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Get Started

Welcome to Qualys Policy Compliance. We’ll help you get started quickly so you can understand the compliance status of your host assets.

Policy Compliance is available in your account only when it is enabled for your subscription. If you would like to enable Policy Compliance for your account, please contact Technical Support or your Technical Account Manager.

Let’s take a look now at the user interface. Log into your account and choose Policy Compliance from the application picker.

Once in the PC application, you’ll see these options along the top menu:
Go to Help > Get Started for some helpful first steps.

Next we’ll walk you through the steps so you can get started with running compliance scans, building policies and creating reports.

**Set Up Assets**

You can run compliance scans and create compliance reports on hosts (IP addresses) that have been added to your PC account. Select Assets on the top menu and then click the Host Assets tab. You’ll see the hosts already in your PC account.

**How do I add new hosts to PC?**

From the New menu, select IP Tracked Hosts, DNS Tracked Hosts or NetBIOS Tracked Hosts. The tracking method you choose will be assigned to all of the hosts being added.

In the New Hosts wizard, first review the number of hosts you can add on the General Information tab. Then go to the Host IPs tab and enter new IP addresses/ranges in the IPs field. To add the new IPs to your PC account, select the Add to Policy Compliance Module check box. Note that you can add the same IPs to other modules in your subscription by selecting additional module options.
When you’re done making your selections, click **Add**. Then click **OK** when the confirmation appears.
Start Collecting Compliance Data

Qualys sensors collect compliance data from your assets and beam it up to the Qualys Cloud Platform where the data is analyzed and correlated. You can choose to launch scans with scanner appliances and/or install Cloud Agents.

The Scans section is where you manage your compliance scans and your scan configurations.

Configure Authentication

Authentication to hosts is required for compliance scans using our trusted scanning feature. For Windows compliance scanning, an account with Administrator rights is required.

The service performs authentication based on authentication records you define for your target hosts. Each authentication record identifies an authentication type (e.g. Windows, Unix, Oracle, Apache Web Server, Docker, MS SQL, and many more), account login credentials and target IP addresses. Multiple records may be defined. The service uses all the records in your account for compliance scanning.

You’ll see the authentication records in your account by going to Scans > Authentication. To add a new record, select the record type from the New menu. The online help within each authentication record describes the required inputs and setup instructions.

Authentication Vaults

We support integration with multiple third party password vaults. To use vaults, you’ll need to first configure vault records. From the New menu, choose Authentication Vaults. Then choose your vault type. When the vault record appears, you’ll need to provide vault credentials to securely access sensitive information stored in the vault. Review the help for your vault type (just click Launch Help in the vault record) to understand the types of credentials that can be stored in the vault and how to retrieve them at scan time. Each vault has their own set of requirements.
Once your vault record is saved, you’ll be ready to configure authentication records. In the record, you’ll choose the Authentication Vault option (or Get password from vault: Yes). Then choose the vault type and select the vault record you already created. For each vault type there will be additional information required. The information required depends on the vault type. Please refer to the help for your vault type. At scan time, we’ll authenticate to hosts using credentials retrieved from your vault.

**System Authentication Records**

For several server applications you can have authentication records created for you automatically. Instance discovery and auto record creation is supported for multiple technologies, including Apache Web Server, IBM WebSphere App Server, JBoss Server, Tomcat Server and Oracle. See System Authentication Options to learn how to create compliance profiles in order to perform instance discovery and then include system created records in your scans.

Auto created authentication records have the owner “System”. These records cannot be edited by users. (For Oracle, you do have the option to Save a system created record as a user record in order to edit it.)

**Perform Compliance Assessment of Oracle Multitenant Databases via Container Database**

Customers have the option to assess their Oracle multitenant databases for compliance via the container database (CDB). For this, customers simply select the option “Is CDB” in the Oracle authentication record. There is no need for customers to create individual records for each pluggable database in the CDB.

**How it works**

When “Is CDB” is selected in the Oracle record, the compliance scan will auto discover and assess all accessible Pluggable Databases (PDBs) within the container database (CDB). The assessment is performed through the CDB, which means there is no need for the scanner to connect directly to individual PDBs. This saves customers from having to create separate Oracle records for each PDB instance. Identifying the Oracle database as a CDB in the Oracle record also ensures the right compliance checks are performed for multitenant technologies. We’ve written compliance controls in order to assess the pluggable databases via the CDB. See the online help to learn more about this feature.
Launch Compliance Scans

Now you’re ready to start scanning using scanner appliances. Compliance scans can be launched on demand or scheduled to run at a future date and time.

Select Scans from the top menu and click the PC Scans tab. Then go to New > Scan (or Schedule Scan). Depending on your subscription settings, you may see additional scan options like EC2 Scan and Cloud Perimeter Scan. In the following example, these options are not available.

The Launch Compliance Scan window appears, prompting you to enter scan information.
Title — The title helps you identify the scan within the application. The title you enter appears in the scan summary email and the scan results report.

Compliance Profile — This profile contains the various scan settings required to run a compliance scan. We recommend Initial PC Options to get started.

Network — (Visible only when the Network Support feature is enabled.) Select the network you want to scan. Only one network may be selected at a time.

Scanner Appliance — In case your account has scanner appliances, then you can select a scanner option from the menu: External, scanner appliance name, All Scanners in Asset Group, All Scanners in TagSet, Build my list, or Default. You can select one or more scanner appliances for your internal compliance scans. (These same options are available for vulnerability scans.)

Choose Target Hosts from — Select the hosts you want to scan. You can enter IPs/ranges/FQDNs and/or asset groups. When Asset Tagging has been added to your account then you also have the option to identify target hosts by selecting asset tags.

Notification — Want to be notified when the scan is done? Just select the option “Send notification when this scan is finished” and tell us who should be notified by selecting distribution groups, and enter a custom email message.

After providing your scan settings, click the Launch button. The Scan Status will appear in a new window.

The Scan Status report is updated every 60 seconds until all targeted hosts have been analyzed, allowing you to view results in real time. The scan task runs in the background, so you can safely close the status window and return to it from the scans list.

You can easily track a scan and its status from the scans list. The indicator appears next to a scan when the scan is finished and the results from the scan have been processed. When results are processed it means posture evaluation for the scanned hosts is updated and the results are available for reporting.
Tips:
No data found — If you run a compliance scan and it returns the status “Finished” with the message “No data found” it’s most likely that authentication was not successful on the target hosts. Be sure to create authentication records for the systems you want to scan. Also check that the credentials in the records are current.
Authentication Report — The Authentication Report helps you identify where authentication was successful and where it failed for compliance hosts. For each host, authentication status Passed, Failed or Passed with Insufficient Privileges (Passed*) is provided.
More Information — The online help (Help > Online Help) and the Resources section (Help > Resources) describe trusted scanning setup requirements and best practices. This information details the account requirements for each authentication type.

We recommend you schedule scans to run automatically
You can schedule the compliance scan to run at a future date and time, just as you can for vulnerability scans. Select Scans from the top menu and click the Schedules tab. Go to New > Schedule Scan > Compliance.
The New Scheduled Compliance Scan window appears where you can add the task. You’ll notice the schedule settings are similar to a vulnerability scan schedule, except you enter a compliance profile instead of an option profile.

How to configure scan settings
Compliance profiles contain scan configuration settings that can be fine tuned and saved for future use. To see the compliance profiles in your account, go to Scans > Option Profiles. To add a new compliance profile, go to New > Compliance Profile.

Below you’ll see a sample compliance profile with initial settings provided by the service.
**Scan Options**

The **Scan** tab of the profile includes settings that affect how the service gathers information about target hosts and how the service performs compliance assessment on target hosts.

![Scan Options](image)

**Performance**

The performance level selected in the profile determines the number of hosts to scan in parallel, the number of processes to run in parallel against each host, and the delay between groups of packets sent to each host. Click **Configure** to change the performance level or customize performance settings.

**Scan restriction using Scan by Policy**

When you run a compliance scan we scan for all controls in the controls list (except special control types listed in Control Types section - you must explicitly select these). The **Scan by Policy** option allows you to restrict your scans to the controls in selected policies. You can choose up to 20 policies, one policy at a time. Once you’ve selected a policy, all controls in that policy will be scanned including any special control types in the policy. This is regardless of the Control Types settings in the profile.

**Database Controls Types**

You can set a limit on the number of rows to be returned per scan for the user-defined database controls. By default, we’ll return up to 5000 rows for Oracle and up to 256 rows for all the other control types listed. Select any control type listed to edit the limit.

![Database Controls Types](image)
**Integrity Monitoring**

If you’ve created File Integrity Check controls with the option “Use scan data as expected value” enabled then choose the “Auto Update expected value” option in the profile. This allows us to automatically update the control value after a valid file change. Be sure to also select “File Integrity Monitoring controls enabled” under Control Types in the profile.

**Control Types & Dissolvable Agent**

There are some additional control types you can check during scanning. These are not included in scans by default and require additional steps to set up. For example, to perform file integrity monitoring you must add user defined controls that specify the files you want to track. To scan for password auditing controls, to enumerate Windows shares on your hosts, or to perform a Windows directory search, you must enable the Dissolvable Agent. The online help describes these features in detail.

**Which ports are scanned?**

When “Standard Scan” is selected, all ports in the standard ports list are scanned (about 1900 ports) in addition to any custom ports specified in Unix authentication records. You can click the “View list” link to see the standard ports list. When “Targeted Scan” is selected, the service targets the scan to a smaller set of ports. This is the recommended setting, and it is the initial setting for a new compliance profile.

**System Authentication Options**

On the System Authentication tab, you can allow the system to create authentication records automatically using the scan data discovered for running instances. Then choose whether to include system-created authentication records in scans. Instance discovery and auto record creation is supported for several technologies, including Apache Web Server, IBM WebSphere App Server, JBoss Server, Tomcat Server and Oracle.

To use this feature, you’ll create 2 compliance profiles. One profile for instance discovery and record creation, and one profile for using system created records for compliance assessments. These options cannot be selected in the same profile. First a discovery scan
finds instances of the server applications that you have chosen to scan, consolidates instance data, and creates/updates authentication records in your account. Then an assessment scan uses the records saved in your account for control evaluations. Please refer to the online help for complete details on this feature.

Additional Options

Click the Additional tab in your profile for configuration settings that affect how the service performs host discovery and how the service interacts with your firewall/IDS configuration. The initial settings are best practice in most cases.

What is host discovery?

This is the first phase of a scan when the service sends probes to attempt to discover whether the hosts in the scan target are alive and running.

Important: By changing the default settings the service may not detect all live hosts and hosts that go undetected cannot be analyzed for compliance. These settings should only be customized under special circumstances. For example, you might want to add ports that are not included in the Standard port list, remove probes that will trigger your firewall/IDS, or only discover live hosts that respond to an ICMP ping.
Instance Data Collection Options

On the Instance Data Collection tab, you can select database technologies as well as other OS-based applications and technologies for which you want to enable data collection without creating an authentication record for respective technologies. Data collection for the selected technologies happens on host assets by using the underlying OS authentication records.

Databases

In case of database technologies, only OS-dependent database controls are used in data collection and evaluation. To see the list of available OS-dependent database controls, go to Policies > Controls > Search and then, in the Search dialog box, select the Instance Data Collection box for DB OS CIDs. The search returns the system-defined controls only.

For data collection on MongoDB, Oracle, and MySQL instances, you need a Unix authentication record (with Sudo as root delegation).

For data collection on MSSQL instances, you need a Windows authentication record.

Applications and Other Technologies

To select OS-based applications and other technologies, first select the Applications and Other Technologies box. Then pick from the applications/technologies listed.

For data collection on Oracle JRE instances, you need a Unix authentication record (with Sudo as root delegation) or Windows authentication record depending on the host operating system. For data collection on IBM WebSphere Liberty instances, you need a Unix authentication record (with Sudo as root delegation).

For the supported versions of databases as well as OS-based applications and other technologies, see the “Authentication Technologies Matrix” in the online help.

These technologies are auto-discovered by Cloud Agents for Policy Compliance (PC). To know more, see “Middleware Technologies Auto-discovered by Cloud Agents for PC” in the online help.
Install Cloud Agents

Qualys Cloud Agent is our revolutionary platform that supports security assessments in real time, without the need to schedule scan windows and manage credentials for scanning. You can choose to install cloud agents instead of scanner appliances for continuous compliance data collection. These lightweight agents can be installed anywhere - any host such as a laptop, desktop, server or virtual machine - in minutes.

All agent installations are managed in Qualys Cloud Agent. We’ll help you create activate keys, download and install agents, and activate your agents for Policy Compliance (PC).

Log into your account and choose **Cloud Agent** from the application picker.

The Cloud Agent Platform Quick Start Guide provides helpful information to get started. Select **Quick Start Guide** below your user name at any time to see this guide. You’ll find helpful links to Cloud Agent free training and user guides.

Evaluate Middleware Assets by Using Cloud Agent

Evaluate compliance posture on your assets by assessing the middleware technologies installed in your environment using your PC agents. You can dynamically discover and assess middleware technologies like web servers in your environment. We provide you with two ways to quickly get started. You can either choose to enable all your agents to be activated for middleware assessment by default or you can activate assets individually.

If you choose to enable by default, it will take away your need to monitor the asset list and then activate the asset. As soon as supported technology instances are discovered on the assets, they will be activated for assessment. As a part of activation process Middleware manifest will be installed on your agent.

In case you choose to activate each asset individually, the manifest is installed on the agent once you choose to activate the asset for assessment.
The middleware assets and technologies installed on the assets are identified using cloud agents and are listed in the PC > Assets > Middleware Assets tab. There’s no need to create duplicate controls - the controls you’ve already defined in your PC account for compliance scanning will also be evaluated by cloud agents with no action from you. You can continue to use your scanner to discover middleware technologies in your environment.

**Prerequisites**
- Qualys Policy Compliance must be enabled for your subscription
- Qualys Cloud Agent must be enabled for your subscription
- Cloud Agents must be activated for the PC module
- Windows Cloud Agent 4.0.x or later
- Linux Cloud Agent 2.8.x or later

See the online help to learn more about the Middleware Technologies auto-discovered by Cloud Agent in Policy Compliance.

**Identify Middleware Assets**
Set up Cloud Agent on the assets you want to scan for assessment of middleware technologies. Once the assets are scanned by the agents the middleware technology details of assets are listed in the Middleware Assets tab.

Here you can view details like number of instances of the technology on your asset, OS, Status, Update Date, etc. There could be a delay in displaying the discovered details in the list depending on intervals set on your Cloud Agent scans.

<table>
<thead>
<tr>
<th>Policy Compliance</th>
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<th>Policies</th>
<th>Scans</th>
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<tbody>
<tr>
<td><strong>Assets</strong></td>
<td><strong>Asset Groups</strong></td>
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<td><img src="image2.png" alt="Middleware Assets Example" /></td>
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**Status types:**

- Not Activated - The asset is not yet activated for middleware assessment. When a technology is identified by agent for first time on the asset, it is listed as Not Activated.
- Successful Activation - The asset is activated for middleware assessment. You can run policy compliance reports on this asset for middleware.
- Successful Deactivation - The asset is temporarily deactivated for middleware assessment and will be eliminated from upcoming policy reports.
Activate assets for middleware assessment

When a technology is identified by the agent for the first time on an asset, it is listed as Not Activated. To activate the asset, select the asset and from the Action menu choose **Activate Middleware Assessment**. You can activate multiple assets at the same time. Once an asset is activated, the Middleware manifest is assigned to the agent and status is set to Successful. You can now create policies and run compliance reports on these assets for the middleware technologies.

Similarly, you can deactivate an asset for assessment using the **Deactivate Middleware Assessment** option. Once deactivated, the data for technologies on assets will no longer be assessed and will not be displayed in the policy compliance report. However, data collected before deactivation can still be viewed in the report. You can reactive assessment on an asset any time using the **Activate Middleware Assessment** option.

Activate assessment on assets by default

You can set the assets to be activated for assessment by default as soon as they are discovered. Go to Assets > Setup, click Middleware Assessment and select the **Enable Middleware Assessment by default** option.
Sample Middleware Assessment Report

Here is a sample Middleware Assessment report for CentOS Linux 7.6.1810
Define Policies

Create a compliance policy based on your organization’s compliance needs, and assign relevant assets to the policy. You can easily import policies directly to your account from our Compliance Policy Library. The library includes policies that are based on popular compliance frameworks, including SOX, HIPAA, CoBIT and more. You can also import a compliance policy from an XML file. The XML file may be one that was exported from your account or one that was shared with you by another security professional.

The imported policy appears in your policies list where you can assign assets to the policy and customize the policy settings. By default, we’ll only import the service-provided controls in the policy. Choose “Create user defined controls” to also import UDCs.

Once the compliance policy is in place, you can apply the policy to saved compliance scan results to identify whether hosts are meeting compliance requirements. The next few sections will guide you through the process of creating your first policy.

Create your first policy

Go to PC > Policies > New > Policy.

Get started using any of these methods:

Create from Scratch — Follow the wizard to select policy technologies, assign assets to the policy, and give your policy a name. When the Policy Editor appears you can add controls to your policy and set control values.

Create from Host — You’ll select a host that has already been scanned for compliance, give your policy a name, and click Create. We’ll build the policy for you based on the latest compliance findings for the host. We’ll add controls to the policy and organize them into sections.

Import from Library — We provide many policies in our Library, including CIS-certified policies. Find the policy you want, click on it and then click Next to import it to your account.

Import from XML File — Follow the wizard to choose the XML file you want to import and give your policy a name.
Here’s a sample policy for the Windows XP technology.

Can I search the policy?
Yes. Use the search feature in the top, right corner to jump directly to any section or control in the policy. Search by keyword or control ID.

How to assign assets to the policy
Tell us the hosts that you want to test for compliance with each policy. You can do this by adding asset groups to the policy (all hosts in the specified asset group are included) or by adding asset tags in the include list (hosts that match any or all of the specified tags are included). You can also specify the asset tags that you want to exclude. Hosts having all or any of the tags in the exclude list are excluded from policy compliance assessment.
Do you have PC Agent?
You’ll also see the option to include all hosts in your PC Agent license. Click **Edit** to edit the policy assets. Then select the **Include all hosts with PC agents** check box.

When you run policy reports, you’ll be able to identify the agent hosts in the policy by looking for the tracking method AGENT.

How do I add controls to a section?
Drill-down into a section from the home page (double-click on the section), and then click the **Add Controls** button to search for and add controls to the section. Note that you can only select controls that have not already been added to the policy, and the controls must be applicable to the global technologies list set for the policy.

Copy controls from another policy or technology
Save time by copying controls along-with their settings already defined in another policy. Click **Copy Controls** in a new section or existing section in your policy. Tell us which policy has the controls you’re looking for. Select the controls you want to copy, and click **Copy**.
Similarly, when you add a new technology to your policy, you can copy control settings from another technology in the same policy, another policy in your account or a policy in the Library. For example, let’s say you’re adding Windows 10 to your policy and you choose to copy settings from another technology like Windows 8. We will apply settings from all applicable Windows 8 controls to Windows 10 controls.

**How do I reorder controls?**

From the controls list, you can reorder controls using these methods: 1) Click the Reorder button and then type over any control number. This is an easy way to move controls from one section to another, for example change control 2.1 to 1.1 to move it from section 2 to section 1. 2) Simply drag and drop a control to a new position. Click the far left edge of the control row to move it.

**How do I edit control details?**

Drill-down into a section from the home page (double-click on the section), and then double-click on any control (or click Edit) to see control details. From here you can change the control value for any technology, add/remove technologies for the control, add an external reference number and customize remediation details. Use the left and right arrows to quickly scroll through the controls in a section.
Copy control settings from one technology to other technologies

Drill-down into the control details for any control in your policy and pick a technology on the left side to see the control settings for that technology. Then click the **Copy to Other Technologies** button to copy the settings from the selected technology to all other technologies listed in the policy for the same control.

Note that if the control criteria is different between the technology that you've selected and another technology for the control (e.g. different cardinality, operator or fixed value options), then only the remediation value will be copied. Other control settings will not be copied in this case. You’ll get a message on the screen that lets you know which technologies could not get all control settings.

**How do I add a control reference?**

You can add a reference to any control by either clicking the **Add Ref #** link from the list of controls or clicking **Edit** next to **Reference #** in the **Control Details**. The text you enter will appear in your policy reports under Control References. Note that Managers and Auditors can still add references (documents, URLs and text) by editing a control from the controls data list (go to **PC > Policies > Controls**).
Add User-Defined Controls

Managers and Auditors have the option to add user-defined controls (UDC) to the subscription making them available for compliance scanning and reporting. The service supports Windows, Unix and Database control types.

When defining a UDC, you must 1) provide general information for the control like a control statement and category, 2) specify the scan parameters that define the data point check to be performed by the scanning engine, and 3) identify the technologies that the control applies to and set the default expected value for each technology.

To add a UDC, go to Policies > Controls and pick New > Control.

In the New Control window, select Windows Control Types, Unix Control Types or Database Control Types.

Click on the type of control you want to create. Provide details for the control, including General Information, Scan Parameters, Control Technologies and References. (See the online help for complete information.) Click Create to save the new control.

Once saved, the UDC appears in the controls list with the service-provided controls. The service automatically assigns the new custom control a unique CID (Control ID) starting at 100000. Subsequent CIDs are incremented by one — 100001, 100002, 100003, etc. The new control is automatically included in all future compliance scans and may be added to policies.
Sample Control: Unix File Content Check

This control checks the contents of a user-specified file on a Unix system. A Unix File Content Check control includes 2 regular expressions. The first regular expression is entered in the Scan Parameters section and is used to filter results on the target file/directory at the time of the scan. The second regular expression is entered in the Control Technologies section and is used to perform the pass/fail evaluation of the returned results.

Example:

This sample control can be used to find lines in the /etc/passwd file that end with /bin/bash. The settings in the Scan Parameters section instruct the scanning engine to first return all lines in the /etc/passwd file that have at least one character. The settings in the Control Technologies section instruct the scanning engine to pass the control if none of the lines end with /bin/bash. If at least one line in the file ends with /bin/bash then the control will fail.
Sample Control: Windows Registry Permission

A Windows Registry Permission control checks permissions that are set on a Windows registry key for different user groups and individual users.

To maximize space, the Policy Compliance application assigns each permission a letter (A,B,C,D,...) and displays the letter instead of the full permission name. You must use the same mapping when setting the default expected value for the control. (See “Registry Permissions” in the online help for a table that maps each permission to the letter it represents.)

Example:

This sample control checks that the registry key HKLM\SYSTEM has the following permissions:

The Administrators group has Full Control permission (D:E:F:G:H:I:J:K:L:M)
The Users group has Read permission (E:F:I:M)
A user named Robert has Read Control permission (M)
Define Policies
Database User-Defined Controls

Use the database UDC type to create custom checks by executing SQL statements on databases. You can also use these checks to create policy reports on databases. We support several databases, including MS SQL, Oracle, Sybase, PostgreSQL/Pivotal Greenplum and SAP IQ. We’ll walk you through the steps.

**Step 1 - Add database controls**

Go to **PC > Policies > Controls > New > Control.** Select **Database Control Types** and then click the type of control you want. In each control you’ll define the SQL statement that you want to execute on your database. This value can have a maximum of 32000 characters.

Note - Only SELECT statements are supported for the database controls. For example, you can use the following SQL statement to list all fields from “Customers” where country is “Germany” AND city is “Berlin”:

```
SELECT * FROM Customers WHERE Country='Germany' AND City='Berlin'
```

**Step 2 - Add database controls to a policy**

Add your database controls to a compliance policy. Tip - Make sure your policy has the database technologies selected in the control. If you haven’t scanned yet, you won’t see any actual data from your database in the policy when you view the control.

Time Efficient Tip: Run a compliance scan without any policy restrictions and then add database controls to the policy. This way you already have data from the scan to build a policy and set criteria.

**Step 3 - Launch a compliance scan**

Launch a compliance scan on the host running the database. First, edit the compliance option profile you’ll use for the scan to set the max number of rows you want the check to return. Select any control type to edit the limit.
**Step 4 - Return to your policy to set control criteria**

Edit your policy using the Policy Editor to see the actual data returned by your scan.

Select a column and define the expected value. This is how you set the criteria that will determine pass/fail status for the control. To ensure you get accurate results, make sure you provide appropriate Expected value for the selected Data-type. For example: If you select the data-type as List String then in the Expected Values field provide text value.

Note - The first check box “Set status to PASS if no data found” and Criteria 1 use OR for control evaluation. This cannot be changed.

Click “Add another column” to add more criteria. You can add up to 5 criteria, i.e. Criteria 1, Criteria 2, Criteria 3 and so on.

You can choose AND or OR between each criteria. If you choose AND then both criteria must match to Pass. If you choose OR then at least one criteria must match to Pass.
Click Test Control to verify the criteria you set. Then save your policy.
Step 5 - Run a report
You’ll see PASS or FAIL status in your report like with any control. If the columns returned by the most recent scan are different than previous scans then you’ll want to edit your policy to modify the criteria selected for the control.

In this sample report, the expected value matches the actual value, resulting in status PASS.

Common Questions and Sample Queries
Please refer to the online help for answers to common questions as well as sample queries and the results from those queries for each of the database control types.
Edit User-Defined Controls

Managers and Auditors can edit controls. Unit Managers may be granted permission to edit user-defined controls (UDC). Go to PC > Policies > Controls, select a control and choose Edit from the Quick Actions menu.

For a user-defined control (UDC), you can edit the control statement, category, comments, reporting options, scan parameters and their description, control values (which are used to calculate the expected values), control technologies, and references. When Control Criticality is enabled for your subscription, you can change or remove the criticality level assigned to the control. (To know more about control criticality, see the online help.)

After you edit a UDC, to use the modified values in data collection and evaluation, run a fresh scan and generate a new report.

Import and Export User-Defined Controls

Manager and Auditor users have the option to import and export user-defined controls in XML format. Other users can export user-defined controls if they have the “Manage compliance” permission; these users do not have permission to import controls.

Tip: The schema ImportableControl.xsd is used to import and export user defined controls. You can find a description of this schema in the online help.

Export User Defined Controls

To export user defined controls:

1. Go to PC > Policies > Controls.
2. Use the check boxes to select user defined controls you’d like to export.
3. Select Actions > Export.

The selected controls will be saved in an XML file named “control_export_yyyymmdd.xml” using the schema ImportableControl.xsd. A maximum of 500 controls can be exported.

Import User Defined Controls

To import user defined controls:

1. Create user defined control(s) using the schema ImportableControl.xsd.
2. Go to PC > Policies > Controls.
3. Select New > Import from XML file and select the XML file with your user-defined controls.

Note: If a control exists in your account with the same scan parameters as control(s) being imported, the service assigns the DESCRIPTION parameter of the existing control to the DESCRIPTION parameter of all imported controls with the same scan parameters.
Qualys Custom Controls in Library Policies

Library policies provided by Qualys may include a control type called Qualys Custom Control (QCC). With this new control type we can quickly provide to users new controls that are similar to user-defined controls (UDC). Once added to your account you can copy any QCC to make your own UDC that you can customize the controls to meet your needs.

Import a Policy from the Library

Go to Policies > New > Policy > Import from Library. Choose a policy and click Next. If the selected policy includes QCCs you’ll see the option Include Qualys Custom Controls. This option is selected by default and is recommended. Click Create to import the policy and the add the QCCs. Simply uncheck the option if you don’t want the QCCs to be imported.

The QCCs added from the policy appear on your controls list. The Type column shows QCC for each Qualys Custom Control. You can make a copy of any QCC to create a UDC that you can customize to meet your exact needs, just choose Copy from the Quick Actions menu and then confirm the action. The new UDC appears on the controls list where you can edit it.

Export a Policy with QCCs

When you export a policy you will see the option Include UDCs and QCCs. By default we include all service-defined controls in the policy. Select this option to also include user-defined controls and Qualys custom controls in the policy.
Manage Your Policies

Go to PC > Policies to see all the policies in your subscription. From here you can view and edit policies, export policies, and change the policy status (active/inactive).

How do I export a policy?

Choose Export from the Quick Actions menu and select a format (CSV or XML). You can include user-defined controls (UDCs) along with the service-provided controls when you export a policy from your account to CSV or XML. Exporting a policy lets you quickly and easily share it or compare it with other policies you may have.

How do I import a policy?

You can import a policy from an XML file including user-defined controls (UDCs) or directly from the Compliance Policy Library. Once a policy is imported, you can customize the policy to suit your needs (unless it is locked). Just go to New > Policy, select either Import from XML File or Import from Library and we’ll walk you through the steps.

How do I lock a policy?

You can lock a policy so that you can restrict other users from updating it. Simply, navigate to Policies > Policies and select the policy you want to lock. Select Lock from the Quick Actions menu. You can use the Actions menu to lock multiple policies in one go. Similarly, you can unlock a locked policy. Policies must be unlocked to enable editing.

Tell me about locked policies

Locked policies may be imported for certification purposes. For example, the service provides locked policies for testing compliance against specific CIS benchmarks. These policies have been reviewed and certified by CIS (the Center for Internet Security). You can import a CIS-certified policy from the library into your account, assign relevant assets to the policy and then use the policy to certify that you are meeting all requirements outlined in the CIS benchmark.

Tell me about policy status

Every policy in your account will either be active or inactive. Inactive policies will not be scanned or reported on. You can make a policy inactive by simply choosing Deactivate from the Quick Actions menu. (Then activate it later by choosing Activate.)
Define Policies

Mandates

Why make a policy inactive? You may want to hide a new policy while you’re working on it and then publish it at a later time. Or let’s say a policy has become out of date and you want to edit the policy before republishing it. In such cases you mark the policy inactive and make the required changes. Then activate it when you’re done.

How do I evaluate policy?

Policies are evaluated when new scan results are processed for the hosts in your policy. You can also start policy evaluation when saving changes to a policy or anytime from the policies data list. Simply select the Evaluate Now check box before you click Save in the Policy Editor. From the policy data list, select any policy and choose Evaluate from the Quick Actions menu. To evaluate multiple policies at one go, select the policies and choose Evaluate from the Actions menu above the list.

Mandates

Mandates are regulatory or good practice standards, compliance frameworks etc. designed by government organizations. We provide a set of pre-defined mandates which you can use to generate mandate based reports. To view mandates, go to PC > Policies > Mandates.

What all can I see in the mandates?

A mandate has a set of requirements which may include one or more levels of sub-requirements. These requirements contain control-objectives and the control-objectives have sub-control-objectives or controls.

Can I edit mandates?

No, the mandates are pre-defined and cannot be edited. However, you can download the mandate or view the mandate.

Download a mandate

Go to PC > Policies > Mandates choose New and select Download. Select the download file format and click Download.

Report on mandates

You can easily generate a report directly from the Mandates tab. Simply select one or more mandates and from the Actions menu select Generate Report. See Mandate Based Reports.
A policy compliance dashboard and specialized policy compliance reports provide compliance status information for the hosts in your account, based on the results returned from the most recent compliance scans. These reports help you determine whether hosts are compliant with the policies in your account.

Dashboard

The policy compliance dashboard provides a summary of your overall compliance status across all policies in your account. It displays the top failing policies broken down by technology or by criticality so you can prioritize your compliance efforts. From the dashboard, you can drill-down into a policy summary report for any policy listed, make changes to upcoming schedules, view compliance reports and more. To view the dashboard, select Dashboard on the top menu.

You can also view all your Policy Compliance Summary for an asset in the Compliance tab of Asset View. You can see the compliance policies each asset is associated with and how the policies are doing in terms of secure configuration controls on each asset.

Simply navigate to AssetView > Assets tab, select an asset and click View Asset Details. Locate the Compliance tab to view a detailed compliance summary for that asset.
Policy Summary

The Policy Summary provides a one-page summary of your compliance status for a specific policy in your account. You can view the Policy Summary from the Reports section (Reports > Policy Summary) or link to it from the PC Dashboard (double-click any policy title under Top 5 passing policies or Top 5 failing policies).

At the top of the page, select the policy you’re interested in from the Policy menu. When you link to this page from the Dashboard the policy is selected for you. You can change the policy selection at any time to report on a different policy in your account. You can also change the trend duration selection. Your selection determines the number of days (7-90) included in the trend graphs. Note that trend graphs may show aggregate data when a longer time frame is selected.

Did you know?

You can run interactive compliance reports directly from the Policy Summary.

Select the IP address for any host listed under “Top Failing Hosts” to run the Individual Host Compliance Report for the selected host/policy.

Select the control title for any control listed under “Top Failing Controls” to run the Control Pass/Fail Report for the selected control/policy.
Control View

You can view and search for information, across all controls in your subscription making it easier for you to navigate your compliance data. Create and save search queries as per your requirement.

Note:
- Records will be displayed in Control View when there is some search criteria.
- You’ll need to run compliance scan to view history for control status changes.

What are the steps?
Go to **Reports > Control View** and do one of the following:

Option 1 - Start typing search criteria [Posture, Technology, Criticality, etc] in the text box.

Option 2 - Click the expand button, select search criteria and click Search.

Can I save my search filters?
Yes, click Save in the top right corner to save the search filter. You can even mark your most commonly used search filters as Favorite. Favorites are displayed in the Saved Searches list. A yellow star is shown to identify if a saved search filter is marked as favorite.

How do I share my saved searches?
When you save a search filter you can choose to share it with other users. You can also share a saved filter later from Search Action in the top-right corner. A shared search is identified with a blue share icon.
Can I edit my saved searches?
Yes, you can easily add or remove criteria from a saved search. You can either save changes to the same search or click Save As in the top-right corner to create a new search filter.

Tell me about the columns that show history for control status changes
First Fail Date - The first scan date when the control was reported as Fail. If the previous status was Pass then this is the date the status changed from Pass to Fail.

Last Fail Date - The most recent scan date when the control was reported as Fail.

First Pass Date - The first scan date when the control was reported as Pass. If the previous status was Fail then this is the date the status changed from Fail to Pass.

Last Pass Date - The most recent scan date when the control was reported as Pass.

Previous Posture - The compliance status (Pass or Fail) for each control before the most recent compliance scan.

Policy Compliance Reports
All policy compliance reports are based on the most recent compliance scan for each host. There are template based reports and interactive reports. Once generated, template based reports are saved to your reports list. Interactive reports are not saved.

To create a new compliance report, select Reports from the top menu, click the Reports tab and select the report you want to run from the New menu.

Authentication Report
The Authentication Report indicates whether authentication was successful for scanned hosts. If authentication to a host is not successful, then no controls can be evaluated for the host and no compliance data can be collected for the host. If authentication to a host...
is successful, then the host can be evaluated for compliance. The Authentication Report uses a hidden report template provided by the service. This template cannot be viewed from the report templates list.

To run the Authentication Report, go to **New > Compliance Report > Authentication Report**. Select a report format, report source (certain business units or asset groups), and choose whether to display the Summary and/or Details section. Click **Run**.

Sample Authentication Report:

![Sample Authentication Report](image)

**Policy Report**

The Policy Report provides compliance status and trend information for a specific policy. The Policy Report requires a policy report template. The template settings determine the layout and organization of your report, the trend duration for trend graphs, and the list of frameworks that may appear in the report. The service provides the “Policy Report Template” to help you get started. You can use this template as is or customize the settings.

To run the Policy Report, select **New > Compliance Report > Policy Report**. In the **New Policy Report** wizard specify your policy report template in the **Report Template** field. Choose the policy you want to report on. Under **Asset Groups** you have the option to run the report on all asset groups in the policy or to select specific asset groups in the policy. Click **Run**.

Sample Policy Report:
This sample shows the Report Summary section of a Policy Report. The report lists hosts relevant to the policy with the controls tested on each host and the passed/failed status for each control. For each control, you can expand details to see the expected value as defined in the policy and the actual value returned when the host was last scanned.

**Mandate Based Reports**

The Mandate Based Report helps you view the compliance posture of the organization in terms of the underlying Security baseline against selected Mandates. You get a harmonized report on one or more compliance policies and mandates.

You can choose any mandates/standards you want to comply with (or even the sub-requirements from multiple mandates to create a Union of the total requirements) and get a view of compliance posture in terms of their selected policies.

The Mandate Based Report requires a Mandate template. The template settings identify the sections you want to include in the report. To create a custom Mandate Based Template, go to **Reports > Templates** and select **Mandate Template** and configure the report template settings.
You can group the report in two ways:

**Group by Mandates**: generates the report so that information is grouped to flow as per the selected mandates. This works great when generating a report for a single mandate.

**Group by Control Objectives**: harmonizes the overlapping requirements of the mandates and that mandate related control objectives. The information in the generated report is grouped to flow as per the control objectives. This grouping works best when you are generating a report for multiple mandates.

To run the Mandate Based Report, click the Reports tab and select **New > Compliance Report** and select **Mandate Based Report**.

Add mandates, select policies and choose assets you want to get information from, in your report.

Depending on what you select in the report layout while creating the custom mandate based template, a report is generated.
In the Detailed Report section of the report, you can view and drill down to view posture of the control objectives.
STIG Based Reports

Launch the STIG (Security Technical Implementation Guides) Based Report to view the compliance and security posture of the organization in terms of the Defense Information Systems Agency (DISA). This report helps you to view control posture as per the Rule IDs or Vuln IDs provided in the DISA security technical implementation guides.

To generate a STIG based report, first you need to create a custom STIG based report template to create compliance report for the selected DISA STIG policy. Go to Reports > Templates > STIG Template and configure settings. In the template, define all that you want to display in your report for example which STIG postures and STIG severity. You can view results as per Rule IDs or Vuln IDs provided in the DISA benchmarks.

Then, to run the report, go to Reports > New > Compliance Report > STIG Based Report. Select the STIG template you created, and choose a DISA STIG policy to assess controls and get a view of compliance posture against the selected policies.

Depending on what you select in the report layout while creating the custom STIG based report template, a report is generated in CSV format.
Compliance Scorecard Report

The Compliance Scorecard Report allows you to:

- Report on multiple policies in a single report (up to 20 policies)
- Report your compliance score across selected policies for specific environments (up to 10 asset groups or asset tags)
- View compliance status by policy, by asset group/tag, by technology and by criticality
- Include a breakdown of compliance status changes over a period of time
- Get a list of the top hosts and controls that changed during your selected timeframe

The Scorecard Report requires a scorecard report template. The template settings identify the sections you want to include in the report and the timeframe you want to report on (from the last 1 day to the last 90 days). The service provides a global “Compliance Scorecard Report” template to help you get started. You can use this template as is or customize the settings.

Here’s a look at the compliance scorecard report template.

You’ll notice that there are multiple ways you can report on your compliance data – by policy, by asset group/asset tag, by technology and by criticality. For each section, you can include the current compliance status plus details about compliance status changes.
To run the Scorecard Report, select **New > Compliance Report > Scorecard Report**. Choose a template and format. Then select up to 20 policies and up to 10 asset groups or asset tags for your report. Your report will only include compliance evaluation data for hosts that match at least one of the selected policies and at least one of the selected asset groups. Click **Run**.

Sample Scorecard Report:

Here’s a look at the summary section of the scorecard report. You can quickly see your overall compliance score across the selected policies, the number of control instances with changes, the number of hosts with changes, the number of technologies with hosts that changed, and more.
Here’s an example of the compliance by policy section where you get your current compliance status for each policy with the number of passed and failed control instances, plus the detailed changes for each policy.
Control Pass/Fail Report

The Control Pass/Fail Report identifies the pass/fail status for a specific control. When running this report, identify the policy and control you want to report on. Hosts included in the report are listed with a pass or fail status for the specified control.

To run the Control Pass/Fail Report, click the Reports tab and select New > Compliance Report > Interactive Report and then select Control Pass/Fail and click Run.

The report setup wizard prompts you to select report settings.

1. Select a policy in your account and a control within that policy.
2. Select an asset group that is assigned to the policy (this option is available to Managers and Auditors) to report on.
3 Click Run to start report generation.

The completed report appears in the same window. Note that this report is dynamically generated and it is not saved on your reports list.

Sample Control Pass/Fail Report:

The **Posture** column identifies the status for the control on each host. Passed indicates that the expected value defined in the policy for the control matches the actual value returned during the last compliance scan on the host. Failed indicates that the expected value defined in the policy for the control does not match the actual value returned during the last compliance scan on the host. Passed\(^E\) indicates that the host is exempt from the control. This means that an exception was requested and accepted for the control on the host.
Individual Host Compliance Report

The Individual Host Compliance Report identifies the compliance status for a specific host. When running this report, identify the policy and host you want to report on. Each control from the policy that is applicable to the host is listed with a pass or fail status.

To run the report, click the Reports tab and select New > Compliance Report > Interactive Report and then select Individual Host Compliance and click Run.

The report setup wizard prompts you to select report settings.

1. Select a policy in your account.
2. Select an asset group that is assigned to the policy (this option is available to Managers and Auditors), and then click the Select link to select a host (IP address) to report on.
3 Tell us whether you want to show controls that passed for the host, that failed for the host, or both. You can also filter the report by criticality levels.

4 For Sort by, specify how you want hosts to be sorted. You may select one of these options: Order (the order of the controls in the policy), Control, Category, Posture, Exception (status).

5 Click Run to start the report generation.

Sample Individual Host Compliance Report:

In the Results section, click on a control in the list to display scan results for the control on the host. The Expected value is the value as defined in the policy. The Actual value represents the compliance data retrieved from the most recent compliance scan. The service compares the actual value to the expected value to determine the compliance status.

Managing exceptions

Users may request exceptions for some hosts/controls in a selected policy to support a business need. For example a compliance policy may have a control that states the service FTP is not allowed on a server, however there may be a business requirement to exempt one or more hosts from this particular control in the policy. Users submit exceptions for one or more hosts/controls in a policy that failed compliance. When approved, compliance reports do not fail compliance for the hosts/controls in the exception request for a period of time defined in the request.
The exceptions workflow allows all users to submit and view exception requests and their status. Managers and Auditors can approve exception requests; Unit Managers may approve requests submitted by users in their business unit when this privileges is granted in their user account. User actions on exceptions are logged in the exception history.

You request exceptions from these interactive reports: Control Pass/Fail Report and Individual Host Compliance Report. In the report results, simply identify the control/host that needs an exception and select the check box next to each control/host that you want to include in the request and click the Request Exception button at the top of the report.

See all exceptions on your hosts in the Exceptions tab. Select Info from the Quick Actions menu for any exception to view complete details, including the related policy, control and technology, plus the expected control value as defined in the policy and the actual value returned during the compliance scan. You can also view a history log for the exception.
Tips and Tricks

Add Auditor Users

Create users with the Auditor user role to perform compliance management tasks. Auditors can create and manage compliance policies for the subscription, generate reports on compliance data and manage exception requests. Auditors are automatically part of the Unassigned business unit and have permission to all compliance hosts defined for the subscription. Note that Auditors only have visibility into compliance data (not vulnerability data). Auditors cannot perform any vulnerability management functions.

To add an Auditor, select New > User above the user list. Using the wizard, provide general information such as user name and address. Continue to the User Role section and select Auditor from the User Role menu.

The first time the Auditor logs in they will see the Quick Start with links to compliance management features. An Auditor can create asset groups including compliance hosts, create a policy, create policy report templates and run compliance reports.

Customize Frameworks for the Subscription

When you view technical control information the details include a list of frameworks, standards and regulations that the control maps to. Manager users have the option to customize the list to only display selected frameworks. This setting is made at the subscription level and affects the list of frameworks displayed to all users in technical control details and in PC reports. By customizing the list to only select frameworks, you can reduce the size of your reports.

To customize the frameworks list, go to Policies, click the Setup tab, and then select Frameworks. Select the option Customize list of frameworks and then select the frameworks you want to display in the subscription. Additionally, any user with compliance management privileges can customize the list of frameworks in their compliance policy reports. This setting is made in the policy report template.
Customize Technologies for the Subscription

You can hide the technologies that you do not use on a regular basis. By hiding these technologies, Manager users ensure that you no longer need to go through the whole list of all the available technologies to select the ones you want. This is especially useful while searching controls by technologies. Only the controls related to the preferred technologies are displayed and are available for search.

To customize the technologies list, go to Policies, click the Setup tab, and then select Technologies. Create a list of preferred technologies that should be displayed. For example, let’s say you’re interested only in Windows. You add all the Windows technologies to your preferred list. All other technologies like Unix, Sybase, Solaris, etc will be hidden.
Review & Customize Control Criticality

Control Criticality provides ratings for controls, including the ability to customize ratings at the control level and at the policy level. Criticality appears in control details – in the controls list, in your policies and reports. We've defined 5 criticality levels ranging from Minimal to Urgent. You can rename these levels and change their colors if you want (go to PC > Policies > Setup and select Control Criticality Levels).

Contact Support

Qualys is committed to providing you with the most thorough support. Through online documentation, telephone help, and direct email support, Qualys ensures that your questions will be answered in the fastest time possible. We support you 7 days a week, 24 hours a day. Access online support information at www.qualys.com/support/.