

**For:** State and County Offices

**FY 2015 Security Controls Online Assessment and Review (SCOAR)**

**Approved by:** Associate Administrator for Operations and Management



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**1 Overview**

**A Background**

SCOAR identifies and improves potentially harmful deficiencies in the AS400/S36 general support system and State and County Office security program controls. Offices must complete SCOAR annually as required by USDA continuous monitoring procedures (for example, USDA Six Step Risk Management Framework (RMF) Process Guide).

New to the review for FY 2015 is the:

- option to rollover FY 2014 SCOAR answers
- requirement to provide a justification for most “no” answers
- requirement to provide a mitigation plan for all “no” answers where the Certifier indicated that the justification does not adequately explain the situation.

**Note:** This assessment is only for physical sites.

**B Purpose**

This notice provides:

- instructions for completing FY 2015 SCOAR
- the FY 2015 SCOAR due date.

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<b>Disposal Date</b>	<b>Distribution</b>
September 1, 2015 1-22-15	State Offices; State Offices relay to County Offices

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### 2 Action

#### A Due Date for FY 2015 SCOAR

State Offices shall complete the FY 2015 SCOAR process by February 27, 2015.

#### B State Office Action

State Offices shall:

- complete all steps of the State Office SCOAR by February 27, 2015
- establish and communicate the appropriate due date for County Offices to complete SCOAR step 1, “Prepare”, step 2, “Review”, and provide instructions about completing a mitigation plan
- ensure that County Offices complete SCOAR as directed.

#### C County Office Action

County Offices shall:

- complete County Office SCOAR step 1, “Prepare”, and step 2, “Review”, by the State Office-established due date
- complete mitigation plans (if required) according to the provided State Office instructions.

### 3 Completing SCOAR

#### A Accessing SCOAR

Users can access SCOAR from the Information Security Office (ISO) Online web site at <https://sharepoint.apps.fsa.usda.net/iso/public/Wiki%20Pages/Home.aspx>.

After the Home Page is displayed, use **either** of the following:

- under “I WANT TO”, click “**Complete a SCOAR**”
- click “**SCOAR**” icon at the bottom.

**Note:** The SCOAR Home Page will be displayed for the user to complete SCOAR, as well as get additional SCOAR information.

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3 Completing SCOAR (Continued)

B Roles and Responsibilities

SCOAR is a 3-step process that includes preparing, reviewing, and certifying the assessment. The following table provides roles and responsibilities for each step in the process.

Step	Roles	County	State
1	Preparer	PT or CED	Security Liaison Representative (SLR), PT, or Specialist
2	Reviewer	CED or DD	AO or Section Chief
3	Certifier	SLR or Alternate	SED or Delegate

- The **Preparer** is responsible for accurately completing each assessment question and providing adequate justifications for “no” answers (where required) for their office. After the Preparer answers all questions, the Preparer **must** select the Reviewer. If mitigation is required for any “no” answers where the Certifier indicated that the justification did not adequately explain the situation, refer to the State Office provided instructions.

**Note:** The Reviewer **must** be the supervisor or acting supervisor of the Preparer. The Reviewer shall **not** be the same as the Preparer and **cannot** be the Certifier.

- The **Reviewer** is responsible for conducting a complete review of the assessment to ensure its accuracy **before** submitting it for certification. After the review is complete, the Reviewer must select the Certifier. If mitigation is required for any “no” answers where the Certifier indicated that the justification did not adequately explain the situation, refer to the State Office provided instructions.

**Note:** The Certifier **must** be the State Office SLR or acting State Office SLR for a county assessment, and SED or delegate for a State assessment. The Certifier shall **not** be the same as the Preparer or Reviewer.

- The Certifier is responsible for certifying that all areas were assessed, analyzed for security risks and vulnerabilities, and justifications (where required) are adequate for all questions that are answered “no”.

After the certification submission, SCOAR is complete.

### 3 Completing SCOAR (Continued)

#### C Operational Guidelines

To view all SCOAR questions consolidated in a paper-based document, access the ISO Online web site <https://sharepoint.apps.fsa.usda.net/iso/public/Wiki%20Pages/Home.aspx> and click the “SCOAR” icon at the bottom. From the SCOAR Home Page, click the Paper-Based Assessment icon to open or save the document.

The Preparer may select the rollover option if the physical location has not changed since the FY 2014 SCOAR. If the location has changed do **not** select the rollover option.

**Note:** If the rollover option was selected, each section must be reviewed before obtaining 100 percent completion.

The SCOAR completion percentage will be displayed throughout the process.

To view all data and navigation buttons on SCOAR screens, use the vertical scroll bar.

To exit SCOAR without saving, click “X” in the top right corner of the Internet browser.

SCOAR allows users to navigate (jump) to the section to start or resume without having to follow a specific order.

Sections of SCOAR will be unavailable until the secure ADP room question (within the “General Information” section) is answered.

Additional questions may be displayed based on responses to prior questions.

To display policy references, hover over the policy link to the right of the question.

To display additional information, click any underlined words.

If the Reviewer needs to make corrections to SCOAR, they can either make the corrections or revert SCOAR back to step 1, which will send an e-mail to the Preparer notifying them that corrections are necessary.

If the Reviewer needs to create a mitigation plan according to the State Office provided instructions, they can either create the mitigation plan or revert SCOAR back to step 1, which will send an e-mail to the Preparer notifying them that a mitigation plan is necessary.

After review (step 2) of SCOAR is complete and submitted to the Certifier, answers **cannot** be modified.

If corrections are needed to SCOAR **before** certification, the Certifier will have the option to either revert SCOAR back to step 1 or step 2. An e-mail will be sent to the Preparer (step 1) or the Reviewer (step 2) notifying them that corrections are necessary.

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**3 Completing SCOAR (Continued)**

**D “No” Responses and Mitigation Plans**

Questions that are answered “no” where the Certifier indicated that the justification did not adequately explain the situation will require the Preparer or Reviewer to create a mitigation plan according to the State Office provided instructions. All mitigation plans must be accepted by the Certifier before obtaining 100 percent completion of SCOAR.

These plans should briefly explain actions that will be taken to remediate the situation and will be limited to 200 characters. See the following example table.

#	Question	Justification	Accept Risk (Justification Adequate)?	Mitigation Plan Required	Mitigation Plan
G 3	Does your office have a plan to administer FSA programs to continue operations in the event that facilities are inoperable (e.g. power outage, server down, etc.)?	We did not know we needed one.	No	Yes	Our FSA office will develop a plan (example: FSA-780 Emergency Occupant Plan) to continue operations in the event that the facilities are inoperable.  Start Date: 03/02/15 End Date: 03/30/15
AS 3.1	Do you use form FSA-765, Backup Log (per 2-IRM)?	We don't use form FSA-765. The form is not user friendly and it is more time consuming than our own internal log.	No	Yes	Our FSA office will use FSA-765 per 2-IRM to log information when backup tapes are taken offsite.  Start Date: 3/02/15 End Date: 3/02/15

FSA ISO personnel will follow up with Certifiers throughout FY 2015 to obtain a completion status of the mitigation plans.

### 3 Completing SCOAR (Continued)

#### E Metrics/Reports

For Certifiers (by State), the following metrics/reports will be available from the SCOAR Home Page:

- view the following State Completion Status (totals and percentages) for:
  - Not Started
  - Started
  - Started and Prepared
  - Started, Prepared & Reviewed
  - Certified
  - Mitigation Plans
- view list of offices for each step of the SCOAR
- view the following detailed State Assessment Results:
  - number of offices Not Started, Started, and Certified
  - each question and totals for each answer (how many answered YES or NO)
  - percentage that answered NO to each question
- view which offices answered NO to each question
- view detailed State Mitigation Plan Results
- export data to Excel.

For Preparers and Reviewers (by office), after the Preparer has answered all SCOAR questions, a detailed report can be printed and/or saved from the assessment summary detail page. Use the print option from user's Internet browser and select:

- user's local printer to print a hard copy
- "Adobe PDF" to save.

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### 4 Contact Information

#### A Completing SCOAR

For questions about completing SCOAR:

- County Offices shall contact their SLR
- State Offices shall contact their SLR or ISO Compliance Support at **SecurityCompliance@kcc.usda.gov**.

#### B Technical Issues

For technical issues with SCOAR, State and County Offices shall contact ISO Compliance Support at **SecurityCompliance@kcc.usda.gov**.

#### C Notice Guidance

For questions about this notice, contact either of the following:

- Seabelle Ball by e-mail at **seabelle.ball@wdc.usda.gov**
- Kendall Kukowski by e-mail at **kendall.kukowski@kcc.usda.gov**.