Detailed User's Guide

EPRM
Enterprise Protection Risk Management

Integrated Defense Risk Management Process

Version 1.00

1 April, 2019

U.S. AIR FORCE

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Chapter 1
INTRODUCTION

1.1 Overview

Department of Defense (DoD) Directive 3020.40, *Mission Assurance (MA)*, directs the Services to integrate mission assurance assessment information into risk-assessment and risk-management activities[1]. It develops a DoD-wide process to assess and manage the risk and provides the authority for the Joint Staff to designate a system of record for conducting the assessments down to installation and tenant level[2]. Additionally, DoD Instruction O-2000.16, Volume 1, *DoD Antiterrorism (AT) Program Implementation: DoD AT Standards*, implements mandatory AT program elements within the mission assurance construct.[3] Consistent with the DoD guidance, Air Force Instruction (AFI) 31-101, *Integrated Defense (ID)*, requires Installation Commanders to identify and mitigate risk impacting operations, personnel, and resources. It also describes the methodology for implementation as the Integrated Defense Risk Management Process (IDRMP)[4]. In March of 2018, the Joint Staff designated the Enterprise Protection Risk Management tool as the Mission Assurance System of Record for risk assessment data.[5] AFI 31-101 states that the approved automated IDRMP application to facilitate the ID risk management process will be designated by the AFSFC.[6] The same EPRM tool selected by the Joint Staff is the tool that has been designated by the AFSFC to be used for the IDRMP. This Users' Guide will describe both how to use the tool, and how to apply the tool within the IDRMP construct.

1.2 About IDRMP

The Integrated Defense Risk Management Process (IDRMP) describes the process for developing assessments in order to provide commanders, Integrated Defense Working Groups, and defense planners with data to make more informed decisions concerning the defensive posture of their installations. It calls for using a standardized model to identify risks and develop risk management strategies. At the macro-level that model is a two phased process model that includes a Preparatory (precursor) phase and an Execution phase. Within this two phased model are second level process models that describe the actions that occur as the IDRMP proceeds. The first, the Preparatory Phase process steps, apply select steps of the Military Decision Making Process and Intelligence Preparation of the Battlespace[7] to set the stage for the Execution Phase of the IDRMP. In the Execution Phase, there are multiple steps that progress through the risk assessment and risk analysis to the final implementation of the

[1] DoD Directive 3020.40, *Mission Assurance*, 29 November 2016, with change 1, 11 September 2018, para 2.9.a., page 10.
[2] Ibid, para 2.10.b., page 11.
[3] DoD Instruction O-2000.16, Volume 1, DoD Antiterrorism (AT) Program Implementation: DoD AT Standards, 17 November, 2016, page 1.
[4] AFI 31-101, *Integrated Defense (ID)*, 6 July 2017,
[5] Joint Staff Memorandum, *Designation of Mission Assurance Systems of Record*, 16 March 2018.
[6] AFI 31-101, Integrated Defense (ID), 6 July 2017, para 3.1, page 54.
[7] Ibid., para 3.2, page 54.

risk management decisions. These individual steps are depicted in the graphic representation of the model shown in figure 1.

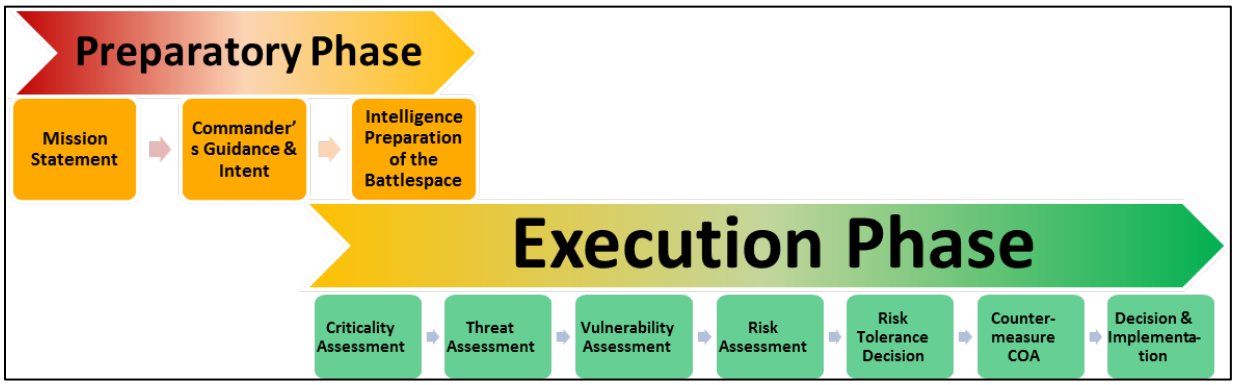

Figure 1. Integrated Defense Management Process Model

In the following chapters of this Users' Guide, these steps will be described in detail, in order to illustrate to users, the mapping of these steps to the tool processes introduced below.

1.3 About the EPRM Tool

The Enterprise Protection Risk Management (EPRM) tool is an automated assessment tool designed to assist users in the conduct of risk assessments for activities within the Mission Assurance framework. It consists of a multi-step process model for characterizing the organization, identifying that organization's critical assets, assessing the threat, and assessing the benchmarks that are in place. It is a SIPRNET based tool designed to provide users an automated method of assessing, analyzing, and reporting assessment data. It is designed to allow users to record data into assessment files that will be visible within the user's hierarchy (explained later in this User's Guide). The EPRM tool supports standardization of threats and asset criticality and allows users to focus on DoD benchmarks for vulnerabilities. These features provide for a standardized risk framework for MAJCOMs that provides a clearer picture to commanders of risk across the integrated defense mission activities. It can aggregate results for different levels of analysis including cross-command comparisons and perennial trends. The tool also has features that can simplify repetitive processes, like the use of templates and copying data for future assessments. It includes automated calculation through approved algorithms so that users aren't required to manually compute scores for criticality, threat, or countermeasure implementation. It also allows users to export data and reports in Word, Excel and PowerPoint formats to support preparation of decision briefs to the commander, such as risk tolerance and countermeasure implementation recommendations. It is anticipated that this tool will expand to eventually apply to all

activities of Mission Assurance.[8] The macro-level process model for EPRM execution is illustrated in figure 2.

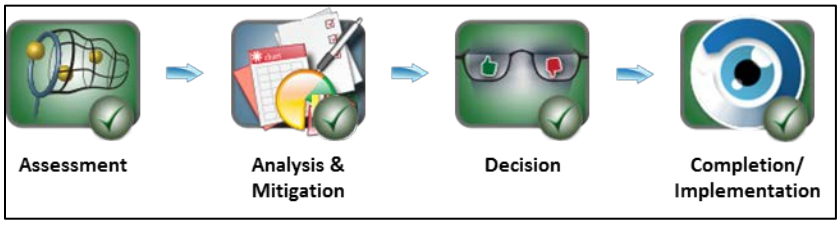

Figure 2. EPRM Process Model

Like the IDRMP model, this EPRM model also consists of second level process models that take a user through the process of risk assessment and through the analysis and approval process for implementation. The first of these models is illustrated in figure 3.

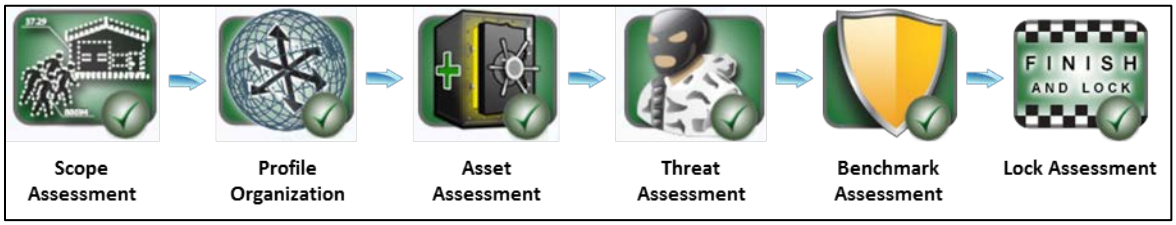

Figure 3. Assessment Process Model

Before diving into the specifics of this assessment process, it will be useful to understand the application and interaction between the IDRMP as described in

1.4 Integration of IDRMP and EPRM.

The process for managing risk as it is executed in IDRMP is well suited to application of the tool that provided in EPRM. The processes map well together and the methodology that is delineated in IDRMP calls for execution using an automated application, as noted above. This User's Guide will walk users through the procedural steps described by the IDRMP and map those to the steps of the EPRM tool. It will describe both of these process models in sufficient detail to enable users to meet the intent of Integrated Defense risk management execution through the application of the EPRM tool. Therefore, the following chapters will describe both the IDRMP and EPRM processes as the user moves through the full risk management methodology.

Chapter 2

[8] Joint Staff Memorandum, Designation of Mission Assurance Systems of Record, 16 March 2018.

EPRM Tool Orientation

2.1 Overview of the EPRM Tool

As stated in the introduction, the EPRM tool has been designated as the Mission Assurance System of Record for risk assessment data. The vision is that all activities within the Mission Assurance community will migrate to the use of this tool for the assessment phase of managing risk and for assessment data filing functions of the Risk Management process. This includes the Mission Assurance activities which encompass the Air Force's Integrated Defense. To understand the interconnection of EPRM and IDRMP, first it is necessary to describe the tool so that users will recognize the tool features that will be used as they work through the IDRMP.

2.2 User Accounts

Before describing the tool, it is important that the user have an active account. In order to get an account, a prospective user must apply. (Note: You must have a SIPRNET account, active SIPR token, and SIPRNET email address in order to access EPRM) Requesting a user profile can be done on either SIPRNET or NIPRNET.

2.2.1 Getting Started via SIPRNET

Navigate via SIPRNET to: https://eprm.csd.disa.smil.mil/ At this address, the page shown in figure 2-1 will appear.

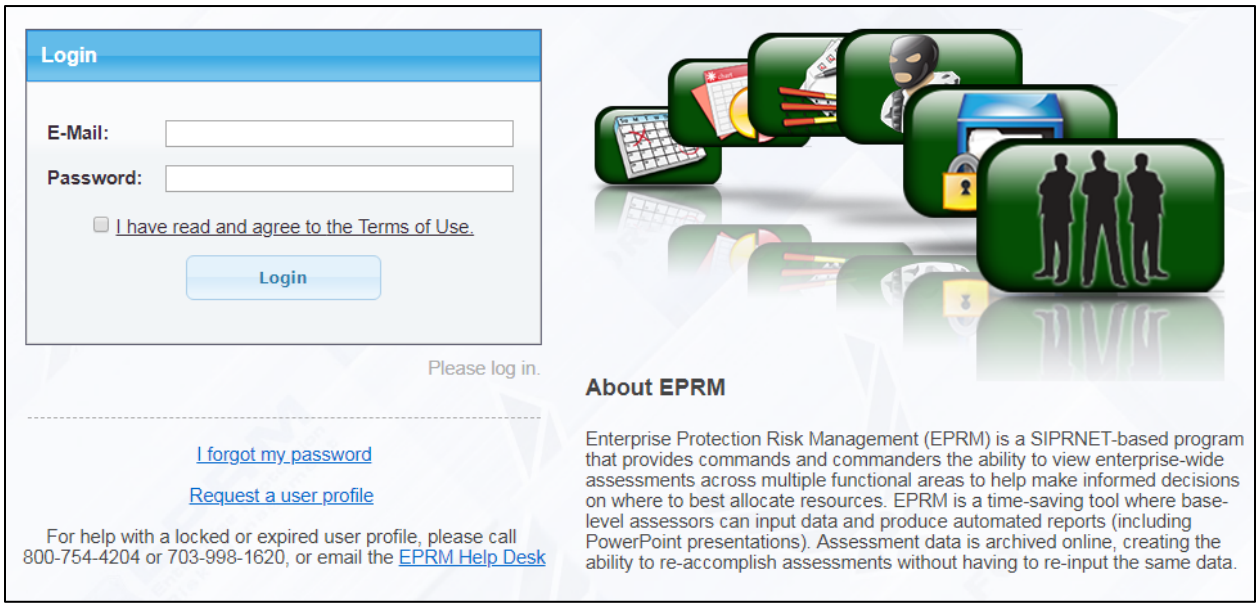

Figure 2-1. EPRM Login Page.

2.2.2 User Profile Request

Request a user profile by clicking on the "Request a User Profile" link at the bottom left of the page, below the login box.

2.2.2.1 Information Required

Applicant must be prepared to provide the following information:

Name(First, MI, Last)

Telephone(s)

Duty Title

Major Command

Base/Station/Post

Unit/Organization

Email NIPR & SIPR

User objective: IDRMP or AT/FP

2.2.2.2 Information Transmission

Upon clicking the “Request a User Profile” link, an email page will open. I nclude or attach the above personal information in the email and a prompt will appear to send to EPRMhelp. An auto-generated email with a temporary password will be transmitted to the SIPR address given within 3-5 business days.

2.2.2.3 User Roles and Hierarchy Placement

Users will be assigned within the Air Force hierarchy based on the information provided above. Each user will receive User Roles commensurate with the level of assignment, i.e., not all users will have all capabilities. The hierarchy placement determines the level of visibility of reporting information accessible to each user. It also determines at what level a user can execute assessments.

2.2.3 Getting a User Profile via NIPRNET

Navigate via NIPRNET to: http://eprmhelp.countermeasures.com/. At this address, the page shown in figure 2-2 will appear.

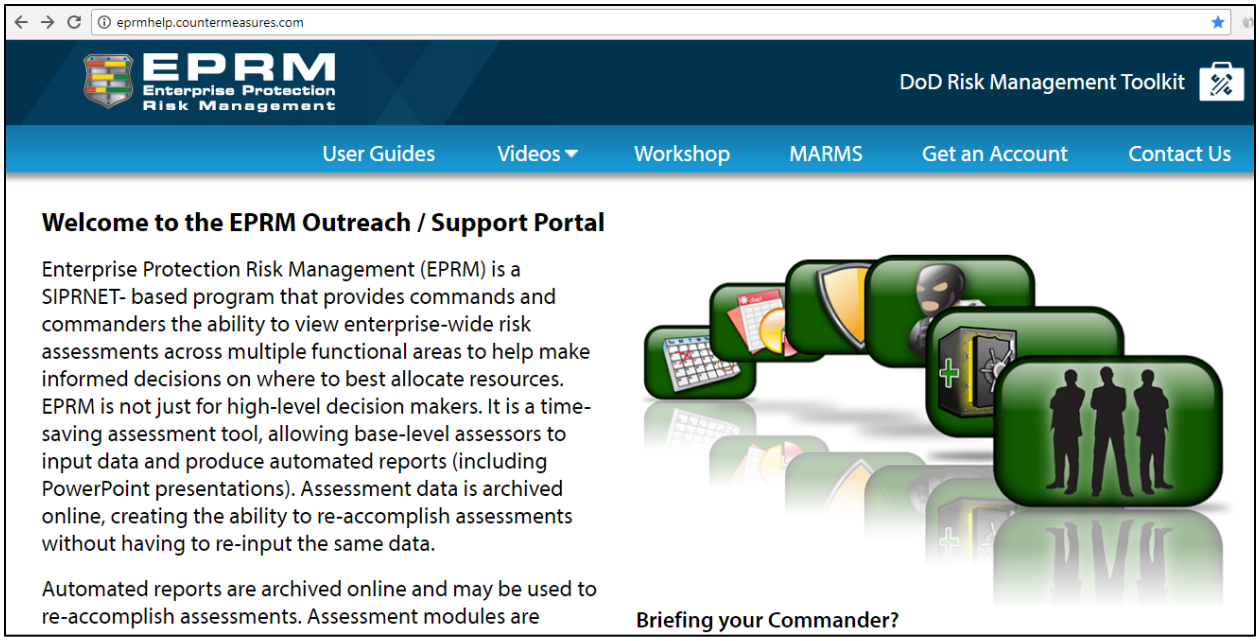

Figure 2-2. NIPR Request for User Profile.

2.2.4 User Profile Request via NIPRNET

Request a user profile by clicking on the "Get an Account" link at the top right of the page on the second banner.

2.2.4.1 Information Required

The information here is the same as in paragraph 2.2.2.1 above. (Note: Again, no account can be established unless user has a SIPRNET account, active SIPR token, and SIPRNET email address in order to access EPRM).

2.2.4.2 NIPR Information Transmission

Include or attach the above personal information in the email that will be prompted to send to EPRMhelp. An auto-generated email, on SIPRNET email, with a temporary password will be sent within 3-5 business days.

2.2.5 Starting EPRM

Once an account has been established, as evidenced by receipt of an email and temporary password, navigate via SIPRNET to: https://eprm.csd.disa.smil.mil/. Follow this sequence:

2.2.5.1Enter your SIPRNET email address in the first box in the Login window. Refer back to Figure 2-1.

2.2.5.2 Enter the temporary password from the email notification message.

2.2.5.3 Check the box acknowledging the Terms of Use. (Note: failure to check this box each time the user logs in will cause all fields to clear and require retyping of email address and password)

2.2.5.4 Click Login. The tool will open to the homepage.

2.3 Homepage

When the tool is opened, the homepage screen is presented. It displays a dashboard above a set of grid displays. Described below, the dashboard is a set of action buttons to move between activities within the tool, while the grids display assessments and management postings for a user to observe various assessment and tracking data. What follows is a detailed description of these different areas of the homepage.

2.3.1 Dashboard

At the top of the homepage a dashboard is displayed which provides an array of action buttons which guide the user in selecting the function desired. The array of buttons visible is dependent on the roles that a user is assigned. For example, if a user is not assigned template building/management responsibilities, the “Manage Templates” button will not appear on that user’s screen when he or she opens the tool.

Figure 2-3. Dashboard

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2.3.1.1 START Button

The START button is the initiation control for beginning a new assessment. Clicking this button takes the user to the introductory page of the assessment where naming and other preliminary actions occur.

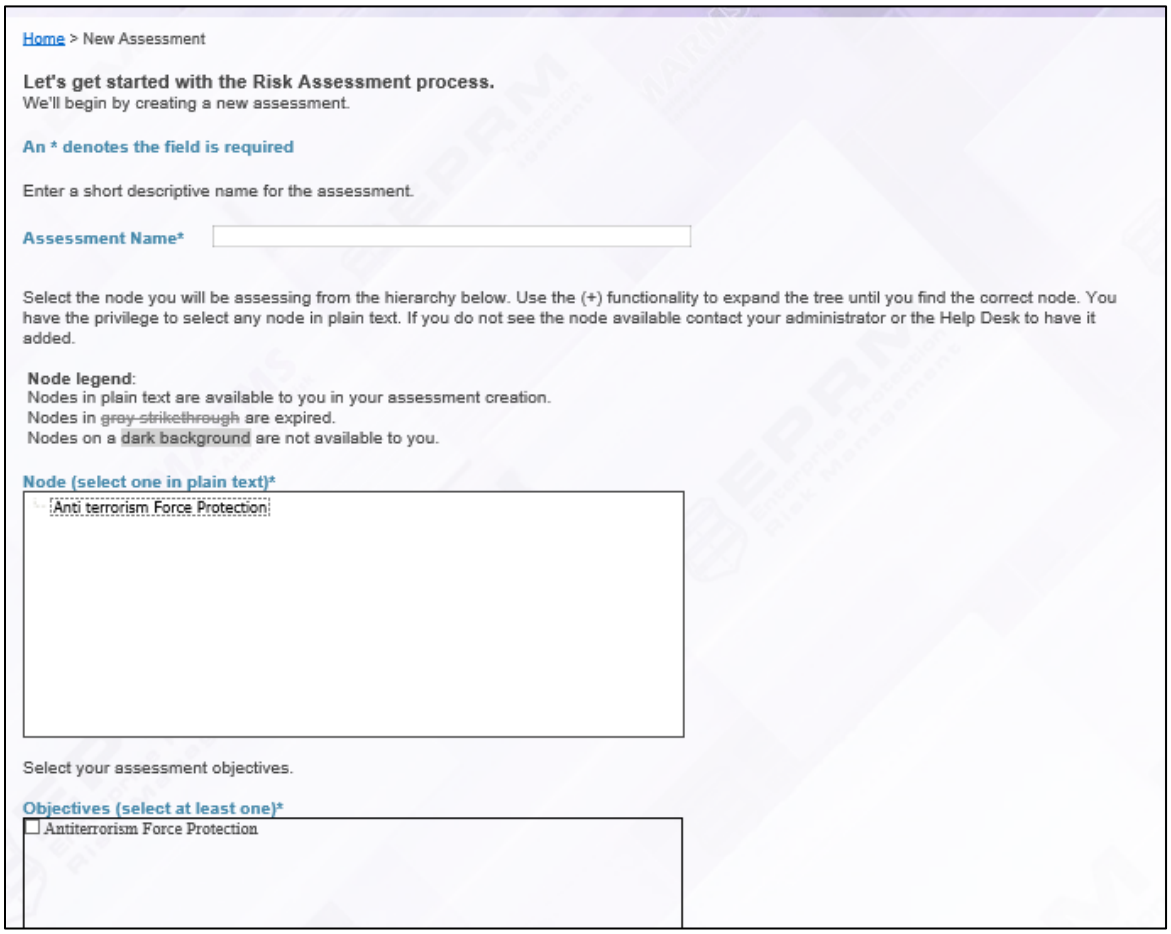

Figure 2-2. Click Start Button to get to Assessment Information Page

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2.3.1.2 Advanced Analysis

The Advanced Analysis button opens a page to setup further detailed analysis of one, or comparative analysis of multiple assessments. This may be used to open analysis for a particular individual assessment, and to view a comparison of two or more assessments from the same unit, or, selected units within a command.

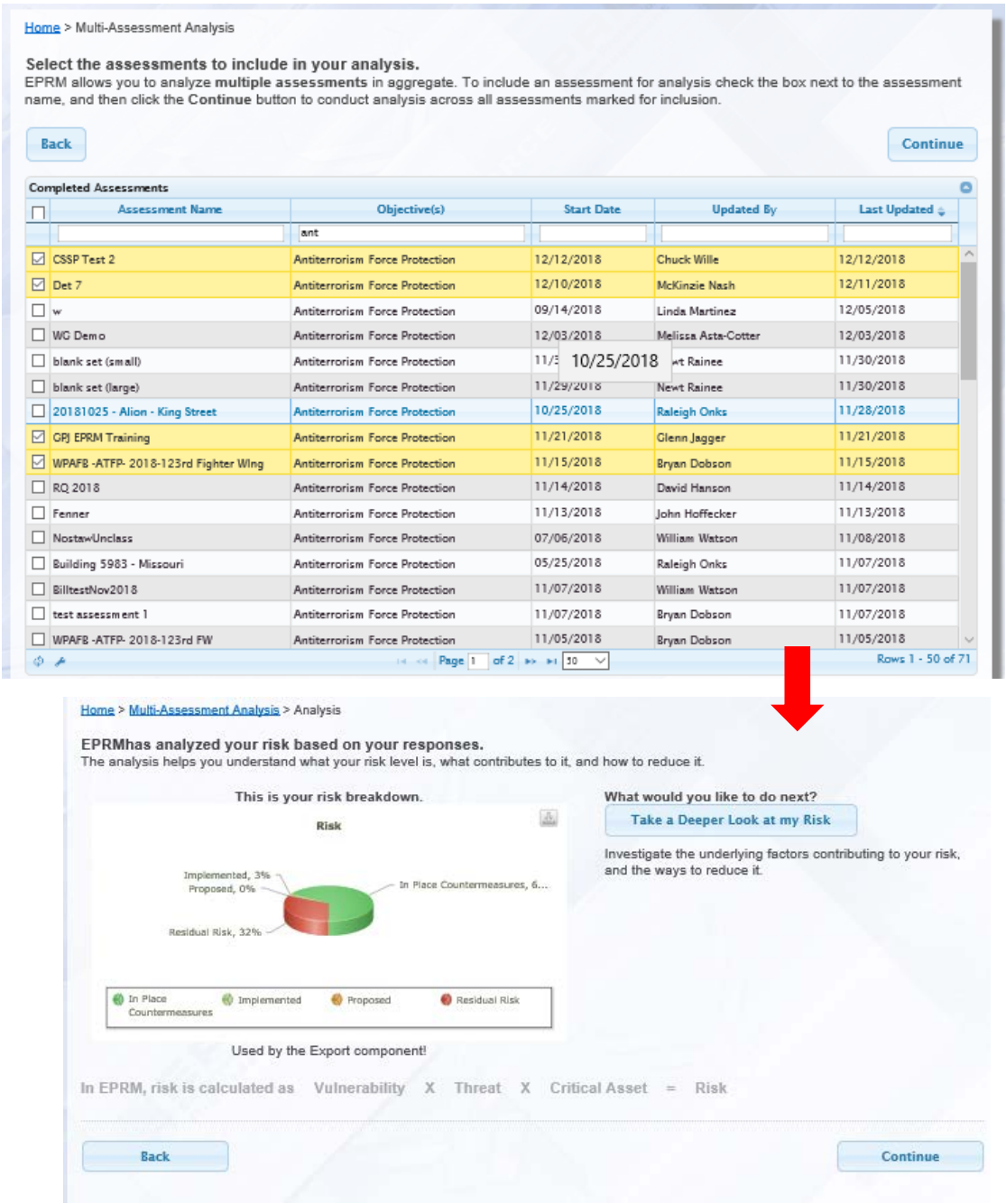

Figure 2-3. Assessment Analysis Page

2.3.1.3 View References and Materials

The “View References and Materials” button opens a page that displays topical listings of helpful documents and user guides. The publications cited in the tool, such as DoD Instruction 2000.12, Antiterrorism (AT) Program, are included here. Checklists for the Benchmarks are also included in this section of the tool.

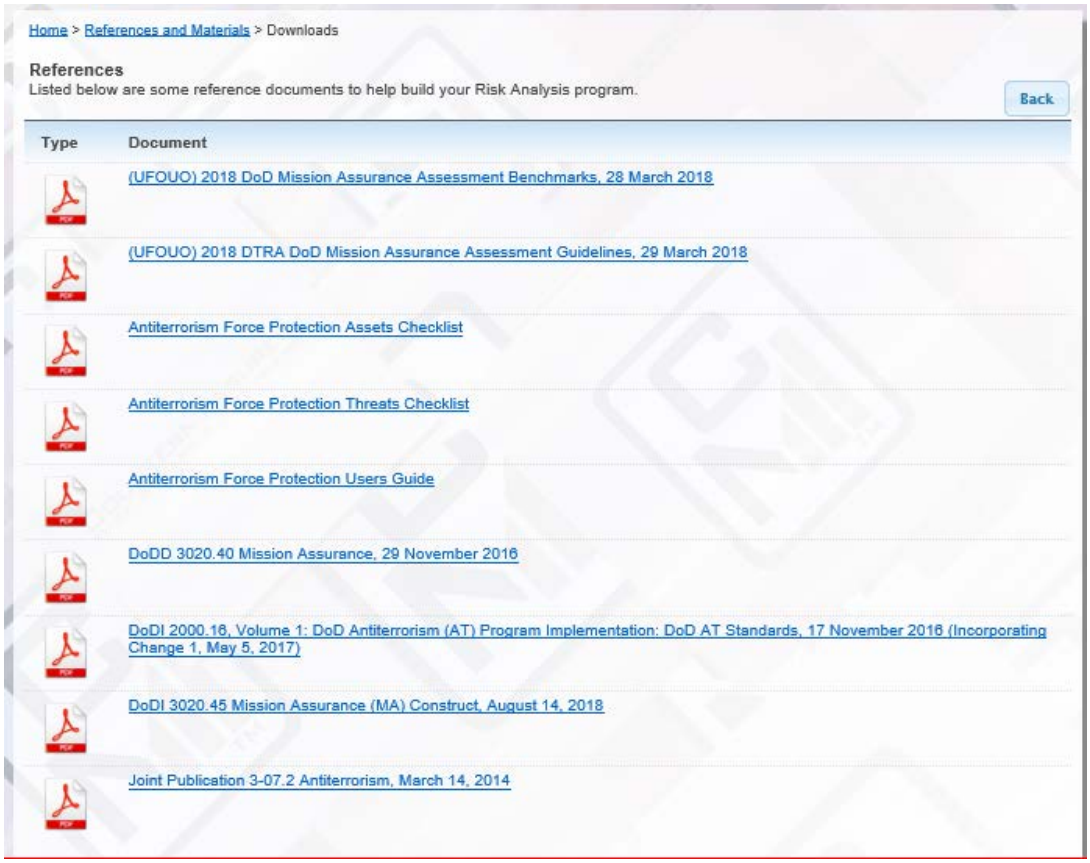

Figure 2-4. Reference and Materials Page

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2.3.1.4 Manage Templates

The Manage Templates button opens a page that allows users to both create new templates and to manage existing ones within their hierarchy.

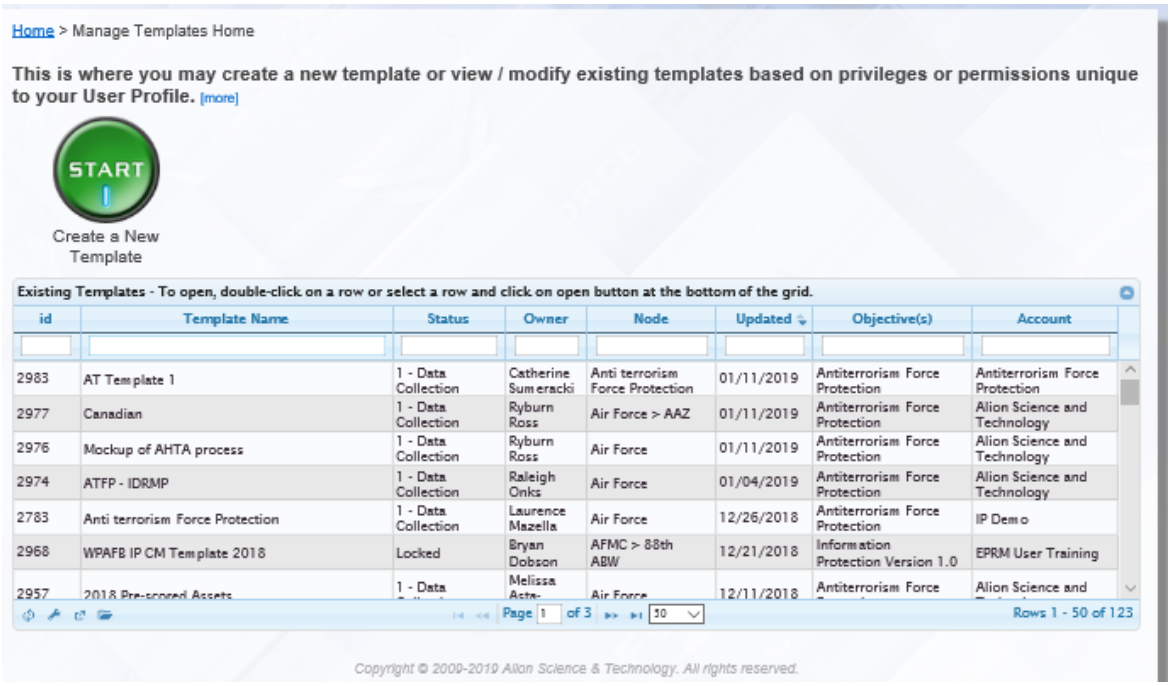

Figure 2-5. Manage Templates Page

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2.3.1.5 Manage Survey Responses

The Manage Survey Responses button allows users to take part in directed surveys originating from higher headquarters. These act as data calls for specific information required by the higher headquarters. Currently this function is limited to administrators only

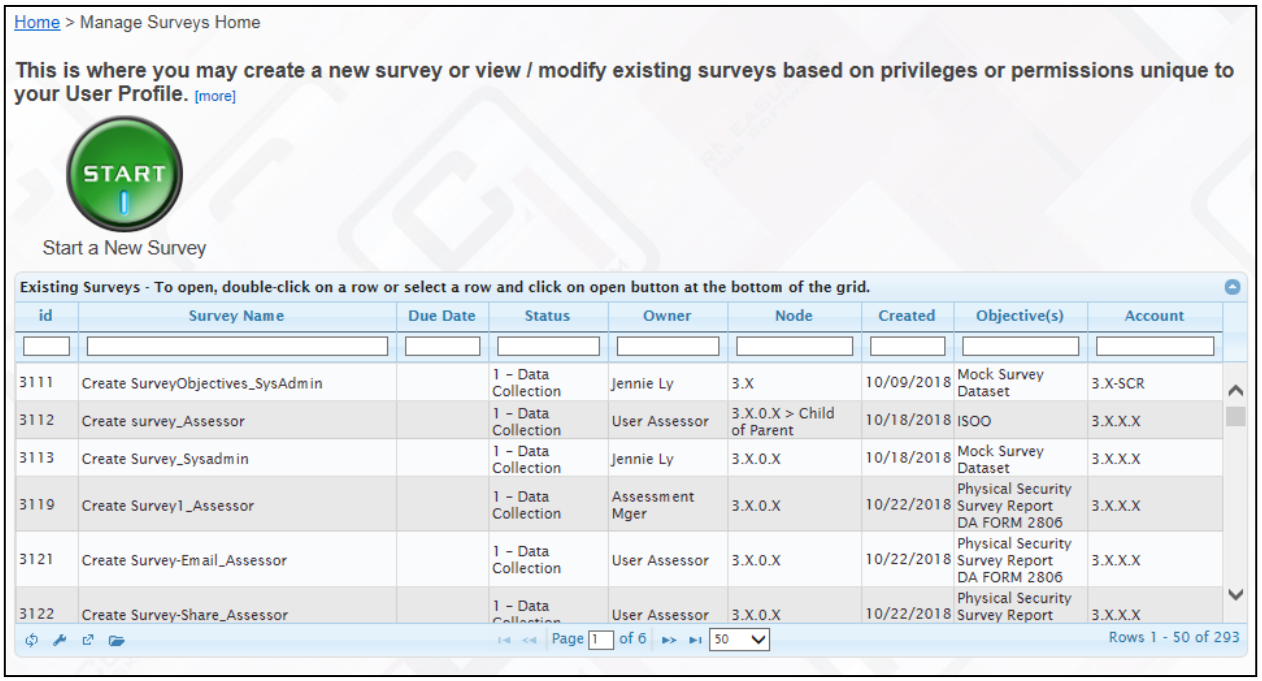

Figure 2-6. Manage Surveys Page

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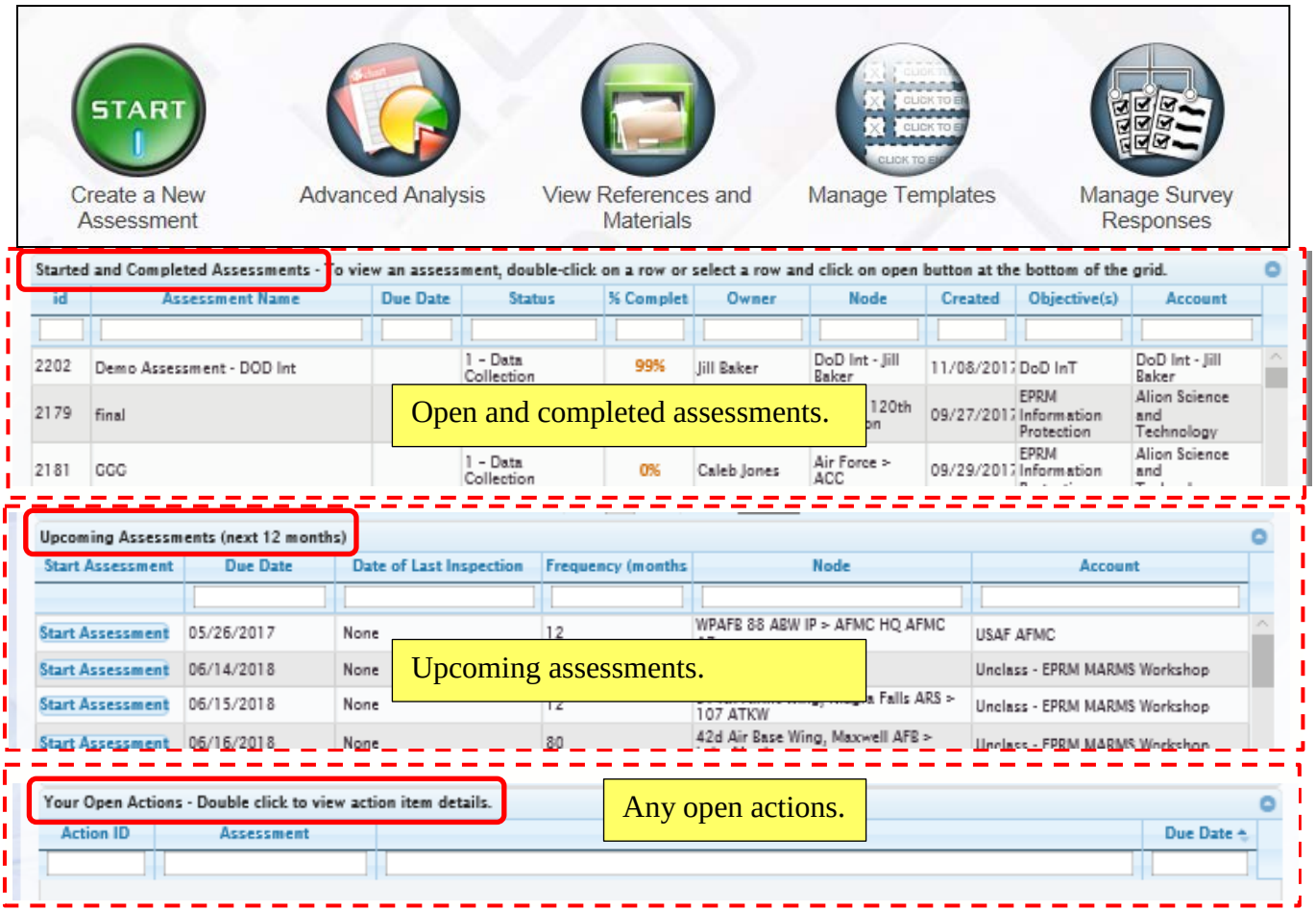
2.3.2 Assessment Grid System

The homepage, Assets list, Threats, and Benchmarks are all portrayed on a grid system. The information described below is common to all the grid pages.

2.3.2.1 Assessment Home Page

The homepage grid is segmented; the top third displays open and completed assessments,



the middle displays projected assessments to be completed, and the bottom portion displays open action items.

Figure 2-7. Assessment Grid System

2.3.2.2 Column Controls

There are two control features associated with each column. One allows a user to sort the data displayed and the other allows the user to filter data.

2.3.2.2.1Column headers

Column headers describe the data displayed in a particular column. Sorting is accomplished using the column header. By clicking on a column header, a user can sort the assessments displayed according to the protocol of that column, alphabetical, chronological, or numerical. Clicking again will reverse the order of displayed items. For example, if a user clicks the "Created" column (indicates date the assessment was first created) once, assessments will be sorted from oldest to newest created assessment. Clicking again will reverse the order so that assessments will be displayed newest to oldest.

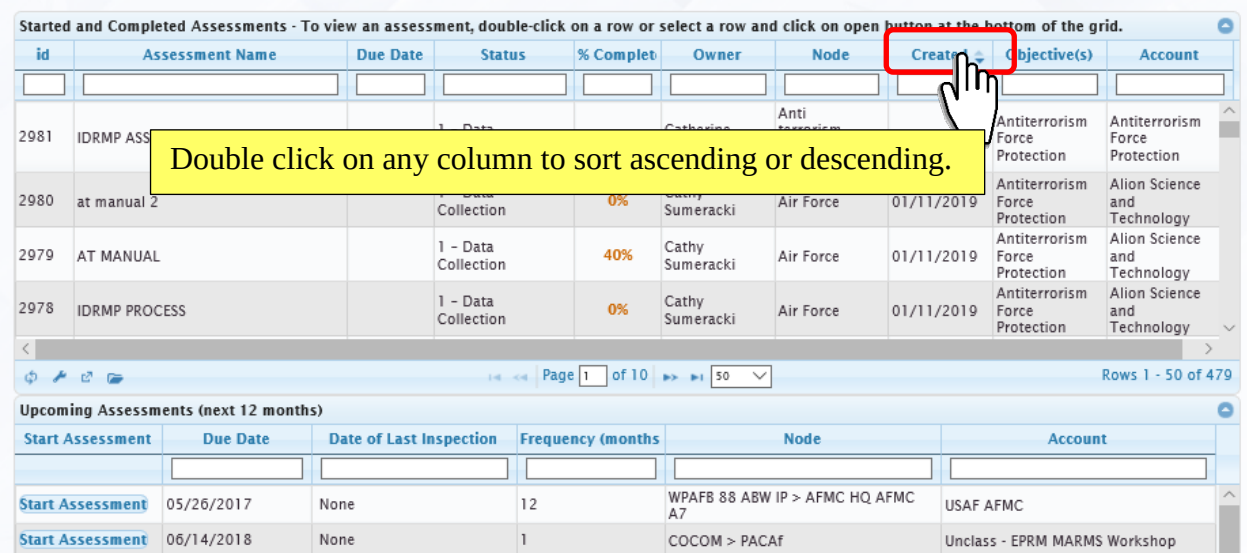


Figure 2-8. Column Headers

2.3.2.2.2 Filter Boxes

Below the header row in each column there is a filter box. Entering data into one of these boxes will filter the displayed assessment data in accordance with the typed filter. For example, if filtering by the owner, typing the owner's name into the block

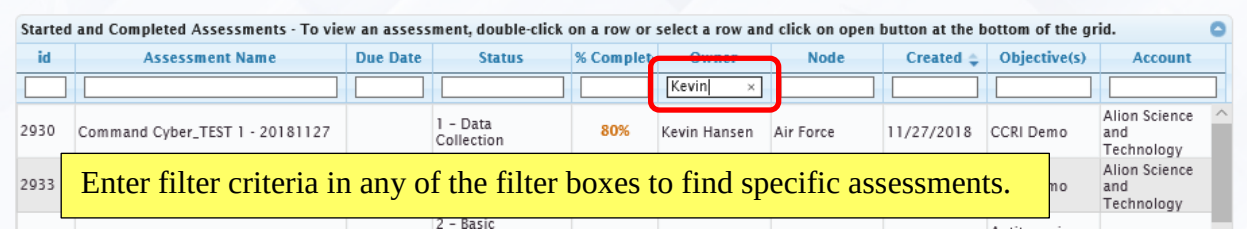


Figure 2-9. Column Filters

2.4 Administrative Tools

Once an assessment is completed, there are changes that can be made through the Assessment Administrative section of the main assessment page.

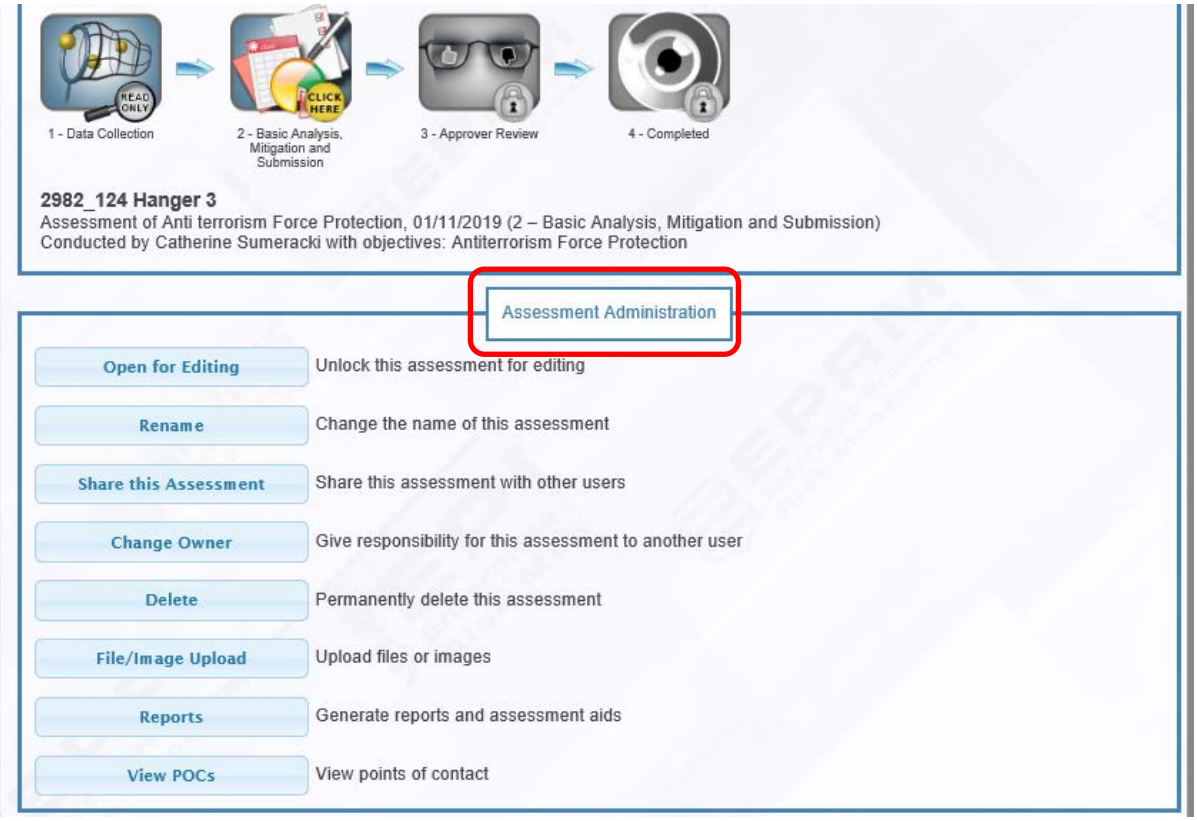


Figure 2-10. Assessment Administration

2.4.1 Renaming Assessments

To rename an assessment:

- Click on Rename from the main assessment administration menu.
- Enter the new name.
- Click OK.

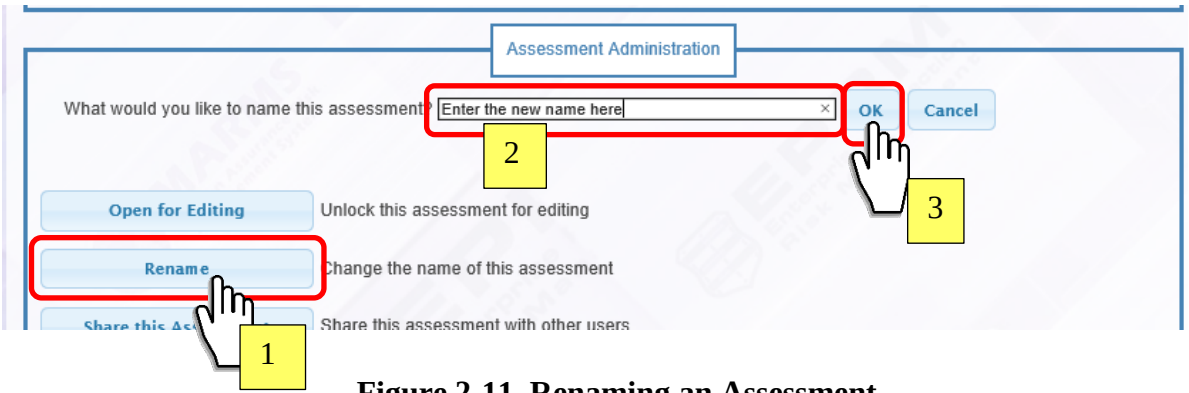


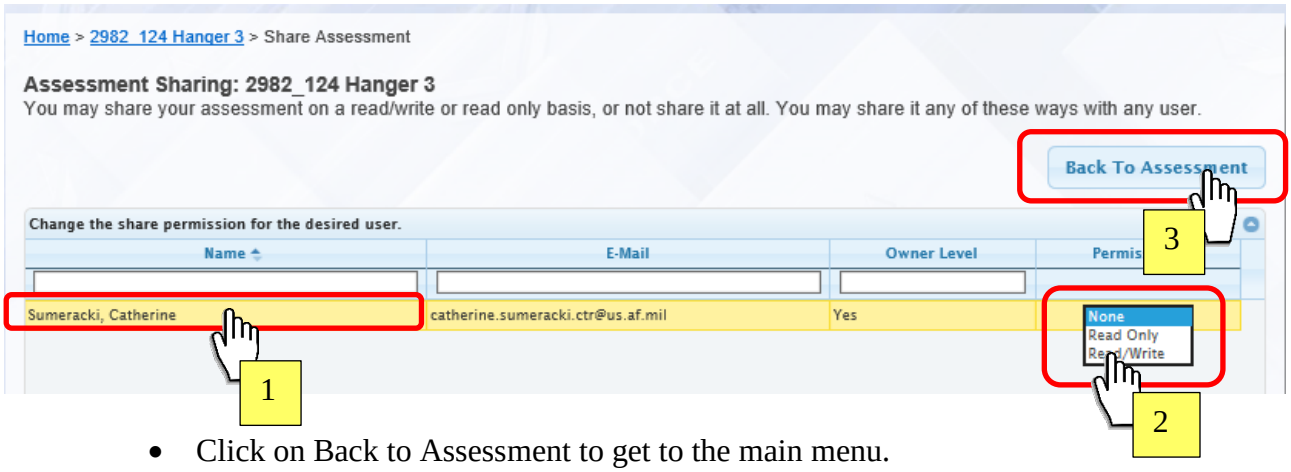
Figure 2-11. Renaming an Assessment

2.4.2 Sharing Assessments

If someone else needs to be able to see the assessment, you can share the assessment. The assessment will then show on the list of the assessments of the person you shared it with. The person does needs to have access to EPRM.

To share an assessment:

- Click on Share Assessment from the main assessment administration menu.
- Click on the name whom you want to share the assessment with.
- Select the appropriate permissions.



- Click on Back to Assessment to get to the main menu.

Figure 2-12. Sharing an Assessment

2.4.3 Changing Ownership

In the event the original assessor is no longer able to continue or there are other circumstances that warrant a change in ownership, you can change ownership.

To change ownership of an assessment:

- Click on Change Ownership from the main assessment administration menu.
- Select the name of the person who will now own it.
- Click on Change.

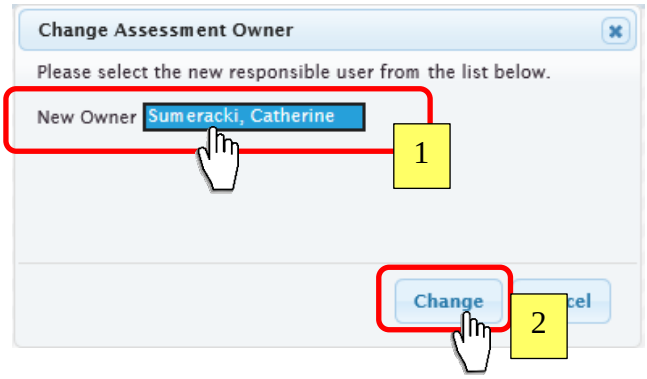


Figure 2-13. Changing Ownership of an Assessment

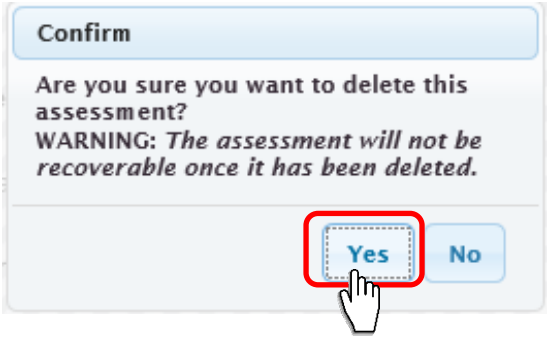
2.4.4 Deleting Assessments

In the event an assessment needs to be deleted, you can delete it.

To delete an assessment:

- Click on Delete Assessment from the main assessment administration menu.
- Click on Yes to confirm deletion.

Figure 2-14. Deleting an Assessment



2.4.5 Uploading Files

If additional information is needed as part of the assessment, EPRM allows you to upload files that are attached with the assessment.

To upload files as part of an assessment:

- Click on File/Image Upload from the main assessment administration menu.
- Locate the file on your computer using the Browse Button.
- Double click on the file to upload
- Add a description of the file
- Click Upload button.
- Verify file is uploaded by viewing list at bottom.

The diagram on the following page shows the steps in visual format.

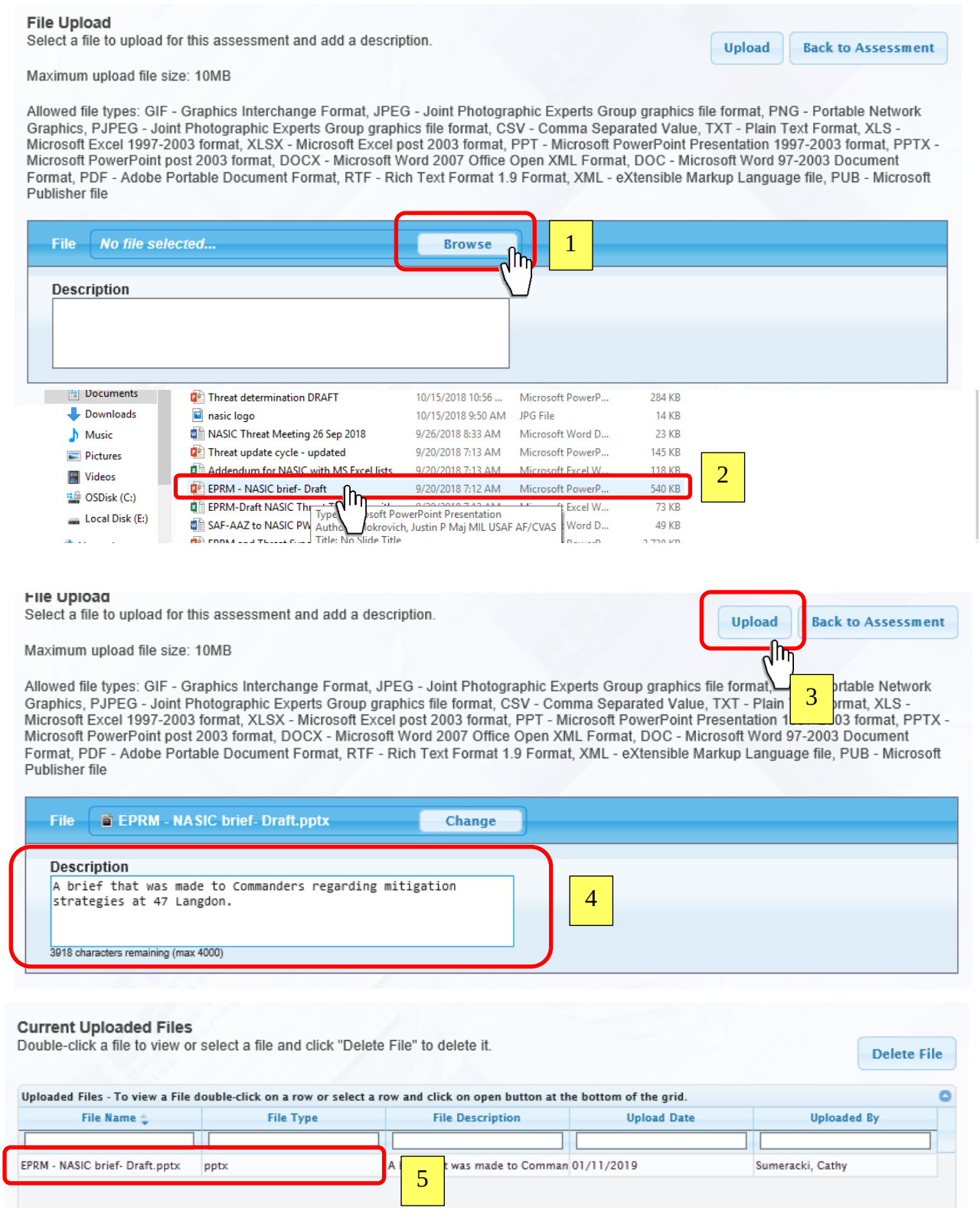


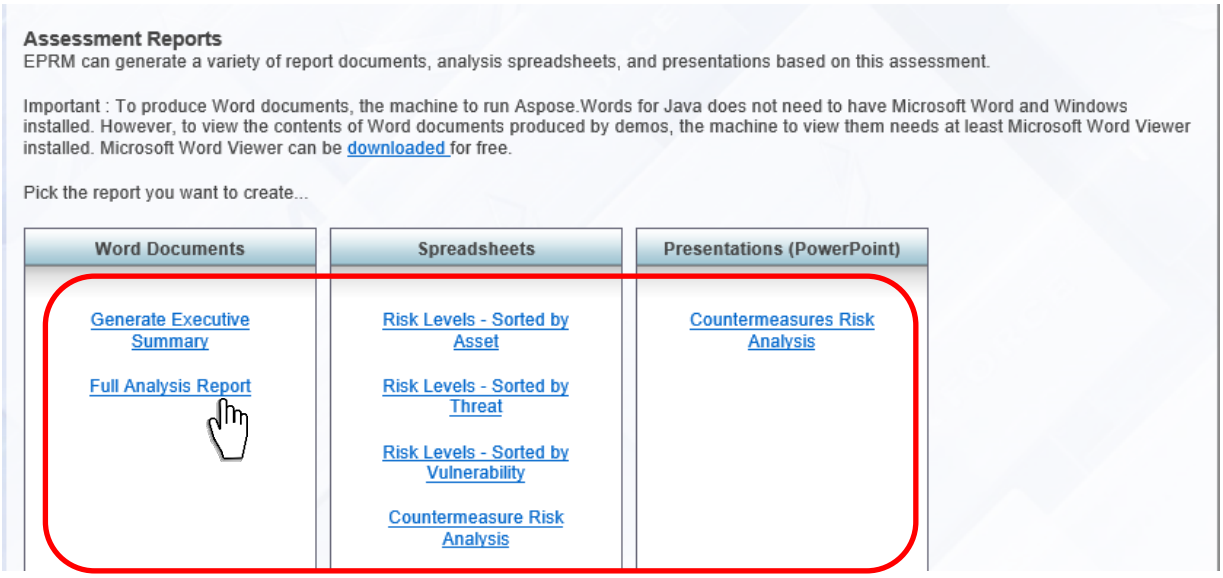
Figure 2-15. Uploading a File as Part of an Assessment

2.4.6 Report Generation

EPRM has several editable reports as follows:

To view and/or save any of the reports:

- Click on Reports from the main assessment administration menu.
- Click on the hyperlink to open a report.



- Save to your desktop (if applicable).

Figure 2-16. Generating Reports

2.4.7 Viewing Points of Contact

To view the points of contact on an assessment:

- Click on View Contacts.
- Click on Back to Assessment to get to main page.

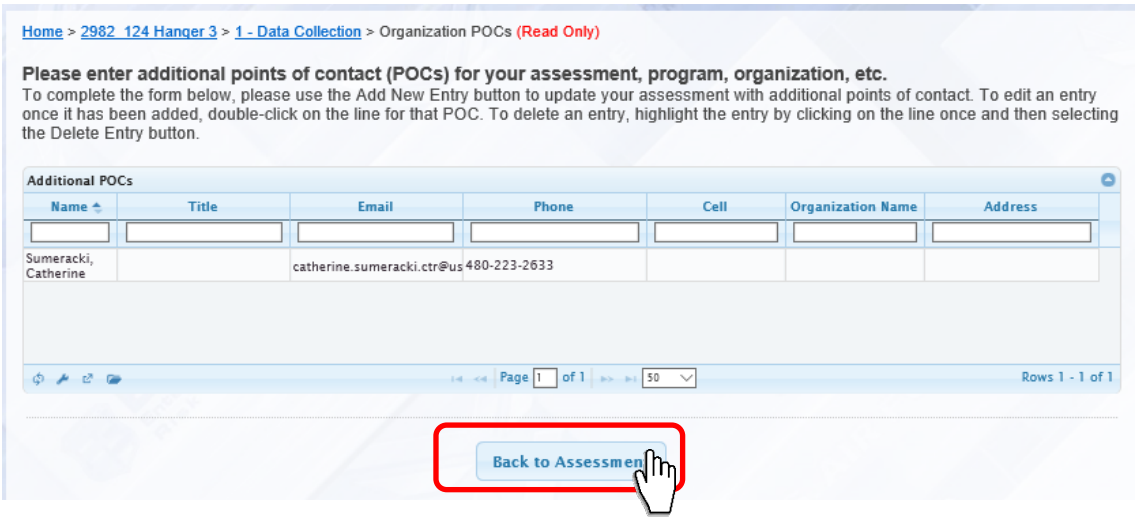


Figure 2-17. Viewing Points of Contact

2.4.8 Opening for Editing

If changes need to be done on an assessment that has been fully completed, it will need to be opened for editing to make any updates.

To open a completed assessment for editing:

- Click on Open from Editing from the main assessment administration menu.
- Edit as needed.
- Finish and Lock assessment to complete.

Figure 2-18. Opening an Assessment for Editing

2.5 Additional Features

2.5.1 Expiring Templates

In the event a template is no longer needed, you can expire the template.

To expire a template:

- Click on Manage Templates.
- Double click on the template to open.
- Click on Expire Template.
- Click Yes to confirm expiration.

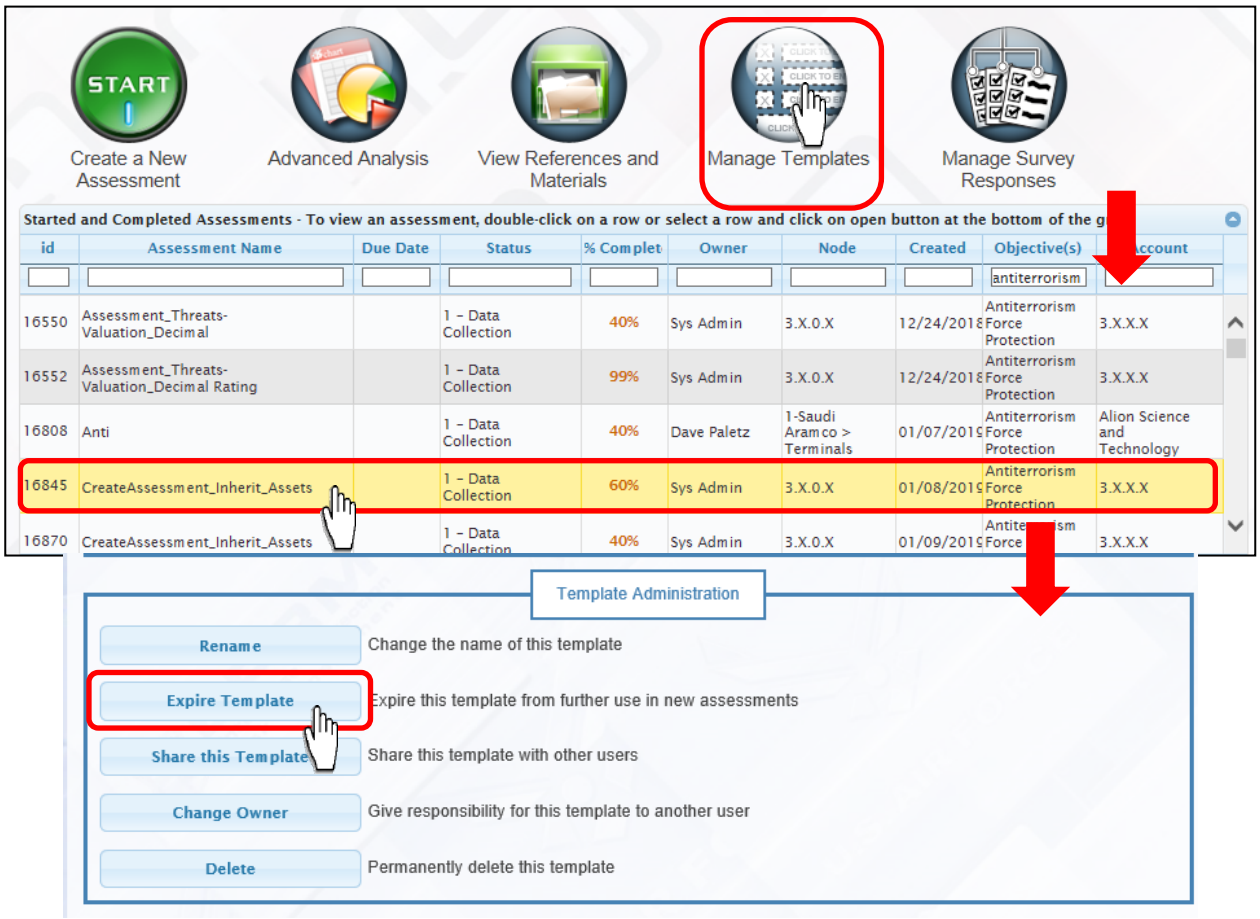


Figure 2-19. Expiring Templates

2.5.2 Process Pages

Process pages are the actual pages of the assessment. Once an assessment is started and the assessment information page is completed, the process pages show. Icons show in color indicate this is completed or in the process of being completed. Icon showing in grey indicate these are not completed.

Figure 2-20. Process Pages

2.5.2.1Profile Organization

This page describes the organization and the assessment. You can use the blue hyperlinks (breadcrumbs menu) to return to different areas of the tool. You can also use the Back and Data Collection Buttons to navigate. Once questions are complete, click Continue.

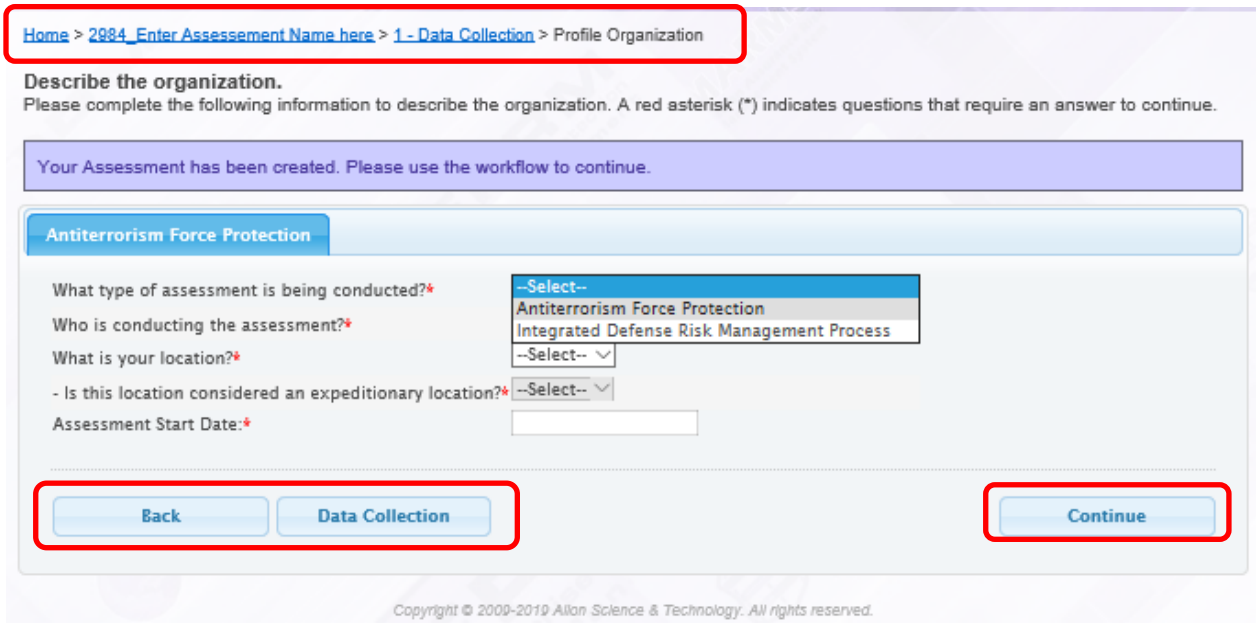


Figure 2-21. Profile Organization Page

2.5.2.2 Scope the Assessment

This page has questions that help identify assessment questions that would be applicable to the unit/installation being assessed this scoping the assessment. For example, if you classified information, assessment questions relative to classified information would be included as part of he assessment. If you do not have classified information, those assessment questions would not be included.

Hovering over any blue info button provides additional information about the question.

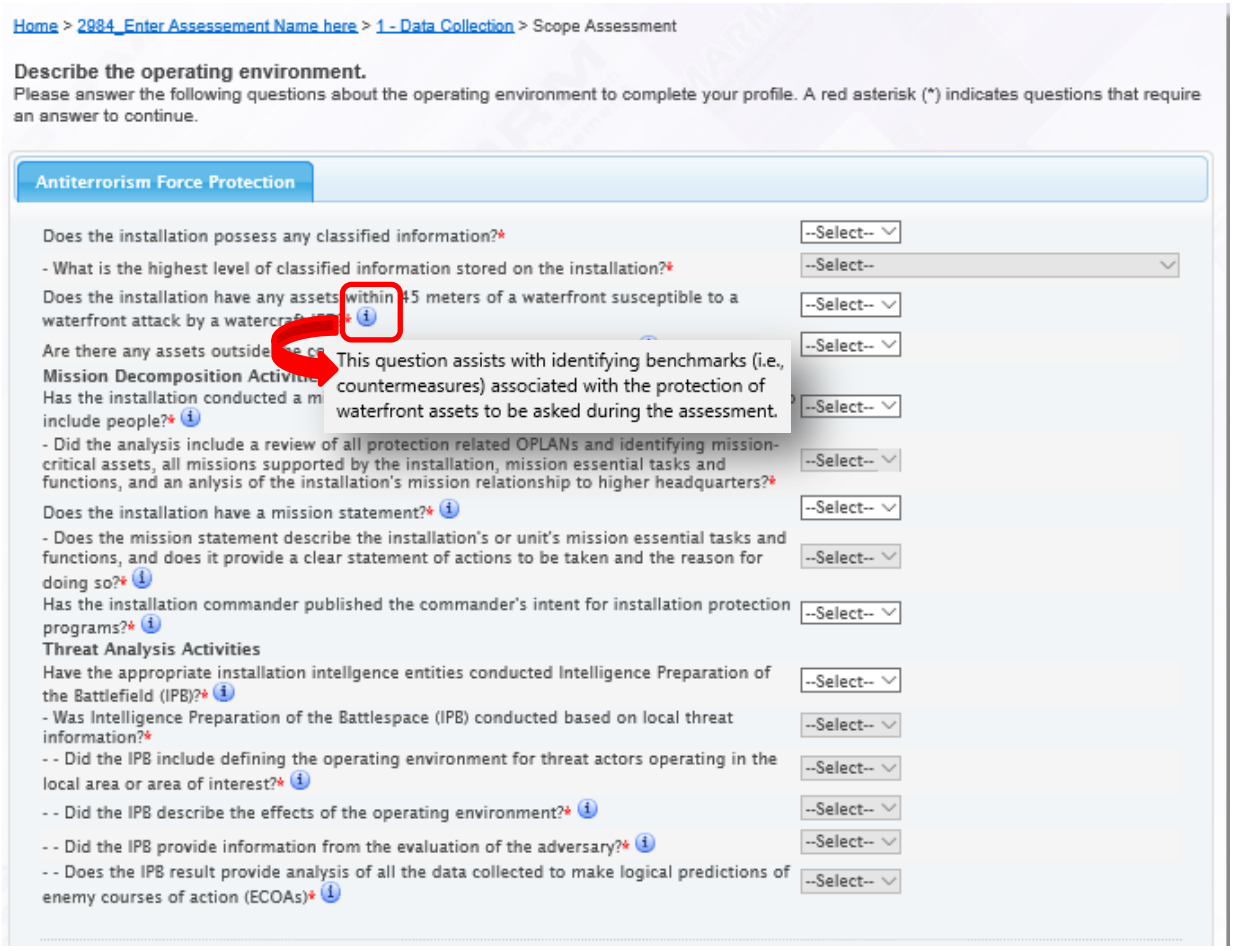


Figure 2-22. Scope the Assessment Page

2.5.2.3 Asset Grid

A complete list of assets is provided. Hover over each asset to get more information. You select the assets applicable to this assessment. When you answer yes to an asset, a pop up window has questions that need to be answered for each asset. If you are using a template that already has asset information completed, you ony need to answer the last question for each asset. Once assets are selected, you can use the Answer No to All Unaswered button to complete the asset page. There are other features of this page and other process pages including:

1. The ability to filter assets by group	2. Add or view a commnet on any asset
3. Overall progress	4. Ability to export list to Excel.

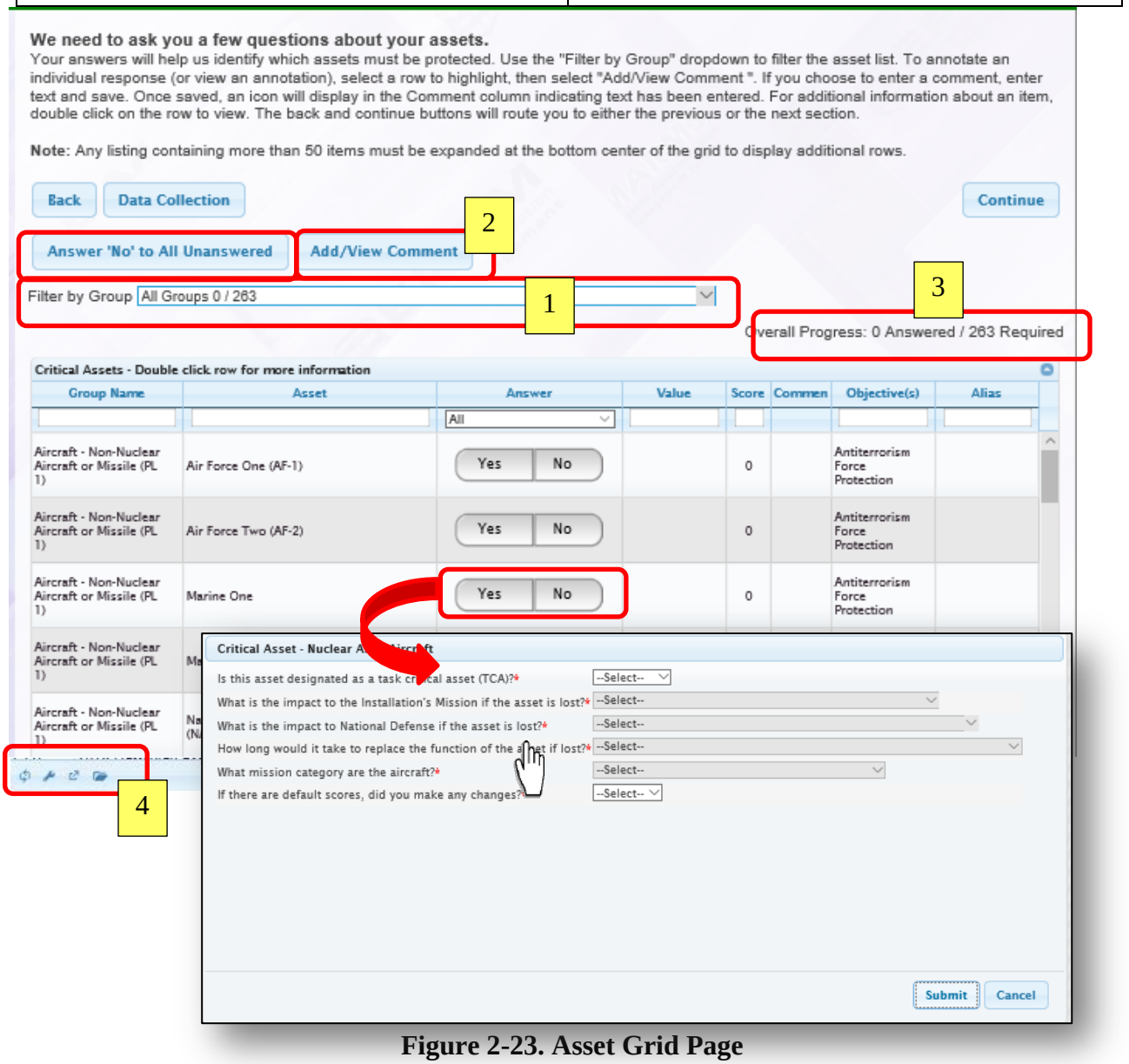


Figure 2-23. Asset Grid Page

2.5.2.4 Threat Grid

A complete list of threats is provided. You select the threats applicable to this assessment. When you answer yes to threat, a pop up window has questions that need to be answered foe each threat. If you are using a template that already has threat information completed, you ony need to select yes and submit for each threat. Once your threats are selected, you can use the Answer No to All Unaswered button to complete the asset page. This page has the same features as the assets page more information when the mouse is hovered over the threat, the ability to filter by asset group, add/view a comment, overall progress and the ability to export the list of threats into Excel.

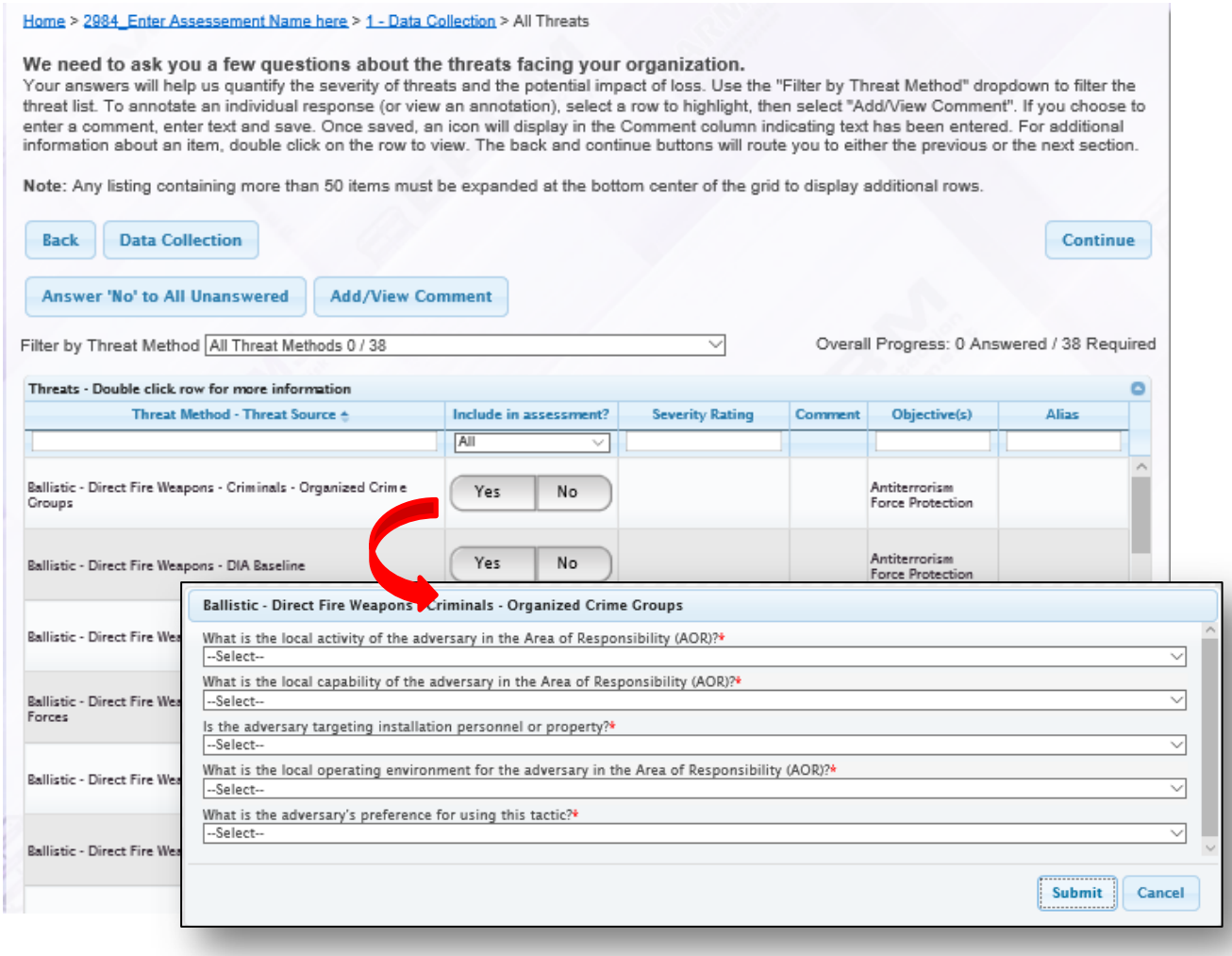


Figure 2-24. Threat Grid Page

2.5.2.5 Benchmark Grid

The benchmark grid shows the questions that need to be answered to complete the assessment.

All questions on this page need to be answered to compete the assessment. You can answer them one by one by clicking on Yes or No to each benchmark or use the Export to Excel/Upload Responses button to do outside of EPRM.

This page has the same features as the assets page incldluing the ability to filter by asset group, hovering over the benchmark question to get more detailed information, add/view a comment, overall progress and the ability to export the list of threats into Excel.

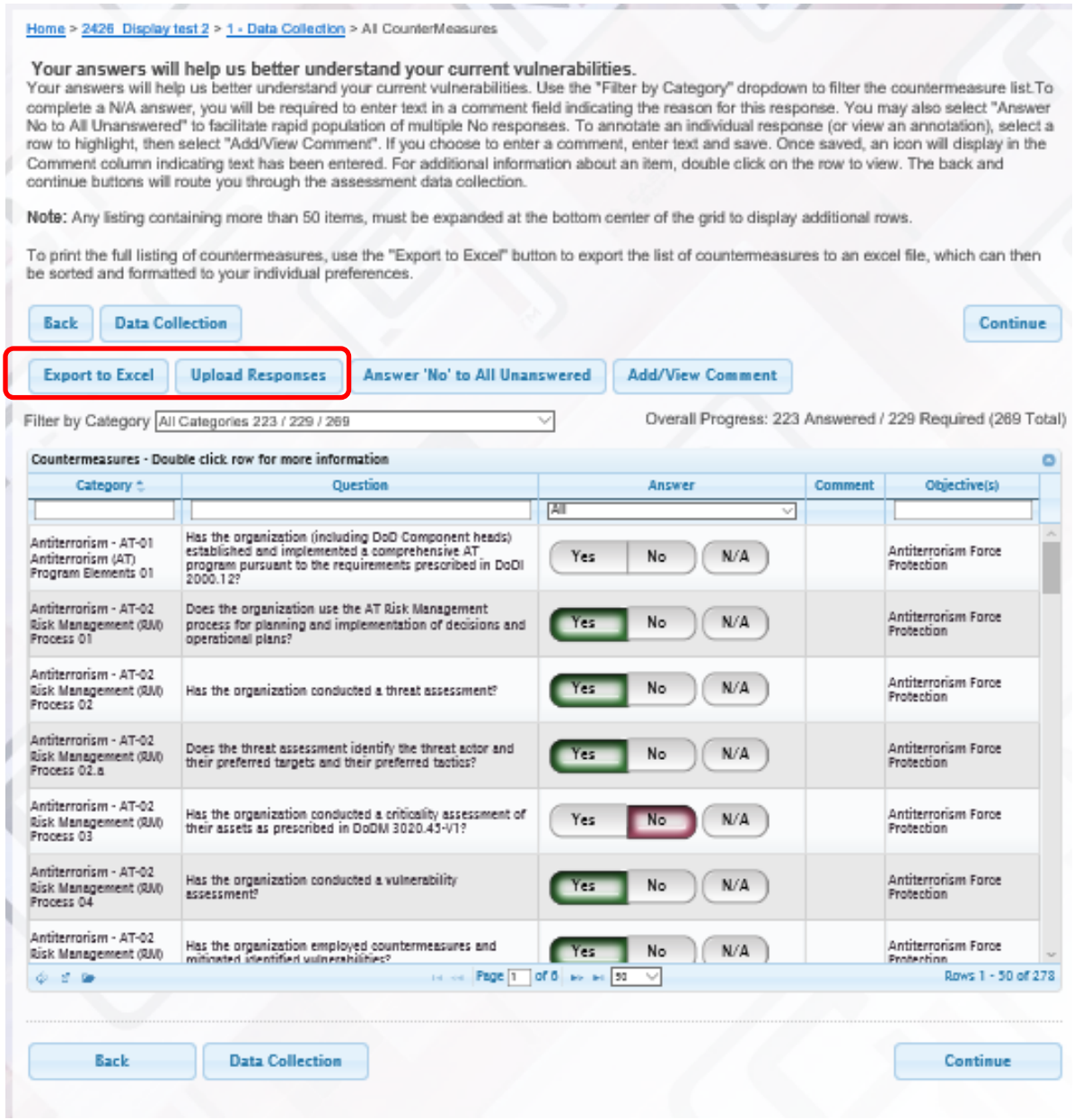


Figure 2-25. Benchmark Grid Page

Chapter 3

IDRMP Preparatory Phase

3.1 The IDRMP Preparatory Phase Overview

The IDRMP process, as described in the introduction is actually a combination of two phased processes, first the Precursor, or, Preparatory Phase, is illustrated in the figure below. The Preparatory Phase is a three step process that enables the execution of the assessment. Below, and in subsequent chapters, a brief outline of the IDRMP process steps will be described, followed by the implementation actions using the EPRM tool. During the Preparatory Phase, the tool will be used primarily as a source generator for the data collection that occurs in the initial steps of the IDRMP process, i.e., the shell documents for the assessment are exported from the tool in preparation for the upcoming assessment.

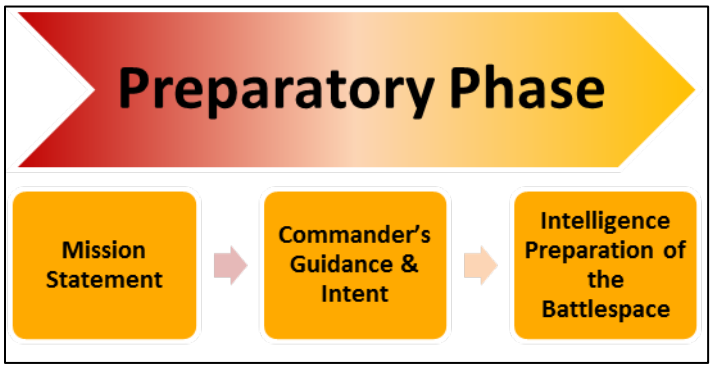


Figure 3-1. Preparatory Process

3.2 Mission Statement

The CC has an overarching mission statement for the base, the installation's operational mission, and an integrated defense mission statement, the protection of the assets that will accomplish the operational mission, see figure 3-2. The IDRMP first considers the mission statement that will inform the rest of the process. From the EPRM perspective, no action is required yet, except to note that the ID mission is focused on the *assets* that will allow the unit to accomplish its operational mission. This will be one of the three key elements of the overall risk assessment process, and will require some preparatory activity in the third step of the preparatory phase.

EXAMPLE (operational mission): 1776 ABW conducts continuous operations of Colonial AFB in order to support sustainment, training, and employment of Air Force assets to deliver combat power globally in support of designated Combatant Commands worldwide.

EXAMPLE (ID mission): 1776 ABW executes sustained operations for the integrated defense of Colonial AFB and its Base Security Zone in order to achieve the objective of a fully protected installation, and assets, in support of the AFB operational mission.

Figure 3-2. Operational and ID Mission Statements

3.2.1 IDRMP and EPRM Asset Categories

The asset categories found in the EPRM tool are the same as those found in AFI 31-101 describing the IDRMP. These comprise the division of asset types into manageable bins and differentiate between various types of mission impact. These categories are further divided into numerous sub-categories as described in Attachment 5.

- Aircraft
- Arms, Ammunition, and Explosives
- C2 Equipment
- Classified information
- Facilities and Buildings
- General Population
- Individuals
- Industrial and Utility Equipment
- Infrastructure
- Sensitive Information
- Vehicles

3.3 Commander's Guidance and Intent

The CC provides focus and defines mission criticality through his/her intent and guidance. This guidance is the written expression of the commander's intent and is confirmed and updated within the IDRMP. The guidance will place emphasis on certain aspects of mission execution that will inform the level of *criticality* of assets enumerated in support of the operational mission and in turn the importance to establish the priority of protection, and, within the IDRMP, the scoring of Asset Criticality.

3.3.1 Asset Criticality in EPRM

Asset Criticality (scoring) is determined by the calculation of the collected values that are used in the AFI coupled with any increased or decreased emphasis based on the CC guidance. AFI 31-101 includes values associated with the various asset categories based on impact to mission and national defense, replacement, etc. For tool calculations, EPRM includes authenticated algorithms to calculate the individual asset criticality score, and also aggregate those scores across all assets for the element under assessment. The values used in these calculations are consistent with the scoring methodology outlined in AFI 31-101. Assets are scored based on the calculations based on how the user answers questions based on the value assignments for each of four questions that correspond to the values assigned in AFI 31-101. (Note: if an asset has been designated as a Task Critical Asset (TCA) it is pre-scored based on its tier). These will be used once the assessment process is initiated during the execution phase of IDRMP.

3.4 Intelligence Preparation of the Battlespace

IPB is a systematic process of analyzing threat and environment in order to support assessments and military decision making. It identifies characteristics of the battlespace which will influence protection and threat operations, and it establishes the limits of the area of interest. Inherent in that process is the collection of information to clearly delineate the things (assets) that need to be protected, the threats corresponding to those protection needs, and the gaps (vulnerabilities) that may increase risk. During this step of the IDRMP, users will begin to use features of the EPRM tool as a part of their preparation. The tool includes authenticated asset, threat, and benchmark lists that will be used both before and during the assessment process.

3.4.1 Maneuvering to the Data Source

Recall from chapter two that the "View References and Materials" button on the dashboard leads to a listing of different materials. Initially it opens to a listing of all the MA objective set references. Click on the Antiterrorism/Force Protection link to reach the appropriate library list. See figure 3-3.

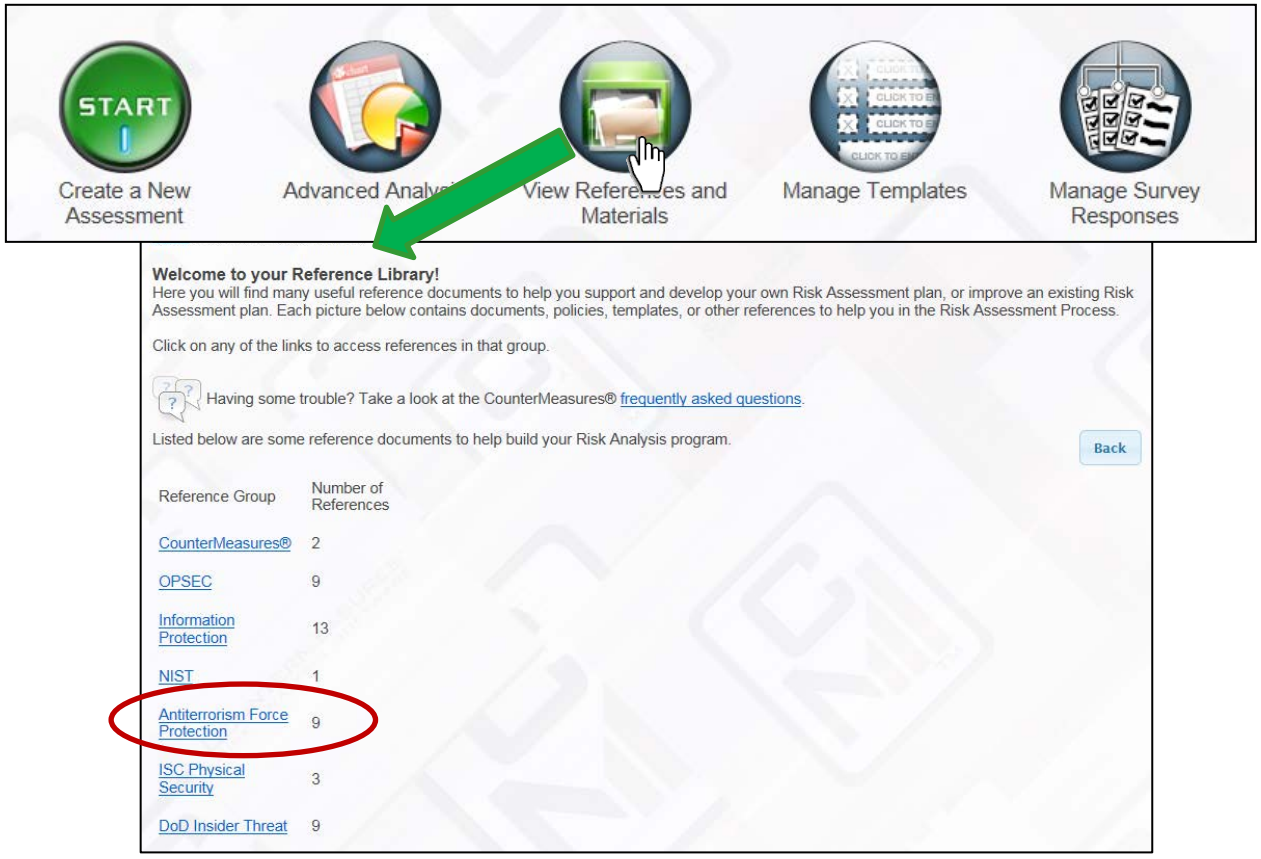


Figure 3-3. Reference Library

3.4.2 Checklist Data Collection and Authentication

Once the reference source is accessed, there will be several actions user/assessors need to take. First is simply collecting the lists. The next is reviewing and vetting the list for the element under assessment. (Note: this term, element under assessment, is used in order to describe any installation, tenant, off-base site, or any other unit/organization/entity subject to assessment and is intended to be all inclusive). Other steps may include distribution of the lists for verification to the assessed element, pre-scoring

3.4.2.1 Selecting the Data Lists

Once the AT/FP specific library listings are displayed, it shows an array of guidance documents and other user information. The targeted information for the IPB step are the three checklists circled in red. See figure 3-4. Click on the links to open and download these PDF files.

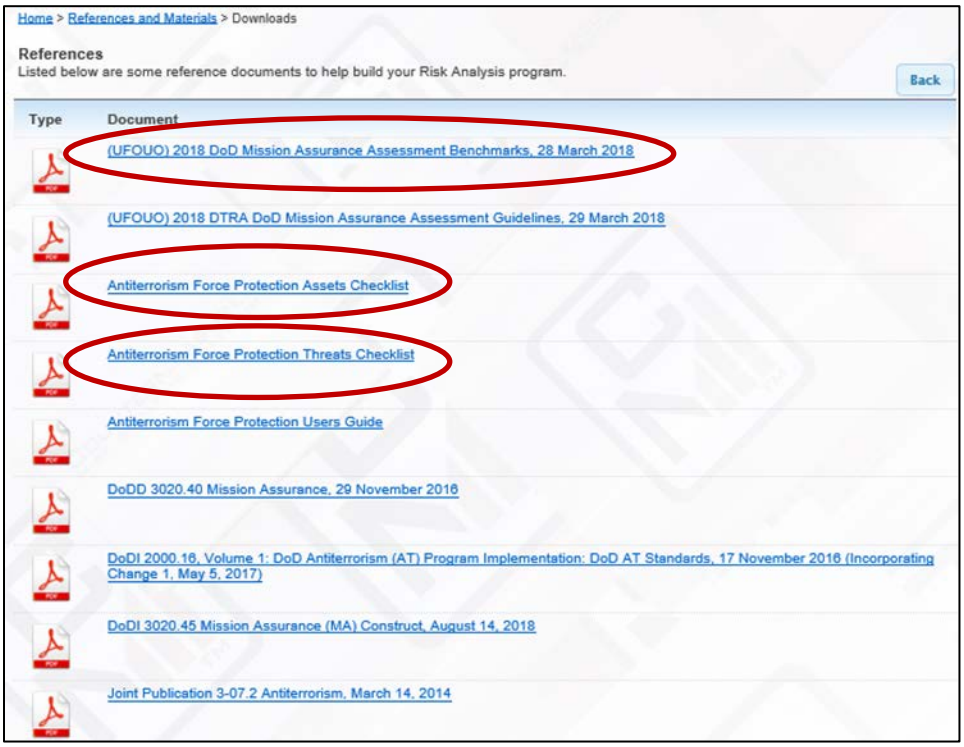


Figure 3-4. AT/FP Reference Listing.

3.4.2.2 Screening or Vetting the Lists

Each list shows the asset/threat/benchmark with a column to indicate whether that item applies. See figure 3-5. The Asset and Threat show a "Y/N" option, while the benchmark list includes an additional option of N/A. For Threats and Assets, the four questions used for scoring are also there. The next step is to review these lists and eliminate those items obviously not pertinent to the element under assessment. For example, not all bases have aircraft permanently on station,

and those that do, do not have all of the subcategories of aircraft. Each of these files contains the full listing of authenticated items for that particular checklist, i.e., 263 assets, 90 threat method/source pairings, and 295 benchmarks. These numbers include all the possible entries for each category. No assessment will include all of the possible entries to the checklists.

EPRM Antiterrorism Force Protection
Asset Checklist

Asset Group	Name	Y/N	Mission	National Defense	Replacement Time	Mission Category
Aircraft - Non-Nuclear Aircraft or Missile (PL 1)	National Airborne Operations Center (NAOC)	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)
Aircraft - Non-Nuclear Aircraft or Missile (PL 1)	Non-nuclear Aircraft	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)
Aircraft - Non-Nuclear Aircraft or Missile (PL 1)	Non-nuclear Missile	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)
Aircraft - Nuclear-laden Aircraft or Missile (PL 1)	Nuclear Alert Aircraft	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)
Aircraft - Nuclear-laden Aircraft or Missile (PL 1)	Nuclear Alert Missile	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)
Aircraft - Nuclear-laden Aircraft or Missile (PL 1)	Prime Nuclear Airlift Force (PNAF)	(Y) (N)	(5) (4) (3) (2) (1)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1) (0)	(5) (4) (3) (2) (1)

Figure 3-5. Asset Checklist

The items that do not apply can be eliminated from the list and noted as such in the tool later. Depending on the assets, certain threat methods and/or sources will not apply. For example, the same base that does not have aircraft may not have a runway and therefore cannot have a threat against a runway regardless of the source's capability.

3.4.2.3 Other Preliminary Checklist Activity

Other activities for using the checklists may be also desirable, based on the situation. For example, an assessment is being conducted by a higher HQ, which does not have extensive prior knowledge of the element under assessment. The Assessor may provide the checklist(s) to the POC of the assessed element in order to perform the same functions as described in the previous paragraph. This scoping effort allows the Assessor to focus, during the assessment, on the areas of interest and eliminates or reduces the need to review unnecessary list items. In some cases, pre-scoring may be desired as well. This may reduce the level of review required when the assessment data is entered into the tool.

3.5 Template Application

Users should create a template during IPB that will be used for the assessment later during the execution phase of IDRMP. Templates are a feature of EPRM that provide time savings for assessors, and provide for standardization across assessments. They are created by Template Managers in order to create a set of pre-loaded answers or values that can be inherited when a user creates a new assessment. A template may also be used to download excel file lists to use in preparation instead of the pdf file lists described above. Any, or all, sections of the assessment may be populated using templates (this will be described in the execution phase later). A

template will often be built with multiple organizations, having common characteristics, in mind. The template is a way to provide a common answer baseline for multiple organizational assessments. Unlike assessments, not all questions must be addressed and a template can be used for a single focus, like threat characterization. If a base or other element under assessment will require more than one assessment, due to the complexity of the organization, or other reasons, a template allows for a common framework to apply across those assessments. In order for a template to be applied for an assessment, it must be created and locked prior to the initiation of the assessment in the tool. Bottom line, use a template anytime that preselected answers, such as current threat data, are desired to be part of the assessment. This will be discussed further in the Execution Phase of IDRMP. Some of the descriptions below will be application of items first described in chapter 2, paragraph 2.5.2.

3.5.1 Creating a Template

To create a template, on the home page dashboard, click the Manage Templates icon. See Figure 3-6. (NOTE: only those users that have the role Templator or Template Manager will be able to see this icon. If the button is not visible, contact the assessment manager at the next higher level in the organizational hierarchy to build the template for you). The basic information lists and questions are the same for templates and assessments. Discussed here are the template attributes, but, the functionality and the behavior for assessments is somewhat different. The differences will be highlighted here in the template discussion. To initiate the template creation, the user will login to EPRM and move from the homepage by clicking on the “Manage Templates” button in order to open the start page for templates. The process for both templates and assessments was shown in figure 2-20 in chapter 2. The steps of that process model are followed, but the model itself will not appear until the end of the process described below.

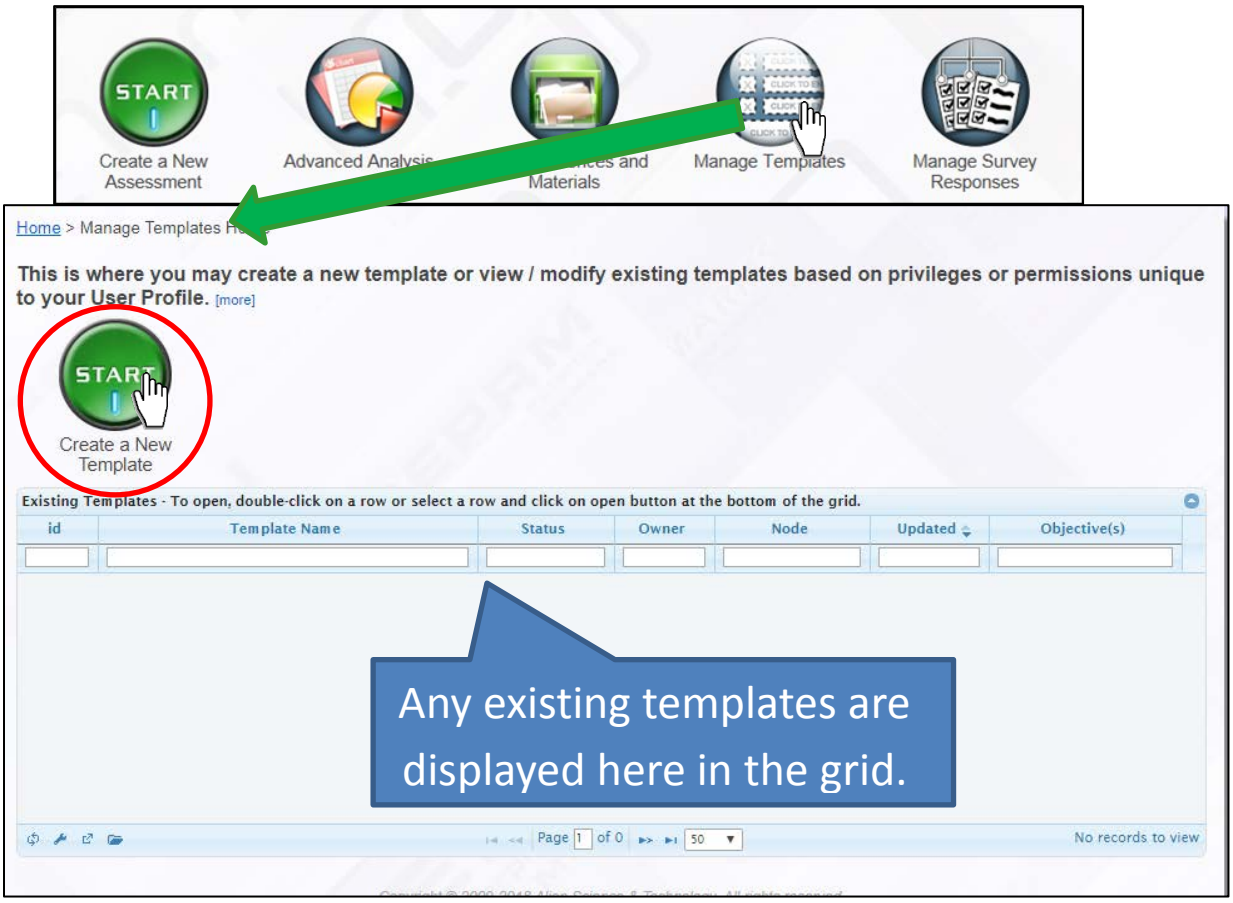


Figure 3-6. Creating a Template

When the page opens to display the template grid, if any templates already exist they will be displayed in the grid area, otherwise it will be blank. Click the Start button to create a new template. This will open another page that has several fields that require typed answers or block

checks. See figure 3-7.

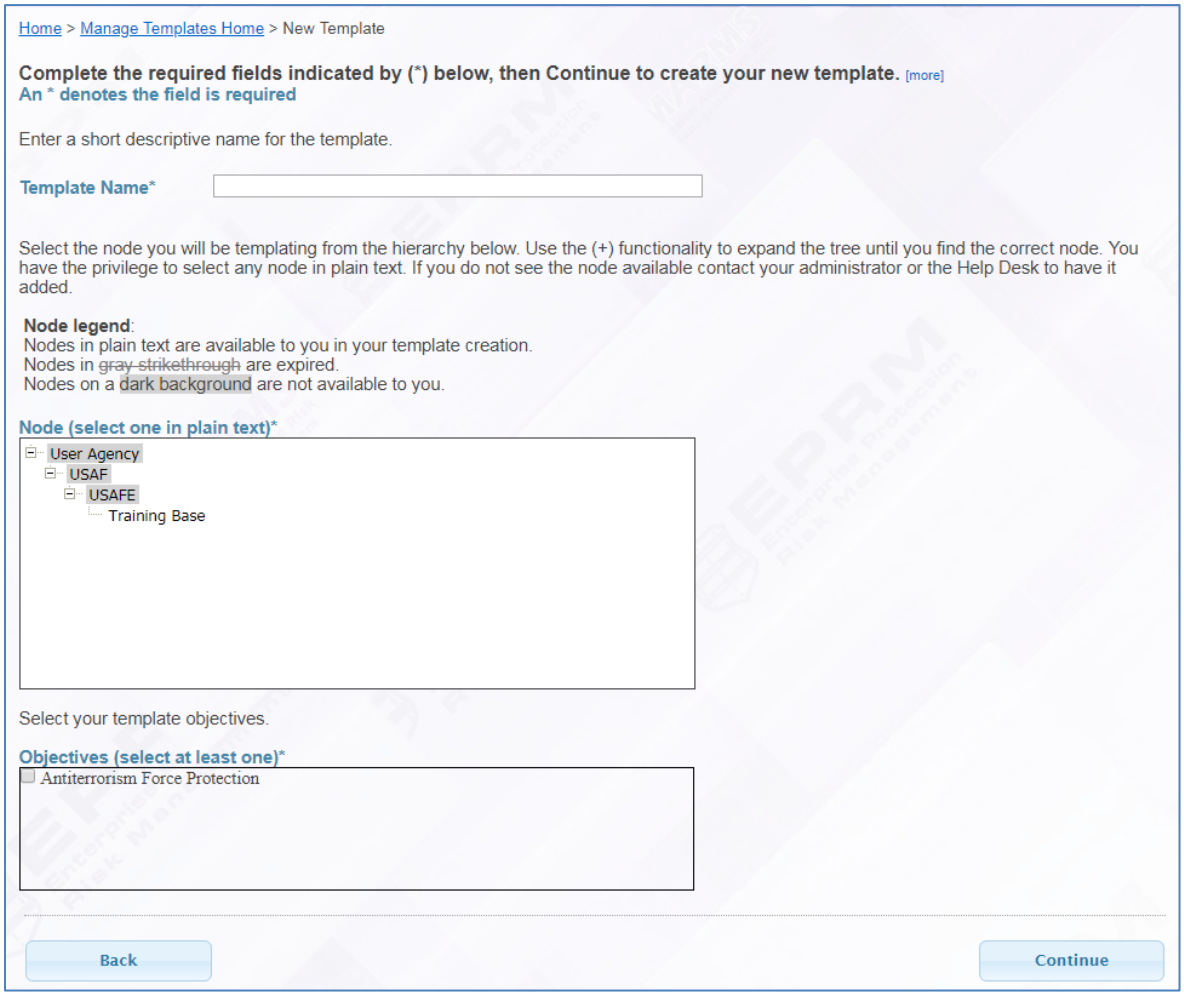


Figure 3-7. Template Creation Page.

3.5.1.1 Completing the Template Creation Page

This is the only page that requires a response to each block for a template. Failure to answer these will cause the template not to be created. Additionally, if the user does not continue from this page to the next, e.g., returning to the homepage, the template is not created.

3.5.1.2 Naming Convention

Enter a name in the Template Name text box. Currently IDRMP does not prescribe a centralized naming convention. See figure 3-8.

Figure 3-8. Template Name.

For Assessments, there is a naming convention designed to de-conflict large lists of Assessments visible at MAJCOM and above. It is:

3.5.1.2.1 Elements of Assessment Names

There are three required elements of each assessment name, separated by a hyphen.

3.5.1.2.1.1 Completion date of the assessment

Upon initial assessment creation, user shall estimate the completion date. Upon completion, users shall use the 'Rename' button to update the assessment name with the actual completion date. The format for the date shall be Year, month, day or YYYYMMDD (e.g., 20180604).

3.5.1.2.1.2 The assessed command entity

Include the plain-English location of the assessed entity. Example: 88 Air Base Wing.

3.5.1.2.1.3 Assessment location

The assessed entity shall include the plain-English name of the assessed installation. Example: Wright-Patterson AFB.

3.5.1.2.1.4 Assessment sub-location (Optional)

If there are sub-areas of an installation that received a separate assessment, include that before the plain-English name. Example: Area B.

3.5.1.2.1.5 Organization-identified label (Optional)

If units or organizations wish to add additional elements to the naming convention for their assessments, they may add them to the end of the standard name line, separated by a hyphen. Example: HHQ Assessment.

3.5.1.2.1.6 Example of complete required and optional format

20180604-88th Air Base Wing-Wright Patterson AFB-Area B-HHQ Assessment.

3.5.1.3 Node Selection

Select the Node in which your template is to be created (NOTE: the template must reside at or above all nodes in which it is to be used). See figure 3-9. Any Node that appears with a gray background is inaccessible to the current user. A clear background node is the only element for which the user can create a template.

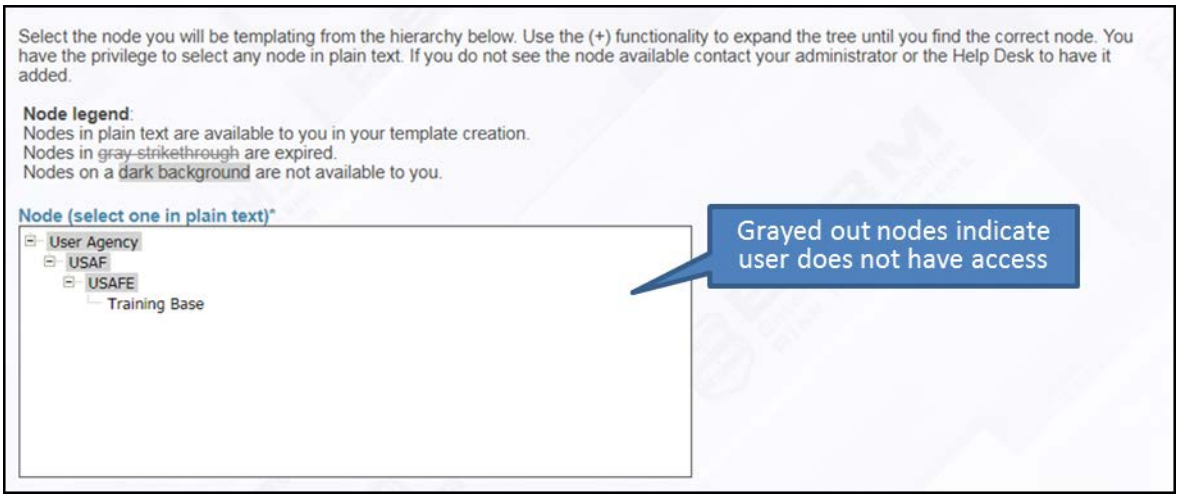


Figure 3-9. Node Selection.

3.5.1.4 Template Objective

Select the template Objective(s) to use to create a template. See figure 3-10. The "Objective" indicates the Mission Assurance activity to which the database is aligned. Ordinarily, users will only see the single objective associated with their user profile. Occasionally, users may have more than one objective, particularly at small and isolated locations where a single user is performing multiple duties.

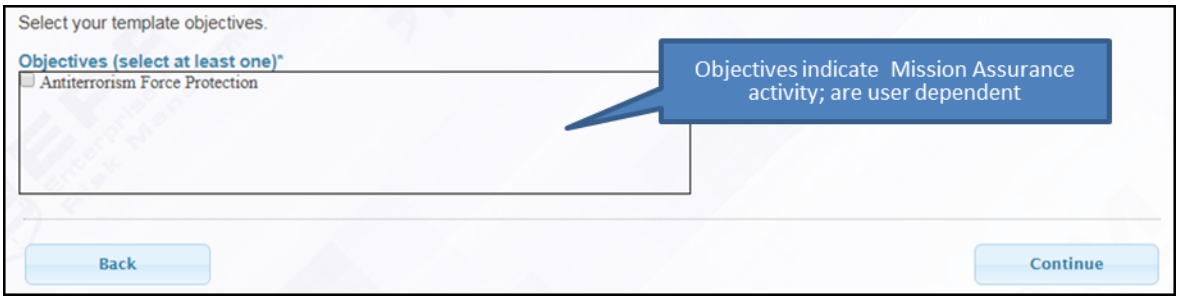


Figure 3-10. Template Objective Selection.

3.5.1.5 Template Creation

Select “Continue” at the lower right of the page to create the template and move to the next page. See figure 3-7and 3-10.

3.5.2 Template Development

Once the continue button is clicked on the initial naming page, a new page opens displaying a banner highlighted with “Your Assessment Template has been created!” See figure 3-11. This confirms that a new template has been generated in the tool. If no other action is taken, this blank template, i.e., with no data beyond the name and hierarchy placement, will appear in the grid section of the Create a Template page shown above in figure 3-6.

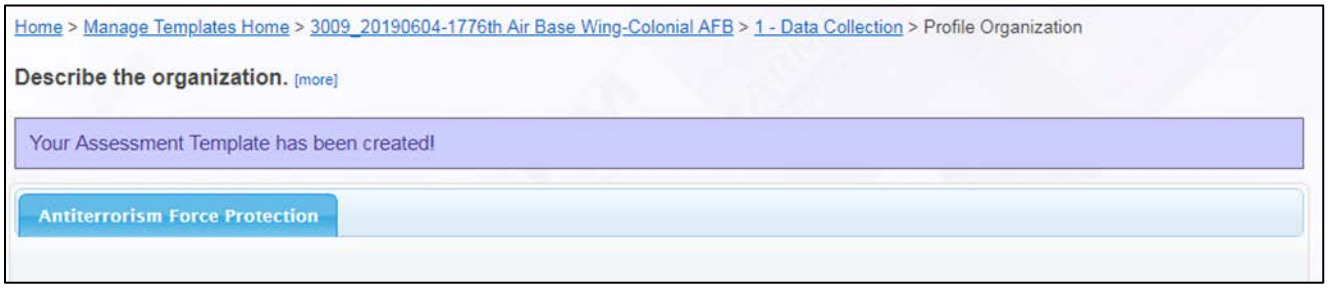


Figure 3-11. Template Creation Notice.

3.5.2.1 Describe the Organization Page

On the “Describe the organization” page, figure 3-12 illustrates pulldown response selections associated with the series of questions on organizational description. Throughout both the template and assessment formats, all data input, with one exception, which is discussed in paragraph 3.5.2.3.2 below, is in the form of a response to some type of query. The following paragraphs highlight some additional information about the control functions on this page. As mentioned previously, not all questions are required to be answered, and if a user’s intent is to build a Threat template, for example, there is no need to answer any questions until the Threat page is reached. The user simply clicks the continue button to move forward. However, it is useful to understand all the different functions that are available to the user. Therefore, before moving to the next page, a description of the action buttons and functions will follow.

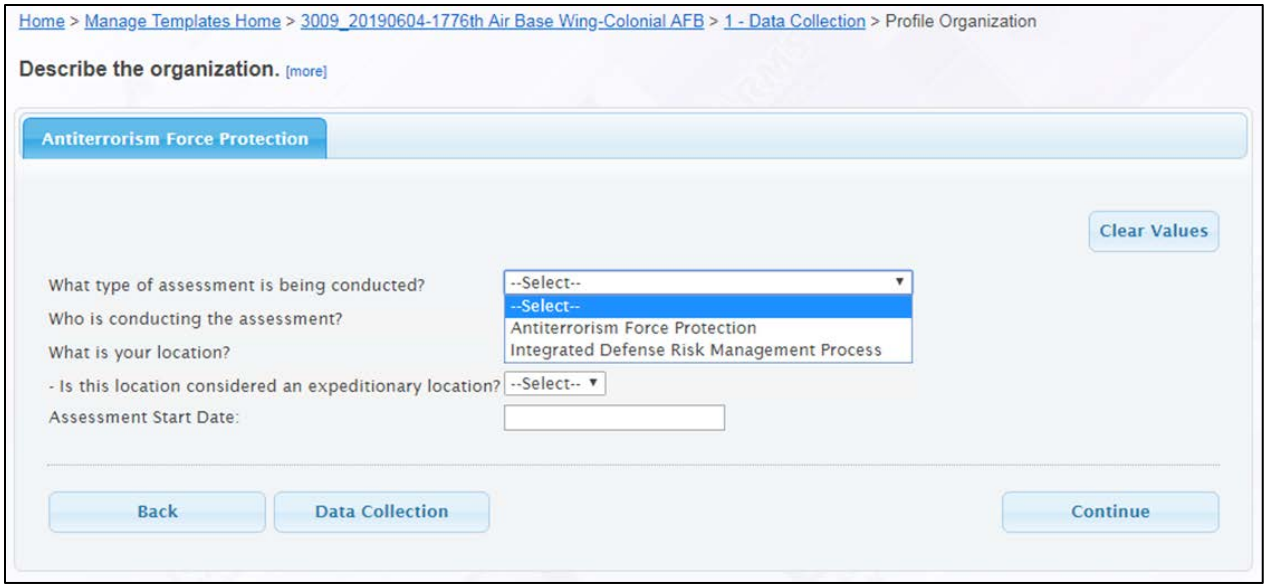


Figure 3-12. Describe the Organization Pulldown Menu.

3.5.2.1.1 Back Button

The "Back" button is located at the lower left of the screen. This allows a user to return to the previous page. It is used to move within a specific template or assessment; it does not move between assessments or return the user to the homepage. (Note: To return to the homepage, use the breadcrumb string at the top of the screen) See figure 3-13.

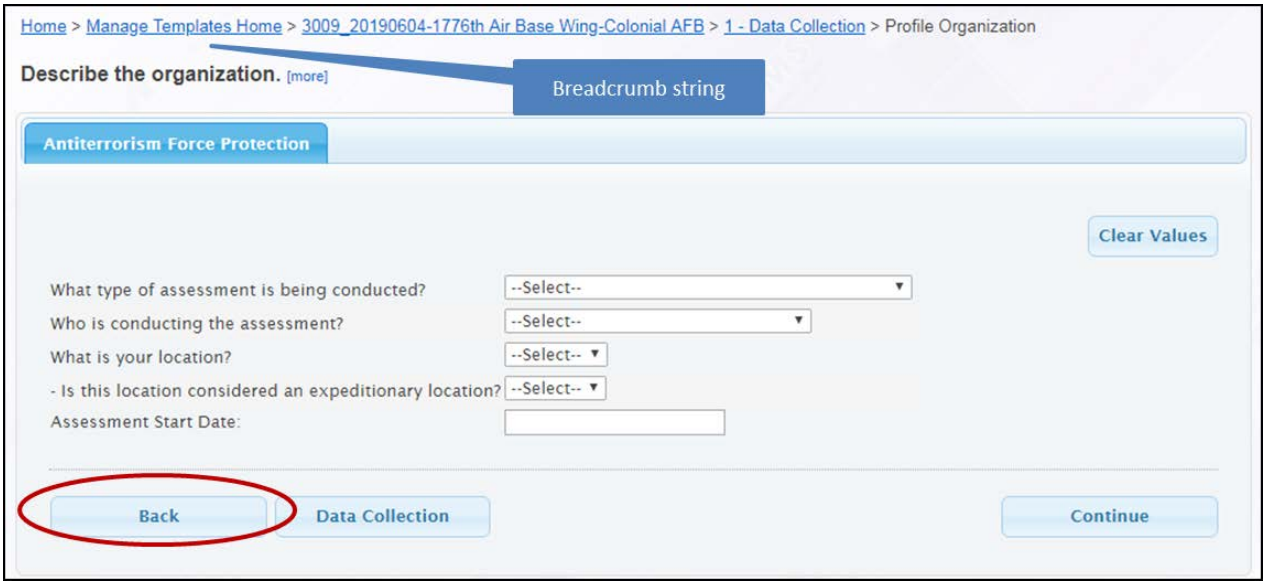


Figure 3-13. Back Button and Breadcrumbs.

3.5.2.1.2 Data Collection Button

The “Data Collection” button is located at the lower left of the screen to the right of the Back button. See figure 3-14. This button will take the user out of the template and to the process page identified in chapter 2, refer back to figure 2-10.

Figure 3-14. Data Collection Button.

3.5.2.1.3 Clear Values Button

The “Clear Values” button is located at the top right of the screen. This is a function available in template development that is NOT available in the Assessment portion of the tool. When building a template, this allows the user to revert to a blank page, so that any previously answered questions become unanswered.

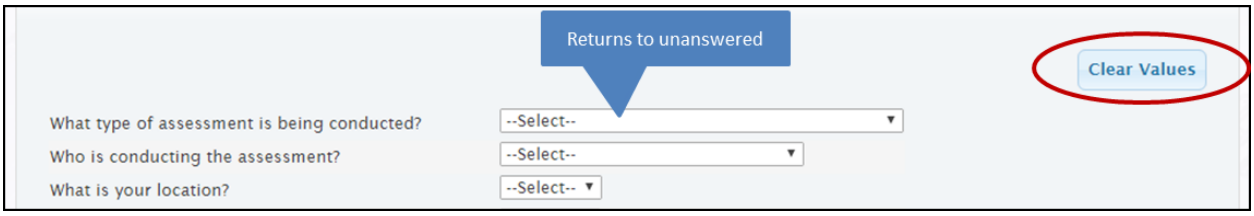


Figure 3-15. Clear Values Button.

3.5.2.1.4 Continue Button

On this page, and all subsequent pages, a “Continue” button is located at the lower right of the screen. On large content pages, i.e., Assets/Threats/Benchmarks, an additional button is located at the Top right of the screen. Throughout the tool, the continue button moves the user forward to the next page. In template building, it can be used at any time because there are no required answers for templates. During assessments, however, the user will get an error message if the continue button is clicked before all questions are answered.

Figure 3-16. Continue Button.

3.5.2.2 Describe the Operating Environment Page

This is the second page in the characterization of the unit and the operating environment. See figure 3-17. Like the previous page, it also uses pulldown menus for the answer selection. The same control buttons also apply. The items that are shown with a leading bullet, are not active questions. These are referred to as "child questions" and they are only activated if the preceding "parent question" is answered in the affirmative.

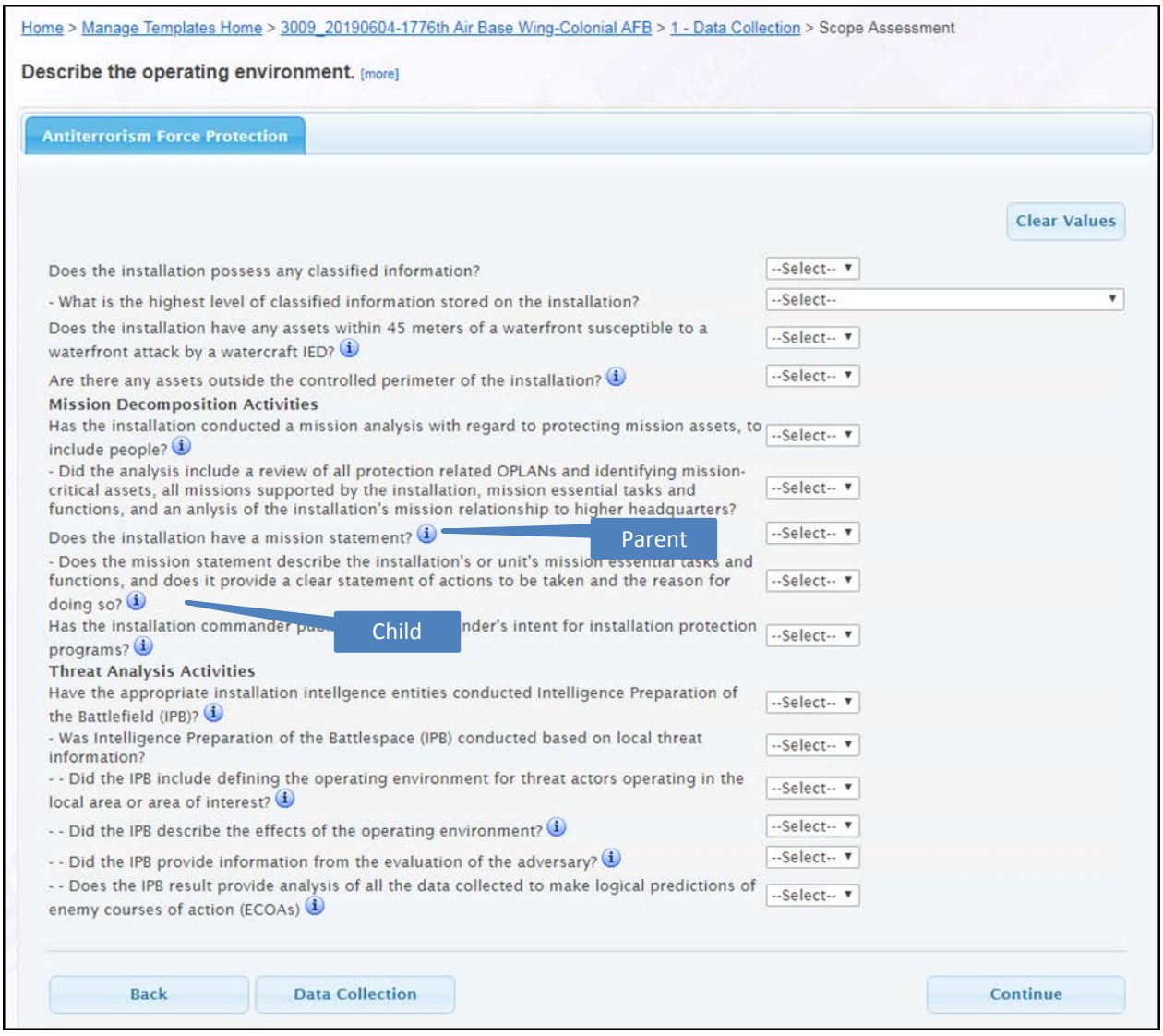


Figure 3-17. Operating Environment Page.

This question relationship is also found in subsequent pages. This will be discussed further in the description of the benchmark page. When all desired questions have been answered, click the continue button to move to the next page.

3.5.2.3 Assets Page

The assets page is the first one that uses the grid system discussed briefly in chapter 2. In a Template, it will include all possible assets (263). See figure 3-18. The applicable asset count number can be found several places: in the Overall Progress line, the Filter by Group pulldown and at the bottom right of the grid as a function of rows displayed, i.e., "Rows 1-50 of 263." When an assessment is conducted, this number may be reduced based on information provided in the first two pages on organization information; in a template, all items are included. There are a number of new action buttons found on the Assets page, which will be described below. This page, and the next two pages are characterized by the tab-like Yes and No buttons shown below following the asset column.

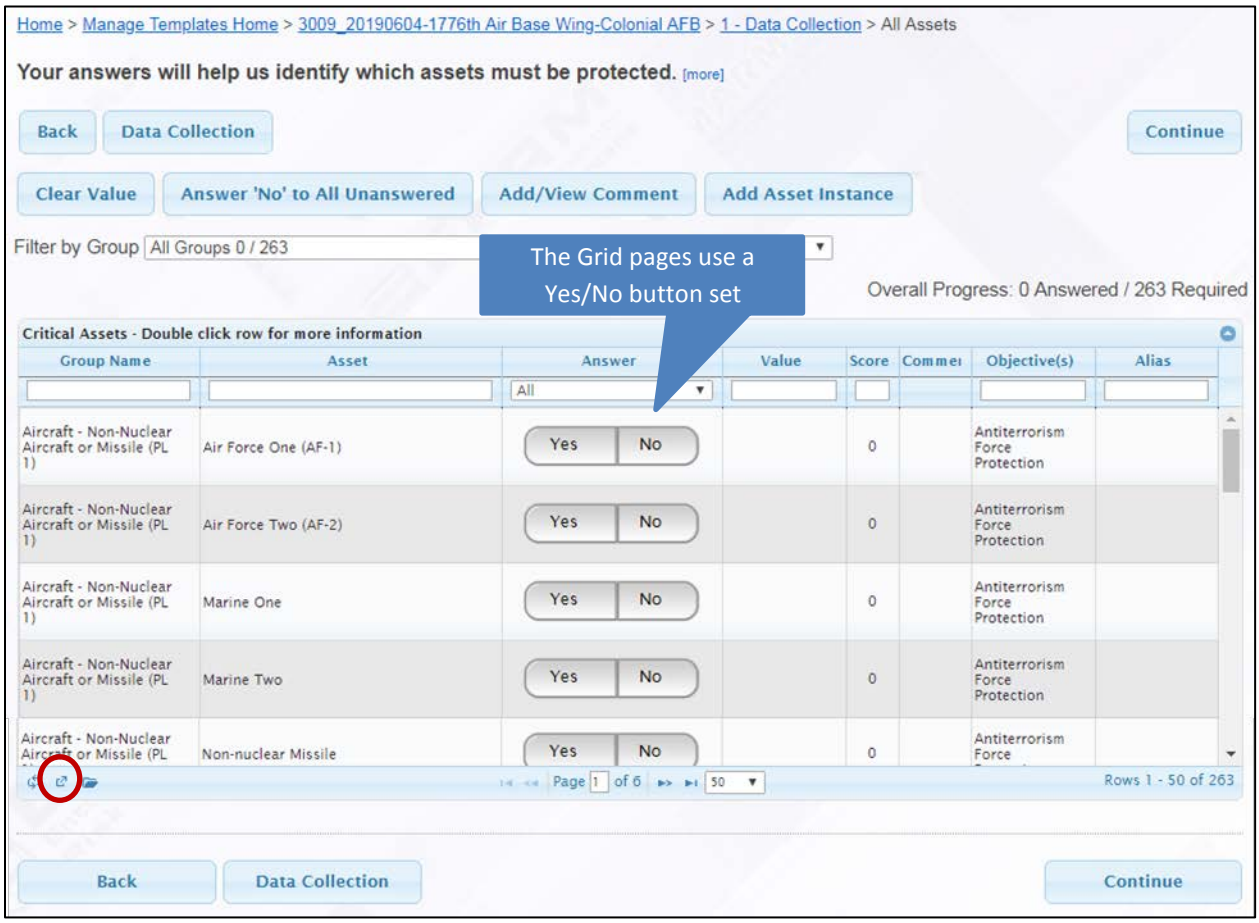


Figure 3-18. Assets Page.

The user may select any or all of the questions to answer, but, once again, are not required to answer any particular question to proceed to the next page. This page does afford the capability for the user to download the entire list in an excel file like the pdf file discussed in paragraph 3.4. There are three icons at the lower left of the grid (see figure 3-18). The first is to reset the grid after sorting, which was described in chapter 2. The middle icon is the "export to excel" icon. If

this icon is clicked, it will open an excel file with all of the list data. This is useful in the same way as the pdf file discussed previously. Other aspects of the Assets Page are described below.

3.5.2.3.1 Answer 'No' to All Unanswered Button

The "Answer 'No' to all unanswered" button is located at the top of the grid next to the "Clear Value" button. See figure 3-19. This button allows a user to use a technique of going through a page answering the "Yes" to individual questions and then as a short-hand method to click "Answer 'No' to all unanswered." All remaining questions will be answered no in a single action, saving time and processing within the tool. (Note: this should not be used before selecting all of the intended affirmative answers because any changes must be done individually, one item at a time).

Figure 3-19. Answer 'No' to All Unanswered Button

3.5.2.3.2 Add/View Comment Button

The exception identified in paragraph 3.5.2 to the rule regarding all data being in the form of a response to questions is for written comments. A comment can take the form of a finding, observation, note, or any other written input. The "Add/View Comment" button allows users to include these text entries for any specific Asset/Threat/Benchmark. See figure 3-19. To add a comment, follow these steps.

Figure 3-20. Add/View Comment Button

3.5.2.3.2.1 Add a Comment

First consider that adding a comment may serve very different purposes. In a template it may be instructive to add a comment so that any user that applies the template understands why an item is selected, or how it was scored. In an assessment, comments generally will be used for finding and observation type inclusion. Understanding this, further review of comments will occur in the

next chapter as part of the discussion of the assessment process. In order to add a comment, highlight a row and click the “Add/View Comment” button. See figure 3-21.

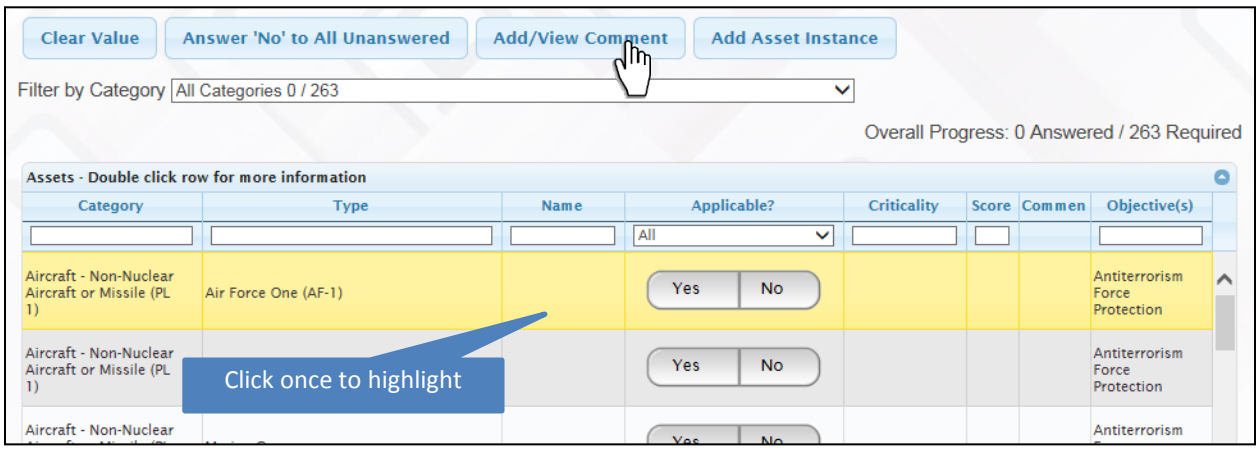


Figure 3-21. Add a Comment

3.5.2.3.2.2 Writing the Comment

When the “Add/View Comment” button is clicked, a new text window opens. See figure 3-22. The use is self explanatory—type whatever associated text is intended to be linked to this particular item. This is not restrictive to a particular type of comment and is intended to allow users to include whatever type of written attachment is desired to be included with the particular asset, threat or benchmark.

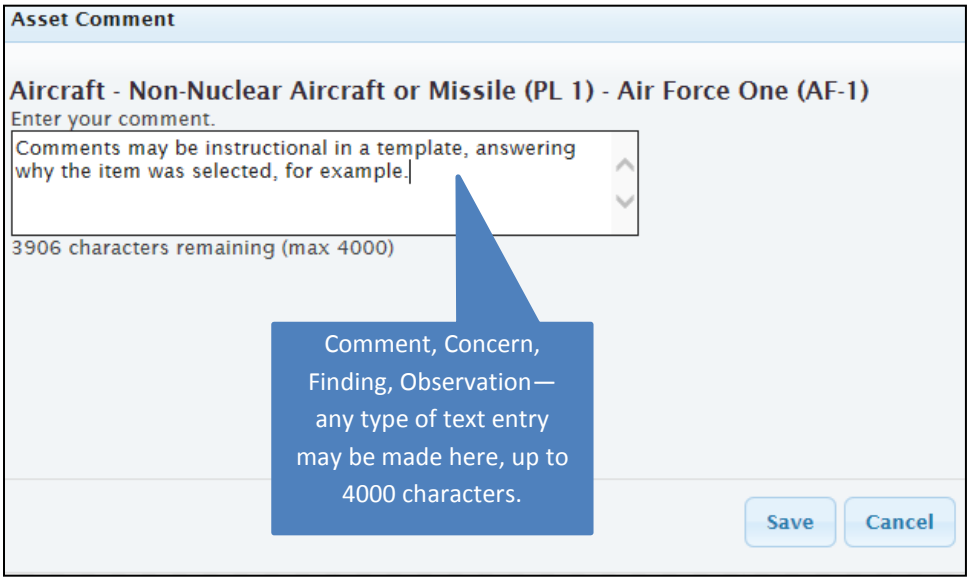


Figure 3-22. Write a Comment

3.5.2.3.2.3 Confirming the Comment

Click the “Save” button in the text window to include the comment with the item. The text window will disappear and an icon will appear in the “Comment” column of the grid page. The appearance of the icon signifies the addition of the comment. See figure 3-23. For further confirmation, users can click on the icon to reopen the text window. Or, with the row highlighted, click the “Add/View Comment” button. Either method will reopen the text window. This will also allow a comment to edited if additional information is necessary.

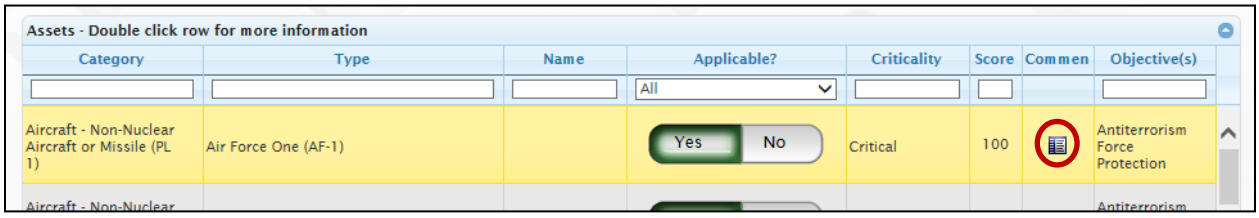


Figure 3-23. Confirm Comment

3.5.2.3.3 Add Asset Instance Button

The “Add Asset Instance” button is unique to the asset grid, i.e., no comparable function is available for threats or benchmarks. It allows a user to select an asset and replicate that asset. See figure 3-24. In some cases it is desirable to enumerate assets with more detail than the base asset list allows. For example, it lists an aircraft asset once. If the assessor wishes to assess each aircraft, this action allows that capability. For each “new asset” another action will be required—to assign a different name. These actions will be described in the Execution Phase in chapter 4.

Figure 3-24. Add Asset Instance Button

3.5.2.3.3.1 Add an Asset

Users may require additional like-type assets to be included in a template or an assessment. For example, each aircraft in a squadron may be separately identified. To do this, first highlight the asset type and then click the “Add Asset Instance” button. See figure 3-25.

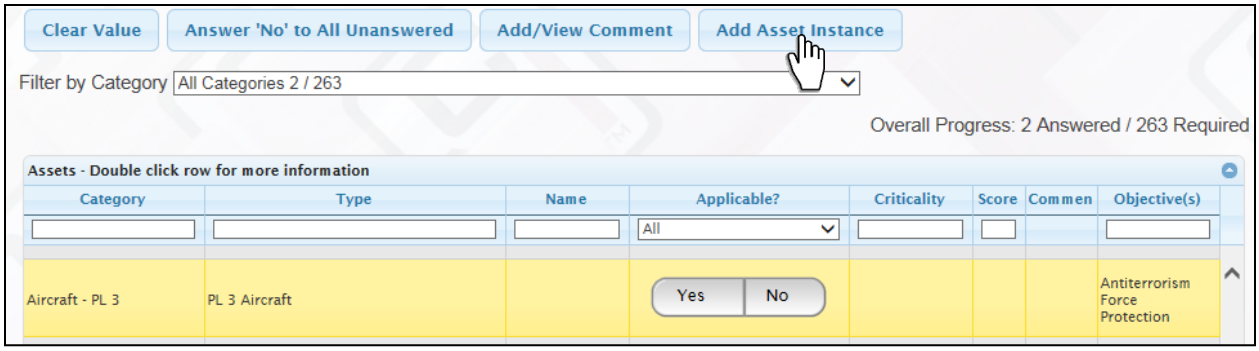


Figure 3-25. Add an Asset

3.5.2.3.3.2 Name New Asset

When the "Add Asset Instance" button is clicked, it opens a new text window. See figure 3-26. In the text box add the name for the new asset

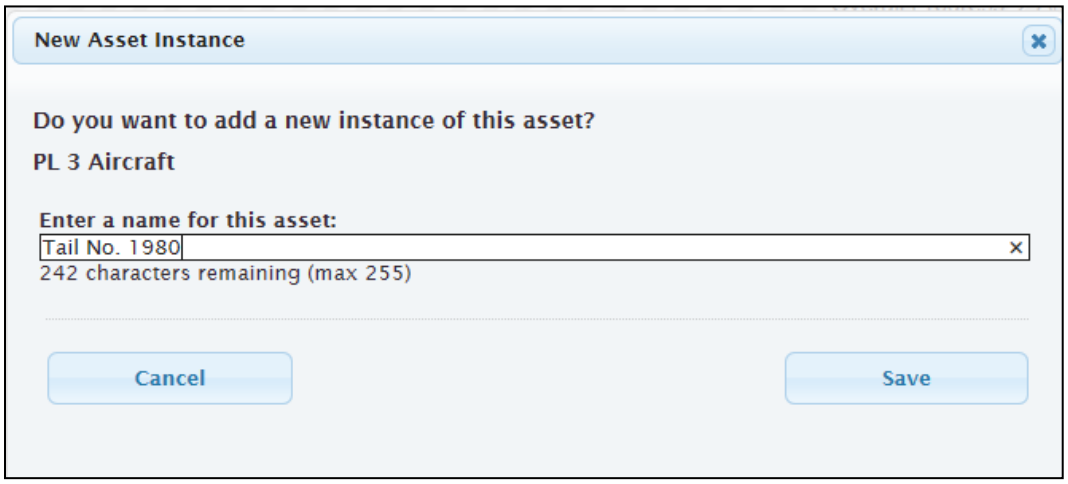


Figure 3-26. Name New Asset

3.5.2.3.3.3 Confirming the New Asset

Click the "Save" button in the text window to add a new instance of the selected asset. The text window will disappear and a name will appear in the "Name" column of the grid page. The grid now has two instances, according to this example of PL 3 aircraft. See figure 3-27. This step can be repeated as many times as required to include each designated asset.

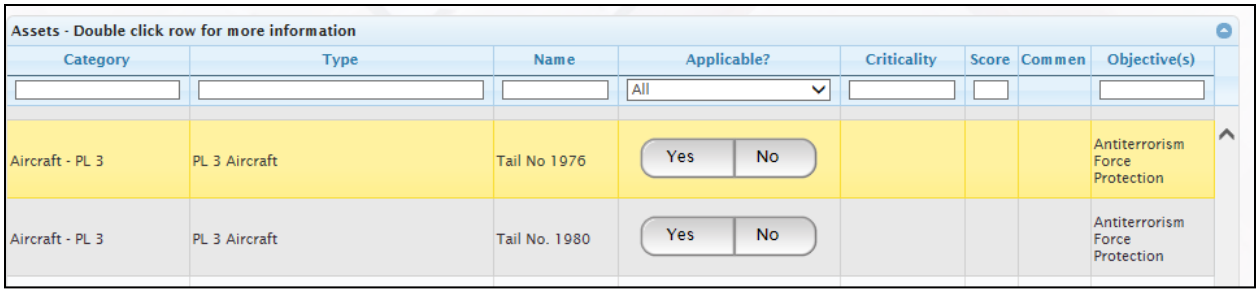


Figure 3-27. New Asset Added

3.5.2.3.4 Filter by Group

The “Filter by Group” function is not a button, but, a pulldown listing that give a category level list rather than the item by item list in the grid. See figure 3-28. This capability allows a user to review the asset list discreetly by category and sub-category. This allows for more efficient maneuvering through the list to those assets that a user will, or will not assess. The user can avoid categories that don’t apply and move quickly to those that do.

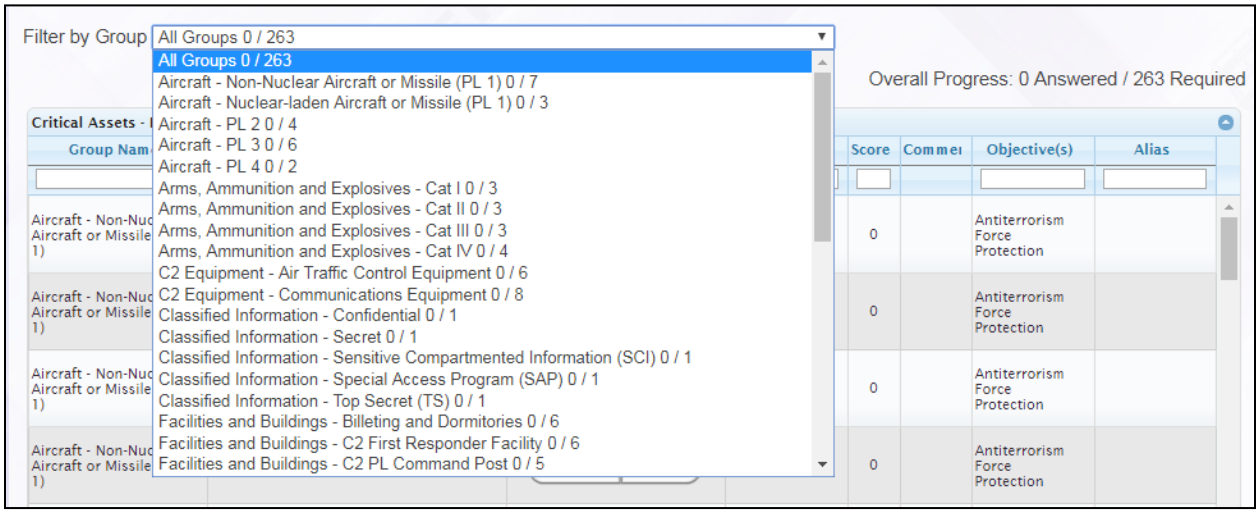


Figure 3-28. Filter by Group

3.5.2.3.5 Progress Tracker

The progress tracker is a way for the user to see how many questions have been answered and how many remain to be answered. This line listing is above the grid on the right of the screen. See figure 3-29.

Figure 3-29. Progress Tracker

3.5.2.3.6 Actions on the Assets Page

In order to add assets to the template, move the cursor over the "Yes" button. It will highlight in green. See figure 3-30. Conversely, scrolling over "No" will cause the button to highlight in red.

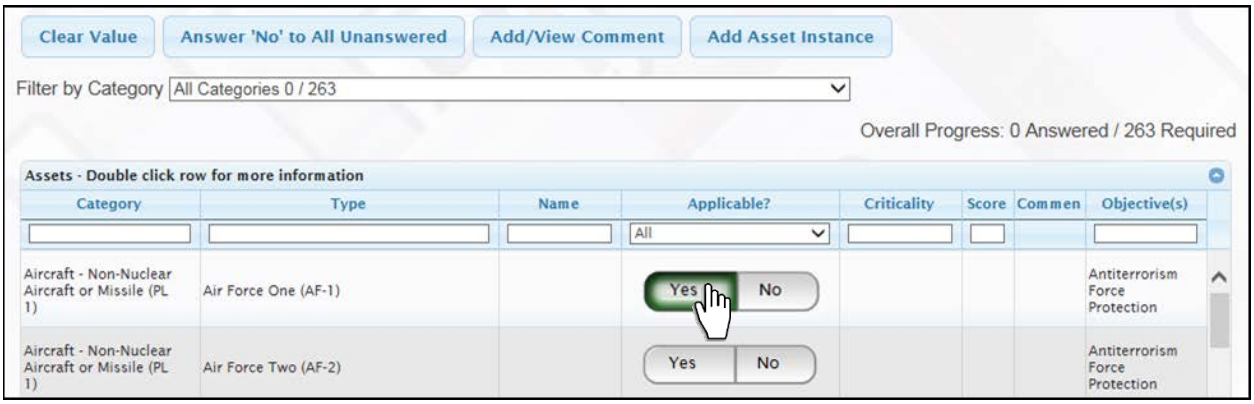


Figure 3-30. Scrolling on Assets.

3.5.2.3.6.1 Selecting an Asset

When a desired asset is identified, click the "Yes" button. A text window will open with a series of questions to answer. See figure 3-31. The first question asks if the asset is a Task Critical Asset (TCA). This question must be answered. (Note: other questions are grayed out until the TCA question is answered). If it is a TCA, click on the pulldown and select "Tier 1" or, "Tier 2." If it is not a TCA, selecting "Not a TCA" will open the other questions, which are derived from the IDRMP and consistent with the categories used in scoring the Assets described in the AFI 31-101.

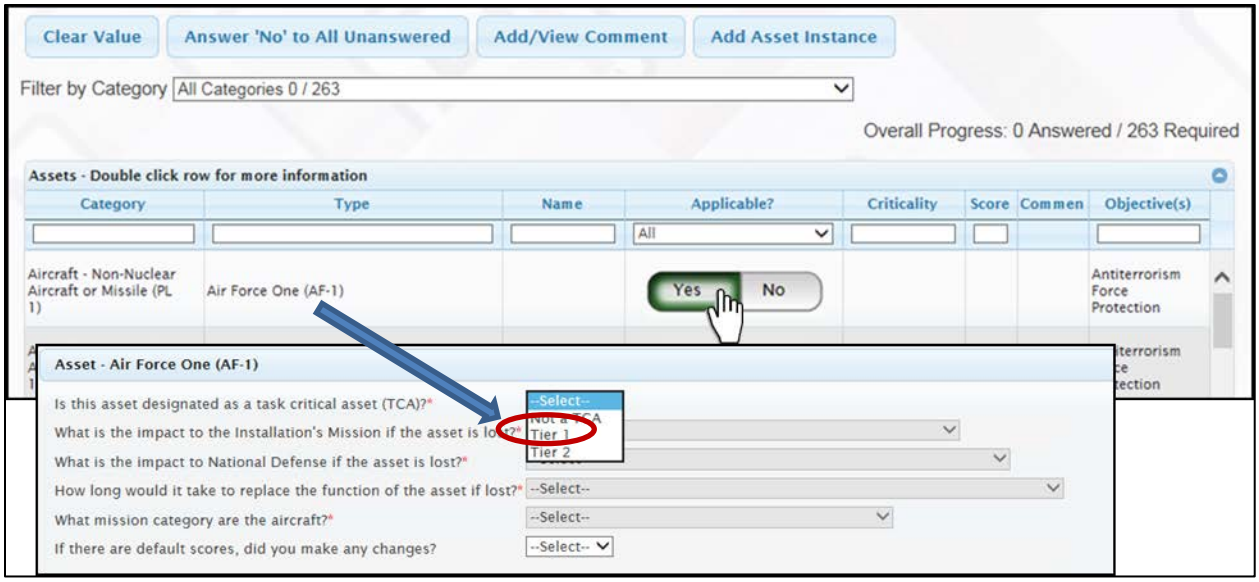


Figure 3-31. Asset Selection Question Set.

3.5.2.3.6.2 Scoring an Asset

When the question set opens, answer each available question marked with a red asterisk (in template development, disregard the final question). As mentioned above, if the asset is a TCA, the score will be calculated based in the tier designation and display as shown in figure 3-32.

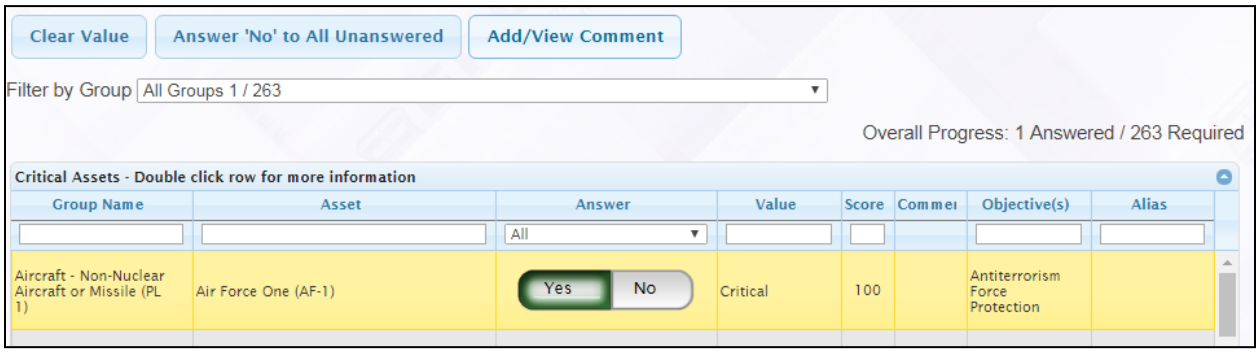


Figure 3-32. Scored Tier 1 Asset.

If the asset is not a TCA, select "Not a TCA," and proceed with the four following questions. See figure 3-33. The selections made for these answers are linked to corresponding values that are applied, consistent with the IDRMP calculations, to generate a criticality score. When all questions have been answered, click the "Submit" button. This will activate the calculator and the screen will return to the grid page. When the calculation is complete the score and criticality will be displayed in the grid columns as shown in figure 3-34.

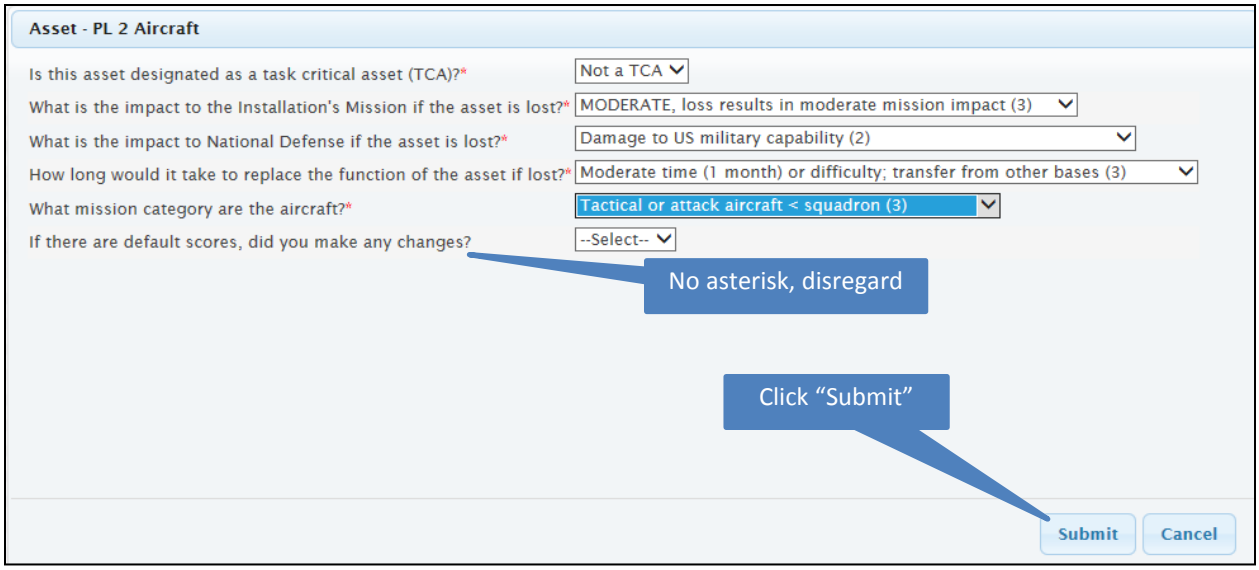


Figure 3-33. Non TCA Questions.

Figure 3-34. Non TCA Asset Scored.

3.5.2.3.6.3 Grid Embedded User Support

Another feature that is found on the grid pages is a detailed description of each line item. Users seeking additional information on a particular asset (or, threat or benchmark) can highlight the row and double click it, opening a new details window with additional information on the item. See figure 3-35. This is particularly useful for new users, who may not be familiar with a particular item. It can help differentiate between choices of different items within a category and provides a way, without seeking different resources, to answer some questions about what the line item actually means. Features like sorting and filtering were described previously, in chapter 2. These may also help users working through the different lists to find the assets, threats and benchmarks needed for their template development.

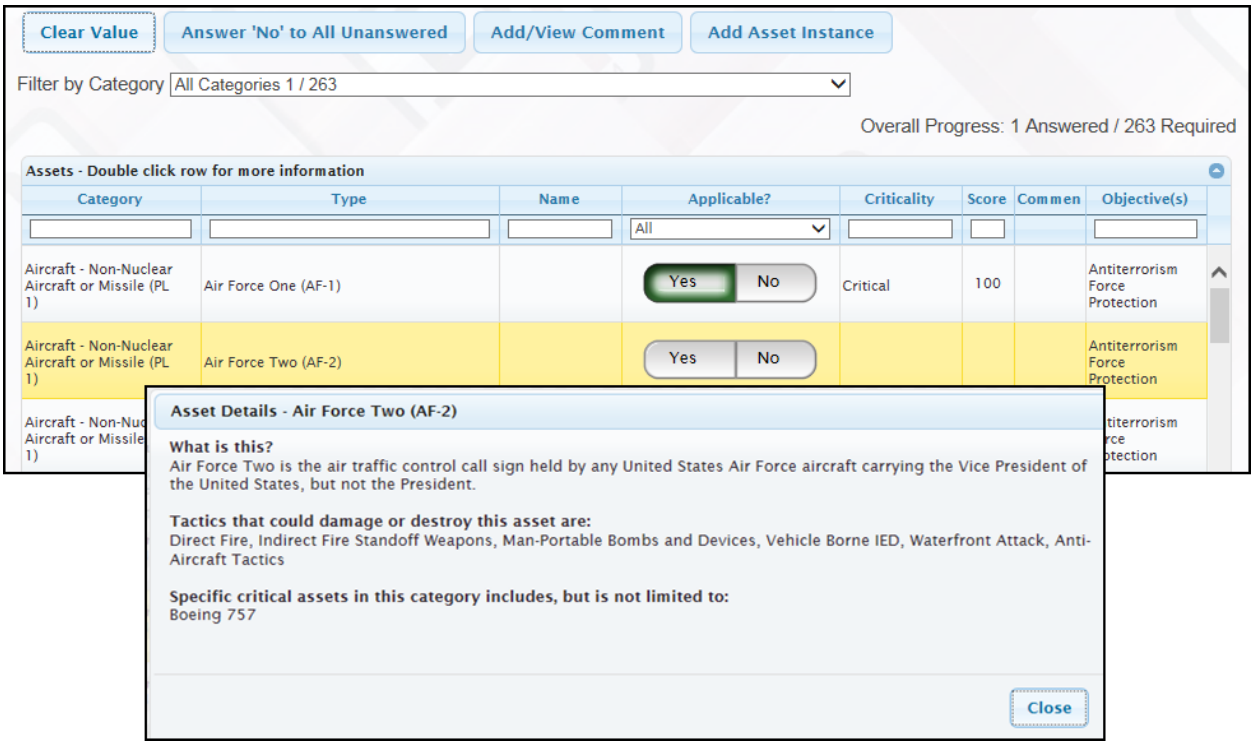


Figure 3-35. Asset Details.

3.5.2.3.8 Continuing Beyond the Asset Page

In the preceding paragraphs the actions and functions associated with the Asset page have been discussed. When the template builder has performed the desired actions on the Assets page, either selecting assets for the template, or, electing not to include assets for the template, then in order to proceed the user will click the continue button. As mentioned previously, a continue button is included both at the top and the bottom of the page here, as well as on the Threat and Benchmark pages. Click the continue button when ready to proceed.

3.5.2.4 Threats Page

Moving to the threat page opens another grid page with a listing of Threat methods in the first column and the paired threat source in the second column. These are derived from the DoDI 6055.17 and the AHTA 18.4. See figure 3-36. The full list of 90 pairings appears in the template development grid. This may be less in an assessment based on the previous answers provided, as discussed previously in paragraph 3.4.2.2. Most of the action features were described above in the Assets Page discussion. All of the buttons perform in the same way on the Threat grid page, as does the filter (although here it is named “Filter by Method,” rather than “Filter by Category”). Additionally, the “Add Asset Instance” button, is now named “Add Threat Instance,” but, the action of add another instance of a particular threat remains the same. The IDRMP IPB includes determining the enemies’ threat’s capabilities, what they target, their most likely targets, their most dangerous tactics, and whether they have a nexus to any

crime/activities impacting the installation or its personnel. Since that has already been done, users are likely to have enough information to populate the Threat page, i.e., answer all of the questions presented. In that case, the template created will give the user a pre-populated threat page for the assessment later. This will be discussed in the next chapter in paragraph 4.3.

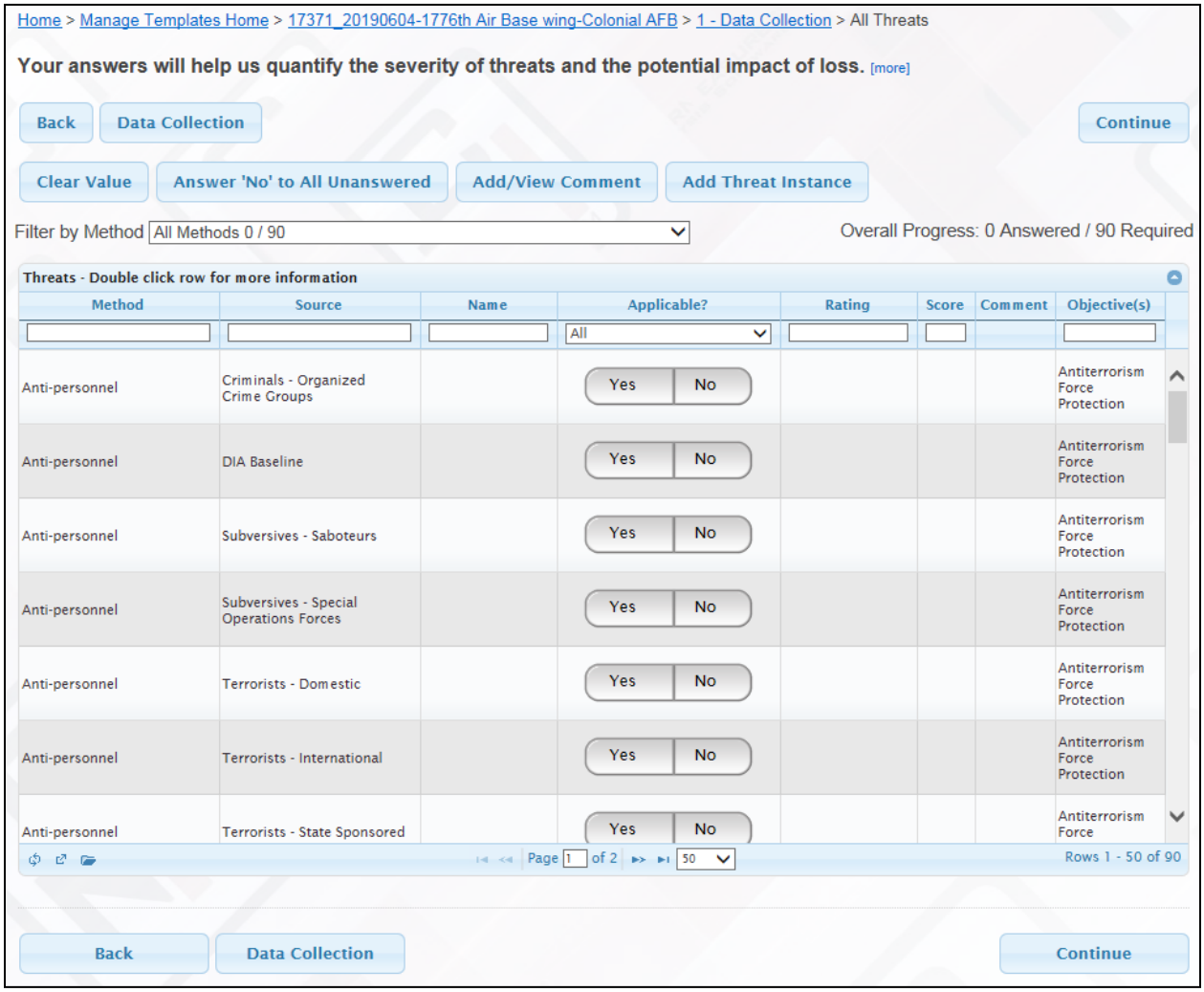


Figure 3-36. Threat Page

3.5.2.4.1 Actions on the Threats Page

In order to add threats to the template, move the cursor over the “Yes” button on a desired threat. It will highlight in green. See figure 3-37. Conversely, scrolling over “No” will cause the button to highlight in red. This was briefly identified in chapter 2.

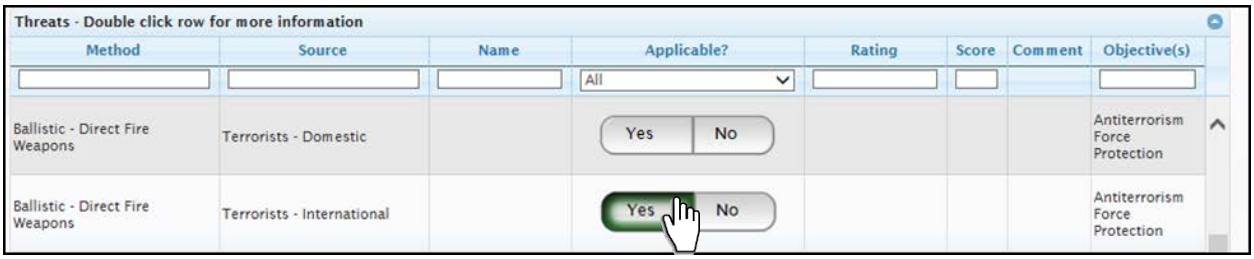


Figure 3-37. Scrolling on Threats

3.5.2.4.2 Selecting a Threat

When a desired threat method-source pairing is identified, click the "Yes" button. A text window will open with a series of questions to answer. See figure 3-38. Unlike the TCA question on the asset page, there are no preliminary questions on this screen, and each question must be answered using the pulldown menu selections. These questions are derived from the IDRMP and consistent with the categories used in scoring the Threats described in the AFI 31-101 and DoD guidance.

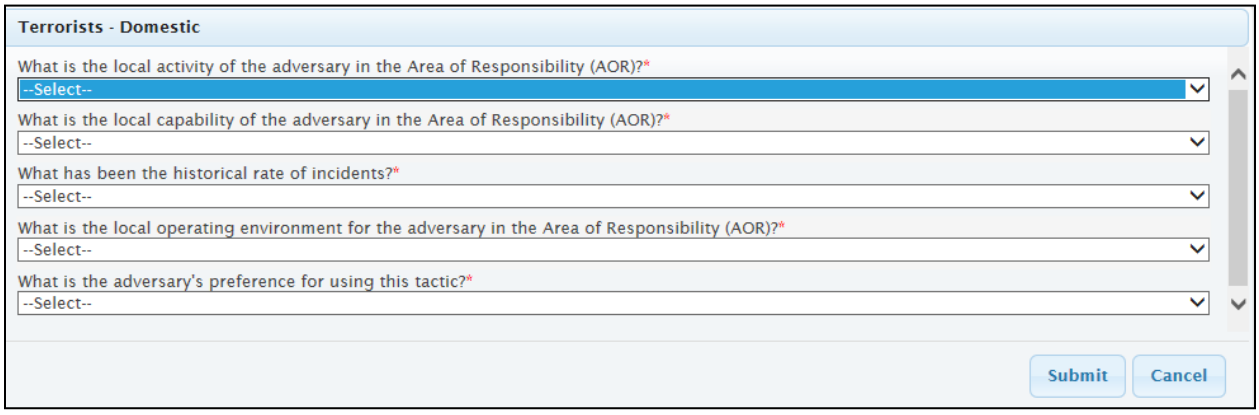


Figure 3-38. Threat Questions

When all questions have been answered, click on the "Submit" button. See figure 3-39.

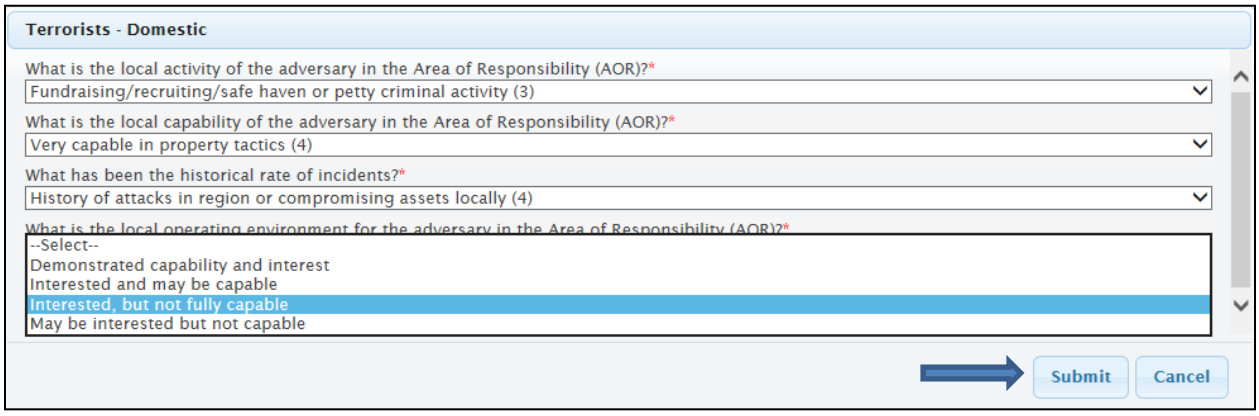


Figure 3-39. Threat Questions Completion

3.5.2.4.3 Scoring the Threat

When the question set "Submit" button is clicked, the question screen disappears and the EPRM tool performs the calculation to identify the rating and score for the selected threat. The selections made for these answers are linked to corresponding values that are applied, consistent with the IDRMP calculations, to generate the score. When the calculation is complete the rating and score will be displayed in the grid columns respectively. See figure 3-40.

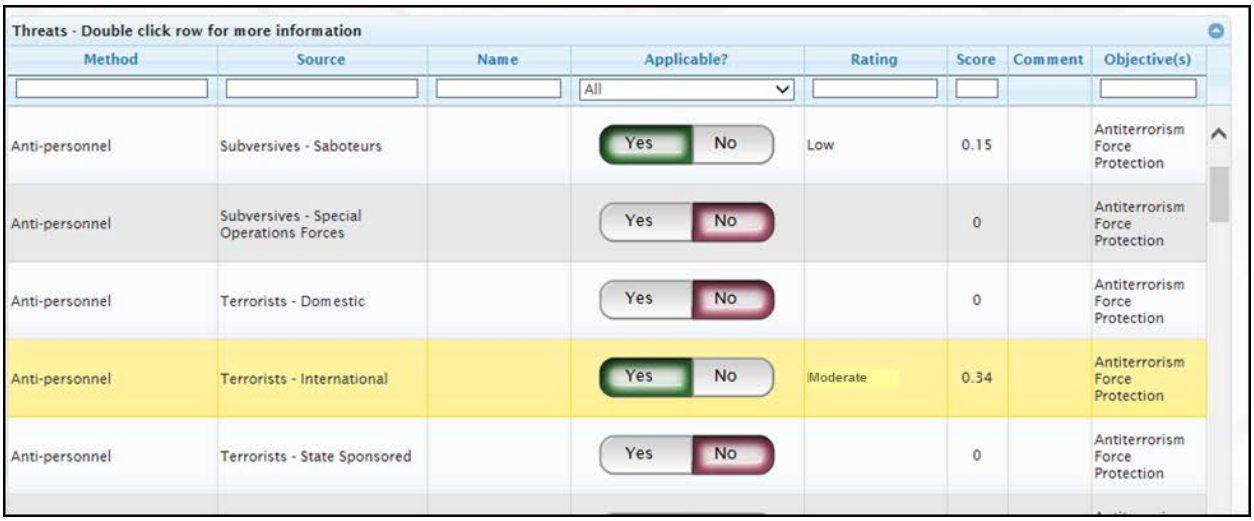


Figure 3-40. Threat Rating and Score.

Figure 3-40 shows a series of threat parings with answers. "No" answers are scored as 0 and "Yes" answers are scored according to the authenticated tool algorithms. (Note: selected answers remain the highlight color of the answer—a visual cue to recognize progress)

3.5.2.4.4 Concluding Actions on the Threat Page

When actions on the threat page are complete, but before leaving the page, the user should download the excel file of the threat list as part of the preparatory collection of the IDRMP IPB. At the bottom left of the grid, click on the "Export to Excel" icon, see figure 3-41, to download the file.

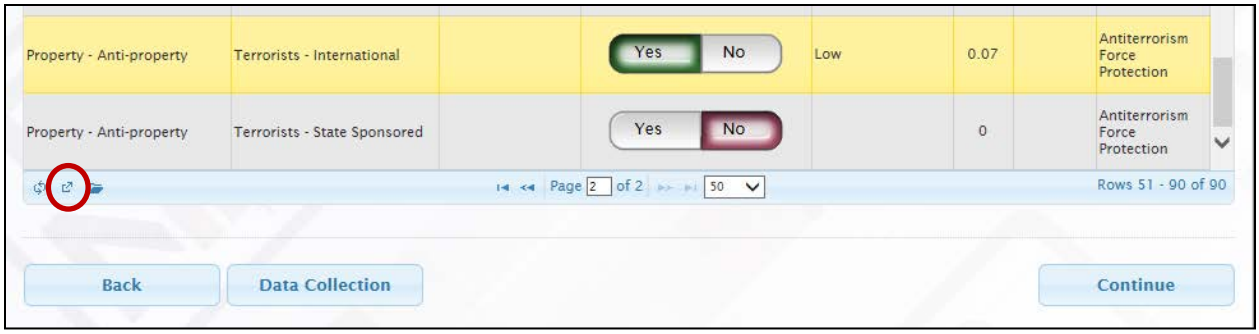


Figure 3-41. Threat Excel File Download.

3.5.2.4.5 Continuing Beyond the Threat Page

In the preceding paragraphs the actions and functions associated with the Threat page have been discussed. When the user has performed all desired actions on the page, whether selecting threats for the template, or, downloading the threat list, the user will be ready to move on to the Benchmark page. Click the continue button when ready to proceed.

3.5.2.5 Benchmark Page

Moving to the benchmark page opens the final grid page of the template development. The benchmark list is derived from the 2018 DoD Mission Assurance Assessment Benchmarks. See figure 3-42. The IDRMP related benchmark list includes 295 items. This number will decrease in an assessment based on the answers provided in each of the preceding EPRM tool pages. As with the Threat page, most of the action features were described above in the Assets Page discussion. All of the common buttons perform the same way on the Benchmark grid page, as does the filter. There are three new and unique features on the benchmark page. These are “Export to Excel,” and “Upload Responses” buttons and a new Answer selection “N/A.” (Note: on this page, benchmarks are listed as countermeasures, however, all discussion will use “benchmarks”).

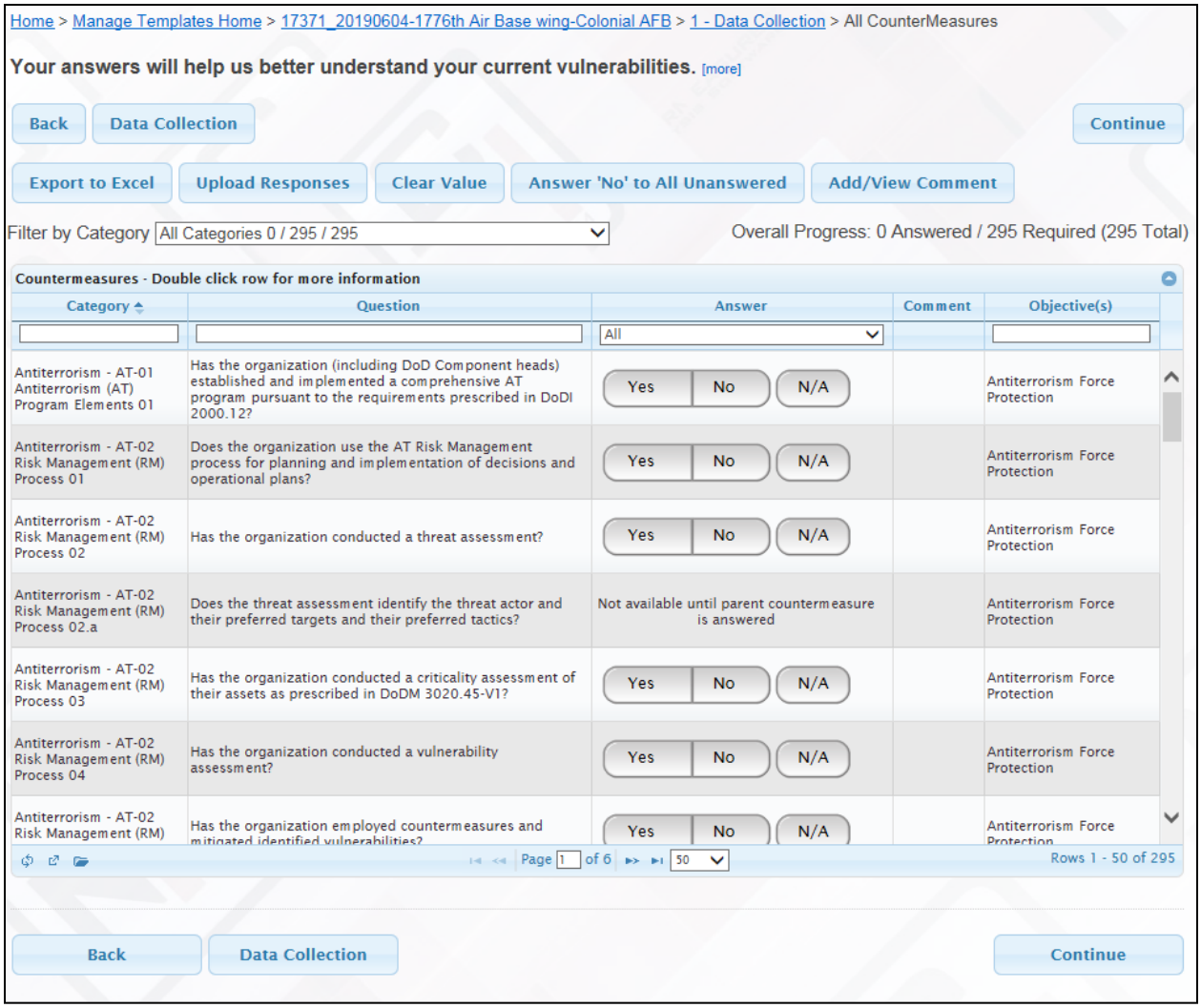


Figure 3-42. Benchmark Page.

3.5.2.5.1 Action Buttons

As stated above, most of the action buttons and their functions remain the same as previously described. There are three new additions to the action button array on the Benchmark Page. These will be explained in the next paragraphs following.

3.5.2.5.1.1 Export to Excel Button

The “Export to Excel” button, see figure 3-43, is actually a new form of an existing function. The icon on the lower left of the grid is still there and also allows users to export. The reason for the addition of a button pertains primarily to use in the assessment itself. In the preparatory phase, the full 295 item list is exported. During an assessment, when all of the pages leading up to the benchmarks have been completed, the resulting list will be shorter and tailored to the assets and threats that have been selected. This list can be exported and used to do the on-site

assessment activities where the EPRM tool itself may not be accessible. The button serves as a memory key to the assessor that the list can be downloaded and used, rather than taking the additional step of writing assessment notes and then inputting the information into the EPRM tool later.

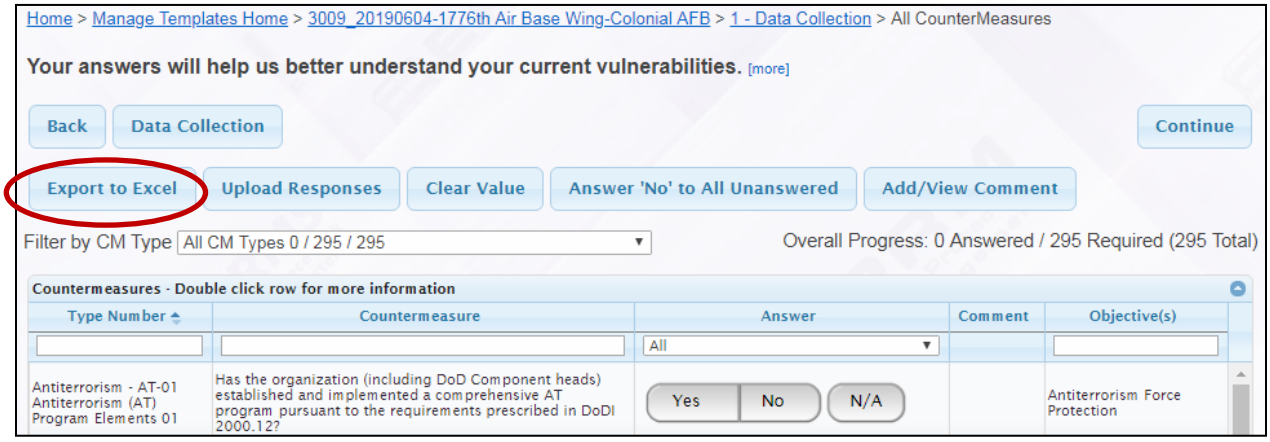


Figure 3-43. Export to Excel Button.

3.5.2.5.1.2 Upload Responses Button

The “Upload Responses” button, see figure 3-44, is complimentary to the “Export to Excel” button. If the Excel benchmark page is filled in with the desired responses, and comments, it can be uploaded back into the tool directly without taking intermediate steps. Since this function pertains to the assessment phase, further discussion will be provided in chapter 4.

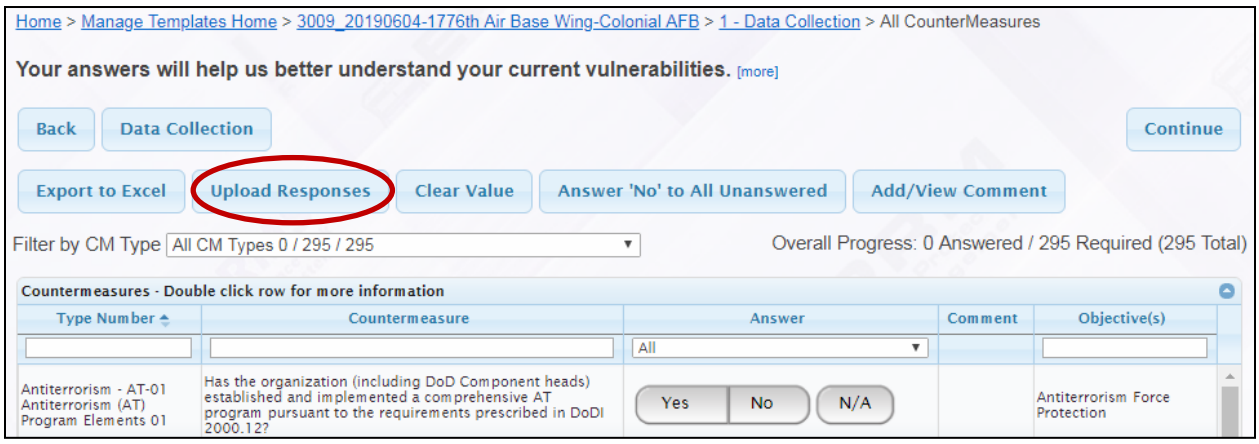


Figure 3-44. Upload Responses Button.

3.5.2.5.1.3 N/A Answer Button

On the preceding pages the answer buttons only included “Yes” and “No.” On the benchmark page there is a new, third, option, “N/A,” see figure 3-45. The “N/A” button is used for benchmarks that are not applicable to a particular assessment. Anytime the “N/A” button is

used, a comment is required and the comment box automatically opens. This answer selection should be used primarily on templates. It will be discussed further in chapter 4.

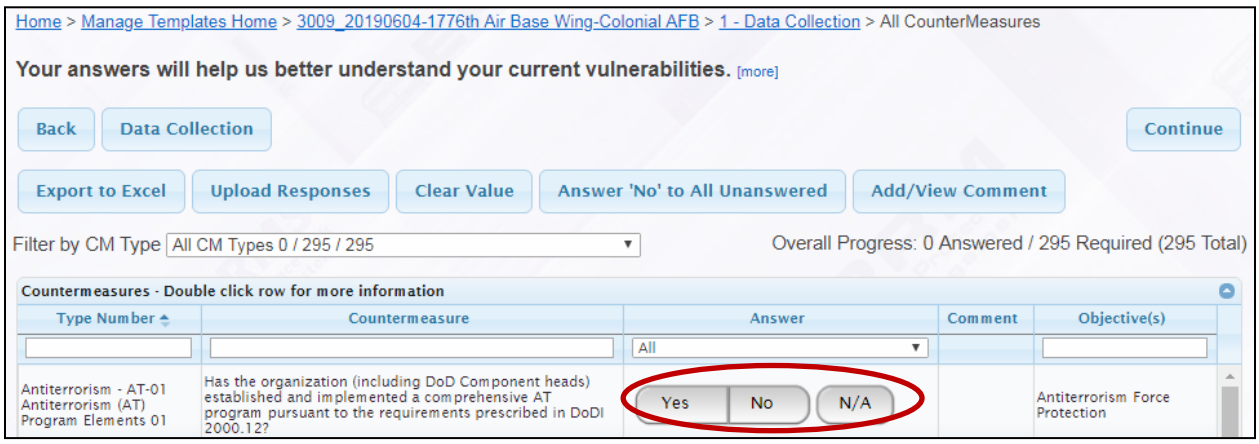


Figure 3-45. N/A Answer Button.

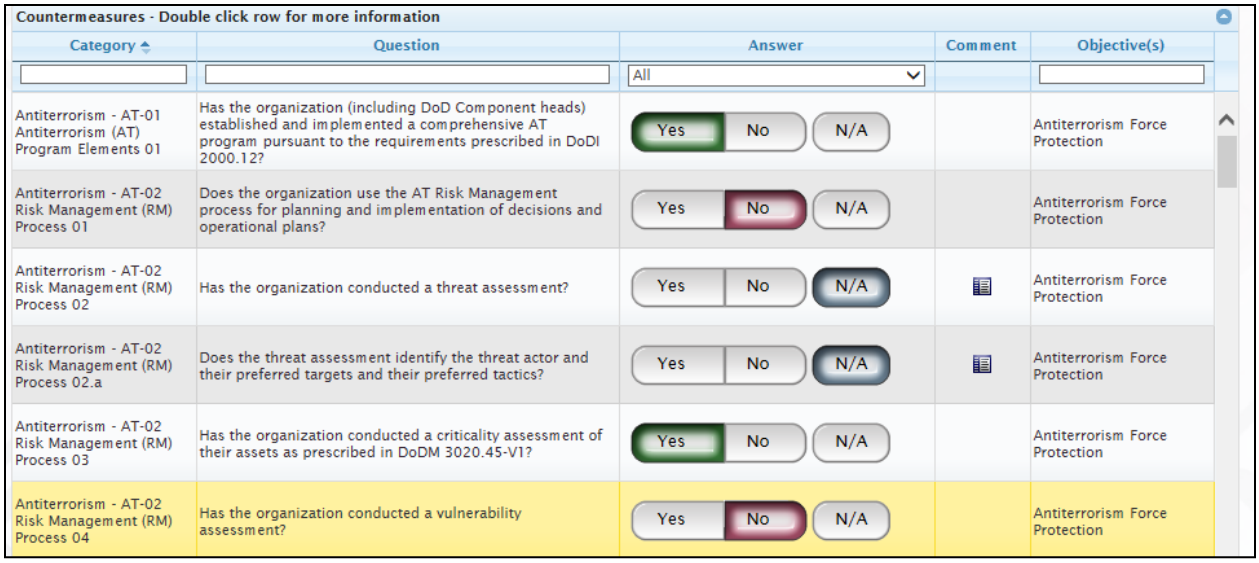
3.5.2.5.2 Actions on the Benchmark Page

In order to add a benchmark to the template, the action is the same as for the previous pages—moving the cursor over the "Yes" button on a desired benchmark will highlight it green. And, scrolling over "No" will cause the button to highlight in red. Now, scrolling on the "N/A" button highlights it in gray. See figure 3-46. As previously noted, when any answer is selected, it retains its highlight color as a visual cue to the user .

Figure 3-46. Scrolling the "N/A" Button

3.5.2.5.2.1 Selecting a Benchmark

When a desired benchmark is identified, click the answer desired. Ordinarily, only "Yes" or "N/A" will be selected for a template. A "No" answer for a benchmark on a template would indicate noncompliance before the fact, and therefore should be used as infrequently as possible. Unlike in assets and threats, no text window will open and there is not a series of questions to answer; the answer is automatically processed. When benchmarks have been selected the page appears as shown in figure 3-47.



Countermeasures - Double click row for more information

Category	Question	Answer	Comment	Objective(s)
		All		
Antiterrorism - AT-01 Antiterrorism (AT) Program Elements 01	Has the organization (including DoD Component heads) established and implemented a comprehensive AT program pursuant to the requirements prescribed in DoDI 2000.12?	Yes No N/A		Antiterrorism Force Protection
Antiterrorism - AT-02 Risk Management (RM) Process 01	Does the organization use the AT Risk Management process for planning and implementation of decisions and operational plans?	Yes No N/A		Antiterrorism Force Protection
Antiterrorism - AT-02 Risk Management (RM) Process 02	Has the organization conducted a threat assessment?	Yes No N/A		Antiterrorism Force Protection
Antiterrorism - AT-02 Risk Management (RM) Process 02.a	Does the threat assessment identify the threat actor and their preferred targets and their preferred tactics?	Yes No N/A		Antiterrorism Force Protection
Antiterrorism - AT-02 Risk Management (RM) Process 03	Has the organization conducted a criticality assessment of their assets as prescribed in DoDM 3020.45-V1?	Yes No N/A		Antiterrorism Force Protection
Antiterrorism - AT-02 Risk Management (RM) Process 04	Has the organization conducted a vulnerability assessment?	Yes No N/A		Antiterrorism Force Protection

Figure 3-47. Selected Benchmarks

3.5.2.5.2.2 Scoring for Benchmarks

Unlike the Asset and Threat pages, there is no scoring of the benchmarks at this point. These are scored later in the calculations associated with the Risk Assessment itself. Therefore, there are no steps associated with scoring on this page.

3.5.2.5.2.3 Parent/Child Benchmarks

The concept of Parent/Child was introduced in paragraph 3.5.2.2. There are instances where one benchmark is dependent on another. As a simple example, consider this scenario. In answering a set of facilities questions this might be a pairing: “Does the building have closed circuit cameras?” “Do the cameras record color video?” The second question is dependent on the first and is impossible to answer if the first question is answered “No” or “N/A”. Dependent questions are child questions and the independent question is the parent. There may be multiple child questions associated with one parent. Figure 3-48 shows both the relationship and an example of multiple child questions for a single parent question.

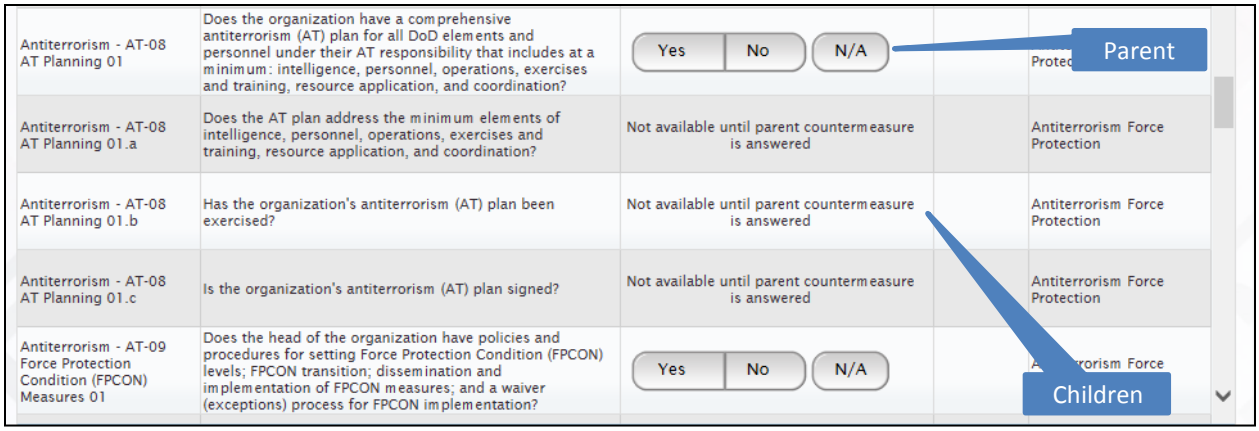


Figure 3-48. Parent/Child Relationship of Benchmarks

3.5.2.5.2.4 Concluding Actions on the Benchmark Page

When actions on the benchmark page are complete, but before leaving the page, the user should download the excel file of the benchmark list as part of the preparatory collection of the IDRMP IPB. The user can use the “Export to Excel” button at the top left, or the “Export to Excel” icon at the bottom left of the grid, click on either one, see figure 3-49, to download the file.

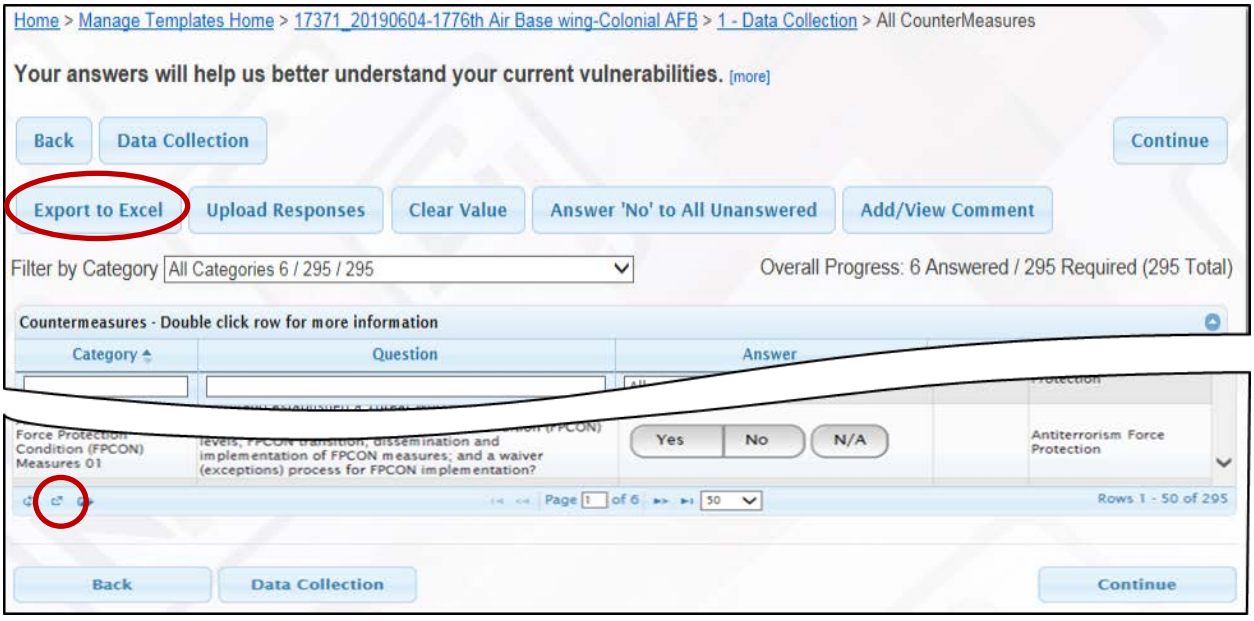


Figure 3-49. Export to Excel

3.5.2.5.2.5 Completing and Locking the Template

In the preceding paragraphs the actions and functions associated with the Benchmark Page have been discussed. When the user has performed all desired actions on the page, whether selecting benchmark answers for the template, or, downloading the benchmark list, the user will be ready

to conclude the template creation. Click the continue button when ready to proceed. The screen that opens is the process model showing that each step of the process has been completed (signified by a green checkmark on the step icon). See figure 3-50.

Figure 3-50. Template Process Progress

The template must be locked for it to available for an assessment. To start that process, click on the "Lock Template" icon (notice the yellow "Click Here" medallion on the icon).

3.5.2.5.2.5.1 Locking the Template

When the "Lock Template" icon is clicked, a warning box opens, see figure 3-51. This is to inform the user that once the template is locked, it may not be changed or edited. A separate procedure for updating templates will be discussed later in this guide.

Figure 3-51. Template Lock Warning

Click "Yes" to continue and lock the template. The text box will disappear and the scree will change to this template's administration page. See figure 3-52. Notice that the icon is now "Read Only," since the template has been locked. The administrative functions on the lower half of the page were discussed in chapter 2. The template is complete and the EPRM tool activities for the preparatory phase of IDRMP are also complete.

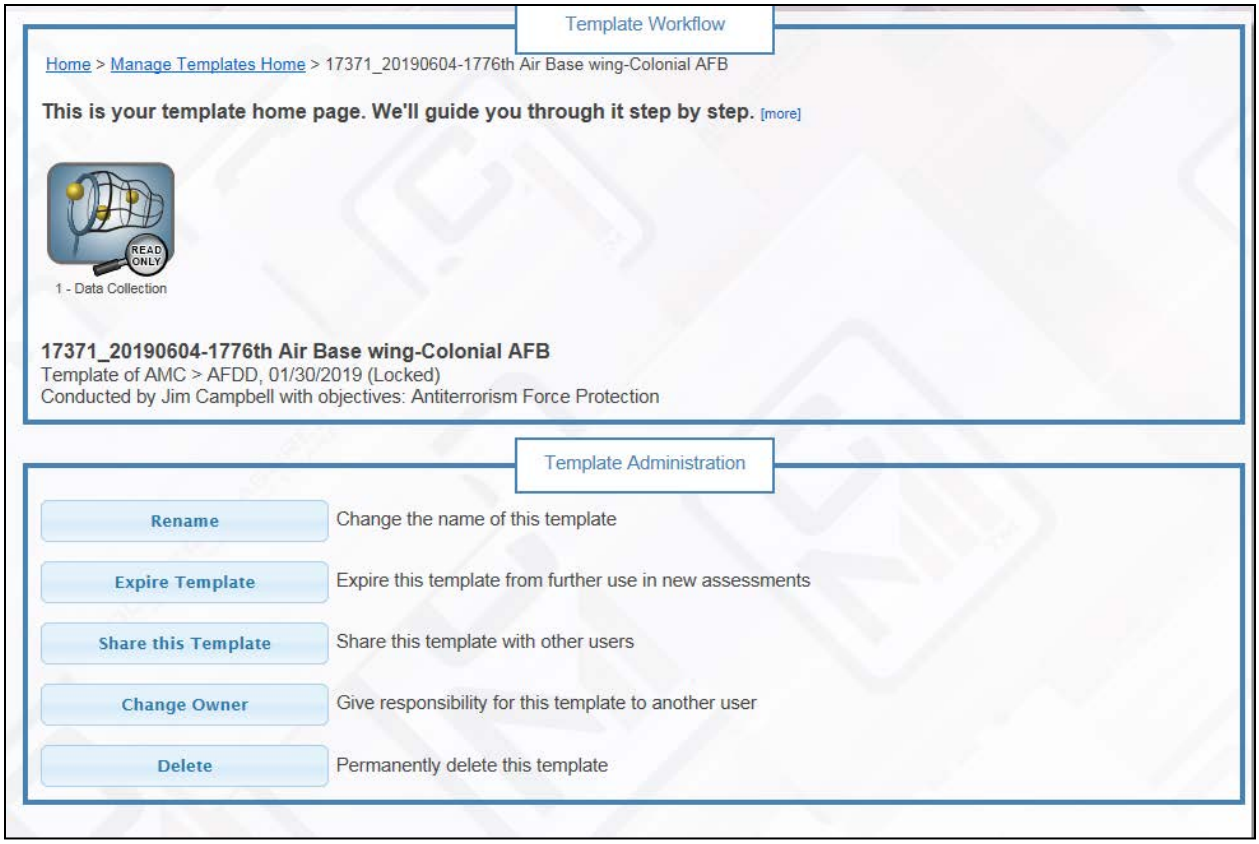


Figure 3-52. Template Administration Page

3.5.3 IPB Endstate for EPRM Tool Support to IDRMP

At the end of the IPB process, EPRM users should have made a template for the upcoming assessment(s); have a printed list of the assets, threats, and benchmarks, either in pdf, excel, or both; have reviewed and pared down the lists to focus each on the pertinent information that they will consider during the actual assessment(s). This will conclude the EPRM aspect of the IDRMP Preparatory Phase.

Chapter 4

IDRMP Execution Phase-Steps 1-4 Risk Assessment

4.1 The IDRMP Execution Phase Overview

The IDRMP process, as described in the introduction is actually a combination of two phased processes, the Preparatory Phase was discussed in chapter 3. The Execution Phase will be discussed in this and the following chapter, chapter 5. The process model for the Execution Phase is shown in figure 5-1. This chapter will focus on the first four steps of the process, the assessment activities. Chapter 5 will focus on the decision and implementation steps of execution. During the Execution Phase, the EPRM tool will be used to record each aspect of the assessment, i.e., criticality, threat, vulnerability and risk, and then be used as an aid in analysis and reporting in support of the latter steps of the process.

Figure 5-1. IDRMP Execution Phase.

4.2 A New Asseessment

The requirement for a Criticality Assessment (CA) is an intermediate step in the Risk Management process. JP 3-07.2 states that Risk Management "requires an RA. An RA is determined by combining a TA[Threat Assessment], VA [Vulnerability Assessment], and criticality assessment (CA) in order to provide a commander with a more complete picture of the risks facing an asset or group of assets." It SHOULD NOT be considered an end product, but the initial step of the Risk Assessment process. In concert with this methodology, the EPRM tool is designed to link each of the steps into a single process (as demonstrated with the template development in chapter 30. The DoD definition for a CA is "an assessment that identifies key assets and infrastructure that support Department of Defense missions, units, or activities and are deemed mission critical the commander." Additionally, other assets are also included that are not mission essential. IAW DoD AT Standard 5 include non-mission-essential assets such as high-occupancy buildings; mass gathering activities; and any other facility, equipment, service, or resource (including non-DoD assets) deemed important by the commander as warranting protective measures to ensure continued, efficient operation; protection from disruption, degradation, or destruction; and timely restoration. The EPRM process begins with the creation of a new assessment. The process will be described in the paragraphs below, and carried through the first four steps of the IDRMP, which will correspond to subsequent paragraphs in this chapter.

4.2.1 Beginning the Assessment Process

To create a new assessment, open EPRM and select the "Start" button with the caption "Create a New Assessment." See figure 4-2. Click the "Start" button. (Note: Assessments are started directly from the dashboard on the home page, while templates have an intermediate step- "Manage Templates," then "Start")

Figure 4-2. Homepage Dashboard

4.2.2 Creating a New Assessment

Clicking the "Start" button opens a new page that appears almost identical to the naming page for a template, and has the same required fields: name, node, and objective. See figure 4-3. The Assessment page also has a date field, but it is not a required (it can be used for management purposes to track upcoming assessments, or, to scope the duration of an assessment window).

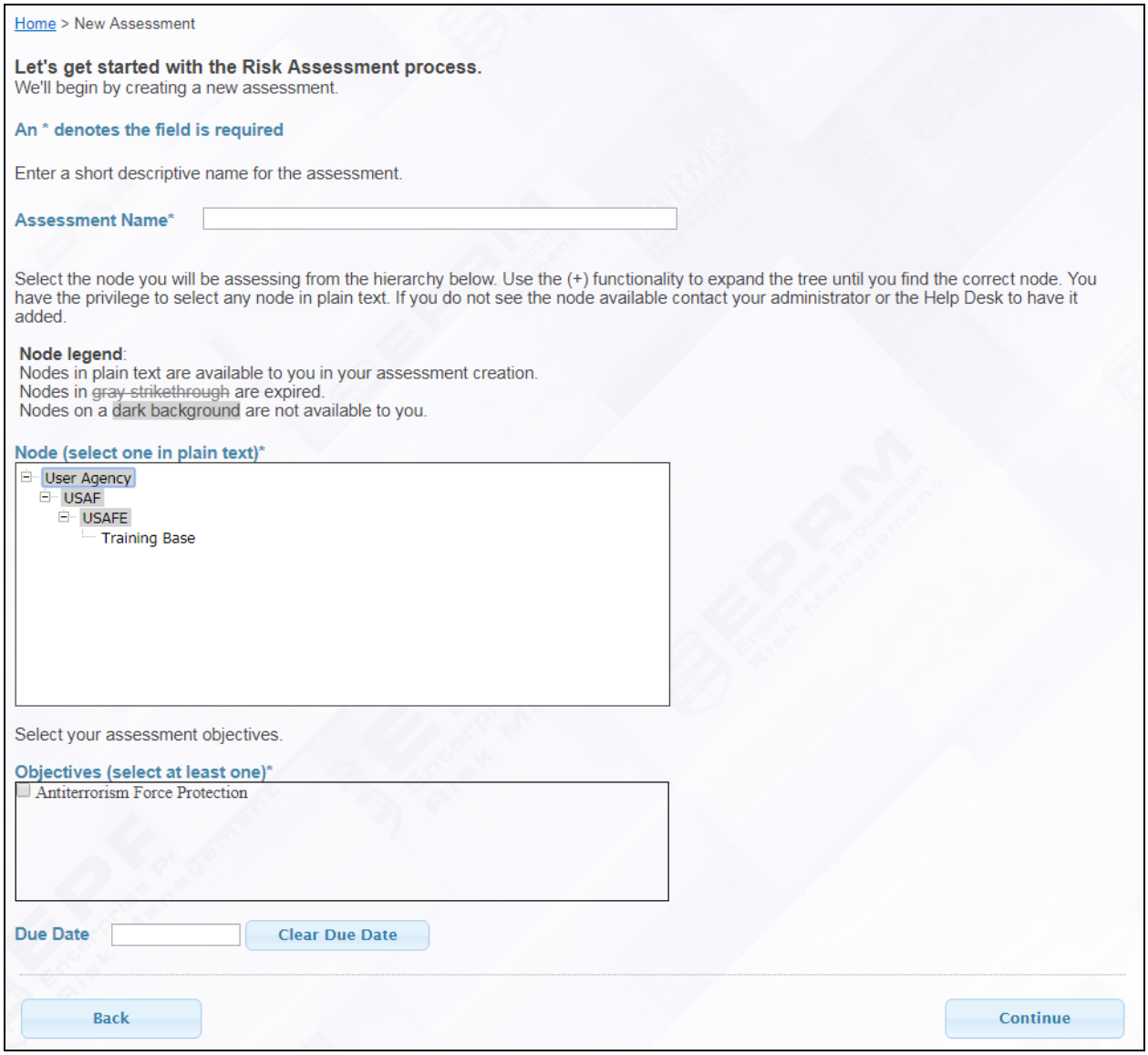


Figure 4-3. Assessment Creation Page.

4.2.2.1 Completing the Assessment Creation Page

Answers for required fields must be completed to create the assessment. A new assessment is not created until the user answers these three items and click continue. A new assessment is not created until the user continues beyond this naming page.

4.2.2.2 Naming Convention

Recall the naming convention detailed in chapter 3, paragraph 3.3.1.2. It follows the framework of: completion date of the assessment (YYYYMMDD) - assessed command entity - assessment location. These are the required elements, an example is: 20190604 – 1776th Air Base Wing –

Colonial AFB. There are optional additional elements for assessment sub-location, an Annex, for example; and organization-identified labels. Enter the name in the text box seen in figure 4-4

Figure 4-4. Assessment Name.

4.2.2.3 Node Selection

Select the Node in which your assessment is to be conducted. Recall that any Node that appears with a gray background is inaccessible to the current user. A clear background node is the only element for which the user can create a template.

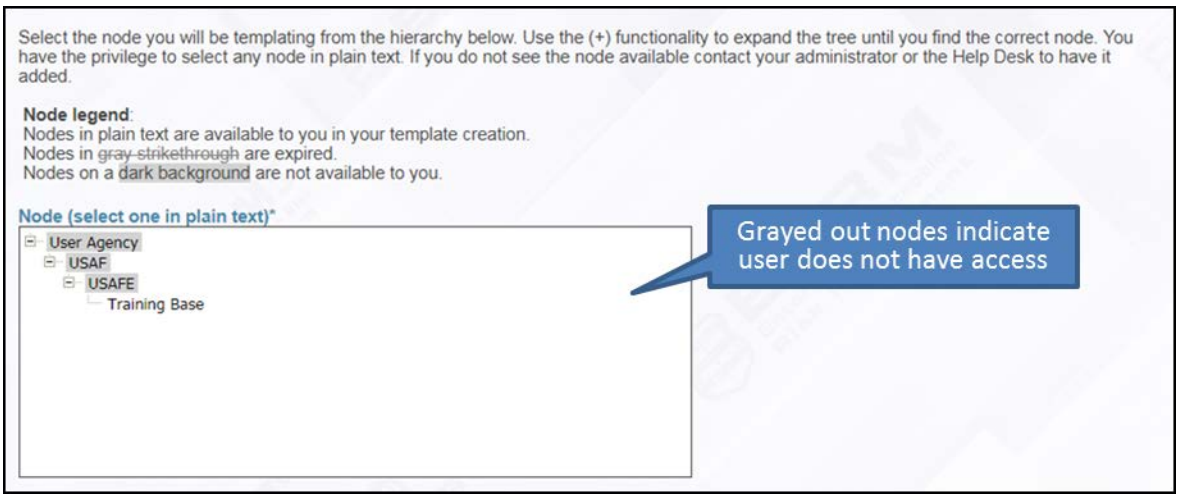


Figure 4-5. Node Selection.

4.2.2.4 Assessment Objective

Select the Objective to use to create the assessment. See figure 4-6. The “Objective” indicates the Mission Assurance activity to which the database is aligned. Users will not normally see more than their assigned objective. If additional objective appear, take care to select the correct objective, i.e., “Antiterrorism Force Protection.”

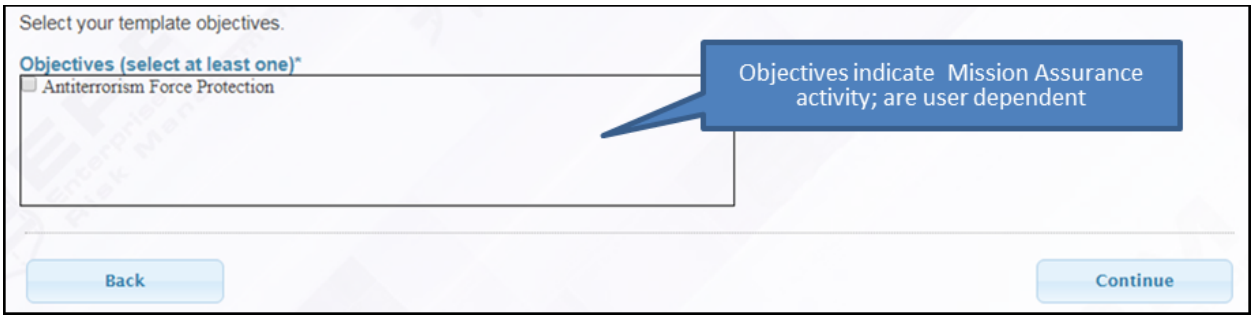


Figure 4-6. Assessment Objective Selection.

4.2.2.5 Assessment Creation

Select "Continue" at the lower right of the page to finalize creation of the assessment, and to move to the next page. See figure 4-7.

Figure 4-7. Create the Assessment.

4.2.3 Unit Data and Asset Criticality Process

When the assessment is created, as in the template process above, users will work through the process model shown in figure 4-8. The first steps of the process will be discussed in the following paragraphs.

Figure 4-8. EPRM Assessment Process Model Start Point

4.2.3.1 Copy and Inherit Templates or Assessments

When the assessment is first created, a Copy/Inherit window will open. The first time this window opens for a new user will be if a previous assessment has been done, or a template is available. Figure 4-9 shows the screen that will open since a template was built during IPB. Figure 4-10 shows the full options set, i.e., when a template and an assessment are available.

Figure 4-9. Copy/Inherit Option Page.

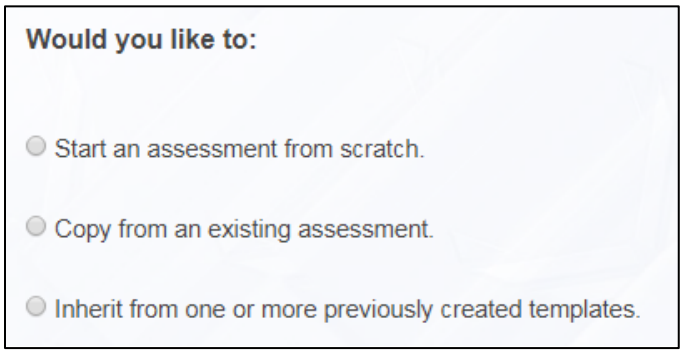


Figure 4-10. Full Options Listing.

After an assessment has been completed, a user may copy from that assessment and edit as appropriate for follow-on assessments of the same unit, or, for an assessment of a like unit that has many of the same assets and attributes of the unit represented in the original assessment. For the purposes of this instruction, no previous assessment has been completed, but, a template has been. Therefore, when the page appears, the user should select “Inherit from one or more previously created templates.” Click the “Continue” button to move to the next screen.

4.2.3.2 Selecting a Template to Inherit

The next screen is actually an extension of the same page, with a new section appearing below the selection list. See figure 4-11. On this portion of the page, check the block beside the template built during IPB. The name should then appear in the Inherited Templates column. Highlight the name in that column and then click the “Continue” button.

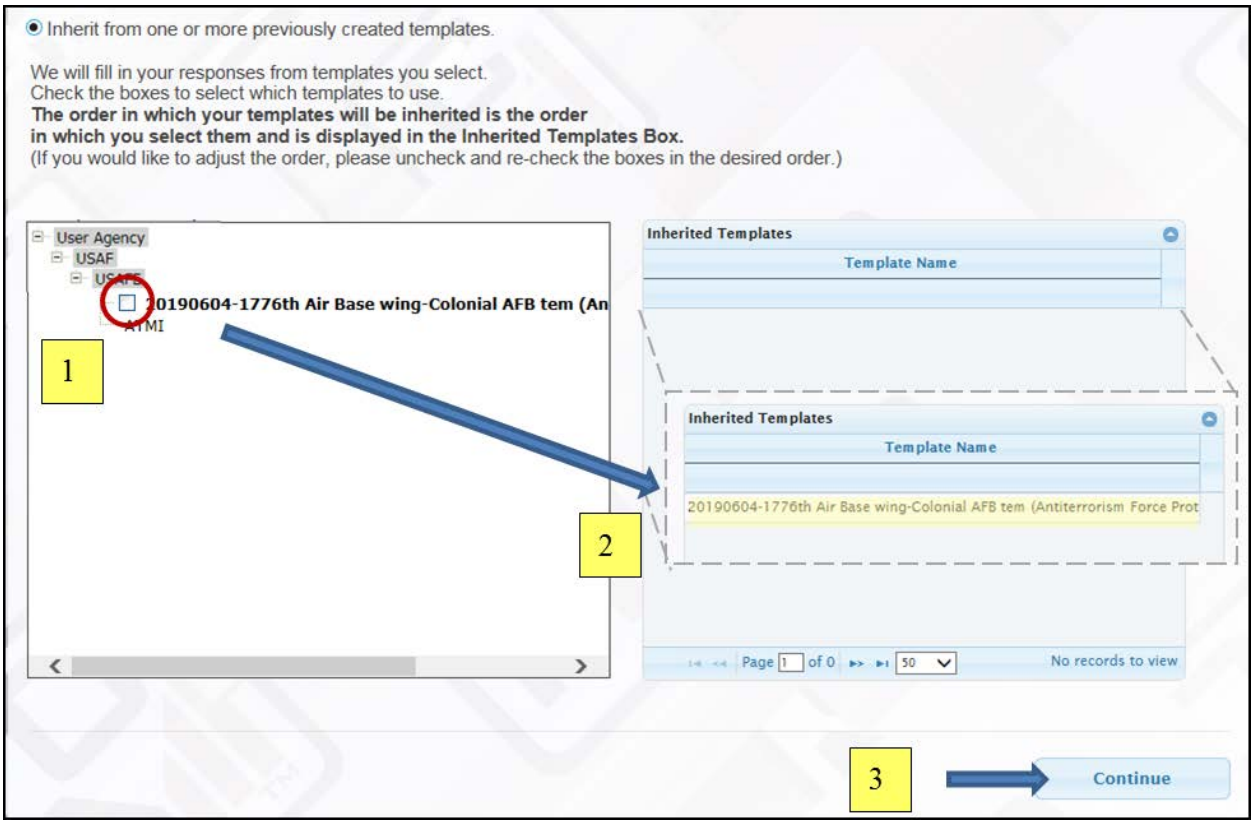


Figure 4-11. Template Selection.

4.2.3.3 Entering Unit Data

By inheriting the template built during IPB, any answers from the template are prepopulated in the assessment. Clicking the "Continue" button opens the first data page of the assessment—the Unit Description. See figure 4-12. This page, and the remaining pages, are the same as those in the template. They have the same buttons and perform the same functions. The principal difference from a user's perspective is that now every question must be addressed. However, a filtering function applies during the assessment phase so that by the time a user reaches the benchmark page, the number of items available will be significantly less than the complete benchmark list. On the "Describe the Organization" page, there is one parent child question. If the location selected is in a Combatant Command, other than NORTHCOM, the expeditionary question will be active, otherwise it will be grayed out. There are two new buttons on this page that are associated with the user having loaded a template. (In an assessment where a template is not used, e.g., copy from another assessment) these buttons will not appear. The buttons, located in the top right quadrant are "View Template Answers" and "Revert to Template." The next two paragraphs will explain these new buttons.

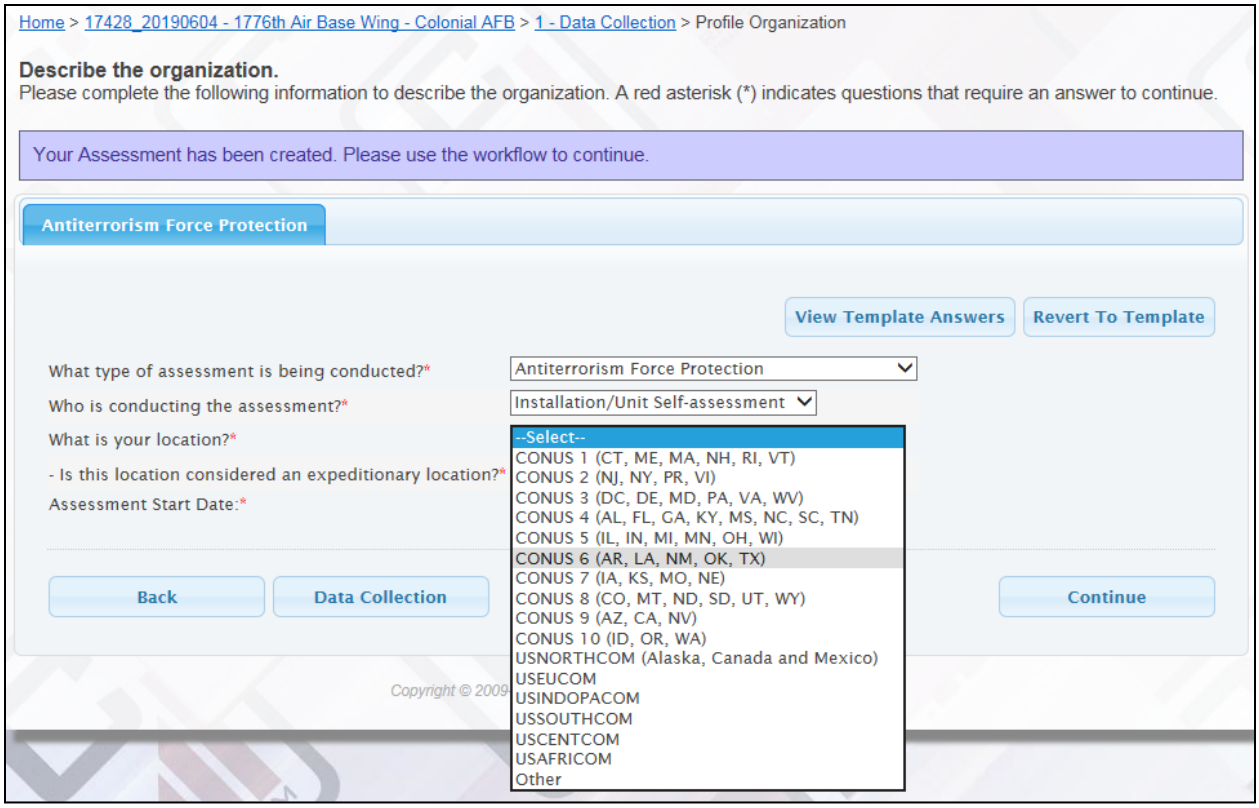


Figure 4-12. Describe the Organization Page with Pulldown.

4.2.3.3.1 View Template Answers

When working in an assessment that has inherited a template, whatever answers that occur in the template will automatically be displayed in the assessment, but, a user can change any of these answers as desired. If, during the course of making changes to template answers, the user wishes to recall the answers provided by the template, without making any changes, that can be accomplished using this button. Clicking the "View Template Answers" button will open a copied version of the page with the answers provided within the template. In this case, see figure 4-13, no answers were given for this page so, all the questions are blank.

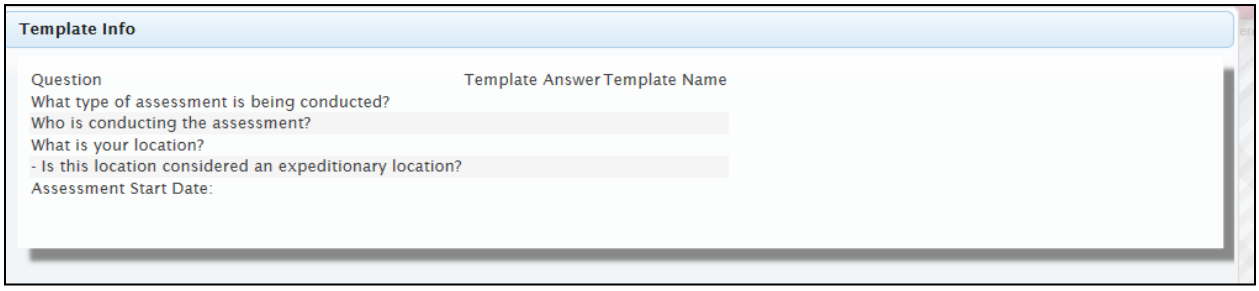


Figure 4-13. View Template Answers.

4.2.3.3.2 Revert to Template

While the “View Template Answers” button is designed to refer back to see an answer, or answers, the “Revert to Template” button actually changes new answers back to what they were in the template. However, this does not apply to questions that were blank in the template, only those that were previously answered.

4.2.3.4 Entering Operating Environment Data

When the questions on the “Describe the Organization” are completed, users move forward to the “Describe the Operating Environment” page. See figure 4-14. The questions on this page are directly linked to assessment questions. This ensures only those assessment questions which are applicable to the specific unit show later in the assessment. For example, if there is no Top Secret/SCI material on the base, those questions pertaining to TS/SCI will not appear later in the assessment.

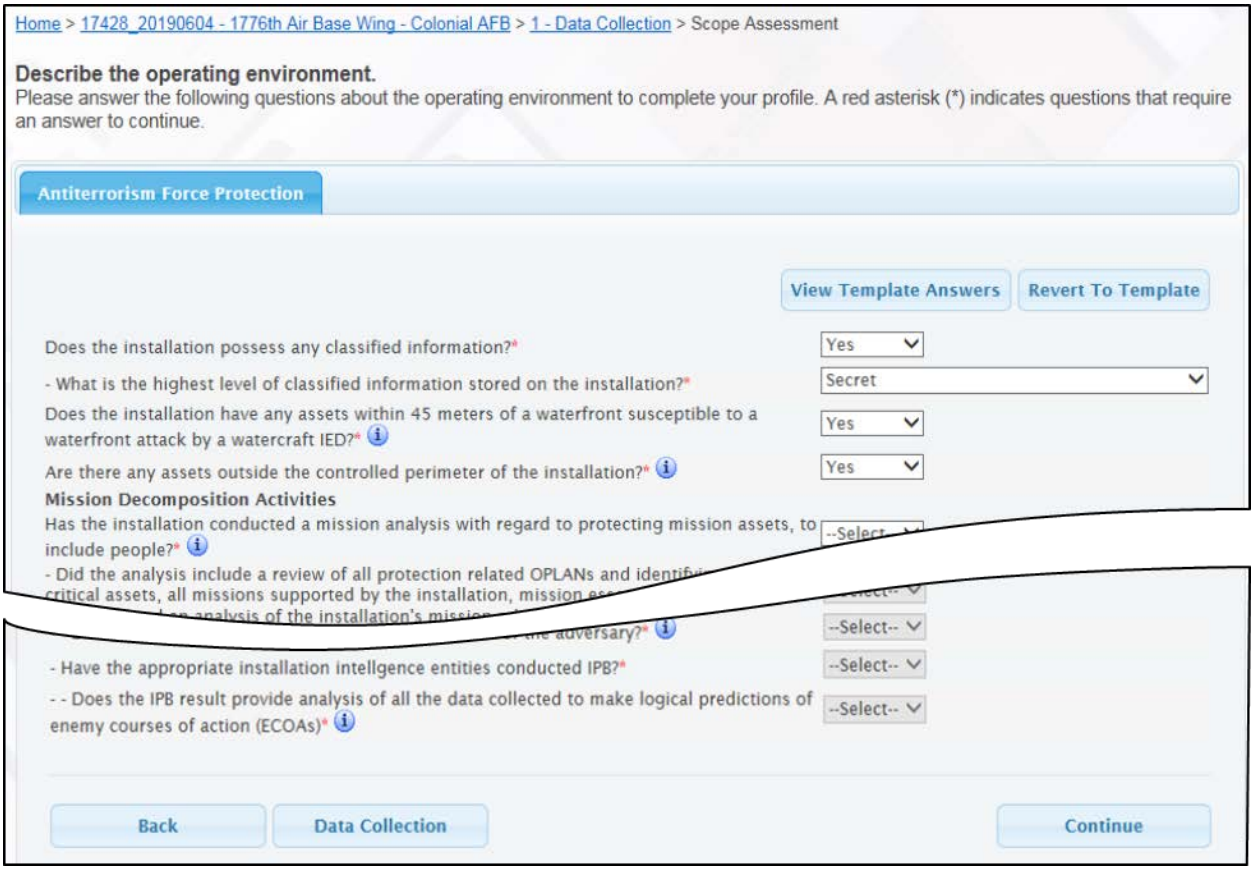


Figure 4-14. Operating Environment Data Page

As an aid to assist users, many of these questions have an information bubble following the question. Each information bubble will display a text box with additional information to clarify the question. Hover over the blue ‘i’ to get information about the question. See figure 4-15.

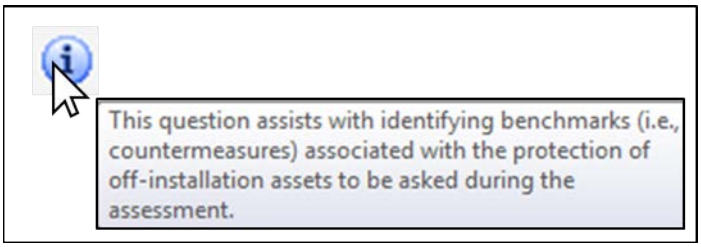


Figure 4-15. Information Bubble.

When each applicable question has been answered, click on the "Continue" button to move on to the Asset page. If a question is left unanswered, the user will see an error message banner at the top of the page and will not be able to proceed to the next page. (Note: the grayed out questions may not require an answer based on the parent-child relationship).

4.3 Criticality Assessment (Asset Page)

Much of the information on the assets page was presented in chapter 3 as part of template development. That information will be reinforced here. In the IPB process one of the activities was to get copies of the checklist that could be used to vet the assets that would be included on a particular assessment, prior to the execution of the actual assessment. At the beginning of this step in the overall process, that list should now be annotated and the actual unit assets noted. That list should be the basis of the asset selection that will be done in the tool here. Whatever assets that were identified in the pre-assessment review can be transferred into the tool using the paper checklist data to select line items and if the scoring was started manually, that can translate as well. See figure 4-16. This process can shorten the processing time in the tool. If a user does not have unlimited access to a SIPR terminal, this is a way to reduce time as each asset has already been considered and doesn't require long consideration while using EPRM.

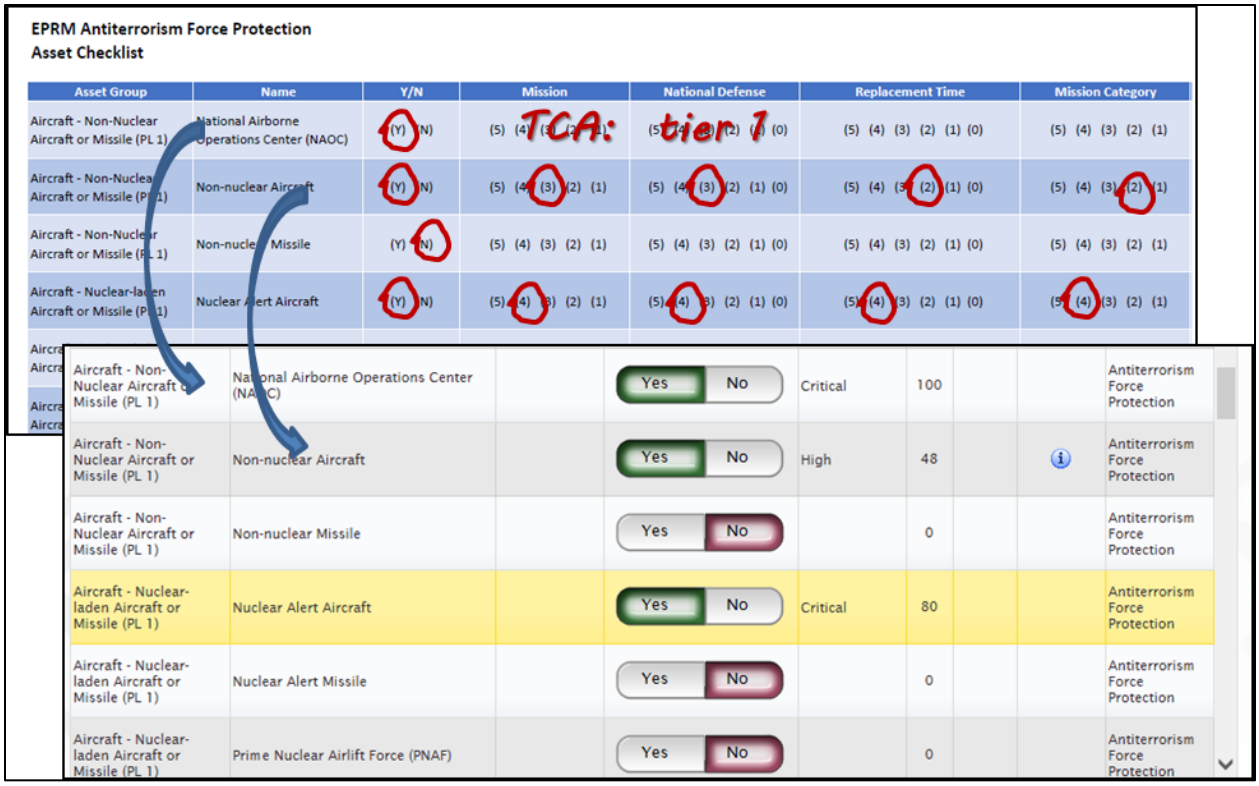


Figure 4-16. Checklist-to-Tool Crosswalk

4.3.1 Actions on the Assessment Assets Page

To review the procedure described in chapter 3, when adding assets to the assessment, move the cursor over the “Yes” button. It will highlight in green, while scrolling over “No” will cause the button to highlight in red. See figure 1-17.

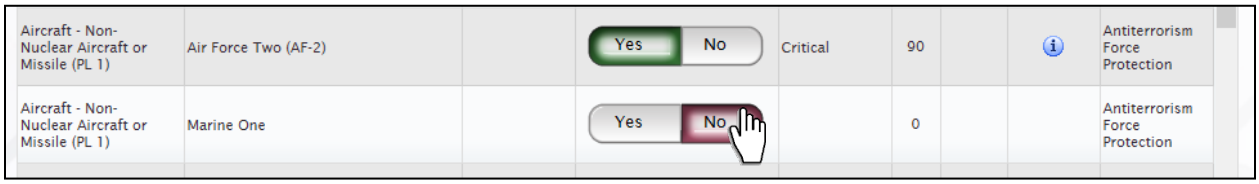


Figure 4-17. Scrolling on Assets.

4.3.2 Selecting an Asset

When a desired asset is identified, click the “Yes” button. A text window will open with a series of questions to answer. The first question asks if the asset is a Task Critical Asset (TCA). This question must be answered.

4.3.2.1 Task Critical Assets

A Task Critical Asset is an asset that is of such extraordinary importance that its incapacitation or destruction would have a serious, debilitating effect on the ability of one or more DoD or OSD Components to execute the capability or mission-essential task it supports. (DoDD 3020.40) TCAs should already have been identified during the IPB process; these are designated above the user level. Click on the TCA pulldown and follow the steps below. See figure 4-18.

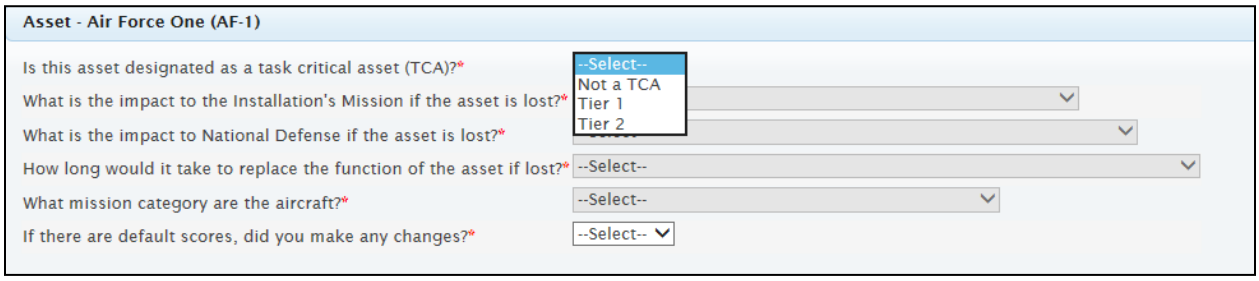


Figure 4-18. TCA Selection

4.3.2.1.1 TCA Tier Selection

TCAs are divided into tiers. A Tier 1 TCA is an asset whose loss, incapacitation, or disruption would result in mission failure at the DoD Component level of a mission essential task (MET) or essential capability aligned with strategic missions. A Tier 2 TCA is an asset whose loss, incapacitation, or disruption would result in severe mission degradation at the DoD Component level of a MET or essential capability aligned to strategic missions. (DoDI 3020.45) (Note: Tier 3 has recently been redefined to be an asset not currently assigned to support a strategic mission, but will become a Tier 1 or Tier 2 TCA when designated by its parent component to support a strategic mission; it is not tracked separately). The IPB should have identified and TCAs and their Tier level. This information must be the basis for the Tier selection on the pull down. This is the first step shown in figure 4-19.

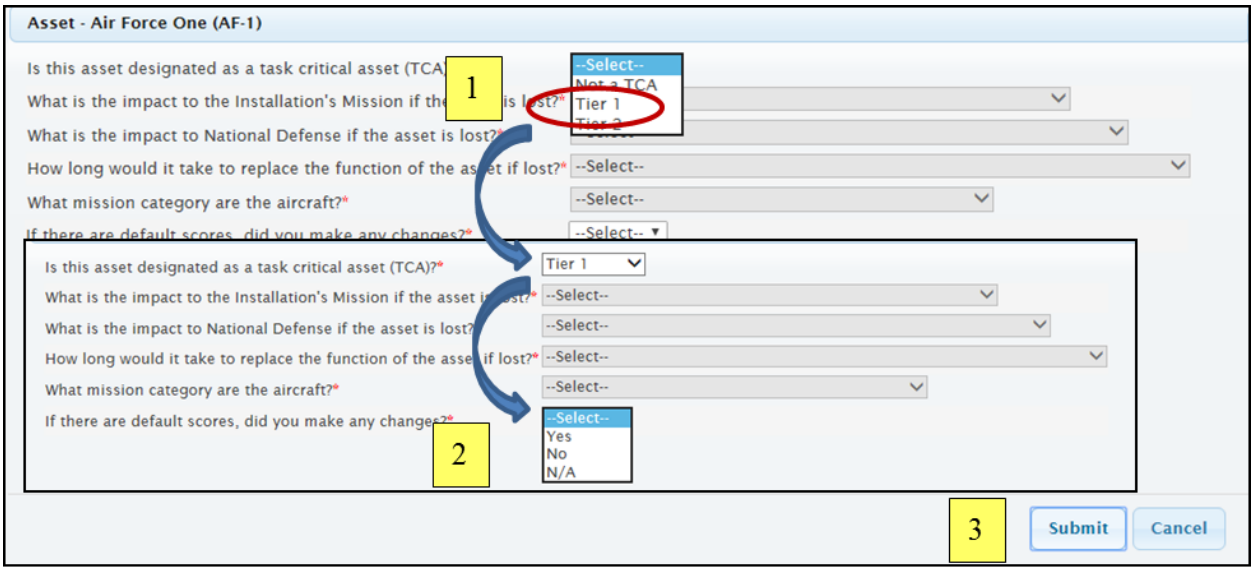


Figure 4-19. TCA Scoring Steps

4.3.2.1.2 TCA Default Scores

The last question in the series (step 2 in figure 4-19) is the only other question to answer for a TCA. TCAs are pre-scored based on the tier level and therefore have a pre-calculated default score. If a user changes the default score, it must be noted here. When this question has been answered, click submit (step 3) to register the score and move to another asset.

4.3.2.2 Non TCA Assets

If an asset is not a TCA, selecting "Not a TCA" will activate the remaining questions. As stated previously, these are derived from the IDRMP and consistent with the categories used in scoring the Assets described in the AFI 31-101. The questions are listed in table 4-1 (Note: the asset categories all use the same questions 1-3 and have a category specific question for question 4). All the remaining questions will apply and must be answered.

Asset Questions for Scoring
1. What is the impact to the Installation's Mission if the asset is lost?
2. What is the impact to National Defense if the asset is lost?
3. How long would it take to replace the function of the asset if lost?
Question 4 is asset category specific and takes different forms for each category:
What mission category are the aircraft?
What is the AA&E category rating for the asset?

What is the category type for the equipment? **What is the relative value (classified material)?**
What is the average population during the duty day?
What "type" of personnel and how many could be lost in one event?
What position and/or rank does the individual hold?
What is the contribution of the asset to the completion of the mission essential task?
What is the geographic area supported by this infrastructure asset?
What type of vehicle and how many?

Table 4-1. Non-TCA Asset Questions

4.3.2.2.1 Non-TCA Asset selection

When the user selects “Not a TCA,” (step 1) the question pulldowns for the succeeding questions are activated. See figure 4-20. The user must answer each question, which is associated with a value and may be tracked from the annotated work sheet form the IPB. (step 2).

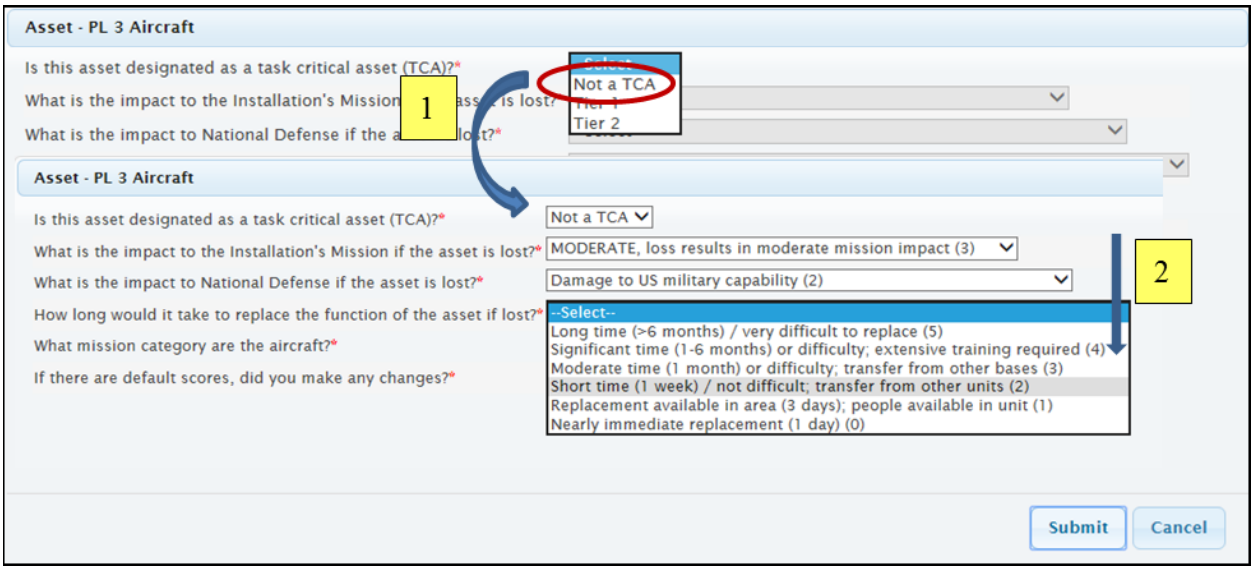


Figure 4-20. Steps for Scoring Non-TCA Assets

4.3.2.2.2 Non-TCA Default Scores

When all of the Asset questions have been answered, the default score question remains. As discussed above, TCAs automatically have a default score. Ordinarily, non-TCA assets will not have a default score. However, if the Asset was scored in a template, then it DOES have a default score. The usual answer here will be “N/A,” but if a score has been inherited from a

template, then the user will answer “Yes” if he/she changed the pre-entered score, or “No” if no change was made. Referring to figure 4-21, that is step 1, and step 2 is to submit the questions for scoring and moving back to the Assets list for further action.

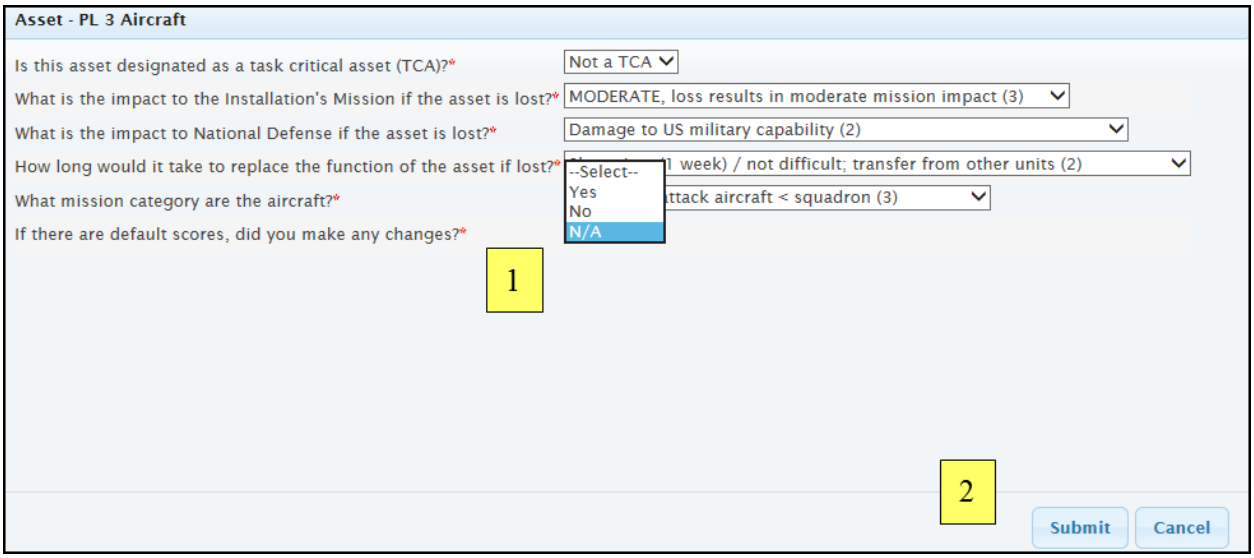


Figure 4-21. Non TCA Default and Submit

4.3.3 EPRM Scoring of an Asset

As described in chapter 3, the EPRM tool calculates a score and criticality for each asset the user marks as applicable (“Yes”). TCAs and any asset score brought into the Assessment are pre-scored and will display in the list with a score already calculated. When a user answers the question set, this assigns a value for each answer that is used in the calculation of a score for that asset. For each applicable asset, clicking the “Submit” button indicates that it is to be scored. This activates the calculating function and the screen will return to the grid page. When the calculation is complete the score and criticality are displayed in the grid columns as shown in figure 4-22.

Figure 4-22. Scored Assets.

4.3.4 Asset Comments

In paragraph 3.5.2.3.2.1 and following there is a detailed discussion of how to add comments. Figure 4-23 shows two different comment icons. The file icon in the comments column indicates that the user made a comment on that asset. The information bubble icon indicates that a comment has been carried over from a template.

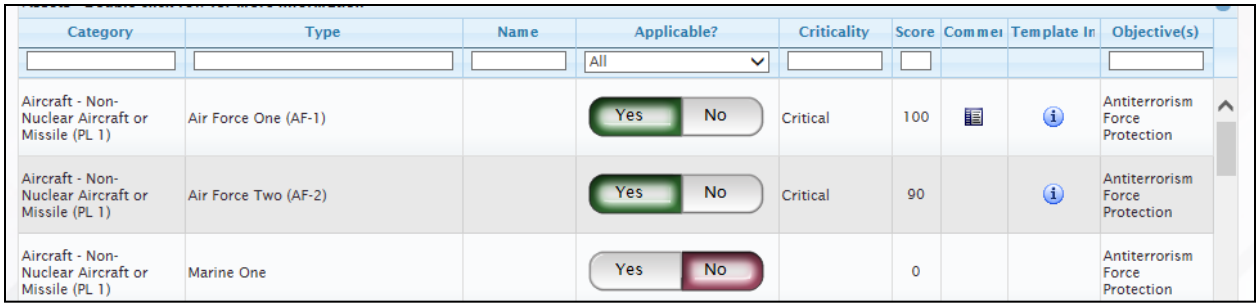


Figure 4-23. Asset Comments.

4.3.4.1 Adding Asset Comments Review

To review adding a comment refer to figure 4-24. (1) First highlight the desired row (Asset). (2) Then click on the “Add/View Comment” button. (3) A text box opens; enter text in the box. (4) Click save when comments are complete. (Note: thes boxes have a capacity of 4000 characters—if the added info exceeds that, the attachment will have to be external.

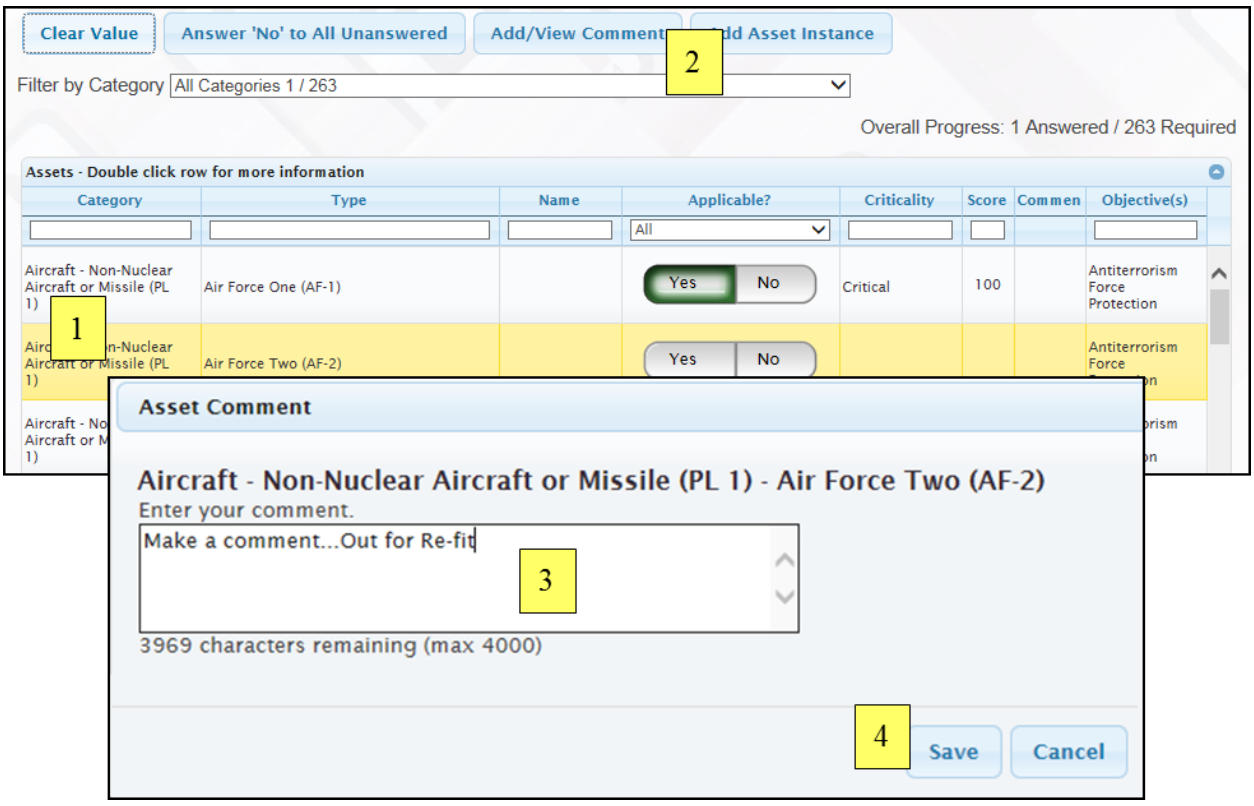


Figure 4-23. Asset Comment Steps.

4.3.4.2 Adding Assets

It is possible that there will be instances where the user wants to add additional assets to the Asset List. This was discussed in chapter 3, paragraph 3.5.2.3.3 and following. Users can add a like type asset to the list, for example, adding instances (additional common items) of aircraft. The tool does NOT allow inserting unique assets that have not been accounted for in the calculation database. User Support will be required to address this type of issue. For the addition of similar type items, the steps covered in chapter 3 can be reviewed and summarized byfollowing the steps illustrated in figure 4-24. (1) First, highlight the row that lists the asset to be added. (2) Click on the “Add Asset Instance” button. This will open a “New Asset Instance” window that asks, “Do you want to add a new instance of this asset?” If the correct asset to duplicate has been selected, proceed to step 3. (3) In the field labeled “Enter a name for this asset,” add the desired name of the new asset (Note the maximum 255 character limit). (4) When complete click the “save” button. This will return the user to the Asset page and a second (or multiple) instance of the asset should appear with the name visible in the “Name” column next to the Asset Type. This may be repeated as many time as necessary to achieve the full listing of assets.

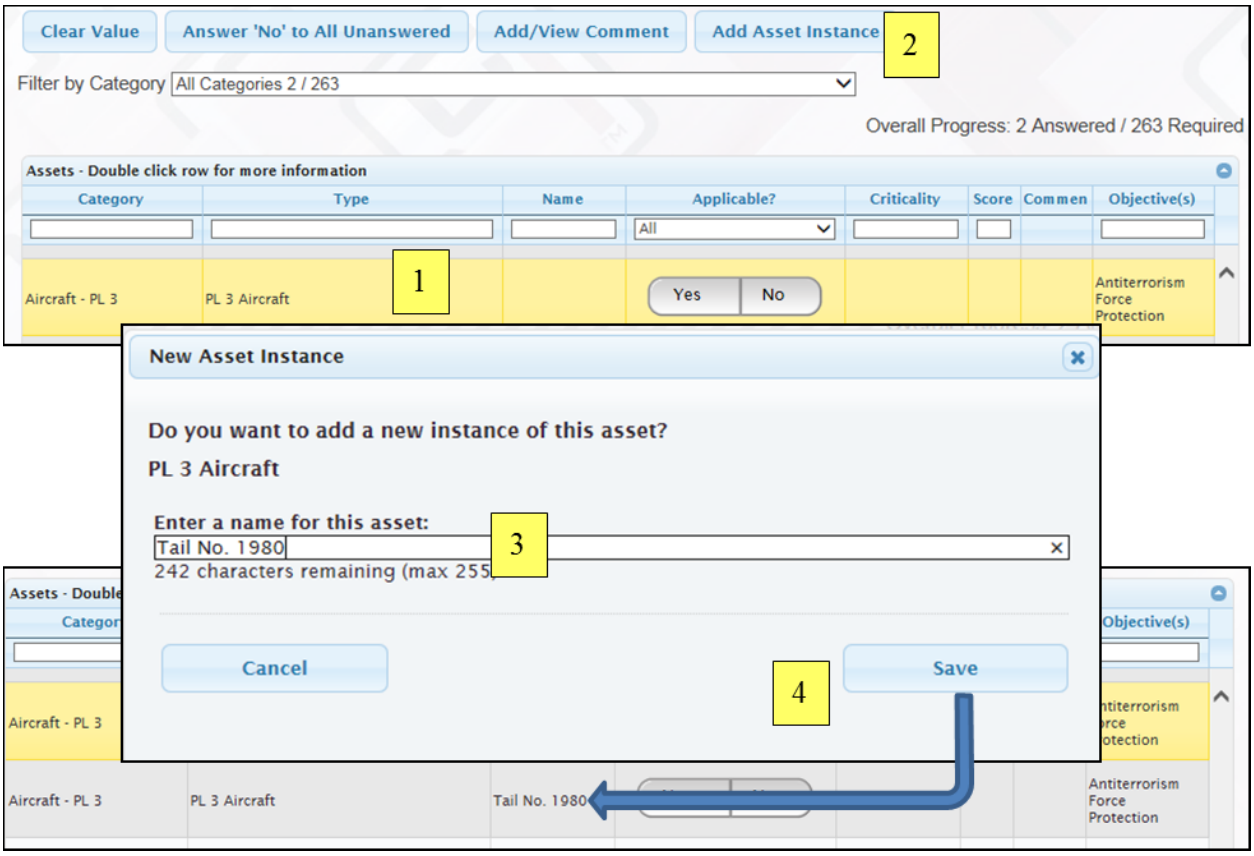


Figure 4-24. Adding Assets to the List

4.3.5 Continuing Beyond the Asset Page

In the preceding paragraphs the actions and functions associated with the Asset page have been discussed. In the IDRMP this completes the Criticality Assessment. For the functionality of the EPRM tool to be useful, this step is the first in the process of the Risk Analysis. When the user has completed the Assets page, click the “Continue” button to move directly to the Threat page. Clicking the “Continue” button also registers in the tool that actions are complete on the page. If the user intends to return to the process later, then he/she may exit the program by logging out, return to the homepage using the breadcrumbs and clicking on the home link, or, click the “Data Collection” button. Clicking the “Data Collection” button will open the view shown in figure 4-25. This shows the progression through the steps and a visual cue to the progress (green checks) and current step (“Click Here” medallion) in the Risk Assessment.

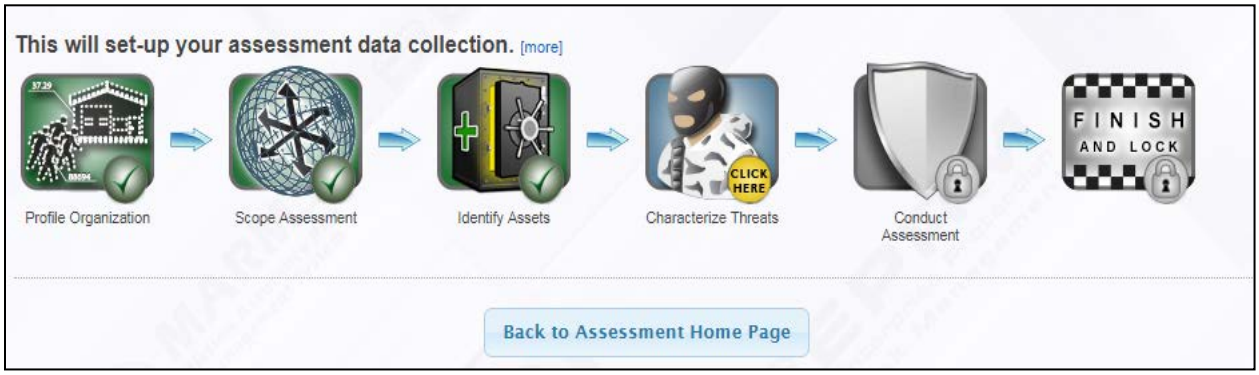


Figure 4-25. Assessment Process Model with Status

4.4 Threat Assessment (Threat Page)

Whether the Threat Page is reached by continuing from the Asset Page, or by clicking the "Characterize Threats" icon in the process model, figure 4-26 shows what the user should see. Because the threat was populated in the template, all of the available threats have been answered and scored. Notice also, that the number of possible threats is less that the number in the template development, 80 versus 90 original threats. This is due to the filtering that occurred in the answers to the questions leading up to this point. The threat information that was developed during the IPB is what was applied to these answers. If they have not changed, the threat portion of the risk assessment is almost complete. It still requires review of the listings and confirmation that all questions have been answered. To check if all questions are answered, refer to the "Overall Progress" line. Recall that a template does not require answers for all questions and even when a threat template is inherited, there may be unanswered questions that remain.

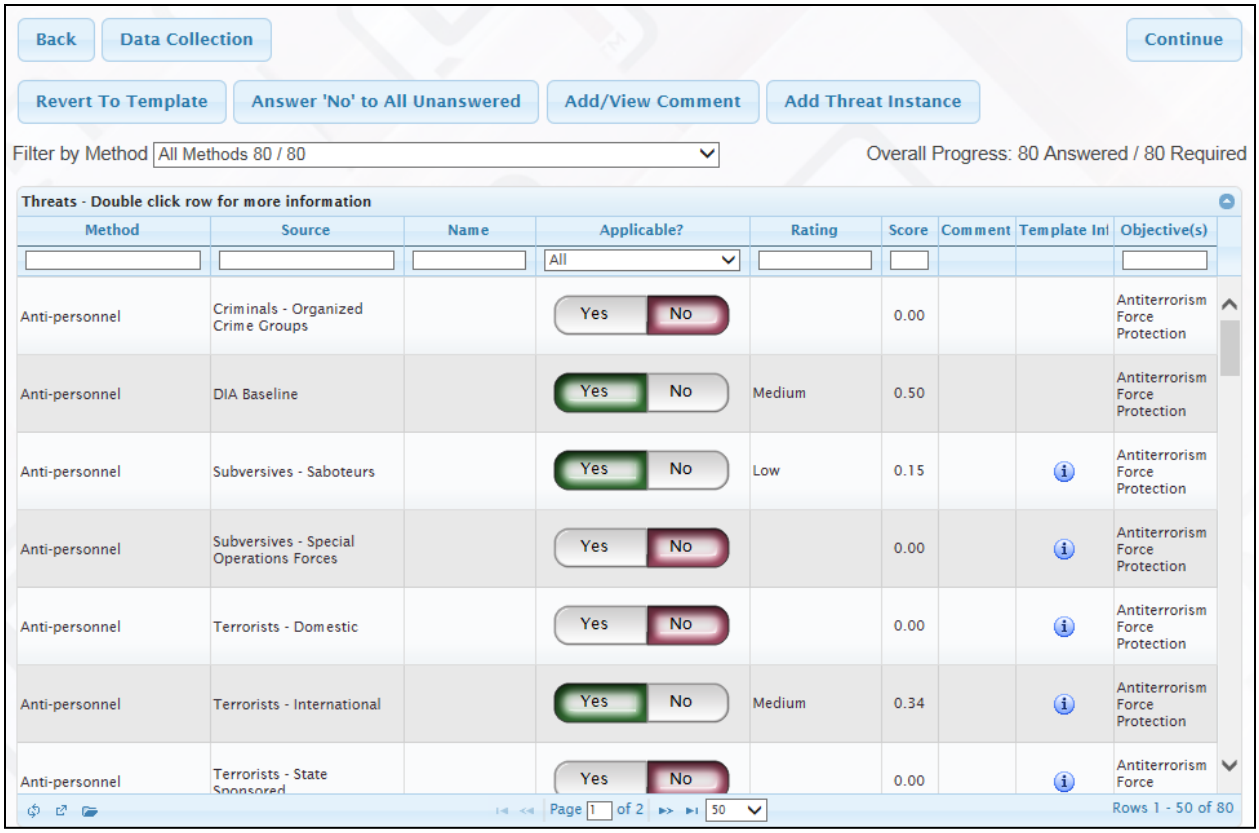


Figure 4-26. Threat Page

4.4.1Threats Page

Moving to the threat page opens the next grid page with a listing of Threat methods in the first column and the paired threat source in the second column. Recall that these threats are derived from the DoDI 6055.17 and the AHTA 18.4.There are no changes to this page from what was seen in the template threat page, except the reduced total as explained above. A user may change one or more of the threats on the list from the template, or may choose to accept the template list and continue to the benchmark page.

4.4.2 Actions on the Threats Page

The Threat page actions are less complicated than those on the Assets page because there are fewer total questions and they have usually already been answered in the course of the IPB process. However, even though they have an answer, and a score, the user should review the

scores and confirm that these meet the most current intelligence estimates. The user may change answers based on updated intelligence.

4.4.2.1 Changing a Threat

In order to change a Threat (for adding a threat to an unanswered question, the user may refer back to paragraph 3.5.2.4.2, but the process is really the same to change an answer as it is to add a new one), move the cursor over the “Yes” or “No” button on the desired threat and click the answer not already selected. This will change yes to no and no to yes responses. As previously stated any “Yes” answer will open a text window with a series of questions to answer. See table 4-2 and figure 4-27. Each of the questions must be answered. This assigns a value to the response, which is input into the calculation for the score generated in the tool. (Note: any changes to the template will require a comment to explain deviation from the baseline.)

Threat Questions for Scoring
1. What is the local activity of the adversary in the Area of Responsibility (AOR)?
2. What is the local capability of the adversary in the AOR?
3. Is the adversary targeting installation personnel or property?*
4. What is the local operating environment for the adversary in the AOR?
5. What is the adversary's preference for using this tactic?*

Table 4-2. Threat Scoring Questions

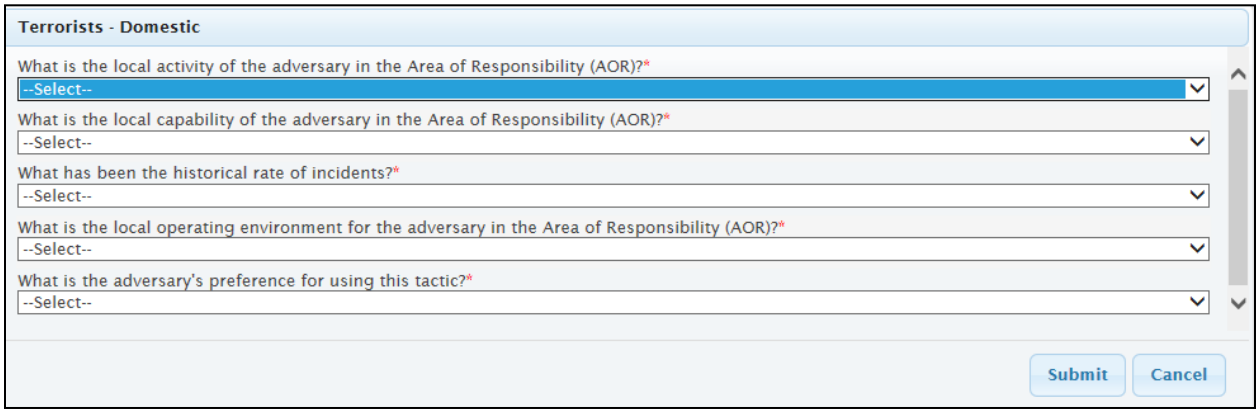


Figure 4-27. Threat Questions

When all questions have been answered, click on the “Submit” button. See figure 4-28.

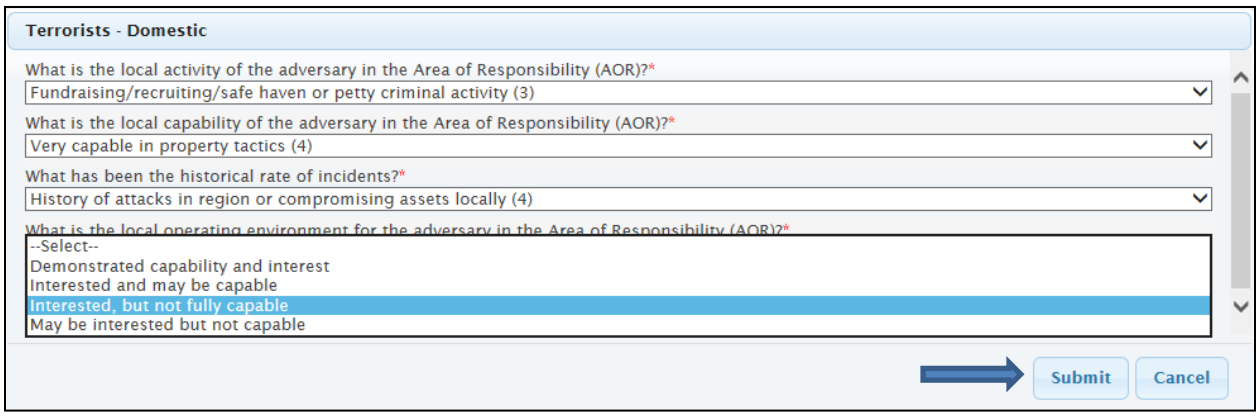


Figure 4-28. Submitting Threat Responses

4.4.2.2 Change Comments

When any change is made to a template answer, a comment is required. If the comment text box does not open automatically, highlight the threat row and click the “Add/View Comment” button to open it. Add information in the comment field to explain the change from the baseline. See figure 4-29. When the comment is complete, click the “save” button. This will record the comment and return the user to the Threat Page grid.

Figure 4-29. Threat Comment Text Box

4.4.2.3 Scoring the Threat

Each threat is scored based on the input from the threat template of direct user input in the assessment. As described previously, the scoring is based on the values assigned when the threat questions are answered and calculated when the "Submit" button is clicked. Both a rating and a score are shown in the grid based on the tool calculations. See figure 4-30. "No" answers are scored as 0 and "Yes" answers are scored according to the authenticated tool algorithms. (Note: selected answers remain the highlight color of the answer—a visual cue to recognize progress)

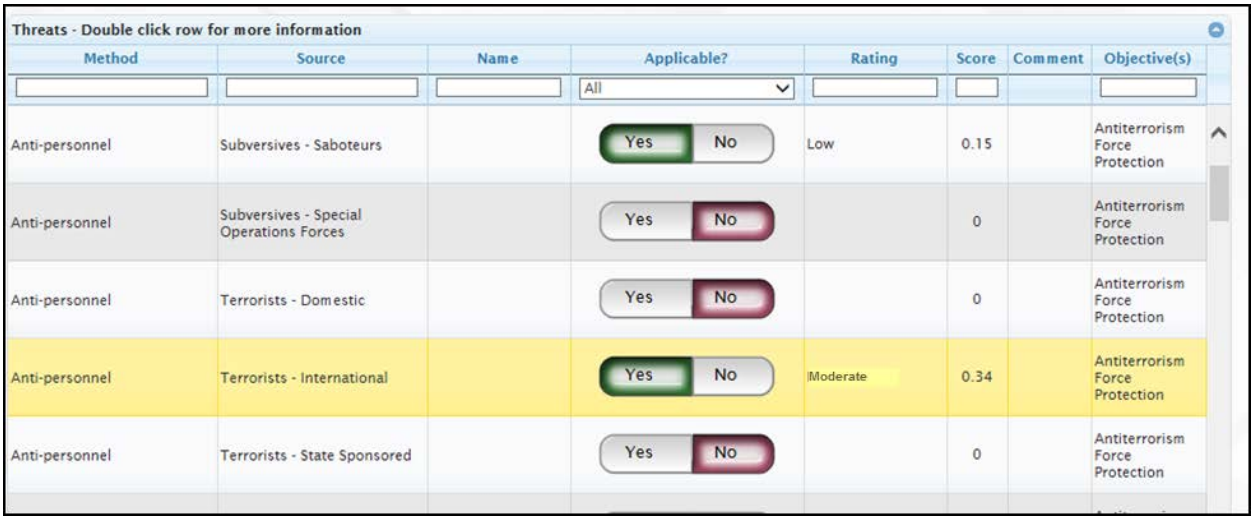


Figure 4-30. Threat Rating and Score.

4.4.2.3 Concluding Actions on the Threat Page

When actions on the threat page are updated and /or completed. The user can verify that all items are answered by looking at the "Overall Progress" line to see, in the case of figure 4-31, that 80 of 80 questions are answered. Click on one of the continue buttons, either top or bottom of the page to move on the Benchmark Page.

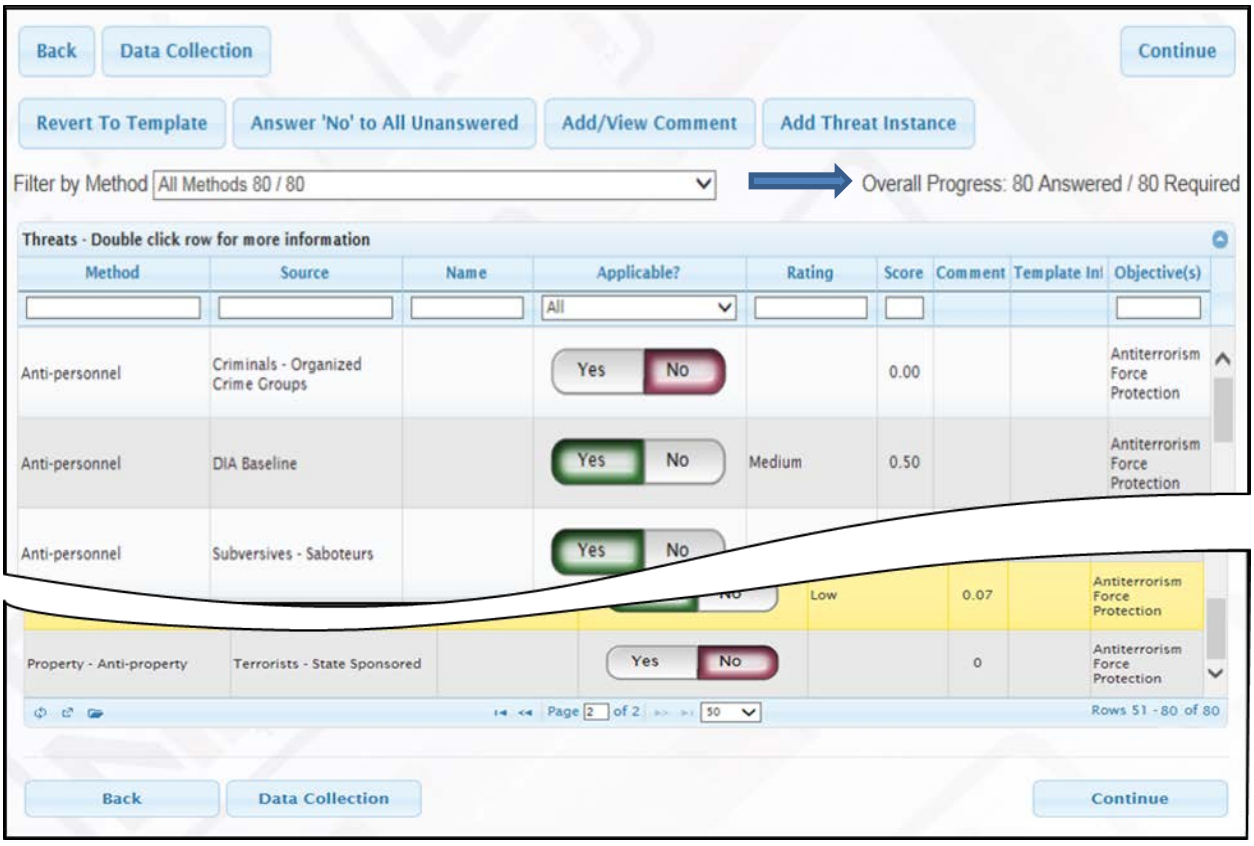


Figure 4-31. Threat Page Completed/Updated

4.4.2.4 Continuing Beyond the Threat Page

In the preceding paragraphs the actions and functions associated with the Threat Page have been discussed. In the IDRMP this completes the Threat Assessment. For the functionality of the EPRM tool to be useful, this step is the continuation of the process for Risk Analysis. When the user has completed the Threats Page, click the "Continue" button to indicate that the page is completed. The Benchmark page will open, ready to be completed. The user can continue immediately, or, as previously described, pause and return to the process later. The EPRM tool saves the data as it is input, so, there is no danger of losing data by exiting the assessment and returning later.

4.5 Vulnerability Assessment (Benchmark Page)

The next step in the IDRMP is the Vulnerability Assessment. This is done within the EPRM tool by annotating the Benchmark Page. When the user continues from the Threat Page, the Benchmark page will open. If template answers were included it may already have answers indicated. If no answers were included from the template, then all available benchmark questions will display. See figure 4-32.

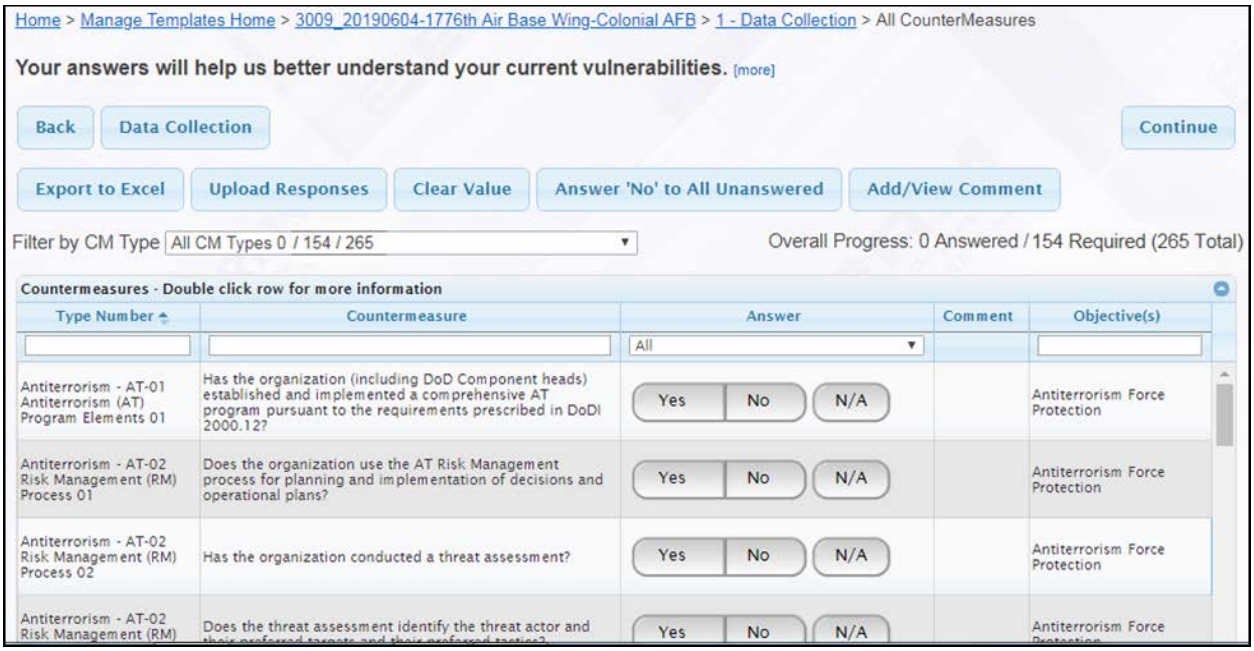


Figure 4-32. Benchmark Page (Vulnerability Assessment)

4.5.1 Benchmark Page

Moving to the benchmark page opens the final grid page of the Assessment. As previously noted, the benchmark list is derived from the 2018 DoD Mission Assurance Assessment Benchmarks. The IDRMP related benchmark list includes 295 items (as shown on the template). This total number has decreased to 265 based on the filtering process, and has further been reduced by the parent/child combinations. See figure 4-33. Notice that the "Overall Progress" line now displays three numbers, the currently answered questions, the number required to be answered and the total. As questions are answered, the first figure will increase; whenever a parent ins answered "Yes," the child question(s) become available and the required number will increase. The total remains the same even when required questions increase. The action features for this page were previously described. Answering a question is the same as in previous sections. There are unique features here that were discussed briefly in chapter 3. These are the "Upload Responses" button and a new Answer selection "N/A." (Note: on this page, benchmarks are listed as countermeasures; however, all discussion will use "benchmarks").

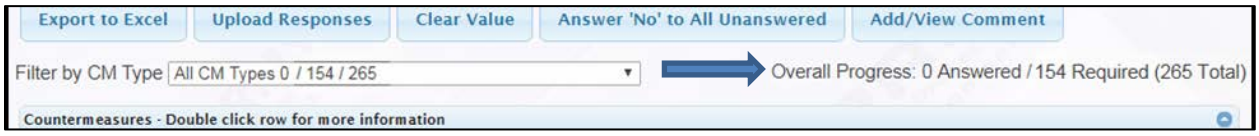


Figure 4-33. Filtered Benchmark Requirement

4.5.1.1 N/A Answers

On the preceding pages the answer buttons only included “Yes” and “No.” On the benchmark page there is a third, option, “N/A.” This button is used for benchmarks that are not applicable to a particular assessment. This answer selection should be used primarily on templates. In an assessment, the filtering process will ordinarily eliminate most opportunities for a not applicable selection. However, if it is selected a text box for comment will automatically open to explain why the item does not apply. The intent is to reduce to a minimum the number of items that do not apply, and focus on those that do. The process is otherwise the same as has been described previously.

4.5.2 Upload Responses

If the user downloaded the excel spreadsheet of the Benchmark Page (discussed in chapter 3) and annotated that spreadsheet during the assessment, then it can be uploaded with responses into the EPRM tool. (Note: in this process the format of the spreadsheet must not be changed or the upload will not work) The answer column on the spreadsheet (and the comment column where appropriate) must be filled in with the desired responses. The “Upload Responses” button, see figure 4-34, for the simplified process.

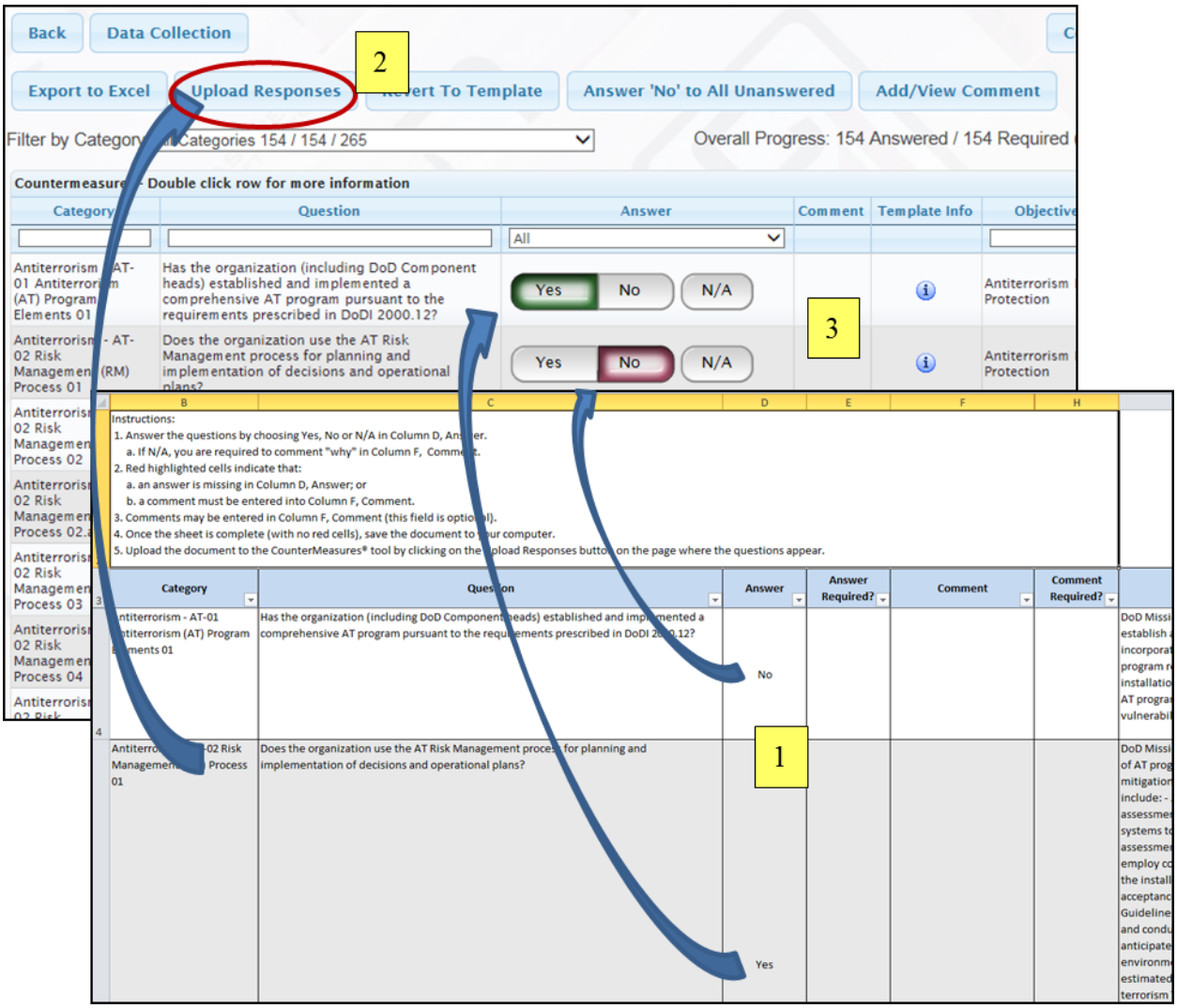


Figure 4-34. Upload Responses Simplified.

The specific steps to upload the responses from excel are as shown in figure 4-35. When the "Upload Responses" button is clicked, a "Countermeasures Upload" window opens. (1) Click the "browse" button to select a file. Another window, a file manager view, will open. (2) Scroll through to find the excel response file, highlight the file and click open. (3) Confirm that the selected file is displayed in the "Upload File" text field and click the "upload" button. (4) A banner should appear with the statement "the file uploaded successfully;" click the "Back" button to return to the Benchmark Page. Confirm on the page that all items are now displayed with the answers that were uploaded.

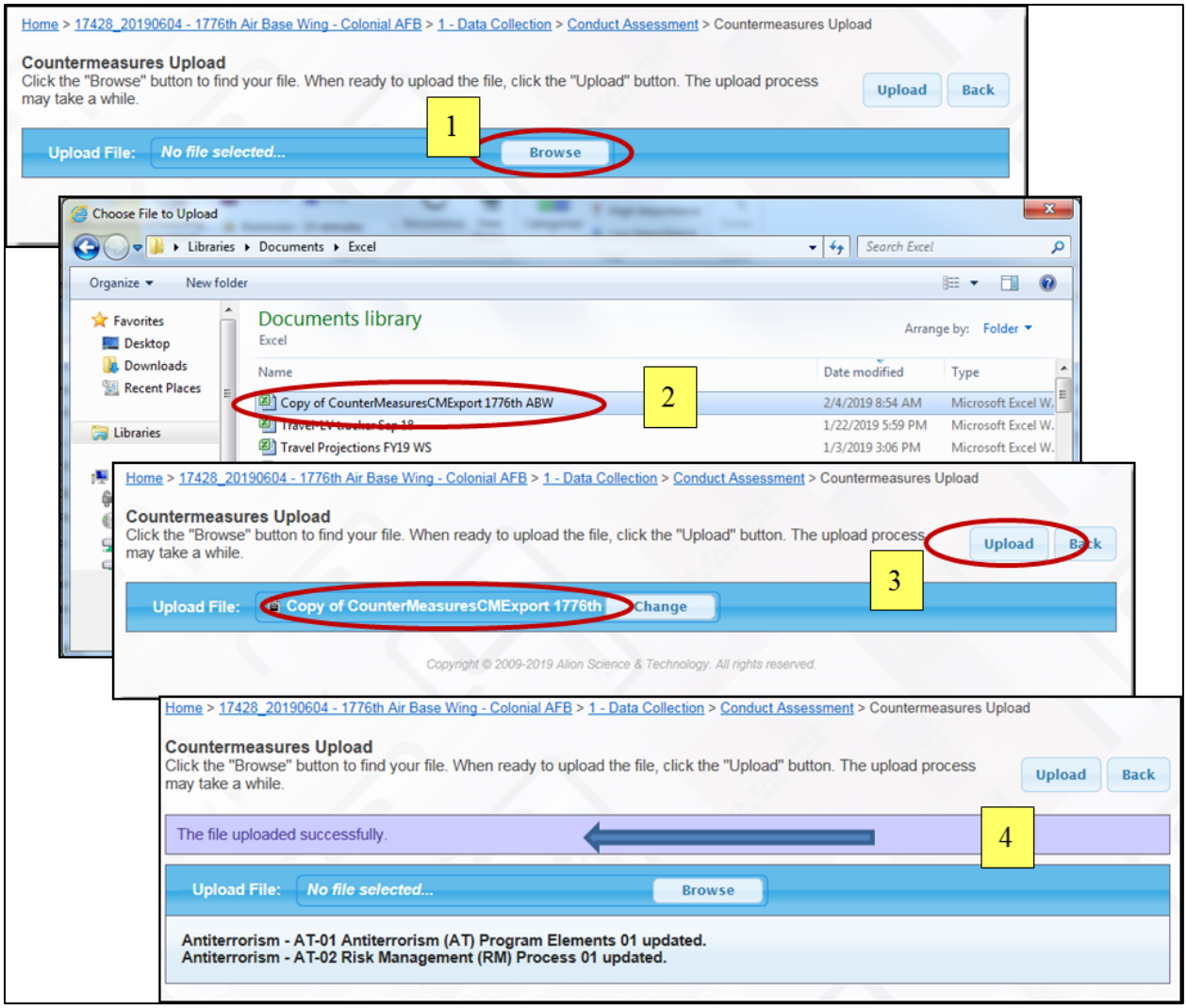


Figure 4-35. Upload Responses Detailed.

4.5.3 Actions on the Benchmark Page

If the Excel upload method is not used, the process for adding responses is the same on the Benchmark page as on previous pages. Highlight the desired selection by moving the cursor over the answer and click it. Unlike the Asset and Threat pages, there is not a question array for a “Yes” answer on this page. As on all pages, a “Yes” answer is green and “No” is red. On the Benchmark page the additional answer, “N/A” is gray. These serve to provide a visual cue to the user to easily see what has been answered and how it was answered.

4.5.3.1 Selecting a Benchmark

When a desired benchmark is identified, click the answer desired. For "No" or "N/A" answers a comment must be included. Comments can be made on "Yes" answers as well, but are not required. A "No" answer for a benchmark on a template would indicate noncompliance before the fact, and therefore should be used as infrequently as possible. Unlike in assets and threats, no text window will open and there is not a series of questions to answer; the answer is automatically processed. When benchmarks have been selected and comments applied the page appears as shown in figure 4-37.

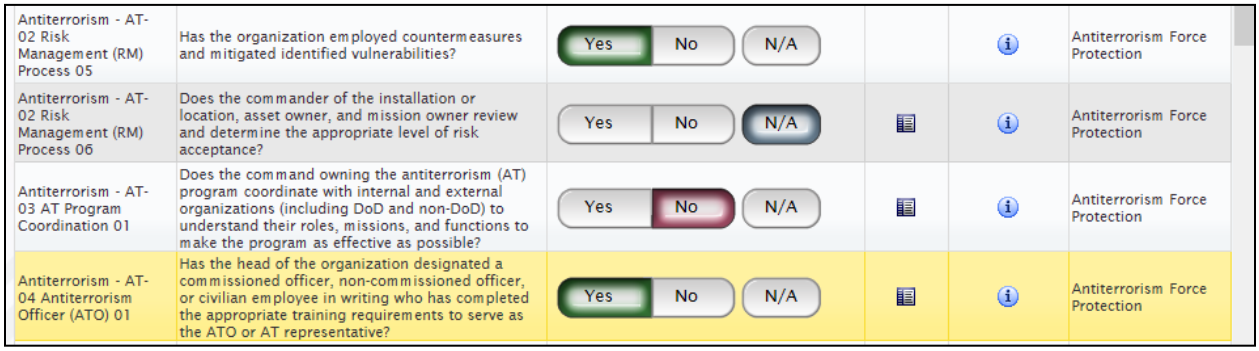


Figure 4-37. Selected Benchmarks

4.5.3.2 Scoring for Benchmarks

Unlike the Asset and Threat pages, there is no scoring of the benchmarks at this point. These are scored later in the calculations associated with the Risk Assessment itself. Therefore, there are no steps associated with scoring on this page.

4.5.4 Concluding Actions on the Benchmark Page

In the preceding paragraphs the actions and functions associated with the Benchmark Page have been discussed. When the user has performed all desired actions on the page, click the continue button to proceed. The screen that opens is the process model showing that each step of the process has been completed (signified by a green checkmark on the step icon). See figure 4-38.

Figure 4-38. Assessment Process Progress

4.6 Locking the Assessment

Unlike the "Lock Template" icon function described in chapter 3, when the Assessment "Finish and Lock" icon is clicked, there is no warning box. An assessment can be reopened for editing, refer back to chapter 2, paragraph 2.4.8, and therefore needs no lock warning. When the icon is clicked here a banner appears below the process model with a timing icon and "Finalizing Assessment please wait…," see figure 4-39.

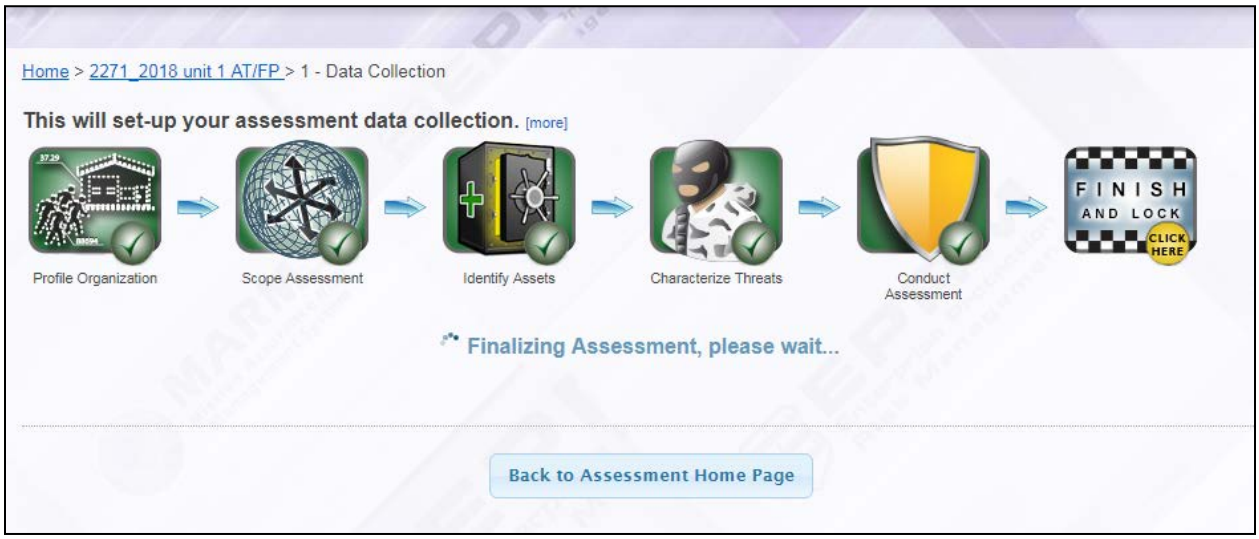


Figure 4-39. Assessment Finalizing

When the process is complete, the screen that appears is the Assessment homepage, which includes the Assessment Workflow and Assessment Administration. See figure 4-40. The actions shown in the lower half of the page were explained in chapter 2. The process shown at the top is the continuation of the Assessment process. To continue the process, there are options for proceeding. These will all be discussed in the following paragraphs.

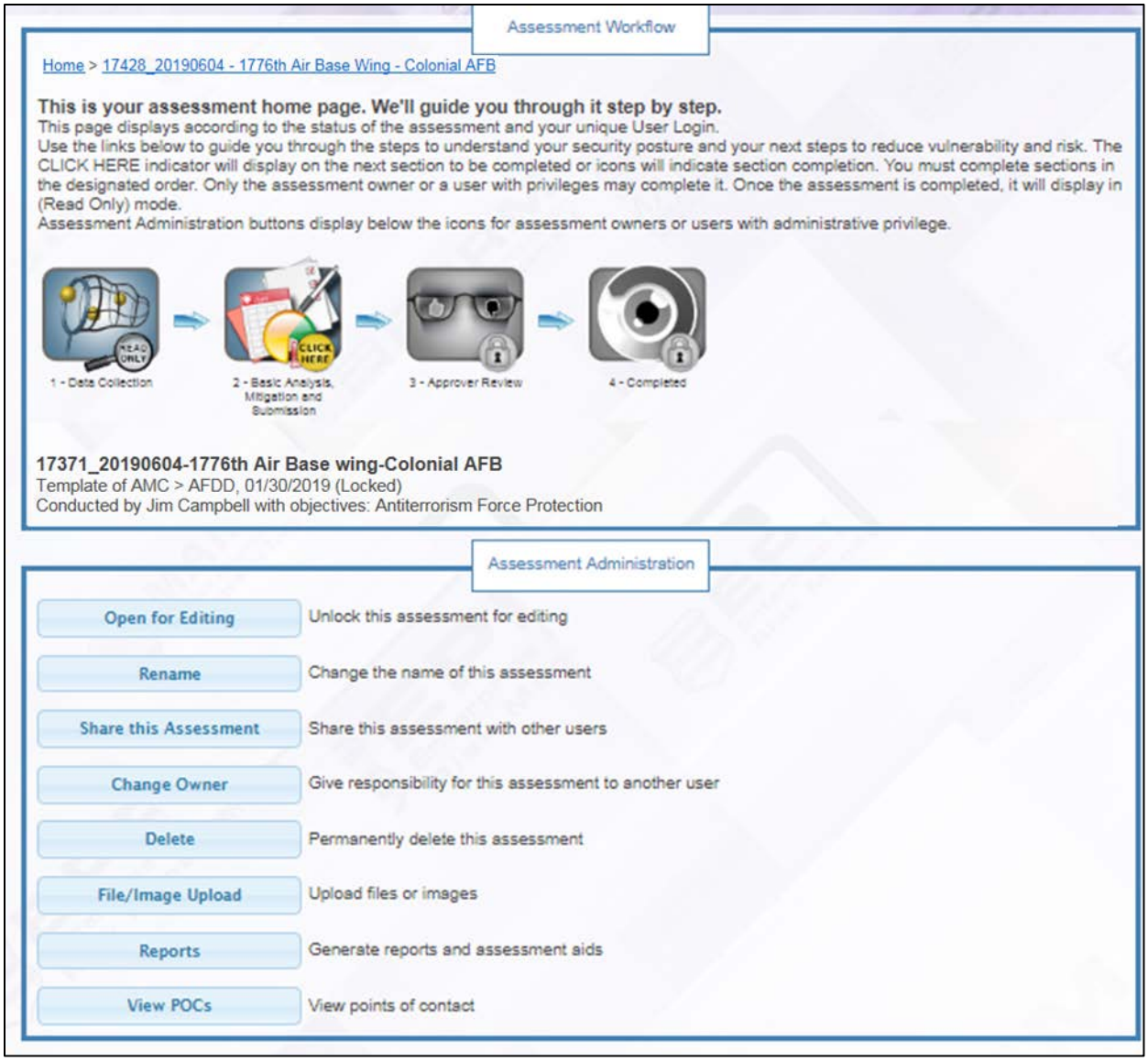


Figure 4-40. Assessment Admin Page

4.6 Risk Assessment

The next step in the IDRMP is the Risk Assessment. This is what the EPRM tool was designed to focus on. Joint Publication 3-07.2 states that threat, criticality, and vulnerability are used to produce a final risk assessment. The tool and the IDRMP follow this formulation to produce a risk assessment based on calculations that, in a simplified form could be described as Risk = Criticality x Threats x Vulnerability (Note: this is for illustration and not the actual equation). From the Assessment Workflow and Administration page there are three different locations to go to for data. The first is to simply click on the "Basic Analysis, Mitigation and Submission" button. The second is to click on the "Reports" button in the Administration section on the lower half of the page. The third, and slightly more complex route, is by using the "Advanced Analysis" button on the dashboard on the homepage. All of these will be described in the following paragraphs.

4.6.1 Risk Assessment

To view the results of the Risk Analysis click on the icon “Basic Analysis, Mitigation and Submission” signified by the “Click Here” medallion in the Assessment Workflow (upper) section of the specific Assessment homepage. The page that opens is shown in figure 4-41. It shows two sets of tabs above a bar graph depicting the current risk of the element under assessment. This is the aggregated risk for the unit. Below the bar graph are a series of action buttons followed by a grid display of all of the benchmarks listing their status and the amount of risk each can reduce if in place.

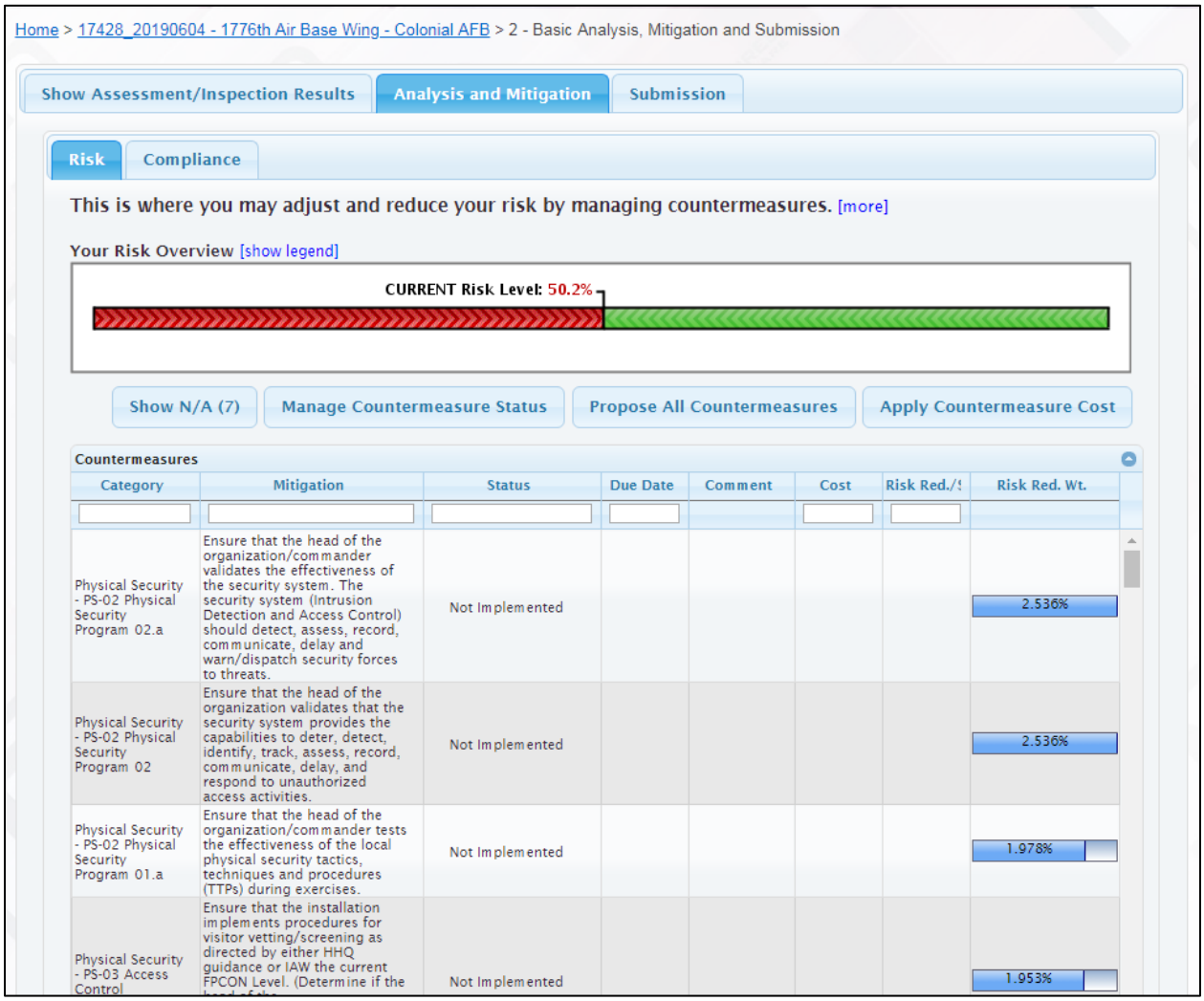


Figure 4-41. Basic Analysis Page

4.6.1.1 Basic Analysis Page

The Basic Analysis Page displays a new format that the user has not seen before. The top of the page has three tabs, “Show Assessment/Inspection Results,” “Analysis and Mitigation,” and “submission.” The page appears with the “Analysis and Mitigation” tab displayed. The first tab, “Show Assessment/Inspection Results,” is blank until an assessment has been submitted. This tab and the “Submission” tab are for use later in the overall IDRMP process and will be discussed in chapter 5.

4.6.1.2 Basic Analysis Page Risk/Compliance Tabs

The second tier of tabs displays a “Risk” and a “Compliance” tab. The page opens with the “Risk” tab displayed. Clicking on the “Compliance” tab opens the view shown in figure 4-41. The distinction is that the former displays risk moving from right to left as risk decreases, and compliance which goes from left to tight as compliance increases. Notice that the compliance bar is not the converse of the risk bar—there are items that increase compliance, but do not decrease risk, or do not do it proportionally. On both Risk and Compliance views, there are four action buttons under the bar graph, “Show N/A (#),” “Manage Countermeasure Status,” “Propose All Countermeasures” [Risk] /“Propose All Countermeasures In Category” [Compliance], and “Apply Countermeasure Cost.” These buttons are used to perform actions that will primarily apply in chapter 5. The descriptions below are intended to explain what the functions are and will be expanded on in chapter 5 to explain how to apply them.

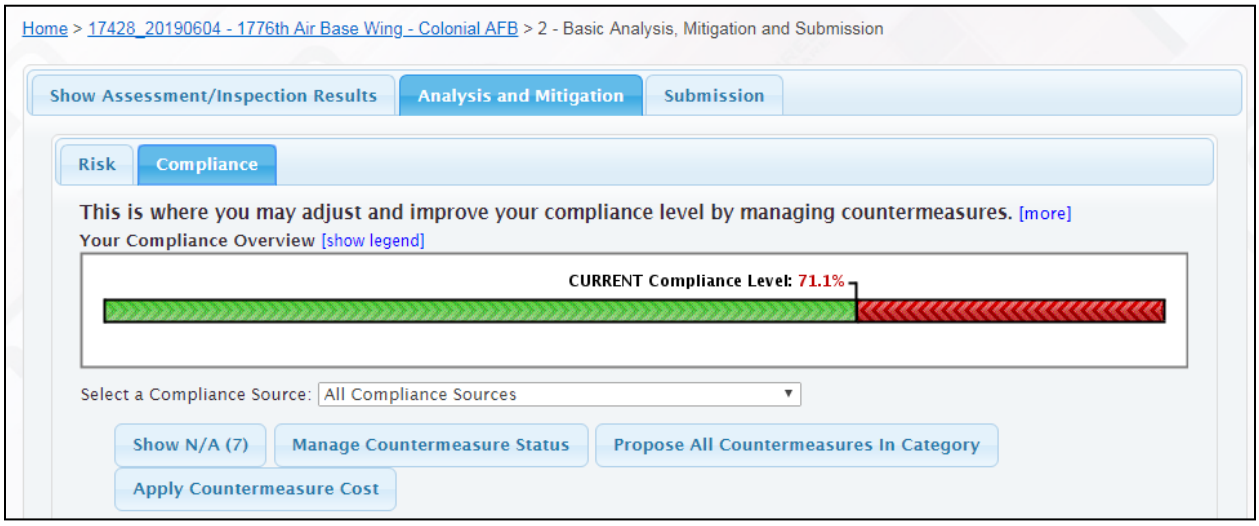


Figure 4-41. Compliance View of Analysis Page

4.6.1.3 Show N/A (#) Button

The purpose of the “Show N/A (#)” button is to display all of the benchmarks that were marked as N/A in the Benchmark Grid below the buttons. The (#) indicates the number of not applicable benchmarks. As shown in figure 4-42, there are seven benchmarks that are not applicable in the

sample assessment used for the figure collection. The functionality related to this button will be discussed in chapter 5.

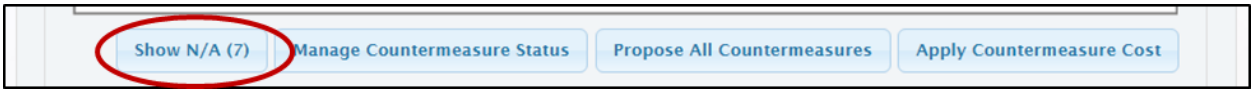


Figure 4-42. Show N/A (#) Button

4.6.1.4 Manage Countermeasure Status Button

The purpose of the "Manage Countermeasure Status" button is to take action on benchmarks that are not in place at the time of the Assessment. Clicking this button opens a display with a series of questions on implementation options. In the IDRMP this falls into the course of action selection and all of the benchmarks that were marked as N/A in the Benchmark Grid below the buttons. The (#) indicates the number of not applicable benchmarks. As shown in figure 4-42, there are seven benchmarks that are not applicable in the sample assessment used for the figure collection. The functionality related to this button will be discussed in chapter 5.

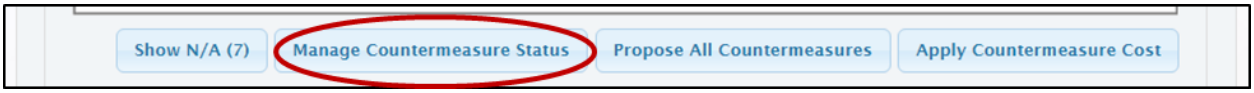


Figure 4-43. Manage Countermeasure Status Button

4.6.1.5 Propose All Countermeasures

The function of the "Propose All Countermeasures" buttons is the same as the "Answer No to All Unanswered" button on the assessment pages. It gives the user a capability to respond to multiple benchmarks in a single action. The difference between the risk and compliance buttons, see figure 4-44, is because on the compliance side there is a capability to filter the benchmarks by categories. Chapter 5 will cover proposal of benchmarks in the discussion of course of action development.

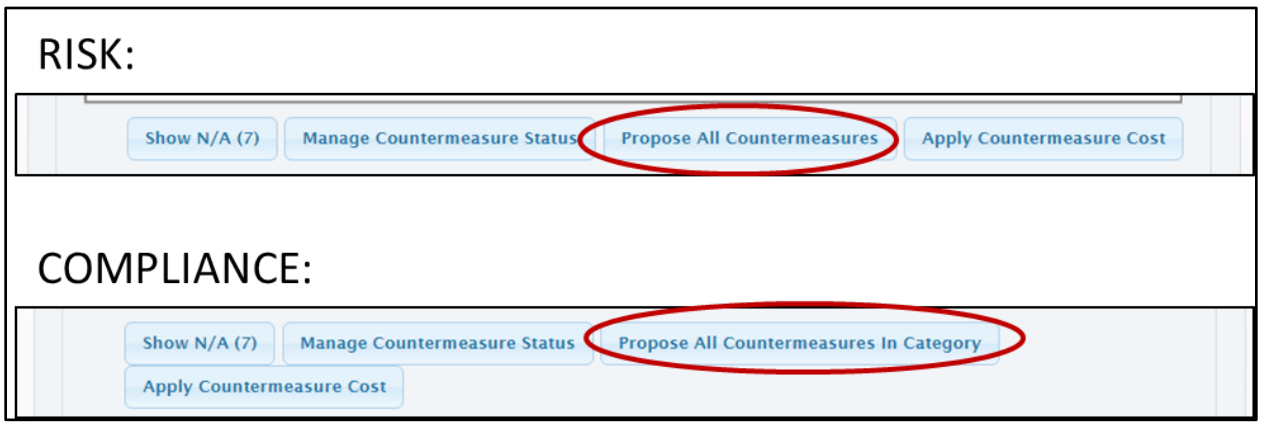


Figure 4-44. "Propose All" Buttons

4.6.1.6 Apply Countermeasure Cost Button

The purpose of the "Apply Countermeasure Cost" button is to allow the user to do a simple cost valuation comparison between benchmarks. See figure 4-45. This allows users to consider cost as part of the course of action proposal and will be covered in more detail in chapter 5.

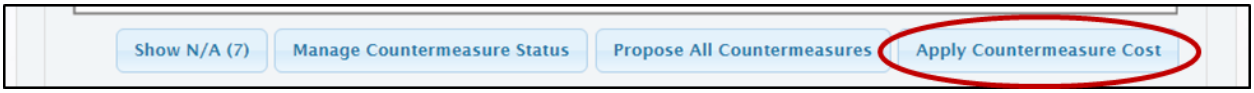


Figure 4-45. Apply Countermeasure Cost Button

4.6.1.7 Benchmark Grid

Below the action buttons is the benchmark grid. The grid functionality is the same as in previous grids but it has different information displayed. Sort and filter functions perform the same way as on all grids using the text box below the heading to filter and clicking on the header to sort, as was described in chapter 2. Notice the content and titles of the columns are different. See figure 4-46. The columns will be explained below.

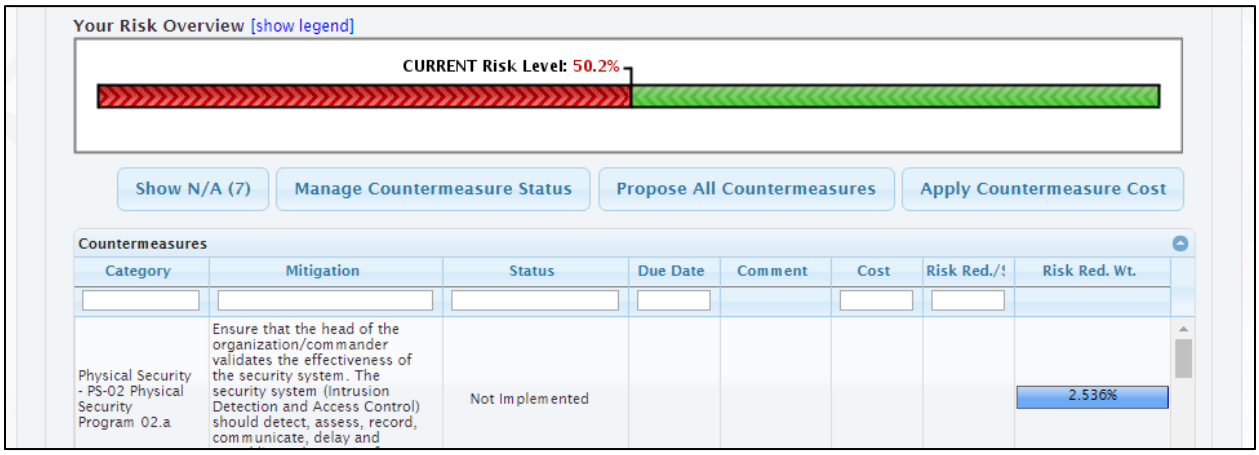


Figure 4-46. Grid Column Headers

4.6.1.7.1 Category

This column lists the benchmark, which was referred to as Type Number on the Assessment grid. It follows the same conventions as were used on that grid.

4.6.1.7.2 Mitigation

This column displays similar information to what was shown on the Assessment grid, however, in the assessment phase, this information was phrased in the form of a question. See figure 4-47. In the Analysis view, the Benchmark is written consistent with the DoD Benchmarks and in the assessment, it is phrased as a question in order to allow the user to apply a yes/no response.

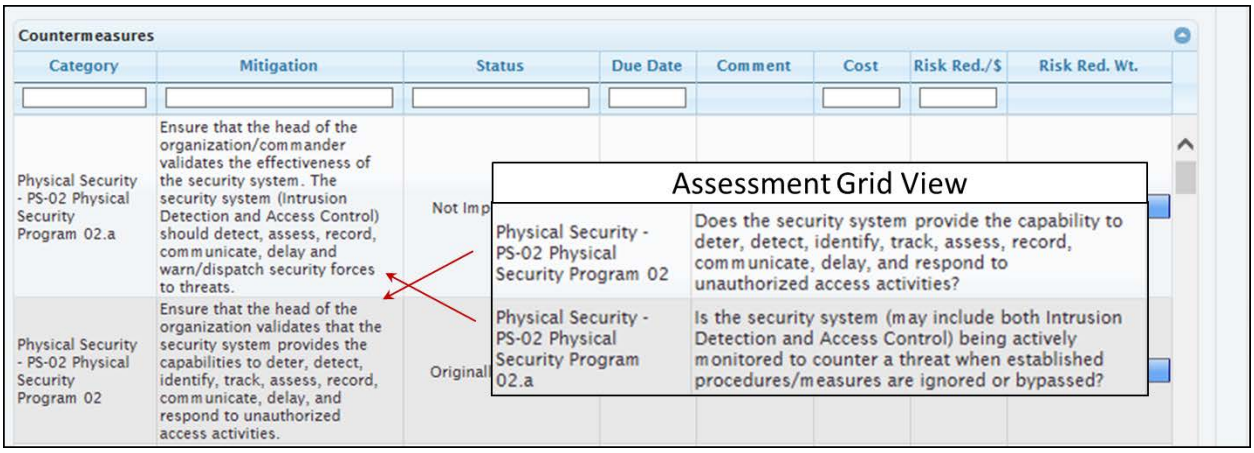


Figure 4-47. Mitigation View and Assessment View

4.6.1.7.3 Status

The Status column refers to the status of the particular Benchmark. When the Analysis page is first opened, the possible statuses are “Originally in Place,” and “Not Implemented.” After user action on this page, additional status may be reflected, “Proposed,” and “Assigned.” The process for proposing action will be discussed in chapter 5.

4.6.1.7.4 Due Date

The Due Date refers back to the previous column, if implementation has been assigned to someone, the due date for that action will appear in this column.

4.6.1.7.5 Comment

If a comment was made for the benchmark in the assessment phase, it will appear as an icon and can be read by clicking on that icon. The comment icon was explained and shown in paragraph 3.5.2.3.2.3. No comments can be added here. This is only to view comments added during the assessment.

4.6.1.7.6 Cost

The “Cost” column is similar to the “Due Date” column in that it is not directly populated, but, the result of action elsewhere. In this case, the cost column is populated only if the user uses the

"Apply Countermeasure Cost" button to add cost data to a particular benchmark. Again more detail will be provided in chapter 5.

4.6.1.7.7 Risk Red./$

The column header "Risk Red./$" refers to risk reduction per dollar spent. As with cost it is the result of actions using the "Apply Countermeasure Cost" button.

4.6.1.7.8 Risk Red. Wt.

The column header "Risk Red. Wt." refers to risk reduction weight of the particular benchmark, i.e., the amount of risk that can be reduced by the benchmark being in place. It is displayed as a blue bar with a percentage. As an example, refer to figure 4-46, where the benchmark shown could reduce risk, if implemented, by an additional 2.536%. This will be important when selecting which benchmarks to implement as part of the risk tolerance and course of action development and will be discussed more in chapter 5.

4.6.1.8 Exporting the Basic Analysis Page

Like the other grid pages, the Basic Analysis page can be downloaded to Excel for use in reporting. The same export icon is on the bottom of this grid; the user clicking on the icon will open an Excel spreadsheet with all of the information as shown on figure 4-48.

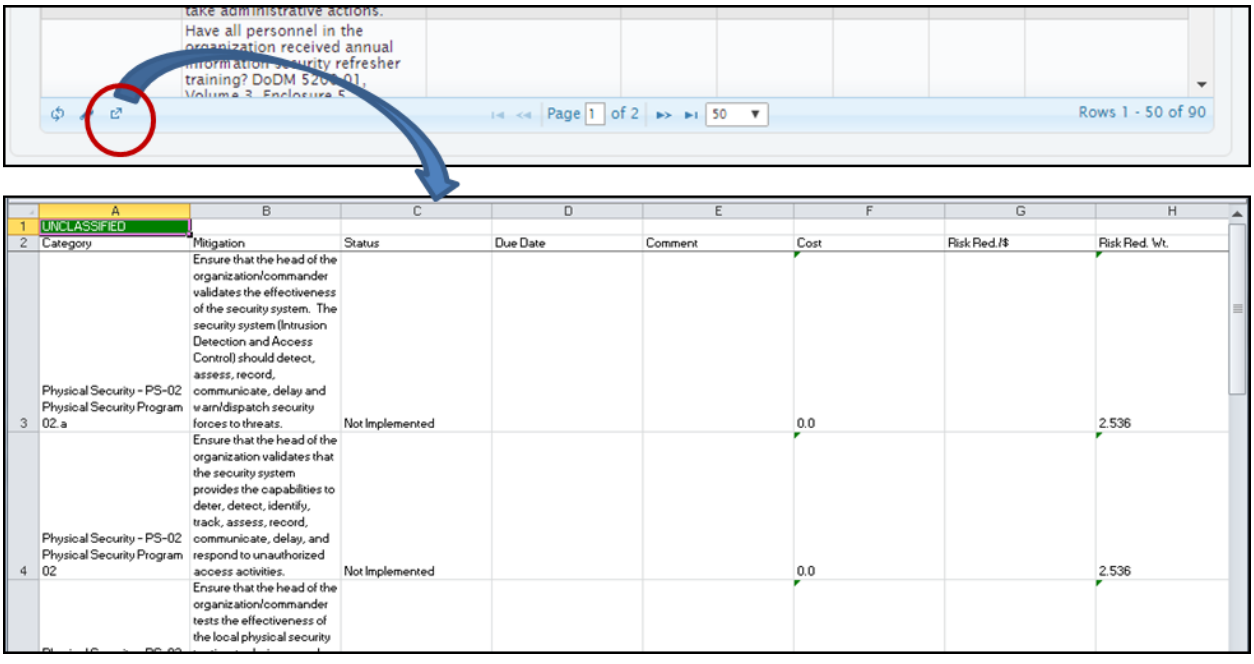


Figure 4-48. Exporting to Excel

4.6.1.9 Continuing Reporting Data for the Risk Analysis

There are a number of actions that will be taken from the Basic analysis page during the later steps of the IDRMP, but for the Risk Assessment itself, the data generated provides the important information for the Risk Assessment. Beyond the information derived from the grid, the overall Risk Roll-up is given in the bar graph at the top of the page. Much more useful information can be taken from the other two data sources mentioned at the beginning of this portion of the user guide—the Administration Reports and the Advanced Analysis. At the bottom of the page is a "Back to Assessment Home Page" button. To return to the assessment homepage and continue the Assessment data collection click on this button. See figure 4-49.

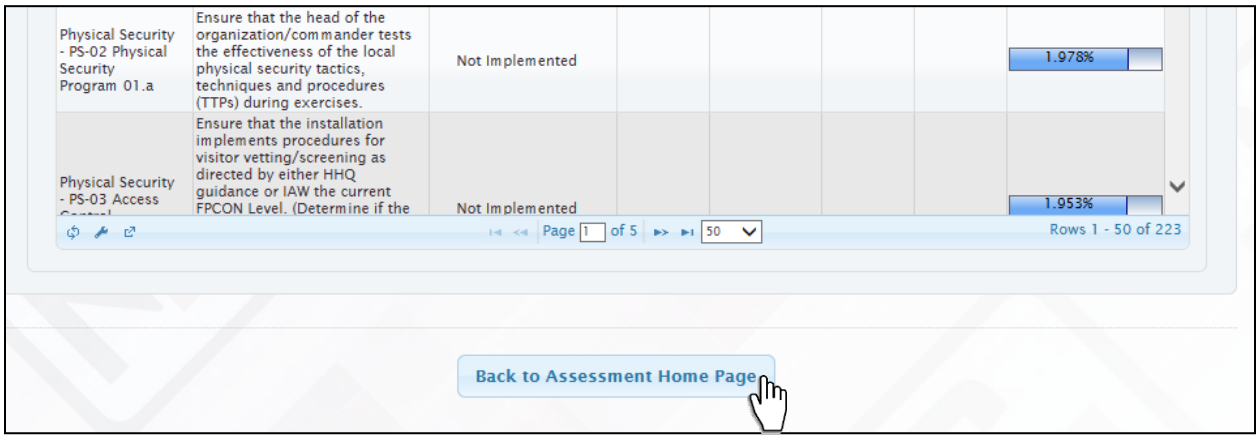


Figure 4-49. Back to Assessment Home Page Button

4.6.2 Administration Reports

Upon returning back from the Basic analysis page to the Assessment homepage, refer to the "Assessment Administration" on the lower half of the page. From the list of action buttons, select and click on the "Reports" button to open the "Assessment Reports" window. See figure 4-50. This action opens a listing of report data in Word, Excel, and PowerPoint formats. These reports are framed as generic documents, i.e., they provide users a baseline from which to build reports in the format that specific commands and commanders want to review assessment results.

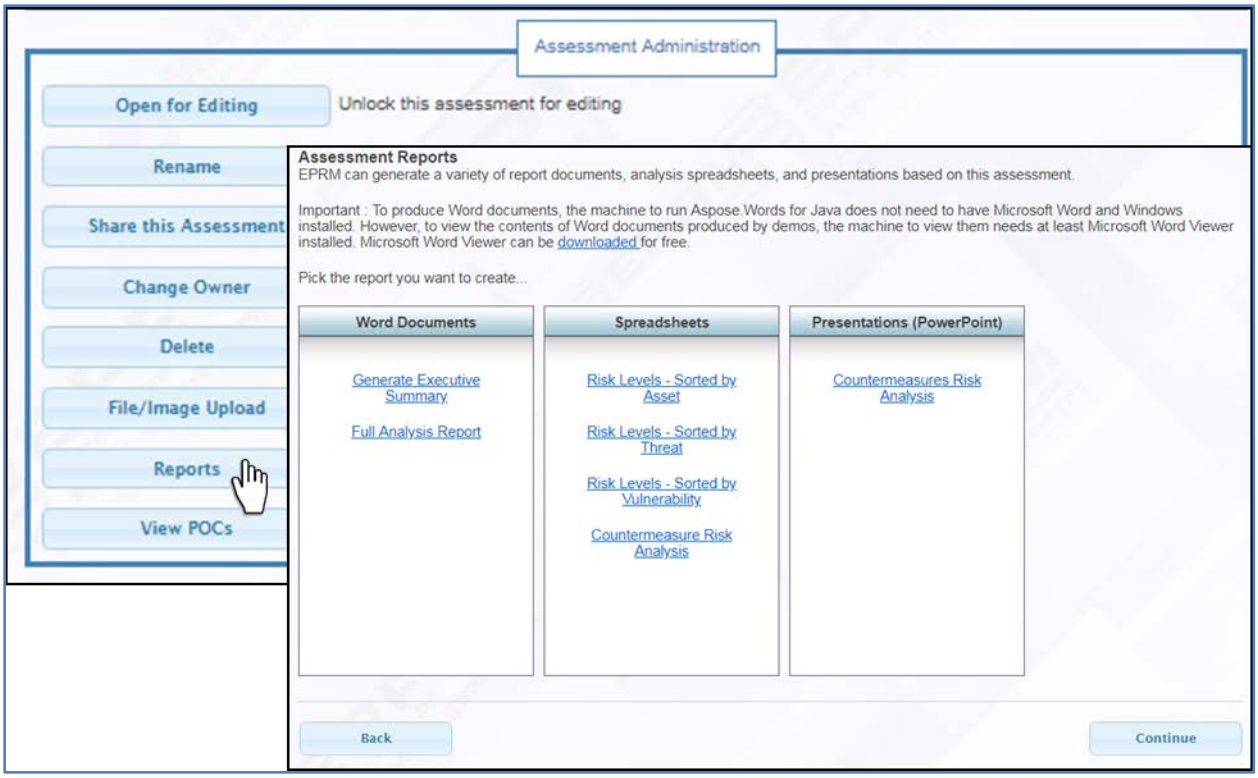


Figure 4-50. Selecting Assessment Reports

4.6.2.1 Word Document Reports

In the Word document column two reports are available. It is NOT RECOMMENDED that the "Full Analysis Report" be selected; it will generate a document from several hundred to over a thousand pages with detailed information on each transaction within the tool. Particularly on the SIPRNET, just the processing for this report may take excessive time to generate. The Executive Summary is a much shorter report, usually 10 pages or less. See figure 4-51. This can serve as a start point for a user designed report to meet command expectations by editing this baseline.

Figure 4-51. Word Document Report

4.6.2.2 Excel Reports

The largest set of report files is found in the Excel column. Here there are four reports that break out on spreadsheets Risk sorted by assets, threats, vulnerabilities, and benchmarks. See figure 4-52. In paragraph 4.6.3 users can see a further visualization of this data. Either of these may be useful in developing reports to describe assessment results, and form a start point for the analysis and decisions discussed further in chapter 5.

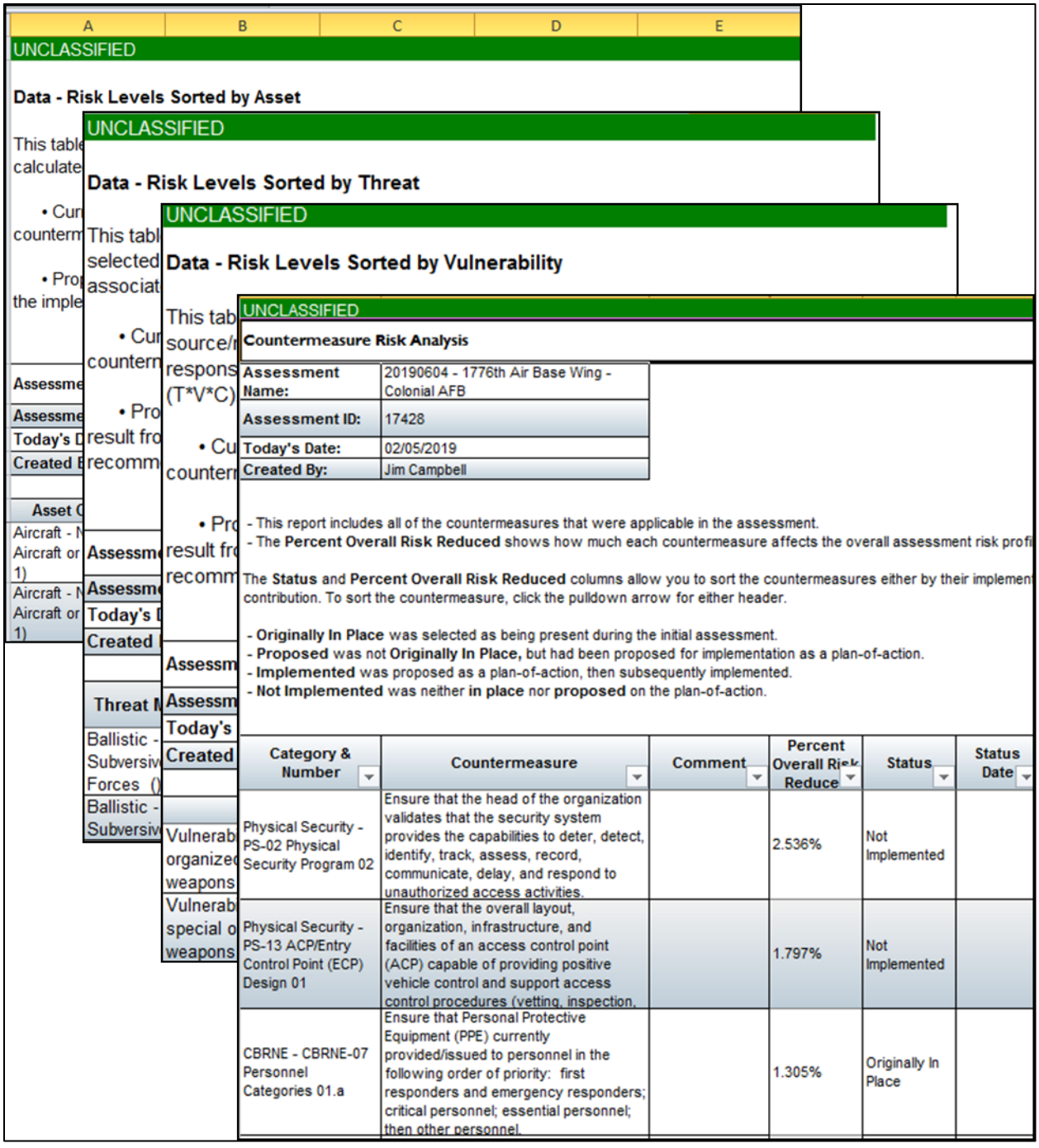


Figure 4-52. Excel Reports

4.6.2.3 PowerPoint Report

The PowerPoint report, see figure 4-53, formats data from the assessment into a ppt presentation that may be used or edited for a briefing of the assessment results.

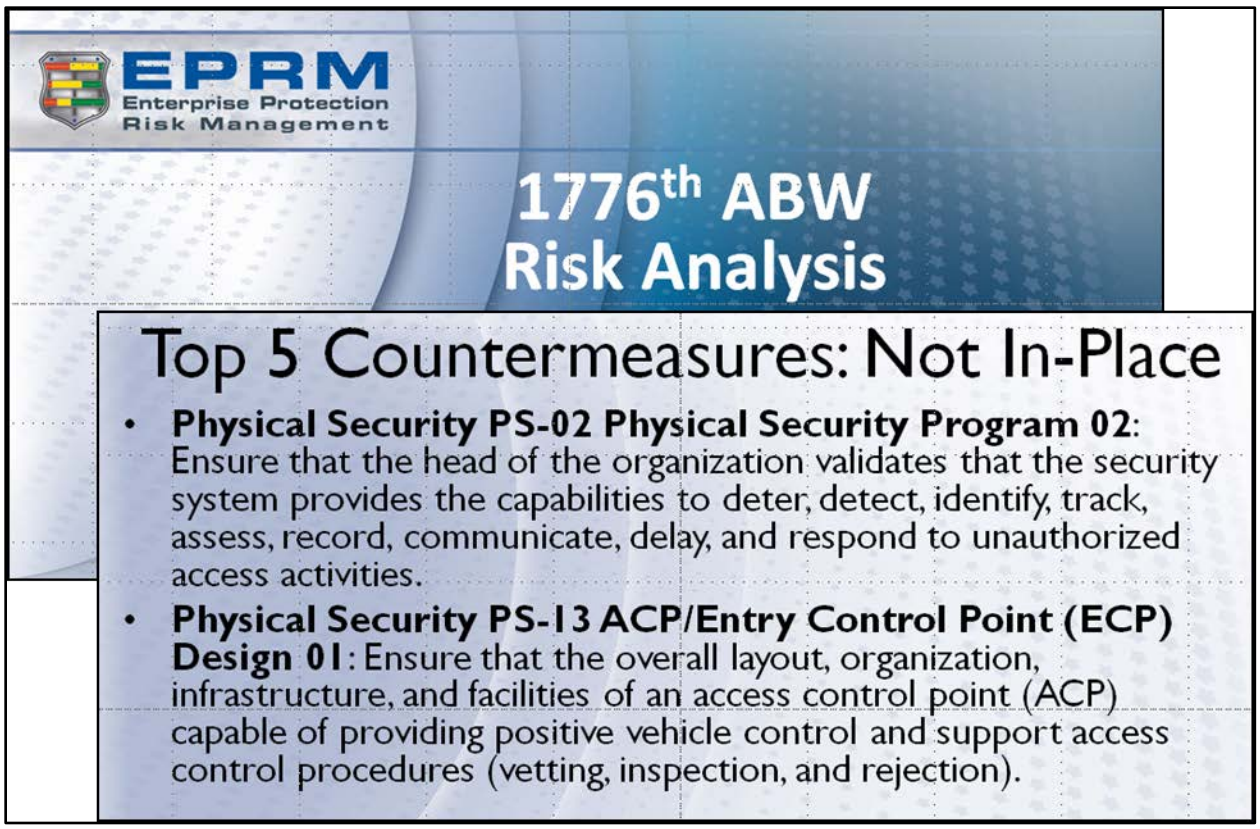


Figure 4-53. PowerPoint Report Example

4.6.2.4 Continuing to Advanced Analysis

When all the report information desired has been collected from the Administration Reports, there remains one other area where users can gather more useful data. Advanced Analysis can be accessed from the EPRM homepage. To return from the Assessment homepage to the tool homepage move the cursor to the top of the page to the breadcrumbs and select “Home.” See figure 4-54. This will return the user to the dashboard view and the Advanced Analysis function accessed from the dashboard.

Figure 4-54. Return to the Tool Homepage

4.6.3 Advanced Analysis

From the Dashboard, click the Advanced Analysis button to open the selection page. See figure 4-55. Locate the assessment and click the check box to select it (2). Click the "Continue" button (3) to open the Advanced Analysis page (4). (Note: do not double click the assessment row, or that will open the Assessment Homepage rather than the Advanced Analysis page) The page that displays shows the same risk bar as the Basic Analysis page shown above. It also displays a column of action buttons on the left side of the screen. These buttons will open another set of reports with graphic displays of data that can be very useful in presenting the results of the Risk Assessment.

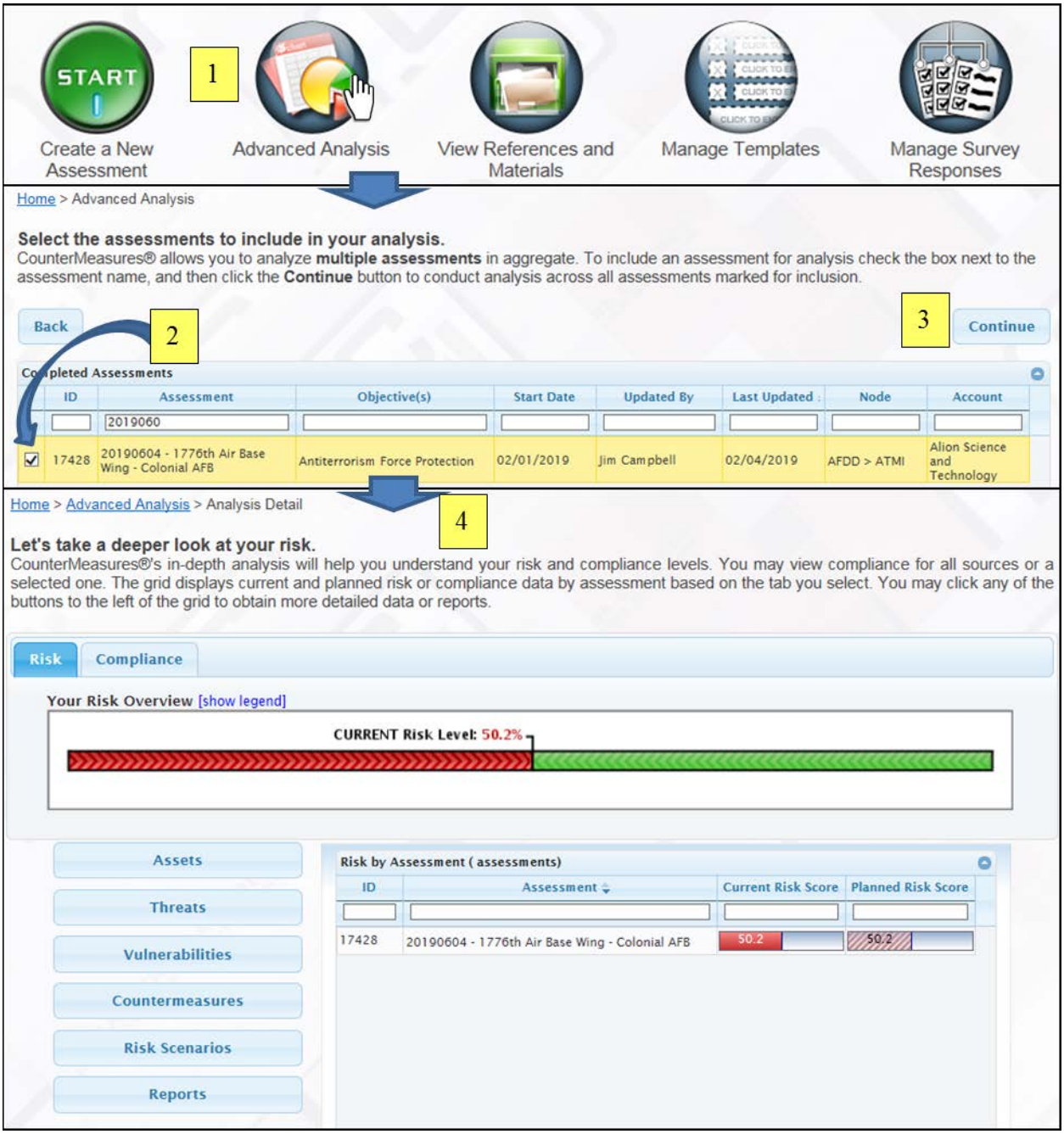


Figure 4-55. Steps to open Advanced Analysis

4.6.3.1 Generating Asset Criticality Assessment Data Report

Click the “Assets” button to open the Asset Criticality listing. See figure 4-56. The display shows each asset from the Assessment in order of criticality. This can serve as the basic visualization for the Asset Criticality. As with all the data pages, user can export this data into Excel, as well. The list can form the basis for an Asset list described in the IDRMP and the Criticality Assessment.

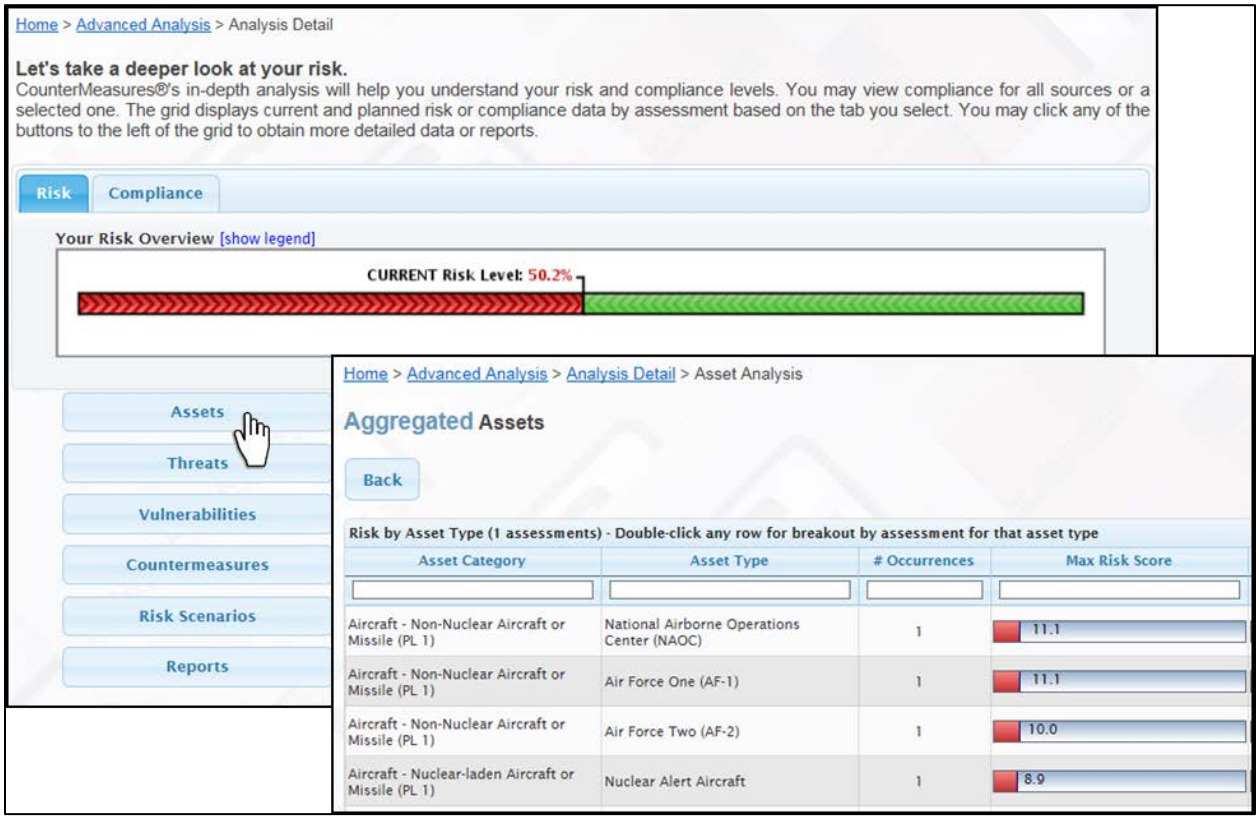


Figure 4-56. Asset Criticality

4.6.3.2 Generating Threat Assessment Data Report

Click the “Threats” button to open the threat listing. See figure 4-57. The display shows each threat pairing listed by method and associated source with the ranking (score) of each threat from greatest to least. This display can serve as the basic visualization for the Threat, which can be used in threat reporting and the Threat Assessment in accordance with the IDRMP. In addition to the visual list, the Excel list may be used for the Threat Assessment.

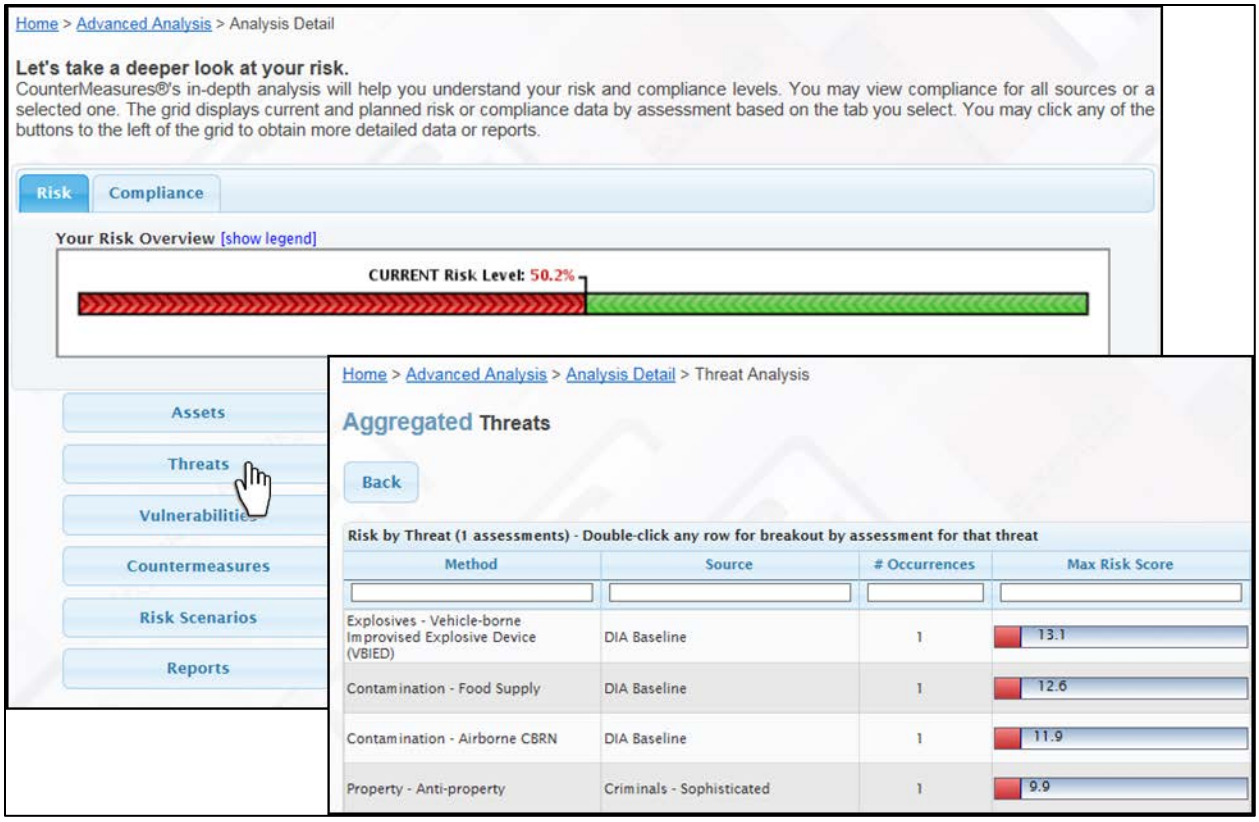


Figure 4-57. Threat Assessment Data

4.6.3.3 Generating Vulnerability Assessment Data Report

Click the “Vulnerabilities” button to open the Vulnerability listing. See figure 4-58. The display shows each Vulnerability in the Assessment in order of severity. This can serve as the basic visualization for the Vulnerability Assessment. This list can form the basis for the Vulnerability Assessment described by the IDRMP and along with the Excel download provide the baseline data for producing the Vulnerability Assessment.

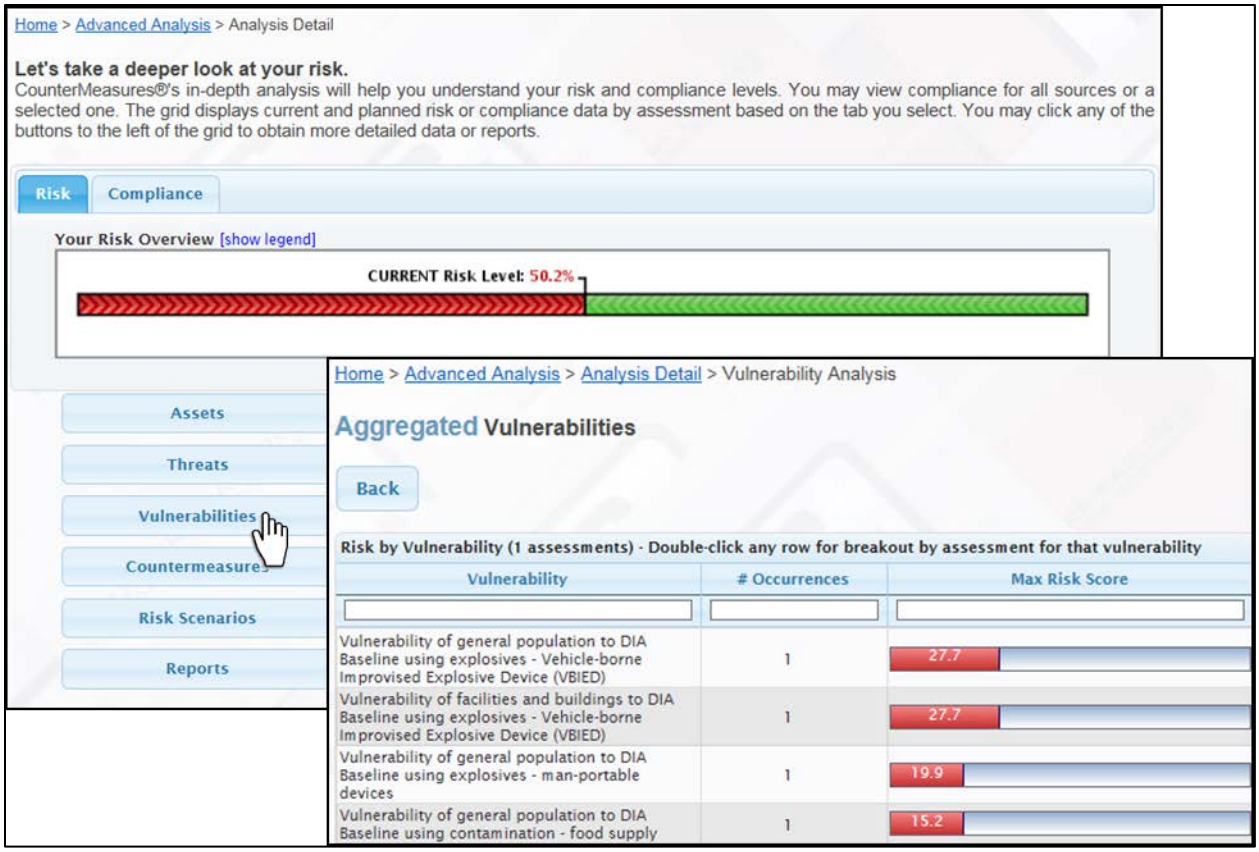


Figure 4-58. Vulnerabilities Data

4.6.3.4 Generating Benchmark Status Data Report

Click the "Countermeasures" button to open the Benchmark listing. See figure 4-59. This display shows each Benchmark arrayed in order of greatest impact on risk reduction. This will be valuable in analyzing which benchmarks that are not in place will have the greatest effect on the reduction of overall risk for this organization. This may be considered in the discussions in chapter 5.

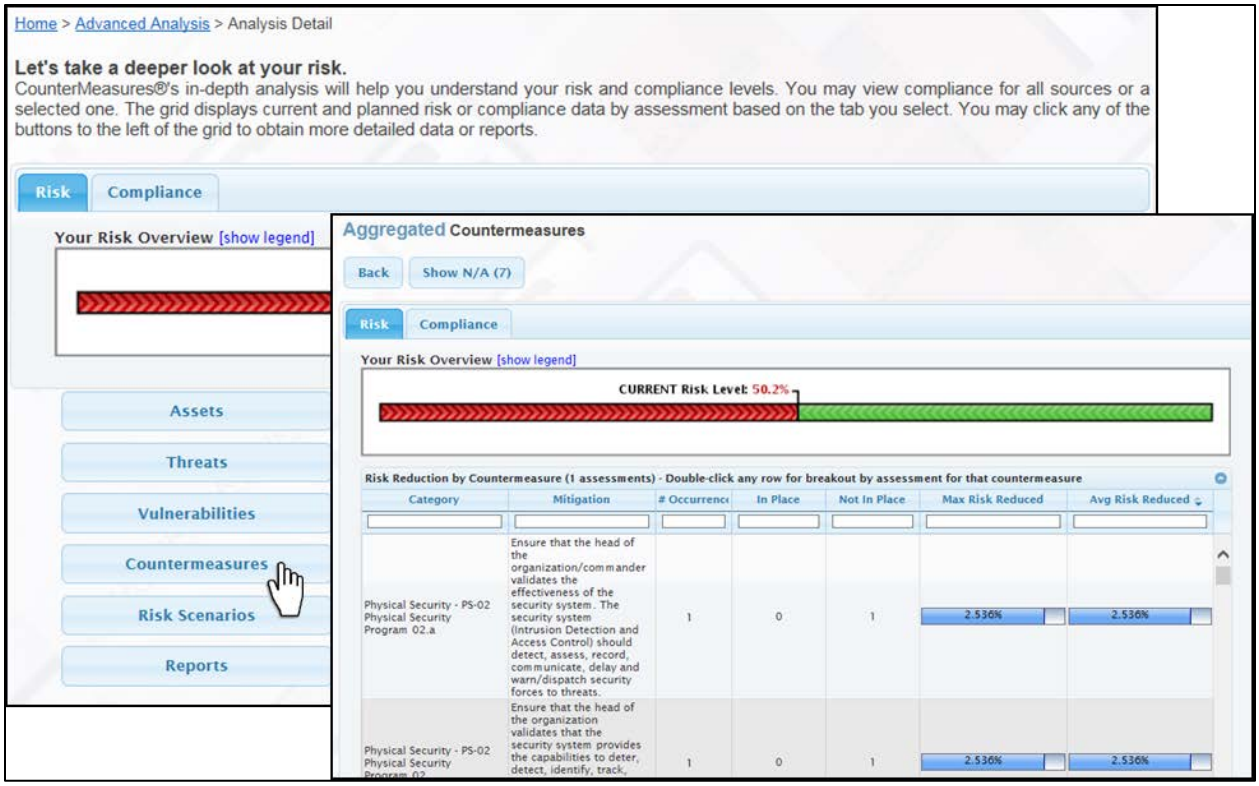


Figure 4-59. Benchmark Data

4.6.3.5 Generating Risk by Risk (Risk Scenario) Data Report

Click the "Risk Scenarios" button to open the individual risk rating by asset and threat listing. See figure 4-60. This display shows every pairing of threat to asset with the associated risk score; the breakdown of the aggregate risk that is displayed by the risk bar graph shown at the top of the Analysis page. This is the basis for the Risk Assessment. The data is much more extensive than the previous visualizations and listings (in the example case there are 975 lines). It may be desirable to use this data to characterize higher level risk rather than every risk considering the extent of data, or use this and an attachment to, rather than the basic risk analysis report. This is also valuable in analyzing risk mitigation for this organization. This may be considered in the discussions in chapter 5.

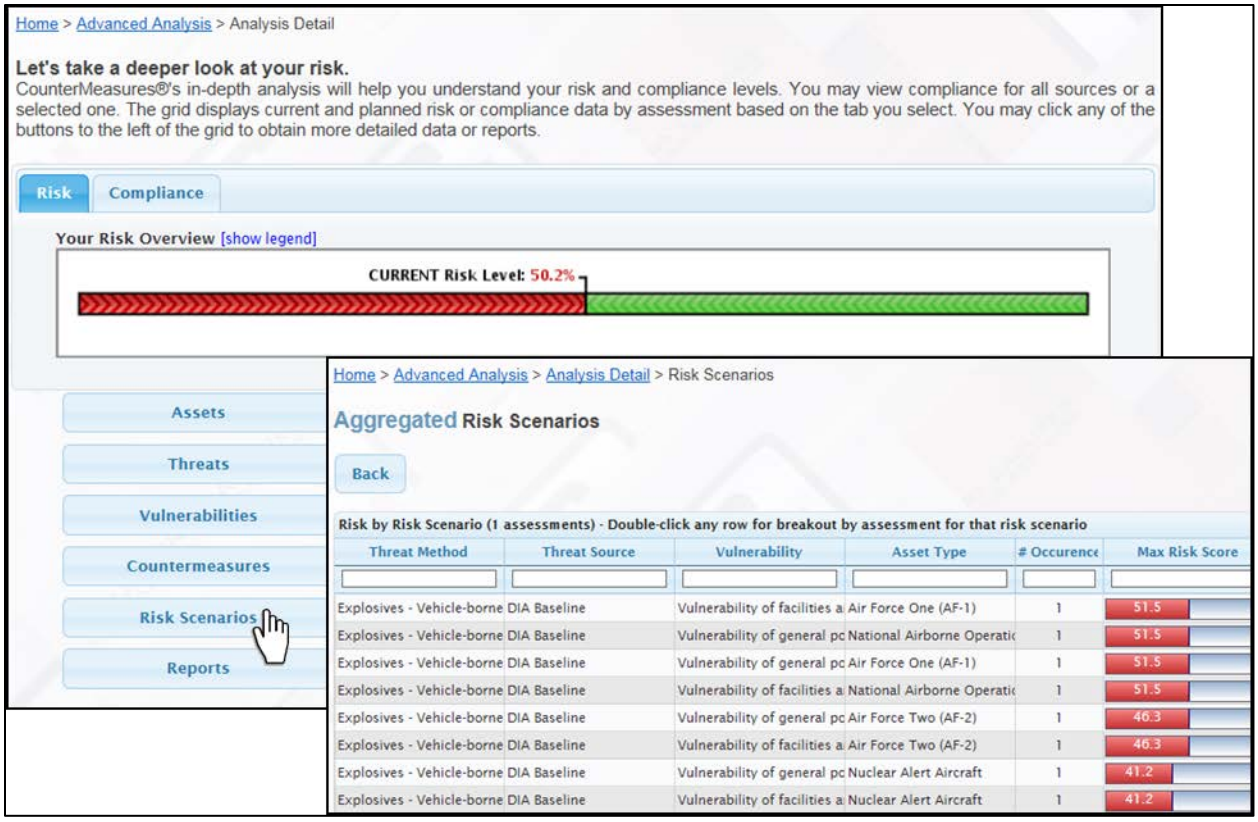


Figure 4-60. Risk Assessment by Each Asset-Threat Pairing

4.6.3.6 Additional Reporting

There is an additional button “Reports” here, however, this button is used for comparison of multiple assessments. Use this to do trend analysis, and other comparison between organizations and over time. If a complex assessment is required for a base, for example, assessments by different areas of the base this is a way to compare and consolidate results. For a basic assessment, this feature does not provide additional useful data. See figure 4-61. This feature should be used for two or more assessments, not for one individual assessment.

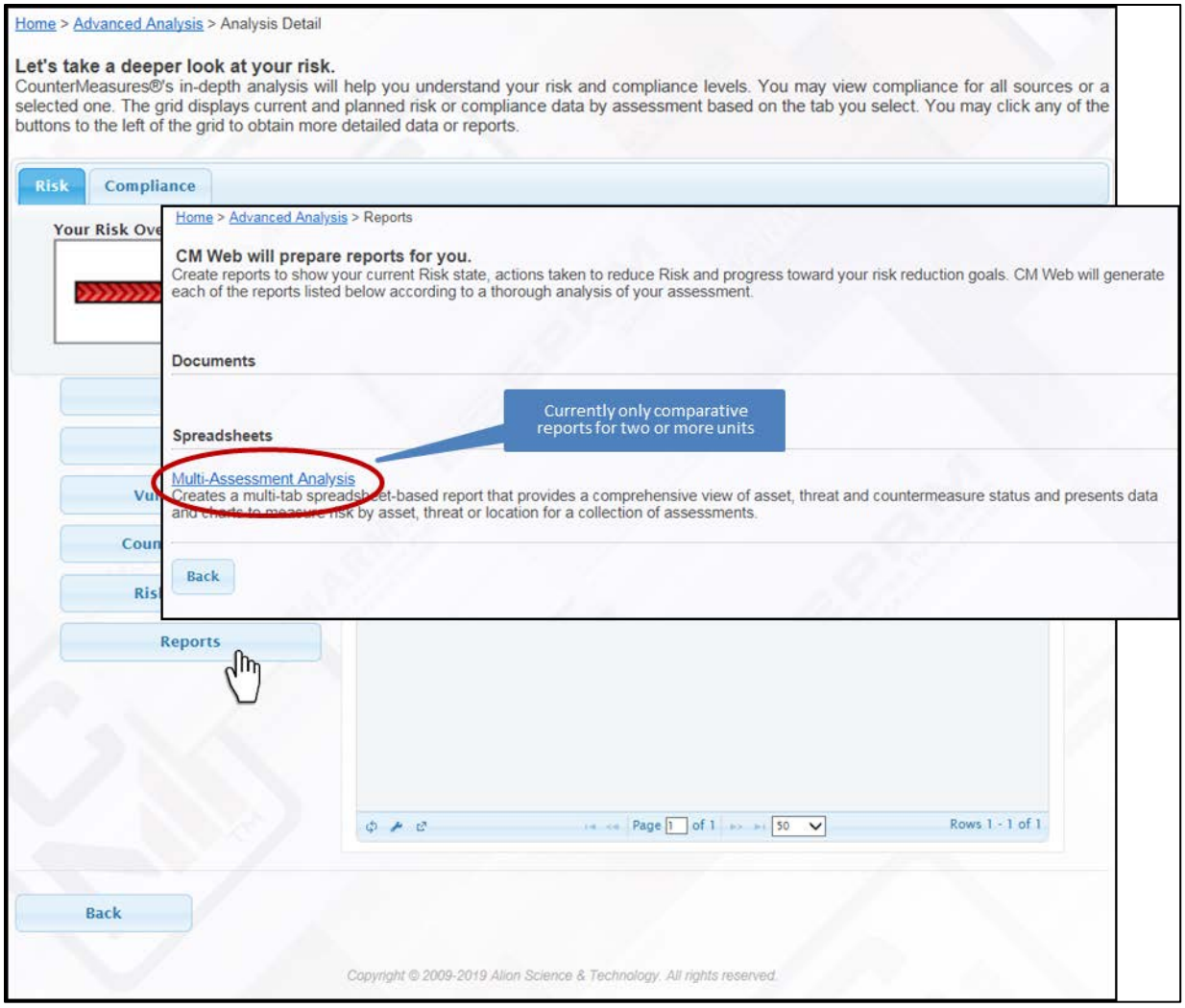


Figure 4-61. Reports-Multi-Assessment Analysis

4.7 Concluding Actions for the Risk Assessment

For the Risk Assessment, the EPRM tool provides the data for each of the individual Criticality, Threat, and Vulnerability Assessments and the compiled Risk Assessment. It presents the data in different formats to enable the user/assessor to select the preferred information set that meets the reporting formats for their respective commands. It also provides features that allow the continued application of the tool in the continued analysis and course of action development, as well as a framework for command decisions on the overall Risk Management for the assessed organization. Chapter 5 will investigate these features of the EPRM tool, which correspond to the IDRMP steps five, six, and seven.

Chapter 5

IDRMP Execution Phase-Steps 5-7 Risk Management Execution

5.1 The IDRMP Execution Phase Overview Continued

The IDRMP process, as described in the introduction is actually a combination of two phased processes, first the Preparatory Phase, followed by the Execution Phase, illustrated in the figure below. See figure 5-1. In chapter 3 the Preparatory phase was described and in chapter 4 the first four steps of the Execution phase were described. This chapter continues the process through the endpoint in step seven. This is not a final endpoint, however. The IDRMP is a cyclical process that is continuously executed, generally on an annual cycle. In this chapter the Risk Tolerance Decision, the Countermeasure Courses of Action and the Decision and implementation steps will be describe as the interaction between the IDRMP and the EPRM tool continues.

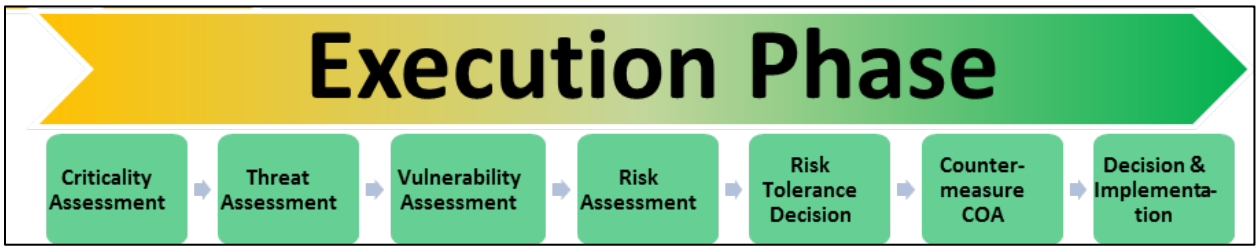


Figure 5-1. IDRMP Execution Phase

Chapter 6

Other EPRM Tool Specific Information

6.1 EPRM Support

The EPRM tool includes other useful features that have not otherwise been discussed in this guide.

User Support

Data access and review.

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

DoD Directive 3020.40, *Mission Assurance*, 29 November 2016

DoD Instruction 2000.12, *DoD Antiterrorism (AT) Program*, 1 March 2012, w/ch 3, 8 May 2017

DoDI 3020.45, *Mission Assurance (MA) Construct*, 14 August 2018

AFI 31-101, *Integrated Defense (ID),* 6 July 2017

DoD Instruction O-2000.16, Volume 1, *DoD Antiterrorism (AT) Program Implementation: DoD AT Standards*, November 17, 2016

DoD Instruction 6055.17, *DoD Emergency Management (EM) Program*, w/ch 2, August 31, 2018

Joint Staff Memorandum, Designation of Mission Assurance Systems of Record, 16 March 2018

Abbreviations and Acronyms

DCI—Defense Critical Infrastructure

EPRM—Enterprise Protection Risk Management

ID—Integrated Defense

IDRMP—Integrated Defense Risk Management Process

IPB—Intelligence Preparation of the Battlespace

MA—Mission Assurance

TCA—Task Critical Asset

Terms

Asset. A distinguishable entity that provides a service or capability. Assets are people, physical entities, or information located either within or outside the United States and employed, owned, or operated by domestic, foreign, public, or private sector organizations. (DoDD 3020.40)

Commander's Intent. A clear and concise expression of the purpose of the operation and the desired military end state that supports mission command, provides focus to the staff, and helps subordinate and supporting commanders act to achieve the commander’s desired results without further orders, even when the operation does not unfold as planned. (AF Glossary)

Defense Critical Infrastructure — Department of Defense and non-Department of Defense networked assets and facilities essential to project, support, and sustain military forces and operations worldwide. Also called **DCI.**

Integrated Defense. The integration of multidisciplinary active and passive, offensive and defensive capabilities, employed to mitigate potential risks and defeat adversary threats to AF operations. (AFPD 31-1)

Intelligence Preparation of the Battlespace. The analytical methodologies employed by the Services or joint force component command to reduce uncertainties concerning the enemy, environment, time and terrain. Intelligence preparation of the battlespace supports the individual operations of the joint force component commands. Also called **IPB**. (JP 1-02) See also **joint intelligence preparation of the operational environment**. (JP 2-01.3)

Mission Statement. A short sentence or paragraph that describes the organization's essential task(s), purpose, and action containing the elements of who, what, when, where, and why. (DoD Dictionary of Military and Associated Terms)

Task Critical Asset. An asset that is of such extraordinary importance that its incapacitation or destruction would have a serious, debilitating effect on the ability of one or more DoD or OSD Components to execute the capability or mission-essential task it supports. (DoDD 3020.40)

Tier 1 TCA An asset whose loss, incapacitation, or disruption would result in mission failure at the DoD Component level of a MET or essential capability aligned with strategic missions. (DoDI 3020.45)

Tier 2 TCA An asset whose loss, incapacitation, or disruption would result in severe mission degradation at the DoD Component level of a MET or essential capability aligned to strategic missions. (DoDI 3020.45)

Threat. An adversary having the intent, capability, and opportunity to cause loss or damage. (DoDD 3020.40)

Attachment 2

SUPPORTING TABLES AND MATRICES

The standard scoring range is derived from the CJCSM 3501.01 Joint Risk Analysis, Military Risk Tables and is the basis for scoring for each area of Criticality, Threat, Vulnerability, and Risk:

Probability of Event	**Score**
Highly Unlikely (~0-20%)	0.01-0.20 (Low)
Improbable (~21-50%)	0.21-0.50 (Moderate)
Probable (~51-80%)	0.51-0.80 (Significant)
Very Likely (~81-100%)	0.81-1.00 (High)

The various scoring tables are derived from the above table and the Integrated Risk Matrix, also found in CJCSM 3501.01.

RANKING	SCORING	DEFINITION
High	0.81 - 1.0	Risk to Mission: Total loss will create a level of Combatant Commander (CCDR) Risk where the ability to achieve Current or Contingency Operations mission objectives is UNLIKELY. Risk to Force: Total Asset Loss will result in Extreme Resource Delays (Unacceptable Costs).
Significant	0.51 - 0.80	Risk to Mission: Total loss will create a level of CCDR Risk where the ability to achieve Current or Contingency Operations mission objectives is QUESTIONABLE.. Risk to Force: Total Asset Loss will result in Extended Resource Delays (Substantial Costs).
Moderate	0.21 - 0.50	Risk to Mission: Total loss will create a level of CCDR Risk where the ability to achieve Current or Contingency Operations mission objectives is LIKELY. Risk to Force: Total Asset Loss will result in Limited Resource Delays (Acceptable Costs).
Low	0.01 - 0.20	Risk to Mission: Total loss will create a level of CCDR Risk where the ability to achieve Current or Contingency Operations mission objectives is VERY LIKELY. Risk to Force: Total Asset Loss will result in Planned Resource Availability (Minimal Costs).

Attachment 3

DOD AT STANDARD 5

AT STANDARD 5: CRITICALITY ASSESSMENT (CA) PROCEDURES. The CA, as part of the AT risk management process, identifies for commanders the DoD elements, personnel, and assets that require specific protective measures. Commanders incorporate this information into their AT plans to prescribe the means of this protection and to prioritize AT resource allocation.

a. GCCs, pursuant to the DoD MA Assessment Benchmarks and DoD Manual (DoDM) 3020.45, Volume 1, will identify their critical assets, in coordination with their respective Service Components and coordinate with the specific DoD Components that provide and support these critical assets to ensure their AT plans mutually support one another and provide these critical assets the appropriate security protective posture based on the threat.

b. To develop their CAs, all commanders will utilize the principles outlined in the DoD Antiterrorism Officer Guide and the critical asset identification process described in Volume 1 of DoDM 3020.45. Additionally, they are to:

(1) Establish and implement CA procedures to identify, classify, and prioritize mission-essential assets, resources, personnel (including those responsible for operation and maintenance of DCI), and supporting infrastructure and its interdependencies critical to mission accomplishment utilizing the mission decomposition process outlined in Volume 1 of DoDM 3020.45.

(2) Conduct CAs for non-mission-essential assets such as high-occupancy buildings; mass gathering activities; and any other facility, equipment, service, or resource (including non-DoD assets) deemed important by the commander as warranting protective measures to ensure continued, efficient operation; protection from disruption, degradation, or destruction; and timely restoration.

c. Commanders will:

(1) Include tenant organizations in the CA process as applicable.

(2) Review CAs at least annually and update them based upon asset importance, effect of loss, recoverability, mission functionality, substitutability, and reparability.

(3) Develop a critical asset matrix that prioritizes protective measures based upon the criteria outlined in the ATO Guide.

Attachment 4

AIR FORCE INTEGRATED DEFENSE MISSION ESSENTIAL TASKS

MET 1--AFTA 3.6.1 Provide Installation and Asset Protection

Security Forces will plan for and employ the capabilities of integrated defense and antiterrorism to mitigate potential risks and defeat adversary threats to installation operations within the Base Boundary and Base Security Zone. (AFPD 31-1, AF Core Doctrine, Volume5, Annex 3-10, AFI 31-101, AFI 31-113, AFI 31-104, AFI 10-245, AFI 31-304_IP, AFJI 31-102, AFH 31-109, JP 2-01, 3-01.1, 3-01.5, 3-07.5, 3-07, 3-08, 3-09, 3-10, 3-11, 4-01.1, 4-01.2, DoDI 5200.08, DoD 5200.08-R, DoDI 2000.12, and DoDI 2000.16, DoD 5525.18).

MET 2--AFTA 6.6.1 Integrated Defense Assessment

Conduct initial assessment of requirements to mitigate hostile actions against deployed forces, resources, facilities, and critical information; IAW requirements identified in AFPD 31-1, Integrated Defense and AFI 31-101, Integrated Defense.

MET 3--AFTA 6.6.2 Command and Control of Integrated Defense Operations

Provide C2 for the establishment and application of active and passive defense measures, employed across the legally-defined ground dimension of the operational environment, to mitigate risks and defeat adversary threats to Air Force operations. Executes command and control through BDOC IAW the appropriate operational chain of command.

Attachment 5

AIR FORCE ASSET CATEGORIES AND SUBCATEGORIES

Asset Category	Asset Subcategory
Aircraft	Non-Nuclear Aircraft or Missile (PL 1)
	PL 2
	PL 3
	PL 4
Arms, Ammunition and Explosives	Cat I
	Cat II
	Cat III
	Cat IV
C2 Equipment	Air Traffic Control Equipment
	Communications Equipment
Classified Information	Confidential
	Secret
	Sensitive Compartmented Information (SCI)
	Special Access Program (SAP)
	Top Secret (TS)
Facilities and Buildings	Billeting and Dormitories
	C2 First Responder Facility
	C2 PL Command Post
	C2 Unit Control Center
	Communication Facility
	Community Facility
	Dining Facilities
	Education Facility
	GOQs, SOQs, MFH (Single, Duplex)
	Headquarters and Administrative Facility
	Medical Facility

Facilities and Buildings (cont'd)	Military Family Housing (13 or more buildings/units)
	Mission Support Facility
	Power Projection Support Facility
General Population	General Population
	Military Mass Gathering
Individuals	High Risk Personnel
	Senior Staff
Industrial and Utility Equipment	Mission Support Equipment
Infrastructure	Area Wide
	Area Wide Infrastructure
	Element of Installation Wide
	Installation Wide
	Installation Wide Infrastructure
	Local Infrastructure
Sensitive Information	FOUO, Privacy Act information and operational information
Vehicles	Emergency Response Vehicles
	Vehicles - Mission Support Vehicles