EPRM
Enterprise Protection
Risk Management

Getting Started & How to Complete a USAF PKI Survey

EPRM v3.40, February 2021

EPRM User Support: eprmhelp@alionscience.com
1.800.754.4204

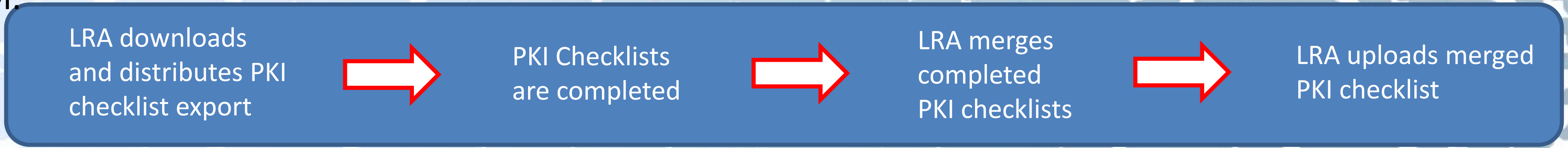
Introduction

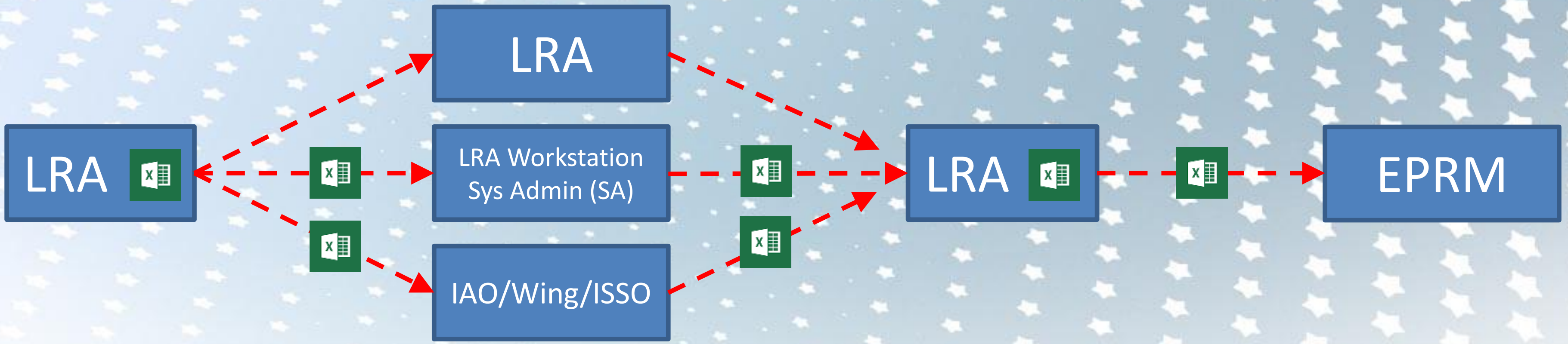
The survey function is a core capability of the EPRM tool. It uses a process model to walk an auditor through the steps of completing a survey. The following pages will present the process in a way that will guide a user through completing an AF PKI survey. Administrative functions are also explained 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 Local Registration Authority (LRA) distributes the PKI checklist export (.xlsx)* to the LRA Workstation System Administrator (SA), and IAO/Wing/ISSO to complete their respective checklists. Each element returns their checklist portions to the LRA 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 Survey users, the "Manage Survey Responses" button will be their primary workspace.

This header indicates the account.

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

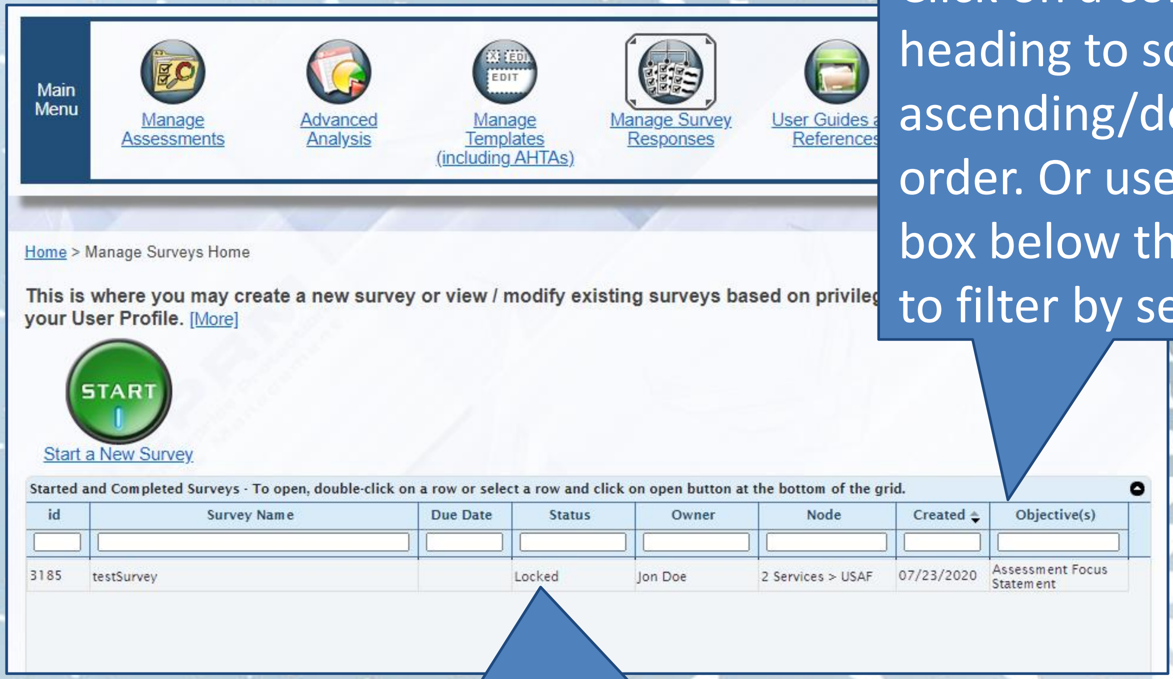
Navigation buttons allow users to jump to specific functions. (e.g. Home, User Profile, Change Password, Log Out.). Number of buttons may vary based on user permissions.

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 assessment by clicking the green “Start” button or double-click a row in the grid to continue work on an existing survey.

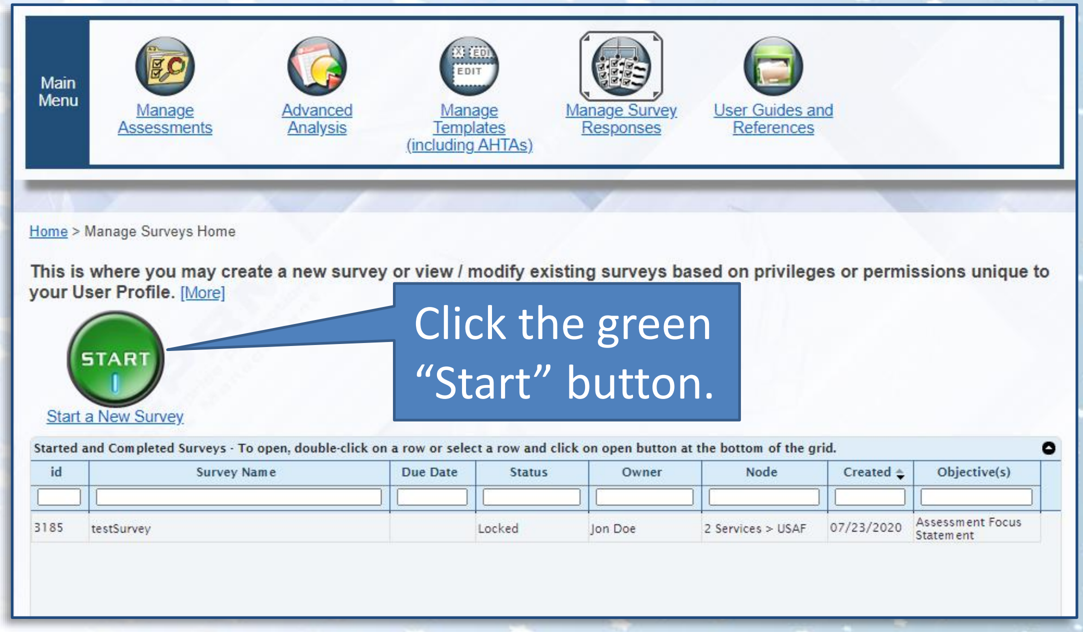


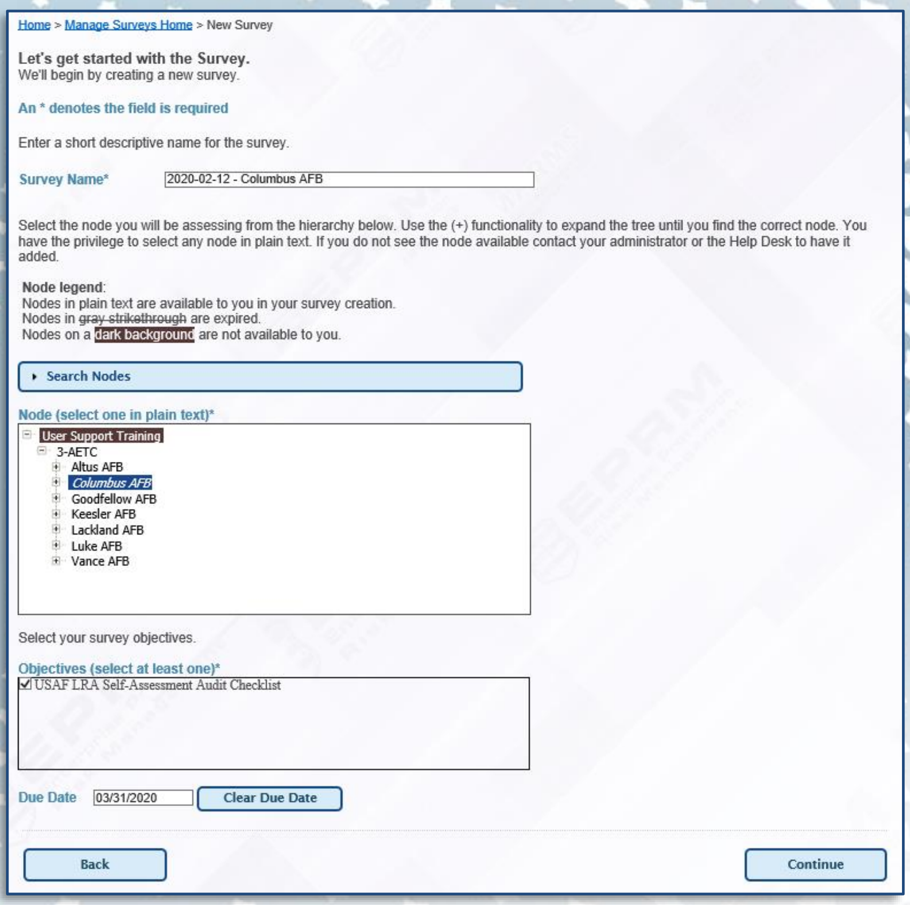
Click on a column heading to sort ascending/descending order. Or use the text box below the heading to filter by search term.

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

Creating A New Survey

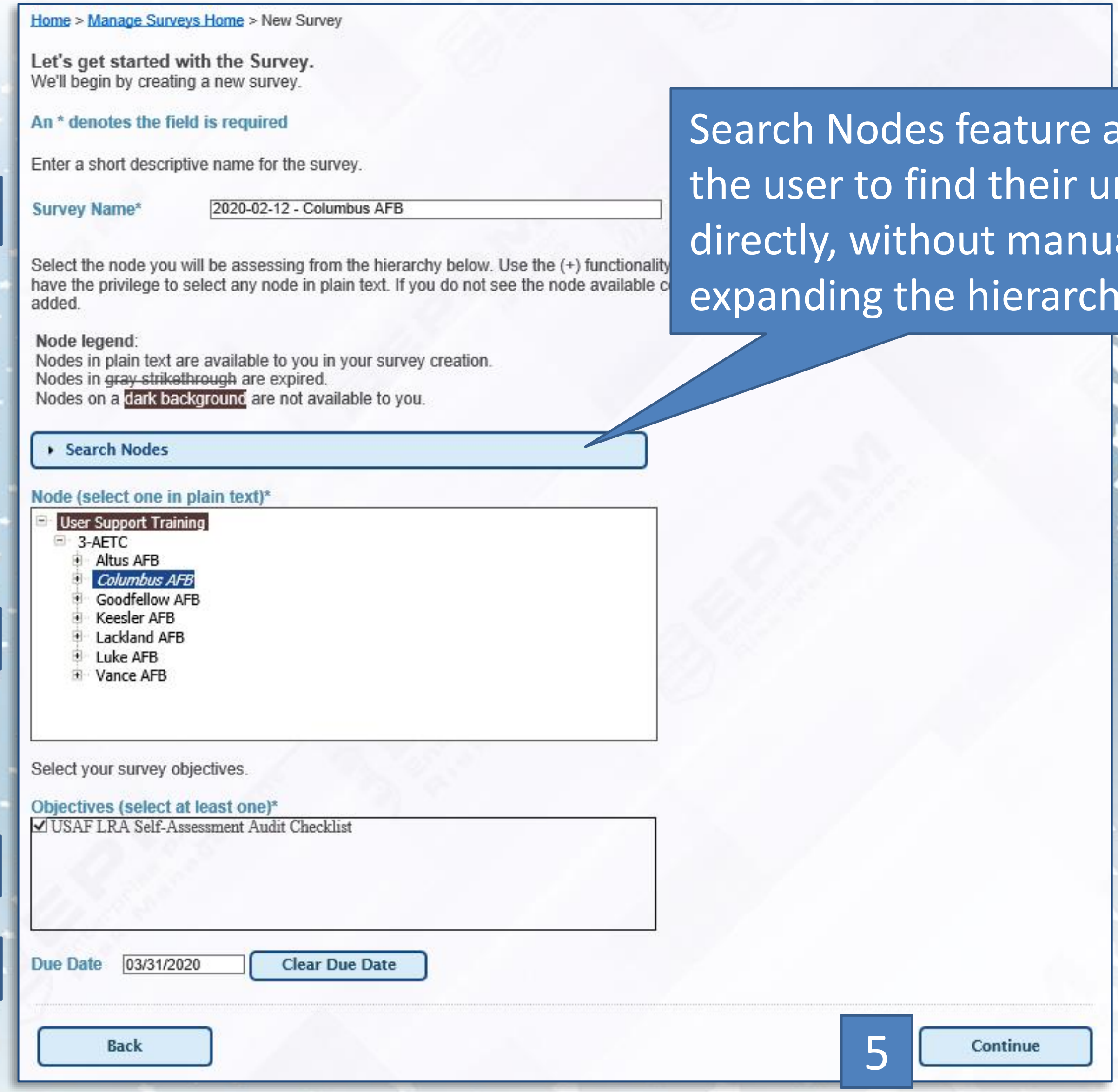
After clicking the “Start” button on the Manage Surveys home page, a new window will open; several data fields require input. Those fields denoted by an asterisk (*) must be completed. A more detailed look at the New Survey screen is on the following page.





Creating a New Survey *(continued)*:

1. Name your survey. It is recommended to include a date (YYYY-MM-DD) and location in the name for file management purposes.
2. Select the node where the survey will be conducted, typically the installation (as shown). 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., USAF LRA Self-Assessment Audit Checklist.
4. Click on Due Date field to bring up a calendar and select a due date, if desired.
5. Click "**Continue**".



Search Nodes feature allows the user to find their unit directly, without manually expanding the hierarchy.

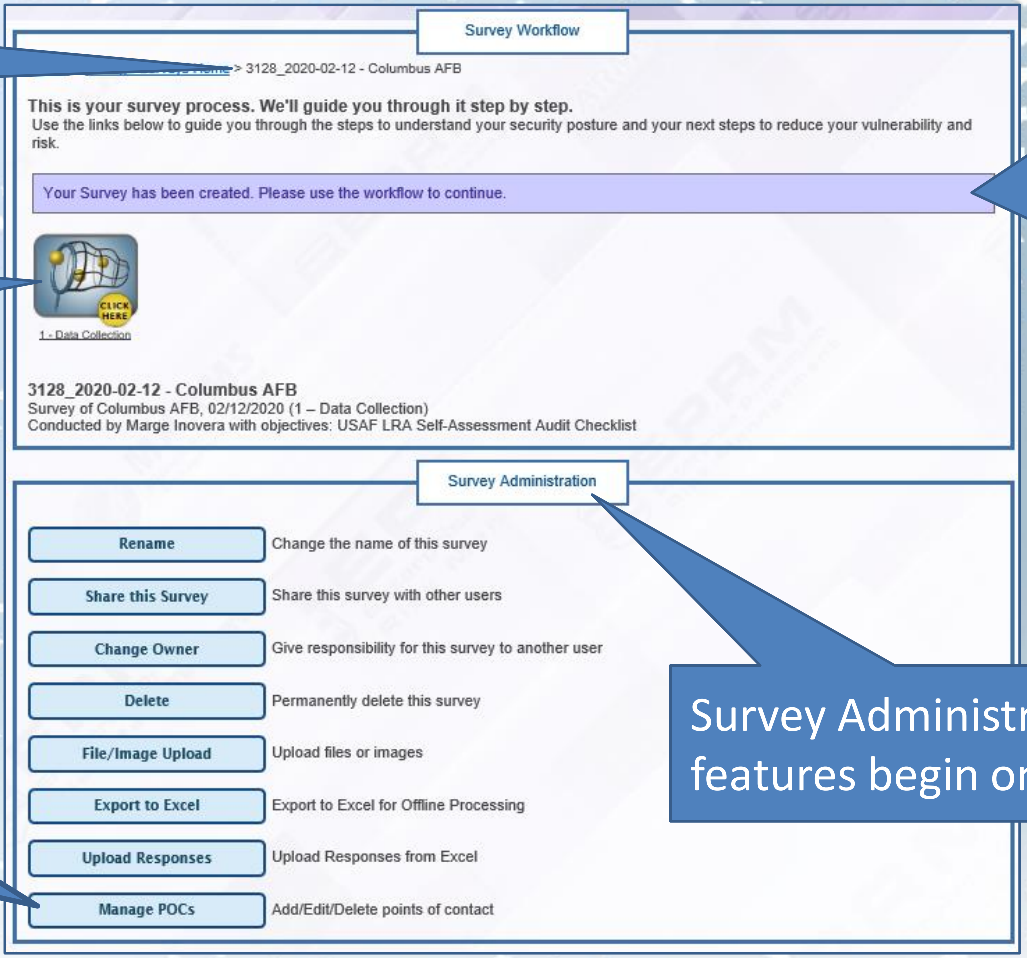
Creating a New Survey *(continued)*:

The 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 SA and ISSO in the POCs as a best practice in keeping current and accurate records.

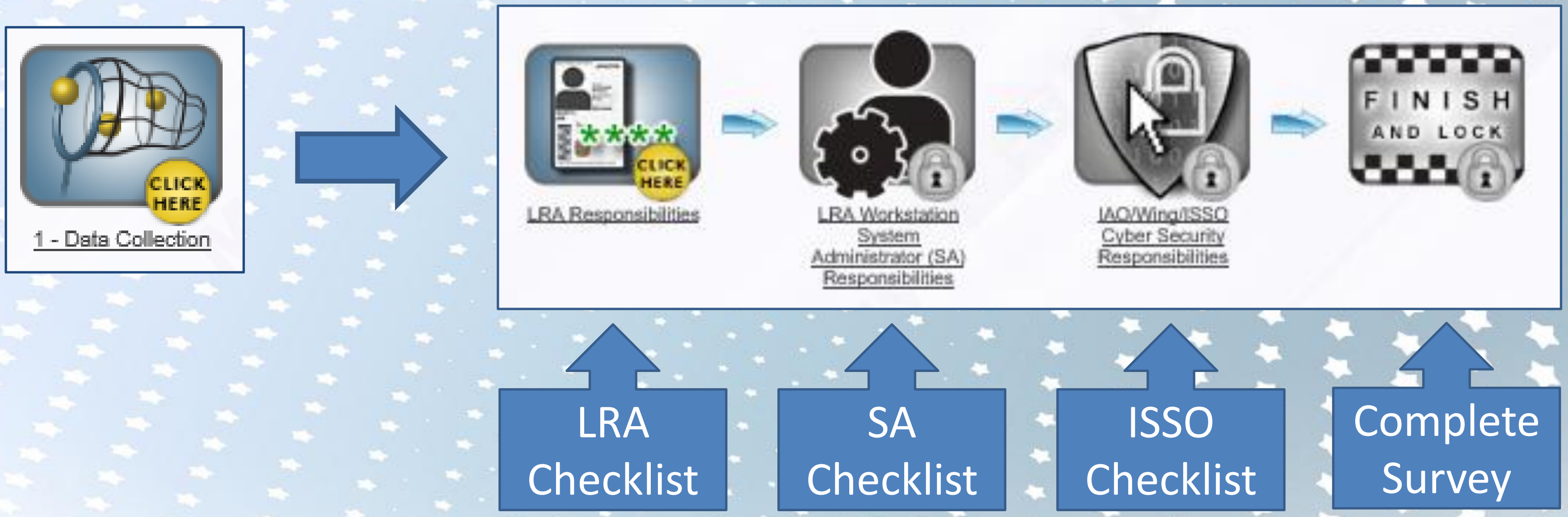


This banner confirms the assessment was created. Note: the LRA can create the audit survey in EPRM independent from the PKI survey checklist being completed.

Survey Administration features begin on pg. 13.

The Survey Process:

The process for conducting a survey within the EPRM tool is illustrated in the model below. The Data Collection phase is divided into three separate areas of responsibility. The LRA will coordinate with LRA Workstation System Administrators (SA) and IAO/Wing/ISSO personnel to complete the survey outside of the EPRM tool. To expedite completion, LRAs should download the survey checklist in an Excel format and distribute to the SA and ISSO to answer their respective checklists.

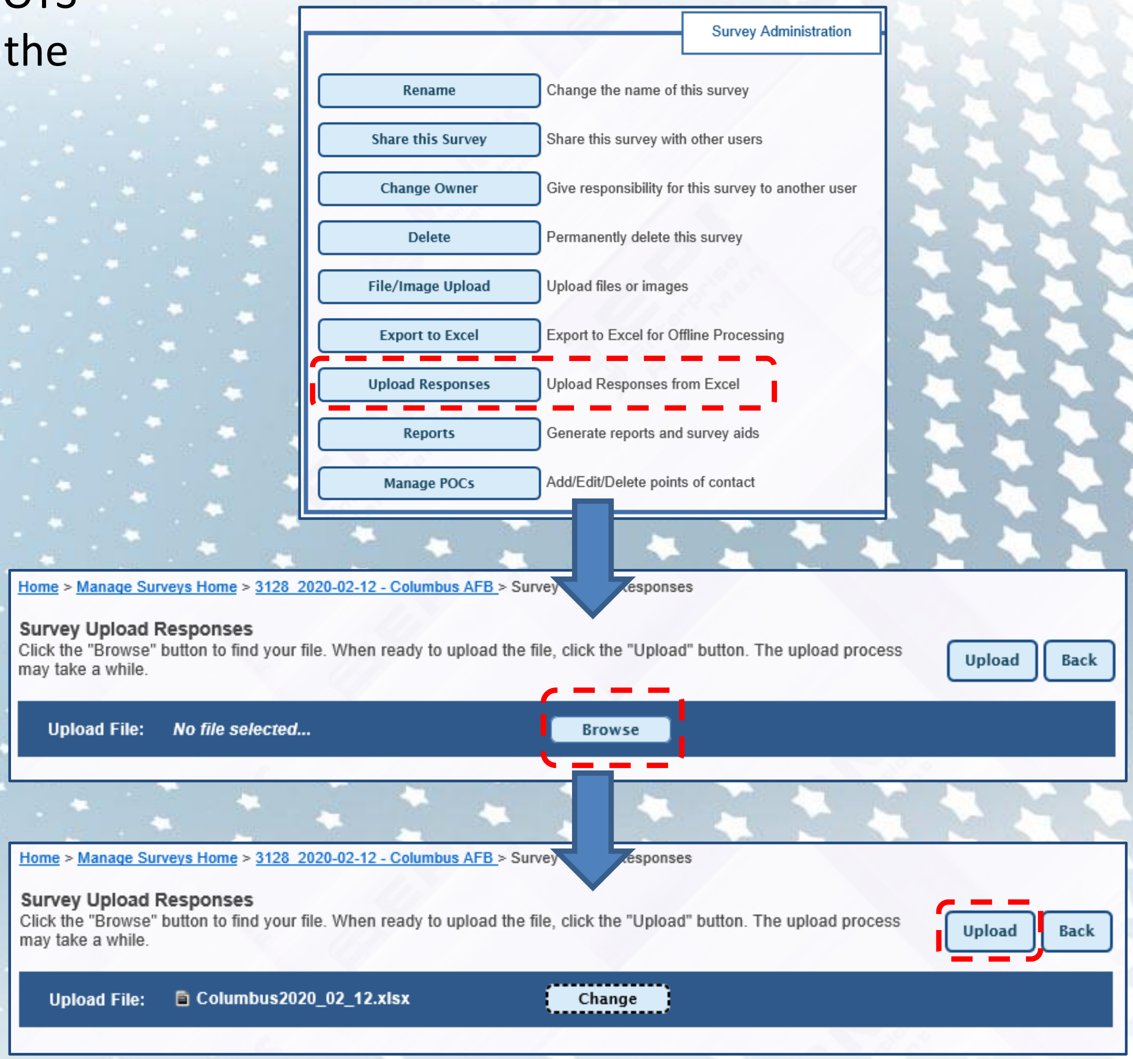


This view shows a circular badge at the lower right of each phase, indicating status of that step—each subsequent step is locked until the previous step is completed. A completed step will be indicated by a check mark (this can be seen on page 12).

Import Survey to EPRM:

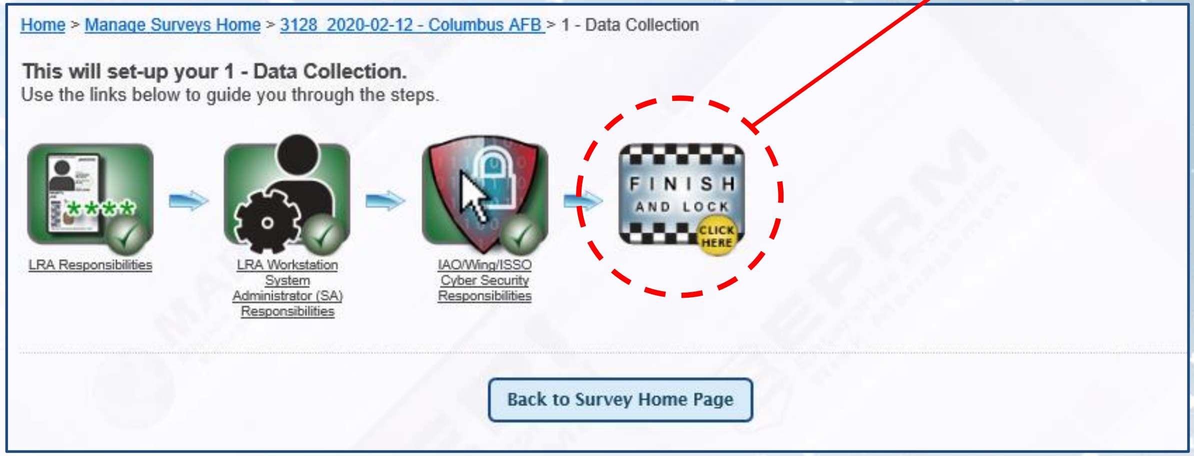
The final checklist of merged data will need to be sent to DOTS via SIPRNET by following the process below. (Alternatively, the RA can enter the audit survey into EPRM, manually.)

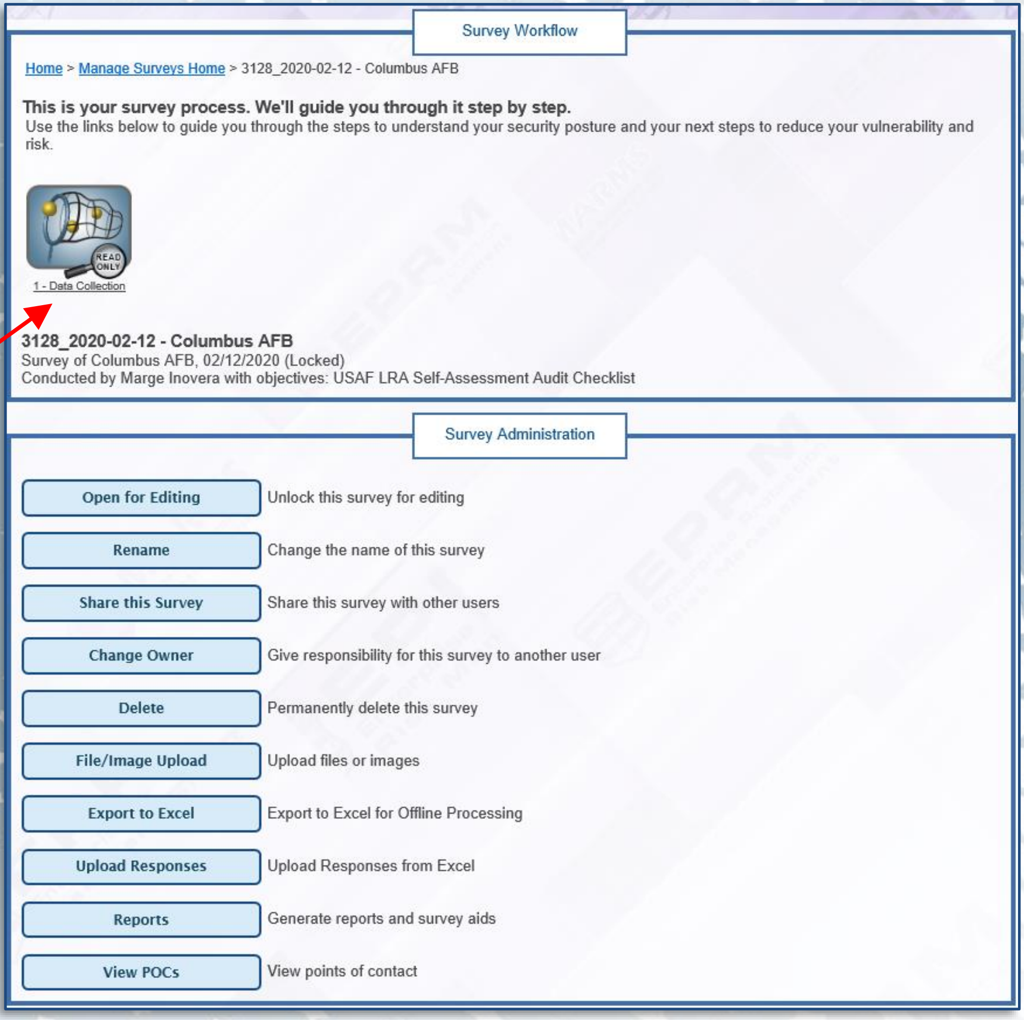
1. Send the completed survey (.xlsx) document from your NIPRNET computer to your SIPRNET email account using the DOTS site. DOTS is a web transfer portal that allows you to send files from a NIPRNET computer to your SIPRNET email account - https://dots.dodiis.mil/
2. DOWNLOAD the file from your SIPRNET 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 5).
5. From the Survey Administration functions, click the “Upload Responses” button.
6. BROWSE your computer for the completed survey (.xlsx) document, click “Upload”.



Conducting the Survey (continued):

With the survey checklists successfully uploaded, the Survey Workflow icons will have green checkmark badges, and the survey is ready to be locked. Click the “Finish and Lock” icon to lock the 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.

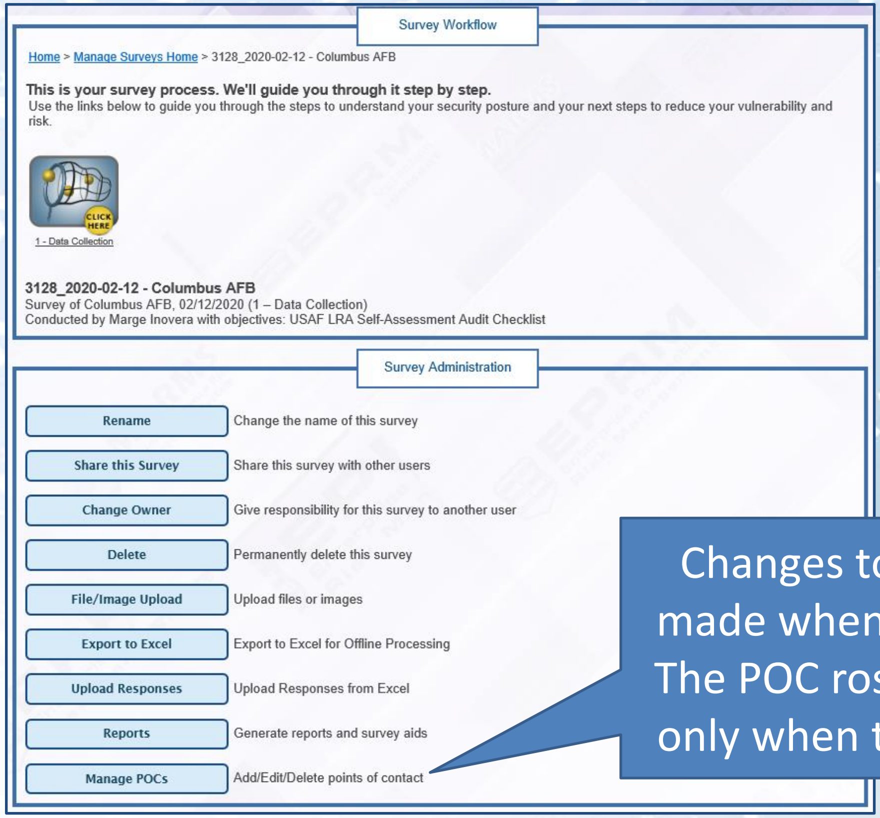




Administration Functions

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



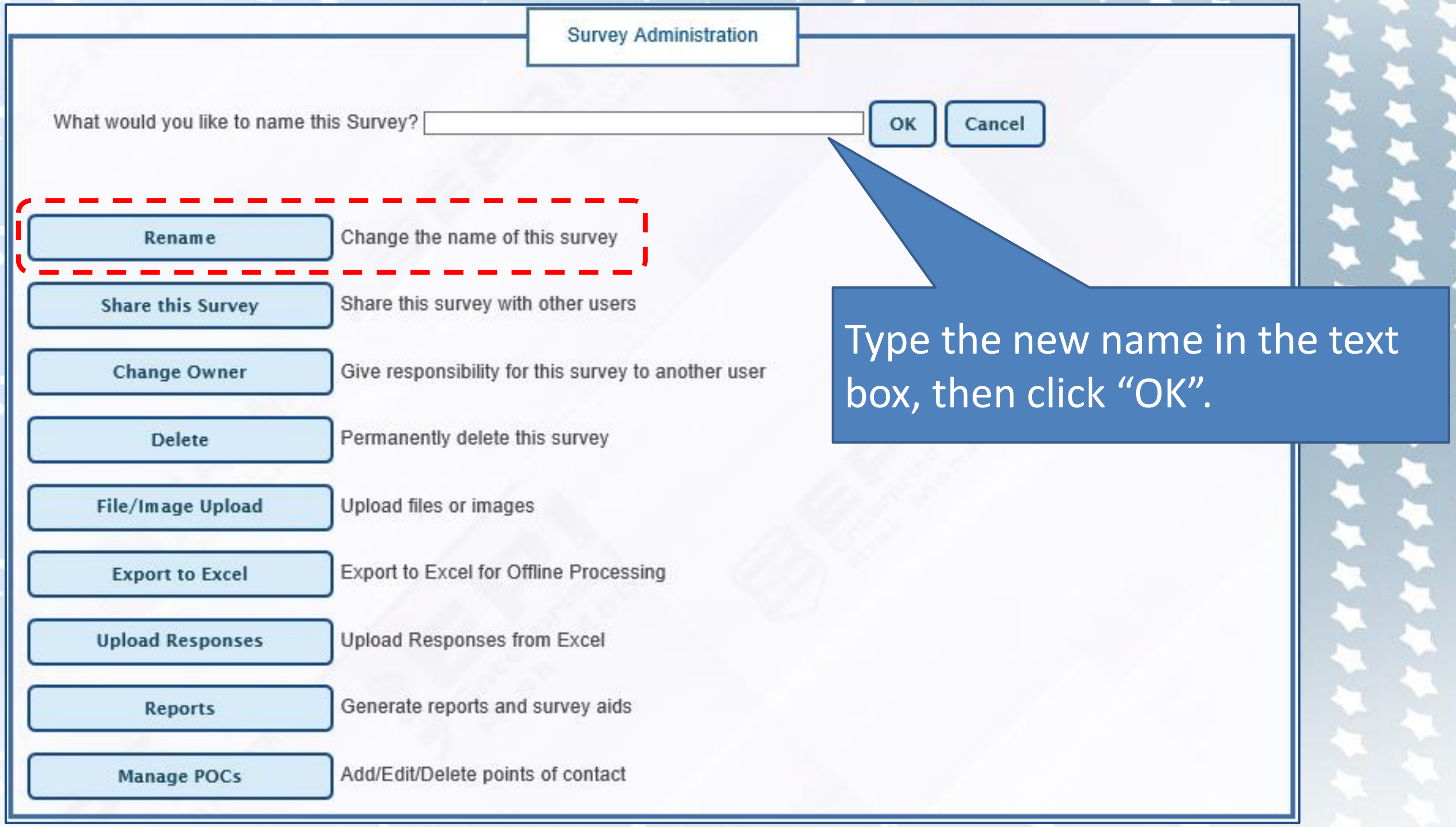
Survey: Locked

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.

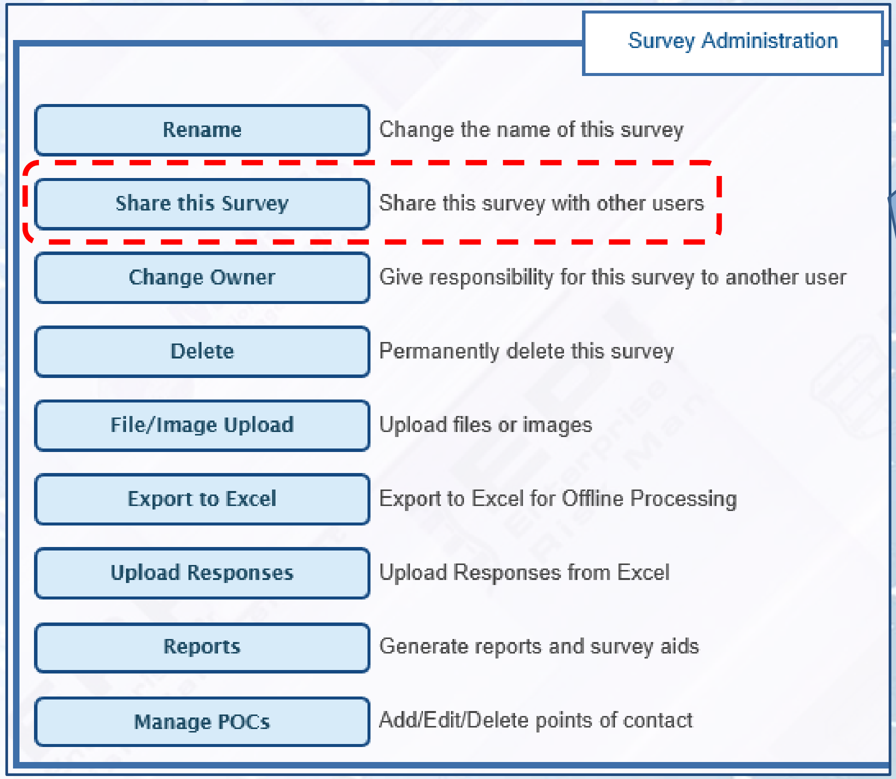
Administration: Rename

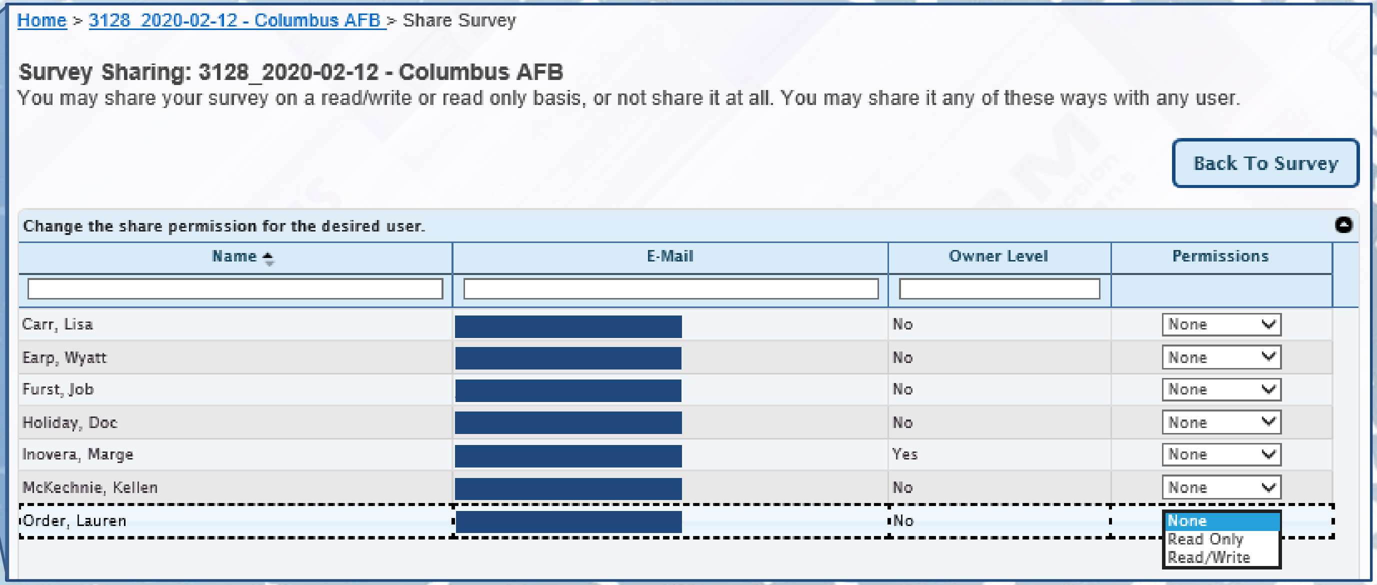
The **Rename** feature allows users to change the name of a survey. Click **Rename**, enter the new name in the box provided, then click **OK** to save the change.



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.



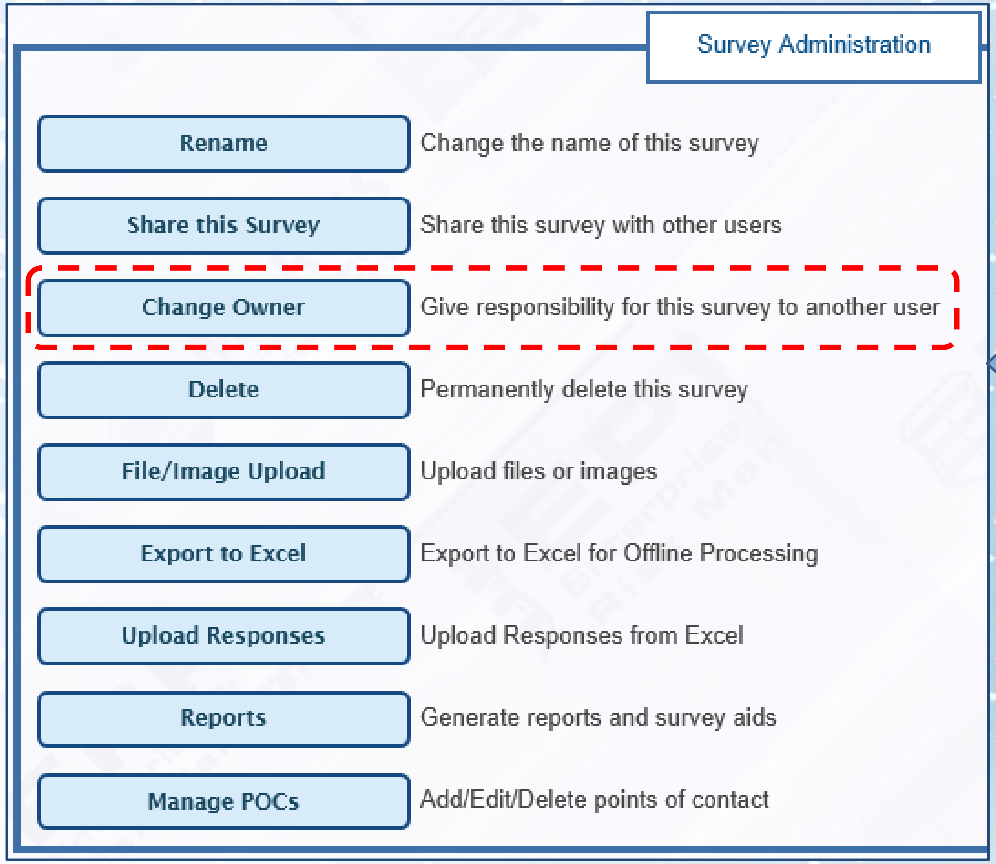


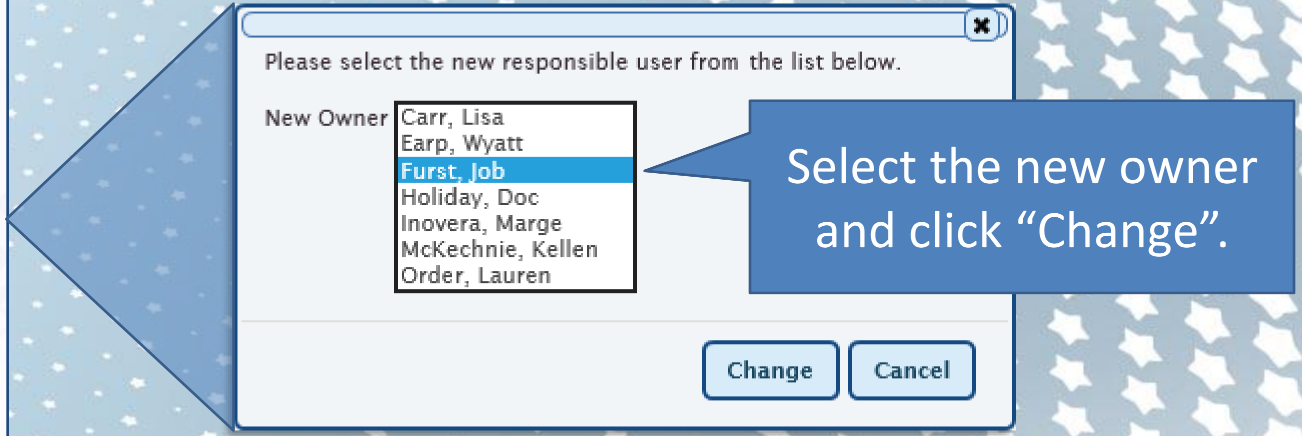
Read Only privileges allow another user to *view only*.

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

Administration: Change Owner

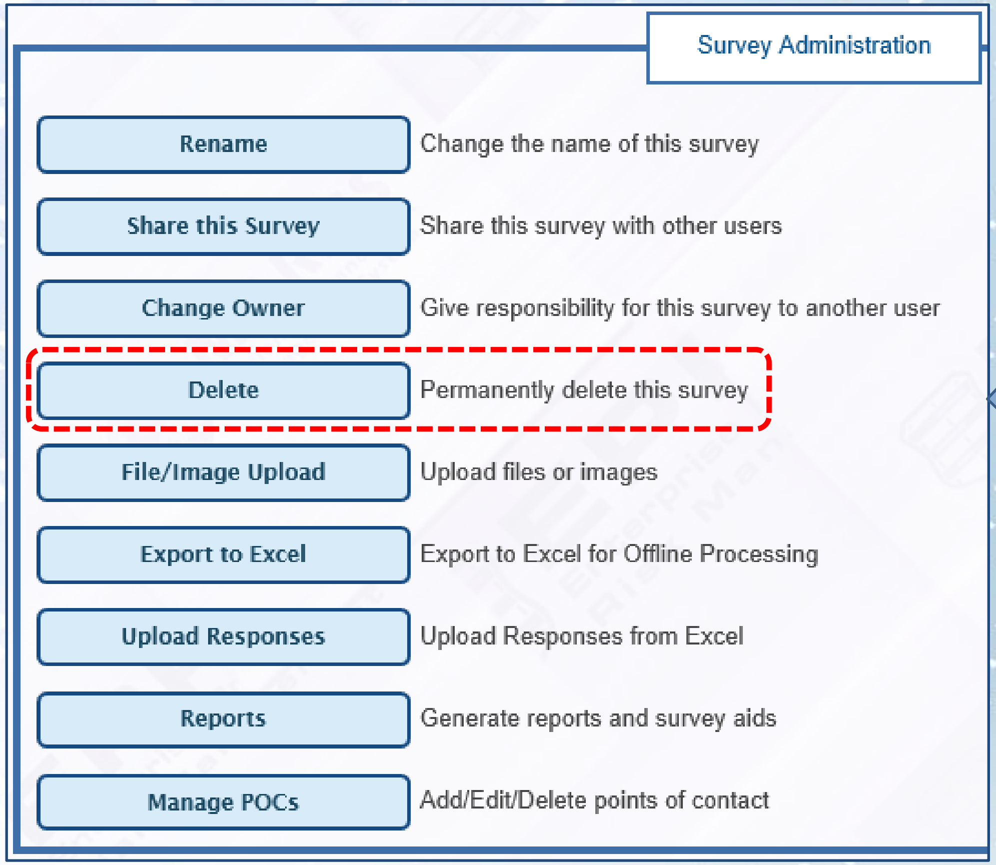
Change Owner allows the current owner to transfer ownership of the survey to any user within their objective hierarchy. Once changed, the original owner no longer has any access to the survey.

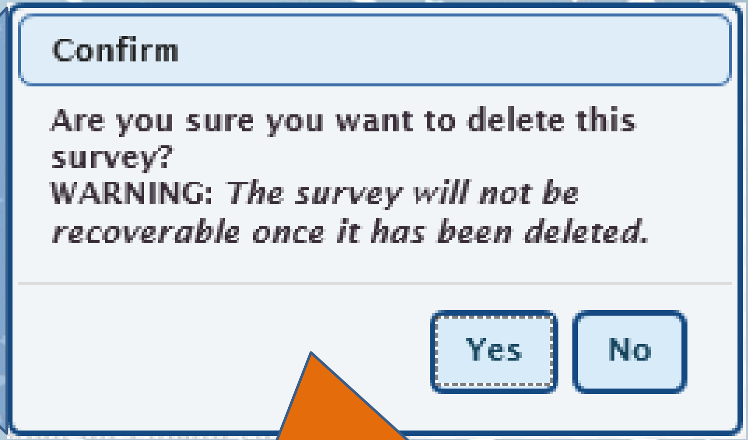




Administration: Delete

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.

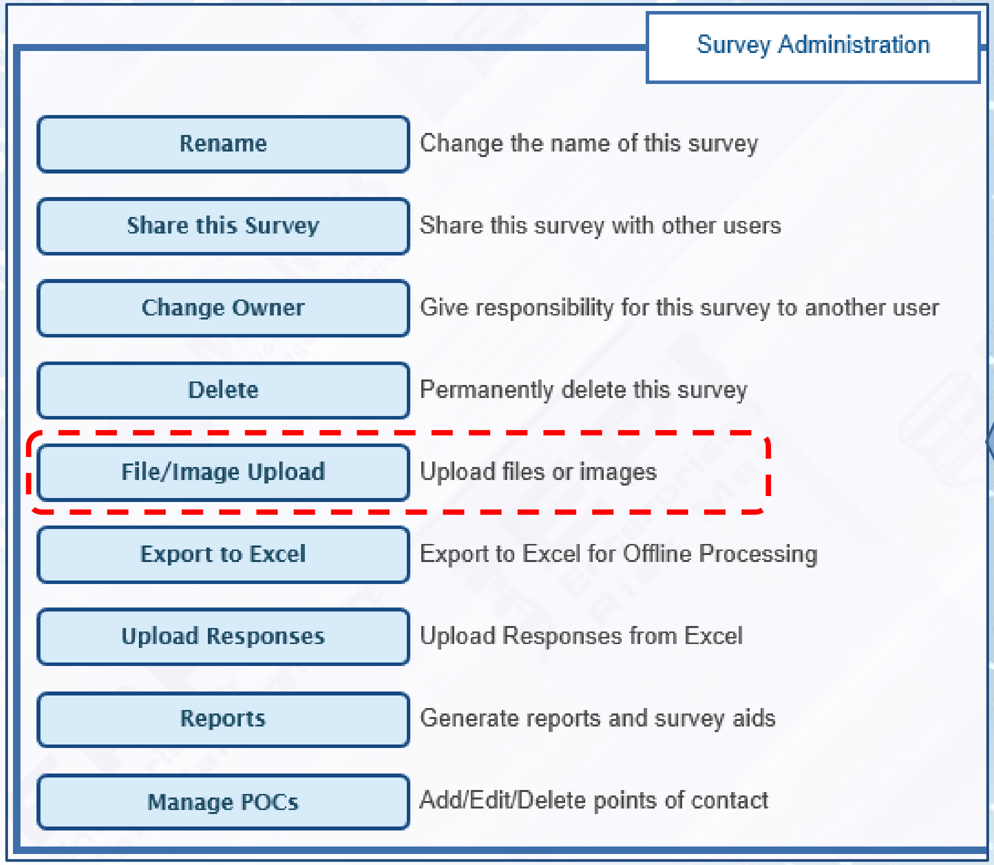


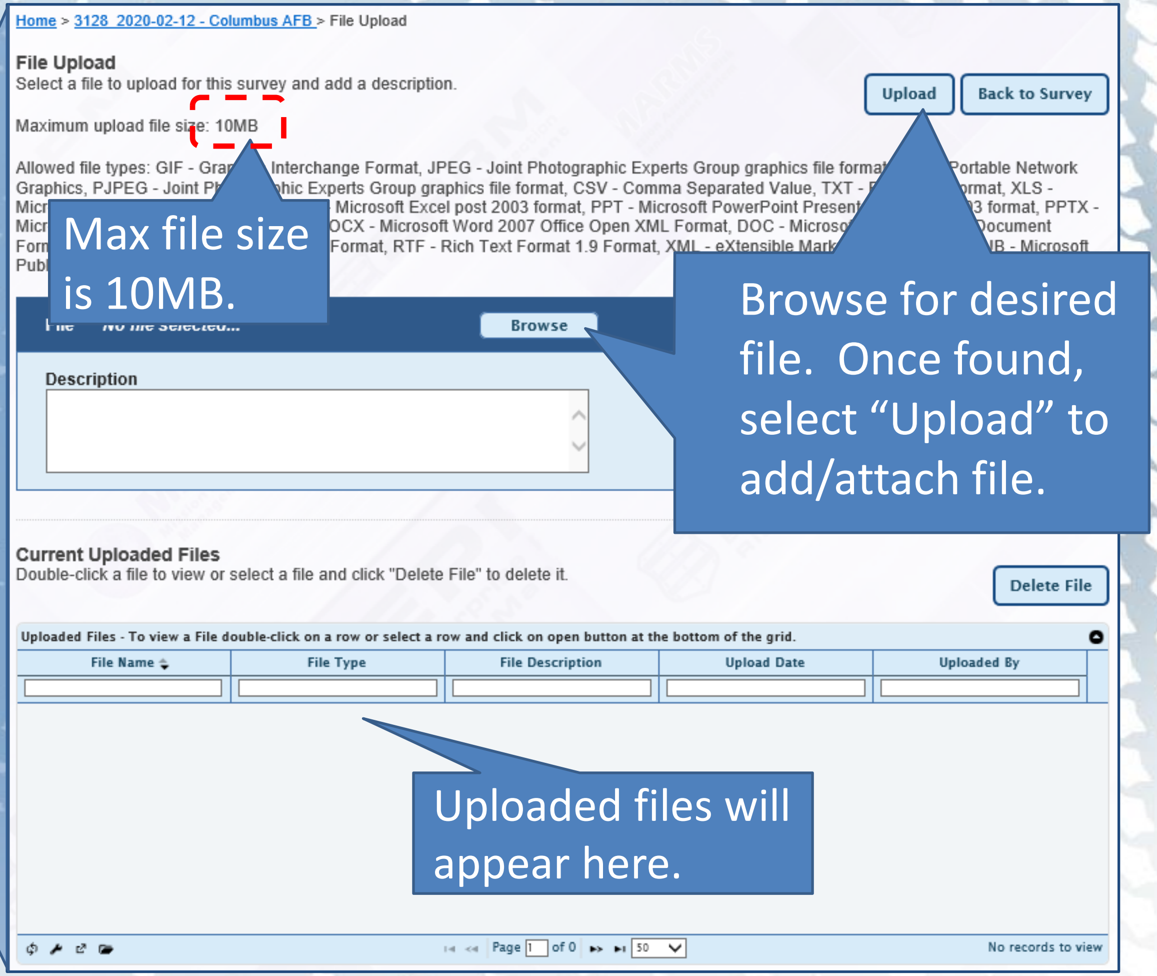


This is an affirmative confirmation that the assessment cannot be recovered; DO NOT delete if in doubt.

Administration: File/Image Upload

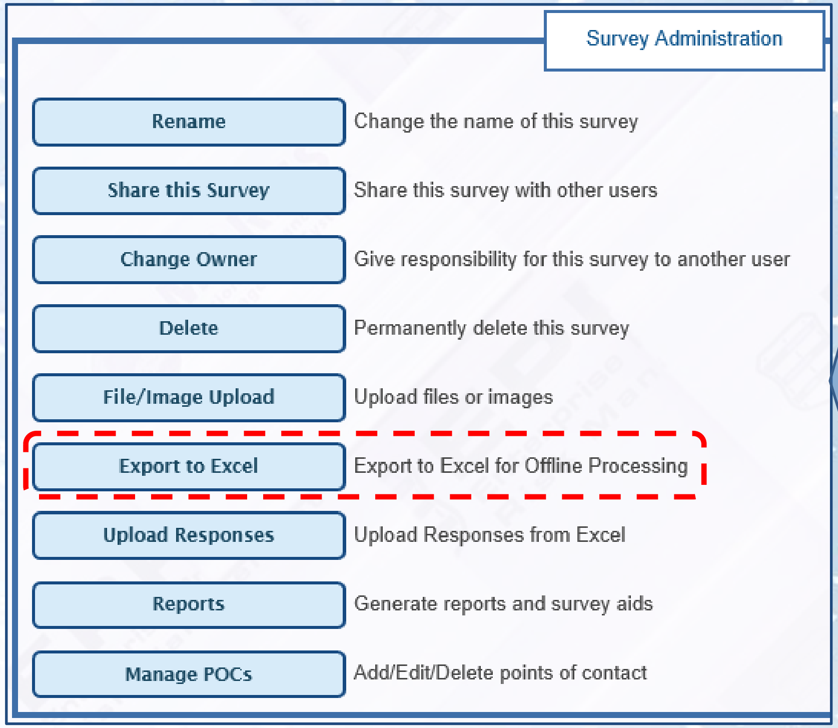
File/Image Upload allows users to attach supporting documents and images to the survey. Click "File/Image Upload", browse for the desired file and click "Upload". Remove uploaded files, below, with the "Delete File" button.

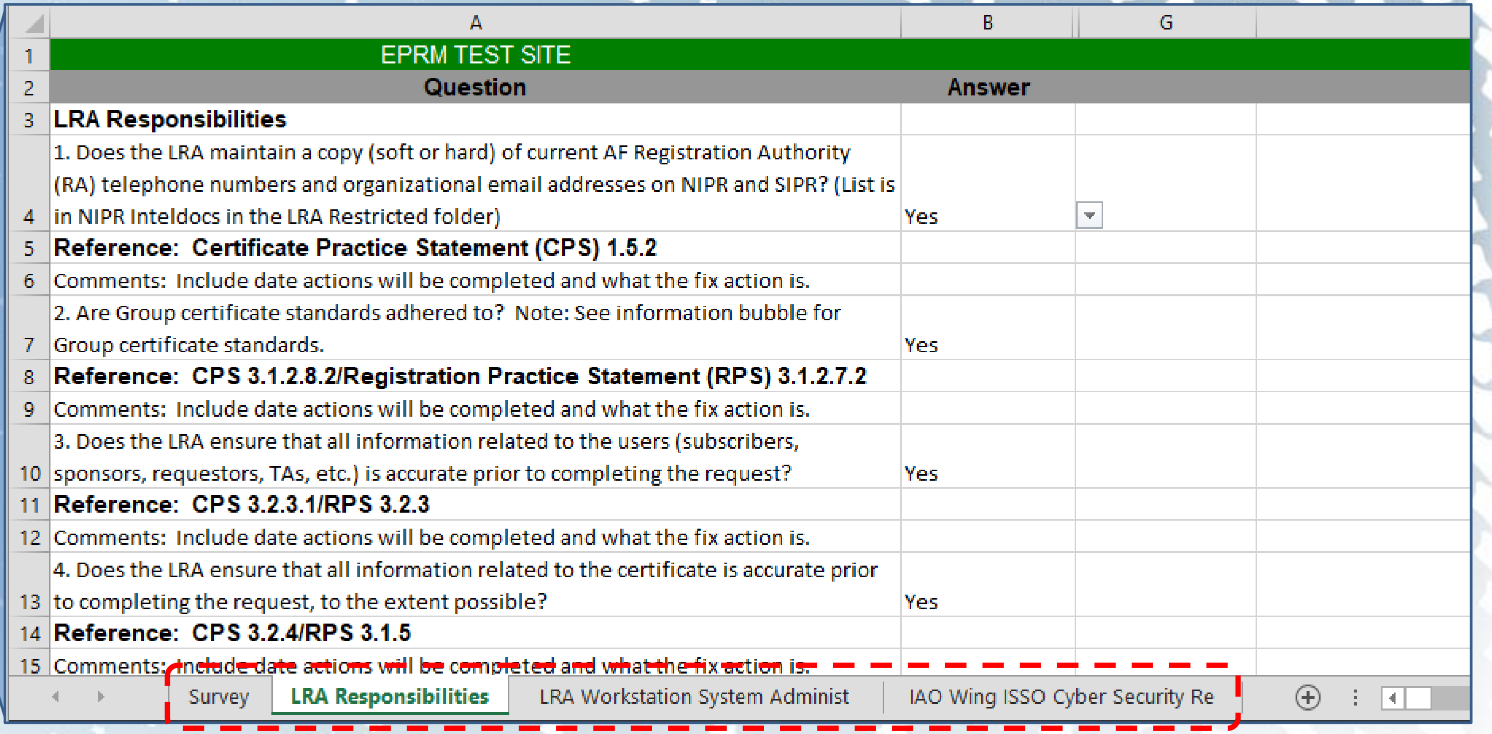




Administration: Export to Excel

The **Export to Excel** button can be used to open the survey in an Excel document to be completed offline. Questions for the LRA, System Administrator, and IAO/Wing/ISSO are divided among three separate tabs. Use the drop down to answer Yes/No questions, and leave comments in the open text cell as appropriate. Save the file for upload later. The upload of responses is explained on the next page.



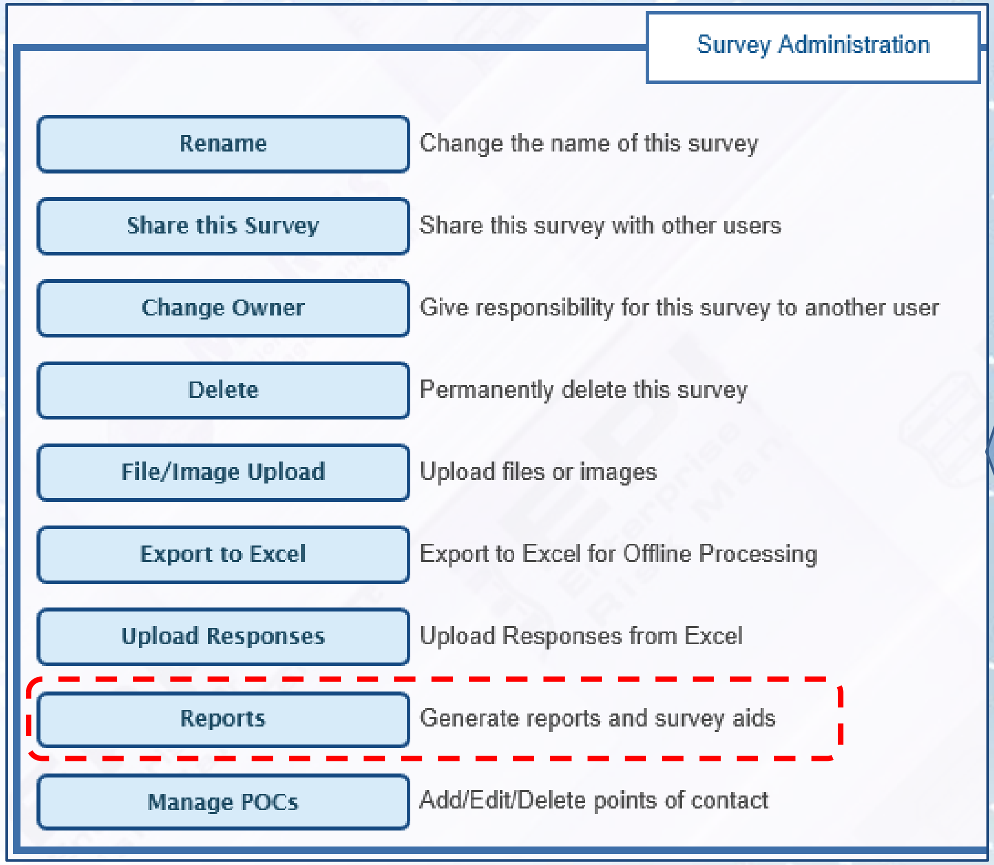


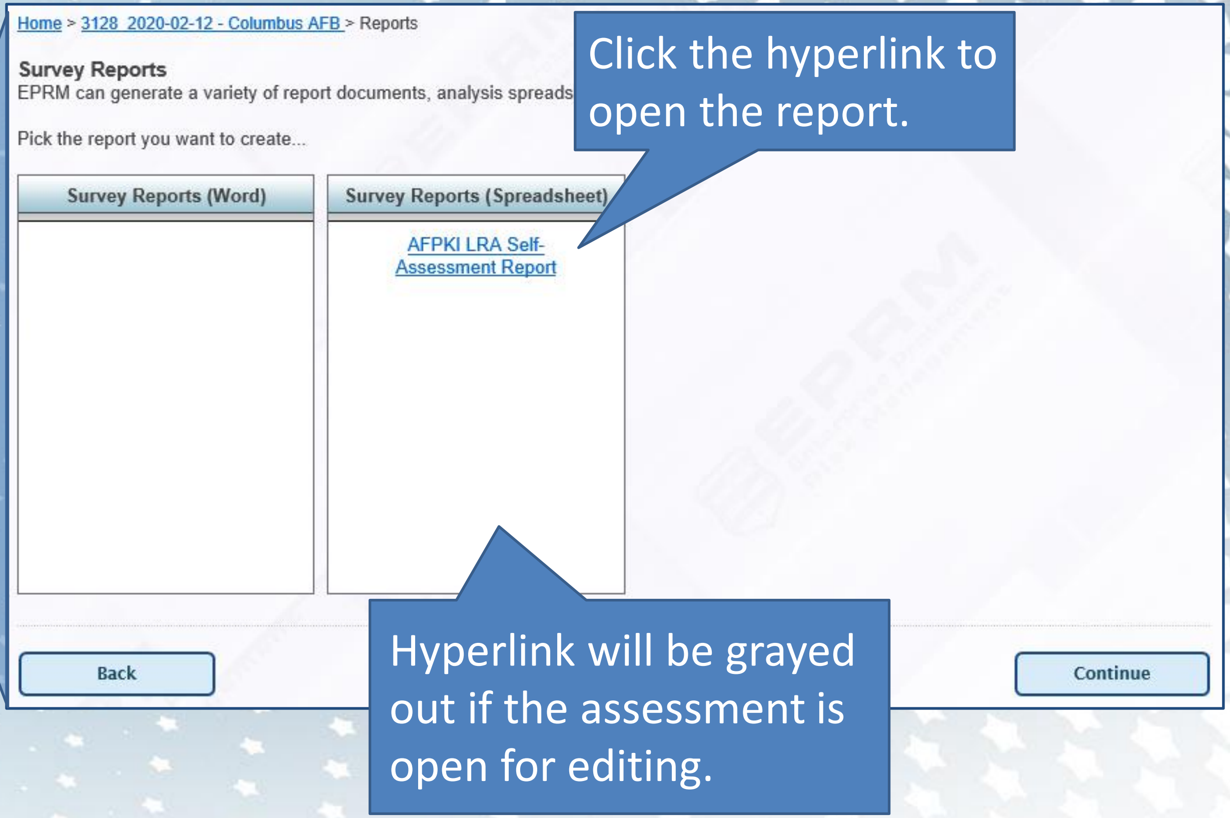
Administration: Upload Responses

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 AFPKI LRA Self-Assessment Report in Excel format. An example of the self-assessment report appears on the following page.





Administration: Reports

The AFPKI LRA Self-Assessment Report is headed with vital survey information (Survey Name, ID, Date, Created By).

The responsible party for each section of the survey is listed above the survey responses.

Report data is organized by their respective sections (LRA Responsibilities, LRA Workstation System Administrator (SA) Responsibilities, and IAO/Wing/ISSO Cyber Security Responsibilities) in a single, concise layout.

EPRM TEST SITE

AFPKI LRA Self-Assessment Report

Audit Survey Name:	2020-02-12 - Columbus AFB
Audit Survey ID:	3128
Today's Date:	02/19/2020
Created By:	Marge Inovera

- This report includes all of the items that were required to be addressed during the audit survey self-assessment.
- The **Response** column indicates the responsible party's response to each self-assessment question.

AF LRA Signature Approval: Marge Inovera

AF LRA Workstation SA Signature Approval: Marge Inovera

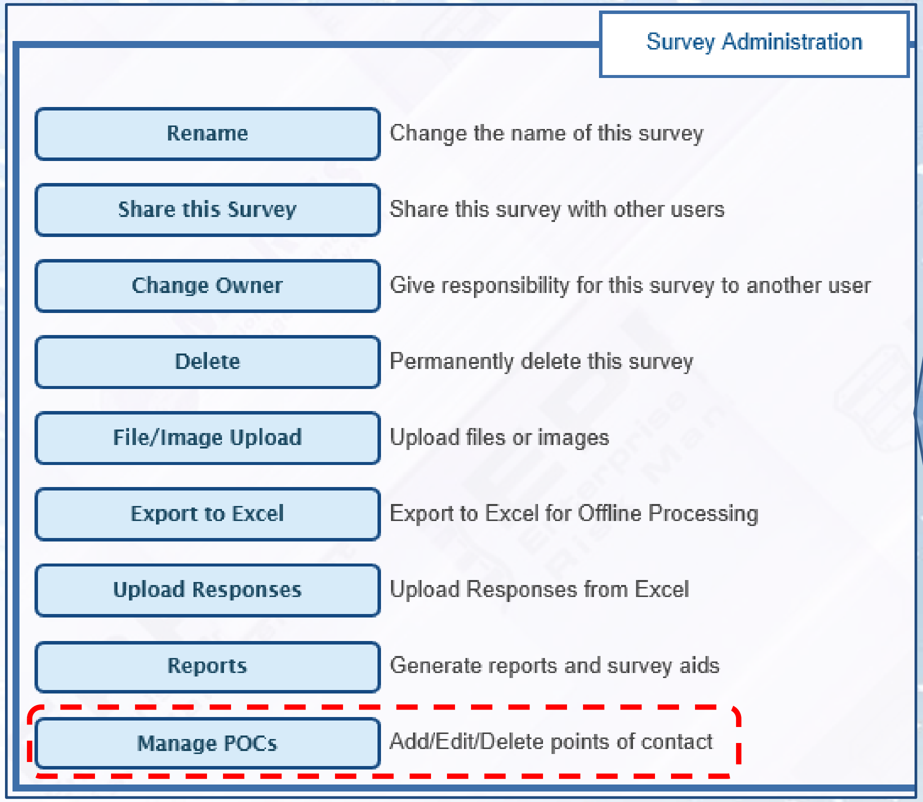
IAO/ISSO/Wing Office Signature Approval: Marge Inovera

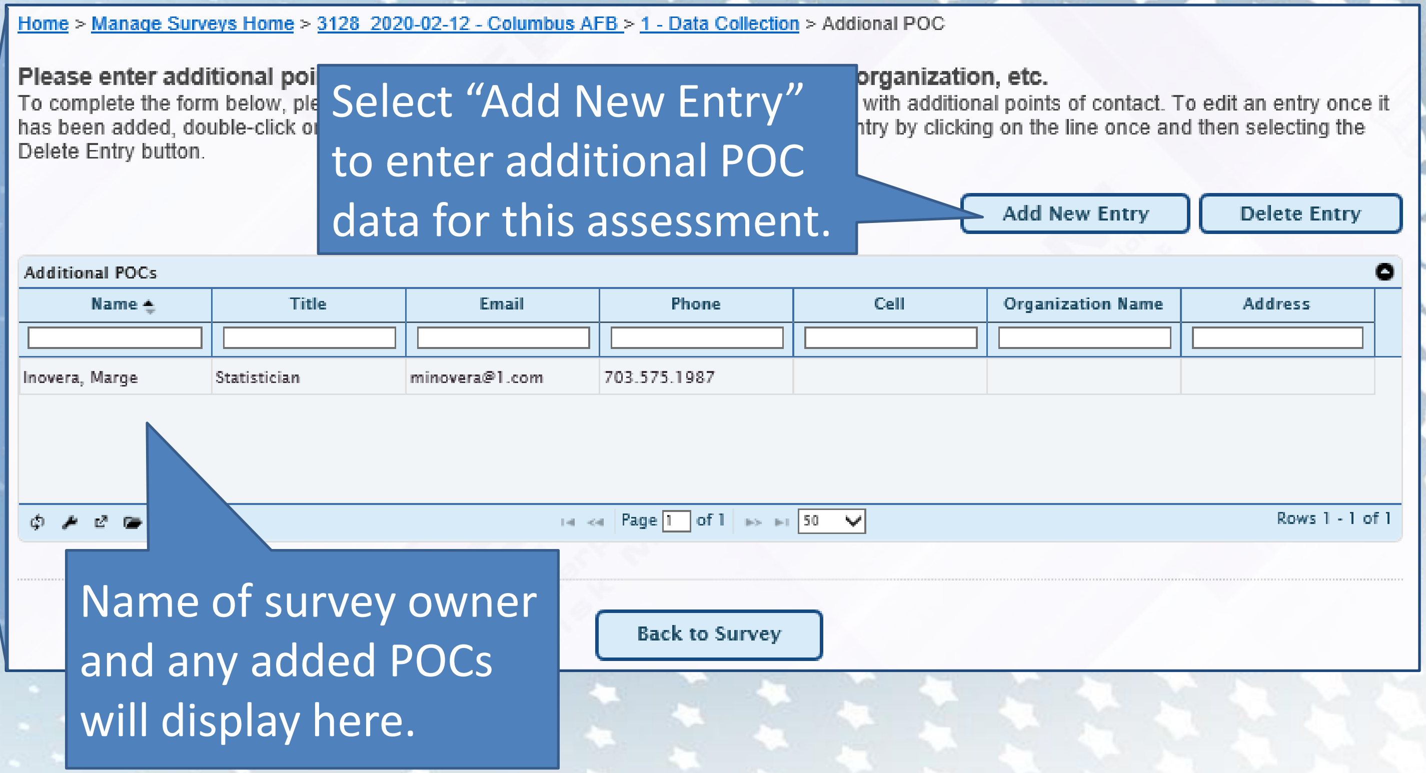
Section	Self-Assessment Question	Response (Yes/No or N/A)	Comment(s)	Completion Date
LRA Responsibilities	1. Does the LRA maintain a copy (soft or hard) of current AF Registration Authority (RA) telephone numbers and organizational email addresses on NIPR and SIPR? (List is in NIPR Inteldocs in the LRA Restricted folder)	Yes		
LRA Responsibilities	2. Are Group certificate standards adhered to? Note: See information bubble for Group certificate standards.	Yes		
LRA Responsibilities	3. Does the LRA ensure that all information related to the users (subscribers, sponsors, requestors, TAs, etc.) is accurate prior to completing the request?	Yes		
LRA Responsibilities	4. Does the LRA ensure that all information related to the certificate is accurate prior to completing the request, to the extent possible?	Yes		
LRA Responsibilities	5. Does the LRA validate requestor identity and authority to request (i.e., OSI badge) for any third party key	Yes		
LRA Responsibilities	6. Is an AFRA 2842-2 available for every certificate issued by the LRA?	Yes		
LRA Responsibilities	7. If the LRA submitted a certificate revocation to AFRAs under any of the identified circumstances, was handling timely and a return email received from	Yes		

AFPKI LRA Self-Assessment

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@alionscience.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