



National Security Agency/Central Security Service



INFORMATION ASSURANCE DIRECTORATE

CGS Finance Capability

Version 1.1.1

Finance is an integral part of the Organization's process for obtaining funds for the procurement of information assurance (IA) services and products in line with the Organization's current budget. The Finance Capability ensures that Organizations have budgeted for IA programs, products, and services throughout the Enterprise. The budget includes funding for personnel, operational, environmental, and technical considerations, as well as funding for enabling supporting resources such as IA training and recruitment.

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1 Revisions

Name	Date	Reason	Version
CGS Team	30 June 2011	Initial release	1.1
CGS Team	30 July 2012	Inclusion of new IAD document template & Synopsis	1.1.1



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2 Capability Definition

The Capability definition provides an understanding of the importance of the Capability to the Enterprise. It provides a high-level overview of the Capability based on definitions derived from Committee on National Security Systems (CNSS) Instruction No. 4009.

Finance is an integral part of the Organization's process for obtaining funds for the procurement of information assurance (IA) services and products in line with the Organization's current budget. The Finance Capability ensures that Organizations have budgeted for IA programs, products, and services throughout the Enterprise. The budget includes funding for personnel, operational, environmental, and technical considerations, as well as funding for enabling supporting resources such as IA training and recruitment.

3 Capability Gold Standard Guidance

The Capability Gold Standard Guidance evaluates the Enterprise needs and overlays the expected Gold Standard behavior. The guidance goes beyond the concept of "good enough" when describing the Gold Standard recommendations, considers industry best practices, and describes a level of security that not only meets current standards but also exceeds them across the Enterprise.

The Finance Capability defines the IA budget for the Enterprise and ensures proper allocation of funds to ensure IA objectives are met. IA funding is an integral part of the Enterprise's overall budget process for the research, development, implementation, testing, and procurement of IA services and products.

The Finance Capability activities shall be performed by a centralized and dedicated office that has visibility across the Enterprise, understands the IA needs, and can ensure communication across the Enterprise with the Finance Office. When resources are used across multiple activities, the Finance Office shall have an understanding of the overall mission and the investments being made by the Enterprise, as provided by the Portfolio Management Capability, to determine where duplication of effort may be occurring. The Finance Capability shall consider the IA technology lifecycle needs including technology refresh, such as the replacement of old technology.

Personnel making budgetary decisions shall consult with systems security engineering personnel as well as other security stakeholders, system owners, and process owners



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to determine IA budgetary needs. Finance and budgetary decisions shall work with the Portfolio Management Capability to ensure funding alignment with the identified gaps. The Portfolio Management Capability shall determine current and future investment needs and prioritize investments based on those needs. The Finance Capability shall make recommendations to the Portfolio Management Capability to reallocate funds as necessary based on budget execution. The Finance Capability shall be responsible for ensuring funding based on the prioritized investments. In addition, while the Acquisition Capability is responsible for execution of the budget, the Finance Capability shall be responsible for execution oversight. Funding shall be provided based on Enterprise needs; Enterprise needs shall not be defined based on allocated funding.

The Finance Capability shall employ services from a program management (PM) role or office to ensure that all activities and resources are managed according to the PM plan and the Manage the Lifecycle Capabilities to meet the IA objectives established and to execute the funds. The Overall Manage the Lifecycle Capabilities provide information to the Finance Capability regarding the comparison of status of programs with performance goals.

IA financial requirements shall be captured, vetted, and approved, in alignment with strategic direction and the IA Policies, Procedures, and Standards Capability before budget is allocated to an Enterprise program. The Finance Capability process and procedures shall align with current Enterprise budgetary and reporting processes as defined by the IA Policies, Procedures, and Standards and include considerations for technical, personnel, operational, and environmental funding. The budgetary needs for all Community Gold Standard (CGS) Capabilities shall be considered in accordance with the Enterprise's mission needs.

Technology is used to ensure the overall security of the Enterprise. The Finance Capability shall ensure that IA offices and personnel making budgetary decisions account for the Enterprise's technology needs as they evolve. In addition, the Finance Capability shall fund technology to ensure that it is sustainable and maintainable over the solution's lifetime. When defining technology funding needs, the Enterprise shall ensure that technology training is included in the budget. Budgetary considerations shall also be given to filling requirements provided by Acquisition, including requirements for technology that needs to be bought versus built.

The Finance Capability provides the budget for the Enterprise IA staff. Staffing needs include personnel needed to perform day-to-day IA functions in addition to specialized



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IA staff that may be needed on a per-program basis. The Enterprise will also consider and account for the fact that funding considerations, such as funding timeframes, are different for civilian, military, and contractor resources.

The Finance Capability shall ensure the funding allocations follow the Enterprise processes and procedures. Finance shall also ensure that budget and funding allocations support the execution of IA processes and procedures, as well as Enterprise activities such as IA Awareness and Training.

The Finance Capability shall ensure that budget and funding allocations are available to support the Enterprise environmental conditions and needs such as heating, ventilation, and air conditioning (HVAC). In addition, the Finance Capability shall ensure that budget and funding allocations are available to support the Enterprise critical facility services such as electrical power, telephone communications, water, and secure storage.

4 Environment Pre-Conditions

The environment pre-conditions provide insight into environmental, user, and technological aspects needed for Capability implementation. These pre-conditions are services or other Capabilities that must be in place within the Enterprise for the Capability to function.

1. Financial resources are limited.
2. There is an established budgetary process.
3. Budgets are followed.
4. There is an established Portfolio Management process.
5. All programs have an established PM role or office to manage activities and resources.

5 Capability Post-Conditions

The Capability post-conditions define what the Capability will provide. They define functions that the Capability will perform or constraints that the Capability will operate under when performing its function.

1. The Capability ensures that considerations for IA have been budgeted throughout the lifecycle.
2. The Capability makes recommendations regarding how to reallocate funding as necessary.
3. The Capability ensures that certification and accreditation (C&A) is included in the budget for all development projects and operational systems.



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4. The Capability defines the budget for acquisition and maintenance of IA products and services.

6 Organizational Implementation Considerations

Organizational implementation considerations provide insight into what the Organization needs to establish, ensure, and have in place for the specified Capability to be effective. It provides guidance specific to the actions, people, processes, and departments that an Organization will need to execute or establish to implement the guidance described in Section 3 (Capability Gold Standard Guidance).

The Organization determines the IA budget based on the Enterprise funding requirements. The Organization will analyze IA program financial needs. In addition, the Organization will decide on the IA funding investments needed for IA Acquisitions based on Portfolio Management determination and prioritization of current and future investment needs.

The Organization will ensure that Finance activities are performed by a centralized and dedicated office that has visibility across the Enterprise and understands the IA needs. This Finance Office will conduct the analysis to determine the Organization's IA financial needs, which are based on current and future investments. The Organization will ensure that budget and funding allocations support the Enterprise activities such as IA awareness, maintenance, and training over the development and production lifecycle. Finance also will ensure that financed technology is sustainable.

The Organization will provide information to the Organizations and Authorities Capability to establish the roles and responsibilities necessary to implement the Finance Capability. In addition, the Organization will ensure that the Finance Capability provides budget and funding allocations to support the Enterprise critical facility services such as electrical power, telephone communications, water, and secure storage.

The Organization will oversee the execution of the IA funding and ensure that the execution of funding against the IA performance goals is on target by responding through technical reviews and status checks to relate to the intended goal. In addition, the Organization will ensure that Finance budget and funding allocations support the execution of IA processes and procedures and align with current Enterprise budgetary and reporting processes as defined by the IA Policies, Procedures, and Standards.



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7 Capability Interrelationships

Capability interrelationships identify other Capabilities within the Community Gold Standard framework that the Capability in this document relies on to operate. Although there are many relationships between the Capabilities, the focus is on the primary relationships in which the Capabilities directly communicate with or influence one another.

7.1 Required Interrelationships

The following Capability interrelationships include the other Capabilities within the Community Gold Standard framework that are necessary for the Capability in this document to operate.

- Acquisition–The Finance Capability relies on the Acquisition Capability to provide execution of the budget.
- Development–The Finance Capability relies on the Development Capability to provide information regarding the comparison of status of programs with performance goals. The Finance Capability employs services from a PM role or office to ensure that all activities and resources are managed according to the PM plan.
- Deployment–The Finance Capability relies on the Deployment Capability to provide information regarding the comparison of status of programs with performance goals. The Finance Capability employs services from a PM role or office to ensure that all activities and resources are managed according to the PM plan.
- Operations and Maintenance–The Finance Capability relies on the Operations and Maintenance Capability to provide information regarding the comparison of status of programs with performance goals. The Finance Capability employs services from a PM role or office to ensure that all activities and resources are managed according to the PM plan.
- Decommission–The Finance Capability relies on the Decommission Capability to provide information regarding the comparison of status of programs with performance goals. The Finance Capability employs services from a PM role or office to ensure that all activities and resources are managed according to the PM plan.

7.2 Core Interrelationships

The following Capability interrelationships include the Capabilities within the Community Gold Standard framework that relate to every Capability.



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- Portfolio Management–The Finance Capability relies on the Portfolio Management Capability to determine current and future investment needs and prioritize investments based on those needs.
- IA Policies, Procedures, and Standards–The Finance Capability relies on the IA Policies, Procedures, and Standards Capability to provide information about applicable federal laws, Executive Orders, regulations, directives, policies, procedures, and standards.
- IA Awareness–The Finance Capability relies on the IA Awareness Capability for an awareness program to inform personnel of their responsibilities related to IA.
- IA Training–The Finance Capability relies on the IA Training Capability to provide training programs related to IA activities in accordance with agency policies.
- Organizations and Authorities–The Finance Capability relies on the Organizations and Authorities Capability to establish the relevant roles and responsibilities.

7.3 Supporting Interrelationships

The following Capability interrelationships include the other Capabilities within the Community Gold Standard framework that are not necessary for the Capability to operate, although they support the operation of the Capability in this document.

- None

8 Security Controls

This section provides a mapping of the Capability to the appropriate controls. The controls and their enhancements are granularly mapped according to their applicability. In some instances, a control may map to multiple Capabilities.

Control Number/Title	Related Text
NIST SP 800-53 Revision 3, <i>Recommended Security Controls for Federal Information Systems and Organizations</i>	
SA-2 ALLOCATION OF RESOURCES	Control: The organization: c. Establishes a discrete line item for information security in organizational programming and budgeting documentation. Enhancement/s: None Specified.
PM-3 INFORMATION SECURITY RESOURCES	Control: The organization: a. Ensures that all capital planning and investment requests include the resources needed to implement the information security program and documents all exceptions to this



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	<p>requirement;</p> <p>b. Employs a business case/Exhibit 300/Exhibit 53 to record the resources required; and</p> <p>c. Ensures that information security resources are available for expenditure as planned.</p> <p>Enhancement/s: None Specified.</p>
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9 Directives, Policies, and Standards

This section identifies existing federal laws, Executive Orders, regulations, directives, policies, and standards applicable to the Capability but does not include those that are agency specific.

Finance Directives and Policies

Title, Date, Status	Excerpt / Summary
Intelligence Community (IC)	
ICD 500 Director of National Intelligence, Chief Information Officer, August 2008, Unclassified	Summary: This directive establishes the responsibilities of the Associate Director of National Intelligence/Chief Information Officer (ADNI/CIO). The Intelligence Community (IC) CIO is responsible for monitoring the performance of information technology programs of the IC and advising the DNI to continue, modify, or terminate projects. This responsibility provides oversight of program funding and budgets.
Comprehensive National Cybersecurity Initiative (CNCI)	
NSPD-54/HSPD-23 Cybersecurity Presidential Directive (Comprehensive National Cybersecurity Initiative [CNCI]), 8 January 2008, Classified	Summary: National Security Presidential Directive-54/Homeland Security Presidential Directive-23 (NSPD-54/HSPD-23), in which the Comprehensive National Cybersecurity Initiative (CNCI) is described, is classified. Initiative 7 deals with increasing the security of classified networks.
Department of Defense (DoD)	
DoDD 5144.1 Assistant Secretary of Defense for Networks and Information Integration/DoD Chief	Summary: This directive establishes responsibilities for the Assistant Secretary of Defense for Networks and Information Integration (ASD(NII)): Participate, pursuant to the responsibilities and functions prescribed herein, in the



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<p>Information Officer, 2 May 2005, Unclassified</p>	<p>Department of Defense (DoD) Planning, Programming, Budgeting, and Execution process, which includes proposing DoD programs, formulating budget estimates, recommending resource allocations and priorities, and monitoring the implementation of approved programs to ensure adherence to approved policy and planning guidance. This includes conducting program evaluation, assessments, and cross-program reviews, when applicable.</p> <p>Direct the heads of the DoD components to plan, program, budget, and execute programs that will develop material solutions for Joint Capability Integration and Development System-approved joint C2 capabilities.</p>
<p>DoDD 8500.01E Information Assurance, 23 April 2007, Unclassified</p>	<p>Summary: This directive established policy that information assurance (IA) shall be a visible element of all investment portfolios incorporating DoD-owned or DoD-controlled information systems, including outsourced business processes supported by private sector information systems and outsourced information technologies; and shall be reviewed and managed relative to contributions to mission outcomes and strategic goals and objectives. In addition, it assigns responsibility to the heads of DoD components to develop and implement an IA Program, coordinate with the Joint and Defense-wide programs, and collect and report IA management and financial data.</p>
<p>Committee for National Security Systems (CNSS)</p>	
<p>Nothing found</p>	
<p>Other Federal (OMB, NIST, ...)</p>	
<p>Nothing found</p>	
<p>Executive Branch (EO, PD, NSD, HSPD, ...)</p>	
<p>Nothing found</p>	
<p>Legislative</p>	
<p>Nothing found</p>	



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Finance Standards

Title, Date, Status	Excerpt / Summary
Intelligence Community (IC)	
Nothing found	
Comprehensive National Cybersecurity Initiative (CNCI)	
Nothing found	
Department of Defense (DoD)	
Nothing found	
Committee for National Security Systems (CNSS)	
Nothing found	
Other Federal (OMB, NIST, ...)	
Nothing found	
Executive Branch (EO, PD, NSD, HSPD, ...)	
Nothing found	
Legislative	
Nothing found	
Other Standards Bodies (ISO, ANSI, IEEE, ...)	
Nothing found	

10 Cost Considerations

This section provides examples of some of the types of costs that the Organization will need to consider when implementing this Capability. The following examples are costs that are common across all of the Community Gold Standards Capabilities:

1. Solution used for implementation (hardware and/or software)
2. Necessary training
3. Licensing (if applicable)
4. Lifecycle maintenance



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5. Impact/dependency on existing services
6. Manpower to implement, maintain, and execute
7. Time to implement, maintain, and execute
8. Network bandwidth availability and consumption
9. Scalability of the solution relative to the Enterprise
10. Storage and processing requirements

In addition to the common costs, the following are examples of cost considerations that are specific to this Capability:

1. Manpower to implement, maintain, and execute—This Capability requires a dedicated office to handle finance matters. This office needs to be staffed by a dedicated team of personnel.
2. Limit resources—Some missions may not receive adequate funding because limited financial resources were allocated to a higher prioritized mission.
3. Varying timeframes—Government, civilian, and contractor resources used by the Enterprise may operate in varying financial timeframes that need to be accounted for by this Capability.
4. Overhead resources—There must be funding allocated for critical overhead resources, such as technology infrastructure and security mechanisms, before other missions can receive funding.

11 Guidance Statements

This section provides Guidance Statements, which have been extracted from Section 3 (Capability Gold Standard Guidance) of this Capability document. The Guidance Statements are intended to provide an Organization with a list of standalone statements that are representative of the narrative guidance provided in Section 3. Below are the Guidance Statements for the Finance Capability.

- Finance ensures that Organizations have budgeted for IA programs, products, and services throughout the Enterprise. The budget includes funding for personnel, operational, environmental, and technical considerations, as well as funding for enabling supporting resources such as IA training and recruitment.
- Finance activities shall be performed by a centralized and dedicated office that has visibility across the Enterprise, understands the IA needs, and can ensure communication across the Enterprise.
- When resources are used across multiple activities, the Finance Office shall have an understanding of the overall mission and the investments being made by the Enterprise, to determine where duplication of effort may be occurring.



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- The Enterprise shall consider the IA technology lifecycle needs including technology refresh, such as the replacement of old technology.
- Personnel making budgetary decisions shall consult with systems security engineering personnel as well as other security stakeholders, system owners, and process owners to determine IA budgetary needs.
- Finance and budgetary decisions shall work with the portfolio management system to ensure funding alignment with the identified gaps.
- The Enterprise shall make recommendations to reallocate funds, as necessary, based on budget execution.
- The Enterprise shall be responsible for ensuring funding based on the prioritized investments.
- The Enterprise shall be responsible for financial execution oversight.
- Funding shall be provided based on Enterprise needs; Enterprise needs should not be defined based on allocated funding.
- The Enterprise shall employ services from a PM role or office to ensure that all activities and resources are managed according to the PM plan to meet the IA objectives established and to execute the funds.
- IA financial requirements shall be captured, vetted, and approved, in alignment with strategic direction and the IA policies, procedures, and standards before the budget is allocated to an Enterprise program.
- The Finance process and procedures shall align with current Enterprise budgetary and reporting processes as defined by the IA policies, procedures, and standards and include considerations for technical, personnel, operational, and environmental funding.
- All budgetary needs shall be considered in accordance with the Enterprise's mission needs.
- The Enterprise shall ensure that IA offices and personnel making budgetary decisions account for the Enterprise's technology needs as they evolve.
- The Enterprise shall fund technology to ensure that it is sustainable and maintainable over the solution's lifetime.
- The Enterprise shall account for funding needs for technology training and technology that needs to be bought versus built.
- The Enterprise shall ensure the funding allocations follow the Enterprise-executed IA processes and procedures.
- The Finance Capability shall ensure that budget and funding allocations are available to support the Enterprise environmental conditions and facility services.