

SWOG Statistics and Data Management Center
Supported at Cancer Research And Biostatistics



2023-2024 FISMA
Compliance Assessment

**Federal Information Security Modernization Act of 2014 Reviewed*
November 17, 2023

Covering Security for Systems within the
Scope of FISMA 2002 Requirements

Statement of Certification and Accreditation

The undersigned certify that to their knowledge that SWOG Cancer Research Network Statistics and Data Management Center (SDMC) information systems and constituent system-level components located at Cancer Research And Biostatistics (CRAB) and within the purview of FISMA 2014 and the NIST Risk Management Framework (v. 1.1), including the Rave® Electronic Data Capture (EDC) system hosted at Medidata, meet compliance requirements. Based on security certifications of systems and supporting evidence provided in the associated security accreditation package (including current system security plan, security assessment report, and plan of action and milestones), the undersigned have determined that risk to information provided by public and private agencies is acceptable. This is a formal declaration that security controls have been implemented in the information system and that security meets or surpasses levels of acceptable risk. A summary of recommendations for implementation of additional security controls is attached.

This certification and accreditation of the information system will remain in effect through the next renewal period, 4th quarter of 2023, as long as any potential vulnerability reported during continuous monitoring processes do not result in unacceptable risk.

DocuSigned by:

Lisa R. Upshaw

Signer Name: Lisa Upshaw
Signing Reason: I approve this document
Signing Time: 28 December 2023 | 2:37:18 PM PST

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Lisa Upshaw, Director of Quality and Regulatory Compliance

DocuSigned by:

Curt Malloy

Signer Name: Curt Malloy
Signing Reason: I approve this document
Signing Time: 07 January 2024 | 9:31:39 PM PST

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Curt Malloy, Vice President, Chief Operations Officer



November 17, 2023

DocuSigned by:

Chris Cook

Signer Name: Chris Cook

Signing Reason: I approve this document

Signing Time: 28 December 2023 | 2:12:40 PM PST

45B82BC752914E8CB08DF526E9D58A6D

Chris Cook, Vice President, Chief Technology Officer

The complete 2022-2023 FISMA Compliance Assessment and summary of recommendations is available to SWOG member institutions upon request.



Certification based upon NIST Risk Management Framework, including in part:

Special Publications

800-52 Rev. 2 (August 2019)

800-53 Rev. 5 (Dec 2020) Security and Privacy Controls for Information Systems and Organizations

800-53B (Oct 2020) Control Baselines for Information Systems and Organizations

800-60, Rev. 1 (Aug. 2008) Guide for Mapping Security Controls

FIPS Publications

140-3 (March 2019) Security Requirements for Cryptographic Modules

199 (Feb. 2004) Standards for Security Categorization of Federal Information and Information Systems

200 (March 2006) Minimum Security Requirements for Federal Information and Information Systems

Other NIST Publications and Security Analysis Tools