



ITRMBond - NIST Cybersecurity Framework

Baseline Configuration Guide

Rsam Version: 10 | Document Version: 02.00.03

October 2020

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Contents

About Rsam Baseline Configuration Guides	3
NCSF Baseline Configuration Overview	4
Welcome Page	5
Navigating to Tasks and Dashboards	5
NCSF Assessment Structure	7
Object Types	8
Record Types for NCSF	8
Home Page Tabs	10
NCSF Assessment Workflows	11
Workflow Roles	11
NCSF Profile Assessment Workflow	12
NCSF Profile Assessment Workflow Diagram	12
NCSF Profile Assessment Workflow States	13
NCSF Profile Assessment Workflow Buttons	13
Control Requirements Workflow	14
Control Requirements Workflow Diagram	14
Control Requirements Workflow States	14
Control Requirements Workflow Buttons	15
Action Plan Workflow	16
Action Plan Workflow Diagram	16
Action Plan Workflow Buttons	16
Action Plan Workflow States	17
Tier Attestation Workflow	17
Tier Attestation Workflow Diagram	17
Tier Attestation Workflow Buttons	18
Tier Attestation Workflow States	18
Appendix 1: Rsam Documentation	19
NIST Cybersecurity Framework Tutorial	19
Online Help	19

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.

NCSF Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam NIST Cybersecurity Framework (NCSF) Assessment module. The NCSF Assessment module helps customers create and defines scopes for Cybersecurity profiles, assess current and target implementation tiers for each Subcategory in the framework, and manage and report on actions taken to reach target tiers. Knowing the baseline configurations used in the NCSF Assessment module will be helpful when you want to customize or update the NCSF Assessment module to cater to your specific business requirements.

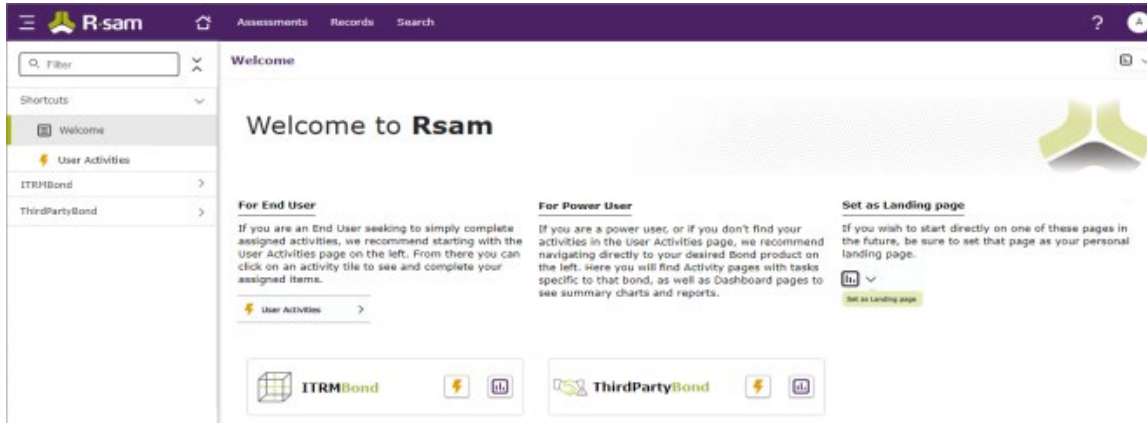
The following is a list of elements that are configured in the NCSF Assessment module:

- Structures & Elements
 - Object Types
 - Record Types and Categories
 - Attributes
- Home Page Tabs
- NCSF Workflows
 - Workflow Roles
 - Workflow States
 - Workflow Buttons
- Import Maps

Having information on the preceding elements will provide a baseline understanding before you use the NCSF *Step-by-Step Tutorial* or begin to configure the module to meet your unique requirements.


Welcome Page


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

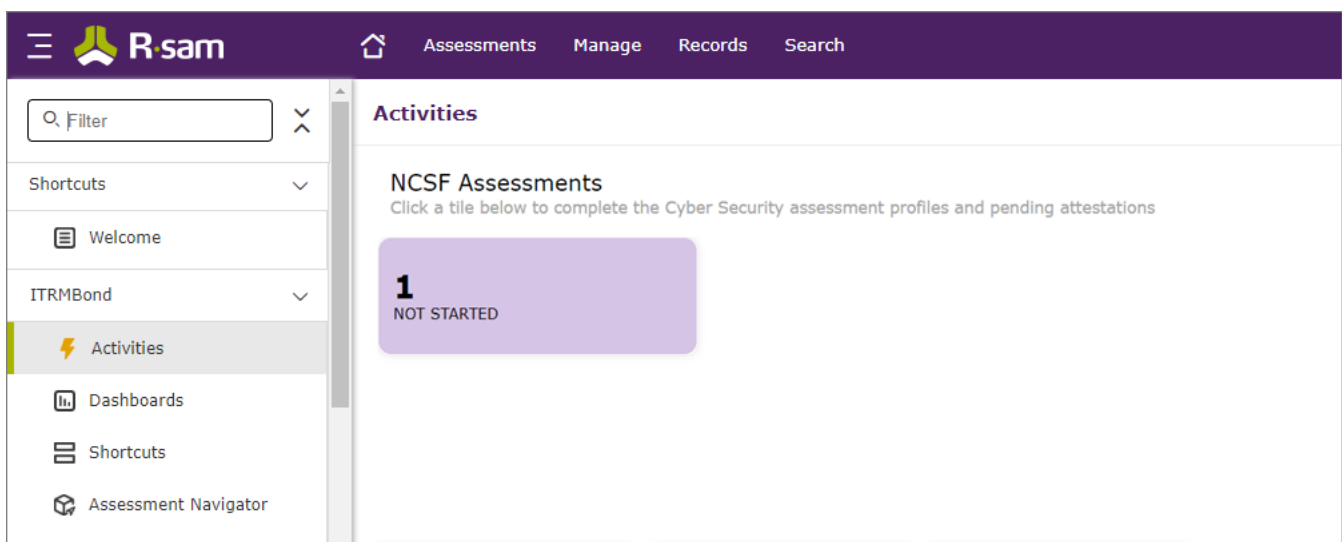


Note: The view of the Welcome Page may be different from the one shown in the image, based on the role of the logged in user.

Navigating to Tasks and Dashboards

If you are an end user and have logged in to complete assigned tasks, you can click  **User Activities** > available on the left navigation bar to view the most frequently used Activity Centers *across all bonds assigned for your role*. You can click the relevant activity tile to navigate to your tasks.


If you do not find the required activity tiles, you can either click  corresponding to a bond on the Welcome Page or navigate directly to the bonds from the left navigation bar and select the **Activities** tab to view all related Activity Centers.

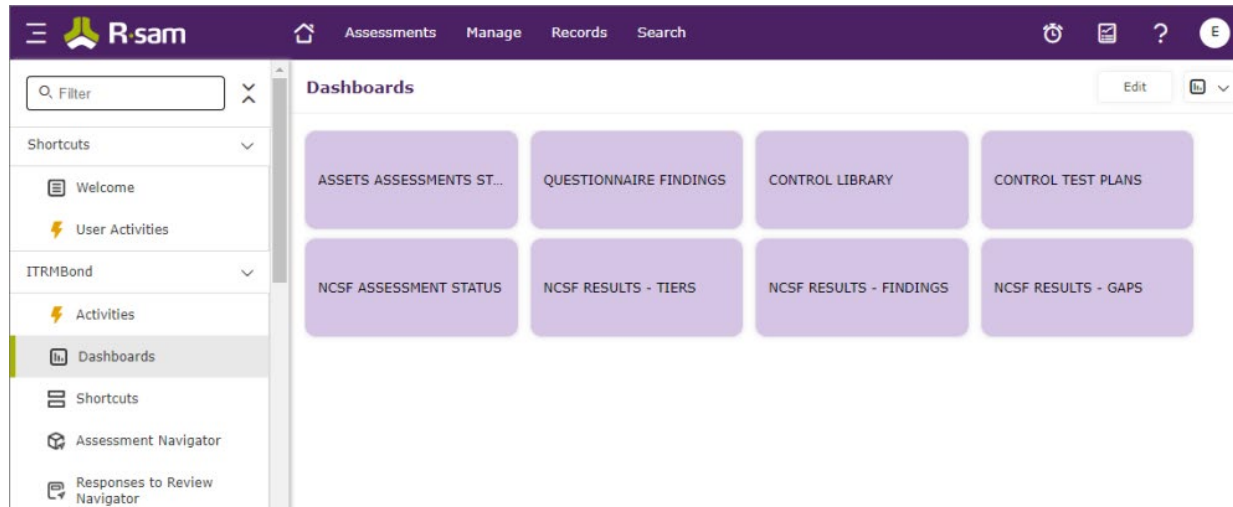


Welcome Page

Click an Activity Center tile to view all related tasks.

Additionally, you can perform the following navigation actions:

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



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

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

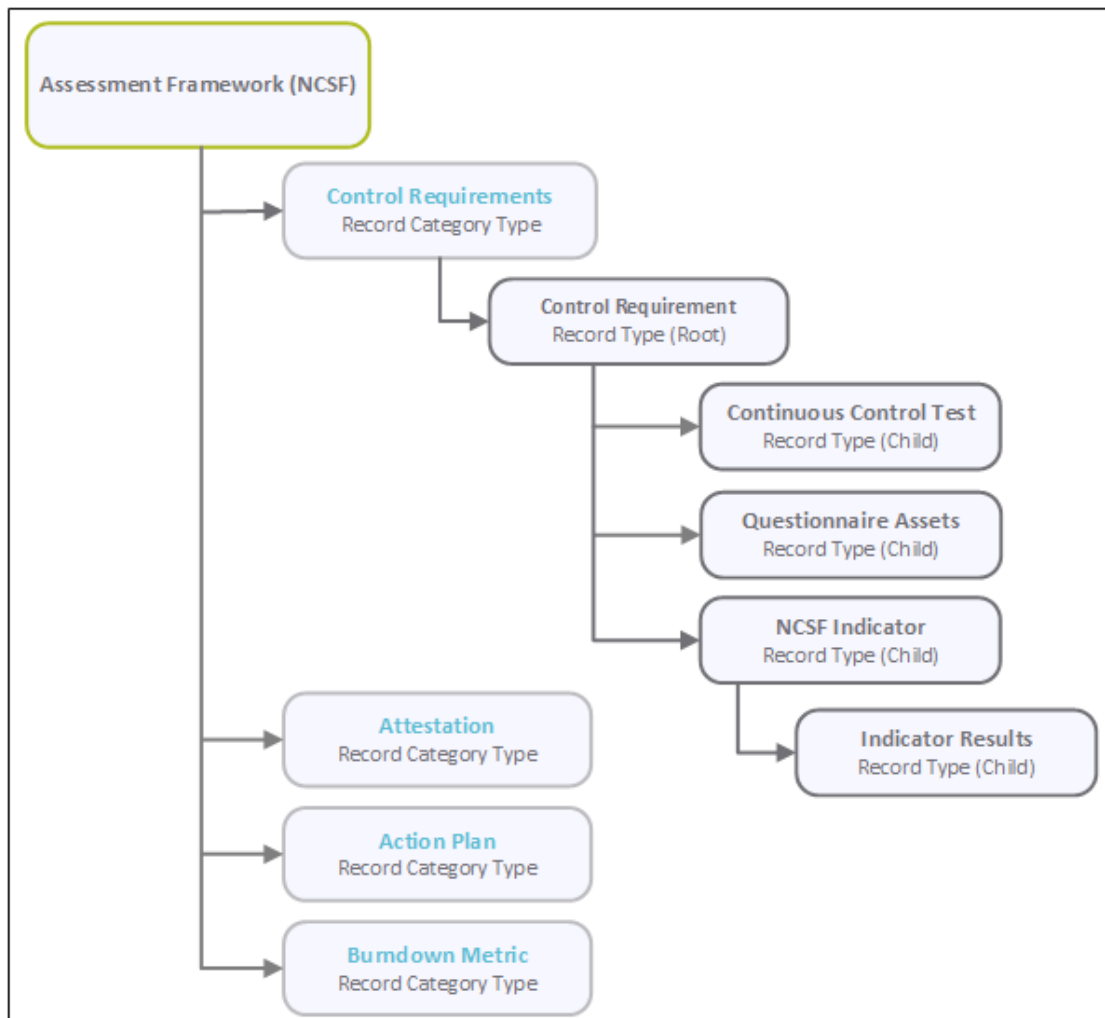
For information on using the home page features and configuring Activity Centers, see the *Rsam Administrator* and *End-User Help*.

NCSF Assessment Structure

The NCSF Profile Assessment Object defines the subjects (for example, lines of business, departments, etc.) and scope (for example, related assets, related subcategories of the Cybersecurity core to be assessed, etc.) of an NCSF assessment. Depending on the assessment scoping, the assessment will include the required number of Control Requirements records, each representing a particular subcategory in the framework core. Control Requirements records are where most of the assessment work is performed as Assessors analyse information to determine current and target implementation tiers for each subcategory.

The primary Object Type in the NCSF module is *IAF: Assessment Framework (NCSF)*. This object defines the overall scope and tracks the overall workflow for an NCSF Profile Assessment. It also acts as a container for the individual Control Requirements that will be assessed, as well as any Action Plans, Attestations, or other supporting records types that might be generated during the assessment.

The following image shows the structure of the NCSF Assessment module.



Note: Individual Control Requirement records depicted in the preceding image are generated by copying information from Rsam control library data structure. The **Library Control** record structure is a core Rsam configuration, and while it is referenced in this document, it is not explicitly covered here.

Object Types

The following table describes the Object types that are configured for the NCSF Assessment module.

Object Type	Description
IAF: Assessment Framework (NCSF)	The Object type for all NCSF Profile Assessment Objects and the standard object for all NCSF Record Categories and Types.
Library for Assessment Questions	Standard library object under which all Assessment Questions are stored.
Library for Definitions	Standard library object under which all NCSF Library Controls and Library Control Tests are stored. Note: Though the Continuous Controls Testing module is seamlessly integrated with the NCSF Assessments module, it is licensed separately.
Indicator Library	Standard Rsam library object under which all the Indicators are stored. Note: Though the Indicators module is seamlessly integrated with the NCSF Assessments module, it is licensed separately.

Record Types for NCSF

All Record Types configured for the NCSF Assessment module are mapped to the **IAF: Control Requirements** Record Category.

The following table describes the Record Types configured in the NCSF Assessment module.

Record Type	Description
IAF: Control Requirement	The root record containing all the NCSF subcategories or Control Requirements records to be assessed. This record type contains all the elements required for reviewing and assessing an NCSF Control Requirement.
IAF: Control Requirement - Questionnaire Assessment Results	Shows the Questionnaire summary results from the assessments conducted for the associated assets. Responses to questionnaires associated with NCSF control requirements are shown corresponding to each asset. Only those questions that are associated with the control requirements for related assets are shown. These results help to assess the tier assignments for the related control requirements.
IAF: Control Requirement - Questionnaire Assessment Schedule	Shows the schedule details of assessments for the related objects. The results of Assessments are summarized each time the Recalculate Questionnaire Result Summary button is clicked, and a new Assessment Schedule record is created to contain these results. The most current count is labelled as the Latest Assessment and all prior assessment schedules are labelled as Historical Assessments .
IAF: Control Requirement - Questionnaire Assets	Holds the count of the number of findings where gaps exist, do not exist, or where the questions have not been answered.

Record Type	Description
IAF: Continuous Control Test	<p>Records containing details of the Control Tests associated with the control requirement records. These provide details on the associated test plans, testing results, remediation details, and test results history.</p> <p>Note: Though the Continuous Controls Testing module is seamlessly integrated with the NCSF Assessments module, it is licensed separately.</p>
IAF: Control Requirement - Indicator Results	<p>These records provide a snapshot of the results generated when the indicator tests are run. These results can then be used in combination with other information, for assessing the tier levels for each control requirement. In NCSF, the indicator tests are run at the control requirement level.</p> <p>Note: Though the Indicators module is seamlessly integrated with the NCSF Assessments module, it is licensed separately.</p>
IAF: Control Requirement - Indicator	<p>This root record holds all the Indicator records.</p>
IAF: Attestation	<p>Provides the final Tier assessment of the overall Profile Assessment. An NCSF Attester is assigned to perform the final attestation of the results. The record is created when all in-scope control requirements are in the Finalized state.</p>
IAF: Action Plan	<p>Holds all the action plan records to address gaps found during assessment.</p>

Home Page Tabs

The baseline configuration of the NCSF Assessments module contains Home Page tabs for various roles. All the home page tabs are organized under the **ITRMBond** grouping tab. The following table describes the Home Page tabs available for the NCSF Assessments.

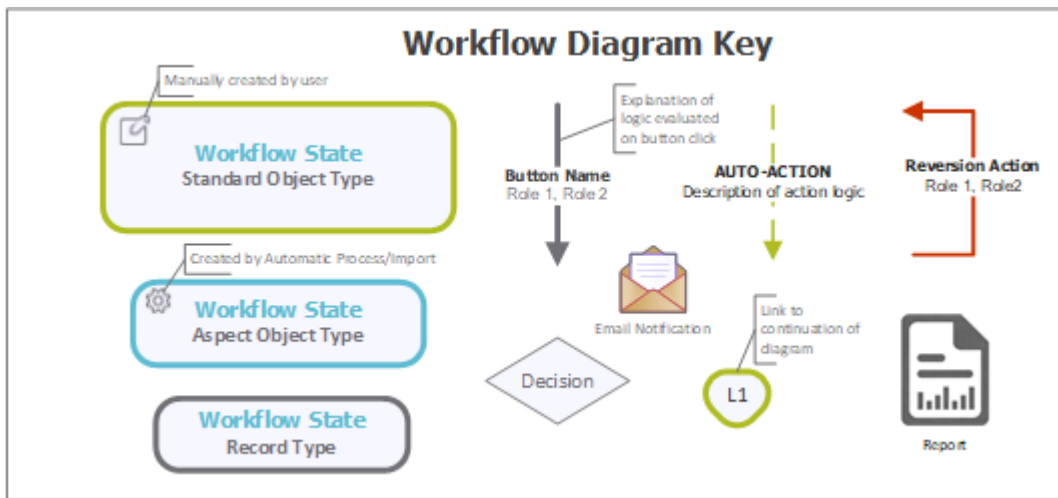
Home Page Tab	Description
ITB: Activities	Provides access to all the task-based activity center tiles for the NCSF Assessments. Users can navigate to tasks from the relevant tiles.
ITB: Dashboards	Provides access to all the activity center tiles containing chart widgets for the NCSF Assessments.
ITB: Shortcuts	Provides quick access to the links to various record categories for the NCSF Assessments.
ITB: Assessment Navigator	Provides quick access to all NCSF Profile assessment objects and all related records. Users can navigate to the Profile details and control requirement records from this page.
IAF: NCSF Navigators	Provides access to all items related to NCSF Profile Assessments, such as Control Requirements, Action Plans, Attestations, and Indicators.
IAF: NCSF Library - Navigators	Displays all the NCSF control requirements, assessment questionnaires, control tests, and indicators from the libraries in the system.

NCSF Assessment Workflows

This section provides details on the following roles and baseline workflows for the NCSF Assessment module:

- [Workflow Roles](#)
- [NCSF Profile Assessment Workflow](#)
- [Control Requirements Workflow](#)
- [Action Plan Workflow](#)
- [Tier Attestation Workflow](#)
- [Indicator Workflow States](#)

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



Workflow Roles

The following table provides high-level descriptions of the activities performed by each of the roles included in the NCSF Assessments module workflows.

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

User ID	Workflow Role	Role Description
r_ncsf_manager	NCSF Manager	Has overall administrative access to all NCSF Profile Assessments and Control Requirements in the system. User with this role is responsible for creating NCSF Profile Assessments and assigning the primary NCSF Owner and NCSF Assessor roles for assessments.
r_ncsf_owner	NCSF Owner	Responsible for defining the NCSF Profile Assessments to generate the required Control Requirements.

User ID	Workflow Role	Role Description
r_ncsf_reviewer	NCSF Reviewer	Responsible for reviewing the NCSF Profile Assessments and Control Requirements assigned.
r_ncsf_assessor	NCSF Assessor	Responsible for assessing the Control Requirements assigned and generating the attestation record and to assign attesters, if required.
r_ncsf_attester	NCSF Attester	Responsible for finalizing an Attestation record with a final tier assignment for the overall NCSF Profile Assessment.

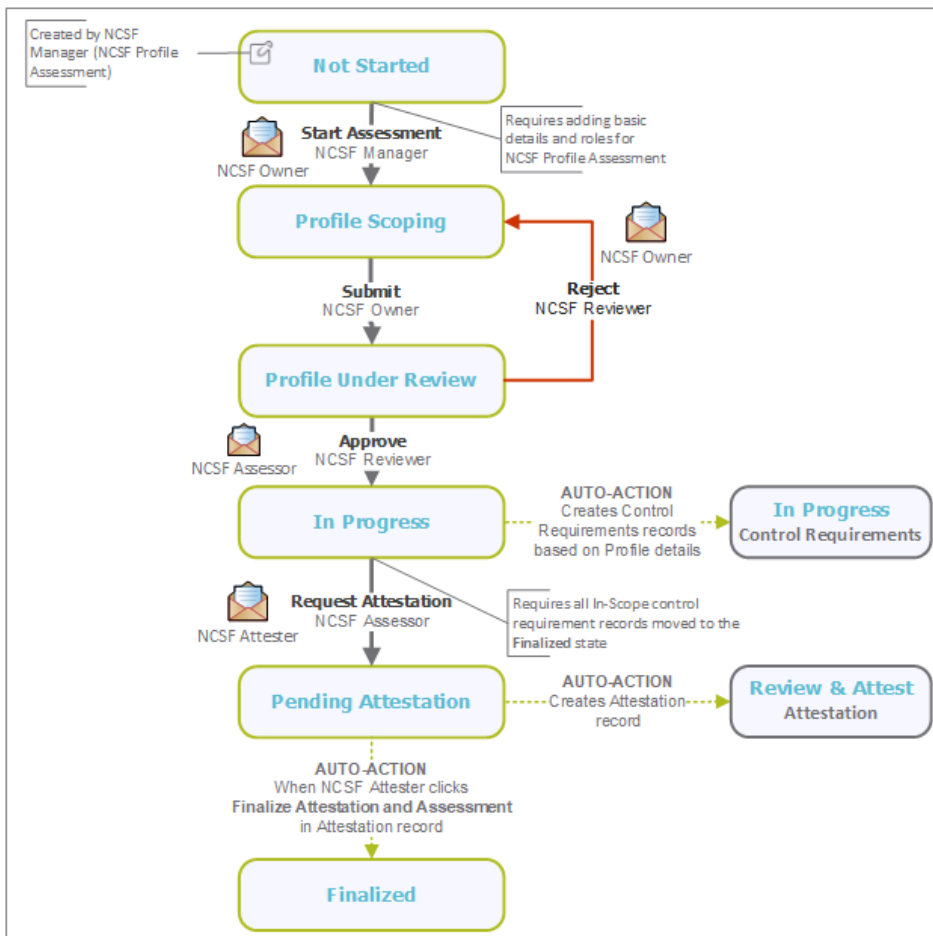
In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules.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

NCSF Profile Assessment Workflow

This section covers the Workflow diagram, states, and associated buttons for the NCSF Profile Assessment.

NCSF Profile Assessment Workflow Diagram

The following image shows the NCSF Profile Assessment workflow.



NCSF Profile Assessment Workflow States

The following table describes the workflow states associated with the NCSF Profile Assessment workflow.

Workflow State	Description
IAF: Profile - 1. Not Started (NCSF)	When an NCSF Manager creates an NCSF Profile Assessment Object, the assessment starts in this state automatically. In this state, the NCSF Manager can add basic details for the profile.
IAF: Profile - 2. Profile Scoping (NCSF)	After adding an NCSF Profile Assessment, when NCSF Manager clicks the Start Assessment button, it moves to the Profile Scoping state. In this state, the NCSF Owner must validate the details provided by the NCSF Manager and provide the scope details, tier assignments, and assets association.
IAF: Profile - 3. Profile Under Review (NCSF)	When NCSF Profile Assessment details are submitted, the profile moves to this state. In this state, the NCSF Reviewer must review the details and Approve or Reject them before moving to the next state.
IAF: Profile - 4. In Progress (NCSF)	When the NCSF Profile Assessment details are approved, it moves to this state. At this point in the process, Control Requirement records are automatically generated based on the list of NCSF library records specified in the Profile. In this state, the NCSF Owner / Assessor / Reviewer must complete the Control Requirements to move the Profile Assessment to the next state.
IAF: Profile - 5. Pending Attestation (NCSF)	In this state, an Attestation record is generated by the Assessor, Reviewer, or Owner. An Attester, assigned by the Owner or Assessor or at the profile level, provides a Final Tier assignment for the overall NCSF Profile Assessment in the record and completes the attestation. This updates the NCSF Profile Assessment with the current final tier assessment. Additional Attestation records can be added but the last added record will provide the Final Attestation value.
IAF: Profile - 6. Finalized (NCSF)	When the Attestation record moves to the Finalized state and an NCSF Attester clicks the Finalize Attestation and Assessment button in the attestation record, the profile moves to this state automatically. To finalize a profile assessment an attestation record must be created.

NCSF Profile Assessment Workflow Buttons

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

Button	Available to	Notification	Description
Start Assessment	NCSF Manager	Yes	To move the NCSF Profile Assessment to the Profile Scoping state to collect the scoping information.
Submit	NCSF Owner	No	To submit the NCSF Profile Assessment scoping details to the NCSF Reviewer for review and move it to the Profile Under Review state.
Reject	NCSF Reviewer	Yes	Moves the profile back to the Profile Scoping state for the NCSF Owner to add / validate the scoping information.

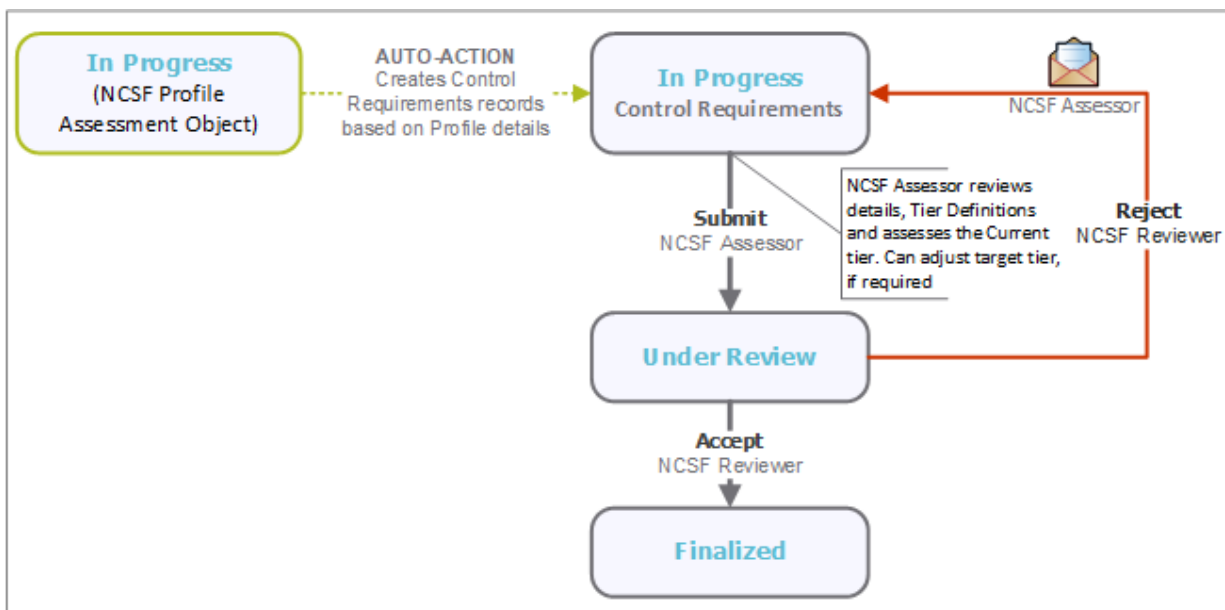
Button	Available to	Notification	Description
Approve	NCSF Reviewer	Yes	To approve the NCSF Profile Assessment and move it to the In Progress state.
Request Attestation	NCSF Assessor, Owner, or Reviewer	Yes	To generate an Attestation record when all In-scope Control Requirement records are moved to the Finalized state. On clicking this button, the NCSF Profile Assessment moves to the Pending Attestation state.

Control Requirements Workflow

This section covers the Workflow diagram, states, and associated buttons of the Control Requirements workflow in the NCSF Assessment module.

Control Requirements Workflow Diagram

The following image shows the Control Requirements workflow.



Control Requirements Workflow States

The following table describes the workflow states associated with the Control Requirements workflow.

Workflow State	Description
IAF: Control Requirement - In Progress	The Control Requirements records are auto-generated in this state and NCSF Assessors can create control tests, create and use indicators, use the Questionnaire Assessment results for the related Assets, review tier definitions, and assess Current and Target Tier levels.
IAF: Control Requirement - Under Review	When the Control Requirements details are reviewed and the Tier assessments are made, the Control Requirements can be submitted for review, and it moves to this state. In this state NCSF Reviewer must validate the details and Accept or Reject the Control Requirement details.
IAF: Control Requirement - Finalized	When the Control Requirements details are approved, it moves to this state.

Control Requirements Workflow Buttons

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

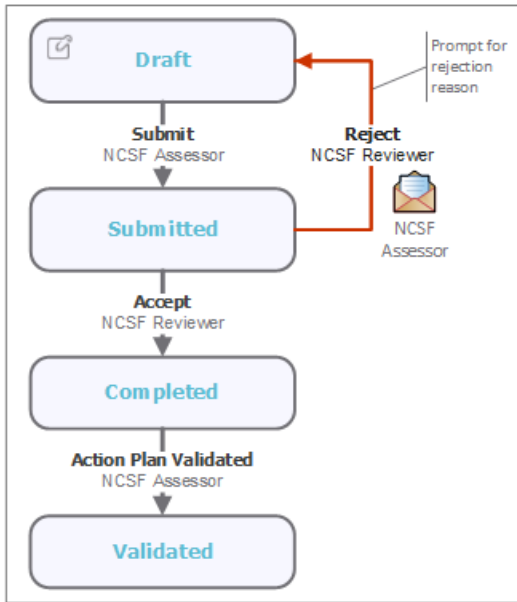
Button	Available to	Notification	Description
Change Scope	NCSF Assessor	No	To change the scope of the Control Requirements to In Scope or Out of Scope.
Submit	NCSF Assessor	No	To move the Control Requirements to the Under Review state for the NCSF Reviewer to review the information.
Accept	NCSF Reviewer	No	To accept the Control Requirements details and move it to the Finalized state.
Reject	NCSF Reviewer	Yes	To reject the Control Requirements details and move it to the In Progress state.
Recalculate Questionnaire Result Summary	NCSF Assessor	No	To recalculate the Questionnaire Results to show the results after taking into consideration the latest questionnaire responses submitted. This adds a new child record, Questionnaire Assessment Schedule , and adds the gap results into the child record.
Refresh Indicator from Library	NCSF Owner NCSF Assessor	No	To refresh the indicator information from the library record.
Refresh Control Test from Library	NCSF Owner NCSF Assessor	No	To refresh the control test information from the library record.
Refresh Control Requirement from Library	NCSF Owner NCSF Assessor	No	To refresh the Control Requirements record details from the related library record.

Action Plan Workflow

This section covers the Workflow diagram, states, and associated buttons of the Action Plans workflow in the NCSF Assessment module.

Action Plan Workflow Diagram

The following image shows the Action Plan workflow.



Action Plan Workflow Buttons

The following table lists the buttons that are available in the various states of the Action Plan workflow.

Button	Available to	Notification	Description
Submit	NCSF Assessor	No	To submit an Action Plan for review to NCSF Reviewer. The Action Plan record moves to the Submitted state.
Accept	NCSF Reviewer	No	To review and accept a submitted Action Plan. The record moves to the Completed state.
Reject	NCSF Reviewer	Yes	To reject an Action Plan back to the Draft state. NCSF Assessor may need to rework on the plan and submit it again for review.
Action Plan Validated	NCSF Assessor	Yes	To mark an Action Plan as validated. The record moves to the Validated state.

Action Plan Workflow States

The following table describes the workflow states associated with Action Plans.

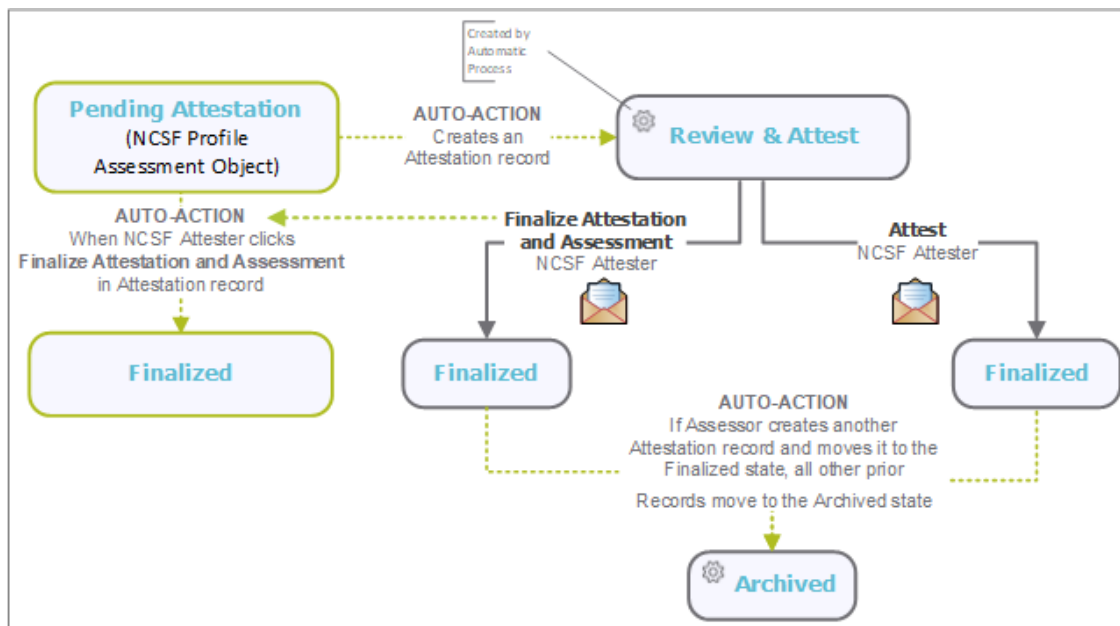
Workflow State	Description
IAF: Action Plan - Action Plan Draft	The Action Plan record is created in this state. In this state, NCSF Assessor can create the plan and add details.
IAF: Action Plan - Action Plan Submitted	The Action Plan is submitted for review to the NCSF Reviewer. The reviewer must review the plan and Accept or Reject it to move it to the next state.
IAF: Action Plan - Completed	The Action Plan is accepted by the NCSF Reviewer and moves to this state. No further details are required for the plan.
IAF: Action Plan - Validated	The Action Plan details are validated by the NCSF Assessor in this state.

Tier Attestation Workflow

This section covers the Workflow diagram, states, and associated buttons of the Tier Attestations workflow in the NCSF Assessment module.

Tier Attestation Workflow Diagram

The following image shows the Tier Attestation workflow.



Tier Attestation Workflow Buttons

The following table lists the buttons that are available in the various states of the Tier Attestation workflow.

Button	Available to	Notification	Description
Finalize Attestation and Assessment	NCSF Attester	Yes	On clicking this button, system validates if a Final Tier assessment has been provided and then places the Attestation record in the Finalized workflow state. The NCSF Profile Assessment is updated with the Final Assessment value and it moves to the Finalized state automatically. A notification is sent to Attester, Assessor, and Owner.
Attest	NCSF Attester	Yes	On clicking this button, system validates if a Final Tier assessment has been provided and then places the Attestation record in the Finalized workflow state. However, the NCSF Profile Assessment remains in the Pending Attestation state. A notification is sent to Attester, Assessor, and Owner.

Tier Attestation Workflow States

The following table describes the workflow states associated with Tier Attestation workflow.

Workflow State	Description
IAF: Attestation - 1. Review & Attest	The Attestation record is generated in this state and NCSF Attester can provide the final tier assessment value.
IAF: Attestation - 2. Finalized	The Attestation record is placed in this state when the NCSF Attester provides the Final (Attestation) Tier value and clicks the Attest and Finalize or Attest button.
IAF: Attestation - 3. Archived	All Attestation records in the Finalized state are moved to the Archived state when a new Attestation record is finalized.

Appendix 1: Rsam Documentation

NIST Cybersecurity Framework Tutorial

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

Online Help

This document provides an overview of the NIST Cybersecurity Framework 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 **User ID** as *r_admin* and provide the **Password**.
2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

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

