Department of Homeland Security

National Protection and Programs Directorate

**Paperwork Reduction Act**

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IT SCC - Questions for SMBs.[[1]](#footnote-1)

This is a two-part questionnaire. Questions 1-11 are intended for CEO, while the remaining portion requires technical information and should be filled out by CISO and IT staff.

Respondent Contact Information

Name (Last, First) and Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **What is the organization’s core business function?**

[ ]  511210 - Software Publishers

[ ]  518210 - Data Processing, Hosting, and Related Services

[ ]  519130 - Internet Publishing and Broadcasting and Web Search Portals

[ ]  519190 - All Other Information Services

[ ]  541511 - Custom Computer Programming Services

[ ]  541512 - Computer Systems Design, Development and Integration Services

[ ]  541513 - Computer Facilities Management Services

[ ]  541519 - Other Computer Related Services

[ ]  Public Federal

[ ]  Public State

[ ]  Local Municipality

[ ]  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **What are the primary industry sectors your organization is supporting, i.e. what type of customers constitute your primary market segment?**

|  |  |
| --- | --- |
| **Private:**[ ]  Chemical Facilities[ ]  Commercial Facilities[ ]  Communications [ ]  Critical Manufacturing[ ]  Dams[ ]  Defense Industrial Base[ ]  Emergency Services[ ]  Energy[ ]  Financial Services | [ ]  Food and Agriculture[ ]  Healthcare and Public Health[ ]  Information Technology[ ]  Nuclear Reactors, Materials and Waste[ ]  Transportation[ ]  Water and Wastewater[ ]  Non-profit/Not for profit[ ]  Academic[ ]  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Public:** [ ]  Federal[ ]  State  | [ ]  Local Municipality[ ]  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. **Size of the company:**
	1. **What is your estimated annual revenue?**

|  |  |
| --- | --- |
| [ ]  < $1M[ ]  $1M-$5M[ ]  $5M-$10M[ ]  $10-$20M[ ]  $20-$30M | [ ]  $30-$38.5M[ ]  $40M - $50M[ ]  $50M - $100M[ ]  $100M - $500M |

* 1. **How many employees work at your organization?**

|  |  |
| --- | --- |
| ☐ No Employees☐ Under 20[ ]  20-99[ ]  100-499[ ]  500-749[ ]  750-999 | [ ]  1,000-1,499[ ]  1,500-2,499[ ]  2,500-4,999[ ]  5,000-9,999[ ]  10,000 or more |

* 1. **Years in business \_\_\_\_\_\_\_\_\_\_\_\_\_\_**
1. **Safeguarded assets (cyber-relevant)**
2. **Types of critical assets as related to the mission space**

☐ Personally Identifiable Information (PII) (e.g., customer lists, consumer contact information)

☐ Protected Health Information (PHI) (e.g., including medical records, other health data collected via apps and wearables, medical device data)

☐ Financial/Account Information (e.g., credit card records, transactional data, or in providing a service to business customer)

☐ Personal Confidential Information (e.g., private email, employer records, etc.)

☐ Corporate Confidential Information (e.g., corporate email, business-sensitive documentation)

☐ Intellectual Property (IP) (e.g., trade secrets, copyrightable materials, patents, designs)

☐ SCADA/ICS (industrial control systems)

☐ Customer-facing Website

☐ Business Application Servers and/or Transaction Systems

☐ Embedded Systems (e.g., Building Controls, Medical Devices, etc.)

☐ End points (e.g., PCs, Tablets, Smartphones)

☐ IT Infrastructure Systems (e.g., DNS servers, data centers)

☐ Encryption Keys

☐ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

☐ Not Applicable

1. **What are your primary cyber impact of concerns as related to these assets?**

|  |  |
| --- | --- |
| [ ]  PII or PHI Loss[ ]  IP Loss [ ]  Financial Loss[ ]  Reputation Loss | [ ]  Availability of Data/Information[ ]  Integrity of Data/Information [ ]  Operational Functionality (ICS or Embedded Systems)[ ]  Mission Disruption/Denial of Service[ ]  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. **What is the perceived value of your top assets?**

|  |  |
| --- | --- |
| [ ]  < $1M[ ]  $1M-$5M[ ]  $5M-$10M[ ]  $10-$20M[ ]  $20-$30M[ ]  $30-$40M | [ ]  $40M - $50M[ ]  $50M - $100M[ ]  $100M - $500M[ ]  $500M - $1B[ ]  More than $1B[ ]  Unknown |

1. **Cybersecurity capabilities:**
	1. **What are current cybersecurity capabilities of your organization?**

☐ Dedicated staff/department handling internal cybersecurity issues

☐ No stand-alone department, combined with other functions

☐ Mostly Outsourced (established relationship with a third party)

☐ Blended approach with a smaller portion of cybersecurity responsibilities outsourced

☐ Ad hoc, no specifically identified internal or external cybersecurity support

* 1. **What is the approximate IT share relative to revenue? \_\_\_\_\_\_\_\_\_%**
	2. **What is the cybersecurity share in the overall IT budget? \_\_\_\_\_\_\_\_\_%**
1. **How does your organization rank cybersecurity and information security relative to other priorities?**
	1. **Relative ranking as compared with other aspects of the core business objectives. Please assign a rank from 1 to 7 to the following areas:**

\_\_\_\_\_\_\_\_\_\_ Attracting New Customers

\_\_\_\_\_\_\_\_\_\_ Retaining Existing Customers

\_\_\_\_\_\_\_\_\_\_ Cybersecurity

\_\_\_\_\_\_\_\_\_\_ Financing

\_\_\_\_\_\_\_\_\_\_ Physical Security

\_\_\_\_\_\_\_\_\_\_ Attracting Talent

\_\_\_\_\_\_\_\_\_\_ Compliance with the Regulations

* 1. **Importance of cybersecurity for your business**

☐ Cyber security is HIGHLY IMPORTANT for my business

☐ Cyber security is IMPORTANT for my business

☐ Cyber security is SOMEWHAT IMPORTANT for my business

☐ Cyber security is NOT IMPORTANT for my business

1. **NIST Cybersecurity Framework (NIST CSF):**
	1. **Is your organization familiar with the NIST CSF?** ☐ Yes ☐ No
	2. **If yes, is your organization IMPLEMENTING the NIST CSF?**

☐ Yes

☐ Yes, but in conjunction with other frameworks, standards and practices

* 1. **If no,**

☐ Are you using some other framework, standards or practices

☐ Currently not using any

1. **If your organization is aware of the NIST CSF, but not using it, what are the barriers to its implementation?**

☐ Lack of implementation guidance

☐ Lack of specific technical information sources

☐ NIST CSF is complex and hard to understand

☐ Organization lacks technical expertise to support implementation

☐ Insufficient information on the cost burden of the NIST CSF implementation

☐ Insufficient budget

☐ Cost-effectiveness considerations

☐ Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

☐ Using some other standards/framework instead

1. **What other cybersecurity practices, standards and procedures are being implemented by your organization as part of the cyber risk management?**

|  |  |
| --- | --- |
| ☐ CCS CSC☐ COBIT 5☐ NIST SP 800-53☐ ISA 62443☐ ISO/IEC 27001/27002 | ☐ CIS Critical Security Controls (formerly SANS Top 20)☐ PCI Payment Card Industry Data Security Council Standard☐ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_☐ We do not use any cybersecurity frameworks  |

1. **What information sources are you relying on for the cybersecurity best practices?**

☐ Getting Started for Business - [*https://www.us-cert.gov/ccubedvp/smb*](https://www.us-cert.gov/ccubedvp/smb)

☐ MS‐ISAC Cyber Security Toolkit - [*https://msisac.cisecurity.org/toolkit/*](https://msisac.cisecurity.org/toolkit/)

☐ FCC Small Biz Cyber Planner 2.0 - [*https://www.fcc.gov/cyberplanner*](https://www.fcc.gov/cyberplanner)

☐ Cyber Resilience Review (CRR) - [*https://www.us-cert.gov/ccubedvp/assessments*](https://www.us-cert.gov/ccubedvp/assessments)

☐ US-CERT Resource List –

[*https://www.us-cert.gov/sites/default/files/c3vp/smb/Top\_SMB\_Resources.pdf*](https://www.us-cert.gov/sites/default/files/c3vp/smb/Top_SMB_Resources.pdf)

☐ NIST SMB Information Security Guide: The Fundamentals - [*http://nvlpubs.nist.gov/nistpubs/ir/2016/NIST.IR.7621r1.pdf*](http://nvlpubs.nist.gov/nistpubs/ir/2016/NIST.IR.7621r1.pdf)

☐ Other (Specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

☐ None of the above

1. **What do you think the likelihood is that your organization will experience an incident in the next 2-3 years?**

|  |  |  |  |
| --- | --- | --- | --- |
| ☐ Very Unlikely | ☐ Unlikely  | ☐ Likely  | ☐ Very Likely |

1. **If your organization is using NIST CSF framework, please answer the set of questions below.**
	1. **How long has your organization been using the NIST CSF?** \_\_\_\_\_\_\_\_\_\_\_\_\_years
	2. **What element(s) of the NIST CSF have been implemented in your organization? (check all that apply)**

☐ **Framework Core**

☐ Identify Categories/subcategories

☐ Protect Categories/subcategories

☐ Detect Categories/subcategories

☐ Respond Categories/subcategories

☐ Recover Categories/subcategories

☐ **Framework Profiles**

☐ Profile provided by sector/subsector

☐ Profile specific to our organization

☐ **Framework Implementation Tiers**

☐ **Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

* 1. **What were the factors driving NIST CSF adoption?**

☐ NIST CSF is considered a best practice

☐ Federal contract required it

☐ Non-federal contract required it

☐ Business partner required it

☐ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* 1. **Is NIST CSF implemented in a segment of organization or throughout the entity?**

|  |  |  |
| --- | --- | --- |
| ☐ Segment | ☐ Throughout the organization | ☐ Not Implemented |

* 1. **To the best of your ability, please determine the value the NIST Cybersecurity Framework has provided to these aspects of your organization**

|  |  |
| --- | --- |
|  | **Affect** |
| **Possible Value** | **Positive** | **Neutral** | **Negative** | **Non-Applicable** |
| **Characterize the Cybersecurity Framework’s affect with regard to:** | **-** | **-** | **-** | **-** |
| Understanding or managing cybersecurity risk |  |  |  |  |
| Managing or fulfilling cybersecurity requirements |  |  |  |  |
| Prioritizing the relative importance of cybersecurity requirements or activities |  |  |  |  |
| Determining areas for improvement and developing plans to achieve improvements |  |  |  |  |
| Reducing risk |  |  |  |  |

* 1. **What was the approximate cost of the NIST CSF implementation:**
1. Staff Time/Total Cost \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
2. Acquisitions (software and hardware)/Total Cost \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
	1. **What was the impact of the NIST CSF implementation on the information security (cost savings or change in practices, both short-term and long-term)?**
3. Total cost savings \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
4. Change in practices \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
	1. **What was the impact on operations (cost savings or change in practices, short-term and long-term)?**
5. Total cost savings \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
6. Change in practices \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_$ thousand
7. **How many endpoints/hosts and servers does your organization have on the network?**
8. Endpoints/hosts/terminals \_\_\_\_\_\_\_\_\_\_\_
9. Servers \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
10. **What portion of the systems are you most concerned about?**

|  |  |
| --- | --- |
| ☐ 10% or less☐ 10 - less than 25% ☐ 25 - less than 50% | ☐ 50% - less than 75%☐ 75% or more☐ Prefer not to disclose☐ Do not know |

1. **Do you have an on-file asset inventory, data flow and core network diagram with access points documented? Please select Yes or No for each document below:**
2. Asset Inventory ☐ Yes ☐ No
3. Data Flow ☐ Yes ☐ No
4. Core Network Diagram ☐ Yes ☐ No
5. Access Points Documented ☐ Yes ☐ No
6. Security Architecture Diagram ☐ Yes ☐ No
7. **How is physical access to the assets managed?**

☐ All physical locations of assets are documented, physical access is strictly monitored

☐ Location of SOME assets is documented, limited management of physical access

☐ Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **How is remote access to the assets managed?**

☐ Established usage restrictions, configuration/connection requirements, and implementation guidance for each type of remote access allowed

☐ Connections are implemented through managed interfaces

☐ Controls have been implemented to protect all communication and control network (technology) assets

☐ Systems are monitored to detect unauthorized local, network, and remote connections.

☐ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **How is patching and remediation managed?**

☐ Ad Hoc reactive patching and remediation

☐ Standard managed program with regular updates in place

☐ Established relationship with an outside product and service providers

☐ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Are system changes and incidents tracked?**
	1. Incidents Tracked ☐ Yes ☐ No
	2. System Changes Tracked ☐ Yes ☐ No
2. **If a cyber incident were to occur, how would it be handled?**

☐ Ad Hoc response

☐ Cyber response plan or disaster response plan in place with POCs, roles and responsibilities identified

☐ Established relationship with an outside product and service providers

1. **Overall, how would you rate your relative cybersecurity maturity of your organization compared to your competitors?**

☐ New to market; novice experience

☐ Beginner; beginning to develop cybersecurity processes

☐ Intermediate; some processes are in place

☐ Mature; processes are used and improved regularly

1. **In which of the following cybersecurity focus areas could your organization improve (select all that apply)?**

☐ Access and identity management

☐ Vulnerability management

☐ Antivirus/malware management

☐ Endpoint security

☐ Network security

☐ Intrusion detection and protection

☐ Secure development and testing practices

☐ Encryption management (key storage, rotation, protocol selection)

☐ Incident management and data breach response

☐ Training and awareness

1. Last update: May 1, 2017 [↑](#footnote-ref-1)