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Getting Started & How to Complete a DOD PKI Survey

EPRM v3.64, March 2024

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Introduction

The survey function is a core capability of the EPRM tool. It uses a process model to walk an auditor through the steps of completing an audit survey. The following pages will present the process in a way that will guide a user through completing a DOD PKI audit survey. Administrative functions are discussed in the second half of this guide.

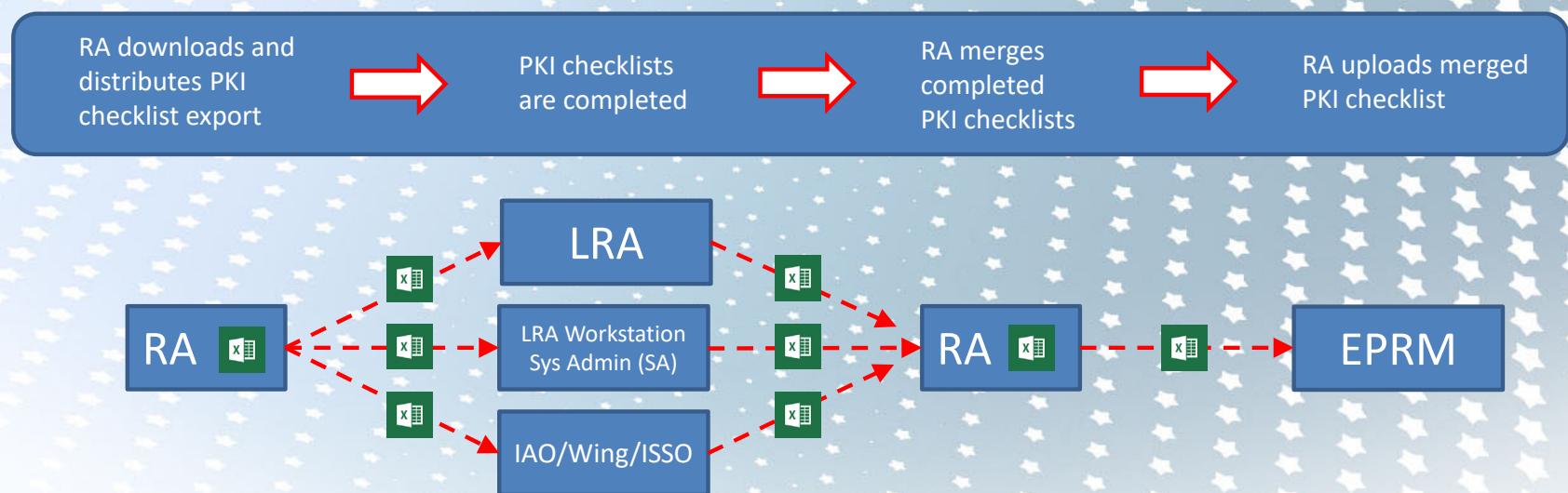
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Data Collection Process

The DOD PKI Audit Survey involves the coordination of information from multiple sources and incorporating the data into an organized, automated process (EPRM). Below is a basic representation of the process to show how EPRM fits into an existing audit survey process.

The RA distributes the RA/LRA PKI audit checklist export (.xlsx)* to the LRA, LRA Workstation System Administrator (SA), and IAO/Wing/ISSO to complete their respective checklists. Each element returns their checklist portions to the RA who merges the data into a single checklist. The RA then uploads the completed checklist into EPRM.



*A copy of the PKI checklist export (.xlsx) is available for download [here](#), on the EPRM Help website.

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User Home Screen

When the user logs into their account, the home screen will appear like the image below. It includes a header that identifies the user's account, activity buttons, and navigation buttons. For PKI audit survey users, the “Manage Survey Responses” button will be their primary workspace.

This header indicates the account.

Welcome to EPRM
EPRM User Training

This is your resource to complete the Risk Assessment process. EPRM will help you understand risk analysis by assisting you in identifying risks and what it can do better. You can assign tasks and create reports to track progress.

Navigation buttons allow users to jump to specific functions. (e.g. Home, Change Password, Log Out.). Number of buttons will vary based on user permissions.

Main menu activity buttons; the number will vary based on user roles.

Manage Assessments Advanced Analysis Manage Templates (including AHTAs) **Manage Survey Responses** User Guides and References

Enable Accessibility Color

Jon Doe
Version: 3.27.0.3 rev. 1043
Last Login: 07/23/2020 09:49:05
Want to make EPRM better? Send us your feedback!

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Manage Survey Responses Home Screen

After clicking the “Manage Survey Responses” button users are brought to the Manage Surveys Home page.

The activity buttons from the Home page now appear at the top of the screen throughout the EPRM tool.

Users can begin a new PKI audit survey by clicking the green “Start” button, or double-click a row in the grid to continue work on an existing audit survey.

The screenshot shows the 'Manage Survey Responses' home screen. At the top, there is a main menu with four items: 'Manage Assessments' (blue icon), 'Advanced Analysis' (red icon), 'Manage Survey Responses' (green icon, highlighted with a blue callout bubble), and 'View References and Materials' (purple icon). Below the menu, a breadcrumb trail shows 'Home > Manage Surveys Home'. A message states: 'This is where you may create a new survey or view / modify existing surveys based on your User Profile. [More]'. A large green button labeled 'START' with a white play icon is centered. Below it, a link says 'Start a New Survey'. A table titled 'Existing Surveys - To open, double-click on a row or select a row and click on open button at the bottom of the grid.' displays two rows of survey data:

ID	Survey Name	Due Date	Status	Owner	Node	Created	Objective(s)
3082	20190826-127th SDN-AFS		Locked	Marge Inovera	88th ABW > 127th Squadron	08/29/2019	Assessment Focus Statement
3083	20190815-88th ABW-AFS		Locked	Marge Inovera	AFMC > 88th ABW	08/29/2019	Assessment Focus Statement

A blue callout bubble points to the 'Manage Survey Responses' button in the main menu with the text 'Current location indicated, here.' Another blue callout bubble points to the 'Created' column heading in the grid with the text 'Click on a column heading to sort ascending/descending order. Or use the text box below the heading to filter by search term.' A third blue callout bubble points to the bottom right of the grid with the text 'Previously conducted surveys are stored here. Double click a survey to access it.' The bottom right corner of the grid shows 'Rows 1 - 2 of 2'.

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Creating A New Survey

After clicking the “Start” button on the Manage Surveys home page, a new window will open; several data fields require input. Those fields denoted by an asterisk (*) must be completed. A more detailed look at the New Survey screen is on the following page.

The screenshot shows the 'Manage Surveys Home' page. At the top, there's a main menu with icons for 'Manage Assessments', 'Advanced Analysis', 'Manage Survey Responses', and 'View References and Materials'. Below the menu, a large green button labeled 'START' with a white 'I' is highlighted with a blue callout bubble containing the text 'Click the green "Start" button.' To the left of the 'START' button is a circular icon with a green border and a white center containing a green circle with a white 'I'. Below the 'START' button, the text 'Start a New Survey' is visible. The main content area displays a grid titled 'Existing Surveys - To open, double-click on a row or select a row and click on open button at the bottom of the grid.' The grid has columns for 'Id', 'Survey Name', 'Due Date', 'Status', 'Owner', 'Node', 'Created', and 'Objective(s)'. Two rows are listed: Row 3082 (Survey Name: 20190826-127th SDN-AFS, Status: Locked, Owner: Marge Inovera, Node: 88th ABW > 127th Squadron, Created: 08/29/2019, Objective(s): Assessment Focus Statement) and Row 3083 (Survey Name: 20190815-88th ABW-AFS, Status: Locked, Owner: Marge Inovera, Node: AFMC > 88th ABW, Created: 08/29/2019, Objective(s): Assessment Focus Statement). At the bottom of the grid, there are navigation links for 'First', 'Previous', 'Next', 'Last', 'Page 1 of 1', 'Rows 1 - 2 of 2', and a dropdown for '50' items per page.

The screenshot shows the 'New Survey' creation window. At the top, it says 'Home > Manage Surveys Home > New Survey' and 'Let's get started with the Survey. We'll begin by creating a new survey.' It includes a note that an asterisk (*) denotes a required field. The 'Survey Name*' field contains '20200317-Goodfellow AFB'. Below it, a note says 'Select the node you will be assessing from the hierarchy below. Use the (+) functionality to expand the tree until you find the correct node. You have the privilege to select any node in plain text. If you do not see the node available contact your administrator or the Help Desk to have it added.' A 'Node legend:' section defines symbols for plain text, struck-through text, and dark background nodes. A 'Search Nodes' input field is present. The 'Node (select one in plain text)*' section shows a hierarchical tree starting with 'User Support Training':

- User Support Training
 - 3-AETC
 - Altus AFB
 - Columbus AFB
 - Goodfellow AFB**
 - Keesler AFB
 - Lackland AFB
 - Luke AFB
 - Vance AFB

. Below this, a note says 'Select your survey objectives.' and 'Objectives (select at least one)*' with a checked checkbox for 'Virtual Audit Checklist for NSS/DoD/CSP PKI RA/LRA, Version 1.3'. At the bottom, there are 'Due Date' and 'Clear Due Date' buttons, and navigation buttons 'Back.' and 'Continue'.

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Creating a New Survey (*continued*):

1. Name the audit survey. It is recommended to include a date (YYYYMMDD) and location in the name for file management purposes. (See *ECM for DoD PKI Audits User Business Rules* for more information.)
2. Select the node where the audit survey will be conducted. This allows the survey to be viewed by your organization, and is essential for higher level analysis and the control of unit information.
3. Check the survey type ('Objective'), i.e., Virtual Audit Checklist for NSS/DoD/CSP PKI RA/LRA, Version 1.3.
4. Click on Due Date field to bring up a calendar and select a due date, if desired.
5. Click "Continue".

The screenshot shows a web-based application for creating a new survey. The process is divided into five numbered steps:

1. Survey Name: A text input field containing "20200317-17th TW-Goodfellow AFB".
2. Node Selection: A dropdown menu titled "Node (select one in plain text)*" showing a hierarchy of units. The "17th Training Wing" node is selected. Other visible nodes include "User Support Training", "3-AETC", "Altus AFB", "Columbus AFB", "Goodfellow AFB", "Keesler AFB", "Lackland AFB", "Luke AFB", and "Vance AFB".
3. Survey Type: A dropdown menu titled "Objectives (select at least one)*" containing the option "Virtual Audit Checklist for NSS/DoD/CSP PKI RA/LRA, Version 1.3", which is checked.
4. Due Date: A text input field for "Due Date" with a "Clear Due Date" button next to it.
5. Continue: A blue "Continue" button at the bottom right.

A callout bubble from step 2 points to the "Search Nodes" button, with the text: "Search Nodes feature allows the user to find their unit directly, without manually expanding the hierarchy."

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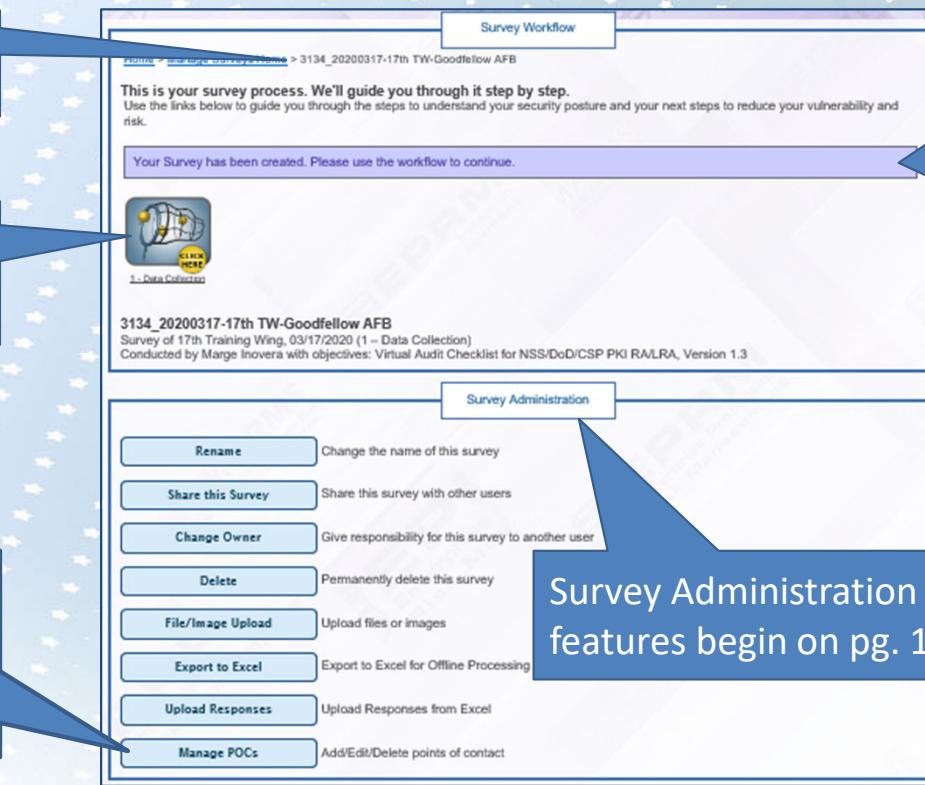
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Creating a New Survey (*continued*):

The audit survey has been created, when this page appears. The page is divided into two sections. The Survey Administration section will be discussed later in this guide. Click the “Data Collection” button to expand the Survey Workflow (displayed on the next page).

System assigns a 4-digit ID to each new survey.

Click “Data Collection” to enter the Survey Workflow.



Tip: Add the LRA, SA, and ISSO in the POCs as a best practice in keeping current and accurate records.

Survey Administration features begin on pg. 14.

This banner confirms the assessment was created. Note: the RA can create the audit survey in EPRM independent from the PKI survey checklist being completed.

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The Survey Process:

The Data Collection phase, within the EPRM tool, is divided into several areas of responsibility. The RA will coordinate with LRA, LRA Workstation System Administrators (SA), and IAO/Wing/ISSO personnel to complete the audit survey outside of the EPRM tool. To expedite completion, RAs should download the RA/LRA PKI audit checklist export in an Excel format and distribute to the LRA, SA, and IAO/Wing/ISSO to answer their respective portions of the checklist.



Note: when the completed checklists are returned to the RA, and combined, all audit survey data will be uploaded at once despite the linear representation above.

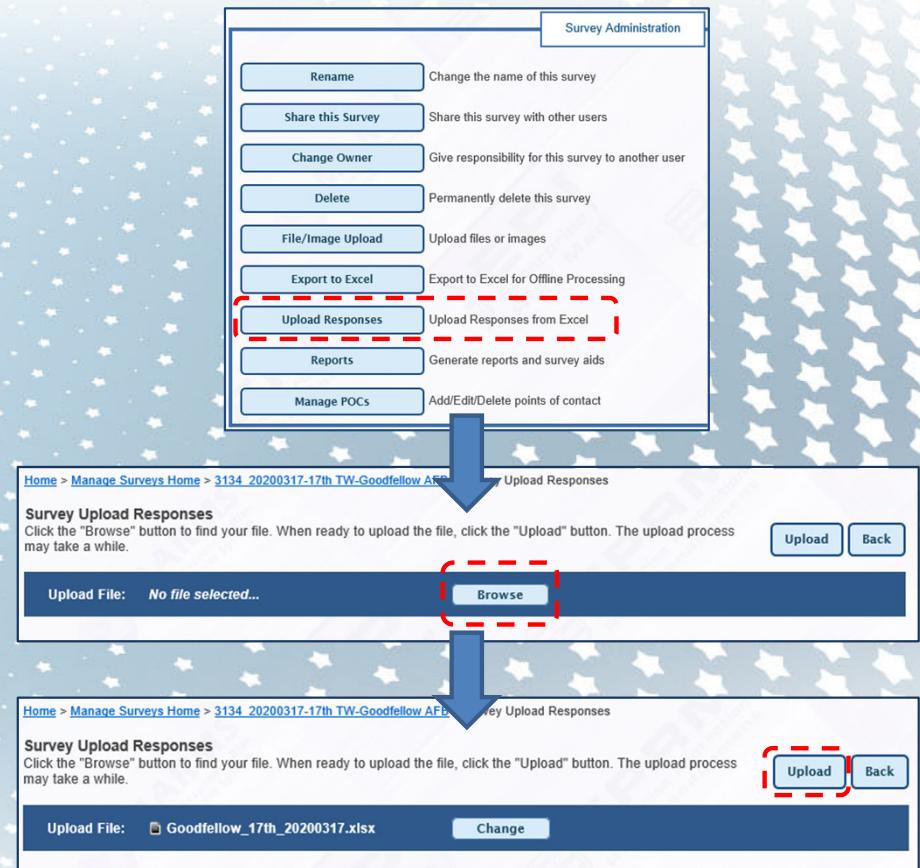
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Import Survey to EPRM:

The final checklist of merged data will need to be DOTS'd to the SIPRNET by following the process below. (Alternatively, the RA can enter the audit survey into EPRM, manually.)

1. SEND the completed audit survey (.xlsx) document from your NIPRNET computer to your SIPRNET email account using the DOTS site. DOTS is a web transfer portal that allows you to send files from a NIPRNET computer to your SIPRNET email account -
<https://dots.dodiis.mil/>
2. DOWNLOAD the file from your SIPRNET email and save to your computer.
3. LOGIN to EPRM and click the “Manage Survey Responses” icon.
4. LOCATE the existing survey, or create a new survey if one was not already created (see pg. 6).
5. UPLOAD the completed audit survey checklist using the “Upload Responses” button.
6. BROWSE your computer for the completed survey (.xlsx) document, click “Upload”.

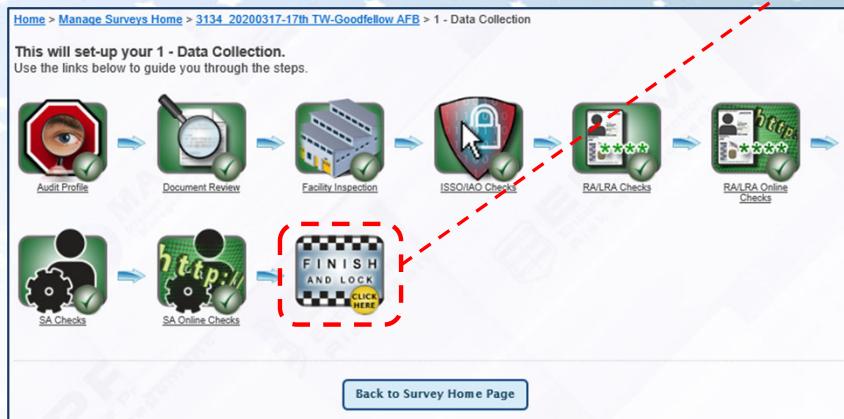


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Conducting the Survey (continued):

With the audit survey checklist successfully uploaded, the Survey Workflow icons will have green checkmark badges, and the audit survey is ready to be locked. Click the “Finish and Lock” icon to lock the audit survey and return to the Survey Workflow/Administration screen. Notice the Data Collection icon now carries the “Read Only” badge. If any answers need to be changed, click the “Open for Editing” button in the Survey Administration section.



Survey Workflow

Home > Manage Surveys Home > 3128_2020-02-12 - Columbus AFB

This is your survey process. We'll guide you through it step by step.
Use the links below to guide you through the steps to understand your security posture and your next steps to reduce your vulnerability and risk.

3128_2020-02-12 - Columbus AFB
Survey of Columbus AFB, 02/12/2020 (Locked)
Conducted by Marge Inovera with objectives: USAF LRA Self-Assessment Audit Checklist

Survey Administration

- Open for Editing
- Rename
- Share this Survey
- Change Owner
- Delete
- File/Image Upload
- Export to Excel
- Upload Responses
- Reports
- View POCs

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Administration Functions

Survey Administration functions are displayed on the lower half of a survey's home screen. We will take a deeper look at these functions on the following pages. Most functions will operate the same no matter if the survey is open or locked. Two functions, indicated below, will appear differently depending on whether the survey is open or locked.

Survey: Open

The screenshot shows the Survey Administration section of a survey's home screen. It includes a list of actions:

- Rename
- Share this Survey
- Change Owner
- Delete
- File/Image Upload
- Export to Excel
- Upload Responses
- Reports
- Manage POCs

This button does not appear until the survey is locked.

Survey: Locked

The screenshot shows the Survey Administration section of a survey's home screen. It includes a list of actions, with the "Open for Editing" button highlighted:

- Open for Editing
- Rename
- Share This Survey
- Change Owner
- Delete
- File/Image Upload
- Export to Excel
- Upload Responses
- Reports
- View POCs

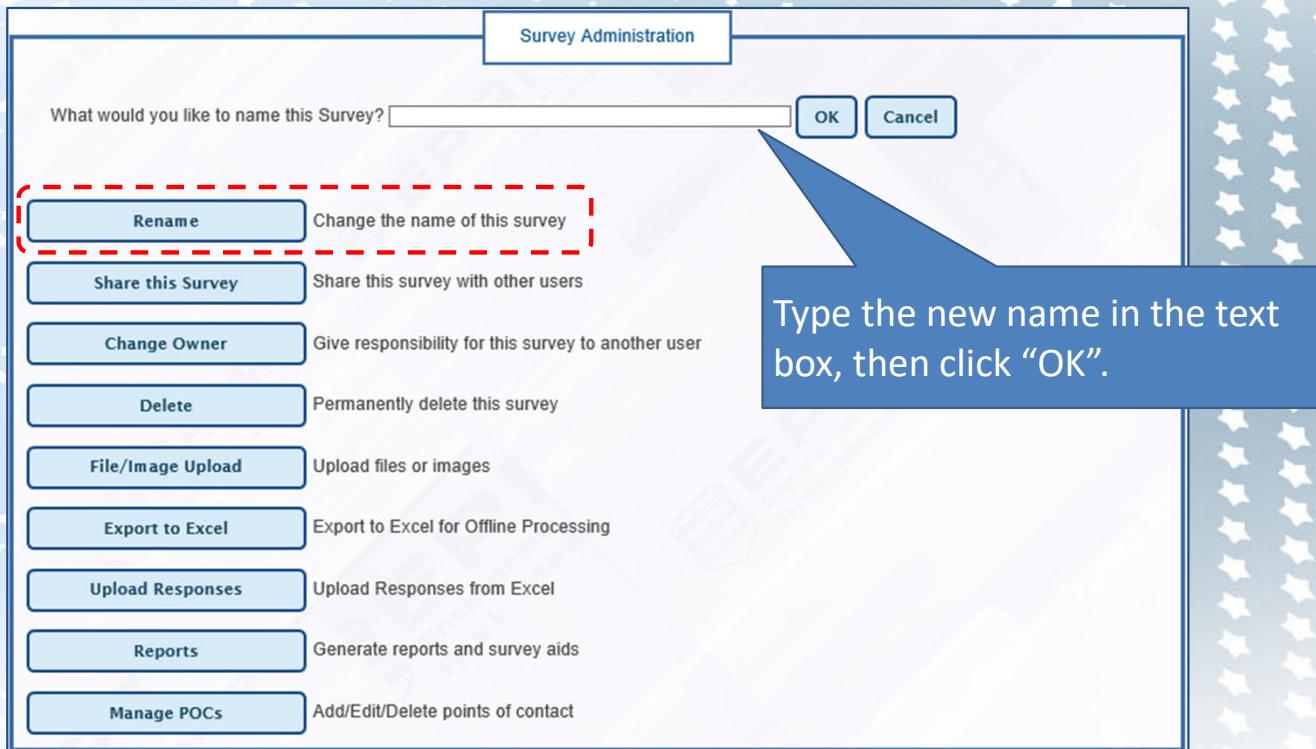
Changes to POCs can only be made when the survey is open. The POC roster changes to “read only” when the survey is locked.

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Administration: Rename

The **Rename** feature allows users to change the name of a survey. Click **Rename**, enter the new name in the box provided, then click **OK** to save the change.



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Administration: Share

Share This Survey allows users to give other users within their objective hierarchy access to the survey; allows others to read, and/or edit depending on the privileges selected.

The screenshot shows two overlapping web pages. The left page is titled 'Survey Administration' and lists various survey management options. The right page is titled 'Share Survey' and shows a list of users with their share permissions. A red dashed box highlights the 'Share this Survey' button in the administration page, and a red dashed box highlights the 'Share Survey' section in the sharing page. The sharing page table shows the following data:

Name	E-Mail	Owner Level	Permissions
Carr, Lisa	[REDACTED]	No	None
Earp, Wyatt	[REDACTED]	No	None
Furst, Job	[REDACTED]	No	None
Holiday, Doc	[REDACTED]	No	None
Inovera, Marge	[REDACTED]	Yes	None
McKechnie, Kellen	[REDACTED]	No	None
Order, Lauren	[REDACTED]	No	None Read Only Read/Write

Read Only privileges allow another user to view only.

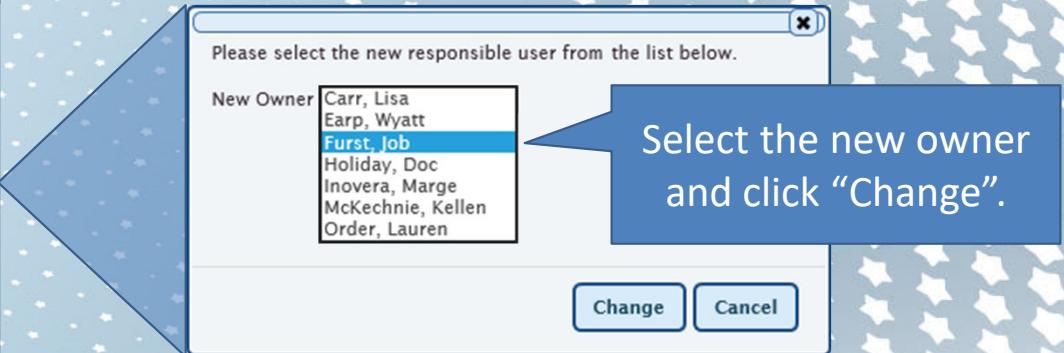
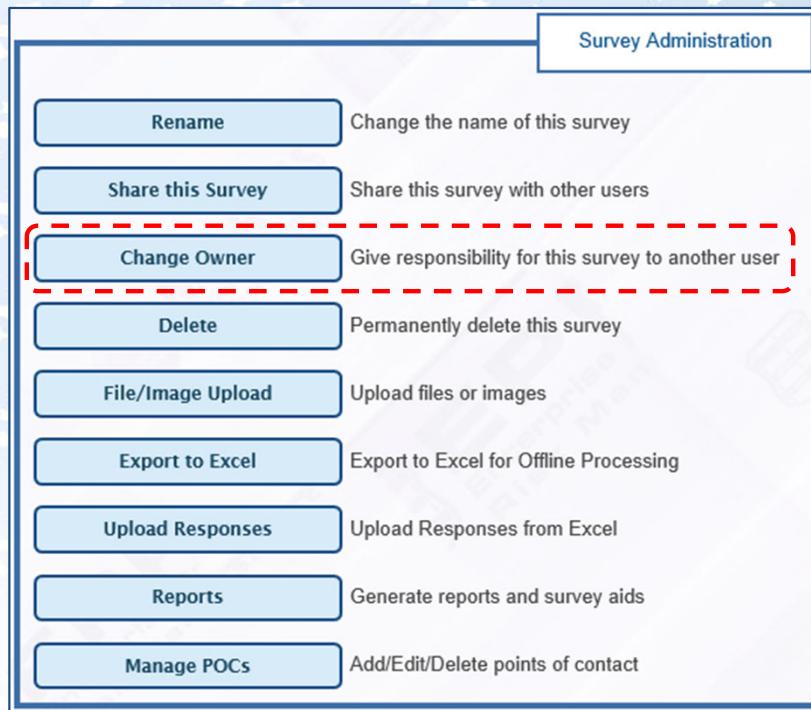
Read/Write privileges allow another user to view and edit.

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Administration: Change Owner

Change Owner allows the current owner to transfer ownership of the survey to any user within their objective hierarchy. Once changed, the original owner no longer has any access to the survey.

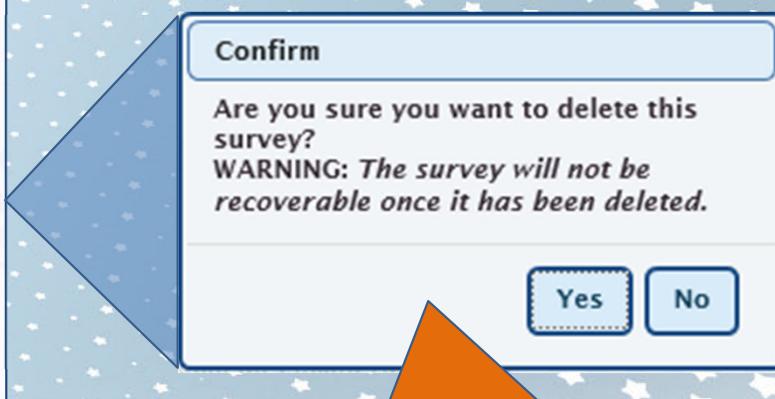
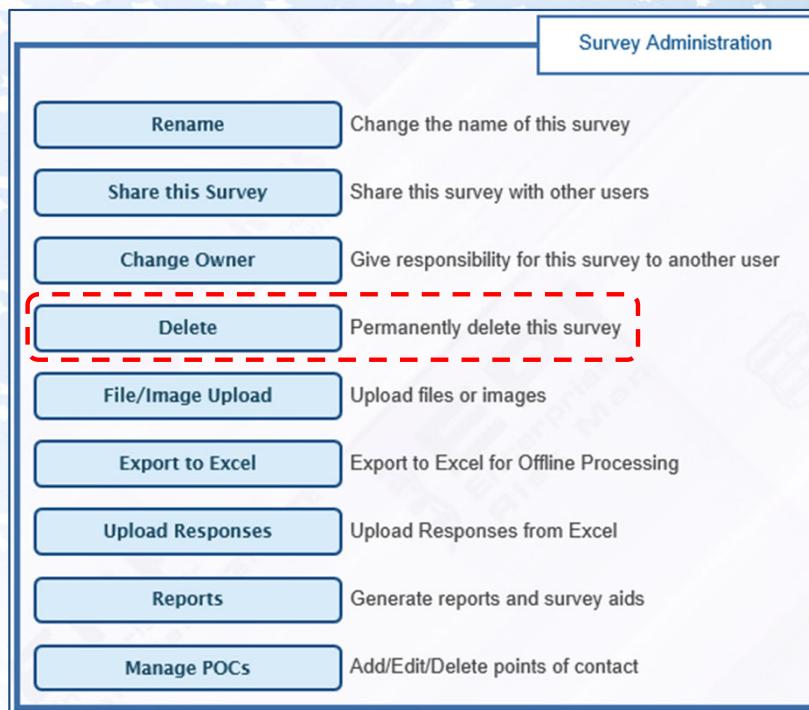


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Administration: Delete

Delete causes permanent deletion of a survey. Once the survey has been deleted it will not be recoverable. Click “Delete”, a pop-up box will appear to confirm deletion of the survey. Clicking “Yes” deletes the survey and returns to the EPRM home page.



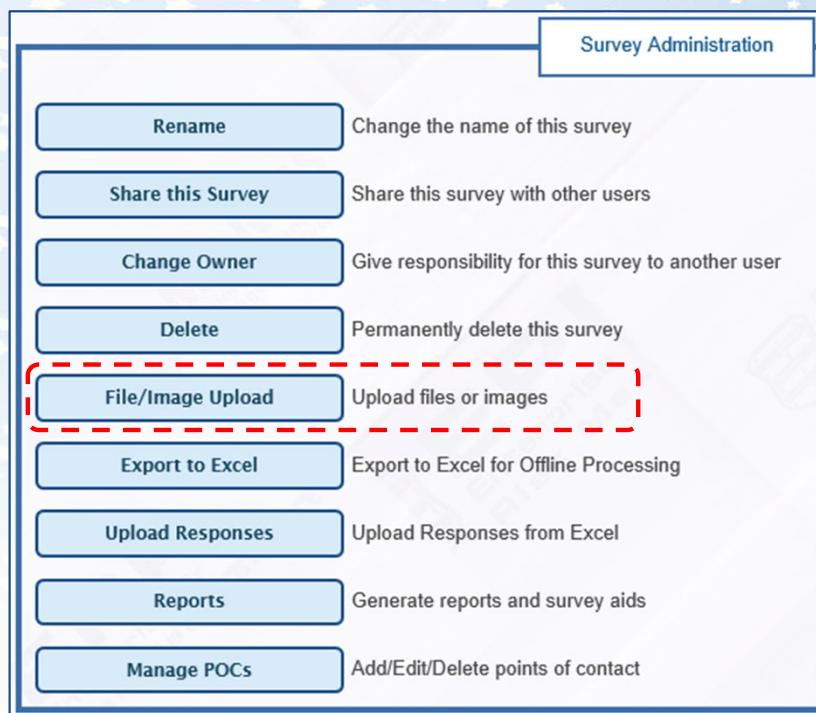
This is an affirmative confirmation that the assessment cannot be recovered; DO NOT delete if in doubt.

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Administration: File/Image Upload

File/Image Upload allows users to attach supporting documents and images to the survey. Click “File/Image Upload”, browse for the desired file and click “Upload”. Remove uploaded files, below, with the “Delete File” button.



Home > 3128_2020-02-12 - Columbus AFB > File Upload

File Upload
Select a file to upload for this survey and add a description.

Maximum upload file size: 10MB

Allowed file types: GIF - Graphics Interchange Format, JPEG - Joint Photographic Experts Group graphics file format, Graphics, PJPEG - Joint Photographic Experts Group graphics file format, CSV - Comma Separated Value, TXT - Text File, Microsoft Excel post 2003 format, PPT - Microsoft PowerPoint Presentation, OCX - Microsoft Word 2007 Office Open XML Format, DOC - Microsoft Word Document, RTF - Rich Text Format 1.9 Format, XML - eXtensible Markup Language, XLS - Microsoft Excel 2003 format, PPTX - Microsoft PowerPoint Document, XLSB - Microsoft Excel Binary Format.

Max file size is 10MB.

Browse

Description

Current Uploaded Files
Double-click a file to view or select a file and click "Delete File" to delete it.

Uploaded Files - To view a File double-click on a row or select a row and click on open button at the bottom of the grid.

File Name	File Type	File Description	Upload Date	Uploaded By

Delete File

Uploaded files will appear here.

Page 1 of 0

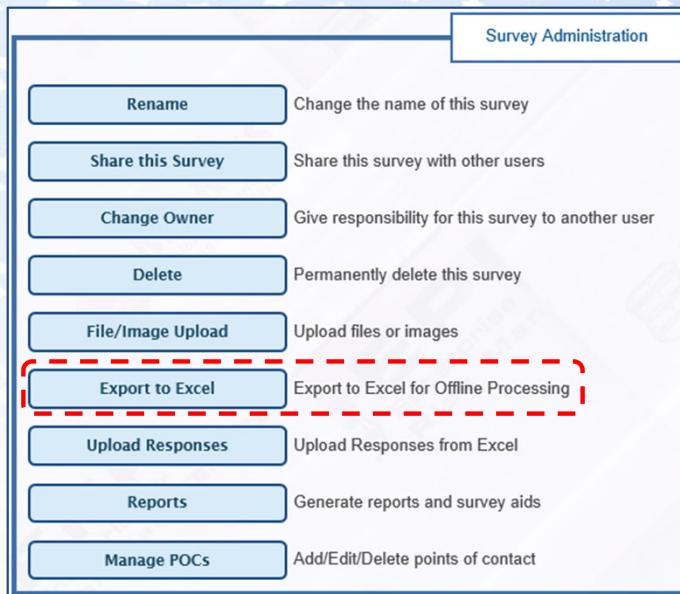
No records to view

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Administration: Export to Excel

The **Export to Excel** button can be used to open the survey in an Excel document to be completed offline. Each section of the Data Collection process are divided among nine separate tabs. Use the drop down to answer Yes/No questions, and leave comments in the open text cells as appropriate. Save the file for upload later. The upload of responses is explained on the next page.



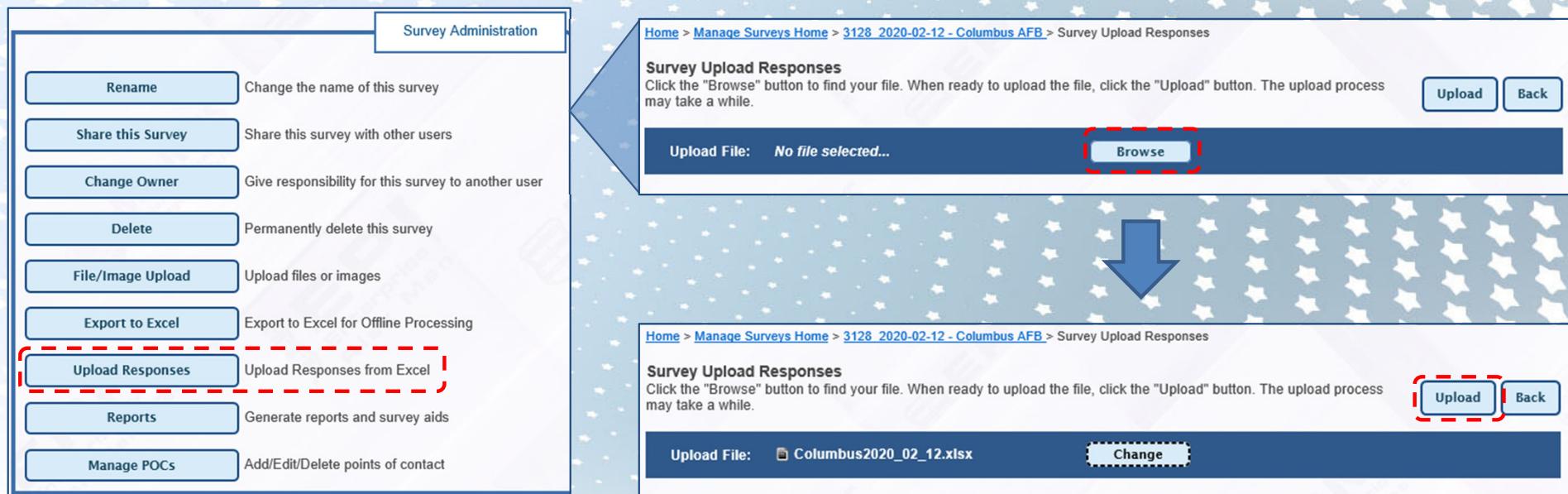
A	B
1 EPRM TEST SITE	
2 Question	
3 3.2.2 Authentication of Organization Identity, NSS, CSP (3.2.3.2), CPS (3.2.2.1); Aligns with NIST SP 800-53r4: PS-6	
12 Audit Steps associated with Requirement 3.2.2 – Documentation Review	
14 Are role-based certificates being used? If No, this audit item is N/A. - Does the RA maintain an approved application for each Role certificate (e.g., Role, Group)? - If Yes, verify/provide evidence here, and/or attach artifact(s) in the survey administration section, as necessary.	No
15 16 17 Requirement 3.2.2 Audit Result: Requirement 3.2.2.2 Auditor Findings/Recommendations:	Not Applicable
18 19 Requirement 3.2.2.1 Auditor Observations: 3.2.3.1 Authentication for Name Subscribers, RPS, CSP, CPS (3.2.3); Aligns with NIST SP 800-53r4: PS-6	
21 Audit Steps associated with Requirement 3.2.3.1 – Documentation Review Does the RA maintain properly completed DD forms 2842 for each Name Subscriber 22 that has been authenticated at this site? - If Yes, verify/provide evidence here, and/or attach artifact(s) in the survey administration section, as necessary.	Yes
23 24 Requirement 3.2.3.1 Audit Result: Requirement 3.2.3.1 Auditor Findings/Recommendations:	See attachment. Compliant with Recommendation Need new storage container to meet current policy standards.
25 26 Requirement 3.2.3.1 Auditor Observations: 3.2.3.2 Authentication for Role Subscribers, RPS, CSP, CPS (3.2.3); Aligns with NIST SP 800-53r4: PS-6	
28 Audit Steps associated with Requirement 3.2.3.2 – Documentation Review Are role-based certificates being used? Note: If role-based certificates are not used, this audit item is N/A. - Does the RA maintain documentation of the system or device certificate request from the PKI sponsor (signed e-mail or form) for each system or device certificate authenticated or approved at this site? - Does the RA maintain an approval form and a properly completed DD Form 2842 for	Yes
30	Yes

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Administration: Upload Responses

The **Upload Responses** button can be used to import survey answers completed offline in an Excel export. Click “Browse” to locate and select the saved file. The saved file name will populate the Upload File field. Click “Upload” to complete the transfer of data from the Excel document to the survey.



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Administration: Reports

The **Reports** button allows users to generate the Virtual Audit Checklist Report in Word format. An example of the self-assessment report appears on the following page.

Survey Administration

- Rename
- Share this Survey
- Change Owner
- Delete
- File/Image Upload
- Export to Excel
- Upload Responses
- Reports**
- Manage POCS

Click the hyperlink to open the report.

[Home > 3148_20200327-Keesler AFF](#) [U.S. DoD > Reports](#)

Survey Reports
EPRM can generate a variety of reports including documents, analysis spreadsheets, and presentations based on this survey.

Pick the report you want to create:

Survey Reports (Word)	Survey Reports (Spreadsheet)
Virtual Audit Checklist Report	

Back Continue

Hyperlink will be grayed out if the assessment is open for editing.

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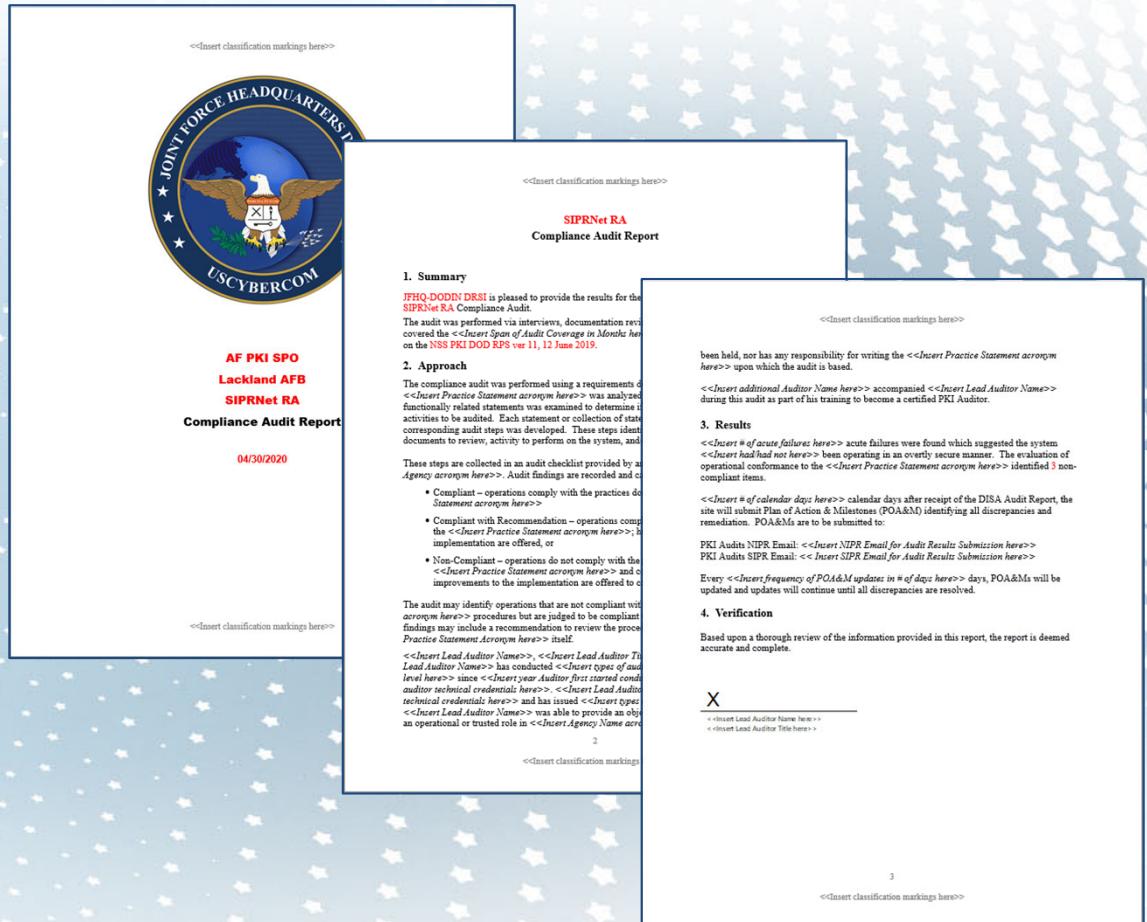
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Administration: Reports

The Virtual Audit Checklist Report cover page lists information such as the agency name, type of audit, audit location and date.

The body of the report contains:

- Summary— audit profile details (agency, audit agency, audit type, audit date, location, audit type, and practice statement version)
- Approach— description of audit methodology and definition of audit findings categories
- Results— audit findings and plan of action and milestones requirement
- Verification— Lead Auditor's assertion the audit is accurate and complete.



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Administration: Manage POCs

Manage POCs can be used to add contact information for any other interested parties, such as sources of pertinent information, to the survey file. Reminder: this function changes to “View POCs” once the survey is locked. Changes to POC information can only be made while the survey is open.

The image shows two screenshots of a software interface. On the left, the 'Survey Administration' page lists various options: Rename, Share this Survey, Change Owner, Delete, File/Image Upload, Export to Excel, Upload Responses, Reports, and Manage POCs. The 'Manage POCs' button is highlighted with a red dashed box. On the right, the 'Additional POCs' page shows a table with one entry: Inovera, Marge, Statistician, minovera@1.com, 703.575.1987. A large blue callout box points to the 'Add New Entry' button with the text: 'Select “Add New Entry” to enter additional POC data for this assessment.' Another blue callout box at the bottom points to the table with the text: 'Name of survey owner and any added POCs will display here.'

Survey Administration

- Rename
- Share this Survey
- Change Owner
- Delete
- File/Image Upload
- Export to Excel
- Upload Responses
- Reports
- Manage POCs**

Home > Manage Surveys Home > 3128 2020-02-12 - Columbus AFB > 1 - Data Collection > Additional POC

Please enter additional poi
To complete the form below, please enter the information for each point of contact. To add a new point of contact, click the Add New Entry button. To edit an existing point of contact, double-click on the line and then select the Edit Entry button. To delete a point of contact, click the Delete Entry button.

Select “Add New Entry” to enter additional POC data for this assessment.

Name	Title	Email	Phone	Cell	Organization Name	Address
Inovera, Marge	Statistician	minovera@1.com	703.575.1987			

Rows 1 - 1 of 1

Back to Survey

Name of survey owner and any added POCs will display here.

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Final Note: User Assistance

For additional user assistance, please utilize the following references and POCs:

- **Accessing system:** (SIPRNET) <https://eprm.csd.disa.smil.mil>
- **Help:** For assistance and for any questions, please email EPRMhelp@hii-tsd.com or call 1-800-754-4204. 0700-1700 Eastern time
- **Resources:** in addition to the SIPR hosted guides, User guides, videos & other materials are available on the EPRMHelp page and on EPRM in the resources section.
<http://eprmhelp.countermeasures.com>

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