

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 <u>accessible for the DoD Cybersecurity Maturity Model</u> <u>Certification (CMMC) community</u>. 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 <u>available on the DoD Cyber Exchange</u>.

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

M)	
	eMASS Site Agreement
	You are accessing a U.S. Government (USG) Information System (IS) that is provided for USG-authorized use only. By using this IS (which includes any device attached to this IS), you consent to the following conditions:
	 The USG routinely intercepts and monitors communications on this IS for purposes including, but not limited to, penetration testing, COMSEC monitoring, network operations and defense, personnel misconduct (PM), law enforcement (LE), and counterintelligence (CI) investigations.
	 At any time, the USG may inspect and seize data stored on this IS.
	 Communications using, or data stored on, this IS are not private, are subject to routine monitoring, interception, and search, and may be disclosed or used for any USG authorized purpose.
	 This IS includes security measures (e.g., authentication and access controls) to protect USG interestsnot for your personal benefit or privacy.
	 Notwithstanding the above, using this IS does not constitute consent to PM, LE or CI investigative searching or monitoring of the content of privileged communications, or work product, related to personal representation or services by attorneys, psychotherapists, or clergy, and their assistants. Such communications and work product are private and confidential. See User Agreement for details.
	Access eMASS

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.

EMASS Home Assessment Reports		Q Search Assessments P Help (9)	Mi-
			_
奋 Welcome John		Last Login: 25-Mar-2022 05:5	1
Assessment	Workload Tasks		
 Q Search Assessments New Assessments Registration Pending Assessments Registration (0) 	Task Description	OSC Acronym Due Date	
Reports			
Executive Reports	Notifications 0 new	View All Notifications	
 Assessment Reports Package Reports 	Notification Description	Created Date Remove	
	Cur	rently, you have no new Notifications.	

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.

EMASS Home Assessment Report	s	Q Search Asses	sments 🕑 Help 🔘				
Home - Welcome to eMASS							
کی Welcome John Last Login: 04-Apr-2023							
Assessment	Workload Tasks						
Q Search Assessments	Task Description	OSC Acronym	Due Date				
Pending Assessments Registration (0)		Currently, you have no Workload Tasks.					
Reports							
Executive Reports	Notifications 1 new		View All Notifications				

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]**.

≡ MENU Assessment > Assessment Registration > OSC Information					
Assessment X Search.		Select the appropriate HQ DIB Company wit appear, please contact the CMMC eMASS Sy	hin the "HQ Organization Acronym" field. If the expected Organization does not stem Administrators for access to that Company.		
Assessment Listing	Assessment Regist	tration			
New Assessment Registration Assessment Registration	Registration Steps	Edit OSC Information			
 Pending Assessment Registration Pending Assessment 	1 OSC Information 2 Review & Submit	★OSC Name:	Sample OSC Assessment		
Listing		*OSC Acronym:	Sample OSC Assessment		
	Legend Current Step	*HQ Organization Acronym:	DIB Company 1		
	Complete	OSC Business Phone:			
		OSC Business Web URL:			
			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.

≡ MENU Assessmen	E MENU Assessment > Assessment Registration > Review & Submit						
⊘ Assessment ×	Assessment Regist	tration					
Q Search Assessments	Registration Steps	Review & Submit					
(2) New Assessment Registration	1 OSC Information 2 Review & Submit	OSC Information OSC Name:	Sample OSC Assessment				
Assessment Registration		OSC Acronym:	Sample OSC Assessment				
Pending Assessment Registration	Innet	HQ Organization Acronym:	DIB Company 1				
Pending Assessment Listing	essment Current Step	OSC Business Phone:					
	⊘ Complete	OSC Business Web URL:					
			Submit Assessment Delete Assessment Cancel				

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.

E MENU Sample OSC Assessment > Dashboard						
⊘ Assessment X Search	The assessment has been registered successfully.					
Assessment	🗄 Dashboard					
Dashooard Details	Requirement Summary	Assessment Information	Summary	View Details		
해 Requirements Requirements Listing	The Assessment does not have any Security Requirements.	eMASS Record ID:	34			
Artifacts Artifact Listing	Washflaun (15, 14, 15	OSC Acronym:	Sample OSC Assessment			
றி Reports	VORKHOWS VIEW WORKHOWS	OSC Name:	Sample OSC Assessment			
Assessment Reports	No Active Workflows	HQ Organization Acronym:	DIB Company 1			
Active Workflow Listing		Highest Level CAGE Code:				
Historical Workflow Listing		Statue:				
Management Personnel		CMMC Level Sought:	Not Yet Certified			
Workload Tasks Administration		Awarded CMMC Level:	Not Certified			

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].

E MENU Sample OSC Assessment > Dashboard						
O Assessment X	🗄 Dashboard					
Assessment	Requirement Summary	Assessment Information Summary		View Details		
Dashboard Details	The Assessment does not have any Security Requirements.	eMASS Record ID:	33			
Requirements		OSC Acronym:	Sample OSC Assessment			
■ Artifacts	Workflows View Workflows	OSC Name:	Sample OSC Assessment			
Artifact Listing	No Active Workflows	HQ Organization Acronym:	Test Company			
f Reports		Highest Level CAGE Code:				
Assessment Reports		Model Version:	-			
Workflows Active Workflow Listing		Status:				
Historical Workflow Listing		CMMC Level Sought:	Not Yet Certified			
Management		Awarded CMMC Level:	Not Certified			
Personnel Administration		Certificate Issue Date:	N/A			
		Registration Completion Date:	22-Mar-2023			

Accessing the Workflows Module

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

≡ MENU <u>Sample OSC Assessment</u> >	MENU Sample OSC Assessment > Workflows > Active Workflow Listing					
⊘ Assessment × Search.	Create New Select to start a new workflow					
Assessment Dashboard Details	CMMC Assessment POA&M Closeout Submit a package for an Assessment Decision. Submit a package for a POA&M closeout decision.					
\% Requirements Requirements Listing	· · · · · · · · · · · · · · · · · · ·					
Artifacts Artifact Listing						
fl Reports Assessment Reports						
Workflows Active Workflow Listing Historical Workflow Listing						
Management Personnel	Security Notice Privacy Statement Accessibility Statement					

Starting a CMMC Assessment Workflow

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

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

■ MENU <u>Sample OSC Assessmen</u>	t > <u>Workflows</u> > Workflow Status		
⊘ Assessment × Search	Create New CMMC Assessment		Roles C3PAO User
Assessment Dashboard Details Requirements Requirements Listing		0 days 0 days 0 days Incomplete Incomplete Incomplete 1. Pre-Assessment 2. Assessment Results 3. Assessment Approval	
Artifacts			
Artifact Listing	* Select Action:	* Package Name:	
f Reports	Initiate Workflow	Sample OSC Assessment.CMMC.08-16-2023	
Assessment Reports		Comments:	
Workflows			
Active Workflow Listing			à
Historical Workflow Listing			orkflow Back
Management		mitate w	Dack

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*.

E MENU Sample OSC Assessment > Workflows > Workflow Status					
⊘ Assessment × Search	Package Type CMMC Assessment Package Name Sample OSC Assessment.CMMC.08-16-2023	Roles C3PAO User			
Assessment Dashboard Details \$7 Requirements Requirements Listing	0 days 0 days 0 days In Progress incomplete incomplete 1. Pre-Assessment 2. Assessment Results 3. Assessment Approval				
Artifacts Artifact Listing Reports Assessment Reports Workflows Active Workflow Listing Historical Workflow Listing	Select Action: Approve Optional Tasks Add Recommendation Required Tasks Conduct and complete all necessary planning activities for the future CMMC assessment. Record the planning information, to				
Management Personnel Administration	include assessment scope details and stakeholder identification, in the appropriate CMNC Pre-Assessment form. • Upload the completed Pre-Assessment form.	Approve			

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.

■ MENU Sample OSC Assessment > Wo	orkflows > @ Sample OSC Assessment.CMMC.08-	16-2023 > Workflow Status		
⊘ Assessment ×	Workflow	Dashboard	Details	Artifacts
Search				
Assessment Dashboard Details	Package Type CMMC Assessment Package Name Sample OSC Assessment.CMM	C.08-16-2023		Roles C3PAO User
Requirements Requirements Listing		0 days 0 days Complete In Progress 1. Pre-Assessment R	0 days s Incomplete esults 3. Assessment Approval	
Artifact Listing				
ff Reports Assessment Reports	* Select Action:	* Assessment Results Fil Choose File No file of	e: chosen	
Workflows Active Workflow Listing Historical Workflow Listing	Optional Tasks Add Recommendation 	Comments:		
Management Personnel Administration	Required Tasks Conduct and complete all necessary asses the results, to include requirement scores appropriate CMMC Assessment form. Upload the completed Assessment mon Review the imported Pre-Assessment info Details for accuracy and completion.	sment activities. Record and findings, in the form. mation in Package		Арргоче

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.

E MENU Sample OSC Assessment > Workflows > @ Sample OSC Assessment.CMMC.03-22-2023 > Details > OSC Information						
⊘ Assessment X	Workflow	Dashboard		Details	Artifacts	
Search	🗄 Package Details					
Assessment Dashboard Details	Package Details	OSC Information				
۱۹۶ Requirements	OSC Information	eMASS Record ID:	33			
Requirements Listing	OSC SSP(s)	HQ Organization Name:	Test Company			
Artifacts	Pre-Assessment	HQ Organization Acronym:	Test Company			
-fl Bonorte	Assessment Results	HQ Organization Description:				
Assessment Reports	Assessment stakenowers	HQ Organization Address Line 1:	8283 Greensbo	pro Dr		
Workflows		HQ Organization Address Line 2:	-			
Active Workflow Listing		HQ Organization Address Line 3:				
Management		HQ Organization Country:	United States			

Assessment Workflow Imported Data

If the pre-populated information is correct, upload the C3PAO's certificate of certification.

E MENU Sample OSC Assessment > Workflows > Sample OSC Assessment.CMMC.08-16-2023 > Workflow Status									
	Workflow	Dashboard	Det	ails	Requirements	Artifacts	Reports		
⊘ Assessment ×									
Search	Package Type CMMC Asse Package Name Sample OS	ssment C Assessment.CMMC.08-16-2023					Roles C3PAO User		
Dashboard Details									
Image: style styl			O days Complete 1. Pre-Assessment	<i>0 days</i> Complete 2. Assessment Resul	O days In Progress Its 3. Assessment Approval				
Artifact Listing	* Select Action:		*	Issue Date:					
Assessment Reports	Approve and Award		¥	16-Aug-2023					
Workflows Active Workflow Listing	Optional Tasks <u>Add Recommendation</u> 		Ĺ	C3PAO Certification Docu Choose File No file chos	en				
Historical Workflow Listing	Required Tasks • Review the imported A accuracy and completi • Determine whether th with the mission and c • Generate and sign the certification. Upload to	ssessment Results in Package Detai on, i: dentified information and results. bjectives of the CMMC Certification certificate Inta documents the asser- the eMASS workflow.	Is for aligns 1 Level. ssment	omments:					
	Assessment Summary Awarded CMMC Level: Fi Expiration Date: 25-Dec: POA&M: No Overall Score: 110 Certification UID: L20000	nal Level 2 025				Approve	and Award		

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].

E MENU Sample OSC Assessment > Workflows > Sample OSC Assessment.CMMC.08-16-2023 > Workflow Status										
() Asse	ssment X	Workflow	Dashboard		Details	Requirements	Artifacts	Reports		
Search		Package Type CMMC Asse	ssment					Polos		
⊘ Asse	ssment ×	Package Upe Chine Casesment.CMMC.08-16-2023								
Search										
📑 Assess	ment			•	•	•				
Dashbo	ard			0 days	0 days	0 days				
Details				Complete 1. Pre-Assessm	e Complete nent 2. Assessment Resul	In Progress ts 3. Assessment Approval				
ጰ Requir	ements									
Require	ments Listing									
		* Select Action:			★ Issue Date:					
Artifact	Listing	Approve and Award		•	16-Aug-2023					
		Ontional Tasks			* C3PAO Certification Docur	nent File:				
f Report	ts	<u>Add Recommendation</u>			Choose File Assessment	loseout.pdf				
Assessm	nent Reports				Comments:					
Workf	lows	Required Tasks								
Active V	Vorkflow Listing	 Review the imported A accuracy and completion 	isessment Results in Package Details in.	s for						
Historica	al Workflow Listing	 Determine whether the with the mission and ol 	identified information and results a bjectives of the CMMC Certification	ligns Level.						
🙆 Manag	gement	Generate and sign the certification. Upload to	certificate that documents the assess the eMASS workflow.	sment						
Personn	el							/jj		
Adminis	stration									
		Awarded CMMC Level: Fin	ial Level 2							
		Expiration Date: 25-Dec-2 POA&M: No	025				Approve a	and Award		
		Overall Score: 110 Certification UID: 1200001	102							

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".

KENU Sample OSC Assessment > Workflows > Sample OSC Assessment.CMMC.08-16-2023 > Workflow Status								
Ø ∆ssessment ×	Workflow	Dashboard		Details		Requirements	Artifacts	Reports
Search	Package Type CMMC Asse	ssment						Roles
Assessment	Package Name Sample OS	C Assessment.CMMC.08-16-2023						C3PAO User
Dashboard								
Details								
👯 Requirements			•		•	•		
Requirements Listing			0 days		0 days	0 days		
Artifacts			1. Pre-Assessm	nent 2. A	ssessment Results	3. Assessment Approval		
Artifact Listing								
f] Reports	* Select Action:			Comments:				
Assessment Reports	Deny		Ŧ					
Workflows	Optional Tasks							
Active Workflow Listing	Add Recommendation							
Historical Workflow Listing								
Management	Required Tasks • Review the imported A	ssessment Results in Package De	tails for					
Personnel	accuracy and completi • Determine whether the	on. identified information and resul	ts aligns					
	with the mission and o Generate and sign the	bjectives of the CMMC Certificati certificate that documents the as	on Level.					Deny
	certification. Upload to	the eMASS workflow.						
	Assessment Summary Awarded CMMC Level: Fir	al Level 2						
	Expiration Date: 25-Dec-2 POA&M: No	025						
	Overall Score: 110 Certification LID: 120000	02						
	Certification of D. 120000	v.						

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.

MENU Sample OSC Assessment > Dashboard								
O Assessment X	🗄 Dashboard							
Assessment	Requirement Summary		Assessment Information	Summary	View Details			
Dashboard Details	Primary Security Requirement Set:	CMMC Model 2.0 Requirements	eMASS Record ID:	33				
Requirements Requirements Listing	Number of Security Requirements:	<u>110</u>	OSC Acronym:	Sample OSC Assessment				
Artifacts	Met:	105	OSC Name:	Sample OSC Assessment				
Artifact Listing	Not Met:	3	HQ Organization Acronym:	Test Company				
f Reports	Unassessed:	٥	Highest Level CAGE Code:	12345				
Assessment Reports	Not Applicable:	2	Model Version:	1.02				
Workflows			Status:	Completed				
Historical Workflow Listing	Workflows	View Workflows	CMMC Level Sought:	Level 2				
Ø Management			Awarded CMMC Level:	Conditional Level 2				
Personnel Administration	No Active Workflows		Certificate Issue Date:	22-Mar-2023				
			Registration Completion Date:	22-Mar-2023				

Completed Assessment Record