

Help Guide for Arizona State University Security Addendum to Subrecipient Commitment Form

ASU uses this form to understand your organization's cybersecurity and research security capabilities. You do not need to be an expert to complete it.

This form is required whenever ASU needs to understand how you, as a potential subrecipient, may:

- Access, store, transmit, or analyze research data
- Use your own IT systems
- Work with foreign collaborators
- Handle controlled unclassified information (CUI)
- Work with export-controlled items

This form is typically required for federally funded projects that include cybersecurity or research compliance requirements (such as Department of Defense, NASA, DOE, or similar sponsors).

Once submitted, your responses will be stored in ASU's proposal and award management system along with your other subrecipient forms. Your responses may be reviewed by subject matter experts, who may contact you if additional information is needed.

Step 1: Certification

Pick ONE:

- Select 'Just-In-Time Compliance' if you do NOT already have formal cybersecurity programs.
- Select 'Currently Compliant' if you already have formal policies and controls.

Step 2: Acknowledgment

Check the box. No further action is needed.

Step 3: Information Security Program

Do you have anything written about how you protect data?

- YES: If you have basic rules like passwords or backups.
- NO: If nothing is written.

Step 4: CUI (Sensitive Government Data)

If you are unsure, select NO. Most small businesses do not handle CUI.

If you regularly receive federal funding (such as Department of Defense awards) or have been required to meet specific cybersecurity standards, you may be handling CUI and should confirm before answering.

Step 5: Incident Response

Do you have a plan if something goes wrong (hack, data loss)?

- YES: Even a simple plan counts.

- NO: If nothing exists.

Step 6: Export Controls

If you don't know what this is, select NO.

Step 7: Research Security

Most small businesses should select NO for "Covered Institution."

If you provide any training on data safety, you can select YES.

Step 8: Foreign Involvement

Select YES if any non-U.S. people or organizations are involved, otherwise NO.

Step 9: Foreign Influence

Check both boxes unless you know of a specific issue.

Step 10: Contacts

List real people. You can list yourself if needed.

Final Check

- You selected a certification.
- All required fields are filled.
- Contacts are listed