Collaboration Index for Security and Privacy Controls

Version 1

A Joint Publication of the Federal Privacy Council and the Federal Chief Information Officer Council

October 2022





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Acknowledgements

This publication was developed by the Federal Privacy Council's Privacy Risk Management Working Group, in collaboration with a team of information security officials from the Chief Information Security Officer Council. The councils would like to thank the participants, listed below, who made this publication possible. The co-chairs of the working group would also like to thank the following individuals for their support: Kirsten Moncada, Joo Chung, Chris DeRusha, Steven Hernandez, Naomi Lefkovitz, Melody Fan, and Sari Wilson.

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Abstract

This publication serves as a guide to help Federal information security programs and Federal privacy programs understand the level of collaboration that may be appropriate during the implementation step of the National Institute of Standards and Technology (NIST) Risk Management Framework. For each control and control enhancement listed in NIST Special Publication (SP) 800-53 Revision 5, Security and Privacy Controls for Information Systems and Organizations, this publication provides a Collaboration Index value that denotes the level of collaboration that may be appropriate. For ease of use and to allow for increased flexibility, this publication includes both a three-point scale and a five-point scale.

Background

During a preliminary draft of NIST SP 800-53 Rev. 5, OMB and NIST piloted the development of a Collaboration Index for security and privacy controls. The Collaboration Index was designed to provide guidance on the level of collaboration that may be appropriate between Federal information security programs and Federal privacy programs during the implementation step of the NIST Risk Management Framework. However, the Collaboration Index was not completed or incorporated into the final version of NIST SP 800-53 Rev. 5 that was published in September 2020.

In 2021, the Federal Privacy Council established the Privacy Risk Management Working Group to provide a forum for agency privacy professionals to identify and develop best practices for managing privacy risks. The working group, in concert with the leadership of the Federal Privacy Council, recognized that there was a lack of guidance for agencies on the collaboration between information security programs and privacy programs when implementing controls. As a result, the working group decided to complete the Collaboration Index, in concert with partners from OMB, NIST, and the Chief Information Security Officer (CISO) Council.

Over the next year, the working group formed a series of sprint teams led by privacy co-leads that systematically reviewed each of the controls and control enhancements in the NIST SP 800-53 Rev. 5 control catalog. The sprint teams proposed Collaboration Index values using the same basic three-point and five-point scales that OMB and NIST had piloted during the development of NIST SP 800-53 Rev. 5 (see Collaboration Index Key). The proposed Collaboration Index values were then reviewed by a team of co-leads from the information security community that were selected through a solicitation from the CISO Council. Finally, the privacy co-leads engaged in a series of collaborative meetings with the information security co-leads to reach consensus on Collaboration Index values for each of the controls and control enhancements in NIST SP 800-53 Rev. 5.

This publication represents a milestone in the partnership between the Federal privacy and Federal information security communities. The yearlong process to develop this publication epitomized the value of collaboration that the publication itself is intended to promote. The Federal Privacy Council and the CISO Council hope that privacy and information security officials find this to be a useful document that elevates the partnership between the two communities and promotes our shared objectives of fostering secure and privacy-protective information systems across the Federal Government.

Should you have questions or comments about this publication, you may contact the Federal Privacy Council at privacy.council@gsa.gov.

The Collaboration Index and Privacy Implementation Considerations Column in CNSSI 1253

At the same time the Federal Privacy Council and the Chief Information Security Officer Council were working to develop this Collaboration Index for Security and Privacy Controls, a separate working group under the Committee on National Security Systems was working to update the Committee on National Security Systems Instruction (CNSSI) 1253, Categorization and Control Selection for National Security Systems.

CNSSI 1253 provides all Federal Government departments, agencies, bureaus, and offices with guidance on the first two steps of the Risk Management Framework (RMF), Categorize and Select, for national security systems (NSS). Included in the update to CNSSI 1253 is a Privacy Implementation Considerations column that identifies controls that are not included in the NSS privacy control baseline, but the implementation of which may introduce privacy risks and, therefore, if selected to address security objectives, require coordination with an agency's privacy program.

The Collaboration Index for Security and Privacy Controls provided in this publication has a different scope and purpose from the Privacy Implementation Considerations column in CNSSI 1253. The Collaboration Index for Security and Privacy Controls is not specific to NSS and provides general guidance on the level of collaboration that may be appropriate between information security programs and privacy programs during the implementation step of the RMF for all information security and privacy controls.

References

Office of Management and Budget, Circular No. A-130, Managing Information as a Strategic Resource
NIST SP 800-37 Rev. 2, Risk Management Framework for Information Systems and Organizations
NIST SP 800-53 Rev. 5, Security and Privacy Controls for Information Systems and Organizations
NIST SP 800-53B, Control Baselines for Information Systems and Organizations

How to Use the Collaboration Index

This publication may be used as a guide to help Federal information security programs and Federal privacy programs understand the level of collaboration that may be appropriate during the implementation step of the NIST Risk Management Framework. This publication does not establish or modify any requirements in law, regulation, or policy. The Collaboration Index values provided in this document represent a starting point to encourage discussion between information security and privacy officials within each agency. Agencies are expected and encouraged to deviate from the levels of collaboration envisioned in this document when necessary to account for divergent needs, missions, structures, and authorities. Agencies should consult with their leadership, legal counsel, and technical experts to determine the appropriate processes for implementing security and privacy controls.

Collaboration Index Key

Collaboration Color Key							
	S	SP	Р				
S	Sp	SP	Ps	Р			

	5-GRADIENT SCALE	3-GRADIENT SCALE		
	Controls are primarily implemented by security programs – minimal collaboration needed between security and privacy programs.		Security programs have primary responsibility for implementation – minimal	
S	Controls are generally implemented by security programs – moderate collaboration needed between security and privacy programs.	S	collaboration needed between security and privacy programs.	
S	Controls are implemented by security and privacy programs – full collaboration needed between security and privacy programs.	SP	Security and privacy programs both have responsibilities for implementation – more than minimal collaboration is needed between security and privacy programs.	
F	Controls are generally implemented by privacy programs – moderate collaboration needed between security and privacy programs.	р	Privacy programs have primary responsibility for implementation – minimal collaboration	
	Controls are primarily implemented by privacy programs – minimal collaboration needed between security and privacy programs.	P	needed between security and privacy programs.	

This publication provides Collaboration Index values for each of the controls and control enhancements in NIST SP 800-53 Rev. 5. The values are provided using two different scales — a 5-gradient scale and a 3-gradient scale. The two scales were created by OMB and NIST during the development of a preliminary draft of NIST SP 800-53 Rev. 5. The only difference between the two scales is the level of resolution and granularity provided. The 5-gradient scale provides additional resolution and granularity, compared to the 3-gradient scale. The values for the 3-gradient scale are derivative of the values selected for the 5-gradient scale. For example, if an "Sp" value was selected for a particular control on the 5-gradient scale, then the selection of an "S" value was required on the 3-gradient scale.

In addition to the Collaboration Index values, this publication also uses a scheme of color coding to serve as a visual cue to illustrate the value for each control. The color coding is only intended to reinforce the underlying Collaboration Index value for each control and not to provide additional guidance.

Collaboration Index for Security and Privacy Controls

	Access Co	ontrol	(AC)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
AC-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
AC-2	Account Management		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
AC-2(1)	Account Management	Automated System Account Management	3-Gradient Scale 5-Gradient Scale	S S	хх
AC-2(2)	Account Management	Automated Temporary and Emergency Account	3-Gradient Scale 5-Gradient Scale	S S	хх
AC-2(3)	Account Management	Disable Accounts	3-Gradient Scale 5-Gradient Scale	S S	хх
AC-2(4)	Account Management	Automated Audit Actions	3-Gradient Scale 5-Gradient Scale	S S	x x
AC-2(5)	Account Management	Inactivity Logout	3-Gradient Scale 5-Gradient Scale	S S	хх
AC-2(6)	Account Management	Dynamic Privilege Management	3-Gradient Scale 5-Gradient Scale	S S	
AC-2(7)	Account Management	Privileged User Accounts	3-Gradient Scale 5-Gradient Scale	S S	
AC-2(8)	Account Management	Dynamic Account Management	3-Gradient Scale 5-Gradient Scale	S S	
AC-2(9)	Account Management	Restrictions on Use of Shared and Group Accts	3-Gradient Scale 5-Gradient Scale	S S	
AC-2(11)	Account Management	Usage Conditions	3-Gradient Scale 5-Gradient Scale	S S	х
AC-2(12)	Account Management	Account Monitoring for Atypical Usage	3-Gradient Scale 5-Gradient Scale	S Sp	х
AC-2(13)	Account Management	Disable Accounts for High- Risk Individuals	3-Gradient Scale 5-Gradient Scale	S Sp	x x
AC-3	Access Enforcement		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
AC-3(2)	Access Enforcement	Dual Authorization	3-Gradient Scale 5-Gradient Scale	S S	
AC-3(3)	Access Enforcement	Mandatory Access Control	3-Gradient Scale 5-Gradient Scale	S S	

AC 2(4)	Access Enforcement	Discretionary Assess Control	3-Gradient Scale	S	
AC-3(4)	Access Enforcement	Discretionary Access Control	5-Gradient Scale	S	
	•				
		Security-Relevant	3-Gradient Scale	S	
AC-3(5)	Access Enforcement	Information	5-Gradient Scale	S	
	1	IIIIOIIIIatioii	J-dradient scale	3	
		I	2.6	C	
AC-3(7)	Access Enforcement	Role-Based Access Control	3-Gradient Scale	S	
. ,			5-Gradient Scale	Sp	
AC 2/9\	Access Enforcement	Revocation of Access	3-Gradient Scale	S	
AC-3(8)	Access Emorcement	Authorizations	5-Gradient Scale	S	
			3-Gradient Scale	SP	
AC-3(9)	Access Enforcement	Controlled Release	5-Gradient Scale	SP	
	<u> </u>		3 Gradient Scale	31	
	T	I	2 Candinat Carla	C	
AC-3(10)	Access Enforcement	Audited Override of Access Control	3-Gradient Scale	S	
, ,		Mechanisms	5-Gradient Scale	S	
	-				
AC 2/11\	Accoss Enforcement	Restrict Access to Specific	3-Gradient Scale	SP	
AC-3(11)	Access Enforcement	Information Types	5-Gradient Scale	SP	
		• • • • • • • • • • • • • • • • • • • •			
		Assert and Enforce	3-Gradient Scale	S	
AC-3(12)	Access Enforcement		5-Gradient Scale	S	
	<u> </u>	Application Access	3-diament scale	3	
	_				
AC-3(13)	Access Enforcement	Attribute-Based Access	3-Gradient Scale	S	
710 3(13)	Access Emorgement	Control	5-Gradient Scale	S	
10 2(11)			3-Gradient Scale	SP	
AC-3(14)	Access Enforcement	Individual Access	5-Gradient Scale	SP	X
	1	ı		-	
	1	Discretionary and Mandatory	3-Gradient Scale	S	
AC-3(15)	Access Enforcement	Access Control		S	
		Access Control	5-Gradient Scale	3	
	•				
AC-4	Information Flow Enforcen	nent	3-Gradient Scale	S	x x
			5-Gradient Scale	Sp	
A.C. 4/4\	Information Floring	Object Security and Privacy	3-Gradient Scale	S	
AC-4(1)	Information Flow Enforcen	Attributes	5-Gradient Scale	Sp	
	1				
			3-Gradient Scale	S	
AC-4(2)	Information Flow Enforcen	Processing Domains			
	1	<u>l</u>	5-Gradient Scale	Sp	
	1	T=			
AC-4(3)	Information Flow Enforcen	Dynamic Information Flow	3-Gradient Scale	S	
, ic ¬(3)	ormadon riow Linoiten	Control	5-Gradient Scale	Sp	
	<u> </u>				
		Flow Control of Encrypted	3-Gradient Scale	S	
AC-4(4)	Information Flow Enforcen	Information	5-Gradient Scale	S	x
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		1	2 Gradiant Casla	c	
AC-4(5)	Information Flow Enforcen	Embedded Data Types	3-Gradient Scale	S	
			5-Gradient Scale	S	
۸۲ ۸/۶۱	Information Flow Enforcen	Motadata	3-Gradient Scale	S	
AC-4(6)	innormation riow enforcer	iviciauata	5-Gradient Scale	S	
	•	•			
			3-Gradient Scale	S	
AC-4(7)	Information Flow Enforcen	One-Way Flow Mechanisms	5-Gradient Scale	S	
<u> </u>	<u> </u>	l .	3-Gradient Stale	3	

		Control Discondina	2.61:1.61-	C	
AC-4(8)	Information Flow Enforcen	Security and Privacy Policy	3-Gradient Scale	S	
- (-7		Filters	5-Gradient Scale	Sp	
			3-Gradient Scale	SP	
AC-4(9)	Information Flow Enforcen	Human Reviews			
		l	5-Gradient Scale	SP	
		Enable and Disable Security or	3-Gradient Scale	S	
AC-4(10)	Information Flow Enforcen	Privacy Policy Filters	5-Gradient Scale	Sp	
			5 Gradient Scale	3p	
		_			
AC 4(11)	Information Flow Enforcen	Configuration of Security and	3-Gradient Scale	S	
AC-4(11)	Illiorniation Flow Enforcem	Privacy Filters	5-Gradient Scale	Sp	
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	1	1	2 Cradiant Caala	C	
AC-4(12)	Information Flow Enforcen	Data Type Identifiers	3-Gradient Scale	S	
- ()		7,1	5-Gradient Scale	S	
			<u>. </u>	·	
		Decomposition into Policy-Relevant	3-Gradient Scale	S	
AC-4(13)	Information Flow Enforcen	Subcomponents			
		Subcomponents	5-Gradient Scale	S	
		Security or Privacy Policy	3-Gradient Scale	S	
AC-4(14)	Information Flow Enforcen	Filter Constraints	5-Gradient Scale	Sp	
		Filter Constraints	5-Gradient Scale	Sp	
AC 4/45	Information 51 5 5	Detection of Unsanctioned	3-Gradient Scale	S	
AC-4(15)	Information Flow Enforcen	Information	5-Gradient Scale	S	
		1	5 614416111 66416		
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ΔC-4(17)	Information Flow Enforcen	Domain Authentication	3-Gradient Scale	S	
AC 4(17)	linormation flow Emorces	Domain Addictication	5-Gradient Scale	S	
	I	1	3-Gradient Scale	S	
AC-4(19)	Information Flow Enforcen	Validation of Metadata			
			5-Gradient Scale	S	
			3-Gradient Scale	S	
AC-4(20)	Information Flow Enforcen	Approved Solutions	5-Gradient Scale	S	
			5 Gradient Scale	3	
		_			
AC 4(21)	Information Flow Enforcen	Physical or Logical Separation of	3-Gradient Scale	S	
AC-4(21)	Illiorniation Flow Enforcem	Information Flows	5-Gradient Scale	S	
l.					
	1	T	2.6	C	
AC-4(22)	Information Flow Enforcen	Access Only	3-Gradient Scale	S	
,		1	5-Gradient Scale	S	
	I	Modify Non-Releasable	3-Gradient Scale	S	
AC-4(23)	Information Flow Enforcen	11			
		Information	5-Gradient Scale	S	
				<u></u>	
			3-Gradient Scale	S	
AC-4(24)	Information Flow Enforcen	Internal Normalized Format	5-Gradient Scale	S	
	l .	1	3 Gradient Scale	3	
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VC 4/3E/	Information Flour Enforcer	Data Sanitization	3-Gradient Scale	S	
AC-4(23)	Information Flow Enforcen	Data Samuzation	5-Gradient Scale	Sp	
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AC-4(26)	Information Flow Enforcen	Audit Filtering Actions	3-Gradient Scale	S	
- (==)			5-Gradient Scale	S	
	I	Redundant/Independent	3-Gradient Scale	S	
AC-4(27)	Information Flow Enforcen	n			
		Filtering Mechanisms	5-Gradient Scale	S	
40 ((00)		50. 5. 0	3-Gradient Scale	S	
AC-4(28)	Information Flow Enforcen	Linear Filter Pipelines	5-Gradient Scale	S	
	l .	<u>I</u>	3 Gradient State	3	

AC-4(29)	Information Flow Enforcem	Filter Orchestration Engines	3-Gradient Scale	S	
7.0 .(25)		The Grandstration Ingines	5-Gradient Scale	S	
AC 4/20\	Information Flow Enforcem	Filter Mechanisms Using	3-Gradient Scale	S	
AC-4(30)	linormation Flow Emorcem	Multiple Processes	5-Gradient Scale	S	
		Failed Content Transfer	3-Gradient Scale	S	
AC-4(31)	Information Flow Enforcen	Prevention	5-Gradient Scale	S	
		Process Requirements for	3-Gradient Scale	S	
AC-4(32)	Information Flow Enforcen	Information Transfer	5-Gradient Scale	S	
		information transfer	5 Gradient Scale	3	
			2 Cradiant Caala	C	
AC-5	Separation of Duties		3-Gradient Scale	S	x x
			5-Gradient Scale	Sp	
AC-6	Least Privilege		3-Gradient Scale	S	
			5-Gradient Scale	S	
AC-6(1)	Least Privilage	Authorize Access to Security	3-Gradient Scale	S	
HC-D(I)	Least Privilege	Functions	5-Gradient Scale	S	X X
		Non-Privileged Access for	3-Gradient Scale	S	
AC-6(2)	Least Privilege	Nonsecurity Functions	5-Gradient Scale	S	X X
		Tronscearity Functions	5 Gradiciti Scale	3	
		Nietonali Assassta Dabilessal	3-Gradient Scale	C	
AC-6(3)	Least Privilege	Network Access to Privileged		S	x
		Commands	5-Gradient Scale	S	
AC-6(4)	Least Privilege	Separate Processing	3-Gradient Scale	S	
710 0(1)	zease i iiviiege	Domains	5-Gradient Scale	S	
۸ <i>C G(E)</i>	Loast Privilago	Drivilaged Assounts	3-Gradient Scale	S	
AC-6(5)	Least Privilege	Privileged Accounts	5-Gradient Scale	S	X X
		Privileged Access by Non-	3-Gradient Scale	S	
AC-6(6)	Least Privilege	Organizational users	5-Gradient Scale	S	
		J			
			3-Gradient Scale	S	
AC-6(7)	Least Privilege	Review of User Privileges		S	x x
			5-Gradient Scale	3	
		District of C. C. I	2.0 - 1:- 1.0 1		
AC-6(8)	Least Privilege	Privilege Levels for Code	3-Gradient Scale	S	
- 1-1	-0-	Execution	5-Gradient Scale	S	
AC-6(9)	Least Privilege	Log Use of Privileged	3-Gradient Scale	S	
AC-0(9)	Least Privilege	Functions	5-Gradient Scale	S	X X
		Prohibit Non-Privileged Users from	3-Gradient Scale	S	
AC-6(10)	Least Privilege	Executing Privileged Functions	5-Gradient Scale	S	x x
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			2 Gradiant Casla	C	
AC-7	Unsuccessful Logon Attem	ots	3-Gradient Scale	S	x x x
			5-Gradient Scale	5	
					
AC-7(2)	Unsuccessful Logan Attemi	Purge or Wipe Mobile Device	3-Gradient Scale	S	
, (2)	onsuccessiai Logon Attem	i are or write monic perice	5-Gradient Scale	S	
A C 7/2\	Hannan C. H	Diametria Attonoctive 11	3-Gradient Scale	S	
AC-7(3)	Unsuccessful Logon Attem	Biometric Attempt Limiting	5-Gradient Scale	S	

	I	Use of Alternate	3-Gradient Scale	C		T	П
AC-7(4)	Unsuccessful Logon Attem	i e		S			
		Authentication Factor	5-Gradient Scale	S			
	S		3-Gradient Scale	SP			
AC-8	System Use Notification		5-Gradient Scale	SP	Х	Х	Х
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AC-9	Previous Logon Notification	n	3-Gradient Scale	S			
710 3	Tevious Logon Notification		5-Gradient Scale	S			
			3-Gradient Scale	S			
AC-9(1)	Previous Logon Notification	Unsuccessful Logons	5-Gradient Scale	S			
			3-Gradient Scale	3			
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AC-9(2)	Previous Logon Notification	Successful and Unsuccessful	3-Gradient Scale	S			
AC-9(2)	l l	Logons	5-Gradient Scale	S			
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		Notification of Account	3-Gradient Scale	S		T	T
AC-9(3)	Previous Logon Notification	1					
		Changes	5-Gradient Scale	S			
AC 0/43	Duranta de la constantición de	Additional Logon	3-Gradient Scale	S			
AC-9(4)	Previous Logon Notification	Information	5-Gradient Scale	S	1 1		
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AC-10	Concurrent Session Contro	I	3-Gradient Scale	S			х
\\\\C-10	Concurrent Session Contro	•	5-Gradient Scale	S			^
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			3-Gradient Scale	S			П
AC-11	Device Lock		5-Gradient Scale	S		Х	Х
			5-Gradient Scale	5		<u> </u>	
AC 11/1)	Doving Look	Dattara Hiding Displays	3-Gradient Scale	S		١.,	
AC-11(1)	Device Lock	Pattern-Hiding Displays	5-Gradient Scale	S		Х	Х
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	I		3-Gradient Scale	S		T	
AC-12	Session Terminations					х	х
			5-Gradient Scale	S			
46 42/4)	Carrier Tarretters		3-Gradient Scale	S			
AC-12(1)	Session Terminations	User-Initiated Logouts	5-Gradient Scale	S			
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i e	ı	1			F 1		
AC-12(2)	Session Terminations	Termination Message	3-Gradient Scale	S			
/ 10 12(2)		l community message	5-Gradient Scale	S			
							
			3-Gradient Scale	S			
AC-12(3)	Session Terminations	Timeout Warning Message	5-Gradient Scale	S	1 1		
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	<u> </u>		T				
AC-14	Permitted Actions without	Identification or	3-Gradient Scale	S		v	,
AC-14	Authentication		5-Gradient Scale	S	X	Х	Х
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	I		3-Gradient Scale	SP		T	
AC-16	Security and Privacy Attrib	utes					
	1		5-Gradient Scale	SP		<u> </u>	
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AC 46/41	Consults and Division Assist	Dynamic Attribute	3-Gradient Scale	S			
AC-16(1)	Security and Privacy Attrib	Association	5-Gradient Scale	Sp	1 1		
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	1	Attaile to Value Chee	2 Crodinatoni	CD	Г	T	
AC-16(2)	Security and Privacy Attrib	Attribute Value Changes By	3-Gradient Scale	SP			
	1, 1112 1112 111	Authorized Individuals	5-Gradient Scale	SP		<u> </u>	
					<u> </u>		
		Maintenance of Attribute	3-Gradient Scale	S			
AC-16(3)	Security and Privacy Attrib	Associations by System	5-Gradient Scale	Sp	1 1		
	L	Associations by System	3-Gradient State	3p	<u> </u>	<u> </u>	

AC 1C(4)	Canada Dairean Attaile	Association of Attributes by	3-Gradient Scale	S	
AC-16(4)	Security and Privacy Attrib	Authorized Individuals	5-Gradient Scale	Sp	
	<u> </u>			<u> </u>	<u> </u>
		Attribute Displays on Objects	3-Gradient Scale	S	
AC-16(5)	Security and Privacy Attrib	l .	5-Gradient Scale		
		to be Output	5-Gradient Scale	Sp	
	T	T			
AC-16(6)	Security and Privacy Attrib	Maintenance of Attribute	3-Gradient Scale	S	
/ to 10(0)	Security and Friday Attino	Association	5-Gradient Scale	Sp	
A.C. 4.C.(7)	Consider and Different Association	Consistent Attribute	3-Gradient Scale	S	
AC-16(7)	Security and Privacy Attrib	Interpretation	5-Gradient Scale	Sp	
		· ·			
	Ι	Association Techniques and	3-Gradient Scale	S	
AC-16(8)	Security and Privacy Attrib	·			
		Technologies	5-Gradient Scale	Sp	
ΔC-16(9)	Security and Privacy Attrib	Attribute Reassignment -	3-Gradient Scale	S	
AC 10(3)	Security and Frivacy Attrib	Regrading Mechanisms	5-Gradient Scale	Sp	
					•
		Attribute Configuration by	3-Gradient Scale	S	
AC-16(10)	Security and Privacy Attrib	Authorized Individuals	5-Gradient Scale	S	
	l	Addionized individuals	5 Gradient Scale	3	
	I		2 Canding Code	C	
AC-17	Remote Access		3-Gradient Scale	S	x x ;
			5-Gradient Scale	S	
A.C. 47/4)	Daniel Anna	Marilla di cara di Caralani	3-Gradient Scale	S	
AC-17(1)	Remote Access	Monitoring and Control	5-Gradient Scale	S	X >
	Ι	Protection of Confidentiality and	3-Gradient Scale	S	
AC-17(2)	Remote Access	Integrity Using Encryption		S	x >
		integrity osing Encryption	5-Gradient Scale	3	
	T	T			
AC-17(3)	Remote Access	Managed Access Control	3-Gradient Scale	S	x x
17(3)	Nemote Access	Points	5-Gradient Scale	S	
		Privileged Commands and	3-Gradient Scale	S	
AC-1/(4)	Remote Access	Access	5-Gradient Scale	S	x x
		. 100000	o oracine ocare		
		Protection of Mechanism	3-Gradient Scale	S	
AC-17(6)	Remote Access				
		Information	5-Gradient Scale	S	
	T	_			
۸۲-17/۵۱	Remote Access	Disconnect or Disable Access	3-Gradient Scale	S	
UC-1/(3)	MEMOLE ACCESS	Disconnect of Disable Access	5-Gradient Scale	S	
				S	
		Authenticate Remote	3-Gradient Scale		
C-17(10)	Remote Access	Authenticate Remote	3-Gradient Scale		
C-17(10)	Remote Access	Authenticate Remote Commands	3-Gradient Scale 5-Gradient Scale	S	
AC-17(10)	Remote Access		5-Gradient Scale	S	
			5-Gradient Scale 3-Gradient Scale	S	x x .
	Remote Access Wireless Access		5-Gradient Scale	S	x x :
			5-Gradient Scale 3-Gradient Scale	S	x x :
AC-18	Wireless Access		5-Gradient Scale 3-Gradient Scale	S	
AC-18		Commands Authentication and	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	S S S	
AC-18	Wireless Access	Commands	5-Gradient Scale 3-Gradient Scale 5-Gradient Scale	S S S	
	Wireless Access	Commands Authentication and	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale	S S S	
AC-18 AC-18(1)	Wireless Access	Commands Authentication and	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	S S S S S	x ;
AC-18 AC-18(1)	Wireless Access Wireless Access	Authentication and Encryption	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale	S S S	x ,
AC-18 AC-18(1)	Wireless Access Wireless Access	Authentication and Encryption	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	S S S S S	x >
AC-18(1) AC-18(3)	Wireless Access Wireless Access Wireless Access	Authentication and Encryption	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	S S S S S	x >
AC-18 AC-18(1)	Wireless Access Wireless Access	Authentication and Encryption Disable Wireless Networking	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale	S S S S S	x ,

AC-18(5)	Wireless Access	Antennas and Transmission	3-Gradient Scale	S				.,
AC-10(5)	Wireless Access	Power Levels	5-Gradient Scale	S				Х
	I		3-Gradient Scale	S				
AC-19	Access Control for Mobile	Devices		S		Х	Х	Х
			5-Gradient Scale	5				
		-						
AC 10/4\	Access Control for Mobile	Restrictions for Classified	3-Gradient Scale	S				
AC-15(4)	Access Control for Mobile	Information	5-Gradient Scale	S				
		Full Device or Container-	3-Gradient Scale	S				
AC-19(5)	Access Control for Mobile	Based Encryption	5-Gradient Scale	S			Х	Х
		Based Encryption	5-Gradient Scale	3				
	1					-		
AC-20	Use of External Systems		3-Gradient Scale	SP		х	Х	х
710 20	ose of External Systems		5-Gradient Scale	SP		^	^	^
				·				
			3-Gradient Scale	SP				
AC-20(1)	Use of External Systems	Limits on Authorized Use	5-Gradient Scale	SP			Х	Х
			5 Gradient Scale	31				
		In				Т		
AC-20(2)	Use of External Systems	Portable Storage Devices -	3-Gradient Scale	S			х	х
/(0 20(2)	ose of External Systems	Restricted Use	5-Gradient Scale	S			^	^
				· <u> </u>	•			
		Non-Organizationally Owned Systems -	3-Gradient Scale	S				
AC-20(3)	Use of External Systems	Restricted Use	5-Gradient Scale	S				
			J-Gradient Scale	3				
						- 1		
ΔC-20(4)	Use of External Systems	Network Accessible Storage	3-Gradient Scale	S				
/\C 20(4)	Se of External Systems	Devices - Prohibited Use	5-Gradient Scale	S				
								-
		Portable Storage Devices -	3-Gradient Scale	S				
AC-20(5)	Use of External Systems	Prohibited Use	5-Gradient Scale	S				
		Frombited 03e	J-Gradient Scale	3				
	1					-		
AC-21	Information Sharing		3-Gradient Scale	SP			Х	х
7.10 22	g		5-Gradient Scale	SP				^
			3-Gradient Scale	S				
AC-21(1)	Information Sharing	Automated Decision Support	5-Gradient Scale	Sp				
	<u> </u>	<u> </u>	3 Gradient Scale	Эр				
	ı	I. c				Т		
AC-21(2)	Information Sharing	Information Search and	3-Gradient Scale	S				
/10 22(2)	g	Retrieval	5-Gradient Scale	Sp				
			_					
			3-Gradient Scale	SP				
AC-22	Publicly Accessible Conten	t	5-Gradient Scale	SP		Х	Х	Х
			3 Gradient Scale	31				
	<u> </u>		2 Cm2-4:+ C 1	CD				
AC-23	Data Mining Protection		3-Gradient Scale	SP				
			5-Gradient Scale	SP				
4000	A		3-Gradient Scale	S				
AC-24	Access Control Decisions		5-Gradient Scale	Sp				
	1			- 1-				
			2 Cradiant Casts	C		1		
AC-24(1)	Access Control Decisions	Transmit Access Authorizations	3-Gradient Scale	S				
. ,		Information	5-Gradient Scale	Sp				
AC 24/21	Access Combust District	No Hear on Day Liberti	3-Gradient Scale	S				
AC-24(2)	Access Control Decisions	No User or Process Identity	5-Gradient Scale	Sp				
	•			- OP				
			2 Gradiant Scale	C				
AC-25	Reference Monitor		3-Gradient Scale	S				
			5-Gradient Scale	S				
	<u>-</u>			·				

	Awareness and	d Training	(AT)	Model Collaboration Index Value	Privacy Control Baseline	Low Control Baseline	Moderate Control Baseline	High Control Baseline
AT-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
AT-2	Literacy Training and Awa	reness	3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
AT-2(1)	Literacy Training and Awareness	Practical Exercises	3-Gradient Scale 5-Gradient Scale	SP SP				
AT-2(2)	Literacy Training and Awareness	Insider Threat	3-Gradient Scale 5-Gradient Scale	SP SP		х	х	х
AT-2(3)	Literacy Training and Awareness	Social Engineering and Mining	3-Gradient Scale 5-Gradient Scale	SP SP			х	х
AT-2(4)	Literacy Training and Awareness	Suspicious Communications and Anomalous System	3-Gradient Scale 5-Gradient Scale	S Sp				
AT-2(5)	Literacy Training and Awareness	Advanced Persistent Threat	3-Gradient Scale 5-Gradient Scale	S Sp				
AT-2(6)	Literacy Training and Awareness	Cyber Threat Environment	3-Gradient Scale 5-Gradient Scale	S Sp				
AT-3	Role Based Training		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
AT-3(1)	Role Based Training	Environmental Controls	3-Gradient Scale 5-Gradient Scale	S S				
AT-3(2)	Role Based Training	Physical Security Controls	3-Gradient Scale 5-Gradient Scale	S S				
AT-3(3)	Role Based Training	Practical Exercises	3-Gradient Scale 5-Gradient Scale	SP SP				
AT-3(5)	Role Based Training	Processing Personally Identifiable Information	3-Gradient Scale 5-Gradient Scale	P P	х			
AT-4	Training Records		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
AT-6	Training Feedback		3-Gradient Scale 5-Gradient Scale	SP SP				

	Audit and Accountability	(AU)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
AU-1	Policy and Procedures	3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
AU-2	Event Logging	3-Gradient Scale 5-Gradient Scale	S S	x x x x
AU-3	Content of Audit Records	3-Gradient Scale 5-Gradient Scale	S Sp	x x x
AU-3 (1)	Content of Audit Records Additional Audit Information	3-Gradient Scale 5-Gradient Scale	S Sp	x x
AU-3 (3)	Content of Audit Records Limit Personally Identifiable Information Elements	3-Gradient Scale 5-Gradient Scale	SP SP	х
AU-4	Audit Log Storage Capacity	3-Gradient Scale 5-Gradient Scale	S S	x x x
AU-4 (1)	Audit Log Storage Capacity Transfer to Alternate Storage	3-Gradient Scale 5-Gradient Scale	S S	
AU-5	Response to Audit Logging Process Failures	3-Gradient Scale 5-Gradient Scale	S S	x x x
AU-5(1)	Response to Audit Logging Storage Capacity Warning	3-Gradient Scale 5-Gradient Scale	S S	х
AU-5(2)	Response to Audit Logging Real-Time Alerts	3-Gradient Scale 5-Gradient Scale	S S	х
AU-5(3)	Response to Audit Logging Configurable Traffic Volume Thresholds	3-Gradient Scale 5-Gradient Scale	S S	
AU-5(4)	Response to Audit Logging Shutdown on Failure	3-Gradient Scale 5-Gradient Scale	S S	
AU-5(5)	Response to Audit Logging Capability	3-Gradient Scale 5-Gradient Scale	S S	
AU-6	Audit Record Review, Analysis, and Reporting	3-Gradient Scale 5-Gradient Scale	S S	x x x
AU-6 (1)	Audit Record Review, Analy Integration	3-Gradient Scale 5-Gradient Scale	S S	x x
AU-6 (3)	Audit Record Review, Anal Repositories	3-Gradient Scale 5-Gradient Scale	S S	x x
AU-6 (4)	Audit Record Review, Analy Central Review and Analysis	3-Gradient Scale 5-Gradient Scale	S S	

Λ11 6 (E)	Audit Record Review, Anal	Integrated Analysis of Audit	3-Gradient Scale	S				· ·
AU-0 (3)	Addit Record Review, Allah	Records	5-Gradient Scale	S				Х
			-			•		
		Correlation with Physical	3-Gradient Scale	S				
AU-6 (6)	Audit Record Review, Anal	Monitoring	5-Gradient Scale	S				Х
	<u> </u>	Worldstring	5 Gradient Scale	<u> </u>				
	1	1	2.6	C		Т	1	
AU-6 (7)	Audit Record Review, Anal	Permitted Actions	3-Gradient Scale	S				
. ,]	5-Gradient Scale	S				
VII-E (8)	Audit Record Review, Anal	Full Text Analysis of	3-Gradient Scale	S				
AU-0 (8)	Addit Necord Neview, Allar	Privileged Commands	5-Gradient Scale	S				
(0)		Correlation with Information	3-Gradient Scale	S				
AU-6 (9)	Audit Record Review, Anal	From Nontechnical Sources	5-Gradient Scale	Sp				
	I		5 5.44.6	o p				
	1		3-Gradient Scale	S		T		
AU-7	Audit Record Reduction an	d Report Generation		S			Х	х
			5-Gradient Scale	5				
	1	1					-	
AU-7 (1)	Audit Record Reduction an	Automatic Processing	3-Gradient Scale	S			х	х
/ (2)	, taute record reduction an	, tatoatio : roocssB	5-Gradient Scale	S			^	^
ALL 0	Time Champa		3-Gradient Scale	S				
AU-8	Time Stamps		5-Gradient Scale	S		Х	Х	Х
					L L			
			3-Gradient Scale	S				
AU-9	Protection of Audit Informa	ation	5-Gradient Scale	S		Х	Х	Х
			3-diadient scale	3				
	ı	1		6		- 1		
AU-9 (1)	Protection of Audit Informa	Hardware Write-Once Media	3-Gradient Scale	S				
()			5-Gradient Scale	S				
ALL Q (2)	Protection of Audit Informa	Store on Separate Physical	3-Gradient Scale	S				v
AU-3 (2)	Addit informs	Systems or Components	5-Gradient Scale	S				Х
			3-Gradient Scale	S				
AU-9 (3)	Protection of Audit Informa	Cryptographic Protection	5-Gradient Scale	S				Х
	l		5 Gradient Scale					
	I	Access by Subset of	2 Cradiant Saala	S				
AU-9 (4)	Protection of Audit Informa	1	3-Gradient Scale				Х	х
		Privileged Users	5-Gradient Scale	S				
	1	1				-	1	
AU-9 (5)	Protection of Audit Informa	Dual Authorization	3-Gradient Scale	S				
5 (5)			5-Gradient Scale	S				
ALL 0 (C)	Dratastian of Audit lafe	Dood Only Assess	3-Gradient Scale	S				
AU-9 (b)	Protection of Audit Informa	kead-Uniy Access	5-Gradient Scale	S				
	•	•						
		Store on Component With	3-Gradient Scale	S				
AU-9 (7)	Protection of Audit Informa	Different Operating	5-Gradient Scale	S				
	l	Direction Operating	J-Gradient State	3				
	1		20 " :5 :				-	
AU-10	Non-Repudiation		3-Gradient Scale	S				Х
			5-Gradient Scale	S				
AU-10 (1)	Non-Popudiation	Association of Identities	3-Gradient Scale	S				
40-10 (T)	Non-Repudiation	Association of fuefillities	5-Gradient Scale	S				
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		Validate Binding of	3-Gradient Scale	S				
AU-10 (2)	Non-Repudiation	Validate Binding of Information Producer	3-Gradient Scale 5-Gradient Scale	S				

AU-10 (3)	Non-Repudiation	Chain of Custody	3-Gradient Scale	S				
/10 10 (0)	. Ton nepadiation	Gram or Gastou,	5-Gradient Scale	S				
AU-10 (4)	Non-Repudiation	Validate Binding of	3-Gradient Scale	S				
AU-10 (4)	Non-Repudiation	Information Reviewer	5-Gradient Scale	S				
ALL 44	A d'i Danad Dalad'a		3-Gradient Scale	S				
AU-11	Audit Record Retention		5-Gradient Scale	S	Х	Х	Х	Х
			<u>'</u>					
		Long-Term Retrieval	3-Gradient Scale	S				
AU-11 (1)	Audit Record Retention	Capability	5-Gradient Scale	S				
		- Capacitan Control	5 Gradient State					
			3-Gradient Scale	S				
AU-12	Audit Record Generation			S		х	Х	Х
			5-Gradient Scale	3				
		Custom Wide and Time	2 Candinat Carla	C				1
AU-12 (1)	Audit Record Generation	System-Wide and Time-	3-Gradient Scale	S				х
		Correlated Audit Trail	5-Gradient Scale	S				
		T	, 					
ALI-12 (2)	Audit Record Generation	Standardized Formats	3-Gradient Scale	S				
AU-12 (2)	Addit Necord Generation	Standardized Formats	5-Gradient Scale	S				
					·			
		Changes by Authorized	3-Gradient Scale	S				
AU-12 (3)	Audit Record Generation	Individuals	5-Gradient Scale	S				Х
		marviadais	3 Gradient Scale	3				
		Query Parameter Audits of	3-Gradient Scale	S				1
AU-12 (4)	Audit Record Generation			S				
		Personally Identifiable	5-Gradient Scale	3				
AU-13	Monitoring for Information	n Disclosure	3-Gradient Scale	S				
7.0 20		. 2.55.654. 5	5-Gradient Scale	Sp				
ALL 12 (1)	Manitaring for Information	Lisa of Automated tools	3-Gradient Scale	S				
AU-13 (1)	Monitoring for Information	Ose of Automated tools	5-Gradient Scale	S				
			3-Gradient Scale	S				
AU-13 (2)	Monitoring for Information	Review of Monitored Sites	5-Gradient Scale	S				
			5 Gradient Scale	J				
		Unauthorized Replication of	3-Gradient Scale	S				
AU-13 (3)	Monitoring for Informatior	1						
		Information	5-Gradient Scale	S				
AU-14	Session Audit		3-Gradient Scale	S				
			5-Gradient Scale	S				
ALL 14 (1)	Cossian Audit	Custom Start IIn	3-Gradient Scale	S				
AU-14 (1)	Session Audit	System Start-Up	5-Gradient Scale	S				
		Remote Viewing and	3-Gradient Scale	S				
AU-14 (3)	Session Audit	Listening	5-Gradient Scale	S				
		Lioterining	5 Gradient State	3				
			2 Cradions Carlo					
AU-16	Cross-organizational Audit	Logging	3-Gradient Scale	S				
<u> </u>			5-Gradient Scale	S				
			,				1	
AU-16 (1)	Cross-organizational Audit	Identity Preservation	3-Gradient Scale	S				
10 (1)	5. 555 Gibanizational Addit		5-Gradient Scale	Sp				
ALL 4.C /3\	Cross avaculantic and A. D.	Charing of Analis In Commit	3-Gradient Scale	S				
AU-16 (2)	Cross-organizational Audit	Sharing of Audit Information	5-Gradient Scale	Sp				
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ALL 16 (2)			3-Gradient Scale	
AU-16 (3)	Cross-organizational Audit	Disassociability	5-Gradient Scale	

SP	
SP	
SP	

Ass	essment, Authorizati	on, and Monitoring	(CA)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
CA-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CA-2	Control Assessments	Control Assessments		SP SP	x x x x
CA-2 (1)	Control Assessments	Independent Assessors	3-Gradient Scale 5-Gradient Scale	SP SP	хх
CA-2 (2)	Control Assessments	Specialized Assessments	3-Gradient Scale 5-Gradient Scale	SP SP	х
CA-2 (3)	Control Assessments	Leveraging Results from External organizations	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-3	Information Exchange		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
CA-3 (6)	Information Exchange	Transfer Authorizations	3-Gradient Scale 5-Gradient Scale	SP SP	Х
CA-3 (7)	Information Exchange	Transitive Information Exchanges	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-5	Plan of Action and Milesto	nes	3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CA-5 (1)	Automation Support for A	ccuracy and Currency	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-6	Authorization		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CA-6 (1)	Authorization	Joint Authorization — Intra- organization	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-6 (2)	Authorization	Joint Authorization — Inter- organization	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-7	Continuous Monitoring		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CA-7 (1)	Continuous Monitoring	Independent Assessment	3-Gradient Scale 5-Gradient Scale	SP SP	x x
CA-7 (3)	Continuous Monitoring	Trend Analyses	3-Gradient Scale 5-Gradient Scale	SP SP	
CA-7 (4)	Continuous Monitoring	Risk Monitoring	3-Gradient Scale 5-Gradient Scale	SP SP	x x x x

CA-7 (5)	Continuous Monitoring	Consistency Analysis	3-Gradient Scale	SP			
CA-7 (3)		Consistency Analysis	5-Gradient Scale	SP			
CA 7 (6)	Continuous Monitoring	Automation Support for	3-Gradient Scale	SP			
CA-7 (6)	Continuous Monitoring	Monitoring	5-Gradient Scale	SP			
CA-8	Penetration Testing		3-Gradient Scale	S			x
CA-6	r chetration resting		5-Gradient Scale	S			^
CA-8 (1)	Penetration Testing	Independent Penetration	3-Gradient Scale	S			,
	renetration resting	Testing Agent or Team	5-Gradient Scale	S			_ ^
CA-8 (2)	Donotration Tosting	cion Testing Red Team Exercises	3-Gradient Scale	S			
CA-6 (2)	renetration resting		5-Gradient Scale	S			
CA-8 (3)	Penetration Testing	Facility Penetration Testing	3-Gradient Scale	S			
CA-8 (3)	renetiation resting	racinty renetration resting	5-Gradient Scale	S			
CA-9	Internal System Connection	ons	3-Gradient Scale	S	х	х	١,
CA-3	Internal System Connections		5-Gradient Scale	Sp	^	^	^
CA-9 (1)	Internal System Connection	or Compliance Checks	3-Gradient Scale	SP			
CA-3 (1)	Internal System Connection	Dicompliance checks	5-Gradient Scale	SP			

	Configuration N	f lanagement	(CM)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
CM-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CM-2	Baseline Configuration		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
CM-2(2)	Baseline Configuration	Automation Support for Accuracy and Currency	3-Gradient Scale 5-Gradient Scale	S S	хх
CM-2(3)	Baseline Configuration	Retention of Previous Configurations	3-Gradient Scale 5-Gradient Scale	S S	хх
CM-2(6)	Baseline Configuration	Development and Test Environments	3-Gradient Scale 5-Gradient Scale	S S	
CM-2(7)	Baseline Configuration	Configure Systems and Components for High-Risk	3-Gradient Scale 5-Gradient Scale	S S	хх
CM-3	Configuration Change Co	ntrol	3-Gradient Scale 5-Gradient Scale	SP SP	хх
CM-3(1)	Configuration Change Control	Automated Documentation, Notification, and Prohibition	3-Gradient Scale 5-Gradient Scale	S Sp	х
CM-3(2)	Configuration Change Control	Testing, Validation, and Documentation of Changes	3-Gradient Scale 5-Gradient Scale	S Sp	x x
CM-3(3)	Configuration Change Control	Automated Change Implementation	3-Gradient Scale 5-Gradient Scale	S S	
CM-3(4)	Configuration Change Control	Security and Privacy Representatives	3-Gradient Scale 5-Gradient Scale	SP SP	x x
CM-3(5)	Configuration Change Control	Automated Security Response	3-Gradient Scale 5-Gradient Scale	S S	
CM-3(6)	Configuration Change Control	Cryptography Management	3-Gradient Scale 5-Gradient Scale	S S	х
CM-3(7)	Configuration Change Control	Review System Changes	3-Gradient Scale 5-Gradient Scale	S Sp	
CM-3(8)	Configuration Change Control	Prevent or Restrict Configuration Changes	3-Gradient Scale 5-Gradient Scale	S Sp	
CM-4	Impact Analyses		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
CM-4(1)	Impact Analyses	Separate Test Environments	3-Gradient Scale 5-Gradient Scale	SP SP	х

0.4.4(0)			3-Gradient Scale	SP		Т	
CM-4(2)	Impact Analyses	Verification of Controls	5-Gradient Scale	SP		Х	Х
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CM-5	Access Restrictions For Ch	22000	3-Gradient Scale	S	х		х
CIVI-3	Access Restrictions For Ci	ialige	5-Gradient Scale	S	^	Х	^
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CM-5(1)	Access Restrictions For	Automated Access	3-Gradient Scale	S			х
	Change	Enforcement and Audit	5-Gradient Scale	S			
	IA B 2.12 5	1	2 0 - 1: - 1 0 - 1	C			1 1
CM-5(4)	Access Restrictions For	Dual Authorization	3-Gradient Scale 5-Gradient Scale	S			
	Change		5-Gradient Scale	3			
	Access Restrictions For	Privilege Limitation for	3-Gradient Scale	S		Т	П
CM-5(5)	Change	Production and Operation	5-Gradient Scale	S			
	change	r roudelloir and operation	5 Gradient Scale	3			
C1 4 5 (5)	Access Restrictions For		3-Gradient Scale	S			
CM-5(6)	Change	Limit Library Privileges	5-Gradient Scale	S			
		•			<u> </u>		
CM-6	Configuration Settings		3-Gradient Scale	S			
CIVI-0	Comiguration settings		5-Gradient Scale	S	Х	Х	Х
CM-6(1)	Configuration Settings	Automated Management,	3-Gradient Scale	S			х
CIVI 0(1)	comigaration settings	Application, and Verification	5-Gradient Scale	S			
	1	T	Ia a				
CM-6(2)	Configuration Settings	Respond to Unauthorized	3-Gradient Scale	S			х
		Changes	5-Gradient Scale	S			
	<u> </u>		3-Gradient Scale	C			
CM-7	Least Functionality		5-Gradient Scale	S	x	х	х
			3-draulent scale	3			
			3-Gradient Scale	S			
CM-7(1)	Least Functionality	Periodic Review	5-Gradient Scale	S		Х	х
	Į.				<u> </u>		
CN4 7/2)	Lagat Franctionality	Durant Durana Francis	3-Gradient Scale	S		Т	
CM-7(2)	Least Functionality	Prevent Program Execution	5-Gradient Scale	S		Х	Х
CM-7(3)	Least Functionality	Registration Compliance	3-Gradient Scale	S			
CIVI 7(3)	Least Functionality	negistration compliance	5-Gradient Scale	S			
	1	1					
CM-7(4)	Least Functionality	Unauthorized Software	3-Gradient Scale	S			
	,		5-Gradient Scale	S			
	ı	1	3-Gradient Scale	S		$\overline{}$	T 1
CM-7(5)	Least Functionality	Authorized Software	5-Gradient Scale	S		х	х
			3-Gradient Scale	3			
		Confined Environments with	3-Gradient Scale	S		T	
CM-7(6)	Least Functionality	Limited Privileges	5-Gradient Scale	S			
		-0					
CN 4 7(7)	Land From March	Code Execution in Protected	3-Gradient Scale	S		T	
CM-7(7)	Least Functionality	Environments	5-Gradient Scale	S			
CM-7(8)	Least Functionality	Binary or Machine	3-Gradient Scale	S			
CIVI -7 (O)	Least Functionality	Executable Code	5-Gradient Scale	S			
	T	•					, .
CM-7(9)	Least Functionality	Prohibiting the Use of	3-Gradient Scale	S			
(9/		Unauthorized Hardware	5-Gradient Scale	S			
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CM-8	System Component Inven	torv	3-Gradient Scale	S	,	(x	х
			5-Gradient Scale	S			
		_					
CM-8(1)	System Component	Updates During Installation	3-Gradient Scale	S		х	x
CIVI O(1)	Inventory	and Removal	5-Gradient Scale	S		^	^
				·			
CN4 0/2\	System Component	Automoted Maintenance	3-Gradient Scale	S			
CM-8(2)	Inventory	Automated Maintenance	5-Gradient Scale	S			Х
	<u>'</u>	•	<u>. </u>				
	System Component	Automated Unauthorized	3-Gradient Scale	S			
CM-8(3)	Inventory	Component Detection	5-Gradient Scale	S		Х	Х
			o oranicint odalic		<u> </u>		
	System Component		3-Gradient Scale	S			I
CM-8(4)	Inventory	Accountability Information	5-Gradient Scale	S			х
	inventory		3-Gradient Scale	3			Į
	C -1 C	The second Configuration and	2 6 1 1 6 1	C			1
CM-8(6)	System Component	Assessed Configurations and	3-Gradient Scale	S			
	Inventory	Approved Deviations	5-Gradient Scale	S			
	-	1					1
CM-8(7)	System Component	Centralized Repository	3-Gradient Scale	S			
5 5(7)	Inventory	- 3 2	5-Gradient Scale	S			
CM-8(8)	System Component	Automated Location	3-Gradient Scale	S			
CIVI-8(8)	Inventory	Tracking	5-Gradient Scale	Sp			
		-	•			-	
	System Component	Assignment of Components	3-Gradient Scale	S			
CM-8(9)	Inventory	to Systems	5-Gradient Scale	S			
	/						L
			3-Gradient Scale	S			
CM-9	Configuration Manageme	nt Plan	5-Gradient Scale	S		Х	Х
			5 Gradient Scale	3			
	Configuration	1	3-Gradient Scale	S			T
CM-9(1)	_	Assignment of Responsibility	5-Gradient Scale	S			
	Management Plan	1	5-Gradient Scale	3			
			2 6 1 1 6 1	C			1
CM-10	Software Usage Restrictio	ns	3-Gradient Scale	S	 	(x	х
			5-Gradient Scale	S			
	T .		,				
CM-10(1)	Software Usage	Open-Source Software	3-Gradient Scale	S			
CIVI 10(1)	Restrictions	open source sortware	5-Gradient Scale	S			
				<u></u>			
CM-11	User Installed Software		3-Gradient Scale	S	I	,	, ,
CIVI-11	Oser ilistalled software		5-Gradient Scale	S	'	X	Х
			<u> </u>			•	•
	Software Usage	Software Installation with	3-Gradient Scale	S			
CM-11(2)	Restrictions	Privileged Status	5-Gradient Scale	S			
1							1
	Software Usage	Automated Enforcement and	3-Gradient Scale	S			
CM-11(3)	Restrictions	Monitoring	5-Gradient Scale	S			
<u> </u>	inestrictions	Monitoring	5 Gradient Stale			1	1
			2 Crodiant Cool	CD		ı	
CM-12	Information Location		3-Gradient Scale	SP		х	х
			5-Gradient Scale	SP			
		T	T /				1
CM-12(1)	Information Location	Automated Tools to Support		S		х	х
J.V. 12(1)	Jimation Location	Information Location	5-Gradient Scale	Sp		^	^
CN4 12	Data Action Manning		3-Gradient Scale	SP			
CM-13	Data Action Mapping		5-Gradient Scale	SP			
1							

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CM-14 Signed Components	Signed Components	3-Gradient Scale	S			1	
	CM-14 Signed Components	Signed Components	5-Gradient Scale	S			

	Contingency I	Planning	(CP)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
CP-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
			3-draulent scale	Jr .	
CP-2	Contingency Plan		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
	_	_			
CP-2(1)	Contingency Plan	Coordinate with Related Plans	3-Gradient Scale 5-Gradient Scale	SP SP	x x
CP-2(2)	Contingency Plan	Capacity Planning	3-Gradient Scale 5-Gradient Scale	S S	х
	_	_			
CP-2(3)	Contingency Plan	Resume Mission and	3-Gradient Scale	S	
(-7	J , -	Business Functions	5-Gradient Scale	S	
CP-2(5)	Contingency Plan	Continue Mission and Business Functions	3-Gradient Scale 5-Gradient Scale	S S	х
	1	1.			
CP-2(6)	Contingency Plan	Alternate Processing and Storage Sites	3-Gradient Scale 5-Gradient Scale	S	
CP-2(7)	Contingency Plan	Coordinate with External Service Providers	3-Gradient Scale 5-Gradient Scale	SP SP	
CP-2(8)	Contingency Plan	Identify Critical Assets	3-Gradient Scale	S	x x
		1	5-Gradient Scale	3	
CP-3	Contingency Training		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
	Ī	1	3-Gradient Scale	c	
CP-3(1)	Contingency Training	Simulated Events	5-Gradient Scale	S S	х
CP-3(2)	Contingency Training	Mechanisms Used in Training Environments	3-Gradient Scale 5-Gradient Scale	S S	
CP-4	Contingency Plan Testing		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
CP-4(1)	Contingency Plan Testing	Coordinate with Related Plans	3-Gradient Scale 5-Gradient Scale	SP SP	x x
CP-4(2)	Contingency Plan Testing	Alternate Processing Site	3-Gradient Scale 5-Gradient Scale	S S	х
CP-4(3)	Contingency Plan Testing	Automated Testing	3-Gradient Scale 5-Gradient Scale	S S	
CP-4(4)	Contingency Plan Testing	Full Recovery and Reconstitution	3-Gradient Scale 5-Gradient Scale	S S	

CD 4/5)	Carling and Disastration	Calf Challes as	3-Gradient Scale	S	
CP-4(5)	Contingency Plan Testing	Self Challenge	5-Gradient Scale	S	
	I				
	I		3-Gradient Scale	C	
CP-6	Alternative Storage Site			S	
			5-Gradient Scale	S	
CD ((1)	Altanosti va Ctanasa Cita	Canada francisco Deinago Cita	3-Gradient Scale	S	1 1 1 1
CP-6(1)	Alternative Storage Site	Separation from Primary Site	5-Gradient Scale	S	x x
			L		
	I	Recovery Time and Recovery	3-Gradient Scale	S	
CP-6(2)	Alternative Storage Site			S	x
		Point Objectives	5-Gradient Scale	3	
		_			
CP-6(3)	Alternative Storage Site	Site Accessibility	3-Gradient Scale	S	
Ci 0(3)	Alternative Storage Site	Accessionity	5-Gradient Scale	S	^ ^
			3-Gradient Scale	S	
CP-7	Alternate Processing Site		5-Gradient Scale	S	x x
			5-Gradient Scale	3	
	1	T			
CP-7(1)	Alternate Processing Site	rnate Processing Site Separation from Primary Site	3-Gradient Scale	S	
Cr-/(1)	Alternate Frocessing Site	Separation from Filliary Site	5-Gradient Scale	S	X X
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	1		3-Gradient Scale	S	
CP-7(2)	P-7(2) Alternate Processing Site	Accessibility		S	x x
			5-Gradient Scale	3	
CD 7/2\	Alternate Dragossing Cita	Drianity of Compies	3-Gradient Scale	S	
CP-7(3)	Alternate Processing Site	Priority of Service	5-Gradient Scale	S	x x
L			<u> </u>		
	I	I	3-Gradient Scale	S	
CP-7(4)	Alternate Processing Site	Preparation for Use		S	x
			5-Gradient Scale	3	
		_			
CP-7(6)	Alternate Processing Site	Inability to Return to Primary	3-Gradient Scale	S	
CF-7(0)	Alternate Processing Site	Site	5-Gradient Scale	S	1 1 1 1
	1		3-Gradient Scale	S	
CP-8	Telecommunications Servi	ces		S	x x
			5-Gradient Scale	3	
CP-8(1)	Telecommunications Service	Priority of Service Provisions	3-Gradient Scale	S	
Ci 0(1)	l ciccommunications service	Thomas of service Frovisions	5-Gradient Scale	S	X X
			•		
			3-Gradient Scale	S	
CP-8(2)	Telecommunications Servi	Single Points of Failure		S	x x
	L	l .	5-Gradient Scale	3	
	1	Ta a a	<u> </u>		
CP-8(3)	Telecommunications Servi	Separation of Primary and	3-Gradient Scale	S	
Ci ⁻ -0(3)	Telecommunications 3et VII	Alternate Providers	5-Gradient Scale	S	*
			3-Gradient Scale	S	
CP-8(4)	Telecommunications Servi	Provider Contingency Plan	5-Gradient Scale	S	x
		L	J-Oraulent Stale	3	
	ı	Ι.	T		
CP-8(5)	Telecommunications Servi	Alternate	3-Gradient Scale	S	
Ci 0(3)	- Ciccommunications set vic	Telecommunication Service	5-Gradient Scale	S	
			-		
			3-Gradient Scale	S	
CP-9	System Backup		5-Gradient Scale	Sp	x x x
			3-Gradient Stale	Sh	
			 		
CP-9(1)	System Backup	Testing for Reliability and	3-Gradient Scale	S	x x
C. J(1)	Jackup	Integrity	5-Gradient Scale	S	^ ^
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CD 0(2)	C. dans Bardina	Test Restoration using	3-Gradient Scale	S		
CP-9(2)	System Backup	Sampling	5-Gradient Scale	S		
	l	1 5			L	
		Separation Storage for	3-Gradient Scale	S		Т
CP-9(3)	System Backup	Critical Information	5-Gradient Scale	S		
			o oracin ocare		<u>l</u>	
		Transfer to Alternate Storage	3-Gradient Scale	S		\neg
CP-9(5)	System Backup	site	5-Gradient Scale	S		
	<u> </u>	Jite .	3 Gradient Scale	3		
		Redundant Secondary	3-Gradient Scale	S		\neg
CP-9(6)	System Backup		5-Gradient Scale	S		
		System	5-Gradient Scale	3		
		Dual Authorization for	2 Cradion+ Carl			
CP-9(7)	System Backup	Dual Authorization for	3-Gradient Scale	S		
	1	Deletion of Destructions	5-Gradient Scale	Sp		丄
	_	_				
CP-9(8) S	System Backup	Cryptographic Protection	3-Gradient Scale	S		
C. 3(0)	зузсент васкар	cryptograpme recetion	5-Gradient Scale	S		
CP-10	System Recovery and Reco	nstitution	3-Gradient Scale	S		
,r-10	System Recovery and Reco	iistitutioii	5-Gradient Scale	S	×	
	-				<u> </u>	
CD 40(0)	6 . 6 . 15	System Recovery and	3-Gradient Scale	S		
CP-10(2)	System Recovery and Reco	Reconstitution - Transaction	5-Gradient Scale	S		
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		System Recovery and	3-Gradient Scale	S		Т
CP-10(4)	System Recovery and Reco	Reconstitution - Restore	5-Gradient Scale	S		
	1				<u> </u>	
		System Recovery and	3-Gradient Scale	S		\top
CP-10(6)	System Recovery and Reco	Reconstitution - Component	5-Gradient Scale	S		
	L				<u> </u>	
			3-Gradient Scale	S		\neg
	Alternate Communication	Protocols	5-Gradient Scale	S		
CP-11			J-dradient scale	3		
CP-11	<u> </u>					
CP-11	1		2 Gradient Scale	C		
CP-11	Safe Mode		3-Gradient Scale	S		
	Safe Mode		3-Gradient Scale 5-Gradient Scale	S S		
	Safe Mode		5-Gradient Scale	S		<u></u>
	Safe Mode Alternative Security Mecha	anisms				

	Identification and A	Authentication	(IA)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
IA-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
IA-2	Identification and Authent	ication (Organizational Users)	3-Gradient Scale 5-Gradient Scale	S	x x x
IA-2(1)	Information Location	Multi-Factor Authentication To Privileged Accounts	3-Gradient Scale 5-Gradient Scale	S S	x x x
IA-2(2)	Information Location	Multi-Factor Authentication To Non-Privileged Accounts	3-Gradient Scale 5-Gradient Scale	S S	x x x
IA-2(5)	Information Location	Individual Authentication with Group Authentication	3-Gradient Scale 5-Gradient Scale	S S	х
IA-2(6)	Information Location	Access to Accounts - Separate Device	3-Gradient Scale 5-Gradient Scale	S S	
IA-2(8)	Information Location	Access to Accounts - Replay Resistant	3-Gradient Scale 5-Gradient Scale	S S	x x x
IA-2(10)	Information Location	Single Sign-On	3-Gradient Scale 5-Gradient Scale	S S	
IA-2(12)	Information Location	Acceptance of PIV Credentials	3-Gradient Scale 5-Gradient Scale	S S	x x x
IA-2(13)	Information Location	Out-Of-Band Authentication	3-Gradient Scale 5-Gradient Scale	S S	
IA-3	Device Identification and A	Authentication	3-Gradient Scale 5-Gradient Scale	S S	x x
IA-3(1)	Device Identification and Authentication	Cryptographic Bidirectional Authentication	3-Gradient Scale 5-Gradient Scale	S S	
IA-3(3)	Device Identification and Authentication	Dynamic Address Allocation	3-Gradient Scale 5-Gradient Scale	S S	
IA-3(4)	Device Identification and Authentication	Device Attestation	3-Gradient Scale 5-Gradient Scale	S S	
IA-4	Identifier Management		3-Gradient Scale 5-Gradient Scale	S S	x x x
IA-4(1)	Identifier Management	Prohibit Account Identifiers as Public Identifiers	3-Gradient Scale 5-Gradient Scale	S S	
IA-4(4)	Identifier Management	Identify User Status	3-Gradient Scale 5-Gradient Scale	S S	x x

			3-Gradient Scale	S		Г
IA-4(5)	Identifier Management	Dynamic Management	5-Gradient Scale	S		
	1	L	3-Gradient Stale	3		
		Cross-Organization	3-Gradient Scale	S		
IA-4(6)	Identifier Management	Management	5-Gradient Scale	S		
		ivianagement	3-diaulent scale	3		
		Pairwise Pseudonymous	3-Gradient Scale	S		
IA-4(8)	Identifier Management	Identifiers	5-Gradient Scale	S		
		lucitineis	3-draulent scale	3		l l
		Attribute Maintenance and	3-Gradient Scale	S		1
IA-4(9)	Identifier Management	Protection	5-Gradient Scale	S		
		rocccion	5 Gradient Scale	<u> </u>		
			3-Gradient Scale	S		
IA-5	Authenticator Manageme	nt	5-Gradient Scale	S	X	x x
			5 Gradient Scale			<u> </u>
	Authenticator	Password-Based	3-Gradient Scale	S		
IA-5(1)	Management	Authentication	5-Gradient Scale	S	X	x x
	Management	rathentication	5 Gradient Scale			<u> </u>
	Authenticator	Public Key-Based	3-Gradient Scale	S		
IA-5(2)	Management	Authentication	5-Gradient Scale	S		х х
L	management	p tatricinacation	5 Gradient State	3		
	Authenticator	Change Authenticators Prior	3-Gradient Scale	S		Г
IA-5(5)	Management	to Delivery	5-Gradient Scale	S		
	Management	to Delivery	3-draulent scale	3		l l
	Authenticator		3-Gradient Scale	S		
IA-5(6)	Management	Protection of Authenticators	5-Gradient Scale	S		х х
	Management		5 Gradient Scale	<u> </u>		<u> </u>
	Authenticator	No Embedded Unencrypted	3-Gradient Scale	S		I I
IA-5(7)	Management	Static Authenticators	5-Gradient Scale	S		
	Wanagement	Static Authenticators	5 Gradient Scale	<u> </u>		<u> </u>
	Authenticator		3-Gradient Scale	S		
IA-5(8)	Management	Multiple System Accounts	5-Gradient Scale	S		
	Management		5 Gradient Scale			<u> </u>
	Authenticator	Federated Credential	3-Gradient Scale	S		
IA-5(9)	Management	Management	5-Gradient Scale	S		
	Management	ividiagement	5 Gradient Scale			<u> </u>
	Authenticator		3-Gradient Scale	S		
IA-5(10)	Management	Dynamic Credential Binding	5-Gradient Scale	S		
		<u>I</u>	- 5.44.5.16 56416			<u> </u>
	Authenticator	Biometric Authentication	3-Gradient Scale	S		
IA-5(12)	Management	Performance	5-Gradient Scale	S		
<u> </u>	anagement	1. 2	- C. Gallerie Scale	J		<u> </u>
	Authenticator	Expiration of Cached	3-Gradient Scale	S		
IA-5(13)	Management	Authenticators	5-Gradient Scale	S		
	anagement	p. actionalogo	5 Gradient State	3		
	Authenticator	Managing Content of PKI	3-Gradient Scale	S		
IA-5(14)	Management	Trust Stores	5-Gradient Scale	S		
	anagement		5 Gradient State	3		<u> </u>
	Authenticator	GSA-Approved Products and	3-Gradient Scale	S		Г
IA-5(15)	Management	Services	5-Gradient Scale	S		
	management	DCI VICCO	5 Gradient State	3		
	Authenticator	In-Person or Trusted External	3-Gradient Scale	S		
IA-5(16)	Management	Party Authenticator Issuance		S		
L	ivianagement	i arty Authenticator issuance	J Gradient State	3		<u> </u>
	Authenticator	Presentation Attack	3-Gradient Scale	S		
IA-5(17)		Detection for Biometric	5-Gradient Scale	S		
<u></u>	Management	Detection for biometric	3-Gradient Stale	3		

	IA the offering		2.6 1: : 6 - 1	2			
IA-5(18)	Authenticator	Password Managers	3-Gradient Scale	S			
. ,	Management		5-Gradient Scale	S			
14.6	A. the autication Fandhaal.		3-Gradient Scale	S			.,
IA-6	Authentication Feedback		5-Gradient Scale	S	Х	Х	Х
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			3-Gradient Scale	S			
IA-7	Cryptographic Module Aut	thentication	5-Gradient Scale	S	Х	Х	Х
			3-Gradient Scale	3			
	I						
IA-8		ication (Non-Organizational	3-Gradient Scale	S	x	х	х
	Users)		5-Gradient Scale	S			
IA-8(1)	Identification and	Acceptance of PIV	3-Gradient Scale	S		v	v
IA-0(1)	Authentication (Non-	Credentials from Other	5-Gradient Scale	S	X	Х	Х
	Identification and	Acceptance of External	3-Gradient Scale	S			
IA-8(2)	Authentication (Non-	Authenticators	5-Gradient Scale	S	Х	Х	Х
	Addientication (Non-	Addienticators	J-Gradient Scale	3			
	Indonesificant 1	1	2 Constitution		 		
IA-8(4)	Identification and	Use of Defined Profiles	3-Gradient Scale	S	x	х	х
(.)	Authentication (Non-		5-Gradient Scale	S		^	
14 0/5)	Identification and	Acceptance of PIV-I	3-Gradient Scale	S			
IA-8(5)	Authentication (Non-	Credentials	5-Gradient Scale	S			
	,						
	Identification and		3-Gradient Scale	SP			
IA-8(6)		Disassociability	5-Gradient Scale	SP			
	Authentication (Non-		3-Gradient Scale	38			
	1						
IA-9	Service Identification and	Authentication	3-Gradient Scale	S			
", "	Service racinemeation and	rather treation	5-Gradient Scale	S			
			3-Gradient Scale	S			
IA-10	Adaptive Authentication		5-Gradient Scale	S			
					<u> </u>		
			3-Gradient Scale	S			
IA-11	Re-Authentication				х	х	х
			5-Gradient Scale	S			
						1	
IA-12	Identity Proofing		3-Gradient Scale	SP		х	х
1/7 14	inclinity i rooming		5-Gradient Scale	SP		^	_ ^
							
14 45411			3-Gradient Scale	S			
IA-12(1)	Identity Proofing	Supervisor Authorization	5-Gradient Scale	S			
	1	1	_ 5.44.6.16 56416	J			
		T	3-Gradient Scale	S			1
IA-12(2)	Identity Proofing	Identity Evidence				Х	х
	<u> </u>	<u> </u>	5-Gradient Scale	Sp			
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IA-12(3)	Identity Proofing	Identity Evidence Validation	3-Gradient Scale	S		v	,]
IM-12(3)	identity Flooring	and Verification	5-Gradient Scale	S		Х	Х
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		In-Person Validation and	3-Gradient Scale	S			
IA-12(4)	Identity Proofing	Verification	5-Gradient Scale	S			х
]	V CT IT COLOT	5 Gradient State	3			
	1	T	2.0 1: - 1: - 1			1	
IA-12(5)	Identity Proofing	Address Confirmation	3-Gradient Scale	S		х	х
-(-/	,		5-Gradient Scale	Sp			
IA 12/6\	Identity Proofing	Accept Externally-Proofed	3-Gradient Scale	S			
IA-12(6)	Identity Proofing	Identities	5-Gradient Scale	S			

	Incident Res	sponse	(IR)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
IR-1	Policy and Procedures		3-Gradient Scale	SP	x x x x
			5-Gradient Scale	SP	
IR-2	Incident Response Training	•	3-Gradient Scale	SP	
111-2	meident Kesponse Training	5	5-Gradient Scale	SP	x x x x
			3-Gradient Scale	SP	
IR-2 (1)	Incident Response Training	Simulated Events	5-Gradient Scale	SP	X
	ı	I	T		
IR-2 (2)	Incident Response Training	Automated Training Environments	3-Gradient Scale 5-Gradient Scale	Sp	x
		Litvironinients	3-Gradient Scale	Зр	
IR-2 (3)	Incident Response Training	Rreach	3-Gradient Scale	Р	х
11(2(3)	meident Response Training	Dicucii	5-Gradient Scale	Ps	^
			3-Gradient Scale	SP	
IR-3	Incident Response Testing		5-Gradient Scale	SP	x x x
	1	1			
IR-3 (1)	Incident Response Testing	Automated Testing	3-Gradient Scale 5-Gradient Scale	Sp	
			5-Gradient Scale	Sμ	
IR-3 (2)	Incident Response Testing	Coordination with Related	3-Gradient Scale	S	x x
11(3(2)	meident Response resting	Plans	5-Gradient Scale	Sp	
	1	1	3-Gradient Scale	SP	
IR-3 (3)	Incident Response Testing	Continuous Improvement	5-Gradient Scale	SP	
IR-4	Incident Handling		3-Gradient Scale	SP SP	x x x x
			5-Gradient Scale	38	
IR-4 (1)	Incident Handling	Automated Incident	3-Gradient Scale	S	x x
IN-4 (1)	incident Handing	Handling Processes	5-Gradient Scale	Sp	
	I		3-Gradient Scale	S	
IR-4 (2)	Incident Handling	Dynamic Reconfiguration	5-Gradient Scale	S	
-					
IR-4 (3)	Incident Handling	Continuity of Operations	3-Gradient Scale	S	
			5-Gradient Scale	3	
IR-4 (4)	Incident Handling	Information Correlation	3-Gradient Scale	S	
111-4 (4)	modern Handing	morniation correlation	5-Gradient Scale	Sp	X
	1	Automatic Disabling of	3-Gradient Scale	S	
IR-4 (5)	Incident Handling	System	5-Gradient Scale	S	
	1	1			
IR-4 (6)	Incident Handling	Insider Threats	3-Gradient Scale	SP	
	<u> </u>	<u> </u>	5-Gradient Scale	SP	
ID 4 (7)	Incident Handling	Insider Threats – Intra	3-Gradient Scale	SP	
IR-4 (7)	incluent nanuling	Organization Coordination	5-Gradient Scale	SP	

1		lo				1		
IR-4 (8)	Incident Handling	Correlation with External	3-Gradient Scale	SP				
` ,		Organizations	5-Gradient Scale	SP	ш			
		T				-		
IR-4 (9)	Incident Handling	Dynamic Response Capability	3-Gradient Scale	S				
(- /		, ,	5-Gradient Scale	S				
IR-4 (10)	Incident Handling	Supply Chain Coordination	3-Gradient Scale	SP				
11(+ (10)	meident Handling	Supply Chain Cool amation	5-Gradient Scale	SP				
IR-4 (11)	Incident Handling	Integrated Incident	3-Gradient Scale	SP				х
IN-4 (11)	incluent Handling	Response Team	5-Gradient Scale	SP				^
ID 4 (12)	la side at Headline	Malicious Code and Forensic	3-Gradient Scale	S				
IR-4 (12)	Incident Handling	Analysis	5-Gradient Scale	S				
		· ·	•					
			3-Gradient Scale	S				
IR-4 (13)	Incident Handling	Behavior Analysis	5-Gradient Scale	S				
		L	5 Gradient Scale	3				
			3-Gradient Scale	S		1		
IR-4 (14)	Incident Handling	Security Operations Center	5-Gradient Scale	S				
			5-Gradient Scale	3				
		Public Relations and	3-Gradient Scale	CD		I		
IR-4 (15)	Incident Handling			SP				
, ,		Reputation Repair	5-Gradient Scale	SP				
						Т		
IR-5	Incident Monitoring		3-Gradient Scale	SP	х	х	Х	х
•			5-Gradient Scale	SP		,,		
IR-5(1)	Incident Monitoring	Automated Tracking, Data	3-Gradient Scale	S				х
11(3(1)	incident Monitoring	Collection, and Analysis	5-Gradient Scale	Sp				^
IR-6	Incident Departing		3-Gradient Scale	SP	v	V	٧.	v
ס-או	Incident Reporting		5-Gradient Scale	SP	Х	Х	Х	Х
				<u> </u>		-		
i= 0 (4)			3-Gradient Scale	S				
IR-6 (1)	Incident Reporting	Automated Reporting	5-Gradient Scale	Sp			Х	Х
		l .	o oracione occio			<u>i</u>		
		Vulnerabilities Related to	3-Gradient Scale	S				
IR-6 (2)	Incident Reporting	Incidents	5-Gradient Scale	Sp				
		meidents	5-Gradient Scale	Эр				
			3-Gradient Scale	S		I		
IR-6 (3)	Incident Reporting	Supply Chain Coordination					Х	Х
			5-Gradient Scale	Sp				
			2 Canadians Cools			I		
IR-7	Incident Response Assistan	nce	3-Gradient Scale	S	х	х	Х	Х
	,		5-Gradient Scale	Sp				
1		T						
IR-7(1)	Incident Response Assistan	Automation Support for	3-Gradient Scale	S			х	х
/ (±/	meraciii Nesponse Assistan	Availability of Information	5-Gradient Scale	Sp			^	^
ID 7/2\	Incident Response Assistan	Coordination with External	3-Gradient Scale	S				
IR-7(2)	Incident Response Assistan	Providers	5-Gradient Scale	Sp				
		•						
			3-Gradient Scale	SP				
IR-8	Incident Response Plan		5-Gradient Scale	SP	х	Х	Х	Х
			5 Gradicili Scale	J.	\Box			
		Γ	3-Gradient Scale	D		1		
IR-8 (1)	Incident Response Plan	Breaches	3-Gradient Scale 5-Gradient Scale	P Ps	х			

IR-9	Information Spillage Response		3-Gradient Scale 5-Gradient Scale	S Sp	
IR-9 (2)	Information Spillage Respo	Training	3-Gradient Scale 5-Gradient Scale	SP SP	
IR-9 (3)	Information Spillage Respo	Post-Spill Operations	3-Gradient Scale 5-Gradient Scale	SP SP	
IR-9 (4)	Information Spillage Respo	Exposure to Unauthorized Personnel	3-Gradient Scale 5-Gradient Scale	SP SP	

	Mainten	ance	(MA)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
MA-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
MA-2	Controlled Maintenance		3-Gradient Scale 5-Gradient Scale	S S	x x x
MA-2(2)	Controlled Maintenance	Automated Maintenance Activities	3-Gradient Scale 5-Gradient Scale	S S	х
MA-3	Maintenance Tools		3-Gradient Scale 5-Gradient Scale	S S	хх
MA-3(1)	Maintenance Tools	Inspect Tools	3-Gradient Scale 5-Gradient Scale	S S	хх
MA-3(2)	Maintenance Tools	Inspect Media	3-Gradient Scale 5-Gradient Scale	S S	хх
MA-3(3)	Maintenance Tools	Prevent Unauthorized Removal	3-Gradient Scale 5-Gradient Scale	S S	x x
MA-3(4)	Maintenance Tools	Restricted Tool Use	3-Gradient Scale 5-Gradient Scale	S S	
MA-3(5)	Maintenance Tools	Execution with Privilege	3-Gradient Scale 5-Gradient Scale	S S	
MA-3(6)	Maintenance Tools	Software Updates and Patches	3-Gradient Scale 5-Gradient Scale	S S	
MA-4	Nonlocal Maintenance		3-Gradient Scale 5-Gradient Scale	S S	x x x
MA-4(1)	Nonlocal Maintenance	Logging and Review	3-Gradient Scale 5-Gradient Scale	S S	
MA-4(3)	Nonlocal Maintenance	Comparable Security and Sanitization	3-Gradient Scale 5-Gradient Scale	S S	х
MA-4(4)	Nonlocal Maintenance	Authentication and Separation of Maintenance	3-Gradient Scale 5-Gradient Scale	S S	
MA-4(5)	Nonlocal Maintenance	Approvals and Notifications	3-Gradient Scale 5-Gradient Scale	S S	
MA-4(6)	Nonlocal Maintenance	Cryptographic Protection	3-Gradient Scale 5-Gradient Scale	S S	
MA-4(7)	Nonlocal Maintenance	Disconnect Verification	3-Gradient Scale 5-Gradient Scale	S S	

MA-5	Maintenance Personnel		3-Gradient Scale 5-Gradient Scale	S S	х	х	х
MA-5(1)	Maintenance Personnel	Individuals Without Appropriate Access	3-Gradient Scale 5-Gradient Scale	S S			х
MA-5(2)	Maintenance Personnel	Security Clearances for Classified Systems	3-Gradient Scale 5-Gradient Scale	S S			
MA-5(3)	Maintenance Personnel	Citizenship Requirements for Classified Systems	3-Gradient Scale 5-Gradient Scale	S S			
MA-5(4)	Maintenance Personnel	Foreign Nationals	3-Gradient Scale 5-Gradient Scale	S S			
MA-5(5)	Maintenance Personnel	Non-System Maintenance	3-Gradient Scale 5-Gradient Scale	S S			
MA-6	Timely Maintenance		3-Gradient Scale 5-Gradient Scale	S S		Х	х
MA-6(1)	Timely Maintenance	Preventative Maintenance	3-Gradient Scale 5-Gradient Scale	S S			
MA-6(2)	Timely Maintenance	Predictive Maintenance	3-Gradient Scale 5-Gradient Scale	S S			
MA-6(3)	Timely Maintenance	Automated Support for Predictive Maintenance	3-Gradient Scale 5-Gradient Scale	S S			
MA-7	Field Maintenance		3-Gradient Scale 5-Gradient Scale	S S			

	Media Prot	ection	(MP)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
MP-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
MP-2	Media Access		3-Gradient Scale 5-Gradient Scale	S S	x x x
MP-3	Media Marking		3-Gradient Scale 5-Gradient Scale	S Sp	x x
MP-4	Media Storage		3-Gradient Scale 5-Gradient Scale	S S	x x
MP-4(2)	Media Storage	Automated Restricted Access	3-Gradient Scale 5-Gradient Scale	S S	
MP-5	Media Transport		3-Gradient Scale 5-Gradient Scale	S S	x x
MP-5(3)	Media Transport	Custodians	3-Gradient Scale 5-Gradient Scale	S S	
MP-6	Media Sanitization		3-Gradient Scale 5-Gradient Scale	S Sp	x x x x
MP-6(1)	Media Sanitization	Review, Approve, Track, Document, and Verify	3-Gradient Scale 5-Gradient Scale	S Sp	Х
MP-6(2)	Media Sanitization	Equipment Testing	3-Gradient Scale 5-Gradient Scale	\$ \$	х
MP-6(3)	Media Sanitization	Nondestructive Techniques	3-Gradient Scale 5-Gradient Scale	S S	х
MP-6(7)	Media Sanitization	Dual Authorization	3-Gradient Scale 5-Gradient Scale	\$ \$	
MP-6(8)	Media Sanitization	Remote Purging or Wiping or Information	3-Gradient Scale 5-Gradient Scale	\$ \$	
MP-7	Media Use		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
MP-7(2)	Media Use	Prohibit Use of Sanitization- Resistant Media	3-Gradient Scale 5-Gradient Scale	S S	
MP-8	Media Downgrading		3-Gradient Scale 5-Gradient Scale	S S	
MP-8(1)	Media Downgrading	Documentation of Process	3-Gradient Scale 5-Gradient Scale	S S	

MP-8(2) Media Downgrading	Equipment Testing	3-Gradient Scale		S				
	vicula Downsiauling	Equipment resting	5-Gradient Scale	L	S			
	1			-	1			
MP-8(3) Media Downgrading	Controlled Unclassified	3-Gradient Scale		S				
1011 0(3)	Wicdia Downgrading	Information	5-Gradient Scale		S			
MP-8(4) Med	Media Downgrading	Classified Information	3-Gradient Scale		S			
		Classified information	5-Gradient Scale		S			

F	Physical and Environr	(PE)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline	
PE-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
PE-2	Physical Access Authorizations		3-Gradient Scale 5-Gradient Scale	S S	x x x
PE-2(1)	Physical Access Authorizations	Access by Position or Role	3-Gradient Scale 5-Gradient Scale	S S	
PE-2(2)	Physical Access Authorizations	Two Forms of Identification	3-Gradient Scale 5-Gradient Scale	S S	
PE-2(3)	Physical Access Authorizations	Restricted Unescorted Access	3-Gradient Scale 5-Gradient Scale	S S	
PE-3	Physical Access Control		3-Gradient Scale 5-Gradient Scale	S S	x x x
PE-3(1)	Physical Access Control	System Access	3-Gradient Scale 5-Gradient Scale	S S	х
PE-3(2)	Physical Access Control	Facility and Systems	3-Gradient Scale 5-Gradient Scale	S S	
PE-3(3)	Physical Access Control	Continuous Guards	3-Gradient Scale 5-Gradient Scale	S S	
PE-3(4)	Physical Access Control	Lockable Casings	3-Gradient Scale 5-Gradient Scale	S S	
PE-3(5)	Physical Access Control	Tamper Protection	3-Gradient Scale 5-Gradient Scale	S S	
PE-3(7)	Physical Access Control	Physical Barriers	3-Gradient Scale 5-Gradient Scale	S S	
PE-3(8)	Physical Access Control	Access Control Vestibules	3-Gradient Scale 5-Gradient Scale	S S	
PE-4	Access Control for Transmission		3-Gradient Scale 5-Gradient Scale	S S	x x
PE-5	Access Control for Output Devices		3-Gradient Scale 5-Gradient Scale	S S	хх
PE-5(2)	Access Control for Output Devices	Link to Individual Identity	3-Gradient Scale 5-Gradient Scale	S S	
PE-6	Monitoring Physical Acces	SS	3-Gradient Scale 5-Gradient Scale	S S	x x x

	Monitoring Physical	Intrusion Alarms and	3-Gradient Scale	S		T		
PE-6(1)	Access	Surveillance Equipment	5-Gradient Scale	S			Χ	х
	Access	Surveillance Equipment	3-diaulent scale	3				
r	T	T	la a u i a i					1
PE-6(2)	Monitoring Physical	Automated Intrusion	3-Gradient Scale	S				
(-)	Access	Recognition and Responses	5-Gradient Scale	S				
DE C(2)	Monitoring Physical	Video Comosillando	3-Gradient Scale	SP				
PE-6(3)	Access	Video Surveillance	5-Gradient Scale	SP				
	1	•						
	Monitoring Physical	Monitoring Physical Access	3-Gradient Scale	S				
PE-6(4)	Access	to Systems	5-Gradient Scale	S				Х
ļ	Access	to Systems	J-Gradient Scale	3				
			2 6	CD		-		
PE-8	Visitor Access Records		3-Gradient Scale	SP		х	Х	х
			5-Gradient Scale	SP				
PE-8(1)	Visitor Access Records	Automated Records	3-Gradient Scale	S				· ·
FL-0(1)	Visitor Access Records	Maintenance and Review	5-Gradient Scale	Sp				Х
			<u> </u>			•		
		Limit Personally Identifiable	3-Gradient Scale	SP		J		
PE-8(3)	Visitor Access Records	Information Elements	5-Gradient Scale	SP	х	J		
		information Elements	J-Gradient Scale	JF .				
			2 Canding Code	-		-		
PE-9	Power Equipment and Cal	bling	3-Gradient Scale	S			Х	х
_		- 0	5-Gradient Scale	S				
PE-9(1)	Power Equipment and	Dadundant Cablina	3-Gradient Scale	S				
PE-9(1)	Cabling	Redundant Cabling	5-Gradient Scale	S				
	-	-	•		<u> </u>			
	Power Equipment and	1	3-Gradient Scale	S				
PE-9(2)	Cabling	Automatic Voltage Controls	5-Gradient Scale	S				
	Cabiling		J-Gradient Scale	3				
	1		2 Cuadiant Caala	C				
PE-10	Emergency Shutoff		3-Gradient Scale	S			Х	х
	,		5-Gradient Scale	S				
PE-11	Emergency Power		3-Gradient Scale	S			х	х
1 L 11	Lineigency i owei		5-Gradient Scale	S			^	^
		Alternate Power Supply -	3-Gradient Scale	S				
PE-11(1)	Emergency Power	Minimal Operational	5-Gradient Scale	S				Х
		Alternate Power Supply - Sel	f.3-Gradient Scale	S		1		
PE-11(2)	Emergency Power	1 ' '		S				
		Contained	5-Gradient Scale	3				
			To a				-	
PE-12	Emergency Lighting		3-Gradient Scale	S		х	х	х
	ביייכי פרייכץ ביפוינוויפ		5-Gradient Scale	S		^	^	^
DE 451::		Essential Mission and	3-Gradient Scale	S				
PE-12(1)	Emergency Lighting	Business Functions	5-Gradient Scale	S		1		
<u> </u>	I	, a	- 1. Laterit Sourc					
			3-Gradient Scale	c				
PE-13	Fire Protection			S		х	Х	х
			5-Gradient Scale	S				
PE-12(1)	Fire Protection	Detection Systems -	3-Gradient Scale	S		1	v	
r L-12(1)	I II C FIOLECTION	Automatic Activation and	5-Gradient Scale	S			Х	Х
		Suppression Systems -	3-Gradient Scale	S				
PE-12(2)	Fire Protection	Automatic Activation and	5-Gradient Scale	S				х
		, atomatic Activation and	5 Gradient State	3				

	I		2 Conding Cools	C	T		1
PE-12(4)	Fire Protection	Inspections	3-Gradient Scale	S			
		<u>l</u> '	5-Gradient Scale	S			
PE-14	Environmental Controls		3-Gradient Scale	S	х	х	х
FL-14	Liivii oiiiileiitai Contiois		5-Gradient Scale	S	^	^	_ ^
			3-Gradient Scale	S			
PE-14(1)	Environmental Controls	Automatic Controls	5-Gradient Scale	S			
	1						
		Monitoring with Alarms and	3-Gradient Scale	S	I		
PE-14(2)	Environmental Controls	Notifications	5-Gradient Scale	S			
		Notifications	3-Gradient Scale	3			
	T		2 0 - 1 - 1 0 - 1	6	Т		1
PE-15	Water Damage Protection		3-Gradient Scale	S	х	Х	х
	ŭ		5-Gradient Scale	S			
	T				-		
PE-15(1)	Water Damage Protection	Automatic Support	3-Gradient Scale	S			х
1 13(1)	Water Bamage Protection	ratematic support	5-Gradient Scale	S			^
DE 46 Ballina and Bannard			3-Gradient Scale	S	,,	.,	
PE-16	6 Delivery and Removal		5-Gradient Scale	S	Х	Х	Х
			3-Gradient Scale	S			
PE-17	.7 Alternate Work Site		5-Gradient Scale	Sp		Χ	Х
			5 Gradient Scale	Sβ			
	T		3-Gradient Scale	c	1		1
PE-18	Location of System Compo	onents		S			Х
			5-Gradient Scale	S			
	T		T 1		 Т		1
PE-19	Information Leakage		3-Gradient Scale	S			
			5-Gradient Scale	S			
	T		,		 		
PE-19(1)	Information Leakage	National Emissions and	3-Gradient Scale	S			
1 L 13(1)	information Leakage	Tempest Policies and	5-Gradient Scale	S			
DE 20	Accet Manitoring and Tare	king	3-Gradient Scale	S			
PE-20	Asset Monitoring and Trac	KIIIB	5-Gradient Scale	S			
	•						
			3-Gradient Scale	S			
PE-21	21 IFlectromagnetic Pulse Protection		5-Gradient Scale	S			
			5 Stadient State	J			ı
			3-Gradient Scale	S	Т		
PE-22	PE-22 Component Marking						
			5-Gradient Scale	S			
	ı				-		
PE-23	Facility Location		3-Gradient Scale 5-Gradient Scale	S			

	Plannin	g	(PL)	Model Collaboration Index Value	Privacy Control Baseline	Low Control Baseline	Moderate Control Baseline	High Control Baseline
PL-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
PL-2	System Security and Privacy Plans		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
PL-4	Rules of Behavior		3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
PL-4(1)	Rules of Behavior	Social Media and External Site/Application Usage	3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
PL-7	Concept of Operations		3-Gradient Scale 5-Gradient Scale	SP SP				
PL-8	Security and Privacy Archit	ectures	3-Gradient Scale 5-Gradient Scale	SP SP	х		х	х
PL-8(1)	Security and Privacy Archit	Defense in Depth	3-Gradient Scale 5-Gradient Scale	S Sp				
PL-8(2)	Security and Privacy Archit	Supplier Diversity	3-Gradient Scale 5-Gradient Scale	S Sp				
PL-9	Central Management		3-Gradient Scale 5-Gradient Scale	SP SP	х			
PL-10	0 Baseline Selection		3-Gradient Scale 5-Gradient Scale	SP SP		х	х	х
PL-11	Baseline Tailoring		3-Gradient Scale 5-Gradient Scale	SP SP		х	х	х

	Program Man	agement	(PM)	Model Collaboration Index Value	Privacy Control Baseline	High Control Baseline Moderate Control Baseline Low Control Baseline
PM-1	Information Security Progr	am Plan	3-Gradient Scale 5-Gradient Scale	S S		
PM-2	M-2 Information Security Program Leadership Role		3-Gradient Scale 5-Gradient Scale	S S		
PM-3	Information Security and Privacy Resources		3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-4	Plan of Action and Milestones Process		3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-5	System Inventory		3-Gradient Scale 5-Gradient Scale	S Sp		
PM-5(1)	System Inventory	Inventory of Personally Identifiable Information	3-Gradient Scale 5-Gradient Scale	P Ps	х	
PM-6	-6 Measures of Performance		3-Gradient Scale 5-Gradient Scale	SP SP	Х	
PM-7	Enterprise Architecture		3-Gradient Scale 5-Gradient Scale	SP SP	Х	
PM-7(1)	Enterprise Architecture	Offloading	3-Gradient Scale 5-Gradient Scale	S Sp		
PM-8	Critical Infrastructure Plan		3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-9	Risk Management Strategy	1	3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-10	Authorization Process		3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-11	Mission and Business Proc	ess Definition	3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-12	Insider Threat Program		3-Gradient Scale 5-Gradient Scale	SP SP		
PM-13	Security and Privacy Workforce		3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-14	Testing, Training, and Mor	itoring	3-Gradient Scale 5-Gradient Scale	SP SP	х	
PM-15	Security and Privacy Group	os and Associations	3-Gradient Scale 5-Gradient Scale	SP SP		Deployed organization-wide.

PM-16	Threat Awareness Program	3-Gradient Scale	S		Supports
10		5-Gradient Scale	Sp		information
	Automata Magne of Chaving	2 Candinat Canla	C		security program.
PM-16(1)	Automate Means of Sharing Threat Awareness Program	3-Gradient Scale	S		Maria de la Carta de Carta
	Threat Intelligence	5-Gradient Scale	S		Not associated with
		2 Cradiant Caala	CD		security control baselines.
PM-17	Protecting CUI on External Systems	3-Gradient Scale	SP SP	х	baseilles.
		5-Gradient Scale	38		Independent of any
		3-Gradient Scale	Р		system impact
PM-18	Privacy Program Plan	5-Gradient Scale	P	Х	level.
		5-draulent scale			icvei.
		3-Gradient Scale	Р		
PM-19	Privacy Program Leadership Role	5-Gradient Scale	P	Х	
		5-Gradient Scale			
		3-Gradient Scale	Р		
PM-20	Dissemination of Privacy Program Information	5-Gradient Scale	P	Х	
		5-Gradient Scale		<u> </u>	
	Privacy Policies on Websites,	3-Gradient Scale	Р		
PM-20(1)	Dissemination of Privacy Particles on Websites, Application, and Digital	5-Gradient Scale	P	х	
	Application, and Digital	5-Gradient Scale	P		
		3-Gradient Scale	Р		
PM-21	Accounting of Disclosures		P	х	
		5-Gradient Scale	Р	<u> </u>	
		3-Gradient Scale	Р		
PM-22	Personally Identifiable Information Quality Management			х	
		5-Gradient Scale	Ps		
		2 Cradiant Caala	SP		
PM-23	Data Governance Body	3-Gradient Scale	SP		
		5-Gradient Scale	38		
		3-Gradient Scale	Р		
PM-24	Data Integrity Board		P	х	
		5-Gradient Scale	P		
	Minimization of PII Used in Testing Training, and	3-Gradient Scale	Р		
PM-25	Research		Ps	х	
	nesearch	5-Gradient Scale	P3		
		3-Gradient Scale	SP		
PM-26	Complaint Management	5-Gradient Scale	SP	х	
		5-Gradient Scale	Jr .		
		3-Gradient Scale	Р		
PM-27	Privacy Reporting	5-Gradient Scale	P	х	
		5-Gradient Scale	P		
		3-Gradient Scale	SP		
PM-28	Risk Framing		SP	х	
		5-Gradient Scale	3P		
		3-Gradient Scale	SP		
PM-29	Risk Management Program Leadership Roles		SP		
		5-Gradient Scale	35		
		3-Gradient Scale	S		
PM-30	Supply Chain Risk Management Strategy	5-Gradient Scale	Sp		
L		J-Gradient State	Jμ		
	Suppliers of Critical or	3-Gradient Scale	S		
PM-30(1)	Supply Chain Risk Manager Mission-essential Items	5-Gradient Scale	Sp		
	I Innipation-essential items	J-Gradient State	Jμ	L	
		3-Gradient Scale	SP		
PM-31	Continuous Monitoring Strategy	5-Gradient Scale	SP	х	
L		2-Gradient Scale	37		

			_	
PM-32 Purposing	3-Gradient Scale	S		
	5-Gradient Scale	Sp		

	Personnel S	Security	(PS)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
PS-1	Policy and Procedures		3-Gradient Scale	SP	x x x
			5-Gradient Scale	SP	
PS-2	Position Risk Designation	Position Risk Designation		\$ \$	x x x
PS-3	Personnel Screening		3-Gradient Scale 5-Gradient Scale	S S	x x x
PS-3(1)	Personnel Screening	Classified Information	3-Gradient Scale 5-Gradient Scale	\$ \$	
PS-3(2)	Personnel Screening	Formal Indoctrination	3-Gradient Scale 5-Gradient Scale	\$ \$	
PS-3(3)	Personnel Screening	Information with Special Protective Measures	3-Gradient Scale 5-Gradient Scale	S S	
PS-3(4)	Personnel Screening	Citizenship Requirements	3-Gradient Scale 5-Gradient Scale	\$ \$	
PS-4	Personnel Termination		3-Gradient Scale 5-Gradient Scale	S S	x x x
PS-4(1)	Personnel Termination	Post-Employment Requirements	3-Gradient Scale 5-Gradient Scale	S S	
PS-4(2)	Personnel Termination	Automated Actions	3-Gradient Scale 5-Gradient Scale	\$ \$	х
PS-5	Personnel Transfer		3-Gradient Scale 5-Gradient Scale	S S	x x x
PS-6	Access Agreements		3-Gradient Scale 5-Gradient Scale	S Sp	x x x x
PS-6(2)	Access Agreements	Classified Information Requiring Special Protection	3-Gradient Scale 5-Gradient Scale	S S	
PS-6(3)	Access Agreements	Post-Employment Requirements	3-Gradient Scale 5-Gradient Scale	S Sp	
PS-7	External Personnel Securi	ty	3-Gradient Scale 5-Gradient Scale	S Sp	ххх
PS-8	Personnel Sanctions		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
PS-9	Position Descriptions		3-Gradient Scale 5-Gradient Scale	SP SP	x x x

Person	ally Identifiable Infor Transpare	mation Processing and ency	(PT)	Model Collaboration Index Value	Privacy Control Baseline	High Control Baseline Moderate Control Baseline Low Control Baseline
PT-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	P Ps	х	
PT-2	Authority to Process PII		3-Gradient Scale 5-Gradient Scale	P P	х	
PT-2(1)	Authority to Process PII	Data Tagging	3-Gradient Scale 5-Gradient Scale	SP SP		
PT-2(2)	Authority to Process PII	Automation	3-Gradient Scale 5-Gradient Scale	S Sp		
PT-3	PII Processing Purposes		3-Gradient Scale 5-Gradient Scale	P P	х	
PT-3(1)	PII Processing Purposes	PII Processing Purposes - Data Tagging	3-Gradient Scale 5-Gradient Scale	SP SP		
PT-3(2)	PII Processing Purposes	PII Processing Purposes - Automation	3-Gradient Scale 5-Gradient Scale	S Sp		
PT-4	Consent		3-Gradient Scale 5-Gradient Scale	P Ps	х	Personally
PT-4(1)	Consent	Consent -Tailored Consent	3-Gradient Scale 5-Gradient Scale	P Ps		Identifiable Information Processing and
PT-4(2)	Consent	Consent -Just-in-time Consent	3-Gradient Scale 5-Gradient Scale	P Ps		Transparency controls are not allocated to the
PT-4(3)	Consent	Consent -Revocation	3-Gradient Scale 5-Gradient Scale	P Ps		security control baselines.
Pt-5	Privacy Notice		3-Gradient Scale 5-Gradient Scale	P P	х	Privacy baseline controls are selected based on
PT-5(1)	Privacy Notice	Privacy Notice - Just in Time	3-Gradient Scale 5-Gradient Scale	P P	х	the selection criteria defined in Section 2.2 of NIST
PT-5(2)	Privacy Notice	Privacy Notice - Privacy Act Statements	3-Gradient Scale 5-Gradient Scale	P P	х	SP 800-53B
PT-6	System of Records Notice		3-Gradient Scale 5-Gradient Scale	P P	х	
PT-6(1)	System of Records Notice	SORN- Routine Uses	3-Gradient Scale 5-Gradient Scale	P P	Х	
PT-6(2)	System of Records Notice	SORN - Exemption Rules	3-Gradient Scale 5-Gradient Scale	P P	х	

PT-7	Specific Categories of PII		3-Gradient Scale 5-Gradient Scale	P P	х
PT-7(1)	Specific Categories of PII	SSNs	3-Gradient Scale 5-Gradient Scale	P P	х
PT-7(2)	Specific Categories of PII	First Amendment Information	3-Gradient Scale 5-Gradient Scale	P P	х
PT-8	Computer Mate	ching Requirements	3-Gradient Scale 5-Gradient Scale	P P	х

	Risk Assess	sment	(RA)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
RA-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
RA-2	Security Categorization		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
RA-2(1)	Security Categorization	Impact-Level Prioritization	3-Gradient Scale 5-Gradient Scale	S Sp	
RA-3	Risk Assessment		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
RA-3(1)	Risk Assessment	Supply Chain Risk Assessment	3-Gradient Scale 5-Gradient Scale	S S	x x x
RA-3(2)	Risk Assessment	Use of All-Source Intelligence	3-Gradient Scale 5-Gradient Scale	S S	
RA-3(3)	Risk Assessment	Dynamic Threat Awareness	3-Gradient Scale 5-Gradient Scale	S S	
RA-3(4)	Risk Assessment	Predictive Cyber Analytics	3-Gradient Scale 5-Gradient Scale	S S	
RA-5	Vulnerability Monitoring 8	s Scanning	3-Gradient Scale 5-Gradient Scale	S S	x x x
RA-5(2)	Vulnerability Monitoring & Scanning	Update Vulnerabilities to be Scanned	3-Gradient Scale 5-Gradient Scale	S S	x x x
RA-5(3)	Vulnerability Monitoring & Scanning	Breadth and Depth of Coverage	3-Gradient Scale 5-Gradient Scale	S S	
RA-5(4)	Vulnerability Monitoring & Scanning	Discoverable Information	3-Gradient Scale 5-Gradient Scale	S S	х
RA-5(5)	Vulnerability Monitoring & Scanning	Privileged Access	3-Gradient Scale 5-Gradient Scale	S S	x x
RA-5(6)	Vulnerability Monitoring & Scanning	Automated Trend Analyses	3-Gradient Scale 5-Gradient Scale	S S	
RA-5(8)	Vulnerability Monitoring & Scanning	Review Historic Audit Logs	3-Gradient Scale 5-Gradient Scale	S S	
RA-5(10)	Vulnerability Monitoring & Scanning	Correlate Scanning Information	3-Gradient Scale 5-Gradient Scale	S S	
RA-5(11)	Vulnerability Monitoring & Scanning	Public Disclosure Program	3-Gradient Scale 5-Gradient Scale	S S	ххх

RA-6	Technical Surveillance Countermeasures Survey	3-Gradient Scale 5-Gradient Scale	S S				
RA-7	Risk Response	3-Gradient Scale 5-Gradient Scale	SP SP	х	х	х	х
RA-8	Privacy Impact Assessments	3-Gradient Scale 5-Gradient Scale	P Ps	х			
RA-9	Criticality Analysis	3-Gradient Scale 5-Gradient Scale	S S			х	х
RA-10	Threat Hunting	3-Gradient Scale 5-Gradient Scale	S S				

	System and Service	es Acquisition	(SA)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
SA-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
SA-2	Allocation of Resources		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
SA-3	System Development Life Cycle		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
SA-3(1)	System Development Life (Manage Preproduction Environment	3-Gradient Scale 5-Gradient Scale	S S	
SA-3(2)	System Development Life (Use of Live or Operational Data	3-Gradient Scale 5-Gradient Scale	SP SP	
SA-3(3)	System Development Life (Technology Refresh	3-Gradient Scale 5-Gradient Scale	S S	
SA-4	Acquisition Process		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
SA-4(1)	Acquisition Process	Functional Properties of Controls	3-Gradient Scale 5-Gradient Scale	S Sp	хх
SA-4(2)	Acquisition Process	Design and Implementation Information for Controls	3-Gradient Scale 5-Gradient Scale	S S	хх
SA-4(3)	Acquisition Process	Development Methods, Techniques, and Practices	3-Gradient Scale 5-Gradient Scale	S Sp	
SA-4(5)	Acquisition Process	System, Component, and Service Configurations	3-Gradient Scale 5-Gradient Scale	S S	х
SA-4(6)	Acquisition Process	Use of Information Assurance Products	3-Gradient Scale 5-Gradient Scale	S S	
SA-4(7)	Acquisition Process	NIAP-approved Protection Profiles	3-Gradient Scale 5-Gradient Scale	S S	
SA-4(8)	Acquisition Process	Continuous Monitoring Plan for Controls	3-Gradient Scale 5-Gradient Scale	S S	
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SC-8(3)	Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize	5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	Sp S S			
SC-8(3) SC-8(4)	Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale	Sp S S			
SC-8(3)	Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale	Sp S S S Sp			
SC-8(3) SC-8(4)	Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications	3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 5-Gradient Scale	Sp S S S Sp			
SC-8(3) SC-8(4)	Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale	Sp S S Sp Sp			
SC-8(3) SC-8(4)	Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 5-Gradient Scale 5-Gradient Scale	Sp S S Sp Sp Sp Sp		x	x
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SC-8(3) SC-8(4) SC-8(5)	Transmission Confidentiali Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 5-Gradient Scale 5-Gradient Scale	Sp S S Sp Sp Sp Sp		x	x
SC-8(3) SC-8(4) SC-8(5) SC-10	Transmission Confidentiali Transmission Confidentiali Transmission Confidentiali Network Disconnect	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 5-Gradient Scale	Sp S S Sp Sp Sp Sp		x	x
SC-8(3) SC-8(4) SC-8(5)	Transmission Confidentiali Transmission Confidentiali Transmission Confidentiali	Handling Cryptographic Protection For Message Externals Conceal or Randomize Communications Protected Distribution	3-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 3-Gradient Scale 5-Gradient Scale 5-Gradient Scale 3-Gradient Scale 3-Gradient Scale 3-Gradient Scale	Sp S S S Sp S S S S S S S S S		x	x
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SC-12(2)	Cryptographic Key Establis	Summetric Kous	3-Gradient Scale	S			
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SC-12(3)	Cryptographic Key Establis	Asymmetric Keys	5-Gradient Scale	S			
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SC-12(6)	Cryptographic Key Establis	Physical Control of Keys	5-Gradient Scale	S			
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SC-13	Cryptographic Protection		3-Gradient Scale	S	х	х	х
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SC-15	Collaborative Computing [Devices and Applications	3-Gradient Scale	S	l x	х	х
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SC-15(1)	Collaborative Computing [Physical or Logical	3-Gradient Scale	S			
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SC 1E/2\	Collaborative Computing D	Disabling and Removal in	3-Gradient Scale	S			
SC-15(3)	Conaporative Computing L	Secure Work Areas	5-Gradient Scale	S			
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		Explicitly Indicate Current	3-Gradient Scale	S			
SC-15(4)	Collaborative Computing [Participants	5-Gradient Scale	Sp			
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SC-16	Transmission of Security a	nd Privacy Attributes	5-Gradient Scale	SP			
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SC-16(1)	Transmission of Security a	Integrity Verification	3-Gradient Scale	S			
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SC-16(2)	Transmission of Security a	Anti-Spoofing Mechanisms	3-Gradient Scale	S			
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SC-16(3)	Transmission of Security a	r Cryptographic Rinding	3-Gradient Scale	S			
30-10(3)	Transmission of Security a	Teryprographic Billuling	5-Gradient Scale	Sp			
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SC-17	Public Key Infrastructure C	ertificates	5-Gradient Scale	S		X	х
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SC-18	Mobile Code		5-Gradient Scale	S		Х	х
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		Identify Unacceptable Code	3-Gradient Scale	S			
SC-18(1)	Mobile Code	and Take Corrective Actions	5-Gradient Scale	Sp			
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SC-18(2)	Mobile Code			S			
		and Use	5-Gradient Scale	3			
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SC-18(3)	Mobile Code	Prevent Downloading and	3-Gradient Scale	S			
		Execution	5-Gradient Scale	S			
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SC-18(4)	Mobile Code	Prevent Automatic Execution	3-Gradient Scale	S			
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SC-18(5)	Mobile Code	Allow Execution Only in	3-Gradient Scale	S			
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SC-20	Secure Name/Address Re	Solution Service	3-Gradient Scale	S	x	х	х
	(Authoritative Source)		5-Gradient Scale	S			
	Secure Name/Address	_	3-Gradient Scale	S			
SC-20(2)	Resolution Service	Data Origin and Integrity	5-Gradient Scale	S			
	Resolution Service	1	5-Gradient Scale	3			
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SC-21	Caching Resolver)	solution service (Recursive of	3-Gradient Scale 5-Gradient Scale	S	х	Х	х
	Cacrillig Resolver)		5-Gradient Scale	3			
	Architecture and Provision	ning for	3-Gradient Scale	S			
SC-22	Name/Address Resolution	-	5-Gradient Scale	S	х	Х	х
	Name/Nauress Resolution	1 Service	3 Gradient Scale	<u> </u>			
			3-Gradient Scale	S			
SC-23	Session Authenticity		5-Gradient Scale	S		Х	Х
	1		3 Gradient Scale	· ·			
		Invalidate Session Identifiers	3-Gradient Scale	S			
SC-23(1)	Session Authenticity	at Logout	5-Gradient Scale	S			
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		Unique System-Generated	3-Gradient Scale	S			
SC-23(3)	Session Authenticity	Session Identifiers	5-Gradient Scale	S			
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		Allowed Certificate	3-Gradient Scale	S			
SC-23(5)	Session Authenticity	Authorities	5-Gradient Scale	S			
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			3-Gradient Scale	S			
SC-24	Fail in Known State		5-Gradient Scale	S			Х
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			3-Gradient Scale	S			
SC-25	Thin Nodes		5-Gradient Scale	S			
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SC-26	Decoys		5-Gradient Scale	Sp			
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SC-27	Platform-Independent Ap	plications	5-Gradient Scale	S			
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SC-28	Protection of Information	at Rest	5-Gradient Scale	SP		Х	Х
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SC-28(1)	ptection of Information at	R Cryptographic Protection	5-Gradient Scale	S		Х	Х
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SC-28(2)	tection of Information at	ROttline Storage	5-Gradient Scale	SP			
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SC-28(3)	tection of Information at	R Cryptographic Keys	5-Gradient Scale	S			
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SC-29	Heterogeneity		5-Gradient Scale	S			
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			3-Gradient Scale	S			
SC-29(1)	Heterogeneity	Virtualization Techniques	5-Gradient Scale	S			
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SC-30	Concealment and Misdire	ection	5-Gradient Scale	S			

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SC-30(2)	Concealment and Misdirec	kandomness	5-Gradient Scale	S	1 1 1 1 1
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SC-30(3)	Concealment and Misdirec	Storage Locations	5-Gradient Scale	S	1 1 1 1 1
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SC-30(4)	Concealment and Misdirec	Misleading Information		S	
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SC-30(5)	Concealment and Misdirec	Concealment of System	3-Gradient Scale	S	
		Components	5-Gradient Scale	S	
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SC-31	Covert Channel Analysis		3-Gradient Scale	S	
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SC-31(1)	Covert Channel Analysis	Test Covert Channels for	3-Gradient Scale	S	
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SC-31(2)	Covert Channel Analysis	Maximum Bandwidth	3-Gradient Scale	S	
30-31(2)	Covert Chamber Analysis	iviaxiiiiuiii DailUWIUUI	5-Gradient Scale	S	
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		Measure Bandwidth in	3-Gradient Scale	S	
SC-31(3)	Covert Channel Analysis	Operational Environments	5-Gradient Scale	S	
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SC-32	System Partitioning		5-Gradient Scale	S	
			3-Gradient Scale	3	
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SC-32(1)	System Partitioning	Separate Physical Domains	3-Gradient Scale	S	1 1 1 1 1
		for Privileged Functions	5-Gradient Scale	S	
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SC-34	Non-Modifiable Executable	e Programs	3-Gradient Scale	S	
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SC-34(1)	Non-Modifiable Executable	No Writable Storage	3-Gradient Scale	S	
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SC-34(2)	Non-Modifiable Executable	Integrity Protection and	3-Gradient Scale	S	
30 34(2)	Non Woamable Executable	Read-Only Media	5-Gradient Scale	Sp	
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CC 25	Extornal Maliaious Coda Id	ontification	3-Gradient Scale	S	
SC-35	External Malicious Code Ide	enuncation	5-Gradient Scale	S	
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SC-36	Distributed Processing and	Storage	5-Gradient Scale	S	
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			3-Gradient Scale	S	
SC-36(1)	Distributed Processing and	Polling Techniques		S	
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SC-36(2)	Distributed Processing and	Synchronization	3-Gradient Scale	S	
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SC-37	Out-of-Band Channels		3-Gradient Scale	S	
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CC 27/4\	Out of Bond Characte	Ensure Delivery and	3-Gradient Scale	S	
SC-37(1)	Out-of-Band Channels	Transmission	5-Gradient Scale	S	
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SC-39 Process Isolation SC-39 Process Isolation SC-39(1) Process Isolation Hardware Separation Separate Execution Domain Per Thread S-Gradient Scale	SC-38	Operations Security		3-Gradient Scale	S			
SC-39(1) Process Isolation Hardware Separation S-Gradient Scale S X X X X X X X X X		<u> </u>		5-Gradient Scale	Sp			
Sc-39(1) Process Isolation Hardware Separation 3-Gradient Scale S S S S S S S S S	56.20	B laslatia		3-Gradient Scale	S			
SC-39(2) Process Isolation Flaraware separation S-Gradient Scale S	SC-39	Process isolation		5-Gradient Scale	S	Х	Х	Х
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Sc-39(2) Process Isolation Separate Execution Domain 3-Gradient Scale S	SC-39(1)	Process Isolation	Hardware Separation					
SC-39(2) Process Isolation Per Thread S-Gradient Scale S			<u>'</u>	5-Gradient Scale	S			
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SC-40 Wireless Link Protection 3-Gradient Scale 5 5 5 5 5 5 5 5 5	SC-39(2)	Process Isolation						
SC-40(1) Wireless Link Protection Electromagnetic Interference S-Gradient Scale S			<u> </u>			l	<u> </u>	
SC-40(1) Wireless Link Protection Electromagnetic Interference 3-Gradient Scale 5-Gradient Scale 5 5 5 5 5 5 5 5 5	SC-40	Wireless Link Protection						
SC-40(2) Wireless Link Protection Reduce Detection Potential 3-Gradient Scale S	36 40	The cost Link Frocedon		5-Gradient Scale	S			
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SC-40(2) Wireless Link Protection Reduce Detection Potential S-Gradient Scale S	60 (2/2)			3-Gradient Scale	S			
SC-40(3) Wireless Link Protection Imitative or Manipulative Communications Deception S-Gradient Scale S-Gradient Scale S S S S S S S S S	SC-40(2)	Wireless Link Protection Reduce Detection Potential						
SC-40(3) Wireless Link Protection Communications Deception S-Gradient Scale S								
SC-40(4) Wireless Link Protection Signal Parameter 3-Gradient Scale S S S S S S S S S	SC-40(3)	IWITELESS Link Protection						
SC-40(4) Wireless Link Protection Identification 5-Gradient Scale 5 SC-41 Port and I/O Device Access 3-Gradient Scale 5-Gradient Scale 5 SC-42 Sensor Capability and Data 3-Gradient Scale 5-Gradient Scale 5-Gr	30 10(3)	The class Ellik Frotection	Communications Deception	5-Gradient Scale	S			
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SC-42 Port and I/O Device Access 3-Gradient Scale 5 5 5 5 5 5 5 5 5	SC-40(4)	Wireless Link Protection						
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SC-42 Sensor Capability and Data 3-Gradient Scale S Sensor Capability and Data SC-42(1) Sensor Capability and Data Sen				3-Gradient Scale	S			
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SC-42(5) Sensor Capability and Data Collection Minimization 5 Gradient Scale Ps	SC-42(5)	Sensor Capability and Data	Collection Minimization					
SC-43 Usage Restrictions 3-Gradient Scale S	SC-43	Usage Restrictions						
5-Gradient Scale Sp	55.5			5-Gradient Scale	Sp			
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SC-44 Detonation Chambers 3-Gradient Scale 5-Gradient Scale S	SC-44	Detonation Chambers						
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SC 45 Sustant Time Surphyresiseties 3-Gradient Scale S	CC 45	Contain Time Construction		3-Gradient Scale	S			
SC-45 System Time Synchronization 5-Gradient Scale 5	SC-45	system Time Synchronizati	OII		S			
SC-45(1) System Time Synchronization with Synchronization with System Time Synchronization with Synchronization wi	SC-45(1)	System Time Synchronizati						
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SC-45(2)	System Time Synchronizati	Secondary Authoritative	3-Gradient Scale	S		
30-43(2)	Time Source		5-Gradient Scale	S		
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SC-46	Cross Domain Policy Enforce	cement	5-Gradient Scale	S		
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CC 47	Altamata Camaninatiana	Dath.	3-Gradient Scale	S		
SC-47	Alternate Communications	Patns	5-Gradient Scale	S		
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66.46	SC-48 Sensor Relocation		3-Gradient Scale	S		
SC-48			5-Gradient Scale	S		
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CC 40/1\	Carrage Dalacation	Dynamic Relocation of	3-Gradient Scale	S		
SC-48(1)	Sensor Relocation	Sensors or Monitoring	5-Gradient Scale	S		
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CC 40			3-Gradient Scale	S		
SC-49	Hardware-Enforced Separa	ition and Policy Enforcement	5-Gradient Scale	S		
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66.50			3-Gradient Scale	S		
SC-50	Software-Enforced Separation and Policy Enforcement		5-Gradient Scale	S		
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	l		3-Gradient Scale	S		
SC-51	Hardware-Based Protectio	n	5-Gradient Scale	S		
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	System and Informa	ation Integrity	(SI)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
SI-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x x
SI-2	Flaw Redemption		3-Gradient Scale 5-Gradient Scale	S S	x x x
SI-2(2)	Flaw Redemption	Automated Flaw Remediation Status	3-Gradient Scale 5-Gradient Scale	S S	хх
SI-2(3)	Flaw Redemption	Time to Remediate Flaws and Benchmarks for	3-Gradient Scale 5-Gradient Scale	S S	
SI-2(4)	Flaw Redemption	Automated Patch Management	3-Gradient Scale 5-Gradient Scale	S S	
SI-2(5)	Flaw Redemption	Automatic Software and Firmware Updates	3-Gradient Scale 5-Gradient Scale	S S	
SI-2(6)	Flaw Redemption	Removal of Previous Versions of Software and	3-Gradient Scale 5-Gradient Scale	S S	
SI-3	Malicious Code Protection		3-Gradient Scale 5-Gradient Scale	S S	x x x
SI-3(4)	Malicious Code Protection	Updates only by Privileged Users	3-Gradient Scale 5-Gradient Scale	S S	
SI-3(6)	Malicious Code Protection	Testing and Verification	3-Gradient Scale 5-Gradient Scale	S S	
SI-3(8)	Malicious Code Protection	Detect Unauthorized Commands	3-Gradient Scale 5-Gradient Scale	S S	
SI-3(10)	Malicious Code Protection	Malicious Code Analysis	3-Gradient Scale 5-Gradient Scale	S S	
SI-4	System Monitoring		3-Gradient Scale 5-Gradient Scale	S Sp	x x x
SI-4(1)	System Monitoring	System-Wide Intrusion Detection System	3-Gradient Scale 5-Gradient Scale	S S	
SI-4(2)	System Monitoring	Automated Tools and Mechanisms for Real-Time	3-Gradient Scale 5-Gradient Scale	S Sp	хх
SI-4(3)	System Monitoring	Automated Tool and Mechanism Integration	3-Gradient Scale 5-Gradient Scale	S S	
SI-4(4)	System Monitoring	Inbound and Outbound Communications Traffic	3-Gradient Scale 5-Gradient Scale	S Sp	хх

SI-4(5)	System Monitoring	System-Generated Alerts	3-Gradient Scale	S		, ,	v
31-4(3)	System Monitoring	System-Generated Alerts	5-Gradient Scale	Sp		Х	Х
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a/=\		Automated Response to	3-Gradient Scale	S			
SI-4(7)	System Monitoring	Suspicious Events	5-Gradient Scale	S			
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		Testing of Monitoring Tools	3-Gradient Scale	S		I	
SI-4(9)	System Monitoring	_		S			
		and Mechanisms	5-Gradient Scale	3			
	<u> </u>	harana ca	In a 11	25		1	
SI-4(10)	System Monitoring	Visibility of Encrypted	3-Gradient Scale	SP			х
` '	,	Communications	5-Gradient Scale	SP			
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SI-4(11)	System Monitoring	Analyze Communications Traffic		S			
31 1(11)	System Womtoning	Anomalies	5-Gradient Scale	S			
CL 4/43\	Contant Manitanias	Automated Organization-	3-Gradient Scale	S			
SI-4(12)	System Monitoring	Generated Alerts	5-Gradient Scale	Sp			Х
			I	<u> </u>	L		
		Analyze Traffic and Event	3-Gradient Scale	S			
SI-4(13)	System Monitoring	Patterns	5-Gradient Scale	Sp			
	<u>l</u>	ratterns	3-diadient scale	эþ			
		1	2 Cradiant Carla			1	, ,
SI-4(14)	System Monitoring	Wireless Intrusion Detection	3-Gradient Scale	S			х
` ,	, ,		5-Gradient Scale	S			
SI-4(15)	System Monitoring	Wireless to Wireline	3-Gradient Scale	S			
31 7(13)	System Monitoring	Communications	5-Gradient Scale	S			
CL 4/1C)	Contant Manitanias	Correlate Monitoring	3-Gradient Scale	S			
SI-4(16)	System Monitoring	Information	5-Gradient Scale	Sp			
	•		•				
		Integrate Situational	3-Gradient Scale	S			
SI-4(17)	System Monitoring	Awareness	5-Gradient Scale	Sp			
		Analyze Traffic and Covert	3-Gradient Scale	S			
SI-4(18)	System Monitoring	Exfiltration	5-Gradient Scale	S			
	l	Exilitration	3-diaulent scale	3			
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SI-4(19)	System Monitoring	Risk for Individuals	3-Gradient Scale	SP			
			5-Gradient Scale	SP			
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SI-4(20)	System Monitoring	Privileged User	3-Gradient Scale	SP			х
0(20)	0,010		5-Gradient Scale	SP			
CL 4/24)	System Monitoring	Probationary Periods	3-Gradient Scale	SP			
SI-4(21)	System Monitoring	Propadionary Periods	5-Gradient Scale	SP			
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a		Unauthorized Network	3-Gradient Scale	S			
SI-4(22)	System Monitoring	Services	5-Gradient Scale	S			Х
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		1	3-Gradient Scale	S			
SI-4(23)	System Monitoring	Host-Based Devices	5-Gradient Scale	Sp			
	1	1	5 Gradient State	Jp			
	T	1	2 Cradiant Carla	C		1	1
SI-4(24)	System Monitoring	Indicators of Compromise	3-Gradient Scale	S			
	1		5-Gradient Scale	Sp			
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SI-4(25)	System Monitoring	Optimize Network Traffic	3-Gradient Scale	S			
J(23)	-,	Analysis	5-Gradient Scale	S			

SI-5	Cocumity Alarta Advisarias an	d Directives	3-Gradient Scale	S			
31-3	Security Alerts, Advisories, an	d Directives	5-Gradient Scale	Sp	X	X	Х
	Ī	Automated Alerts and	3-Gradient Scale	S		\neg	Т
SI-5(1)	Security Alerts, Advisories,	Advisories	5-Gradient Scale	S			х
	1	Advisories	3-Gradient Scale	3			
	1		1				
SI-6	Security and Privacy Functi	ion Verification	3-Gradient Scale	SP			х
31 0	Security and Frivacy Farieti	ion vermeation	5-Gradient Scale	SP			^
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		Automation Support for	3-Gradient Scale	SP			
SI-6(2)	Security and Privacy Functi	Distributed Testing	5-Gradient Scale	SP			
	<u> </u>	Distributed Testing	5 Gradient Scale	31			
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SI-6(3)	Security and Privacy Functi	Report Verification Results	3-Gradient Scale	SP			
(- /	.,		5-Gradient Scale	SP			
61.7	s 6: 5: 1.		3-Gradient Scale	S			
SI-7	Software, Firmware, and Ir	nformation Integrity	5-Gradient Scale	Sp		Х	Х
ļ.	<u> </u>		5 Gradient State	36	<u> </u>		
	1	1	2 Cradiant Carls				
SI-7(1)	Software, Firmware, and Ir	Integrity Checks	3-Gradient Scale	S		х	х
. ,	,		5-Gradient Scale	S			
61 = (6)	6 6 5:	Automated Notifications of	3-Gradient Scale	S			
SI-7(2)	Software, Firmware, and Ir	Integrity Violations	5-Gradient Scale	Sp			Х
	<u> </u>	megney tronucions	5 Gradient State	96	<u> </u>		
r	T	Cantually Managed Internity	3-Gradient Scale	C		$\overline{}$	
SI-7(3)	Software, Firmware, and Ir	Centrally Managed Integrity		S			
		Tools	5-Gradient Scale	S			
CL 7/E)	Coftaus Firmaus and In	Automated Response to	3-Gradient Scale	S			
SI-7(5)	Software, Firmware, and Ir	Integrity Violations	5-Gradient Scale	Sp			Х
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			3-Gradient Scale	S			
SI-7(6)	Software, Firmware, and Ir	Cryptographic Protection		S			
			5-Gradient Scale	5		Щ_	
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SI-7(7)	Software, Firmware, and Ir	Integrity of Detection and	3-Gradient Scale	S		х	х
31 7 (7)	Software, Firmware, and ii	Response	5-Gradient Scale	S		^	^
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		Auditing Capability for	3-Gradient Scale	S			
SI-7(8)	Software, Firmware, and Ir	Significant Events	5-Gradient Scale	Sp			
	1	Significant Events	5 Gradient Scale	Эр			
	1	I	2 Considerational				
SI-7(9)	Software, Firmware, and Ir	Verify Boot Process	3-Gradient Scale	S			
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CL 7/40)	Coffo. 5'	Duatastian (Day)	3-Gradient Scale	S			
SI-7(10)	Software, Firmware, and Ir	Protection of Boot Firmware	5-Gradient Scale	S			
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		1	2 Gradient Scale	c		$\overline{}$	$\overline{}$
SI-7(12)	Software, Firmware, and Ir	Integrity Verification	3-Gradient Scale	S			
	<u> </u>		5-Gradient Scale	S			
CI 7/1E\	Software, Firmware, and Ir	Code Authoritisation	3-Gradient Scale	S			
SI-7(15)	Joitware, Filliware, and Ir	Code Admentication	5-Gradient Scale	S			Х
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	1	Time Limit on Process	3-Gradient Scale	S			T 1
SI-7(16)	Software, Firmware, and Ir	1		S			
		Execution without	5-Gradient Scale	2			
	1	1	•				
SI-7(17)	Software, Firmware, and Ir	Runtime Application Self-	3-Gradient Scale	S			
31-7(17)	Joitware, Filliwale, alla II	Protection	5-Gradient Scale	S			
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SI-8	Cnam Drataction		3-Gradient Scale	S			.,
31-8	Spam Protection		5-Gradient Scale	S		Х	Х
	1	Т	la continua conto				
SI-8(2)	Spam Protection	Automatic Updates	3-Gradient Scale	S		Х	х
			5-Gradient Scale	3		Ь	
		Continuous Learning	3-Gradient Scale	S			
SI-8(3)	Spam Protection	Capability	5-Gradient Scale	S			
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SI-10	Information Input Validation	nn .	3-Gradient Scale	S		х	х
31 10	miormation input validation		5-Gradient Scale	S		^	^
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SI-10(1)	Information Input Validation	Manual Override Capability	3-Gradient Scale 5-Gradient Scale	S			
			5-Gradient Scale	3			
			3-Gradient Scale	S			
SI-10(2)	Information Input Validation	Review and Resolve Errors	5-Gradient Scale	S			
SI-10(3)	Information Input Validation	Predictable Rehavior	3-Gradient Scale	S			
21-10(2)	miormation input validation	I I CUICLADIC DEHAVIUI	5-Gradient Scale	S			
	T				_		
SI-10(4)	Information Input Validation	Timing Interactions	3-Gradient Scale	S			
			5-Gradient Scale	S		<u> </u>	
		Restrict Inputs to Trusted	3-Gradient Scale	S			
SI-10(5)	Information Input Validation	Sources and Approved	5-Gradient Scale	S			
	1	oo an oco ana y ipprovoa	5 Gradient State			<u> </u>	
CL 10/C)	Information Innut Validatio	Injection Drovention	3-Gradient Scale	S			
SI-10(6)	Information Input Validation	injection Prevention	5-Gradient Scale	S			
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SI-11	Error Handling		3-Gradient Scale	S		х	х
			5-Gradient Scale	Sp		<u> </u>	
			3-Gradient Scale	SP			
SI-12	Information Management	and Retention	5-Gradient Scale	SP	x x	Х	Х
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CL 12/1\	Information Management	Limit Personally Identifiable	3-Gradient Scale	SP			
SI-12(1)	Information Management	Information Elements	5-Gradient Scale	SP	Х		
	1	T					
SI-12(2)	Information Management	Minimize Personally	3-Gradient Scale	SP	x		
		Identifiable Information in	5-Gradient Scale	SP		<u> </u>	
			3-Gradient Scale	SP			
SI-12(3)	Information Management	Information Disposal	5-Gradient Scale	SP	х		
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CI 12	Prodictable Esilume Province	tion	3-Gradient Scale	S			
SI-13	Predictable Failure Prevent	LIOII	5-Gradient Scale	S			
							
SI-13(1)	Predictable Failure Prevent	Transferring Component	3-Gradient Scale	S			
. , ,		Responsibilities	5-Gradient Scale	S		<u></u>	
	Ī	Manual Transfer Between	3-Gradient Scale	S		T	
SI-13(3)	Predictable Failure Prevent	Components	5-Gradient Scale	S			
	1	Components	5 Gradient Scale	3			
CL 43/4)	Drodistoble Feilure Bre	Standby Component	3-Gradient Scale	S			
SI-13(4)	Predictable Failure Prevent	Installation and Notification	5-Gradient Scale	S			
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61.40(5)		5 11 0 1 111	3-Gradient Scale	S		
SI-13(5)	Predictable Failure Prevent	Failover Capability	5-Gradient Scale	S		
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SI-14	Non-Persistence		3-Gradient Scale	S		
			5-Gradient Scale	S		
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SI-14(1)	Non-Persistence	Refresh from Trusted	3-Gradient Scale	S		
` ′		Sources	5-Gradient Scale	S		
			3-Gradient Scale	S		
SI-14(2)	Non-Persistence	Non-Persistent Information	5-Gradient Scale	S		
			3-draulent scale	3		
			3-Gradient Scale	S		
SI-14(3)	Non-Persistence	Non-Persistent Connectivity	5-Gradient Scale	S		
			5 Gradient State	<u> </u>		
			3-Gradient Scale	S		
SI-15	Information Output Filterin	ng	5-Gradient Scale	S		
			o oracione ocare			L
61.15			3-Gradient Scale	S		
SI-16	Memory Protection		5-Gradient Scale	S		х х
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			3-Gradient Scale	S		<u> </u>
SI-17	Fail-Safe Procedures		5-Gradient Scale	S		
			3-Gradient Scale	Р		
SI-18	Personally Identifiable Info	rmation Quality Operations	5-Gradient Scale	Ps	х	
				. 0		
			3-Gradient Scale	SP		
SI-18(1)	Personally Identifiable Info	Automation Support	5-Gradient Scale	SP		
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a (a)			3-Gradient Scale	Р		
SI-18(2)	Personally Identifiable Info	Data Tags	5-Gradient Scale	Ps		
CL 40/2\	D	Calleatia	3-Gradient Scale	Р		
SI-18(3)	Personally Identifiable Info	Collection	5-Gradient Scale	Ps		
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SI-18(4)	Personally Identifiable Info	Individual Boquests	3-Gradient Scale	Р	,	
31-10(4)	Personally Identifiable into	illulvidual Requests	5-Gradient Scale	Ps	X	
SI-18(5)	Personally Identifiable Info	Notice of Correction or	3-Gradient Scale	Р		
31 10(3)	i croonany lucitinable iiiio	Deletion	5-Gradient Scale	Ps		
SI-19	De-Identification		3-Gradient Scale	Р	х	
21-13	De raentineation		5-Gradient Scale	Ps	_ ^	
SI-19(1)	De-Identification	Collection	3-Gradient Scale	Р		
3. 13(1)	20 Adentinoation		5-Gradient Scale	Ps		
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SI-19(2)	De-Identification	Archiving	3-Gradient Scale	SP		
5. 25(2)		0	5-Gradient Scale	SP		
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SI-19(3)	De-Identification	Release	3-Gradient Scale	Р		
(0)			5-Gradient Scale	Ps		
	T	<u></u>	T			<u> </u>
SI-19(4)	De-Identification	Removal, Masking,	3-Gradient Scale	SP		
- ,		Encryption, Hashing, or	5-Gradient Scale	SP		

	I		3-Gradient Scale	Р
I-19(5)	De-Identification	Statistical Disclosure Control	5-Gradient Scale	Ps
			5-Gradient Scale	PS
	l		2 Cuadiant Casla	1
SI-19(6)	De-Identification	Differential Privacy	3-Gradient Scale	Р
		,	5-Gradient Scale	Р
SI-19(7)	De-Identification	Validated Algorithms and	3-Gradient Scale	SP
31 13(7)	De lacitification	Software	5-Gradient Scale	SP
CL 40/0\	De Ideal'Cartin	NA - 12 1 1	3-Gradient Scale	SP
SI-19(8)	De-Identification	De-Identification Motivated Intruder		SP
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			3-Gradient Scale	S
SI-20	Tainting		5-Gradient Scale	Sp
	l		5 5.44.6	
			3-Gradient Scale	S
SI-21	Information Refresh		5-Gradient Scale	Sp
			3-Gradient Scale	эþ
	I		3-Gradient Scale	1 6
SI-22	Information Diversity			S
	,		5-Gradient Scale	Sp
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SI-23	Information Fragment	ation	3-Gradient Scale	S
5. 25	oat.on ruginent		5-Gradient Scale	Sp

	Supply Chain Risk I	Management	(SR)	Model Collaboration Index Value	High Control Baseline Moderate Control Baseline Low Control Baseline Privacy Control Baseline
SR-1	Policy and Procedures		3-Gradient Scale 5-Gradient Scale	SP SP	x x x
SR-2	Supply Chain Risk Manager	nent Plan	3-Gradient Scale 5-Gradient Scale	SP SP	x x x
SR-2(1)	Supply Chain Risk Manager	Establish SCRM Team	3-Gradient Scale 5-Gradient Scale	SP SP	x x x
SR-3	Supply Chain Controls and	Processes	3-Gradient Scale 5-Gradient Scale	S Sp	x x x
SR-3(1)	Supply Chain Controls and	Diverse Supply Base	3-Gradient Scale 5-Gradient Scale	S S	
SR-3(2)	Supply Chain Controls and	Limitation of Harm	3-Gradient Scale 5-Gradient Scale	S Sp	
SR-3(3)	Supply Chain Controls and	Sub-tier Flow Down	3-Gradient Scale 5-Gradient Scale	S Sp	
SR-4	Provenance		3-Gradient Scale 5-Gradient Scale	S S	
SR-4(1)	Provenance	Identity	3-Gradient Scale 5-Gradient Scale	S S	
SR-4(2)	Provenance	Track and Trace	3-Gradient Scale 5-Gradient Scale	S S	
SR-4(3)	Provenance	Validate as Genuine and Not Altered	3-Gradient Scale 5-Gradient Scale	S S	
SR-4(4)	Provenance	Supply Chain Integrity - Pedigree	3-Gradient Scale 5-Gradient Scale	S S	
SR-5	Acquisition Strategies, Too	ls, and Methods	3-Gradient Scale 5-Gradient Scale	S Sp	x x x
SR-5(1)	Acquisition Strategies, Too	Adequate Supply	3-Gradient Scale 5-Gradient Scale	S S	
SR-5(2)	Acquisition Strategies, Too	Assessment Prior to Selection, Acceptance,	3-Gradient Scale 5-Gradient Scale	S S	
SR-6	Supplier Assessments and	Reviews	3-Gradient Scale 5-Gradient Scale	S Sp	x x
SR-6(1)	Supplier Assessments and	Testing and Analysis	3-Gradient Scale 5-Gradient Scale	S S	

SR-7	Supply Chain Operations Security		3-Gradient Scale	S			
SK-7	Supply Chain Operations S	ecurity	5-Gradient Scale	Sp			
SR-8	Notification Agreements		3-Gradient Scale	SP	х	х	х
511 0	Trotineation 7 igreements		5-Gradient Scale	SP		^	^
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SR-9	Tamper Resistance and De	etection	3-Gradient Scale	S			х
			5-Gradient Scale	S			
	I	T	3-Gradient Scale	S	T		
SR-9(1)	Tamper Resistance and Del Multiple Stages of SDLC		5-Gradient Scale	S			х
			5-Gradient Scale	3			
	l		3-Gradient Scale	S			
SR-10	Inspection of Systems or C	components	5-Gradient Scale	S	Х	Х	Х
CD 44	Comment A. Henrich		3-Gradient Scale	S			
SR-11	Component Authenticity		5-Gradient Scale	S	Х	Х	Х
SR-11(1)	Component Authenticity	Anti-counterfeit Training	3-Gradient Scale	S	х	х	х
3N 11(1)	Component Addictions	And counterfeit maining	5-Gradient Scale	S	^	^	^
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SR-11(2)	Component Authenticity	Configuration Control for	3-Gradient Scale	S	х	х	х
	,	Component Service and	5-Gradient Scale	S		,	
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SR-11(3)	Component Authenticity	Anti-counterfeit Scanning	3-Gradient Scale	S			
			5-Gradient Scale	S			
	I		3-Gradient Scale	S	I		1
SR-12	Component Disposal		5-Gradient Scale	Sp	х	х	Х
			J-Gradient Scale	Sβ			<u> </u>