



U.S. Commodity Futures Trading Commission
Office of the Inspector General
Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581

Executive Summary

Audit: Fiscal Year 2023 U.S. Commodity Futures Trading Commission Compliance with the Federal Information Security Modernization Act of 2014, 23-AU-03, April 29, 2024

What is the Overall Status?

The U.S. Commodity Futures Trading Commission (The Commission) information security program continues to operate **effectively**. The Commission's security controls are sufficient by design and operating as intended. Additionally, the FY 2023 OIG audit indicated that the Commission has implemented additional actions to mature the program. The OIG team acknowledges the Commission's migration to a Cloud services environment.

What We Observed?

We identified four recommendations for the Commission to consider. Management concurred with the recommendations. Due to the sensitive nature of this audit report, specific details are omitted from publication.

Purpose

To meet our annual FISMA reporting responsibilities, we reviewed the information security program and practices of the Commission. Our specific audit objectives, based on the legislation's requirements, were to evaluate the effectiveness of the Commission's (1) security controls and techniques associated with the twenty-core metrics and (2) information security policies, procedures, and practices.

Background

FISMA requires each Inspector General to conduct an annual independent evaluation of their agency's information security program, practices, and controls for select systems. The Office of Management and Budget's (OMB) *FY 2023–2024 Inspector General Federal Information Security Modernization Act of 2014 (FISMA) Reporting Metrics* directs Inspectors General to evaluate the maturity level (from a low of 1 to a high of 5) of their agency's information security program for FY 2023.