THE UNIVERSITY OF TENNESSEE
MARTIN

UT - Martin Policy:	
IT0121-M-A - Mandatory and Discretionary Controls	
Version: 2	Effective Date: 06/22/2021

Appendix A – Mandatory and Discretionary Controls

NIST SP 800-53 Rev 4 Control		Implemented	Planned
Access Controls			
AC-2	Account Management	X	
AC-3	Access Enforcement	X	
AC-5	Separation of Duties		X
AC-6	Least Privilege		X
AC-7	Unsuccessful Login Attempts	X	
AC-8	System Use Notification*	X	
AC-11	Session Lock*	In progress	
Awareness and Security Training			
AT-2	Security Awareness Training	X	
AT-2.1	Practical Exercises	X	
AT-3	Role-Based Security Training	X	
AT-4	Security Training Records	X	
Audit and Accountability			
AU-2	Audit Events	X	
AU-3	Content of Audit Records	X	
AU-4	Audit Storage Capacity	X	
AU-6	Audit Review, Analysis, and Reporting	X	
AU-8	Time Stamps	X	
AU-11	Audit Records Retention	X	
Security Assessment and Authorization			
CA-2	Security Assessments	X	
CA-3	System Interconnections	X	
CA-5	Plan of Action and Milestones	X	
CA-6	Security Authorization	X	
CA-7	Continuous Monitoring	X	
Configuration Management			
CM-2	Baseline Configuration	X	
CM-2.1	Reviews and Updates	X	
CM-2.3	Retention of Previous Configurations		X
CM-3	Configuration Change Control	X	
CM-4	Security Impact Analysis	X	
CM-6	Configuration Settings	X	
CM-7	Least Functionality	X	
CM-7.1a	Periodic Review	X	
CM-7.1b	Disable Unnecessary / Nonsecure Functions, Ports, Protocols, etc.	X	
CM-9	Configuration Management Plan	X	

*not referenced by a program or plan

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Contingency Planning			
CP-1	Contingency Planning Policy and Procedures	X	
CP-2	Contingency Plan	X	
CP-3	Contingency Training	X	
CP-4	Contingency Plan Testing	X	
CP-6	Alternate Storage Site	X	
CP-9	Information System Backup	X	
CP-10	Information System Recovery and Reconstitution	X	
Identification and Authentication			
IA-1	Identification and Authentication Policy and Procedures	X	
IA-4	Identifier Management	X	
IA-5	Authenticator Management	X	
IA-6	Authenticator Feedback	X	
Incident Response			
IR-3	Incident Response Testing	X	
IR-4	Incident Handling	X	
IR-5	Incident Monitoring	X	
IR-6	Incident Reporting	X	
IR-7	Incident Response Assistance	X	
IR-8	Incident Response Plan	X	
Media Protection			
MP-1	Media Protection Policy and Procedures	X	
MP-2	Media Access	X	
MP-4	Media Storage	X	
MP-5	Media Transport	X	
MP-6	Media Sanitization	X	
MP-7	Media Use	X	
Physical and Environmental Protection			
PE-2	Physical Access Authorizations	X	
PE-3	Physical Access Control	X	
PE-6	Monitor Physical Access	X	
PE-8	Visitor Access Records	X	
PE-10	Emergency Shutoff	X	
PE-11	Emergency Power	X	
PE-12	Emergency Lighting	X	
PE-13	Fire Protection	X	
PE-14	Temperature and Humidity Controls	X	
Personnel Security			
PS-3	Personnel Screening	X	
PS-4	Personnel Termination	X	
PS-7	Third-Party Personnel Security	X	
PS-8	Personnel Sanctions	X	

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Risk Assessment			
RA-2	Security Categorization	X	
RA-3	Risk Assessment	X	
RA-3a	Conduct Risk Assessment	X	
RA-3b	Documents Risk Assessment Results	X	
RA-3c	Reviews Risk Assessment Results	X	
RA-5	Vulnerability Scanning	X	
System and Communications Protection			
SC-1	System and Communications Protection Policy and Procedures	X	
SC-5	Denial of Service Protection	X	
SC-7	Boundary Protection	X	
SC-12	Cryptographic Key Establishment and Management	X	
SC-15	Collaborative Computing Devices	X	
SC-20	Secure Name /Address Resolution Service (Authoritative Source)	X	
SC-21	Secure Name /Address Resolution Service (Recursive or Caching Resolver)	X	
SC-22	Architecture and Provisioning for Name/Address Resolution Service	X	
System and Information Integrity			
SI-1	System and Information Integrity Policy and Procedures	X	
SI-2	Flaw Remediation	X	
SI-3	Malicious Code Protection	X	
SI-4	Information System Monitoring	X	
SI-8	Spam Protection	X	
SI-12	Information Output Handling and Retention	X	