EPRM
Enterprise Protection Risk Management

Getting Started & How to Complete a DOD PKI Survey

EPRM v3.64, March 2024

EPRM User Support: eprmhelp@hii-tsd.com
1.800.754.4204

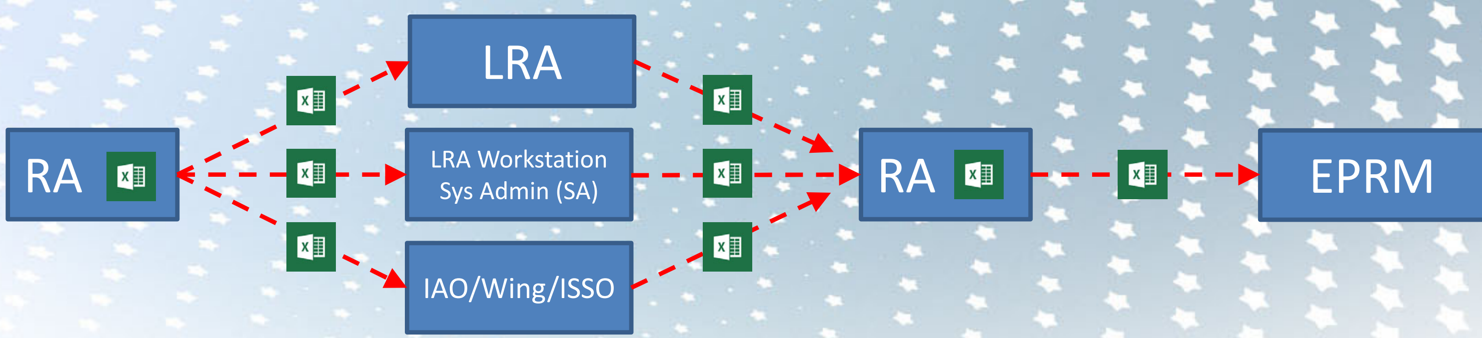
Introduction

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.

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.

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.

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.

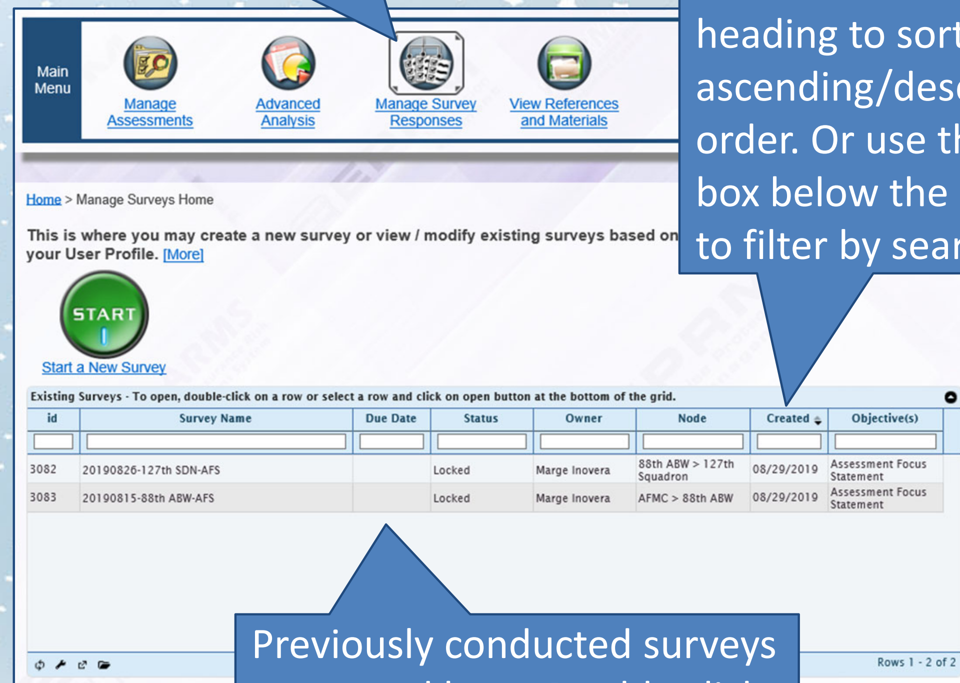
Manage Survey Responses Home Screen

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.

Current location indicated, here.

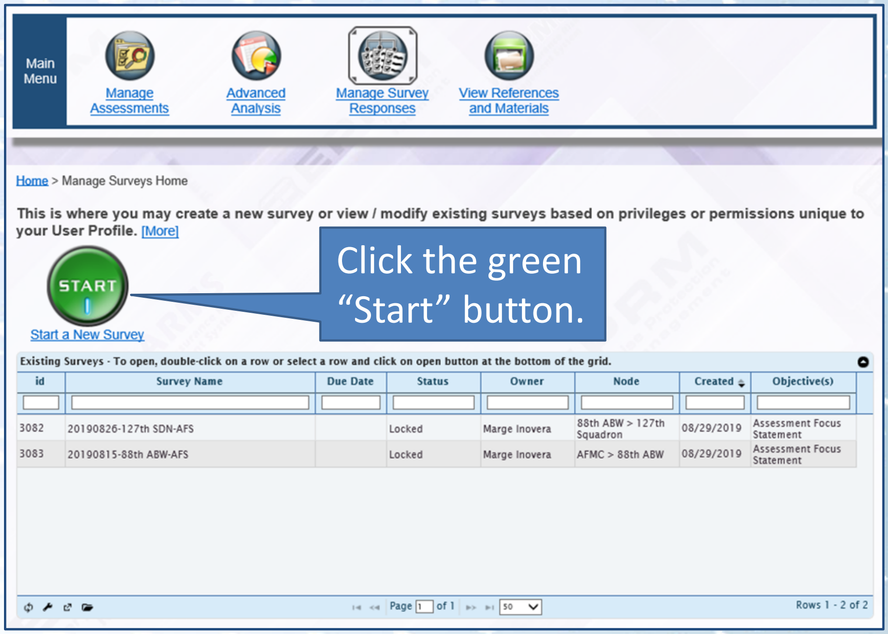


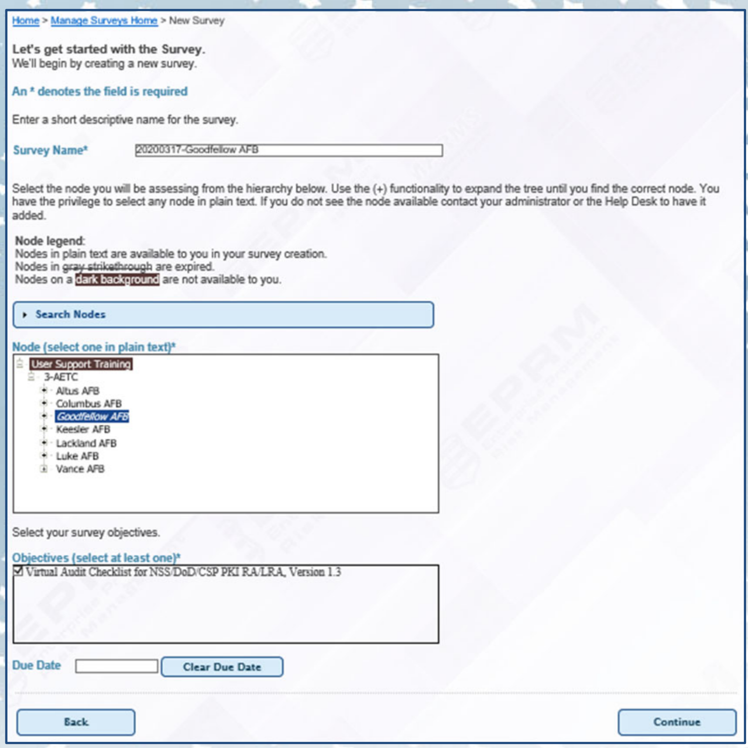
Click on a column heading to sort ascending/descending order. Or use the text box below the heading to filter by search term.

Previously conducted surveys are stored here. Double click a survey to access it.

Creating A New Survey

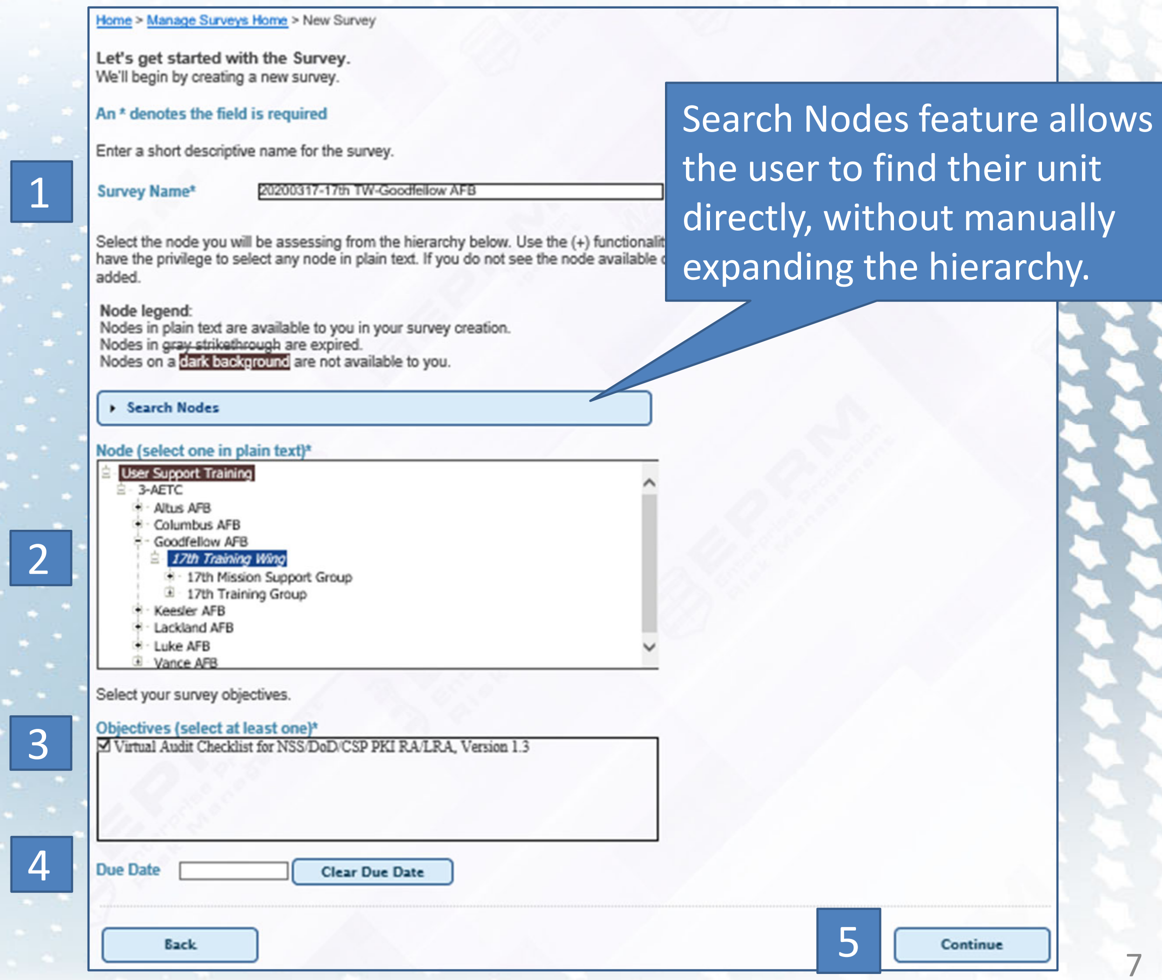
After clicking the "Start" button on the Manage Surveys home page, a new window will open; several data fields require input. Those fields denoted by an asterisk (*) must be completed. A more detailed look at the New Survey screen is on the following page.





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**".



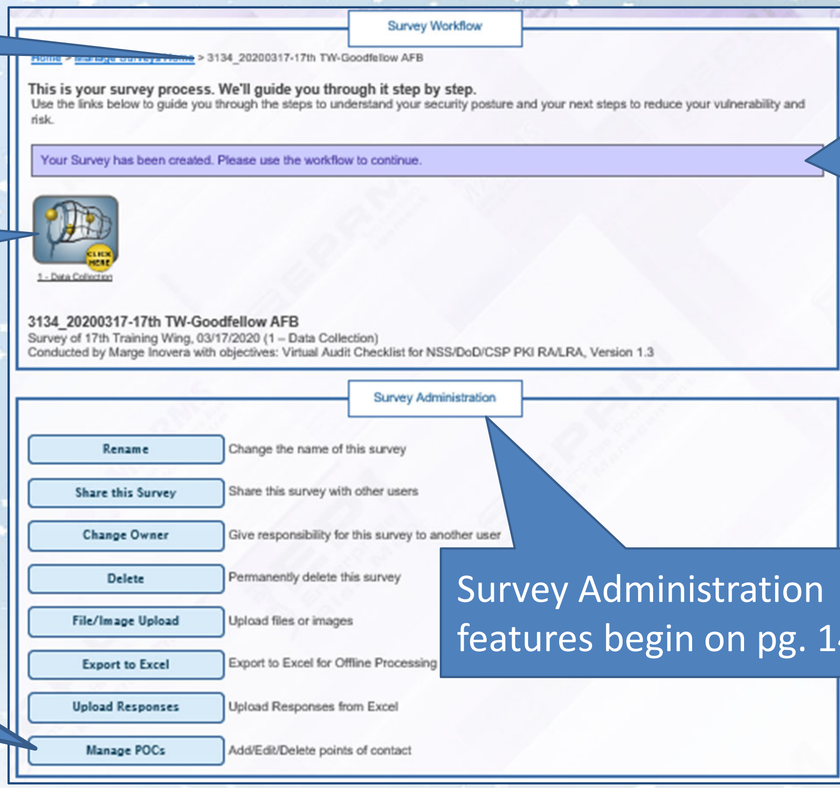
Creating a New Survey *(continued)*:

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.



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.

Survey Administration features begin on pg. 14.

The Survey Process:

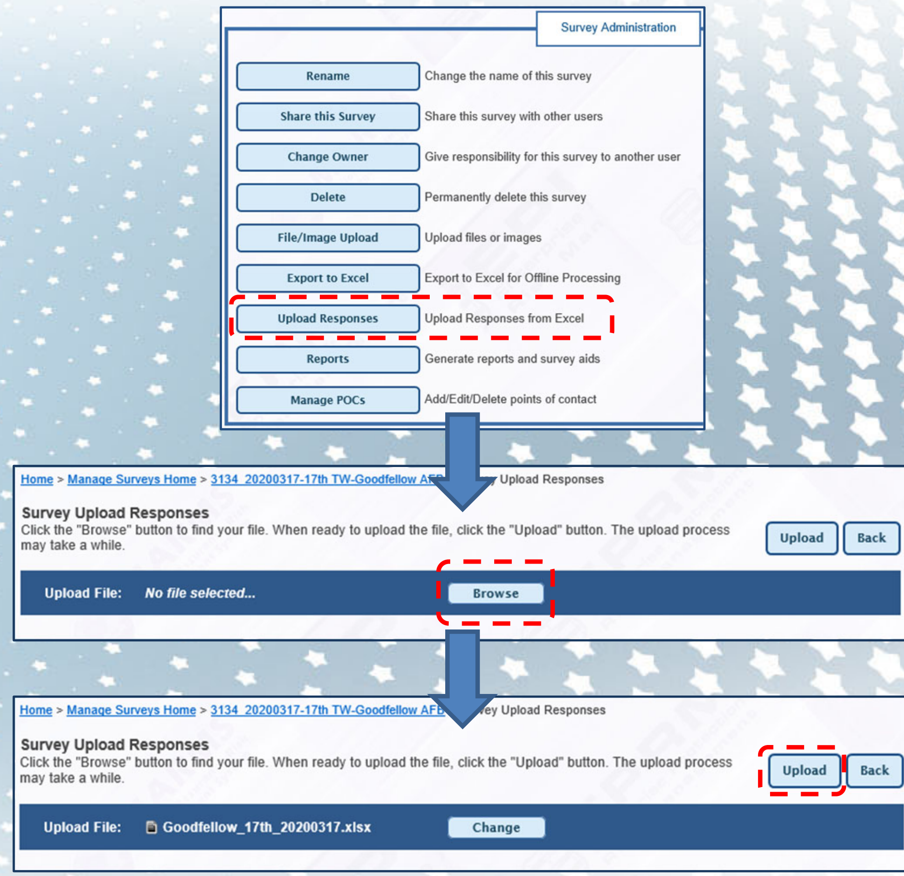
The Data Collection phase, within the EPRM tool, is divided into several areas of responsibility. The RA will coordinate with LRA, LRA Workstation System Administrators (SA), and IAO/Wing/ISSO personnel to complete the audit survey outside of the EPRM tool. To expedite completion, RAs should download 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.

Import Survey to EPRM:

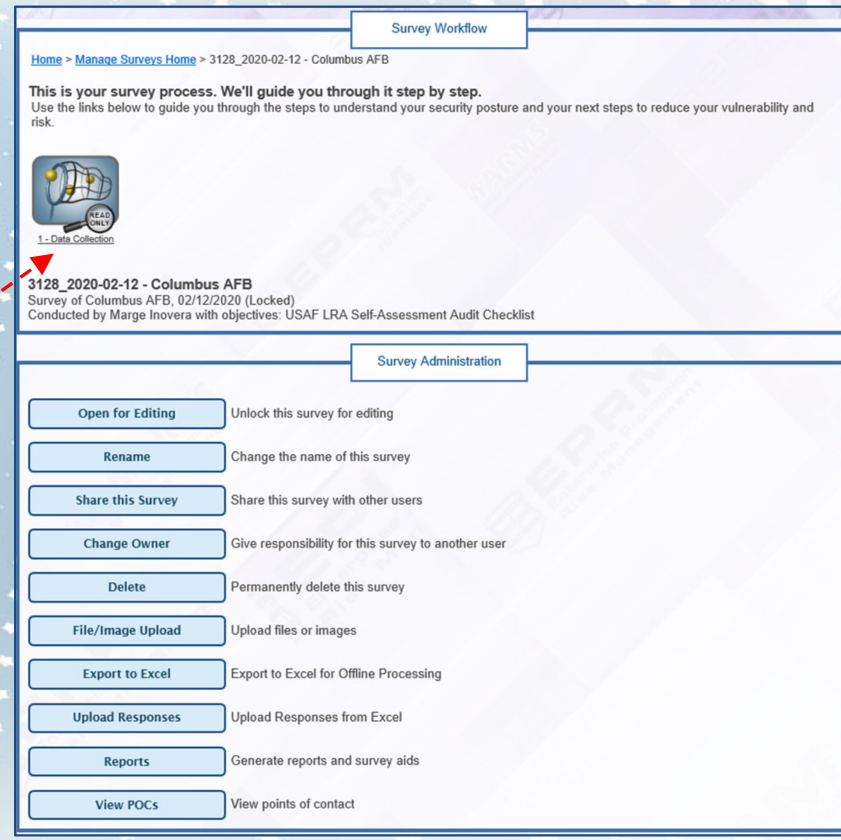
The final checklist of merged data will need to be DOTS'd to the SIPRNET by following the process below. (Alternatively, the RA can enter the audit survey into EPRM, manually.)

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".



Conducting the Survey (continued):

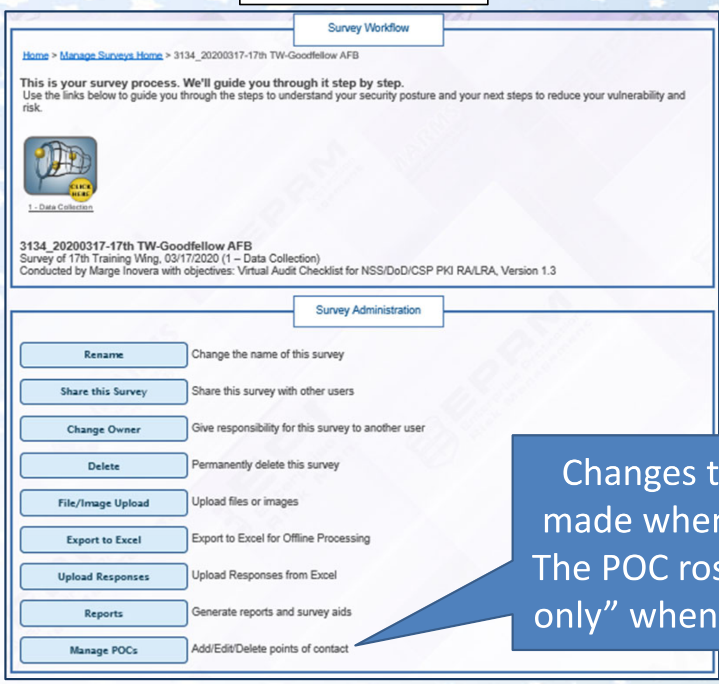
With the audit survey checklist successfully uploaded, the Survey Workflow icons will have green checkmark badges, and the audit survey is ready to be locked. Click the “Finish and Lock” icon to lock the audit survey and return to the Survey Workflow/Administration screen. Notice the Data Collection 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.



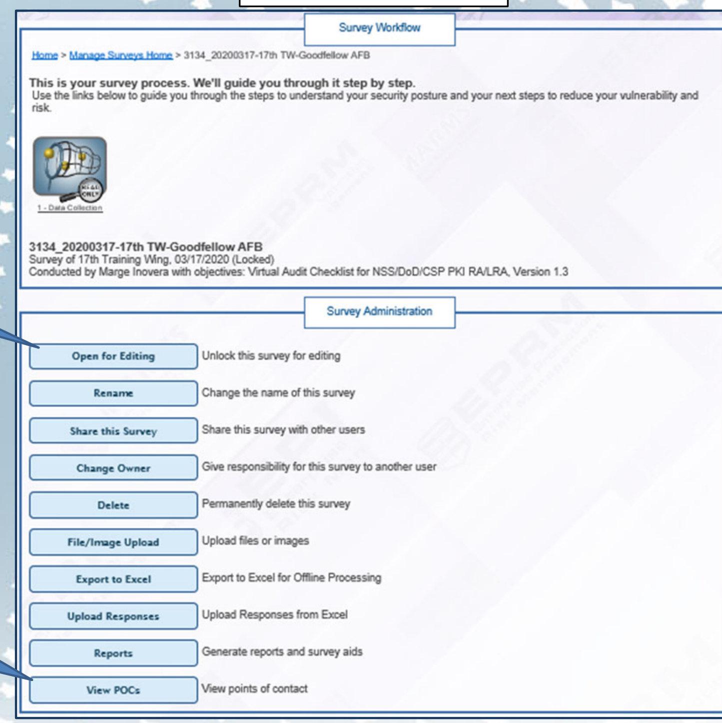
Administration Functions

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



Survey: Locked

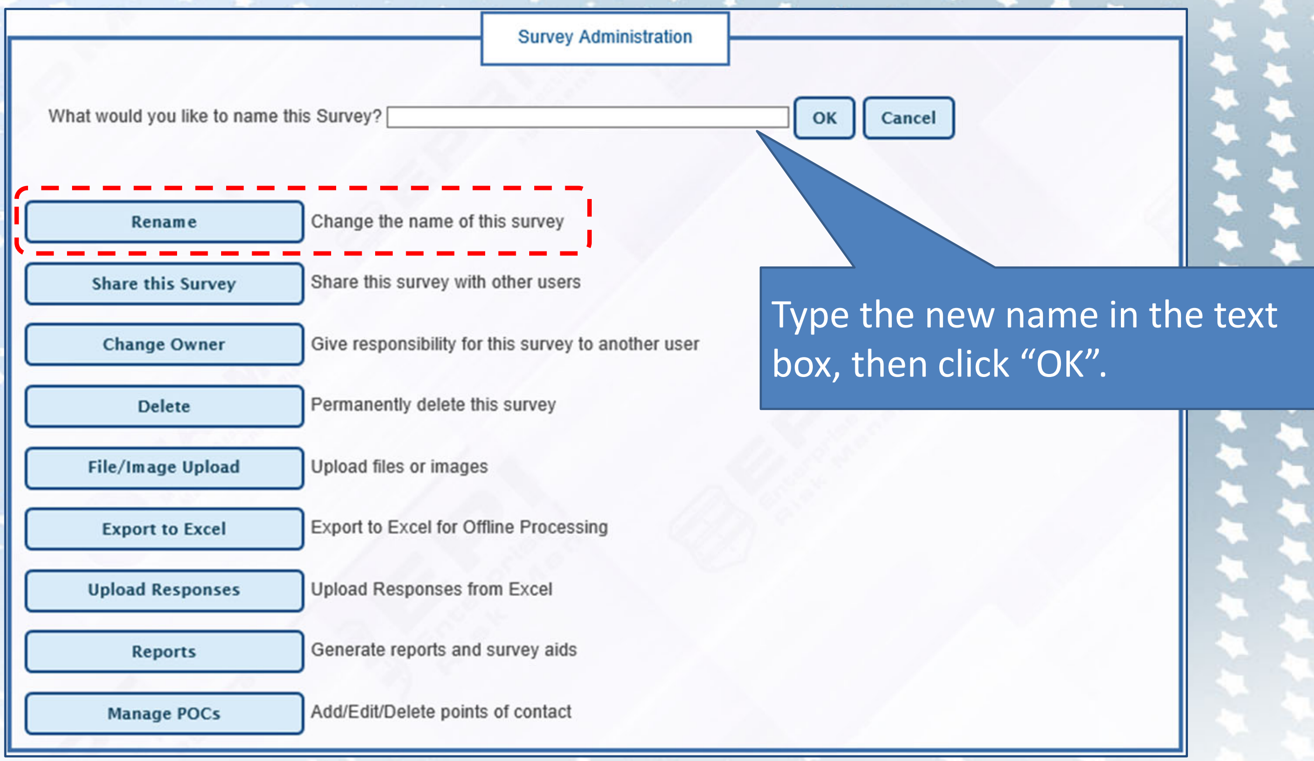


This button does not appear until the survey is locked.

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

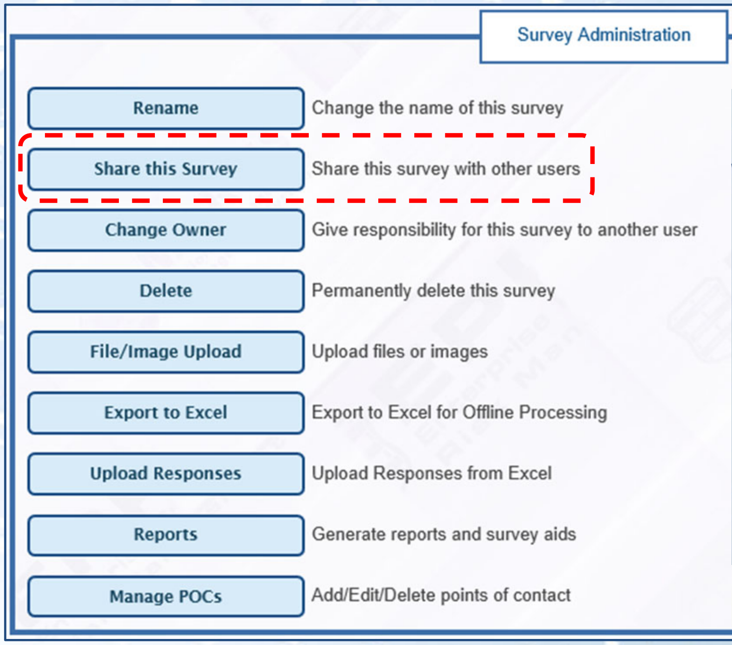
Administration: Rename

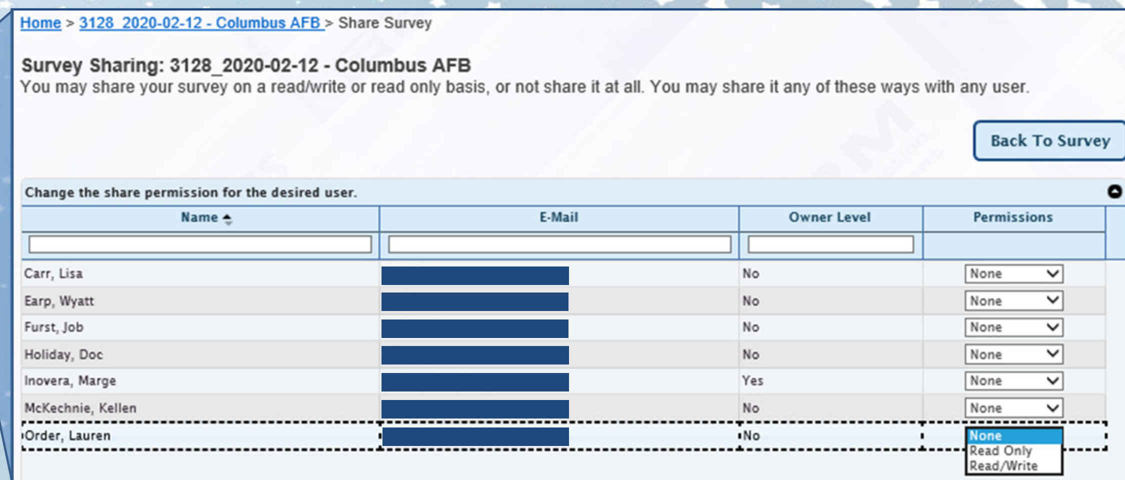
The **Rename** feature allows users to change the name of a survey. Click **Rename**, enter the new name in the box provided, then click **OK** to save the change.



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.



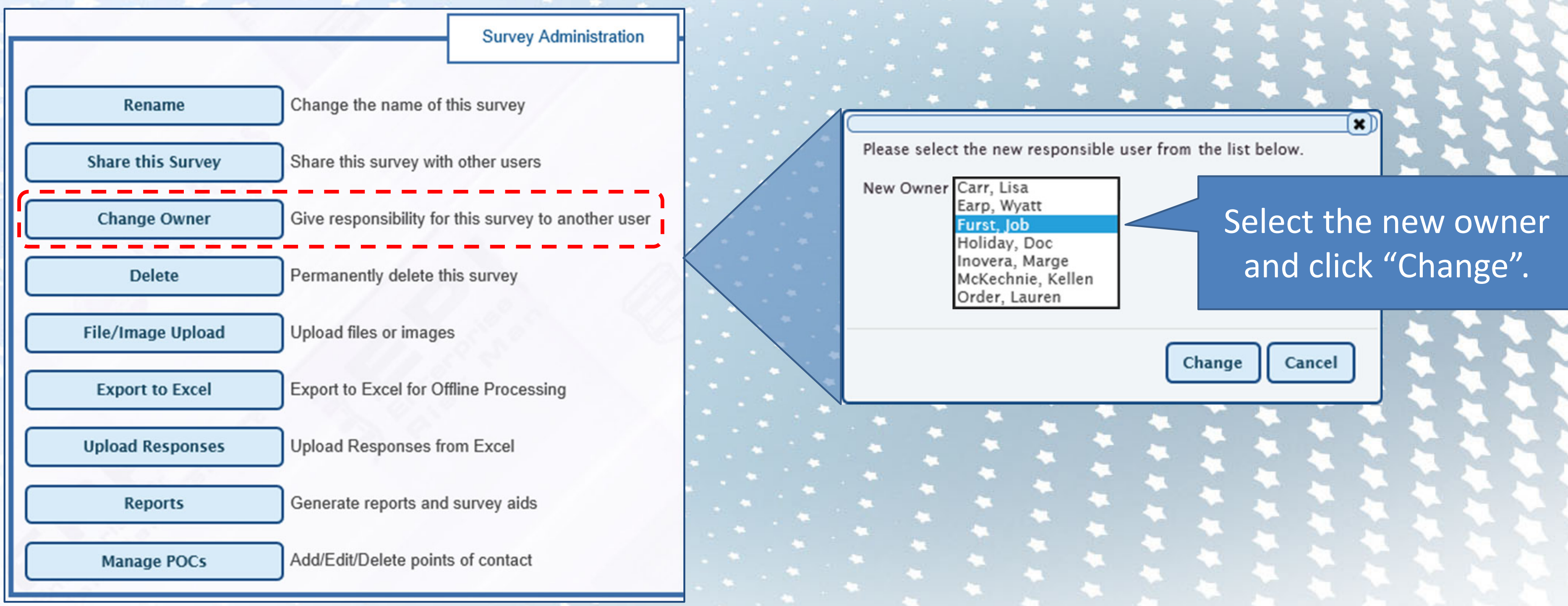


Read Only privileges allow another user to *view only*.

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

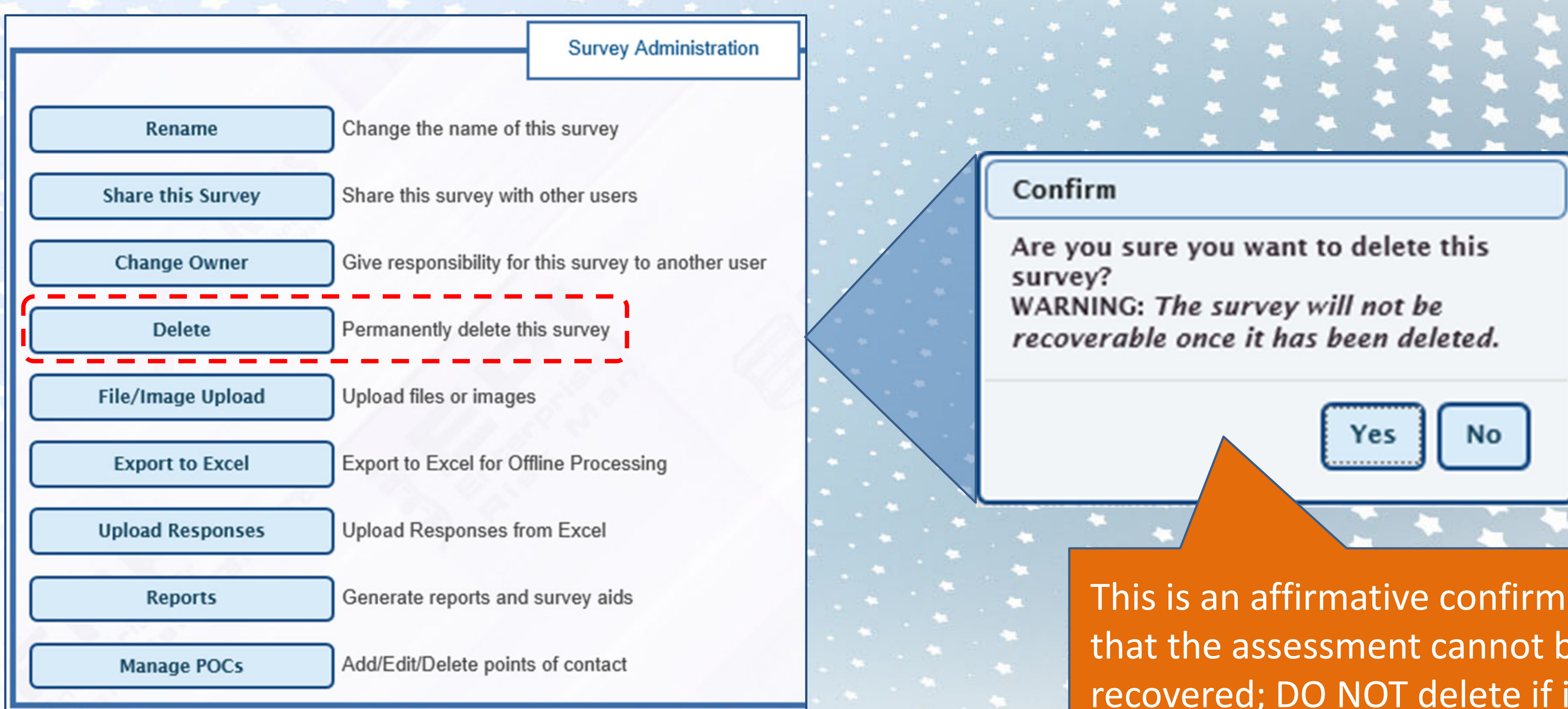
Administration: Change Owner

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.



Administration: Delete

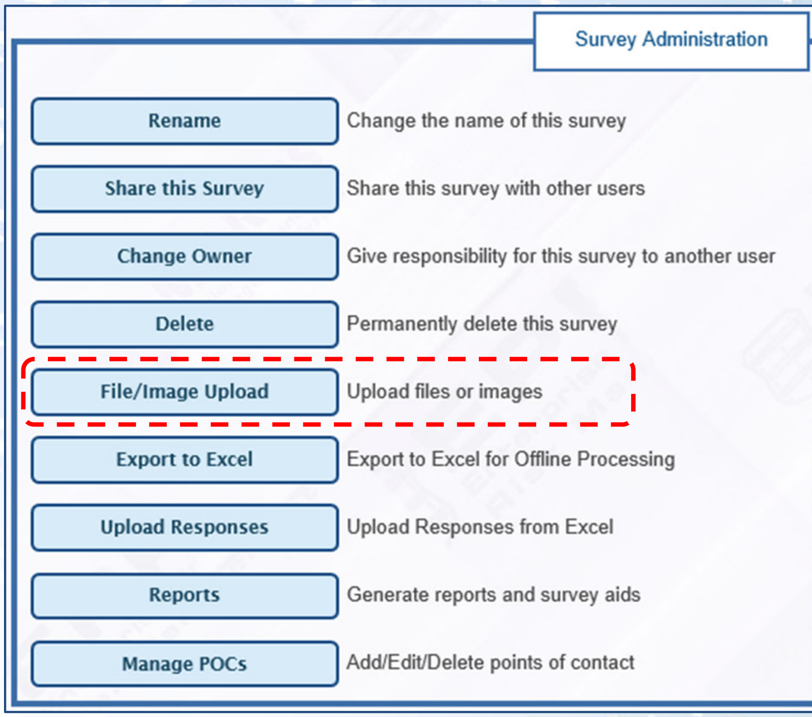
Delete causes permanent deletion of a survey. Once the survey has been deleted it will not be recoverable. Click “Delete”, a pop-up box will appear to confirm deletion of the survey. Clicking “Yes” deletes the survey and returns to the EPRM home page.

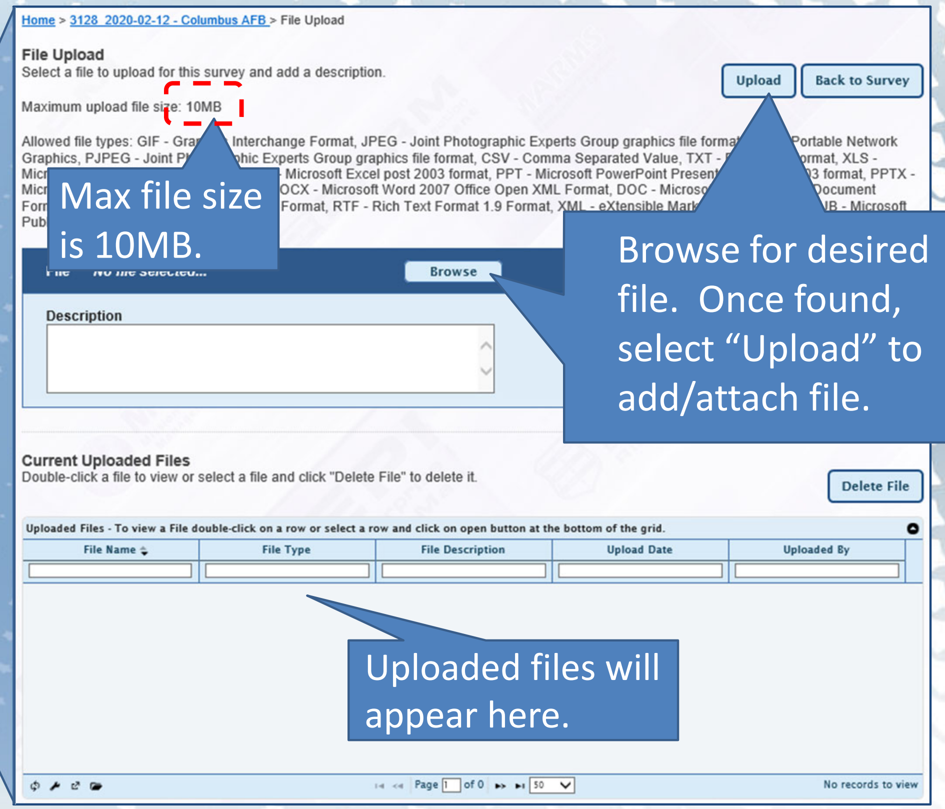


This is an affirmative confirmation that the assessment cannot be recovered; DO NOT delete if in doubt.

Administration: File/Image Upload

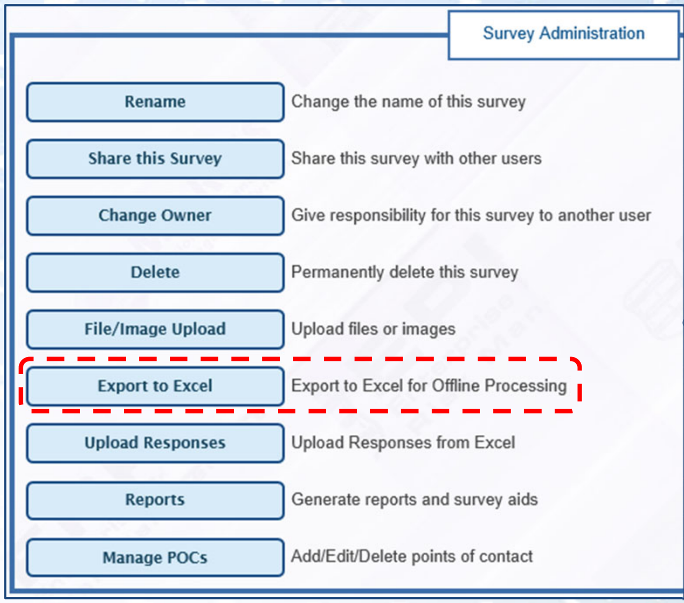
File/Image Upload allows users to attach supporting documents and images to the survey. Click "File/Image Upload", browse for the desired file and click "Upload". Remove uploaded files, below, with the "Delete File" button.

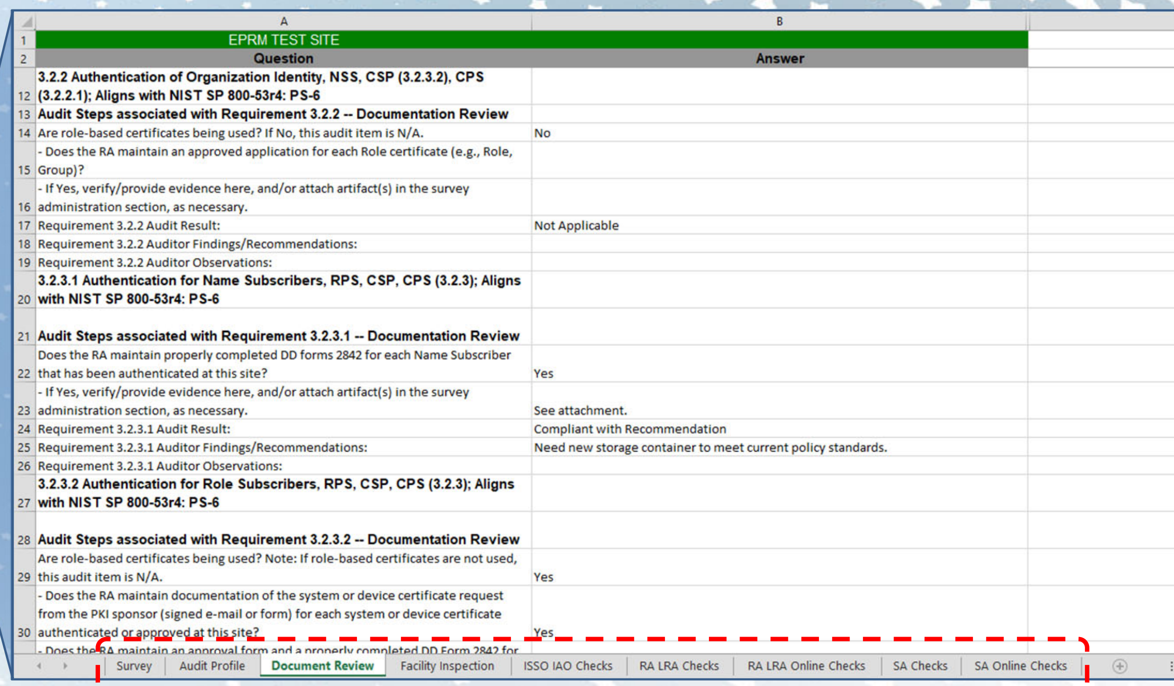




Administration: Export to Excel

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.

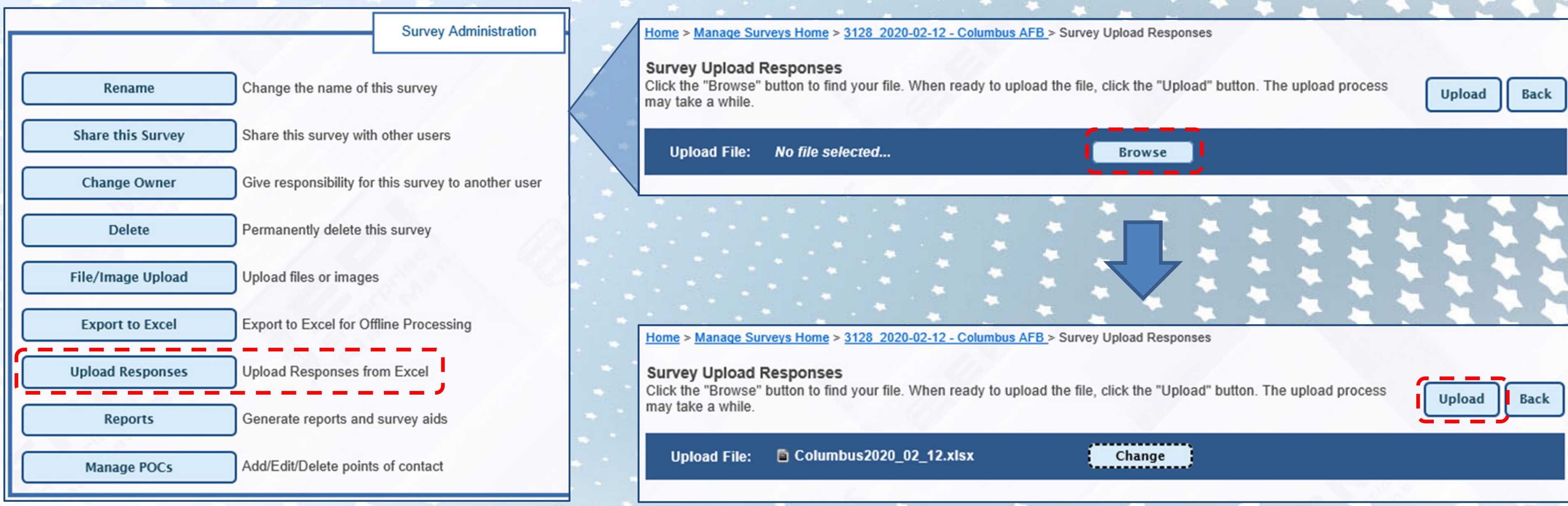




	A	B
1	EPRM TEST SITE	
2	Question	Answer
12	**3.2.2 Authentication of Organization Identity, NSS, CSP (3.2.3.2), CPS (3.2.2.1); Aligns with NIST SP 800-53r4: PS-6**	
13	**Audit Steps associated with Requirement 3.2.2 -- Documentation Review**	
14	Are role-based certificates being used? If No, this audit item is N/A.	No
15	- Does the RA maintain an approved application for each Role certificate (e.g., Role, Group)?	
16	- If Yes, verify/provide evidence here, and/or attach artifact(s) in the survey administration section, as necessary.	
17	Requirement 3.2.2 Audit Result:	Not Applicable
18	Requirement 3.2.2 Auditor Findings/Recommendations:	
19	Requirement 3.2.2 Auditor Observations:	
20	**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**	
22	Does the RA maintain properly completed DD forms 2842 for each Name Subscriber that has been authenticated at this site?	Yes
23	- If Yes, verify/provide evidence here, and/or attach artifact(s) in the survey administration section, as necessary.	See attachment.
24	Requirement 3.2.3.1 Audit Result:	Compliant with Recommendation
25	Requirement 3.2.3.1 Auditor Findings/Recommendations:	Need new storage container to meet current policy standards.
26	Requirement 3.2.3.1 Auditor Observations:	
27	**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**	
29	Are role-based certificates being used? Note: If role-based certificates are not used, this audit item is N/A.	Yes
30	- 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?	Yes

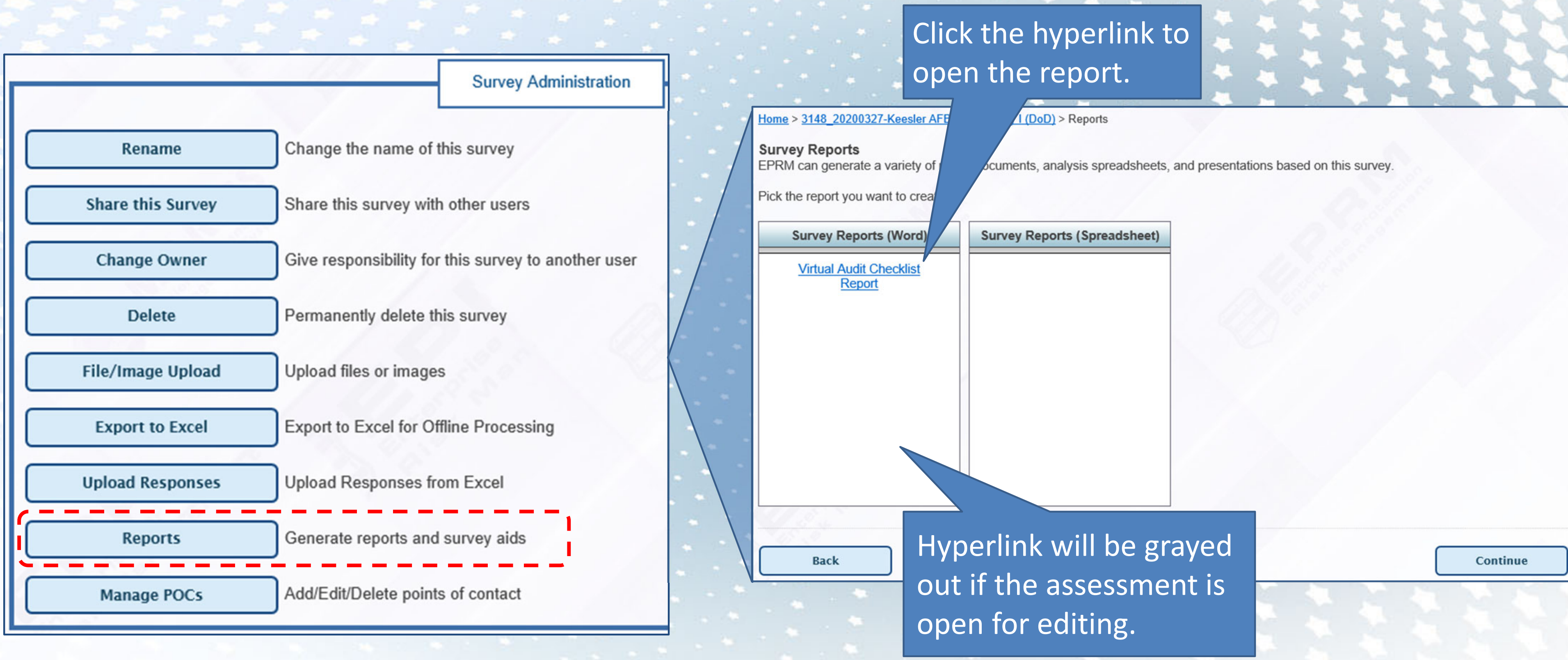
Administration: Upload Responses

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.



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.

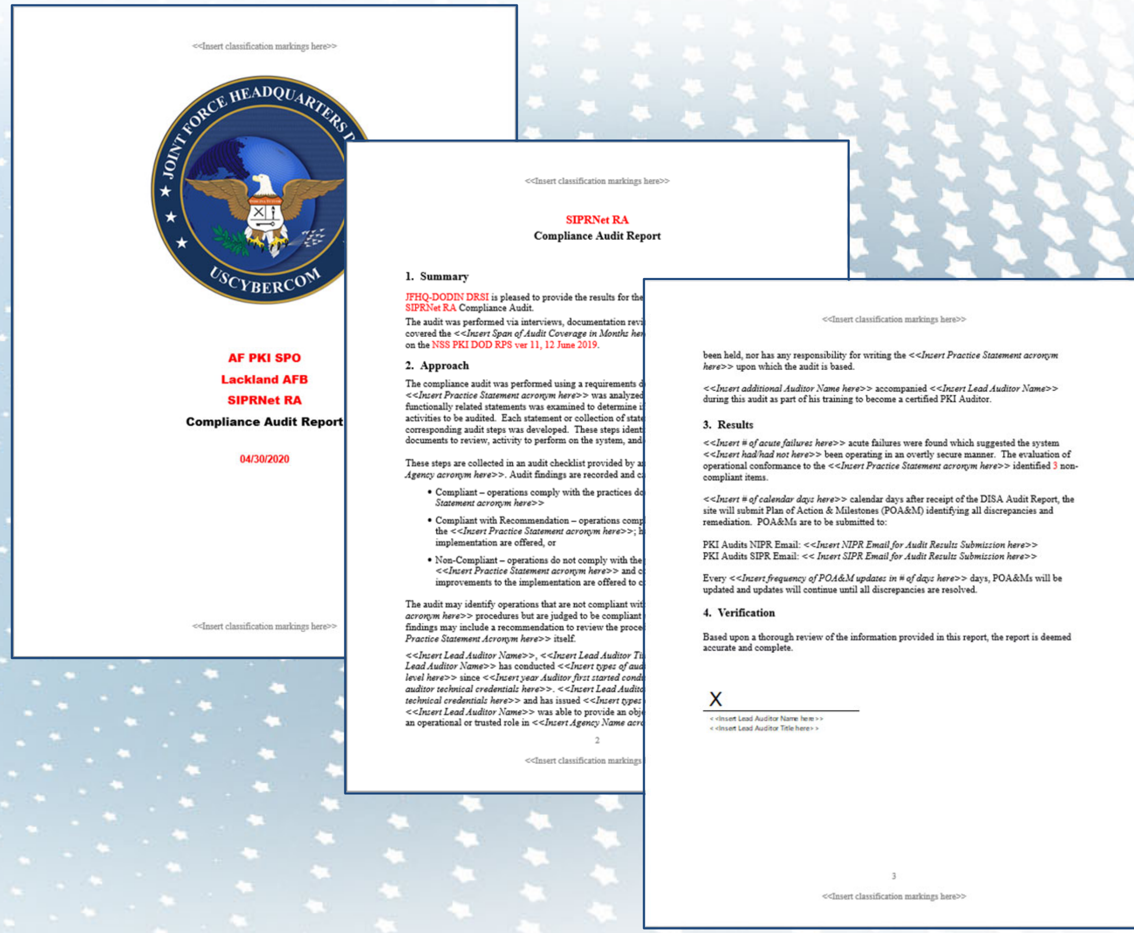


Administration: Reports

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

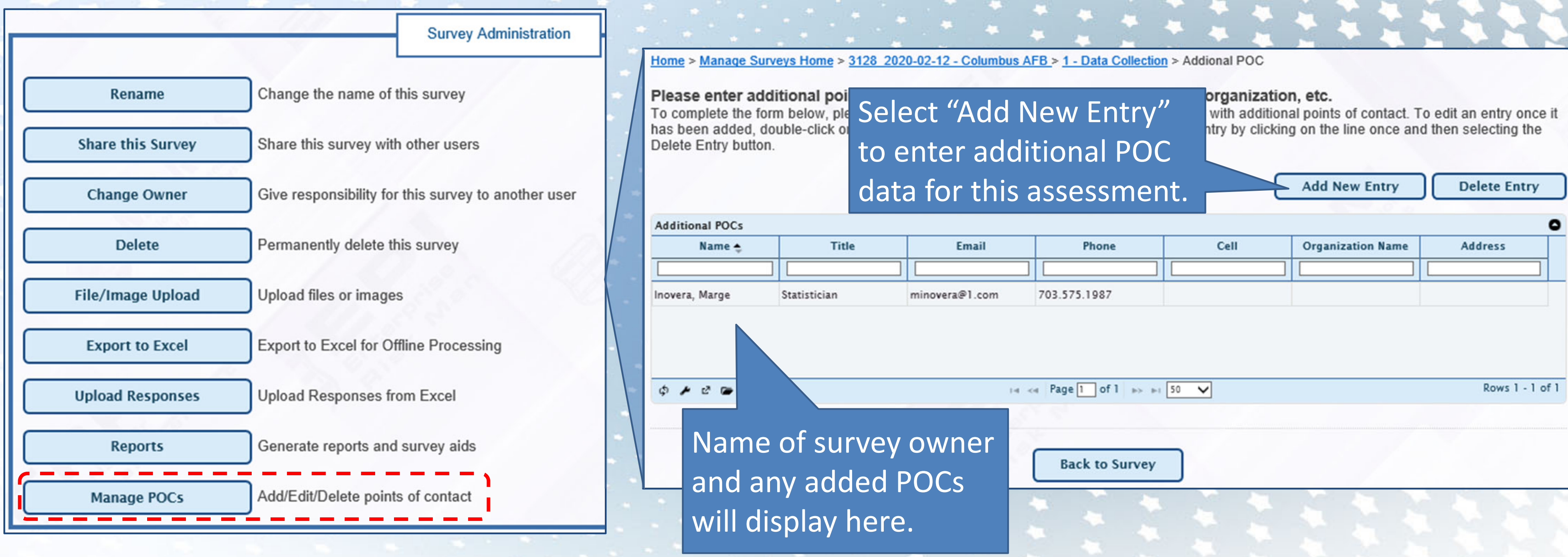
The body of the report contains:

- 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.



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.



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