# C3PAO User

This Job Aid is intended to assist users assigned with the C3PAO User role to create, progress, and complete Assessment records.

Accessing CMMC eMASS

eMASS is a web-based application and is accessible for the DoD Cybersecurity Maturity Model Certification (CMMC) community. Users must possess valid Public Key Infrastructure (PKI) certificates to successfully authenticate to CMMC eMASS.

The DoD has established the External Certification Authority (ECA) program to support the issuance of DoD-approved certificates to industry partners and other external entities and organizations. The ECA program is designed to provide the mechanism for these entities to securely communicate with the DoD and authenticate to DoD Information Systems, such as eMASS. For more information, please refer to the ECA program documentation available on the DoD Cyber Exchange.

Select **[Access eMASS]** to acknowledge the site agreement and proceed.
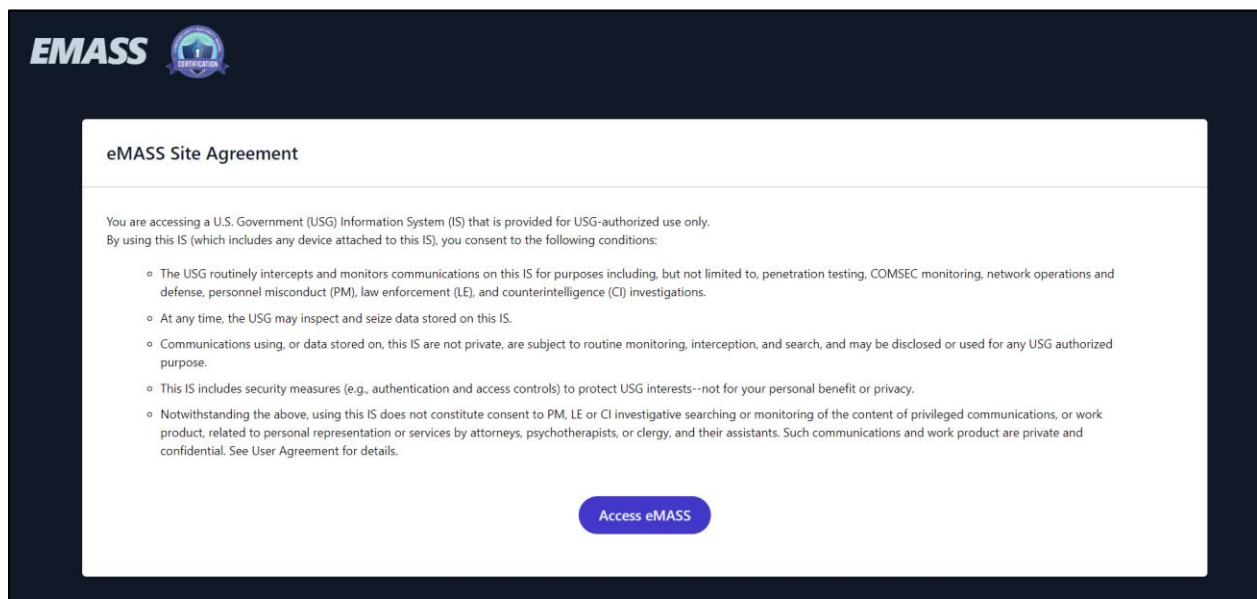
Accessing eMASS Page

eMASS Home Page

The *eMASS Home* page is the central means of accessing the various modules within CMMC eMASS. Access to certain pages and modules is based on the role(s) assigned to the user's account. Additional information on roles and permissions can be viewed in the *CMMC eMASS Permissions Matrix* found in the *Help* module.
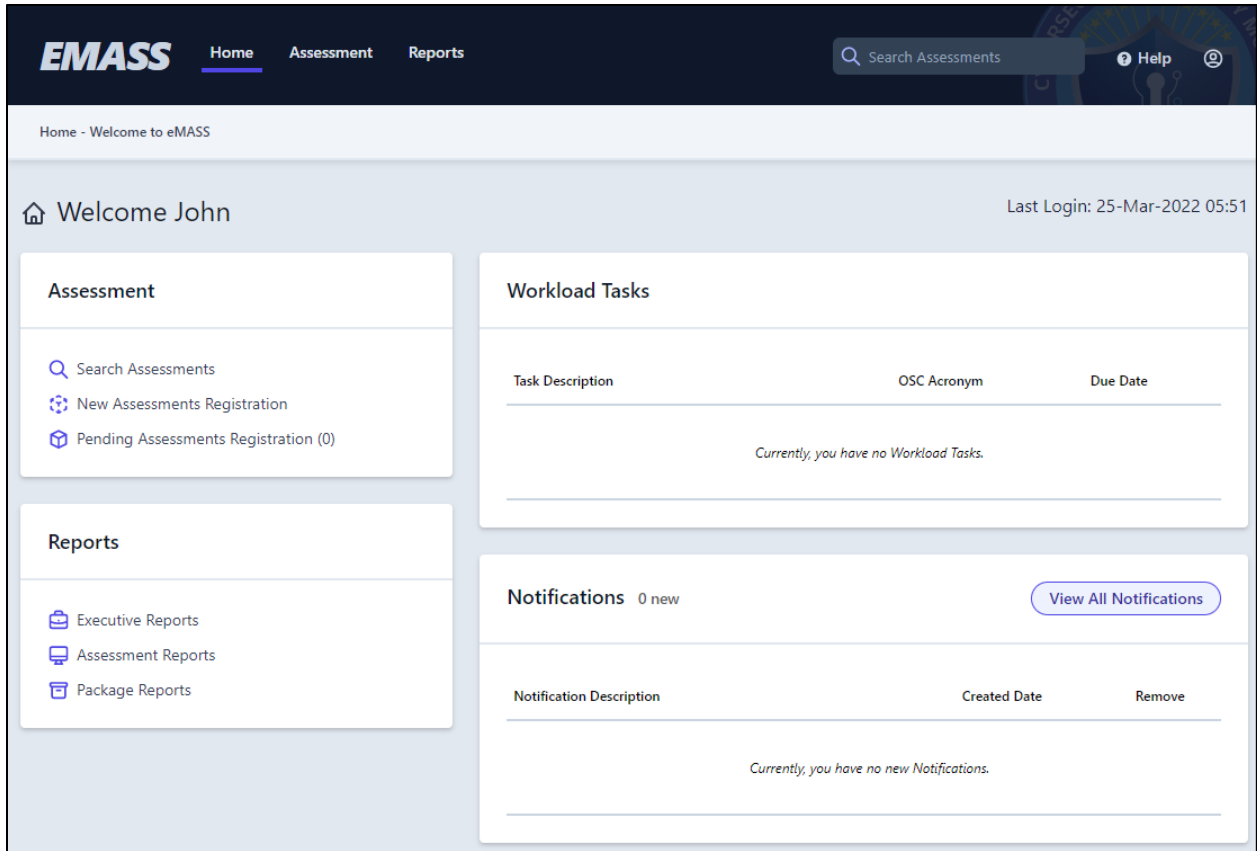
Accessing the eMASS Home Page

## Creating an Assessment Record

Prior to importing the Pre-Assessment and Assessment results for a Defense Industrial Base (DIB) Company or Organization Seeking Certification (OSC), the initial Assessment record must first be created within CMMC eMASS. A newly created Assessment record will only contain a limited set of information but will expand over time as certain events or activities are completed.

To create an Assessment record, select **[New Assessment Registration]** within the *Assessment* navigational header.
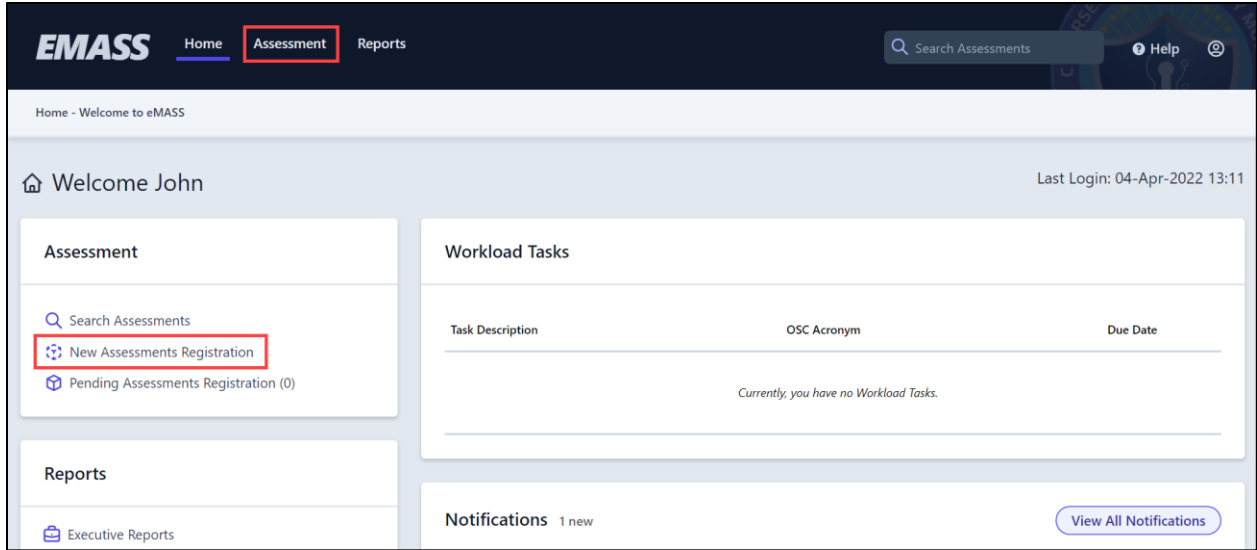
Accessing New Assessment Registration

Registering a new Assessment record is a two-step process. During Step 1, provide the basic OSC information and identify the associated DIB Company (henceforth referred to as "HQ Organization"). The HQ Organization will pair the new Assessment record with the correct DIB Company to ensure data normalization and proper reporting. Once complete, click **[Save]**.
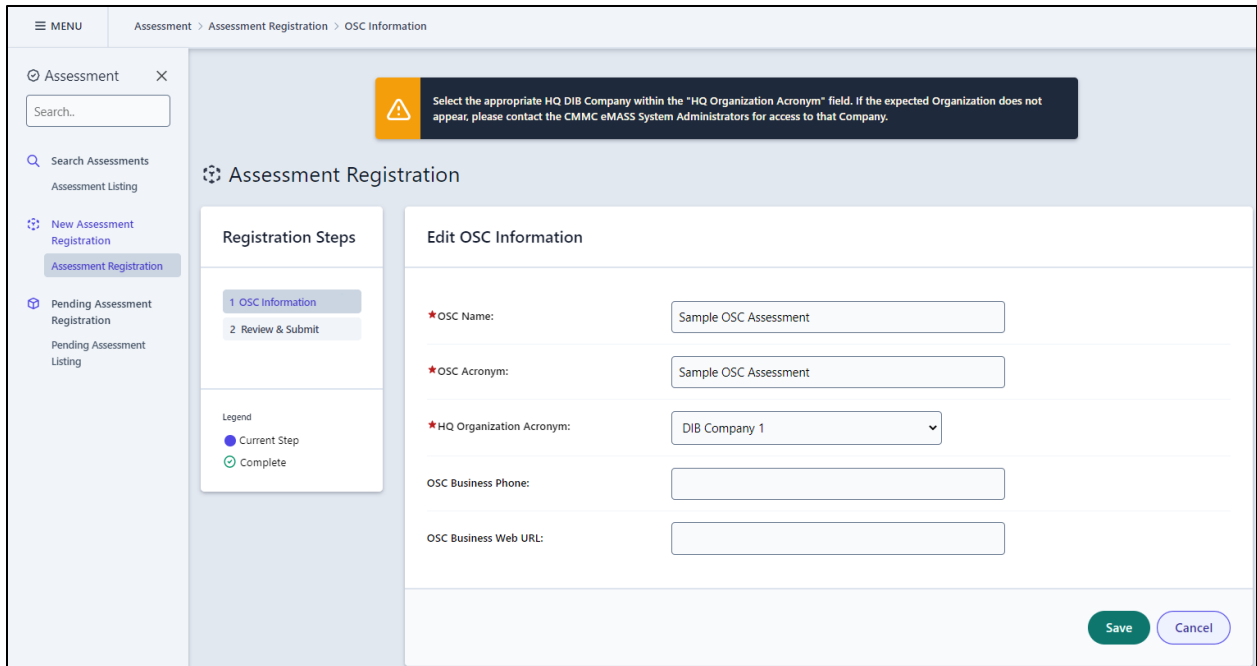
New Assessment Registration Process

Note: The DIB Companies that will appear in the "HQ Organization Acronym" field are contingent upon the role/Organization pairing assigned by an Administrator to the user account.

> If the correct DIB Company does not appear in the dropdown, contact the CMMC eMASS Administrators for assistance.
>
> validation check to only accept complete URL addresses when saving information (e.g., http:// or https:// must be included in the URL).

At Step 2, review the entered information. If all information is correct, click **[Submit Assessment]** to finalize creation of the new Assessment record. The registration process can be completed over the course of multiple sessions – if Step 1 has been completed, users can log out of CMMC eMASS and resume the registration later by navigating to the *Pending Assessment Registration* page within the *Assessment* navigational header.

Finalizing New Assessment Registration

Upon completing *New Assessment Registration*, the user will be automatically redirected to the created Assessment record. Within the Assessment record, the user will now have access to a new set of navigational tabs for processing the actual assessment activities and results.

Newly Registered Assessment Record

Each of these modules will display information or content related to the specific Assessment. These primary modules contain the information from the most recently completed "Assessment" workflow type processed within the *Workflows* navigational tab. These modules will contain only a limited set of information for records that have not yet processed and completed the initial assessment workflow. Once an assessment workflow is completed, then all information and results from that assessment will be posted to these primary modules.

**Initiating and Progressing an Assessment Workflow**

After the Assessment record is created, the next immediate recommended action is to initiate an "Assessment" type workflow within the record. The assessment workflow allows users to import the Pre-Assessment and Assessment Results forms as well as process a certification decision for the appropriate OSC. Each of these modules will display information or content related to the specific Assessment.

Navigate to the *Workflows* tab and then select **[Active Workflow Listing]**.
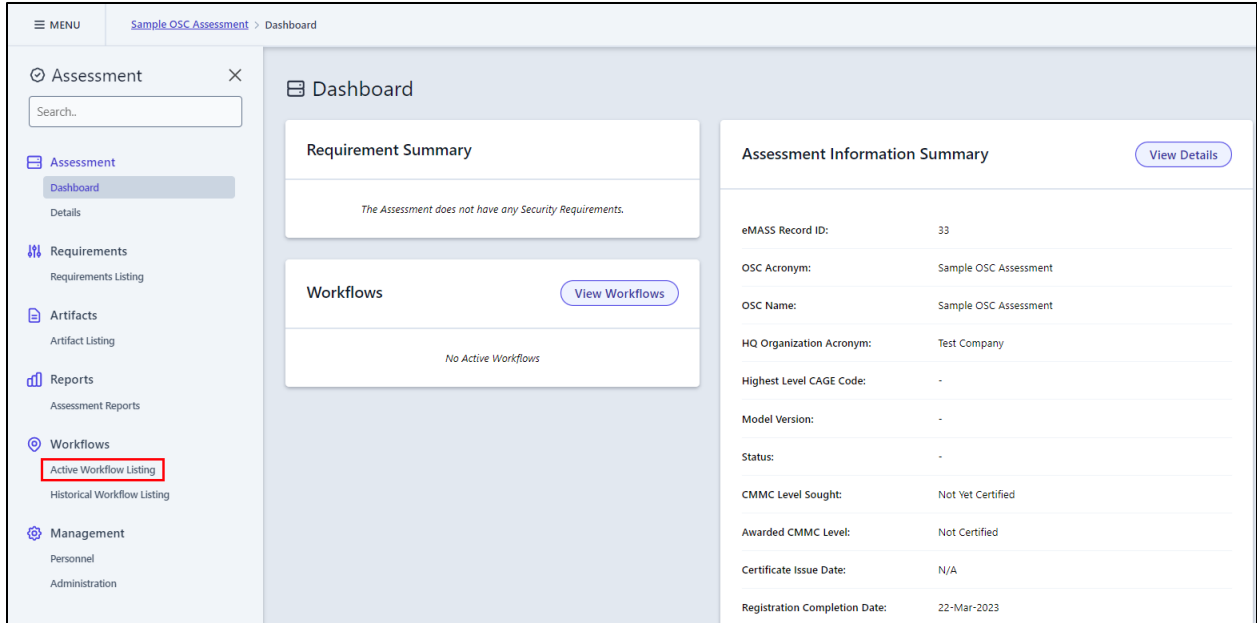
Accessing the Workflows Module

On the *Active Workflow Listing* page, select the "CMMC Assessment" tile to begin the workflow initiation process.
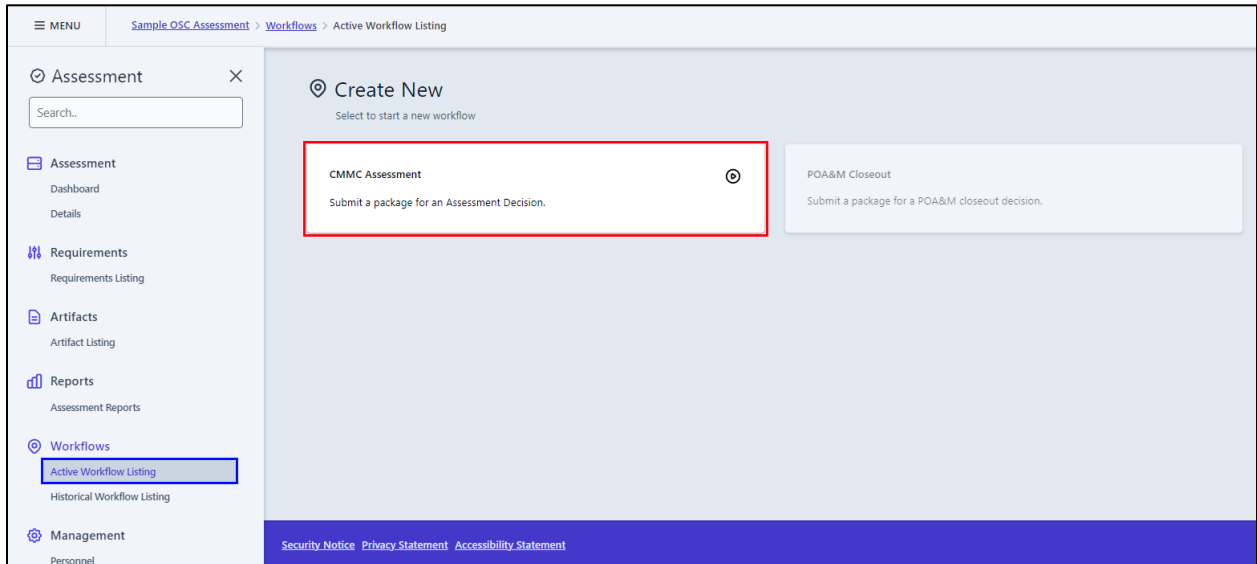
Starting a CMMC Assessment Workflow

At the workflow initiation stage, provide any comments as appropriate. Select **[Initiate Workflow]** to launch the CMMC Assessment workflow.

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> **Note:** eMASS will automatically populate the "Package Name" field using a standardized naming convention of "[OSC Name].[User's Organization].[Date]".
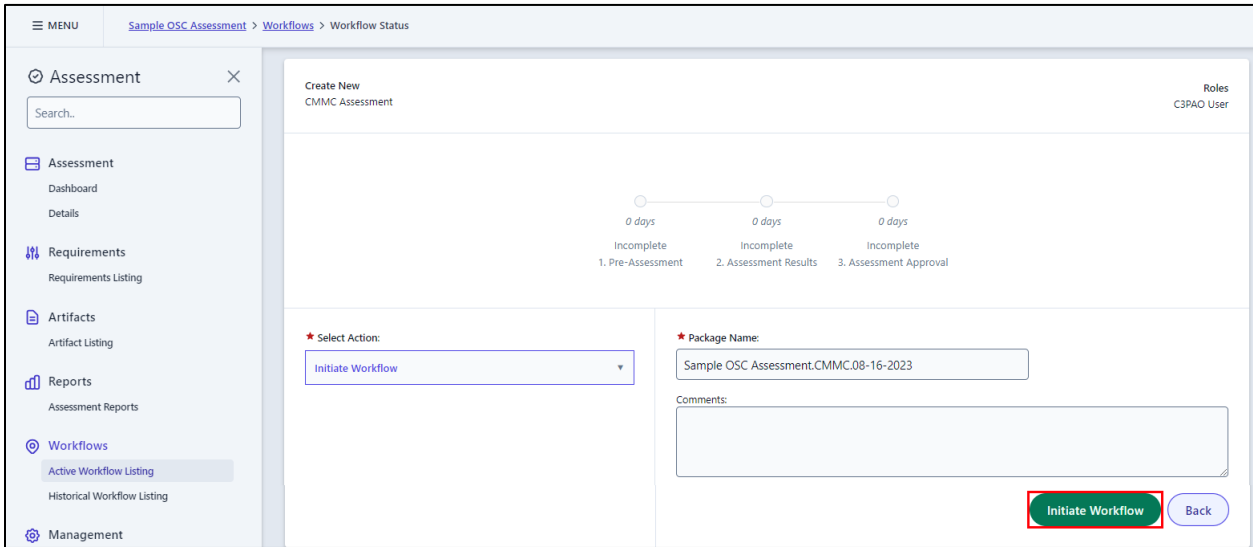
Workflow Initiation Stage

Once initiated, the CMMC Assessment workflow is now active for the record. eMASS will track the time spent at each workflow stage as well as overall time to process. Each workflow stage will outline the set of required tasks that should be completed before the user progresses the workflow to the next stage.

> **Note:** For an in-depth process walkthrough, please refer to the *CMMC eMASS Process Guide*. For detailed reviews of all functionality available in CMMC eMASS, please refer to the *CMMC eMASS Functionality Guide*.
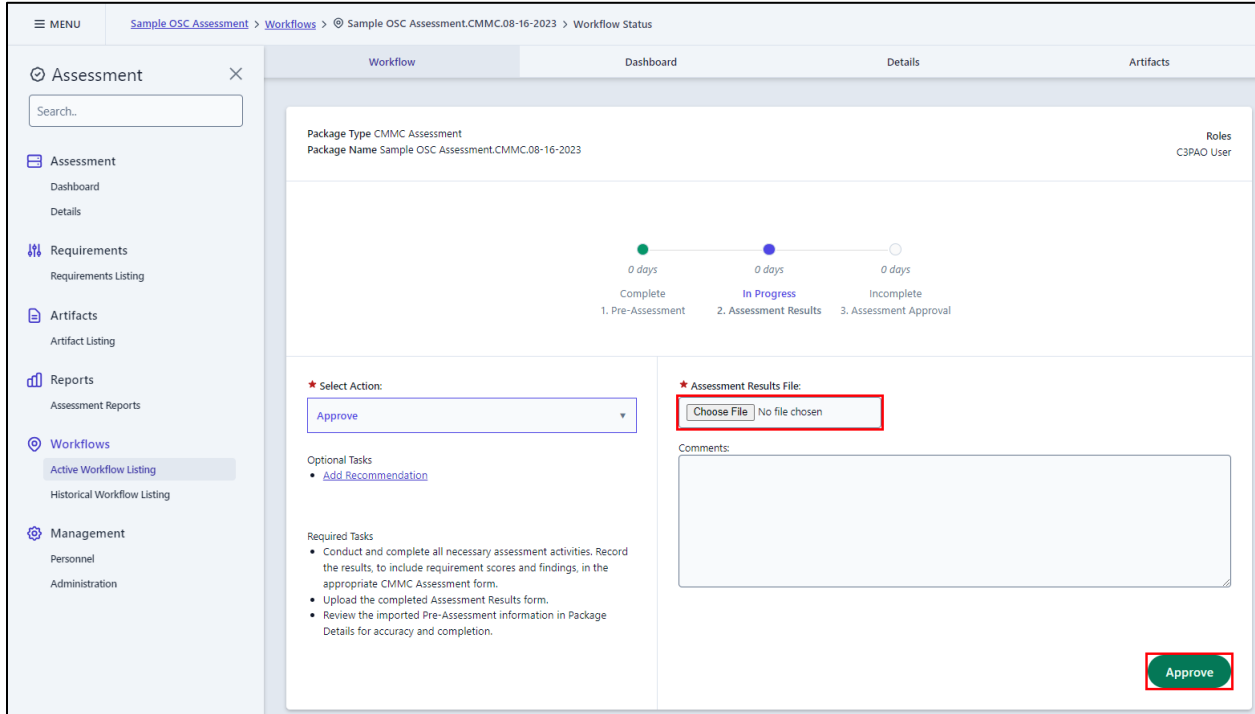
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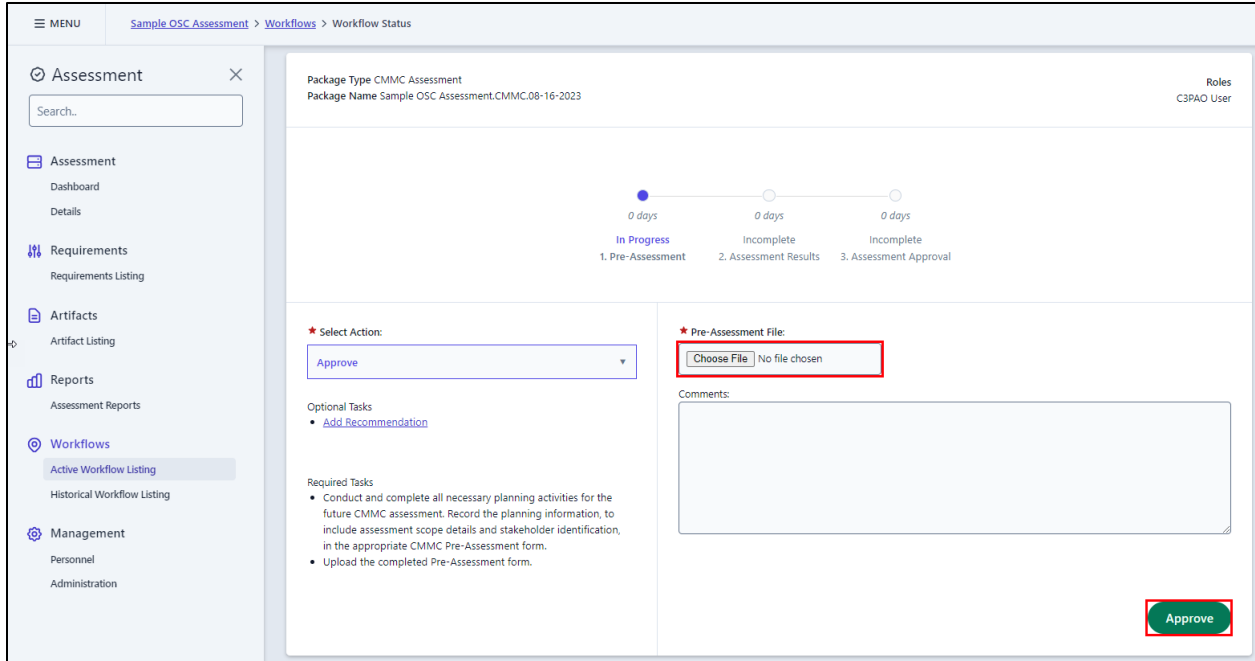
Assessment Workflow: Pre-Assessment Stage

At Stage 1, the primary task is to upload the completed Pre-Assessment template (Excel or JSON). Attach the appropriate file, provide comments, and click **[Approve]** to progress the workflow to Stage 2.

During the transition to Stage 2, eMASS will ingest the Pre-Assessment template and provide the user with a new set of sub-navigational tabs to view the imported data. Information collected from the Pre-Assessment activity will be available within the *Package Assessment* sub-tab. The imported Pre-Assessment file will also be available as an artifact for download in the *Package Artifacts* sub-tab.

Note: If any errors or missing data are discovered during review of the *Package Assessment* sub-tab, change the "Select Action" dropdown on the *Workflow Status* page to "Returned for Rework" and provide appropriate rationale in the "Comments" field. Proceeding with the selected action will return the package to Stage 1, where the user will be able to upload a corrected Pre-Assessment template and progress again to Stage 2.

Assessment Workflow: Assessment Results Stage

At Stage 2, the primary task is to upload the completed Assessment Results template (Excel or JSON). Attach the appropriate file, provide comments, and click **[Approve]** to progress the workflow to Stage 3.

> **Note:** The **[Approve]** workflow action progresses the package to the next stage. Users should select the action when all required tasks for their stage(s) have been completed.

During the transition to Stage 3, eMASS will ingest the Assessment Results template and update the *Package* navigational sub-tabs. Information collected from the assessment activity will be available within the *Package Assessment* sub-tab whereas the assessment results against the various CMMC Security Requirements will be recorded in the *Package Requirements* sub-tab. The imported Assessment Results file will also be available as an artifact for download in the *Package Artifacts* sub-tab.

At Stage 3, review the imported data from the Pre-Assessment and Assessment Result templates. To review the ingested Assessment Results information, navigate to the *Package Assessment* sub-tab and review the "Assessment Results" section. Navigate to the *Package Requirements* sub-tab to review the specific results and findings associated with the indivudal CMMC Security Requirements.
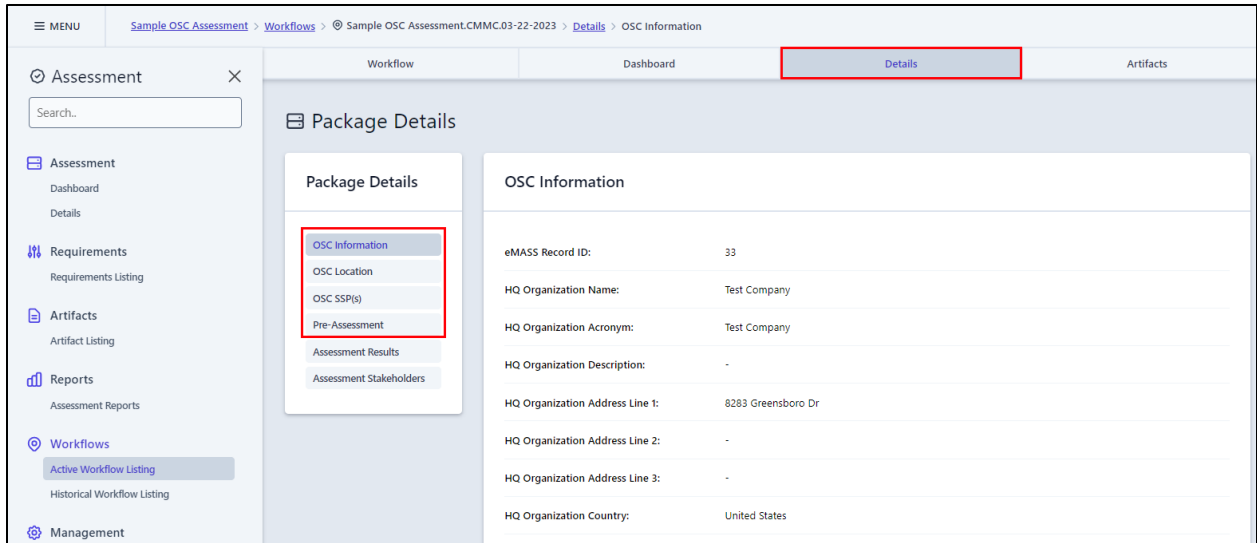
Assessment Workflow Imported Data

If the pre-populated information is correct, upload the C3PAO's certificate of certification.
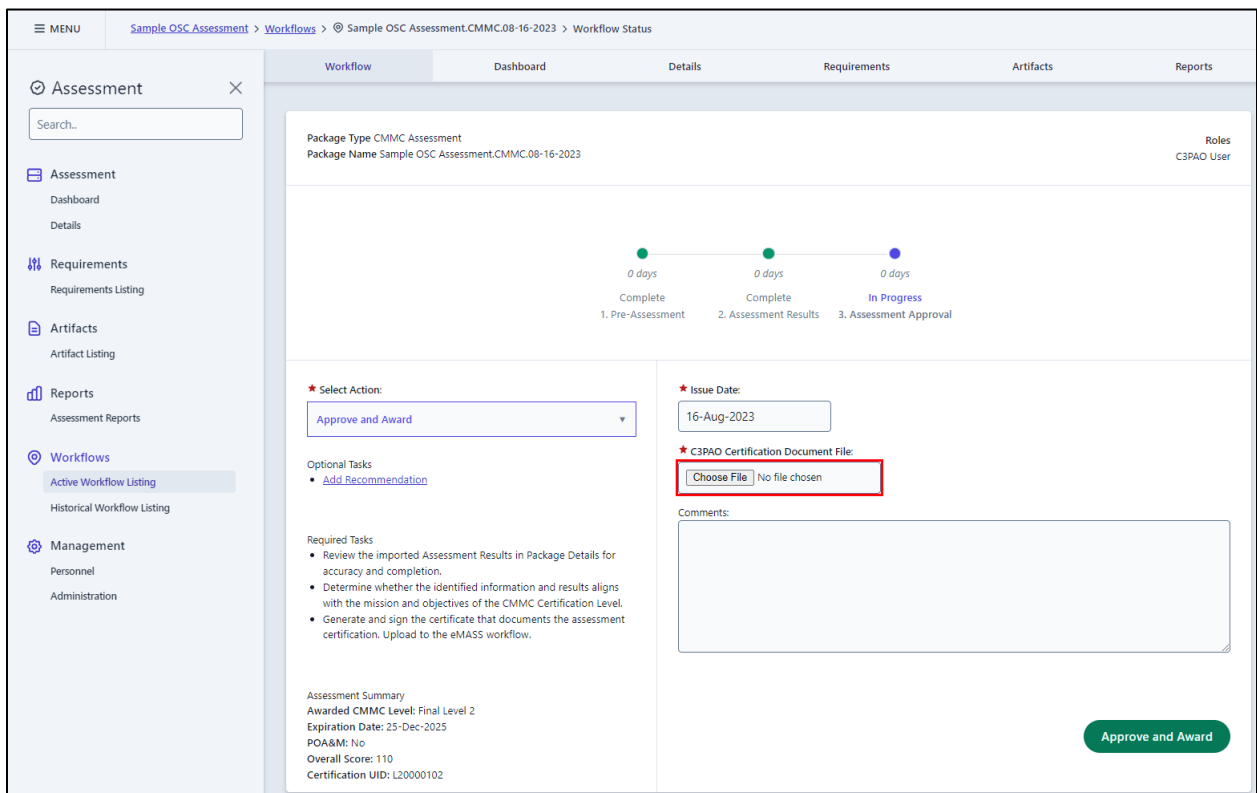
Assessment Workflow: Uploading the OSC's Certification Certificate

Perform a final review of all ingested information. If all aspects of the assessment are correct, provide final comments and click **[Approve and Award]**.

Assessment Workflow: Final Approval Action

If the assessed OSC did not meet the established requirements and cannot be certified at any CMMC level, select the **[Deny]** action.

Note: The **[Deny]** workflow action is intended to document a completed CMMC assessment for an OSC that fails to meet a CMMC certification level. The action will end the workflow and set the OSC's "CMMC Level" as "Not Certified".

Assessment Workflow: Denying a Certification Award

Once the assessment workflow is completed, the results and information from the package will be saved to the record's primary modules.

Completed Assessment Record