

# **ITGRCBond - Continuous Controls Testing**

## **Step-by-Step Tutorial**

Rsam Version: 10 | Document Version: 01.00.03

April 2020

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# **About Rsam Tutorials**

The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.

# **Rsam Sandbox Environment**

Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization's internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as www.whatismyip.com, or contact your organization's Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

### Sign-In Page

Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign In page so that you can easily toggle between various sample accounts used throughout the tutorial.

Sign In	Language	English	\$
User ID Password			
		Sign In	
Forgot User ID   Password?	)	New Registra	ition

Like most elements in Rsam, the Sign In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. You can also embed your own branding and logo on the Sign In page.

# Welcome Page

The Welcome Page is the first page that appears when you log in to Rsam for the first time. This page provides navigation instructions and shortcuts to access the most commonly used pages from the bonds you have access to.

Ξ 🙏 R·sam	۵	Assessments Records Search		? 🍐
Q. Filter	×	Welcome		
Shortcuts	~	Welcome to <b>Rsam</b>		人
ITGRCBond	>			
ThirdPartyBond	>	For End User       If you are an End User seeking to simply complete assigned activities, we recommend starting with the User Activities page on the left. From there you can click on an activity tile to see and complete your assigned items.	For Power User If you are a power user, or if you don't find your activities in the User Activities page, we recommend navigating directly to your desired Bond product on the left. Here you will find Activity pages with tasks specific to that bond, as well as Dashboard pages to see summary charts and reports.	Set as Landing page If you wish to start directly on one of these pages in the future, be sure to set that page as your personal landing page. In Set as Landing page
		ITGRCBond <b>F</b>	ThirdPartyBond	

**Note**: The view of the Welcome Page may be different from the one shown in the image, based on the role of the logged in user.

## **Navigating to Tasks and Dashboards**

If you are an end user and have logged in to complete assigned tasks, you can click

Ser Activities available on the left navigation bar to view the most frequently used Activity Centers *across all bonds assigned for your role*. You can click the relevant activity tile to navigate to your tasks.

If you do not find the required activity tiles, you can either click *for each activity tiles, you can either click* or responding to a bond on the Welcome Page or navigate directly to the bonds from the left navigation bar and select the **Activities** 

Ξ 🙏 R·sam	🖒 Assessments Manage Records Search
C Filter	Activities
Shortcuts ~	Assessment Questionnaires Click a tile below to respond to or review responses to an assigned questionnaire
Welcome	
두 User Activities	199 2 PENDING RESPONSES PENDING REVIEW
ITGRCBond 🗸	PENDING RESPONSES PENDING REVIEW
🗧 Activities	Assessment Findings
In Dashboards	Click a tile below to review and provide action plans for findings discovered during the questionnaire process
B Shortcuts	3 15 0
Assessment Navigator	PENDING PLAN PENDING APPROVAL IN REMEDIATION

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tab to view all related Activity Centers.

Click an Activity Center tile to view all related tasks.

Additionally, you can perform the following navigation actions:

• Click corresponding to a bond on the Welcome page to view all Dashboards configured for the bond.

∃ 🙏 R∙sam	ි Assessments Manage	Records Search		ð 🖬 ? 🕒
Q, Filter	Dashboards			Edit 🕩 🗸
Shortcuts	ASSETS ASSESSMENTS ST	QUESTIONNAIRE FINDINGS	CONTROL LIBRARY	CONTROL TEST PLANS
ITGRCBond ~	NCSF ASSESSMENT STATUS	NCSF RESULTS - TIERS	NCSF RESULTS - FINDINGS	NCSF RESULTS - GAPS
🗈 Dashboards				
Shortcuts				
Assessment Navigator				
Responses to Review Navigator				

Alternatively, you can navigate to the required bond from the left navigation bar and select **Dashboards**.

• Click corresponding to a bond on the Welcome page to view all Dashboards configured for the bond.

Alternatively, you can navigate to the required bond from the left navigation bar and select **Dashboards**.

• Expand the required bond from the left navigation bar and use the pages.

For information on using the home page features and configuring Activity Centers, see the *Rsam* Administrator and *End-User Help*.

# **Continuous Controls Testing**

## **Overview**

Rsam Continuous Control Testing (CCT) Module allows organizations to automate ongoing control monitoring activities mandated by regulatory requirements and standards such as NIST, FISMA, FEDRamp, SOX, PCI, COSO, ISO, NERC, CMS, OCC, and others. Rsam CCT provides a repository for maintaining various libraries of controls and control tests. The module enables federated control testing teams to manage their own unique control test plans, from scoping and documentation to execution and certification.

With automatic reminder and escalation notifications, you'll never miss another deadline, and with the powerful searching and reporting capabilities of Rsam, you'll be able to generate mission critical certification and attestation reports with the click of a button.

## **Features and Benefits**

The Rsam Continuous Controls Testing module provides the following capabilities and benefits:

• Centralized Repository for Controls and Control Tests

Maintain a centralized library of controls and control tests to use as a starting point for test plans. Controls and test can be subject to review and approval workflows to ensure that only sanctioned controls are available to test plan managers and their testing teams.

#### • Automatic Control Testing Workflow Notifications and Reporting

Assignment, reminder, and escalation notifications ensure that testers, reviewers, and attesters stay on top of their activities even in the face of vast sets of control tests with desperate start dates, frequencies, and test durations. Not only are users automatically reminded of pending tasks, but managers can also report on items by their workflow state to ensure that plans are staying on track.

#### • Enabling a Federated Approach to Testing Shared Assets

Control testing teams can manage their own unique test plans based on their function and responsibilities within the organization. Controls and test plans can be defined for specific assets or organizational entities, and even for multiple teams interacting with those assets. This allows, for example, for the contract team and the IT security team to execute their own distinct test plans in parallel on the same vendor asset.

#### • Audit Trail

Full audit trail provides easy access to historical control test results and certifications, ensuring that you have access to accurate historical data that reliably reflects the state of affairs on the date it was finalized.

#### • Reporting and Dashboarding

Rsam reporting allows for blazingly fast creation and sharing of test execution reports for easy certification and attestation, and role-based dashboards provide ongoing visibility into key metrics such as number of tests by owner, asset, organizational segment, etc. providing actionable information for managing the day-to-day execution of test plans, justifying business cases, etc.

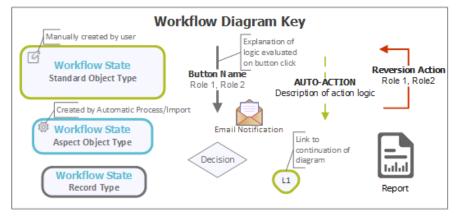


# **Continuous Controls Testing Workflows**

The Continuous Control Testing module is comprised of two high-level work streams: 1) the management of a global library of controls and control tests, and 2) the scoping and execution of specific control test plans against targeted assets or entities. This tutorial document covers only the latter, presuming that your Rsam instance already has library controls and control tests available for use in the test planning and execution work stream.

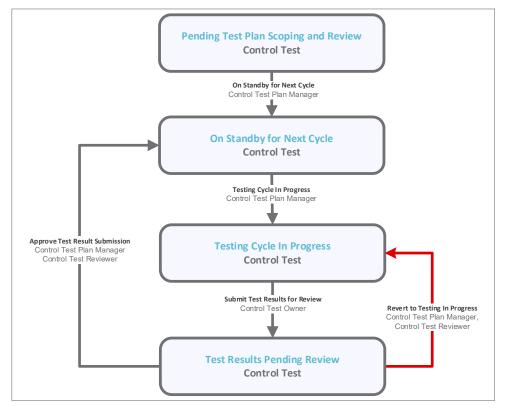
The planning and execution work stream covered in this tutorial can be further divided into two workflows: the management of the plan itself, and the management of individual tests within the plan.

Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.



### **Control Test Workflow**

The following diagram depicts the out-of-the-box Control Test workflow.

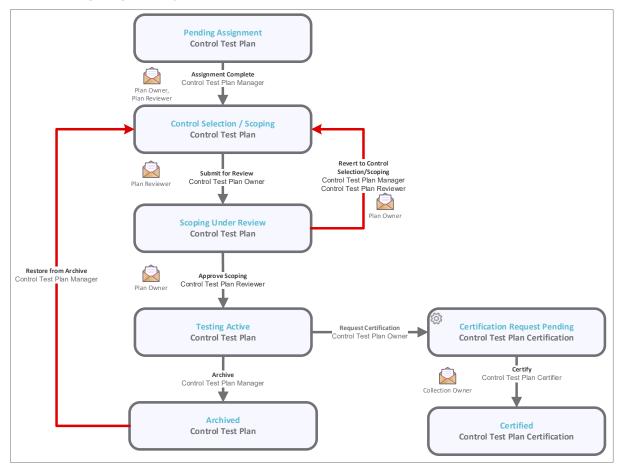


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#### **Control Test Plan Workflow**

The following diagram depicts the out-of-the-box Control Test Plan workflow.



**Note:** Administrators may create variations to this pre-defined workflow configuration by removing or inserting steps in order to match your specific business processes.

### **User Accounts**

User accounts are required for the individuals that are authorized to access a specific Rsam baseline module. The Rsam sandbox for Continuous Controls Testing comes with pre-populated sample accounts that include the following:

**Note:** Sample users for each of these roles are optionally provided with the baseline module installation package.

User ID	User	Business Responsibilities
r_ control_test_pl an_manager	Control Test Plan Manager	This user has the ability to perform all the tasks that can be performed with all the other user accounts.
r_control_test_ plan_owner	Control Test Plan Owner	This user is responsible for adding controls from library, generating control tests, and requesting certification for control test plans.



User ID	User	Business Responsibilities
r_ control_test_pl an_reviewer	Control Test Plan Reviewer	This user is responsible for reviewing and approving control test plans.
r_ control_test_pl an_certifier	Control Test Plan Certifier	This user is responsible for certifying control test plans.
r_control_test_ owner	Control Test Execution Owner	This user is responsible for documenting workpapers and submitting control test results for review.
	Control Test Execution Reviewer	This user is responsible for approving control test results submission.

Users can contact *Rsam Administrator* to obtain passwords for assigned accounts. Individual users may change their password once authenticated. Users with administrator permissions may also reset the password of other users.

### **High-Level Steps**

The following is a high-level list of the steps described in this tutorial.

Step	User	Description
Step 1: Creating a Control Test Plan		In this step, the <i>Control Test Plan Manager</i> user creates a new control test plan and assigns owners that are responsible for full lifecycle of control test Plan management.
Step 2: Adding Controls and Generating Control Tests in the Control Test Plan	Control Test Plan Owner	In this step, the <i>Control Test Plan Owner</i> user adds controls, generates control tests, and then submits the control test plan for review.
Step 3: Reviewing and Approving the Control Test Plan	Control Test Plan Reviewer	In this step, the <i>Control Test Plan Reviewer</i> user reviews and approves the control test plan.
Step 4: Documenting and Submitting the Control Test Results	Control Test Owner	In this step, the <i>Control Test Owner</i> user documents workpapers and submits the control test results for review.
Step 5: Reviewing and Approving the Control Test Results	Control Test Reviewer	In this step, the <i>Control Test Reviewer</i> user approves the control test results.
Step 6: Requesting Certification for the Control Test Collection	Control Test Plan Owner	In this step, the <i>Control Test Plan Owner</i> user submits the certification request for control test collection.
Step 7: Certifying the Control Test Plan		In this step, the <i>Control Test Plan Certifier</i> user certifies the control test collection.

# **Step-by-Step Procedure**

This section contains detailed steps for walking through the control test execution workflow. In this section you will learn how to create a new control test plan, add controls and control tests to the plan, and review and approve the plan. You will also learn how to capture control test results, submit them review, and generate periodic certifications of the test plan.

**Note:** While the Continuous Controls Testing module provides a comprehensive workflow for maintaining a global library of control and control test content, this tutorial walks you only through the creation and execution a control test plan, assuming that sample control testing content is already available in your Rsam environment.

From this point forward, we will provide the steps that are required to complete this tutorial. Before you begin to practice each step, consider following underlying capabilities:

- a. Practicing each step requires a different user account as mentioned in the <u>High-Level Steps</u> section. However, you may execute all the steps with the Control Test Plan Manager user credentials in one session if desired.
- b. Workflow state transitions involve sending email notifications to users in the workflow. If you want to ensure that your users receive the notifications while practicing the steps, please see the **Setting up Email Addresses** section later in this tutorial.

### Step 1: Creating a Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Manager* user to create a new control test plan and assign an owner and reviewer to the plan.

- Sign in as the *Control Test Plan Manager* user. Enter **Username** as *r\_control\_test\_plan\_manager* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to ITGRCBond > Assessment Navigator.

The assessment navigator appears.

- 3. Locate the **HR Manager Pro** object.
- 4. Double-click the **HR Manager Pro** object to open it.

Alternatively, you can click the 📝 icon in the object row. The HR Manager Pro object details appear.



5. Under Findings, click the Control Test Execution link.

IT Application: HR Mana	ger Pro		
Aspect Parent: HR Manager Pro	0	Object Workflow State: 6. Finalized	
Entity: Acme Corp.		Sub Entity: Assessments	
Respondent: Assessment Resp	ondent		
Questionnaires			
Name	Questionnaire	State	
HR Manager Pro	10 of 29 answered	6. Finalized	₫ 🍐
Findings		Status of Findings	
Control Test Execution (3)		No data found for this component for this	s object
Control Test Execution Archive	(0)		

The control test execution records appear.

6. Click Add and select Control Test Plan.

ontrol Test	Execut	ion	Refresh Add •	Open Delets Assign	Action • Wisp 💼 🚎	
structions		Record Workflow State	Test Plan Name	Test Plan Description	Plan Owner	P
			Ŧ	7	Ψ.	7
	â	4. Testing Active	HRMP Control Test Plan 1	HRMP Control Test Plan 1	Control Test Plan Owner	0
OPO	â	2. Control Selection / Scoping	HRMP Control Test Plan 2	HRMP Control Test Plan 2	Control Test Plan Owner	0

The Control Test Plan (new) record opens with the Test Plan Summary tab selected.

- 7. Complete the **Test Plan Name** and **Test Plan Description** attributes.
- 8. Set **Plan Owner** to **Control Test Plan Owner** by using one of the following methods: **Method I:** 
  - a. Type *r\_control\_test\_plan\_owner* in the **Test Plan Owner** attribute. While typing, a list of users that match the string is shown.
  - b. Select **r\_control\_test\_plan\_owner "Control Test Plan Owner"** from the user list.

Test Plan Summary	ibrary	Controls in Scope	Control Tests	Test Plan Certifications	Discussion / Thread	Workflow History
* Test Plan Name	HF	RMP Control Test Pla	n 4			
Test Plan Description	HF	RMP Control Test Pla	n 4			
* Plan Owner		r_control q			* Plan Review	ver 🖳
		r_control_test_own	er "Control Test	Owner" (ilidejuanijimam.u	-=-)	
* Plan Certifier	· ±	r_control_test_own	er2 "Control Tes	t Owner2" (dddjubir@stall	(#HOD_	
		r_control_test_plan	_certifier "Contr	ol Test Plan Certifier" (ddi	(enc.mategraue)	
		r_control_test_plan	_manager "Cont	trol Test Plan Manager" (iik	(max.maxijiraarijiraa	
		r_control_test_plan	_owner "Control	Test Plan Owner* (difeine	ndissem.com)	
		r_control_test_plan	_reviewer "Cont	rol Test Plan Reviewer" (#	injuan@raan.com)	
		r_control_test_revi	ewer "Control Te	st Reviewer" (dificinanility	am.com)	



#### Method II:

- a. Click the **Plan Owner** attribute. The **Plan Owner** dialog appears.
- b. Type *r\_control\_test\_plan\_owner* in the search box.
   The Search Results displays the *r\_control\_test\_plan\_owner* user.
- c. Select the user row and click **Update**.

*Pl	*Plan Owner								
Sear	ch for Users & Gr	oups							
	ontrol		Q Don	nains					
	rch Results ID	First Name	Middle Name	Last Name	eMail	AuthenticationType	~		
2	r_control_test_own	Control Test		Owner	ddejuan@rsam.com	RSAM			
2	r_control_test_own	Control Test		Owner2	ddejuan@rsamcom	RSAM			
2	r_control_test_plan	Control Test Plan		Certifier	ddejuan@rsam.com	RSAM			
2	r_control_test_plan	Control Test Plan		Manager	ddejuan@rsam.com	RSAM			
2	r_control_test_plan	Control Test Plan		Owner	ddejuan@rsam.com	RSAM			
2	r_control_test_plan	Control Test Plan		Reviewer	ddejuan@rsam.com	RSAM			
2	r_control_test_revi	Control Test		Reviewer	ddejuan@rsam.com	RSAM			
							~		
L						Update Cancel			

9. Set the **Plan Reviewer** to **Control Test Plan Reviewer** and **Plan Certifier** to **Control Test Plan Certifier**.

Test Plan Summary	ibrary Controls in Scope	Control Tests	Test Plan Certifications	Discussion / Thread	Workflow History
* Test Plan Name	HRMP Control Test Pla	n 4			
* Test Plan Description	HRMP Control Test Pla	n 4			
* Plan Owne	Control Test Plan	Owner 🔕 🤇	* Plan Review	Ver 🔒 Control Test	Plan Reviewer 😣 ۹
* Plan Certifie	Control Test Plan	Certifier			

- 10. Click Assignment Complete.
- 11. In the **Save Changes** dialog that appears, click **Yes**. The control test plan record is created.
- 12. Log out from Rsam.

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## **Step 2: Adding Controls and Generating Control Tests in the Control Test Plan**

In this step, you will log in to Rsam as the *Control Test Plan Owner* user to add controls from the library control, generate control tests, and submit the control test plan for review.

- Sign in as the *Control Test Plan Owner* user. Enter **Username** as *r\_control\_test\_plan\_owner* and provide the **Password**.
- 2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond** > **Activities**.

Activities	
Control Test Plan Click a tile below to assign, scope, re	eview or action ongoing test plans for controls
2 SELECTION/SCOPING	1 TESTING ACTIVE

The Activities page appears listing the applicable activity tiles.

3. Click the tile **Selection/Scoping**.

The tile expands to display the grid listing the records in the **Control Selection / Scoping** state.

- 4. Locate the control test plan created by the *Control Test Plan Manager* user in **Step 1: Creating** <u>a Control Test Plan</u>.
- 5. Double-click the control test plan to open it. Alternatively, you can click the  $\boxed{12}$  icon in the row.

The **Control Test Plan** record opens with the **Test Plan Summary** tab selected.

6. Click the Library Controls in Scope tab.

Control Test Plan (read, modify)	C Editable 🔇 Submit for Review
1. Pending Assignment	2. Control Selection / 3. Scoping Under 4. Testing Active 5. Archived Review 1. Test Plan Certifications Discussion / Thread Workflow History
Selected Library Controls	Refresh Add Open Delete
	No Data

7. Click Add.

The Selected Library Controls dialog appears.

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#### 8. Select Financial Controls.

The controls within the **Financial Controls** grouping appear.

 Select the check boxes corresponding to Payment - Segregation of Duties and Payment -Formal Purchase Orders controls. It is important that you select these specific controls, as others may not have example tests populated in the library.

Selected Library C	Controls			×
Search 🔍 🔮	Refresh			
Select a group	Library Grouping Name	Record Workflow State	Key Control 🔺	
Financial Controls (8)	Control ID	Control Name	Control Statement	Key 🔥
	Y	$\nabla$	V	V
	0 1	Payment - Segregation of Duties	Duties are segregated so that the person who authorizes vendor payments is not responsible for generating purchase orders or writing checks.	Кеу 🛌
	2	Payment - Formal Purchase Orders	Formal purchase orders are used for every purchase.	Non-
	□ 4 <	Payment - Audit for Vendor Conflict	Vendors are audited on a quarterly basis to determine if conflicts of interest exist	Non-
Results: 8 of 8	Records per page 50	< < Page 1 0 1	1 > >> Limit total n	esults to:
		Update Select All Clear Se	election(s) Clear All Selection(s)	Cancel

- 10. Click **Update**. The selected controls now appear in the **Selected Library Controls** section.
- 11. Click the **Control Tests** tab.

Test Plan Summary	Library Controls in Scope	Control Tests	Test Plan Certifications	Discussion / Thread	Workflow History		
Generate Tests from Selections							
Control Test	Refresh	Add Op	en Delete Assi	gn Action •	rap 💿 🌉 📰 🗙		
No Data							

- 12. Click Generate Tests from Selections.
- 13. In the **Save Changes** dialog that appears, click **Yes**.

Three Control Tests are created, each with an initial workflow state of **Pending Test Plan Scoping and Review**. Two of the Control Tests have the **Test Owner** and **Test Reviewer** attributes prefilled with users **Control Test Owner** and **Control Test Reviewer**, respectively, because those attributes are already set in the library record for that control test.



ontrol Test		Refresh Add Op	en Delete Assign Actio	N Vrap	
	Record Workflow State	Control Name	Test Name	Test Owner	С
	$\nabla$	Ŷ	$\nabla$	$\nabla$	$\nabla$
🗆 🖻 😆 🔒	1. Pending Test Plan Scoping and Review	Payment - Formal Purchase Orders	Sample Test 1 for Control: Payment - Formal Purchase Orders		
🗆 📝 🔕 🔒	1. Pending Test Plan Scoping and Review	Payment - Segregation of Duties	Sample Test 1 for Control: Payment - Segregation of Duties	Control Test Owner	
🗆 📝 🔕 🔒	1. Pending Test Plan Scoping and Review	Payment - Segregation of Duties	Sample Test 2 for Control: Payment - Segregation of Duties	Control Test Owner	
<					>

- 14. Double -click the test **Payment Formal Purchase Orders** control. The **Control Test** record opens with the **Control Summary** tab selected.
- 15. Click the **Test Details & Instructions** tab.

Control Test (read, modify, delete)	1. Pending T Plan Scoping		3. Testing Cycle Progress	in 4. Test Results Pending Review	🗹 Editable	Action •	► ABS ×
Control Summary Test	Details & Instructions	Current Testing Results	Remediation	Test Result History	Discussion / Thread	Workflow History	
* Test Name	Test 1 for Control: Pay	ment - Formal Purchase Or	ders				
Test Owner	٩ ۹			Test Reviewer	٩ ۹		
* Testing Frequency	Semi-Monthly		*Te	st Duration (days)	4		
Current Cycle Start Date	1 V V 		Ne	t Cycle Start Date			
Test Procedure							
Testing Sample Size				Evidence Template Attachment(s)	<u>0 File Attachment(s)</u>		
Basis for Sample Size							

- 16. Set **Test Owner** to **Control Test Owner**. Type *r\_control\_test\_owner* in the **Test Owner** attribute. From the list that appears, select **r\_control\_test\_owner "Control Test Owner"**.
- Set Test Reviewer to Control Test Reviewer. Type r\_control\_test\_reviewer in the Test Reviewer attribute. From the list that appears, select r\_control\_test\_reviewer "Control Test Reviewer".
- 18. Set the **Next Cycle Start Date** attribute. For this tutorial, we will set this date to one day later than the current date (i.e. tomorrow).
- 19. Click Save & Close.

For the remaining two tests (the two for the **Payment - Segregation of Duties** control), we will set the **Next Cycle Start Date** attribute to today's date. Later in the tutorial, we will see how these last two control tests are processed differently from the first control test due to their varying **Next Cycle Start Date** values (i.e. today vs. tomorrow).

#### 20. Click Submit for Review.

The control test plan enters the **Scoping Under Review** state.

21. Log out from Rsam.



## Step 3: Reviewing and Approving the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Reviewer* user to review and approve the control test plan.

- Sign in as the *Control Test Plan Reviewer* user. Enter **Username** as *r\_control\_test\_plan\_reviewer* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to ITGRCBond > Activities.
   The Activities page appears listing the applicable activity tiles.
- 3. Click the tile **Under Review**.

The tile expands to display the grid containing the Control Tests under review.

- 4. Locate the control test plan you created, which should now be in the **Scoping Under Review** state.
- 5. Double-click the control test plan to open it.

The **Control Test Plan** record opens with the **Test Plan Summary** tab selected.

Control Test Plan		۵ [	Approve Scoping Revert to	Control Selection / Scoping Act	tion •
	• • • •			-0	
	1. Pending 2. Control Selection / Assignment Scoping	3. Scoping Under Review	4. Testing Active 5. A	rchived	
C Test Plan Summary	ary Controls in Scope Control Tests	Test Plan Certifications	Discussion / Thread Wor	kflow History	>
* Test Plan Name	HRMP Control Test Plan 4				
* Test Plan Description	HRMP Control Test Plan 4				
* Plan Owner	🔓 Control Test Plan Owner		* Plan Reviewe	r 🔒 Control Test Plan Reviewer	۹
* Plan Certifier	🔓 Control Test Plan Certifier				

#### 6. Click **Approve Scoping**.

The control test plan enters the **Testing Active** state.

7. Click on the Control Tests tab and note that, due to their varying Next Cycle Start Date values, the control test for the Payment - Formal Purchase of Orders control has entered the On Standby for Next Cycle state, while the 2 tests for the Payment - Segregation of Duties control have already advanced to the Testing Cycle in Progress state.

Control Test			Refresh Add	Open Delete Assign	Action Vrap	<b>X</b>
		Record Workflow State	Control Name	Test Name	Test Owner	Cu
		$\nabla$	Ŷ	Y	$\nabla$	$\nabla$
🗆 🕅 😆	9	3. Testing Cycle in Progress	Payment - Segregation of Duties	Sample Test 1 for Control: Payment - Segregation of Duties	Control Test Owner	201
🗆 🖹 🔕	ð	3. Testing Cycle in Progress	Payment - Segregation of Duties	Sample Test 2 for Control: Payment - Segregation of Duties	Control Test Owner	20
. 🛛 🖓 🔕	ô	2. On Standby for Next Cycle	Payment - Formal Purchase Orders	Sample Test 1 for Control: Payment - Formal Purchase Orders	Control Test Owner	
<						>

8. Log out from Rsam.

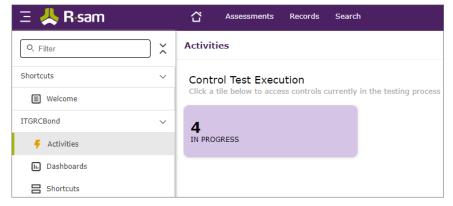
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## **Step 4: Documenting and Submitting Control Test Results**

In this step, you will log in to Rsam as the *Control Test Owner* user to document control testing results and submit for review.

- 1. Sign in as the *Control Test Owner* user. Enter **Username** as *r\_control\_test\_owner* and provide the **Password**.
- 2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond** > **Activities**.



The Activities page appears listing the applicable activity tiles.

3. Click the tile **In Progress**.

The tile expands to display the grid.

Search	۹. 💽			Cancel Add • Open Del	ats Assign Action	Go to 2
	Control Name	Test Name	Test Owner 🖛	Current Cycle Start Date	Submission Due On	Next Cycle 5
	v	v	<b>V</b>	V	Ψ.	×.
	Payment - Segregation of Duties	Sample Test 1 for Control: Payment - Segregation of Duties	Control Test Owner	2020-02-27	2020-02-29	2020-03-05
	Payment - Segregation of Duties	Sample Test 2 for Control: Payment - Segregation of Duties	Control Test Owner	2020-02-27	2020-03-05	2020-03-27

The control test owner home page appears with a list of active control tests assigned to the current *Control Test Owner* user.

- 4. Locate the control test **Sample Test 2 for Control: Payment Segregation of Duties**.
- 5. Double-click the control test to open its details.

The Control Test record opens with the Control Summary tab selected.



6. Click the **Current Testing Results** tab and complete all the attributes as necessary.

ontrol Test	S Editab	le 🚳 Submit Test Results for Revie	w Action • • • •
ad, modify)			
	1. Pending Test Plan 2. On Standby for Scoping and Revie: Next Cycle	3. Testing Cycle in 4. Test Results Progress Pending Review	
Control Summary Test Details	& Instructions Current Testing Results	Remediation Test Result History Discu	ission / Thread
Current Cycle Start Date	2/27/2020	Submission Due On 2/29/202	0
Test Results Submitted On		Cur	rent Results Submission Overdue
Conclusion - Design Effectiveness		Conclusion - Operating Effectiveness	V
Findings			
Recommendation			
Test Result Notes			
Evidence File Attachment(s)	0 File Attachments		
Control Test Workpaper			Refresh Add Open Dele
We	orkpaper ID Workpaper Name	Workpaper Test Description	Sample Size
Y	$\nabla$	$\nabla$	$\nabla$
	Sample Workpaper 1 f Sample Test 2 for	for This is a sample workpaper	This is a sample workpaper

- Under Control Test Workpaper, double-click a workpaper.
   The Control Test Workpaper record opens with the Workpaper Definition tab selected.
- 8. Click the **Workpaper Execution** tab and complete all the attributes as necessary.

Control Test Workp (read, modify, delete)	aper	C Editable Update Save E	Action •
Workpaper Definition	Workpaper Execution		
* Workpaper Status	Complete 🔻	Pass/Fail Pass	¥
Results Text	Results are good to go		
Observations	No flaws		
Conclusions	Pass		
Results/Evidence Attochment	<u>O File Attachment(s)</u>	Completion Date 9/20/2016	stata 1111
Signoff	AG	Signoff Date 9/20/2016	節

- 9. Click Save & Close.
- 10. Click Submit Test Results for Review.

The control test enters the **Test Results Pending Review** state. The test is submitted for review and no longer appears in the **In Progress** Activity Center grid.

11. Log out from Rsam.



## **Step 5: Reviewing and Approving the Control Test Results Submission**

In this step, you will log in to Rsam as the *Control Test Reviewer* user to review and approve the control test results submission.

- 1. Sign in as the *Control Test Reviewer* user. Enter **Username** as *r\_control\_test\_reviewer* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to ITGRCBond > Control Test Plans Navigator.
- 3. From within the navigator, with **CON: Control Tests by Test Plans** selected, select **HR Manager Pro**.



4. Locate the recently submitted control test. It should appear in the **Test Results Pending Review** state.

		Refresh Add • Op	Delete Assign Action •	Go to
	Test Plan Name 🔺	Test Name	Record Workflow State +	Control ID
	$\nabla$	$\nabla$	V	$\nabla$
0 🛛 🛛	HRMP Control Test Execution Collection 1	Test 1 for Control 134.5	2. Active, Pending Next Test Cycle	134.5
0 🕅 🔕	HRMP Control Test Execution Collection 1	Test 1 for Control 34.43	4. Test Results Pending Review	34.43
0 🛛 🔾	HRMP Control Test Execution Collection 1	Test 1 for Control 1342.145	2. Active, Pending Next Test Cycle	1342.145
080	HRMP Control Test Execution Collection 3	Test 1 for Control 3421	1. Pending Collection Scoping and Review	3421
0 🛛 🛇	HRMP Control Test Execution Collection 3	Test 1 for Control 23.4	1. Pending Collection Scoping and Review	23.4
0 🛛 🔾	HRMP Control Test Execution Collection 1	Test 1 for Control 234.4	4. Test Results Pending Review	234.4
0 🕅 🔕	HRMP Control Test Execution Collection 1	Test 1 for Control 3454	3. Testing Cycle in Progress	3454
0 🛛 🕹	HRMP Control Test Execution Collection 4	Test 1 for Control: Payment - Formal Purchase Orders	2. Active, Pending Next Test Cycle	2
c r o	HRMP Control Test Execution Collection 4	Test 2 for Control: Payment - Segregation of Duties	4. Test Results Pending Review	1

5. Double-click the control test to open it.

The Control Test record opens with the Control Summary tab selected.



6. Click Approve Test Result Submission.

Control Test		۵	Approve Test	Result Submission	Revert to Testing in Prop	aress Action •	••*
	1. Pending Te Scoping and		3. Testing Cy Progres				
Control Summary Test	Details & Instructions	Current Testing Results	Remediation	Test Result History	Discussion / Thread		
Control Name	Payment - Segregati	on of Duties					
Control ID	1			Control Ver	sion V1.0		
Related Library Control	Payment - Segrega	tion of Duties 9.					
Select the related domain(s)		: (4) Monitoring of System	٩				
	BITS: L. Compliance						
		ng: A12.05 Configuration n of Acquired Application					
Objective	Duties are segregate	d so that the person who a	uthorizes vendo	r payments is not resp	onsible for generating p	urchase orders or wr	iting checks.
• Statement / Description		d so that the person who a	uthorizes vendo	r payments is not resp	onsible for generating pu	irchase orders or wr	iting checks.
• Type of Control	Preventative w			· Activity	Type Authorization of	Transactions w	

Once approved, the attribute values on the **Current Testing Results** (and its associated workpapers) are copied into a new audit record on the **Test Result History** tab, and the data on the **Control Test Results** tab is cleared in preparation for the next testing cycle.

Contro	ol Te	st Res	ult His	tory	Refresh Add Open	Delete Assign.	Action • Www	🔹 🖪 📰 🗙
				Test Name	Test Results Submitted On	Date of Approval	Test Owner	Approved By
					V	7	V	$\nabla$
0		0	8	Sample Test 2 for Control: Payment - Segregation of Duties	2016-09-23	2016-09-23	Control Test Owner	Control Test Re

7. Log out from Rsam.

### **Step 6: Requesting Certification for the Control Test Plan**

In this step, you will log in to Rsam as the *Control Test Plan Owner* user to request certification for the control test plan.

- Sign in as the *Control Test Plan Owner* user. Enter **Username** as *r\_control\_test\_plan\_owner* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to **ITGRCBond** > **Activities**.
   The Activities page appears listing the applicable activity tiles.
- 3. Click the tile **Testing Active**.

The tile expands to display the grid containing the result records.

- 4. Locate and select the control test plan you have been using throughout this tutorial.
- 5. Click Action and select Request Certification from the options that appear.

Step-by-Step Tutorial Continuous Controls Testing



6. In the **Workflow** dialog that appears, enter your comments to explain the reason for requesting the certification, and then click **OK**.

If you open the record, you can see that the certification record is created and appears on the **Test Plan Certifications** tab. The **Test Plan Certification** record is auto-populated with references to the most recent history on each of the control tests associated with the current plan (As we have submitted only one control test in this tutorial, there will be only one history record for the certification).

ved) Test Plan Certification	rtification		🔲 Editable	Action •	<ul> <li>*</li> <li>*</li> </ul>
• Plan Certifier	a Control Test Plan Certifier	٩			
Approved By			Date of Approva	a 👘	
Control Tests (history)			Refre	sh Add Op	en Remove
Control Tests (history)	Test Name	Test Results Submitted On	Refree Date of Approval	sh Add Op	en Remove
Control Tests (history)	Test Name	Test Results Submitted On			
Control Tests (history)			Date of Approval	Test Owner	Approved B

7. Log out from Rsam.

## Step 7: Certifying the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Certifier* user to certify the control test plan.

- Sign in as the *Control Test Plan Certifier* user. Enter **Username** as *r\_control\_test\_plan\_certifier* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to ITGRCBond > Activities.
   The Activities page appears listing the applicable activity tiles.
- Click the tile Cert Requests Pending. The tile expands to display the grid containing the result records.
- 4. Locate and select the control test plan in submitted for certification.
- Double-click the control test plan to open it.
   The Control Test Plan record opens with the Test Plan Summary tab selected.



6. Click the **Test Plan Certifications** tab.

Control Test Plan (read)		4	Action •
1. Pending 2. Control Select Assignment Scoping	ion / 3. Scoping Under Review	4. Testing Active 5. Arc	hived
C Test Plan Summary Library Controls in Scope	Control Tests Test Plan	Certifications Discussion / Thr	ead Workflow History
Control Test Plan Certification	Refresh Add	Open Delete Assign	Action 🔹 🕼 📰 🗶
Record Workfl	ow State Appro	oved By Date of Appro	oval
▽	$\nabla$	$\forall$	
Certification Req	uest Pending		

7. Double-click the certification record to open it.

The **Control Test Plan Certification** record opens with the **Test Plan Certification** tab selected.

ntrol Test Pla 0 Test Plan Certificat	an Certification			🗍 Editable		rtify Actio	m• 4 > 0
• P	fan Certifier 🚡 Cor	ntrol Test Plan Certifier 9					
/ Control Tests (his	Approved By				Date of A	Refresh Add	Dpen Delet
		Test Results Submitted On	Date of Approval	Test Owner			Open Delet
	story)	Test Results Submitted On	Date of Approval	Test Owner ⊽		Refresh Add	Open Delet

- 8. Click **Certify**.
- In the Workflow dialog that appears, enter your comments and click OK. The record moves to the Certified workflow state and closes.

Control Test Plan	Certificati	Refresh Add	Open Delete	Assign
		Record Workflow State	Approved By	Date of Approval
		V		
• •	ê	Certified	Control Test Plan Certifier	2020-03-02

The **Control Test Plan Certification** record workflow state is set to **Certified** and the **Approved By** and **Date of Approval** attributes are automatically populated.

# Appendix 1: Email Notifications and Offline Decision Making

### **Setting up Email Addresses**

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

- 1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Continuous Controls Testing module.
- 2. Sign in as *r\_admin* user. Enter **User ID** as *r\_admin* and provide the **Password**.
- 3. Navigate to **Manage** > **Users/Groups**.
- 4. Double-click a user row to open the details.
- 5. Provide an email address in the **eMail ID** attribute.

User Details		
User Id:		
152048		
First Name:	Middle Name:	Last Name:
Мау,		Brian
eMail ID:	Phone	Number:
support@rsam.com		
Password:		
•••••		
Confirm Password:		
LDAP User		
User's LDAP ID:		
User's LDAP Domain:		
Please select a Doma	ain	\$

6. Click **OK**.

The email address of the user account is saved.

## **Offline Decision Making**

Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications.

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.

Subject: RE: Exception Requestion #2241 Confirmation for Bill Smith	
Subject: Exception Request #2241 Confirmation for Bill Smith	127 •
A preliminary approval has been submitted for Exception Request #2241, subm assigned as the senior reviewer in charge of final acceptance or rejection of thi	
Details:	
Exception Request: #2241	
Submitted by: Bill Smith on 5-5-2014	
Approved by: Wanda Johnson on 5-10-2014	
Expiration Date: 5-15-2014	
Short Description: (View Full Details in Rsam)	
The new implementation of "Order-It" (order management system) is unable to	o ,,
standard. DES has been implemented until the vendor can support fully support	t 3DES. A temporary exception is requested until that time.
Select an action from the list below:	
Accept this Request	
<ul> <li>Reject this Request</li> </ul>	

# **Appendix 2: Rsam Documentation**

## **Continuous Controls Testing Baseline Configuration Guide**

To learn more about the pre-configurations in the Continuous Controls Testing, refer the *Continuous Controls Testing Baseline Configuration Guide*. You should have received the *Continuous Controls Testing Baseline Configuration Guide* along with the Continuous Controls Testing sandbox. If not, please contact your Rsam Customer Representative to obtain an electronic copy of the *Continuous Controls Testing Baseline Configuration Guide*.

## **Online Help**

This tutorial provides the step-by-step instructions for the Rsam Continuous Controls Testing module. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

- 1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Provide the **User ID** as *r\_admin* and provide the **Password**.
- 2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

The following image shows the *Rsam Administrator Help*, opened from the *Example Administrator* user account.

