

UT Space Institute Policy: IT0121-SI – Information Security Program	
Version: 1	Effective Date: 11/27/2019

Objective

To establish a formal, documented program that describes the development and maintenance of security plans.

Scope

This plan applies to all users of and information technology (IT) resources owned, operated, or provided by the University of Tennessee Space Institute (UTSI) including its remote centers.

“Users” includes but is not limited to students, faculty, staff, contractors, agents, representatives, and visitors accessing, using, or handling the University’s information technology resources.

Information transmitted or stored on University IT resources is the property of the University unless it is specifically identified as the property of other parties.

Principles

The University has chosen to adopt the policy principles established in the National Institute of Standards and Technology (NIST) 800 series of publications, and this plan is based on those guidelines.

The Chancellor or equivalent at each Campus must designate an individual or functional position responsible for information security at their Campus (Position of Authority and/or Campus Authority). The Position of Authority (POA) should be at a high enough organizational level to allow him/her to speak with authority on and for the Campus.

UTSI must develop or adopt and adhere to a plan that demonstrates compliance with related policies and standards. This plan is the responsibility of the Position of Authority.

Each User of University resources is required to be familiar and comply with University policies. Acceptance of University policy is assumed if a User accesses, uses, or handles University resources.

Program

1. As the POA, the UTSI CIO has overall responsibility for the Information Security program at the Space Institute, and makes sure:
 - a. The program based on NIST standards is developed, documented, and disseminated to appropriate UTSI personnel per the University policy.
 - b. The program is reviewed and updated annually.
2. UTSI will document all systems in a Risk Assessment and Classification sheet. These systems are evaluated for risk and grouped with similar systems in System Security Plans. System Security Plans include:
 - a. Identification and assignment of related security responsibilities.
 - b. A description of baseline controls in place or planned for meeting the security requirements. See Appendix A.

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- c. Interconnecting systems and related Interconnection Security Agreements (ISAs)
- d. Campus senior management approval.

References

NIST 800-53 “Recommended Security Controls for Federal Information Systems and Organizations”

Appendix A

University of Tennessee, Knoxville, Baseline Controls (as of February 16, 2018)

University of Tennessee Knoxville		(version 02/16/2018)		
NIST 800-53r4 Control Number:	Control Title	Baseline Controls	UTK Program Plan	UNIT Program Plan
AC-1	Access Control Standard			X
AC-2	Account Management	X		
AC-3	Access Enforcement	X		
AC-5	Separation of Duties	X		
AC-7 Common Control	Unsuccessful Login Attempts	X	X	
AC-17	Remote Access	X		
AC-18 Common Control	Wireless Access	X	X	
AT-1	Security Awareness and Training Standard			X



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NIST 800-53r4 Control Number:	Control Title	Baseline Controls	UTK Program Plan	UNIT Program Plan
AT-2	Security Awareness	X		
AT-3	Role Based Security Training	X		
AU-1	Audit and Accountability Standard			X
AU-6	Audit Review, Analysis, and Reporting	X		
CA-1	Security Assessment and Authorization Standard			X
CA-2	Security Assessment Plan	X		
CA-3	System Interconnections	X		
CA-5	Plan of Action and Milestones	X		
CA-7	Continuous Monitoring	X		
CM-1	Configuration Management Standard			X
CM-2	Baseline Configuration	X		
CM-3	Configuration Change Control	X		
CM-4	Security Impact Analysis	X		
CM-6	Configuration Settings	X		
CM-7	Least Functionality	X		



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NIST 800-53r4 Control Number:	Control Title	Baseline Controls	UTK Program Plan	UNIT Program Plan
CM-8	Information System Component Inventory	X		
CM-9	Configuration Management Plan	X		
CM-10	Software Usage Restrictions	X		
CP-1	Contingency Planning Standard			X
CP-2	Contingency Planning	X		
CP-9	Information System Backup	X		
IA-1	Policy and Procedures			X
IA-3	Device Identification and Authentication		X	X
IA-4	Identifier Management	X		
IA-5	Authenticator Management	X		
IA-6	Authenticator Feedback	X		
IR-1	Incident Response			X
IR-4 Common Control	Incident Handling	X	X	
IR-5	Incident Monitoring		X	



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IR-6	Incident Reporting		X	
IR-7	Incident Response Assistance		X	
IR-8	Incident Response Plan		X	
MP-1	Media Protection Standard			X
MP-2	Media Access	X		
MP-3	Media Marking	X		
MP-4	Media Storage	X		
MP-5	Media Transport	X		
MP-6	Media Sanitization	X		
MP-7	Media Use	X		
PE-1	Physical and Environmental Policy			X
PE-2	Physical Access Authorizations		X	
PE-3	Physical Access Control		X	
PE-6	Monitoring Physical Access		X	
PE-8	Visitor Access Records		X	



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PE-9	Power Equipment and Cabling		X	
PE-11	Emergency Power		X	
PE-12	Emergency Lighting		X	
PE-13	Fire Protection		X	
PE-14	Temperature and Humidity Controls		X	
PE-15	Water Damage Protection		X	
PL-1	Policy and Procedures			X
PL-2	System Security Plan	X		
PL-4	Rules of Behavior	X		
PM-1	Security Planning Standard		X	X
PM-2	Senior Information Security Officer		X	
PM-3	Information Security Resources		X	
PM-6	Information Security Measures of Performance		X	
PM-7	Enterprise Architecture		X	
PM-8	Critical Infrastructure Plan		X	



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NIST 800-53r4 Control Number:	Control Title	Baseline Controls	UTK Program Plan	UNIT Program Plan
PM-9	Risk Management Strategy		X	
PM-10	Security Authorization Process		X	
PM-15	Contacts With Security Groups and Associations		X	
PS-1	Personnel Security Standard			X
PS-3	Personnel Screening	X		
PS-4	Personnel Termination	X		
PS-7	Third-Party Personnel Security	X		
PS-8	Personnel Sanctions	X		
RA-1	Risk Assessment Standard			X
RA-2	Security Categorization		X	
RA-3	Risk Assessment			X
RA-5 Common Control	Vulnerability Scanning	X	X	
SA-8	Security Engineering Principles	X		
SC-1	System and Communication Standard			X



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SC-5 Common Control	Denial of Service Protection	X	X	
SC-7 Common Control	Boundary Protection	X	X	
SC-12	Cryptographic Key Management	X		
SC-13	Use of Cryptography	X		
SC-15	Collaborative Computing	X		
SC-20	Secure Name /Address Resolution Service (Authoritative Source)	X		
SC-21	Secure Name/Address Resolution Service	X		
SC-22	Architecture and Provisioning for Name/Address Resolution Service	X		
SI-1	System and Information Standard			X
SI-2	Flaw Remediation	X		
SI-3	Malicious Code Protection	X		



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SI-4 Common Control	Information System Monitoring	X	X	
SI-5	Security Alerts, Advisories, and Directives	X		
SI-8	SPAM Protection	X		
SI-12 Common Control	Information Handling and Retention	X		