Issue Management Module

Step-by-Step Tutorial

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Contents

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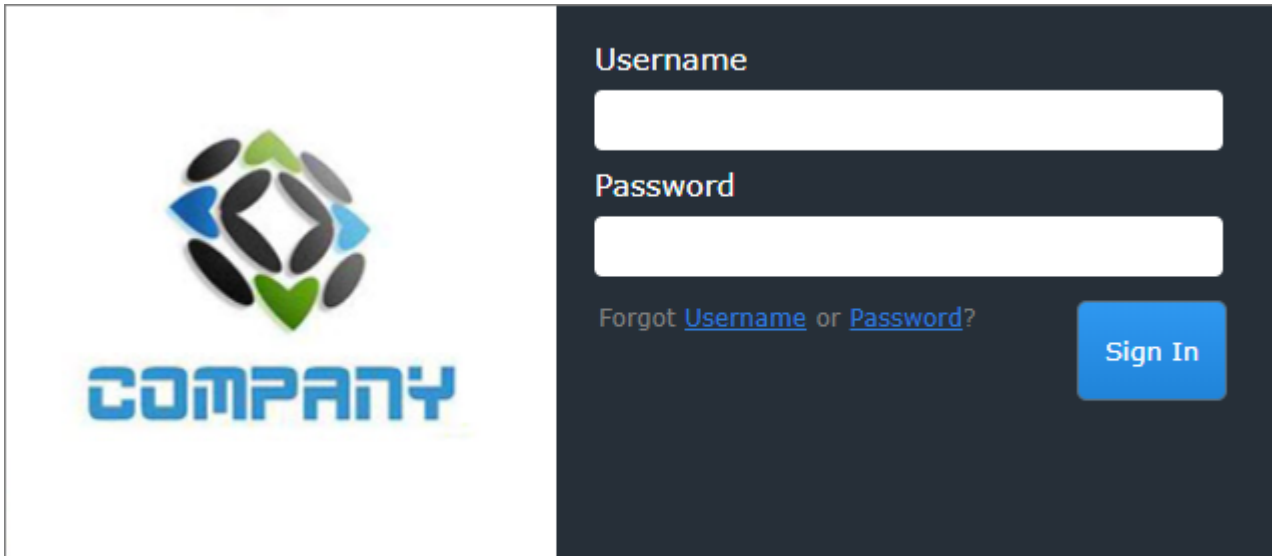
Like most elements in Rsam, the Sign-In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied.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

Rsam Issue Management

Overview

The Rsam Issue Management module helps organizations manage a wide spectrum of enterprise issues from a variety of sources, such as assessments, audits, questionnaires, employee reports, and others. The Issue Management module also allows organizations to effectively prioritize and execute corrective action plans for issues with an automated workflow.

The Rsam Issue Management module provides the following capabilities and benefits:
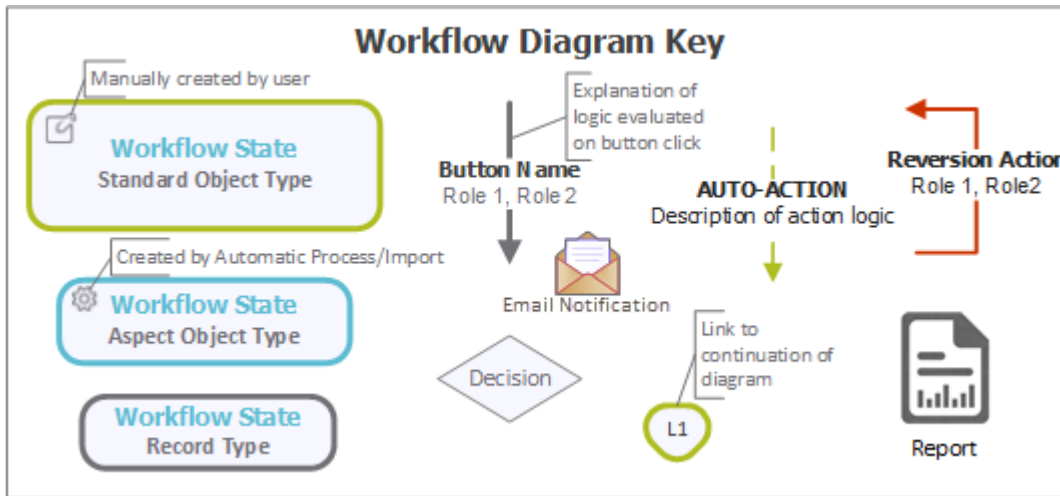
- Track individuals involved, and associate related risks and questionnaire findings.

- Role-based access control and LDAP authentication.

- Integrated and dynamic workflow.

- Built-in and customizable dashboards.

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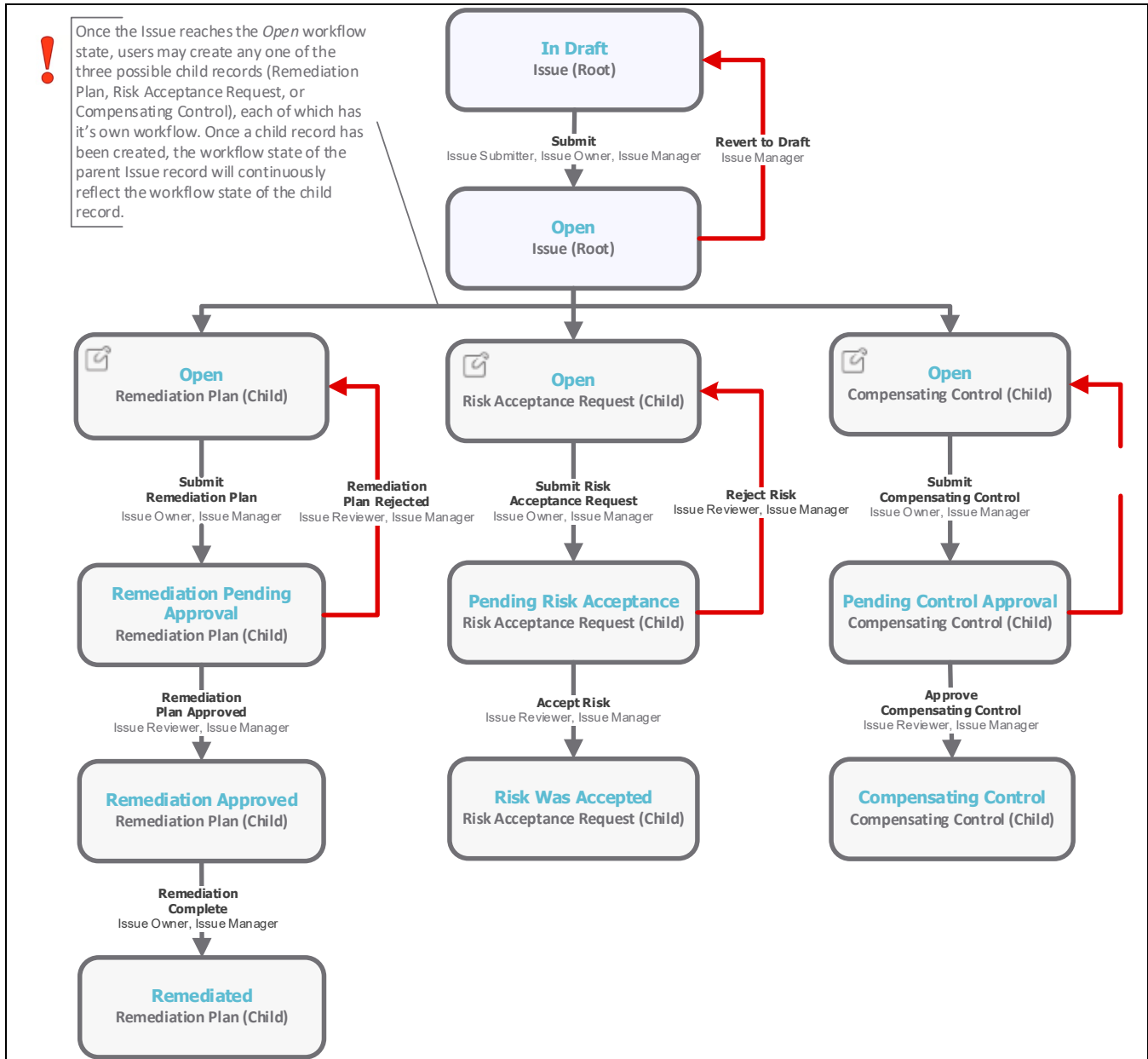
Issue Management Workflow

This section covers the workflow diagram associated with the out-of-the-box Issue Management 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 Issue Management workflow.

Note: You may create as many variations to this pre-defined workflow configuration as desired to lessen or increase the number of steps and 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.

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

The Rsam sandbox for Issue Management comes with pre-populated sample accounts that include the following:

Account ID	User	Business Responsibilities
r_issue_manager	Issue Manager	This user is a power user, having full set of permissions to manage issues.
r_issue_reviewer	Issue Reviewer	This user reviews the issue and remediation plan, and then approves the remediation plan.
r_issue_owner	Issue Owner	This user creates the issue, then determines and creates a remediation method, and then submits the remediation method for approval.

The default password for all accounts in the Rsam Issue Management sandbox is *password*. 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 an Issue	Issue Manager	In this step, an issue is created.
Step 2: Creating a Remediation Plan	Issue Owner	In this step, a remediation method is determined and a remediation plan is created, and then it is submitted for review and approval.
Step 3: Reviewing and Approving the Remediation Plan	Issue Reviewer	In this step, the remediation plan is reviewed and approved.
Step 4: Flagging Completion of the Remediation Plan	Issue Owner	In this step, the approved remediation plan is flagged as completed.

Step-by-Step Procedure

This section contains steps we will follow in this tutorial. The path followed in this tutorial walks you through the steps to remediate an issue. In this tutorial, you will learn how to create an issue, and how to create a remediation plan to mitigate the issue. This path was chosen as is a common path to follow, though you are welcome to explore the other paths as well.

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:

- Practicing each step requires a different user account as mentioned in the High-Level Steps section. However, you may execute all the steps with the Issue Manager user credentials in one session if desired.

- Workflow state transitions involve sending email notifications to users in the workflow. If you want to ensure that your workflow users receive the notifications while practicing the steps, please see the Setting up Email Addresses section later in this tutorial.
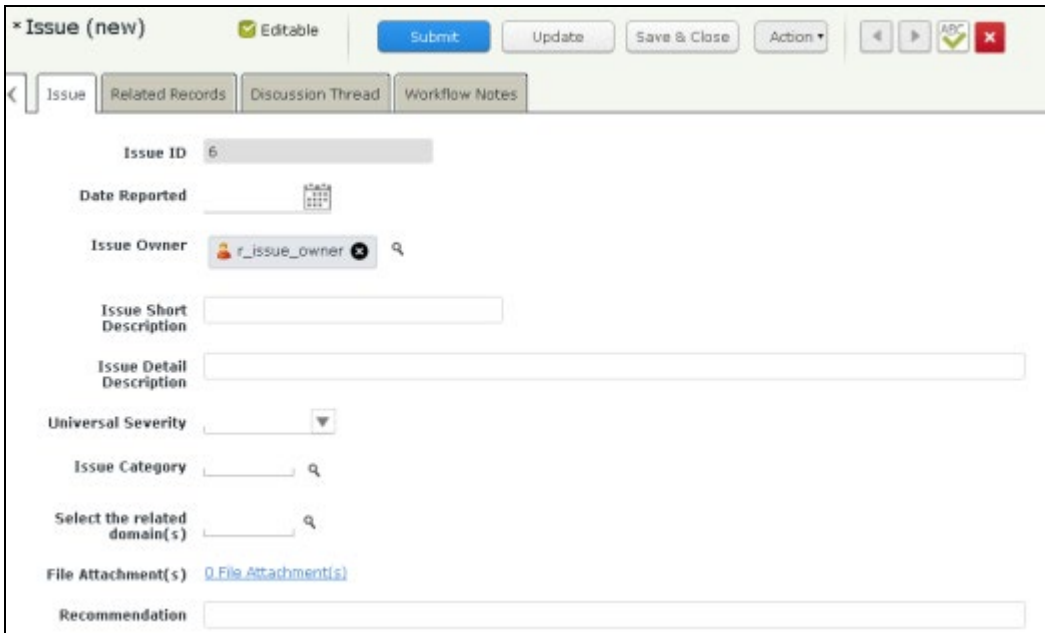
Step 1: Creating an Issue

In this step, you will log in to Rsam as the Issue Owner user to create an issue.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Issue Management module.

2. Sign in as the *Issue Owner* user. Enter **Username** as *r_issue_owner* and **Password** as *password*.

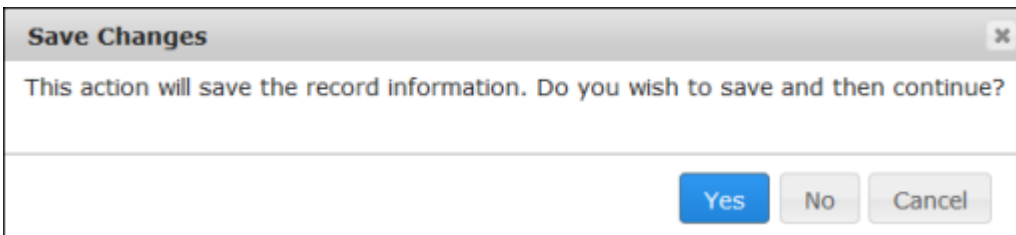3. In the left navigation panel on the left, navigate to **Start** > **Create a new Issue**
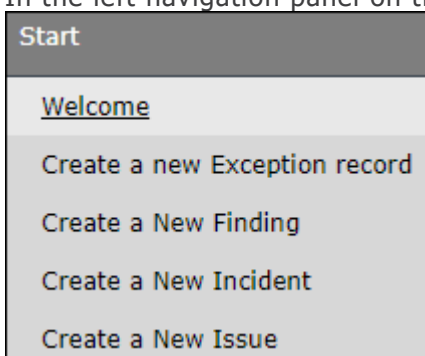
The **Issue (new)** record opens with the **Issue** tab selected.

4. On the **Issue** tab, at a minimum complete all the necessary attributes.

5. Click the **Submit** button from the top panel on the record.

6. In the **Save Changes** dialog, click **Yes**.


Step 2: Creating a Remediation Plan

In this step, by staying logged in to Rsam as the *Issue Owner* user, you will determine a remediation method for mitigating the issue. As part of this tutorial, you will create and submit a remediation plan for review to the *Issue Reviewer* user.

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

1. In the navigation panel on the left, navigate to **Issue Management** > **Issue Navigator**.

2. Locate the issue you have created in Step 1: Create an Issue.

3. Select the issue record.

4. Click **Add** and select **Remediation Plan (POAM)** from the options that appear.
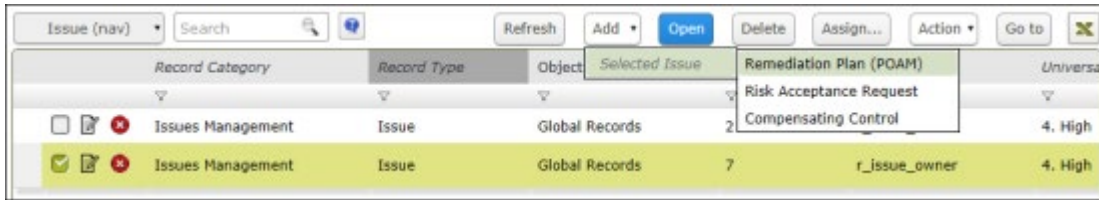
The **Remediation Plan (POAM) (new)** record opens with the **Remediation Plan (POAM)** tab selected.

5. Complete all the necessary attributes on the **Remediation Plan (POAM)** and **Supplemental Data** tabs.
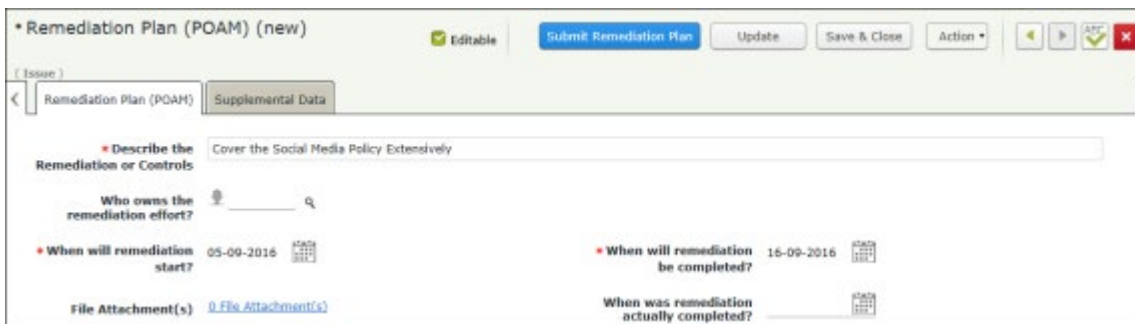
6. Click **Submit Remediation Plan**.

The issue now has the remediation plan child record. Both the issue and the remediation plan record workflows enter the **Remediation Pending Approval** state.

7. Hover the cursor over the username at the right-hand corner and select **Logout** from the options that appear.

You have been successfully logged out from the Rsam Issue Management module.

Step 3: Reviewing and Approving the Remediation Plan

In this step, you will log in to Rsam as the *Issue Reviewer* user to review the issue details and the remediation plan. As part of the path taken by this tutorial, the *Issue Reviewer* user will approve the remediation plan.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Issue Management module.

2. Sign in as the *Issue Reviewer* user. Enter **Username** as *r_issue_reviewer* and **Password** as *password*.

3. In the navigation panel on the left, navigate to **Issue Management** > **Issue Navigator**.

4. Locate the issue for which the *Issue Owner* user had created a remediation plan in Step 2: Creating a Remediation Plan.

5. Click **+** in the issue record row to find the remediation plan you want to approve.

6. Select the remediation plan record.

7. Click **Action** and select **Remediation Plan Approved** from the options that appear.

   The issue record and the remediation plan child record enter the **Remediation Approved** workflow state.
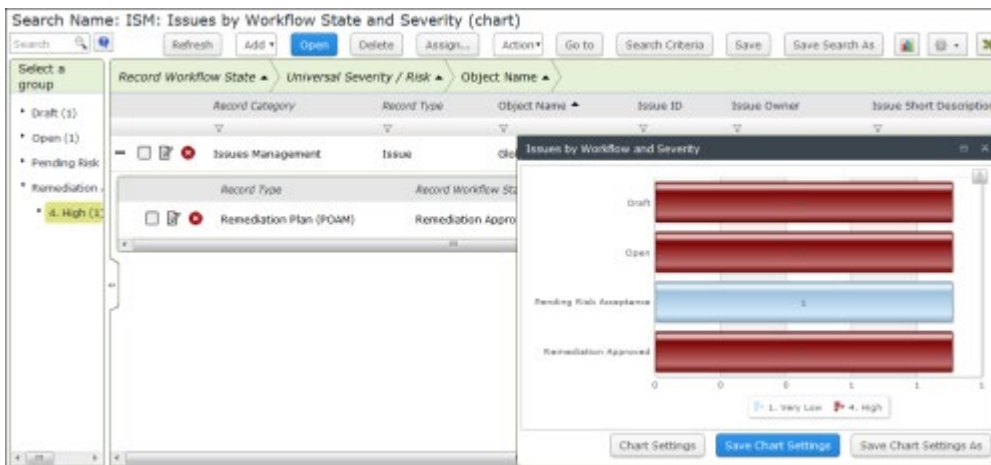
8. Hover the cursor over the username at the right-hand corner and select **Logout** from the options that appear.

   You have been successfully logged out from the Rsam Issue Management module.

# Step 4: Flagging Completion of the Remediation Plan

In this step, you will log in to Rsam as the *Issue Owner* user to flag the completion of remediation plan which was approved by the *Issue Manager* user.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Issue Management module.

2. Sign in as the *Issue Owner* user. Enter **Username** as *r_issue_owner* and Password as *password*.

3. In the navigation panel on the left, navigate to **Issue Management** > **Issues Management Home**

   The **Issues Management Home** containing self-registration links and dashboards appears.

4. Under **Issues by Workflow and Severity** dashboard, click on the data bar representing **Remediation Approved**.

   The **ISM: Issues by Workflow State and Severity chart** opens with issues in the **Remediation Approved** state.

5. Locate the issue that the *Issue Manager* user approved the remediation plan in Step 3: Reviewing and Approving the Remediation Plan.

6. Click **+** in the issue record row to find the remediation plan you want to flag as complete.

7. Select the remediation plan record.

8. Click **Action** and select **Remediation Complete** from the options that appear.
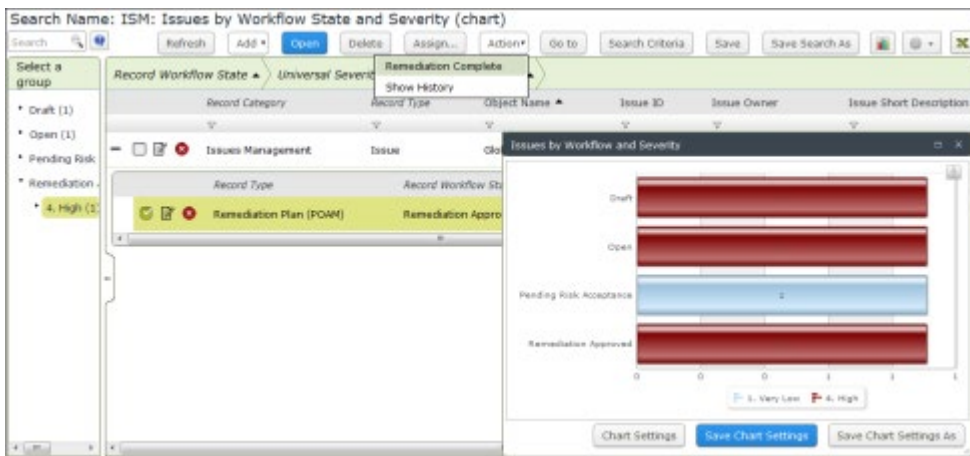
The issue record and the remediation plan child record enter the **Remediated** workflow state.

9. Hover the cursor over the username at the right-hand corner and select **Logout** from the options that appear.

You have been successfully logged out from the Rsam Issue Management module.
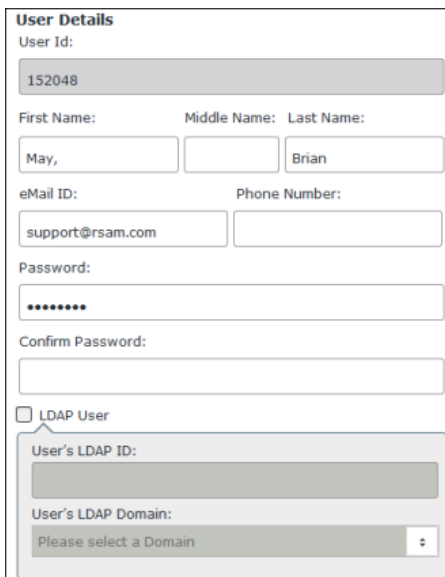
Appendix 1: Email Notifications and Offline Decision Making

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 Issue Management module.

2. Sign in as *r_admin* user. Enter **Username** as *r_admin* and **Password** as *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.

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.
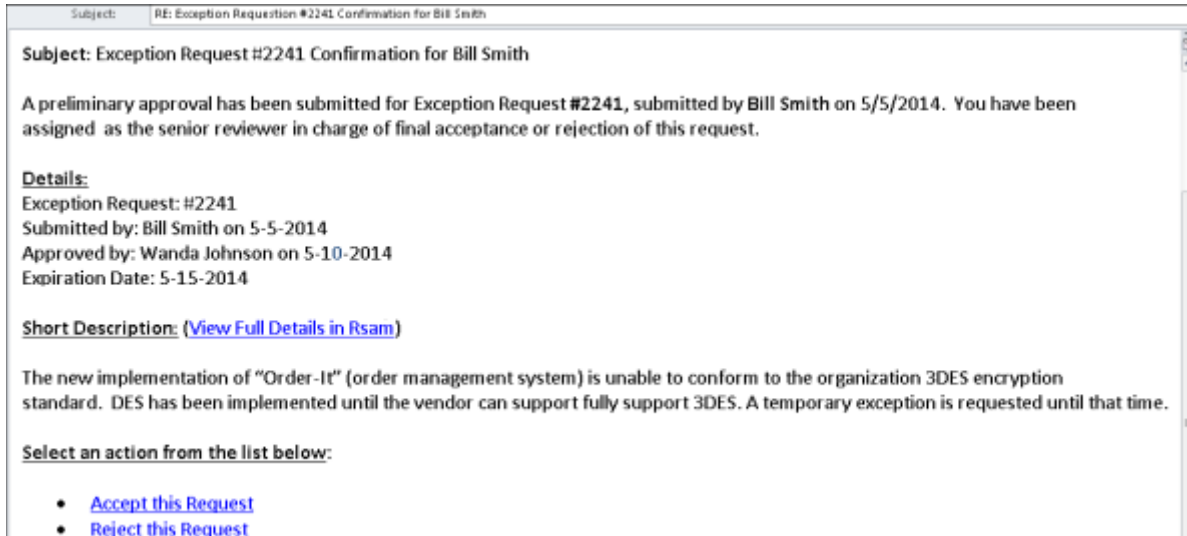
Appendix 2: Rsam Documentation

Issue Management Module Baseline Configuration Guide

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

Online Help

This tutorial provides the step-by-step instructions on the Rsam Issue Management 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.