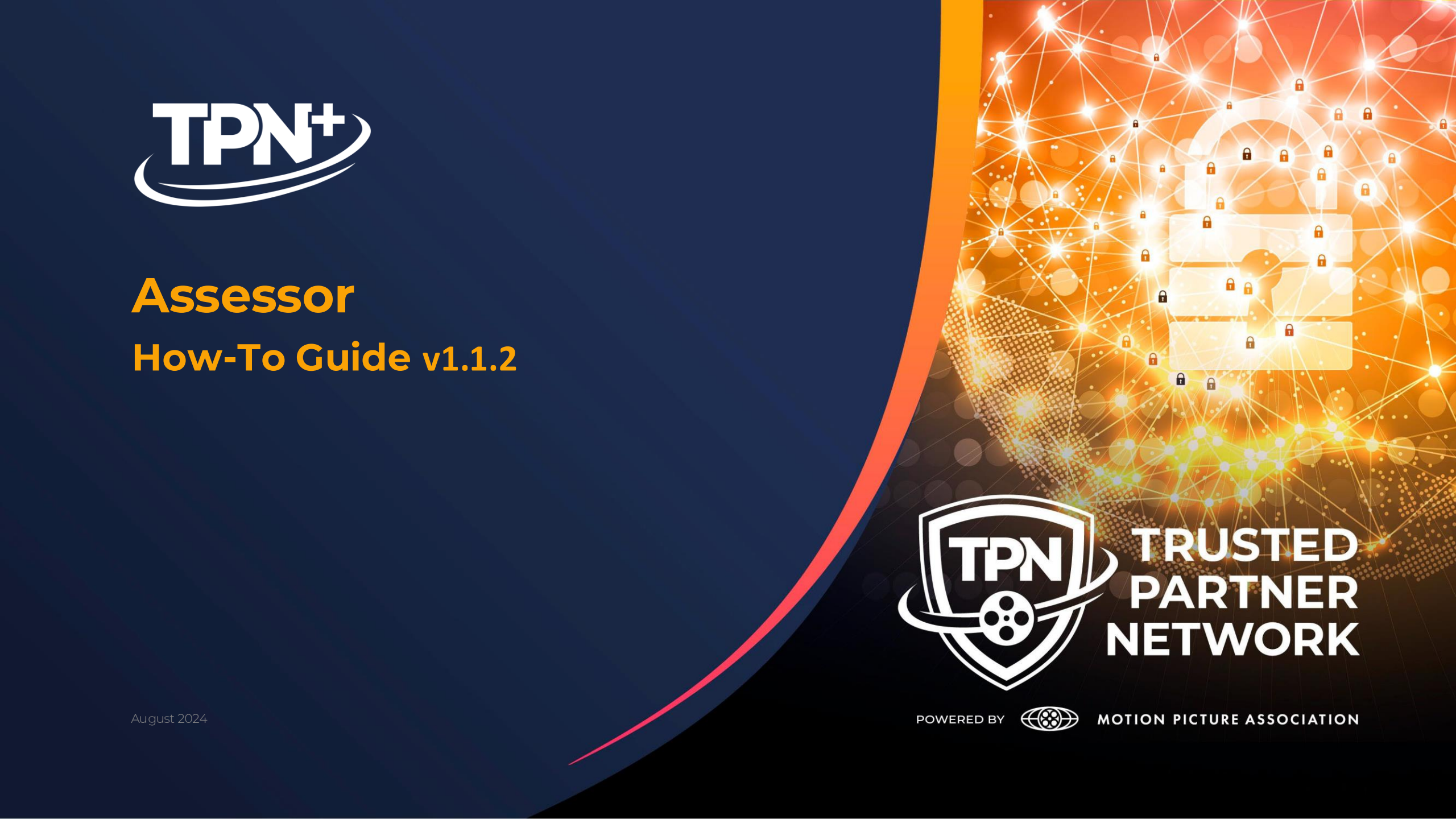
Assessor

How-To Guide v1.1.2



August 2024

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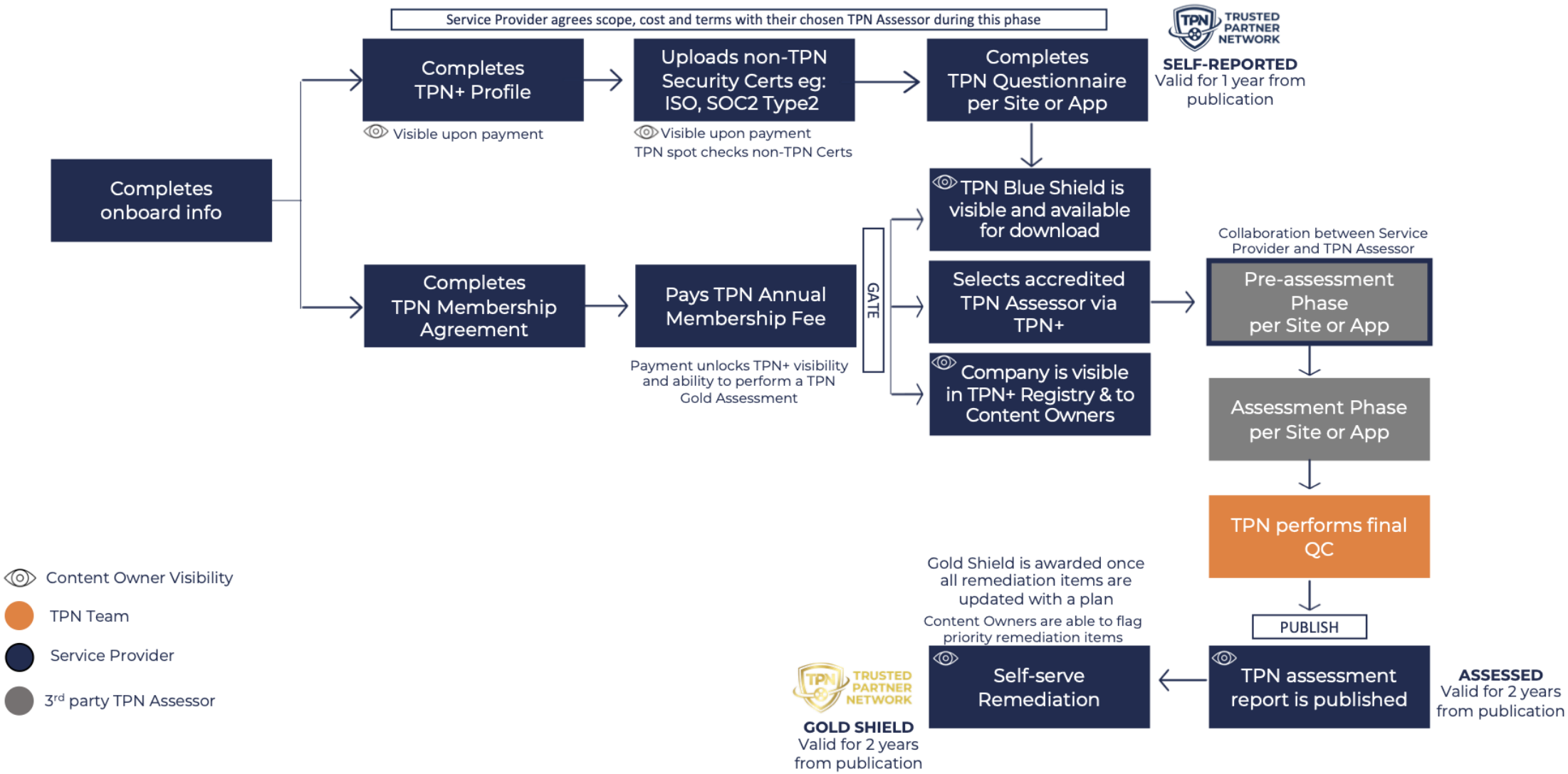
TPN+ Platform Process



Assessor: TPN+ Process Overview

ACCEPTANCE TIPS:
- Triggers **15 business day SLA**
- Confirm correct **scope and assessment type** has been selected
- Site or App **baseline and questionnaire answers** become available

Onboarding

Following accreditation, onboarding and agreement signature, you will receive an email to join the TPN+ platform

1

First Login / 2FA

Login using Microsoft Authenticator 2FA

2

Profile

Your Profile page will show Assessment requests that you can accept or reject.

Your profile is searchable by individual name only, not Company

3

Accept: Assessment moves to Pre-Assessment

Reject: Assessment is removed from profile and Service Provider is notified

4

Pre-Assessment

Collaborate with Service Provider to review TPN Best Practice Questionnaire, associated evidence and non-TPN Certificates

Service Providers **can update** answers in this phase

5

Perform + Submit Assessment

Report findings against Best Practice Questionnaire and submit when complete

Service Providers **can no longer** update answers in this phase

6

TPN Assessment QC

TPN to review submitted assessment and work with Assessor to address any issues

7

Assessment Complete

TPN marks the Assessment as complete, report is published, and assessment is no longer available via Assessor Profile

User System Recommendations

System Recommendations for Best User Experience

Internet Connection:

- Ensure a stable internet connection.
- High speed internet required.

Web Browser:

- Use a modern web browser.
- Keep the browser regularly updated to the latest version.
- Mobile and Tablet devices are not supported at this time.

Hardware Specifications:

- CPU: Dual-core with a clock speed of 2.5 GHz or higher.
- RAM: Minimum of 4 GB.

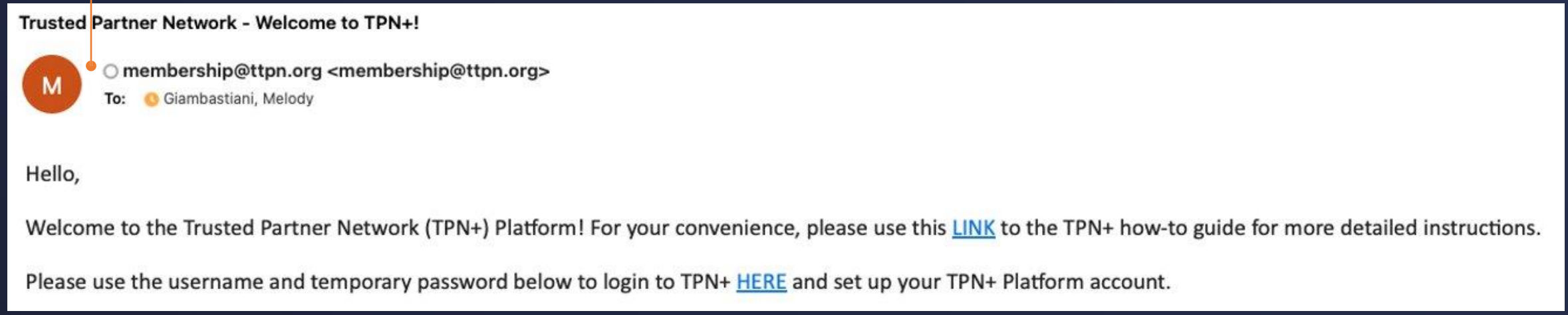
System Maintenance:

- Keep the system and browser up-to-date.
- Regular updates enhance overall performance and security of the browsing experience.

Assessor: Account Sign Up & Creation

Initial Set up/Log in

As a TPN accredited Assessor, an email will be sent to you from membership@ttpn.org with a temporary password.



Trusted Partner Network - Welcome to TPN+!

M membership@ttpn.org <membership@ttpn.org>

To: Giambastiani, Melody

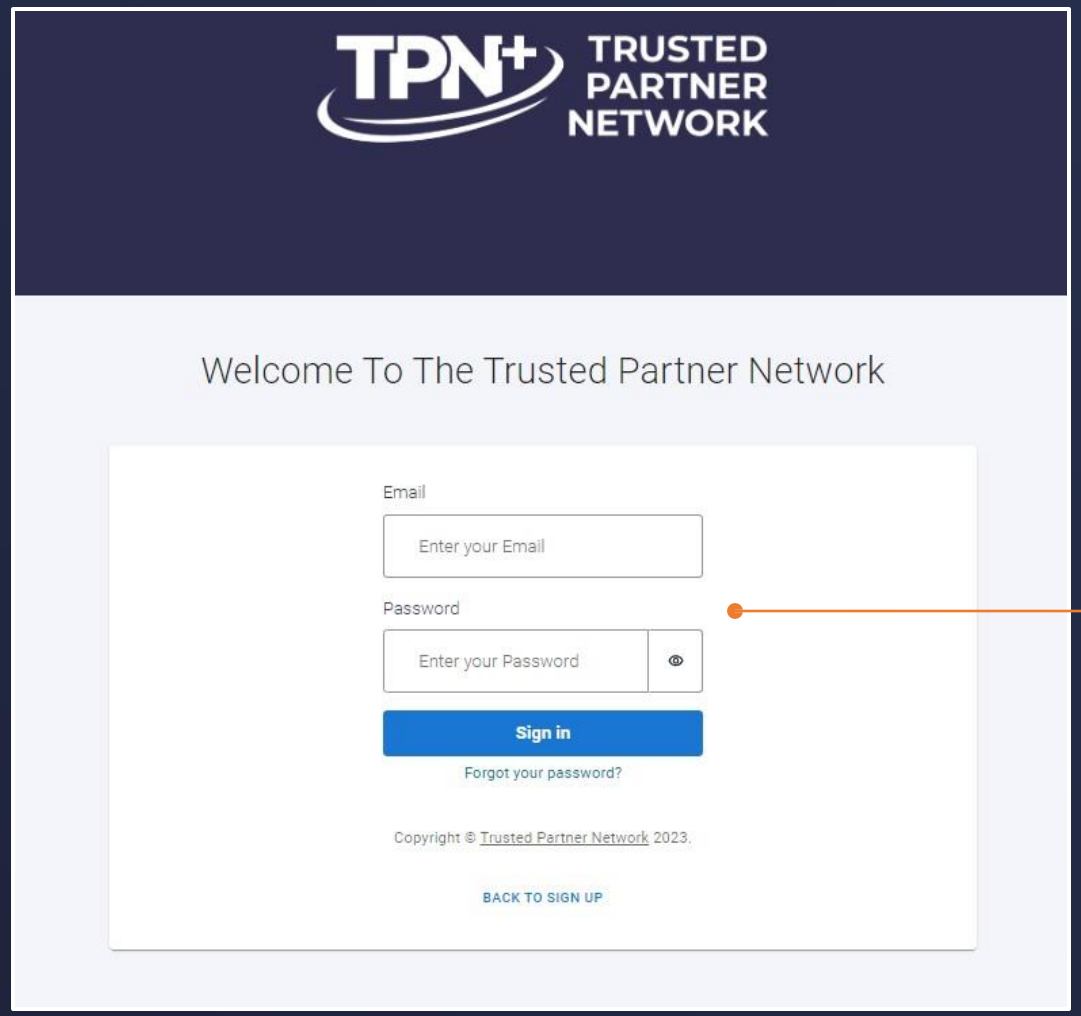
Hello,

Welcome to the Trusted Partner Network (TPN+) Platform! For your convenience, please use this LINK to the TPN+ how-to guide for more detailed instructions.

Please use the username and temporary password below to login to TPN+ HERE and set up your TPN+ Platform account.

You can then log in to the system by clicking on this hyperlink and using your temporary password.

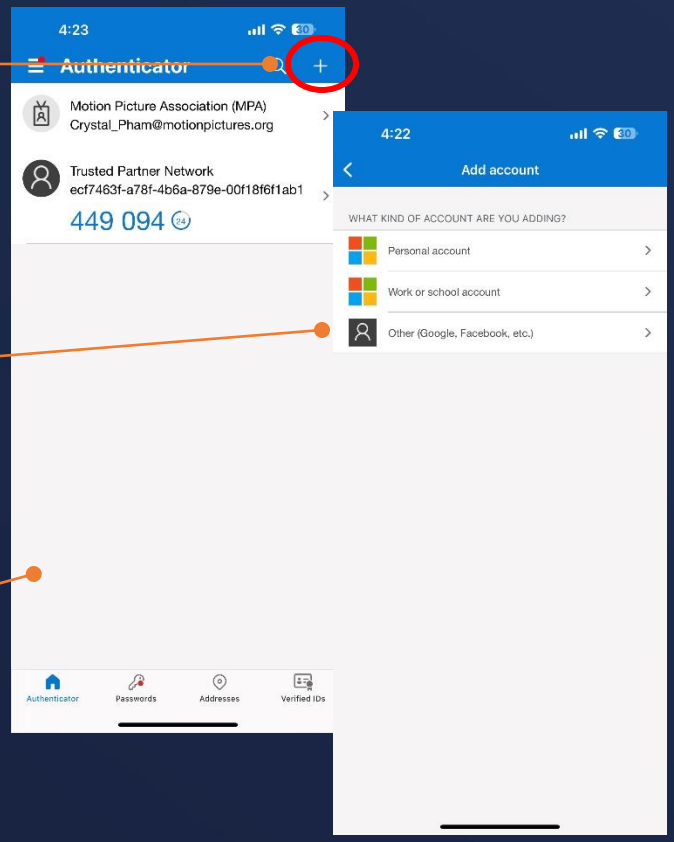
Initial Set up/Log in



You can now log in to the system by using your email and temporary password sent to you in the welcome email.

Microsoft Authenticator Setup

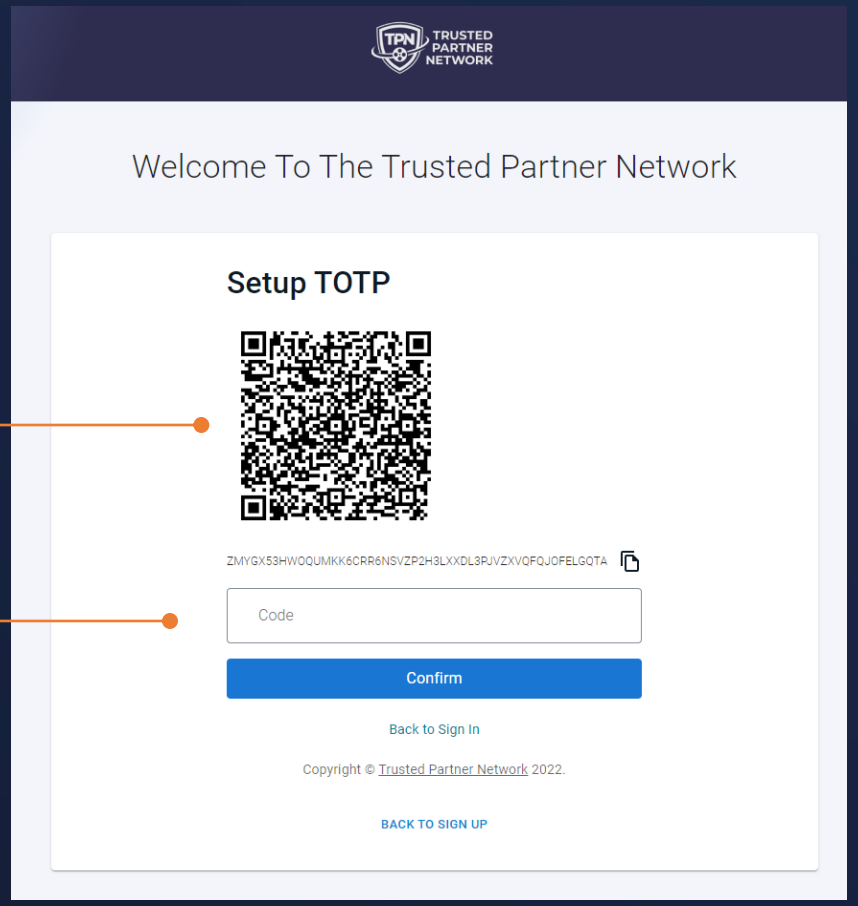
1. Download Microsoft Authenticator via link on Slide 9 or your phone's app store
2. Open Application
3. Click “+” symbol in upper right corner
   - Select Other (Google, Facebook)
4. Point your camera at the QR code
5. Your new account should appear in your Authenticator app
6. Use the one-time code to sign in to the TPN+ Platform



Initial Setup / Login

Once you have Microsoft Authenticator installed on your smartphone, using the camera on your phone, you can scan the QR code on the screen to pair the authenticator to your TPN+ user account and receive your two-factor authentication (2FA) number.

Enter the 6-digit number that appears in your Microsoft Authenticator app and press confirm to validate your secure login session.



TPN+ requires two-factor authentication (2FA). TPN+ only supports Microsoft Authenticator for 2FA validation.

Microsoft Authenticator

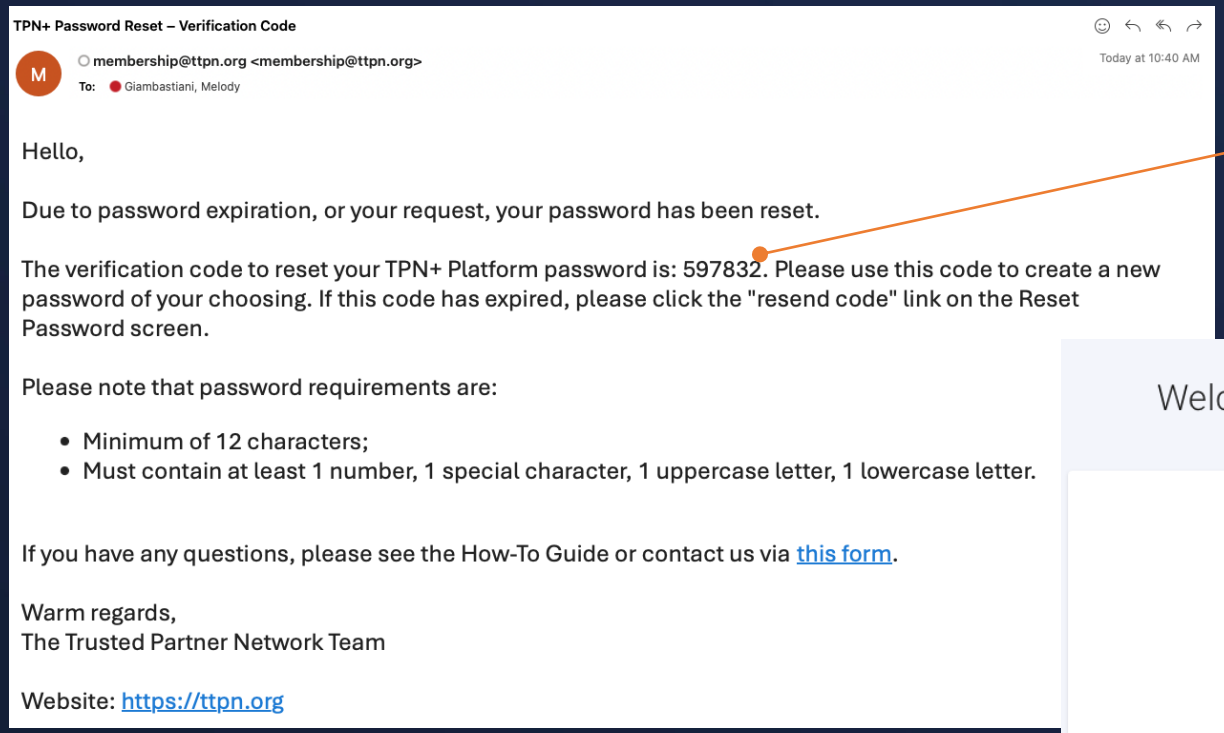
Links to Microsoft Authenticator

iPhone

Android

Important: You will need to open the Microsoft Authenticator app on your smartphone every time you log in. You will not receive a notification or text.

Password Management



TPN+ Password Reset – Verification Code

membership@ttpn.org <membership@ttpn.org>

Today at 10:40 AM

To: Giambastiani, Melody

Hello,

Due to password expiration, or your request, your password has been reset.

The verification code to reset your TPN+ Platform password is: 597832. Please use this code to create a new password of your choosing. If this code has expired, please click the "resend code" link on the Reset Password screen.

Please note that password requirements are:

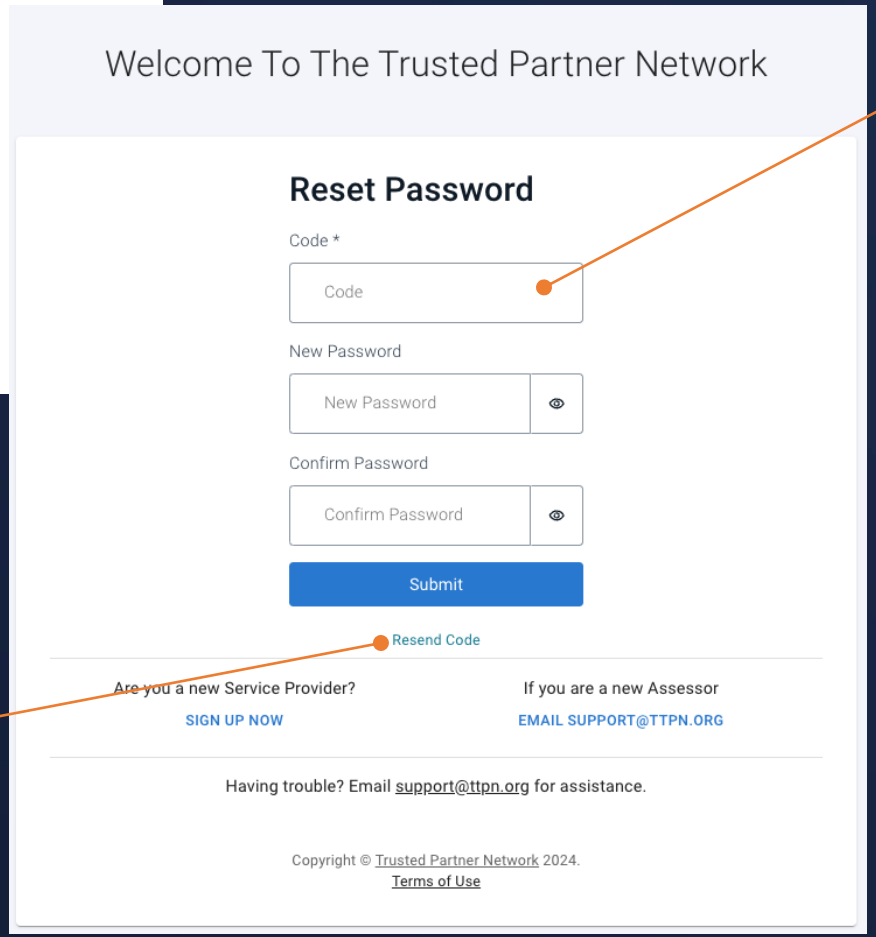
- Minimum of 12 characters;
- Must contain at least 1 number, 1 special character, 1 uppercase letter, 1 lowercase letter.

If you have any questions, please see the How-To Guide or contact us via this form.

Warm regards,
The Trusted Partner Network Team

Website: https://ttpn.org

If you reset your password, request for TPN to reset your password, or your password expires, you will receive an email with a temporary Verification Code.



You can log in to the system by using the code from the email. Enter a new password and Submit.

Please note that password requirements are:

- Minimum of 12 characters;
- Must contain at least 1 number, 1 special character, 1 uppercase letter, 1 lowercase letter.

Note: If the temporary “verification code” from the email has expired, simply click “Resend Code” - or go to the log-in page and click “Forgot password”.

After completing this screen, you will be taken to the TOTP screen where you enter the code from your Authenticator app.

Assessor:
Profile Overview

Assessor Profile

Your Profile is the landing page that upon login allows you to set up and manage your account and current assessments.

Note that the Company name will be your First and Last name, as you have been accredited as an Individual, and this is how you will be visible to Service Providers for Assessment selections.

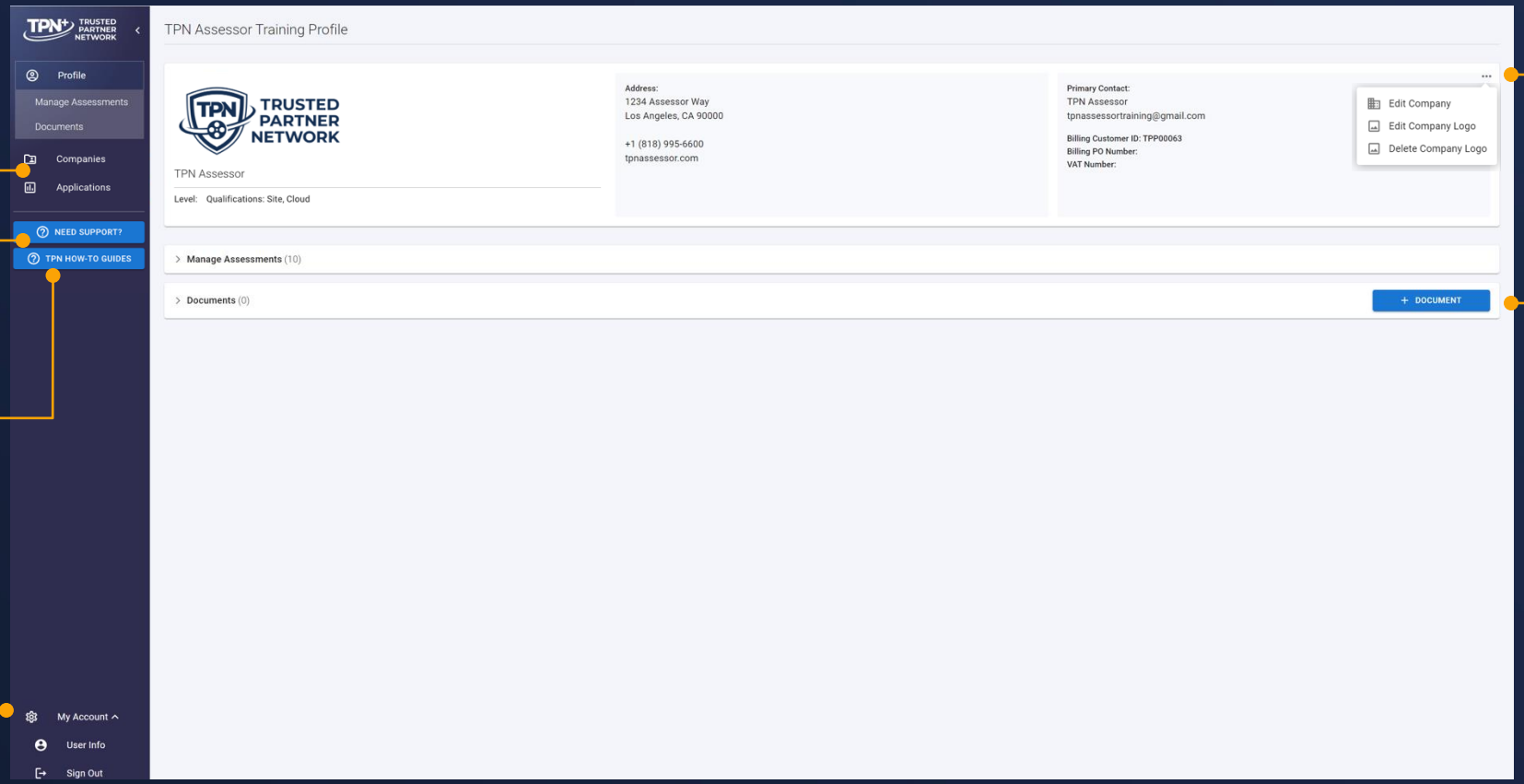
Registries: view list of all Service Providers and Applications and their shield status

Need Support: create support tickets for assistance from TPN Support Team

How-To Guides: view support manuals for Assessors and Service Providers

Manage Assessments: accept requests and perform assessments

User Info: change or update your individual account details



Company Details: change or update address, primary contact information, or logo

Documents: Add and manage any files you would like to store on TPN+

To change your email address, please click "Need Support?"
or email support@ttpn.org to open a service ticket.

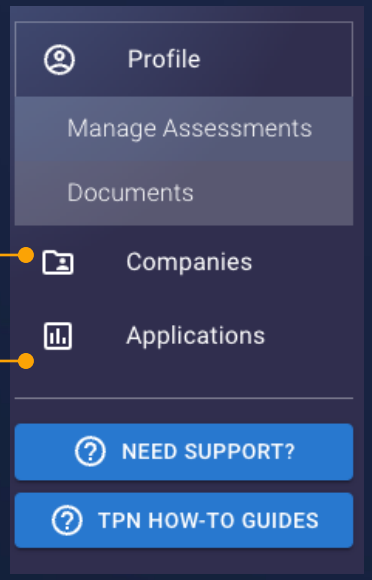
Assessor Profile - Registries

You can access the Companies and Applications registries via your profile.

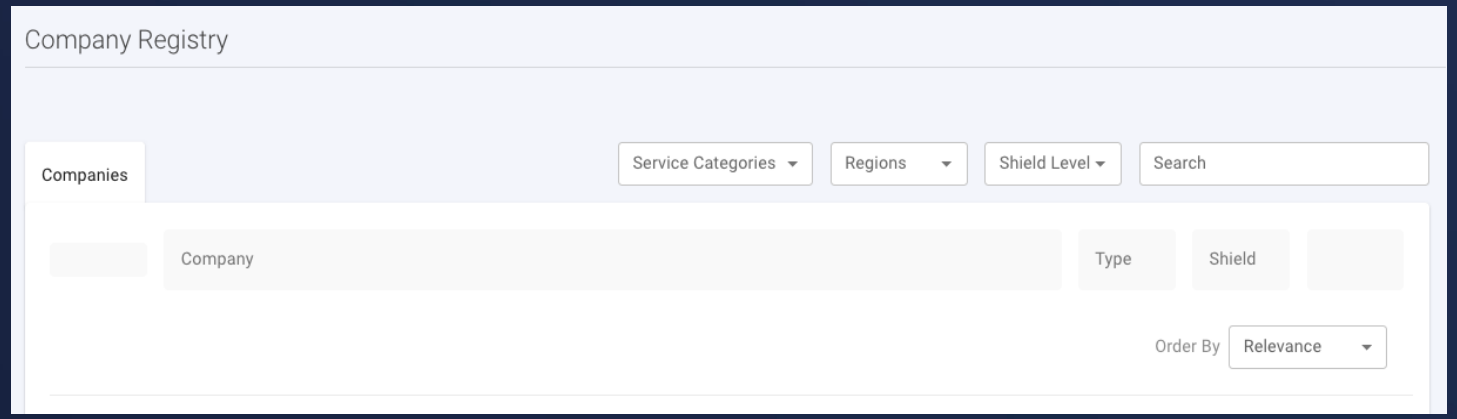
In the top left of your Profile:

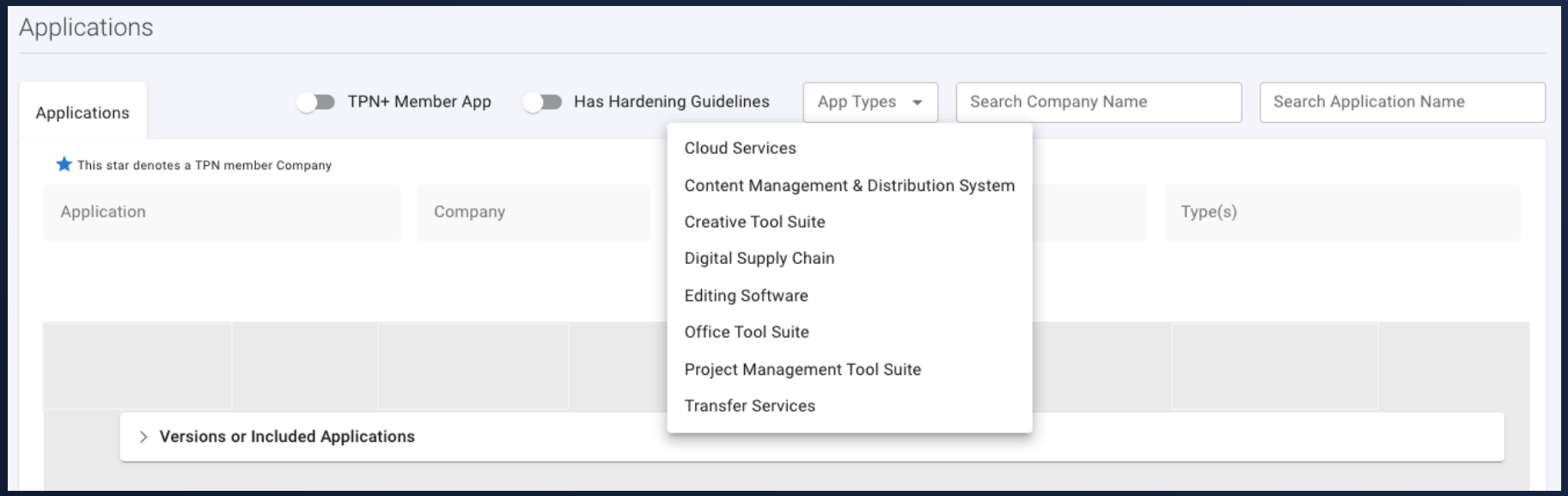
Click here for the **Companies** registry

Click here for the **Applications** registry



In the **Companies** registry, you can see all TPN member Service Providers. You can filter by **Service Categories**, **Region** or **Shield Level** – or search by Company name.





In the **Applications** registry, you can see all applications entered in TPN+ by TPN member Service Providers.

You can filter by **App Types**, search by Company and/or Application name, and there are toggles for "**TPN+ Member App**" and "**Has Hardening Guidelines**".

You can access any Hardening Guidelines that have been uploaded.

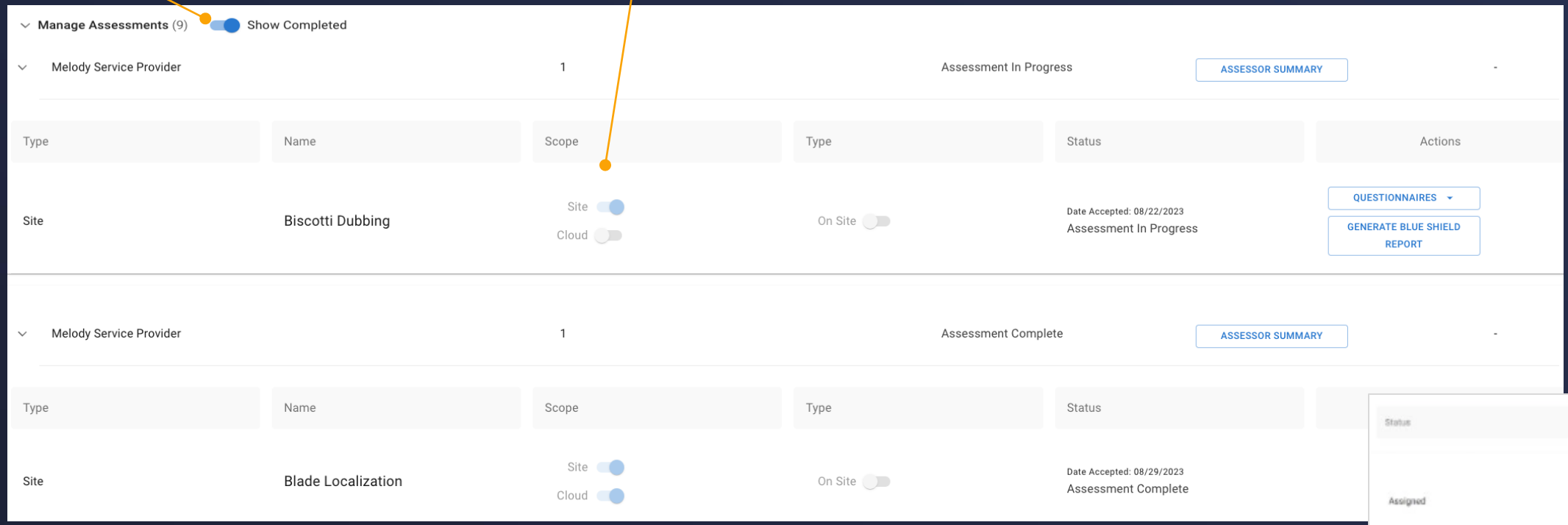
Assessor: Managing Assessment Requests

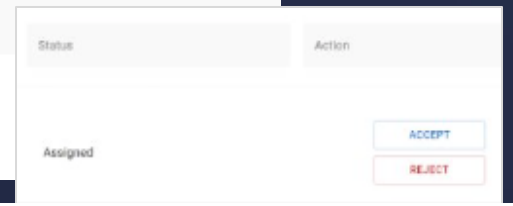
Managing Assessment Requests

Once a Service Provider assigns an assessment request to you,
the request will appear in the "Manage Assessments" section.

This toggle allows completed assessments to be filtered out of view

See assessment **scope** and **type** including if on-site assessment is required.
See next slide for **important note** about updating these toggles if incorrect.

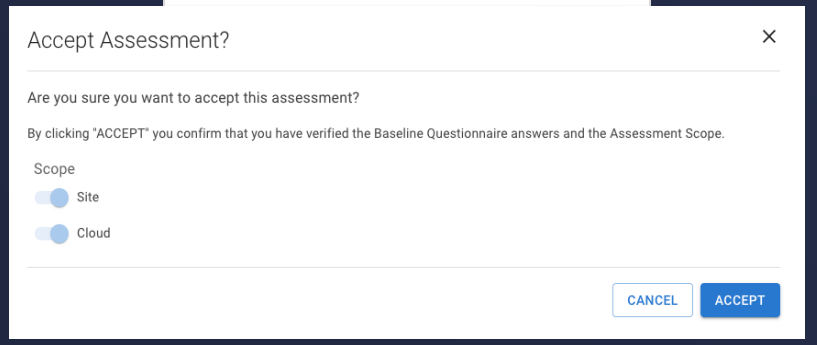




Once the request is made, you can either **Accept** or **Reject** the requested assessment.

Accepting an assessment will update the status to **Pre-assessment**. **Note that this action starts the clock for the 15-business day turnaround SLA.**

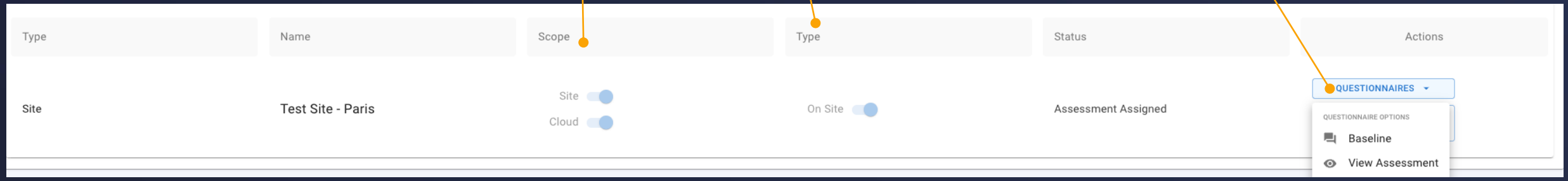
Rejecting an assessment will remove the request from your profile once the Service Provider re-assigns or deletes it. This will also update the Service Provider's request to a status of "rejected".

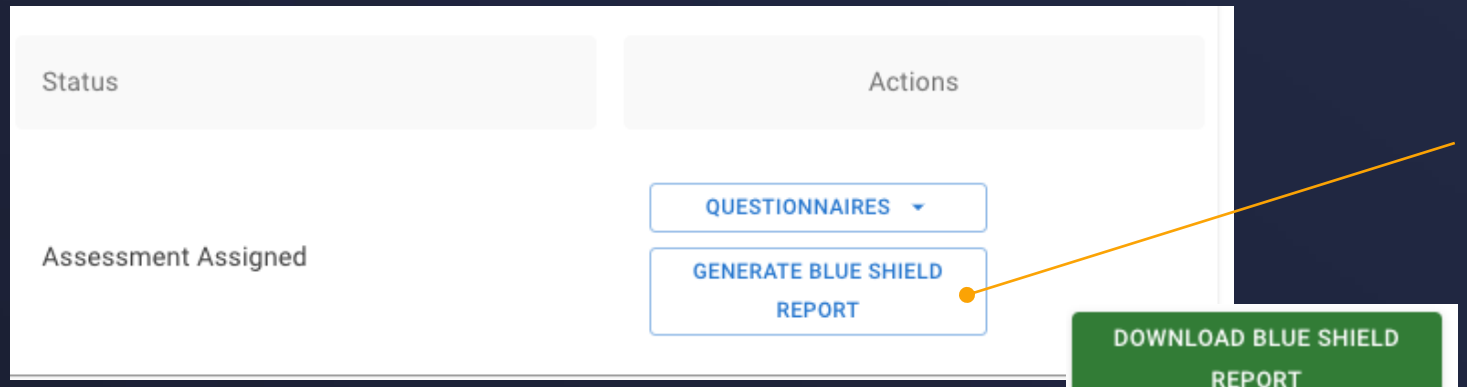


Managing Assessment Requests – Questionnaire Access

Important:
If the assessment **Type** (on-site or remote) assessment is incorrect, ask the Service Provider to update **before you accept the assessment**.
If the assessment **Scope** (site or cloud) is incorrect, ask the Service Provider to update their Baseline Environments answer during the Pre-Assessment phase.

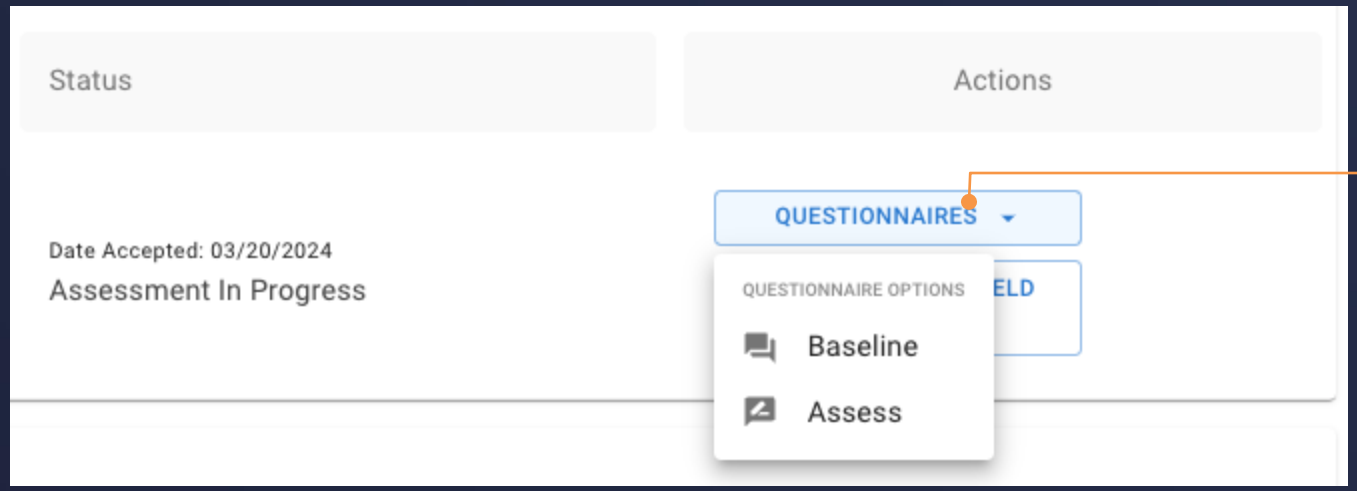
To help determine the scope of the assessment, before you accept it, you can click into the Service Provider's Baseline answers or click on **View Assessment** to access their TPN Questionnaire answers.





To download a PDF version of the Service Provider's full TPN Questionnaire, click on **Generate Blue Shield Report** then **Download Blue Shield Report**. This option is accessible until the assessment is complete.

Managing Assessment Requests – Baseline Questionnaire Access

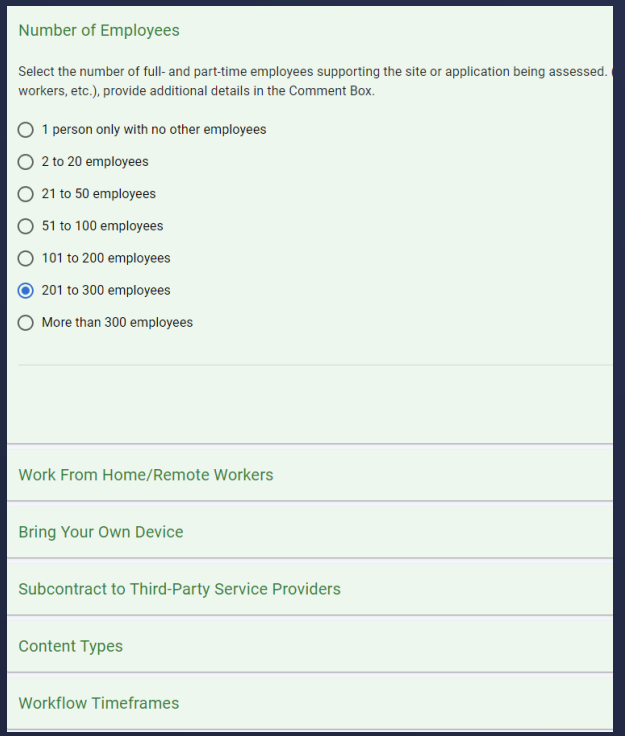


Even after you accept an assessment, you can still access the Service Provider's Baseline answers via the Questionnaires dropdown.

The Site or Application Baseline Questionnaire includes:

- Number of Employees
- Work From Home/Remote Workers
- Bring Your Own Device
- Subcontract to Third-Party Service Providers
- Content Types
- Workflow Timeframes
- Physical Content Assets
- Environments
- Replication Facilities
- Software Development
- Data Center & Co-locations

This information will assist assessment scoping.



Assessor: Assessment Definitions

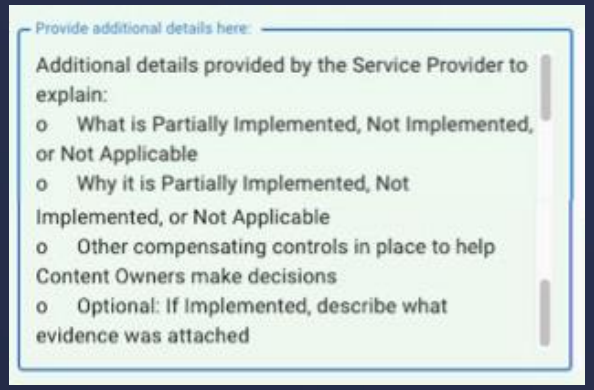
Definitions

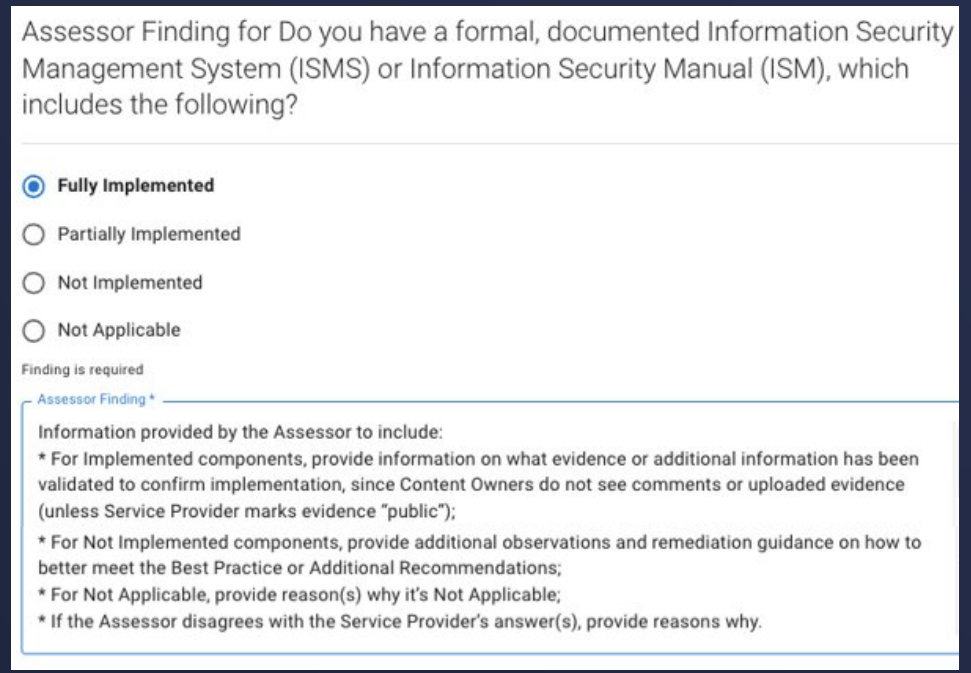
- **Best Practice vs. Additional Recommendations**
  - **Best Practice**
    - Minimum requirements where all components need to be fully met to fulfill the overall Best Practice.
  - **Additional Recommendations**
    - Supplemental recommendations for Best Practices implementation. **These are not requirements.**
- **Evidence vs. Finding vs. Remediation**
  - **Evidence** = Artifacts that are uploaded or shared to confirm implementation of a Best Practice or Additional Recommendations. Assessors must validate evidence provided.
  - **Finding** = Gaps identified during an assessment to capture where components do not meet a Best Practice or Additional Recommendations.
    - Findings that are identified need a remediation plan.
    - Content Owners need visibility on findings to make decisions according to their risk profiles and may request remediations as needed.
  - **Remediation** = Actions taken to address or mitigate a Finding that does not meet a Best Practice or Additional Recommendation.
- **Assessor Summary**
  - A freeform text box for assessors to add an overview summary and/or additional context outside of specific control findings
  - An **Assessor Summary** button appears in the Manage Assessments row. The text can be edited throughout the assessment process.
  - Once the assessment is complete, this will show in the “Assessor Summary” section in the PDF report for the Service Provider and Content Owners

Definitions

- **Service Provider Details**
  - Additional details provided by the Service Provider to explain:
    - What is **Partially Implemented**, **Not Implemented**, or **Not Applicable**
    - Why it is **Partially Implemented**, **Not Implemented**, or **Not Applicable**
    - Other compensating controls in place to help Content Owners make decisions
    - Optional: If Implemented, describe what evidence was attached
- **Assessor Findings**
  - Information provided by Assessor to include:
    - For Implemented components, provide information on what evidence or additional information has been validated to confirm implementation, since Content Owners do not see comments or uploaded evidence (unless Service Provider marks evidence "public")
    - For **Partially** and **Not Implemented** components, provide additional observations, implemented compensating controls, as well as remediation guidance on how to better meet the Best Practice or Additional Recommendations
    - For **Not Applicable**, provide reason(s) why it's Not Applicable
    - Note: The assessor response is the final response for the assessment

Service Provider Details and Assessor Findings are visible to Content Owners and are included in the final report.

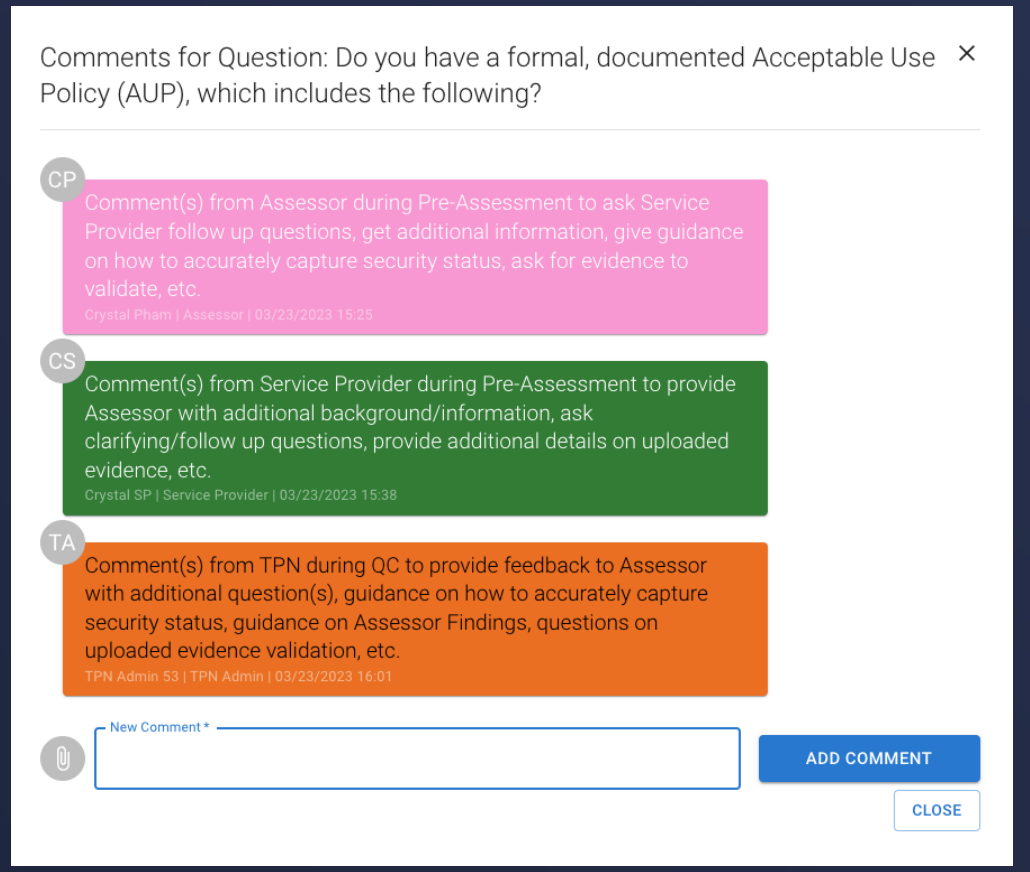




Definitions

- **Comments**
  - **Assessor:** Comment(s) from Assessor during Pre-Assessment to ask Service Provider follow up questions, get additional information, give guidance on how to accurately capture security status, ask for evidence to validate, etc.
  - **Service Provider:** Comment(s) from Service Provider during Pre-Assessment to provide Assessor with additional background/information, ask clarifying/follow up questions, provide additional details on uploaded evidence, etc.
  - **TPN:** Comment(s) from TPN during QC to provide feedback to Assessor with additional question(s), guidance on how to accurately capture security status, guidance on Assessor Findings, questions on uploaded evidence validation, etc.
- **TPN+ Global Pass**
  - Process provided to SPs with 5+ sites and/or applications upon request – to offer efficiency for sites/apps that fully implement the same Best Practices across all the sites/apps.
  - These are not TPN-verified and still need to be validated and explained by the Assessor.

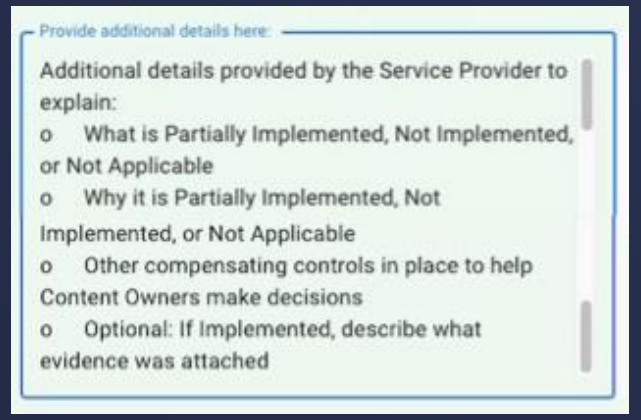
Comments between the Assessor and Service Provider are NOT visible to Content Owners and are NOT included in the final report.

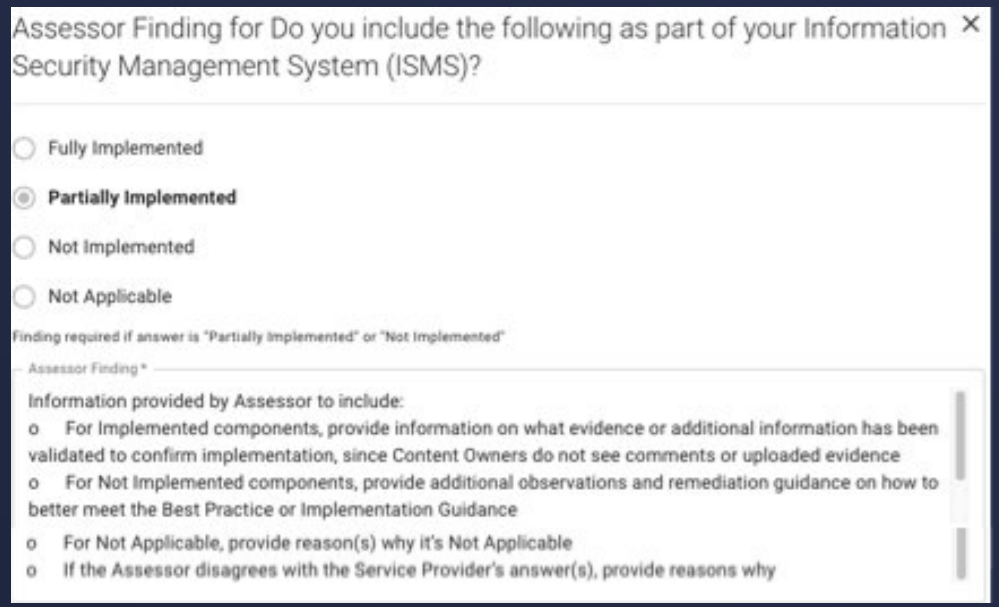


Assessor: Pre-Assessment

Important context to keep in mind while reviewing Questionnaire during Pre-Assessment

- **The bulk of the work** for the Assessor and the Service Provider will be done during the Pre-Assessment stage, during which the TPN Questionnaire is unlocked and **Service Providers can update their answers** to accurately reflect their security status. If the Assessor is familiar with specific components at their facility and they want to rely on the Assessor to add details on their behalf, explanations need to be added to the Assessor Findings that speak to these components.
    - Remind Service Providers that the text they enter will be visible in the report for the Content Owner, so it's in their best interest to add details.
- Remember that Content Owners cannot see evidence (unless Service Provider marks evidence "public") and chat comments. What details do you, the Assessor, need to provide in the Assessor Findings (text box) so that they are confident in the Service Provider's answer? It's your responsibility to **fill in these gaps** for them. The **Content Owners depend on the Assessor Findings** to help them make decisions.





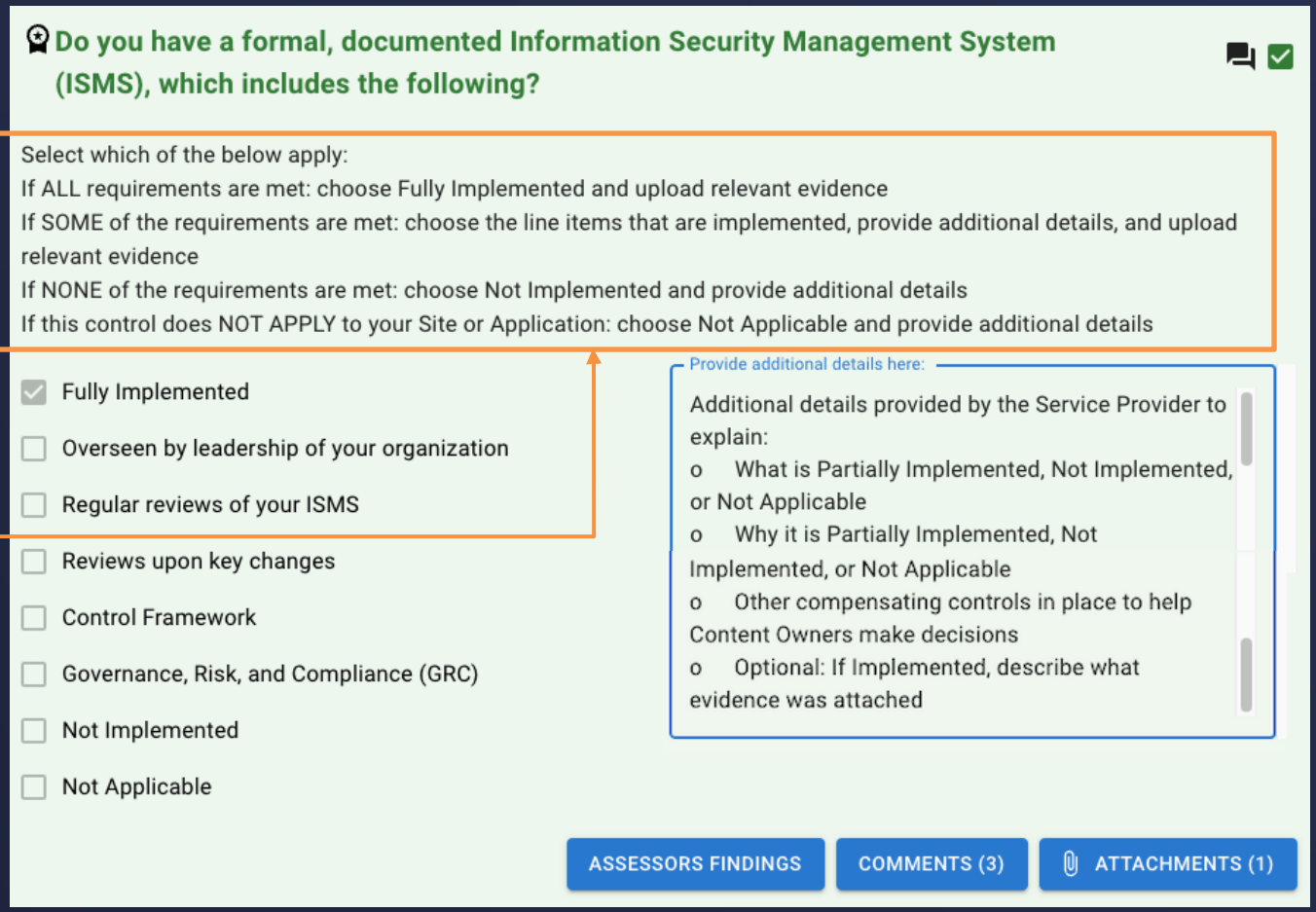
Scenarios to address with Service Providers during Pre-Assessment: Evidence/Answers

- **Evidence:** Did the Service Provider provide evidence for all answers? If not, **ask questions** (outside the platform or utilizing the comments chat) to ensure that you are confident in their answers.
  - You should describe evidence provided and/or information discussed in your Finding so that the Content Owner knows what was used to verify implementation.
  - Content Owners cannot see evidence unless the Service Provider marks "public" upon upload.
  - Assessors should use their judgement when deciding quality of evidence. If an assessor cannot validate a control through provided evidence, assessors can and should ask for further validation through any means (e.g., documentation, interviews, physical walkthrough, etc.).

- **Correct answers:** Did the Service Provider **properly answer** all questions?
  - See the following slides for each answer type...

Scenarios to address with Service Providers during Pre-Assessment: Fully Implemented

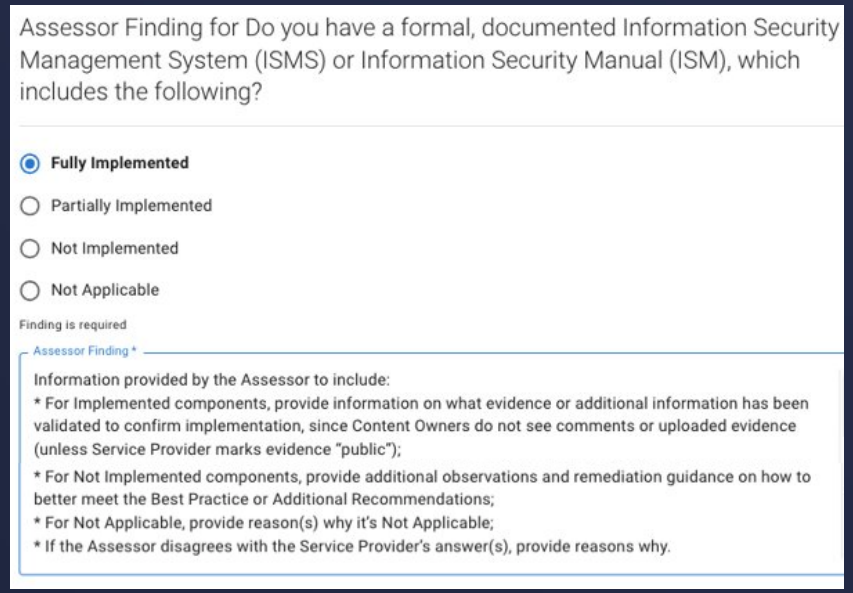
- If **ALL** components of a Best Practice or Additional Recommendations are met, **Fully Implemented** should be chosen.
- If the Service Provider checked off **ALL** components instead of checking **Fully Implemented**, **ask them to update their answer** so it accurately reflects their security status.
- If the Service Provider checked **Fully Implemented** and checked additional boxes, ask them to update their answer so it accurately reflects their security status.
- Please see to the Service Provider instructions under each question for reference.



Scenarios to address with Service Providers during Pre-Assessment: Partially Implemented, Not Implemented, Not Applicable

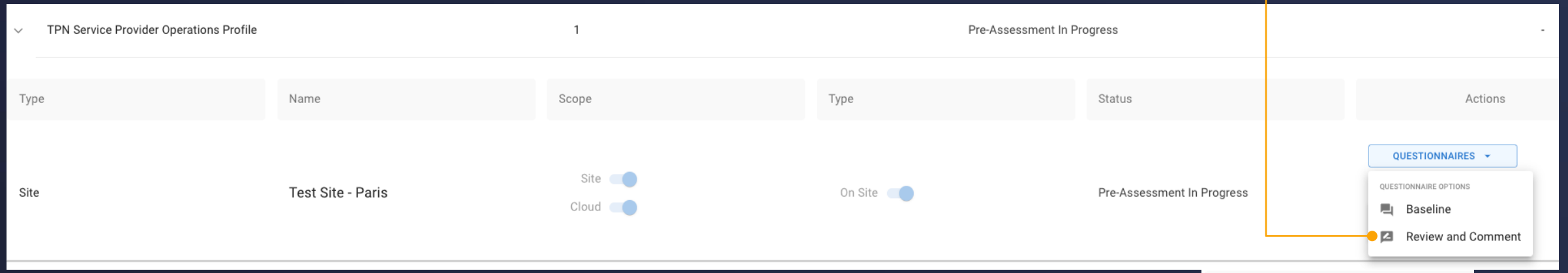
- If only **SOME** components of a **Best Practice** or **Additional Recommendations** are met, the Service Provider should only check these off, and you as the Assessor would select **Partially Implemented** during your Assessment.
    - If a component is not implemented because it is not applicable to the Service Provider, an explanation should be provided in the Service Provider Details or Assessor Findings sections. The Best Practice or Additional Recommendations should NOT be marked as **Fully Implemented**.
- If the Best Practice or Additional Recommendations are marked **Partially** or **Not Implemented**, note in your Finding what is not implemented plus any additional information, including compensating controls, or reasons to help the Content Owners understand the gap; and recommendations on how to better meet the Best Practice or Additional Recommendations.
- If the Service Provider selected **Not Applicable**, make sure you understand why the component(s) is **Not Applicable**, and describe this in your Finding.

Note: If the Service Provider selects **Not Applicable** or **Not Implemented**, they will not see subsequent questions due to Questionnaire logic. Please make sure that they have only selected **Not Applicable** or **Not Implemented** if they are sure this is the correct indication. This needs to be addressed during the Pre-Assessment phase.



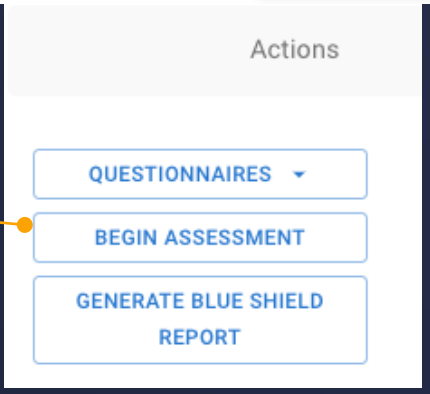
Pre-Assessment Overview: Getting Started

By clicking **Review and Comment** you view the TPN Best Practices Questionnaire and can communicate with the Service Provider to request additional information and evidence. During the pre-assessment phase, the Service Provider may update answers prior to beginning the formal assessment.

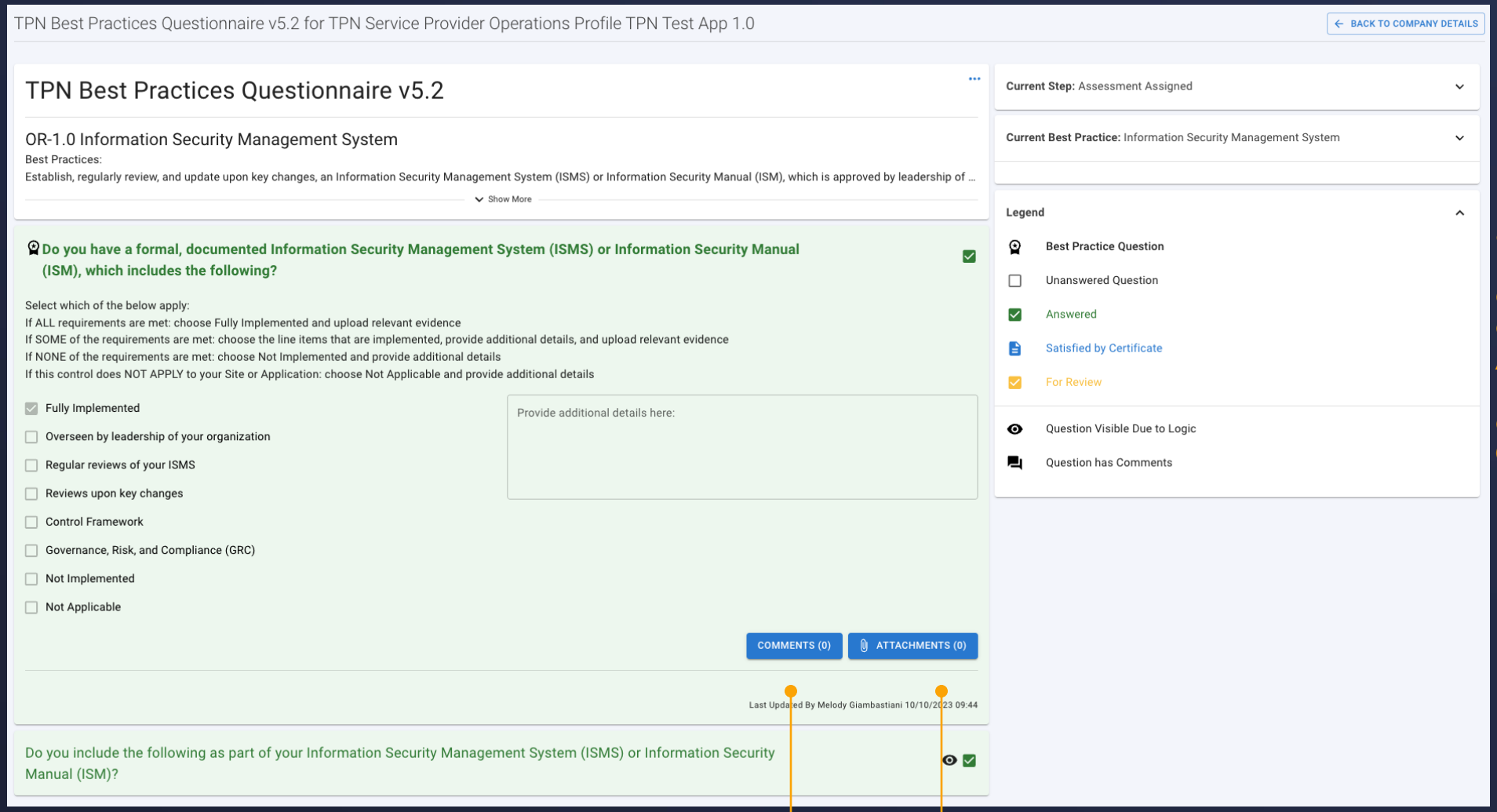


Please Note: Clicking **Begin Assessment** starts the formal assessment of the Site or Application and changes the status to **Assessment in Progress.**

During this phase, the Service Provider is unable to make any further changes to their answers.



Pre-Assessment Questionnaire View – Review & Comment

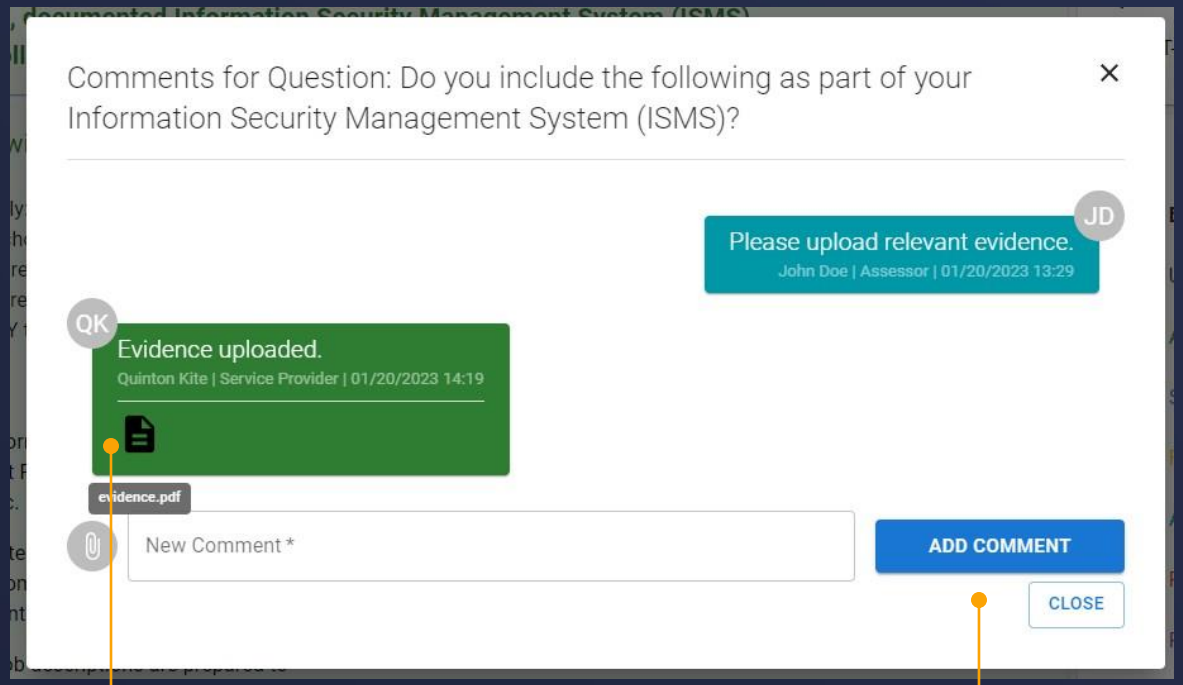


During the pre-assessment phase, Assessor should review all answers and attachments uploaded as well as any certifications tagged to the Site or App. If any errors are found, Assessors may ask the Service Provider to update their answers, evidence, or certificates via the **Comments** button.

To begin a dialogue with the Service Provider, click the **Comments** button.

To review evidence uploaded on a question, click the **Attachments** button.

Pre-Assessment – Commenting



TPN are validating all non-TPN certifications. If you discover an incorrect or expired non-TPN cert, please instruct the Service Provider to remove or update it.

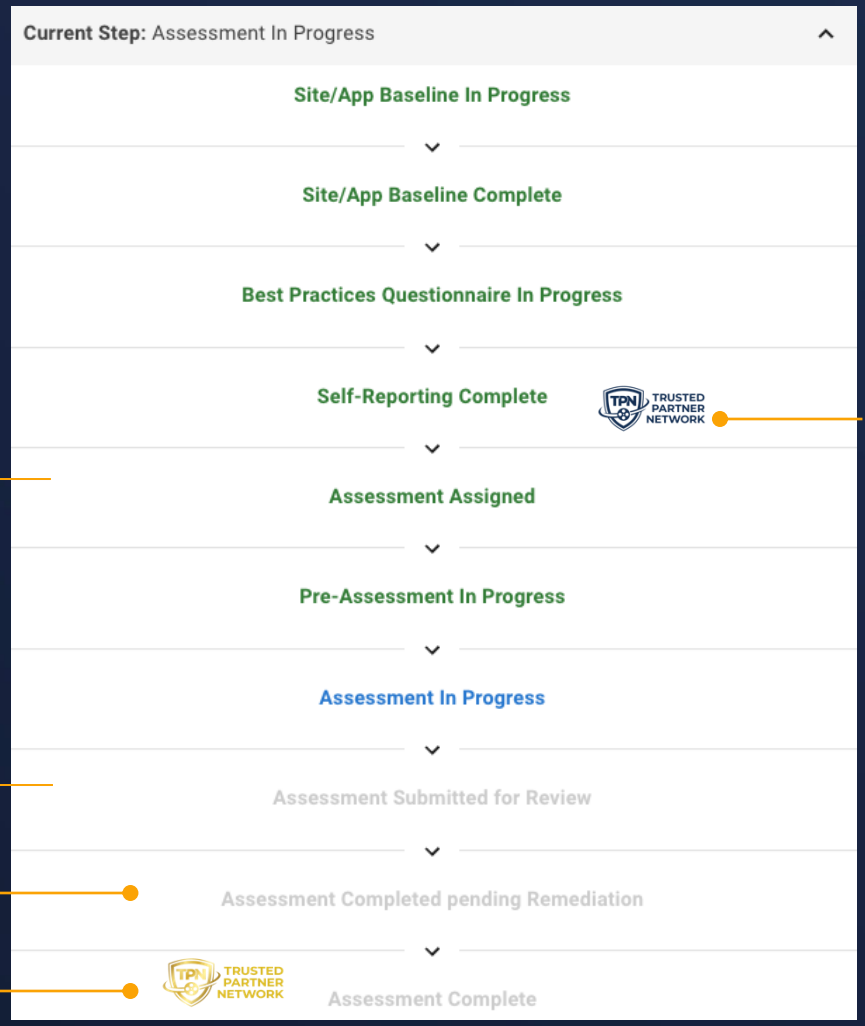
NOTE: if removed, some automated answers will no longer be pre-populated.

The Service Provider can respond and provide attachments with requested evidence for review prior to going into the assessment phase.

Enter your comment and submit with **Add Comment** to send a message to the service provider.

Assessment Questionnaire View – Progress List

In the top right-hand corner of the TPN Best Practice questionnaire screen you can click down and see this progress list as a Site or Application moves through the TPN+ platform to Blue or Gold Shield status including remediation management.



The Questionnaire is locked and published and the **TPN Blue Shield** is awarded.

This section is where Assessors will be involved in the process.

TPN approved the assessment and Service Provider can enter remediation plans on open findings.

Remediation plans entered and the TPN Gold Shield awarded.

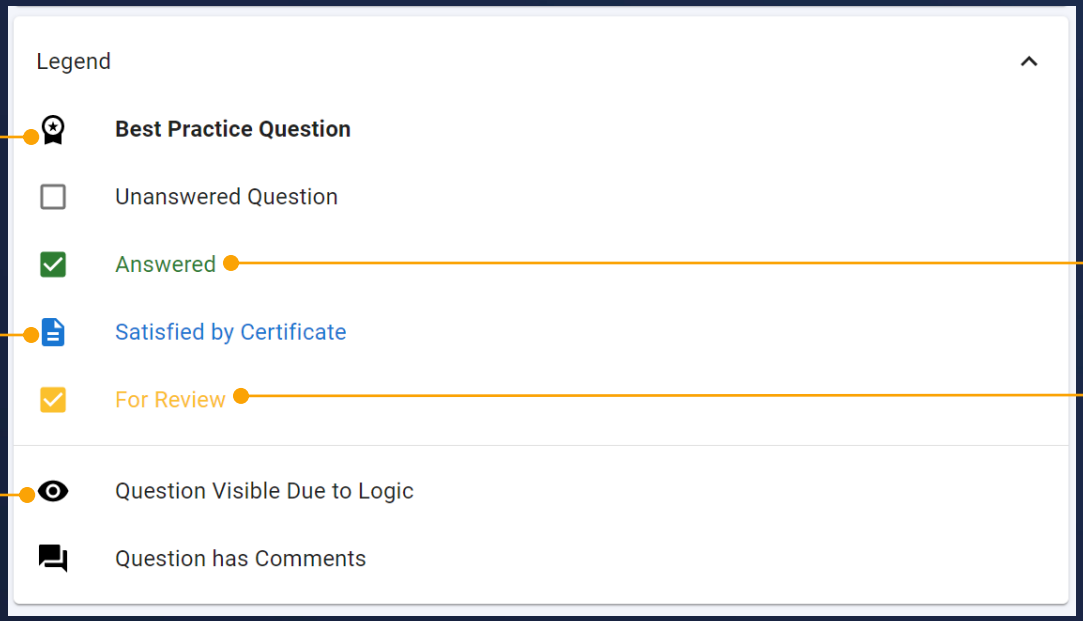
Pre-Assessment Questionnaire View – Legend

The following Legend items are applicable when viewing the completed **TPN Best Practices Questionnaire**:

This symbol denotes a Best Practice question, all other questions are Additional Recommendations.

This answer was pre-populated based on an associated non-TPN certificate the Service Provider uploaded.

Hovering over this icon on a question will explain why the question is being displayed.

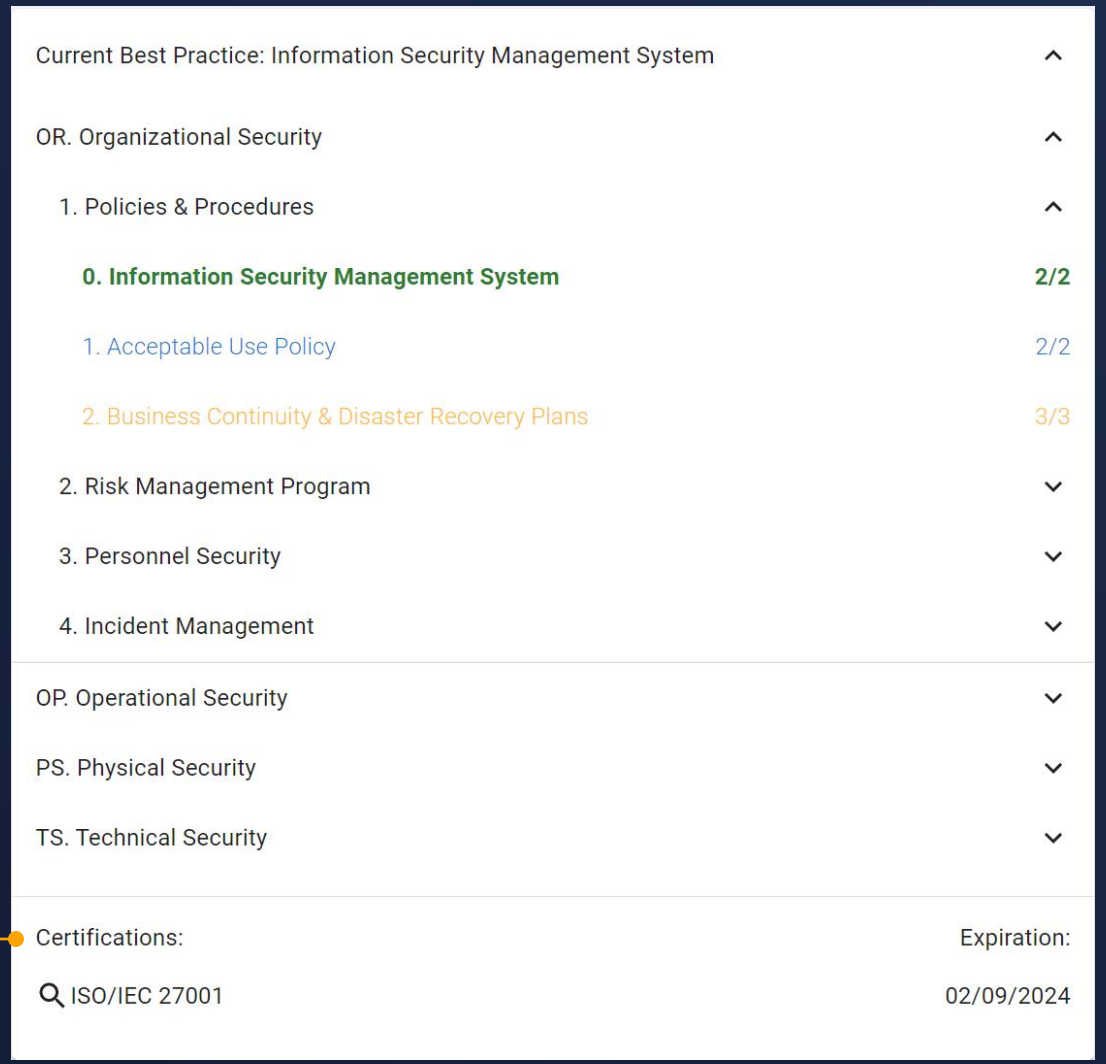


A response meets the Best Practice requirements.

A response does not meet the Best Practice requirements and needs Content Owner review.

Pre-Assessment Questionnaire View – Navigating Questionnaire & Certifications

The Question Log displays each Best Practice under its Domain and Topic, as shown in the image. You are able to click a Best Practice to view the questions associated with it.

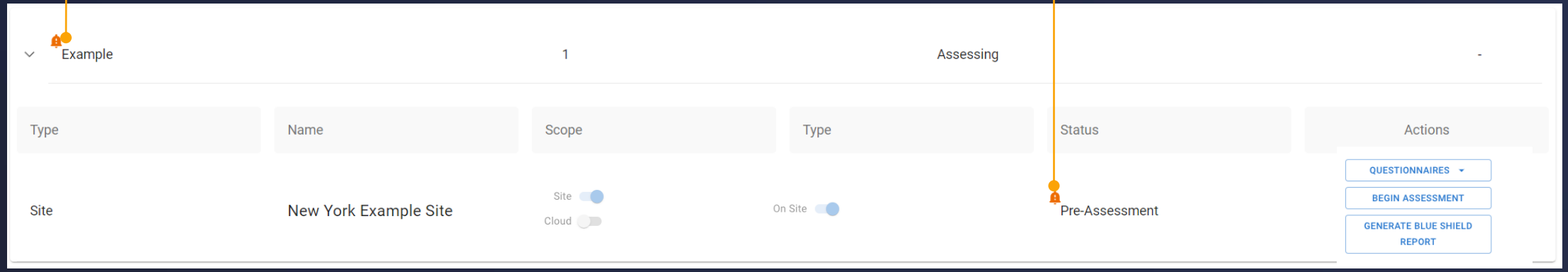


Each Answer is color-coded based on the Legend

Certifications associated with a Site or App are also shown here. By clicking the certification text you will be able to view the certification in a new window.

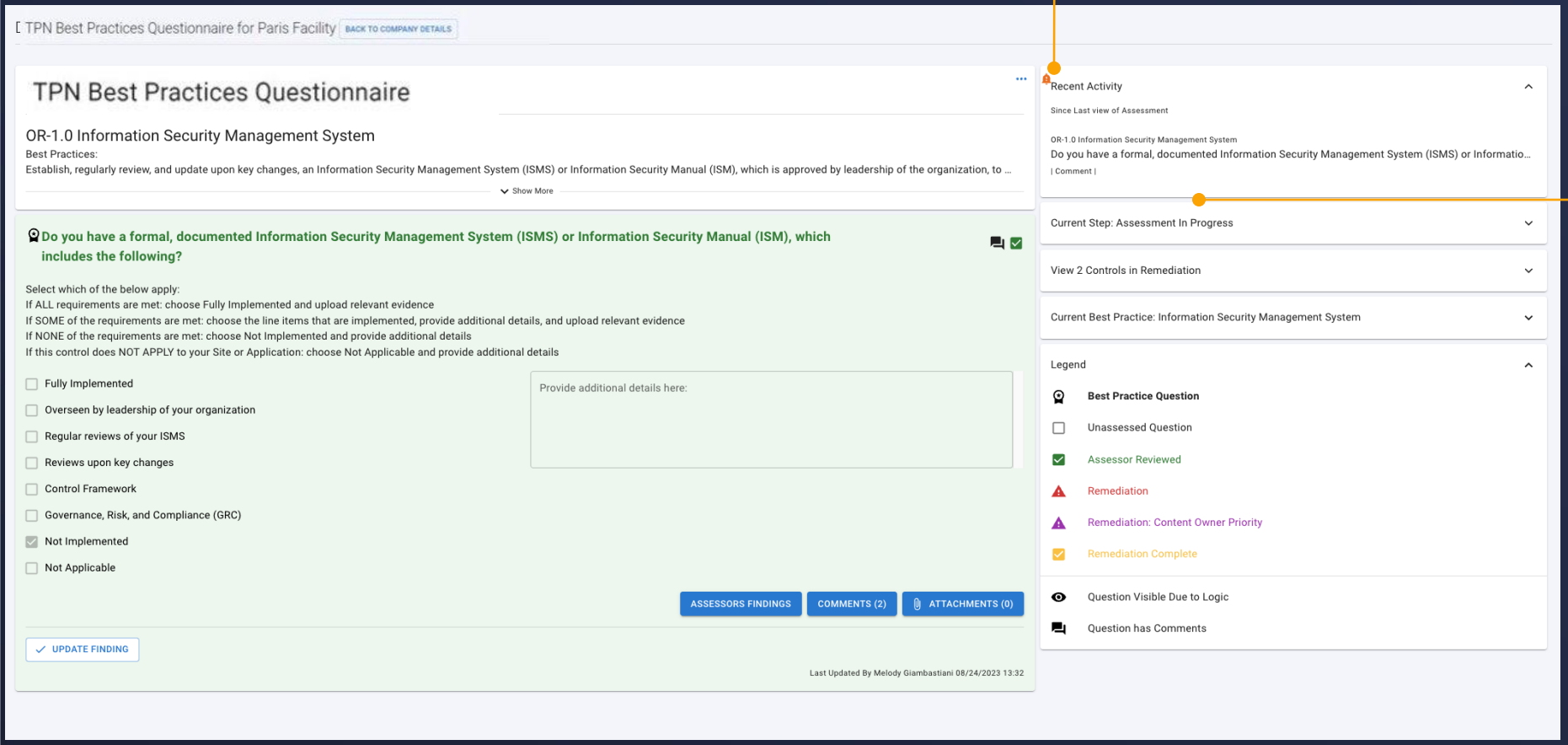
Pre-Assessment - Recent Activity Notifications

When any change is made during the assessment process, a notification will appear on the profile to inform that there has been changes since your last time opening the questionnaire.



Assessor – Recent Activity Notifications

The recent activity section displays a list of all questions that have updated information since the last time you opened the questionnaire.



Under each question will be a list of changed items that have changed so you can easily identify what to look for when reviewing.

If you click on the item, you will be taken straight to the question.

Assessor: Assessment & Submission

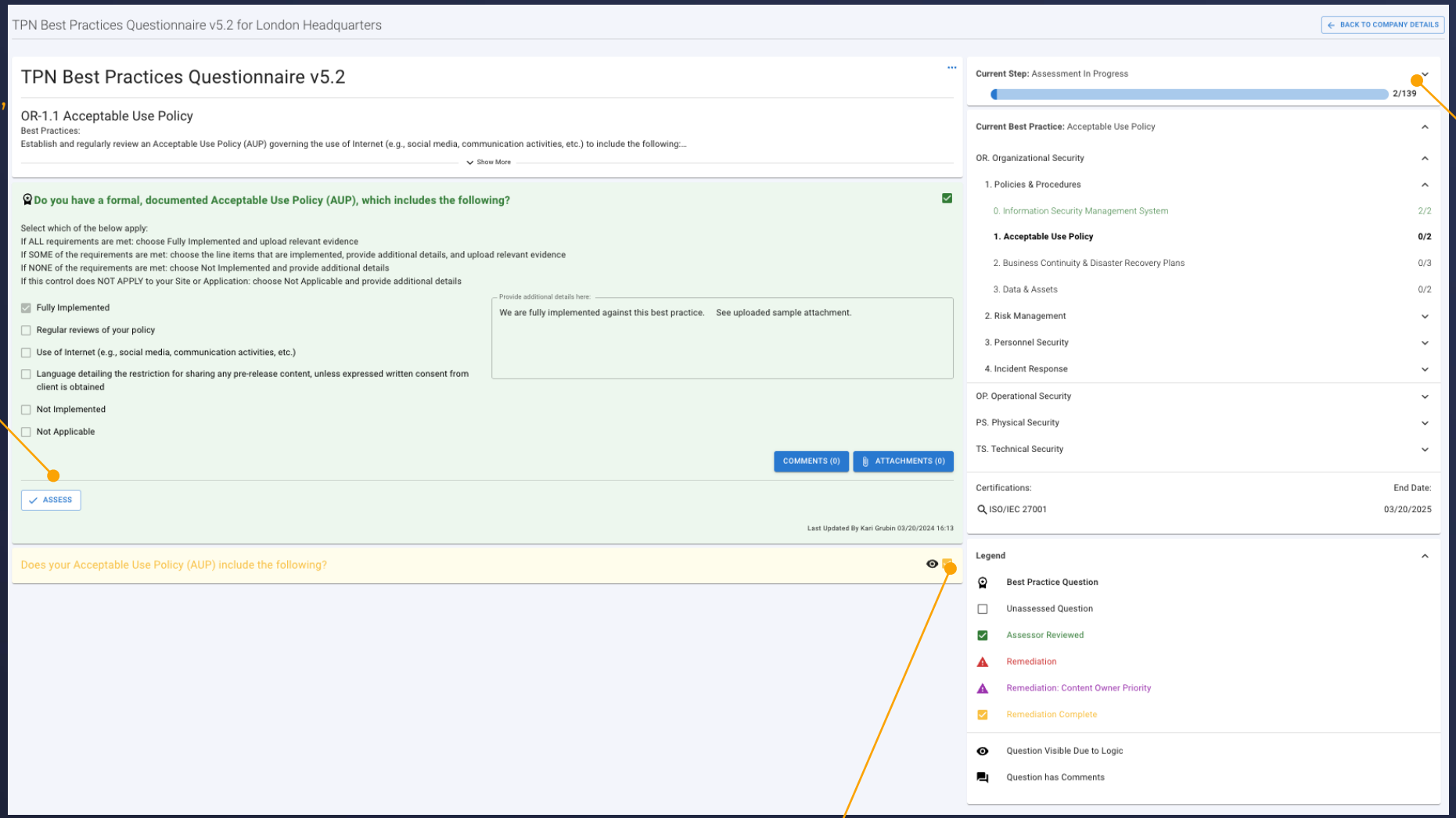
Assessment – Assessing Questions

After Clicking **Begin Assessment**, you will be taken to the same TPN Best Practices Questionnaire.

However, the **Assess** button is now present in the bottom left corner of each question. Additionally, all questions will be colored white.

Clicking the **Assess** Button expands the section to enter your **Assessor Finding**.

See next slide for this visual.

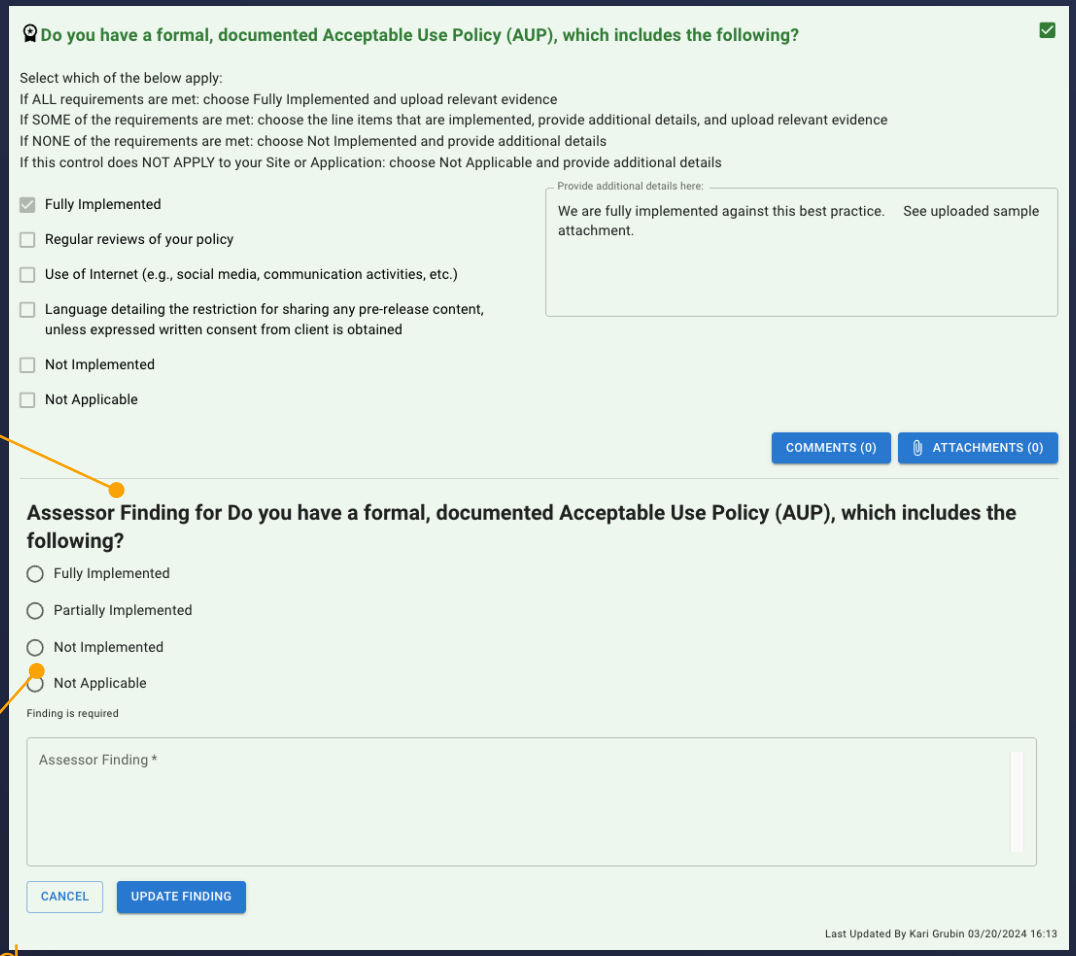


You can see the current step and progress (findings entered).

The legend has also updated to reflect the Site/App being in the Assessment phase. Although some of the same colors are used, they now have different meanings than in the Pre-Assessment phase.

Assessment – Assessing Questions

Clicking the **Assess** Button expands the section to enter your **Assessor Finding**.

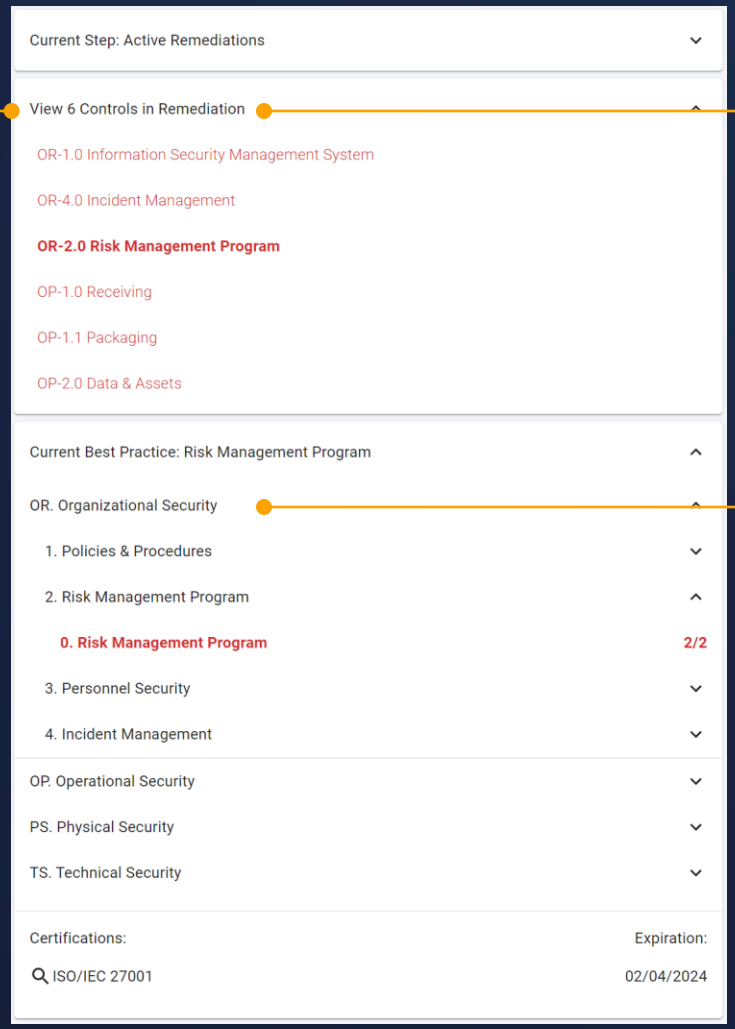


You will select the appropriate level of implementation related to the Site or Application being assessed.

Reminder: **Assessor Finding** text is required. Content Owners are not able to view evidence (unless Service Provider marks evidence "public"). Assessors should provide enough detailed information in their findings to allow Content Owners to make an informed decision about a service provider's security status

Assessment – Remediation & Question Logs

In the top right-hand corner of the TPN Best Practice Questionnaire screen you are able to click down and see this progress list as a Site or Application moves through the TPN+ platform to Blue or Gold Shield status including remediation management.



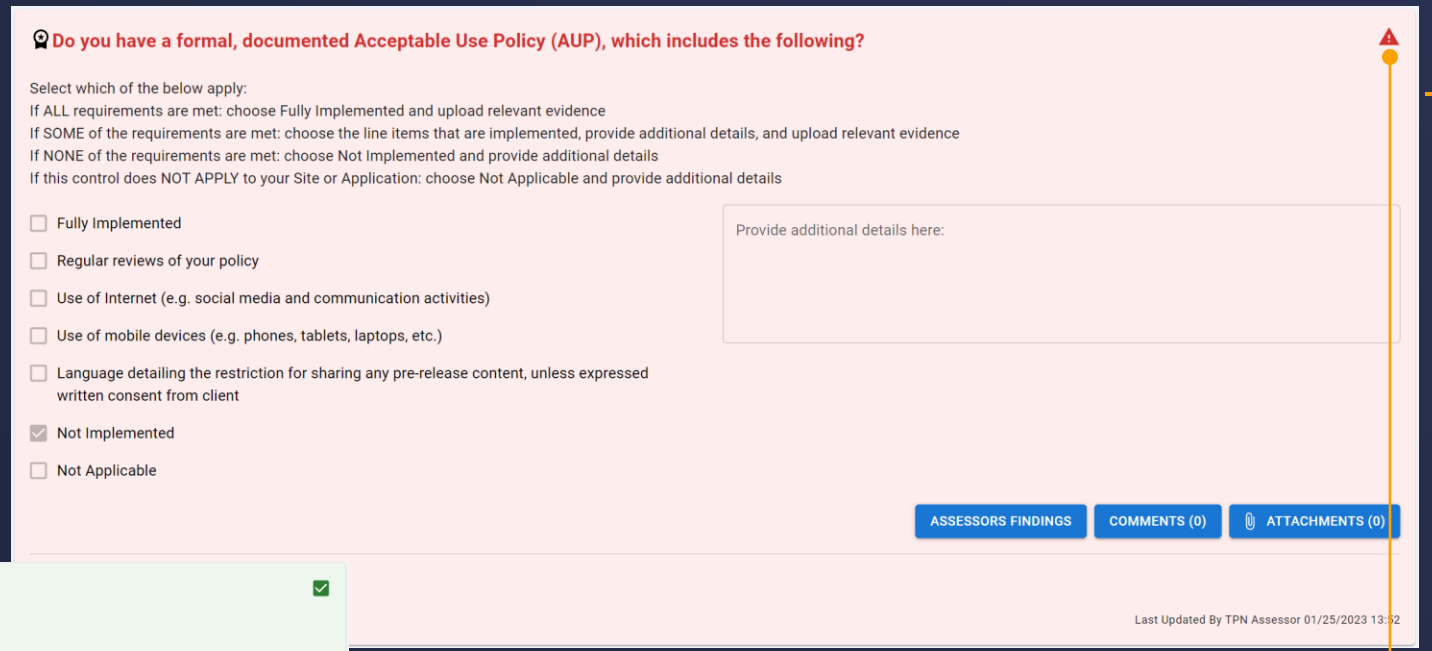
This **Remediation list-view** allows you to quickly navigate to Best Practices or Additional Recommendations that have been put into a remediation status.

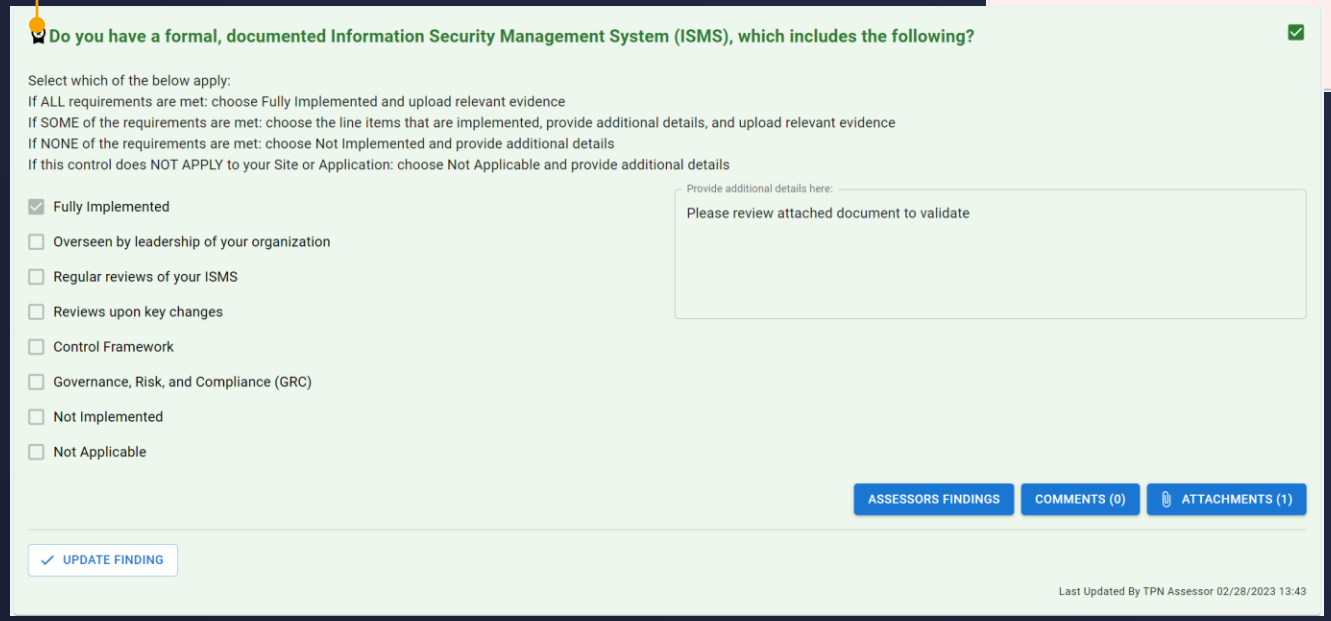
You can navigate through the assessment through this dropdown section.

Assessor – Perform Assessment

When **Fully Implemented** or **Not Applicable** is selected, the answer will be marked **green**.
As explained previously, Assessor Finding text is required as Content Owners are not able to view evidence (unless Service Provider marks evidence "public"). You must explain how you verified what was implemented or not applicable.

To update your assessment answer choice, press **Update Finding**.





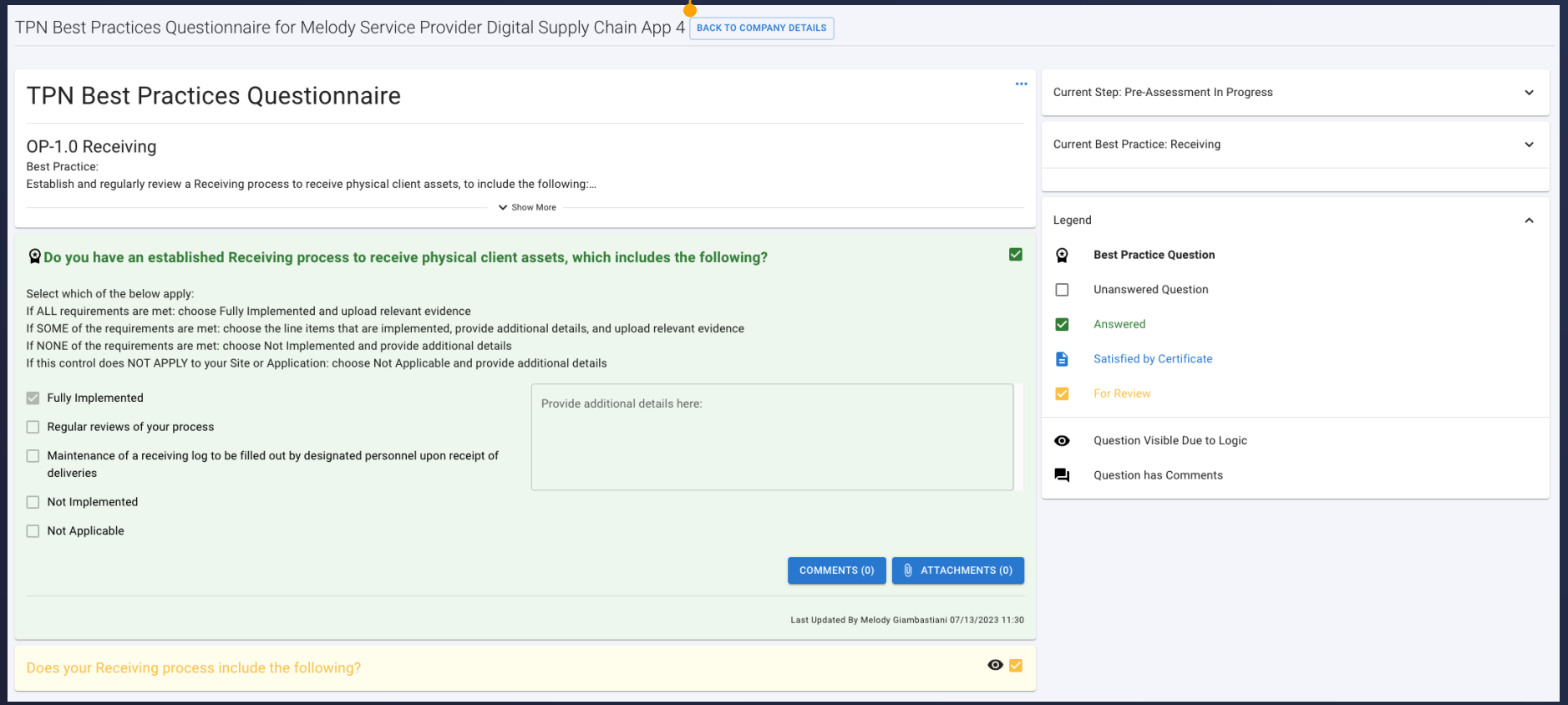
When **Partially** or **Not Implemented** is selected and findings are provided in the comment box, the Questionnaire answer will be marked **red** for Remediation.

Please note the answers shown in the checkboxes reflect the **Service Provider's** answers while the color of the question reflects the **Assessor's** answers, which will be reflected in the final PDF report.

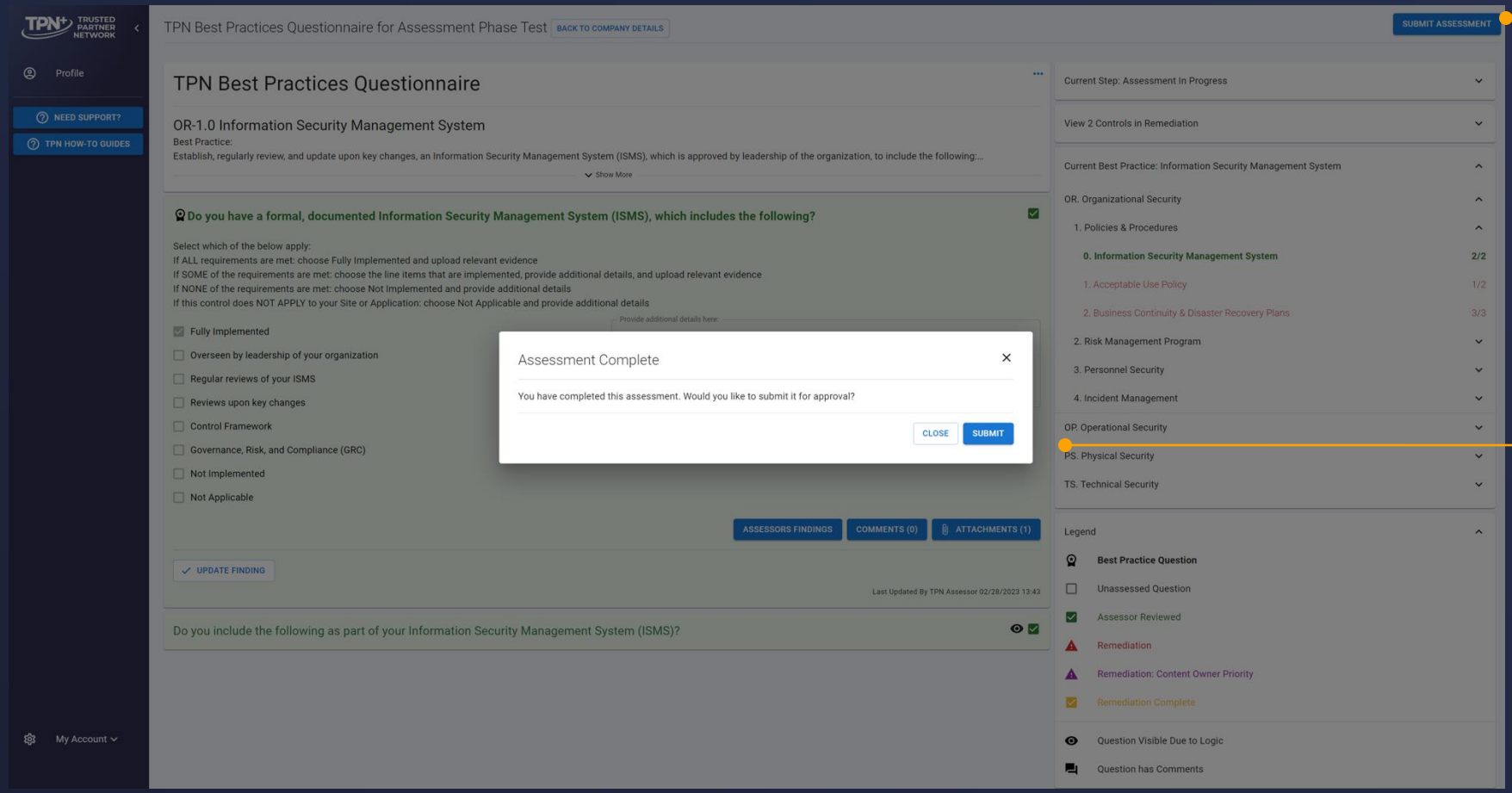
Assessor – App Assessment

See Slide 15 about accessing Hardening Guidelines in the Applications Registry as part of your App Assessment.

When assessing an In-house developed application, the version number will show at the top (e.g., version 4 in the below screenshot).



Assessor – Submit Assessment

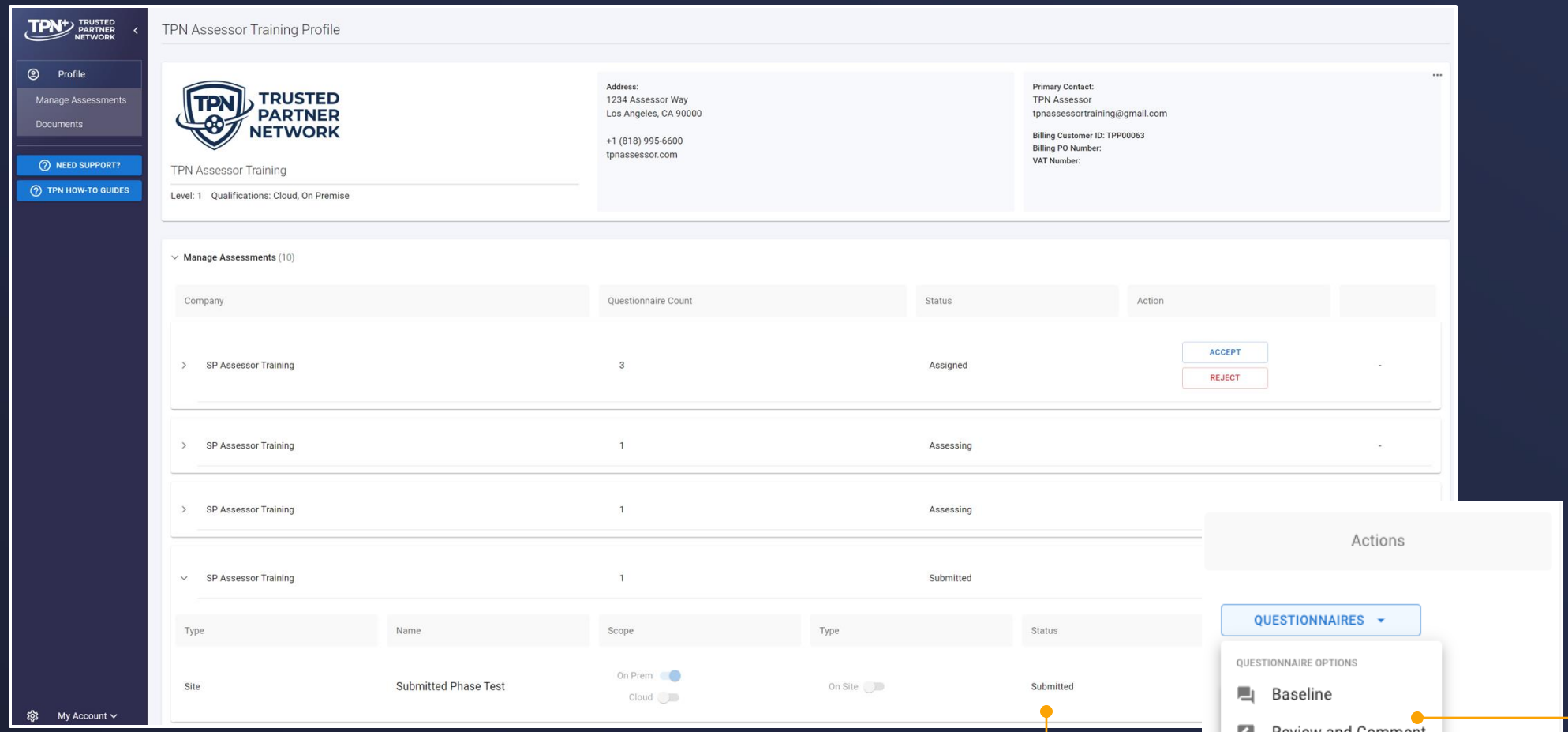


When all questions have been assessed, there will be a notification that the completed assessment can now be submitted to TPN for approval.

You may also leave the Questionnaire experience at any time by clicking the **Back to Company Details** button and return at any time to submit the assessment using the **Submit** button at the top-right corner of the page.

Assessor: Submitted for Approval

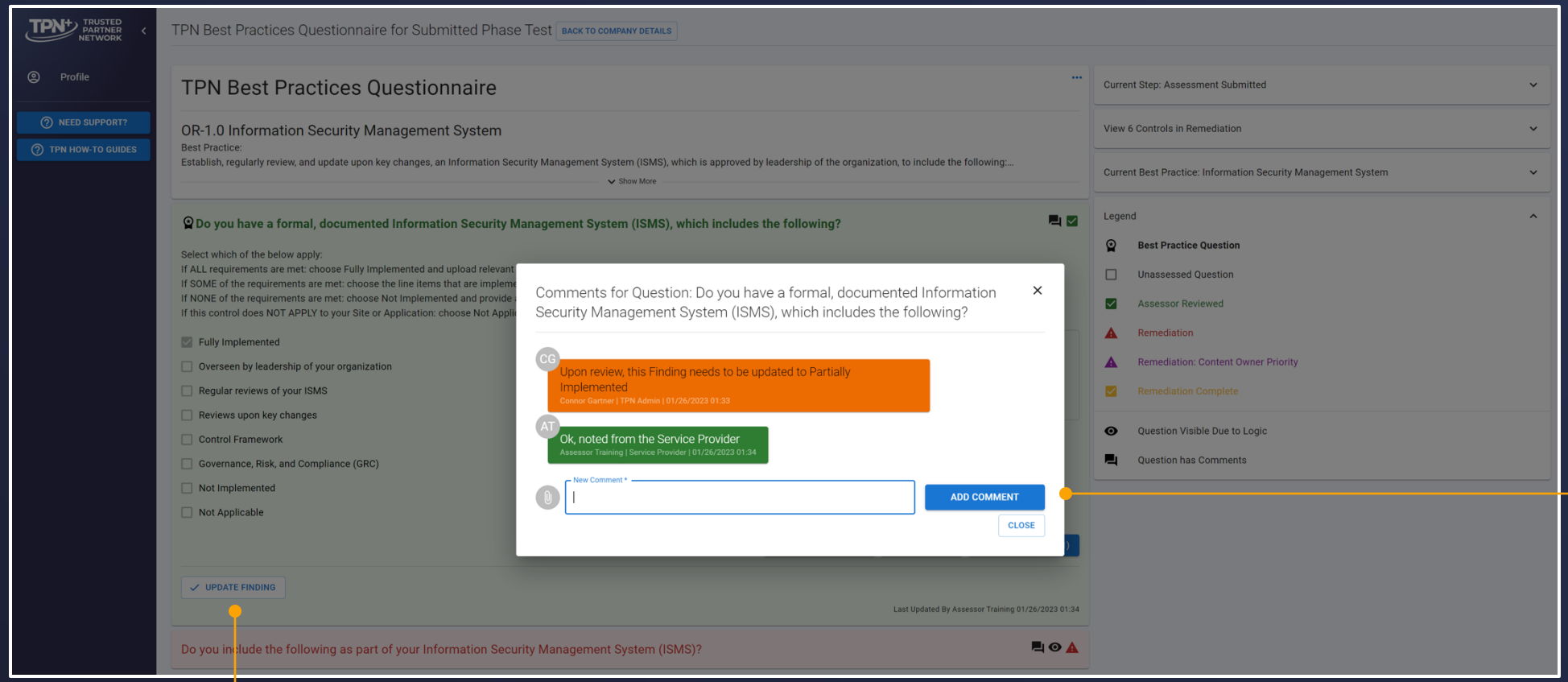
Submitted for Approval



The assessment status will be **Submitted for Review** during this phase.

Once submitted, the assessment is still viewable via **View and Comment** and can still be updated as necessary during discussions with TPN throughout the approval process.

Submitted for Approval - Assessment Approval

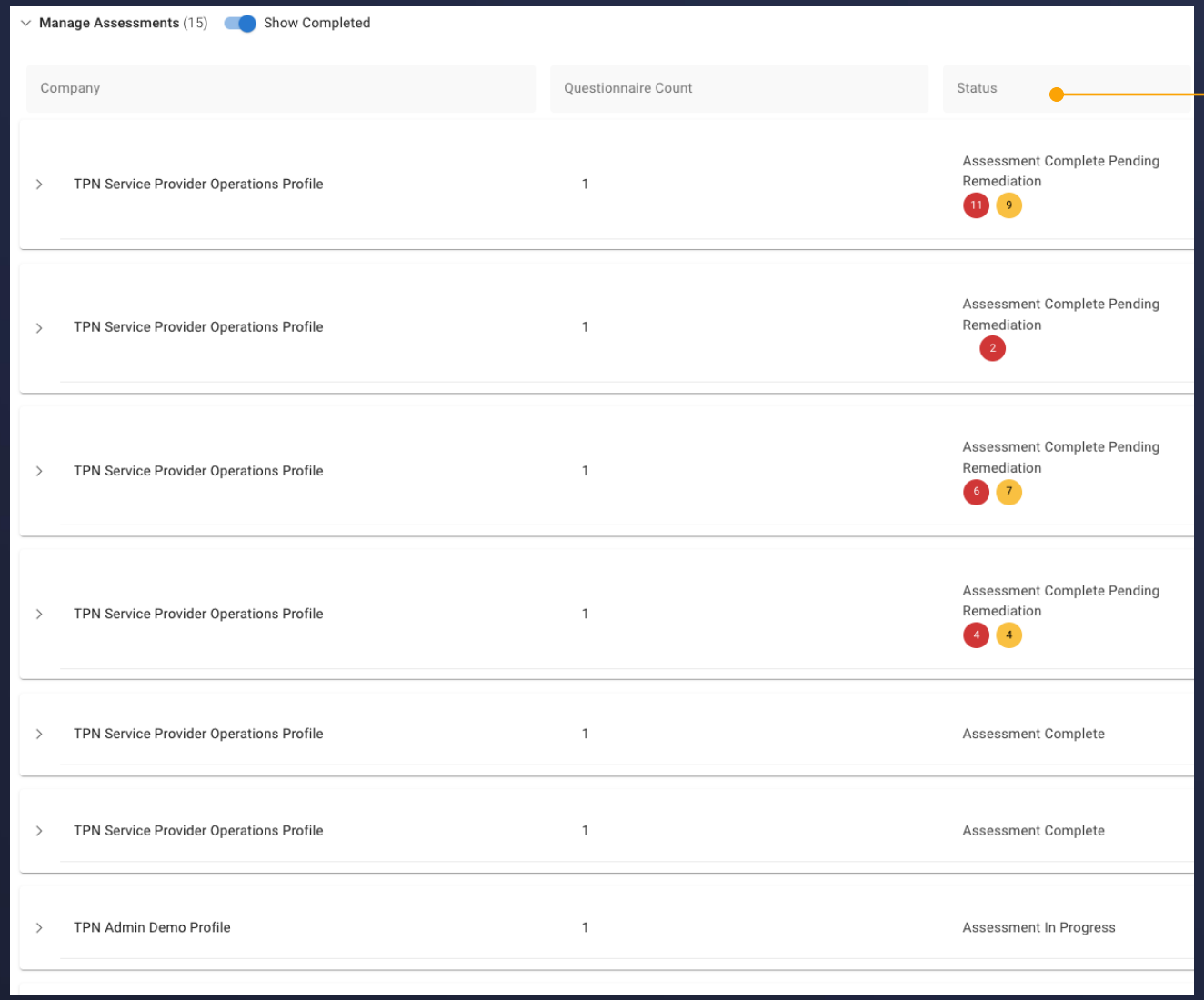


During the assessment approval phase, you will be able to have on-line dialoguewith both TPN and the Service Provider should any questions be raised, or disagreements occur regarding the findings.

You may also **Update Findings** in the submitted phase upon request from TPN, as necessary.

Since Content Owners are not able to view Comments, it is important to add any clarifications or explanations in the Assessor Findings box, even if responding to questions posted in the Comments chat.

Submitted for Approval - Assessment Approved



Upon final approval by TPN of the assessment, the status of the site will change to either **Assessment Complete** or **Assessment Complete Pending Remediation** and no further action is needed from the Assessor.

You will no longer be able to access the assessment or questionnaire at this point.

Change Log

TPN+ v1.1.2 Updates 08/08/2024:

- Slides 5-6: User system recommendations
- Slide 12: Password management
- Slides 17, 18, 19, 29, 30, 32, 38, 39, 45, 47: Managing Assessments & Questionnaire screens/statuses
- Slide 21: Assessor Summary definition

TPN+ v1.1.1 Updates 02/06/2024:

- Gold Shield awarded after remediation plans entered
- Questionnaire access
- TPN+ Global Pass
- Assessor judgment re. evidence

TPN+ v1.1.0 Updates 08/30/2023:

- Instances of "Implementation Guidance" updated to "Additional Recommendations"
- Instances of Evidence – If Service Providers mark "Public", the Content Owner can view the evidence that they uploaded
- Additional Baseline Questionnaire questions

Change Log

TPN+ v1.1.0 Updates 07/13/2023:

- Process maps updated
- Important note regarding Microsoft Authenticator
- Registries
- Important note regarding assessment type toggle
- Baseline Questionnaire visibility
- Important note regarding questionnaire logic
- Assessor Finding text is required for all answers
- Assessing an in-house developed application

TPN

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