Issue Management Module

Baseline Configuration Guide

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Contents

Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam Issue Management module. The baseline configurations for the Issue Management module allows your users to manage issues in a centralized repository. The pre-configured activities help streamline your issue management cycle by leveraging a central repository, with the ability to track issues by object/s, assign risk scores, and a baseline workflow that will allow you to propose acceptance of risk, create a remediation plan or compensating controls for each risk.
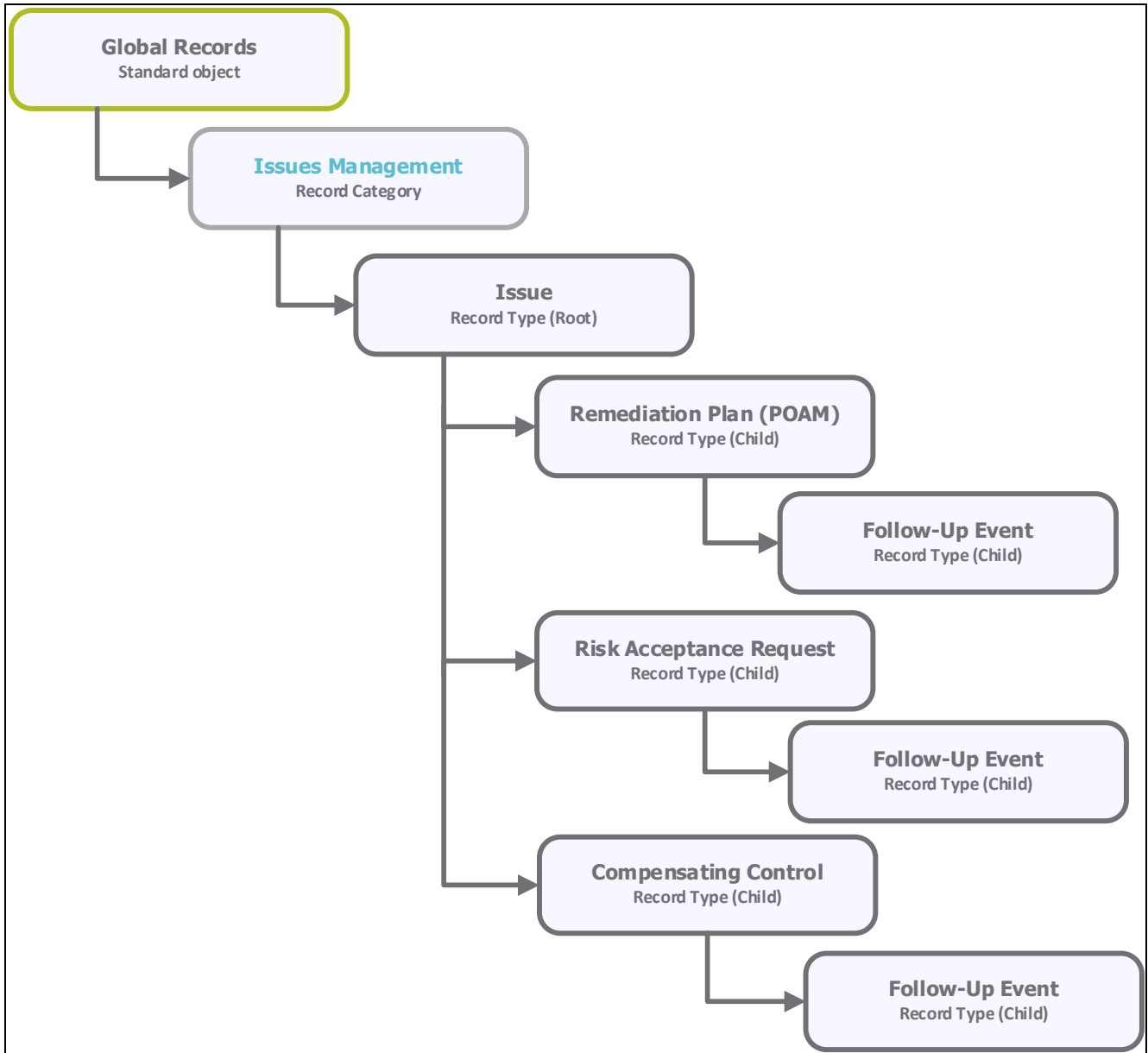
The following is a list of elements that have been configured in the Issue Management module:

- Structure

- Home Page Tabs

- Issue Management Workflow

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

Issue Management Structure

All issues in the Issue Management module are stored in the object type *Library for Global Records*.

```
┌─────────────────────────┐
│   Global Records        │
│   Standard object       │
└─────────────────────────┘
        │
        ▼
   ┌──────────────────────────┐
   │   Issues Management      │
   │   Record Category        │
   └──────────────────────────┘
            │
            ▼
       ┌─────────────────────────┐
       │        Issue            │
       │   Record Type (Root)    │
       └─────────────────────────┘
            │
            ├──────────▶ ┌──────────────────────────────┐
            │            │  Remediation Plan (POAM)     │
            │            │  Record Type (Child)         │
            │            └──────────────────────────────┘
            │                      │
            │                      ▼  ┌──────────────────────────┐
            │                         │   Follow-Up Event        │
            │                         │   Record Type (Child)    │
            │                         └──────────────────────────┘
            │
            ├──────────▶ ┌──────────────────────────────┐
            │            │  Risk Acceptance Request     │
            │            │  Record Type (Child)         │
            │            └──────────────────────────────┘
            │                      │
            │                      ▼  ┌──────────────────────────┐
            │                         │   Follow-Up Event        │
            │                         │   Record Type (Child)    │
            │                         └──────────────────────────┘
            │
            └──────────▶ ┌──────────────────────────────┐
                         │  Compensating Control        │
                         │  Record Type (Child)         │
                         └──────────────────────────────┘
                                   │
                                   ▼  ┌──────────────────────────┐
                                      │   Follow-Up Event        │
                                      │   Record Type (Child)    │
                                      └──────────────────────────┘
```

Object Type

The following object type has been pre-configured in this module.

Object Type	Usage
Library for Global Records	A standard library object under which all the issue records that are not specific to an individual asset are stored.

Record Categories

The following record category has been pre-configured in this module.

Record Category Type	Usage
ISM: Issues Management	A category type that includes the Issue record type and its child record types: Remediation Plan (POAM), Risk Acceptance Request, Compensating Control, and Follow-Up Event.

Record Types

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

Record Type	Usage
ISM: Issue	This is a root level record that contains all issue related information. This record can have multiple child records or record types.
RM: Remediation Plan (POAM)	This is a child level record of an issue record type. This record type allows a user to create a remediation plan to mitigate or resolve an issue.
RM: Risk Acceptance Request	This is a child level record of an issue record type. This record type allows a user to document the issue acceptance request.
RM: Compensating Control	This is a child level record of an issue record type. This record allows a user to attach a compensating control to mitigate or resolve an issue.
FE: Follow-up Event	This is a child level record of an issue record type. This record allows a user to follow up on the progress made in remediating or resolving an issue.

Home Page Tabs

The Baseline Configuration of the Issue Management 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 Issue Management module.
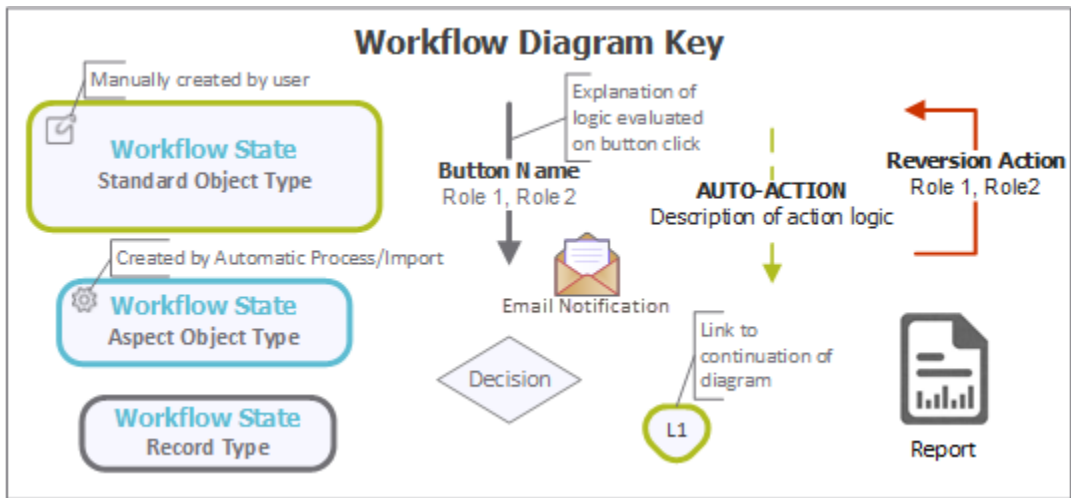
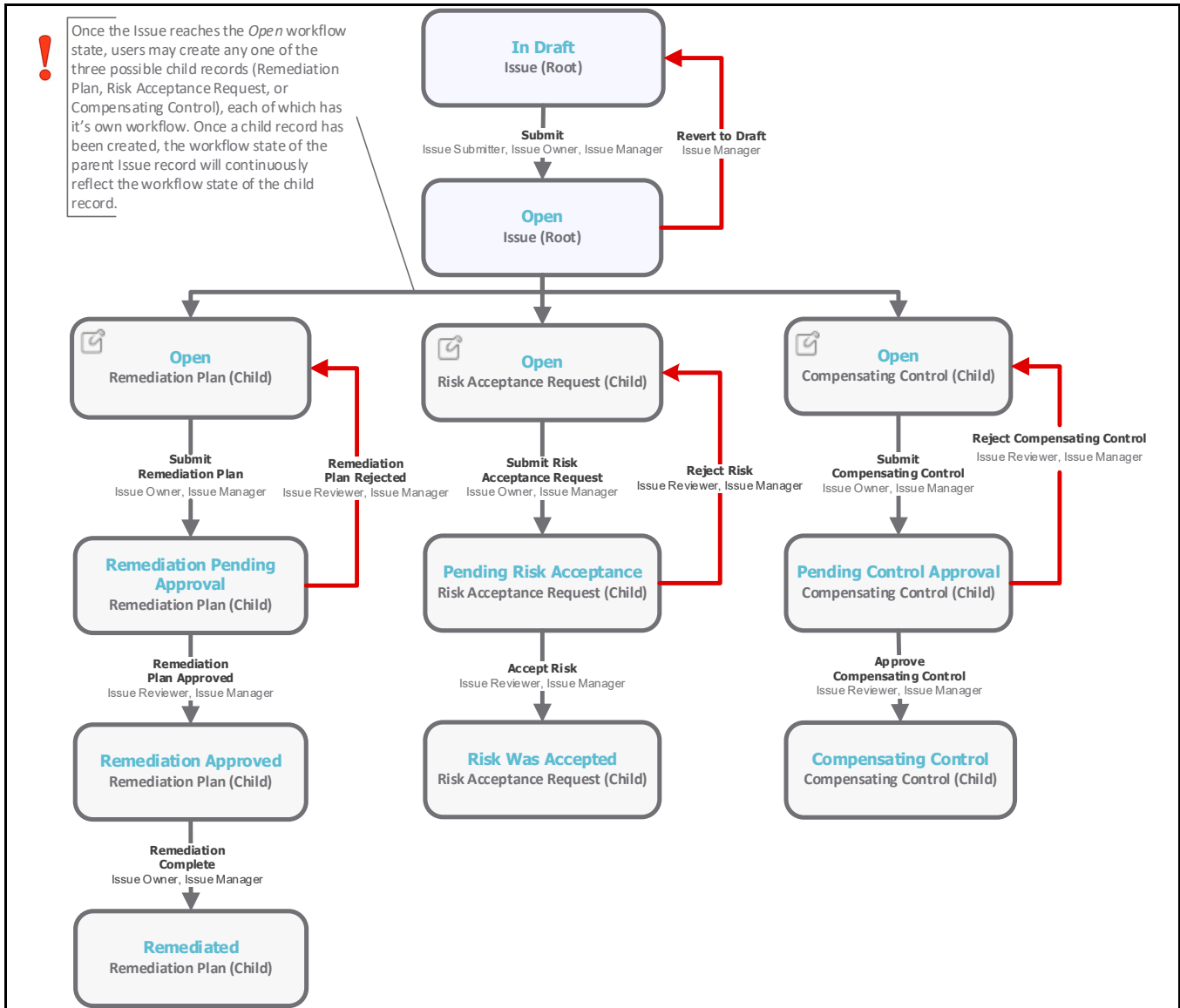| Home Page Tab	Description
ISM: Issue Management (grouping tab)	Allows quick access to the subtabs available in the Issue Management module.
ISM: Issues Management Home	This is a standard home page that lists issue records by categories, allows a user to create a new issue record, and displays various dashboard charts.
ISM: Issue Navigator	This is a record navigator that allows the users to view issues grouped by various attributes, such as workflow state, status, owner, severity, and so on.

Issue Management Workflows

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

Workflow Diagram

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 Issue Management workflow.

> **!** Once the Issue reaches the *Open* workflow state, users may create any one of the three possible child records (Remediation Plan, Risk Acceptance Request, or Compensating Control), each of which has it's own workflow. Once a child record has been created, the workflow state of the parent Issue record will continuously reflect the workflow state of the child record.

In Draft
Issue (Root)

↓ **Submit**
Issue Submitter, Issue Owner, Issue Manager

Revert to Draft
Issue Manager

Open
Issue (Root)

Open
Remediation Plan (Child)

↓ **Submit Remediation Plan**
Issue Owner, Issue Manager

Remediation Plan Rejected
Issue Reviewer, Issue Manager

Remediation Pending Approval
Remediation Plan (Child)

↓ **Remediation Plan Approved**
Issue Reviewer, Issue Manager

Remediation Approved
Remediation Plan (Child)

↓ **Remediation Complete**
Issue Owner, Issue Manager

Remediated
Remediation Plan (Child)

Open
Risk Acceptance Request (Child)

↓ **Submit Risk Acceptance Request**
Issue Owner, Issue Manager

Reject Risk
Issue Reviewer, Issue Manager

Pending Risk Acceptance
Risk Acceptance Request (Child)

↓ **Accept Risk**
Issue Reviewer, Issue Manager

Risk Was Accepted
Risk Acceptance Request (Child)

Open
Compensating Control (Child)

↓ **Submit Compensating Control**
Issue Owner, Issue Manager

Reject Compensating Control
Issue Reviewer, Issue Manager

Pending Control Approval
Compensating Control (Child)

↓ **Approve Compensating Control**
Issue Reviewer, Issue Manager

Compensating Control
Compensating Control (Child)

Workflow States

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

Workflow State	Description
GEN: Finding Draft	An issue that is created enters this state. A user can create as many issue records as needed, without submitting them.
GEN: Finding Open	An issue enters this state when an issue submitter has successfully submitted the issue record. An issue in this state signifies that no action has been taken yet. In this state, an issue owner can create a Remediation Plan, Compensating Control, or Risk Acceptance child record.
RM: Remediation Pending Approval	An issue enters this state when an issue owner has created and submitted a Remediation Plan child record for approval. In this state, an issue manager approves the remediation plan.
RM: Pending Risk Acceptance	An issue record workflow enters this state when an issue owner has created and submitted a Risk Acceptance Request child record for approval. In this state, an issue manager confirms and accepts the risk.
RM: Pending Control Approval	An issue record workflow enters this state when an issue owner has created and submitted a Compensating Control child record for approval. From within the Compensating Control child record, an issue manager confirms and approves the compensating control.
RM: Risk was Accepted	An issue record workflow enters this state when an issue manager has successfully accepted the issue in the **Pending Risk Acceptance** state of a Risk Acceptance child record.
RM: Compensating Control	An issue record workflow enters this state when an issue manager has successfully approved the proposed compensating control in the **Pending Control Approval** state of a Compensating Control child record.
RM: Remediation Approved	An issue record workflow enters this state when an issue manager has successfully approved the proposed remediation plan in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record.
RM: Remediated	An issue record workflow enters this state when an issue owner marks the remediation plan as complete in the **Remediation Approved** state of a Remediation Plan (POAM) child record.

Workflow Roles

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

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

Role	Account ID	Description
ISM: Issue Submitter	r_issue_submitter	This role is assigned to a user who creates and submits issues. This role allows a user to modify only the self-submitted issues.
ISM: Issue Owner	r_issue_owner	This role is assigned to a user that has the responsibility to resolve issues and therefore has the modify-level access to the Issue Management including child records. A user with this role can create and submit risk acceptance request, remediation plan, and compensating control.
ISM: Issue Reviewer	r_issue_reviewer	This role is assigned to a user that has the responsibility to approve or reject a risk, remediation plan, or compensating control. This role has read-only access to the Issue Management.
ISM: Issue Manager	r_issue_manager	This role is assigned to a user that needs to manage issues in all the phases of issue management and therefore has the full set of permissions to the entire Issue Management module, including child records. Typically, this role allows a user to perform all the tasks in each and every state of a parent and child record workflow.

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.

Workflow Buttons

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

| Button	Available to	Notification	Description
RM: Submit Remediation Plan	Issue Owner and Issue Manager	No	Available in the **Open** state when creating a Remediation Plan (POAM) child record. Clicking this button moves the parent and child record workflow to the **Remediation Pending Approval** state.

Button	Available to	Notification	Description
RM: Remediation Plan Approved	Issue Reviewer and Issue Manager	No	Available in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record to approve a remediation plan. Clicking this button moves the parent and child record workflow to the **Remediation Approved** state.
RM: Remediation Plan Rejected	Issue Reviewer and Issue Manager	No	Available in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record to reject a remediation plan. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Remediation Complete	Issue Owner and Issue Manager	No	Available in the **Remediation Approved** state of a Remediation Plan (POAM) child record to mark the risk as remediation completed. Clicking this button moves the parent and child record workflow to the **Remediated** state.
RM: Submit Risk Acceptance Request	Issue Owner and Issue Manager	No	Available in the **Open** state when creating a Risk Acceptance Request child record. Clicking this button moves the parent and child record workflow to the **Pending Risk Acceptance** state.
RM: Accept Risk	Issue Reviewer and Issue Manager	No	Available in the **Pending Acceptance Request** state of a Risk Acceptance Request child record to approve the risk. Clicking this button moves the parent and child record workflow to the **Risk was Accepted** state.
RM: Reject Risk	Issue Reviewer and Issue Manager	No	Available in the **Pending Acceptance Request** state of a Risk Acceptance Request child record to reject the risk. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Submit Compensating Control	Issue Owner and Issue Manager	No	Available in the **Open** state when creating a Compensating Control child record. Clicking this button moves the parent and child record workflow to the **Pending Control Approval** state.
RM: Approve Compensating Control	Issue Reviewer and Issue Manager	No	Available in the **Pending Control Approval** state of a Compensating Control child record to approve the compensating control. Clicking this button moves the parent and child record workflow to the **Compensating Control** state.

Button	Available to	Notification	Description
RM: Reject Compensating Control	Issue Reviewer and Issue Manager	No	Available in the **Pending Control Approval** state of a Compensating Control child record to reject the compensating control. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Revert to Open	Issue Manager	No	Available in all the states of a parent and child record except the **Open** and **Draft** states. Clicking this button moves the parent and child record workflow to the **Open** state.
ISM: Submit	Issue Submitter, Issue Owner, and Issue Manager	No	Available in the **Draft** state to submit the issue record. Clicking this button moves the issue record to the **Open** state.
ISM: Revert to Draft	Issue Manager	No	Available in the **Open** state. Clicking this button moves an issue record to the **Draft** state.

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 follow image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.
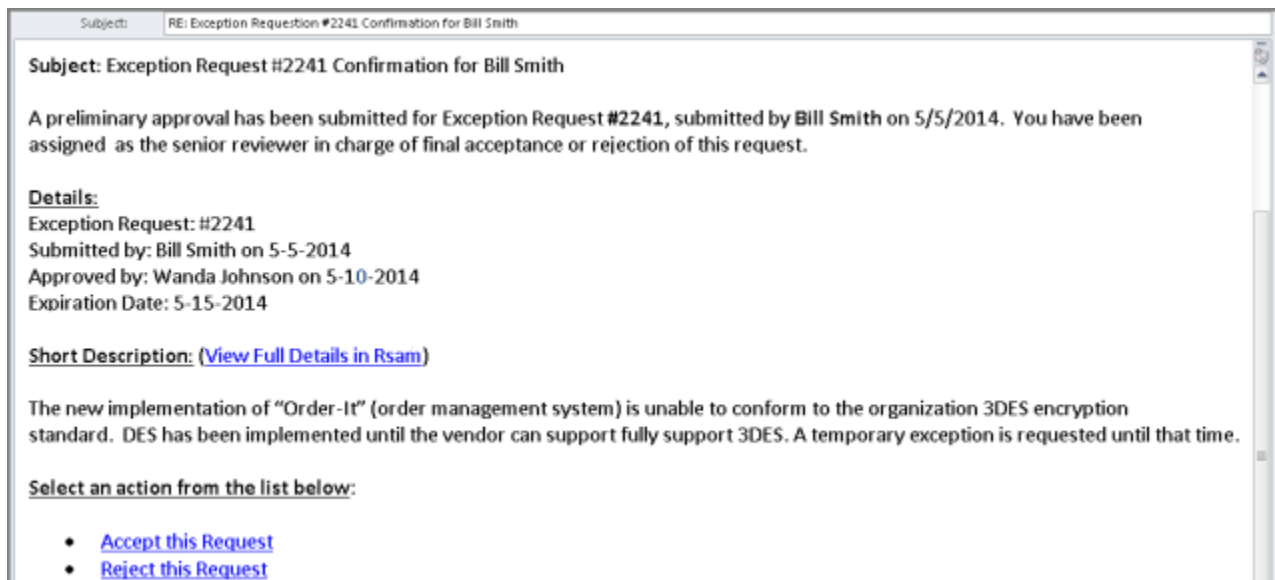
Appendix 2: User Assignment Options

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.
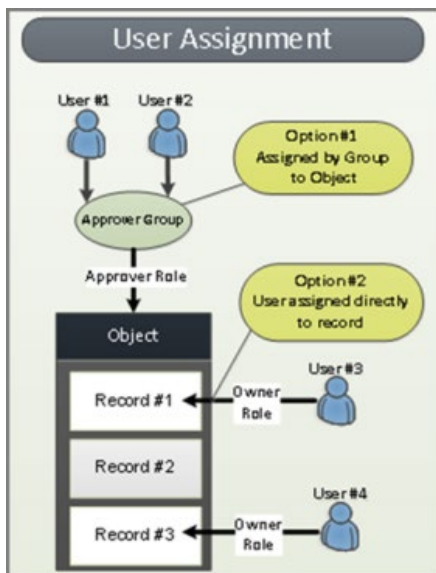
Appendix 3: Rsam Documentation

Issue Management Module Tutorial

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

Online Help

This document provides an overview of the Issue Management 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. 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.