In Brief

Background
Each year, the Department of Homeland Security and the Office of Management and Budget publish metrics to assist Inspectors General in their assessments of information security programs.

The metrics rank the maturity level of five functions (Identify, Protect, Detect, Respond, and Recover) on a scale of 1 to 5. As an entity’s information security program progresses in maturity, it moves from an informal ad hoc state (Level 1) to formally documented policies and procedures (Level 2) that are consistently implemented (Level 3), managed through quantitative or qualitative measurement (Level 4), and finally optimized based on mission needs (Level 5). When an entity achieves Level 4 in at least three of the five cybersecurity functions, its information security program is considered effective overall.

What OIG Did
The Office of the Inspector General contracted with Castro & Company, LLC, (Castro) to evaluate the effectiveness of the Smithsonian’s information security program in fiscal year 2023.

What Was Found
Effective Information Security Program. For fiscal year 2023, Castro found that the Smithsonian Institution’s (Smithsonian) information security program was effective overall, because it was operating at a managed and measurable level (Level 4) in four of the five cybersecurity functions (Protect, Detect, Respond, and Recover) and at consistently implemented (Level 3) for the fifth function, Identify, which includes risk management and supply chain risk management.

Castro noted that Smithsonian continues to make improvements to the information security program. For example, Smithsonian

Areas for Improvement. Castro also noted areas where the information security program can be further improved. Smithsonian

Castro also found that although Smithsonian

What Was Recommended
Castro made three recommendations

Management concurred with all three recommendations.

For a copy of the full report, visit http://www.si.edu/oig.
Date: February 12, 2024

To: Lonnie Bunch, Secretary

Cc: Merië Park, Deputy Secretary and Chief Operating Officer
    Ron Cortez, Under Secretary for Administration
    Rick Flansburg, Deputy Under Secretary for Administration
    Deron Burba, Chief Information Officer
    Carol LeBlanc, President, Smithsonian Enterprises (SE)
    Grace Clark, Chief Information Officer, SE
    Juliette Sheppard, Director, Information Technology Security, Office of the Chief
    Information Officer (OCIO)
    Huyen Tran, Director, Office of System Modernization, OCIO
    Carmen Larracoechea, Chief Technology Officer, OCIO
    Danee Gaines Adams, Chief Privacy Officer, OCIO
    Suzanne Paletti, Controller, SE
    Curtis Lutz, Director Human Resource and Administration System Division, OCIO
    Catherine Chatfield, Enterprise Risk Program Manager

From: Joan Mockeridge, Acting Inspector General

Subject: Fiscal Year 2023 Independent Evaluation of the Smithsonian Institution’s Information Security Program (OI3-A-24-03)

This memorandum transmits the final audit report of Castro & Company, LLC (Castro) on the fiscal year 2023 evaluation of the Smithsonian Institution’s (Smithsonian) information security program.

Under a contract monitored by this office, the Office of the Inspector General engaged Castro, an independent public accounting firm, to perform the audit. For fiscal year 2023, Castro found that the Smithsonian’s information security program was operating effectively as defined by the Department of Homeland Security. Castro made three recommendations for Smithsonian management to enhance information security at Smithsonian. Management concurred with all three recommendations.

Castro is responsible for the attached report and the conclusions expressed in the report. We reviewed Castro’s report and related documentation and interviewed their representatives. Our review disclosed no instances in which Castro did not comply, in all material respects, with the U.S. Government Accountability Office’s Government Auditing Standards.

We appreciate the courtesy and cooperation of all Smithsonian management and staff during this audit. If you have any questions, please contact me or Celita McGinnis, Supervisory Auditor.
Smithsonian Institution Office of the Inspector General
Report on the Smithsonian Institution’s
Information Security Program

Fiscal Year 2023
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Ms. Joan Mockeridge  
Acting Inspector General  
Office of the Inspector General  
Smithsonian Institution  
600 Maryland Ave, Suite 695E  
Washington, DC 20024

Dear Ms. Mockeridge:

We are pleased to provide our report outlining the result of the performance audit conducted to evaluate the effectiveness of the Smithsonian Institution’s (Smithsonian) information security program and practices in accordance with the Federal Information Security Modernization Act of 2014 (FISMA) for the fiscal year ending September 30, 2023.

FISMA requires each executive branch agency Inspector General, or an independent external auditor, to conduct an annual evaluation of their agency's information security program and practices, and to report to the Office of Management and Budget on the results of their evaluations. We understand that the Smithsonian is not required to comply with FISMA because it is not an executive branch agency; however, the Smithsonian applies FISMA standards to its information security program as a best practice to the extent practicable and consistent with its mission.

We conducted this performance 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.

We have made recommendations related to the challenges faced by the Smithsonian that, if effectively addressed by Smithsonian management, should strengthen the Smithsonian information security program. Smithsonian management has provided us with a response to this fiscal year 2023 FISMA audit report. Their response is presented in its entirety in the Management's Response section of the report. We did not audit management's response and, accordingly, do not express any assurance on it. This report is issued for the restricted use of the Office of Inspector General, the management of the Smithsonian, the Office of Management and Budget, and the Department of Homeland Security.

Castro & Company, LLC  
January 30, 2024
Introduction
On behalf of the Smithsonian Office of the Inspector General (OIG), Castro & Company, LLC (Castro) performed an independent performance audit of the Smithsonian Institution’s (Smithsonian) information security program and practices. Our audit was based on guidance outlined in the Federal Information Security Modernization Act of 2014 (FISMA) and the fiscal year (FY) 2023 Department of Homeland Security (DHS) Inspector General Reporting Metrics Version 1.1. The Smithsonian is not required to comply with FISMA because it is not an executive branch agency, but the Smithsonian applies FISMA standards as a best practice to the extent practicable.

Purpose
FISMA was enacted to provide a comprehensive framework for ensuring the effectiveness of information security controls over information resources that support federal operations and assets. Specifically, FISMA requires agencies to develop, document, and implement an agency-wide information security program that provides security for the information and information systems that support the operations and assets of the agency. Further, FISMA requires the OIG to conduct an independent evaluation of the entity’s information security program and report the results to the Office of Management and Budget (OMB).

To ensure the adequacy and effectiveness of the organization’s information security program, FISMA requires entity program officials, chief information officers, chief information security officers, and senior agency officials for privacy, to conduct an annual evaluation of their information security programs and to report the results to DHS. However, since the Smithsonian is not required to comply with FISMA, it has chosen not to report metrics to DHS.

Background
The Smithsonian Institution
The Smithsonian is a trust instrumentality of the United States government founded in 1846 in response to the will of Englishman James Smithson who bequeathed the whole of his property to the United States with the mission “to found at Washington, under the name of the Smithsonian Institution, an establishment for the increase and diffusion of knowledge.” As a trust instrumentality of the United States, the Smithsonian is not a part of the executive branch of the federal government and therefore, is not required to comply with FISMA; however, the Smithsonian applies FISMA standards as a best practice to the extent practicable.

Since its founding in 1846, the Smithsonian has become the world’s largest museum and research complex consisting of 21 museums, the National Zoological Park, 14 education and research facilities. A major portion of the Smithsonian’s operations is funded from annual federal appropriations. In addition to federal appropriations, the Smithsonian receives private support, government grants and contracts, and income from investments and various business activities.

The Office of the Chief Information Officer
The Office of the Chief Information Officer (OCIO) has primary responsibility for the development, implementation, and enforcement of the Smithsonian’s information technology (IT) security policies, procedures, and program. The OCIO centrally manages the security assessment and authorization activities over Smithsonian information systems, and centrally operates the majority of the Smithsonian’s computer facilities, equipment, web infrastructure, web-hosting services, telecommunications, and networks. Where IT is decentralized, the OCIO provides direct management oversight. The Smithsonian’s IT security group is managed by the Director of IT security who reports directly to the Chief Information Officer.
Smithsonian Privacy Office
The Smithsonian Privacy Office, located within the OCIO, is charged with safeguarding the personally identifiable information and sensitive personally identifiable information that the Smithsonian routinely collects, uses, processes, stores, maintains, disseminates, discloses, and disposes of, in order to carry out its mission. The Smithsonian Privacy Office develops and enforces privacy policies and procedures that are carried out by the Smithsonian units and reviews and approves all collections of personally identifiable information and sensitive personally identifiable information. The Smithsonian Privacy Officer reports directly to the Chief Information Officer.

Objective, Scope, and Methodology

Objective
Castro was contracted by the Smithsonian OIG to evaluate the effectiveness of the Smithsonian’s information security program and practices during the period of October 1, 2022, through July 14, 2023. We conducted this performance 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.

Scope
The Smithsonian has [redacted]. Each year, a representative sample of systems is selected for FISMA testing. For FY 2023, Castro, in coordination with the OIG, selected the following three systems for evaluation:

1. [Redacted]

2. [Redacted]

3. [Redacted]

1 Internal Control deficiencies deemed significant to the objective of the audit (effectiveness of the Smithsonian’s information security program and practices) are discussed within this report.
The Smithsonian follows federal best practices and categorizes their systems (low, moderate, or high) using guidance outlined in Federal Information Processing Standard (FIPS) 199, *Standards for Security Categorization of Federal Information and Information Systems*. This categorization is a key factor used in determining necessary security controls for each system. For the above systems in our FY 2023 scope, we noted their FIPS 199 security categorizations were all moderate.

**Methodology**

To evaluate the effectiveness of the Smithsonian’s information security program and practices, Castro utilized a variety of audit procedures including interviews, review of available documentation, and judgmental sampling. Further, Castro utilized OMB Memorandum M-23-03, *Fiscal Year 2023 Guidance on Federal Information Security and Privacy Management Requirements*, and the FY 2023-2024 Inspector General FISMA Reporting Metrics.

In FY 2022, OMB and the Council of the Inspectors General on Integrity and Efficiency (CIGIE), transitioned the Inspector General metrics process to a multi-year cycle. Under this multi-year cycle, OMB selected a core group of metrics, representing a combination of Administration priorities and other highly valuable controls, that must be evaluated annually. Core metrics were chosen based on alignment with Executive Order (EO) 14028, “Improving the Nation's Cybersecurity”, as well as recent OMB guidance to agencies in furtherance of the modernization of federal cybersecurity, including:

- **Moving the United States Government Toward Zero Trust Cybersecurity Principles (M-22-09)** – OMB and the Cybersecurity and Infrastructure Agency (CISA) solicited public feedback on strategic and technical guidance documents meant to move the United States government towards a zero-trust architecture. The goal of OMB’s Federal Zero Trust Strategy is to accelerate agencies towards a baseline of early zero trust maturity.

- **Multifactor Authentication and Encryption (EO 14028)** – Per the EO, agencies were required to fully adopt multifactor authentication and encryption for data at rest and in transit by November 8, 2021. For agencies that were unable to meet these requirements within 180 days of the date of the order, the agency head was directed to provide a written rationale to the Secretary of Homeland Security through the Director of CISA, the Director of OMB, and the Assistant to the President for National Security Affairs.

- **Improving the Federal Government’s Investigative and Remediation Capabilities Related to Cybersecurity Incidents (M-21-31)** – This memorandum provides specific requirements for log management. It includes a maturation model, prioritizing the most critical log types and requirements, to build a roadmap to success.
• Improving Detection of Cybersecurity Vulnerabilities and Incidents on Federal Government Systems through Endpoint Detection and Response (M-22-01) – On October 8, 2021, this memorandum was issued for agencies to focus on improving early detection capabilities, creating “enterprise-level visibility” across components and sub-agencies, and requires agencies to deploy an Endpoint Detection and Response solution.

• Software Supply Chain Security & Critical Software – Section 4 of EO 14028 tasks OMB, the National Institute of Standards and Technology (NIST), and other federal entities with developing new guidelines and frameworks to improve the security and integrity of the technology supply chain. In collaboration with industry and other partners, this effort is providing frameworks and guidelines on how to assess and build secure technology, including open-source software.

The remaining metrics (FY 2023 and FY 2024) are evaluated on a two-year cycle based on a calendar agreed to by the CIGIE, the Chief Information Security Officer Council, OMB, and the CISA. For FY 2023, Castro evaluated both the core and FY 2023 metrics identified within the FY 2023 – 2024 Inspector General Federal Information Security Modernization Act of 2014 Reporting Metrics document.

These metrics represent a continuation of work begun in FY 2016, when the DHS OIG metrics were aligned with the five functional areas in the NIST Framework for Improving Critical Infrastructure Cybersecurity (Cybersecurity Framework). The five security functions include Identify, Protect, Detect, Response, and Recover. Within these five functions are nine domains, which include Risk Management, Configuration Management, Identity and Access Management, Data Protection and Privacy, Security Training, Information Security Continuous Monitoring, Incident Response, Contingency Planning, and Supply Chain Risk Management.

**Metric Maturity Levels**

The Smithsonian's implementation of controls and processes related to each reporting metric were evaluated on a maturity model spectrum from Level 1: Ad-hoc to Level 5: Optimized. In previous years, we utilized a mode-based scoring approach to assess the Smithsonian’s maturity levels. Under this approach, ratings were determined by a simple majority, where the most frequent level across the questions served as the domain rating. For FY 2023, we utilized a weighted average scoring method per guidance outlined in the FY 2023-2024 Inspector General FISMA Reporting Metrics. The table below provides a description of the different levels.
Table 1: FY 2023 OIG Evaluation Maturity Levels

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Ad-hoc</td>
<td>Policies, procedures, and strategies are not formalized, activities are performed in an ad-hoc, reactive manner.</td>
</tr>
<tr>
<td>2 – Defined</td>
<td>Policies, procedures, and strategies are formalized and documented, but not consistently implemented.</td>
</tr>
<tr>
<td>3 – Consistently Implemented</td>
<td>Policies, procedures, and strategies are consistently implemented, but quantitative and qualitative effectiveness measures are lacking.</td>
</tr>
<tr>
<td>4 – Managed and Measurable</td>
<td>Quantitative and qualitative measures on the effectiveness of policies and procedures, and strategies are collected across the organization, and used to assess them and make necessary changes.</td>
</tr>
<tr>
<td>5 – Optimized</td>
<td>Policies, procedures, and strategies are fully institutionalized, repeatable, self-generating, consistently implemented, and regularly updated based on a changing threat and technology landscape and business/mission needs.</td>
</tr>
</tbody>
</table>

Finally, based on generally accepted government auditing standards paragraph 8.41d, some factors that may be considered when determining the significance to the audit objectives include the five components of internal control and the integration of the components. Factors that we considered in determining the significance of internal controls to the audit objectives included the five components of internal control also contained in the *Standards for Internal Controls in the Federal Government.* These standards provide criteria for designing, implementing, and operating an effective internal control system. *Standards for Internal Controls in the Federal Government* defines five components of internal controls:

- Control Environment,
- Risk Assessment,
- Control Activities,
- Information and Communication, and
- Monitoring.

Audit Results

Using the maturity model noted above in Table 1, Castro determined that the Smithsonian’s information security program was operating effectively during FY 2023. This determination was made following guidance outlined in the FY 2023 – 2024 Inspector General FISMA Reporting Metrics document, which states, “As with previous guidance on the use of the five-level maturity model, a Level 4, Managed and Measurable, information security program is still considered operating at an effective level of security”. Our overall assessment of an effective security program is based on our audit results at the domain level, which are summarized in Table 2 below.

---

Table 2: FY 2023 FISMA Metric Results

<table>
<thead>
<tr>
<th>Function Areas</th>
<th>Domains</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify</td>
<td>Overall</td>
<td>Consistently Implemented (Level 3)</td>
</tr>
<tr>
<td></td>
<td>Risk Management</td>
<td>Managed and Measurable</td>
</tr>
<tr>
<td></td>
<td>Supply Chain Risk Management</td>
<td>Defined</td>
</tr>
<tr>
<td>Protect</td>
<td>Overall</td>
<td>Managed and Measurable (Level 4)</td>
</tr>
<tr>
<td></td>
<td>Configuration Management</td>
<td>Consistently Implemented</td>
</tr>
<tr>
<td></td>
<td>Identity and Access Management</td>
<td>Consistently Implemented</td>
</tr>
<tr>
<td></td>
<td>Data Protection and Privacy</td>
<td>Managed and Measurable</td>
</tr>
<tr>
<td></td>
<td>Security Training</td>
<td>Managed and Measurable</td>
</tr>
<tr>
<td>Detect</td>
<td>Information Security Continuous Monitoring</td>
<td>Managed and Measurable (Level 4)</td>
</tr>
<tr>
<td>Respond</td>
<td>Incident Response</td>
<td>Managed and Measurable (Level 4)</td>
</tr>
<tr>
<td>Recover</td>
<td>Contingency Planning</td>
<td>Managed and Measurable (Level 4)</td>
</tr>
</tbody>
</table>

Overall, we found that the Smithsonian continued to make improvements to their security program and further refined existing controls and processes. Improvements made to the Smithsonian’s security program in FY 2023 included:

- ...
- ...
- ...
- ...
- ...
- ...

While the Smithsonian continued to make improvements to their security program, we noted some areas where improvements should continue to be made. We have identified deficiencies in internal control that are deemed significant within the context of our audit objectives and based on the audit work performed. Based on the results of our audit, we identified two reportable issues and issued three associated recommendations to Smithsonian management. The following sections outline the results of our audit across the five FISMA function areas and nine domains.

---

Identify Function

Castro determined that the Smithsonian’s Identify function was operating at Level 3, Consistently Implemented in FY 2023. The Identify function helps organizations focus and prioritize their efforts, consistent with their risk management strategy and business needs based on the organization’s understanding of business context, resources that support critical functions, and the related cybersecurity risks to systems, people, assets, data, and capabilities. The Identify function is comprised of two domains: Risk Management, and Supply Chain Risk Management.

Risk Management Domain

Castro determined that the Smithsonian’s risk management domain was operating at Level 4, Managed and Measurable in FY 2023. Risk management is defined as the process of identifying, assessing, and responding to risk. An ineffective risk management program increases the likelihood that management will not have a clear understanding of risks present within the organization and therefore will not implement appropriate safeguards to maintain risk at an acceptable level.

Supply Chain Risk Management Domain

Castro determined that the Smithsonian’s SCRM domain was operating at Level 2, Defined in FY 2023. The federal government considers supply chain risks to be a significant area of potential weakness and as a result, has been taking several steps to try and address risks in this area. NIST issued Special Publication 800-161 Supply Chain Risk Management Practices for Federal Information Systems and Organizations in 2015 and released Revision five of Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations, in September of 2020 with a new control family that focuses on SCRM.

The Smithsonian has made significant progress in developing and implementing their SCRM strategy including
Protect Function

Castro determined that the Smithsonian’s Protect function operated at a Level 4, Managed and Measurable, in FY 2023. The Protect function supports the ability to limit or contain the impact of a potential cybersecurity event and is comprised of four domains: configuration management, identify and access management, data protection and privacy, and security training.

Configuration Management Domain

We determined that the Smithsonian’s configuration management domain was operating at Level 3, Consistently Implemented. NIST Special Publication (SP) 800-53, Rev 5, Security and Privacy Controls for Federal Information Systems and Organization, defines configuration management as “A collection of activities focused on establishing and maintaining integrity of IT products and information systems, through control of processes for initializing, changing, and monitoring the configurations of those products and systems throughout the system development life cycle.”

In FY 2023, Castro noted the Smithsonian had formal configuration management policies, procedures, and plans in place. We noted the Smithsonian had several Boards, including their Technical Review Board and Software Review Board, which oversaw and approved significant changes to the Smithsonian information technology environment and had required configuration baselines implemented for platforms in use.
In FY 2023 we identified the following additional configuration management weakness which needs strengthening.

1. 

While the Smithsonian’s Technical Note (TN) 

Identity and Access Management Domain

We determined that the Smithsonian’s Identity and Access Management domain was operating at Level 3, Consistently Implemented. For FY 2023, Identity and Access Management was focused on the organization’s implementation of Identity, Credential, and Access Management (ICAM) requirements, the provisioning of privileged accounts, and determining whether organizations had implemented strong authentication mechanisms for privileged and non-privileged users.

We noted that the Smithsonian had roles and responsibilities for identity and access management identified for systems in scope. Further, the Smithsonian had a formal process in place to approve, provision, and monitor the use of administrative or privileged accounts, and required multi-factor authentication for all remote access.
2. NIST Special Publication 800-53 Revision 5,

Data Protection and Privacy Domain

We determined that the Smithsonian's Data Protection and Privacy domain was operating at Level 4, Managed and Measurable. For FY 2023, Data Protection and Privacy metrics were focused on the Smithsonian's privacy program and encryption of data and controls to enhance network security and prevent data exfiltration.

We noted that the Smithsonian has implemented a comprehensive privacy program. Further, we noted that the Smithsonian had

Security Training Domain

Castro determined that the Smithsonian's Security Training domain was operating at Level 4, Managed and Measurable in FY 2023. For FY 2023, Security Training metrics were focused on security training roles and responsibilities, security awareness training and strategy, and whether the organization utilized an assessment of skills, knowledge, and abilities of its workforce to provide tailored awareness and specialized security training. In FY 2023, we noted that the Smithsonian had a comprehensive awareness and training program in place.
Detect Function

Castro determined that the Smithsonian’s Detect function was operating at Level 4, Managed and Measurable in FY 2023. The Detect function is comprised of one domain, Information Security Continuous Monitoring.

Information Security Continuous Monitoring Domain

Information Security Continuous Monitoring is focused on facilitating ongoing awareness of threats, vulnerabilities, and information security to support organizational risk management decisions. Effective Information Security Continuous Monitoring allows organizations to timely respond to identified weaknesses or vulnerabilities to maintain risk within an acceptable level.

Respond Function

Castro determined that the Respond function was operating at Level 4, Managed and Measurable in FY 2023. The Respond function is comprised of one domain, Incident Response.

Incident Response Domain

NIST SP 800-61 Rev 2. Computer Security Incident Handling Guide, states, “Computer security incident response has become an important component of information technology (IT) programs. Cybersecurity-related attacks have become not only more numerous and diverse but also more damaging and disruptive. New types of security-related incidents emerge frequently. Preventive activities based on the results of risk assessments can lower the number of incidents, but not all incidents can be prevented. An incident response capability is therefore necessary for rapidly detecting incidents, minimizing loss and destruction, mitigating the weaknesses that were exploited, and restoring IT services.” We assessed the four Incident Response metric questions for FY 2023 at Level 4, Managed and Measurable.
Recover Function

Castro determined that the Smithsonian’s Recover function operated at Level 4, Managed and Measurable in FY 2023. The Recover function is comprised of one domain, Contingency Planning.

Contingency Planning Domain

For FY 2023, the Contingency Planning metric questions were focused on whether roles and responsibilities had been identified and communicated, communication of planning and recovery activities to external stakeholders, and whether the organization ensures the results of Business Impact Assessments are used to guide contingency planning and whether the organization performs tests/exercises of its information system contingency planning processes.

NIST SP 800-34 Rev. 1, Contingency Planning Guide for Federal Information Systems, states, “Contingency planning refers to interim measures to recover information system services after a disruption. Interim measures may include relocation of information systems and operations to an alternate site, recovery of information system functions using alternate equipment, or performance of information system functions using manual methods.”
Recommendations

Castro has the following recommendations to assist the Office of the _______ with enhancing the information security program related to the issues noted above:

1. _______
2. _______
3. _______
## Appendix A - Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASTRO</td>
<td>Castro &amp; Company, LLC</td>
</tr>
<tr>
<td>CIGIE</td>
<td>Council of the Inspectors General on Integrity and Efficiency</td>
</tr>
<tr>
<td>CISA</td>
<td>Cybersecurity and Infrastructure Agency</td>
</tr>
<tr>
<td>DHS</td>
<td>Department of Homeland Security</td>
</tr>
<tr>
<td>EO</td>
<td>Executive Order</td>
</tr>
<tr>
<td>FIPS</td>
<td>Federal Information Processing Standard</td>
</tr>
<tr>
<td>FISMA</td>
<td>Federal Information Security Modernization Act of 2014</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year</td>
</tr>
<tr>
<td>HR</td>
<td>Human Resources</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
<tr>
<td>NIST</td>
<td>National Institute of Standards and Technology</td>
</tr>
<tr>
<td>OCIO</td>
<td>Office of the Chief Information Officer</td>
</tr>
<tr>
<td>OIG</td>
<td>Office of the Inspector General</td>
</tr>
<tr>
<td>OMB</td>
<td>Office of Management and Budget</td>
</tr>
<tr>
<td>SCRM</td>
<td>Supply Chain Risk Management</td>
</tr>
<tr>
<td>SP</td>
<td>Special Publication</td>
</tr>
</tbody>
</table>
Appendix B – Management’s Response and Castro & Company Response

OIG provided the Smithsonian Institution management with a draft of Castro & Company's report for review and comment. Management’s response is presented in its entirety in Appendix B. Castro & Company did not audit management’s response and, accordingly, do not express any assurance on it.
Smithsonian Institution
Office of the Chief Information Officer

Date: January 23, 2024
To: Joan Mockeridge, Acting Inspector General
From: Deron Burca, Chief Information Officer
CC: Meroc Park, Deputy Secretary and Chief Operating Officer
    Greg Bettyy, Chief of Staff
    Ron Cortez, Under Secretary for Administration
    Rick Flansburg, Deputy Under Secretary for Administration
    Farleigh Earhart, Acting General Counsel
    Porter Wilkinson, Chief of Staff to the Regents
    Celita McGinnis, Office of Inspector General
    Juliette Sheppard, Director of IT Security
    Danee Gaines Adams, Privacy Officer
    Carmen Iannaccone, Chief Technology Officer
    Catherine Chatfield, Enterprise Risk Program Manager

Subject: Management Response to “Smithsonian Institution Office of the Inspector General
Report on the Smithsonian Institution’s Information Security Program Fiscal Year 2023”

Thank you for the opportunity to comment on the report. Management’s response to each of the recommendations is as follows.

Recommendation 1:  
Management Response: Management concurs with this recommendation. We will align this policy update with the implementation in recommendation 2 and ensure completion by January 31, 2025.

Recommendation 2:  
Management Response: Management concurs with this recommendation. We expect this work to be completed by January 31, 2025.

Recommendation 3:  
Management Response: Management concurs with this recommendation. We expect this work to be completed by January 31, 2025.