OMB Control Number: 1670-NEW
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MS-ISAC™
Multi-State Information Sharing & Analysis Center®

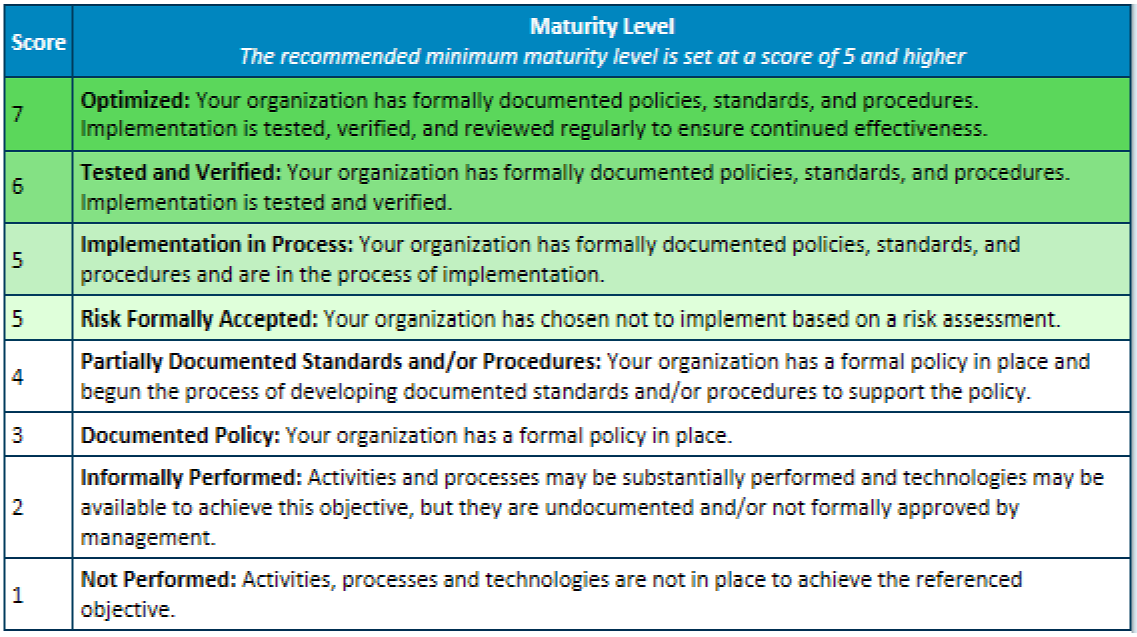
NATIONWIDE
CYBER SECURITY
REVIEW

NCSR RESPONSE SCALE & QUESTION SET

MS-ISAC 31 Tech Valley Drive East Greenbush, NY 12061

Paperwork Reduction Act

The public reporting burden to complete this information collection is estimated at 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and the completing and reviewing the collected information. The collection of information is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number and expiration date. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to DHS/NPPD/CS&C, 245 Murray Lane, SW, Mail Stop 0612, Arlington, VA 20598-0640 or SLTTCyber@HQ.DHS.GOV ATTN: PRA [OMB Control No. 1670-NEW].



Score	Maturity Level *The recommended minimum maturity level is set at a score of 5 and higher*
7	**Optimized:** Your organization has formally documented policies, standards, and procedures. Implementation is tested, verified, and reviewed regularly to ensure continued effectiveness.
6	**Tested and Verified:** Your organization has formally documented policies, standards, and procedures. Implementation is tested and verified.
5	**Implementation in Process:** Your organization has formally documented policies, standards, and procedures and are in the process of implementation.
5	**Risk Formally Accepted:** Your organization has chosen not to implement based on a risk assessment.
4	**Partially Documented Standards and/or Procedures:** Your organization has a formal policy in place and begun the process of developing documented standards and/or procedures to support the policy.
3	**Documented Policy:** Your organization has a formal policy in place.
2	**Informally Performed:** Activities and processes may be substantially performed and technologies may be available to achieve this objective, but they are undocumented and/or not formally approved by management.
1	**Not Performed:** Activities, processes and technologies are not in place to achieve the referenced objective.

Demographics

(CSF) Demographics

(NCSR)Demo 1: Executive Reporting:	Do your top-level decision-makers receive periodic (at least annual) reports on the status of information risks, controls, and/or security from the departments, divisions, and/or agencies within your organization?
(NCSR)Demo 2: Cyber Security Executive Mandates:	Has your organization adopted or established a set of cybersecurity executive mandates, laws, statutes, approved legislation, policies, or standards to help guide the implementation of information security controls across your organization?
(NCSR)Demo 3: Security Framework:	Which control frameworks and/or security methodologies are your organization's information security controls based on? Select all that apply.
(NCSR)Demo 4: FTE Size:	How many full-time equivalent (FTEs) employees/contractors are there in your organization?
(NCSR)Demo 5: IT FTE:	How many full-time equivalent employees are there in your IT?
(NCSR)Demo 6: Security FTE:	How many full-time equivalent employees have security related duties?
(NCSR)Demo 7: IT Outsourcing:	What part of your IT operation is outsourced?
(NCSR)Demo 8: Security Outsourcing:	What part of your security operation is outsourced?

Identify

(CSF) Identify.Asset Management

ID.AM-1:	Physical devices and systems within the organization are inventoried.
ID.AM-2:	Software platforms and applications within the organization are inventoried
ID.AM-3:	Organizational communication and data flows are mapped
ID.AM-4:	External information systems are catalogued
ID.AM-5:	Resources (e.g., hardware, devices, data, time, and software) are prioritized based on their classification, criticality, and business value
ID.AM-6:	Cybersecurity roles and responsibilities for the entire workforce and third-party stakeholders (e.g., suppliers, customers, partners) are established

(CSF) Identify.Business Environment

ID.BE-1:	The organization's role in the supply chain is identified and communicated
ID.BE-2:	The organization's place in critical infrastructure and its industry sector is identified and communicated
ID.BE-3:	Priorities for organizational mission, objectives, and activities are established and communicated
ID.BE-4:	Dependencies and critical functions for delivery of critical services are established
ID.BE-5:	Resilience requirements to support delivery of critical services are established for all operating states (e.g. under duress/attack, during recovery, normal operations)

(CSF) Identify.Governance

ID.GV-1:	Organizational information security policy is established.
ID.GV-2:	Information security roles & responsibilities are coordinated and aligned with internal roles and external partners
ID.GV-3:	Legal and regulatory requirements regarding cybersecurity, including privacy and civil liberties obligations, are understood and managed
ID.GV-4:	Governance and risk management processes address cybersecurity risks

(CSF) Identify.Risk Assessment

ID.RA-1:	Asset vulnerabilities are identified and documented
ID.RA-2:	Cyber threat intelligence and vulnerability information is received from information sharing forums and sources
ID.RA-3:	Threats, both internal and external, are identified and documented
ID.RA-4:	Potential business impacts and likelihoods are identified
ID.RA-5:	Threats, vulnerabilities, likelihoods, and impacts are used to determine risk
ID.RA-6:	Risk responses are identified and prioritized

(CSF) Identify.Risk Management Strategy

ID.RM-1:	Risk management processes are established, managed, and agreed to by organizational stakeholders
ID.RM-2:	Organizational risk tolerance is determined and clearly expressed
ID.RM-3:	The organization's determination of risk tolerance is informed by its role in critical infrastructure and sector specific risk analysis

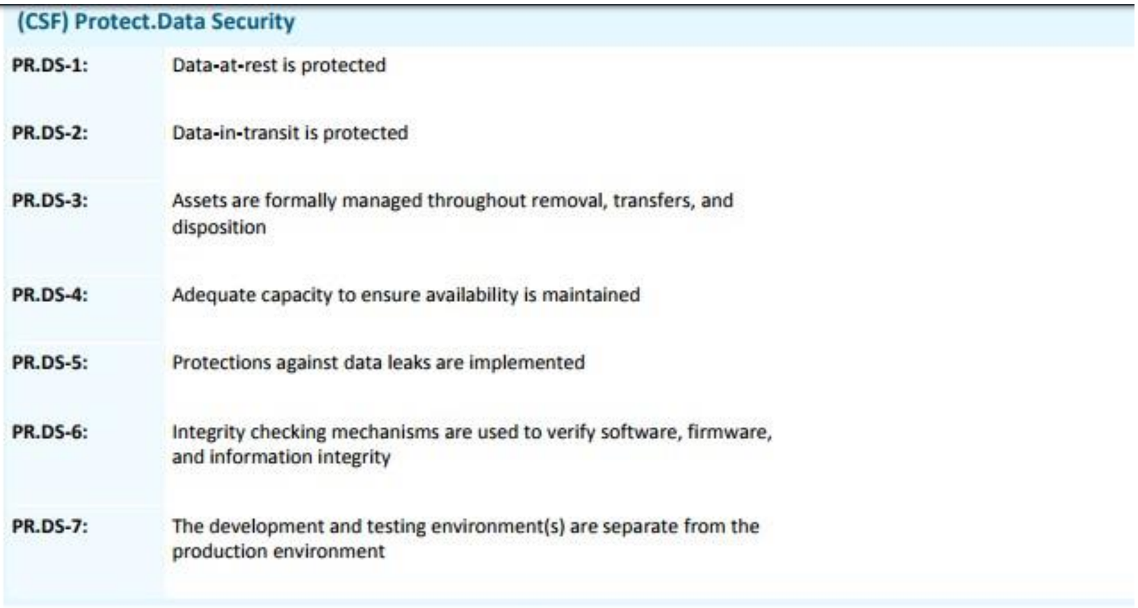
Protect

(CSF) Protect.Access Control

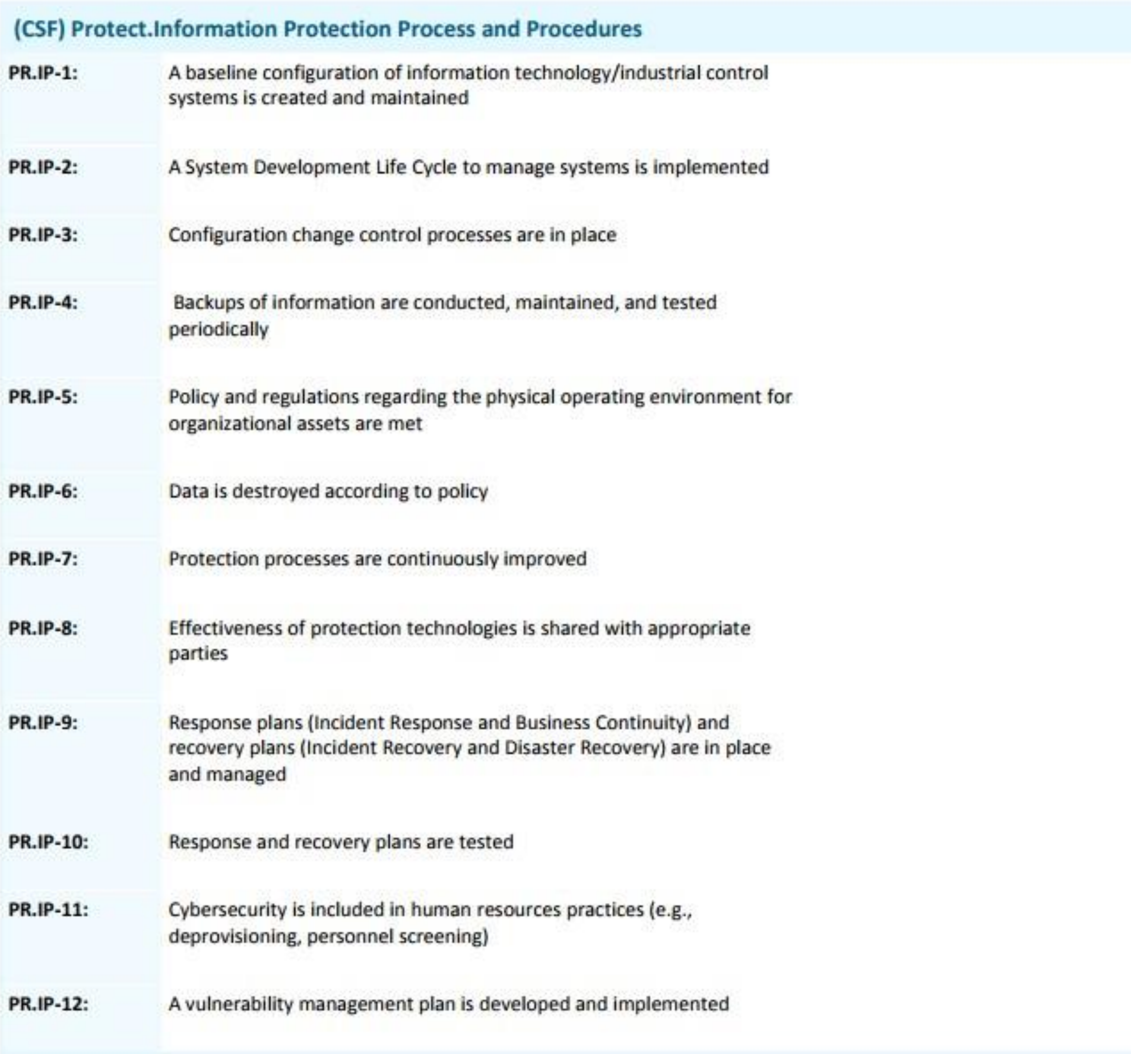
PR.AC-1:	Identities and credentials are issued, managed, verified, revoked, and audited for authorized devices, users, and processes
PR.AC-2:	Physical access to assets is managed and protected
PR.AC-3:	Remote access is managed
PR.AC-4:	Access permissions and authorizations are managed, incorporating the principles of least privilege and separation of duties
PR.AC-5:	Network integrity is protected, incorporating network segregation where appropriate

(CSF) Protect.Awareness and Training

PR.AT-1:	All users are informed and trained
PR.AT-2:	Privileged users understand roles & responsibilities
PR.AT-3:	Third-party stakeholders (e.g., suppliers, customers, partners) understand roles & responsibilities
PR.AT-4:	Senior executives understand roles & responsibilities
PR.AT-5:	Physical and information security personnel understand roles & responsibilities



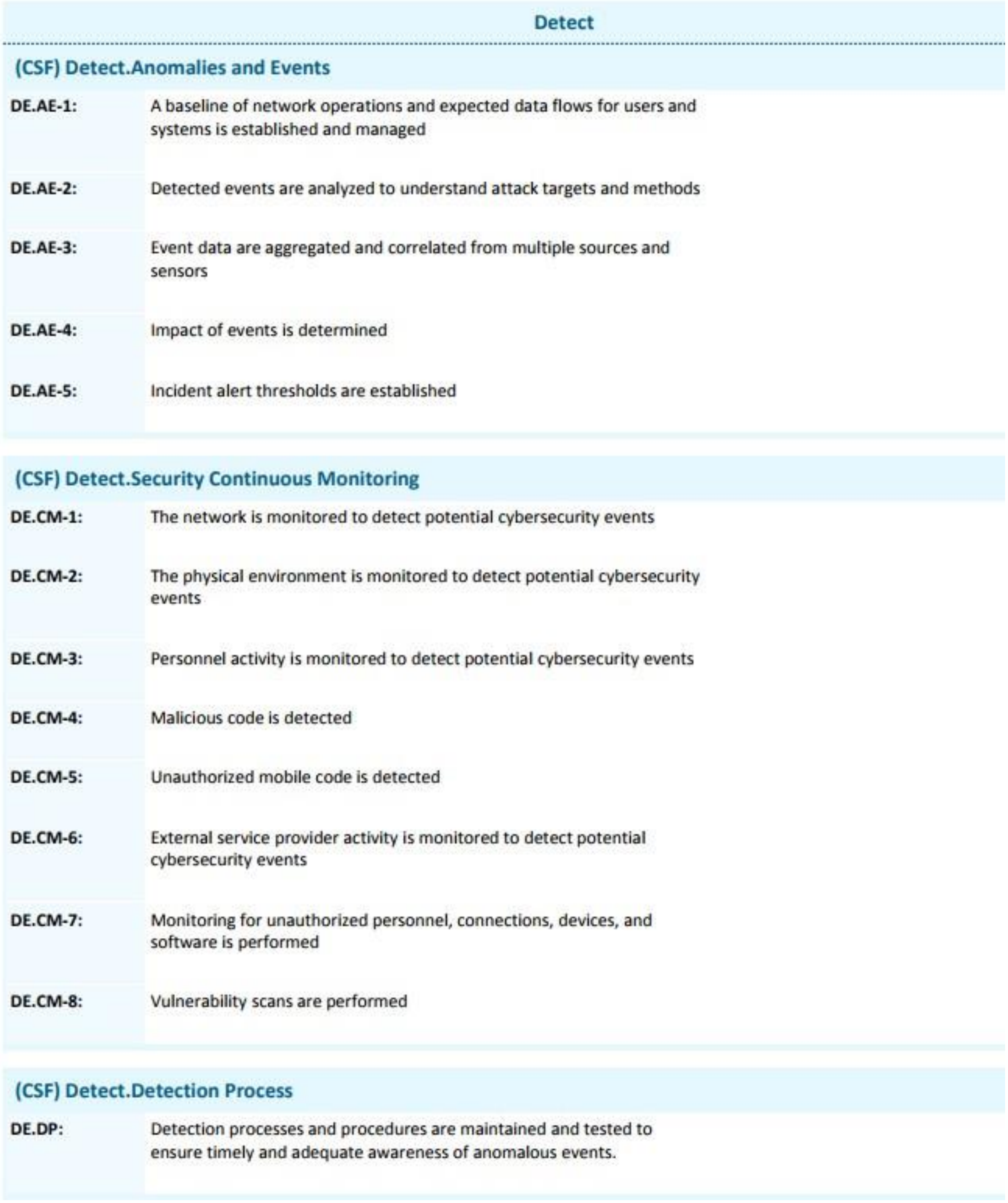
(CSF) Protect.Data Security	
PR.DS-1:	Data-at-rest is protected
PR.DS-2:	Data-in-transit is protected
PR.DS-3:	Assets are formally managed throughout removal, transfers, and disposition
PR.DS-4:	Adequate capacity to ensure availability is maintained
PR.DS-5:	Protections against data leaks are implemented
PR.DS-6:	Integrity checking mechanisms are used to verify software, firmware, and information integrity
PR.DS-7:	The development and testing environment(s) are separate from the production environment



(CSF) Protect.Information Protection Process and Procedures	
PR.IP-1:	A baseline configuration of information technology/industrial control systems is created and maintained
PR.IP-2:	A System Development Life Cycle to manage systems is implemented
PR.IP-3:	Configuration change control processes are in place
PR.IP-4:	Backups of information are conducted, maintained, and tested periodically
PR.IP-5:	Policy and regulations regarding the physical operating environment for organizational assets are met
PR.IP-6:	Data is destroyed according to policy
PR.IP-7:	Protection processes are continuously improved
PR.IP-8:	Effectiveness of protection technologies is shared with appropriate parties
PR.IP-9:	Response plans (Incident Response and Business Continuity) and recovery plans (Incident Recovery and Disaster Recovery) are in place and managed
PR.IP-10:	Response and recovery plans are tested
PR.IP-11:	Cybersecurity is included in human resources practices (e.g., deprovisioning, personnel screening)
PR.IP-12:	A vulnerability management plan is developed and implemented

(CSF) Protect.Maintenance	
PR.MA-1:	Maintenance and repair of organizational assets is performed and logged in a timely manner, with approved and controlled tools
PR.MA-2:	Remote maintenance of organizational assets is approved, logged, and performed in a manner that prevents unauthorized access

(CSF) Protect.Protective Technology	
PR.PT-1:	Audit/log records are determined, documented, implemented, and reviewed in accordance with policy
PR.PT-2:	Removable media is protected and its use restricted according to policy
PR.PT-3:	The principle of least functionality is incorporated by configuring systems to provide only essential capabilities
PR.PT-4:	Communications and control networks are protected



Detect

(CSF) Detect.Anomalies and Events

DE.AE-1:	A baseline of network operations and expected data flows for users and systems is established and managed
DE.AE-2:	Detected events are analyzed to understand attack targets and methods
DE.AE-3:	Event data are aggregated and correlated from multiple sources and sensors
DE.AE-4:	Impact of events is determined
DE.AE-5:	Incident alert thresholds are established

(CSF) Detect.Security Continuous Monitoring

DE.CM-1:	The network is monitored to detect potential cybersecurity events
DE.CM-2:	The physical environment is monitored to detect potential cybersecurity events
DE.CM-3:	Personnel activity is monitored to detect potential cybersecurity events
DE.CM-4:	Malicious code is detected
DE.CM-5:	Unauthorized mobile code is detected
DE.CM-6:	External service provider activity is monitored to detect potential cybersecurity events
DE.CM-7:	Monitoring for unauthorized personnel, connections, devices, and software is performed
DE.CM-8:	Vulnerability scans are performed

(CSF) Detect.Detection Process

DE.DP:	Detection processes and procedures are maintained and tested to ensure timely and adequate awareness of anomalous events.

Respond

(CSF) Respond.Response Planning

RS.RP-1:	Response plan is executed during or after an event

(CSF) Respond.Communications

RS.CO-1:	Personnel know their roles and order of operations when a response is needed
RS.CO-2:	Events are reported consistent with established criteria
RS.CO-3:	Information is shared consistent with response plans
RS.CO-4:	Coordination with stakeholders occurs consistent with response plans
RS.CO-5:	Voluntary information sharing occurs with external stakeholders to achieve broader cybersecurity situational awareness

(CSF) Respond.Analysis

RS.AN-1:	Notifications from detection systems are investigated
RS.AN-2:	The impact of the incident is understood
RS.AN-3:	Forensics are performed
RS.AN-4:	Incidents are categorized consistent with response plans

(CSF) Respond.Mitigation

RS.MI-1:	Incidents are contained
RS.MI-2:	Incidents are mitigated
RS.MI-3:	Newly identified vulnerabilities are mitigated or documented as accepted risks

(CSF) Respond.Improvements

RS.IM-1:	Response plans incorporate lessons learned
RS.IM-2:	Response strategies are updated

Recover

(CSF) Recover.Recovery Planning

RC.RP-1:	Recovery plan is executed during or after an event

(CSF) Recover.Improvements

RC.IM-1:	Recovery plans incorporate lessons learned
RC.IM-2:	Recovery strategies are updated

(CSF) Recover.Communications

RC.CO-1:	Public relations are managed
RC.CO-2:	Reputation after an event is repaired
RC.CO-3:	Recovery activities are communicated to internal stakeholders and executive and management teams

Privacy

Privacy

PC - 1:	Does your organization have a privacy officer?
PC - 2:	Does your organization have clearly defined processes to report a breach of PII/PHI?

Post Survey Questions

General

(Post Survey) Question 1:	What are your top 5 security concerns?
(Post Survey) Question 2:	Were you able to answer all of the assessment questions?
(Post Survey) Question 3:	How long did it take you to complete this assessment (including time spent researching answers off-line)