

ATTACHMENT 15: Recommended Security Controls for Federal Information Systems and Organizations

Recommended Security Controls for Federal Information Systems and Organizations

JOINT TASK FORCE

TRANSFORMATION INITIATIVE

INFORMATION SECURITY

Computer Security Division

Information Technology Laboratory

National Institute of Standards and Technology

Gaithersburg, MD 20899-8930

August 2009

INCLUDES UPDATES AS OF 09-14-2009 (ERRATA PAGE XI)

U.S. Department of Commerce

Gary Locke, Secretary

National Institute of Standards and Technology

Patrick D. Gallagher, Deputy Director

Special Publication 800-53 Recommended Security Controls for Federal Information Systems and Organizations

PAGE ii

Reports on Computer Systems Technology

The Information Technology Laboratory (ITL) at the National Institute of Standards and Technology (NIST) promotes the U.S. economy and public welfare by providing technical leadership for the nation's measurement and standards infrastructure. ITL develops tests, test methods, reference data, proof of concept implementations, and technical analyses to advance the development and productive use of information technology. ITL's responsibilities include the development of management, administrative, technical, and physical standards and guidelines for the cost-effective security and privacy of other than national security-related information in federal information systems. The Special Publication 800-series reports on ITL's research, guidelines, and outreach efforts in information system security, and its collaborative activities with industry, government, and academic organizations.

Special Publication 800-53 Recommended Security Controls for Federal Information Systems and Organizations

PAGE iii

Authority

This publication has been developed by NIST to further its statutory responsibilities under the Federal Information Security Management Act (FISMA), Public Law (P.L.) 107-347. NIST is responsible for developing information security standards and guidelines, including minimum requirements for federal information systems, but such standards and guidelines shall not apply to national security systems without the express approval of appropriate federal officials exercising policy authority over such systems. This guideline is consistent with the requirements of the Office of Management and Budget (OMB) Circular A-130, Section 8b(3), Securing Agency Information Systems, as analyzed in Circular A-130, Appendix IV: Analysis of Key Sections. Supplemental information is provided in Circular A-130, Appendix III.

Nothing in this publication should be taken to contradict the standards and guidelines made mandatory and binding on federal agencies by the Secretary of Commerce under statutory authority. Nor should these guidelines be interpreted as altering or superseding the existing authorities of the Secretary of Commerce, Director of the OMB, or any other federal official. This publication may be used by nongovernmental organizations on a voluntary basis and is not subject to copyright in the United States. Attribution would, however, be appreciated by NIST. NIST Special Publication 800-53, Revision 3, 237 pages

(August 2009)

Comments on this publication may be submitted to:

National Institute of Standards and Technology
Attn: Computer Security Division, Information Technology Laboratory
100 Bureau Drive (Mail Stop 8930) Gaithersburg, MD 20899-8930
Electronic mail: sec-cert@nist.gov

Certain commercial entities, equipment, or materials may be identified in this document in order to describe an experimental procedure or concept adequately. Such identification is not intended to imply recommendation or endorsement by NIST, nor is it intended to imply that the entities, materials, or equipment are necessarily the best available for the purpose.

There may be references in this publication to other publications currently under development by NIST in accordance with its assigned statutory responsibilities. The information in this publication, including concepts and methodologies, may be used by federal agencies even before the completion of such companion publications. Thus, until each publication is completed, current requirements, guidelines, and procedures, where they exist, remain operative. For planning and transition purposes, federal agencies may wish to closely follow the development of these new publications by NIST.

Organizations are encouraged to review all draft publications during public comment periods and provide feedback to NIST. All NIST publications, other than the ones noted above, are available at <http://csrc.nist.gov/publications>.

Special Publication 800-53 Recommended Security Controls for Federal Information Systems and Organizations

PAGE iv

Compliance with NIST Standards and Guidelines

In accordance with the provisions of FISMA,¹ the Secretary of Commerce shall, on the basis of standards and guidelines developed by NIST, prescribe standards and guidelines pertaining to federal information systems. The Secretary shall make standards compulsory and binding to the extent determined necessary by the Secretary to improve the efficiency of operation or security of federal information systems. Standards prescribed shall include information security standards that provide minimum information security requirements and are otherwise necessary to improve the security of federal information and information systems.

- Federal Information Processing Standards (FIPS) are approved by the Secretary of Commerce and issued by NIST in accordance with FISMA. FIPS are compulsory and binding for federal agencies.² FISMA requires that federal agencies comply with these standards, and therefore, agencies may not waive their use.
- Special Publications (SPs) are developed and issued by NIST as recommendations and guidance documents. For other than national security programs and systems, federal

agencies must follow those NIST Special Publications mandated in a Federal Information Processing Standard. FIPS 200 mandates the use of Special Publication 800-53, as amended. In addition, OMB policies (including OMB Reporting Instructions for FISMA and Agency Privacy Management), state that for other than national security programs and systems, federal agencies must follow certain specific NIST Special Publications.³

- Other security-related publications, including interagency reports (NISTIRs) and ITL Bulletins, provide technical and other information about NIST's activities. These publications are mandatory only when specified by OMB.
- Compliance schedules for NIST security standards and guidelines are established by OMB.