



UTSA SBDC
Center for Government Contracting
<https://cgc.txsbd.org>
(210) 458-2458



DFARS Self-Assessment What You Need To Know

AGENDA

Introductions

Update on CMMC

DFARS Self-Assessment

Questions & Answers

Upcoming SBDC CGC Events

Wrap-up & Close



CMMC Official Assessment Guides

CMMC AB Marketplace

CMMC Provisional Assessors

CMMC 15 “Pathfinder” Contracts



PE.1.133

Maintain audit logs of physical access.

ASSESSMENT OBJECTIVES [NIST SP 800-171A]

Determine if:

[a] audit logs of physical access are maintained.

POTENTIAL ASSESSMENT METHODS AND OBJECTS [NIST SP 800-171A]

Examine

[SELECT FROM: Physical and environmental protection policy; procedures addressing physical access control; system security plan; physical access control logs or records; inventory records of physical access control devices; system entry and exit points; records of key and lock combination changes; storage locations for physical access control devices; physical access control devices; list of security safeguards controlling access to designated publicly accessible areas within facility; other relevant documents or records].

Interview

[SELECT FROM: Personnel with physical access control responsibilities; personnel with information security responsibilities].

Test

[SELECT FROM: Organizational processes for physical access control; mechanisms supporting or implementing physical access control; physical access control devices].

DISCUSSION [NIST SP 800-171 R2]

Organizations have flexibility in the types of audit logs employed. Audit logs can be procedural (e.g., written log of individuals accessing the facility), automated (e.g., capturing ID provided by a Personal Identity Verification (PIV) card), or some combination thereof. Physical access points can include facility access points, interior access points to systems or supplemental access controls, or both. System components (e.g., work computers) may be in areas designated as publicly accessible and require physical access to such devices.

Practice Findings

The assessment of a CMMC practice or process results in one of three possible findings: MET, NOT MET, or NOT APPLICABLE. To achieve a specific CMMC Level 1, the contractor will need a finding of MET or NOT APPLICABLE on all Level 1 practices.

- **NOT APPLICABLE (N/A):** The practice does not apply for the assessment. For each practice marked N/A, the Certified Assessor includes a statement that explains why the practice does not apply to the contractor. For example, SC.1.176 might be N/A if there are no publicly accessible systems.

of who accesses your facility (e.g., office, plant, factory) [a]. You may require employees and visitors sign in and sign out or by electronic means. Whatever means you use, you need to retain the access records for the time your company has defined [a].



CMMC
ACCREDITATION BODY
Cybersecurity Maturity Model Certification

[Back to CMMC-AB](#) [National Conversations](#) [The CMMC Standard](#) [RFI/RFP](#) [Speaking](#) [Marketplace](#)



C3PAO



Assessors



Registered
Provider
Organization



Registered
Practitioners



Organizations
Seeking
Certification

CMMC-AB Marketplace Listings

-- SELECT ONE --

Type here...

ALL Categories (6)

C3PAO

DIBCAC Assessors

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Cybersecurity Maturity Model Certification



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FY 2021 CMMC “Pathfinder” Contracts

- CMMC Level 3 and below
- Nominations from DoD att
- Awarding late 2021

- U.S. Navy
 - *Integrated Common Processor*
 - *F/A-18E/F Full Mod of the SBAR and Shut off Valve*
 - *DDG-51 Lead Yard Services / Follow Yard Services*
- U.S. Air Force
 - *Mobility Air Force Tactical Data Links*
 - *Consolidated Broadband Global Area Network Follow-On*
 - *Azure Cloud Solution*
- Missile Defense Agency
 - *Technical Advisory and Assistance Contract*

CMMC AB Marketplace Lists Provisional Assessors.....



.....NOT SO FAST!



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**Ahmad Austin, CISSP, CCNA Security, CCNA,
MCSA, ITIL, Security +**

**Chief Information Officer
BTL TECHNOLOGIES, INC.**



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Who We Are:

A Service-Disabled Veteran-Owned Small Business (SDVOSB), Small Disadvantaged Business (SDB), headquartered in San Antonio, Texas, with regional offices in Montgomery, Alabama and Dayton, Ohio.

Our vision is to, *"Empower Your Future!"* Our goal; **Excellence to Employ, Expand, and Empower** delivers customer solutions in Information Technology, Professional and Medical Services.



"Empower Your Future!"



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Discussion Points

- What is DFARS (Interim Rule)
- Why Conduct a Self Assessment
 - Who Has to Complete a Self Assessment
- How To Complete a Self-Assessment
- How to Submit My Assessment Results
 - What Do I Do Next
 - Question and Answer



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What is DFARS?

- **Defense Federal Acquisition Regulation Supplement**
- Requires defense contractors to comply with specific cybersecurity requirements
- Controls Covered in NIST 800-171
- DoD Needed to Reduce Data Theft
- Every DoD Vendor must submit a self assessment score by Nov 30, 2020



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Why Conduct a Self-Assessment? (Cont.)





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Why Conduct a Self-Assessment?

- We are at War (Cyber War)
- Estimate of Over **\$600,000,000,000** of Data Lost
- It Starts in the Home





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A RISK SHARED BY ALL



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Who Has to Conduct a Self-Assessment?

- **Any company** that bids on a DoD contract is required to be compliant.



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Who Has to Conduct a Self-Assessment? (cont.)





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Who Has to Conduct a Self-Assessment? (cont.)

- I only have one laptop and no employees
- I only have a home office
- I only sell shoestrings to AAFES
- I am a sub-contractor
- I do not own the network that I use



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DFARS Readiness Scenarios



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Scenario #1

Janet, the office assistant for Corporation XYZ, has an office within the SBRC. Through her business she does market research for the Air Force.

Does Janet's company have to conduct a DFARS Self-Assessment?

Please select the most correct answer.

- A. Yes
- B. No



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Scenario #2

Jack, is the owner of Geek Pod LLC, has received an invitation by another IT company to team in pursuit of an Air Force help desk contract. Geek Pod LLC will be a subcontractor on the contract.

Does Geek Pod LLC need to be compliant with the DFARS Interim Rule?

Please select the most correct answer.

A. Yes

B. No



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How to Get Ready

- **Get Educated/Seek a Consultant**
- Conduct Your DFARS Self- Assessment (110 controls)
- Register on PIEE
- Upload Results on SPRS
- Move on to CMMC*



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How To Complete a Self-Assessment?

Explore the NIST 800-171 Structure





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How To Complete a Self-Assessment?

Explore the NIST 800-171 Structure (Cont.)

ACCESS CONTROL (AC)

Level 1

- | | |
|-----------------|--|
| AC.1.001 | Limit information system access to authorized users, processes acting on behalf of authorized users, or devices (including other information systems). |
| AC.1.002 | Limit information system access to the types of transactions and functions that authorized users are permitted to execute. |
| AC.1.003 | Verify and control/limit connections to and use of external information systems. |
| AC.1.004 | Control information posted or processed on publicly accessible information systems. |



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How To Complete a Self-Assessment?

Explore the NIST 800-171 Structure (Cont.)

- **Access Control**
 - *AC.1.001 – Limit Information System access to authorized users, processes acting on behalf of authorized users, or devices.*
 - *Access NIST 800-171 to get a better understanding*
 - *Review my organization to determine how we are currently addressing this practice.*
 - *Document results of what I've reviewed*



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How To Complete a Self-Assessment? Scoring

- **Scoring Methodology**
 - *AC.1.001 – Limit Information System access to authorized users, processes acting on behalf of authorized users, or devices.*
 - *Every Company starts with 110 points*
 - *Access NIST 800-171 DoD Scoring Template.*
 - *This Access Controls is valued at 5 points.*



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How To Complete a Self-Assessment?

Scoring(cont.)

NIST SP 800-171 DoD Assessment Scoring Template

Security Requirement		Value	Comment
3.1.1*	Limit system access to authorized users, processes acting on behalf of authorized users, and devices (including other systems).	5	
3.1.2*	Limit system access to the types of transactions and functions that authorized users are permitted to execute.	5	
3.1.3	Control the flow of CUI in accordance with approved authorizations.	1	



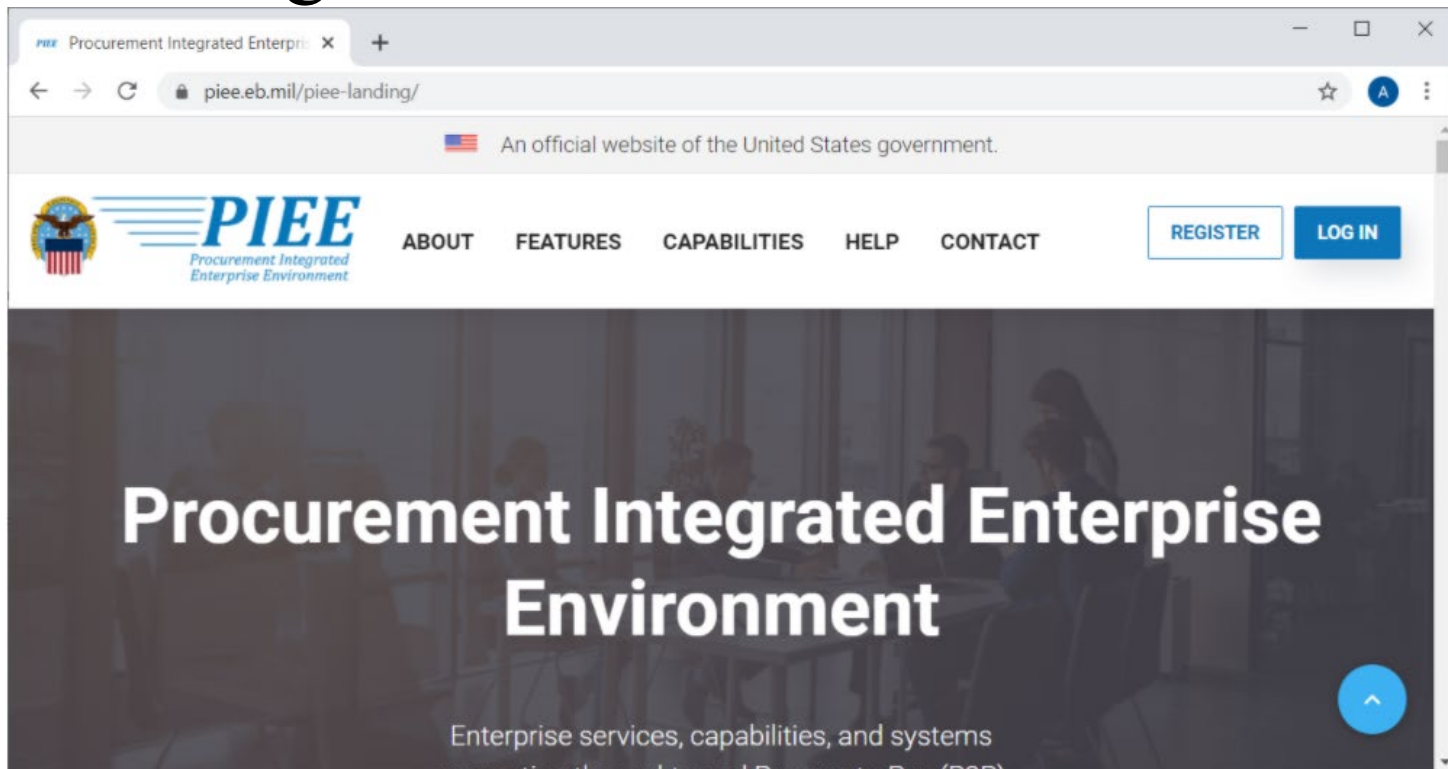
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How to Submit My Results?

Setup Account

- Register on PIEE





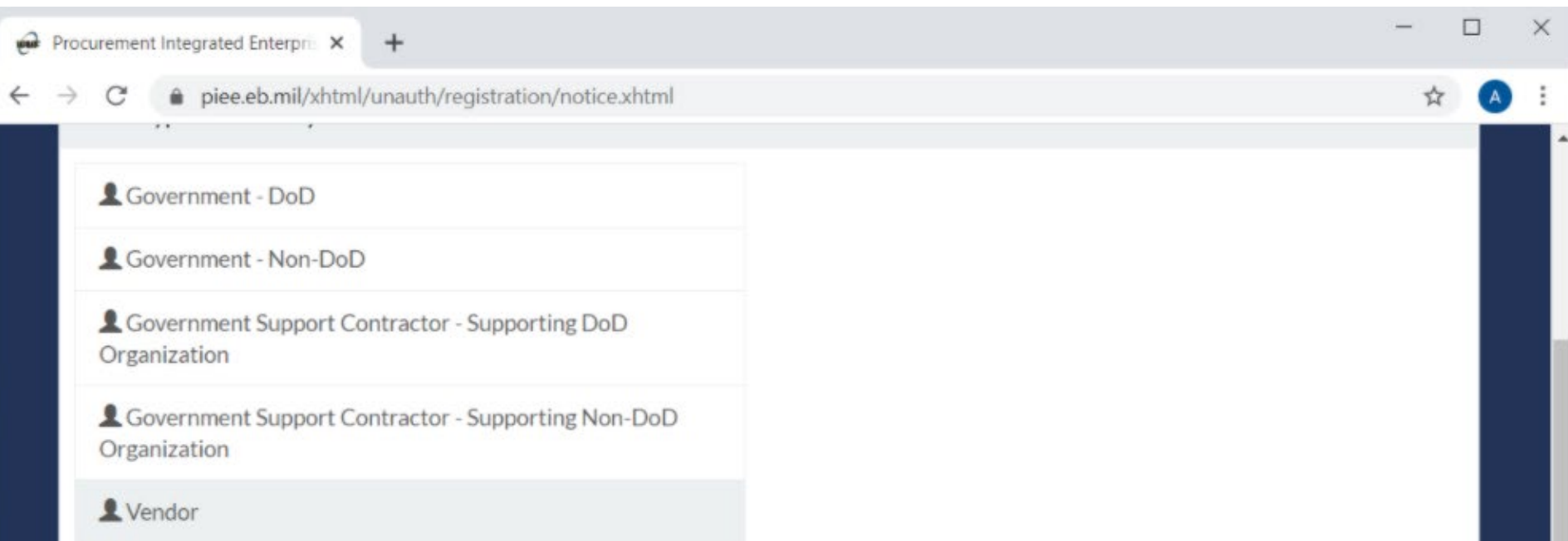
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How to Submit My Results?

Setup Account

- Select “Vendor”



Note: A security clearance is NOT required to access any of the applications in the Procurement Integrated Enterprise Environment.



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How to Submit My Results?

Setup Account

- Select Password Authentication

The screenshot shows a web browser window with the URL `piee.eb.mil/xhtml/unauth/registration/authentication.xhtml?cid=2`. The page title is "Procurement Integrated Enterprise". On the left is a navigation menu with the following items: 2. Authentication (selected), 3. Profile, 4. Supervisor / Company, 5. Roles, 6. Justification, 7. Summary, and 8. Agreement. The main content area is titled "How will you be accessing the Procurement Integrated Enterprise Environment applications? *". Below this title is a dropdown menu currently showing "User ID \ Password". The page is divided into two columns. The left column contains three input fields: "User ID *" with the value "MyNewSPRSid", "Password *" with masked characters, and "Password Confirmation *" also with masked characters. Below these is a "CAPTCHA Image" section. The right column contains two lists of rules. The "User ID Rules" list includes: Minimum 8 Characters, May Contain ONLY the following special characters ~ ! # \$. _ { }, May NOT contain spaces, and Must not already be registered in the Procurement Integrated Enterprise Environment. The "Password Rules" list includes: Minimum 15 characters, Must contain at least 1 capital letter, Must contain at least 1 lower case letter, Must contain at least 1 number, and Must contain at least 1 special character.

Procurement Integrated Enterprise

piee.eb.mil/xhtml/unauth/registration/authentication.xhtml?cid=2

How will you be accessing the Procurement Integrated Enterprise Environment applications? *

User ID \ Password

User ID *

MyNewSPRSid

Password *

Password Confirmation *

CAPTCHA Image

User ID Rules

- Minimum 8 Characters.
- May Contain ONLY the following special characters ~ ! # \$. _ { }
- May NOT contain spaces.
- Must not already be registered in the Procurement Integrated Enterprise Environment.

Password Rules

- Minimum 15 characters
- Must contain at least 1 capital letter
- Must contain at least 1 lower case letter
- Must contain at least 1 number
- Must contain at least 1 special character



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How to Submit My Results?

Setup Account

- Enter your name and contact information.

The screenshot shows a web browser window with the URL piee.eb.mil/xhtml/registration/securityQuestions.xhtml?cid=2. The page is titled 'Registration Steps' and lists eight steps: 1. Registration Home, 2. Authentication, 3. Security Questions, 4. Profile (selected), 5. Supervisor / Company, 6. Roles, 7. Justification, and 8. Summary. The 'User Profile' form contains the following fields:

First Name *	Middle Name	Last Name *	Suffix
John	Andrew	Smith	

Organization *	Job Title *	Grade/Rank
WidgetsUSA	CISO	

Email *	Confirm Email *
johnasmith@widget:	johnasmith@widget:

Commercial Telephone !	Extension	Intl Country Code and Phone !	Mobile Telephone	DSN Telephone
301-253-5000				

Citizenship *
US



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How to Submit My Results?

Setup Account

- **Select SPRS**

Procurement Integrated Enterprise Environment

piee.eb.mil/xhtml/unauth/registration/additionalProfileInfo.xhtml?cid=2

PIIE
6.7.0
Procurement Integrated Enterprise Environment

Registration Steps

1. Registration Home
2. Authentication
3. Security Questions
4. Profile
5. Supervisor / Company
6. Roles
7. Justification
8. Summary

Roles

Step 1. Select the appropriate Application from the list below

WAWF - Wide Area Workflow

- CSP - Contractor Submission Portal
- GFP - Government Furnished Property
- IUID Registry
- MRS - Management Reporting System
- NCCS - NISP Contracts Classification System
- PIIE - Procurement Integrated Enterprise Environment
- SOL - Solicitation
- SPRS - Supplier Performance Risk System**
- WAWF - Wide Area Workflow

Step 2. Select One or More Roles from the list below (Ctrl+Click)

User Roles for WAWF

- Energy Lab POC
- Tip To View Only
- View Only

Step 3. Click 'Add Roles'

+ Add Roles

Tip You can view a list of all PIIE roles and their descriptions and functions in the PIIE Role List Matrix.

Navigation: > Next, < Previous, Save Registration, Help



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How to Submit My Results?

Setup Account

- **Select SPRS Cyber Vendor User**

Procurement Integrated Enterprise Environment

piee.eb.mil/xhtml/unauth/registration/additionalProfileInfo.xhtml?cid=2

PIEE
6.7.0 Procurement Integrated Enterprise Environment

Registration Steps

1. Registration Home
2. Authentication
3. Security Questions
4. Profile
5. Supervisor / Company
6. Roles
7. Justification
8. Summary

Roles

Step 1: Select the appropriate Application from the list below

SPRS - Supplier Performance Risk S

Step 2: Select One or More Roles from the list below (Ctrl+Click)

User Roles for SPRS
Contractor/Vendor (Support Role)
SPRS Cyber Vendor User

Step 3: Click 'Add Roles'

+ Add Roles

Step 4: Fill out the required information for the applicable applications

Tip If you need access to any other applications, Repeat Steps 1 to 4 again

Tip You can view a list of all PIEE roles and their descriptions and functions in the PIEE Role List Matrix.

> Next < Previous Save Registration Help



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How to Submit My Results?

Setup Account

- Click **+Add Role**
- Enter Your **Cage Code** in the “**Location Code Field**”

← → ↻ piee.eb.mil/xhtml/unauth/registration/roles.xhtml?cid=2 ☆

Steps

1. Registration Home
2. Authentication
3. Security Questions
4. Profile
5. Supervisor / Company
6. Roles
7. Justification
8. Summary

Step 1. Select the appropriate Application from the list below

SPRS - Supplier Performance Risk S ▾

Step 2. Select One or More Roles from the list below (Ctrl+Click)

User Roles for SPRS

Contractor/Vendor (Support Role)

SPRS Cyber Vendor User

Step 3. Click 'Add Roles'

+ Add Roles

Step 4. Fill out the required information for the applicable applications

Roles Summary

Application	Role	Location Code *	Extension	Group	Action
SPRS	SPRS Cyber Vendor User	CAGECODE	N/A		Delete

Showing 1 to 1 of 1 entries



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How to Submit My Results?

Setup Account

- Enter Justification for Creating Account
- **Inform Your Contract Account Admin (CAM)**

← → ↻ piee.eb.mil/xhtml/unauth/registration/roles.xhtml?cid=2

Registration Steps

1. Registration Home

2. Authentication

3. Security Questions

4. Profile

5. Supervisor / Company

6. Roles

Justification / Attachments

Info

Provide justification for access and upload any necessary attachments.

Justification *

I need access to SPRS in order to submit the NIST SP 800-171 DoD Self-assessment for WidgetsUSA information system.

Attachments

Browse...

Upload

Warning!

Procurement Integrated Enterprise Environment is designated for Sensitive Unclassified information ONLY. Do NOT enter classified information in this system.



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How to Submit My Results?

Submit Score

- **Login to PIEE**
- **Click the SPRS Logo**





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How to Submit My Results?

Submit Score

- Click “Create New HLO Cage”
- Enter Company Information

+ Create New HLO CAGE

NIST SP 800-171 ASSESSMENT

HLO CAGE Code:

Top level CAGE Search

Company Name:

Confidence Level:

-Select-

▼

Assessment Standard:

NIST SP 800-171

▼

Create



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How to Submit My Results?

Submit Score

- **Select Your Company (Basic)**

HLO CAGE	Company	Total Assessments	Confidence Level ↑
IAAAA	COMPANY A	2	BASIC
IAAAA	COMPANY A	1	MEDIUM
IAAAA	COMPANY A	0	HIGH VIRTUAL
IAAAA	COMPANY A	0	HIGH ON-SITE

Navigation: 1 (selected), 20 items per page, 1 - 4 of 4 items



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How to Submit My Results?

Submit Score

- Click “Add New Assessment” Button
- Be sure to click the “Enterprise” option

IAAAA : COMPANY A - [\(Return to Top\)](#)

</



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How to Submit My Results?

Submit Score

- Populate all fields with the info requested
- Click the “Include HLO” checkbox

NIST SP 800-171 ASSESSMENT

Enter Assessment Details

Assessment Date:

Score:

Assessing Scope:

-Select-

Plan of Action Completion Date:

System Security Plan (SSP) Assessed:

SSP Version/Revision:

SSP Date:

Included CAGE(s):

Open CAGE Hierarchy

☐ Include HLO

Save



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How to Submit My Results?

Submit Score

- **Complete!**
- **You Can go Back and edit/add if Necessary**

IAAAA : COMPANY A - [\(Return to Top\)](#)

+

Add New Assessment

Y

Clear All Filters

↺

Refresh

🔍

Criteria Search

Edit ...	Most Recent Assessment	Assessment Score	Confidence Level	Standard used to Assess	Assessing CAGE or DoDAAC	Scope	Incl
<div><div></div><div></div></div>	05/19/2020	90	BASIC	NIST SP 800-171		ENCLAVE	IAA A2, IAA A3,
<div><div></div><div></div></div>	05/19/2020	110	BASIC	NIST SP 800-171		ENTERPRISE	IAA A1,

⏪

⏩

0

20

▼

items per page



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What Do I Do Next?

- **Time to Get CMMC Certified**
- **The CMMC Level Mandated will be Included in Every Contract**
 - **Winter 2020 – Trial Period**
 - **End of 2025 – All RFP will require CMMC compliance**



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What Do I Do Next? (cont.)

CMMC-AB Maturity Level Certification

Used to fulfill contract requirements
where CMMC Level requirements are
designated.





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Functional Area Solutions:

- FIAR: FISCAM, FISMA, BLUE BOOK
- Cloud Computing
- Medical IT
- **Federal IT Compliance Consulting**

Information
Technology

- Subject Matter Experts
- Program Management
- Staff Augmentation

Professional
Services

- Instructional Development
- Education System Operations
- Ancillary Support Operations

Educational
Development

- Medical Billing
- Medical Coding
- Military & Commercial Applications

Revenue Cycle
Management

- Public Service Utilities
- Govt/Bus Facilities
- Functional Management

Utility
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DFARS INTERIM RULE

- 1 Have a System Security Plan
- 2 Do a basic self-assessment
- 3 Create Plans of Action & Milestones (POA&Ms) for controls not in compliance
- 4 Submit score to SPRS along with anticipated POA&Ms completion (compliance) date
- 5 Complete POA&Ms
- 6 Update SPRS with POA&M completion or new estimated completion dates

Building the Texas economy one business at a time



Funded in part through the State of Texas and a Cooperative Agreement with the U.S. Small Business Administration. Reasonable accommodations for persons with disabilities or limited English proficiency will be made if requested at least two weeks in advance. Contact SBDC Center for Government Contracting.



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January 7th @ 11:00 AM Doing Business with CPS, VIA, SAWS and SCRTA

Jan 12th – Feb 4th, Tues & Thurs, 3:30 – 5:30 PM, SBCTA

Jan 13th, 9:00 – 1:00, CMMC Level 1

Jan 20th & 21st, 9:00 – 1:00 Each Day, CMMC Level 2

Jan 27th & 28th, 9:00 – 1:00 Each Day, CMMC Level 3



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and respective service areas differ according to that particular program's mission.