



FISMA Readiness Case Study

National Financial Services Company

California, United States



Founded in 2007, this company delivers comprehensive corporate, financial, and legal administration services across the United States.

Key figures:

- Administered over 9,000 matters.
- Distributed over \$8 billion in funds.
- 50 states served.

The Challenge

This company wanted to expand their business into the public sector. To achieve this, they needed to demonstrate security and privacy NIST-800-53 framework controls. This was necessary to pass their FISMA assessment and achieve an Authority to Operate from targeted public sector clients.

Growth Roadblocks



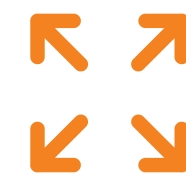
Processing Infrastructure

Specific security and privacy requirements must be demonstrated and tested in order to do business with the public sector.



Resource Restraints

Competing priorities combined with big initiatives left little bandwidth to handle this without help from an outside partner.



FISMA Assessment

Without passing their FISMA assessment, strategic business expansion goals could not be met.

Our Approach

We operated as this company's go-to partner, working alongside internal team members, removing the resource restraints preventing their ability to demonstrate the FISMA requirement needed to go to market in the public sector..

- 1 Completed a scoping analysis to confirm critical systems and performed a Readiness Assessment against necessary FISMA requirements.
- 2 Conducted 20 in-depth walkthrough sessions with internal subject matter experts. From these interviews, we analyzed alignment of configurations, processes, and program activities against the NIST-800-53 control families.
- 3 Provided required artifacts to use in their FISMA Assessment. Our streamlined processes enabled efficient evidence gathering and helped fill documentation gaps, which meant evidence was prepped and ready for the external assessors.
- 4 Established a four-month review timeframe to manage project progress, document control review, and ultimately provide the necessary artifacts for the external assessor.

Our Analysis

300+ Controls Assessed

During our Readiness Assessment, we analyzed and documented the requirements needed for this company's targeted new client growth.

- With over **300 controls**, it was vital for this organization to efficiently manage their FISMA program.

Conducting in-depth walkthrough sessions allowed us to provide the required program documentation needed for work under government contracts:

- System Security Plan (SSP)
- System Privacy Plan (SPP)
- Privacy Impact Analysis (PIA)
- Plans of Action & Milestones (POA&M)

The company would need to complete the required documentation (a significant undertaking!) and implement certain process and system changes to accomplish their goals.

Recommended Actions

Immediate:

- Lead monthly meetings in preparation for compliance deliverables as required to meet continuous monitoring obligations.
- Confirm critical POA&Ms are remediated and ongoing monitoring is established.
- Enable sales team with knowledge of newly attained authorizations to explore additional client opportunities.

Long Term:

- Keep SSP and SPP updated as business operations and systems evolve.
- Maintain policies and internal communication standards.
- Run monthly maintenance reports to identify and remediate vulnerabilities.
- Leverage the Asureti deliverables to expand their public sector client footprint.

Project Recap

30+ Policies & Procedures Developed

By partnering with a trusted FISMA readiness assessor, the company received more than 30 newly developed, customized policies and procedures, as well as a 251-page System Security and Privacy Plan.

The organization could now expand by working with government agencies.

The Asureti engagement streamlined their future processes, leading to reduced cost, enhanced efficiencies, and increased institutional knowledge. They can now confidently engage public sector entities for continued expansion and growth.

Similar Challenge?

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