DCSA
SECURITY REVIEW AND RATING PROCESS

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

Critical Technology Protection Directorate
National Operations

Agenda

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- Security Rating
  - Model Overview
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  - Step-by-Step Process
  - Roadmap to Commendable and Superior
- Resources

Security Review Background

- Information Security Oversight Office Letter
- Security Review Defined
- Benefits of Security Review
- Periodically refine the security review methodology to ensure processes align to national level policy
- Establish consistent, repeatable, and scalable security review procedures (by the field for the field)

Security Review Model Overview

- Aligns to minimum policy requirements outlined in DoDM 5220.22, Volume 2
- Functions within the DCSA charter of compliance while identifying risks posed throughout classified contract performance
- Incorporates best practices from previous security review models (e.g., DSS in Transition, Risk-based Industrial Security Oversight, Security Vulnerability Assessments)
- Prioritizes security reviews based on national level priorities (i.e., DoD Critical Program and Technology List) and risk management

Security Review Objectives

Review internal processes

Evaluate NISPOM compliance to identify vulnerabilities and administrative findings

Discuss approach vectors applicable to the facility and assess countermeasures

Advise the contractor on how to achieve and maintain an effective security program

Assess corrective actions taken by the contractor to mitigate previously identified vulnerabilities

Rate the facility's security posture

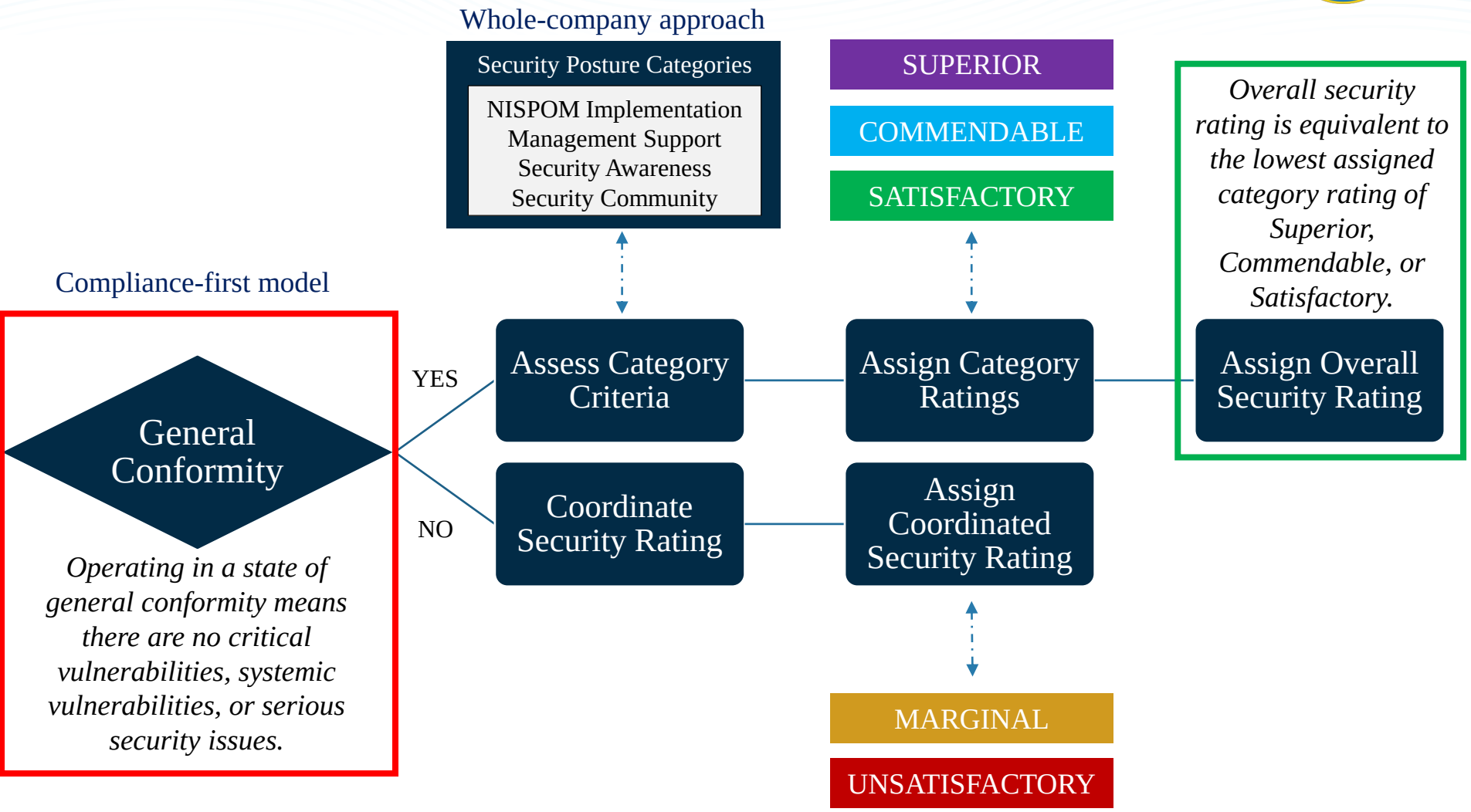
Evaluate classified information system plans, artifacts, and security controls

(when applicable)

Security Rating Model Overview

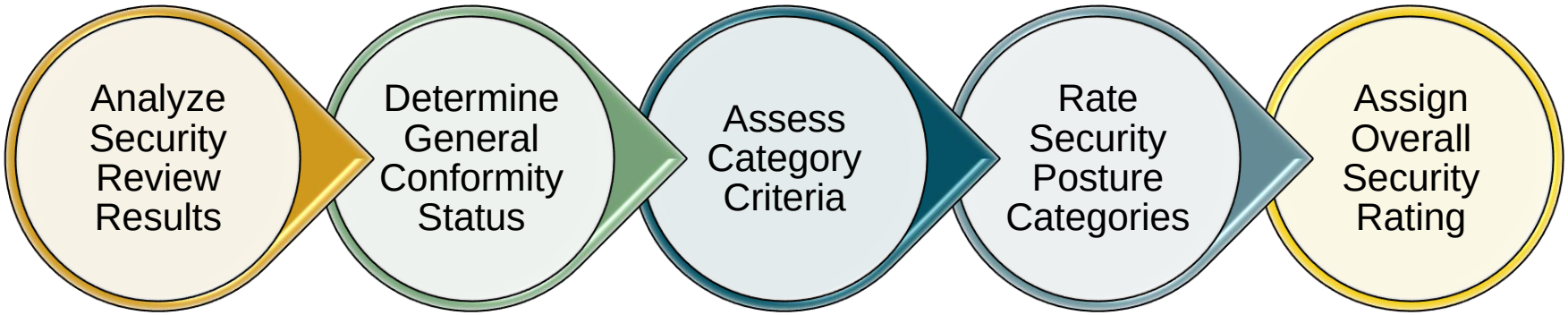
- Criteria-based system that aligns processes, terms and definitions, and minimum requirements to national level and DOD policy
- Scalable, repeatable, transparent, and defendable process
- Clear standards to ensure consistency with ability for professional judgement
- Process is supported by information (evidence) collected, or knowledge obtained, during normal progression of security review
- Five-tier ratings and no enhancements (compliance-first, whole-company approach)
- Process-based rating replaces numeric score
- Designed to give all contractors the same opportunity to achieve a higher level rating

Security Rating High-Level Process Flow

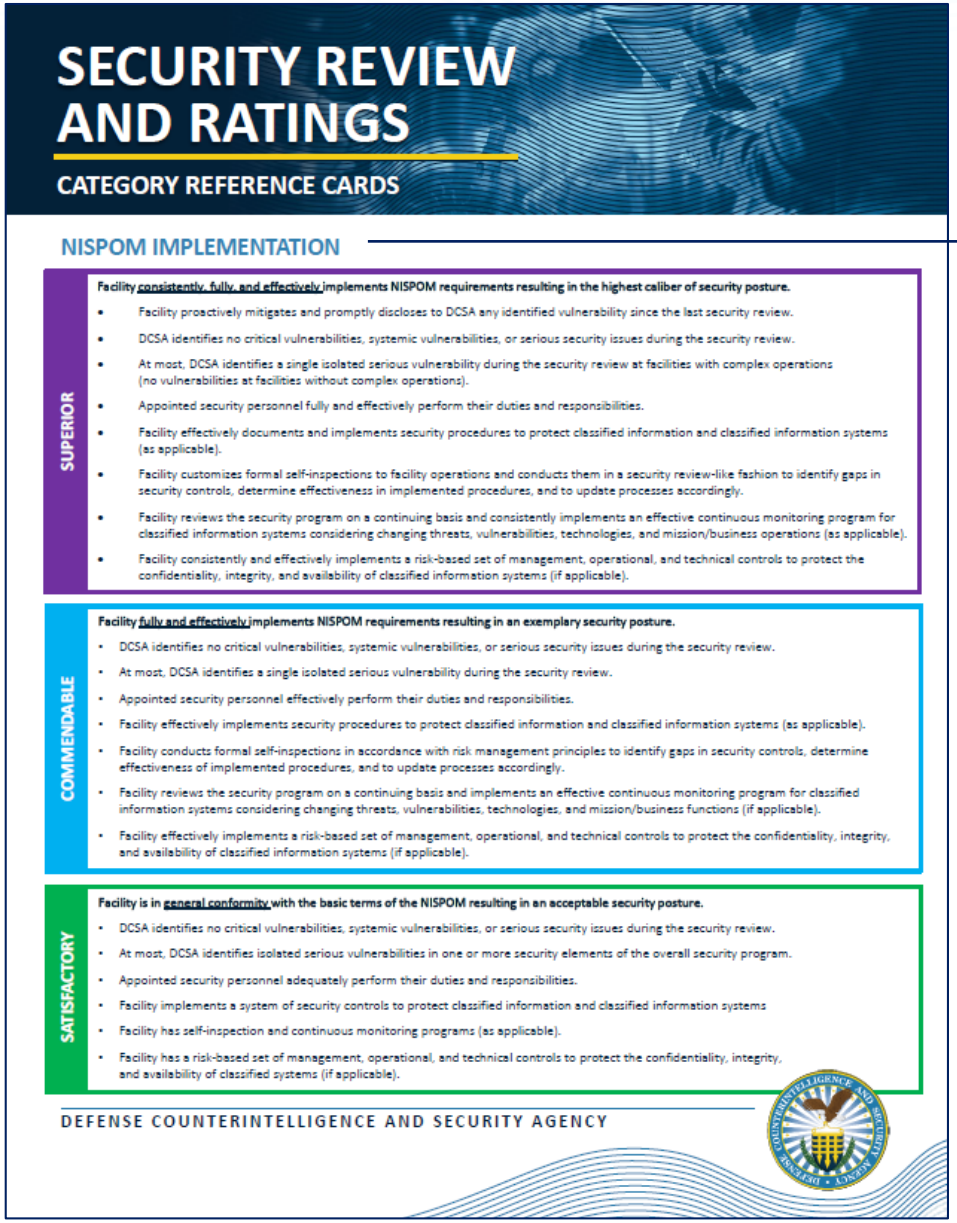


Security Rating Step-by-Step Process

Using the information collected and knowledge obtained during the normal progression of the security review, DCSA personnel:



Category Reference Cards



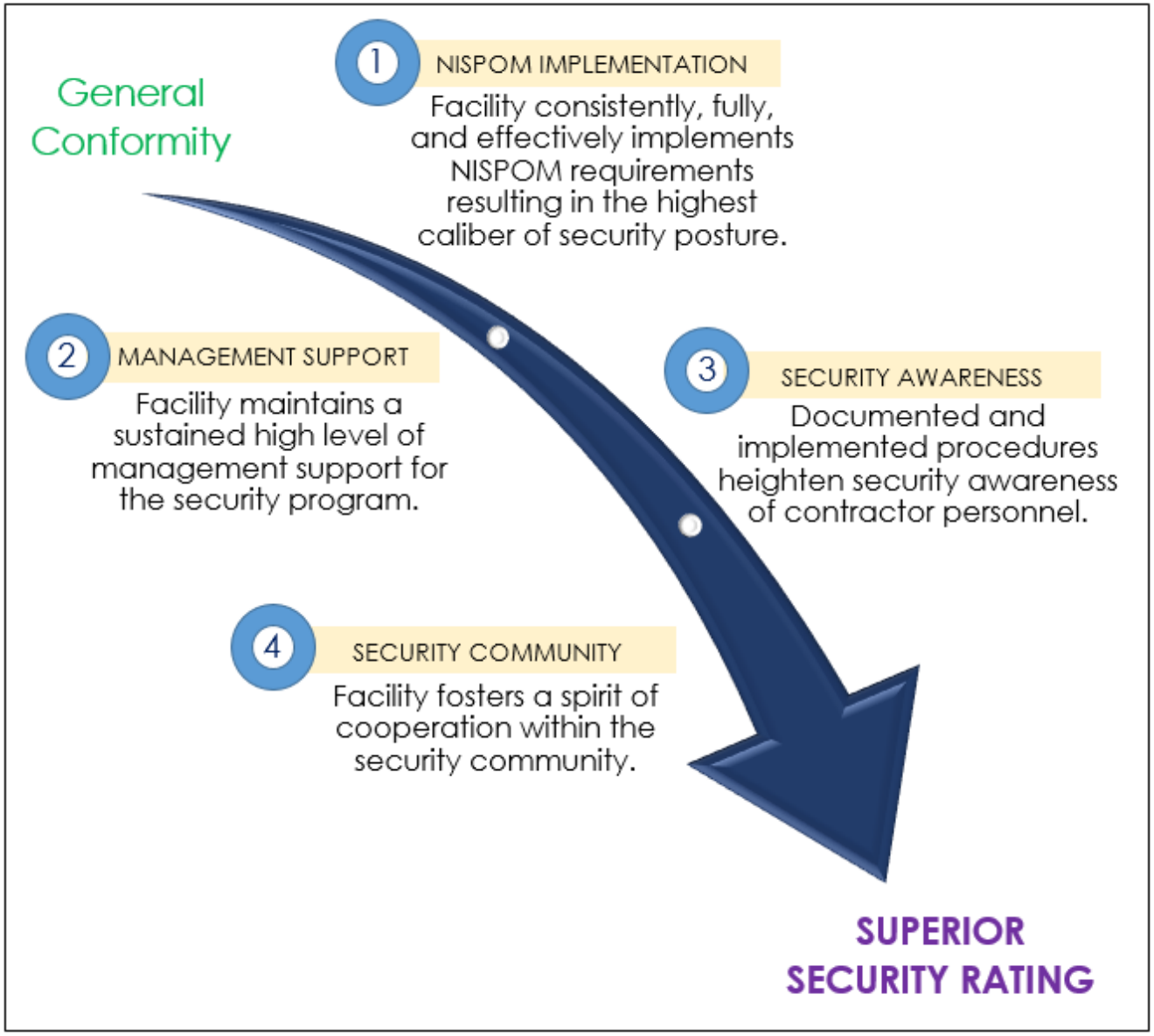
Security Posture Category

Superior Level Criteria

Commendable Level Criteria

Satisfactory Level Criteria

Roadmap to a Superior Rating

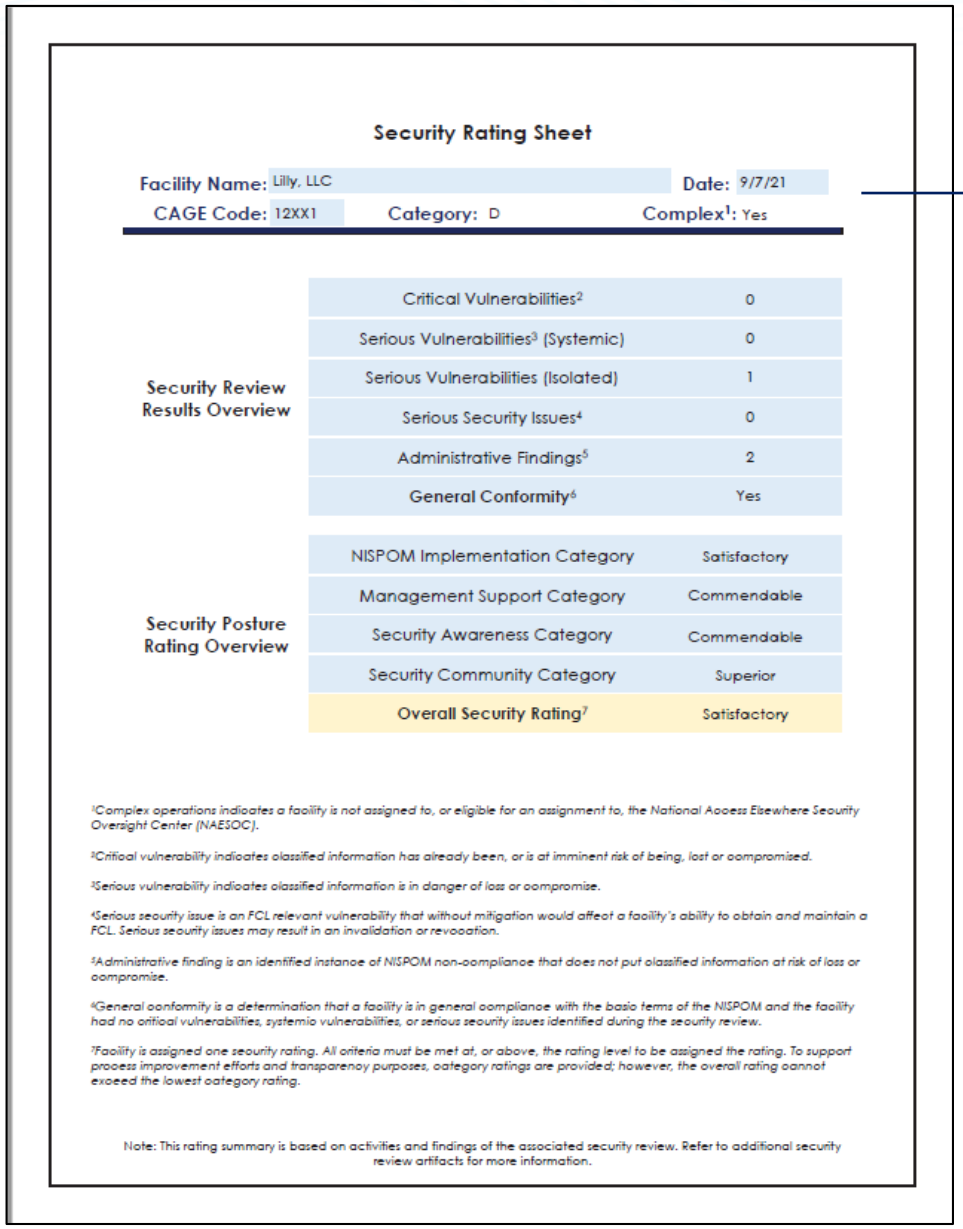


All facilities have an opportunity to achieve a superior level rating.

Refer to the Category Reference Cards and Roadmap to a Superior Rating document located on the DCSA Security Review and Rating page.

https://www.dcsa.mil/mc/ctp/srrp/

Security Rating Sheet



Security Rating Sheet

Facility Name: Lilly, LLC Date: 9/7/21

CAGE Code: 12XX1 Category: D Complex[1]: Yes

Security Review Results Overview	Critical Vulnerabilities[2]	0
	Serious Vulnerabilities[3] (Systemic)	0
	Serious Vulnerabilities (Isolated)	1
	Serious Security Issues[4]	0
	Administrative Findings[5]	2
	General Conformity[6]	Yes
Security Posture Rating Overview	NISPOM Implementation Category	Satisfactory
	Management Support Category	Commendable
	Security Awareness Category	Commendable
	Security Community Category	Superior
	Overall Security Rating[7]	Satisfactory

[1]Complex operations indicates a facility is not assigned to, or eligible for an assignment to, the National Access Elsewhere Security Oversight Center (NAESOC).

[2]Critical vulnerability indicates classified information has already been, or is at imminent risk of being, lost or compromised.

[3]Serious vulnerability indicates classified information is in danger of loss or compromise.

[4]Serious security issue is an FCL relevant vulnerability that without mitigation would affect a facility's ability to obtain and maintain a FCL. Serious security issues may result in an invalidation or revocation.

[5]Administrative finding is an identified instance of NISPOM non-compliance that does not put classified information at risk of loss or compromise.

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

[7]Facility is assigned one security rating. All criteria must be met at, or above, the rating level to be assigned the rating. To support process improvement efforts and transparency purposes, category ratings are provided; however, the overall rating cannot exceed the lowest category rating.

Note: This rating summary is based on activities and findings of the associated security review. Refer to additional security review artifacts for more information.

Facility Information

Security Review Results

Category Ratings and Overall Security Rating

Terms and Definitions

Resources

Additional information related to the security review and rating process, including the below webinars, are available at https://www.dcsa.mil/mc/ctp/srrp/

- CDSE "Understanding the DCSA Security Review and Security Rating Process" webinar recorded on June 24, 2021
- DCSA "Security Rating Process" webinar recorded on September 16, 2021

Questions

Thank you for your participation.

For more information visit the
DCSA Security Review and Rating page at
https://www.dcsa.mil/mc/ctp/srrp/.