



October 3, 2024

Executive Summary: *Audit of the U.S. Commodity Futures Trading Commission Compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2024 (24-AU-04)*

What is the Overall Status?

The independent auditor’s assessment concluded that the U.S. Commodity Futures Trading Commission (Commission) information security program continues to operate **effectively**. The Commission’s security controls are sufficient by design and operating as intended. Additionally, the report indicated that the Commission has implemented additional actions to mature the program with certain attributes considered optimal.

What We Observed?

The audit identified four recommendations for the Commission consider to enhance the posture of the program. Management concurred with the recommendations. Due to the sensitive nature of this report, specific details pertaining to the substance of the recommendations are omitted from publication.

Purpose

To meet our annual FISMA reporting responsibilities, we contracted the review of the information security program and practices of the Commission. The 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 and seventeen-supplemental metrics (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 2024.