



A CVE Verified Service-Disabled Veteran Owned Small Business

CMMC Compliance Preparation Questionnaire

Company Legal Name:

Industry:

Contact Name:

Title:

Phone #:

Headquarters Address:

Email:

DUNS #:

1. Are you a Prime contractor on any active DoD contracts? Yes No

 a. If no, are you a subcontractor on any DoD contracts? Yes No

2. Do you have any existing DoD FCI/CUI Data? Yes No

 a. If yes, what types of information do you have on your networks? Yes No

 i. Federal Contract Information not publicly available (FCI)

 ii. Controlled Unclassified Information (CUI)

3. How many total employees do you have? (Break apart full and part time) FT PT

 a. How many IT employees you do you have? (Breakout FT, PT, 1099) FT PT 1099

4. How many of each type of system do you currently have?

 a. Windows 10 PCs/Laptops/Workstations

 i. Total number with Microsoft 365:

 b. Linux

 c. Mac

 d. iOS Devices

 e. Android Devices

 f. Other:

5. Number of computers on Active Directory(s):

6. Do you have a Data Flow Diagram completed? Yes No

7. Number of Firewalls:

 a. Brand and Type(s):

8. Number of remote access users by type:

 a. VPN

 b. SSH

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c. Terminal

d. Other:

9. Number of servers by location/type:

a. On-premise

i. Type(s)

b. Virtual

i. Type(s)

c. Cloud

i. Type(s)

10. Storage by location/type:

a. On-premise

i. Type(s)

b. Cloud

i. Type(s)

c. Off-premise secured

i. Type(s)

11. Do you have a detailed network topology map available?

Yes

No

a. If yes, please include it with your completed questionnaire

12. Please list any cloud-based applications used by employees:

13. Please list all locations (City/State) and employee count for any company locations:

14. Do you have employees located at onsite locations with any government agencies?

Yes

No

a. If yes, please list all locations (City/State) and employee count:

15. Do you maintain a current asset management database for all your IT hardware and software assets? Yes No

a. If yes:

i. Have you listed all systems with CUI/FCI?

Yes

No

ii. Have you determined who needs access to them, and who does not?

Yes

No

iii. When were all access control lists last reviewed and updated?

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- iv. Do you provide your organization with Cybersecurity Awareness and Training? Yes No
- v. Have you segregated systems with any CUI/FCI? Yes No

16. Has your IT function previously been audited, completed a pre audit review, or general IT controls review? Yes No

a. If so by when, by whom, and what was the scope, and what were the results?

17. How many Covered Contractor Information Systems (CCIS) do you have?

(Covered Contractor Information Systems are any computers/servers/systems that process, store or transmit CUI/FCI)

18. Do you use any cloud services for handling CUI/FCI? Yes No

19. Have you assessed your risk exposure related to the operating of, access to, and transmission of CUI/FCI? Yes No

a. If Yes, what did you determine

20. Is there a formalized Risk Assessment process that identifies, quantifies, and prioritizes risks based on the risk acceptance levels relevant to the organization? Yes No

21. Do Subcontractors have access to scoped systems and data or processing facilities? Yes No

22. Has a qualified individual responsible been designated as a Chief Information Security Officer (CISO) to oversee and implement the organization's cybersecurity program and enforce its cybersecurity policy? Yes No

23. Do all projects involving Scoped Systems and Data go through some form of information security assessment? Yes No

24. Is Information classified according to legal or regulatory requirements, business value, and sensitivity to unauthorized disclosure or modification? Yes No

25. Can Clients specify where their data is stored (logically and physically)? Yes No

26. Is there an operational change management/Change Control policy or program that has been documented, approved by management, communicated to appropriate Constituents and assigned an owner to maintain and review the policy? Yes No

27. Is the maturity of IT management processes formally evaluated at least annually using an established benchmark (e.g., COBIT maturity models)? Yes No

28. Is there a process for reviewing access? Yes No

29. Is a web site supported, hosted or maintained that has access to Scoped Systems and Data? Yes No

30. Are mobile applications that access Scoped Systems and Data developed? Yes No

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- 31. Is there an established business resiliency program that has been approved by management, communicated to appropriate constituents, and an owner to maintain and review the program? Yes No
- 32. Has a Business Impact Analysis been conducted? Yes No
- 33. Is there a formal, documented Information Technology Disaster Recovery exercise and testing program in place? Yes No
- 34. Are networks fully redundant, with at least two network paths to any node, and for every network device, at least one other redundant network device of the same type? Yes No
- 35. Is there an internal audit, risk management, or compliance department, or similar management oversight unit with responsibility for assessing, identifying and tracking resolution of outstanding regulatory issues? Yes No
- 36. Is there a set of policies and procedures that address International Trade and Export Compliance? Yes No
- 37. Is there a records retention policy covering paper & electronic records, including email in support of applicable regulations, standards and contractual requirements? Yes No
- 38. Does the organization have or maintain internet-facing websites(s), mobile applications, or other digital services or applications that, collect, use, or retain client-scoped private data and are used directly by individuals? Yes No
- 39. Does the Cloud Hosting Provider provide independent audit reports (e.g., Service Operational Control - SOC) for their cloud hosting services? Yes No
- 40. Have you developed formal written policies, practices and procedures regarding each of the following 14 NIST 800-171 primary control families?

Control Family	Written Policy developed?	Practices and Procedures Developed?
a. Access Control (3.1)	<input type="checkbox"/>	<input type="checkbox"/>
b. Awareness and Training (3.2)	<input type="checkbox"/>	<input type="checkbox"/>
c. Audit and Accountability (3.3)	<input type="checkbox"/>	<input type="checkbox"/>
d. Configuration Management (3.4)	<input type="checkbox"/>	<input type="checkbox"/>
e. Identification and Authentication (3.5)	<input type="checkbox"/>	<input type="checkbox"/>
f. Incident Response (3.6)	<input type="checkbox"/>	<input type="checkbox"/>
g. Maintenance (3.7)	<input type="checkbox"/>	<input type="checkbox"/>
h. Media Protection (3.8)	<input type="checkbox"/>	<input type="checkbox"/>
i. Personnel Security (3.9)	<input type="checkbox"/>	<input type="checkbox"/>
j. Physical Protection (3.10)	<input type="checkbox"/>	<input type="checkbox"/>
k. Risk Assessment (3.11)	<input type="checkbox"/>	<input type="checkbox"/>
l. Security Assessment (3.12)	<input type="checkbox"/>	<input type="checkbox"/>

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m. System and Comm Protection (3.13)	<input type="checkbox"/>	<input type="checkbox"/>
n. System & Information Integrity (3.14)	<input type="checkbox"/>	<input type="checkbox"/>

41. Have you tested the controls in place to determine their effectiveness? Yes No If Yes, when?

42. Have you developed a System Security Plan (SSP)? Yes No

a. If yes, when was it last updated?

43. Do you have a data custodian? Yes No

44. How are you addressing insider threat?

45. Have you created a Plan of Action & Milestones (POA&Ms) for any deficiencies? Yes No

46. Are you monitoring your security controls on an ongoing basis? Yes No

47. Have your IT systems and infrastructure ever been breached? Yes No

a. If yes, what was the extent of the infiltration?

48. What type of IT best practices and methodologies have been implemented or are being followed?

49. Are you subject to any other Cybersecurity related regulations (CCPA, HIPAA, PCI-DSS, GDPR) ? Yes No

If yes, what?

50. If you utilize any third-party IT Services Provider, please provider their name, and a summary of what services they provide:

51. Have you completed calculating your current NIST 800-171 Assessment Methodology score? Yes No

52. Are you currently providing Cybersecurity Awareness & Training to your employees? Yes No



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If yes, are you using a third party provider?

Yes

No

If yes, who:

Additional Notes or information you would like to share:

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