

Opportunity Announcement: RC3 Online Cybersecurity Self-Assessment License Program

Round 2 for Applications Now Open for Cooperatives:
Deadline Extended to May 15

Key Highlights

- NRECA's Rural Cooperative Cybersecurity Capabilities (RC3) Program is now accepting applications for cooperatives to receive a license to use an online version of the *RC3 Cybersecurity Self-Assessment (RC3 Self-Assessment)*.
- 100 free licenses are now available for cooperatives. Each License will allow up to 30 cooperatives to have their own individual online access to the *RC3 Self-Assessment* under a single license.
- The online version of the *RC3 Self-Assessment* offers features that are not feasible in the hardcopy version. It is more interactive, making it easier to benchmark your cooperative's cybersecurity progress and maintain version control, it enables collaboration with your cooperative's internal staff, and more.
- Licenses will be awarded to groups containing 5 to 30 cooperatives that have a designated License Lead.
- Interested cooperatives may apply at: <https://www.surveymonkey.com/r/YPGPWNT>
- *Please note: The RC3 Cybersecurity Self-Assessment can be conducted in a virtual environment through a coordinated web conference and does not require participants to assemble at the same location.*

The following Q&A provides detailed information about this opportunity for electric cooperatives.

The *RC3 Cybersecurity Self-Assessment (RC3 Self-Assessment)* is a tool that cooperatives can use to evaluate their current cybersecurity capabilities, and to identify strengths and weaknesses in their cybersecurity posture. It contains 133 questions. Results of the *RC3 Self-Assessment* can be used to prioritize mitigation actions and develop a cybersecurity action plan or roadmap for improvement.

In light of the current business challenges posed by COVID-19, we have extended the deadline for applications to May 15 to allow additional time for cooperatives to work with their boards to receive support for this opportunity.

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PROGRAM OVERVIEW

Q: What is the RC3 Online Cybersecurity Self-Assessment License Program?

A: An online version of the *RC3 Self-Assessment* is now available for cooperatives. The online version is being hosted by Axio Global, Inc., (Axio) on their Axio360 platform. NRECA's RC3 Program purchased 100 licenses to this platform from Axio to provide cooperatives with free, unlimited access to an online version of the *RC3 Self-Assessment* through March 2022.



Licenses to the platform will be awarded through the RC3 Online Cybersecurity Self-Assessment License Program (RC3 Self-Assessment License Program). After the RC3 Self-Assessment License Program ends, it is anticipated that cooperatives will have an option to purchase annual subscriptions to continue to use the platform directly from Axio, if they so choose (details still TBD). In addition, the free hardcopy version of the *RC3 Self-Assessment* will remain available to members on cooperative.com.¹

Q: What is the difference between the hardcopy and online versions of the *RC3 Self-Assessment*?

A: The online version of the *RC3 Self-Assessment* was developed by NRECA with Axio to provide enhanced features not feasible in a hardcopy version. The online prototype was debuted at the 2019 TechAdvantage® conference and received positive reviews by cooperatives who had previously used the hardcopy version. Features in the online version include:

- 1) An interactive dashboard with visualizations summarizing the *RC3 Self-Assessment* results;
- 2) Tools to improve collaboration with a cooperative's internal team members to ensure everyone is working on the same version;
- 3) Unlimited access for all team members within a cooperative;
- 4) A capability to record action items linked directly to each cybersecurity question, set target dates for actions, and create summary lists of what's due. These features will enable a cooperative to track progress on tasks assigned to individual staff;
- 5) An ability to develop a "target goal" for each *RC3 Self-Assessment* question, and a dashboard to visualize comparisons between current responses and target goals to monitor progress;
- 6) Tools to improve version control and make updates over time;
- 7) Visual tracking of results and progress over time; and,
- 8) A printed summary report that includes a wider variety of results graphics than currently available in the hardcopy version.

¹ A hardcopy version of the *RC3 Self-Assessment* is currently available to all cooperatives at no cost on cooperative.com at: <https://www.cooperative.com/programs-services/bts/Pages/Assessing-Your-Cybersecurity-Posture.aspx>

Q: Can I purchase a license to use the online version of the *RC3 Self-Assessment* directly from Axio?

A: Currently, the only option to access the online version of the *RC3 Self-Assessment* is through the RC3 Self-Assessment License Program. Axio and NRECA are exploring options for how a co-op would be able to purchase an individual license in the future.

Q: If I don't want to participate in the RC3 Self-Assessment License Program, can I still use the *RC3 Self-Assessment*?

A: Yes. You can download the hardcopy version of the *RC3 Self-Assessment* Toolkit at no cost from cooperative.com via NRECA's [RC3 Program website page](#).

Q: Who should use the *RC3 Self-Assessment*?

A: The *RC3 Self-Assessment* was developed primarily to assist cooperatives with few or no information technology (IT) staff, but cooperatives of all sizes have used the *RC3 Self-Assessment* Toolkit. The RC3 Self-Assessment License Program awarded approximately 30 Licenses in the First Round, providing access to the online platform to more than 300 cooperatives. The target audience for the *RC3 Self-Assessment* is your cooperative's leadership team. The majority of questions in the *RC3 Self-Assessment* cannot be answered by IT staff alone. Completing the questions will require input from many staff, including those with responsibilities in human resources, finance, member services, safety, engineering/operations, and the CEO/GM.

Please note: The RC3 Cybersecurity Self-Assessment can be conducted in a virtual environment through a coordinated web conference and does not require participants to assemble at the same location.

Q: Who is Axio and what is the Axio360 Platform?

A: Axio is a privately-owned company with a mission to empower security and risk leaders and organizations to achieve and sustain cyber resilience. As a cyber resilience optimization firm, Axio helps utilities implement comprehensive cyber risk management based on an approach that harmonizes cybersecurity controls and cyber risk transfer. NRECA partnered with Axio in part because of their online platform, but also because they understand the electric sector and what is required for reliable operations.

The Axio360 platform hosts many other tools and resources, including online versions of the National Institute of Standards and Technology (NIST) Cybersecurity Framework (NIST-CSF), the U.S. Department of Energy's Cybersecurity Capability Maturity Model (C2M2), and the American Public Power Association's Cybersecurity Scorecard (which was authored by Axio's subject matter experts). For more information, see <https://axio.com/>.

THE APPLICATION PROCESS

Q: Who can apply for a license to use the online version of the *RC3 Self-Assessment*?

A: The RC3 Self-Assessment License Program is open to any group of electric cooperatives that forms a “Group License” with a single member of the Group License identified as the “License Lead.” All members of the Group License must be owner/operator electric cooperatives or a Statewide Association. All License Lead organizations must be voting members of NRECA.

Each Group License should have between 5 and 30 cooperatives (with exceptions on a case-by-case basis). There are three ways cooperatives can assemble into a Group:

- Category A: Individual distribution and G&T cooperatives can assemble themselves and designate one member of the Group, either a distribution or G&T cooperative, as the License Lead.
- Category B: A G&T cooperative can assemble its member distribution cooperatives into a Group with the G&T as the License Lead.
- Category C: A Statewide Association can assemble its distribution and G&T member cooperatives into a Group with the Statewide as the License Lead.

Q: What are the requirements for a Group License and License Lead?

A: Each of the 100 licenses purchased by the RC3 Program will support several cooperatives within a single “Group License.” All participating cooperatives must be part of a Group License. A Group License may be composed of only distribution cooperatives, a combination of distribution and G&T cooperatives, or a combination of electric cooperatives and a Statewide Association.

Every Group License must have a single organization designated as the “*License Lead*.” The License Lead can be a U.S. electric cooperative or a Statewide Association, but the License Lead must be a NRECA voting member. The License Lead organization will hold the RC3 Axio License and will act as the primary point of contact for the Group License.

While there is only one license granted to a Group, each cooperative in the Group License will have a unique user registration to access the Axio360 platform. Every cooperative in the Group License can develop its own separate *RC3 Self-Assessment*, enter data, and track progress using the Axio360 platform. Neither the License Lead nor the individual cooperatives in the Group License will be allowed to see the data entered by any of the other cooperatives in their Group License, or data from any cooperative in a different Group License.

This is a unique license offering, which enables multiple cooperatives to use the Axio360 platform under a single RC3 Axio License. It was negotiated by NRECA’s RC3 Program with Axio’s support to benefit as many of our members as possible. While the RC3 Program is only paying for 100 licenses, we hope to provide access to the online *RC3 Self-Assessment* to more than 500 co-ops using the Group License structure.

Q: What if my cooperative cannot find a group to join to apply for a Group License?

A: If your cooperative is not able to find a Group, then NRECA may be able to assist you in connecting with other interested cooperatives that are also looking to be part of a Group License. If you are interested in participating in the RC3 Self-Assessment License Program and need help finding a Group to create or join, please contact Cynthia Hsu, Cybersecurity Program Manager, at cynthia.hsu@nreca.coop.

Q: How do I apply?

A: You can apply to participate in the RC3 Self-Assessment License Program using the link below to access the online application form.

- *All participating cooperatives and Statewide organizations will need to submit a separate application.* The License Lead entity (cooperative or Statewide association) needs to be identified by each cooperative on their individual application.
- *All participating electric cooperatives will need to submit a letter from their leadership* (CEO or Board of Directors) endorsing the cooperative's participation in the RC3 Online Self-Assessment License Program. For Statewide Associations, a letter of support is recommended but not required. Letters of support should be emailed to CyberSecurityRC3@nreca.coop. A sample letter is available [on cooperative.com](#).
- *Each Group must consist of between five (5) and no more than thirty (30) cooperatives, including the License Lead entity. Exceptions to this will be made on a case-by-case basis under unique circumstances.*²

Once all online application forms are received from all members of a Group, the Group License application will be considered "Complete." No cooperatives can be added to a Group License after the Group License application is considered "Complete," and all members of the Group License must submit their individual applications **before the May 15, 2020** application deadline. Applicants will have an additional month after the application deadline to submit leadership letters of support, but all other application information from the Group License members must be submitted for the Group License application to be considered "Complete."

The RC3 Program estimates that it will take about 30 minutes to complete the online application. Some questions on the application may require input from a combination of management, legal counsel, and technical staff.

Note: We recommend that you have all of the answers for the application prepared before you begin the application process. You will not be able to save an incomplete application for completion at a later time. To help you prepare your responses before you begin the online application process, a complete list of the application questions is provided in Appendix A of this FAQ.

APPLICATION for RC3 Online Cybersecurity Self-Assessment License Program

² For exception requests, please contact Cynthia Hsu, NRECA's Cybersecurity Program Manager (Cynthia.Hsu@nreca.coop) to discuss options.

Q: When are applications due?

A: The RC3 Program will offer three rounds of application deadlines to help ensure all interested cooperatives have the opportunity to apply.

The **Second Round** of applications is now open. **Applications are due May 15, 2020.** Up to 60 licenses will be awarded on a first come first serve basis.

Applications for the **First Round** have been awarded. Approximately 30 licenses covering more than 300 cooperatives were accepted in the **First Round**.

The **Final Round** of applications will open up in late spring 2020. All remaining licenses will be awarded during the **Final Round** selection process.

IMPORTANT DATES	
Application process opens	February 24, 2020
First Round Application Deadline (~ 30 licenses were awarded)	Closed
Second Round Application Deadline (up to 60 licenses will be awarded on a first come, first serve to all completed applications)	May 15, 2020
Final Round Application Deadline (Remaining licenses awarded, may be competitive)	Late spring 2020, TBD

Note: Leadership (CEO or Board) letters of support do not need to be submitted by the application deadline for a Group License application to be considered Complete. Applicants will have up to a month after submitting their applications to provide their leadership letters. Access to the online platform will only be provided once the applicant's leadership letter is received.

Q: How long will it take to complete an RC3 Self-Assessment License Program Application?

A: The online application is estimated to take about 30 minutes to complete. Some of the questions may require a combination of management, legal counsel, and technical staff input to complete. See Appendix A for a complete list of application questions.

Note: Once you start the application form, you will not be able to save a partially completed application to return to later to finish. We recommend you have your answers to the application questions prepared before initiating the application process.

The RC3 Program recognizes that it will take more time for cooperatives to complete their leadership letters of support. These letters are not required for a Group License application to be considered

“Complete.” All applicants will have another month after the application deadline to submit leadership letters of support.

Q: How will licenses be awarded to applicants?

A: Applications for the **Second Round** will be awarded on a first come, first serve basis for the first 60 applications that are considered “Complete.”

Once a Group License application is considered “Complete,” NRECA and Axio will contact all of the Group License members to collect additional information specific to each cooperative that will be needed to register each cooperative on the Axio360 platform.

The RC3 Program will announce the opening of the **Final Round** in late spring 2020 after the Second Round closes. All remaining licenses will be awarded during the **Final Round** selection process.

All announcements for application deadlines and requirements will be made in NRECA’s *Business and Technology Update*,³ in the NRECA IT and Engineering and Operations community forums, and on cooperative.com.

USE OF DATA ENTERED INTO THE ONLINE RC3 SELF-ASSESSMENT

Q: If my cooperative uses the online version of the **RC3 Self-Assessment**, can anyone else see my cooperative’s data?

A: Not without your cooperative’s permission. The information you enter into the online *RC3 Self-Assessment* is owned by your cooperative (see Axio’s terms and conditions at: <https://axio.com/axio-license-agreement/>). Neither the License Lead organization nor the other cooperatives in your Group License will be allowed to see the data entered by your cooperative. Each member of a Group License will have a unique user registration to access their own *RC3 Self-Assessment* on the Axio360 platform.

Note: The Axio360 platform has the capability for members of a Group License to share their data with one another, but this feature is not included in the licenses paid for by the RC3 Program. If a Group is interested in activating this feature, they would need to contact Axio directly to discuss pricing options.

Q: How will my cooperative’s data be protected?

A: Appendix B provides a summary and overview of the Axio360 technology and security architecture, and gives technical details on how data in the Axio360 platform is protected in transit, during use, and at rest. For more information about Axio’s data management and security policies, please contact Axio directly at <https://axio.com/>.

³ Sign-up at: <https://www.cooperative.com/programs-services/bts/Pages/Technology-Update.aspx>

Q: Will NRECA be using any data from the RC3 Self-Assessment License Program participants?

A: NRECA has a requirement to report general information about the activities and achievements of the RC3 Program with our funding partner, the U.S. Department of Energy (DOE). The information that the RC3 Program will report to the DOE on the RC3 Self-Assessment License Program will be the total number of cooperatives accepted into the Program, the total number of cooperatives that have initiated an online *RC3 Self-Assessment*, and the total number of cooperatives that have completed an online *RC3 Self-Assessment*. NRECA will share only aggregated anonymized summary results and metrics with the DOE. NRECA will not have access to the *RC3 Self-Assessment* results from a participating cooperative, unless the cooperative grants permission. The RC3 Program will request information from participating cooperatives that are willing to voluntarily discuss general lessons learned that can be shared with other cooperatives, and this information may be included in reporting to DOE.

LICENSE RESPONSIBILITIES AND COSTS

Q: What are the responsibilities of the License Lead organization that holds the RC3 Axio license?

A: The License Lead officially holds the RC3 Axio license for all members of the Group License. However, once the application process is completed, there are no additional responsibilities for the License Lead. Each cooperative in the Group License will access the *RC3 Self-Assessment* individually, and all technical support for the Axio360 platform will be managed by Axio directly with each participating cooperative.

Q: What are the responsibilities of the individual participating cooperatives in a Group License?

A: Building and improving a cooperative's cybersecurity capabilities is an ongoing challenging. Because this is a limited opportunity from Axio, the RC3 Program expects all participants accepted into the Program to utilize the licenses effectively to improve the cybersecurity posture of their cooperatives. That is the purpose and goal of the RC3 Self-Assessment License Program.

In addition, in support of Cooperative Principle 6, *Cooperation Among Cooperatives*, we encourage participating cooperatives to share their lessons learned. The RC3 Program does not expect participating cooperatives to share data or any specific results from an *RC3 Self-Assessment*. Information sharing is voluntary and is intended to focus on lessons learned about:

- **Conducting the Self-Assessment** – to help other cooperatives use the online site more effectively, to support improvements to the *RC3 Self-Assessment*, and to improve the usability of the Axio360 online version of the *RC3 Self-Assessment*; and
- **General Cybersecurity Insights** – to allow other cooperatives to learn and improve their own cybersecurity posture.

Q: Are there any costs for my cooperative to participate in the RC3 Self-Assessment License Program?

A: No financial contributions are required for participation in the RC3 Self-Assessment License Program. In addition, no funds will be transferred to cooperatives that participate in the RC3 Self-Assessment License Program. The RC3 Program purchased 100 licenses from Axio to use the Axio360 platform and is providing a limited number of licenses to cooperatives at no cost to the cooperatives. All license costs were paid by the RC3 Program. Funding for the RC3 Program is provided to NRECA by the DOE.

CONDUCTING THE SELF-ASSESSMENT

Q: How long will it take to complete the online version of the RC3 Self-Assessment?

A: Since each utility will have different operating environments, organizational structures, and processes and technologies to support security, the time to complete an *RC3 Self-Assessment* will vary. The RC3 Team has seen three different options used to complete an *RC3 Self-Assessment*.

- 1) A do-it-yourself process handled internally within the cooperative. The RC3 Team has no data on how long it takes for a cooperative to complete the *RC3 Self-Assessment* on its own.
- 2) A facilitated process with the cooperative's full leadership team that includes a combination of cybersecurity awareness training and discussions to determine how to answer each question. This method has been used by the RC3 Team, and the *RC3 Self-Assessment* can be completed over the course of 1-1.5 days.
- 3) A one-day workshop where one or two representatives from many cooperatives come to learn how to complete the *RC3 Self-Assessment*. At the end of the workshop, staff have a partially completed *RC3 Self-Assessment* with a goal to complete it after they return to their cooperative. This method has been used by the RC3 Team, but we have no data on how long it takes a cooperative to complete the *RC3 Self-Assessment* once staff return to their cooperative.

Most of the questions in the *RC3 Self-Assessment* cannot be answered by IT staff. Participation from a wide range of job roles and responsibilities will be needed, including staff from finance, engineering, human resources, and senior management, to name a few. It will take time to complete the questions that require input from staff and possible partners/vendors. To help cooperatives complete the *RC3 Self-Assessment*, the online version provides more capabilities to capture notes, assign responsibilities, manage tasks, and track progress than the hardcopy version.

There are many approaches to using the *RC3 Self-Assessment* and the most important thing is for your cooperative to find the approach that best supports your ability to benefit from the *RC3 Self-Assessment* in advancing your cooperative's cybersecurity posture.

Q: Will any training be provided to help cooperatives use the online version of the RC3 Self-Assessment?

A: Yes. The RC3 Program will hold a series of facilitated regional workshops and webinars in 2020 with Axio's security and operations subject matter experts to assist participants in using the Axio360 platform

and the online version of the *RC3 Self-Assessment*. There are also plans to develop more extensive do-it-yourself training modules to provide online users with self-paced training options.

Axio will be providing ongoing technical support to participants if they have problems accessing the Axio360 platform or if there are operational issues using the online version of the *RC3 Self-Assessment*.

QUESTIONS?

Q: Whom should I contact if I have questions?

A: If you have any questions about the RC3 Online Cybersecurity Self-Assessment License Program, please contact:

- RC3 Team: CybersecurityRC3@nreca.coop
- Cynthia Hsu, Ph.D., Cybersecurity Program Manager: cynthia.hsu@nreca.coop
- Grayson Estes, Cybersecurity Subject Matter Expert: grayson.estes-contractor@nreca.coop

Additional Information:

- Hardcopy of the *RC3 Cybersecurity Self-Assessment Toolkit*:
<https://www.cooperative.com/programs-services/bts/Pages/Assessing-Your-Cybersecurity-Posture.aspx>
- RC3 Program: <https://www.cooperative.com/programs-services/bts/rc3/Pages/default.aspx>
- NRECA's *Business and Technology Update* newsletter, provides information on the latest resources and events available from NRECA's Business and Technology Strategies department, including those for cybersecurity. Sign-up at: <https://www.cooperative.com/programs-services/bts/Pages/Technology-Update.aspx>

NRECA's Rural Cooperative Cybersecurity Capabilities (RC3) Program is designed to develop tools and resources appropriate for small and mid-sized distribution cooperatives to improve their cybersecurity posture. The RC3 Program is funded as a collaborative partnership between NRECA and the U.S. Department of Energy.

This material is based upon work supported by the Department of Energy National Technology Laboratory under Award Number(s) DE-OE0000807.

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APPENDIX A: APPLICATION QUESTIONS

The following is a copy of the questions in the application for the *RC3 Online Cybersecurity Self-Assessment License Program*. We recommend you review these and gather the needed information before starting the application process, as you will not be able to save a partially completed application and return to it later.



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Application to Participate in NRECA's RC3 Online Cybersecurity Self-Assessment License Program

NRECA's Rural Cooperative Cybersecurity Capabilities (RC3) Program is now accepting applications to participate in the RC3 Online Cybersecurity Self-Assessment License Program (RC3 Self-Assessment License Program). The deadline for applications is April 17, 2020.

Up to 60 licenses will be awarded on a first come, first serve basis. Each license is for a multi-year software subscription that will provide participating co-ops with unlimited access to the online version of the *RC3 Self-Assessment* through March 2022. The online version of the *RC3 Self-Assessment* offers many features not feasible in the hardcopy version.

Funding for this Program is provided to NRECA by the U.S. Department of Energy. No financial contributions from cooperatives are required for participation in the RC3 Self-Assessment License Program, and no award funds will be transferred to cooperatives that participate in the Program.

For more information on the RC3 Self-Assessment License Program, please see:

- ***Advisory and Frequently Asked Questions (FAQ)*** at <https://www.cooperative.com/programs-services/bts/Pages/Assessing-Your-Cybersecurity-Posture.aspx>

*** 1. BEFORE YOU BEGIN** - You will not be able to save a partially completed application and return to this on-line system to complete your application at a later time. To help you prepare your responses before you begin the on-line application process, a complete list of the application questions is provided in the *RC3 Self-Assessment License Program FAQ* document available on the RC3 website on cooperative.com. If you have completed the questions in advance, this application is estimated to take less than 30 minutes to complete.

Are you ready to begin?

☐ Yes

☐ No



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Participation Categories

The RC3 Self-Assessment License Program will be open to any owner/operator electric cooperatives or Statewide Associations that apply as part of a Group License. Each Group License must have between 5 and 30 cooperatives. Please select one of the categories below that is most appropriate for your organization. For more information about the Categories, and definitions of a Group License and License Lead, please see the *RC3 Self-Assessment License Program FAQ* on cooperative.com.

Category A: Group of Cooperatives

Eligibility: U.S. electric generation and transmission (G&T) and/or distribution cooperatives.

This category is for distribution and/or G&T cooperatives that are applying to participate as a Group and may or may not have any direct affiliation with one another. The Group has identified one member as the License Lead. The License Lead can be either a G&T or a distribution cooperative. Each applicant in the Group must submit a separate application and identify the License Lead cooperative. The License Lead must be an NRECA voting member U.S. electric cooperative.

Category B: Group with a G&T License Lead

Eligibility: U.S. electric G&T and distribution cooperatives.

This Category is for a Group of cooperatives that are all members of the same G&T cooperative and are applying to participate as a Group with the G&T as the designated License Lead. Each applicant in the Group must submit a separate application and identify the License Lead G&T cooperative. The License Lead must be an NRECA voting member U.S. G&T cooperative.

Category C: Group with a Statewide License Lead

Eligibility: U.S. Statewide Association and electric G&T and distribution cooperatives.

This Category is for cooperatives that are all members of the same Statewide Association and are applying to participate as a Group with the Statewide Association designated as the License Lead. Each applicant in the Group must submit a separate application and identify the License Lead Statewide Association. The License Lead must be an NRECA voting member U.S. Statewide Association.

* 2. Which Applicant Category applies to you? (categories described above)

- ☐ Category A: Group of Cooperatives
- ☐ Category B: Group with a G&T License Lead
- ☐ Category C: Group with a Statewide Association License Lead



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Applicant Information

* 3. Please provide information for the primary contact person at your cooperative for this application. If you are the staff person for a Statewide organization, then please complete this information for your Statewide.

Name:	<input type="text"/>
Title:	<input type="text"/>
Cooperative:	<input type="text"/>
Rural Utilities Service (RUS) number:	<input type="text"/>
Street Address:	<input type="text"/>
City:	<input type="text"/>
State:	<input type="text"/>
Zip Code:	<input type="text"/>
Email:	<input type="text"/>
Office Phone #:	<input type="text"/>
Mobile phone #:	<input type="text"/>

4. If you are a distribution cooperative, please supply the name of your G&T or power supplier

* 5. Number of meters served by your distribution cooperative or, if you are a G&T or Statewide, total number of meters served by your member cooperatives. Please do not use any commas in your response.

* 6. Is your organization the License Lead organization for the Group License?

- ☐ Yes
- ☐ No



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

RC3 License Lead Contact Information

All cooperatives must identify their License Lead organization and a person who is the point of contact for the License Lead organization. For more information on the role of the License Lead see the *RC3 Self-Assessment License Program FAQ* on cooperative.com.

*** 7. Please provide information for the primary contact person for your License Lead organization.**

Name of the
Primary Contact Person for
Your License Lead:

Title:

Name of License Lead
Organization:

City:

State:

Zip Code:

Email:

Office or Mobile Phone #:



Board Letter of Support Requirement

As part of your application, if you are an electric cooperative you will need to submit a letter of support from your CEO/GM or Board of Directors. You will have one additional month after the application deadline to submit the letter of support. A letter of support will be required before your cooperative is registered to use the online *RC3 Self-Assessment* platform, but it is not required for your Group License application to be considered complete. For more information, see the *RC3 Self-Assessment License Program FAQs* on cooperative.com.

* 8. Do you have your CEO/GM or Board of Director's letter of support to participate in the program?

- ☐ Yes
- ☐ No, it's in progress
- ☐ My organization is a Statewide Association and is not required to submit a letter of support

9. If your CEO/GM or Board of Director's letter of support is in progress, what is the expected completion date?

10. When you complete your letter of support, please send it to CyberSecurityRC3@nreca.org. The RC3 Program will send you a confirmation email that we have received your letter of support. If you do not receive the confirmation email, please contact us at CyberSecurityRC3@nreca.org.

- ☐ I understand where to send my cooperative's letter of support



Cybersecurity Capabilities - People

* 11. How many of your employees provide **Information Technology (IT) services** either part-time or full-time to your organization?

- ☐ 0
- ☐ 1-3
- ☐ 4-10
- ☐ 11 or more

* 12. Does your organization use any third-party vendors or partners **for IT services** to supplement services provided by employees?

- ☐ Yes
- ☐ No

13. If yes, how many third-party or vendor organizations provide **IT services**?

* 14. How many of your employees provide **cybersecurity services** either part-time or full-time to your organization?

- ☐ 0
- ☐ 1-3
- ☐ 4-10
- ☐ 11 or more

* 15. Does your organization use any third-party vendors or partners **for cybersecurity services** to supplement services provided by employees?

- ☐ Yes
- ☐ No

16. If yes, how many third-party or vendor organizations provide **cybersecurity services**?



Cybersecurity Capabilities: People (continued)

* 17. What is the title of the staff member who is responsible for managing cybersecurity efforts at your organization?

* 18. Is this staff member in a senior leadership position?

☐ Yes

☐ No

* 19. How would you rank the cybersecurity training of staff at your organization?

Where:

Low = staff have minimal training in cybersecurity practices

Moderate = staff have a moderate level of cybersecurity training

Advanced = staff receive regular advanced training in cybersecurity techniques

Low

Moderate

Advanced





RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Cybersecurity Capabilities - Process

* 20. How does your organization fund cybersecurity efforts?

- ☐ We have a line item in our budget dedicated to cybersecurity
- ☐ Cybersecurity funding is included in another budget category
- ☐ Other - please specify how you fund your cybersecurity efforts.

* 21. Does your organization have any of the following emergency plans? (Select all that apply)

- ☐ No
- ☐ Incident Response Plan
- ☐ Disaster Recovery Plan
- ☐ Business Continuity Plan
- ☐ Emergency Response Plan
- ☐ Continuity of Operations Plan
- ☐ Other (please specify)

* 22. Is cybersecurity addressed in any of your emergency plans? (Select all that apply)

- ☐ Not included in any plan
- ☐ Incident Response Plan
- ☐ Disaster Recovery Plan
- ☐ Business Continuity Plan
- ☐ Emergency Response Plan
- ☐ Continuity of Operations Plan
- ☐ Other (please specify)

* 23. How would you rank the maturity of your current cybersecurity policies, procedures, and emergency plans?

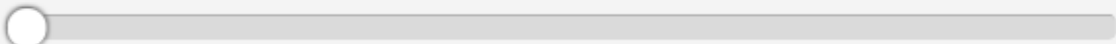
Where:

Low = policies, procedures, and emergency plans exist

Moderate = policies and procedures are occasionally reviewed, and emergency plans are exercised

Advanced = policies and procedures to prevent, detect, respond and recover from a cyber incident are regularly reviewed and updated, and emergency plans are regularly exercised and updated based on exercise results.

Low Moderate Advanced





RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Cybersecurity Capabilities - Technology

* 24. Has your organization ever conducted a cybersecurity or vulnerability assessment, or hired a third-party vendor to conduct a cybersecurity or vulnerability assessment?

☐ Yes

☐ No

* 25. Do the employees and/or Board Members at your organization have remote network access to the office?

☐ Yes

☐ No

☐ I don't know

* 26. Do any of your organization's third-party partners or vendors have remote network access to your organization's business or operational systems?

☐ Yes

☐ No

☐ I don't know

* 27. If your organization allows employees, Board Members, third-parties and/or vendors to have remote access, does your organization use a virtual private network (VPN)?

☐ Yes

☐ No

☐ I don't know

☐ Our organization does not allow remote access

* 28. If your organization allows employees, Board Members, third-parties and/or vendors to have remote access, does your organization use two-factor authentication?

☐ Yes

☐ No

☐ I don't know

☐ Our organization does not allow remote access

* 29. How would you rank the cybersecurity technology capabilities of your organization?

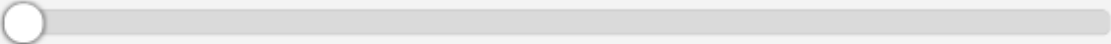
Where:

Low = some cybersecurity technologies or tools are used

Moderate = cybersecurity technologies and tools are used and integrated into some of the organization's operations

Advanced = advanced cybersecurity technologies and tools are integrated into all levels of the organization's business and operations

Low Moderate Advanced

A horizontal slider bar with a light gray track. A white circle with a gray outline is positioned at the far left end, corresponding to the 'Low' label. The track extends to the right, passing under the 'Moderate' and 'Advanced' labels, ending in a dark gray bar.



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Cooperation Among Cooperatives

* 30. Please describe how your organization would benefit from participating in the RC3 Online Cybersecurity Self-Assessment License Program.

☐ Select this button and provide your response in the space provided below.

Please limit your response to 1,000 words.

* 31. One goal for the RC3 Self-Assessment License Program is for participating organizations to share general lessons learned about their experiences using the *RC3 Self-Assessment* with the broader cooperative community. No specific data or findings are expected to be shared in this Program. Please describe how your organization would share any successes or benefits gained from participating in the RC3 Self-Assessment License Program to help other cooperatives.

☐ Select this button and provide your response in the space provided below.

Please limit your response to 1,000 words.

Message at conclusion of a completed application:



RC3 Online Cybersecurity Self-Assessment License Program Application - Second Round

Thank you for your application!

Congratulations! Your organization's application to participate in the RC3 Online Cybersecurity Self-Assessment License Program has been submitted. As soon as all of the participants in your License Group have submitted their applications, we will consider your License Group application to be 'Complete.'

What happens next?

Once the application process closes on April 17, 2020, we will send an email to all of the applicants who have completed an application. Please submit your letter of support as soon as possible. The deadline for letters of support will be May 29, 2020, one month after the application process closes. Please send your letter of support to: CyberSecurityRC3@nreca.coop.

If we have received both your application and your letter of support, the RC3 Program will send you a short form to confirm the primary point of contact person for your cooperative and we will forward that information to Axio to set up your cooperative's account. That primary contact person will then receive an invitation from Axio to register on the online platform.

Additional Cybersecurity Resources from NRECA's RC3 Program

The RC3 Program is dedicated to cultivating a culture of security and resiliency within the electric cooperative community. The *RC3 Self-Assessment* is only one of many tools and resources NRECA has developed for cooperatives. Other opportunities include attending a CyberStrike Workshop, using the *RC3 Cybersecurity Tabletop Exercise (TTX) Toolkit*, or accessing one of our many publications, such as *Cybersecurity: An RC3 Guidebook for Electric Cooperative Attorneys*.

For more information on the RC3 Program, or to download any of the RC3 Program resources, please see the RC3 website on cooperative.com (<https://www.cooperative.com/programs-services/bts/rc3/Pages/default.aspx>). If you have any questions regarding the RC3 Program or this application, please contact the RC3 Program Team at CyberSecurityRC3@nreca.coop.

This material is based upon work supported by the Department of Energy National Technology Laboratory under Award Number(s) DE-OE0000807.

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Message received if you stop the application before completion:



**RC3 Online Cybersecurity Self-Assessment License Program Application -
Second Round**

Thank you for starting the RC3 Online Cybersecurity Self-Assessment License Program application!

Thank you for your interest in NRECA's RC3 Online Self-Assessment License Program. We hope you will return to complete an application.

For a complete list of the application questions to help you prepare your responses in advance, please see the *RC3 Online Cybersecurity Self-Assessment License Program Frequently Asked Questions (FAQ)* document on the RC3 website on cooperative.com.

If you have any questions or concerns regarding the application process or the RC3 Self-Assessment License Program, or you if have any concerns about the confidentiality of your cooperative's information, please send an email to NRECA's RC3 Program Team at CybersecurityRC3@nreca.coop.

APPENDIX B:

Overview of the Axio360 Technology and Security Architecture

The following is a copy of Axio documentation providing technical details on how data in the Axio360 platform is protected in transit, during use, and at rest.



Overview of Axio360 Technology and Security Architecture

October 7, 2019



Platform Security

Axio360 is deployed in the Google Cloud Platform (GCP) and leverages a number of associated security features, including encrypted data volumes, a robust access model, and automated application security scanning. We follow the practice of least privilege and as a result, only two members of Axio's staff have direct access to the production environment. Below is a high-level reference diagram of the technology architecture. Note that all communication with individual components is via a single control point that exposes HTTPS and ssh. Ssh access is limited to authorized Axio staff during maintenance and controlled by GKE access controls. Currently, only two members of Axio staff are authorized to perform production maintenance.

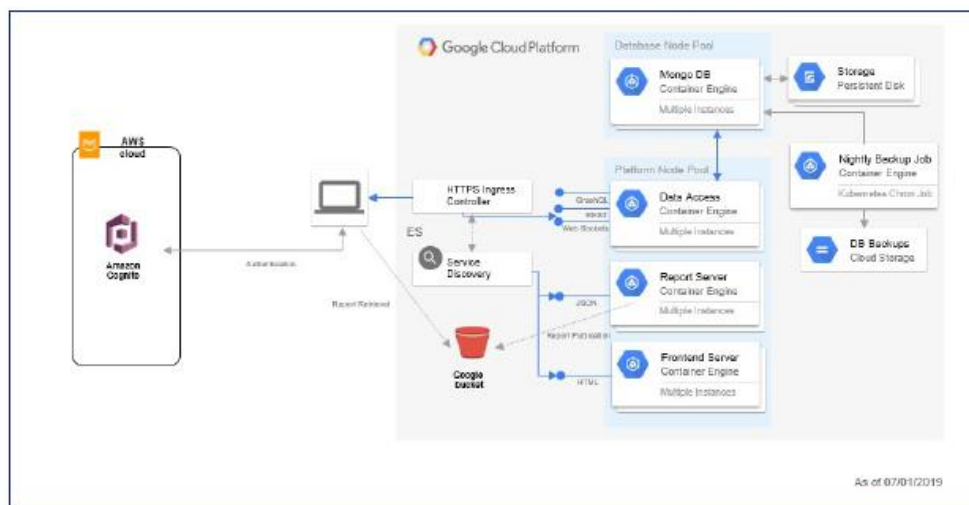


Figure 1: Axio360 Platform Diagram

Additional information on Google's intrinsic security features is available here:
<https://cloud.google.com/container-optimized-os/docs/concepts/security>

Authentication Options

Two-factor authentication is available to any end-user and can be configured on the user's profile window. The second factor is delivered via text message to the user's phone number.

Integration with enterprise authentication systems is available as an option under an enterprise license agreement. This integration allows a range of options for single-sign-on and other enterprise features.

Data Security

The database is stored on an encrypted volume. There is no direct communication between the



application client and the database. Database access is controlled by backend-end components that expose REST, GraphQL, and websocket access points. These access points are the only way the platform interacts with user data. The backend components implement ownership and sharing rules to control which users have access to which records. Direct connection to the database is via ssh tunneling and limited to authorized Axio employees for deployment and maintenance purposes. The password to the database is provided to the backend via a Kubernetes secret. The password is stored in a role-restricted password vault in the event that the secret needs to be recreated.

Data separation and anonymity are designed into the data model. All database records are identified by an opaque key. In the case of an assessment, the assessment itself is keyed by an opaque value. The owner of that assessment is identified by an opaque key (stored on the assessment), and the owner's company is also identified by an opaque key (stored on the owner). As a result, in order to know the company that created an assessment, someone must have access to the assessment record, the user's record and the user's company record – each of which have access controls on them.

Our data-science team uses a set of read-only web services that have access controls limiting use to data-science team members. These methods fetch assessments and individual responses and flag which assessments belong to corporate users as opposed to individual users but do not return company identifying or user identifying information. The web services also do not return assessment scope/name, notes, action items or evidence links because we believe these could make the individual assessments identifiable.

For an assessment, the data-science team sees a record that looks like this sample taken from our development environment. The comments to the right explain each data element.

```
{
  "_items": [
    {
      "_id": "59f9ecd6024966001a6d2724", // Opaque ID. Machine generated.
      "modelScope": "MIL 1", // The assessment was only MIL 1 practices
      "_updated": "2017-11-01T18:30:50.00Z", // Date last changed in UTC
      "_created": "2017-11-01T15:48:38.00Z", // Date created in UTC
      "hasCompany": true, // The assessment is from a corporate user
                          // (in this case, me)
      "junkEmail": false, // The owner used a likely company email
                          // v. yahoo, gmail, Hotmail, etc...
      "scope": [] // Any tags associated with assessment.
                  // Scope tags are used to identify "like"
                  // scopes without exposing sensitive info.
    }
  ]
}
```

At the individual response level, this is what the analysis team sees.

```
{
  "_items": [
    {
      "_id": "59fa12b4024966001a6d2726", // Opaque ID for the response
      "_practice_id": ".ACM.1.a", // Practice ID in the C2M2 model
    }
  ]
}
```




```
"_assessment": "59f9ecd6024966001a6d2724", // The assessment for the response
"_updated": "2017-11-01T18:30:19.00Z", // Date last changed in UTC
"_created": "2017-11-01T18:30:12.00Z", // Date created in UTC
"_etag": "7997b183142762ea64527638e81fae718c1", // Concurrency control
"level": 3, // The practice level
           // 0 = Not Implemented,
           // 3 = Fully Implemented
"_version": 1, // The number of times this
               // practice has been changed.
"notes": 0, // The number of notes added
            // to the practice.
"actionItems": 0 // The number of action items
                  // associated with the practice.
},
]
```

Benchmark data lives in an independent table that contains just the average current and target scores for the assessment overall and for each domain. Our data science team pulls the data in the schema above, conducts the benchmarking process and then updates the values in the benchmark table.

When a user deletes an assessment, the data associated with that assessment is deleted from the data store. If the benchmarking data had been updated while that assessment was stored in the Axio platform, then the assessment data would have been used to create the benchmark snapshot. However, on the next update of the benchmark, the deleted data would not be available and therefore would not be included in the revised benchmark snapshot. The same process is followed for any customer data that is in the platform.