

CLEARED
For Open Publication

Oct 15, 2024

Department of Defense
OFFICE OF PREPUBLICATION AND SECURITY REVIEW

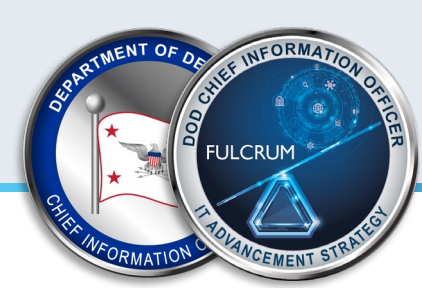


Cybersecurity Maturity Model Certification

Overview

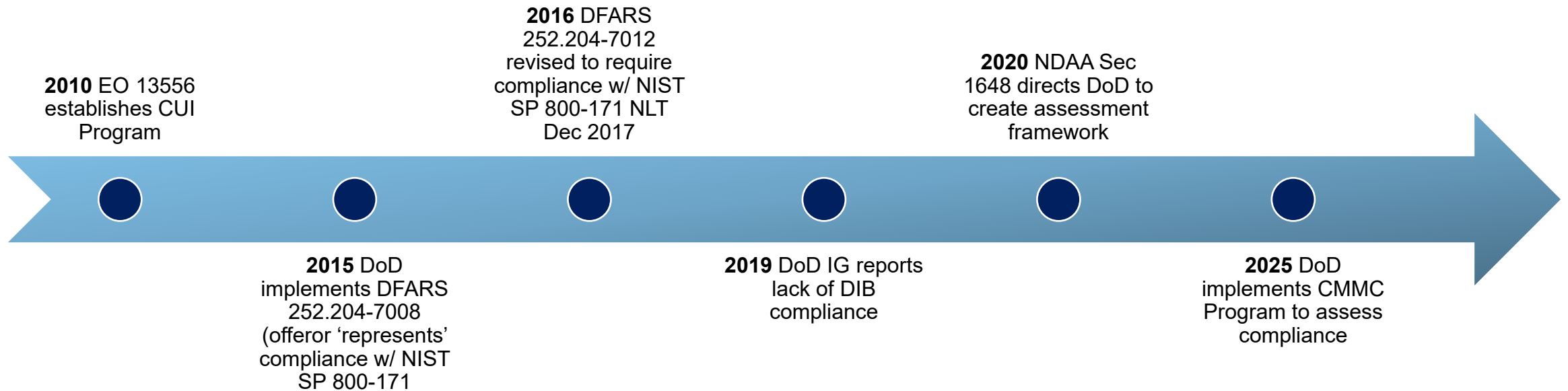
October 2024

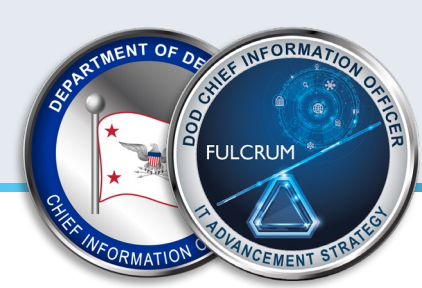
Acronym Glossary included in slides 20-21



CMMC Program Overview and History

The CMMC Program helps ensure that DoD contractors and subcontractors comply with DoD requirements to safeguard FCI and CUI.





CMMC



What:

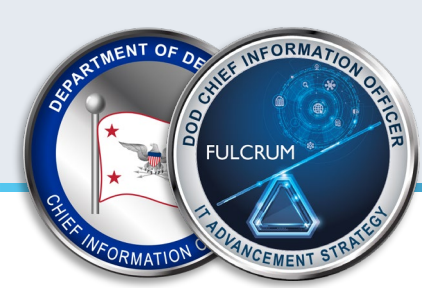
A consistent pre-award assessment methodology to determine whether a prospective contractor has implemented cybersecurity protections necessary to adequately safeguard DoD information.

Why:

To increase the cybersecurity posture of the DIB and better protect sensitive unclassified information.

How:

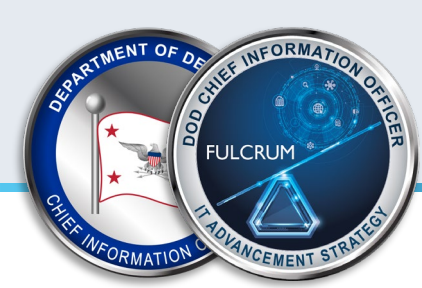
All defense contractors and subcontractors will show compliance with applicable security requirements through self-assessment or independent assessment, prior to contract award (excluding Commercial-Off-The-Shelf procurements).



CMMC Applicability

- CMMC Program requirements will apply to all DoD solicitations and contracts for which a defense contractor or subcontractor will process, store, or transmit FCI or CUI on its unclassified contractor information systems.
 - New DoD solicitations
 - New DoD procurement instruments including contracts, task orders, delivery orders
 - As a condition to exercise an option period
 - Subcontractors are subject to flow-down requirements

The CMMC Program does not alter separately applicable requirements to protect FCI or CUI



Safeguarding FCI and CUI

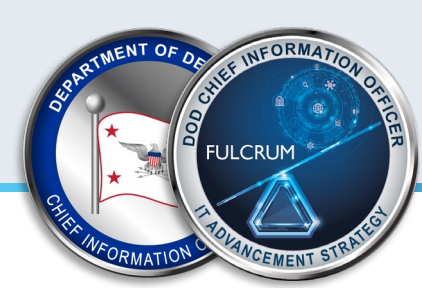
Safeguarding Requirements for Nonfederal Information Systems

FCI

- Information that is not marked as public or for public release and is not designated as CUI
- Defined in FAR 52.204-21
- Minimum safeguarding requirement: 48 CFR 52.204-21

CUI

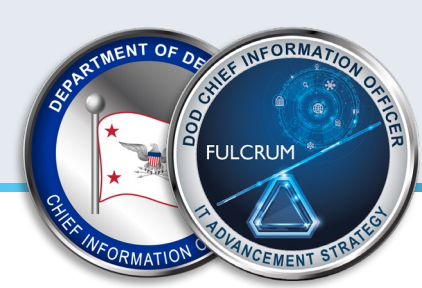
- Information that is marked or identified as requiring safeguarding in the DoD CUI Program
- Defined in 32 CFR Part 2002
- Minimum safeguarding requirement: NIST SP 800-171



Existing DoD Cybersecurity Requirements

- **DFARS clause 252.204-7012 – Effective Dec 2017**
 - Safeguard DoD CUI that resides on or is transiting through a contractor/subcontractor internal information system or network by implementing NIST SP 800-171 at a minimum
 - Report cyber incidents that affect contractor/subcontractor ability to perform requirements designated as operationally critical
- **DFARS Provision 252.204-7019 – Effective Nov 2020**
 - Implement DFARS clause 252.204-7012 and have at least a Basic NIST SP 800-171 DoD Assessment that is current (i.e., not more than three (3) years old unless a lesser time is specified in the solicitation) posted in SPRS
- **DFARS clause 252.204-7020 – Effective Nov 2020**
 - Provide Government access when necessary to conduct or renew a higher-level Assessment
 - Include requirements of the clause in all applicable subcontracts and ensure applicable subcontractors can conduct and submit an Assessment

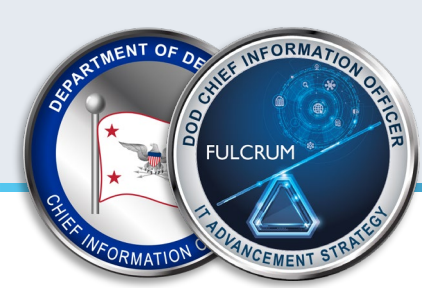
CMMC assesses whether a prospective DoD contractor has implemented these standards



The CMMC Clause

- DFARS clause 252.204-7021
 - Relies on the requiring activity to identify the appropriate CMMC Status requirements based on the type of information to be processed, stored, or transmitted
 - Requires the contractor/subcontractor to:
 - Develop and update Artifacts and Deliverables per RFI/RFP
 - Conduct Self-Assessment or request a C3PAO or DIBCAC to perform a CMMC Certification Assessment, depending on the sensitivity of the data on the contractor's or subcontractor's information system
 - Complete annual affirmation of continued compliance in SPRS
 - Flow-down the DFARS clause 252.204-7021 to subcontractors

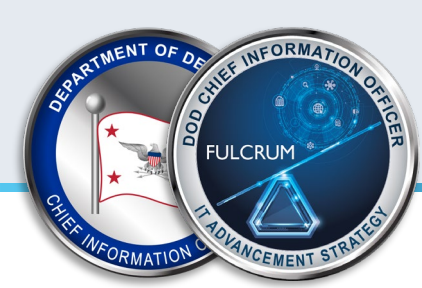
DoD is updating Title 48 CFR (the DFARS) to include revised CMMC Requirements



Revised CMMC Framework Requirements

CMMC Model	Model	Assessment
<p>LEVEL 3</p>	<p>134 requirements (110 from NIST SP 800-171 r2 plus 24 from 800-172)</p>	<ul style="list-style-type: none"> • DIBCAC assessment every 3 years • Annual Affirmation
<p>LEVEL 2</p>	<p>110 requirements aligned with NIST SP 800-171 r2</p>	<ul style="list-style-type: none"> • C3PAO assessment every 3 years, or • Self-assessment every 3 years for select programs. • Annual Affirmation
<p>LEVEL 1</p>	<p>15 requirements aligned with FAR 52.204-21</p>	<ul style="list-style-type: none"> • Annual self-assessment • Annual Affirmation

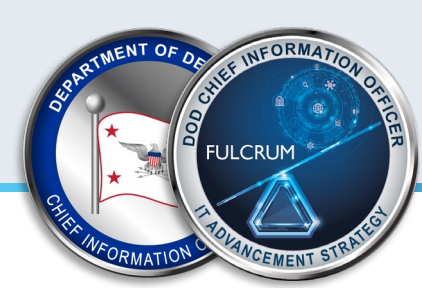
When specified in a solicitation, all CMMC requirements must be met prior to award



CMMC Alignment to NIST SP 800-171 Revisions

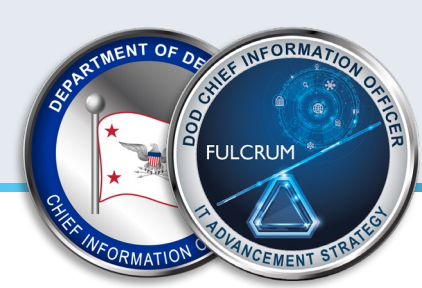
- DoD followed federal rulemaking guidelines when aligning CMMC assessment requirements to NIST SP 800-171 **Rev 2**.
- Defense contractors can implement NIST SP 800-171 Rev 3, but must comply with **Rev 2 requirements not covered in Rev 3** to meet CMMC assessment requirements.
- DoD will incorporate Rev 3 with future rulemaking.





Conditional and Final Status

- An OSA may achieve a **Conditional CMMC Status** if the initial assessment (with passing score) resulted in allowable POA&M items.
- An OSC achieves a **Final CMMC Status** when assessment results in a passing score with no POA&M, or when the POA&M has been closed out within 180 days of achieving a Conditional CMMC Status.



CMMC Post-Assessment Remediation

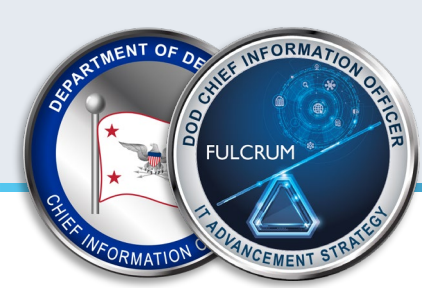
❑ CMMC Program will allow limited use of POA&Ms

- POA&Ms are not allowed for CMMC Level 1.
- Refer to § 170.21 of the 32 CFR CMMC Program final rule for CMMC Level 2 and Level 3 POA&Ms requirements, including critical requirements not allowed in a POA&M.

❑ Closeout Assessment

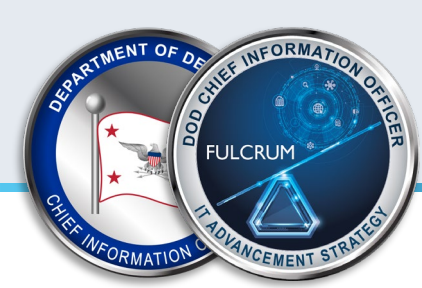
- POA&M closeout Self-Assessment is conducted by the OSA.
- POA&M closeout Certification Assessment is conducted by a C3PAO or the DIBCAC.
- POA&Ms must be closed out within 180 days of when the CMMC Assessment results are finalized and submitted to SPRS or CMMC eMASS, as appropriate.

Failure to close POA&M within 180 days will result in an expired CMMC Status



CMMC Scoring Methodology (§ 170.24)

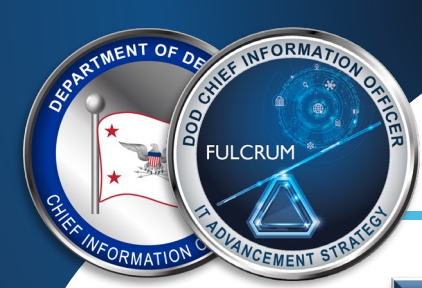
- Level 1: Score not required; either **MET** or **NOT MET**
- Level 2: Security requirements are valued 1, 3, or 5 points with a range of -203 to 110, with a minimum passing score of 88. Partial credit is allowed for 2 requirements:
 - MFA: 5 points deducted from overall score of 110 if MFA is not implemented or implemented only for general users and not remote and privileged users;
 - MFA: 3 points deducted if MFA is implemented for remote and privileged users but not implemented for general users;
 - FIPS: 5 points deducted from overall score of 110 if no cryptography is employed;
 - FIPS: 3 points deducted if cryptography is employed, but not FIPS validated.
- Level 3: All Level 3 security requirements are valued 1 point with a maximum score of 24. Requires a prerequisite Level 2 score of 110.
- Results for all Levels are posted in SPRS and reviewed by contracting officers and requiring activities.



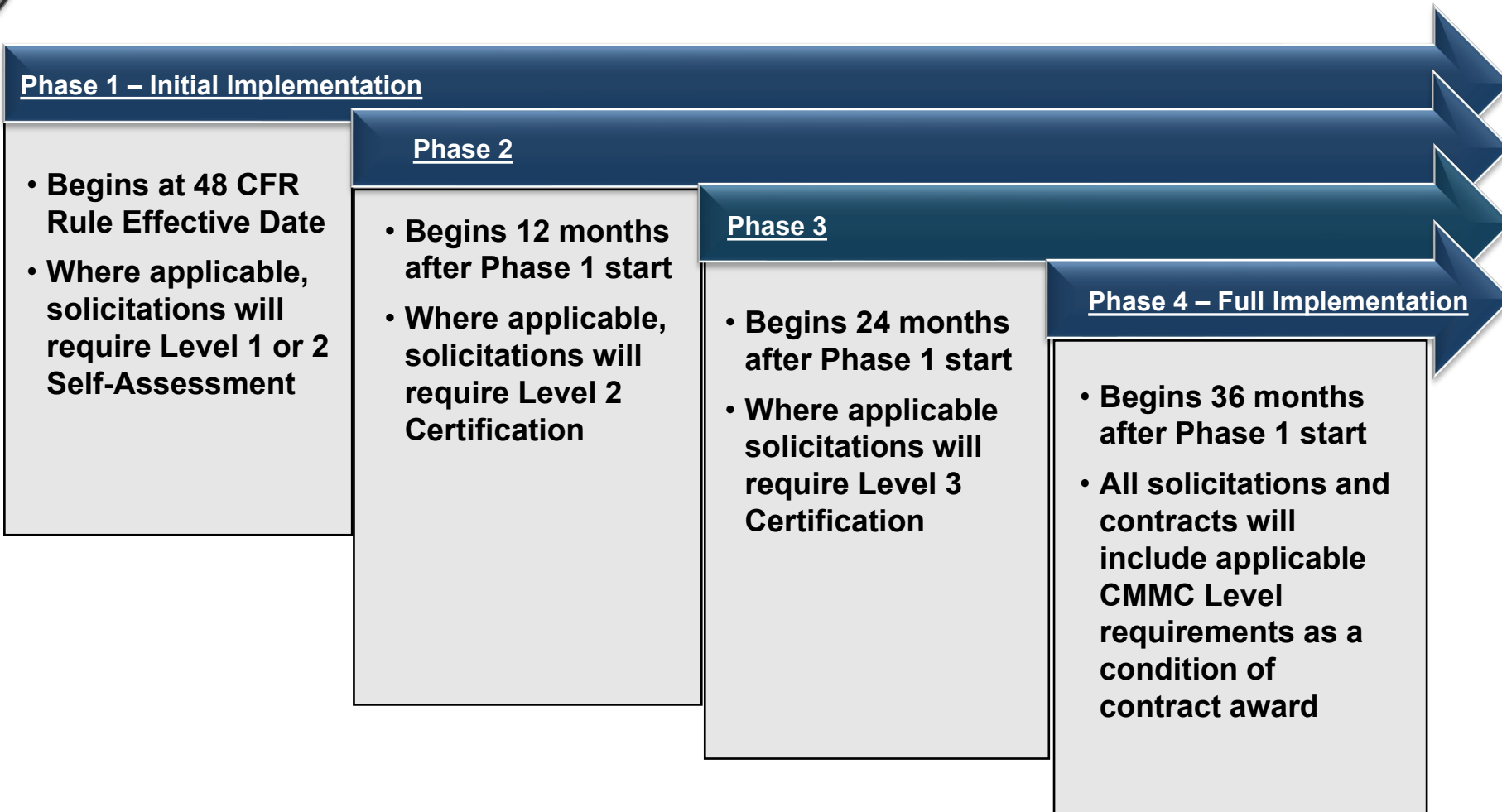
Standards Acceptance

Contractors and subcontractors that completed a DCMA DIBCAC High Assessment aligned with CMMC Level 2 Scoping are eligible for CMMC Level 2 Final Certification Assessment under the following conditions:

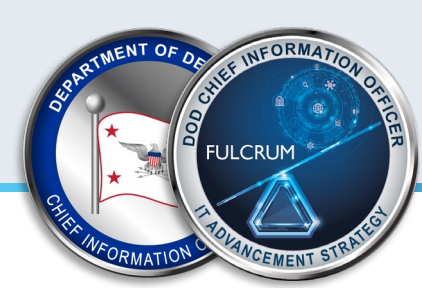
- **Achieved a perfect score with no open POA&M from a DCMA DIBCAC High Assessment conducted prior to the effective date of the CMMC rule**
 - CMMC Level 2 will be valid for 3 years from the date of the original High Assessment.
 - Eligible High Assessments include those conducted under DCMA's Joint Surveillance authority.
- **Scope of the CMMC Level 2 Final Certification Assessment is identical to the scope of the High Assessment**



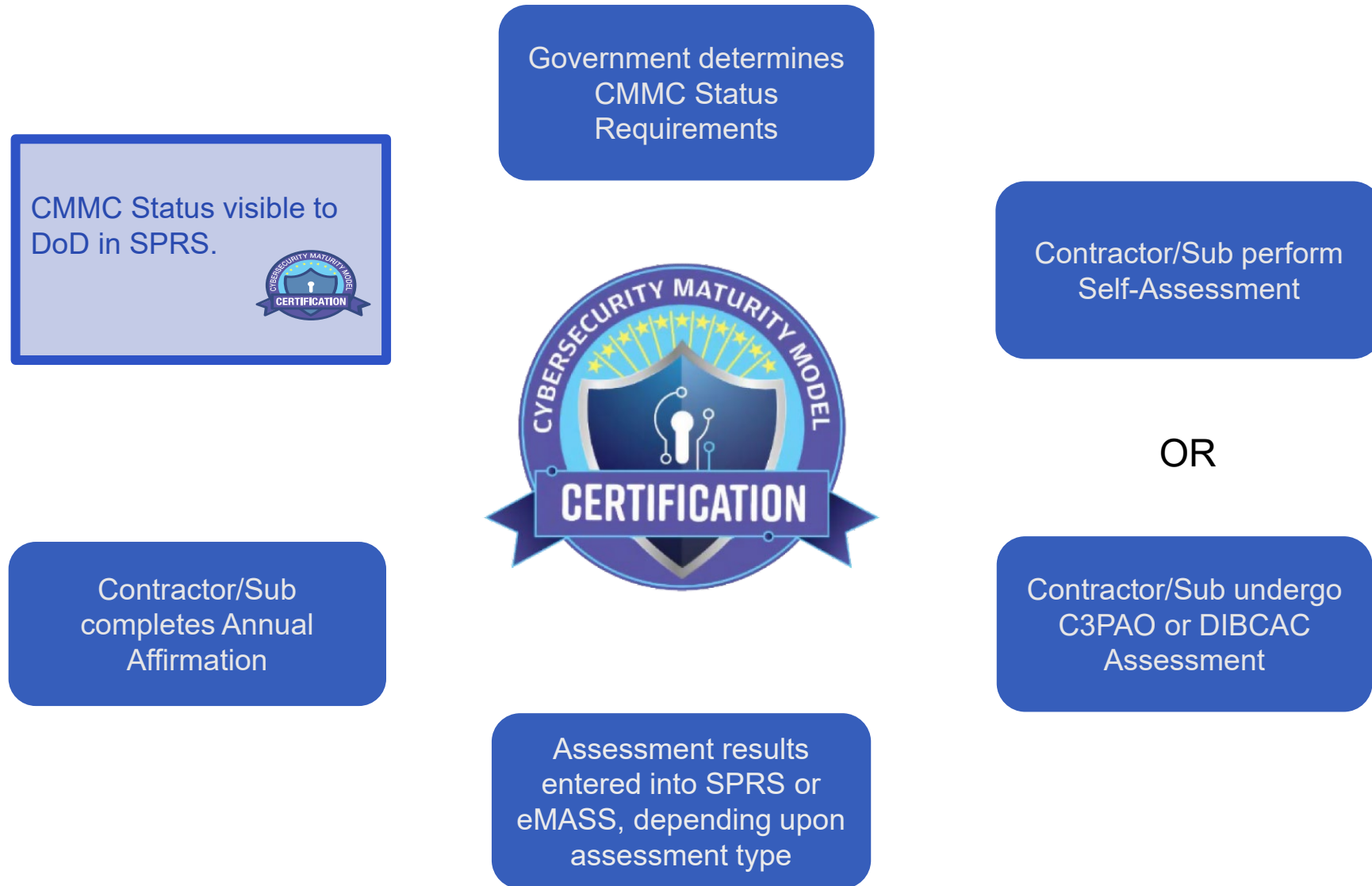
Phased Implementation of CMMC Requirements



In some procurements, DoD may implement CMMC requirements in advance of the planned phase



CMMC Process - OSA Perspective



Government determines CMMC Status Requirements

CMMC Status visible to DoD in SPRS.



Contractor/Sub perform Self-Assessment

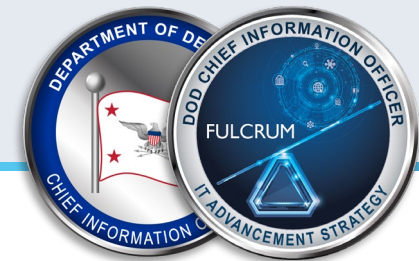
OR

Contractor/Sub undergo C3PAO or DIBCAC Assessment



Contractor/Sub completes Annual Affirmation

Assessment results entered into SPRS or eMASS, depending upon assessment type



CMMC Ecosystem



DoD – DoD CIO CMMC PMO - § 170.6

- Provides oversight of the CMMC Program, to include the CMMC AB
- Develops and maintains the CMMC Model Overview, Assessment Guides, Scoping Guides, and Hashing Guide
- Scheme Owner for ISO/IEC Requirements
- Establishes DoD requirements of C3PAOs, CAICO, Assessors, and Instructors



DoD - DCMA DIBCAC - §170.7

- Conducts CMMC Level 2 Certification Assessments on C3PAOs
- Conducts CMMC Level 3 Certification Assessment on DIB
- Advises DoD CIO CMMC PMO

DoD Contract

CMMC AB - §170.8

- Professionally staffed
- Managed by Board of Directors
- ISO / IEC 17011 Compliant
- Accredits C3PAOs
- Accredits CAICO



CAICO - §170.10



C3PAOs – § 170.9

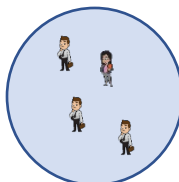
- ISO / IEC 17020
- Conducts CMMC Level 2 Certification Assessments on DIB contractors
- Employs Assessors
- Submits Assessment Report in eMASS
- Issues CMMC certificate to DIB contractor

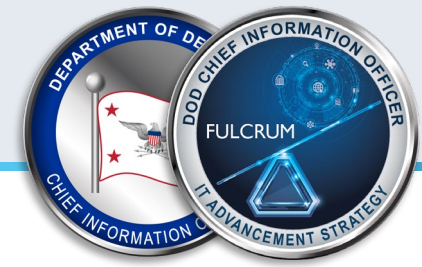


Agreements

CMMC Certified Professionals, Assessors & Instructors – § 170.11, § 170.12 and 170.13

- Certified by CAICO IAW ISO/IEC 17020



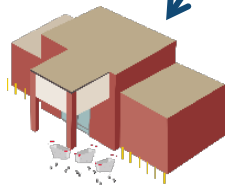


CAICO



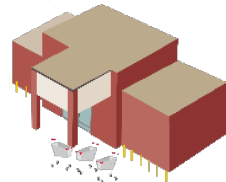
CMMC Assessor and Instructor Certification Organization - §170.10

- ISO/IEC 17024
- Certifies CMMC Certified Professionals, Assessors, and Instructors
- Defines knowledge areas required for CCPs, CCA,s and CCIs with input from DoD
- QCs curriculum developed by ecosystem



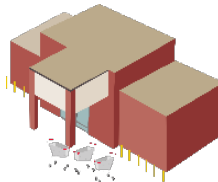
Approved Training Providers

- Trains Certified Professionals
- Trains Assessors
- Trains Instructors



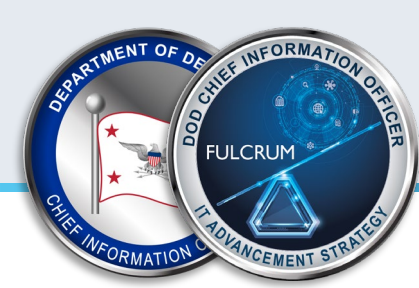
Approved Publisher Partners

- Develops Training Materials



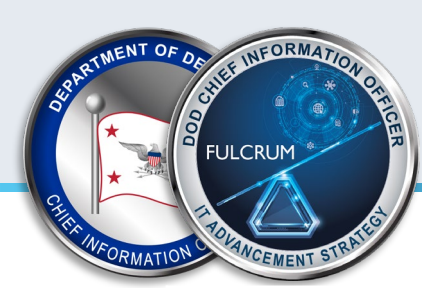
Approved CMMC Exam Org

- Develops and administers Assessor and Instructor Certification Exams



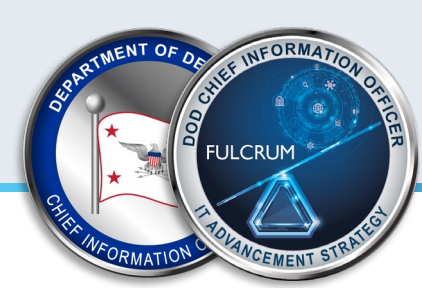
Additional Resources

- Please refer to the **official DoD CMMC Program website**, including the FAQ page, for more information about CMMC: <https://dodcio.defense.gov/CMMC/>
- **DoD no-cost cybersecurity compliance resources** can be found at dibnet.dod.mil under *DoD DIB Cybersecurity-As-A Service (CSaaS) Services and Support*.
- **Additional cybersecurity resources** can be found at:
 - <https://www.cisa.gov/shields-up>
 - <https://www.nist.gov/mep>
 - <https://www.apexaccelerators.us/#/>
- To **locate a C3PAO**, visit the CMMC Accreditation Body Marketplace at cyberab.org.
- To **obtain additional information on CMMC Assessments, Scoping, and Hashing**, visit: <https://dodcio.defense.gov/cmmc/Resources-Documentation/>
- The Department's **CUI Quick Reference Guide** includes information on the marking and handling of CUI: <https://www.dodcui.mil/>
- To find a **FedRAMP Moderate Authorized Service Provider**, please visit: <https://marketplace.fedramp.gov/assessors>



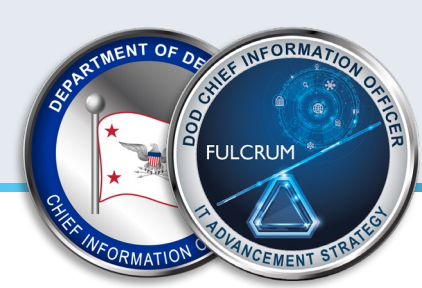
Acronym Glossary

Acronym	Meaning
AB	Accreditation Body
CAICO	Cybersecurity Assessor and Instructor Certification Organization
CIO	Chief Information Officer (DoD)
CFR	Code of Federal Regulations
CMMC	Cybersecurity Maturity Model Certification
CCPs/CCAs/CCIs	CMMC Certified Professionals/Assessors/Instructors
C3PAO	Certified Third-Party Assessment Organization
CUI	Controlled Unclassified Information
DCMA	Defense Contract Management Agency
DFARS	Defense Federal Acquisition Regulation Supplement
DIB	Defense Industrial Base
DIBCAC	Defense Industrial Base Cybersecurity Assessment Center
DoD	Department of Defense
eMASS	Enterprise Mission Assurance Support Service



Acronym Glossary Cont'd

Acronym	Meaning
EO	Executive Order
FAR	Federal Acquisition Regulation
FAQ	Frequently Asked Question
FedRAMP	Federal Risk and Authorization Management Program
FCI	Federal Contract Information
FIPS	Federal Information Processing Standards
IAW	In Accordance With
IG	Inspector General
ISO/IEC	International Organization for Standardization/International Electrotechnical Commission
MFA	Multi-Factor Authentication
NDAA	National Defense Authorization Act



Acronym Glossary Final

Acronym	Meaning
NIST	National Institute of Standards and Technology
NLT	No Later Than
POA&M	Plan of Action and Milestones
PMO	Program Management Office
Rev	Revision
RFI	Request for Information
RFP	Request for Proposal
SP	Special Publication
SPRS	Supplier Performance Risk System
QC	Quality Check