

SWOG Statistics and Data Management Center
Supported at Cancer Research And Biostatistics



2020-2021
FISMA 2002*



Compliance Assessment

**Federal Information Security Modernization Act of 2002*
Reviewed March 31, 2020

Covering Security for Systems within the
Scope of FISMA 2002 Requirements

Statement of Certification and Accreditation

The undersigned certify that to their knowledge that SWOG Statistics and Data Management Center (SDMC) information systems and constituent system-level components located at CRAB and within the purview of FISMA 2002 and the NIST Risk Management Framework, including the Rave[®] Electronic Data Capture (EDC) system hosted at Medidata, meet compliance requirements. Based on security certifications of systems and supporting evidence provided in the associated security accreditation package (including current system security plan, security assessment report, and plan of action and milestones), the undersigned have determined that risk to information provided by public and private agencies is acceptable. This is formal declaration that security controls have been implemented in the information system and that security meets or surpasses levels of acceptable risk. A summary of recommendations for implementation of additional security controls is attached.

This certification and accreditation of the information system will remain in effect through the next annual renewal period, 1st quarter of 2022, as long as any potential vulnerability reported during continuous monitoring processes do not result in unacceptable risk.

Lisa Upshaw , Director of Quality Compliance	DocuSigned by: Lisa Upshaw Signer Name: Lisa Upshaw Signing Reason: I approve this document Signing Time: 10 April 2020 9:44:43 AM PDT 452DEF8D0C954257B90DD3445D962AC9
Curt Malloy , Vice President, Chief Operations Officer	DocuSigned by: <i>Curt Malloy</i> Signer Name: Curt Malloy Signing Reason: I approve this document Signing Time: 09 April 2020 9:51:38 AM PDT 46BFFF29F6C04E87A27F5519396D7D61
Keith Goodman , Vice President, Chief Technology Officer	DocuSigned by: <i>Keith Goodman</i> Signer Name: Keith Goodman Signing Reason: I approve this document Signing Time: 09 April 2020 5:31:09 AM PDT 2E21E07796C94CFCB558751D9B657B19



March 31, 2020

The complete 2020-21 FISMA Compliance Assessment is available to SWOG member institutions upon request.



Certification based upon NIST Risk Management Framework, including in part:

Special Publications: 800-60, Rev. 1 (Aug. 2008) Guide for Mapping Security Controls; **800-53 Rev. 4 (April 2013) & 800-53A Rev. 4 (Dec 2014)** Security Controls

FIPS Publications: 140-2 (Dec 2002) Security Requirements for Cryptographic Modules); **199 (Feb. 2004) & 200 (March 2006)** Security Categorization & Requirements

Other NIST Publications and Security Analysis Tools

SUMMARY OF RECOMMENDATIONS

1. Media Use (MP-7): SDMC staff agree to policies and procedures that limit the use of portable media and mobile devices. An acceptable use agreement is under revision with an increased emphasis on media protection. This agreement will be completed prior to the next compliance assessment.
2. Information Security Architecture (PL-8): Current SOPs cover internal systems. We provide due diligence in review of external systems which are evaluated using the same criteria as internal systems. External systems used with federal data are reviewed by the NCI for security compliance. The SWOG SDMC reviews compliance reports for external systems as they are made available.