



SUBCONTRACTOR CERTIFICATION - PART 1 FORM

NIST 800-171 DoD Assessment Requirements

Effective 30 November 2020, three new DFARS regulations further define DoD contractor obligations to protect Department of Defense (DoD) Controlled Unclassified Information (CUI):

- DFARS 252.204-7019, Notice of NIST SP800-171 DoD Assessment Requirements
- DFARS 252.204-7020, NIST SP800-171 Assessment Requirements
- DFARS 252.204-7021, Cybersecurity Maturity Model Certification Requirements

DFARS 252.204-7019 and DFARS 252.204-7020 require that all contractors have and maintain a current assessment score (less than three years old, using the DCMA assessment methodology) in the DoD Supplier Performance Risk System (SPRS). The regulations also require that, prior to awarding subcontracts involving CUI, prime contractors must confirm that subcontractors have a current assessment score in SPRS. In addition, the DFARS 252.204-7021 clause officially implements DoD’s adoption of the Cybersecurity Maturity Model Certification (CMMC).

Requested Actions

To avoid disruptions to future business and subcontracting actions with its subcontractors / suppliers the University of Dayton Research Institute (UDRI) requests that your organization answer the questions below and return this completed certification. Please respond considering all the information system(s) utilized in support of UDRI prime contracts.

Question 1

Please provide your company’s SPRS Score: _____

Please provide the date of the assessment in SPRS: _____

Question 2

Are all of the information system(s) compliant with the requirements of FAR 52.204-21 “Basic Safeguarding of Covered Contractor Information Systems”? Yes: No:

Question 3:

Does your company have either a basic, medium, or high assessment as it relates to the NIST SP 800-171 DoD Assessment Methodology in the DoD Supplier Performance Risk System (SPRS) specific to all the information system(s) used in performance of UDRI subcontracts? The assessment must have been completed within the last 3 years to be considered valid.



Question 4:

Are all the information system(s) compliant with the security requirements outlined in the DFARS 252.204-7012 (JAN 2023) to include:

- a) Implementation of the controls found in the NIST SP 800-171
- b) Having a valid medium assurance certificate to report any incidents or loss of CUI/CDI
- c) A documented system security plan (SSP)
- d) When applicable, a documented plan of action and milestones (POA&M)

If the answer to Question 4 is no, please describe the gaps in compliance and expected date of compliance in the field below or attached a separate justification:

Certification (signature) is required below by an authorized official verifying that your company has determined a basic assessment and submitted it in the DoD SPRS system per regulatory guidelines.

Subcontractor Company Information

Company Name:	
Street Address:	
City, State, Zip:	
Authorized Representative Name:	
Title:	
Email:	
Phone:	
Signature	

