect signature in June.

2. Ensure your organization POCs are current. FISMA Communications are sent to those POCs listed at the bottom of this page. If updates are needed, send an updated POC form, also found at the bottom of this page, to osd.fisma@mail.mil.

3. Visit DCS at the following URL: https://emass-ers.csd.disa.mil/; ensure accounts for your organization are current and all those who are part of the FISMA reporting chain have an account and the appropriate roles. Confirm that organizational hierarchies are still valid and accurate and make any necessary changes to support your organization's reporting needs.

4. Review the FY15 Annual Reporting Survey within DCS; ensure to make note of the reporting instructions provided in the pop-up window. Note that all responses for the FY15 Annual Report are limited to the UNCLASSIFIED environment. Pay particular attention to the following guidelines:

- Utilize the Comments fields to explain any of the following: a) Increases/decreases in reporting of greater than 30% as compared to previous quarter; b) No change in a particular number reported the previous quarter; and c) "Perfect Scores" or 100% achievement - explain how this is accomplished at your Organization.
- For those questions in which a "frequency" is collected, totals are averaged. Ensure to review this calculation for accuracy as non-reporting sub-components' non-entry will be counted as "0" which may significantly alter calculated averages.

- The DCS Tool will be open for FY15 Annual FISMA Component entry on June 26, 2015.

5. Visit the DoD FISMA Wiki (b)(3):50 USC § 3507
(b)(3):50 USC § 3605
often; any updates will be posted here throughout the reporting period. It is recommended that you utilize the "watch page" feature of Intellipedia to ensure you are notified when changes occur. Please refer to the "Resources" section below to assist you with FY15 Annual reporting (Also available on DCS "Help" Page).

6. Attend an FAQ Session to confirm your understanding of the FY15 Annual Reporting Survey questions and to ask any questions. If you cannot attend a session, ensure to read the FAQ document which will be published following the FAQ Sessions. For more information, see FAQ Session details further below.

7. Complete your Organization's FY15 Annual Report within DCS, REVIEW the survey to ensure there are no Validation Errors and ensure the CC/S/A CIO or equivalent agrees with the submission.

8. SUBMIT your Organization's FY15 Annual Report via DCS and await confirmation of acceptance from the DoD FISMA Team. It is essential that a FISMA POC with appropriate rights in DCS be available during the timeline indicated below to facilitate official survey acceptance.

TIMELINE:

| 6/26/2015 | DCS FY15 Annual FISMA Survey open for CC/S/A/FA entry |
| TDB | FAQ Sessions for FY15 Annual FISMA Reporting - 1000 EDT and 1300 EDT |
| 9/11/2015 | TENTATIVE - CC/S/A/FA FY15 Annual FISMA Reports DUE through DCS (Survey will be locked) |
| 9/14/2015 -- 9/18/2015 | CC/S/A/FA FISMA POC (or appropriate back-up POC with the same user rights in DCS) should be available to process rejected FY15 Annual FISMA Survey submissions until Component survey has been accepted. |
| 11/15/2015 | Date DoD FY15 Annual FISMA Report due to OMB |

FAQ SESSIONS:
Two FAQ Sessions will be held for the FY15 Annual Reporting cycle and will be held via DCO. Please see pertinent details below:

DATE: TDB
TIME: 1000 EDT and again at 1300 EDT
DCO URL (presentation/slides only): https://connectcol.dco.dod.mil/fismafaq/
CONFERENCE LINE (for audio): Toll: 215.861.6239 | Toll-free: 888.426.6840 / Passcode: 77887919#

FY15 FISMA IPT Workshop:
The FY15 FISMA IPT Workshop will be held this year on June 5, 2015. Slides and audio recording from the session will be provided afterwards.
Preparatory FY15 FISMA IPT Workshop Resources will be provided as they become available.

# DoD Workforce Improvement Program (WIP) Resources

- FY14 Annual WIP Supplement (b)(3):50 USC § 3605

# DoD Resources

Frequently Asked Questions (FAQs):
New FAQs will be developed after each FAQ Session. Earlier FAQ documents are retained here for reference, but keep in mind that answers may have evolved in more current Guidance. See the "Current DoD FISMA Reporting Guidance" section above for details on the next FAQ Session.

- FY14 Annual FAQs (b)(3):50 USC § 3605
- FY14 Annual FAQ Brief (b)(3):50 USC § 3605
- FY14 Q2 FAQs (b)(3):50 USC § 3605
- FY14 Q2 FAQ Brief (b)(3):50 USC § 3605
- FY13 Annual FAQs (b)(3):50 USC § 3605
- FY13 Annual FAQ Brief (b)(3):50 USC § 3605
- FY13 Q3 FAQs (b)(3):50 USC § 3605
- FY13 Q3 FAQ Brief (b)(3):50 USC § 3605
- FY13 Q2 FAQs (b)(3):50 USC § 3605
- FY11 Annual FAQ Brief 2 (b)(3):50 USC § 3605
- FY11 Annual FAQ Brief 1 (b)(3):50 USC § 3605

DCS Resources:
DoD's platform for FISMA reporting is **DCS**.
To access DCS, navigate to the following URL: https://emass-ers.csd.disa.mil/

User friendly guides to assist you in using DCS may be found below:

- DCS - User Guide (b)(3):50 USC § 3605
- DCS - Job Aid - User Registration Guide (b)(3):50 USC § 3605
- DCS - Job Aid - User Roles (b)(3):50 USC § 3605
- DCS - Job Aid - Overview of FISMA and DCS (b)(3):50 USC § 3605
- DCS - FAQ (b)(3):50 USC § 3605

Please be mindful of the following procedures for troubleshooting DCS issues:

| | |
|---|---|
| TIER 1 | Component Administrators & POCs are expected to handle all inquiries under their purview (e.g., user onboarding, account/role management, etc.) |
| TIER 2 | The DoD FISMA Team will assist with other DCS-related questions that Component POCs are unable to resolve. DCS-specific inquiries may be sent to osd.dcs@mail.mil; the mailbox will be monitored at least weekly for this purpose. |
| TIER 3 | The DCS Team will continue to handle technical issues, errors, and other escalated requests from the DoD FISMA Team. |

# Additional and External Resources

- OMB Memorandum M-15-01, Fiscal Year 2014-2015 Guidance on Improving Federal Information Security and Privacy Management Practices (October 3, 2014) (http://www.whitehouse.gov/sites /default/files/omb/memoranda/2015/m-15-01.pdf)
- OMB Memorandum M-14-04, FY 2013 Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management (November 18, 2013) (http://www.whitehouse.gov/sites/default/files/omb/memoranda/2014/m-14-04.pdf)
- OMB Memorandum M-12-20, FY 2012 Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management (October 2, 2012) (http://www.whitehouse.gov /sites/default/files/omb/memoranda/2012/m-12-20.pdf)
- OMB Memorandum M-11-33, FY 2011 Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management (September 14, 2011) (http://www.whitehouse.gov/sites/default/files/omb/memoranda/2011/m11-33.pdf)
- The National Institute of Standards and Technology (http://www.nist.gov/)
- NIST Computer Security Division (http://csrc.nist.gov/)
- Office of Management and Budget (http://www.whitehouse.gov/omb/)

## DoD FISMA Reports & Guidance from Previous Years

DoD FY14 Annual FISMA Guidance Memorandum (b)(3):50 USC § 3605

DoD FY13 DoD FISMA & Privacy Management Report (b)(3):50 USC § 3605

DoD FY13 Annual FISMA Guidance Memorandum (b)(3):50 USC § 3605

DoD FY12 DoD FISMA & Privacy Management Report (b)(3):50 USC § 3605

DoD FY12 Annual FISMA Guidance Memorandum (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

DoD FY11 FISMA & Privacy Management Report (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

DoD FY11 Annual FISMA Guidance (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

DoD FY10 FISMA & Privacy Management Report (b)(3):50 USC § 3605
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DoD FY10 Annual FISMA Guidance Memorandum (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

DoD FY10 Annual FISMA Template and CIO Cover Letter (b)(3):50 USC § 3605

(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

**DoD FY09 FISMA & Privacy Management Report** (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

**DoD FY09 Annual FISMA Guidance UPDATE** (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

**DoD FY08 Annual FISMA Guidance** (b)(3):50 USC § 3605
(b)(3):50 USC § 3605
(b)(3):50 USC § 3605

# OMB Annual FISMA Reports to Congress

FY13 OMB Report to Congress on the Implementation of FISMA (b)(3):50 USC § 3605
FY12 OMB Report to Congress on the Implementation of FISMA
FY11 OMB Report to Congress on the Implementation of FISMA
FY10 OMB Report to Congress on the Implementation of FISMA
FY09 OMB Report to Congress on the Implementation of FISMA
FY08 OMB Report to Congress on the Implementation of FISMA
FY07 OMB Report to Congress on the Implementation of FISMA
FY06 OMB Report to Congress on the Implementation of FISMA
FY05 OMB Report to Congress on the Implementation of FISMA
FY04 OMB Report to Congress on the Implementation of FISMA
FY03 OMB Report to Congress on FISMA (b)(3):50 USC § 3605

# DoD FISMA Points of Contact

Please call commercial 001-703-601-6126; or 001-703-699-3443
The DoD FISMA team can also be reached by email at osd.fisma@mail.mil.

Have there been changes in your IA Leadership or FISMA Workforce? You may send an updated POC Form at anytime to osd.fisma@mail.mil.
FISMA communications are sent to only those POCs listed in these POC Update Forms.
FISMA POC Update Form (b)(3):50 USC § 3605
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**Component FISMA POCs (sortable table)**

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| CC/S/A | Role | Name | Email |
|---|---|---|---|
| ARMY | SISO | (b)(6) | |
| ARMY | Deputy SISO | | |
| ARMY | FISMA Lead/POC | | |
| ARMY | FISMA ALT/POC | | |
| DARPA | SISO | | |
| DARPA | Deputy SISO | | |
| DARPA | FISMA Lead/POC | | |
| DARPA | Backup FISMA Lead/POC | | |
| DAU | CIO | | |
| DAU | SISO | | |
| DAU | IAO | | |
| DAU | FISMA Lead/POC | | |
| DCAA | SISO | | |
| DCAA | IAM/FISMA Lead/POC | | |
| DCMA | SISO | | |
| DCMA | FISMA Lead/POC | | |
| DeCA | SISO | | |
| DeCA | FISMA Lead/POC | | |
| DeCA | FISMA Alternate/POC | | |
| DFAS | Dep CIO | | |
| DFAS | SISO | | |
| DFAS | IAPM/FISMA Lead/POC | | |
| DFAS | FISMA Alternate | | |
| DFAS | FISMA Alternate | | |
| DFAS | FISMA Alternate | | |
| DHA | SISO | | |
| DHA | FISMA Lead/POC | | |

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| | |
|---|---|
| DHA | FISMA POC |
| DHA | SrAnalyst |
| DHA | SME/SrAnalyst |
| DHA | SME/SrAnalyst |
| DHRA | SISO |
| DHRA | Deputy SISO |
| DHRA | FISMA Lead/POC |
| DHRA | FISMA Lead/POC |
| DISA | SISO/IA Chief |
| DISA | Cyber Assessment Chief |
| DISA | FISMA POC |
| DISA | FISMA POC |
| DLA | SISO |
| DLA | Deputy SISO |
| DLA | FISMA Lead/POC |
| DLA | FISMA Lead/POC |
| DMA | SIAO |
| DMA | IA/FISMA Lead/POC |
| DMA | OPS-SNCOIC (FISMA POC) |
| DoDIG | SISO |
| DoDIG | Deputy SISO |
| DoDIG | IAO |
| DoDIG | FISMA Lead/POC |
| DODEA | SISO |
| DODEA | Deputy SISO |
| DODEA | FISMA Lead/POC |
| DON (Dept of the Navy) | SISO |
| DON (Dept of the Navy) | FISMA Lead/POC |

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|---|---|
| DON (Dept of the Navy) | FISMA Backup |
| DON (Dept of the Navy) | FISMA Backup |
| DSCA | SISO |
| DSCA | Deputy SISO |
| DSCA | FISMA Lead/POC |
| DSS | SISO |
| DSS | ISSM |
| DSS | FISMA Lead/POC |
| DTIC | CIO |
| DTIC | FISMA Lead/POC |
| DTRA | SISO |
| DTRA | Deputy SISO |
| DTRA | FISMA Lead/POC |
| DTRA | FISMA SME |
| DTSA | SISO |
| DTSA | Deputy SISO |
| DTSA | FISMA Lead/POC |
| Joint Staff/CCMDs | FISMA POC |
| Joint Staff/CCMDs | FISMA POC |
| Joint Staff J6 (Internal) | SISO |
| Joint Staff J6 (Internal) | FISMA Lead/POC |
| MDA | SISO |
| MDA | Deputy SISO |
| MDA | FISMA Lead/POC |
| Navy | IA Policy, FISMA |
| NDU | SISO/Deputy CIO |
| NDU | IAM |
| NGB | SISO/FISMA Lead |

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|---|---|---|
| NGB | Deputy SISO/FISMA Alternate | |
| NDU | FISMA Lead/POC | |
| OSD | SISO | |
| OSD | Deputy SISO | |
| OSD | FISMA Lead/POC | |
| OSD | Alt FISMA POC | |
| USAF | SISO | |
| USAF | FISMA Lead/POC | |
| USAF | FISMA Alternate | |
| USUHS | CIO | |
| USUHS | IAM | |
| USUHS | FISMA Lead/POC | |
| USMC | SISO | |
| USMC | FISMA Lead | |
| USMC | FISMA | |

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