

Australian Energy Sector Cyber Security Framework (AESCSCF)

2023 AESCSF Assessment –

Version 2023



Important Notice

Purpose

This document is made available by The Australian Energy Market Operator (AEMO) to provide information about the 2023 Australian Energy Sector Cyber Security Framework (AESCSF) Program.

This document accompanies other general guidance materials made available to Australian energy organisations in the electricity, gas, and liquid fuels sub-sectors.

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Conventions used in this document

For clarity when reading this document, key terms are indicated with a capital letter. Key terms are defined centrally in the AESCSF Glossary which is available separately on the AEMO website. Each key term has a specific definition that the reader should consider.

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1. Introduction

Welcome to the 2023 Australian Energy Sector Cyber Security Framework (AESCSF) Assessment User Guide. This document provides detailed instructions on how to complete the Assessment and provides contact details for support and troubleshooting.

This guide will help you get started using the Portal (also known as Forsta and ConfirmIT) to complete your AESCSF Assessment. Please contact the relevant AEMO representative with any questions or concerns.

Important:

- Your account will be linked to the email address you register with.
- To access the Assessment at any time, please use the link in your welcome email.
- Once you have selected an Assessment, you cannot go back. If support is required, please contact the Portal Support Team using aescsf@aemo.com.au.
- The Portal is supported on all major web browsers.

1.1. Background

The Australian Energy Market Operator (AEMO) and the Department of Climate Change, Energy, Environment and Water (DCCEEW) are required to submit a report to Energy Ministers regarding the cyber security of the energy industry, following Recommendation 2.10 of the Finkel Review. To facilitate compilation of the Cyber Security Preparedness of Australia's Energy Sector Annual Report, AEMO has invited each energy organisation to complete an Assessment using the Framework.

AEMO has engaged KPMG to administer the Assessments using its ConfirmIT platform. ConfirmIT is a survey design, distribution, and reporting platform used by KPMG to conduct quantitative research which has been customised for AESCSF Assessments – this is referred to as the Portal.

The nominated cyber security contact for each organisation will be provided with access to the Portal to complete their organisation's 2023 AESCSF Assessment.

Please Note: The first time you log in to the Portal, the Portal Terms and Conditions will be displayed. To request a copy of these Terms and Conditions, please contact the Portal Support Team using aescsf@aemo.com.au.

2. Portal User Journey

The diagrams in this section are designed to provide a high-level overview of the flow in the Assessment process. Symbols used in the diagrams are summarised below.

2.1. Registration

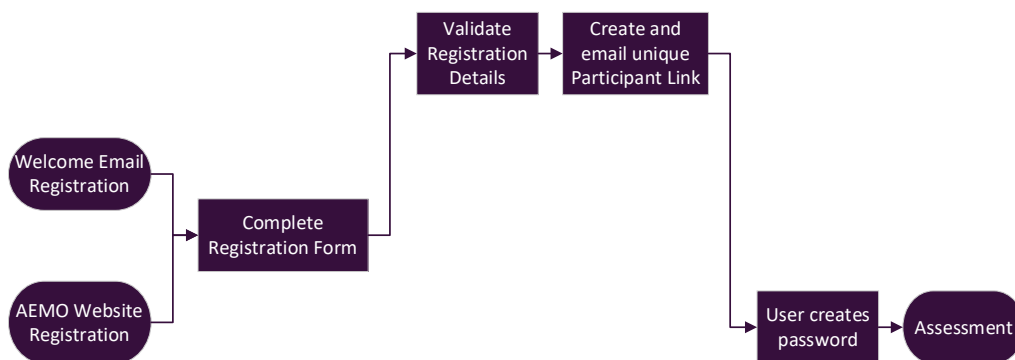


Figure A. User Registration Process Flow

2.2. Assessment Process

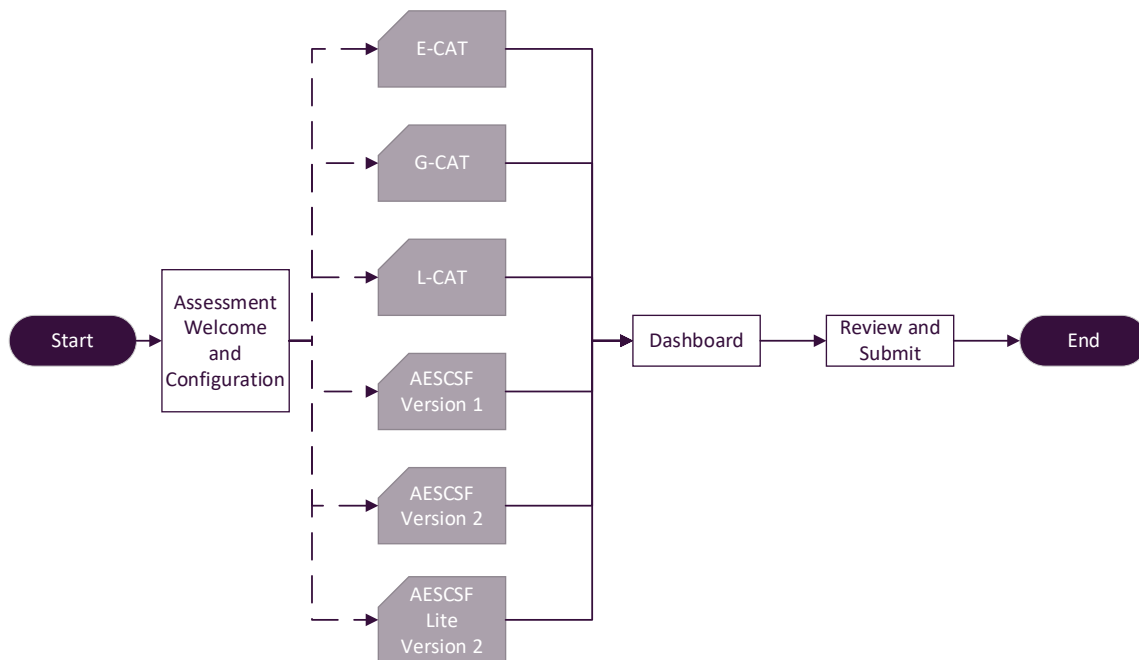


Figure B. Criticality Assessment Tool and Assessment Process Flow

Figure B (above) shows the Assessment process, which has changed from prior years. For more information on these changes, please refer to [Section 4](#).

3. Getting Started

3.1. Receiving a Link to the Platform

Once you have registered for the 2023 AESCSF Assessment, you will receive a link to access the Portal via your nominated email address. The link will prompt you to **'Start Review'** which will activate your account (as represented below in Figure C).

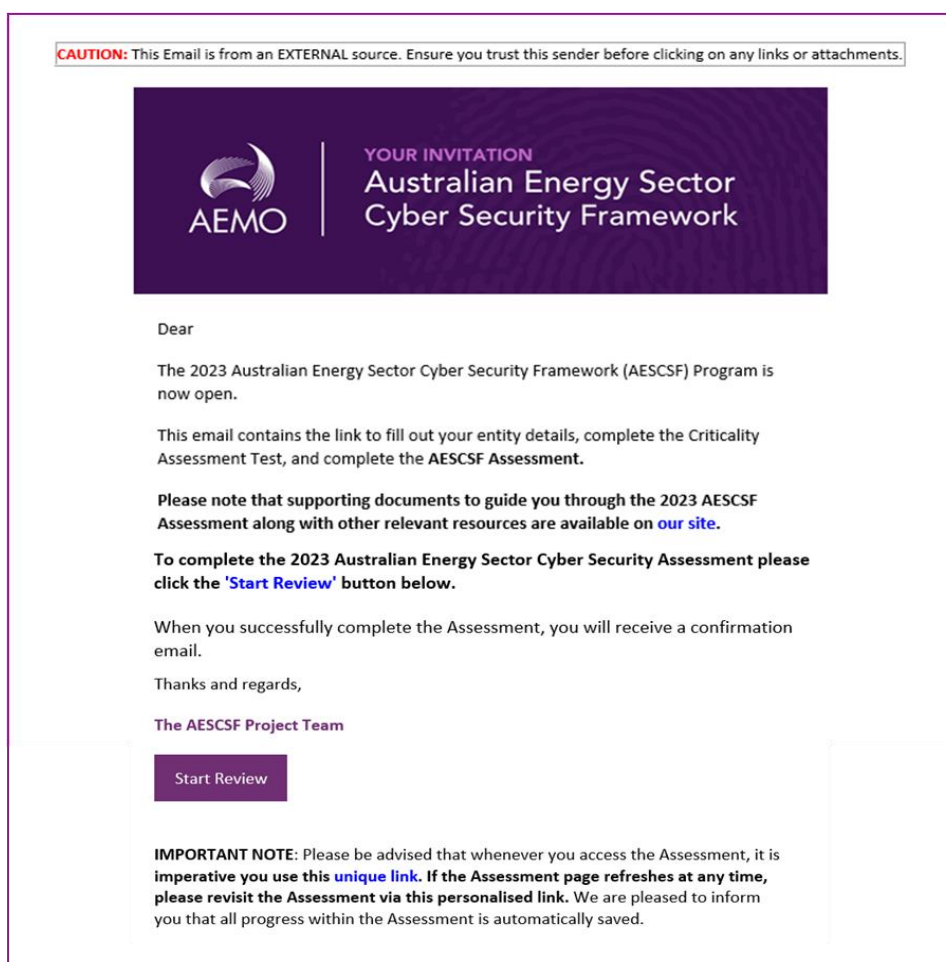
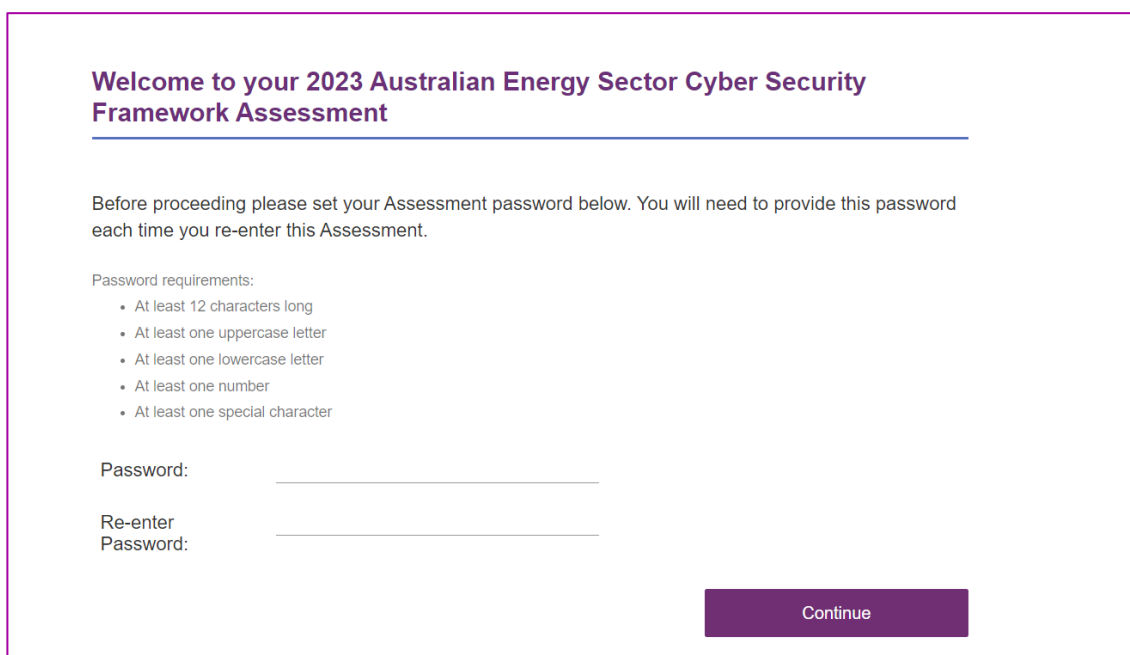


Figure C. AESCSF Participant Invitation Email

Please note: When you access the Assessment, it is imperative you use the link in your welcome email. If the Assessment page refreshes at any time, please revisit the Assessment via this personalised link.

3.2. Setting up a Password

Once you have activated your account, you will be asked to set a password (Figure D). This password will allow you to log back into the Assessment with the same link. Password requirements are enforced. Once you have entered your selected password, click '**Continue**'.



The screenshot shows a web page titled "Welcome to your 2023 Australian Energy Sector Cyber Security Framework Assessment". Below the title, a message states: "Before proceeding please set your Assessment password below. You will need to provide this password each time you re-enter this Assessment." Underneath, the "Password requirements:" are listed as a bulleted list: "At least 12 characters long", "At least one uppercase letter", "At least one lowercase letter", "At least one number", and "At least one special character". Below the list, there are two input fields: "Password:" and "Re-enter Password:". A purple "Continue" button is located at the bottom right of the form area.

Figure D. Password Setup Page

Please note: Your link to the Assessment is a unique URL that was sent to your nominated email address. If the URL page is refreshed, an error message will appear, and the unique identifier will be lost. If this occurs, you must re-login to the Assessment with this personalised link.

3.3. Logging In

Every time you wish to regain access to the Portal, please use the link in your initial Welcome Email. Click '**Start Review**', and you will be directed to the browser where you can enter your password to return to your in-progress Assessments (see 3.3–3.5).

3.3.1. System Timeout

The Assessment Portal times out after 30 minutes of inactivity. If your Assessment logs you out automatically due to inactivity, it will redirect you to the page where you need to enter your password again. Upon entering your password, you will be prompted to input a verification code. Once this code is provided, you will regain access to the Portal.

3.4. Verification Code

A verification code (Figure E) will be sent to your email address, which you will need to enter the Assessment. The code is single-use and expires after 4 hours.

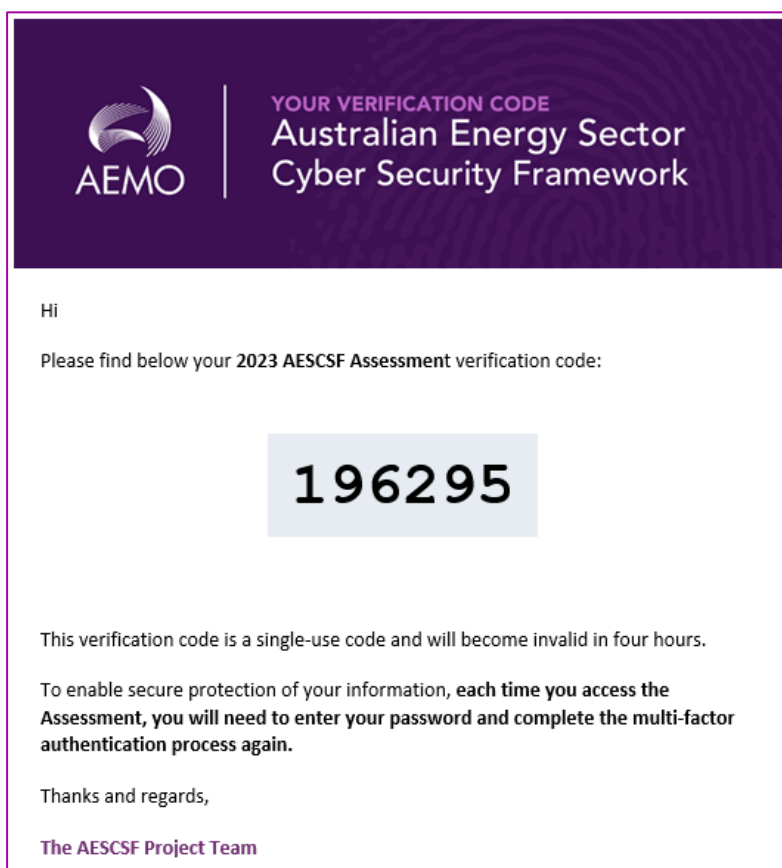


Figure E. Verification Code Email

Please note: This email is sent from 'noreply@confirmit.com.au'.

3.5. Using your Verification Code

Once you have received the verification email with your single-use code, please enter it into the Assessment. Once you have entered your verification code, please select '**Continue**' to access the Assessment (Figure F).

Welcome to your 2023 Australian Energy Sector Cyber Security Framework Assessment

Please enter the verification code that was just emailed to you:

Continue

Figure F. The input verification code screen

Please note: Remember to use the unique link from your Welcome Email whenever you access your Assessment. If you refresh the Assessment page, or attempt to bookmark the link, you will receive an error message. If this occurs, you must re-login to the Assessment with the link in your Welcome Email.

3.6. Password Reset

If you forget your password, please click '**Forgot password?**' (Figure G).

Welcome to your 2023 Australian Energy Sector Cyber Security Framework Assessment

Before proceeding please enter your Assessment password:

[Forgot password?](#)

Continue

Figure G. The 'Forgot Password' link

Once you click this link, it will take you a page prompting you to enter your email address (Figure H).

Please enter your email address:

Figure H. Prompt to enter email address displayed after the 'Forgot Password' link is clicked

Once you have submitted your email address, a confirmation screen will be displayed (Figure II), and you will receive an email with a link to re-set your password (Figure JJ).

Thank you - you should receive an email shortly if you have entered the correct email address.

[Legal](#) [Privacy](#)

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Figure I. Confirmation that a password reset link has been sent



Australian Energy Sector Cyber Security Framework

Please click on the below link to reset your password:

[Reset Password](#)

Thanks and regards,

The AESCSF Project Team

Figure J. Password reset email provided to registered email address

Clicking on the link will take you back to the landing page for the Assessment, where you can create a new password (Figure K).

Welcome to your 2023 Australian Energy Sector Cyber Security Framework Assessment

Before proceeding please set your Assessment password below. You will need to provide this password each time you re-enter this Assessment.

Password requirements:

- At least 12 characters long
- At least one uppercase letter
- At least one lowercase letter
- At least one number
- At least one special character

Password:

Re-enter password:

Continue

Figure K. Password reset form

After resetting your password, you will be prompted to re-enter the new password and proceed with the customary steps, including entering a verification code to access the Assessment again.

4. The Online Portal

4.1. Welcome Page

After setting up your account, you will be taken to the 2023 AESCSF Assessment Welcome Page (Figure L). This page will introduce the online Assessment and the Framework. There are three sections on the Welcome Page: Criticality Assessment Tool (CAT) selection, Assessment selection, and Terms and Conditions Acceptance.

2023 Australia Energy Sector Cyber Security Framework 2023 Assessment Program

Welcome to the 2023 AESCSF Program

Protecting the cyber security of Australia's energy sector remains of critical importance and a role we should all seek to adopt and champion, to address increased intensity, complexity and scrutiny around cyber security and data protection.

AESCSF Background

The AESCSF Program is a tailored cyber security framework and annual voluntary Assessment Program that has been developed as a pre-emptive measure to manage cyber security risk and reduce reputational risk and the potential disruption of energy services in Australia. Version 1 (v1) is a recognised compliance framework under the SoCI Act (2018). Version 2 (v2) is a more comprehensive version of the AESCSF and is recognised as an 'equivalent framework' in relation to the SoCI Act (2018).

If you would like additional information on the 2023 AESCSF Program, **the following resources are available on the [AEMO website](#).**

2023 Participant Benefits

- Participants can **use the Assessment results to inform actions, priorities, and investments**, to deliver a consistent risk-based approach, embedding cyber security responsibilities in the first line of defence to build organisational operational resilience.
- Participants will be able to **benchmark their organisation against energy sector peers**.
- The 2023 aggregated and anonymised **AESCSF Assessment data provides data-driven insights** that are used for the **benchmarking tool** (available for participants) and **informs content for the Cyber Security Preparedness of the Australia's Energy Sector Annual Report**. In turn **this information is used to create energy sector policies** to improve cyber security and operational resilience.
- Participants can use the Program to assess their cyber maturity to support their Risk Management Plan (RMP) regulatory obligations under the SoCI Act.

The 2023 AESCSF Assessment closes on Friday 10 November 2023; please ensure you allow your organisation enough time to complete this Assessment prior to the closing date.

This AESCSF has two key components, including:

- A criticality Assessment
- A cyber security Assessment

Participants are asked to complete both the Criticality Assessment Test (if one applies), and the Assessment. The Portal is structured as follows:

Figure L. Welcome Page

4.1.1. Selecting your Criticality Assessment Tool

In section one, you may select any relevant CATs for your organisation. CATs are used to determine the criticality of each participant relative to their peers. There is a CAT for each of the electricity (E-CAT), gas (G-CAT), and liquid fuels (L-CAT) sub-sectors.

Section 1 – Complete Criticality Assessment

The criticality Assessment is conducted through the Criticality Assessment Tool (CAT). The purpose of the Assessment is to determine the criticality of each participant relative to their peers.

The CAT has three versions, one each for the **electricity**, **gas**, and **liquid fuels** sub-sectors respectively.

The Electricity CAT (E-CAT) is tailored to assess:

- Generation (E-GEN);
- Transmission (E-TNSP);
- Independent Interconnectors (E-IC);
- Distribution (E-DNSP);
- Retail (E-RET), and;
- Market Operations (E-OPS).

The Gas CAT (G-CAT) is tailored to assess:

- Production (G-PROD);
- Transmission (G-TNSP);
- Bulk Storage (G-STOR);
- Distribution (G-DNSP);
- Retail (G-RET), and;
- Market Operations (G-OPS).

Liquid Fuels CAT (L-CAT) is tailored to assess:

- Extraction and Production (L-EXTR);
- Transport and Import (L-TRAN);
- Storage (L-STOR);
- Refinement (L-RFIN);
- Wholesale and Retail (L-WHLS).

Note: Organisations are welcomed to complete more than one CAT. If these sub-sectors do not apply to your organisation, please select **“Not applicable”**.

Please select each Criticality Assessment that applies to your organisation:

- ☐ Electricity Criticality Assessment Tool (E-CAT)

☐ Gas Criticality Assessment Tool (G-CAT)

☐ Liquid Fuels Criticality Assessment Tool (L-CAT)

☐ Not applicable

Figure M. CAT selection in section 1 of the Welcome Page

Please select all relevant CATs for your organisation. If your organisation is not within any of the sub-sector roles listed, you may choose to not complete a CAT by selecting “Not applicable” (Figure M).

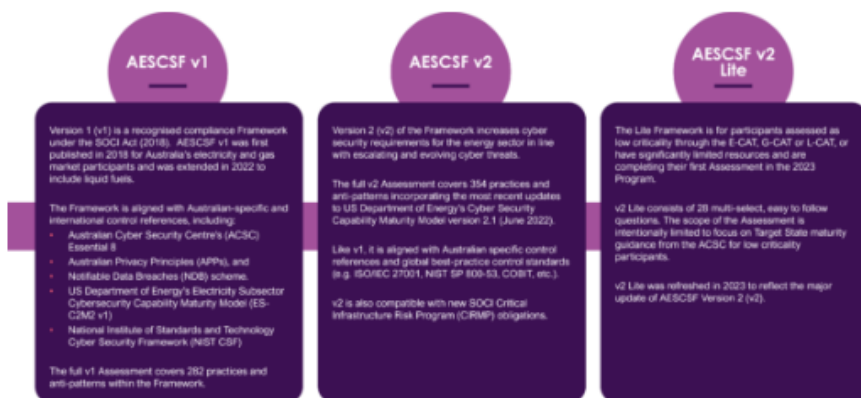
4.1.2. Selecting your 2023 AESCSF Assessment

In section two, you may select which version of the AESCSF Assessment you wish to complete. You may choose from Version 1 (v1), Version 2 (v2), and Version 2 Lite (v2 Lite) (Figure N). More information about the differences between these Frameworks is outlined on the [AEMO website](#) to help you select the most suitable Assessment for your organisation.

Please note: For members of the Trusted Information Sharing Network (TISN), the Offline Toolkit can be completed in Microsoft Excel. For more information on the Offline Toolkit, please refer to [Section 4.3](#).

Section 2 – Assessment

The cyber security capability and maturity Assessment have been designed to be relevant to all participants, regardless of their market sub-sector. The Assessment has been adapted into three Assessment options:



The scope of the Lite Assessment is intentionally limited to focus on target state maturity guidance from the ACSC for Low critically electricity participants.

Unless otherwise agreed with the AESCSF Project Team (aescsf@aemo.com.au), a Lite Assessment should only be completed by participants who:

- are assessed as Low critically through the E-CAT, G-CAT or L-CAT, or;
- have significantly limited resources and are completing their first Assessment in the 2023 Program.

Participants with an overall criticality of medium or high (as per the E-CAT, G-CAT or L-CAT) should complete a full Assessment which facilitates comparison of maturity guidance from the ACSC for participants at all levels of criticality.

Please select the version of the Assessment you wish to complete:

- ☐ Assessment Version 1 (v1)
- ☐ Assessment Version 2 (v2)
- ☐ Assessment Version 2 Lite

***Note:** Organisations are welcome to complete more than one 2023 AESCSF Assessment. For example, if your organisation has OT assets, you may choose to enter separate Assessments for OT and IT. If you choose to complete more than one Version of the Assessment (i.e., a combination of Version 1 Full, Version 2 Full, and Version 2 Lite), only one Assessment will be used for benchmarking purposes. At the end of the Assessment, you will have the option to select the Assessments your organisation wishes to use for benchmarking purposes.

Figure N. AESCSF Version selection in section 2 of the Welcome Page

4.1.3. Accepting the Terms and Conditions

Towards the bottom of the Welcome Page, you'll find the Terms and Conditions of the Australian Energy Sector Cyber Security Framework (AESCFS) Assessment Portal. It is essential to review and accept these terms to proceed with the Assessment. Failure to accept the Terms and Conditions will prevent you from advancing in the Assessment. Should you require a copy of the Terms and Conditions, kindly reach out to aescsf@aemo.com.au during AEDT working hours. (Please see Figure O).

Terms & Conditions

Australian Energy Sector Cyber Security Framework (AESCFS)
Assessment Portal Terms & Conditions

The following terms govern your use of the Service.

1. Background and definitions used in these terms

In these terms:

AEMO is the Australian Energy Market Operator Ltd ABN 94 072 010 327 and has engaged KPMG to assist in providing the Service to you and asked KPMG to give you access to this Site.

AESCFS means the Australian Energy Sector Cyber Security Framework.

☐ I Accept - I agree to the above Terms & Conditions

Figure O. Terms and Conditions

The 2023 Assessment

Upon choosing your 2023 AESCSF Assessment, you will notice that there are more versions available to complete compared to prior years. Each Assessment version is slightly different, as explained below.

If you have any questions while completing the Assessment, please refer to the resources page on the [AEMO website](https://aemo.com.au) or contact the AESCSF Project Team at aescsf@aemo.com.au.

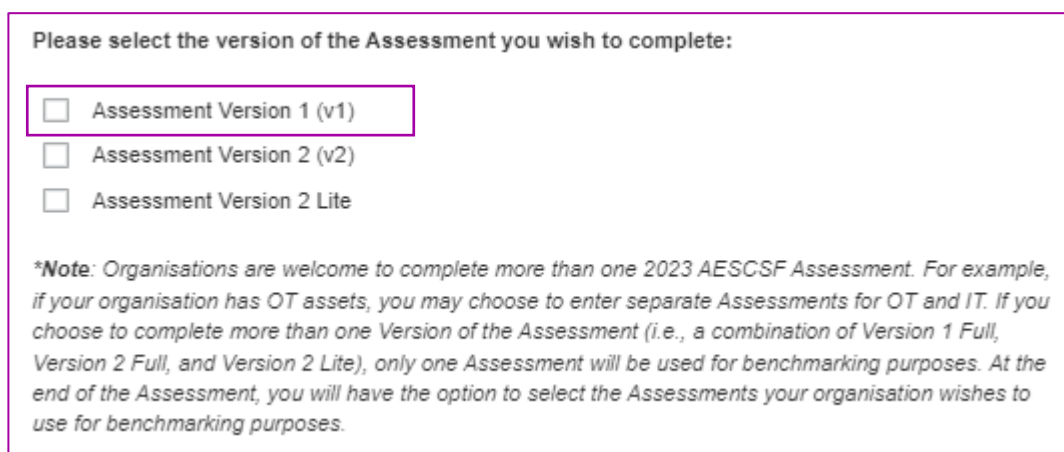
4.1.4. Version 1 (Full)

Version 1 of the Framework (v1) was first published in 2018 for electricity sub-sector participants. It is based on the US Department of Energy's Electricity Subsector Cybersecurity Capability Maturity Model (ES-C2M2) Version 1. It cross-references the National Institute of Standards and Technology Cyber

Security Framework (NIST CSF) and global best-practice control standards (e.g. ISO/IEC 27001, NIST SP 800-53, COBIT, etc.). v1 is also aligned with Australian-specific control references, like the Australian Cyber Security Centre's (ACSC) Essential 8 Strategies to Mitigate Cyber Security Incidents, the Australian Privacy Principles (APPs), and the Notifiable Data Breaches (NDB) scheme.

v1 is compatible with new Commonwealth *Security of Critical Infrastructure Act* Critical Infrastructure Risk Program (CIRMP) obligations.

To complete Assessment v1, please select the first option on the Welcome Page, as shown below (Figure P):



Please select the version of the Assessment you wish to complete:

- ☒ Assessment Version 1 (v1)
- ☐ Assessment Version 2 (v2)
- ☐ Assessment Version 2 Lite

**Note: Organisations are welcome to complete more than one 2023 AESCSF Assessment. For example, if your organisation has OT assets, you may choose to enter separate Assessments for OT and IT. If you choose to complete more than one Version of the Assessment (i.e., a combination of Version 1 Full, Version 2 Full, and Version 2 Lite), only one Assessment will be used for benchmarking purposes. At the end of the Assessment, you will have the option to select the Assessments your organisation wishes to use for benchmarking purposes.*

Figure P. Selecting Assessment v1

4.1.5. Version 2 (Full)

Version 2 (v2) is a revised version of the AESCSF, based on the US Department of Energy's Electricity Subsector Cybersecurity Capability Maturity Model (ES-C2M2) version 2.1. It cross-references the National Institute of Standards and Technology Cyber Security Framework (NIST CSF) and global best-practice control standards (e.g. ISO/IEC 27001, NIST SP 800-53, COBIT, etc.). V2 is also compatible with new *Security of Critical Infrastructure Act* (Cth) Critical Infrastructure Risk Program (CIRMP) obligations. v1 is also aligned with Australian-specific control references, like the Australian Cyber Security Centre's (ACSC) Essential 8 Strategies to Mitigate Cyber Security Incidents, the Australian Privacy Principles (APPs), and the Notifiable Data Breaches (NDB) scheme.

The update to AESCSF v2 has resulted modification, variation and consolidation of practices and anti-patterns in the Framework to enhance industry cyber security risk management and assist industry with future planning and investment decisions.

To complete v2, please select the second option on the Welcome Page, as shown below (Figure Q):

Please select the version of the Assessment you wish to complete:

☐ Assessment Version 1 (v1)

☒ Assessment Version 2 (v2)

☐ Assessment Version 2 Lite

***Note:** Organisations are welcome to complete more than one 2023 AESCSF Assessment. For example, if your organisation has OT assets, you may choose to enter separate Assessments for OT and IT. If you choose to complete more than one Version of the Assessment (i.e., a combination of Version 1 Full, Version 2 Full, and Version 2 Lite), only one Assessment will be used for benchmarking purposes. At the end of the Assessment, you will have the option to select the Assessments your organisation wishes to use for benchmarking purposes.

Figure Q. Selecting Assessment Version 2

4.1.6. Version 2 Lite

The Lite Framework is for low criticality organisations. It consists of 28 multi-select questions and was refreshed in 2023 to reflect the major update of AESCSF Version 2 (v2).

To complete the v2 Lite, please select the third option on the Welcome Page, as shown below (Figure R):

Please select the version of the Assessment you wish to complete:

☐ Assessment Version 1 (v1)

☐ Assessment Version 2 (v2)

☒ Assessment Version 2 Lite

***Note:** Organisations are welcome to complete more than one 2023 AESCSF Assessment. For example, if your organisation has OT assets, you may choose to enter separate Assessments for OT and IT. If you choose to complete more than one Version of the Assessment (i.e., a combination of Version 1 Full, Version 2 Full, and Version 2 Lite), only one Assessment will be used for benchmarking purposes. At the end of the Assessment, you will have the option to select the Assessments your organisation wishes to use for benchmarking purposes.

Figure R. Selecting Assessment version 2 LITE

4.2. The Offline Toolkit

4.2.1. What is the Offline Toolkit?

The Offline Toolkit is a spreadsheet which allows participants to perform their Assessments in Microsoft Excel. The content of the Assessment as provided in the Offline Toolkit is substantially identical to the content in the Portal.

4.2.2. Downloading the Offline Toolkit

The Offline Toolkit is available for members of the Trusted Information Sharing Network (TISN) on the TISN Teams site. For Market participants who are not already part of TISN, you are encouraged to become members. You may do so by [following this link](#).

4.2.3. Completing the Offline Toolkit

The Offline Toolkit sets out questions and answers which are directed toward determining each Market participant's level of cyber security maturity and alignment with the AESCSF. It can be filled out for import into the Portal (see **Error! Reference source not found.**).

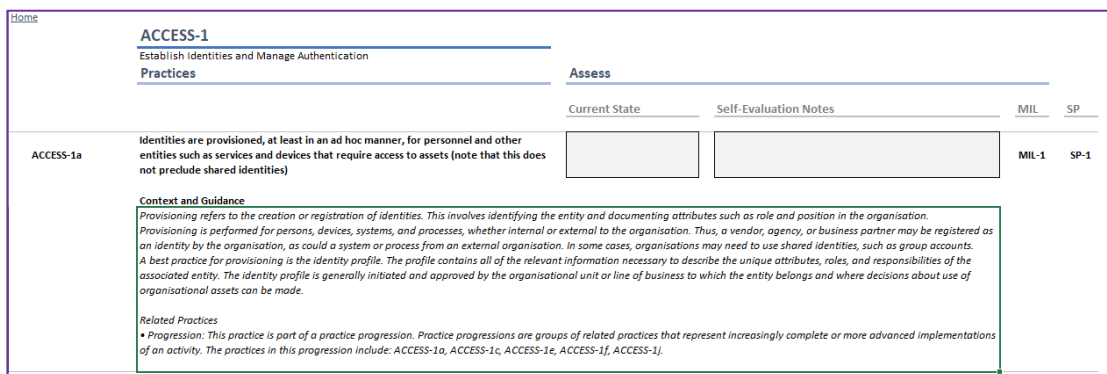
There are separate versions of the Offline Toolkit for each version of the Assessment, which are outlined below.

4.2.4. v1 and v2 Full Assessment Offline Toolkits

For the v1 and v2 Full Assessments, the Offline Toolkit sets out practices and anti-patterns along with:

- The identifier of the practice or anti-pattern.
- Any relevant context and guidance.
- The MIL and SP of the practice or anti-pattern.

As with the Online Portal, users are required to select a '**Response**' regarding their implementation level from a drop-down menu and are invited to provide '**Self-Evaluation Notes**'. Your organisation may choose to use this feature to provide additional evidence, context or reasons for your selected response (Figure S).

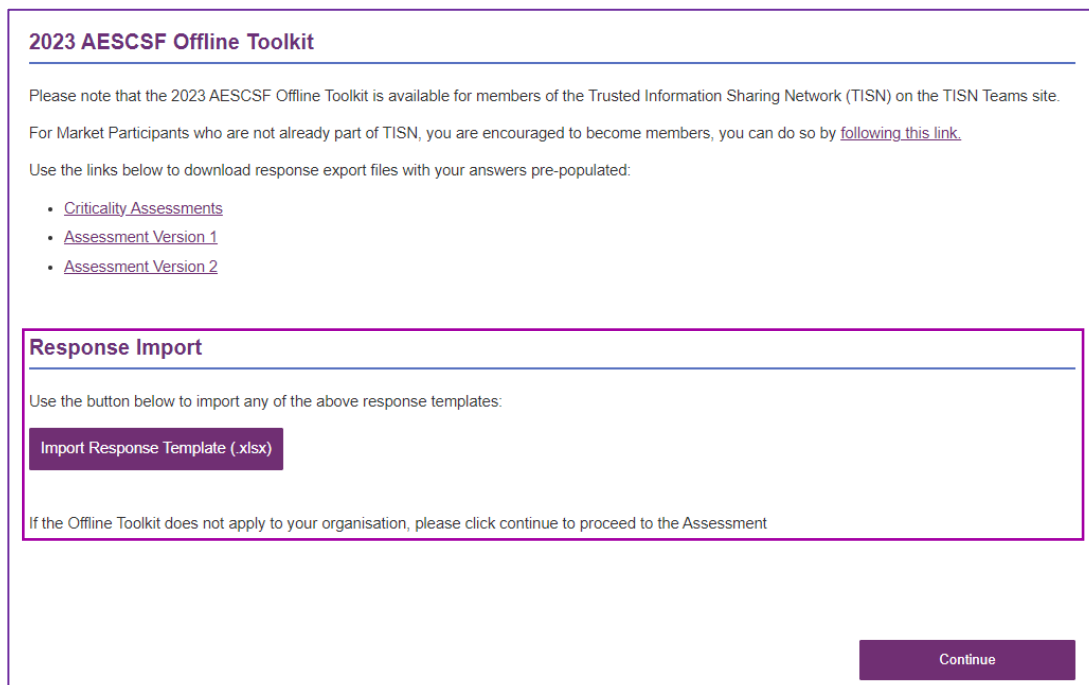


The screenshot shows the 'ACCESS-1' practice page in the v2 Offline Toolkit. The page is divided into two main sections: 'Establish Identities and Manage Authentication Practices' and 'Assess'. The 'Assess' section contains a table with columns for 'Current State', 'Self-Evaluation Notes', 'MIL', and 'SP'. The 'ACCESS-1a' practice is listed in the table. Below the table, there is a 'Context and Guidance' section with detailed text about provisioning and identity profiles. A 'Related Practices' section at the bottom mentions practice progressions.

Figure S. An example of a practice in the v2 Offline Toolkit

4.2.5. Uploading the Offline Toolkit

You may upload the Offline Toolkit to the Portal at any stage to pre-fill your responses to questions. To do so, navigate to the '**Offline Upload**' section using the navigation bar on the left-hand side of the Portal. Click the '**Import response template**' button (T), and you will be presented with a file selection dialog box to import the file.



The screenshot shows the '2023 AESCSF Offline Toolkit' page. It includes a header section with a title and a description. Below the header, there is a 'Response Import' section with a button labeled 'Import Response Template (.xlsx)'. At the bottom right, there is a 'Continue' button.

Figure T. The button for importing responses from the 2023 Offline Toolkit

Please note: the Offline Toolkit may only be used for uploading results collated offline. If you choose to change from the Online Portal to the Offline Toolkit part way through the Assessment, the Offline

Toolkit will overwrite any data you have previously filled in through the Online Portal. You can download your progress to date; for more information on this, please refer to Section 4.9.

4.3. Introduction and Assessment Context Pages

Once you have selected CATs and Assessment versions for your organisation, you will be directed to the beginning of your Assessment. If you have elected to complete any of the CATs, you will be taken to the introduction page for your first CAT. If you are not completing any CATs, you will be taken directly to the context page for your first selected Assessment. The purpose of these pages is to help you understand the CAT or Assessment you are about to complete. They provide information about the types of questions you will encounter, and how to respond to the questions. When you are prepared to begin, simply click '**Next**'.

You can revisit the Introduction and Context pages at any point before finalising your Assessment submission.

4.3.1. CAT Introduction Pages

CAT Introduction pages provide context and background on the specific Assessment(s) chosen (Figure U). These summaries include outlines on some of the different types of questions in the Assessment.

Electricity Criticality Assessment Tool (E-CAT)

The Electricity Criticality Assessment Tool (E-CAT) has been designed to assess the relative criticality of entities participating within the electricity markets operated by the Australian Energy Market Operator (AEMO) (including the National Electricity Market [NEM] and the Wholesale Electricity Market [WEM]). The primary objective of the tool is to place all electricity entities on a single scale for the purpose of reporting, benchmarking and determining the applicable target state maturity guidance from the Australian Cyber Security Centre (ACSC).

Based on consultation with AEMO and the ACSC, each electricity market subsector has been assigned a criticality band on the scale. Key criticality indicators for each electricity market subsector have been established to stratify participating entities within the subsector criticality bands. The CAT will have questions presented in drop-down boxes or check-box buttons. These questions fall into three categories:

1. Questions with binary responses, where you choose between "Yes" or "No."
2. Questions with single-select options from predefined ranges.
3. Questions with multiple choice with predefined answers.

Participating organisations are placed within applicable subsector criticality bands based on their responses to the questions. This placement determines the criticality rating (High, Medium, Low) for each applicable subsector. An organisation's overall criticality rating is the highest rating from across all applicable subsectors.

Continue

Figure U. CAT Introduction Page for the E-CAT

AESCSF v1 and v2 incorporate Assessment Context pages which explain AESCSF concepts such as Maturity Indicator Levels (MILs), Security Profiles (SP), practices and anti-patterns at a high level (Figure V).

Please note: You can revisit these pages at any time in the Assessment.

2023 AESCSF Assessment Version 1

The 2023 AESCSF Assessment has been designed to be relevant to all participants, regardless of their market sub-sector. The full Version 1 Assessment covers 282 practices and anti-patterns within the Framework.

Please find the appropriate information below to guide you through your 2023 AESCSF Assessment.

Context and Guidance

The purpose of the 'Context and Guidance' attached to each question is to drive consistency, clarity, and a shared understanding across the energy sector. The context and guidance can:

- Support facilitators who are less familiar with the practice statements.
- Establish a consistent view of the practice or anti-pattern intent.
- Support participants who are completing an Assessment for the first time.
- Provide additional information with informative references and controls.

Figure V. The introductory portion of the v1 Framework Context Page

4.3.2. V2 Lite Assessment Context Page

In addition to high-level context and guidance provided in Full Assessment Context Pages, the v2 Lite Assessment Context page provides AESCSF Glossary terminology used in the Assessment (Figure W).

2023 AESCSF Assessment Version 2 Lite

Framework Description

The AESCSF Lite Framework has been specifically designed and developed to enable Assessment against the AESCSF by lower-criticality market entities, and those with limited time and competing priorities in a simple, easy to understand format. For further information please review the 2023 Guidance material for low criticality organisations on the [AESCSF resources website](#).

The Lite Framework was refreshed in 2023 to reflect the major update in 2022 to develop AESCSF Version 2 (V2). The Lite Framework consists of 28 multi-select questions written in plain English. The questions have been simplified and adapted/tailored from AESCSF V2.

For each question, simply select all of the responses that are applicable to your organisation. If none of the responses apply, answer "None of the above".

A response to all questions is needed to complete an Assessment and obtain a maturity score. Some responses in the Lite Framework describe poor cyber security practices intentionally. Selecting multiple answers to everything without reading or considering the answers will not result in the highest level of maturity.

The ordering of sections in the Lite Framework has been structured to build on and expand key terms used, however you may complete the Lite Framework Assessment in any order.

The intended users of the Lite Framework are smaller, lower criticality organisations. The AESCSF Criticality Assessment Tool (CAT) for Electricity, Gas, and Liquid Fuels has been created to determine relative criticality for each of the energy sub-sectors. If you receive a CAT result of "Moderate" or "High" criticality you are still welcome to perform an Assessment using the Lite Assessment, however it is recommended to use the Full Assessment.

Key Assessment Terms

One of the goals of the AESCSF is to enable organisations to perform Assessments in a consistent and comparable manner across the energy sector. Both the AESCSF Full and AESCSF Lite Assessment include some key Assessment terms which should be considered when completing an Assessment against either Lite or Full AESCSF Framework. The definitions provided in Table 2 below should be used when completing an Assessment. For ease of use, these terms appear in a blue font throughout the Lite Framework.

Key Term	Definition
Document	The activity is documented to the extent that an individual unfamiliar with the activity could understand how the activity occurs or is implemented as expected, AND if the practice/activity is intended to generate documentation as an output, this documentation is available and retained for a suitable period of time.
Adequate resourcing	Adequate and sufficient resources are available to support the activity taking into consideration the size of your organisation. This includes ALL the following aspects: <ul style="list-style-type: none"> People – There are adequate personnel to perform this activity. If dedicated personnel are not assigned to this activity, the personnel performing the work have sufficient adequate bandwidth to perform it alongside their other duties. If this activity is outsourced, sufficient adequate resources are contracted to perform the work. Funding – There is adequate funding to support this activity (where applicable). This may include funding for licensing, third party products or services, and personnel/head count. Tools – There are adequate tools available, deployed and operational within your organisation to support this activity. This may include software, hardware, and/or third party products and services.

Continue

Figure W. Supplementary context information for the v2 Lite Assessment

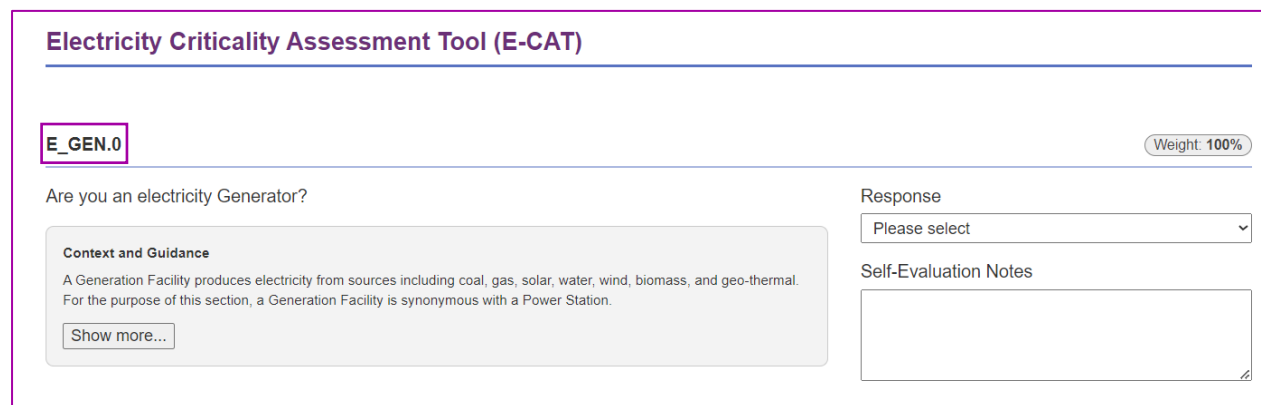
4.4. Answering Questions

4.4.1. Question Identifiers

All CATs and Assessments have a unique question identifier located above the question.

For Framework practices and anti-patterns, the unique question identifiers correspond with the Core Framework and other AESCSF resources (including the AESCSF Glossary, Quick Reference Guide and Training Pack) which can be found on the [AEMO website](#).

For further reference, please refer to Figures X, Y, and Z below.



Electricity Criticality Assessment Tool (E-CAT)

E_GEN.0 Weight: 100%

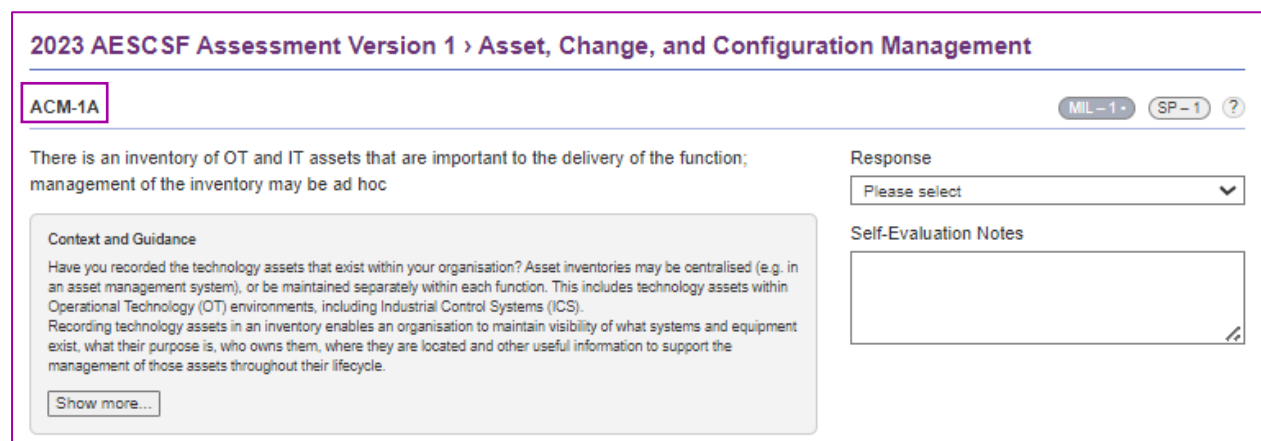
Are you an electricity Generator?

Context and Guidance
A Generation Facility produces electricity from sources including coal, gas, solar, water, wind, biomass, and geo-thermal. For the purpose of this section, a Generation Facility is synonymous with a Power Station.
[Show more...](#)

Response
Please select

Self-Evaluation Notes

Figure X. CAT Unique Question Identifier



2023 AESCSF Assessment Version 1 › Asset, Change, and Configuration Management

ACM-1A MIL-1 SP-1 ?

There is an inventory of OT and IT assets that are important to the delivery of the function; management of the inventory may be ad hoc

Context and Guidance
Have you recorded the technology assets that exist within your organisation? Asset inventories may be centralised (e.g. in an asset management system), or be maintained separately within each function. This includes technology assets within Operational Technology (OT) environments, including Industrial Control Systems (ICS). Recording technology assets in an inventory enables an organisation to maintain visibility of what systems and equipment exist, what their purpose is, who owns them, where they are located and other useful information to support the management of those assets throughout their lifecycle.
[Show more...](#)

Response
Please select

Self-Evaluation Notes

Figure Y. AESCSF v1 Unique Question Identifier

2023 AESCSF Assessment Version 2 › Asset, Change, and Configuration Management

ASSET-1A

MIL – 1 • SP – 1 ?

IT and OT assets that are important to the delivery of the function are inventoried, at least in an ad hoc manner

Context and Guidance

Assets derive their value and importance through their association with the aspects of the function's operations that they support. Identifying and inventorying high-value IT and OT assets helps enable selection and application of appropriate controls. At MIL1, the inventory may be produced in an ad hoc manner. Organisations should consider the different kinds of IT and OT assets that may be within the scope of the self-evaluation, such as:

Show more...

Response

Please select

Self-Evaluation Notes

Figure Z. AESCSF v2 Unique Question Identifier

In the AESCSF v2 Lite, each section is related to a domain in the AESCSF, and questions are numbered sequentially (Figure AA).

2023 AESCSF Assessment Version 2 Lite

Managing cyber security risks in your organisation (RISK)

Context and Guidance

Risk management is an important activity to identify and address areas of heightened cyber security risk. A cyber security risk can be identified and managed like any other type of risk, through the right blend of people, process, and technology controls.

1 Within your organisation, are cyber security risks:

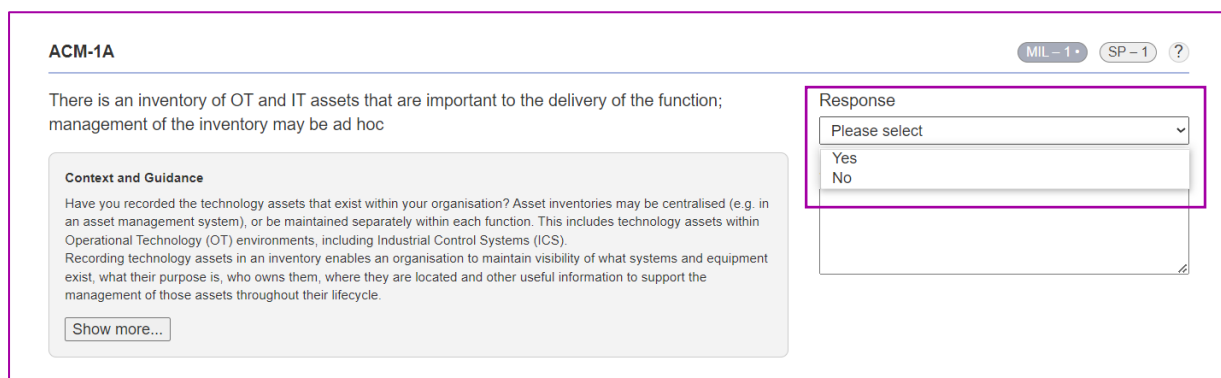
- ☐ Identified (at minimum as a once-off activity) ?
- ☐ Identified periodically (on an ongoing basis) and upon **documented** ?
- ☐ **Documented** in a risk register or similar document
- ☐ Treated ?
- ☐ Treated in a prioritised manner, based on the potential risk impact to the organisation
- ☐ Managed with **adequate resourcing**
- ☐ None of the above

Figure AA. AESCSF v2 Lite Question Identification

4.4.2. Drop Down Responses

As you progress through both the CATs, and the Assessments you have selected, you will encounter questions presented in drop-down boxes. These questions fall into two categories:

- 1 Questions with binary responses, where you choose between 'Yes' or 'No.' (Figure BB).



ACM-1A MIL - 1 SP - 1 ?

There is an inventory of OT and IT assets that are important to the delivery of the function; management of the inventory may be ad hoc

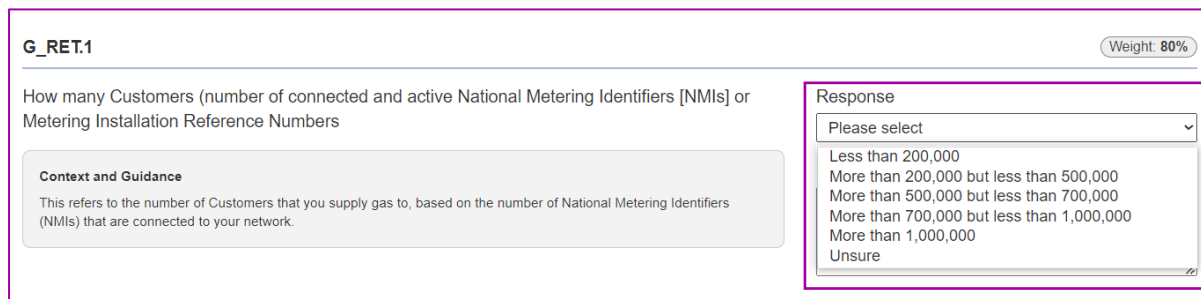
Context and Guidance
Have you recorded the technology assets that exist within your organisation? Asset inventories may be centralised (e.g. in an asset management system), or be maintained separately within each function. This includes technology assets within Operational Technology (OT) environments, including Industrial Control Systems (ICS). Recording technology assets in an inventory enables an organisation to maintain visibility of what systems and equipment exist, what their purpose is, who owns them, where they are located and other useful information to support the management of those assets throughout their lifecycle.

Show more...

Response
Please select
Yes
No

Figure BB. Drop down for a selection of "Yes" or "No"

- 2 Questions with single-select options from predefined ranges (Figure CC).



G_RET.1 Weight: 80%

How many Customers (number of connected and active National Metering Identifiers [NMI]s) or Metering Installation Reference Numbers

Context and Guidance
This refers to the number of Customers that you supply gas to, based on the number of National Metering Identifiers (NMI]s) that are connected to your network.

Response
Please select
Less than 200,000
More than 200,000 but less than 500,000
More than 500,000 but less than 700,000
More than 700,000 but less than 1,000,000
More than 1,000,000
Unsure

Figure CC. Single-select options from predefined ranges

- 3 In Full Assessments, MIL-2 and MIL-3 questions will invite the following responses (Figure DD):
 1. Not Implemented
 2. Partially Implemented
 3. Largely Implemented
 4. Fully Implemented

These are determined according to the guidance in the AESCSF Quick Reference Guide, which can be obtained from the [AEMO website](#).

ASSET-1B

MIL – 2

SP – 1

?

The IT and OT asset inventory includes assets within the function that may be leveraged to achieve a threat objective

Context and Guidance

Assets within the function are those that the organisation considers as the potential target of the tactics or goals of a threat actor. When considering assets that should be given this designation it is helpful to consider assets that a threat actor might use to accomplish their end-goal, such as

Show more...

Response

Please select

Not Implemented
Partially Implemented
Largely Implemented
Fully Implemented

Figure DD. Implementation response options for practices at MIL-2 and MIL-3

Supplementary questions in the CATs are offered in a checkbox format. These questions are structured with pre-defined answer choices (Figure EE).

E_GEN.9

Weight: 0%

In which region (or regions) do you provide this service?

Context and Guidance

This information is used for reporting purposes only and does not influence your criticality. Select the primary region that applies.

Response

☐ Australian Capital Territory (ACT)
☐ New South Wales (NSW)
☐ Queensland (Qld)
☐ South Australia (SA)
☐ Tasmania (Tas)
☐ Victoria (Vic)
☐ Western Australia (WA)
☐ Northern Territory (NT)

Figure EE. Multiple Choice

Most questions in v2 Lite employ a check-box format. It's important to note that selecting '**None of the above**' as an answer will clear any previously selected options (Figure FF).

1. Within your organisation, are cyber security risks:

- ☐ Identified (at minimum as a once-off activity) ?
- ☐ Identified periodically (on an ongoing basis) and upon **documented** ?
- ☐ **Documented** in a risk register or similar document
- ☐ Treated ?
- ☐ Treated in a prioritised manner, based on the potential risk impact to the organisation
- ☐ Managed with **adequate resourcing**
- ☐ None of the above

Figure FF. v2 Lite checkbox response format

4.4.3. Self-Evaluation Notes

Each question throughout the Assessment offers the opportunity to provide Self-Evaluation Notes (Figure GG). Your organisation may choose to use this feature to provide additional justification, context or reasons for your selected response. For example, in the E-CAT, an electricity generator which operates three generation stations may choose, in responding to a question about their overall generation capacity, to record individual generation capacity of each site; and the sum total of those capacities.

Electricity Criticality Assessment Tool (E-CAT)

E_GEN.0

Are you an electricity Generator?

Context and Guidance

A Generation Facility produces electricity from sources including coal, gas, solar, water, wind, biomass, and geo-thermal. For the purpose of this section, a Generation Facility is synonymous with a Power Station.

Show more...

Weight: 100%

Current State Response

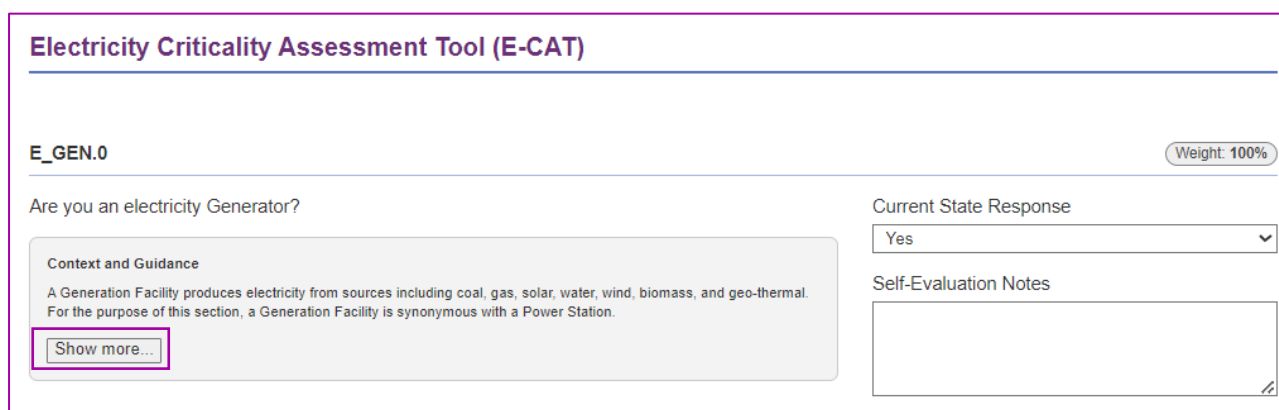
Yes

Self-Evaluation Notes

Figure GG. Self-evaluation Notes Box

4.4.4. Context and Guidance

With the exception of v2 lite, each question within the Portal is accompanied by supplementary context and guidance, offering additional information that can assist you in responding to the questions (Figure HH). These context and guidance boxes also provide relevant references to other documents such as frameworks, international standards, and Australian standards. To access the complete content, please click **'Show more.'** After you've completed your review, you can opt to conceal the text by clicking the **'Show less'** button.



Electricity Criticality Assessment Tool (E-CAT)

E_GEN.0 Weight: 100%

Are you an electricity Generator?

Context and Guidance
A Generation Facility produces electricity from sources including coal, gas, solar, water, wind, biomass, and geo-thermal. For the purpose of this section, a Generation Facility is synonymous with a Power Station.

[Show more...](#)

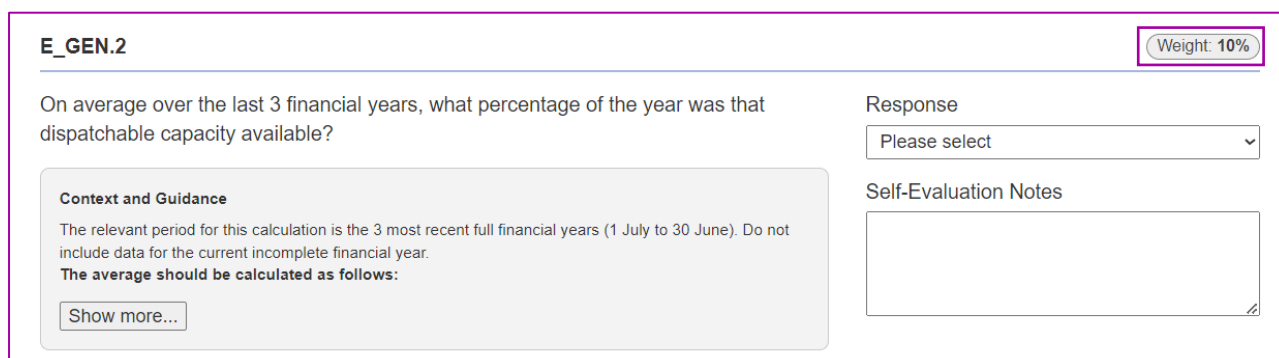
Current State Response
Yes

Self-Evaluation Notes

Figure HH. Show more button, to expand Context and Guidance

4.4.5. Weighting

Throughout the CAT questions, you'll find the assigned weight associated with the response for the specific sub-sector. For instance, consider the question E.GEN.2, which carries a weight of 10%. This signifies that a response indicating high criticality will contribute a score equivalent to 10% of the maximum score attainable by a generator in the electricity sub-sector (Figure II).



E_GEN.2 Weight: 10%

On average over the last 3 financial years, what percentage of the year was that dispatchable capacity available?

Context and Guidance
The relevant period for this calculation is the 3 most recent full financial years (1 July to 30 June). Do not include data for the current incomplete financial year.
The average should be calculated as follows:

[Show more...](#)

Response
Please select

Self-Evaluation Notes

Figure II. The "weight" indicator on a CAT question

4.4.6. MIL and SP Information

In the Assessments, located above each question to the right, you can observe the Maturity Indicator Level (MIL) rating and the Security Profile (SP) rating for that particular question (Figure JJ). Additionally, hovering your cursor over the question mark will display implementation response guidance (including information about management characteristics for MIL-2 and MIL-3 practices).

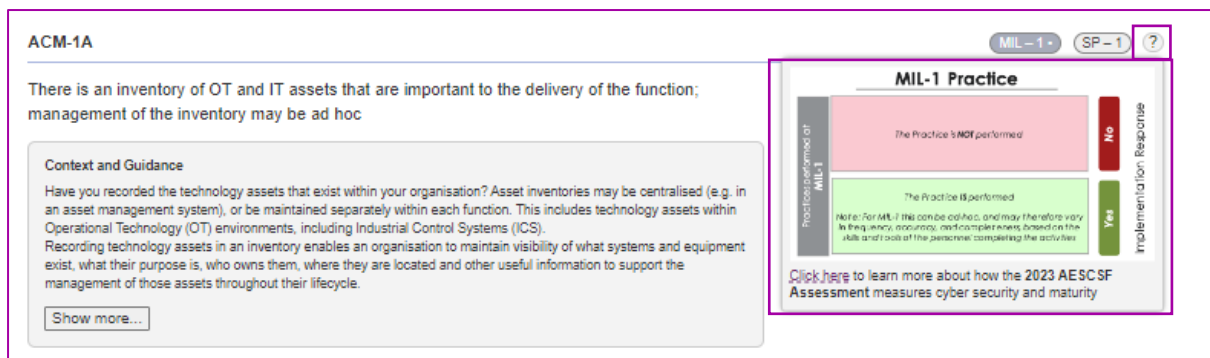


Figure JJ. The “question mark” button visible in a Framework Assessment

4.4.7. v2 Lite Examples

In the v2 Lite, question mark rollovers throughout the Assessment provide examples to assist you in understanding the intent of the question (Figure KK).

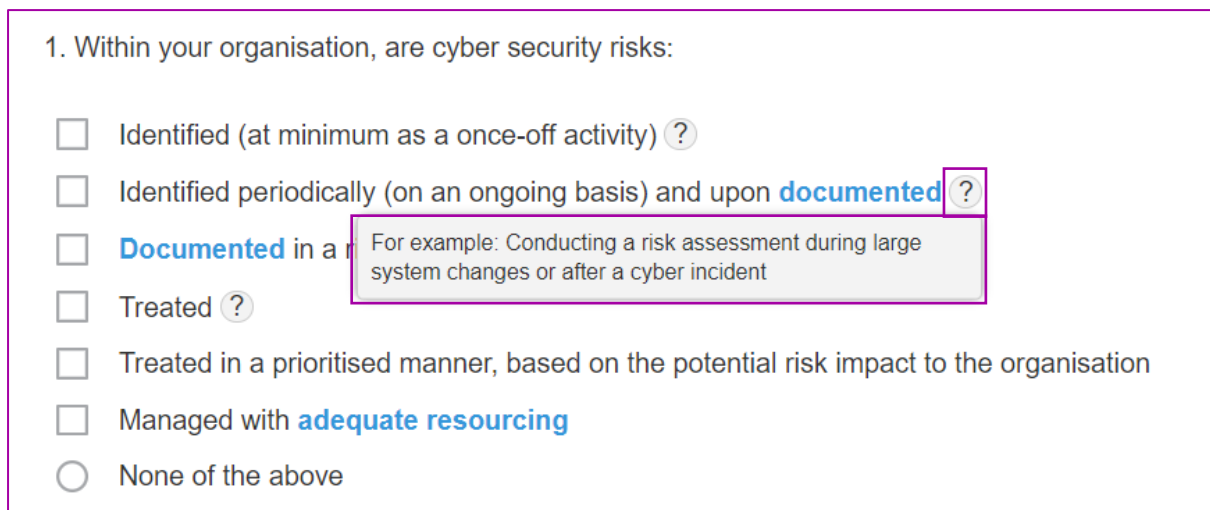


Figure KK. The Question Mark rollover presented in a v2 Lite Assessment

In addition, if you have any questions while completing the Assessment, please refer to the resources page on the [AEMO website](https://aemo.com.au) or contact the AESCSF Project Team at aescsf@aemo.com.au.

4.5. Answering the Criticality Assessment Tool (CAT)

The AESCSF Criticality Assessment Tools (CATs) assess the relative criticality of entities participating in the electricity, gas, or liquid fuel sub-sectors.

The CATs require you to respond to questions about which sub-sectors of the energy market you participate in. For sub-sectors you participate in, you must also answer questions which relate to key criticality indicators for each sector role. These responses are then used to place your organisation on a single-scale for the purpose of reporting, benchmarking, and determining the applicable target state maturity guidance which applies to your organisation from the Australian Cyber Security Centre (ACSC).

4.5.1. E-CAT

The E-CAT stratifies all electricity market participants across a single criticality scale based on a questionnaire designed to focus on an entity's operating profile within the electricity sub-sector (Figure LL).

Electricity Criticality Assessment Tool (E-CAT)

The Electricity Criticality Assessment Tool (E-CAT) has been designed to assess the relative criticality of entities participating within the electricity markets operated by the Australian Energy Market Operator (AEMO) (including the National Electricity Market [NEM] and the Wholesale Electricity Market [WEM]). The primary objective of the tool is to place all electricity entities on a single scale for the purpose of reporting, benchmarking and determining the applicable target state maturity guidance from the Australian Cyber Security Centre (ACSC).

Based on consultation with AEMO and the ACSC, each electricity market subsector has been assigned a criticality band on the scale. Key criticality indicators for each electricity market subsector have been established to stratify participating entities within the subsector criticality bands. The CAT will have questions presented in drop-down boxes or check-box buttons. These questions fall into three categories:

1. Questions with binary responses, where you choose between "Yes" or "No."
2. Questions with single-select options from predefined ranges.
3. Questions with multiple choice with predefined answers.

Participating organisations are placed within applicable subsector criticality bands based on their responses to the questions. This placement determines the criticality rating (High, Medium, Low) for each applicable subsector. An organisation's overall criticality rating is the highest rating from across all applicable subsectors.

Continue

Figure LL. E-CAT Introduction Screen

The electricity market has six key roles which are included in the E-CAT: Transmission Network Service Provider, Distribution Network Service Provider, Generator, Retailer, Interconnector, and System / Market operator (AEMO). Entities may operate in more than one market role. Each role is denoted by a code, in accordance with the following table:

Role	Code
System/Market Operator	OPS
Transmission Network Service Provider	TNSP
Distribution Network Service Provider	DNSP
Generator	GEN
Independent Interconnector	IC
Retailer	RET

Table 1 Electricity sub-sector roles and corresponding codes

The E-CAT determines which market roles an entity operates in, and the criticality of a participant within the criticality band for each role.

The first question for each role determines whether the criticality questions for that role are relevant to an entity and define the scope of the CAT. Depending on your role responses, the Portal will present further questions that are relevant to your organisation (Figure MM).

For example, a response in the E-CAT may unfold as follows:

- If you are a Generator (E-GEN) and answer **'Yes'** to Question E-GEN.0, you must answer the remaining questions relevant to a Generator.
- If you are not a Generator and select **'No'** to Question E-GEN.0, the Portal will not display the remaining generator-related questions. By selecting **'No'**, you have indicated that these are not applicable to your organisation.

E_GEN.0
Weight: 100%

Are you an electricity Generator?

Context and Guidance
A Generation Facility produces electricity from sources including coal, gas, solar, water, wind, biomass, and geo-thermal. For the purpose of this section, a Generation Facility is synonymous with a Power Station.
[Show more...](#)

Response
No

Self-Evaluation Notes
Tester

One or more questions have been removed from the questionnaire as it has been flagged as not applicable based on your response

Figure MM. E-CAT Question E_Gen.0

4.5.2. G-CAT

The G-CAT stratifies all gas market participants across a single criticality scale based on a questionnaire designed to focus on an entity's operating profile within the gas sector (Figure NN).

Gas Criticality Assessment Tool (G-CAT)

The Gas Criticality Assessment Tool (G-CAT) has been designed to assess the relative criticality of entities participating in the Australian gas sub-sector. This includes, but is not limited to, the gas markets operated by the Australian Energy Market Operator (AEMO) (including the Declared Wholesale Gas Market [DWGM], amongst others).

The primary objective of the tool is to place all participating entities on a single scale for the purpose of reporting, benchmarking, and determining the applicable target state maturity guidance from the Australian Cyber Security Centre (ACSC).

Based on consultation with AEMO and the ACSC, each gas market role has been assigned a criticality band on the scale. Key criticality indicators for each gas market role have been established to stratify participating entities within the role's criticality bands. The CAT will have questions presented in drop-down boxes or check-box buttons. These questions fall into three categories:

1. Questions with binary responses, where you choose between "Yes" or "No."
2. Questions with single-select options from predefined ranges.
3. Questions with multiple choice with predefined answers.

Participating organisations are placed within applicable role criticality bands based on their responses to the questions. This placement determines the criticality rating (High, Medium, Low) for each applicable role. An organisation's overall criticality rating is the highest rating from across all applicable roles.

Continue

Figure NN. G-CAT Introduction Screen

The gas market has six key roles which are included in the G-CAT: Production, Transmission, Storage, Distribution, Retailer, and Market Operator (AEMO). Entities can operate in more than one market role. Each role is denoted by a code, in accordance with the following table:

Role	Code
System/Market Operator	OPS
Transmission Network Service Provider	TRANS
Production	PROD
Distribution	DIST
Storage	STOR
Retailer	RET

Table 2. Gas sub-sector roles and corresponding codes

The G-CAT determines which market roles an entity operates in, and the criticality of a participant within the criticality band for each role.

The first question for each role determines whether the criticality questions for that role are relevant to an entity and define the scope of the CAT. Depending on your role responses, the Portal will present further questions that are relevant to your organisation (Figure OO).

For example, a response in the G-CAT may unfold as follows:

- If you are a Retailer (G-RET) and Distribution Network Service Provider (G-DIST) and respond '**Yes**' to Questions G-RET.0 and G-DNSP.0, you must answer the remaining questions relevant to Retailers and Distribution Network Service Providers.
- If you are not a Retailer or Distribution Network Service Provider, and answer '**No**' to Question G-RET.0 and G-DNSP.0, the Portal will not display the remaining questions in your questionnaire.

Gas Criticality Assessment Tool (G-CAT)

G_PROD.0

Weight: 100%

Is your entity involved in the production of natural gas?

Context and Guidance

According to the Australia Energy Market Commission (AEMC), natural gas in Australia is currently extracted as either:

Show more...

Current State Response

No

Self-Evaluation Notes

Overall Gas Criticality Level

Pending

Next

Figure OO. G-CAT Question G.PROD.0

4.5.3. L-CAT

Introduced in 2022, the L-CAT stratifies all liquid fuel market participants across a single criticality scale based on a questionnaire designed to focus on an entity's operating profile across the liquid fuels sector (Figure PP).

Liquid Fuels Criticality Assessment Tool (L-CAT)

The Liquid Fuels Criticality Assessment Tool (L-CAT) has been designed to assess the relative criticality of organisations participating in the Australian liquid fuels sub-sector. This includes but is not limited to, organisations subject to the National Offshore Petroleum Titles Administrator (NOPATA), and Australian Petroleum Production & Exploration Association (APPEA) and the Australian Institute of Petroleum (AIP) member organisations.

The primary objective of the tool is to place all participating organisations on a single scale for the purpose of reporting, benchmarking, and determining the applicable target state maturity guidance from the Australian Cyber Security Centre (ACSC).

Based on consultation with the Department of Climate Change, Energy, Environment and Water (DCCEEW) and the Australian Energy Sector Cyber Security Framework Review Working Group (AESCSF-RWG), each liquid fuel market role has been assigned a criticality band on the scale. Key criticality indicators for each liquid fuel market role have been established to stratify participating organisations within the role's criticality bands. The CAT will have questions presented in drop-down menus or check-box buttons. These questions fall into three categories:

1. Questions with binary responses, where you choose between "Yes" or "No."
2. Questions with single-select options from predefined ranges.
3. Questions with multiple choice with predefined answers.

Participating organisations are placed within applicable criticality bands based on their responses to the questions. This placement determines the criticality rating (High, Medium, Low) for each applicable role. An organisation's overall criticality rating is the highest rating from across all applicable roles.

Continue

Figure PP. L-CAT Introduction Screen

The liquid fuels market has five key roles which are included in the L-CAT: Extraction and Production, Transport and Import, Storage, Refinement, and Wholesale and Retail. Entities may operate in more than one market role. Each role is denoted by a code, in accordance with the following table:

Role	Code
Transport and Import	TRAN
Extraction and Production	EXTR
Storage	STOR
Refinement	RFIN
Wholesale and Retail	WHLS

Table 3 Liquid fuels sub-sector market roles and corresponding codes

The L-CAT determines which market roles an entity operates in, and the criticality of a participant within the criticality band for each role.

The first question for each role determines whether the criticality questions for that role are relevant to an entity and define the scope of the CAT. Depending on your role responses, the Portal will present further questions that are relevant to your organisation (Figure QQ).

For example, a response in the L-CAT for Storage may look like:

- If you store liquid fuels (L-STOR) and answer ‘**Yes**’ to Question L-STOR.0, you must answer the remaining questions relevant to Storage.
- If you do not store liquid fuels and hence select ‘**No**’ to Question L-STOR.0, the Portal will not display the remaining questions in your questionnaire. By selecting ‘**No**’, you have indicated that these are not applicable to your organisation.

Liquid Fuels Criticality Assessment Tool (L-CAT)

L_EXTR.0
Weight: 100%

Is your organisation involved in the extraction and production of crude oil for use in the Australian Domestic market?

Context and Guidance

Is your organisation involved in the extraction of crude oil via the process of drilling, either from beneath the ocean floor, or from on-shore natural deposits?

Current State Response

Yes

Self-Evaluation Notes

Figure QQ. L-CAT Question L_EXTR.0

4.6. Navigating the Portal

You may complete the Assessment sequentially (i.e., completing each response from beginning to end), or in an order convenient to you.

- If you opt for sequential completion, you can progress through the Assessment by clicking ‘**Save & Continue**’ at the bottom right-hand corner of each page. When you do this, the page will be marked ‘**Complete**’ with a green tick icon in the navigation bar.
- Alternatively, if you prefer to move between sections in another order, you have the flexibility to leave your current question at any time, and it will be automatically saved (Figure RR). Both these methods can be used interchangeably. If you take this approach, you will need to return to each page before final submission of the Assessment to click ‘**Save & Continue**’, because the Assessment cannot be submitted until all sections are marked ‘**Complete**’.

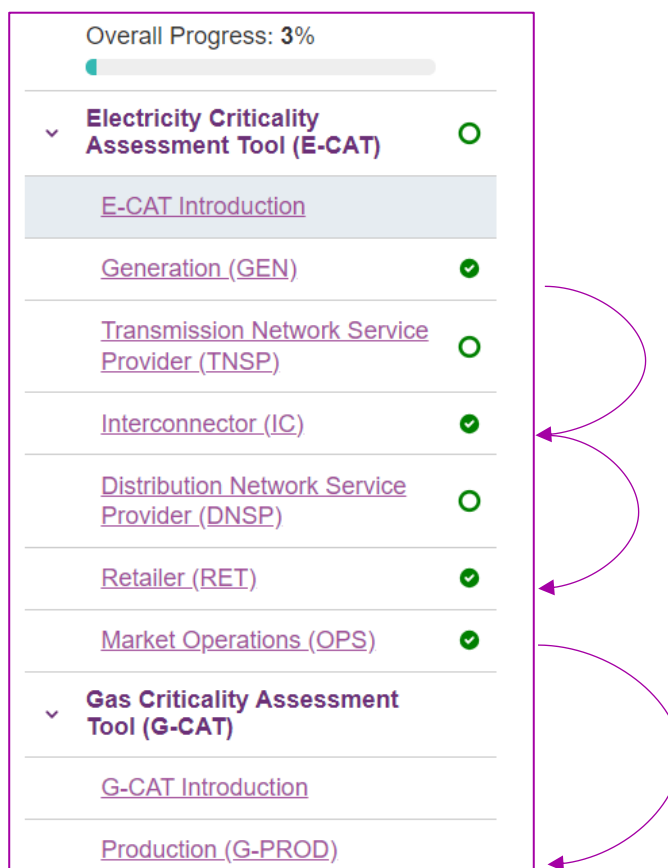


Figure RR. Non-linear navigation path of a user

Please note: You cannot click **'Save & Continue'** on the page if questions are left unanswered. Otherwise, a **'Required'** red bubble will flag incomplete questions (Figure SS). The only way to skip questions is to use the side panel.

Any questions that are left unanswered will be highlighted in the **'Attestation and Submit'** section. This will allow you to jump to any section that has unanswered questions. Once all questions have been answered, the Portal will allow you to select **'Submit'**.

Progress indicators (see section 4.7) will also assist you with identifying any unanswered questions throughout.

You may change your answers at any point prior to submission of the Assessments.

ACM-1A

Required

Response

Please select

MIL – 1 • SP – 1 ?

There is an inventory of OT and IT assets that are important to the delivery of the function; management of the inventory may be ad hoc

Context and Guidance

Have you recorded the technology assets that exist within your organisation? Asset inventories may be centralised (e.g. in an asset management system), or be maintained separately within each function. This includes technology assets within Operational Technology (OT) environments, including Industrial Control Systems (ICS).

Recording technology assets in an inventory enables an organisation to maintain visibility of what systems and equipment exist, what their purpose is, who owns them, where they are located and other useful information to support the management of those assets throughout their lifecycle.

Show more...

Self-Evaluation Notes

Figure SS. Required Red Bubble

4.7. Progress Indicators

Your overall progress is monitored at the top of the side panel. Additionally:

- Empty green circles signify commenced sections (Figure TT).
- Green checkmarks indicate complete sections (Figure UU).

Overall Progress: 5%		
▼ Electricity Criticality Assessment Tool (E-CAT)		✓
E-CAT Introduction		
Generation (GEN)		✓
Transmission Network Service Provider (TNSP)		✓
Interconnector (IC)		✓
Distribution Network Service Provider (DNSP)		✓
Retailer (RET)		✓
Market Operations (OPS)		✓

Figure TT. Sidebar with a completed E-CAT

Overall Progress: 4%		
▼ Electricity Criticality Assessment Tool (E-CAT)		○
E-CAT Introduction		
Generation (GEN)		✓
Transmission Network Service Provider (TNSP)		✓
Interconnector (IC)		✓
Distribution Network Service Provider (DNSP)		✓
Retailer (RET)		○
Market Operations (OPS)		✓

Figure UU. Sidebar with a combination of complete and incomplete sections within an E-CAT

4.8. Dashboards / Reviewing Results

At any time while completing the Assessment you may visit the '**Dashboard**' page to review your results. The content of the Dashboard page varies based on whether you have completed a CAT, and which versions of the Assessment you have completed.

If you have completed a CAT, you will be shown the criticality band you have been placed in (High, Medium, or Low) for each sub-sector.

If you have completed a v1 or v2 full Assessment, you will be able to view the following for each Assessment:

- A summary of your Security Profile results, including % attainment within each SP, and an overall SP rating.
- A summary of your SP results, including % attainment, broken down by AESCSF domain.
- A summary of your Maturity Indicator Level (MIL) results, including % attainment within each MIL.
- A summary of your MIL results, including % attainment, broken down by AESCSF domain.

If you have completed a v2 Lite Assessment, you will be able to view the following:

- A summary of SP 1 % attainment.
- A summary of the SP-1 attainment, broken down by AESCSF domain.

You won't have the ability to simultaneously view both your Maturity Indicator Level (MIL) and Security Profile (SP) results (Figure VV). To switch between views, you can use the dropdown menu, which provides the option to toggle between MIL and SP.

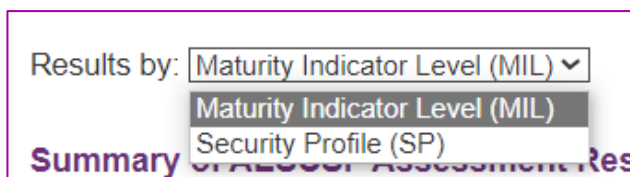


Figure VV. Selector to toggle between MIL and SP views on reports

To obtain a copy of your dashboard results, simply click the '**Download Report**' button located at the top of the Dashboard page (Figure WW). This format enables you to view both MIL and SP dashboards

simultaneously and offers the option to save the results as a PDF. Please be aware that this will be your sole opportunity to download your results, so make sure to save them if you need a copy.

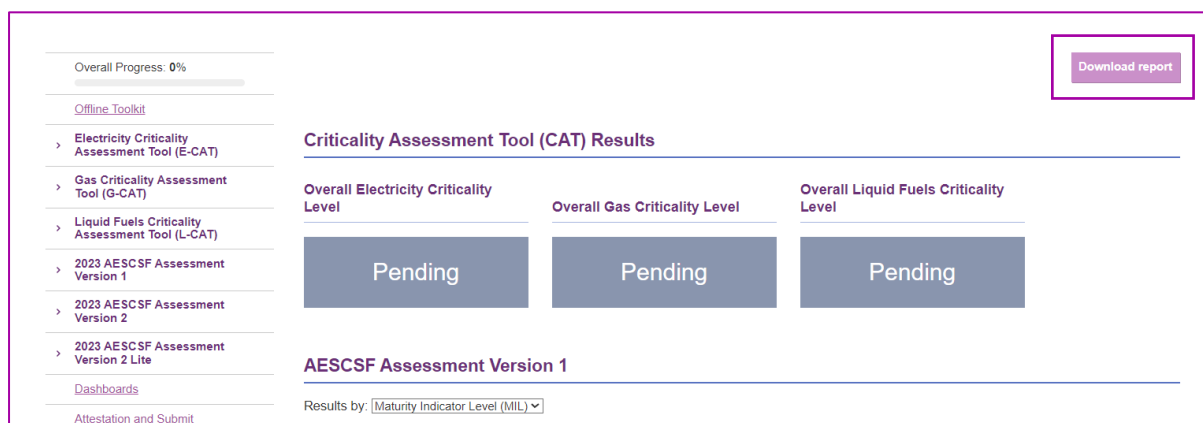


Figure WW. Download report button

4.9. Reviewing your Answers

Before submitting your answers, the Portal will highlight any outstanding sections that need to be finalised (Figure XX). You can click on any outstanding section to navigate to it. You must click **'Save & Continue'** on each section for the answers to be acknowledged.

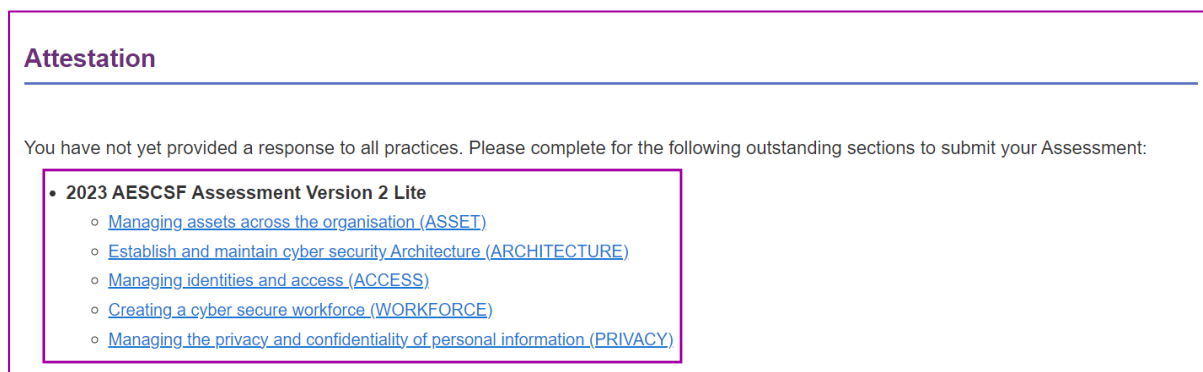


Figure XX. Examples of outstanding sections left in the Assessment

4.10. Electing your Assessment for Benchmarking

If you have chosen to complete more than one Assessment, you will need to elect which Assessment to submit for the 2023 AEMSCF Benchmarking Program. A drop-down function will be available, with a list of your completed Assessments (Figure YY).

Please note: This excludes CATs.

Attestation

Please select which Assessment you would like to be submitted as part of the 2023 AESCSF Benchmarking Program

Please select your answer

Please select your answer
Assessment Version 1 (v1)
Assessment Version 2 (v2)
Assessment Version 2 Lite

Figure YY. Drop down for Assessment election

4.11. CEO Sign Off

Once you have completed the Assessment, you will be prompted to indicate that you have:

- Informed your management/ownership structures (or their delegates) about the completion and submission of the 2023 AESCSF Assessment (Figure ZZ).
- Permission to submit the Assessment on behalf of the organisation. Uploading additional evidence of approval is optional.

☐ I have briefed the appropriate management structures of the entities I am submitting this 2023 Assessment for and I am duly authorised to submit this Assessment.

Upload CEO Attestation (encouraged):


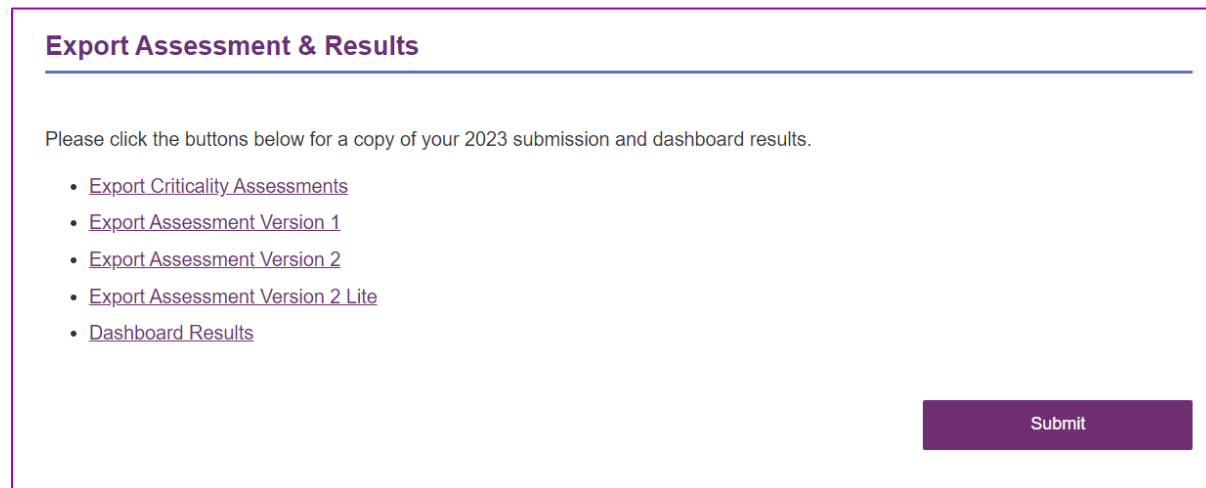
 Drag and drop here or [browse files](#)

Figure ZZ. The CEO Attestation

4.12. Export Assessment and Results

Prior to submitting your Assessment, you have the choice to download your finalized Criticality Assessment(s) (CAT) and Assessment(s). These will be exported as Excel files, mirroring the format of the Offline Toolkit. Additionally, you can opt to download a PDF version of your dashboard results,

which are also accessible directly from the dashboard screen. (Figure AAA).



Export Assessment & Results

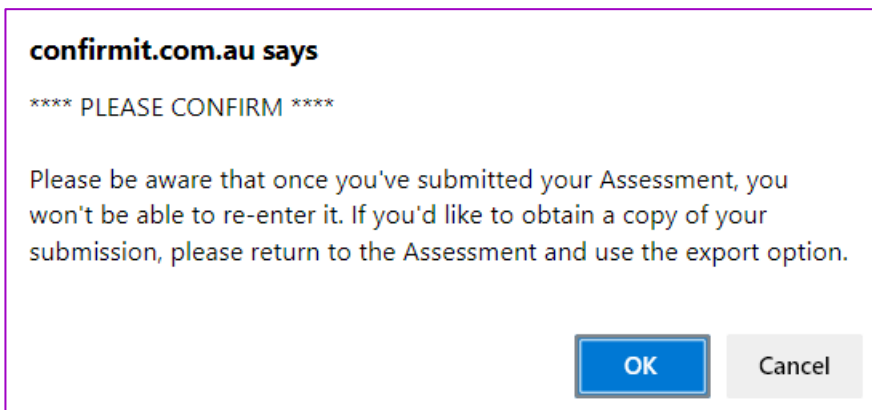
Please click the buttons below for a copy of your 2023 submission and dashboard results.

- [Export Criticality Assessments](#)
- [Export Assessment Version 1](#)
- [Export Assessment Version 2](#)
- [Export Assessment Version 2 Lite](#)
- [Dashboard Results](#)

Submit

Figure AAA. Export Assessment and Results

After finishing and reviewing your Assessment, proceed by choosing the 'Submit' option. Before the actual submission, you will be prompted to confirm your decision (Figure BBB), as re-entering the Assessment will not be possible afterward. In case you haven't downloaded a copy of your results, click "Cancel" to return to the Assessment (Figure AAA).



confirmit.com.au says

**** PLEASE CONFIRM ****

Please be aware that once you've submitted your Assessment, you won't be able to re-enter it. If you'd like to obtain a copy of your submission, please return to the Assessment and use the export option.

OK Cancel

Figure BBB. Alert to Confirm Submission

Once you have downloaded your results, and you finalise your submission, you will be directed to the next page, where you will find detailed instructions for the subsequent steps (Figure CCC).

Next Steps:

- Upon completion, a dashboard detailing your Assessment results will be available.
- The 2023 AESCSF Assessment closes on Friday 10 November 2023.
- AESCSF participants who successfully complete and submit results will be provided with access to the 2023 AESCSF benchmarking toolkit. The benchmarking toolkit will open in December 2023, an email will be sent to you confirming details closer to the date. Securing your data security is our top priority. Information will be kept secure, anonymised, and used solely for the purpose of industry benchmarking, insights, presentations, and reports that enhance collective improvements in cyber security and resilience.
- Please complete the AESCSF feedback survey on the 2023 AESCSF Program to help us improve next year.
- Anonymised and aggregated Assessment information will be used to create the *2023 Cyber Security Preparedness of Australia's Energy Sector Annual Report*, which will be presented to Energy Ministers.

Contact us

Visit the [AESCSF website](#) for more information, or contact the project team via email aescsf@aemo.com.au and someone will respond during AEDT business hours.

Thanks and regards,

The AESCSF Project Team

You may now close this window.

Figure CCC. The page displayed in the Portal when your Assessments have been submitted

5. Frequently Asked Questions

5.1. If I forget my password, how do I reset it?

If you forget your password, click the '**Forgot password**' button on the Assessment landing page. You will then need to re-enter your email address. Once complete, you will receive an email that allows you to reset your password (see section 3.6, above)

5.2. How many people from my organisation can complete the Assessment?

For this year's program, we are limiting each organisation to one primary respondent for benchmarking purposes. If you wish to have multiple colleagues involved in the 2023 Assessment, we suggest connecting with your colleagues and utilising the Offline Toolkit. This toolkit allows collaboration among multiple stakeholders and can subsequently be imported to the Portal.

To use the Offline Toolkit with the purpose of multiple respondents, we recommend completing the following steps to streamline the process:

1. Once an account has been set up for the primary person, download any Offline Toolkits that are relevant to your organisation.
2. Use the Offline Toolkits however best suits your organisation (e.g. complete the Toolkit in a shared workspace such as Microsoft Teams or SharePoint; or have different people fill in different sections).
3. Once each Offline Toolkit you wish to submit has been completed, have your primary nominated respondent upload the completed Offline Toolkit to the Online Portal. The results submitted by this person will be the only results considered for the purposes of the AESCSF Benchmarking exercise, and the report to the Energy Ministers.

5.3. What happens if I cannot complete the Assessment in one sitting?

If you can't complete the Assessment in one sitting and need to close the Assessment, simply close the browser as the Portal automatically saves your answers.

5.4. How do I re-open the Assessment if I have closed it?

When you reopen the Assessment, please use the link in the Welcome email that was sent to you. You will then be prompted to enter your password and an email verification code, providing you access to continue the Assessment (see section 3.3).

5.5. Why is there no save and close button?

The Portal automatically saves your responses on each page as you move through the Assessment. Every question is saved, allowing you to move between sections without losing your progress.

5.6. Can I complete multiple CATs?

The AESCSF Criticality Assessment Tools (CATs) assess the relative criticality of entities participating in the electricity, gas, or liquid fuels sub-sectors. You could potentially complete up to three CATs to determine the criticality of your organisation.

The CATs require you to respond to questions which relate to key criticality indicators for each sector role. These responses are then used to place your organisation on a single scale for the purpose of reporting, benchmarking, and determining the applicable target state maturity guidance from the Australian Cyber Security Centre (ACSC).

5.7. Can I complete multiple Assessments?

If you wish to complete more than one of the Assessments (e.g. v1 and v2), please select both when making your Assessment selection on the Welcome page.

Please note: only one Assessment result will be used for benchmarking. Please nominate which Assessment best represents your organisation on the Review and complete page.

For more information on Assessment scoping, please refer to the [AEMO Website](#) or contact the AESCSF Project Team at aescsf@aemo.com.au.

5.8. Can I submit multiple responses for my organisation?

Yes, you may submit multiple responses. This may be appropriate if, for example:

- You participate in multiple sectors of the Australian Energy Market.
- You are completing the Assessment for a corporate group and wish to have certain entities within the group respond separately from others (e.g., if you are a participant with ring-fencing obligations, or if there are significant differences in control environments across entities).

The process for submitting multiple Assessments involves having a separate registration link created for each entity, or group of entities, which you are submitting for. For example, if your group participates in electricity distribution and retail, and wishes to submit separate Assessments for each role, you should have the AESCSF team create two separate links to the Portal for your entity. If this applies to you, please email aescsf@aemo.com.au.

5.9. How do I finalise the Assessment?

To finalise the Assessment, all sections must be completed. Once you have reached the end of the Assessment, a '**Attestation and Submit**' screen will appear. This page will highlight any outstanding areas for completion. If the Assessment has been filled out completely, you will receive an option to submit your answers or make any further changes. **Once the Assessment has been submitted, you will not be able to make any more changes.**

5.10. What if I don't know the answer to a question?

You should use your best endeavours to reach a state of positive satisfaction about each question response. Therefore, if you are unsure, it is recommended that you answer in the negative (or answer that the practice is not implemented, for MIL-2 and MIL-3 practices in the v1 and v2 Full Assessments).

The AESCSF is designed to drive positive security uplift – the knowledge gaps revealed by the Assessment can be used to direct further investigation regarding your organisation's control environment.

5.11. Does the CEO or their delegate have to review my answers?

While it is recommended, AEMO does not require organisational CEOs/ownership and senior management structures to review answers before submission. However, you must be authorised to submit the response on behalf of your organisation.

5.12. Can I skip a question and come back to it?

You may skip questions by moving between sections via the side panel. However, you are unable to progress to the next page via '**Next**' as questions will be flagged as incomplete.

Please refer to [section 4.11](#) for more details.

5.13. Can I change my CAT and Assessments after selecting them?

No. Once you have selected your CATs and the versions of the Framework which you wish to complete, the Portal will remain configured for those items. If your organisation has a special need to alter its CAT or Framework selection, please contact the AESCSF team using aescsf@aemo.com.au.

5.14. How long does the survey take?

Time to complete the Assessments will vary per participant, however the following can be used as a general guide:

Full Assessment (v1 and v2): Depending on the size of your organisation and the number of stakeholders required, this Assessment could take anywhere from a few hours to a few days. The time

it takes to complete is dependent on the information you will need to collect to undertake the Assessment.

Lite Assessment: The length of time required to complete the Assessment will vary – if responses to all questions are known, the survey can be filled in around 15-20 minutes. However, some clarification with specialists and outsourced providers may be required to answer the questions accurately, in which case the total time to complete the Assessment will increase.

5.15. Do I have to add evaluation notes? (Full Assessments only)

You do not have to add evaluation notes. Self-evaluation notes are not incorporated into the calculation of your AESCSF Maturity Score, Security Profile, or benchmarking data.

However, you are encouraged to write Assessment notes which comprehensively cover:

- How you determined the implementation response.
- Any known gaps in implementation which have caused a failure.
- Which management characteristics are satisfied.
- What documentation and evidence were used to determine the implementation response.

Comprehensive evaluation notes which cover the above matters can be used to plan remedial works, allow relevant personnel to understand the reasons for the results, and mitigate against key-person reliance. Further, comprehensive notes should help expedite the Assessment process in future Assessment Periods.

5.16. How do I know if a section is complete?

Section completion is indicated in the sidebar as follows:

- Once all sections are finished, the entire domain will be marked with a green checkmark.
- If you've commenced a section, but have not completed, a green hollow circle is shown.
- If you haven't started a section, no symbol is shown.

5.17. What if I accidentally miss a question?

Before submitting your answers, the Portal will highlight any outstanding sections that need to be finalised. You can click on any outstanding section to navigate to it. You must click '**Save & Continue**' on each section for the answers to be acknowledged (see section 4.9. above)

5.18. What do I do if I have questions or need help?

If you have any questions while completing the Assessment, please refer to the resources page on the [AEMO website](https://aemo.com.au) or contact the AESCSF Project Team at aescsf@aemo.com.au.

5.19. Where is the ConfirmIT Platform hosted?

The ConfirmIT Platform is built on ConfirmIT's *ConfirmIT Horizons SaaS offering*. This is hosted in a data centre operated by Rackspace in Sydney, Australia. All the data remains within Australia, including backups. The servers hosting the data do not host or process any data for other Rackspace customers.

5.20. Has the ConfirmIT Platform been certified?

The ConfirmIT Platform is covered by SSAE16 Type II SOC2 and is also ISO 27001 certified. The ConfirmIT Platform also undergoes several vulnerability scans and logs are ingested into our SIEM managed by the KPMG Security Team.

5.21. Does the Portal use Multi Factor Authentication?

The ConfirmIT Platform uses multi-factor authentication for external users. For example, once a user has created an account, a verification code will be sent to the user's nominated email address each time the sign on.

5.22. What is your data archival process?

Data that is collected from entities through the ConfirmIT Platform are stored within a secure KPMG Australia Azure environment. Data-at-rest and data-in-transit is encrypted. All Azure environments undergo an Authority To Operate (ATO) Assessment, based on the NIST SP 800-53 Security and Privacy Controls for Information Systems and Organisations control set.

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