INTRODUCTION TO THE SECURITY RATING SCORE

IMPLEMENTATION DATE: OCTOBER 1, 2024

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

Ms. Misty L. Crabtree, Senior Action Officer
NISP Mission Performance Division, Mission Branch

AGENDA

- Explain why DCSA refined the security rating process
- Explain the security rating score design and refinements
- Explain the process used to calculate a score and assign a security rating
- Explain where to find security rating resources

UNDERSTANDING THE "WHY"

- DCSA deployed the current Security Review and Rating Process (SRRP) on September 1, 2021.
- Feedback recommended DCSA add a numeric value to the rating process and clarify criteria requirements.
- DCSA announced our intent to refine the rating process during the spring 2023 Customer Advisory Board meeting.
- The goal was for the design to be fair and simple and the refinements to decrease subjectivity and increase quality, consistency, and transparency.

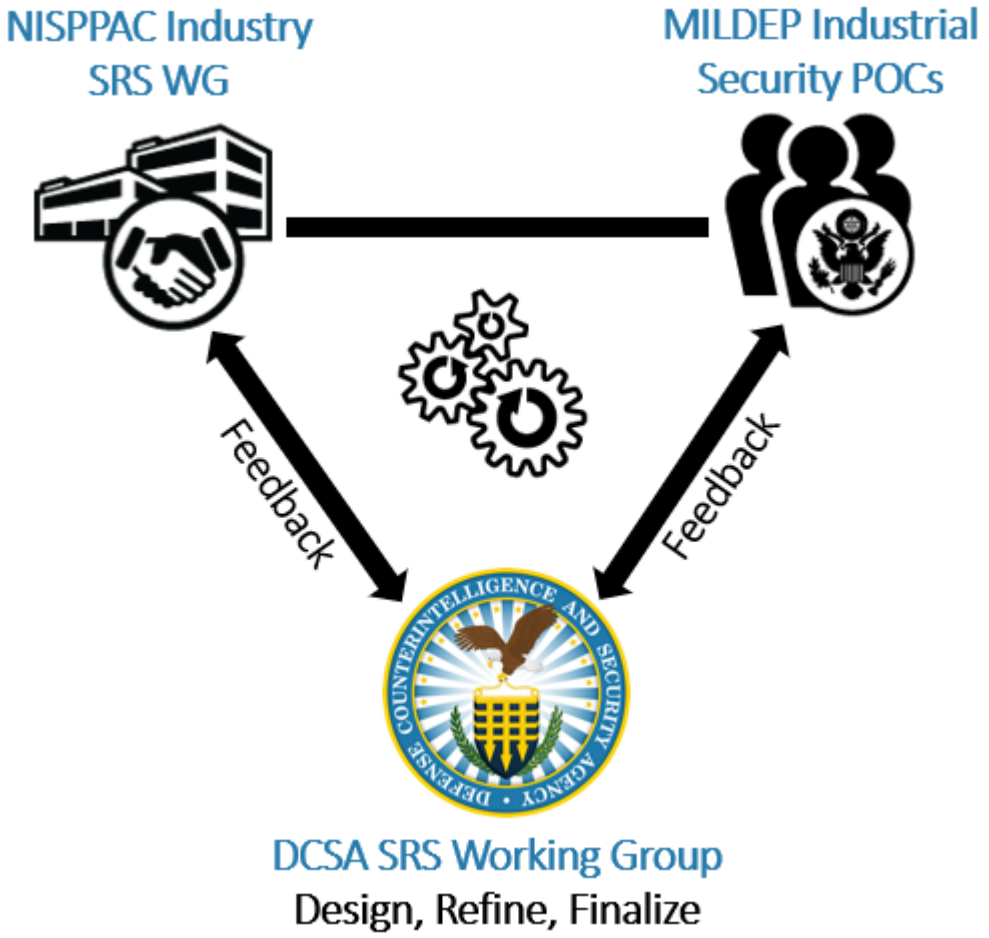
"Together, we need to be willing to put all the cards on the table — the good, the bad, the ugly — so we can **work together on solutions**. We need to discuss not what's best for one service [or] what's best for one company, but what's best for the joint force, what is best for multiple companies, [and], most importantly, what's best for our national security."

Air Force Gen. CQ Brown, Jr., Chairman of the Joint Chiefs of Staff

Credit: https://www.defense.gov/News/News-Stories/Article/Article/3731137/brown-calls-for-togetherness-collaboration-between-dod-and-industry/

TOP HIGHLIGHTS

- Only the security rating component of the security review process is impacted by the refinements.
- The security rating process continues to be fully aligned to policy and is compliance-first, using a whole-of-company approach.
- DCSA partnered with industry and government stakeholders throughout the design, pilot, and communication phases.
- DCSA will begin issuing security ratings using the refined process on October 1, 2024. Until then, we will continue to use the current process.



NISPPAC INDUSTRY SRS WORKING GROUP MEMBERS

- Jane Dinkel, Industry SRS Lead, Lockheed Martin
- Doug Edwards, Raytheon
- Ben Ferris, HII – Newport News Shipbuilding
- Lea Mosher, Akamai Technologies
- Leonard Moss, John Hopkins Applied Physics Lab
- Marcie Spalding, ManTech
- Chris Stolkey, BAE Systems
- Donna Thompson, General Dynamics
- Sarah Turner, Northrup Grumman Mission Systems

TOP REFINEMENTS

- Consolidated rating criteria into a single list and added supporting guidance to establish a common understanding of requirements and expectations.
- Added numeric component to the rating process, resulting in a security rating score.
- Created a new security rating tool and scorecard that provides granular level feedback on facility program effectiveness and opportunities for growth.

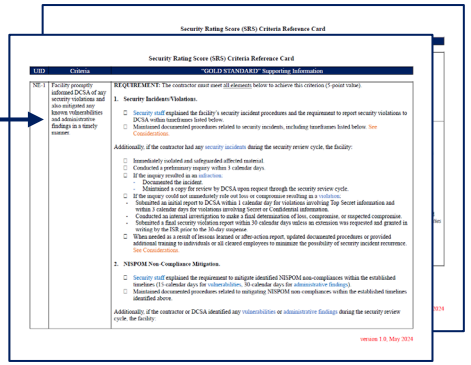
These refinements collectively address concerns related to subjectivity, inconsistency, and transparency.

"The security rating score provides tangible feedback to the facility. This process also removes the perceived unfairness of using the lowest category rating for the overall rating."
– Senior ISR

★ ★ ★ ★ ★

REFINEMENT #1: CONSOLIDATED AND CLARIFIED RATING CRITERIA

SRS Gold Standard Criteria



SRS Supporting Guidance

- 20 "gold standard" criteria, 5 in each of the 4 categories of:
  - NISPOM Effectiveness
  - Management Support
  - Security Awareness
  - Security Community
- Supporting guidance creates a common understanding of definitions, requirements, exceptions, considerations, and examples.
- Criteria and supporting guidance are available to all stakeholders.

REFINEMENT #1: CONSOLIDATED AND CLARIFIED RATING CRITERIA


DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

SECURITY RATING SCORE

DCSA SRS "Gold Standard" Criteria

Refer to the Security Rating Score (SRS) Criteria Reference Card for definitions and supporting guidance on how to achieve each criterion within the four categories.

SECURITY AWARENESS

SECURITY COMMUNITY

NISPOM EFFECTIVENESS

- (NE-1) Facility promptly informed DCSA of any security violations and also mitigated any known vulnerabilities and administrative findings in a timely manner.
- (NE-2) Appointed security personnel performed their duties and responsibilities to the fullest extent outlined in the NISPOM.
- (NE-3) Facility maintained documented security procedures outlining all applicable requirements to the NISPOM for their operations and involvement with classified information and implemented those procedures to protect classified information.
- (NE-4) Facility completed compliant and effective self-inspections that addressed issues or concerns in a timely manner.
- (NE-5) Facility implemented a continuous monitoring program that facilitated ongoing awareness of threats, vulnerabilities, and changes in classified operations to support organizational risk management decisions.

MANAGEMENT SUPPORT

- (MS-1) Management included the security staff in business decisions that impact the security program and promptly notified the security staff of changed conditions impacting the facility clearance.
- (MS-2) Management provided the security staff with sufficient personnel and resources to oversee the security program and ensure prompt support and successful execution of a compliant security program.
- (MS-3) Management was aware of the facility's classified operations and remained informed of any identified issues or concerns and supported implementation of measures to mitigate known issues.
- (MS-4) Management was aware of approach vectors applicable to the facility and supported implementation of measures to counter potential threats.
- (MS-5) Management made decisions using threat information while considering potential impacts caused by a loss of classified information, contract deliverables, and technology.

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

SRS Gold Standard Criteria

NISPOM EFFECTIVENESS

- (NE-1) Facility promptly informed DCSA of any security violations and mitigated any known vulnerabilities and administrative findings in a timely manner.
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- (NE-4) Facility completed compliant and effective self-inspections that addressed issues or concerns in a timely manner.
- (NE-5) Facility implemented a continuous monitoring program that facilitated ongoing awareness of threats, vulnerabilities, and changes in classified operations to support organizational risk management decisions.

Example of criteria within a single category

REFINEMENT #1: CONSOLIDATED AND CLARIFIED RATING CRITERIA

Refer to Security Rating Criteria Reference Card for all supporting guidance.

NISPOM EFFECTIVENESS

(NE-1) Facility promptly informed DCSA of any security violations and mitigated any known vulnerabilities and administrative findings in a timely manner.

(NE-2) Appointed securi
fullest extent outlined in

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(NE-5) Facility implemer
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REQUIREMENT: The contractor must meet all elements below to achieve this criterion (5-point value).

1. Security Incidents/Violations.

- ☐ Security staff explained the facility's security incident procedures and the requirement to report security violations to DCSA within timeframes listed below.
- ☐ Maintained documented procedures related to security incidents, including timeframes listed below. See Considerations.

Additionally, if the contractor had any security incidents during the security review cycle, the facility:

- ☐ Immediately isolated and safeguarded affected material.
- ☐ Conducted a preliminary inquiry within 3 calendar days.
- ☐ If the inquiry resulted in an infraction:
  - Documented the incident.
  - Maintained a copy for review by DCSA upon request through the security review cycle.
- ☐ If the inquiry could not immediately rule out loss or compromise resulting in a violation:
  - Submitted an initial report to DCSA within 1 calendar day for violations involving Top Secret information and within 3 calendar days for violations involving Secret or Confidential information.
  - Conducted an internal investigation to make a final determination of loss, compromise, or suspected compromise.
  - Submitted a final security violation report within 30 calendar days unless an extension was requested and granted in writing by the ISR prior to the 30-day suspense.
- ☐ When needed as a result of lessons learned or after-action report, updated documented procedures or provided additional training to individuals or all cleared employees to minimize the possibility of security incident recurrence. See Considerations.

1. NISPOM Non-Compliance Mitigation.

- ☐ Security staff explained the requirement to mitigate identified NISPOM non-compliances within the established timelines (15-calendar days for vulnerabilities, 30-calendar days for administrative findings).
- ☐ Maintained documented procedures related to mitigating NISPOM non-compliances within the established timelines identified above.

Additionally, if the contractor or DCSA identified any vulnerabilities or administrative findings during the security review cycle, the facility:

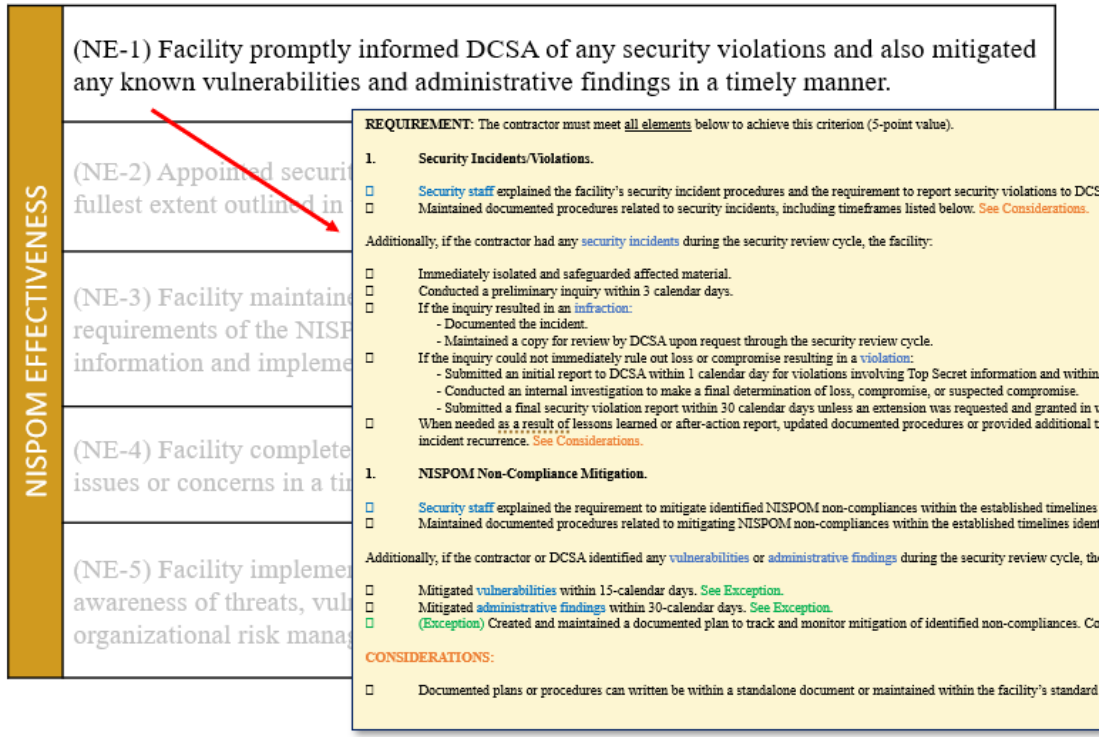
- ☐ Mitigated vulnerabilities within 15-calendar days. See Exception.
- ☐ Mitigated administrative findings within 30-calendar days. See Exception.
- ☐ (Exception) Created and maintained a documented plan to track and monitor mitigation of identified non-compliances. Communicated the plan and associated milestones to DCSA. See Considerations.

CONSIDERATIONS:

- ☐ Documented plans or procedures can written be within a standalone document or maintained within the facility's standard practice and procedure (SPP).

Example of supporting guidance for a single criterion

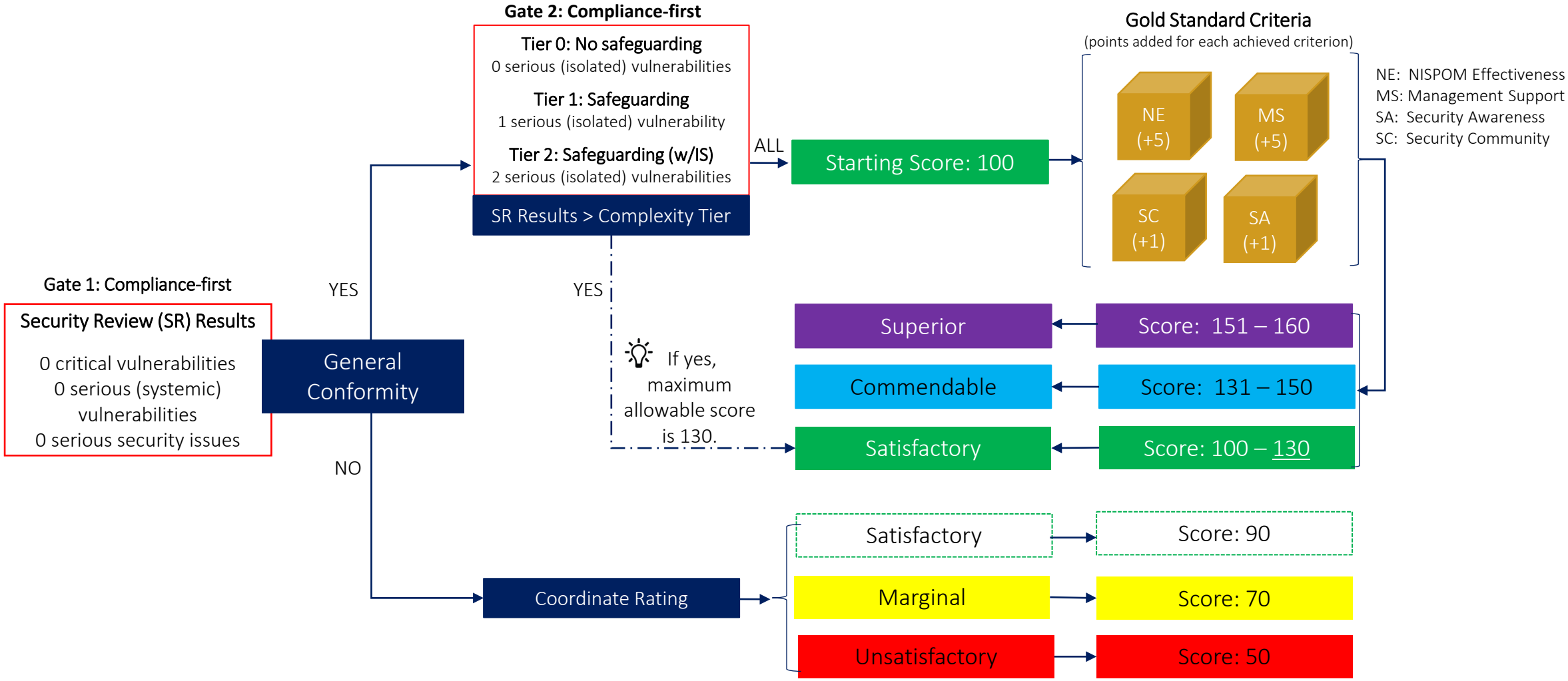
REFINEMENT #1: CONSOLIDATED AND CLARIFIED RATING CRITERIA



Understanding the Criteria Supporting Guidance Section

- **Requirements**: Contractor must achieve <u>all elements</u> within the criterion supporting guidance section to receive points. It's all or nothing.
- **Exceptions**: In a few instances, the requirements allow for exceptions, which are highlighted in green.
- **Definitions**: Self-explanatory but extremely important to ensure consistent application across the NISP. Words that have been defined are highlighted in blue and are located at the bottom of the reference card.
- **Considerations**: Additional clarification, disqualifications, and other things to consider are noted as considerations and highlighted as orange.
- **Examples**: Examples of how to achieve a criterion element are highlighted in purple. However, these are not the only acceptable ways to achieve the criterion. Consider the intent of the requirement prior to awarding the criterion points.

REFINEMENT #2: ADDED SCORING COMPONENT



REFINEMENT #2: ADDED SCORING COMPONENT

Facility Security Officer

Industrial Security Representative

REFINEMENT #2: ADDED SCORING COMPONENT (NON-CONFORMITY)

What if my facility is not in general conformity?

Facility Security Officer

Industrial Security Representative

DCSA would first coordinate a policy-based rating.

The coordinated policy-based rating then determines the final security rating score.

Coordinated Rating	Final SRS
Satisfactory	Score: 90
Marginal	Score: 70
Unsatisfactory	Score: 50

REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

What if my facility is in general conformity?

Facility Security Officer

DCSA will first determine your maximum allowed score.

Industrial Security Representative

To do this, we consider the following:

1. Facility's complexity tier.

2. Number of serious (isolated) vulnerabilities identified during the security review.

If your facility has more serious (isolated) vulnerabilities than your complexity tier allows, the maximum allowed score is 130. Otherwise, the maximum allowed score is 160.

REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

How do I know my facility's complexity tier?

Facility Security Officer

It's simple.

Industrial Security Representative

Tier 0: No Safeguarding
0 serious (isolated) vulnerabilities allowed

Tier 1: Safeguarding (no classified IS)
1 serious (isolated) vulnerability allowed

Tier 2: Safeguarding (with classified IS)
2 serious (isolated) vulnerabilities allowed

REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

So, if my facility is access elsewhere, then we are Tier 0?

Facility Security Officer

Yes, this is correct.

Industrial Security Representative

As Tier 0, your facility is allowed 0 serious (isolated) vulnerabilities. This means if you have any serious (isolated) vulnerabilities, your maximum score drops from 160 to 130.

However, this will not impact your facility's general conformity status.

REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

If my maximum allowed score is 130, do you still review rating criteria?

Facility Security Officer

Yes, of course.

Industrial Security Representative

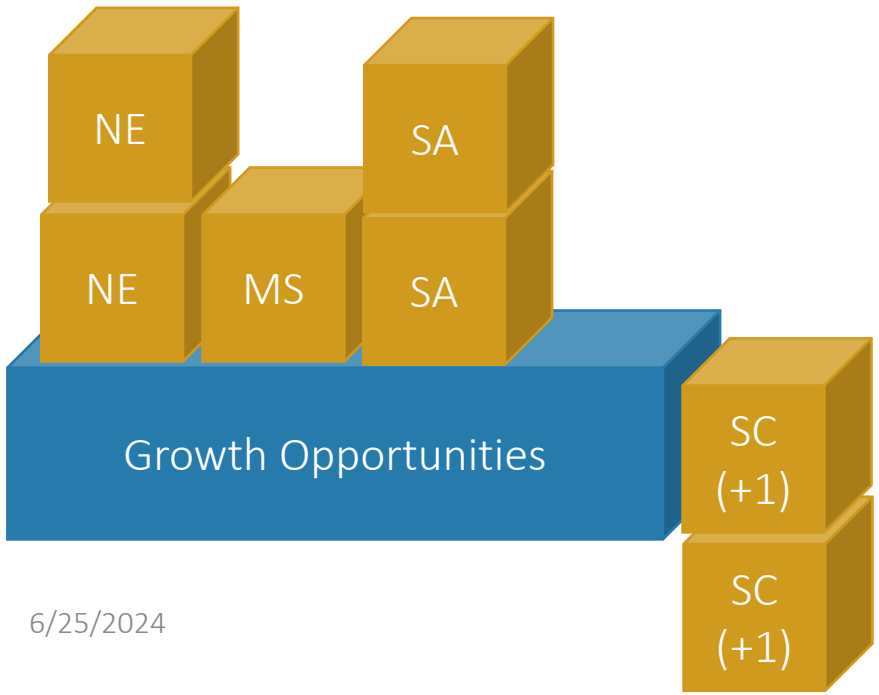
DCSA reviews rating criteria for all facilities in general conformity.

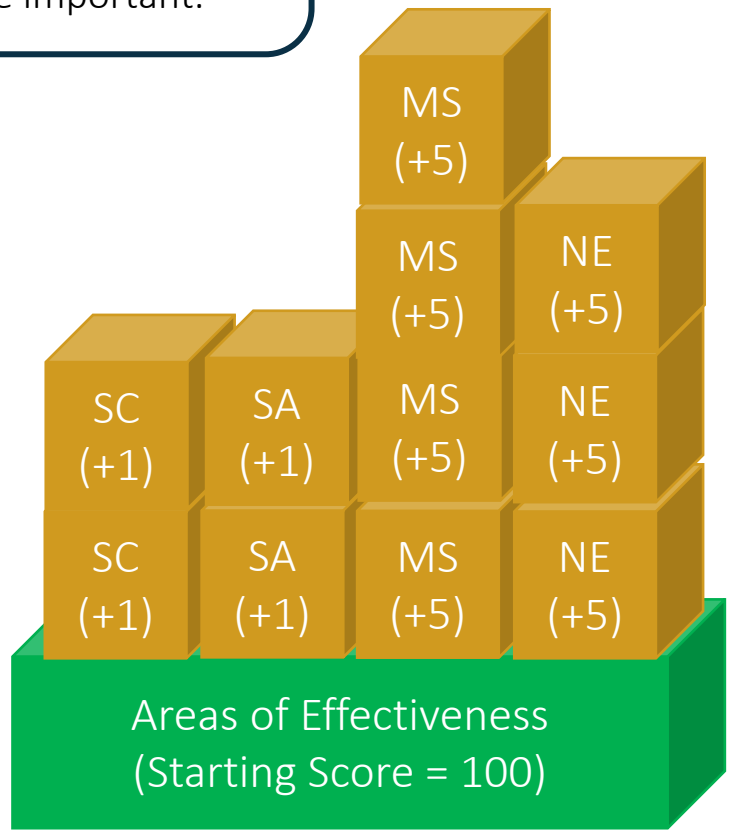
Let's discuss how that works.

REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

Using the supporting guidance, DCSA reviews each criterion, one-by-one, to determine if your facility achieved the criterion or not.

Achieved criterion is considered an area of effectiveness. Whereas criterion not achieved is considered an opportunity for growth. Both are important.

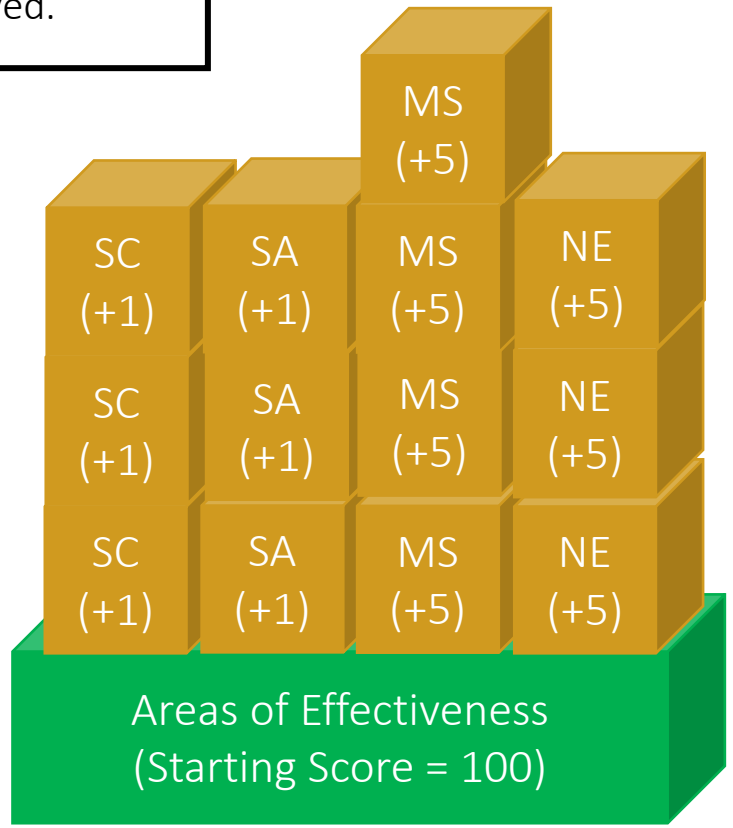




REFINEMENT #2: ADDED SCORING COMPONENT (GENERAL CONFORMITY)

Once all criteria decisions are made, DCSA adds your achieved points to the starting score of 100, resulting in your provisional score.

No points are added or removed for criteria not achieved.



REFINEMENT #2: ADDED SCORING COMPONENT

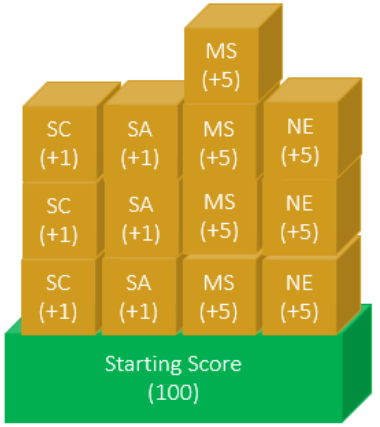
In your example, is the security rating score a 141?

Facility Security Officer

Industrial Security Representative

Yes, great job! 141 is the provisional score.

100	Starting Score
+ 41	Achieved Points
141	Provisional Score



REFINEMENT #2: ADDED SCORING COMPONENT

What would be the final security rating score?

Facility Security Officer

Industrial Security Representative

It's simple.

The provisional score is the final score if the maximum allowed score is 160. For example:

Provisional score = 141
Maximum allowed score = 160
Final score = 141

However, if the maximum allowed score is 130, the final score will be 130 or less. For example:

Provisional score = 141
Maximum allowed score = 130
Final score = 130

REFINEMENT #2: ADDED SCORING COMPONENT

If the final security rating score is 141, what is the rating?

Facility Security Officer

Industrial Security Representative

Easy. Check the security rating score range.

Security Rating Score Range

Superior	Score: 151 – 160
Commendable	Score: 131 – 150
Satisfactory	Score: 100 – 130

A final security rating score of 141 corresponds to a Commendable rating. Also, the DCSA Security Rating Score Tool calculates the security rating score and final rating to foster consistency.

REFINEMENT #2: ADDED SCORING COMPONENT

Can I use the tool to calculate my facility's score and rating?

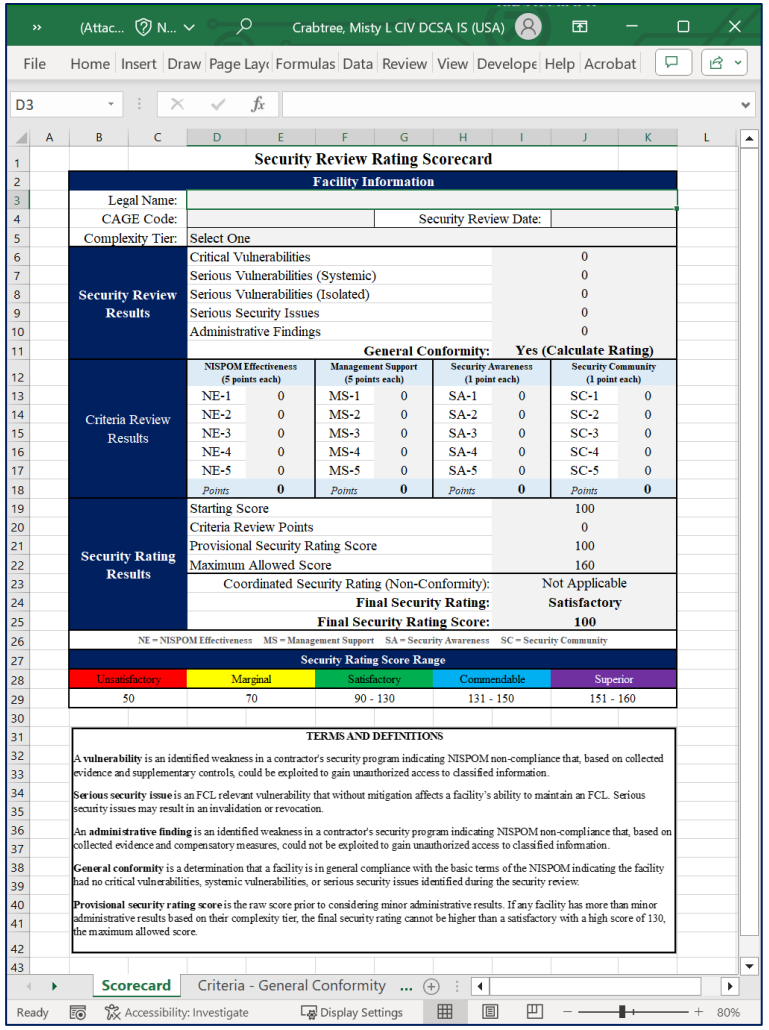
Facility Security Officer

Yes, absolutely.

Industrial Security Representative

DCSA encourages you to use the Security Rating Score tool to calculate an unofficial score and rating as part of your self-inspection process. The tool and all resources are located on the DCSA security review and rating process website.

REFINEMENT #3: CREATED TOOL AND SCORECARD



Security Review Rating Scorecard

Facility Information			
Legal Name:			
CAGE Code:		Security Review Date:	
Complexity Tier:	Select One		

Security Review Results		
	Critical Vulnerabilities	0
	Serious Vulnerabilities (Systemic)	0
	Serious Vulnerabilities (Isolated)	0
	Serious Security Issues	0
	Administrative Findings	0
	General Conformity:	Yes (Calculate Rating)

Criteria Review Results	NISPOM Effectiveness (5 points each)		Management Support (5 points each)		Security Awareness (1 point each)		Security Community (1 point each)	
	NE-1	0	MS-1	0	SA-1	0	SC-1	0
	NE-2	0	MS-2	0	SA-2	0	SC-2	0
	NE-3	0	MS-3	0	SA-3	0	SC-3	0
	NE-4	0	MS-4	0	SA-4	0	SC-4	0
	NE-5	0	MS-5	0	SA-5	0	SC-5	0
	Points	**0**	*Points*	**0**	*Points*	**0**	*Points*	**0**

Security Rating Results		
	Starting Score	100
	Criteria Review Points	0
	Provisional Security Rating Score	100
	Maximum Allowed Score	160
	Coordinated Security Rating (Non-Conformity):	Not Applicable
	Final Security Rating:	**Satisfactory**
	Final Security Rating Score:	**100**

NE = NISPOM Effectiveness MS = Management Support SA = Security Awareness SC = Security Community

Security Rating Score Range				
Unsatisfactory	Marginal	Satisfactory	Commendable	Superior
50	70	90 - 130	131 - 150	151 - 160

TERMS AND DEFINITIONS

A vulnerability is an identified weakness in a contractor's security program indicating NISPOM non-compliance that, based on collected evidence and supplementary controls, could be exploited to gain unauthorized access to classified information.

Serious security issue is an FCL relevant vulnerability that without mitigation affects a facility's ability to maintain an FCL. Serious security issues may result in an invalidation or revocation.

An **administrative finding** is an identified weakness in a contractor's security program indicating NISPOM non-compliance that, based on collected evidence and compensatory measures, could not be exploited to gain unauthorized access to classified information.

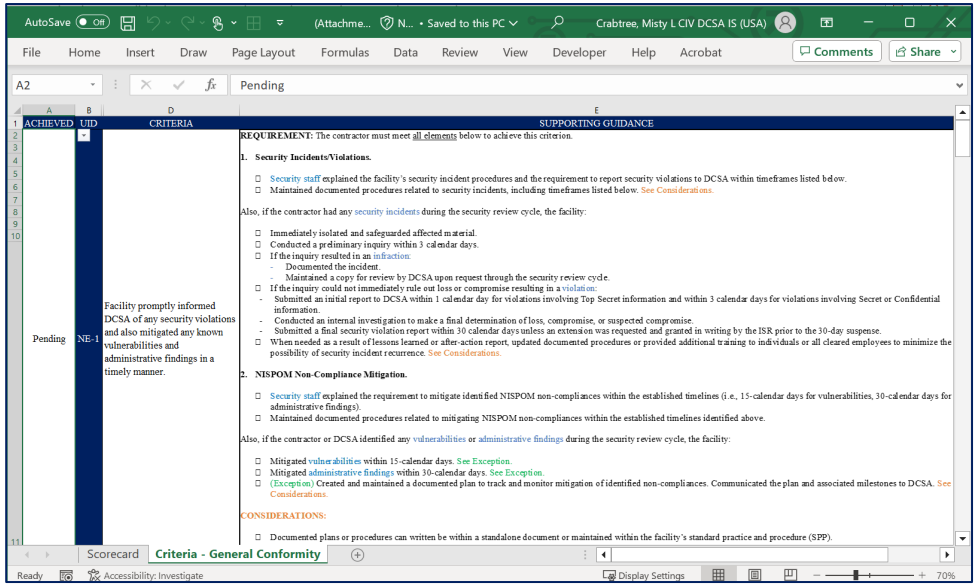
General conformity is a determination that a facility is in general compliance with the basic terms of the NISPOM indicating the facility had no critical vulnerabilities, systemic vulnerabilities, or serious security issues identified during the security review.

Provisional security rating score is the raw score prior to considering minor administrative results. If any facility has more than minor administrative results based on their complexity tier, the final security rating cannot be higher than a satisfactory with a high score of 130, the maximum allowed score.

Tab 1: Security Rating Scorecard

Security Rating Score Tool is a **fully automated** excel workbook consisting of two tabs:

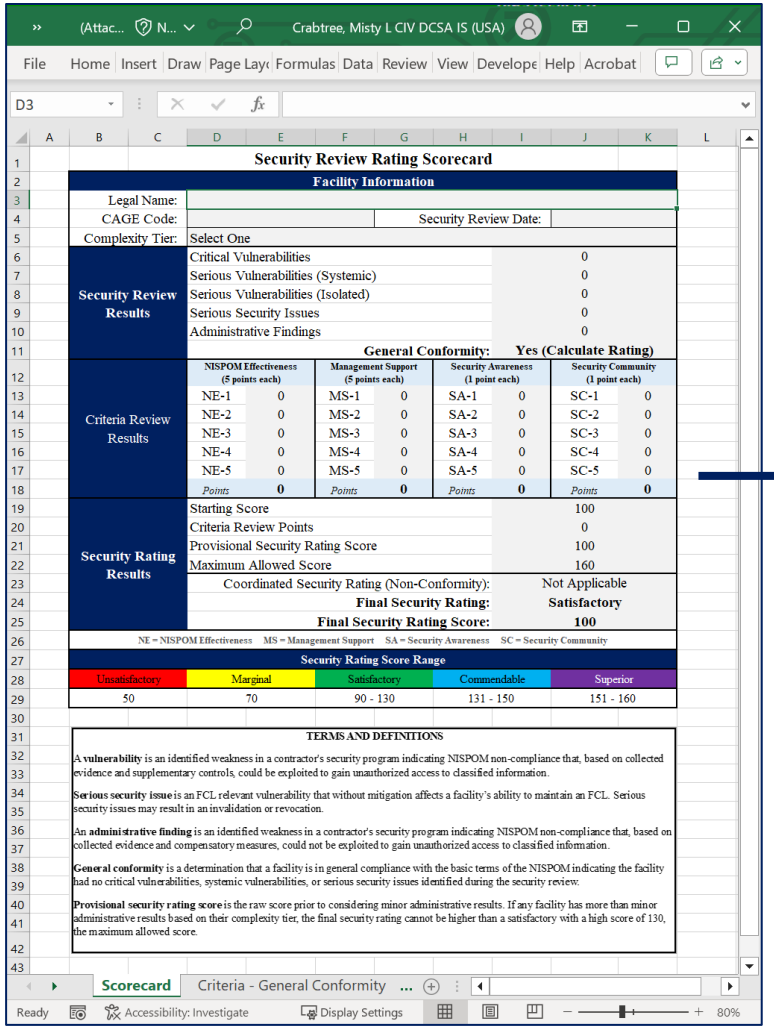
- Tab 1: Used for all security reviews (scorecard).
- Tab 2: Used for facilities in general conformity.



ACHIEVED	UID	CRITERIA	SUPPORTING GUIDANCE
Pending	NE-1	Facility promptly informed DCSA of any security violations and also mitigated any known vulnerabilities and administrative findings in a timely manner.	**REQUIREMENT:** The contractor must meet all elements below to achieve this criterion. **1. Security Incidents/Violations.** ☐ Security staff explained the facility's security incident procedures and the requirement to report security violations to DCSA within timeframes listed below. ☐ Maintained documented procedures related to security incidents, including timeframes listed below. See Considerations. Also, if the contractor had any security incidents during the security review cycle, the facility: ☐ Immediately isolated and safeguarded affected material. ☐ Conducted a preliminary inquiry within 3 calendar days. ☐ If the inquiry resulted in an infraction: - Documented the incident. - Maintained a copy for review by DCSA upon request through the security review cycle. ☐ If the inquiry could not immediately rule out loss or compromise resulting in a violation: - Submitted an initial report to DCSA within 1 calendar day for violations involving Top Secret information and within 3 calendar days for violations involving Secret or Confidential information. - Conducted an internal investigation to make a final determination of loss, compromise, or suspected compromise. - Submitted a final security violation report within 30 calendar days unless an extension was requested and granted in writing by the ISR prior to the 30-day suspense. ☐ When needed as a result of lessons learned or after-action report, updated documented procedures or provided additional training to individuals or all cleared employees to minimize the possibility of security incident recurrence. See Considerations. **2. NISPOM Non-Compliance Mitigation.** ☐ Security staff explained the requirement to mitigate identified NISPOM non-compliances within the established timelines (i.e., 15-calendar days for vulnerabilities, 30-calendar days for administrative findings). ☐ Maintained documented procedures related to mitigating NISPOM non-compliances within the established timelines identified above. Also, if the contractor or DCSA identified any vulnerabilities or administrative findings during the security review cycle, the facility: ☐ Mitigated vulnerabilities within 15-calendar days. See Exception. ☐ Mitigated administrative findings within 30-calendar days. See Exception. ☐ (Exception) Created and maintained a documented plan to track and monitor mitigation of identified non-compliances. Communicated the plan and associated milestones to DCSA. See Considerations. **CONSIDERATIONS:** ☐ Documented plans or procedures can written be within a standalone document or maintained within the facility's standard practice and procedure (SPP).

Tab 2: Security Rating Criteria (General Conformity)

REFINEMENT #3: CREATED TOOL AND SCORECARD



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	NE-4	0	MS-4	0	SA-4	0	SC-4	0	
	NE-5	0	MS-5	0	SA-5	0	SC-5	0	
	Points	**0**	*Points*	**0**	*Points*	**0**	*Points*	**0**	
Security Rating Results	Starting Score						100		
	Criteria Review Points						0		
	Provisional Security Rating Score						100		
	Maximum Allowed Score						160		
				Coordinated Security Rating (Non-Conformity):			Not Applicable		
				Final Security Rating:			**Satisfactory**		
				Final Security Rating Score:			**100**		

NE = NISPOM Effectiveness MS = Management Support SA = Security Awareness SC = Security Community

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Tab 1: Security Rating Scorecard

- Tool automatically calculates general conformity and the maximum allowed score based on information entered in the facility and security review results sections.
- Criteria Review Results section displays which criterion was and was not achieved, increasing transparency in how DCSA calculated the security rating score.
- Security Rating Score Tool is available to download on the DCSA SRRP website.

RESOURCES

- DCSA Security Review and Rating Process (SRRP) Website, Future Rating Process tab:
  - Security Rating Process Slick Sheet
  - Gold Standard Criteria
  - Security Rating Reference Card
  - Appointed Personnel Duties Job Aid
  - Security Rating Score Tool
- If you have questions, please reach out to your assigned DCSA Industrial Security Representative.

Scan here to visit the DCSA SRRP Website

CDSE WEBINARS

You are invited to attend…

Security Rating Score Criteria Requirements
July 30, 2024
1:00 pm to 2:30 pm ET
Register for CDSE Webinar

Scan here to view
CDSE Webinars and Conferences

REVIEW

- Understand why DCSA refined the security rating process
- Understand the security rating score design and refinements
- Understand the process used to calculate a score and assign a security rating
- Understand where to find security rating resources

QUESTIONS

Thank you for your participation.
Please direct additional questions to your assigned DCSA Industrial Security Representative.