



# **Risk and Compliance Assessments Module**

## **Baseline Configuration Guide**

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# About Rsam Baseline Configuration Guides

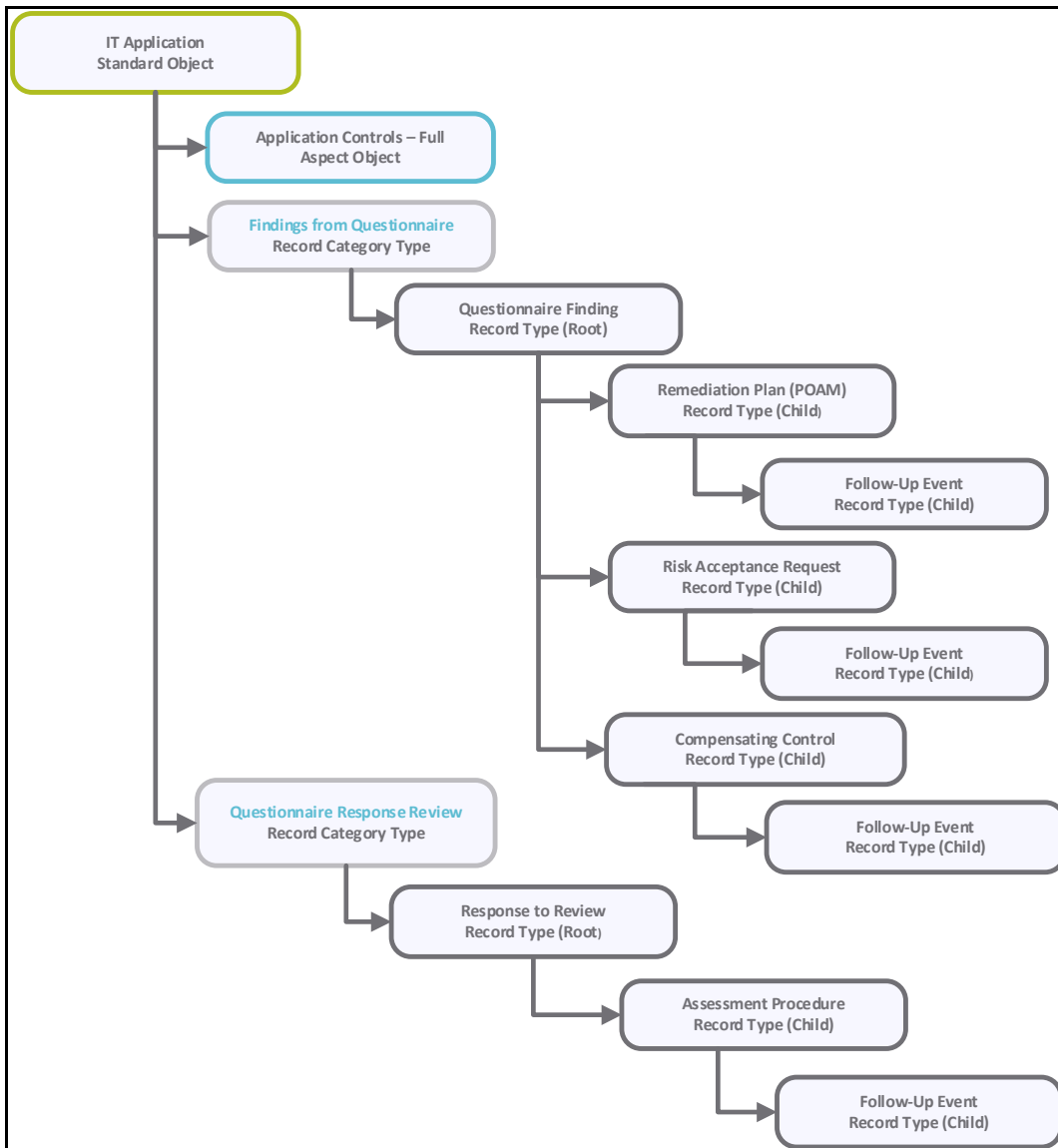
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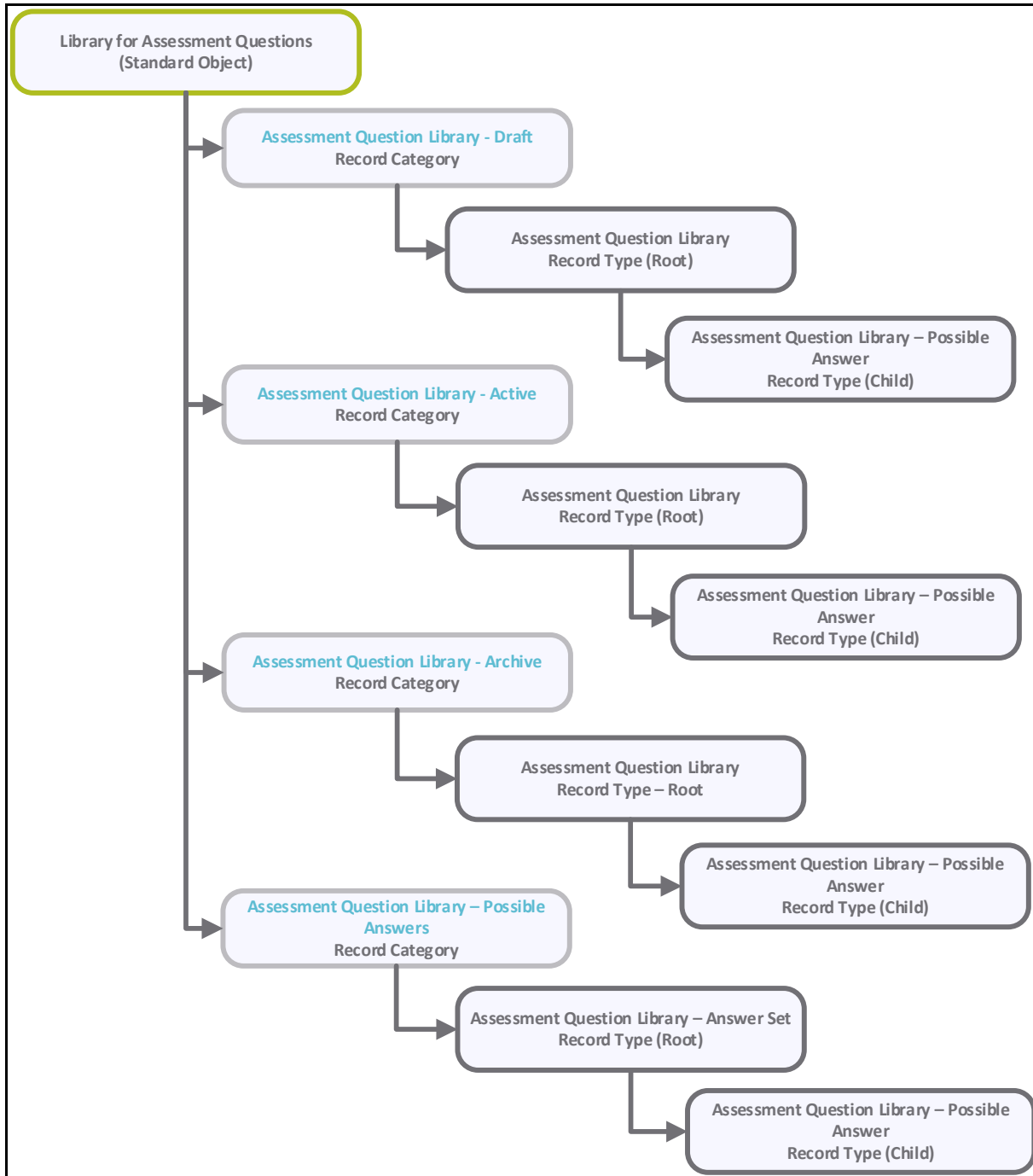
Rsam Baseline Configuration Guides provide you the information needed to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be used out-of-the-box.

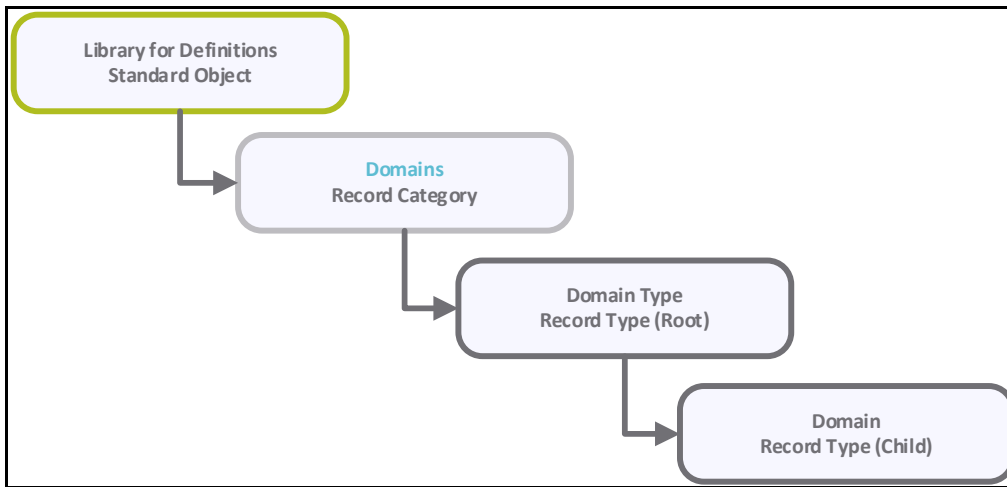
# Assessments Structure

All assets, controls, findings, and response mechanisms, such as remediation plans and compensating controls are stored under a variety of Asset object types and Aspect object types.

**Note:** The Risk and Compliance Assessments module supports a wide variety of standard object types (or, asset types) and a wide variety of aspect object types (or, control assessments) that can be generated for those assets. The following diagram depicts the specific examples of *IT Application* for the standard object type and *Application Controls – Full* for the aspect object type.







## Object Types

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

Object Type	Usage
<b>AQ: Library for Assessment Questions</b>	All assessment questions originate from an Assessment Question Library. Adding questions manually or importing questions into Rsam will be created under this library
<b>Library for Definitions</b>	A standard object that stores domains and domain types.
<b>IT Asset Object Types (IT Application, IT Firewall, and more)</b>	A standard object that stores criticality and control information to perform assessments for applications, hosts, devices, and more.
<b>Application Control Aspects (Application Controls Light &amp; Application Controls Full)</b>	An aspect object that stores control information (separate from the criticality information) for assessing applications. Light and full aspects have different depth to their assessment and are generated automatically based on the criticality of the application.
<b>Physical Asset Object Types (closets, facilities, and so on)</b>	A standard object that stores both criticality and control information to perform an assessment for physical locations, such as a facility, data center, and more.
<b>Organization General Controls</b>	A standard object with a series of aspects that contain controls at an organizational/division level. Typically, this is used to assess a part of the organization as opposed to an individual asset.
<b>Security Assessment (SA) Aspects</b>	An aspect object containing controls for assessing controls at an organizational/division level. These aspects belong to the Organization General Controls standard object type

Object Type	Usage
<b>Physical Data Center</b>	A container object representing a data center that contains and/or protects other objects. Container objects store controls that are then applied to the objects that they contain.

## Record Categories

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

Record Categories	Usage
<b>QF: Findings from Questionnaire (fixed)</b>	A category type that stores the Questionnaire Finding record type.
<b>QRR: Questionnaire Response Review</b>	A category type that stores the Questionnaire Response Review record type.
<b>AQ: Assessment Question Library – Draft</b>	A category type that stores the Assessment Question Library Draft record type.
<b>AQ: Assessment Question Library – Active</b>	A category type that stores the Assessment Question Library Active record type.
<b>AQ: Assessment Question Library – Archive</b>	A category type that stores the Assessment Question Library Archive record type.
<b>AQ: Assessment Question Library – Possible Answers</b>	A category type that stores the Assessment Question Library – Possible Answers record type.
<b>AQ: Domains</b>	A category type that stores the Domain record type.
<b>AQ: Assessment Questions</b>	A category type that stores the Assessment Questions from the library when an assessment for an object is started.
<b>AQ: Assessment Questions - Archive</b>	A category type that stores the Assessment Questions after being replaced by newer Assessment Questions in the library
<b>DOC: Documents</b>	A category type that stores document received from the third party.

## Record Types

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

Record Type	Usage
<b>AQ: Assessment Question Library (fixed)</b>	A record representing a draft, active, or archive Assessment Questions in the library.
<b>AQ: Assessment Question Library – Possible Answer (fixed)</b>	A child record representing a response for an Assessment Question. This is a dynamic attribute that will be saved as response. The response will available to users as a list box or multi-select. The values are derived from the possible answers defined for the Assessment Question
<b>AQ: Assessment Question Library – Answer Set (fixed)</b>	A child record representing the possible answers for Assessment Questions.
<b>AQ: Assessment Question (fixed)</b>	A record representing an Assessment Question being shown to the users when an assessment is in progress.
<b>AQ: Domain Type (fixed)</b>	A root record representing a grouping of domains.
<b>AQ: Domain (fixed)</b>	A child record representing a domain containing related Assessment Questions having control impact.
<b>QF: Questionnaire Finding (fixed)</b>	A record representing a gap or finding from the questionnaire process. These are automatically generated based on the control standards, resulting from an object's criticality. Questionnaire findings are typically tracked with remediation plans and exceptions.
<b>RM: Remediation Plan (POAM)</b>	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 finding's workflow state is updated by actions on this record.
<b>RM: Risk Acceptance Request</b>	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 finding's workflow state is updated by actions on this record.
<b>RM: Compensating Control</b>	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 finding's workflow state is updated by actions on this record.



Record Type	Usage
<b>FE: Follow-up Event</b>	A record representing a specific event or task to be tracked under a Remediation Plan, Risk Acceptance Request, Compensating Control, or Assessment Procedure.
<b>QRR: Response to Review (fixed)</b>	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.
<b>QRR: Assessment Procedure (fixed)</b>	A record representing the assessment procedures used to assess a parent Questionnaire Response Review record.
<b>DOC: Documents</b>	A record representing a document received from a third party.

**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

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The Baseline Configuration of the Assessments 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 Assessments module:

Home Page Tab	Description
<b>U: My Questionnaires Home</b>	Provides access to assigned questionnaires. Typically, this is used by the end users that only need to respond to questionnaires.
<b>U: Assessment Navigator</b>	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).
<b>QF: Questionnaire Findings Navigator</b>	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.
<b>QRR: Responses to Review Navigator</b>	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.

# Assessment Workflows

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

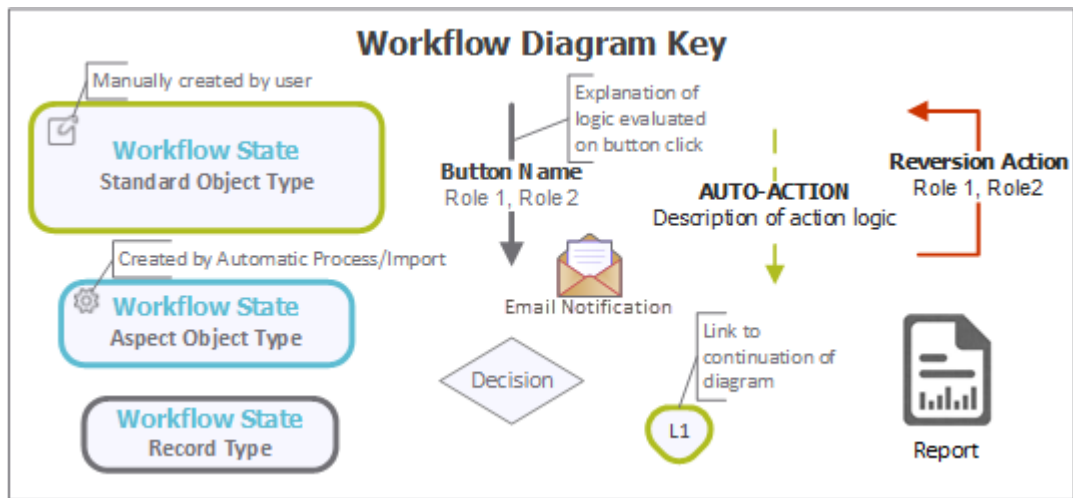
- Assessment
- Questionnaire Finding
- Questionnaire Response Review

## Assessment Workflow

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

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

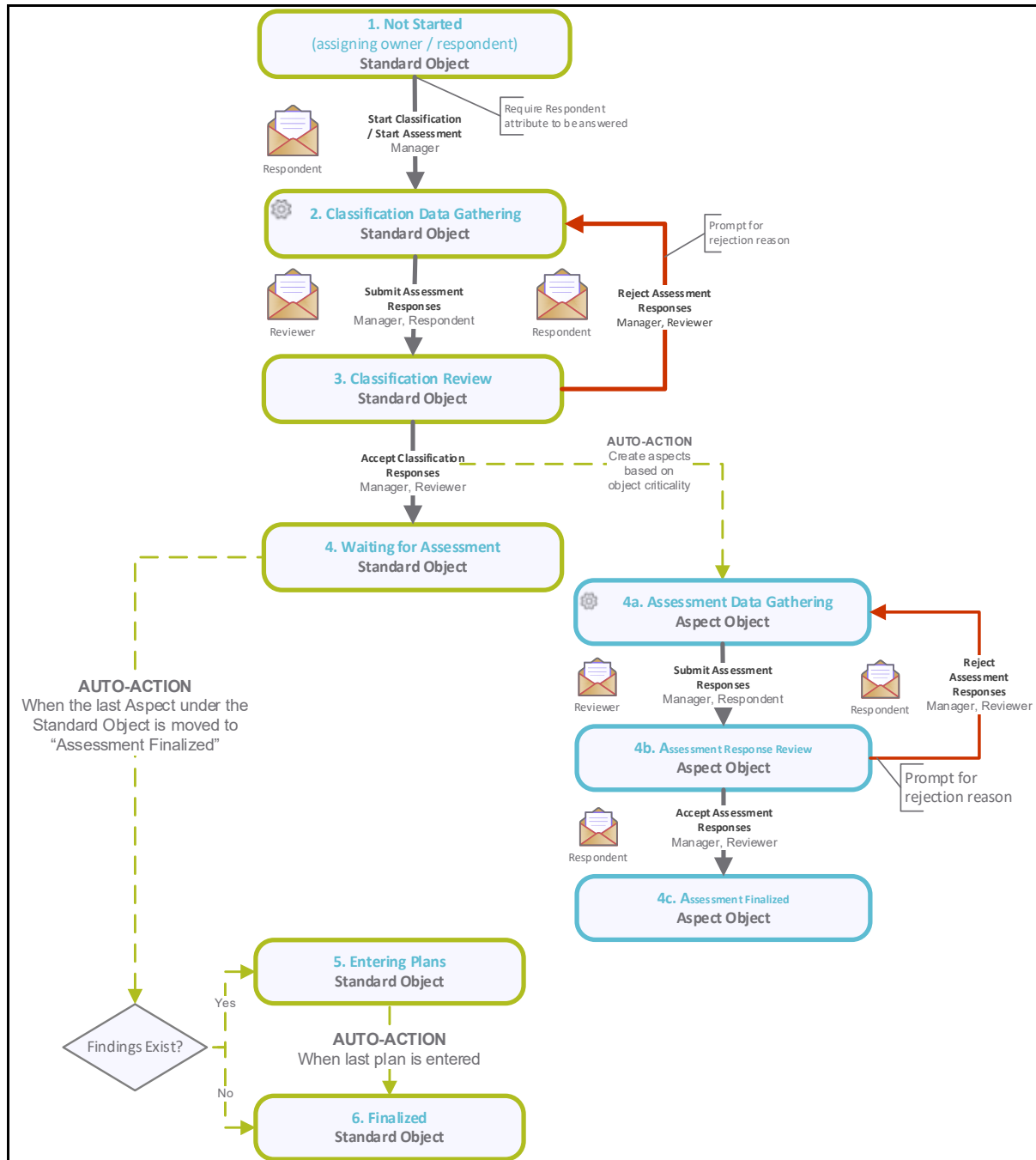
Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.



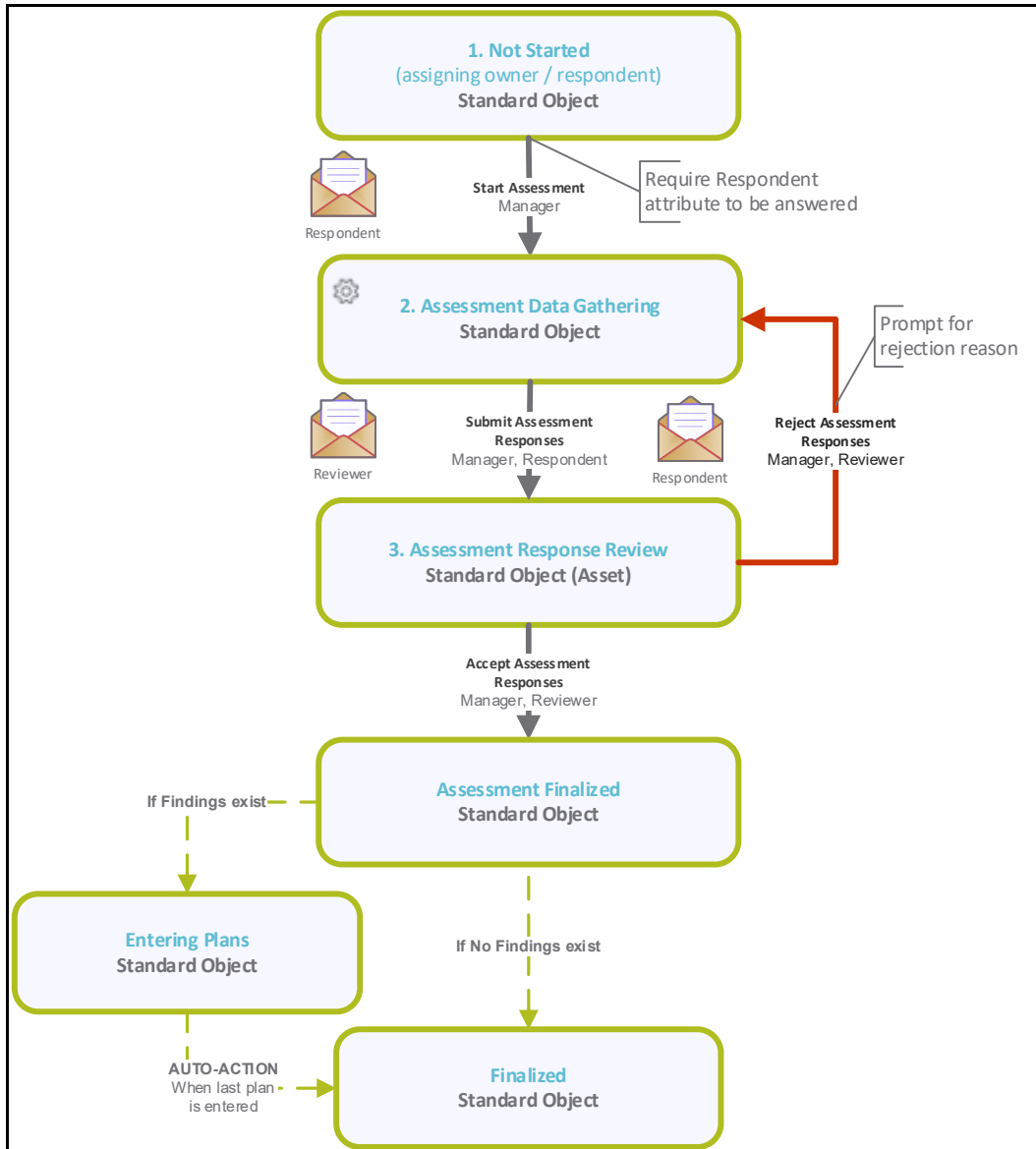
## Workflow Diagram

Below is the baseline Assessment workflow for assessment objects with aspects (where the root object stored the attributes & criticality and the aspect stored the controls), and for assessment objects without aspects (where the root object stored everything).

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
<b>ASMT: 1. Not Started</b>	Initial workflow state for standard assessment objects. Objects in this state are idle and typically await an <i>Assessment Manager</i> to assign a respondent and start the assessment.
<b>ASMT: 2. Classification Data Gathering</b>	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 respondent answers the attributes and provides criticality information.
<b>ASMT: 3. Classification Review</b>	An assessment enters this state when a respondent has successfully answered and submitted the assessment. In this state, a reviewer 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.
<b>ASMT: 4. Waiting for Assessment</b>	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.
<b>ASMT: 4a. Assessment Data Gathering</b>	Initial workflow state for a control questionnaire aspect. In this state, a respondent answers control questions.
<b>ASMT: 4b. Assessment Response Review</b>	An assessment enters this state when a <i>Respondent</i> has successfully answered and submitted all the control questions. In this state, a reviewer 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.
<b>ASMT: 4c. Assessment Finalized</b>	An assessment enters this state when assessment responses have been accepted. This is the last workflow state for control aspects.
<b>ASMT: 5. Entering Plans</b>	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.
<b>ASMT: 6. Finalized</b>	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
<b>ASMT: Start Classification</b>	Q: Manager	Yes	Available in the <b>Not Started</b> state. By clicking this button, a <i>Manager</i> initiates the classification process and moves the workflow to the <b>Classification Data Gathering</b> state. This applies to objects that have their control aspects under them.
<b>ASMT: Submit Classification Responses</b>	Q: Respondent Q: Manager	Yes	Available in the <b>Classification Data Gathering</b> state. By clicking this button, a <i>Respondent</i> submits the classification responses and moves the workflow to the <b>Classification Review</b> state.
<b>ASMT: Accept Classification Responses</b>	Q: Reviewer Q: Manager	Yes	Available in the <b>Classification Review</b> state. By clicking this button, a <i>Reviewer</i> accepts the classification responses and moves an object to the <b>Waiting for Assessment</b> state. In parallel, the control aspects are launched and are sent to the <b>Assessment Data Gathering</b> state.
<b>ASMT: Reject Classification Responses</b>	Q: Reviewer Q: Manager	Yes	Available in the <b>Classification Review</b> state. By clicking this button, a <i>Reviewer</i> rejects the classification responses and moves an object back to the <b>Classification Data Gathering</b> state.
<b>ASMT: Start Assessment</b>	Q: Manager	No	Available in the <b>Not Started</b> state. By clicking this button, a <i>Manager</i> initiates the assessment process, sending an object to the <b>Assessment Data Gathering</b> state. This is applicable to objects that have their local controls (not in aspects).
<b>ASMT: Submit Assessment Responses</b>	Q: Respondent Q: Manager	Yes	Available in the <b>Assessment Data Gathering</b> state. By clicking this button, a <i>Respondent</i> submits the control assessment responses and moves the object to the <b>Assessment Response Review</b> state.
<b>ASMT: Accept Assessment Responses</b>	Q: Reviewer Q: Manager	Yes	Available in the <b>Assessment Response Review</b> state. By clicking this button, a <i>Reviewer</i> accepts the control assessment responses and moves an object to the <b>Assessment Finalized</b> 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 <b>Entering Plans</b> state.

Button	Available to Notification		Description
<b>ASMT: Reject Assessment Responses</b>	Q: Reviewer Q: Manager	Yes	Available in the <b>Assessment Response Review</b> state. By clicking this button, a <i>Reviewer</i> rejects the classification responses and moves an object back to the <b>Assessment Data Gathering</b> state.
<b>ASMT: Revert to Entering Plans</b>	Q: Manager	No	Available in the <b>Finalized</b> state. Clicking this button moves the workflow to the <b>Entering Plans</b> state.
<b>ASMT: Revert to Classification Data Gathering</b>	Q: Manager	No	Available in the <b>Classification Review, Waiting for Assessment, Entering Plans, and Finalized</b> states. Clicking this button moves the workflow to the <b>Classification Data Gathering</b> state.
<b>ASMT: Revert to Classification Review</b>	Q: Manager	No	Available in the <b>Waiting for Assessment, Entering Plans, and Finalized</b> states. Clicking this button moves the workflow to the <b>Classification Review</b> state.
<b>ASMT: Revert to Assessment Data Gathering</b>	Q: Manager	No	Available in the <b>Assessment Response Review, Waiting for Assessment, Entering Plans, and Assessment Finalized</b> states. Clicking this button moves the workflow to the <b>Assessment Data Gathering</b> state.
<b>ASMT: Revert to Assessment Review</b>	Q: Manager	No	Available in the <b>Assessment Finalized</b> state. Clicking this button moves the workflow to the <b>Assessment Response Review</b> 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
<b>r_assessment_manager</b>	<b>Q: Manager</b>	This role allows a user to perform all the tasks in each and every assessment workflow state.



User ID	Role	Description
<b>r_assessment_respondent</b>	<b>Q: Respondent</b>	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).
<b>r_assessment_reviewer</b>	<b>Q: Reviewer</b>	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.

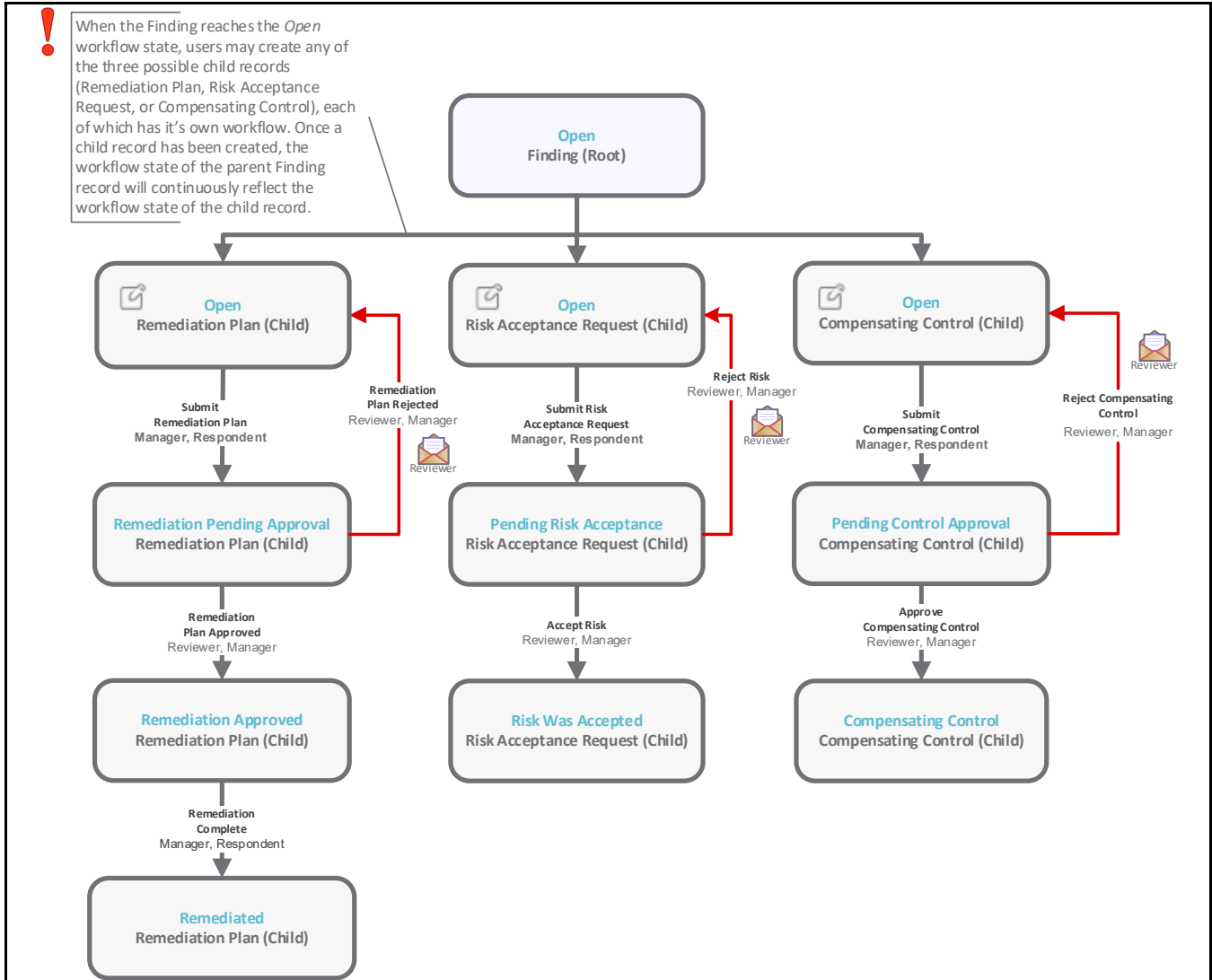
## Questionnaire Finding Workflow

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

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

## Workflow Diagram

Below is 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
<b>QF: Finding Open (from Questionnaire)</b>	The initial workflow state for a questionnaire finding.
<b>RM: Remediation Pending Approval</b>	A questionnaire finding enters this workflow state when a remediation plan has been created and submitted for approval.
<b>RM: Remediation Approved</b>	A questionnaire finding enters this state when a remediation plan has been approved by a <i>Reviewer</i> .
<b>RM: Remediated</b>	A questionnaire finding enters this state when an approved remediation plan has been flagged as complete.
<b>RM: Pending Risk Acceptance</b>	A questionnaire finding enters this state when a risk acceptance request has been created and submitted for approval.
<b>RM: Risk was Accepted</b>	A questionnaire finding enters this state when a risk acceptance request has been approved.
<b>RM: Pending Control Approval</b>	A questionnaire finding enters this state when a compensating control has been created and submitted for approval.
<b>RM: Compensating Control</b>	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
<b>RM: Submit Remediation Plan</b>	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the <b>Finding Open</b> 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 <b>Remediation Pending Approval</b> state.

Button	Available to	Notification	Description
<b>RM: Remediation Plan Approved</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Remediation Pending Approval</b> state. By clicking this button, a <i>Reviewer</i> approves a remediation plan and moves the remediation plan record workflow to the <b>Remediation Approved</b> state.
<b>RM: Remediation Plan Rejected</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Remediation Pending Approval</b> state. By clicking this button, a <i>Reviewer</i> rejects a remediation plan and moves the remediation plan record workflow to the <b>Finding Open</b> state.
<b>RM: Remediation Complete</b>	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	No	Available in the <b>Remediation Approved</b> 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 <b>Remediated</b> state.
<b>RM: Submit Risk Acceptance Request</b>	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the <b>Finding Open</b> 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 <b>Pending Risk Acceptance</b> state.
<b>RM: Accept Risk</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Pending Risk Acceptance</b> state. By clicking this button, a <i>Reviewer</i> accepts a risk acceptance requests and moves the risk acceptance record workflow to the <b>Risk was Accepted</b> state.

Button	Available to	Notification	Description
<b>RM: Reject Risk</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Pending Risk Acceptance</b> state. By clicking this button, a <i>Reviewer</i> rejects a risk acceptance requests and moves the risk acceptance record workflow to the <b>Finding Open</b> state.
<b>RM: Submit Compensating Control</b>	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the <b>Finding Open</b> 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 <b>Pending Control Approval</b> state.
<b>RM: Approve Compensating Control</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Pending Control Approval</b> state. By clicking this button, a <i>Reviewer</i> approves a compensating control and moves the compensating control record workflow to the <b>Compensating Control</b> state.
<b>RM: Reject Compensating Control</b>	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the <b>Pending Control Approval</b> state. By clicking this button, a <i>Reviewer</i> rejects a compensating control and moves the compensating control record workflow to the <b>Finding Open</b> state.
<b>RM: Revert to Open</b>	QF: Questionnaire Finding Manager Q: Manager	No	Available in all the states except the <b>Finding Open</b> state. By clicking this button, a <i>Manager</i> moves the workflow back to the <b>Finding Open</b> 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
<b>r_finding_owner</b>	<b>QF: Questionnaire Finding Record Owner</b>	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.
<b>r_finding_reviewer</b>	<b>QF: Questionnaire Finding Reviewer</b>	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.
<b>r_finding_manager</b>	<b>QF: Questionnaire Finding Manager</b>	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.

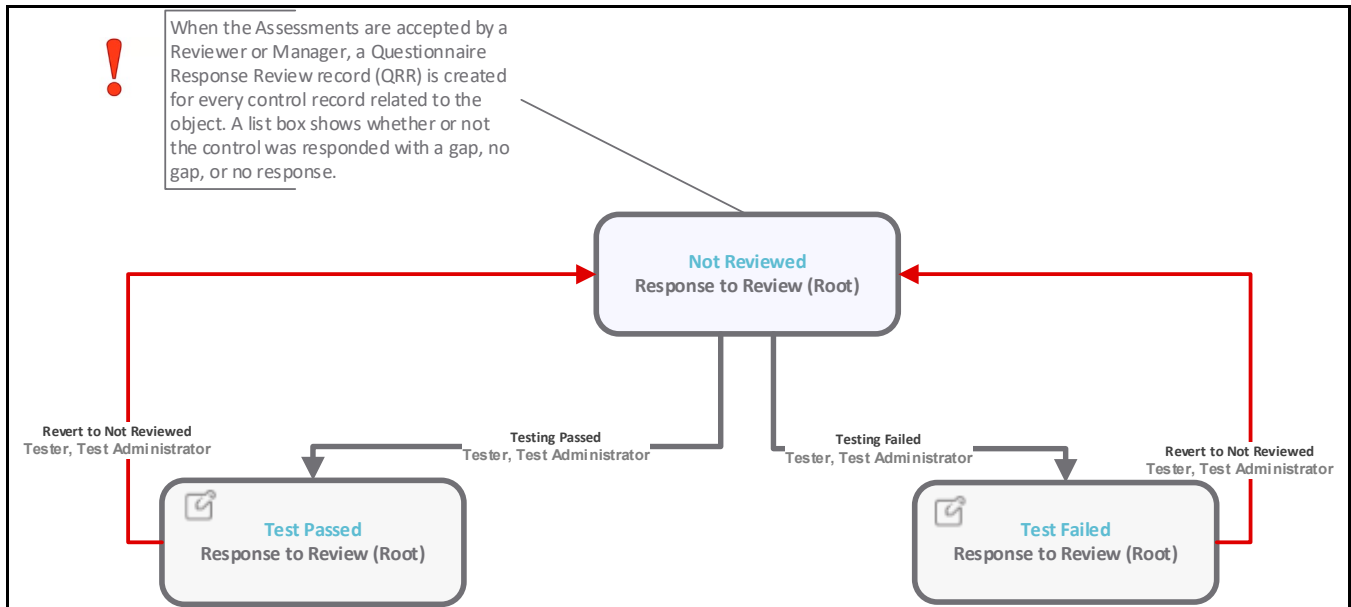
## Questionnaire Response Review

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

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

## Workflow Diagram

Below is the baseline Questionnaire Response workflow:



## Workflow States

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

Workflow State	Description
<b>QRR: Control Not Reviewed</b>	Initial workflow state for a questionnaire response review.
<b>QRR: Control Test Passed</b>	A questionnaire response review enters this workflow state after the control testing has been verified and passed.
<b>QRR: Control Test Failed</b>	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
<b>QRR: Testing Passed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Not Reviewed</b> and <b>Control Test Failed</b> states. By clicking this button, a <i>Tester</i> declares that the response testing has passed and moves the response workflow to the <b>Control Test Passed</b> state.
<b>QRR: Testing Failed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Not Reviewed</b> and <b>Control Test Passed</b> states. By clicking this button, a <i>Tester</i> declares that the response testing has failed and moves the response workflow to the <b>Control Test Failed</b> state.
<b>QRR: Revert to Not Reviewed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Test Passed</b> and <b>Control Test Failed</b> states. By clicking this button, a <i>Manager</i> moves the response workflow back to the <b>Control Not Reviewed</b> state.
<b>QRR: AP - Testing Passed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Not Reviewed</b> and <b>Control Test Failed</b> states. By clicking this button, a <i>Tester</i> declares that the response testing has passed and moves the assessment procedure workflow to the <b>Control Test Passed</b> state.
<b>QRR: AP - Testing Failed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Not Reviewed</b> and <b>Control Test Passed</b> states. By clicking this button, a <i>Tester</i> declares that the response testing has failed and moves the assessment procedure workflow to the <b>Control Test Failed</b> state.
<b>QRR: AP - Revert to Not Reviewed</b>	QRR: Tester QRR: Test Administrator	No	Available in the <b>Control Test Passed</b> and <b>Control Test Failed</b> states. By clicking this button, a <i>Manager</i> moves the assessment procedure workflow back to the <b>Control Not Reviewed</b> state.



## 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
<b>r_assessment_control_review_tester</b>	<b>QRR: Tester</b>	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.
<b>r_assessment_control_review_administrator</b>	<b>QRR: Test Administrator</b>	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.

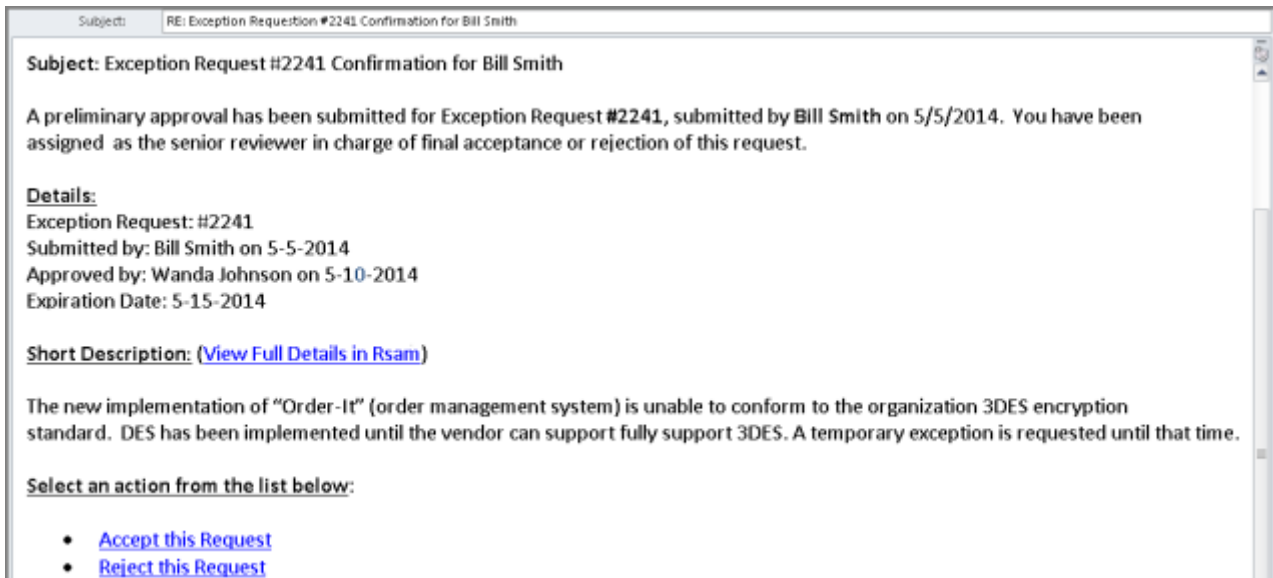
In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r\_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules.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

# Appendix 1: Offline Decision Making

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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.

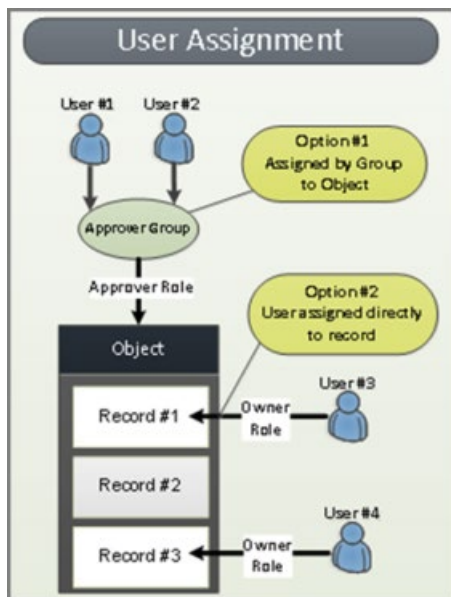


## Appendix 2: User Assignment Options

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

## Risk and Compliance Assessment Module Tutorial

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

## Online Help

This document provides an overview of the Risk and Compliance Assessment 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.

