



FISMA RMF Module

Baseline Configuration Guide

Document Version: 01.00.03 | April 2019

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About Rsam Baseline Configuration Guides

Rsam Baseline Configuration Guides provide you the information needed to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be used out-of-the-box.

Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam FISMA RMF module. The baseline configurations for the FISMA RMF module allow your users to create and manage assessments, and to automate the full assessment cycle. With an assessment repository, it is easy to view and respond to assessments before the due date, escalate on overdue assessments, and renew assessments as frequent as needed. While responding to assessments, the pre-configured activities help streamline your asset assessment cycle by allowing questionnaire respondents to create and manage remediation plans and exceptions for non-compliant controls. In addition, there are dashboard charts for analysis and scoring of risks and findings.

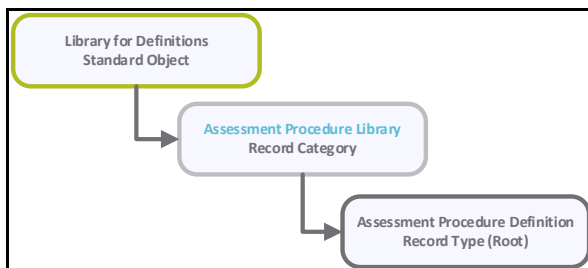
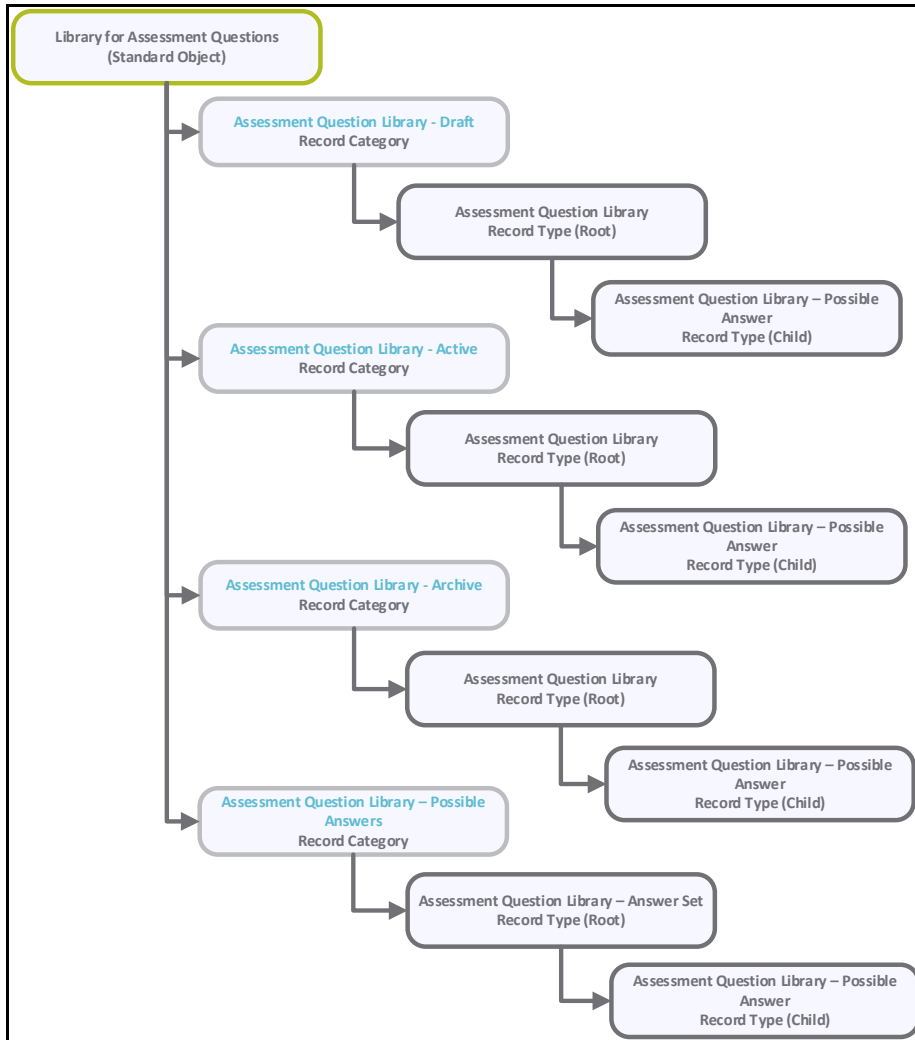
The following is a list of elements that have been configured in the FISMA RMF module:

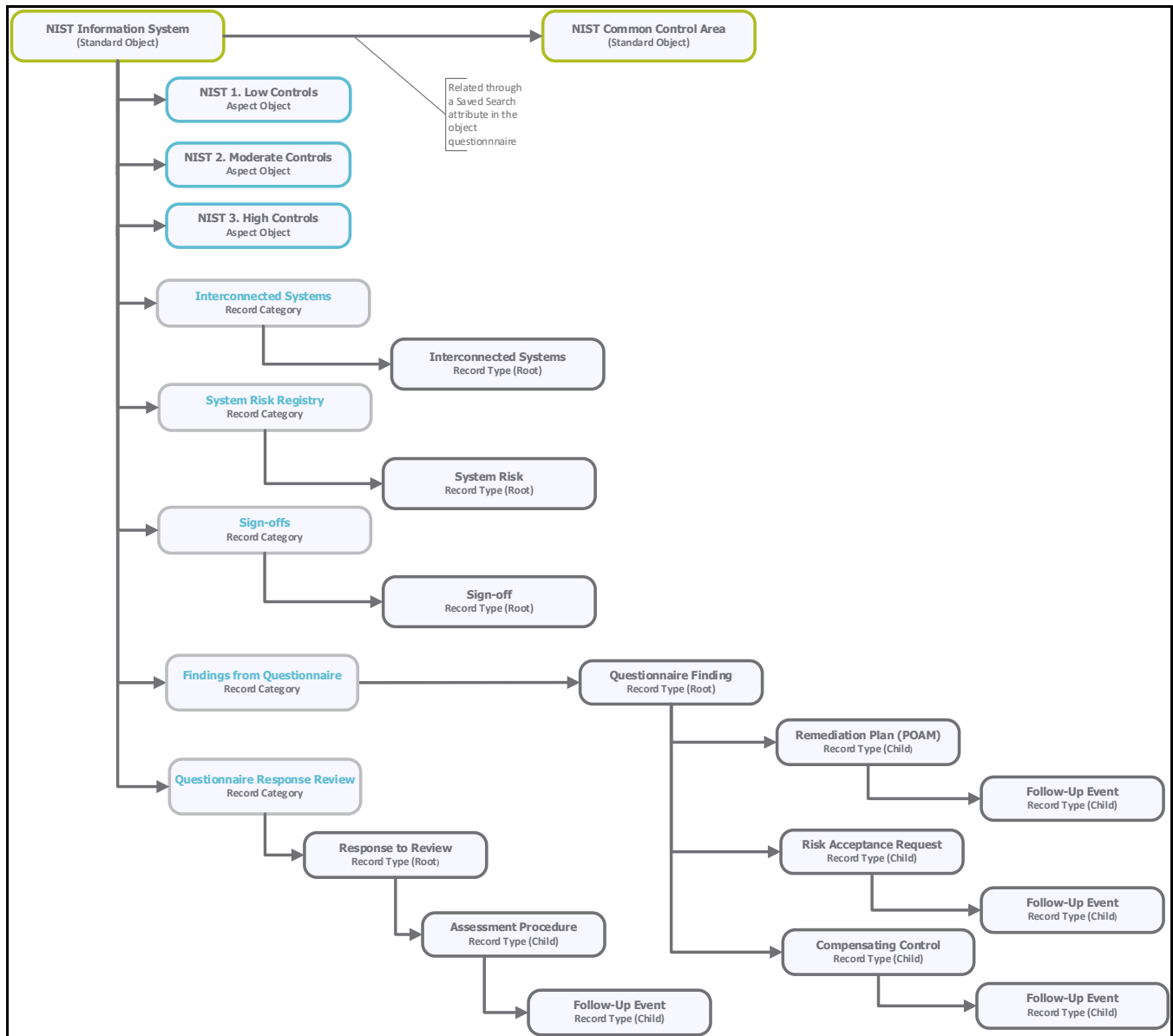
- Structure
- Home Page Tabs
- Workflows

The information on the elements mentioned above will provide a baseline understanding before you leverage the *FISMA RMF Step-by-Step Tutorial* or begin to tailor the module to meet your unique requirements.

FISMA RMF Structure

The following diagrams illustrate the FISMA RMF structure.





Object Types

The following is a list of object types that have been pre-configured in this module.

Object Type	Usage
NIST Information System	A standard object that stores system/security boundary descriptions, and criticality information to perform assessments for systems. Criticality levels are inherited from higher level entity objects.
NIST 1. Low Controls	An aspect object related to the NIST Information Systems object type, and contains all controls required for systems with Low Security Categorization.
NIST 2. Moderate Controls	An aspect object related to the NIST Information Systems object type, and contains all controls required for systems with Moderate Security Categorization.
NIST 3. High Controls	An aspect object related to the NIST Information Systems object type, and contains all controls required for systems with High Security Categorization.
NIST Common Control Area	A standard object used to capture common control responses that can later be pulled into individual NIST Information System assessments. When responses are pulled from a NIST Common Control Area object into a NIST Information System assessment, responses from the NIST Common Control Area are used to populate corresponding assessment questions in the child aspect object(s) of the NIST Information System. This functionality includes configurable options such as determining whether to overwrite existing aspect responses. For more information about the overwrite options, see Workflow Buttons .
NIST Common Controls (c)	A container object that functions as a standard Rsam container. Unlike the NIST Common Control Area standard object, this container object is not used as a source for auto-populating assessment questions within an individual NIST Information Security assessment, but rather to serve as an additional set of <i>wrapper</i> controls that will be included in reports executed against those NIST Information System assessments.
Library for Definitions	A standard object that stores reference materials used during the workflow. For the FISMA module, it contains the Assessment Procedures library that is based on NIST 800-53A revision 4.

Record Categories

The following is a list of record categories that have been pre-configured in this module.

Record Category	Usage
FSM: Assessment Procedure Library	A library that contains all 800-53A rev 1 Assessment Procedures. Each record is linked to NIST 800-53 rev 4 QRR record.
FSM: Interconnected Systems	Records can be created under this Record Category to document details of other interconnected Security Boundaries (Systems).
FSM: System Risk Registry	A record category that holds records tracking system risk.
FSM: Sign-offs	A record category that holds records tracking any sign-off documentation related to the system.
QF: Findings from Questionnaire (fixed)	A category type that stores the Questionnaire Finding record type.
QRR: Questionnaire Response Review	A category type that stores the Questionnaire Response Review record type.
CONTACT: Contacts	A list of records containing key contacts related directly to the Assessment Object (i.e. Security boundary / System).
CONTACT: Contact Library	Holds a list of existing contacts, and can be used to create records under Contacts.

Record Types

The following is a list of record types that have been pre-configured in this module.

Record Type	Usage
FSM: Assessment Procedure Definition	Configurations for the records that contain content of each assessment procedure as documented in the 800-53A.
FSM: Interconnected System	Configurations related to the records that document each Interconnected system.
FSM: SAR Request	Configurations for records that capture and track requests to generate SAR reports.
FSM: RAR - Risk Assessment Team Member	Configurations for record that contain information team members involved with creating Risk Assessment Reports.

Record Type	Usage
FSM: RAR - Technology Components	Configurations for records that contain information about system components.
FSM: RAR - Component Locations	Configurations for records for location information of components.
FSM: RAR - System Users	Configurations for records for systems users.
FSM: System Risk	Configurations to track system risk.
FSM: Signoff	Configurations for records tracking any sign-off documentation related to the system.
QF: Questionnaire Finding	A record representing a gap or finding from the questionnaire process. These are automatically generated based on the control standards, resulting from the criticality of an object. Questionnaire findings are typically tracked with remediation plans and exceptions.
RM: Remediation Plan (POAM)	A child record under a gap or finding with an independent workflow that describes the action plan to address the parent gap/finding. The parent gap or the workflow state of the finding is updated by actions on this record.
RM: Risk Acceptance Request	A child record under a gap or finding with an independent workflow that records the justification, approval and duration of the risk acceptance for the parent gap/finding. The parent gap or the workflow state of the finding is updated by actions on this record.
RM: Compensating Control	A child record under a gap or finding with an independent workflow that records compensating controls implemented to address the parent gap/finding. The parent gap or the workflow state of the finding is updated by actions on this record.
FE: Follow-up Event	A record representing a specific event or task to be tracked under a Remediation Plan, Risk Acceptance Request, Compensating Control, or Assessment Procedure.
QRR: Response to Review (fixed)	A record representing an answer to a question for the object. These records are generated for each control question submitted to the users, and are used to track, provide comments on, and test responses to the questionnaire.
QRR: Assessment Procedure (fixed)	A record representing the assessment procedures used to assess a parent Questionnaire Response Review record.

Note: Many other categories from other modules can co-exist inside the assessment objects. This includes modules like Risk Register and Incident Management.

Home Page Tabs

The Baseline Configuration of the FISMA RMF module contains several Home Page Tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. The following Home Page Tabs are available in the FISMA RMF module.

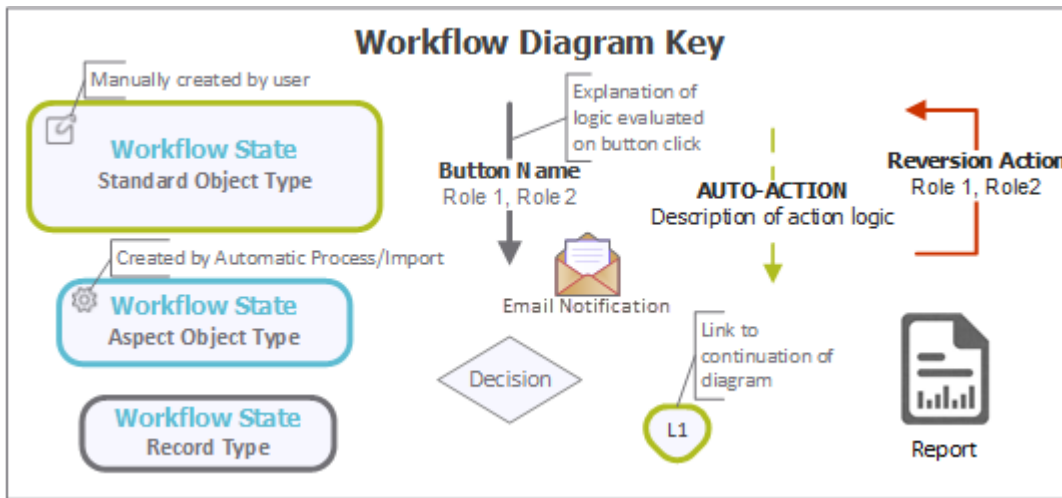
Home Page Tab	Description
U: Assessment Management (grouping tab)	Contains all grouped tabs related to conducting an RMF assessment for both NIST Common Control Area and NIST Information System.
U: My Questionnaires Home	Provides access to assigned questionnaires. Typically, this is used by the end users that only need to respond to questionnaires.
U: Assessment Navigator	Provides quick access to assessment objects and all related records. Typically, this is tab is helpful for power users that need to view all the object information (questionnaires, findings, and more).
QF: Questionnaire Findings Navigator	Provides quick access to all questionnaire finding records. Allows users to view findings grouped by workflow state, compliance domain, and more. In this tab, users can view pending tasks related to questionnaire findings across all of their assigned objects. Hence, this tab is useful for end users and power users.
QRR: Responses to Review Navigator	Provides quick access to all response review records. This tab displays responses to the questionnaires including any notes, validation, and testing activities. Users can view responses grouped by object and state, state and object, and status and object across all of their assigned objects.

FISMA RMF Workflows

This section covers various details on the following baseline workflows in the FISMA RMF module:

- Assessment
- Questionnaire Finding
- Questionnaire Response Review
- Interconnected Systems
- SAR Request
- RAR Request

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



Assessment Workflow

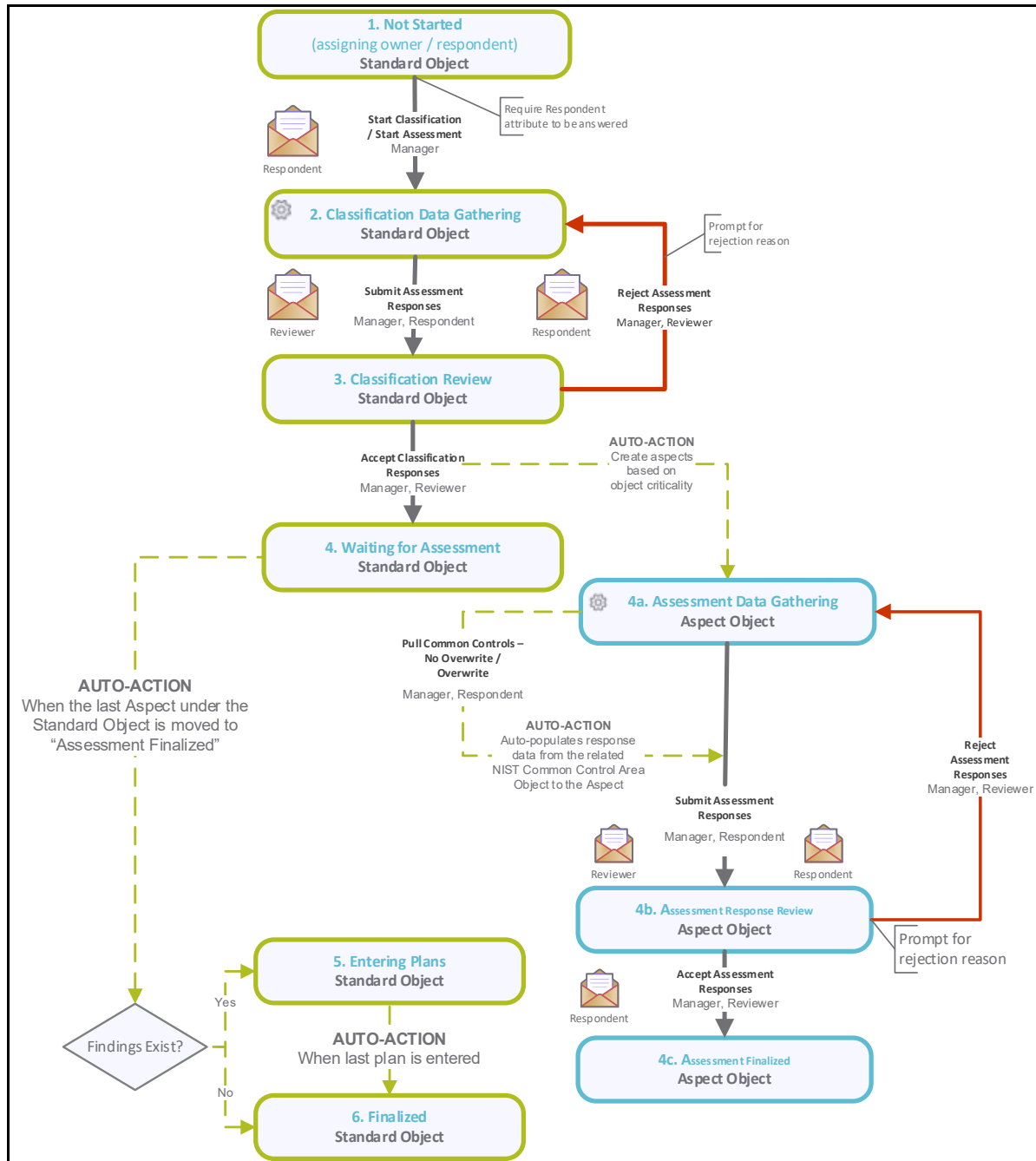
This section covers the following concepts of the baseline Assessment workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons
- Workflow Roles

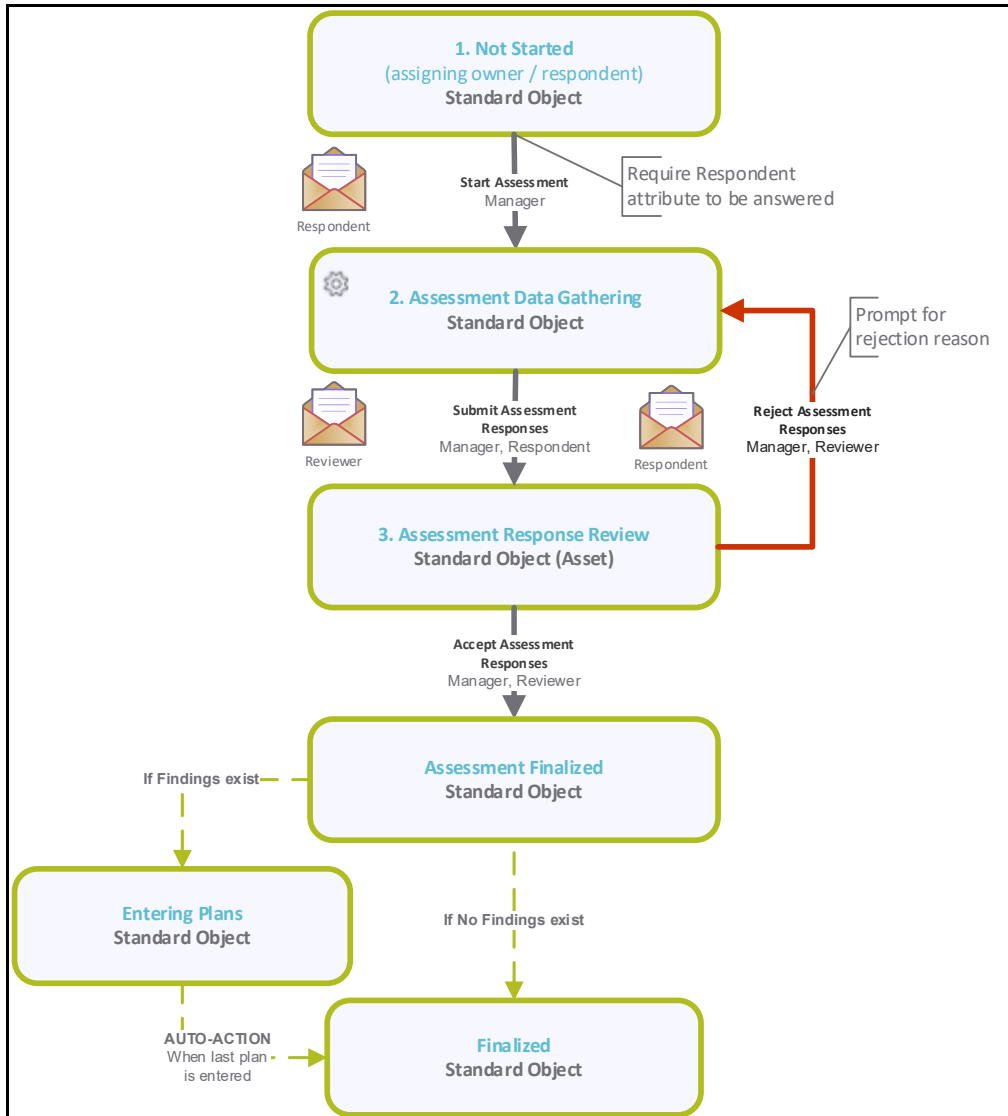
Workflow Diagram

The following diagram shows the baseline Assessment workflow for NIST Information System assessment objects with aspects (where the root object stores the attributes & criticality and the aspect stores the controls).

The following diagram shows the classification questionnaire with aspects.



The following diagram shows the classification questionnaire without aspects.



Workflow States

The following is a list of states associated with the baseline Assessment workflow.

Workflow State	Description
FSM: 1. Not Started	Initial workflow state for standard assessment objects. Objects in this state are idle and typically await an <i>Assessment Manager</i> to assign a <i>Respondent</i> and start the assessment.
FSM: 2. Classification Data Gathering	An assessment enters this state when an <i>Assessment Manager</i> has successfully assigned and started the assessment. In this state, the information is gathered on the standard (root-level) object. Typically, a <i>Respondent</i> answers the attributes and provides criticality information. For Common Control Area objects minimal attributes are required, and controls assessment questions are available at this point.
FSM: 3. Classification Review	An assessment enters this state when a <i>Respondent</i> has successfully answered and submitted the criticality and attribute question. In this state, a <i>Reviewer</i> reviews all the responses and then accepts or rejects the object's classification. When all the responses have been approved, control questionnaire aspects (if any) are generated.
FSM: 4. Waiting for Assessment	A standard assessment object enters this state when all the attribute / criticality responses have been approved. The object waits in this workflow state until all the responses of its control aspects (child objects) have been responded.
FSM: 4a. Assessment Data Gathering	Initial workflow state for a control questionnaire aspect. In this state, a <i>Respondent</i> answers the control questions.
FSM: 4b. Assessment Response Review	An assessment enters this state when a <i>Respondent</i> has successfully answered and submitted all the control questions. In this state, a <i>Reviewer</i> reviews all the responses and then accepts or rejects the aspect controls. When all the responses have been approved, questionnaire findings (if any) are automatically generated.
FSM: 4c. Assessment Finalized	An assessment enters this state when assessment responses have been accepted. This is the last workflow state for control aspects.
FSM: 5. Entering Plans	A standard assessment object enters this workflow state when all the control aspects have been successfully completed. In this workflow state, questionnaire findings are reviewed and an appropriate plan is created to resolve a finding. When the last questionnaire finding is planned, the object moves on to the final workflow state.

Workflow State	Description
FSM: 6. Finalized	A standard object enters this workflow state when all plans have been submitted for questionnaire findings. This is the last workflow state for a standard object and which means the assessment is complete. Follow-ups may continue for the records & plans under this object.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Assessment workflow.

Button	Available to	Notification	Description
FSM: Start Assessment	Q: Manager	No	Available in the Not Started state. Clicking this button moves the workflow to the Assessment Data Gathering state. This button is specific to the NIST Common Controls (C) object.
FSM: Start Classification	Q: Manager	Yes	Available in the Not Started state. By clicking this button, a <i>Manager</i> initiates the classification process and moves the workflow to the Classification Data Gathering state. This applies to objects that have their control aspects under them.
FSM: Submit Classification Responses	Q: Respondent Q: Manager	Yes	Available in the Classification Data Gathering state. By clicking this button, a <i>Respondent</i> submits the classification responses and moves the workflow to the Classification Review state.
FSM: Accept Classification Responses	Q: Reviewer Q: Manager	Yes	Available in the Classification Review state. By clicking this button, a <i>Reviewer</i> accepts the classification responses and moves an object to the Waiting for Assessment state. In parallel, aspects are sent to the Assessment Data Gathering state.
FSM: Reject Classification Responses	Q: Reviewer Q: Manager	Yes	Available in the Classification Review state. By clicking this button, a <i>Reviewer</i> rejects the classification responses and moves an object back to the Classification Data Gathering state.

Button	Available to	Notification	Description
FSM: Pull Common Controls - No Overwrite	Q: Respondent Q: Manager	No	An aspect object button available in the Assessment Data Gathering state. By clicking this button, users can import control responses from the NIST Common Control Area object that is selected in the NIST Information System parent object of the current aspect. Responses from that related NIST Common Control Area object will be copied into corresponding assessment questions in the targeted aspect. This option will not overwrite current control responses in the Aspect with responses that have been captured in the NIST Common Control Area object.
FSM: Pull Common Controls - Overwrite	Q: Respondent Q: Manager	No	An aspect object button available in the Assessment Data Gathering state. By clicking this button, users can import control responses from the NIST Common Control Area Object that is selected in the NIST Information System parent object of the current aspect. Responses from that related NIST Common Control Area object will be copied into corresponding assessment questions in the targeted aspect. This option will overwrite current control responses in the Aspect.
FSM: Submit Assessment Responses	Q: Respondent Q: Manager	Yes	Available in the Assessment Data Gathering state. By clicking this button, a <i>Respondent</i> submits the control assessment responses and moves the object to the Assessment Response Review state.
FSM: Accept Assessment Responses	Q: Reviewer Q: Manager	No	Available in the Assessment Response Review state. By clicking this button, a <i>Reviewer</i> accepts the control assessment responses and moves an object to the Assessment Finalized workflow states. If this object is an aspect and all aspects of a parent object have been completed, then the parent object will move to the Entering Plans state.
FSM: Reject Assessment Responses	Q: Reviewer Q: Manager	Yes	Available in the Assessment Response Review state. By clicking this button, a <i>Reviewer</i> rejects the classification responses and moves an object back to the Assessment Data Gathering state.
FSM: Revert to Classification Data Gathering	Q: Manager	No	Available in the Classification Review, Waiting for Assessment, Entering Plans, and Finalized states. Clicking this button moves the workflow to the Classification Data Gathering state.

Button	Available to	Notification	Description
FSM: Revert to Classification Review	Q: Manager	No	Available in the Waiting for Assessment, Entering Plans , and Finalized states. Clicking this button moves the workflow to the Classification Review state.
FSM: Revert to Assessment Data Gathering	Q: Manager	No	Available in the Waiting for Assessment, Assessment Response Review, Entering Plans , and Finalized state. Clicking this button moves the workflow to the Assessment Data Gathering state.
FSM: Revert to Assessment Review	Q: Manager	No	Available in the Finalized state. Clicking this button moves the workflow to the Assessment Response Review state.
FSM: Revert to Entering Plans	Q: Manager	No	Available in the Finalized state. Clicking this button moves the workflow to the Entering Plans state.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Assessment workflow.

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

User ID	Role	Description
r_assessment_manager	Q: Manager	This role allows a user to perform all the tasks in each and every assessment workflow state.
r_assessment_respondent	Q: Respondent	This role is assigned at an asset (object) level to the users that are responsible for answering the questionnaires related to that object. A user with this role can also view the questionnaire findings and submit follow-up elements, such as remediation plans and more (similar to the Questionnaire Finding Owner role).

User ID	Role	Description
r_assessment_reviewer	Q: Reviewer	This role is assigned at an asset (object) level to the users that are responsible for reviewing answers and accepting or rejecting the questionnaires related to that object. A user with this role can also accept or reject the follow-up plans on the questionnaire findings (similar to the Questionnaire Finding Reviewer role).

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

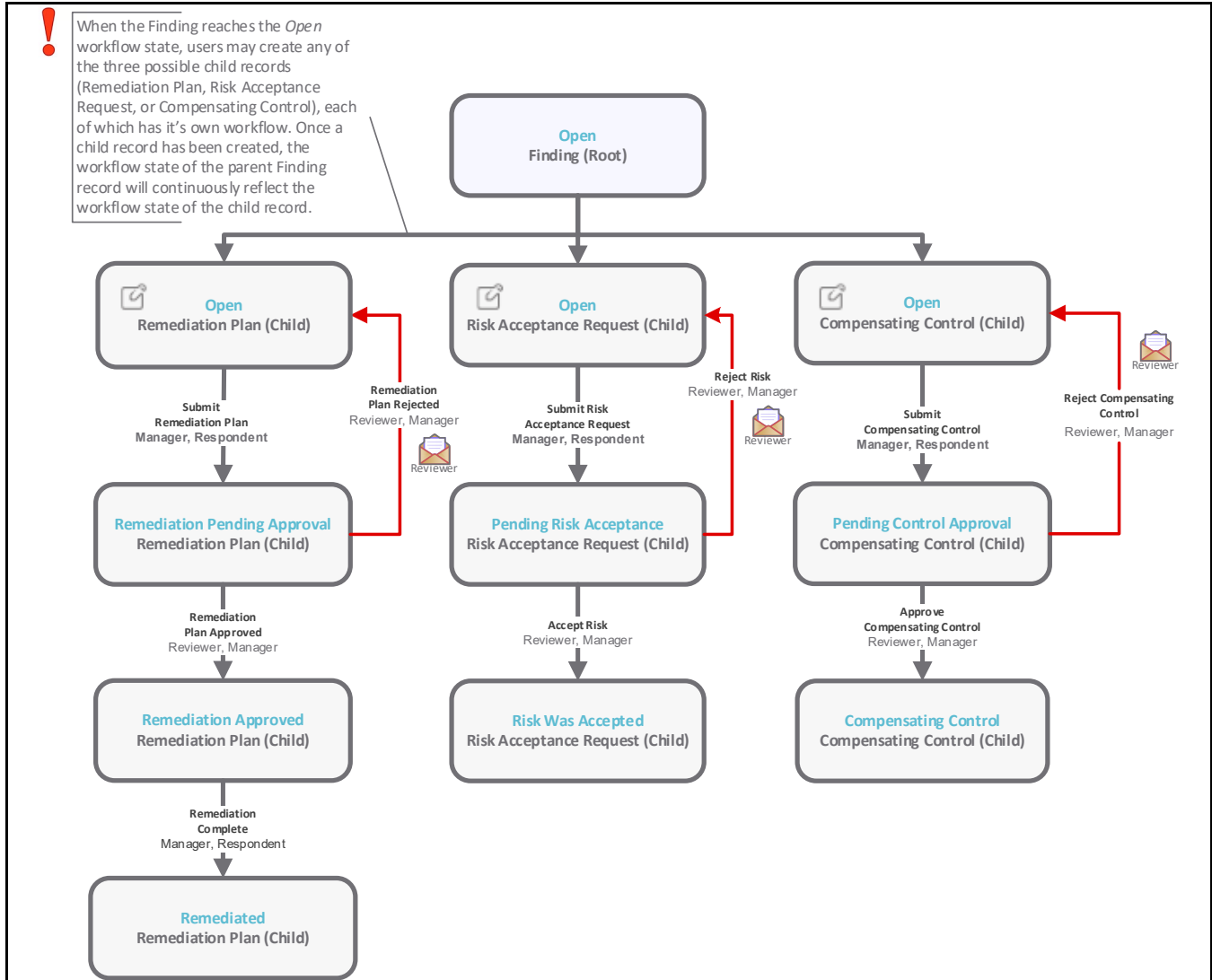
Questionnaire Finding Workflow

This section covers the following concepts of the baseline Questionnaire Finding workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons
- Workflow Roles

Workflow Diagram

The following diagram shows the baseline Questionnaire Finding workflow.



Note: The Risk and Compliance Assessments module also provides additional roles that are specific to the questionnaire findings management process, but those roles have been omitted from the above diagram for the sake of simplicity. For more information about the QF-specific roles, refer the **Workflow Buttons** and **Workflow Roles** tables below.

Workflow States

The following is a list of states associated with the baseline Questionnaire Finding workflow.

Workflow State	Description
GEN: Finding Open	The initial workflow state for a questionnaire finding.
RM: Remediation Pending Approval	A questionnaire finding enters this workflow state when a remediation plan has been created and submitted for approval.
RM: Remediation Approved	A questionnaire finding enters this state when a remediation plan has been approved by a <i>Reviewer</i> .
RM: Remediated	A questionnaire finding enters this state when an approved remediation plan has been flagged as complete.
RM: Pending Risk Acceptance	A questionnaire finding enters this state when a risk acceptance request has been created and submitted for approval.
RM: Risk was Accepted	A questionnaire finding enters this state when a risk acceptance request has been approved.
RM: Pending Control Approval	A questionnaire finding enters this state when a compensating control has been created and submitted for approval.
RM: Compensating Control	A questionnaire finding enters this state when a compensating control has been approved by a <i>Reviewer</i> .

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Questionnaire Finding workflow.

Button	Available to	Notification	Description
RM: Submit Remediation Plan	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the Finding Open state. This button is available for a <i>Respondent</i> or <i>Record Owner</i> to submit a remediation plan. By clicking this button, a <i>Respondent</i> or <i>Record Owner</i> moves the remediation plan record workflow to the Remediation Pending Approval state.

Button	Available to	Notification	Description
RM: Remediation Plan Approved	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Remediation Pending Approval state. By clicking this button, a <i>Reviewer</i> approves a remediation plan and moves the remediation plan record workflow to the Remediation Approved state.
RM: Remediation Plan Rejected	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Remediation Pending Approval state. By clicking this button, a <i>Reviewer</i> rejects a remediation plan and moves the remediation plan record workflow to the Finding Open state.
RM: Remediation Complete	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	No	Available in the Remediation Approved state. By clicking this button, a <i>Respondent</i> or <i>Record Owner</i> flags a remediation as completed to move the remediation plan record workflow to the Remediated state.

Button	Available to	Notification	Description
RM: Submit Risk Acceptance Request	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the Finding Open state. This button is available for a <i>Respondent</i> or <i>Record Owner</i> to submit a risk acceptance request. By clicking this button, a <i>Respondent</i> or <i>Record Owner</i> moves the risk acceptance request record to the Pending Risk Acceptance state.
RM: Accept Risk	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Pending Risk Acceptance state. By clicking this button, a <i>Reviewer</i> accepts a risk acceptance requests and moves the risk acceptance record workflow to the Risk was Accepted state.
RM: Reject Risk	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Pending Risk Acceptance state. By clicking this button, a <i>Reviewer</i> rejects a risk acceptance requests and moves the risk acceptance record workflow to the Finding Open state.

Button	Available to	Notification	Description
RM: Submit Compensating Control	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the Finding Open state. This button is available for a <i>Respondent</i> or <i>Record Owner</i> to submit a compensating control. By clicking this button, a <i>Respondent</i> or <i>Record Owner</i> moves the compensating control record workflow to the Pending Control Approval state.
RM: Approve Compensating Control	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Pending Control Approval state. By clicking this button, a <i>Reviewer</i> approves a compensating control and moves the compensating control record workflow to the Compensating Control state.
RM: Reject Compensating Control	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the Pending Control Approval state. By clicking this button, a <i>Reviewer</i> rejects a compensating control and moves the compensating control record workflow to the Finding Open state.
RM: Revert to Open	QF: Questionnaire Finding Manager Q: Manager	No	Available in all the states except the Finding Open state. By clicking this button, a <i>Manager</i> moves the workflow back to the Finding Open state.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Questionnaire Finding workflow.

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

User ID	Role	Description
r_finding_owner	QF: Questionnaire Finding Record Owner	This role is assigned to the users that are responsible to submit plans for specific questionnaire findings. This role is similar to the Q: Respondent role, though it is typically only granted access to one or more questionnaire findings, and not the entire object.
r_finding_reviewer	QF: Questionnaire Finding Reviewer	This role is assigned to the users that are responsible to review submitted plans for specific questionnaire findings. This role is similar to the Q: Reviewer role though it is typically only granted access to one or more questionnaire findings, and not the entire object.
r_finding_manager	QF: Questionnaire Finding Manager	This role is assigned to the users that are responsible to manage all the questionnaire findings including performing any workflow action. This role is similar to the Q: Manager role though it is typically only granted access to one or more questionnaire findings, and not the entire object.

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

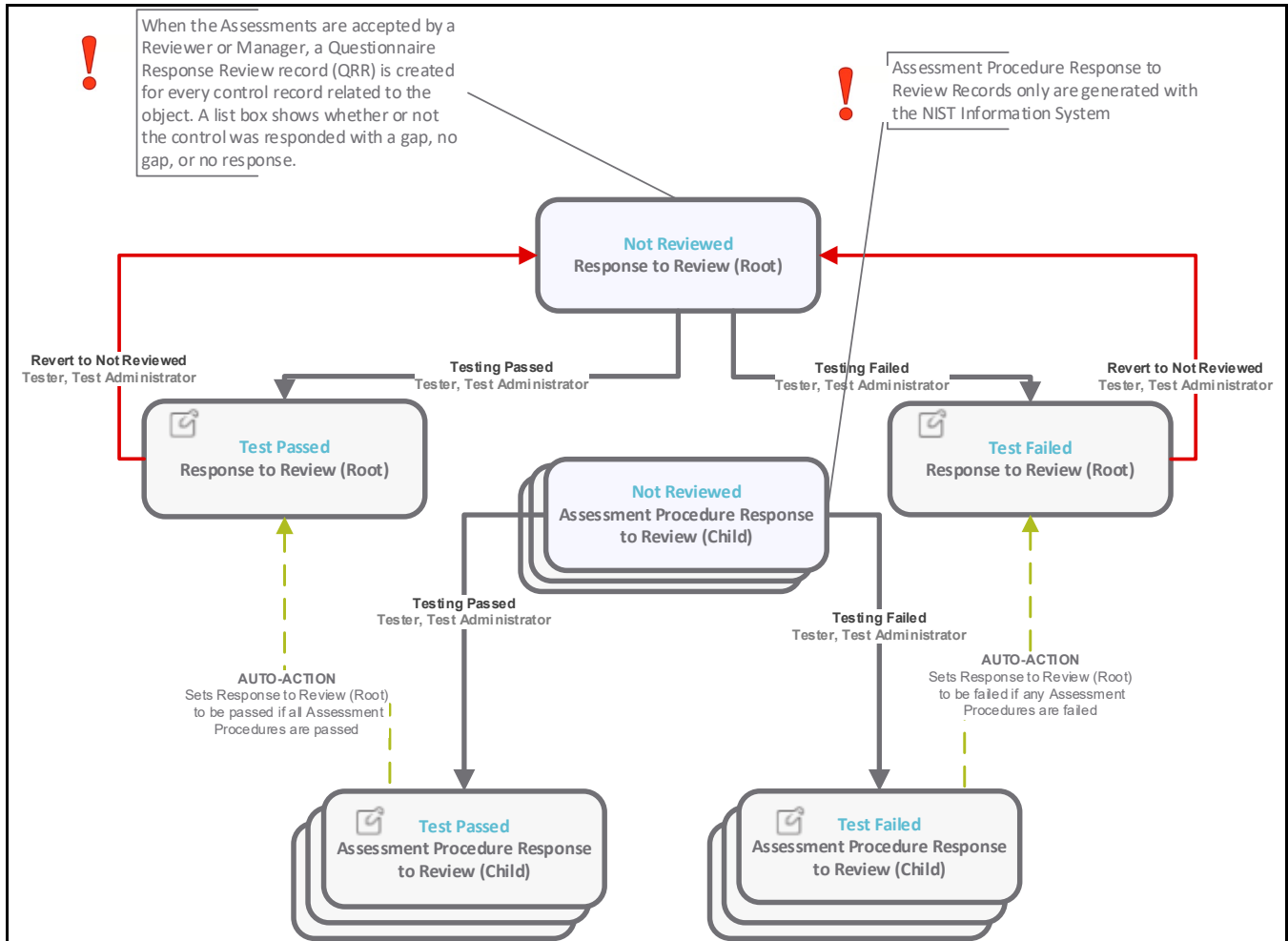
Questionnaire Response Review Workflow

This section covers the following concepts of the baseline Questionnaire Response workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons
- Workflow Roles

Workflow Diagram

The following diagram shows the baseline Questionnaire Response workflow.



Workflow States

The following is a list of states associated with the baseline Questionnaire Response Review:

Workflow State	Description
QRR: Not Reviewed	Initial workflow state for a questionnaire response review.
QRR: Test Passed	A questionnaire response review enters this workflow state after the control testing has been verified and passed.

Workflow State	Description
QRR: Test Failed	A questionnaire response review enters this workflow state when the control testing fails during verification.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Questionnaire Response Review workflow.

Button	Available to	Notification	Description
QRR: Testing Passed	QRR: Tester QRR: Test Administrator	No	Available in the Control Not Reviewed and Control Test Failed states. By clicking this button, a <i>Tester</i> declares that the response testing has passed and moves the response workflow to the Control Test Passed state.
QRR: Testing Failed	QRR: Tester QRR: Test Administrator	No	Available in the Control Not Reviewed and Control Test Passed states. By clicking this button, a <i>Tester</i> declares that the response testing has failed and moves the response workflow to the Control Test Failed state.
QRR: Revert to Not Reviewed	QRR: Tester QRR: Test Administrator	No	Available in the Control Test Passed and Control Test Failed states. By clicking this button, a <i>Manager</i> moves the response workflow back to the Control Not Reviewed state.
QRR: AP - Testing Passed	QRR: Tester QRR: Test Administrator	No	Available in the Control Not Reviewed and Control Test Failed states. By clicking this button, a <i>Tester</i> declares that the response testing has passed and moves the assessment procedure workflow to the Control Test Passed state.
QRR: AP - Testing Failed	QRR: Tester QRR: Test Administrator	No	Available in the Control Not Reviewed and Control Test Passed states. By clicking this button, a <i>Tester</i> declares that the response testing has failed and moves the assessment procedure workflow to the Control Test Failed state.
QRR: AP - Revert to Not Reviewed	QRR: Tester QRR: Test Administrator	No	Available in the Control Test Passed and Control Test Failed states. By clicking this button, a <i>Manager</i> moves the assessment procedure workflow back to the Control Not Reviewed state.

Button	Available to	Notification	Description
QRR: AUTO: Response to Review - On Record Create	N/A	N/A	A button to trigger Risk Analytic Handlers when a QRR record is created. Button is not made available to users in the interactive workflow.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Questionnaire Response Review workflow.

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

User ID	Role	Description
r_assessment_control_review_tester	QRR: Tester	This role is assigned to the users that are responsible to test control responses. Typically, this role is assigned at the object level. However, it can be assigned at the individual record level as well.
r_assessment_control_review_administrator	QRR: Test Administrator	This role is assigned to the users that are responsible to manage response reviews including the ability to revert the response reviews to untested. Typically, this role is assigned at the object level. However, it can also be assigned at the individual record level.

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

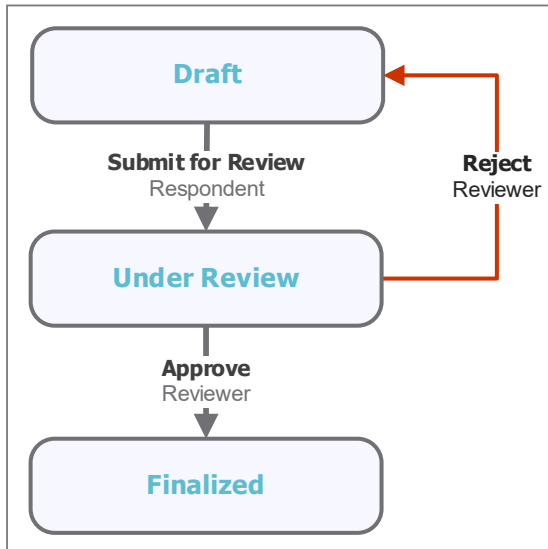
Interconnected Systems Workflow

This section covers the following concepts of the baseline Interconnected Systems workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons
- Workflow Roles

Workflow Diagram

The following diagram shows the baseline Interconnected Systems workflow.



Workflow States

The following is a list of states associated with the baseline Interconnected Systems workflow.

Workflow State	Description
FSM: Draft	The initial workflow state for an Interconnected Systems record.
FSM: Under Review	An Interconnected Systems enters this workflow state when the Interconnected System data is under review for approval.
FSM: Finalized	An Interconnected Systems enters this state when an identified Interconnection Systems Record is approved.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Interconnected Systems workflow.

Button	Available to	Notification	Description
FSM: ICS - Submit for Review	Q: Respondent Q: Manager	No	Available in the Draft state. By clicking this button, it moves the record workflow to the Under Review state.

Button	Available to	Notification	Description
FSM: ICS - Approve	Q: Reviewer Q: Manager	No	Available in the Under Review state. By clicking this button, a <i>Reviewer</i> approves the Interconnected System record and moves the record workflow to the Finalized state.
FSM: ICS - Reject	Q: Reviewer Q: Manager	No	Available in the Under Review state. By clicking this button, a <i>Reviewer</i> rejects an Interconnected System Record and moves the record to the Draft state.
FSM: ICS - Pull Interconnected System Data	Q: Respondent Q: Reviewer Q: Manager	No	Available in the Draft and Under Review states. By clicking this button, copies field data from the identified system into the record.
FSM: ICS - Revert to Draft	Q: Manager	No	Available in the Under Review and Finalized states. By clicking this button, the Interconnected System Record is moved to the Draft state.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Interconnected Systems workflow.

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

User ID	Role	Description
r_assessment_respondent	Q: Respondent	This role is assigned to the users that are responsible for submitting Interconnected System records.
r_assessment_reviewer	Q: Reviewer	This role is assigned to the users that are responsible to review submitted Interconnected System Records.
r_assessment_manager	Q: Manager	This role is assigned to the users that are responsible to manage all the Interconnected System records.

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

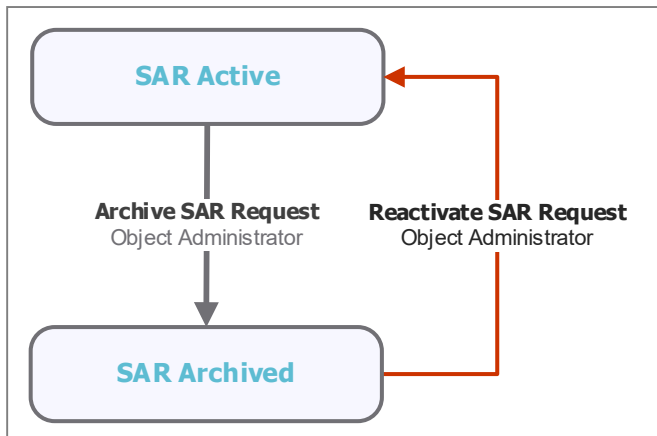
SAR Request Workflow

This section covers the following concepts of the baseline SAR Request workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

The following diagram shows the baseline SAR Request workflow.



Workflow States

The following is a list of states associated with the baseline SAR Request workflow.

Workflow State	Description
FSM: SAR Active	In this state, the SAR Request remains active.
FSM: SAR Archived	In this state, the SAR Request remains archived.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline SAR Request workflow.

Button	Available to	Notification	Description
FSM: SAR - Archive SAR Request	O: Object Administrator	No	Available in the SAR Active state. By clicking this button, the workflow moves to the SAR Archived state.
FSM: SAR - Reactivate SAR Request	O: Object Administrator	No	Available in the SAR Archived state. By clicking this button, the workflow moves to the SAR Active state.

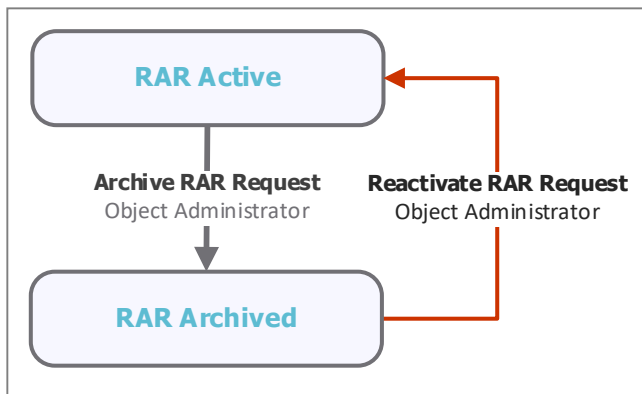
RAR Request Workflow

This section covers the following concepts of the baseline RAR workflow in the FISMA RMF module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

The following diagram shows the baseline RAR Request workflow.



Workflow States

The following is a list of states associated with the baseline RAR Request workflow.

Workflow State	Description
FSM: RAR Active	In this state, the RAR Request remains active.
FSM: RAR Archived	In this state, the RAR Request remains archived.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline RAR Request workflow.

Button	Available to	Notification	Description
FSM: RAR - Archive RAR Request	O: Object Administrator	No	Available in the RAR Active state. By clicking this button, the workflow moves to the RAR Archived state.
FSM: RAR - Reactivate RAR Request	O: Object Administrator	No	Available in the RAR Archived state. By clicking this button, the workflow moves to the RAR Active state.

System Risk Registry Workflow

This section covers the following concepts of the baseline System Risk Registry workflow in the FISMA RMF module:

- Workflow States
- Workflow Buttons

Workflow States

The following is a list of states associated with the baseline System Risk Registry workflow.

Workflow State	Description
FSM: RR Draft	The initial state for a System Risk Registry record.
FSM: RR Finalized	The final state for a System Risk Registry record.

Workflow Buttons

The following button is available in the baseline System Risk Registry workflow.

Button	Available to	Notification	Description
FSM: RR Submit the Risk Entry	Q: Respondent Q; Reviewer Q: Manager	No	Available in the Draft state.

User Groups

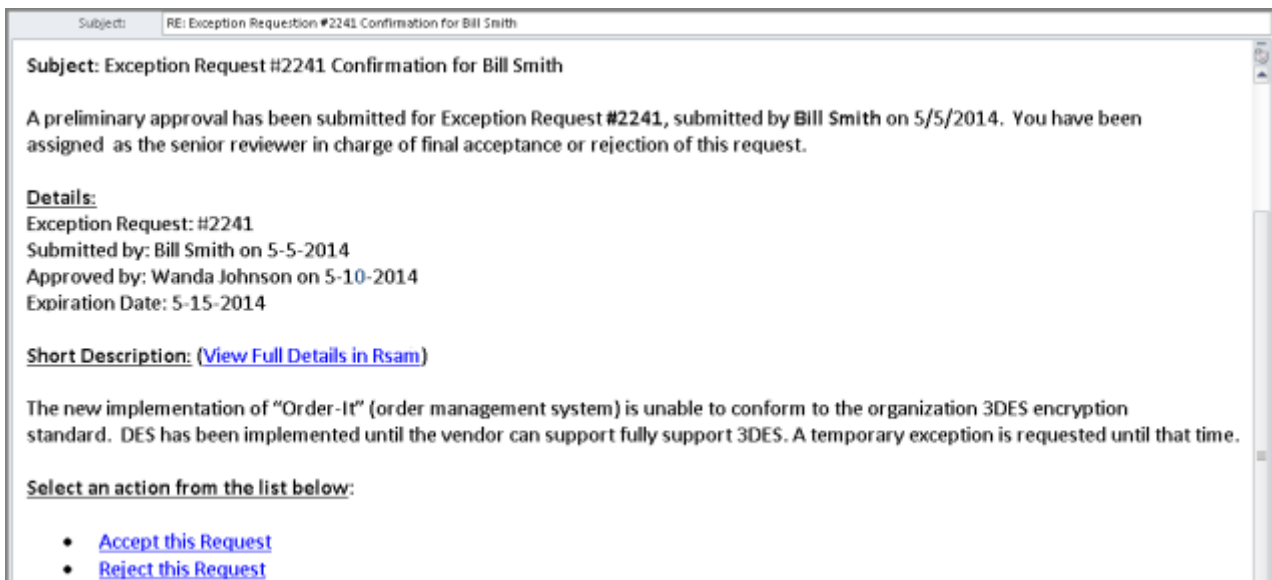
A user group is a collection of users that will be assigned common roles and permissions. Roles and permissions may be applied to individual users, groups, or both. This provides a convenient way to assign user permission to workflow roles. The following is a list of user groups that have been pre-configured in this module.

Group	Usage
Assessment Control Test Managers	No Default Configurations
Assessment Control Testers	No Default Configurations
Assessment Managers	Users assigned to this group can get Read, Modify, Delete, Add, Assign privileges, and assigned the Manger workflow role to all object under the under the Assessments Sub-Entity. Note: Use this configuration only for simple global permissions to users; otherwise, attributes provided in the FISMA Module objects will allow more granular control over permissions per user.
Assessment Reviewers	Users assigned to this group can get Read, Modify, Add, Assign privileges, and assigned the Reviewer workflow role to all object under the under the Assessments Sub-Entity. Note: Use this configuration only for simple global permissions to users; otherwise, attributes are provided in the FISMA Module objects will allow more granular control over permissions per user.
Finding Managers	No Default Configurations
Finding Reviewers	No Default Configurations

Appendix 1: 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.

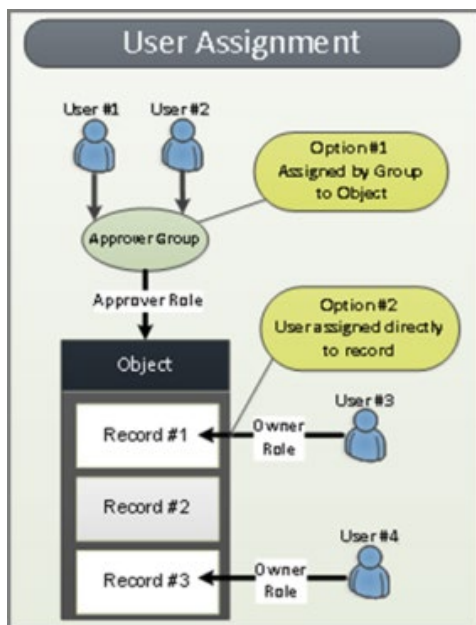


Appendix 2: User Assignment Options

Rsam allows organizations to customize configurations and workflows to their specific business practices. There are many methods by which users can be assigned roles (such as, who is responsible for reviewing and approving exceptions). The following are the most common assignment methods:

- Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object, the group is also given a specific role. This accomplishes the following:
 - All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.
 - All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.
- Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The method for implementing the assignment can also be customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.



Appendix 3: Rsam Documentation

FISMA RMF Module Tutorial

For a detailed walk-through of the FISMA RMF Module user experience, refer the *FISMA RMF Module Step-by-Step Tutorial*. You should have received the *FISMA RMF Module Step-by-Step Tutorial* along with the FISMA RMF Module instance. If not, contact your Rsam Customer Representative to obtain an electronic copy of the *FISMA RMF Module Step-by-Step Tutorial*.

Online Help

This document provides an overview of the FISMA RMF Module configuration. 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 **Username** as *r_admin* and **Password** as *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.

