



Indicators Module

Step-by-Step Tutorial

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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.

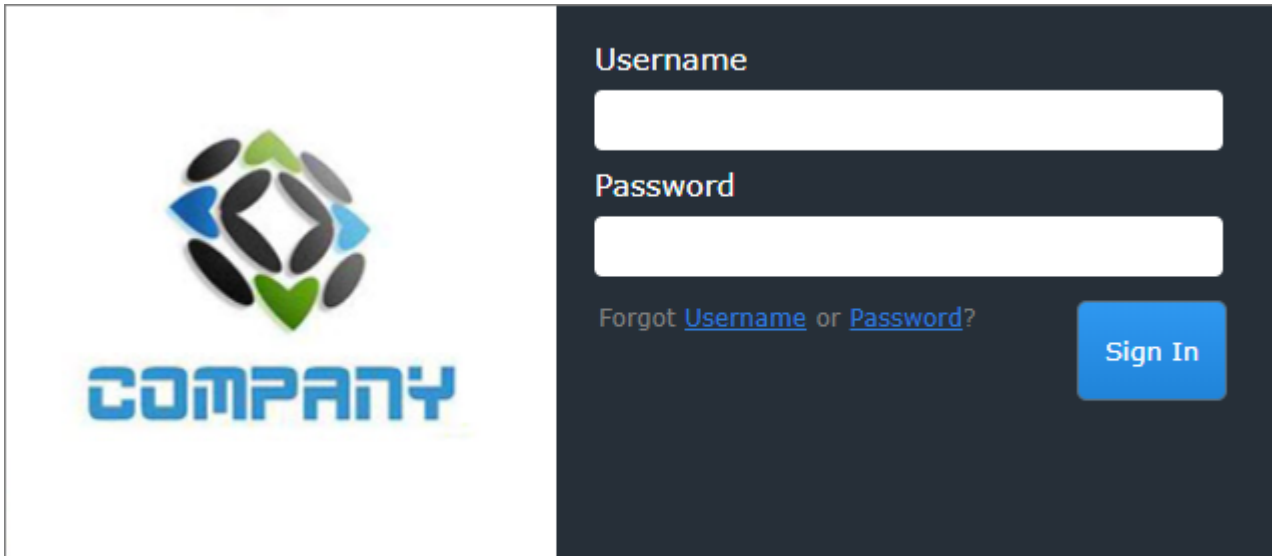
Rsam Sandbox Environment

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.



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.

Rsam Indicators

Overview

The Rsam Indicators Module enables customers to absorb relevant data gathered in other Rsam modules, create informative statistics, manage to corporate designated thresholds, and address variances with remedial activities. Most commonly Indicators will be implemented after a customer has already begun to use one or more Rsam modules in production and has good data already stored in their Rsam database.

Data may be introduced through most of the Rsam modules, such as assessment modules, incident management, risk register, vulnerability management, security operations, and more. Statistics from these modules will be processed, and then evaluated against a series of thresholds to measure and record how the organization is meeting targets.

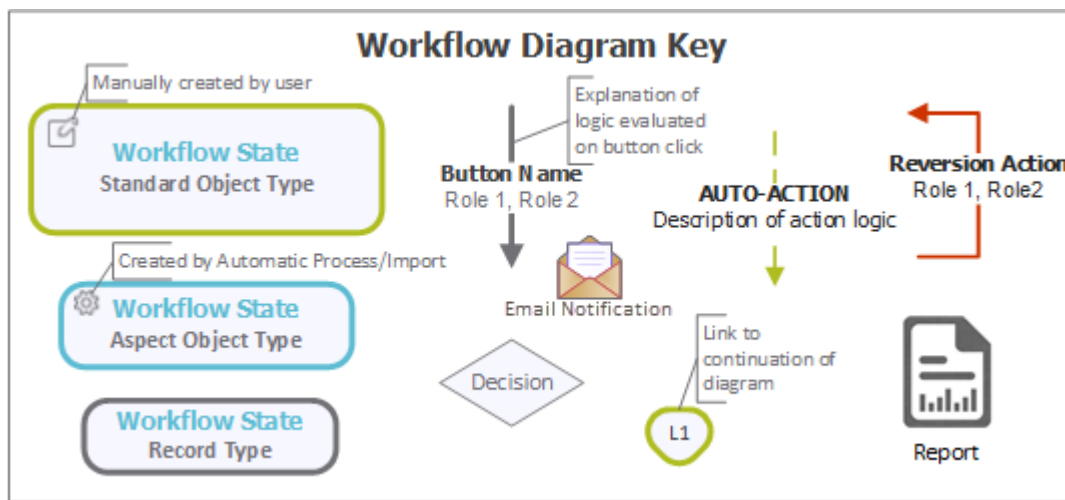
Customers are also welcome to inject data from other tools / processes held outside of Rsam, or enter data directly if desired.

This tutorial provides a step-by-step procedure to walk you through one path of workflow within the Indicators Management module. To get more insights into the Indicators Management module, please refer the *Indicators Baseline Configuration Guide*.

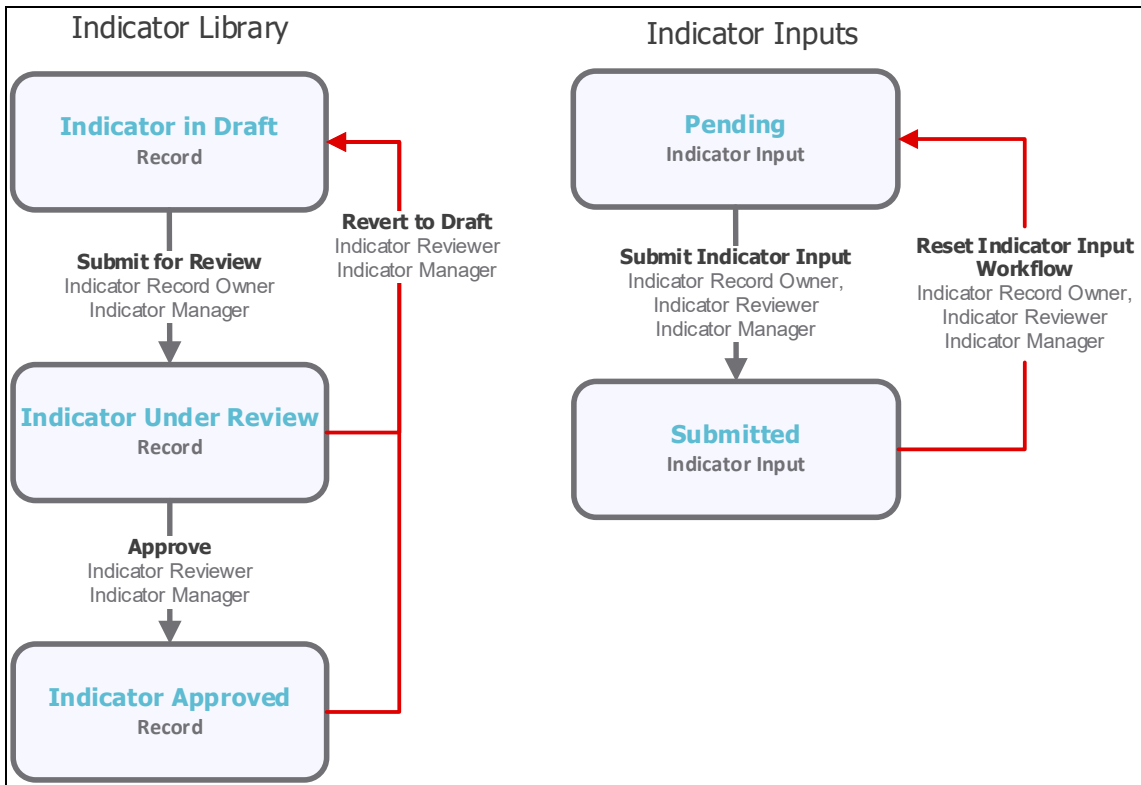
Indicators Workflow

This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Indicator workflow.

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



The following diagram shows the baseline Indicators workflow.



User Accounts

User Accounts are required for the individuals that are authorized to access a specific Rsam baseline module.

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

The Rsam sandbox for Indicators comes with the following pre-populated sample account.

Account ID	User	Business Responsibilities
r_admin	Rsam Administrator	An administrator account that will be used to generate and execute an indicator scenario.

The default password for the *r_admin* account in the Rsam Indicators sandbox is **password**. Password can be changed once authenticated. Users with administrator permissions can 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: Planning for your Indicator	(offline)	Decide on a module / data in Rsam that you wish to use to start gathering and measuring statistics. Also, decide on the interval of time and threshold you wish to use for collection and measurement.
Step 2: Creating a Search	r_admin	Create an Rsam Search that will find the data you are interested in to create your statistics and measurements.
Step 3: Creating and Executing an Indicator Library Record	r_admin	Create an Indicator, leveraging this search for its data input, and specify the thresholds you wish to use for measurement. We will also manually execute the indicator to witness the results. Future executions will likely be included in one of the Rsam scheduled events.
Step 4: Reporting on Indicator Results	r_admin	Review the Rsam indicators results through pre-defined or customized searches and dashboards / heat maps.
Step 5: Documenting Remediation	r_admin	If desired, add remediation records to any results that are outside of your desired thresholds.

Step-by-Procedure

This section contains the procedural steps we will follow in this tutorial. The path covered in this tutorial will walk you through creating a search and indicator library entry and executing on it. This path was chosen as a common path to follow, though you are welcome to explore other paths as well.

Note: This tutorial is focused on building and leveraging an indicator. Rsam also includes optional workflow to manage the indicator library record creation, but this is not required to leverage indicators.

Step 1: Planning for your Indicator

In this step, you will perform no actions inside of Rsam. It is critical to decide on the following items before you start creating indicators. One of the purposes of using Indicators Module is to automatically measure and report on data collected via the various Rsam modules or external sources. When planning to build a new Indicator, consider the following items:

1. What data are you looking to leverage for the Indicators?
 - In our example, we will use *Incidents* recorded in the Incident Management module.
 - We are interested in getting the number of new incidents (based on date attribute).
 - We are interested only in *significant* incidents (based on a criticality attribute).
2. At what frequency to you want to make your measurement?
 - We want to have this measured each month.
3. What are your thresholds you wish to keep within for this data?
 - The organization has decided on the following thresholds:
 - a. 0-5 new significant incidents in a month is considered normal.
 - b. 6-10 new significant incidents in a month is abnormal and concerning to the organization.
 - c. 11+ new significant incidents in a month is considered highly abnormal and potentially disruptive to the organization.

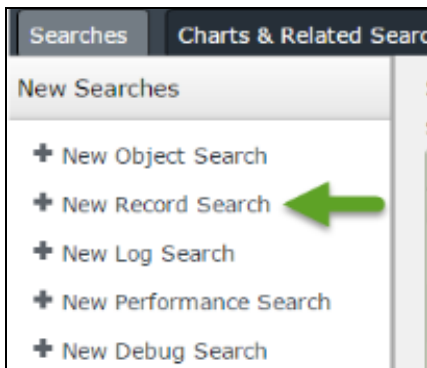
4. How do you want to react at each of the above thresholds?

- We have decided that if we have 11+ incidents, we would like to have the Incident Manager document an awareness plan and a summary of activities to be performed in a plan of action record.

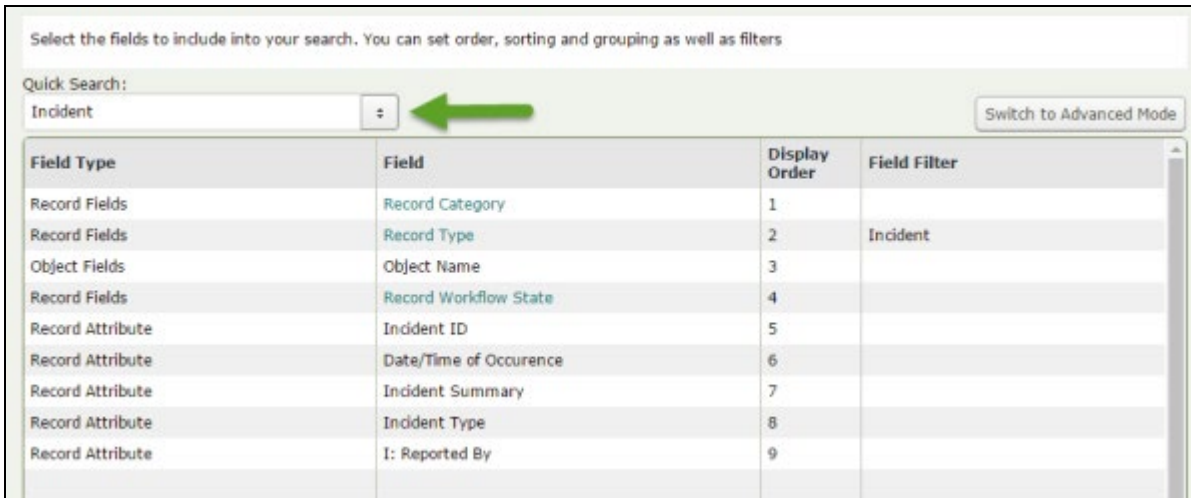
Step 2: Creating a Search

In this step, you will sign in to Rsam as the Administrator user to create a Saved Search to feed into the indicator.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Indicators module.
2. Sign in as the *Administrator* user. Enter **Username** as *r_admin* and **Password** as *password*.
3. Navigate to **Search > Saved Searches & Charts**.
4. Click **New Record Search**.

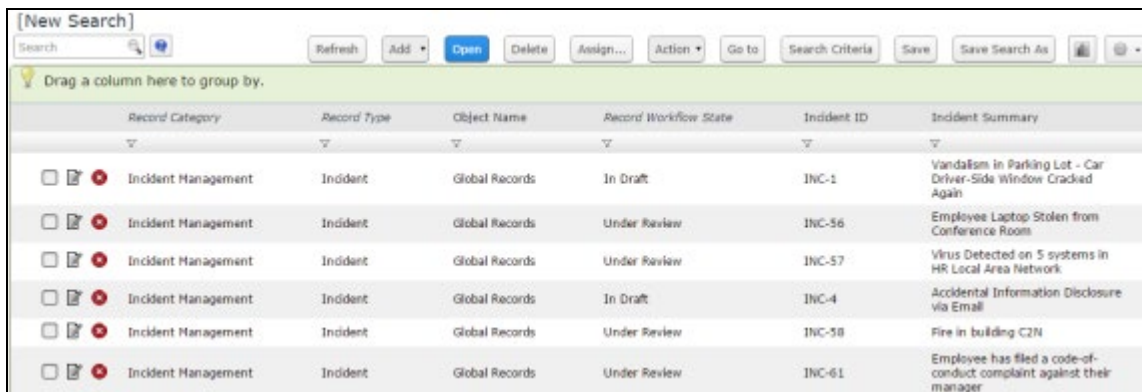


5. In the **Quick Search** list box, select **Incident** (or whatever record type you wish to measure against. If you are not licensed for incident management, be sure to choose another relevant record type).
 - If desired, filter by severity or date/time of occurrence.
 - Since data in your instance may not be current/real, you can also leave the date filter blank for the tutorial.



6. Click **Update**.

- You should see some search results. These are the results that will be leveraged for the indicator record.



- If you do not see any results, you may want to add more data or change your search criteria to complete this tutorial.

7. Click **Save Search As**.

8. Complete the following fields.

- **Search name** – Enter *TRN: List of Incidents for Indicator Measurement*.
- **Custom Reports/Metrics** – Select the checkbox.

Search Name:

Records to Return: Records Per Page:

Display Group Names On double-click, go to Records list

Search Use Type

Object Navigator Record Navigator Custom Reports/Metrics

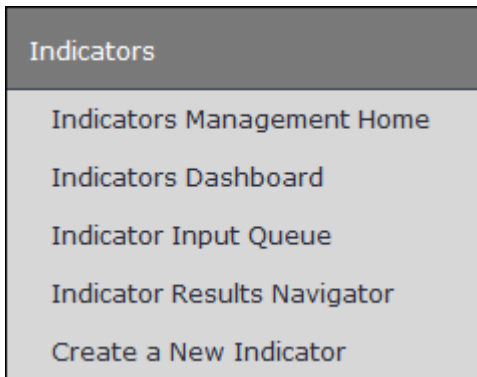
Dynamic Attribute Bypass 'Records to Return' for special uses

9. Click **Save**.

Step 3: Creating and Executing an Indicator

In this step you will stay signed in to Rsam as the *Administrator* user to create and execute an indicator that will be used for measurement.

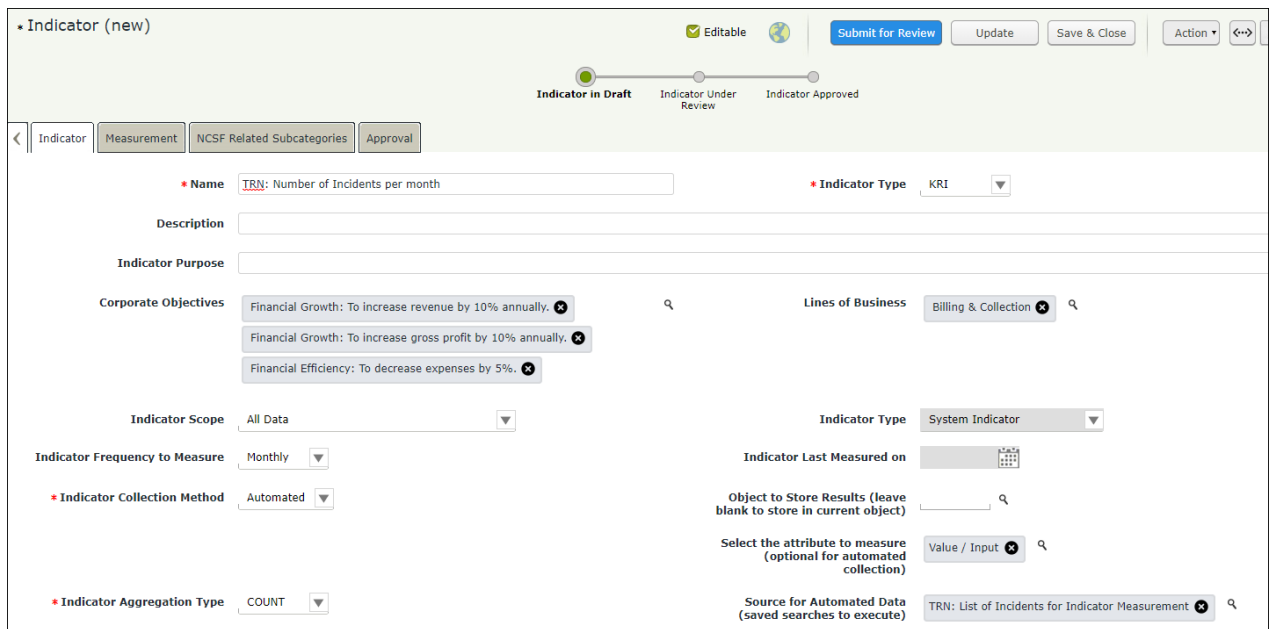
1. From within the navigation panel at the left-hand side, navigate to **Indicators > Create a New Indicator**.



The **Indicator (new)** record opens with the **Indicator** tab selected.

2. Complete the following fields.

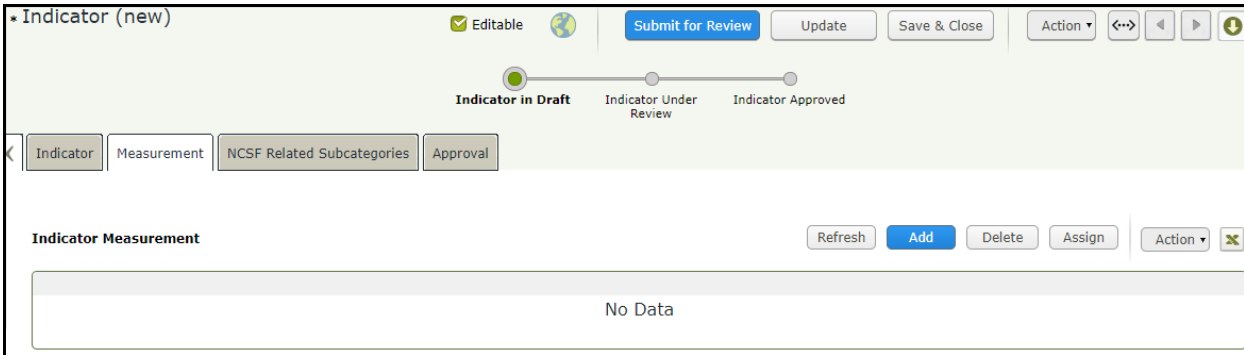
Field	Description
Name	The name of the indicator.
Indicator Type	Select an indicator type: OKR, KRI, or KPI. As part of this tutorial, let's select KRI.
Indicator Scope	Select All Data.
Indicator Collection Methods	Select a collection method for the indicator: Manual or Automated. As part of this tutorial, let's select Automated. (Manual indicators are statistics entered directly into the tool by Rsam without using an automated search)
Select Object to Store Results (leave blank to store in current object)	Select an object under which you want to store the indicator results. As part of this tutorial, let's select Global Records.
Indicator Aggregation Type	Select an aggregation type for the indicator: COUNT, SUM, MIN, MAX, or AVERAGE. As part of this tutorial, let's select COUNT .
Source for Automated Data (saved searches to execute)	Select the saved search you created in Step 2: Creating a Search . The recommended name was TRN: List of Incidents for Indicator Measurement.



We will now create Indicator Measurement records. In the **Indicator Measurement** record, we will define the criteria for low and high ranges to categorize the indicator results into various alerts, such as Normal, Caution, and Alert.

3. Click the **Measurement** tab.

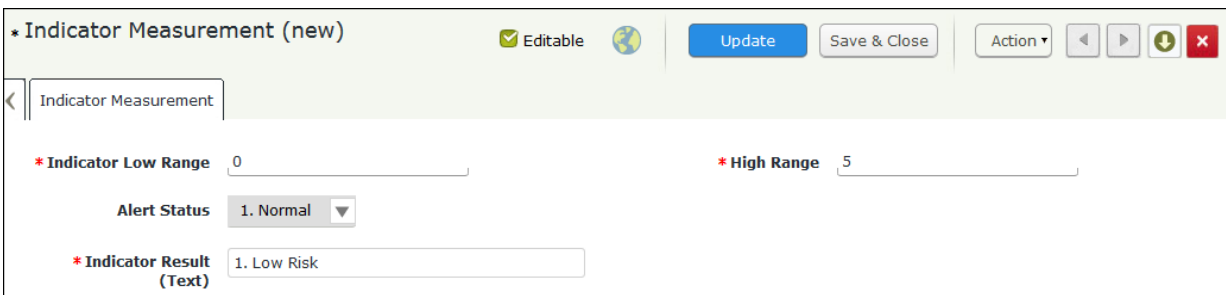
4. Click **Add**.



The **Indicator Measurement (new)** record opens with the **Indicator Measurement** tab selected.

5. Complete the following fields.

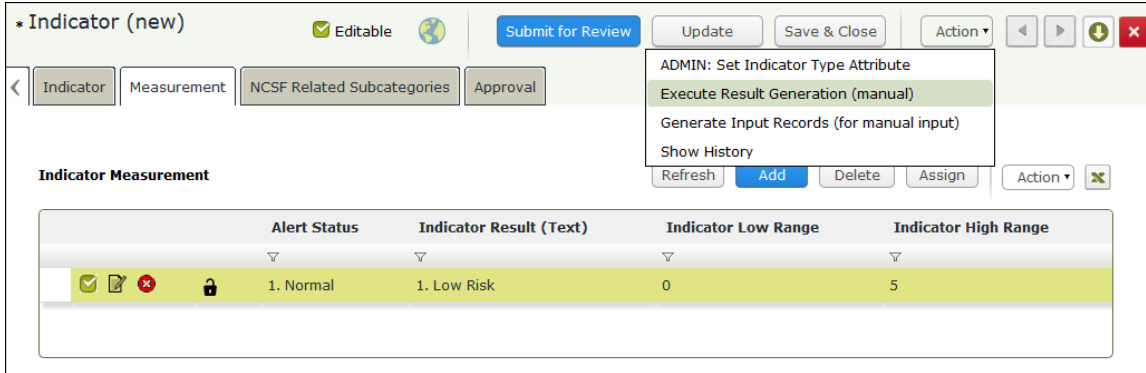
Field	Description
Indicator Low Range	The bottom of the threshold used when determining if the result falls into this threshold.
Indicator High Range	The top end of the threshold used when determining if the result falls into this threshold.
Alert Status	A classification for this threshold (if the result falls between the low and high values, it is considered normal, caution, or an alert).
Indicator Result (Text)	Text describing the indicator result (how would you describe the result if it falls between the low and high values).



6. Click **Save & Close**.

The indicator record / definition is now completed. Typically, we will now execute it as part of a scheduled event. However, for the purposes of this tutorial, we will use the manual execution button to get an immediate result.

7. Double-click the indicator to re-open its details.
8. From within the **Indicator** record, click **Action** and select **Execution Result Generation (manual)** from the list of options that appear.

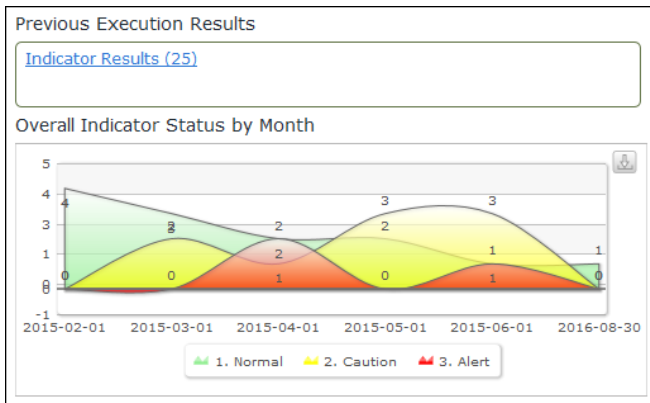


9. In the message that appears prompting you save and continue, click **Yes**.
Rsam will automatically process the indicator by executing the search, measuring the results, and creating a new indicator result record.

Step 4: Reporting on Indicator Result Records

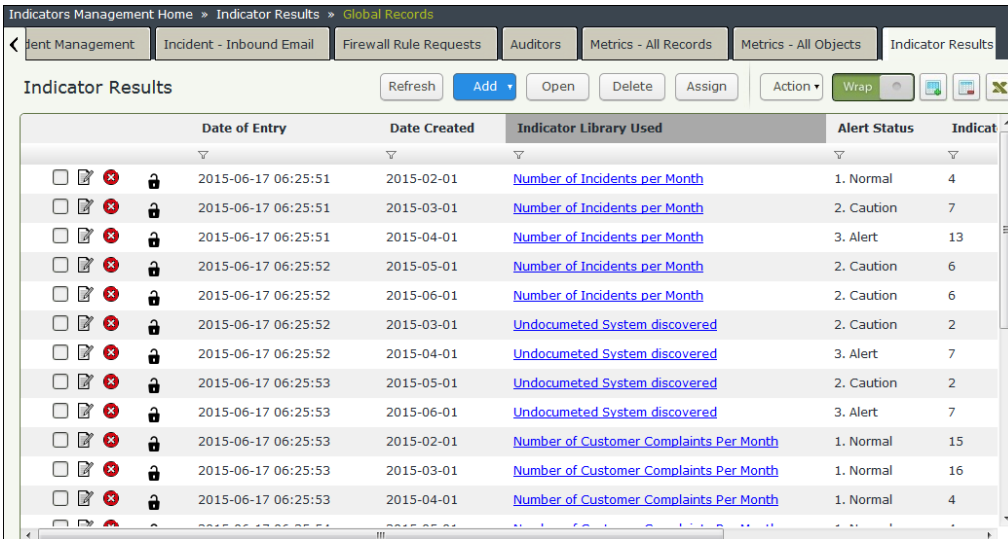
In this step, by staying signed in to Rsam as the Administrator user, you will review the indicator execution results. Rsam automatically writes indicator results to the Indicator Results record category. You may view the results directly or via a search.

1. From within the navigation panel at the left-hand side, navigate to **Indicators > Indicators Management Home**.
The Indicators home page tab appears.
2. Under **Previous Execution Results**, click **Indicator Results**.



A grid listing objects with indicator results appear.

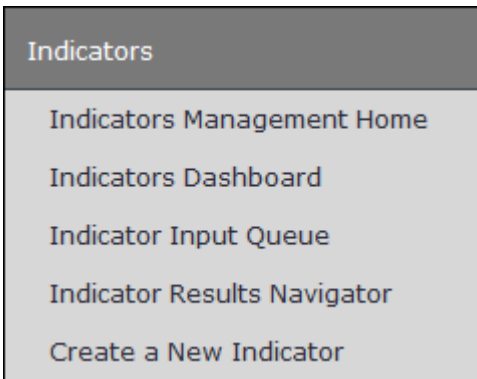
3. Locate the object containing the indicator result. As part of this tutorial, the indicator is stored in the Global Records object.
4. Click **Indicator Results** in the **Global Records** row.
A grid opens with the **Indicator Results** tab selected.
5. Scroll down to locate the most recent indicator result.



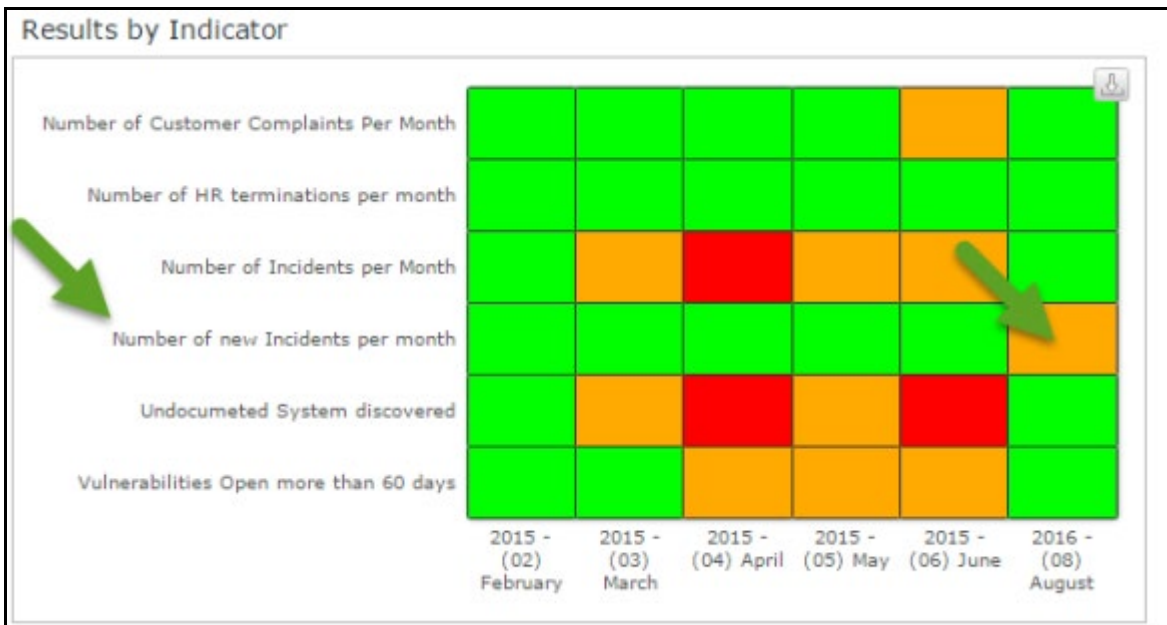
	Date of Entry	Date Created	Indicator Library Used	Alert Status	Indicator Value
<input type="checkbox"/>	2015-06-17 06:25:51	2015-02-01	Number of Incidents per Month	1. Normal	4
<input type="checkbox"/>	2015-06-17 06:25:51	2015-03-01	Number of Incidents per Month	2. Caution	7
<input type="checkbox"/>	2015-06-17 06:25:51	2015-04-01	Number of Incidents per Month	3. Alert	13
<input type="checkbox"/>	2015-06-17 06:25:52	2015-05-01	Number of Incidents per Month	2. Caution	6
<input type="checkbox"/>	2015-06-17 06:25:52	2015-06-01	Number of Incidents per Month	2. Caution	6
<input type="checkbox"/>	2015-06-17 06:25:52	2015-03-01	Undocumented System discovered	2. Caution	2
<input type="checkbox"/>	2015-06-17 06:25:52	2015-04-01	Undocumented System discovered	3. Alert	7
<input type="checkbox"/>	2015-06-17 06:25:53	2015-05-01	Undocumented System discovered	2. Caution	2
<input type="checkbox"/>	2015-06-17 06:25:53	2015-06-01	Undocumented System discovered	3. Alert	7
<input type="checkbox"/>	2015-06-17 06:25:53	2015-02-01	Number of Customer Complaints Per Month	1. Normal	15
<input type="checkbox"/>	2015-06-17 06:25:53	2015-03-01	Number of Customer Complaints Per Month	1. Normal	16
<input type="checkbox"/>	2015-06-17 06:25:53	2015-04-01	Number of Customer Complaints Per Month	1. Normal	4

The **Indicator Result (number)** and **Alert Status** columns are the key metrics you will be considering for further action.

6. To view the indicator result in a dashboard view, from within the left-hand navigation panel, navigate to **Indicators > Dashboard**.



Various charts appear. You may leverage these popular ones (like the Heatmap), or create your own.



7. To view the indicator results in a navigator, from within the navigation panel at the left-hand side, navigate to **Indicators > Indicator Results Navigator**.
The navigator appears.

8. Select **Indicator Results by Type** in the listbox, and then select the desired indicator result type on the left to see the indicator execution results on the right.

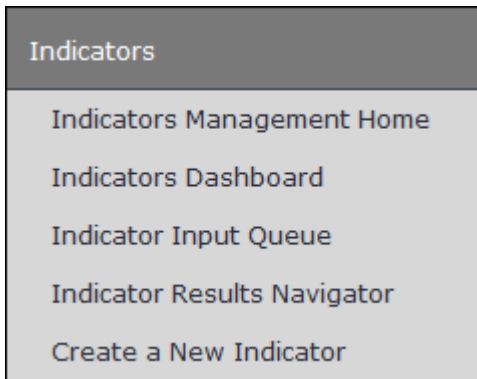
Indicator Results by...	Object Name	Date Created	Alert Status	Indicator Result (number)
Number of Incidents per Month	Global Records	2015-02-01	1. Normal	4
Number of Incidents per Month	Global Records	2015-03-01	2. Caution	7
Number of Incidents per Month	Global Records	2015-04-01	3. Alert	13
Number of Incidents per Month	Global Records	2015-05-01	2. Caution	6
Number of Incidents per Month	Global Records	2015-06-01	2. Caution	6

Step 5: Documenting Remediation

In this step, by staying signed in to Rsam as the *Administrator* user, we will create a remediation plan for indicator results that do not meet your corporate objectives.

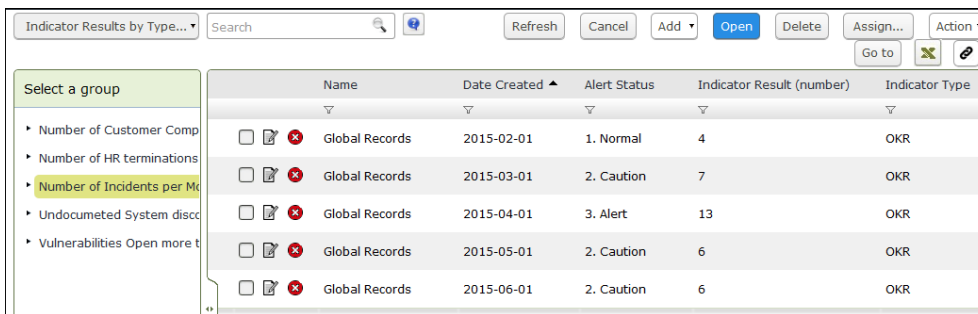
Note: You can remediate an indicator result by using the Remediation Plan (POAM), Risk Acceptance Request, or Compensating Control method. In this tutorial we will walk you through the steps for the Remediation Plan (POAM) method. You may explore other remediation methods to enhance your learning, if desired.

1. From within the navigation panel at the left-hand side, navigate to **Indicators > Indicator Results Navigator**.



The navigator appears.

2. From within the navigator, select **Indicator Results by Type**, and then select the indicator result type you wish to explore on the left side (in this case, we will select **Number of New Incidents...that we just created**).



The screenshot shows the 'Indicator Results by Type...' interface. On the left, there is a 'Select a group' dropdown menu with several options, including 'Number of Incidents per Month' which is highlighted. The main area displays a table of indicator results.

Name	Date Created	Alert Status	Indicator Result (number)	Indicator Type
Global Records	2015-02-01	1. Normal	4	OKR
Global Records	2015-03-01	2. Caution	7	OKR
Global Records	2015-04-01	3. Alert	13	OKR
Global Records	2015-05-01	2. Caution	6	OKR
Global Records	2015-06-01	2. Caution	6	OKR

3. Select the new indicator result on the right, and then click **Add** and select **Remediation Plan (POAM)** from the options that appear.

Name	Indicator Result (number)	Indicator Type
Global Records	1. Normal	OKR
Global Records	2. Caution	OKR
Global Records	3. Alert	OKR
Global Records	2. Caution	OKR
Global Records	2. Caution	OKR

The **Remediation Plan (POAM) (new)** record opens with the **Remediation Plan (POAM)** tab selected.

4. Complete all the desired details, and then click **Submit Remediation Plan**.

Editable
 Submit Remediation Plan
Update
Save & Close

Open — Remediation Pending Approval — Remediation Approved — Remediated

* Describe the Remediation or Controls:

Who owns the remediation effort?:

* When will remediation start?:

* When will remediation be completed?:

When was remediation actually completed?:

Additional Roles and Workflow

Roles

For simplicity purposes, this tutorial uses the Rsam Administrator Role. However, customers can specify the desired access to both the indicator libraries and results by associating those items to other existing roles. In the Rsam Basic Administration class customers learn how to create and assign roles. This will simply require:

1. Associating the role with the Indicator Library and Indicator Result record types.
2. Associating the role with the Generate Result Record workflow buttons.
3. Associating the Indicator Home Page Tabs (IND:) with the role.

Workflow

Basic workflow is also available for organizations that wish to formalize the creation of Indicator Library entries. While less common, customers can leverage these configurations to move the library record through the Draft, Under Review, and Approved workflow states.

Additional Attributes Measurement Scale

The Indicators module has been developed in a manner that allows customers to easily augment the attributes (fields of data) used to describe both the indicator library and the indicator result. But by default, Rsam includes attributes to highlight the name of the indicator, related lines of business, the resulting value, and an alert status / result description.

Customers can choose to add as many attributes as desired to augment this data. By creating a single attribute type and associating it with both the Indicator Library / Measurement record types & the Indicator Result Record type, Rsam will automatically copy values from the library into the result. Below are two common examples:

Scenario 1: I would like to have the Indicator Library and Result flagged with specific Business Areas impacted by that indicator (such that I can better report on this). To do so, I would simply need to create a Business Areas Impacted attribute and associate it with both the Indicator Library record type and the Indicator Result record type.


- Now, whatever is selected in the library value will also be copied to the result value when generated, allowing you to easily build drag-and-drop dashboards around it

Scenario 2: I would like to have a different alert scale, or add a new attribute to highlight the measurement / result – I simply need to create the new alert attribute type and associate it with both the Measurement and the Indicator Result record types.

- Whatever value is stored in the relevant measurement record will be automatically copied to the Indicator Results record (similar to how Rsam currently copies the alert and description attributes)

Scheduling Indicator Generation

By default, Indicator Generation occurs by executing the handler **IND: Generate Indicator Result Records**. This handler can be executed via a workflow button (to manually execute the Indicator Measurement), or by a scheduler that can automatically target the Indicator Records.



Name	Type	Criteria/Actions
ind]		
IND: Approve	Record	Criteria: 0 Action: 4
IND: Generate Indicator Result Records	Record	Criteria: 1 Action: 1

Customers wishing to schedule this can associate this handler with their desired Scheduled Event. For example, to execute monthly indicators automatically, customers can follow these steps:

1. Select an existing, or create a new scheduled event that targets the Definitions object.



Add Event

Event Name:
Execution_On_Definitions_Monthly

Event Description:

Target Selection

Manually select target(s)

Target items using Record Saved Search(s)

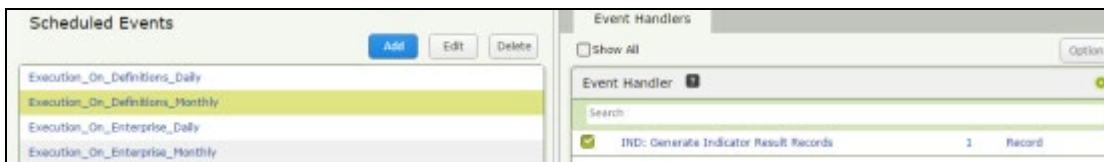
Target items using Object Saved Search(s)

Target: execute this event on the following target(s)

Definitions

If this was a new scheduled event, you will also need to associate it with a schedule.

2. Associate it with the **IND: Generate Indicator Result Records** handler.



Scheduled Events

Execution_On_Definitions_Daily

Execution_On_Definitions_Monthly

Execution_On_Enterprise_Daily

Execution_On_Enterprise_Monthly

Event Handlers

Show All

Event Handler

IND: Generate Indicator Result Records 1 Record

Rsam will now execute that handler using the designated schedule.

Direct Input from 3rd Party Tools

Since indicator data is drawn from Rsam records, customers can also choose to import metrics from 3rd party tools directly into these Rsam records. There are two practical scenarios for this:

- The 3rd party data is already measured (outside of Rsam), and you import the data directly into the Indicator Results records.
- You want Rsam to run the measurements against the 3rd party data. In this case, you import into an Rsam Category Type / Record Type, and follow this tutorial to build the search to read from those records when creating Indicator Results.

Appendix: Rsam Documentation

Indicators Module Baseline Configuration Guide

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

Online Help

This tutorial provides the step-by-step instructions on the Rsam Indicators 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. Enter **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.

