INSIDER THREAT ASSESSMENT (ITVA) PRE-ASSESSMENT PACKAGE:

DETAILED INSTRUCTIONS FOR COMPLETING THE PRE-ASSESSMENT STATEMENT OF CAPABILITY WORKBOOK

Introduction

The Insider Threat Assessment (ITVA) Pre-Assessment Workbook is a Microsoft Excel workbook. It contains seven worksheets that divide all 126 capabilities into the following categories:

- Data Owners – 13 capabilities
- Human Resources – 30 capabilities
- Information Technology – 50 capabilities
- Legal – 12 capabilities
- Physical Security – 7 capabilities
- Software Engineering – 5 capabilities
- Trusted Business Partners – 9 capabilities

Each worksheet lists

- Capability Sequence number – the sequence number relative to that specific capability
- Capability – the capability requirements from the Insider Threat Assessment Workbook
- Clarification – additional information that explains the intent, execution, or scope of each capability

Please respond to all capabilities in each of the seven worksheets. Each capability and clarification is followed by five response fields:

- Pre-Assessment Response – Click in the field and select the appropriate response—Yes, No, or Not Applicable—from the drop-down menu. The Not Applicable option should be selected only if the capability is related to a service or activity that your organization is not required to provide. Very few capabilities should require this option. If you select the Not Applicable option, explain your answer in the Explanatory Remarks field.
- Response Substantiation – In this text comment field, list the types of evidence you have that the capability has been met. For example, this could be a document for review, a configuration file, the output of a test or scan, or some other type of evidence. This

information will help the ITVA onsite team identify the validation method they will need to use and what type of document review, observations, or interviews they will need to conduct.

- Explanatory Remarks – In this text comment field, provide any additional explanation. For example, if you answered "No" in the Pre-assessment Organization Response field because a planned capability has not yet been implemented, you may want to include additional information outlining your plans, schedules, or other milestones in explanatory notes.
- Documents to be provided for substantiation – In the text comment field, list the documents that will provide support with proof or evidence and or verify that the capability being described is in place and operational.
- Individual or groups to be interviewed – In the text comment field, list the individual (first and last name and location) or group (with location).

These five response fields are highlighted in blue. They are the only fields you can modify. Scroll through the worksheet and click in the fields to complete them. The text fields expand as needed as you type. If you need to make changes after completing a field, click in the field to edit your response.

The assessment team will use this pre-assessment information and all data gathered at the onsite assessment, along with other substantiating evidence, to determine your overall compliance with each critical technical capability.

Legal Markings

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