

INSIDER THREAT ASSESSMENT (ITVA) PRE-ASSESSMENT PACKAGE: DETAILED INSTRUCTIONS FOR COMPLETING THE PRE-ASSESSMENT STATEMENT OF CAPABILITY WORKBOOK

[DISTRIBUTION STATEMENT A] This material has been approved for public release and unlimited distribution.

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

Copyright 2023 Carnegie Mellon University.

This material is based upon work funded and supported by the Department of Defense under Contract No. FA8702-15-D-0002 with Carnegie Mellon University for the operation of the Software Engineering Institute, a federally funded research and development center.

The view, opinions, and/or findings contained in this material are those of the author(s) and should not be construed as an official Government position, policy, or decision, unless designated by other documentation.

References herein to any specific commercial product, process, or service by trade name, trade mark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by Carnegie Mellon University or its Software Engineering Institute.

NO WARRANTY. THIS CARNEGIE MELLON UNIVERSITY AND SOFTWARE ENGINEERING INSTITUTE MATERIAL IS FURNISHED ON AN "AS-IS" BASIS. CARNEGIE MELLON UNIVERSITY MAKES NO WARRANTIES OF ANY KIND, EITHER EXPRESSED OR IMPLIED, AS TO ANY MATTER INCLUDING, BUT NOT LIMITED TO, WARRANTY OF FITNESS FOR PURPOSE OR MERCHANTABILITY, EXCLUSIVITY, OR RESULTS OBTAINED FROM USE OF THE MATERIAL. CARNEGIE MELLON UNIVERSITY DOES NOT MAKE ANY WARRANTY OF ANY KIND WITH RESPECT TO FREEDOM FROM PATENT, TRADEMARK, OR COPYRIGHT INFRINGEMENT.

[DISTRIBUTION STATEMENT A] This material has been approved for public release and unlimited distribution. Please see Copyright notice for non-US Government use and distribution.

Internal use:* Permission to reproduce this material and to prepare derivative works from this material for internal use is granted, provided the copyright and "No Warranty" statements are included with all reproductions and derivative works.

External use:* This material may be reproduced in its entirety, without modification, and freely distributed in written or electronic form without requesting formal permission. Permission is required for any other external and/or commercial use. Requests for permission should be directed to the Software Engineering Institute at permission@sei.cmu.edu.

* These restrictions do not apply to U.S. government entities.

Carnegie Mellon® and CERT® are registered in the U.S. Patent and Trademark Office by Carnegie Mellon University.

DM23-0882

Contact Us

Software Engineering Institute
4500 Fifth Avenue, Pittsburgh, PA 15213-2612

Phone: 412/268.5800 | 888.201.4479

Web: www.sei.cmu.edu

Email: info@sei.cmu.edu