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Nonprofit Organization Vulnerability Assessment

Facility Name:

Facility POC:

Assessor Name/Organization:

Date of Assessment:

This assessment will be voluntarily submitted as Protected Critical Infrastructure Information (PCII) under the Critical Infrastructure Information Act of 2002. Once submitted, PCII cannot be disclosed through a Freedom of Information Act (FOIA) request or through a request under a similar State, local, tribal, or territorial disclosure law; be disclosed in civil litigation; or be used for regulatory purposes.

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PROTECTED CRITICAL INFRASTRUCTURE INFORMATION

Protected Critical Infrastructure Information (PCII) Submission Form

CERTIFICATION STATEMENT AND EXPRESS STATEMENT FORM

Submitters may voluntarily submit critical infrastructure information for PCII protection under the Critical Infrastructure Information Act of 2002. All submissions must be accompanied by a Certification Statement and an Express Statement which initiates the protection of the critical infrastructure information throughout the review and validation process.

CERTIFICATION STATEMENT

I am authorized to submit this information as one of the following (*please initial*):

- Owner (or a representative) of a privately or publicly owned company;
- Representative from an industry association;
- Individual providing an informed observation of the critical infrastructure;
- State/local/tribal/territorial government official (that can attest to voluntary participation);
- Other: _____

(*Please initial*):

_____ To the best of my knowledge the information submitted is not customarily in the public domain. I am not submitting this information to comply with a regulatory requirement. I am not required to provide this information to a Federal regulatory entity.

EXPRESS STATEMENT (*Please initial*):

_____ I am submitting this information voluntarily. I am submitting this information to the Federal Government in expectation of protection from disclosure as provided by the provisions of U.S. Code Title 6, Chapter 1, Subchapter II, Part B, Section 133, and the Critical Infrastructure Information Act of 2002.

ACCESS DISCLOSURE (*Please initial*):

_____ Individuals eligible to access PCII include Federal, State, local, tribal, or territorial government employees or contractors who meet the following requirements:

- Assigned to homeland security duties related to critical infrastructure; and Demonstrate a valid need-to-know; and
- Current authorized user (to include completion of all required authorized user training); and
- Such individuals must comply with the requirements stated in the Critical Infrastructure Information Act of 2002 and the Regulation (6 C.F.R. Part 29).

Submitter Signature _____ Date _____



PROTECTED CRITICAL INFRASTRUCTURE INFORMATION

Protected Critical Infrastructure Information (PCII) Submission Form

Submitter Contact Information:

Name (*please print*): _____

Title: _____

Organization or Company Name: _____

Mailing Address: _____

City: _____ State: _____ Zip: _____

Office Telephone: _____

E-mail Address: _____

Alternate Submitter Contact Information:

Name (*please print*): _____

Title: _____

Organization or Company Name: _____

Office Telephone: _____

E-mail Address: _____

Learn more about the DHS PCII Program at www.dhs.gov/pci

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Assessor Name: _____

Title: _____

Organization Name: _____

Office Telephone: _____

E-mail Address: _____

DHS Form #: pending

Revised 08-05-14

Please be aware that any knowing or willful false representations provided in this submission may constitute a violation of 18 U.S.C. 1001 and are punishable by fine and imprisonment.

PROTECTED CRITICAL INFRASTRUCTURE INFORMATION (form is PCII when complete)



PROTECTED CRITICAL INFRASTRUCTURE INFORMATION

Protected Critical Infrastructure Information (PCII) Submission Form

Protected Critical Infrastructure Information (PCII) Submission Requirements

The Submitter (owner/operator) should be familiar with the Certification Statement and the PCII Express Statement, which are required for a proper submission.

The Submitter should affirm one of the following:

- An owner (or a representative) of a privately or publicly owned company;
- A representative from an industry association;
- An individual providing an informed observation of the critical infrastructure; or
- A State/local/tribal/territorial government official (that can attest to voluntary participation).

The Submitter should read the following statements and affirm, to the best of his or her knowledge, that they are true:

- To the best of my knowledge the information submitted is not customarily in the public domain.
- I am not submitting this information to comply with a regulatory requirement. I am not required to provide this information to a Federal regulatory entity.
- I am submitting this information voluntarily.
- I am submitting this information to the Federal Government in expectation of protection from disclosure as provided by the provisions of U.S. Code Title 6, Chapter 1, Subchapter II, Part B, Section 133, and the Critical Infrastructure Information Act of 2002.

The Submitter should read the following statements and understand that:

- Individuals eligible to access PCII include Federal, State, local, tribal, or territorial government employees or contractors who are assigned to homeland security duties related to critical infrastructure, are trained in PCII rules, and demonstrate a valid need-to-know.
- Such individuals must comply with the requirements stated in the Critical Infrastructure Information Act of 2002 and 6 C.F.R. Part 29. They are required to take PCII Authorized User training and fulfill other access requirements.

Learn more about the DHS PCII Program at www.dhs.gov/pcii.

Revised 08-05-14

PROTECTED CRITICAL INFRASTRUCTURE INFORMATION (form is PCII when complete)

Security Management Profile

- Does the facility have a written physical security plan? Yes No
 - Are personnel trained on the plan? Yes No
 - Is the plan exercised at least once a year? Yes No
- Is there a manager/department in charge of security management? Yes No
- Does the facility have procedures for suspicious packages? Yes No
- Does the facility participate in any security working groups? Yes No
- Are background checks conducted? Yes No
 - On all employees? Yes No
 - Are recurring background checks conducted? Yes No

Security Force Profile

- Does the facility have a security force? Yes No
 - Is the security force armed? Yes No
 - Is the security force on site? Yes No
 - Are there static posts? Yes No
 - What percentage of the facility is covered?
 - 1 – 25%
 - 26 – 50%
 - 51 – 75%
 - 76 – 99%
 - 100%
 - Are there roving patrols? Yes No
 - What percentage of the facility is covered?
 - 1 – 25%
 - 26 – 50%
 - 51 – 75%
 - 76 – 99%
 - 100%

Physical Security Profile

- Is the 100% of the facility enclosed in fencing? Yes No
- Is there a clear zone around the perimeter (an area that allows for clear sight of fence perimeter with no vegetation, objects or privacy slats)? Yes No
- Does the facility use vehicle gates? Yes No
- Does the facility use pedestrian gates? Yes No
- Does the facility have ground floor windows (less than 18 feet from the ground)? Yes No
 - Are there protective measures on the ground floor windows for the facility? Yes No
- Does facility have an air handling system with an external air intake less than or equal to 10 feet from the ground with unrestricted access? Yes No
- Does the facility utilize video surveillance? Yes No
 - Does a trained security staff monitor the video surveillance? Yes No
- For each of the following groups, are controls in place that limit entry?
 - Employees Yes No
 - Visitors Yes No
 - Contractors/Vendors Yes No
 - Customer/Patron/Public Yes No
- Can any vehicle be placed (legally or illegally) within 400 feet of the facility? Yes No
- Does the facility have one or more avenues of high-speed approach? Yes No
 - Does the facility use barriers to mitigate a high-speed avenue of approach? Yes No
- Does the facility use barriers to enforce standoff? Yes No

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- Is the illumination of fences, gates, and parking areas similar and uniform in type with overlapping light patten coverage in most areas? Yes No
- Is the illumination of building entrance and delivery areas similar and uniform in type with overlapping light pattern coverage in most areas? Yes No
- Are illumination systems controlled by software applications? Yes No
- Does the facility utilize an interior intrusion detection method or application? Yes No
 - Are the intrusion detection systems controlled by software applications? Yes No
- Does the facility have a written agreement with entities other than emergency responders? Yes No
- Does the facility participate in security exercises or tabletops with outside agencies? Yes No

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Resilience Management Profile

- Is there a manager/department in charge of business continuity? Yes No
- Does the facility have a written business continuity plan? Yes No
 - Does the plan include both physical and cyber assets? Yes No
 - Are personnel trained on the plan? Yes No
 - Is the plan exercised at least once a year? Yes No
- Does the facility have a written Emergency Operation/Emergency Action Plan? Yes No
 - Does the plan include both physical and cyber assets? Yes No
 - Are personnel trained on the plan? Yes No
 - Is the plan exercised at least once a year? Yes No

Information Sharing

- Does the facility receive threat information, security-related bulletins, advisories, and/or alerts from an external source? Yes No

- Does the facility share threat and/or security-related information with outside organizations? Yes No

- Does the organization receive threat information, to include cyber-security-related bulletins, advisories, and/or alerts on cyber attacks and actors, from an external source? Yes No

- Does the organization receive vulnerability information, to include cyber-security-related bulletins, advisories, and/or alerts on technical vulnerabilities, from an external source? Yes No

- Does the organization share cyber-security information with outside organizations? Yes No

Cyber Security Management

- Is there a manager/department in charge of cyber security management? Yes No
- Is there an inventory of all critical cyber assets for this system? Yes No
- Is there a documented security architecture that includes each of the identified critical cyber security assets? Yes No
- Does the organization use system configuration monitoring procedures and/or tools that measure secure configuration elements and report configuration vulnerability information? Yes No
- Does the organization have a documented and distributed cyber change management policy and supporting procedures? Yes No
- Does the organization employ measures to address system and data confidentiality, integrity, and availability requirements throughout their life cycle (design, procurement, installation, operation, and disposal)? Yes No
- Does your organization implement at least one cyber-security standard(s) of practice (e.g., NIST SP800 series, NERC CIP, HIPAA, ISO/IEC 27000 series, etc.)? Yes No
- Is there a Cyber Security Plan covering the critical cyber security assets?
 - Are personnel trained on the plan? Yes No
 - Is the plan exercised at least once a year? Yes No
- Does the organization conduct cyber security exercises? Yes No

Cyber Security Forces

- Are the following positions formalized within your organization?
 - Cyber Security Incident Response Team Lead/Incident Commander Yes No
 - Security Operations Personnel (i.e., Security Administrators, Security Analysts) Yes No
 - Security Architect Yes No
- Do cyber security personnel involved in day-to-day operations receive cyber training? Yes No

Cyber Security Controls

- Has the organization established a process for identity proofing and authentication to limit access to the critical cyber systems to only authorized persons? Yes No

- Does the organization practice the concept of least privileges (i.e., users are only granted access to the information, file, and applications required to fulfill their roles and responsibilities)? Yes No

- Does the organization allow remote access to critical cyber services/assets? Yes No

- Which of the following cyber security measures does the organization employ for monitoring of networks related to the critical cyber system? Near-real-time monitoring for:
 - Malicious code Yes No

 - Unauthorized access Yes No

 - Intrusion detection Yes No

- Does the organization maintain security and event logs? Yes No

- Does the organization provide training on cyber security for critical cyber systems users? Yes No

Incident Response

- Does the organization have predefined plans for responding to cyber security incidents? Yes No
- Should your site become inoperable, do you have access to an alternative location? Yes No

Dependencies – Cyber

- Is the facility's core function dependent on data processing systems (mainframes, cloud providers, server farms, etc.)? Yes No

- Where is the location of the primary data processing systems and services? Yes No
 - Within the boundaries of the physical facility (on-site)? Yes No

 - At a data center located away from the facility (off-site data center, cloud service provider, etc.)? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP

- Are your data processing and cyber security functions managed by a third-party service provider, vendor or contractor? Yes No

- Is the data storage required for the critical cyber system? Yes No

- Does the organization have alternative or backup storage capabilities that can be used in case of loss of the primary storage? Yes No

- If the primary mode of communication service is lost, is there a backup mode of communication? Yes No

Dependencies – Electric

- Who is the facility's provider of electrical power?
 - Name

- What is the primary substation that the facility is dependent upon?
 - Name
 - Address
 - City
 - State
 - ZIP

- Is there a secondary or alternate substation for this facility? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP

- Does the facility possess and maintain a backup generator(s) capable of running mission critical services for 72 hours? Yes No

Dependencies – Natural Gas

- Is the facility's core function dependent on access to natural gas? Yes No
 - Who is the facility's provider of natural gas?
 - Name
 - What is the facility's primary source of natural gas?
 - Name
 - Address
 - City
 - State
 - ZIP
 - Is there a secondary source of natural gas? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP
 - What is the delivery mechanism of the gas supply?
 - Pipeline Yes No
 - Truck Yes No

Dependencies – Water

- Who is the facility's provider of water?
 - Name

- What is the facility's primary source of water?
 - Name
 - Address
 - City
 - State
 - ZIP

- Is there a secondary source of water? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP

- Does the facility maintain onsite water storage capability capable of sustaining operations? Yes No

Dependencies – Wastewater

- Is the facility's core function dependent on continuous access to wastewater discharge services? Yes No
 - Who is the facility's provider of wastewater discharge services?
 - Name
 - What is the facility's primary source of wastewater discharge services?
 - Name
 - Address
 - City
 - State
 - ZIP
 - Is there a secondary source of wastewater discharge services? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP

Dependencies – Communications

- Is the facility's core function dependent on continuous access to communications infrastructure (e.g., wired phone, wired data, cell phone, etc.)? Yes No
 - Name
 - Address
 - City
 - State
 - ZIP

Dependencies – Transportation

- Is the facility's core function dependent on access to roadways, bridges, tunnels and highway infrastructure? Yes No
 - What are the key structures?
 - How long can a facility operate if these structures are compromised?

- Is the facility's core function dependent on access to any of the following transportation systems?
 - Rail Yes No
 - Air Yes No
 - Shipping Yes No
 - Waterways Yes No
 - Pipeline Yes No

Dependencies – Critical Products

- Is the facility's core function dependent on access to chemicals and/or fuels? Yes No
 - What are the names of the chemical and/or fuel providers?
 - In the event of a disruption affecting your suppliers, do you have contracts with alternate suppliers? Yes No
- Is the facility's core function dependent on byproduct and waste removal? Yes No
- Is the facility's core function dependent on reliable access to raw materials such as metals, plastics, rubber, lumber, etc.? Yes No

Dependencies – General

- If you are a supplier of critical goods or services to other entities please list them below.
- If your facility experiences an unplanned service interruption, what are the impacts or consequences to your customers, the public, or other suppliers in the subsector/segment?
 - Loss of operations or serviced
 - Significant impact
 - No impact
 - Minor impact

Consequence

- Is the facility a lifeline critical infrastructure (e.g., a utility provider/asset)? Yes No

- Can other competitors or similar sister companies/facilities provide the product or service without major price impacts or delivery delays? Yes No

- What is the maximum facility population at any one time (include special events, employees, contractors and visitors)?

- Is the facility considered a Chemical, Biological, Radiological, Nuclear, or Explosive facility? Yes No

- What is the maximum offsite population that will be impacted by a reasonable worst case scenario at the facility (human impact such as death or injury, not economic impact)?

- Would an incident at the facility cause an immediate mass evacuation of the facility and a large population (over 20,000 people) within the surrounding area? Yes No

- Is the facility part of a designated system (e.g., electric grid, pipeline, railroad, or mass transit system)? Yes No

- What is the asset replacement value?
 - Less than \$5,000,000
 - \$5,000,001 to \$20,000,000
 - \$20,000,001 to \$100,000,000
 - \$100,000,001 to \$500,000,000
 - \$500,000,001 or greater

- What is the business interruption cost?
 - Less than \$10,000,000
 - \$10,000,001 to \$100,000,000
 - \$100,000,001 to \$500,000,000
 - \$500,000,001 to \$1,000,000,000
 - \$1,000,000,001 or greater

Threat Identification

Natural Hazards

- Avalanche
- Animal Disease Outbreak
- Drought
- Earthquake
- Flood
- Hurricane
- Landslide
- Pandemic
- Tornado
- Tsunami
- Volcanic Eruption
- Wildfire
- Winter Storm
- Other

Please specify:

Technological (Accident)

- Airplane Crash
- Dam Failure
- Levee Failure
- Mine Accident
- Hazardous Materials Release
- Power Failure
- Radiological Release
- Train Derailment
- Urban Conflagration
- Other

Please specify:

Human-Caused (Intentional)

- Biological Attack
- Chemical Attack
- Cyber Incident
- Explosives Attack
- Radiological Attack
- Sabotage
- School and Workplace Violence
- Other

Please specify:

Cyber (Intentional)

- Access via Wireless, Mobile, or Personal Devices
- Cloud Security
- Cyber Crime/Blackmail
- Data Breach/Loss
- Intellectual Property Theft/Corp Espionage
- Malware
- Distributed Denial of Service (DDOS)
- Code Injection
- Exploit Kits
- Social Media
- Targeted Cyber Attacks
- Other

Please specify: