



Ministry of Defence

# Cyber Security Model Supplier Assurance Questionnaire Level 3

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This preview of the Cyber Risk Profile Level 3 SAQ is a point-in-time version of the SAQ, accurate as of its publication date.

**Any subsequent changes or updates will not be reflected in this preview.**

Version	Date	Amendment
1.0	03/12/25	Publication

Please refer to the published applicant guides for the Defence Cyber Certification on the IASME website which provides guidance on a control-by-control basis.

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## General information

### 1. How many people work in the organisation?

- Fewer than 10
- 10 to 99
- 100 or more

### 2. What is the name of the organisation's head of cyber security?

*This could be a Chief Information Security Officer (CISO) or other role with responsibility for cyber security.*

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### 3. What is the best e-mail address for the organisation's cyber security function?

*This could be a team or individual able to receive questions on cyber security.*

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## Cyber Essentials scheme

**1. Does the organisation hold Cyber Essentials (CE) certification that covers the required scope for this activity?**

Yes  No

**2. Does the organisation commit to maintaining CE certification for the duration of any contract relating to this activity?**

*Only answer if Cyber Essentials scheme Q1 = Yes*

Yes  No

**3. Does the organisation hold Cyber Essentials Plus (CE)+ certification that covers the required scope for this activity?**

Yes  No

**4. Does the organisation commit to maintaining CE+ certification for the duration of any contract relating to this activity?**

*Only answer if Cyber Essentials scheme Q3 = Yes*

Yes  No

## Governance

**1. Does the organisation have documented management policies and processes in place that govern network and information system security?**

Yes  No

**2. Are the organisation's management policies and processes:**

*Only answer if Governance Q1 = Yes*

- Approved by management
- Communicated to all staff, including contractors
- Assigned an owner for ongoing maintenance and review
- Reviewed at least annually
- None of the above

**3. Does the organisation have an individual or team responsible for leading organisational security management at board level or equivalent?**

Yes  No

**4. Does the organisation have clearly defined roles and responsibilities for network and information system security at all levels, with established communication and risk escalation channels?**

Yes  No

**5. Are senior leaders accountable for network and information system security, with appropriate delegation of decision-making authority?**

Yes  No

## Risk management

**1. How often does the organisation actively manage cyber security risks across the entire organisation?**

- At least quarterly
- Less than quarterly
- No risk management in place

**2. Does the organisation assign dedicated risk owners to all identified risks?**

*Only answer if Risk management Q1 = NOT "No risk management in place"*

- Yes  No

**3. Does the organisation maintain a central cyber security risk register that includes logged risks, assigned owners, and regular reviews?**

*Only answer if Risk management Q1 = NOT "No risk management in place"*

- Yes  No

**4. How often does the organisation assess the risks to operations, assets, and individuals arising from the operation of its systems and the associated processing, storage, or transmission of data?**

- At least annually
- Ad-hoc
- No risk assessment in place

**5. Does the organisation maintain up-to-date network diagrams that illustrate network boundaries, internal and external connections, and operational systems?**

- Yes  No

**6. Does the organisation have established threat intelligence capabilities?**

- Yes  No

**7. Does the supplier have an assurance process in place to validate the effectiveness of security measures across its Functions?**

Yes  No

**8. Are assurance activities regularly conducted to assess the security of systems that store and process data?**

*Only answer if Risk management Q7 = Yes*

Yes  No

**9. Are findings from assurance activities used to enhance the security posture of people, processes and technology?**

*Only answer if Risk management Q8 = Yes*

Yes  No

**10. Does the organisation have a mechanism to address gaps identified during assurance activities?**

*Only answer if Risk management Q8 = Yes*

Yes  No

**11. Has the organisation obtained independent validation reports or certifications to demonstrate the security effectiveness of its technology, people, and processes?**

*Only answer if Risk management Q8 = Yes*

Yes  No

**12. How often does the organisation internally assess the effectiveness of its information security controls?**

*Only answer if Risk management Q8 = Yes*

At least once a year

Ad-hoc

No assessment carried out

**13. Which of the following activities are included in the assessment?**

*Only answer if Risk management Q12 = NOT "No assessment carried out"*

- Assessing the effectiveness of controls against information security policies
- Identifying deficiencies
- Reporting assessment results to leadership
- None of the above

## Asset management

**1. Does the organisation have a documented policy for asset management in place?**

Yes  No

**2. Does the organisation have an asset classification process in place?**

*An asset classification process shall include defining asset types and value.*

Yes  No

**3. Are all resources necessary for the operation of network and information systems documented in an asset inventory?**

*This includes people, systems and supporting infrastructure.*

Yes  No

**4. Does the organisation use automated tools for asset discovery and management to maintain an up-to-date asset inventory?**

Yes  No

## Supplier management

**1. Does the organisation have policies and procedures in place to manage the cyber security requirements of its supply chain?**

Yes  No

**2. Does the organisation assess the security risks associated with its dependencies on suppliers?**

Yes  No

**3. When does the organisation assess security risks related to its suppliers?**

- Before selecting a supplier
- At least annually, for existing suppliers
- None of the above

**4. Which of the following does the organisation do to ensure suppliers maintain appropriate security measures?**

- Determine appropriate security requirements for the supply chain
- Review supplier contracts to ensure security requirements are met
- Monitor third-party security arrangements
- None of the above

**5. What actions does the organisation take if a supplier fails to meet security requirements?**

- Manage the risk through the organisation's risk management process
- Implement corrective actions or terminate the contract, where appropriate
- No defined process for addressing non-compliance

**6. Are Service Level Agreements (SLAs) with IT infrastructure suppliers clearly documented?**

Yes  No

**7. Do the organisation's agreements with suppliers include information security, confidentiality, and data protection requirements?**

Yes  No

**8. Does the organisation impose restrictions on all subcontractors handling customer data to prevent unauthorised data sharing?**

Yes  No

## Physical management

**1. Does the organisation have a documented physical security policy in place?**

Yes  No

**2. Does the organisation ensure physical access to facilities where sensitive data is stored or processed is restricted to authorised personnel?**

Yes  No

**3. Does the organisation ensure records are retained of all physical access to facilities where sensitive data is stored or processed?**

Yes  No

**4. Does the organisation perform any Functions or process Data from its own physical premises?**

Yes  No

**5. Does the organisation maintain an inventory of all physical access devices used at its premises?**

*e.g. RFID cards, access fobs, door keys, keypads, biometric scanners.*

*Only answer if Physical management Q4 = Yes*

Yes  No

**6. Does the organisation restrict physical access to sensitive areas of its premises to authorised personnel?**

*Only answer if Physical management Q4 = Yes*

Yes  No

**7. Does the organisation maintain an up-to-date inventory of personnel authorised to access sensitive areas?**

*Only answer if Physical management Q6 = Yes*

Yes  No

**8. Does the organisation manage visitor access to non-public areas of its premises, including logging their entry and exit?**

*Only answer if Physical management Q4 = Yes*

Yes  No

**9. Does the organisation require visitors to always wear approved identification badges while on its premises?**

*Visitor badges should be different to staff badges.*

*Only answer if Physical management Q8 = Yes*

Yes  No

## Planning for resilience

**1. Does the organisation have documented policies and procedures in place that cover both cyber security and cyber resilience?**

Yes  No

**2. Does the organisation review its cyber security and cyber resilience policies and processes at least annually?**

*Only answer if Planning for resilience Q1 = Yes*

Yes  No

**3. Does the organisation update its cyber security and cyber resilience policies and processes in response to:**

*Only answer if Planning for resilience Q1 = Yes*

- Changes in contractual obligations
- Changes in applicable laws and regulations
- Evolving cyber security and resilience risks
- Relevant organisational changes
- None of the above

## Identity and access 1

**1. Does the organisation have documented policies and procedures in place that cover identity management?**

Yes  No

**2. Does the organisation have documented policies and procedures in place that cover access control?**

Yes  No

**3. Before granting access to non-public resources, does the organisation ensure that the following are in place:**

- Users are authenticated
- Users are authorised
- User identities are verified
- None of the above

**4. Does the organisation implement multi-factor authentication (MFA) to control access to:**

*Only answer if Identity and access 1 Q3 = Answer includes "Users are authenticated"*

- All systems deemed critical
- All systems processing sensitive information
- None of the above

**5. For these systems, is multi-factor authentication (MFA) mandatory before access is granted:**

*Only answer if Identity and access 1 Q4 = Not "None of the above"*

- To sensitive information
- To privileged/administrator functions
- From remote locations

None of the above

**6. Which of the following actions does the organisation take to ensure that only trusted devices access trusted networks and systems?**

- Monitor endpoint configuration and usage
- Regularly review justification for trusted endpoints
- Revoke authorisation for compromised endpoints
- Deny unauthorised endpoints access to trusted resources
- Deauthorise trusted endpoints when no longer required
- Configure endpoint security software to enforce security policies
- Only authorise devices with a business need
- Explicitly authorise identified endpoints
- Establish identities for endpoint devices
- None of the above

**7. Which of the following actions does the organisation take to manage privileged user access and actions?**

- Review privileged user actions at least quarterly to confirm legitimate use
- Log privileged user actions
- Review justification for privileged accounts upon transfer or termination
- Review justification for privileged accounts at least quarterly
- Maintain records of privileged accounts
- None of the above

**8. What privileged user actions are logged by the organisation?**

*Only answer if Identity and access 1 Q7 = Includes "Log privileged user accounts"*

- Access to sensitive resources

- System changes
- Command executions
- Login attempts
- None of the above

**9. Does the organisation remove, disable or restrict non-essential functions within its information systems?**

*Non-essential functions can include programs and services.*

- Yes  No

**10. Does the organisation provide user access to resources based on business need and the principle of least privilege?**

- Yes  No

**11. Does the organisation's access control policy include a separation of duties methodology?**

- Yes  No

**12. Which of the following does the organisation's separation of duties methodology consider:**

*Only answer if Identity and access 1 Q11 = YES*

- Cover for duties during staff absence
- How user accounts (standard and privileged) will be provisioned to facilitate separation
- The criteria for when separation is needed
- None of the above

**13. Does the organisation limit access to system audit and security logs to privileged users with a confirmed need for access?**

- Yes  No

**14. Which of the following practices does the organisation implement to ensure the effective management and control of identity and access for users, administrators, devices, and systems?**

- Authentication of entities
- Authorisation of access
- Accounting of activities
- None of the above

**15. Does the organisation maintain an inventory of all service accounts?**

*Service accounts are those not associated with a human. They are normally used by applications, systems, or services to access resources and perform tasks.*

- Yes  No

**16. Has the organisation implemented automated mechanisms within its critical or sensitive systems that:**

- Notify administrators of unusual system account use
- Notify administrators of account changes
- None of the above

**17. Has the organisation implemented automated mechanisms to:**

- Deprovision accounts on sensitive or critical systems
- Provision accounts on sensitive or critical systems
- Notify relevant stakeholders of staff terminations and transfers
- None of the above

**18. Does the organisation have automated mechanisms to support the management of system accounts, including processes acting on behalf of authorised users?**

- Yes  No

## Identity and access 2

**1. Does the organisation have a documented process for issuing, managing, verifying, revoking, and auditing identities and credentials for authorised users, processes and transactions?**

Yes  No

**2. Has the organisation implemented measures to ensure that only authorised individuals and processes can access systems using issued identities and credentials?**

Yes  No

**3. Does the organisation secure the storage, transmission and management of first-time and one-time passwords?**

Yes  No

**4. Does the organisation require that first-time and one-time passwords be changed immediately upon first login?**

Yes  No

**5. Which of the following methods does the organisation use to automate the protection of passwords?**

- Password hashing
- Password policy compliance check
- Account lockout policies
- Password manager tools
- Password generators
- None of the above

**6. Does the organisation's password policy require that standard user passwords have a minimum length of 8 characters?**

Yes  No

**7. Does the organisation's password policy prevent users from reusing their last 5 passwords?**

Yes  No

**8. Does the organisation have policies and procedures in place for managing unsuccessful login attempts?**

Yes  No

**9. Are there automated mechanisms in place to detect and respond to multiple unsuccessful login attempts?**

Yes  No

**10. Are unsuccessful login attempts regularly monitored and reviewed for signs of suspicious activity?**

Yes  No

**11. Are there designated individuals or teams responsible for managing unsuccessful login attempts?**

Yes  No

**12. How many incorrect password attempts are allowed before a standard user account is locked?**

No more than 10 incorrect attempts

More than 10 incorrect attempts

No limit set

**13. How long are user accounts locked out for after failed login attempts?**

*Only answer if Identity and access 2 Q12 = NOT "No limit set"*

Less than 15 minutes

15 minutes or longer

**14. Does the duration of the account lockout increase on further unsuccessful login attempts?**

*Only answer if Identity and access 2 Q12 = NOT "No limit set"*

Yes  No

**15. Does the organisation implement technical controls to prevent replay attacks?**

Yes  No

**16. Does the organisation prevent standard users from executing privileged functions?**

Yes  No

**17. Does the organisation log attempts by non-privileged users to access privileged functions?**

Yes  No

**18. Does the organisation maintain an inventory of all generic, service, and system accounts?**

Yes  No

**19. Are generic and system accounts assigned a named individual responsible for the account and its usage?**

Yes  No

**20. Does the organisation have a method of identifying system accounts and processes acting on behalf of actual users?**

Yes  No

## **Data security 1**

**1. Does the organisation identify and understand the data critical to its functions?**

Yes  No

**2. Does the organisation have a data classification approach that considers the impact from:**

Loss of availability

Unauthorised modification

Unauthorised access

None of the above

**3. Does the organisation maintain an inventory of where data is stored?**

Yes  No

**4. Does the organisation maintain an understanding of where data moves, including internally and to third parties?**

Yes  No

**5. Has the organisation assessed and identified the encryption requirements for all data in transit?**

Yes  No

**6. Has the organisation's assessment of encryption requirements covered all data in transit, including the following?**

Via removable media

Within organisational networks and systems

Over the internet

None of the above

**7. Does the organisation use Transport Layer Security (TLS) version 1.1 or earlier for protecting any sensitive data in transit?**

- Yes
- No
- Not applicable

**8. Does the organisation protect storage media and equipment containing data when physically moved?**

- Yes
- No

**9. Does the organisation require network connections to be terminated under the following conditions?**

- After a defined period of inactivity no greater than 24 hours.
- At the end of sessions.
- None of the above.

**10. Does the organisation require all trusted organisational wireless networks to authenticate users and devices and authorise them before granting access?**

- Yes
- No

**11. Do all trusted organisational Wi-Fi networks require Wi-Fi Protected Access 2 (WPA2) or newer encryption standards?**

- Yes
- No

**12. Does the organisation require visitors without trusted devices to use separate wireless networks which are segregated from trusted organisational networks?**

- Yes
- No

**13. Does the organisation require Multi-Factor Authentication (MFA) for users connecting remotely to its networks and systems?**

Yes  No

**14. Does the organisation encrypt all data transmitted through Virtual Private Network (VPN) connections?**

Yes  No

**15. Does the organisation disable split-tunnelling for users connecting remotely to its networks and systems, to ensure all Data is only transmitted via organisation-controlled channels?**

Yes  No

**16. Does the organisation use cryptography to protect remote access sessions?**

Yes  No

**17. Does the organisation route all remote access connections through managed access control points?**

Yes  No

**18. Has your organisation implemented appropriate controls to protect stored confidential data from the following threats?**

Insider threats

Bystanders

Intruders

None of the above

**19. Does the organisation require personnel to store confidential data only in approved locations?**

Yes  No

**20. Does the organisation label assets to help personnel track those containing confidential data?**

Yes  No

**21. Does the organisation ensure adequate secure data storage facilities are provided to staff who are required to store confidential information?**

Yes  No

**22. Has the organisation implemented full disk encryption on data storage where necessary to protect the confidentiality of data at rest?**

Yes  No

**23. Has the organisation trained its staff on how to manage the storage of confidential data?**

Yes  No

**24. Does the organisation ensure that all mobile devices processing Data have full device encryption?**

Yes  No

**25. Does the organisation remotely configure and manage mobile devices accessing its secure environment or data, ensuring it can:**

- Restrict Data access to authorised users and applications
- Require passcodes and biometrics to access Data
- Securely remove Data
- Maintain a minimum standard of device and application patching
- Confirm device security features have not been bypassed (e.g. jailbreaking/rooting)
- Manage applications containing Data
- Monitor application compliance with organisational policy

- Verify full device encryption is enabled
- Require minimum application and device inactivity locks
- None of the above

## Data security 2

**1. Does the organisation maintain an inventory of all its managed Removable Storage Media & Devices (RSM&D)?**

Yes  No

**2. Which encryption algorithm(s) does the organisation implement for its managed Removable Storage Media & Devices (RSM&D)?**

Advanced Encryption Standard (AES) 256

Those approved by a national authority

Those approved by FIPS-140-2 or later

Other

**3. Does the organisation prevent the use of unauthorised Removable Storage Media & Devices (RSM&D) by taking the following actions?**

Granting read/write permissions only to authorised RSM&D

Prohibiting staff and visitors from using unauthorised RSM&D

Maintaining records of authorised RSM&D

None of the above

**4. Does the organisation maintain and update a list of authorised working locations (outside of the organisation's premises) and inform all staff of these locations?**

Yes  No

**5. Does the organisation provide privacy protectors for devices when staff work in environments with an unacceptable risk of oversight from bystanders?**

Yes  No

**6. Does the organisation's user awareness training cover the cyber security risks of working outside the organisation's premises?**

Yes  No

**7. Does the organisation enforce the use of "always-on" Virtual Private Network (VPN) for endpoints where remote users are at risk?**

Yes  No

**8. Does the organisation manage and restrict the connection of peripherals/media to USB ports, except when authorised by policy?**

Yes  No

**9. Does the organisation risk assess and, unless required, disable the USB and other physical ports on laptops and portable devices?**

Yes  No

**10. Has the organisation implemented full disk encryption on all devices used by employees when working outside the organisation's premise?**

Yes  No

**11. Does the organisation sanitise devices, equipment, and removable storage media before reusing or disposing of them?**

Yes  No

**12. Which of the following are included in the organisation's decommissioning and destruction policy, standards, and procedures?**

Secure removal and destruction of information based on sensitivity of data

Type of media (e.g. paper, tapes, disks, etc.)

None of the above

**13. Does the organisation's disposal process for assets containing confidential information ensure the following?**

- Assets awaiting disposal are appropriately labelled
- Evidence of sanitisation or destruction is obtained
- Identifying labels are removed upon disposal
- Records of disposal are maintained
- None of the above

**14. Does the organisation have documented policies and procedures to ensure compliance with obligations under the UK General Data Protection Regulation (GDPR)?**

- Yes  No

**15. Does the organisation conduct Data Protection Impact Assessments (DPIAs) for data types it stores or processes?**

*Data Protection Impact Assessments (DPIAs) may include identifying data processing activities, assessing data types, identifying risks and impacts, mitigating risks and documenting them.*

- Yes  No

**16. Does the organisation implement Domain-based Message Authentication, Reporting and Conformance (DMARC) for all internet-facing email services?**

- Yes  No

**17. Does the organisation implement DomainKeys Identified Mail (DKIM) to enhance trust in all internet-facing email services?**

- Yes  No

**18. Does the organisation implement the Sender Policy Framework (SPF) to protect internet facing email domains against spoofing?**

- Yes  No

**19. Does the organisation have procedures in place to identify and authorise the flow of:**

- Personal information provided or produced during a contract.
- Government information provided or produced during a contract.
- None of the above.

**20. Does the organisation require the flow of personal and government information to be controlled in accordance with the following?**

- Approved authorisations
- Applicable legislation
- Contractual requirements
- None of the above.

**21. Does the organisation maintain documentation/diagrams of authorised personal and government information flows between the following?**

- Users
- Systems
- Networks
- Jurisdictions
- None of the above.

**22. Does the organisation employ systems to control the authorised flow of personal and government data?**

- Yes  No

**23. Does the organisation employ systems to monitor personal and government data flows to ensure compliance with its authorisations?**

- Yes  No

**24. Does the organisation implement and maintain full disk level encryption on all endpoints?**

Yes  No

**25. Which encryption algorithm(s) does the organisation implement for endpoint full disk encryption?**

*Only answer if Data security 2 Q24 = Yes*

- Those approved by FIPS-140-2 or later
- Those approved by a national authority
- AES-256
- Other

**26. Does the organisation have a policy governing the use of cryptographic methods?**

Yes  No

**27. Which cryptographic methods does the organisation use when protecting Data with encryption?**

- Methods approved in FIPS-140-2 or later
- Methods approved by a national authority
- Other

**28. Does the organisation's encryption key management policy and procedures cover the following aspects?**

- Required key lengths
- Secure storage, distribution and update of cryptographic keys
- Cryptographic keys revocation
- Management of lost, corrupt and expired keys
- Maintenance of cryptographic key backups
- Cryptographic key activation and deactivation dates

- Restriction of cryptographic key access to authorised individuals
- Compliance with local legal and regulatory requirements for cryptography
- None of the above

## Data security 3

**1. Does the organisation have a Data Loss Prevention (DLP) policy in place that covers:**

- How attempted unauthorised release is to be detected.
- How the flow of data must be controlled
- What information may be released
- None of the above

**2. Does the organisation have a Data Loss Prevention (DLP) policy in place that addresses data loss through the following channels?**

- Email
- External websites
- Removable storage media and devices
- None of the above

**3. Does the organisation implement systems to enforce its Data Loss Prevention (DLP) rules and to generate alerts?**

- Yes  No

**4. Are automated search tools used to identify data in unauthorised network drives or online/cloud storage locations?**

- Yes  No

**5. Does the organisation have designated individuals authorised to make information publicly available?**

- Yes  No

**6. Does the organisation train designated individuals to ensure that publicly accessible information does not contain non-public information?**

Yes  No

**7. Does the organisation review proposed content before posting it to publicly accessible systems to ensure that non-public information is not included?**

Yes  No

**8. Does the organisation periodically review the content on publicly accessible systems for non-public information and remove such information if discovered?**

Yes  No

**9. Does the organisation ensure all mobile devices accessing its corporate environment/Data are appropriately configured and managed using Mobile Device Management (MDM) or equivalent solutions?**

Yes  No

**10. Does the organisation have a process to disable or wipe organisation data if the mobile device is stolen or lost?**

Yes  No

**11. Has the organisation implemented procedures to ensure that all Data is securely destroyed when no longer required?**

Yes  No

**12. Does the organisation ensure any third parties engaged to process Data securely dispose of such Data when no longer required?**

Yes  No

## System security 1

**1. Does the organisation identify the systems and technologies critical to the operation of its Functions and protection of Data?**

Yes  No

**2. Does the organisation protect critical systems from cyber-attacks by implementing system security measures based on its understanding of risks to Functions and Data?**

Yes  No

**3. Does the organisation securely configure the network and information systems that support its Functions and protect Data?**

Yes  No

**4. Does the organisation have a vulnerability management process in place?**

Yes  No

**5. Does the organisation ensure systems are scanned for vulnerabilities:**

*Only answer if System security 1 Q4 = Yes*

At least monthly

Following major system or application updates

None of the above

**6. Does vulnerability scanning include all:**

*Only answer if System security 1 Q4 = Yes*

Web services

Applications

Infrastructure / Networks

None of the above

**7. Does the organisation develop risk treatment plans to address (remediate or mitigate) identified vulnerabilities promptly?**

*Only answer if System security 1 Q4 = Yes*

Yes  No

**8. Does the organisation have defined timelines for addressing vulnerabilities?**

*Only answer if System security 1 Q4 = Yes*

Yes  No

**9. Is the organisation's timeline for addressing critical severity vulnerabilities (as defined by the Common Vulnerability Scoring System v3):**

*Only answer if System security 1 Q8 = Yes*

- Within 15 days
- Outside 15 days

**10. Is the organisation's timeline for addressing high severity vulnerabilities (as defined by the Common Vulnerability Scoring System v3):**

*Only answer if System security 1 Q8 = Yes*

- Within 30 days
- Outside 30 days

**11. Is the organisation's timeline for addressing medium severity vulnerabilities (as defined by the Common Vulnerability Scoring System v3):**

*Only answer if System security 1 Q8 = Yes*

- Within 90 days

Outside 90 days

**12. Is the organisation's timeline for addressing low severity vulnerabilities (as defined by the Common Vulnerability Scoring System v3):**

*Only answer if System security 1 Q8 = Yes*

Within 180 days

Outside 180 days

**13. Does the organisation ensure that penetration testing is conducted on externally facing systems at least every 12 months?**

Yes  No

**14. Is the organisation's penetration testing programme based on industry standards and conducted by subject matter experts?**

Yes  No

**15. Which of the following does the organisation's penetration testing records include?**

Test scope and methodology

Findings by severity

Name of the tester (organisation / individual)

Testing date

Remedial action plan with timelines

None of the above

**16. Does the organisation have formal change management policies, processes and procedures in place?**

Yes  No

**17. Are the organisation's change management policies, processes and procedures reviewed at least annually?**

*Only answer if System security 1 Q16 = Yes*

- Yes  No

**18. Which of the following are included in the organisation's change management policy?**

*Only answer if System security 1 Q16 = Yes*

- Roles and responsibilities for change management
- The types of change (e.g. standard, normal, emergency)
- Required processes and procedures
- None of the above

**19. Prior to implementing a change, which of the following are undertaken?**

*Only answer if System security 1 Q16 = Yes*

- Acceptance criteria are established
- A change record is kept in a central repository
- Business impact of change failure is analysed
- Security impact of change is analysed and recorded
- Any security mitigations required are documented
- Back-out procedures are documented
- Stakeholder approval is obtained
- None of the above

**20. Which of the following are retained as an audit trail of a change?**

*Only answer if System security 1 Q16 = Yes*

- Test history & documentation
- Approvals

- Change outcome
- None of the above

**21. Does the organisation have a patch management policy and programme in place?**

- Yes  No

**22. Does the organisation monitor its technology vendors to ensure timely awareness of updates for its endpoints, network devices, and software?**

- Yes  No

**23. Does the organisation assess which vendor updates address vulnerabilities?**

- Yes  No

**24. Does the organisation ensure patches are tested before deployment to critical production environments?**

- Yes  No

**25. Does the organisation ensure systems are patched promptly, and within 14 days of an update being released which addresses a vulnerability classified by the product vendor as 'critical' or 'high risk'?**

- Yes  No

**26. Does the organisation have processes in place to enable out-of-band emergency patching?**

- Yes  No

## System security 2

**1. Does the organisation ensure users acknowledge appropriate warning notices before gaining system access?**

Yes  No

**2. Which of the following are included in the warning notices?**

*Only answer if System security 2 Q1 = Yes*

- Use of the information system is monitored, recorded and subject to audit
- Unauthorised usage of the information system is prohibited
- Unauthorised usage of the information system use is subject to criminal and civil penalties
- By continuing, the user affirms consent to monitoring and recording of their activities
- None of the above

**3. Does the organisation ensure users acknowledge warning notices before accessing systems with specific handling requirements, where mandated by the UK and/or international partner nations?**

Yes  No

**4. Which of the following are included within your warning notices for systems which have specific handling requirements imposed by the UK or its International Partners.**

*Only answer if System security 2 Q3 = Yes*

- The information system contains information with specific requirements imposed by the UK and/or international partner nations
- Use of the information system may be subject to other specified requirements associated with certain types of information, such as that subject to Export Controls or licences.
- None of the above

**5. Does the organisation ensure that warning notices regarding specific handling requirements are only provided to authorised and authenticated users?**

*Only answer if System security 2 Q3 = Yes*

Yes  No

**6. Does the organisation automatically lock user sessions on all devices after a predefined period of inactivity?**

Yes  No

**7. Is the organisationally defined period of inactivity for normal users:**

*Only answer if System security 2 Q6 = Yes*

15 minutes or less

More than 15 minutes

**8. Do locked user sessions and lock screens conceal all information previously displayed on the screen?**

Yes  No

**9. Does the organisation maintain an up-to-date list of authorised software?**

Yes  No

**10. Does the organisation implement a 'block by default, permit-by-exception' policy for software not on the authorised list?**

*Only answer if System security 2 Q9 = Yes*

Yes  No

**11. Does the organisation review its list of authorised software programs at least every 90 days?**

Yes  No

**12. Does the organisation enforce endpoint controls for internet access, in line with its internet access policy, to block the following?**

- Malware infections from internet browsing
- Access to undesirable internet resources (e.g. malicious websites, inappropriate content, etc...)
- Execution of code on the endpoint
- Downloads without sandboxing and anti-malware scanning
- Suspicious traffic and communications
- None of the above

**13. Where the organisation's policy permits any of the above activities due to business need, does it ensure processes and technologies are in place to mitigate the additional risk?**

- Yes  No

**14. Does the organisation ensure auditing is enabled for internet access endpoint controls?**

- Yes  No

**15. Does the organisation ensure security operators are alerted to blocked internet activity?**

- Yes  No

**16. Does the organisation ensure systems terminate connections to internet resources at the end of sessions or after a defined period of inactivity?**

- Yes  No

**17. Does the organisation have a documented policy in place for the use of Voice over IP (VoIP) technologies?**

Yes  No

**18. Has the organisation's Voice over IP (VoIP) policy been informed by a risk assessment of malicious VoIP usage?**

*Only answer if System security 2 Q17= Yes*

Yes  No

**19. Are all VoIP technologies in the organisation:**

*Only answer if System security 2 Q17= Yes*

- Authorised before deployment or use
- Monitored for unauthorised or malicious use
- Controlled, such as through firewall rules and endpoint controls
- None of the above

**20. Does the organisation define acceptable and unacceptable use of mobile code?**

Yes  No

**21. Does the organisation ensure controls are in place to identify, authorise, monitor, review, and control the use of mobile code within the organisation?**

Yes  No

**22. Does the organisation protect communication sessions requiring authenticity by enforcing secure communication protocols?**

Yes  No

**23. Does the organisation use automated mechanisms to detect misconfigured system components?**

Yes  No

**24. Does the organisation address detected misconfigured system components through its vulnerability management process?**

Yes  No

**25. Does the organisation have automated mechanisms to detect unauthorised system components?**

Yes  No

**26. Does the organisation address detected unauthorised system components through its incident management and change control processes?**

Yes  No

**27. Has the organisation implemented system controls to prevent unauthorised or unintended information transfer via shared system resources?**

*e.g. registers, cache memory, main memory, drives*

Yes  No

## System security 3

**1. Does the organisation ensure that appropriate authorisations and approvals are granted before privileged actions are carried out remotely?**

Yes  No

**2. Has the organisation established baseline configurations for all organisational systems?**

Yes  No

**3. Does the organisation incorporate system hardening procedures into its system baselines?**

*Only answer if System security 3 Q2 = Yes*

Yes  No

**4. Do the organisation's baseline configurations include restrictions on the following?**

*Only answer if System security 3 Q2 = Yes*

- User actions
- Use of unsupported software and hardware
- None of the above

**5. Are the organisation's baseline configurations:**

*Only answer if System security 3 Q2 = Yes*

- Documented
- Implemented
- Updated when changes are made to the baseline
- Reviewed at least annually
- None of the above

**6. Does the organisation have controls in place that obscure authentication information?**

*e.g. passwords input by users*

Yes  No

**7. Does the organisation minimise feedback information from failed logins to ensure that the system does not provide any information that would assist unauthorised individuals in compromising authentication mechanisms?**

Yes  No

**8. Does the organisation synchronise the time across all devices by using the Network Time Protocol (NTP)?**

Yes  No

**9. Does the organisation enforce physical and logical access restrictions for making changes to organisational systems, including upgrades and modifications?**

Yes  No

**10. Does the organisation ensure that the physical and logical access restrictions for its organisational systems are defined, documented, and approved?**

*Only answer if System security 3 Q9 = Yes*

Yes  No

**11. Does the organisation deploy automated tools to identify, register, and maintain a trusted inventory of its critical system components?**

Yes  No

**12. What data is recorded in these inventories?**

*Only answer if System security 3 Q11 = Yes*

- The location of critical system components
- Ownership of assets
- None of the above

**13. Does the organisation ensure that administrator credentials are stored using an approved and secure storage mechanism?**

- Yes  No

**14. Does the organisation audit its systems at least quarterly to ensure that controls enforcing the secure storage of administrator credentials are applied and effective?**

*Only answer if System security 3 Q13 = Yes*

- Yes  No

**15. Has the organisation implemented integrity verification tooling to detect unauthorised changes to web-facing, critical software and firmware?**

- Yes  No

**16. Does the integrity verification tooling automatically trigger the organisation's incident response process on detection of unauthorised changes?**

*Only answer if System security 3 Q15 = Yes*

- Yes  No

**17. Has the organisation implemented anti-malware capabilities on its systems?**

- Yes  No

**18. Does the organisation ensure that malware signatures and software are updated promptly when new releases are made available?**

*Only answer if System security 3 Q17 = Yes*

Yes  No

**19. Does the organisation regularly audit its anti-malware implementations to ensure they are:**

*Only answer if System security 3 Q17 = Yes*

- Being updated routinely and promptly
- Functional (e.g. performing real-time scans as well as periodic scans)
- Under active management
- Detecting sample malware
- Reporting detections correctly
- None of the above

**20. Does the organisation, at its external boundaries and key internal boundaries of organisational systems, do the following?**

- Control communications
- Monitor communications
- Protect communications
- None of the above

**21. Does the organisation control and limit connections to external systems using an allow-list at the network boundary?**

Yes  No

**22. Does the organisation block all inbound connections from external systems, unless approved in an allow-list?**

Yes  No

**23. Does the organisation ensure firewall rules are managed, approved and documented by an authorised and competent person?**

Yes  No

**24. Does the organisation remove or disable firewall allow rules when they are no longer required or serve a business need?**

Yes  No

**25. Does the organisation review and verify firewall rules at least annually?**

Yes  No

## Network and system resilience

**1. Has the organisation assessed the degree to which its systems must be resilient to cyber-attack and system failure?**

Yes  No

**2. Has the organisation built resilience into its systems to meet its resilience needs?**

*Only answer if Network and system resilience Q1 = Yes*

Yes  No

**3. Does the organisation design its network and information systems, which support its Functions and protect Data, to be resilient to identified cybersecurity incidents and system failures?**

Yes  No

**4. Do the organisation's resilient designs consider the appropriate level of segregation between systems?**

*Only answer if Network and system resilience Q3 = Yes*

Yes  No

**5. Do the organisation's resilient designs account for the levels of resources required for systems to operate?**

*Only answer if Network and system resilience Q3 = Yes*

Yes  No

**6. Does the organisation develop recovery plans for all systems to facilitate recovery from cyber-attacks and system failures?**

Yes  No

**7. Does the organisation test its recovery plans at least annually?**

*Only answer if Network and system resilience Q6 = Yes*

Yes  No

**8. Are issues identified during recovery plan testing recorded, risk-assessed, and addressed within organisationally defined timelines?**

*Only answer if Network and system resilience Q6 = Yes*

Yes  No

**9. Does the organisation ensure that accessible and secure backups of data are maintained to support the recovery of its functions and protect data?**

Yes  No

**10. Does the organisation secure backups with appropriate encryption technology to prevent unauthorised parties from viewing or tampering with backup data?**

*Only answer if Network and system resilience Q9 = Yes*

Yes  No

**11. Does the organisation perform backup integrity validation to ensure backups are completed without error and are accessible?**

*Only answer if Network and system resilience Q9 = Yes*

Yes  No

**12. Does the organisation ensure that backups are stored securely off-site, where necessary, to support system recovery and meet availability requirements?**

*Only answer if Network and system resilience Q9 = Yes*

Yes  No

**13. Does the organisation conduct regular backup recovery tests to ensure systems and services can be restored in the event of an incident?**

*Only answer if Network and system resilience Q9 = Yes*

Yes  No

**14. Does the organisation ensure backup recovery testing is conducted for critical systems at least every 6 months?**

*Only answer if Network and system resilience Q9 = Yes*

Yes  No

**15. When backup media is physically transported outside of secure locations, does the organisation require personnel to:**

- Store backup media in a secured and locked container prior to transport
- Utilise a certified courier for transportation
- Maintain a full chain of custody record
- Record tracking information
- Implement appropriate cryptography
- None of the above

**16. Does the organisation ensure that firewalls block all network connectivity paths and services by default, unless explicitly authorised by the appropriate Change Advisory Board (CAB) or equivalent?**

Yes  No

**17. Does the organisation ensure that enabled network connectivity paths and services are regularly reviewed and removed if there is no ongoing business need?**

Yes  No

**18. Does the organisation ensure that publicly accessible systems and networks are physically and/or logically segregated from internal systems and networks using network segmentation?**

Yes  No

**19. Does the organisation use tools or methods to detect, block, and report malicious or spam emails attempting to enter the organisation?**

Yes  No

**20. Does the organisation check all media containing diagnostic and/or test programs for malicious code prior to use?**

Yes  No

**21. Does the organisation ensure the tools, techniques and mechanisms used by maintenance personnel are either authorised or provided by the organisation?**

Yes  No

**22. Where non-local maintenance sessions are required to resolve an issue, does the organisation ensure Multi-Factor Authentication (MFA) is enabled to verify the identity of the individual before granting access to the system?**

*Only answer if Network and system resilience Q21 = Yes*

Yes  No

**23. Once non-local maintenance activity is complete, does the organisation ensure all remote sessions are terminated?**

*Only answer if Network and system resilience Q22 = Yes*

Yes  No

**24. Does the organisation require authorised, qualified, and experienced staff to supervise any maintenance workers who lack the necessary physical access permissions?**

Yes  No

## Awareness, Behaviours and Culture

**1. Does the organisation have a cyber security awareness and training programme that ensures staff possess the appropriate cyber security knowledge, skills, and awareness for their roles?**

Yes  No

**2. Does the organisation's leadership actively support and encourage positive cyber security behaviours, habits and adherence to cyber security policies and procedures?**

Yes  No

**3. Does the organisation provide clear and accessible guidance to employees on how to recognise and report security breaches?**

Yes  No

**4. Does the organisation ensure those that support the operation of Functions and protection of data are appropriately trained in cyber security?**

Yes  No

**5. Does the organisation ensure staff receive cyber security awareness training upon appointment and at least annually thereafter?**

*Only answer if Awareness, Behaviours and Culture Q4 = Yes*

Yes  No

**6. Does the organisation's cyber security awareness training ensure relevant staff can recognise and respond to:**

*Only answer if Awareness, Behaviours and Culture Q5 = Yes*

Social engineering and phishing

Advanced persistent threats

Suspected breaches

Suspicious behaviours

None of the above

**7. Does the organisation update its cyber security training, awareness and communications:**

*Only answer if Awareness, Behaviours and Culture Q5 = Yes*

At least annually

When there are significant changes to the threat

None of the above

**8. Does the organisation review and update the security risks that system users, administrators and managers should be aware of:**

At least annually

When there is significant organisational change

When there are significant change to the threat

None of the above

**9. Does the organisation ensure system users, system administrators and management are made aware of relevant:**

Security risks

System security policies

System security standards

System security procedures

None of the above

**10. Does the organisation have a formal Acceptable Use Policy in place?**

Yes  No

**11. Does the scope of the organisation's Acceptable Use Policy include appropriate restrictions on:**

*Only answer if Awareness, Behaviours and Culture Q10 = Yes*

- Use of social media, social networking sites, and external sites/applications
- Posting organisational information on public websites
- Use of organisation-provided identifiers (e.g., email addresses) and authentication secrets (e.g., passwords) for creating accounts on external sites/applications
- Clear desk and clear screen requirements
- Handling of physical corporate assets outside the office environment
- Locations for conducting duties
- Use, including remote activation, of any collaborative computing devices (e.g. remote meeting cameras)
- None of the above

**12. Does the organisation include practical exercises as part of its cyber security awareness training?**

- Yes  No

**13. Are the organisation's cyber security practical exercises:**

- Aligned with current organisational threat scenarios
- Undertaken by staff at least annually
- Assessed, with feedback provided to participants and supervisors
- None of the above

## Personnel and the environment

### 1. Does the organisation conduct appropriate pre-employment background checks for staff who will have access to Data?

*Irrespective of employment type or affiliation (employee, owner, partner, director, volunteer, student, intern or contractor)*

Yes  No

### 2. Which of the following are included within the organisation's pre-employment background checks?

*Only answer if Personnel and the environment Q1 = Yes*

- Verifying credentials
- Employment history
- Qualification checks
- Application or verification of BPSS (Baseline Personnel Security Standard)
- None of the above

### 3. Does the organisation have a defined and implemented policy for applying the UK Baseline Personnel Security Standard (BPSS) and National Security Vetting (NSV) checks, as appropriate, for personnel supporting Functions and for the protection of Data?

Yes  No

### 4. Does the organisation have a joiners, movers and leavers policy in place?

Yes  No

### 5. Does the organisation have procedures for new joiners to ensure the following?

- Access permissions are assigned based on roles and responsibilities
- Appropriate cyber security training is undertaken
- Understanding of relevant organisational cyber security policies and procedures is measured

None of the above

**6. Does the organisation have procedures in place for staff moving roles or departments to ensure the following?**

Access permissions are reviewed

Permissions and data are securely transferred

Cyber security training for new responsibilities or systems is delivered

None of the above

**7. Does the organisation have procedures in place for staff leaving the organisation that promptly:**

Revoke access to systems and data

Recover issued physical assets including laptops, device tokens, keys and physical identification passes

Change authentication factors known to leavers, including shared credentials and physical door codes

None of the above

**8. Does the organisation conduct exit interviews or otherwise communicate data security responsibilities to departing personnel?**

Yes  No

**9. Does the organisation encourage staff to report suspicious activities or cyber security policy violations by:**

Providing processes for staff to report without fear of punishment

Providing training on the reporting processes to staff

None of the above

**10. Does the organisation have a disciplinary process to investigate and take action when personnel are suspected of violating security policies or procedures?**

Yes  No

**11. Does the organisation assess its need for environmental controls, including:**

- Fire suppression systems
- Temperature and humidity controls (e.g. within data centre environments)
- Backup power technologies
- None of the above

**12. Does the organisation implement, install and maintain the environmental controls it has assessed as appropriate?**

*Only answer if Personnel and the environment Q11 = Backup power technologies, Temperature and humidity controls (e.g. within data centre environments) and/or Fire suppression systems*

Yes  No

## Security monitoring

**1. Does the organisation monitor the security status of networks and systems that support Functions and protect Data?**

Yes  No

**2. Does the organisation use security monitoring to detect potential security issues?**

*Only answer if Security monitoring Q1 = Yes*

Yes  No

**3. Does the organisation use its security monitoring to track the effectiveness of protective security measures?**

*Only answer if Security monitoring Q1 = Yes*

Yes  No

**4. Does the organisation have documented policies, procedures and controls in place for security event monitoring?**

Yes  No

**5. Which of the following are included in the organisation's security event monitoring procedures?**

*Only answer if Security monitoring Q4 = Yes*

- Security events covered
- Frequency of monitoring
- Clearly defined roles and responsibilities
- Escalation matrix
- Tools used for 24x7x365 monitoring and correlation
- None of the above

**6. Does the organisation ensure 24x7x365 security event monitoring of all identified systems?**

*Only answer if Security monitoring Q4 = Yes*

Yes  No

**7. Does the organisation ensure security event monitoring of all identified systems includes both production and non-production environments?**

*Only answer if Security monitoring Q4 = Yes*

Yes  No

**8. Does the organisation generate alerts for potential security events?**

*Only answer if Security monitoring Q4 = Yes*

Yes  No

**9. Does the organisation have documented policies, procedures and controls in place for securing logging data?**

Yes  No

**10. Does the organisation ensure only authorised individuals with a business need are granted read-only access to logs?**

Yes  No

**11. Does the organisation protect audit tools from unauthorised access, modification, and deletion?**

Yes  No

**12. Which of the following does the organisation require and enforce for stored logs?**

- A retention period for logs is documented
- Logs are protected from deletion during the retention period

- Logs are deleted following the retention period
- None of the above

**13. Which of the following does the organisation undertake as part of security event triage?**

- Review of security alerts generated from events
- Verifying reliability of identified and triggered alerts
- Using monitoring tools to identify evidence of security incidents
- None of the above

**14. Does the organisation have documented plans and procedures in place for identifying security incidents?**

- Yes
- No

**15. Does the organisation contextualise alerts with knowledge of the threat and systems when identifying security incidents?**

- Yes
- No

**16. Does the organisation engage incident response capabilities upon identification of an incident, whether confirmed or unconfirmed?**

- Yes
- No

**17. Does the organisation ensure that security monitoring staff have appropriate skills, tools and assigned roles to meet the organisation's:**

- Governance requirements
- Reporting requirements
- Expected threats
- Complexities of networks and systems
- None of the above

**18. Does the organisation ensure that security monitoring staff possess the contextual knowledge of its Functions and the requirements for the protection of Data?**

Yes  No

**19. Does the organisation have documented policies and procedures in place for the creation, retention and correlation of auditing logs?**

Yes  No

**20. Does the organisation ensure that event logs are generated for all systems supporting the operation of Functions and the protection of Data?**

Yes  No

**21. Does the organisation ensure that it captures logs for all key security event types, as defined by its policies?**

Yes  No

**22. Does the organisation review the event types selected for logging at least every 6 months to ensure they meet business requirements?**

Yes  No

**23. Does the organisation ensure that system event logs capture:**

Event date/time from Network Time Protocol (NTP) source

User ID

Devices accessed

Network ports used

None of the above

**24. Does the organisation ensure that logs are available on request for analysis?**

Yes  No

**25. Does the organisation ensure system logs are reviewed at least weekly to identify failures, faults and potential security issues?**

Yes  No

**26. Does the organisation ensure that logs are archived for at least 12 months?**

Yes  No

**27. Does the organisation ensure that access to modify system logs is restricted to prevent tampering?**

Yes  No

**28. Does the organisation store audit records in a separate physical system from the audited systems?**

Yes  No

**29. Does the organisation monitor the operational status of logging/auditing systems and alert on any failures?**

Yes  No

**30. Does the organisation have an effective audit reduction and report generation capability?**

Yes  No

**31. Does this capability support the organisation's requirements for on-demand audit review, analysis and reporting?**

*Only answer if Security monitoring Q30 = Yes*

Yes  No

**32. Does use of this capability preserve the original content and time-ordering of audit records?**

*Only answer if Security monitoring Q30 = Yes*

Yes  No

**33. Does the organisation integrate audit record review, triage, analysis, and reporting with its governance and incident management structures?**

Yes  No

**34. Does the organisation monitor for published alerts and advisories which pertain to the organisation's systems and act in response?**

Yes  No

## Proactive detection

**1. Does the organisation have procedures in place to proactively identify malicious activities within its networks and systems, including those that evade signature-based prevention and detection solutions?**

Yes  No

**2. Does the organisation define examples of abnormal system behaviour to aid in detecting malicious activity that is otherwise hard to identify?**

Yes  No

**3. Does the organisation ensure proactive detection of malicious attack activity by integrating its event detection, threat monitoring, and incident response capabilities?**

Yes  No

**4. Does the organisation use threat intelligence data to update and refine the scope of its monitoring and attack detection activities?**

Yes  No

**5. Does the organisation proactively search for known indicators of compromise across its systems and technologies to support detection efforts?**

Yes  No

**6. Does the organisation monitor alerts and advisories from trusted sources to identify new indicators of compromise?**

Yes  No

**7. Does the organisation use tools to detect unauthorised hardware, software, and firmware components in its systems?**

Yes  No

**8. Does the organisation require action to be taken when unauthorised components are detected, including, where appropriate and proportionate:**

- Disabling network access by such components
- Isolating such components
- Notifying systems administrators and/or security operations teams
- None of the above

## Incident response

**1. Does the organisation have clearly defined policies and processes in place for cyber security incident management?**

Yes  No

**2. Has the organisation tested its cyber security incident management processes?**

*Only answer if Incident response Q1 = Yes*

Yes  No

**3. Does the organisation have a cyber security incident response plan in place?**

*Only answer if Incident response Q1 = Yes*

Yes  No

**4. Is the organisation's cyber security incident response plan:**

*Only answer if Incident response Q3 = Yes*

- Based on risk assessments
- Maintained and up to date
- Suitable for a range of potential incident scenarios
- Tested
- None of the above

**5. Does the organisation have established procedures for incident response personnel to follow during each stage of its incident response plan?**

*Only answer if Incident response Q3 = Yes*

Yes  No

**6. Is the organisation's incident response plan reviewed at least annually?**

Yes  No

**7. Is the organisation's incident response plan endorsed by senior leadership to ensure it can be effectively enacted with the necessary authority during an incident?**

Yes  No

**8. During an incident, does the organisation have processes in place to provide access to information needed for incident response decisions and coordination with contingency plans?**

Yes  No

**9. Does the organisation conduct exercises at least annually to test its cyber security incident response plans?**

Yes  No

**10. Does the organisation design its incident response exercises based on:**

*Only answer if Incident response Q9 = Yes*

- Past incidents of relevance to the organisation
- Threat intelligence
- Risk assessments
- None of the above

**11. Does the organisation have an incident handling capability that is robust and comprehensive enough to meet its incident management policy and incident response plans?**

Yes  No

**12. Does the organisation's incident handling capability include:**

*Only answer if Incident response Q11 = Yes*

- Preparation for incidents
- Detection of incidents
- Forensic analysis of incidents
- Containment of incidents
- Recovery from incidents
- Communication with users
- Tracking incidents
- Documenting incidents
- Reporting incidents to organisational officials and/or authorities
- None of the above

**13. Does the organisation conduct data exfiltration tests at the network boundaries at least annually?**

- Yes  No

**14. Do data exfiltration tests at network boundaries assess both authorised and covert channels?**

*Only answer if Incident response Q13 = Yes*

- Yes  No

**15. Are data exfiltration tests at network boundaries used to test and train incident response procedures?**

*Only answer if Incident response Q13 = Yes*

- Yes  No

**16. Does the organisation audit the identities of internal users linked to denied communications?**

- Yes  No

## Recovery and improvements

**1. Does the organisation have procedures in place to conduct root cause analysis following incidents?**

Yes  No

**2. Does the organisation implement lessons learned from incidents into updated incident response procedures, training and testing?**

Yes  No

**3. Does the organisation conduct Business Continuity Risk Assessments?**

Yes  No

**4. Do the Business Continuity Risk Assessments include an assessment of:**

*Only answer if Recovery and improvements Q3 = Yes*

- Threats
- Impacts of service outage/breach
- Likelihood of service outage/breach
- Risks
- Suitability of existing recovery plans
- None of the above

**5. Does the organisation record business continuity risks in a risk register and monitor the improvements needed to mitigate those risks?**

*Only answer if Recovery and improvements Q3 = Yes*

Yes  No

**6. Does the organisation assess the need for redundant networking and telecommunications systems to protect Functions and Data?**

Yes  No