

<b>Queens College</b> <b>Information Technology Policy</b>	<b>No: D.SC.2.2 Security Assessment and Authorization</b>
<b>IT Policy:</b>  <b>Security Assessment and Authorization Policy</b>	<b>Updated: 11/29/22</b>
	<b>Issued By: Office of the Chief Information Security Officer (CISO)</b>  <b>Owner: Information Technology Services</b>

## 1.0 Purpose and Benefits

Information Technology (IT) and the various business units (information owners) will ensure security controls in information systems, and the environments in which those systems operate, as part of initial and ongoing security authorizations, annual assessments, continuous monitoring and system development life cycle activities.

## 2.0 Authority

- **Responsible Office(s):** Information Technology Services & General Counsel
- **Responsible Executive(s):** Chief Information Officer (CIO)
- **Responsible Officer(s):** Chief Information Security Officer (CISO)

## 3.0 Scope

This is a college-wide policy and includes requirements that must be followed if Queens College is to protect the information that is collected in the standard process of business. This policy is to be an additional layer of security on top of existing CUNY security policies and is not intended or able to supersede CUNY policies.

This policy encompasses all systems, automated and manual, for which Queens College has administrative responsibility, including systems managed or hosted by third parties on behalf of Queens College. It addresses all information, regardless of the form or format, which is created or used in support of business activities.

## 4.0 Information Statement

1. SECURITY ASSESSMENT AND AUTHORIZATION POLICY AND PROCEDURES  
Queens College shall:
  - a. Develop, document, and disseminate to Queens ITS and CUNY as needed:

- i. A security assessment and authorization policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance.
  - ii. Procedures to facilitate the implementation of the security assessment and authorization policy and associated security assessment and authorization controls.
- b. Review and update the current security assessment and authorization policy and procedures annually at minimum.

## 2. SECURITY ASSESSMENTS

Queens College shall:

- a. Develop a security assessment plan that describes the scope of the assessment including:
  - i. Security controls and control enhancements under assessment.
  - ii. Assessment procedures to be used to determine security control effectiveness.
  - iii. Assessment environment, assessment team, and assessment roles and responsibilities.
- b. Assess the security controls in the information system and its environment of operation annually at minimum to determine the extent to which the controls are implemented correctly, operating as intended, and producing the desired outcome with respect to meeting established security requirements.
- c. Produce a security assessment report that documents the results of the assessment.
- d. Provide the results of the security control assessment to CIO and CUNY as needed.

## 3. SYSTEM INTERCONNECTIONS

IT Department shall:

- a. Authorize connections from the information system to other information systems through the use of Interconnection Security Agreements.
- b. Document, for each interconnection, the interface characteristics, security requirements, and the nature of the information communicated.
- c. Review and update Interconnection Security Agreements annually at minimum.
- d. Employ an allow-all, deny-by-exception, deny-all, permit-by-exception, policy for allowing information systems to connect to external information systems.

#### 4. PLAN OF ACTION AND MILESTONES

Queens College shall:

- a. Develop a plan of action and milestones for the information system to document the planned remedial actions to correct weaknesses or deficiencies noted during the assessment of the security controls and to reduce or eliminate known vulnerabilities in the system.
- b. Update existing plan of action and milestones annually at minimum based on the findings from security controls assessments, security impact analyses, and continuous monitoring activities.

#### 5. SECURITY AUTHORIZATION

Queens College shall:

- a. Assign a senior-level executive or manager as the authorizing official for the information system.
- b. Ensure that the authorizing official authorizes the information system for processing before commencing operations.
- c. Update the security authorization annually at minimum.

#### 6. CONTINUOUS MONITORING

IT Department shall:

- a. Develop a continuous monitoring strategy and implement a continuous monitoring program that includes:
  - i. Establishment of list of metrics to be monitored.
  - ii. Establishment of frequencies for monitoring and frequencies for assessments supporting such monitoring.
  - iii. Ongoing security control assessments in accordance with the organizational continuous monitoring strategy.
  - iv. Ongoing security status monitoring of organization-defined metrics in accordance with the organizational continuous monitoring strategy.
  - v. Correlation and analysis of security-related information generated by assessments and monitoring.
  - vi. Response actions to address results of the analysis of security-related information.
  - vii. Reporting the security status of organization and the information as needed.

#### 7. INTERNAL SYSTEM CONNECTIONS

IT Department shall:

- a. Authorize internal connections to the information system.

- b. Document, for each internal connection, the interface characteristics, security requirements, and the nature of the information communicated.

## 5.0 Compliance

This policy shall take effect upon publication. Compliance is expected with all enterprise policies and standards. Policies and standards may be amended at any time; compliance with amended policies and standards is expected.

If compliance with this standard is not feasible or technically possible, or if deviation from this policy is necessary to support a business function, entities shall request an exception through the Chief Information Security Officer's exception process.

## 6.0 Definitions of Key Terms

Term	Definition

## 7.0 Contact Information

Submit all inquiries and requests for future enhancements to:

Chief Information Security Officer  
Aaron Wheeler  
Aaron.Wheeler@qc.cuny.edu

## 8.0 Revision History

This standard shall be subject to periodic review to ensure relevancy.

Date	Description of Change	Reviewer
9/20/22	Initial changes to apply to Queens College	DVogel
03/20/25	Added number convention and control title	AWheeler
	Policy Implemented	

## **9.0 Related Documents**

National Institute of Standards and Technology (NIST) Special Publications (SP): NIST SP 800-53a – Security Assessment and Authorization (CA), NIST SP 800-12, NIST SP 800-37, NIST SP 800-39, NIST SP 800-47, NIST SP 800-100, NIST SP 800-115, NIST SP 800-137; NIST Federal Information Processing Standards (FIPS) 199