



# The National Science Foundation Polar Programs United States Antarctic Program

---

## Information Resource Management Directive 5000.04 USAP Information Security Risk Management

---

<b>Organizational Function</b>	Information Resource Management	<b>Policy Number</b>	5000.04
		<b>Issue Date</b>	1 August 2004
<b>Policy Category</b>	Information Security Policies and Instructions	<b>Effective Date</b>	1 August 2004
		<b>Updated</b>	11 May 2013
<b>Subject</b>	Risk Management	<b>Authorized By</b>	Section Head, NSF/GEO/PLR/AIL
<b>Office of Primary Responsibility</b>	National Science Foundation Geosciences Directorate Division of Polar Programs Antarctic Infrastructure & Logistics	<b>Responsible Official</b>	Primary Responsibility: Mr. Patrick D. Smith Technology Development Manager
			Security Responsibility: Ms. Desari Mattox USAP Information Security Manager
<b>Address</b>	Suite 755 4201 Wilson Blvd Arlington, VA 22230	<b>Phone</b>	703.292.8032
		<b>Fax</b>	703.292.9080
<b>Distribution</b>	USAP-Wide	<b>Web</b>	<a href="http://www.nsf.gov/div/index.jsp?div=PLR">http://www.nsf.gov/div/index.jsp?div=PLR</a>
<b>Online Publication</b>	<a href="http://www.usap.gov/technology/contentHandler.cfm?id=1563">http://www.usap.gov/technology/contentHandler.cfm?id=1563</a>	<b>Status</b>	Final Policy

---

### 1. PURPOSE

This policy establishes the Information Security Risk Management program for information resources supporting the National Science Foundation (NSF), Geosciences Directorate (GEO), Polar Programs (PLR), United States Antarctic Program (USAP). Risk is the possibility of something adverse happening. Risk management is the process of reducing risk by identifying, analyzing, controlling, and minimizing losses associated with events to a point acceptable to an organization. From a security perspective, risk is a function of the likelihood of a given threat source exercising a particular potential vulnerability, and the resulting impact of that adverse event on the organization.

### 2. BACKGROUND

Federal information technology regulations require USAP information resources to undergo an Information Security Risk Management process to identify the risks

associated with their operation and to take steps to reduce, and maintain that risk to an acceptable level.

### **3. GUIDING PRINCIPLES**

- Risk Management is integral to the development and operation of information resources.

### **4. POLICY**

The USAP risk management process applies to all USAP information resources.

#### **4.1 Operational Definitions**

##### **4.1.1 Risk**

Risk is the possibility of something adverse happening. From a security perspective, risk is a function of the likelihood of a given threat source exercising a particular potential vulnerability, and the resulting impact of that adverse event on the organization.

##### **4.1.2 Risk Assessment**

The technical evaluation of an information system's security features, safeguards, and vulnerabilities that establish the extent to which the system meets requirements to withstand identified threats at specified levels of risk and probability. The process includes quantifying the impact of potential threats, by putting a price or value on the cost of a lost functionality.

##### **4.1.3 Threat**

Any circumstance or event with the potential to cause harm to the NSF USAP through the disclosure, modification or destruction of information, or by the denial of critical services.

##### **4.1.4 Vulnerability**

The absence or weakness of a safeguard in an information system's security procedures, design, implementation, or internal controls that could be exploited in an unauthorized manner, resulting in a security breach or a violation of security policies.

#### **4.2 Information Security Risk Management**

The USAP Information Security Manager (ISM) will establish an information security risk management process to identify, analyze, control, and minimize the losses associated with identified threats and vulnerabilities. The program will include procedures for performing information security risk assessments to quantify the impact of potential threats and assign values on the cost of a lost functionality.

#### **4.3 Affected Information Systems**

All USAP information resources are covered under this policy. The ISM in conjunction with all USAP operational locations, will establish and maintain a list of identified threats

and potential losses associated with those threats, and implement appropriate risk reduction measures. Using the guidelines in NSF Manual 7, *The NSF Information Security Handbook*, the list will be updated periodically, or when major events occur. A copy of this list will be maintained in the contingency plan for each site.

#### **4.4 Participation**

All USAP organizational elements, U.S. Government employees, research grantees, private citizens, contractors and sub-contractors personnel, and foreign nationals will support the information security risk management program in an appropriate manner.

#### **4.5 Site Information Security Assessments**

To comply with NSF guidance, the ISM will perform annual risk assessments for each USAP operating location.

#### **4.6 New Information Systems**

To comply with OMB Circular A-130, all new information systems acquired or developed for NSF PLR to support USAP science or operations requirements will incorporate the NIST Risk Management process in their project and system life cycle planning.

#### **4.7 Commercial Off-The-Shelf Applications**

Commercial off-the-shelf (COTS) applications will be evaluated to assess the risks associated with their use. The evaluation will use the common criteria where applicable.

#### **4.8 Legacy Information Systems**

Older information systems that play critical roles in the accomplishment of USAP science or operations tasks, but that have exceeded their design lives will be assessed to determine the risks associated with their continued operation.

#### **4.9 Science Grant Information Systems**

Information systems employed within a science grant project that are managed by the grant team. These systems are typically procured using NSF grant funds, or funds from the sponsoring institution. For the purposes of the USAP, these systems are typically considered non-USAP systems. Per direction of PLR, these systems will be assessed to determine the risks associated with their connection to the USAP information infrastructure.

### **5. APPLICABILITY AND COMPLIANCE**

This policy applies to all information resources, systems, and technology and to all users of these resources, systems and technology within the USAP operating environment or connected to the USAP information infrastructure. Compliance with this policy is as indicated in USAP Information Resource Management Directive 5000.01, *The USAP Information Security Program*.

## **6. RESPONSIBILITIES**

Within the NSF and the USAP, several elements have specific responsibilities with respect to the information security risk management program.

### **6.1 USAP Information Security Manager**

The USAP ISM develops and implements the information security risk management process, in alignment with guidance from the NSF Chief Information Officer (CIO) and NSF Information Security Officer (ISO).

### **6.2 USAP Information Systems Owners**

Owners of USAP information systems ensure their systems comply with appropriate federal guidelines for risk assessment and risk management.

## **7. POLICY IMPLEMENTATION**

### **7.1 Implementation**

The ISM will develop appropriate processes, standards, and procedures to implement the USAP information security risk management program. USAP organizational elements will document and publish procedures as appropriate to implement specific tasks needed to comply with this policy.

## **8. AUTHORITY**

Publication of this policy is in conformance with the authority of the National Science Foundation Act of 1950, as amended and extended, the Federal Information Security Management Act of 2002 and NSF guidance.

Brian Stone  
Section Head, NSF/GEO/PLR/AIL

