

# **U.S. ELECTION ASSISTANCE COMMISSION OFFICE OF INSPECTOR GENERAL**



## **FINAL REPORT:**

**U.S. ELECTION ASSISTANCE COMMISSION**

**EVALUATION OF COMPLIANCE WITH THE REQUIREMENTS OF  
THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT**

**FISCAL YEAR 2013**

**No. I-PA-EAC-02-13  
SEPTEMBER 2013**



**U.S. ELECTION ASSISTANCE COMMISSION**  
**OFFICE OF INSPECTOR GENERAL**  
**1201 New York Ave. NW - Suite 300**  
**Washington, DC 20005**

Memorandum

September 19, 2013

To: Alice Miller  
Acting Executive Director

From: Curtis W. Crider *Curtis W. Crider*  
Inspector General

Subject: Final Report –U.S. Election Assistance Commission’s Compliance with the Requirements of the Federal Information Security Management Act (Assignment No. I-PA-EAC-02-13)

In accordance with the Federal Information Security Management Act (FISMA), the Office of Inspector General (OIG) engaged Leon Snead & Co. P.C., an independent certified public accounting firm, to conduct an audit of the U.S. Election Assistance Commission’s (EAC) compliance with the OMB Circular A-130 and FISMA requirements. The audit included assessing the EAC’s effort to develop, document, and implement an agency-wide program to provide information security for the information and information systems that support the operations and assets of the EAC.

Leon Snead & Co. found that the EAC was in substantial compliance with FISMA requirements. The EAC had developed an agency-wide IT security program based upon assessed risk, and the security program provided reasonable assurance that the agency's information and information systems were appropriately protected.

The legislation creating the Office of Inspector General requires that we report to Congress semiannually on all audit reports issued, actions taken to implement our recommendations, and recommendations that have not been implemented.

If you have any questions regarding this report, please call me at (202) 566-3125.

---

# **U.S. Election Assistance Commission**

Compliance with the Requirements of  
the Federal Information Security Management Act

Fiscal Year 2013

---

**Submitted By**

**Leon Snead & Company, P.C.**  
*Certified Public Accountants & Management Consultants*



**LEON SNEAD  
& COMPANY, P.C.**

Certified Public Accountants  
& Management Consultants

416 Hungerford Drive, Suite 400  
Rockville, Maryland 20850  
301-738-8190  
fax: 301-738-8210  
leonsnead.companypc@erols.com

September 13, 2013

Mr. Curtis W. Crider  
Inspector General  
U.S. Election Assistance Commission  
1440 New York Ave, N.W., Suite 150  
Washington, DC 20005

Dear Mr. Crider:

Enclosed is the final U. S. Election Assistance Commission's (EAC) audit report, *Compliance with the Requirements of the Federal Information Security Management Act, (FISMA)* for fiscal year 2013. The report shows that EAC was in substantial compliance with FISMA requirements.

We appreciate the courtesies and cooperation provided by EAC during the audit.

Sincerely,

  
Leon Snead  
Partner

# TABLE OF CONTENTS

---

	<u>Page</u>
Introduction.....	1
Objective, Scope and Methodology.....	1
Summary of Audit.....	2
Appendix 1 – Status of Prior Year Findings.....	3
Appendix 2 – Agency Response to Draft Report.....	4

## Introduction

Leon Snead & Company, P.C. has completed an audit of EAC's Information Technology (IT) security program for fiscal year 2013. Title III of the E-Government Act, entitled the *Federal Information Security Management Act (FISMA)* requires each Federal agency to develop, document, and implement an agency-wide program to provide security for information and information systems that support the operations and assets of the agency, including those systems managed by another agency or contractor. FISMA, along with the *Paperwork Reduction Act of 1995* and the *Information Technology Management Reform Act of 1996*, emphasize a risk-based policy for cost-effective security. In support of and reinforcing this legislation, the Office of Management and Budget (OMB) through Circular A-130, *Management of Federal Information Resources*, Appendix III, *Security of Federal Automated Information Resources*, requires executive agencies within the Federal government to:

- Plan for security;
- Ensure that appropriate officials are assigned security responsibility;
- Periodically review the security controls in their information systems; and
- Authorize system processing prior to operations and, periodically, thereafter.

The EAC is an independent, bipartisan agency created by the Help America Vote Act (HAVA) to assist in the effective administration of Federal elections. In October 2002, Congress passed HAVA to invest in election infrastructure and set forth a comprehensive program of funding, guidance, and ongoing research. To foster those programs and to promote and enhance voting for United States Citizens, HAVA established the EAC. EAC'S mission is to assist in the effective administration of Federal elections. The agency is charged with developing guidance to meet HAVA requirements, adopting voluntary voting systems guidelines, and serving as a national clearinghouse of information about election administration. EAC also accredits testing laboratories and certifies voting systems and audits the use of HAVA funds.

## Objective, Scope and Methodology

The objective of our audit was to assess whether the EAC had developed, documented, and implemented an agency-wide information security program, as required by OMB Circular A-130 and FISMA. To accomplish this objective, we selected a sample of controls contained in NIST SP 800-53 (rev 3), *Recommended Security Controls for Federal Information Systems and Organizations*, for a moderate risk system, and:

- Reviewed IT security program policies and procedures issued by the agency;
- Performed tests on the agency's general support system to determine whether the agency had implemented required management, operational and technical controls;
- Met with EAC officials, observed IT security operations, and performed various tests of IT controls implemented by the agency;
- Performed independent vulnerability scans of the agency's internal network; and
- Reviewed the continuous monitoring program established by the agency.

We conducted this audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. Other criteria used in the audit included the National Institute of Standards and Technology (NIST) guidance, and OMB Memoranda. The audit was performed during the period May through August 2013.

### **Summary of Audit**

Based upon our audit tests as described above, overall, we concluded that EAC was in substantial compliance with FISMA requirements. We determined that EAC had developed an agency-wide IT security program based upon assessed risk, and the security program provided reasonable assurance that the agency's information and information systems are appropriately protected.

We have included the agency's comments to the draft report as Appendix 2.

*Leon Snead & Company, P.C.*  
Leon Snead & Company, P.C.  
August 23, 2013

**Status of Prior Year Findings and Recommendations**

<b>Prior Year Finding</b>	<b>Status</b>
<p>Vulnerability scans that we performed during the audit of EAC’s general support system identified several critical and high risk vulnerabilities that had not been remediated. We attributed this issue to the need for improved monitoring and coordination of patch management efforts. As a result, some vulnerabilities remained within the system even though there were “patches” and other actions available to fix the security issues.</p>	<p>Actions taken by EAC addressed this issue. Closed.</p>






US Election Assistance Commission  
1201 New York Ave. NW – Suite 300  
Washington, DC 20005

MEMORANDUM

TO: Curtis Crider  
Inspector General

FROM: Alice P. Miller   
COO and Acting Executive Director

SUBJECT: Management response to Draft Audit Report – U.S. Election Assistance Commission  
Audit of Compliance with the Requirements of the Federal Information Security  
Management Act (FISMA) Fiscal year 2013 (Assignment No.1—PA-EAC-02-13)

DATE: September 12, 2013

After reviewing the draft audit report and summary of the audit results of the FISMA Audit, management agrees with the audit result submitted by the auditors.

As the audit report indicates, management took the necessary actions to address the findings that were found in the previous year audit report and EAC is now substantially in compliance with the FISMA requirements.

We thank you and the auditors for courtesies and assistance that were extended to EAC during the audit process.

If you have any questions regarding this response, please do not hesitate to contact me at (202) 566-3110.

cc: Mohammed Maeruf, CIO  
Annette Lafferty, CFO

---

## **OIG's Mission**

The OIG audit mission is to provide timely, high-quality professional products and services that are useful to OIG's clients. OIG seeks to provide value through its work, which is designed to enhance the economy, efficiency, and effectiveness in EAC operations so they work better and cost less in the context of today's declining resources. OIG also seeks to detect and prevent fraud, waste, abuse, and mismanagement in these programs and operations. Products and services include traditional financial and performance audits, contract and grant audits, information systems audits, and evaluations.

---

## **Obtaining Copies of OIG Reports**

Copies of OIG reports can be requested by e-mail.  
([eacoig@eac.gov](mailto:eacoig@eac.gov)).

Mail orders should be sent to:

U.S. Election Assistance Commission  
Office of Inspector General  
1201 New York Ave. NW - Suite 300  
Washington, DC 20005

To order by phone: Voice: (202) 566-3100  
Fax: (202) 566-0957

---

## **To Report Fraud, Waste and Abuse Involving the U.S. Election Assistance Commission or Help America Vote Act Funds**

By Mail: U.S. Election Assistance Commission  
Office of Inspector General  
1201 New York Ave. NW - Suite 300  
Washington, DC 20005

E-mail: [eacoig@eac.gov](mailto:eacoig@eac.gov)

OIG Hotline: 866-552-0004 (toll free)

FAX: 202-566-0957

---

