

**Information Security Risk Assessment (IS RA) Template Instructions**

*This template contains boiler plate language. Each template must be customized to specifically address the Application. Specific Application data shall be entered in the template when a colon symbol is indicated. Enter data to the right of the colon symbol. (Example - Application Name: Security CBT). When a table is used enter the Response Data to the right of the subject information or the next row under the table column headings. Delete this page prior to the submission of the Application IS RA.*



Office/Center Name (Acronym)  
Group Name (Acronym)  
Centers for Medicare & Medicaid Services

## **DOCUMENT TITLE**

IS RA Date:  
IS RA Version Number:

IS RA Template October 19, 2018 Version 4.1

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**CMS SENSITIVE INFORMATION - REQUIRES SPECIAL HANDLING**

IS RA System Name IS RA Date and Version Number

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**SUMMARY OF CHANGES IN THE IS RA TEMPLATE V4.1**

1. This document was reviewed as part of the publication process for RMH Chapter 14 Risk Assessment.
2. The version number of the document was increased to version 4.1.

# CMS SENSITIVE INFORMATION - REQUIRES SPECIAL HANDLING

IS RA System Name

IS RA Date and Version Number

## REVIEW LOG

This IS RA Review Log is maintained to record the reviews that have taken place for this system.

*The review log should be completed by entering the data from each column in the appropriate row. The log may also be completed by using a pen.*

Table 1 - Review Log

Date of Review	Staff Name of Reviewer	Organization of Reviewer
<MM/DD/YYYY>	<First Name Last Name>	<Organization>

## 1. INTRODUCTION

The IS RA contains a list of threats and vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended safeguards to reduce risk exposure. The IS RA also supports risk management through the evaluation of risk impact upon the enterprise security model.

## 2. SYSTEM IDENTIFICATION

### 2.1 SYSTEM NAME/TITLE

Table 2 - System Name/Title

System Identifier	Response Data
Official System Name	<Official System Name>
System Acronym	<System Acronym>
System of Records (SOR)	<SOR>
Financial Management Investment Board (FMIB) Number	<FMIB Number>
Select one System Type from the following: GSS, GSS sub-system, MA, or MA individual application	<Select one System Type from the following: GSS, GSS sub-system, MA, or MA individual application>

### 2.2 RESPONSIBLE ORGANIZATION

Table 3 - Responsible Organization (CMS Internal)

CMS Internal	Response Data
Name of Organization	<Name of Organization>
Address	<Address>
City, State, Zip	<City, State, Zip>
Contract Number	<Contract Number>
Contract Name	<Contract Name>

Table 4 - Responsible Organization (External)

External	Response Data
Name of Organization	<Name of Organization>
Address	<Address>
City, State, Zip	<City, State, Zip>
Contract Number, Contractor Contact Information (if applicable)	<Contract Number>

## CMS SENSITIVE INFORMATION - REQUIRES SPECIAL HANDLING

IS RA System Name

IS RA Date and Version Number

### 2.3 DESIGNATED CONTACTS

Table 5 - Business Owner Contact Information

<b>Business Owner</b>	<b>Response Data</b>
<b>Name</b>	<First Name Last Name>
<b>Title</b>	<Title>
<b>Organization</b>	<Organization>
<b>Address</b>	<Address>
<b>Mail Stop</b>	<Mail Stop>
<b>City, State, Zip</b>	<City, State, Zip>
<b>Email</b>	<Email>
<b>Phone Number</b>	<Phone Number>
<b>Contractor Contact Information (if applicable)</b>	<Contractor Contact Information (if applicable)>

Table 6 - System Developer/Maintainer Contact Information

<b>System Developer/Maintainer</b>	<b>Response Data</b>
<b>Name</b>	<First Name Last Name>
<b>Title</b>	<Title>
<b>Organization</b>	<Organization>
<b>Address</b>	<Address>
<b>Mail Stop</b>	<Mail Stop>
<b>City, State, Zip</b>	<City, State, Zip>
<b>Email</b>	<Email>
<b>Phone Number</b>	<Phone Number>
<b>Contractor Contact Information (if applicable)</b>	<Contractor Contact Information (if applicable)>

Table 7 - RA Author Contact Information

<b>RA Author</b>	<b>Response Data</b>
<b>Name</b>	<First Name Last Name>
<b>Title</b>	<Title>
<b>Organization</b>	<Organization>
<b>Address</b>	<Address>
<b>Mail stop</b>	<Mail Stop>



## CMS SENSITIVE INFORMATION - REQUIRES SPECIAL HANDLING

IS RA System Name

IS RA Date and Version Number

RA Author	Response Data
City, State, Zip	<City, State, Zip>
Email	<Email>
Phone Number	<Phone Number>
Contractor contact information (if applicable)	<Contractor Contact Information (if applicable)>

### 2.4 ASSIGNMENT OF SECURITY RESPONSIBILITY

Table 8 - Individual(s) Responsible for Security Contact Information

Individual(s) Responsible for Security	Response Data
Name	<First Name Last Name>
Title	<Title>
Organization	<Organization>
Address	<Address>
Mail stop	<Mail Stop>
City, State, Zip	<City, State, Zip>
Email	<Email>
Phone Number	<Phone Number>
Emergency Contact (daytime): (name, phone & email)	<Contractor Contact Information (if applicable)>

Table 9 - Component ISSO Contact Information

Component ISSO	Response Data
Name	<First Name Last Name>
Title	<Title>
Organization	<Organization>
Address	<Address>
Mail stop	<Mail Stop>
City, State, Zip	<City, State, Zip>
Email	<Email>
Phone Number	<Phone Number>
Emergency Contact (daytime): (name, phone & email)	<Contractor Contact Information (if applicable)>

## 2.5 SYSTEM OPERATIONAL STATUS

Table 10 - System Operational Status

System Operational Status	Response Data
Select one System Operational Status from the following: New, Operational, or Undergoing a Major Modification	<New, Operational, or Undergoing a Major Modification>

## 2.6 DESCRIPTION OF THE BUSINESS PROCESS

The description of the Business Process is provided in this section.

## 2.7 DESCRIPTION OF OPERATIONAL/SYSTEM ENVIRONMENT AND SPECIAL CONSIDERATIONS

The description of the Operational/System Environment and any Special Considerations are provided in this section.

## 2.8 SYSTEM INTERCONNECTION/INFORMATION SHARING

The description of the System Interconnection/Information Sharing is provided in this section.

## 2.9 SYSTEM SECURITY LEVEL

Table 11 - System Security Level

System Security Description	Response Data
Security Level	<Security Level>
Information Type	<Information Type>

## 2.10 E-AUTHENTICATION LEVEL

*Choose the appropriate E-Authentication level for the System/Application and enter the Response Data.*

Table 12 - E-Authentication Level

E-Authentication Levels (Select Only One)	Response Data
System/Application has Web-based access for individuals to conduct transactions	<Yes or N/A>
RACF/Top Secret/Active Directory or equivalent is used to authenticate individuals for all web-based transactions	<Yes or N/A>
No Web-based transactions by individuals (proceed to section 3)	<Yes or N/A>

## CMS SENSITIVE INFORMATION - REQUIRES SPECIAL HANDLING

IS RA System Name

IS RA Date and Version Number

*Determine the required level of E-Authentication assurance, based on the impacts of an authentication error, as type 1, 2, 3 or 4.*

Table 13 - E-Authentication Assurance Level

E-Authentication Assurance Levels (Select Only One)	Response Data
Select one E-Authentication assurance level type from the following: Type 1, Type 2, Type 3, or Type 4	<Type 1, Type 2, Type 3, or Type 4>

### 3. RISKS AND SAFEGUARDS

#### 3.1 BUSINESS RISKS AND SAFEGUARDS

*Enter the business risk and safeguard determined for each business risk identified.*

Table 14 - Business Risk and Safeguard

Risk and Safeguard	Response Data
<b>Item No.</b>	<Item No.>
<b>Business Function</b>	<Business Function>
<b>Risk Level</b>	<Risk Level>
<b>Threat Name</b>	<Threat Name>
<b>Vulnerability Name</b>	<Vulnerability Name>
<b>Risk Description</b>	<Risk Description>
<b>Business Impact</b>	<Business Impact>
<b>Existing Controls</b>	<Existing Controls>
<b>Likelihood of Occurrence</b>	<Likelihood of Occurrence>
<b>Impact Severity of Occurrence</b>	<Impact Severity of Occurrence>
<b>Risk Level of Occurrence</b>	<Risk Level of Occurrence>
<b>Recommended Safeguard Description</b>	<Recommended Safeguard Description>
<b>Residual Likelihood of Occurrence</b>	<Residual Likelihood of Occurrence>
<b>Residual Impact Severity</b>	<Residual Impact Severity>
<b>Residual Risk Level</b>	<Residual Risk Level>
<b>Implementation Priority</b>	<Implementation Priority>
<b>Implementation Rationale</b>	<Implementation Rationale>

### 3.2 SYSTEM RISKS AND SAFEGUARDS

*Enter the system risk and safeguard determined for each system risk identified.*

Table 15 - System Risk and Safeguard

<b>Risk and Safeguard</b>	<b>Response Data</b>
<b>Item No.</b>	<Item No.>
<b>Business Function</b>	<Business Function>
<b>Risk Level</b>	<Risk Level>
<b>Threat Name</b>	<Threat Name>
<b>Vulnerability Name</b>	<Vulnerability Name>
<b>Risk Description</b>	<Risk Description>
<b>Business Impact</b>	<Business Impact>
<b>Existing Controls</b>	<Existing Controls>
<b>Likelihood of Occurrence</b>	<Likelihood of Occurrence>
<b>Impact Severity of Occurrence</b>	<Impact Severity of Occurrence>
<b>Risk Level of Occurrence</b>	<Risk Level of Occurrence>
<b>Recommended Safeguard Description</b>	<Recommended Safeguard Description>
<b>Residual Likelihood of Occurrence</b>	<Residual Likelihood of Occurrence>
<b>Residual Impact Severity</b>	<Residual Impact Severity>
<b>Residual Risk Level</b>	<Residual Risk Level>
<b>Implementation Priority</b>	<Implementation Priority>
<b>Implementation Rationale</b>	<Implementation Rationale>

**End of Document**