

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION UI
	CORRESPONDENCE SYMBOL OUI/DPM
	DATE February 18, 2011

ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 24-04,
Change 5

TO: STATE WORKFORCE AGENCIES

FROM: JANE OATES 
Assistant Secretary

SUBJECT: Unemployment Insurance (UI) Information Technology (IT) Security –
Additional Information

1. **Purpose.** To provide State Workforce Agencies (SWAs) with additional information on the National Institute of Standards and Technology (NIST) IT security guidelines.
2. **References.** Unemployment Insurance Program Letter (UIPL) 24-04, and Changes 1, 2, 3, and 4, ET Handbook No. 336, 18th Edition, the Unemployment Insurance (UI) State Quality Service Plan (SQSP) Planning and Reporting Guidelines, Chapter 1, Section VI, C, Supplemental Budget Requests (SBRs) and Chapter 1, Section VII, J, Assurance of Automated Information System Security, Federal Information Processing Standards (FIPS) Publication 199, Standards for Security Considerations of Federal Information and Information Systems, FIPS Publication 200, Minimum Security Requirements for Federal Information and Information Systems, NIST Special Publication (SP) 800-53, Recommended Security Controls for Federal Information Systems, and NIST SP 800-53A, Guide for Assessing the Security Controls in Federal Information Systems.
3. **Background.** Since fiscal year 2002, the Office of Inspector General has conducted IT security audits to determine if the Employment and Training Administration provides sufficient oversight of the SWAs' IT security for the UI program. UIPL 24-04, and Changes 1, 2, 3, and 4 provided the SWAs with IT security guidance via a Compact Disk (CD), titled *IT Security Information*.
4. **Additional Guidance.** In an ongoing effort to provide security guidance to the SWAs, this UIPL is issued to explain the accompanying CD, which includes new and updated NIST SPs. The following NIST publications are important for conducting security assessments of UI systems:
 - FIPS Publication 199 provides standards for categorizing information and information systems.

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- FIPS Publication 200 and NIST SP 800-53 provide guidelines for selecting and specifying security controls that meet minimum security requirements for information systems.
- NIST SP 800-53A provides a standard methodology for capturing the results of system-level security controls assessments by providing a form to comprehensively, consistently, and cost effectively show the results of a security controls assessment.

The U.S. Department of Labor strongly encourages each SWA to conduct an IT security assessment in accordance with the NIST guidelines. The results of this security assessment can be used each year as a basis for providing the assurance referenced in Handbook 336, Chapter 1, Section VI, C, SBRs and Chapter 1, Section VII, J, Assurance of Automated Information System Security.

SWAs can use the “UI IT Security” document provided on the CD as a reference while conducting the security assessment to find the specific law, regulation, or NIST SP to help answer their questions. The security assessment is based on criteria and guidance established by NIST and specified in the SPs. SWAs can conduct a security assessment of their UI systems to verify that security controls conform to the different laws, regulations, and the guidance established by NIST.

5. **Action Requested.** SWAs are asked to:

- Review the NIST IT security documents and guidelines; and
- Use FIPS 199 to categorize the information system, FIPS 200/NIST SP 800-53 for the specification of security controls, and NIST SP 800-53A for the assessment of security control effectiveness.

6. **Inquiries.** Direct questions to the appropriate Regional Office or in the National Office to Paul Banks at 202-693-3053, bankes.paul@dol.gov; or Jagruti Patel, 202-693-3059, patel.jagruti@dol.gov.

7. **Separate Cover.** A CD titled *IT Security Information – Version 6* will be sent separately.