We are applying for Cyber Essentials certification and need to confirm that the controls that are put in place by your company meet the requirements of the standard. Please answer all questions that are relevant to the services you provide to help us with our application.

Please answer all questions either as Yes or No or provide Notes as required. If you do not provide this service, please put N/A for your answer. If you answer yes to say that you can provide a list, please can you provide that this separately and return with this form. Thank you.

All supporting documentation for the scheme can be found at the link below if you need to refer to the requirements:

<https://www.ncsc.gov.uk/cyberessentials/resources>

|  |  |  |  |
| --- | --- | --- | --- |
| **CE Question** | **General Information** | | |
| **Question** | **Answer Type** | **Answer** |
| Applicant  Info | Is your organisation Cyber Essentials certified? | Yes / No |  |
| Applicant  Info | Have you read the Cyber Essentials Requirements for IT Infrastructure document? | Yes / No |  |
| Applicant  Info | In the event that we are apply for Cyber Essentials Plus in the future will you give consent for us to scan any infrastructure that is owned by you? | Yes / No |  |
| **CE**  **Question** | **Scope** | | |
| **Question** | **Answer Type** | **Answer** |
| A2.4 | Can you provide a list of all of laptops, computers and virtual desktops that you manage for us and include the details of their Operating Systems including editions and versions? | Yes / No  (If Yes please provide list) |  |
| A2.4.1 | Can you provide a list of all thin clients that you manage for us and include the details of their Operating Systems including editions and versions? | Yes / No  (If Yes please provide list) |  |
| A2.5 | Can you provide a list of servers that you manage for us including all virtual servers and their hosts (Hypervisors)? Please include their model and Operating Systems. | Yes / No  (If Yes please provide list) |  |
| A2.6 | Can you provide a list of all tablets, mobile phones and other mobile devices that you manage for us? This list must include Operating System versions and model details for each device. | Yes / No  (If Yes please provide list) |  |
| A2.7 | Please could you provide a description of any networks that you provide to us eg Office LAN at head office at Birmingham head office. | Notes |  |
| A2.7 | Can you confirm that this / these networks are segregated through network segregation using a boundary firewall or VLAN segregation from other clients that you provide services for? | Yes / No |  |
| A2.8 | Can you provide a list of make and model of any network equipment that contain a firewall including all routers that you manage for us? | Yes / No  (If Yes please provide list) |  |
| A2.9 | Can you provide a list of all cloud services that are subscribed to and managed on behalf of this company? | Yes / No  (If Yes please provide list) |  |
| **CE Question** | **Office Firewalls and Internet Gateways (These apply to host based firewalls on the OS and boundary firewalls)** | | |
| **Question** | **Answer Type** | **Answer** |
| A4.1 | Do you provide a Firewall between the internal networks and the boundary? | Yes/No |  |
| A4.1.1 | Do we have a corporate VPN set up on our corporate devices that routes all traffic back to an internet boundary which you control? | Yes/No |  |
| A4.1.1 | Are our corporate device’s software firewalls configured in the same manner as our boundary firewalls? | Yes/No |  |
| A4.1.1 | Have you configured any of our staff’s BYOD to give them access to a corporate VPN that you manage? | Yes/No |  |
| A4.2 | Have the default passwords been changed on these firewalls? | Yes/No |  |
| A4.2.1 | Please can you describe the process for changing these passwords. | Notes |  |
| A4.3 | Please confirm that when selecting all firewall passwords including the admin password used for any IaaS solution have no maximum length and meet one of the following options.  A – Minimum length of 8 characters and MFA Required  B- Minimum length of 8 characters and a password deny list blocking common passwords  C – Minimum length of 12 characters | Multi Choice  A, B, C |  |
| A4.4 | What is the process you take if you believe a password has been compromised on a firewall or IaaS service that you manage? | Notes |  |
| A4.5 | Can you confirm that all services are disabled on firewalls and IaaS to prevent access from being advertised or accessible over the internet? | Yes/No |  |
| A4.5.1 | If services are enabled, can you confirm which ports are open and provide any details of why they need to be open to support our business case. | Notes |  |
| A4.8 | Can you make changes to the firewall settings remotely over the internet? | Yes/No |  |
| A4.10 | If you can make remote changes over the internet, it this protected by MFA or IP allow listing? Please provide details how this is protected. | Notes |  |
| A4.11 | Are all software firewalls enabled on desktop computers, laptops and servers if they are available? | Yes/No |  |
| A4.12 | Please provide a list of OS that does not have software firewalls. | Notes |  |
| **CE Question** | **Secure Configuration** | | |
| **Question** | **Answer Type** | **Answer** |
| A5.1 | When setting up our laptops, desktop computers, thin clients, servers, tablets, mobile phones and cloud services did you disable or remove any software that came as standard from the vendor. If you did, how did you achieve this? | Notes |  |
| A5.2 | Can you provide us a list of accounts that access our devices? | Note |  |
| A5.3 | Have you changed all default passwords on all devices? Who is control of these passwords (You or have you handed details to us). | Notes |  |
| A5.4 | Do we have any external services either hosted on an internal network or at a cloud data centre that is made available over the internet? | Yes / No |  |
| A5.5 | Where we have external services available over the internet, please confirm that it is protected by one of the following options:  A – Minimum length of 8 characters and MFA  B- Minimum length of 8 characters with a password deny list blocking common passwords when selecting  C – Minimum length of 12 characters | Multi Choice  A, B, C |  |
| A5.6 | If you access software over the internet, do you change passwords if you believe they have been compromised? Please explain the process | Notes |  |
| A5.7 | If not using MFA to access external services, please describe how they are configured to protect against brute force attacks.  If they are set to lock after a number of unsuccessful attacks or the number of guesses are throttled to a certain number during a certain time period, please provide that information. | Notes |  |
| A5.8 | Do you have a password policy that tells your employees how to choose unguessable passwords, not to use the same password for multiple accounts and how they can record passwords? For example using a password manager. | Yes / No |  |
| A5.9 | When you provided our devices did you ensure “auto-run” or “auto-play” was disabled? | Yes / No |  |
| A5.10 | When a device requires a user to be present to unlock it is there a PIN, password or Biometrics configured to unlock the device | Yes / No |  |
| A5.11 | Which methods are used to unlock the devices and is what brute force protection is in place.  Please include the PIN / Password lengths and confirm whether or not these credentials can only be used to unlock the devices. | Notes |  |
| **CE Question** | **Security Update Management** | | |
| **Question** | **Answer Type** | **Answer** |
| A6.1 | Are all Operating Systems you provide licensed, supported by the vendor and still receiving regular security updates? | Yes / No |  |
| A6.1 | Are all devices that you supply to us still supported by the vendor and receiving regular firmware updates? | Yes / No |  |
| A6.2 / A6.3 | Are all installed applications that you provide, licensed, still supported and receiving regular security fixes? | Yes / No |  |
| A6.2.1 -A6.2.4 | Please can you list the Internet Browsers, Malware Protection Software, Email Applications and Office Applications that you have provided including current version numbers installed on all devices. | Notes |  |
| A6.4 / A6.5 | All high-risk or security updates should be applied within 14 days of release.  This includes:  Firmware on the following devices - Servers, Computers, Laptops, Tablets, Mobile Phones, Routers and Firewalls.  Software updates including all Operating Systems and applications.  Please confirm if you are using auto updates to achieve this task and where auto updates are not being used, how do you ensure this is achieved? | Notes |  |
| A6.6 | Do you remove applications that are no longer supported or no longer receive regular fixes for security updates? | Yes / No |  |
| A6.2 / A6.5 | If you don’t remove applications, can you provide a list of all installed applications that are on our devices? | Yes / No  (If Yes please provide list) |  |
| A6.7 | Where we still have unsupported software on our machines, have these been moved onto their own sub-set?  If this has happened, please describe how you have segregated this sub-set for example by using a boundary firewall or VLAN segregation. | Notes |  |
| **CE Question** | **Access Control** | | |
| **Question** | **Answer Type** | **Answer** |
| A7.1 | What is your process for account provision of all accounts that access our network? Who authorises these accounts? | Notes |  |
| A7.2 | Can you confirm that your employees do not use shared credentials to access our infrastructure? | Yes / No |  |
| A7.3 | How do you ensure you have deleted or disabled any accounts for staff that are no longer in your organisation? | Notes |  |
| A7.4 | How do you control that staff working on our network, only have the account privileges required to perform their tasks? | Notes |  |
| A7.5 | Do you have a formal process for granting administrative access to our network and can you confirm how this process is recorded? | Notes |  |
| A7.6 | Can you confirm that all of our administrators have separate standard user accounts? If they have standard user accounts associated with our network, what is the process to ensure separate accounts are used? | Notes |  |
| A7.7 | How do you ensure that your staff do not use their administrator accounts to carry out everyday tasks like email and web browsing; and only use their admin accounts to carry out admin specific tasks whilst operating on our network? | Notes |  |
| A7.8 / A7.9 | Do you formally track and review who has administrator accounts on our network? | Yes / No |  |
| A7.10 | Describe what controls are in place to protect accounts against brute force. Please confirm if you encompass any of the listed methods below: - MFA  -Throttling login attempts (include details of time / attempts)  -Locking accounts after failed attempts (include details of how many failed attempts) | Notes |  |
| A7.11 | Which Technical Controls are in place to manage the quality of our passwords.  Please include details of any password complexity in place including minimum length, whether a password deny list for unacceptable passwords has been put in place and whether MFA is configured on all devices and services. | Notes |  |
| A7.12 | Please explain how you encourage your staff how to pick passwords that are unique and strong which are associated with our accounts. | Notes |  |
| A7.14 | Is MFA enabled on all of our Cloud Services that you manage on our behalf? | Yes/No |  |
| A7.15 | Please list any cloud services which has not had MFA enabled because MFA has not been made available by the provider. | Notes |  |
| A7.15 | Please list any cloud services that do not have MFA enabled where MFA is available from the provider. | Notes |  |
| A7.16 | Has MFA been applied to all cloud service administrator accounts, either used by you or us? | Yes/No |  |
| A7.17 | Has MFA been applied to all cloud service standard user accounts, either used by you or us? | Yes/No |  |
| **CE Question** | **Malware Protection** | | |
| **Question** | **Answer Type** | **Answer** |
| A8.1 | Please list all devices that are protected by anti-malware software. | Notes |  |
| A8.2 / A8.3 | Is the anti-malware software set to update at least daily, scan files automatically on access and scan web pages you visit and warn of accessing malicious sites? | Yes / No |  |
| A8.1 | Please list all devices that are protected using application allow listing. | Notes |  |
| A8.4 / A8.5 | If using allow listing now is this enforced? For example Is there a technical solution like MDM where you set the approved list of applications that is provided by your company? | Notes |  |
| A8.1 | Please list all devices that are protected by sandboxing. | Notes |  |
| A8.6 | How do you ensure that sandboxed applications are unable to access data stores, peripherals and the local network? | Notes |  |

Date\_\_\_\_\_\_\_\_\_\_ Organisation Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Print Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_