



**NIST Interagency Report  
NIST IR 8481 ipd**

**Cybersecurity for Research**  
*Findings and Possible Paths Forward*

Initial Public Draft

Connie LaSalle  
Gema Howell  
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This publication is available free of charge from:  
<https://doi.org/10.6028/NIST.IR.8481.ipd>

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*Applied Cybersecurity Division  
Information Technology Laboratory*

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U.S. Department of Commerce  
*Gina M. Raimondo, Secretary*

National Institute of Standards and Technology  
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#### 27 **Public Comment Period**

28 August 31, 2023 – October 31, 2023

#### 29 **Submit Comments**

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34 100 Bureau Drive (Mail Stop 2002) Gaithersburg, MD 20899-2002

35 **All comments are subject to release under the Freedom of Information Act (FOIA).**

36 **Abstract**

37 Unmanaged cybersecurity risks can wreak havoc on a community. This is no less true for the  
38 U.S. scientific research ecosystem, particularly members of the higher education research  
39 community, which can be characterized by its fundamentally open, collaborative culture and web  
40 of highly decentralized administrative and research environments. Securing the digital resources  
41 that contribute to a thriving higher education research enterprise requires consideration of the  
42 threats and vulnerabilities relevant to the community as well as unique mission contexts,  
43 cultures, and motivations. This resource is intended to enable institutions of higher education to  
44 identify, assess, manage, and reduce cybersecurity risks related to conducting research, as  
45 described in Section 10229 of the CHIPS and Science Act.

46 **Keywords**

47 access control; cybersecurity; cybersecurity awareness and education; cybersecurity risk  
48 management; controlled unclassified information (CUI); digital identity; higher education;  
49 information security; National Initiative for Cybersecurity Education (NICE); NIST Special  
50 Publication 800-53; NIST Special Publication 800-171; NIST Risk Management Framework;  
51 nonfederal systems; research and education (R&E); research cybersecurity; research security;  
52 risk management; safeguarding science; security; workforce.

53 **Reports on Computer Systems Technology**

54 The Information Technology Laboratory (ITL) at the National Institute of Standards and  
55 Technology (NIST) promotes the U.S. economy and public welfare by providing technical  
56 leadership for the Nation's measurement and standards infrastructure. ITL develops tests, test  
57 methods, reference data, proof of concept implementations, and technical analyses to advance  
58 the development and productive use of information technology. ITL's responsibilities include the  
59 development of management, administrative, technical, and physical standards and guidelines for  
60 the cost-effective security and privacy of other than national security-related information in  
61 federal information systems.

62

63 **Note to Reviewers**

64 NIST is specifically interested in feedback on the following sections:

65 • **Section 3.1: Cybersecurity Challenges and Risks**

66 Through the findings presented in Section 3.1, NIST hopes to document and drive  
67 awareness of the cybersecurity challenges and risks that institutions of higher education  
68 face when conducting research, as well as the parallel systemic problems and unique  
69 considerations associated with this community that increase the complexity of managing  
70 cybersecurity risks. Please provide feedback on the challenges, risks, and summary  
71 narrative offered in this document, NIST IR 8481, and alert us to any potential gaps or  
72 nuance that may have been missed.

73 • **Section 4: Potential Next Steps for NIST**

74 A list of potential next steps for NIST was derived from feedback received through  
75 engagement with the research community and higher education cybersecurity community  
76 about their cybersecurity challenges, existing resources that they have found helpful, and  
77 desired new resources. Section 4 proposes three areas in which NIST could play a role:

- 78 1. Community-specific cybersecurity resources  
79 2. Coordination  
80 3. Capacity building

81 Please provide feedback on these areas, noting which would be most impactful.

82 • **Appendix A: Existing Cybersecurity Resources**

83 NIST IR 8481 is a publicly available document that includes a list of existing  
84 cybersecurity resources that can be disseminated and used to help institutions of higher  
85 education identify, assess, manage, and reduce cybersecurity risks related to conducting  
86 research. The list of resources includes items that are currently available for Research  
87 Security Officers, Chief Information Security Officers, cybersecurity teams, and others  
88 who are responsible for managing risks related to conducting research.

89 Beyond this list of existing cybersecurity resources, NIST is seeking input on:

- 90 1. NIST resources on this list that could be tailored for an audience of researchers who do  
91 not have a background in cybersecurity  
92 2. NIST resources on this list that could be adapted to align with the research and education  
93 environment

94

95

96 **Call for Patent Claims**

97 This public review includes a call for information on essential patent claims (claims whose use  
98 would be required for compliance with the guidance or requirements in this Information  
99 Technology Laboratory (ITL) draft publication). Such guidance and/or requirements may be  
100 directly stated in this ITL Publication or by reference to another publication. This call also  
101 includes disclosure, where known, of the existence of pending U.S. or foreign patent applications  
102 relating to this ITL draft publication and of any relevant unexpired U.S. or foreign patents.

103 ITL may require from the patent holder, or a party authorized to make assurances on its behalf,  
104 in written or electronic form, either:

105 a) assurance in the form of a general disclaimer to the effect that such party does not hold  
106 and does not currently intend holding any essential patent claim(s); or

107 b) assurance that a license to such essential patent claim(s) will be made available to  
108 applicants desiring to utilize the license for the purpose of complying with the guidance  
109 or requirements in this ITL draft publication either:

110 i. under reasonable terms and conditions that are demonstrably free of any unfair  
111 discrimination; or

112 ii. without compensation and under reasonable terms and conditions that are  
113 demonstrably free of any unfair discrimination.

114 Such assurance shall indicate that the patent holder (or third party authorized to make assurances  
115 on its behalf) will include in any documents transferring ownership of patents subject to the  
116 assurance, provisions sufficient to ensure that the commitments in the assurance are binding on  
117 the transferee, and that the transferee will similarly include appropriate provisions in the event of  
118 future transfers with the goal of binding each successor-in-interest.

119 The assurance shall also indicate that it is intended to be binding on successors-in-interest  
120 regardless of whether such provisions are included in the relevant transfer documents.

121 Such statements should be addressed to: [cyber4R&D@nist.gov](mailto:cyber4R&D@nist.gov)

122

123

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145 The authors would like to thank those who contributed feedback to NIST’s April 2023 Research  
146 for R&D Request for Comment, as well as those who actively participated in one-on-one  
147 sessions and community dialogue with NIST on the topic of research cybersecurity.



## 148 **1. Introduction and Background**

149 Research performed by higher education spans many sectors and areas of expertise.  
150 Contributions made by members of this community not only advance our understanding of the  
151 world around us but can also be commercialized to yield national economic benefits for countries  
152 with well-established research-to-market pipelines. Because of this, the research community has  
153 been victim to cyber espionage by nation-state actors. The pursuit of intellectual property and  
154 economic advancement through cyber espionage is an ongoing threat to the U.S. research  
155 ecosystem that — alongside other contemporary cybersecurity risks like ransomware — must be  
156 managed in a way that is cognizant of the unique mission contexts, cultures, and motivations of  
157 higher education research communities.

158 Additionally, the past few years have seen an overwhelming embrace of remote work across  
159 many sectors of the American economy. Even before the COVID-19 pandemic, the factors  
160 contributing to a “work from anywhere” mentality were in place, including a rise in cloud  
161 computing capabilities, greater availability of high-speed internet, improved connectivity in rural  
162 and underserved urban areas, and shifting workforce expectations around work-life balance. This  
163 trend toward distributed collaboration was accelerated for many by the unexpected and  
164 immediate move in 2020 away from on-site or on-campus work supported by enterprise-secured  
165 networks, on-premises compute infrastructure, and enterprise-managed devices toward at-home  
166 work supported by home networks, collaboration tools, and cloud-based environments by  
167 default.

168 The evolving cybersecurity threat landscape is of great concern to higher education, as well as  
169 the White House and Congress. In August of 2022, the Creating Helpful Incentives to Produce  
170 Semiconductors (CHIPS) and Science Act of 2022 was enacted. It included Section 10229,  
171 which directed NIST to create resources like this one to aid qualifying institutions of higher  
172 education in identifying, assessing, managing, and reducing cybersecurity risks while conducting  
173 research.

### 174 **1.1. Purpose**

175 The purpose of this document is to provide the higher education community with an initial  
176 voluntary resource that can be leveraged to manage cybersecurity risks that are specific to  
177 conducting federally funded research. Specifically, this resource seeks to document and cultivate  
178 a common understanding of the state of cybersecurity across higher education research  
179 environments and is intended to help institutions of higher education identify, assess, manage,  
180 and reduce cybersecurity risks related to conducting research, as described in Section 10229 of  
181 the CHIPS and Science Act (Pub. Law 117-167).

### 182 **1.2. Scope and Audience**

183 This publication is intended to be used by members of the higher education community,  
184 particularly those responsible for managing cybersecurity risks associated with conducting  
185 research, such as Vice Presidents of Research, Research Security Officers, Chief Information  
186 Security Officers, higher education IT, cybersecurity and privacy professionals, and research  
187 performers. The audience of this publication also includes policymakers and organizations that

188 fund research, who may play a role in constructing and overseeing the implementation of  
189 cybersecurity requirements for this community.  
190

## 191 **2. Approach**

192 This section provides an overview of the approach used to conduct the study that assisted in the  
193 development of this document, NIST IR 8481. Common cybersecurity challenges and desired  
194 resources were identified in consultation with higher education institutions and members of the  
195 research security community. This was accomplished through four main tasks: initial discovery,  
196 community engagement, feedback analysis, and initial resource development.

### 197 **2.1. Initial Discovery**

198 Preliminary research was conducted to identify relevant federal agencies, associations,  
199 institutions of higher education, subject-matter experts with research security equities, and  
200 programs across NIST focused on cybersecurity and privacy risk management, cybersecurity  
201 workforce development, and research security, including NIST's own research security program.  
202 Engagement with the appropriate parties was essential to ensure that adequate information was  
203 gathered related to the cybersecurity challenges, current resources, and future cybersecurity  
204 resources that can assist the research community.

### 205 **2.2. Community Engagement**

206 After identifying the relevant groups, including associations representing 2000+ colleges,  
207 universities, and related organizations, a series of consultations and open engagements was  
208 conducted, resulting in direct engagement with over twenty research institutions. Conversations  
209 and feedback have increased NIST's understanding of the current higher education research  
210 landscape and variations in research infrastructure. Three forms of engagement were used: one-  
211 on-one meetings with subject-matter experts, a request for comment, and research community  
212 dialogue.

213 One-on-one meetings were scheduled with individuals from universities, research security  
214 groups, and the leaders of relevant NIST programs. Each meeting consisted of brief  
215 introductions, an overview of the NIST directive in the CHIPS & Science Act, and a general  
216 discussion about the topic of cybersecurity for research. Many of these meetings resulted in  
217 referrals to additional contacts. Some discussions led to follow-up meetings to review programs  
218 or efforts within an organization that relate to the topic of cybersecurity for research.

219 A discussion session was hosted virtually to gain verbal thoughts and input about relevant  
220 cybersecurity challenges for research projects, information about existing resources, and  
221 thoughts on future resources. The listening session included attendees from different research  
222 security groups and universities. The Request for Comment (RFC) questions noted below were  
223 shared with attendees and used to guide the conversation.

224 An RFC was posted in April 2023 and open for public feedback until June 30, 2023. The RFC  
225 was posted to allow the public to give formal and written input about relevant cybersecurity  
226 challenges for research, information about existing cybersecurity resources, and thoughts on  
227 future resources to support the cybersecurity of research projects. The questions asked were  
228 categorized into the following three areas.

- 229       1. **Questions related to: *Cybersecurity Challenges and Risks***
- 230             ○ What common cybersecurity challenges and risks does your institution face when
- 231             conducting research?
- 232             ○ Does your institution face unique cybersecurity challenges and risks associated
- 233             with certain types of research, for example, microelectronics or other areas of
- 234             science and technology?
- 235       2. **Questions related to: *Current Methods and Resources***
- 236             ○ What other resources does your institution leverage to support cybersecurity risk
- 237             management?
- 238             ○ Are existing resources sufficient and effective? If not, why?
- 239       3. **Questions related to: *Recommendations for Future Work***
- 240             ○ What new resources or areas of further research might address common
- 241             cybersecurity challenges and risks faced by faculty or researchers, students,
- 242             academic or research affairs offices, and personnel with enterprise risk
- 243             management responsibilities (e.g., Chief Information Officers, Chief Information
- 244             Security Officers, Chief Privacy Officers, Chief Compliance Officers, Chief Risk
- 245             Officers, and others)?
- 246                 ▪ What role might NIST play in providing resources and research to address
- 247                 common cybersecurity challenges and risks faced by these communities?
- 248                 ▪ Who should be involved in the development of these resources and
- 249                 research (e.g., researchers with institutional affiliation, research
- 250                 cybersecurity subject matter experts, or other associations or groups)?

### 251 **2.3. Feedback Analysis**

252 After the close of the RFC, analysis of feedback began. Written comments from the RFC were

253 gathered into a spreadsheet. Information received from initial discovery, one-on-one meetings,

254 the RFC, and the discussion session were compiled and discussed during several working

255 sessions.

256 Analysis of the overall feedback helped identify common themes that would result in options for

257 initial and potential future resources. As an initial resource, this document, NIST IR 8481, was

258 developed to share the summarized findings and describe potential next steps for future resources

259 to support the cybersecurity of research.

260

### 261 3. Summary of Feedback

262 Through a series of direct engagements with higher education cybersecurity and research  
263 security communities, as well as through comments received in response to NIST’s April 2023  
264 RFC, several takeaways have emerged regarding the status of research cybersecurity across  
265 higher education.

266 While institutions of higher education face many of the same cybersecurity challenges and risks  
267 as other communities, various factors make this community and their research practices unique.  
268 In particular, the top-down, command-and-control model of cybersecurity risk management that  
269 works for many enterprises in the public and private sectors does not translate well to the  
270 complex, highly distributed, and diverse web of functions, missions, and cultures that constitute  
271 the higher education community. Beyond the common challenges that plague the cybersecurity  
272 field as a whole (e.g., budget constraints, workforce shortages, and the ongoing need to keep up  
273 with a rapidly evolving technology landscape), cybersecurity professionals in higher education  
274 must also be prepared to address a heterogeneous set of risks across distinctive contexts of  
275 research, from neural psychology to space research. Despite these and other challenges,  
276 institutions report some early successes in operationalizing cybersecurity risk management  
277 strategies in partnership with researchers and offered specific recommendations to advance the  
278 state of cybersecurity across the research community.

279 The following subsections describe the risks, challenges, current cybersecurity risk management  
280 methods, and recommendations provided to NIST from institutions of higher education,  
281 including members of this community with specialized experience in securing research activities.

#### 282 3.1. Cybersecurity Challenges and Risks

283 First, NIST sought to understand the common cybersecurity challenges and risks that institutions  
284 face when conducting research. The following themes emerged through feedback:

- 285 • **Awareness.** General cybersecurity awareness is lacking among researchers and  
286 institutional administrators. The cost of entry to gain that knowledge is high given the  
287 amount of time required to learn and the lack of tailored trainings, and there are limited  
288 incentives for researchers to bridge the awareness gap.
- 289 • **Workforce.** Research institutions face IT security workforce challenges, such as not  
290 having enough personnel, lacking qualified security personnel, and insufficient support or  
291 funding to develop research cybersecurity professionals with specialized experience.  
292 Along with limited security personnel, other challenges include high turnover and  
293 struggles to retain staff. Workforce retention can be challenging because of competition  
294 with industry and burnout due to the broad set of mission areas that the staff must support  
295 (e.g., teaching, learning, research, and community impact). Institutional cybersecurity  
296 teams are often not empowered or equipped to support bespoke cybersecurity support  
297 requests from researchers.
- 298 • **Culture clash.** A compliance culture can permeate higher education administrative teams  
299 in place of a risk management one. In parallel, centralized enterprise IT security  
300 management approaches do not translate well to highly distributed research  
301 environments. “One-size-fits-all” cybersecurity requirements imposed through research

302 agreements (e.g., grants, data use agreements, and contracts) can inhibit the efficient  
303 allocation of limited resources and create operational challenges, such as authentication  
304 requirements for research equipment that cannot accommodate authentication measures  
305 or physical access requirements imposed on principal investigators who are not  
306 responsible for or authorized to make physical access control decisions. Requirements in  
307 research agreements may not reflect or account for the unique characteristics of research  
308 environments, which can complicate compliance. Additionally, there are limited  
309 incentives in place to motivate researchers to take on the additional burden of security.  
310 For instance, the cost of securing certain types of devices, such as microscopes or some  
311 Internet of Things (IoT) devices, is prohibitively high and is not always perceived as a  
312 value-add by researchers.

- 313 • **Limited budgets for cybersecurity.** Institutions often struggle to provide the resources  
314 needed to establish and operate secure research environments. Funding is limited for  
315 secure research environments that require internal research networks, and building a  
316 specific research network is cost prohibitive. Agreement-based funding streams often do  
317 not support the measures required to secure data and equipment during and after project  
318 completion. Overall, the funding model for research, largely based on individual grants  
319 and contracts, is insufficient to develop and maintain effective research cybersecurity.
- 320 • **Complicated requirements landscape.** Higher education institutions must navigate a  
321 diverse regulatory environment given the broad set of functions they manage and the  
322 wide-ranging topics of research in which they engage. Cybersecurity requirements can be  
323 difficult to decipher, may vary widely across research agreements depending on the  
324 organization imposing them, and may not address the relevant risks for a given project,  
325 which can lead to confusion and inconsistent interpretations.
- 326 • **Rapid pace of innovation.** The rapid pace of technological innovation has had  
327 implications for three areas of concern for cybersecurity risk management in a research  
328 context: researchers with niche tool stacks that need to be protected, security professional  
329 capabilities, and the technologies available to adversaries. There is an ongoing need for  
330 tools to support modern and evolving research, which puts pressure on the security  
331 workforce to not only understand the tools but stay abreast of modern cybersecurity  
332 protections. Despite this need, intelligence handling (e.g., collection, analysis,  
333 dissemination, ingestion, and taking action) is a significant gap for this community,  
334 worsened by the fact that adversaries also benefit from technological advancements and  
335 do not face the same budget challenges as the higher education cybersecurity community.  
336 These factors, combined with the already steep learning curve security professionals must  
337 tackle to reach a baseline level of proficiency in cybersecurity risk management, further  
338 exacerbate the challenges enumerated above.

---

*“Our normal operations work in a deficit of funding and people.”*

*– Higher education respondent from the April 2023 Request for Comment*

---

339  
340 Beyond these common cybersecurity challenges and risks faced by institutions, feedback  
341 indicated that the following fields of study present unique cybersecurity challenges and risks:

- 342 • Biotechnology
- 343 • Quantum computing
- 344 • Neural psychology
- 345 • Optical science
- 346 • Space research
- 347 • Engineering
- 348 • Clinical research in general

349 Challenges and risks that arise from these specific fields include:

- 350 • The handling of specialized, sensitive, and/or regulated data, such as protected health  
351 information (PHI), controlled unclassified information (CUI), and data related to  
352 International Traffic in Arms Regulations (ITAR), which may require additional controls,  
353 reporting, or education regarding usage
- 354 • The need for inter-institutional and international collaboration, which may require  
355 additional investments in identity and access management to appropriately support  
356 research while protecting confidentiality
- 357 • The distributed accountability for cybersecurity, which is reinforced through research  
358 agreement language and institutional processes, politics, and cultures
- 359 • The unique characteristics and configurations of the research equipment involved and the  
360 lack of secure storage and other tools that meet regulatory and contractual requirements
- 361 • The lack of institutional capacity to support required research tools (e.g., Research  
362 Electronic Data Capture, or REDCap)

### 363 **3.2. Current Methods and Resources**

364 NIST also sought to better understand how institutions currently identify, assess, manage, and  
365 reduce cybersecurity risks related to conducting research, including the extent to which existing  
366 resources provided by NIST and other organizations support risk management activities. The  
367 institutions that provided feedback to NIST reported the use of defense-in-depth and risk-based  
368 approaches that generally emphasize strong governance and the implementation of both  
369 administrative and technical controls.

370 Governance often involves collaboration between IT/cybersecurity and sponsored research  
371 offices, and governance processes intended to support risk identification and management  
372 include the consideration of research data, which helps to foster risk-based approaches to  
373 cybersecurity in research contexts. Administrative controls can include policies, processes,  
374 efforts to instill a culture of cybersecurity risk management, and ongoing education for faculty,  
375 researchers, students, and administrators.

376 Technical controls can include the continuous monitoring of networks and systems, log  
377 collection and analysis, the management of secure storage systems, strong authentication,  
378 endpoint management, and elevated security for high-risk systems. Some respondents also said

379 that they rely on sharing threat information and best practices with similar research and  
380 education (R&E) institutions.

381 Respondents cited use of the NIST Risk Management Framework (RMF), NIST Special  
382 Publication (SP) 800-171, and SP 800-53 for general cybersecurity risk identification and  
383 management purposes, which then inform institutional approaches for risk management in  
384 research contexts. One respondent noted that available NIST resources allow for agility in  
385 mitigating cybersecurity risks and considering the unique cultural, statutory, and historical needs  
386 of the institution. Respondents also cited resources from others in the higher education  
387 community. See Appendix A for a non-exhaustive list of available resources.

388 Regarding the sufficiency and effectiveness of available resources, feedback indicated that  
389 institutions are challenged less by the availability of cybersecurity risk management resources  
390 and more by cultural, workforce, budgetary, policy, and other operational barriers that prevent  
391 effective and consistent operationalization of cybersecurity risk management strategies across  
392 research contexts.

393 Respondents indicated that because research cybersecurity — including the development of  
394 research cybersecurity professionals — has not been prioritized, the burden of frontline  
395 IT/cybersecurity often falls to research staff, including graduate students or other partners and  
396 contributors whose affiliation may not be with the institution or whose participation may be  
397 transient. Current cybersecurity resources largely speak to an audience of IT/cybersecurity  
398 professionals, and while general cybersecurity education materials and awareness trainings exist,  
399 they have not been designed with researchers in mind.

### 400 **3.3. Recommendations for Future Work**

401 The final question in the RFC requested feedback on potential new resources and areas of further  
402 research that might address common cybersecurity challenges and risks. The following thematic  
403 areas emerged from comments and community engagement:

404 • **Targeted cybersecurity resources.** Cybersecurity guidance is available to address  
405 several topic areas, including specific attacks (e.g., social engineering, phishing,  
406 ransomware, supply chain) and security risk management practices. However, tailoring  
407 existing cybersecurity guidance for use by researchers who do not have a cybersecurity  
408 background could be particularly useful in facilitating engagement between researchers  
409 and cybersecurity professionals within and across research institutions. Resources could  
410 be developed that are specific to particular fields of research and could emphasize the  
411 risks, impacts, and importance of applying cybersecurity within the research context.

412 • **Collaborative engagements.** Collaboration between groups and communities can  
413 provide opportunities for information sharing, innovation, and efficient problem solving.  
414 The feedback emphasized the importance of collaborating with existing research  
415 communities and the need for more collaboration with Federal Government entities.

416 There are several groups that are addressing some of the challenges faced by the research  
417 community. Working with these existing groups can help bolster awareness, engagement,  
418 and collaboration across the higher education research and cybersecurity communities.  
419 Some of the existing groups include:



- 420 ○ EDUCAUSE Higher Education Information Security Council (HEISC)
- 421 ○ NSF-funded Regulated Research Community of Practice (RRCoP)
- 422 ○ Trusted CI: The NSF Cybersecurity Center of Excellence
- 423 ○ REN-ISAC
- 424 ○ The National Laboratories

425 With regard to research, government agencies can play different roles (e.g., grantor,  
426 guidelines provider, resource distributor). Through collaboration with the research  
427 community, government agencies can better align their guidance, resources, and grants to  
428 the research environment.

- 429 ● **Trainings.** Training provides individuals with the opportunity to grow their knowledge  
430 base, improve their skills, and become more effective in a particular field. Training  
431 resources designed for researchers and their teams could raise awareness about the  
432 importance of cybersecurity, particularly cybersecurity’s value in preserving data  
433 integrity. With information about the impact and importance of secure research,  
434 researchers may be more willing to work with their institution’s security officers to  
435 ensure limited impact on their research experiments. Training could take the form of  
436 online training, webinars, and conferences that focus on the cybersecurity tools available  
437 to support secure research.
- 438 ● **Guidance for frameworks.** Frameworks are intended to provide structured guidance for  
439 building upon a system or a concept. Feedback did not specifically request more  
440 frameworks but rather further development of existing frameworks for institutional  
441 planning and implementation of research cybersecurity services. Tailoring certain  
442 frameworks to support research environments could help ease the integration of  
443 cybersecurity while simplifying the process and minimizing operational overhead.
- 444 ● **Grant guidance for security compliance.** Frameworks and other structured guidance  
445 are sometimes used to create complex compliance requirements for grantees interested in  
446 applying or participating in specific research opportunities, which may be unrealistic for  
447 higher education research institutions. The research community expressed the need for  
448 effective grant writing guidance that considers security, compliance, and research  
449 environments hosted at higher education institutions.
- 450 ● **Shared services support.** To meet cybersecurity needs or compliance requirements,  
451 research institutions need access to cybersecurity capabilities and services (e.g., secure  
452 enclaves, security operations centers or SOCs, data protection tools, etc.). Some  
453 institutions may not have the resources or funding to maintain a robust cybersecurity  
454 program on their own. It is in the public interest to ensure that scientific exploration  
455 remains open and accessible and that research opportunities are not limited to those  
456 institutions with the most robust in-house cybersecurity risk management and research  
457 compliance capacities. There are risk management models that support a thriving  
458 research ecosystem and achieve cybersecurity objectives without passing most of the  
459 burden onto individual performers and their host institutions. For example, organizations  
460 with well-established programs and services can help support the cybersecurity needs of  
461 smaller or disadvantaged research institutions. Funding organizations can also manage

462 common research infrastructures and services to more consistently apply cybersecurity  
463 protections across the community. Increasing awareness of available shared service  
464 opportunities and developing trusted cybersecurity services can help mitigate limited  
465 cybersecurity budgets for many institutions.  
466

467 **4. Potential Next Steps for NIST**

468 To help qualifying institutions of higher education identify, assess, manage, and reduce  
469 cybersecurity risks related to conducting research, NIST could pursue the following activities:

- 470     • Community-specific cybersecurity resources
- 471         ○ Determine whether additional cybersecurity resources can be tailored for a  
472             general audience, such as a repeatable process that can be applied per research  
473             activity or project.
- 474         ○ Determine whether additional cybersecurity resources can be tailored for specific  
475             fields of study, particularly those areas highlighted as having unique cybersecurity  
476             challenges (e.g., clinical research settings in general, biotechnology, quantum  
477             computing, neural psychology, optical science, space research, engineering).  
478             Examples of this type of work are referenced under the National Cybersecurity  
479             Center of Excellence (NCCoE) bullet in Appendix A.1.
- 480     • Coordination
- 481         ○ Coordinate with other federal agencies on cybersecurity for research contexts, and  
482             promote consistent application of NIST guidance.
- 483         ○ Identify mechanisms to sustain NIST’s institutional collaboration with the higher  
484             education cybersecurity and research communities, build on progress, and identify  
485             gaps where additional focus from NIST would be appropriate and mission-  
486             aligned.
- 487     • Capacity-building
- 488         ○ Identify opportunities to advise on content that could support cybersecurity  
489             trainings customized for a research context and audience.
- 490         ○ Evaluate the role that the National Initiative for Cybersecurity Education (NICE)  
491             Program could play in building capacity in research cybersecurity.
- 492

## 493 **Appendix A. Existing Cybersecurity Resources**

494 The higher education research community is encouraged to consider how existing cybersecurity  
495 resources could be leveraged to support the identification, assessment, management, and  
496 reduction of cybersecurity risks related to conducting research.

### 497 **A.1. NIST Resources**

498 Some institutions cited specific NIST resources for managing cybersecurity risks, including:

- 499 • SP 800-37r2 (Revision 2), *The Risk Management Framework (RMF)*:  
500 <https://csrc.nist.gov/projects/risk-management/about-rmf>
- 501 • SP 800-53r5, *Security and Privacy Controls for Information Systems and Organizations*:  
502 <https://doi.org/10.6028/NIST.SP.800-53r5>
  - 503 ○ SP 800-53Ar5, *Assessing Security and Privacy Controls in Information Systems*  
504 *and Organizations*: <https://doi.org/10.6028/NIST.SP.800-53Ar5>
- 505 • SP 800-171r2, *Protecting Controlled Unclassified Information in Nonfederal Systems*  
506 *and Organizations*: <https://doi.org/10.6028/NIST.SP.800-171r2>
  - 507 ○ SP 800-171r3 ipd (initial public draft) is available and in progress:  
508 <https://doi.org/10.6028/NIST.SP.800-171r3.ipd>

509 Additional NIST resources may be relevant to support cybersecurity risk management in  
510 research contexts, including:

- 511 • The Cybersecurity Framework: <https://www.nist.gov/cyberframework>
- 512 • The Privacy Framework: <https://www.nist.gov/privacy-framework>
- 513 • Getting Started with Cybersecurity Risk Management: Ransomware:  
514 <https://csrc.nist.gov/files/pubs/other/2022/02/24/getting-started-with-cybersecurity-risk->  
515 [management/final/docs/quick-start-guide--ransomware.pdf](https://csrc.nist.gov/files/pubs/other/2022/02/24/getting-started-with-cybersecurity-risk-management/final/docs/quick-start-guide--ransomware.pdf)
- 516 • NIST Interagency Report (IR) 8374, *Ransomware Risk Management: A Cybersecurity*  
517 *Framework Profile*: <https://doi.org/10.6028/NIST.IR.8374>
- 518 • SP 800-30r11, *Guide for Conducting Risk Assessments*:  
519 <https://doi.org/10.6028/NIST.SP.800-30r1>
- 520 • SP 800-223 ipd, *High-Performance Computing (HPC) Security: Architecture, Threat*  
521 *Analysis, and Security Posture*: <https://doi.org/10.6028/NIST.SP.800-223.ipd>
- 522 • SP 800-218, *Secure Software Development Framework (SSDF) Version 1.1:*  
523 *Recommendations for Mitigating the Risk of Software Vulnerabilities*:  
524 <https://doi.org/10.6028/NIST.SP.800-218>
- 525 • The Research Data Framework (RDaF): <https://www.nist.gov/programs->  
526 [projects/research-data-framework-rdaf](https://www.nist.gov/programs-projects/research-data-framework-rdaf)
- 527 • SP 800-63, *Digital Identity Guidelines*: <https://doi.org/10.6028/NIST.SP.800-63-3>
  - 528 ○ Revision 4 ipd is in progress: <https://pages.nist.gov/800-63-4/>

- 529 • National Cybersecurity Center of Excellence (NCCoE) projects and practice guides  
530 demonstrate how NIST guidance can be implemented and provide reference architectures  
531 to address cybersecurity challenges:
- 532 ○ Trusted Cloud: VMware Hybrid Cloud IaaS Environments:  
533 [https://www.nccoe.nist.gov/projects/trusted-cloud-vmware-hybrid-cloud-iaas-](https://www.nccoe.nist.gov/projects/trusted-cloud-vmware-hybrid-cloud-iaas-environments)  
534 [environments](https://www.nccoe.nist.gov/projects/trusted-cloud-vmware-hybrid-cloud-iaas-environments)
  - 535 ○ Mobile Device Security: Bring Your Own Device:  
536 <https://www.nccoe.nist.gov/mobile-device-security/bring-your-own-device>
  - 537 ○ Data Security: <https://www.nccoe.nist.gov/data-security>
  - 538 ○ [Cybersecurity of Genomic Data:](https://www.nccoe.nist.gov/projects/cybersecurity-genomic-data)  
539 <https://www.nccoe.nist.gov/projects/cybersecurity-genomic-data>
  - 540 ○ [Cybersecurity for the Space Domain:](https://www.nccoe.nist.gov/cybersecurity-space-domain) [https://www.nccoe.nist.gov/cybersecurity-](https://www.nccoe.nist.gov/cybersecurity-space-domain)  
541 [space-domain](https://www.nccoe.nist.gov/cybersecurity-space-domain)

## 542 **A.2. Internal Support Provided by Institutions of Higher Education**

543 Institutional resources may be available to researchers and their affiliates through institution-  
544 specific guidance documents, planning tools, trainings, and managed technology services. For  
545 example:

- 546 • University of California, Irvine OIT Service Catalog, Research Category:  
547 <https://www.oit.uci.edu/services/research/>
- 548 • University of Colorado at Colorado Springs Guidance Cookbook:  
549 <https://oit.uccs.edu/security/ResearchComplianceResources>
- 550 • University of Delaware Secure UD Research Security Plan Tool:  
551 <https://www1.udel.edu/security/research/>
- 552 • University of Georgia Office of Research:  
553 <https://research.uga.edu/research-security/controlled-unclassified-information/>
- 554 • University of Michigan Research Information Security Oversight (RISO) Program:  
555 [https://research-compliance.umich.edu/research-information-security/controlled-](https://research-compliance.umich.edu/research-information-security/controlled-unclassified-information-cui)  
556 [unclassified-information-cui](https://research-compliance.umich.edu/research-information-security/controlled-unclassified-information-cui)
- 557 • Indiana University SecureMyResearch Initiative:  
558 <https://cacr.iu.edu/projects/SecureMyResearch/index.html>
- 559 • Oklahoma State Research Compliance and Data Services Resources:  
560 <https://research.okstate.edu/faculty-resources/research-compliance-overview.html>  
561 <https://research.okstate.edu/faculty-resources/research-data-services.html>
- 562 • Texas A&M University Secure Technologies for Aggie Research (STAR) Platform:  
563 <https://it.tamu.edu/star/>
  - 564 • Data Classification Tool: [https://it.tamu.edu/community/tools/data-](https://it.tamu.edu/community/tools/data-classification.php)  
565 [classification.php](https://it.tamu.edu/community/tools/data-classification.php)

- 566
- TAMUS Secure Enclave: <https://it.tamu.edu/services/academics-and-research/research/available-research-resources/>
- 567

### 568 **A.3. Research and Education Community Resources**

569 Resources and services may also be available through other members of the R&E community  
570 and federal agencies. For example:

- 571 • Higher Education Community Vendor Assessment Toolkit (HECVAT), developed  
572 jointly by the Higher Education Information Security Council (HEISC) Shared  
573 Assessments Working Group, Internet2, and REN-ISAC:  
574 [https://library.educause.edu/resources/2020/4/higher-education-community-vendor-](https://library.educause.edu/resources/2020/4/higher-education-community-vendor-assessment-toolkit#tools)  
575 [assessment-toolkit#tools](https://library.educause.edu/resources/2020/4/higher-education-community-vendor-assessment-toolkit#tools)
  - 576 • Trusted CI Framework, Implementation Guide for Research Cyberinfrastructure  
577 Operators, templates, and other tools: <https://www.trustedci.org/framework>
  - 578 • Indiana University-hosted OmniSOC: <https://omnisoc.iu.edu/index.html>
  - 579 • Research & Education Networks Information Sharing and Analysis Center (REN-ISAC):  
580 <https://www.ren-isac.net/>
  - 581 • National Institutes of Health (NIH) Science and Technology Research Infrastructure for  
582 Discovery, Experimentation, and Sustainability (STRIDES) Initiative:  
583 <https://cloud.nih.gov/about-strides/>
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