



Finding Management Module

Baseline Configuration Guide

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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.

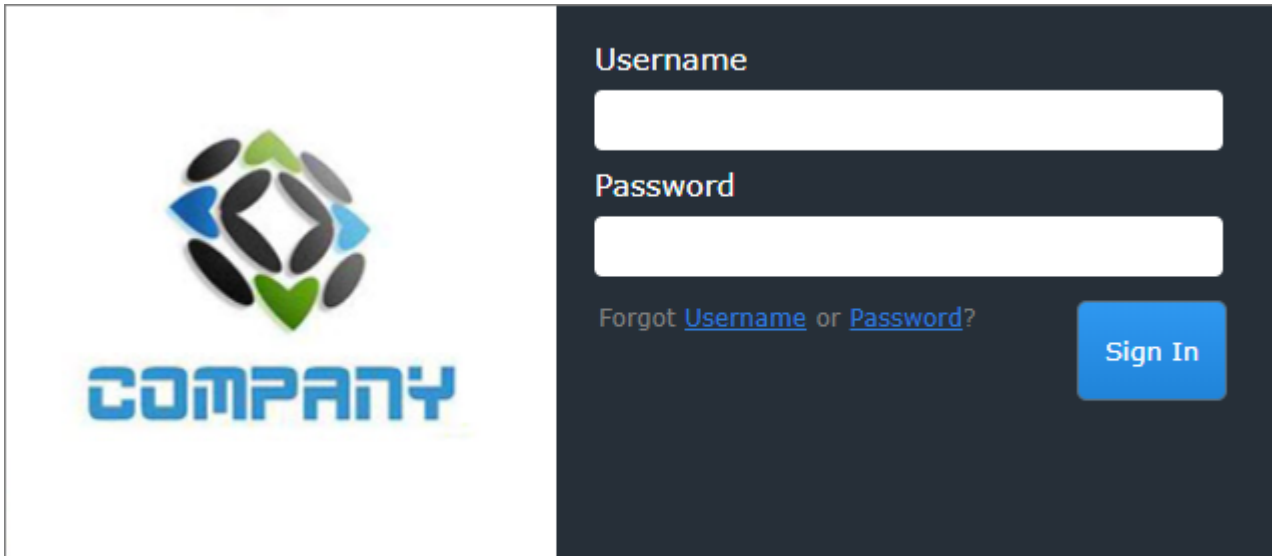
Rsam Sandbox Environment

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.

Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam Findings module. The baseline configurations for the Findings module allows your users to manage Findings in a centralized repository. The pre-configured activities help streamline your Findings by leveraging a central repository, with the ability to track Findings by object(s), assign risk scores, and a baseline workflow that will allow you to propose acceptance of finding, create a remediation plan or compensating controls for each finding.

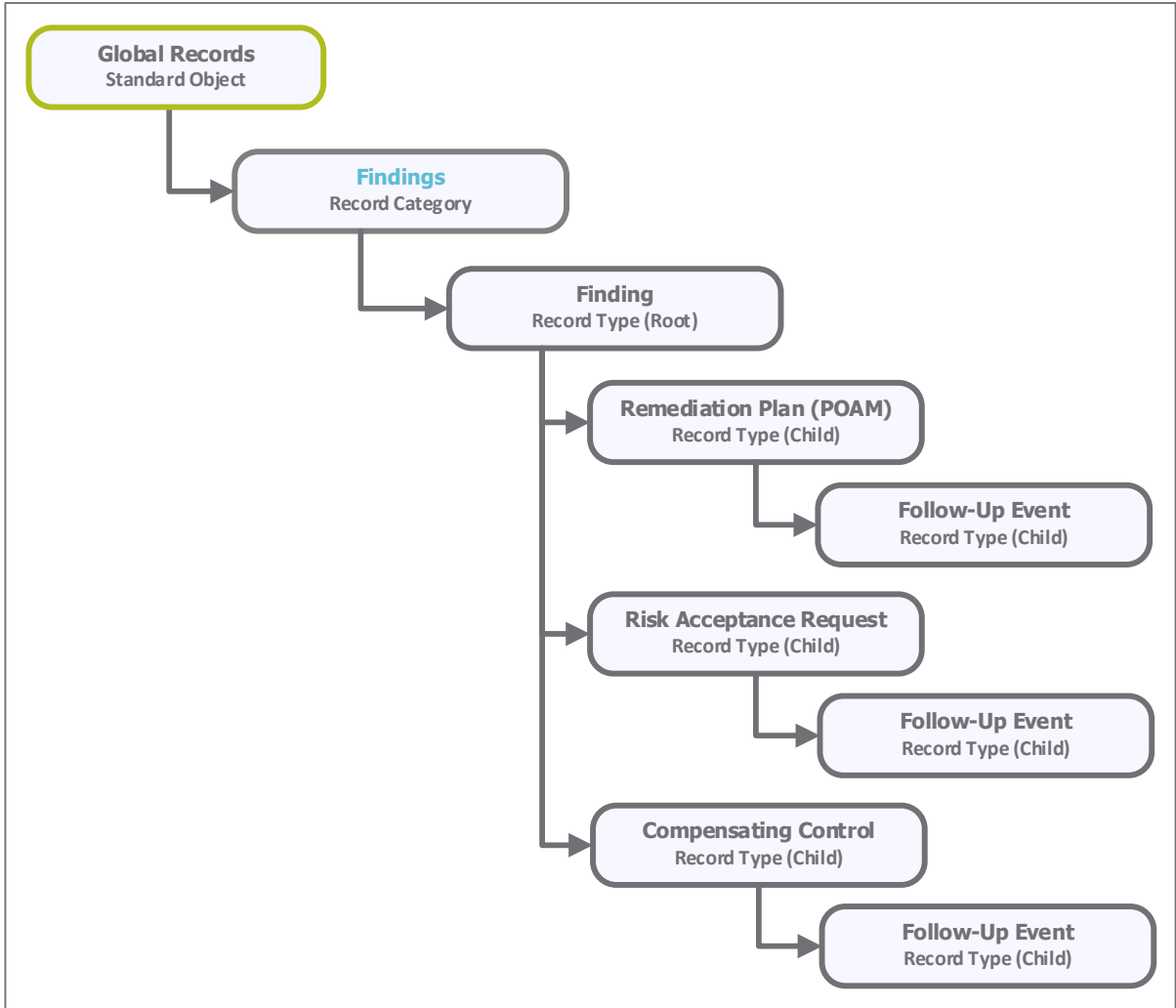
The following is a list of elements that have been configured in the Findings module:

- Structure
- Home Page Tabs
- Findings Workflow

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

Finding Management Structure

All Findings in the Finding Management module are stored in the object type *Library for Global Records*.



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 Finding records that are not specific to an individual asset are stored.

Record Category

The following is the record category pre-configured in this module.

Record Category	Usage
FI: Findings	This record category holds all the record types configured for the Findings Management module.

Record Types

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

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

Home Page Tabs

The Baseline Configuration of the Finding 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 Findings module.

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

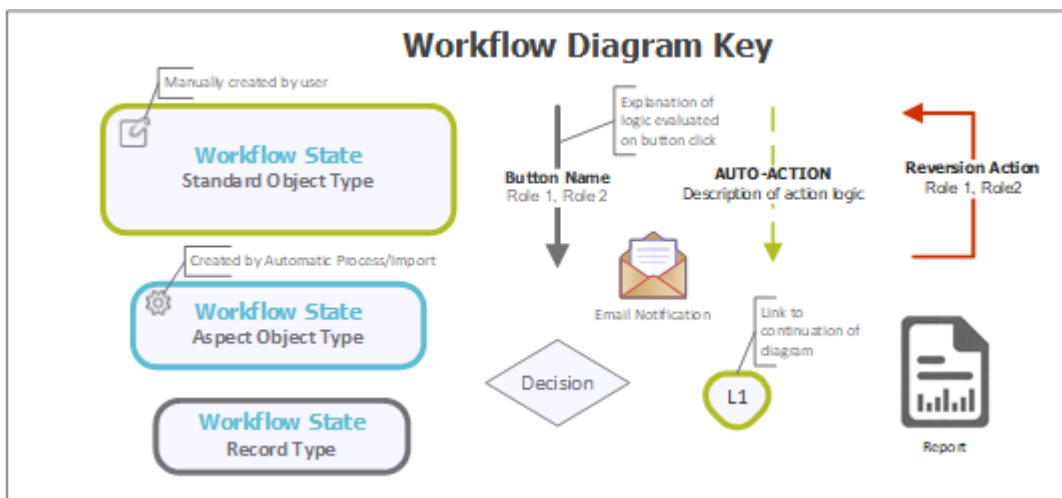
Finding Management Workflow

This section covers the following concepts of the baseline Finding Management workflow:

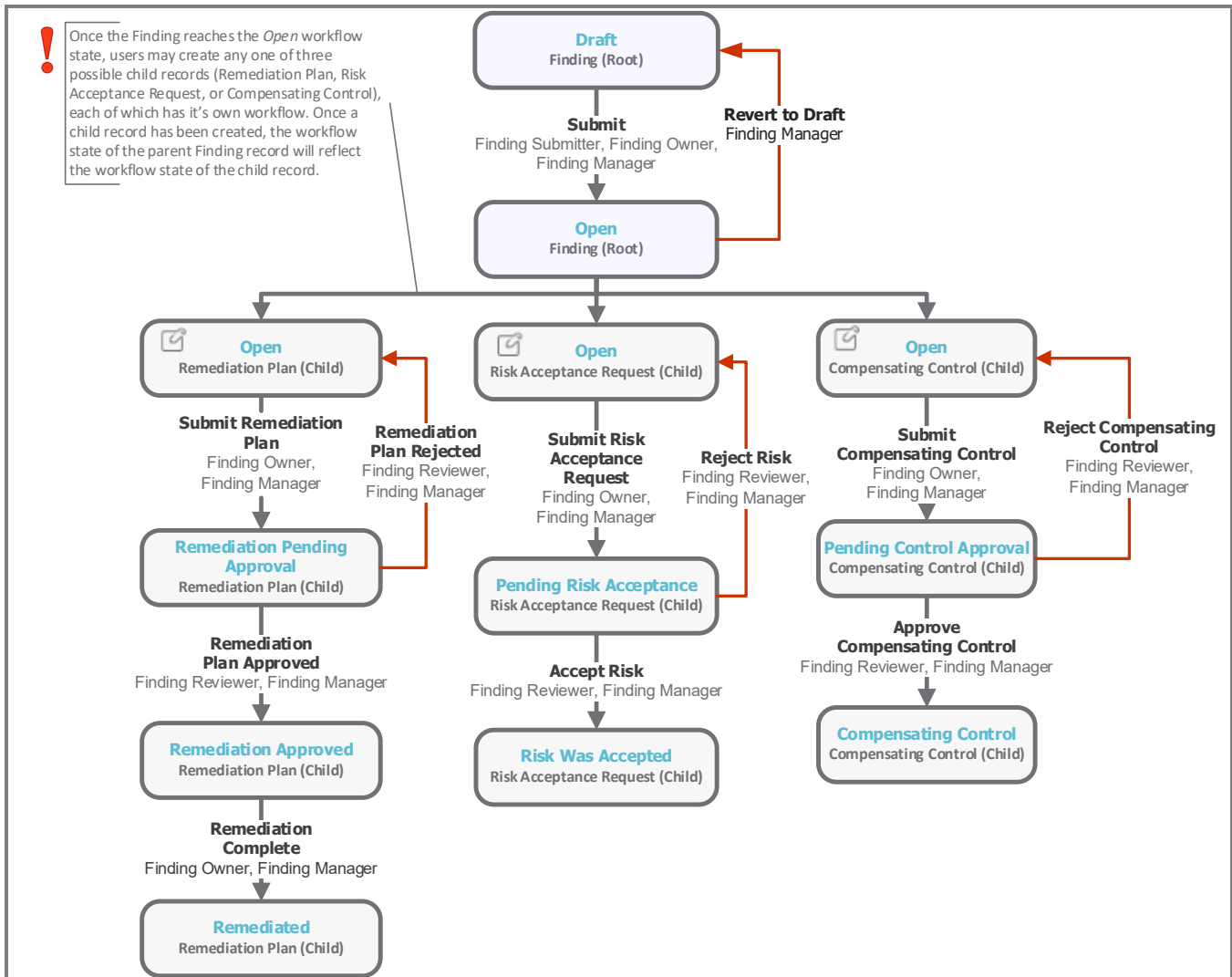
- Workflow Diagram
- Workflow States
- Workflow Roles
- Workflow Buttons

Workflow Diagram

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



The following diagram depicts the baseline workflow configured in the Finding Management module.



Workflow States

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

Workflow State	Description
GEN: Finding Draft	A Finding that is created enters this state. A user can create as many Finding records as needed, without submitting them.
GEN: Finding Open	A Finding enters this state when a <i>Finding Owner</i> has successfully submitted the Finding record. A Finding in this state signifies that no action has been taken yet. In this state, a <i>Finding Owner</i> can create a Remediation Plan, Compensating Control, or Risk Acceptance child record.

Workflow State	Description
RM: Remediation Pending Approval	A Finding enters this state when a <i>Finding Owner</i> has created and submitted a Remediation Plan child record for approval. In this state, a <i>Finding Manager</i> approves the remediation plan.
RM: Pending Risk Acceptance	A Finding record workflow enters this state when a <i>Finding Owner</i> has created and submitted a Risk Acceptance Request child record for approval. In this state, a <i>Finding Manager</i> confirms and accepts the finding.
RM: Pending Control Approval	A Finding record workflow enters this state when a <i>Finding Owner</i> has created and submitted a Compensating Control child record for approval. From within the Compensating Control child record, a <i>Finding Manager</i> confirms and approves the compensating control.
RM: Risk was Accepted	A Finding record workflow enters this state when a <i>Finding Manager</i> has successfully accepted the Finding in the Pending Risk Acceptance state of a Risk Acceptance child record.
RM: Compensating Control	A Finding record workflow enters this state when a <i>Finding Manager</i> has successfully approved the proposed compensating control in the Pending Control Approval state of a Compensating Control child record.
RM: Remediation Approved	A Finding record workflow enters this state when a <i>Finding Manager</i> has successfully approved the proposed remediation plan in the Remediation Pending Approval state of a Remediation Plan (POAM) child record.
RM: Remediated	A Finding record workflow enters this state when a <i>Finding Owner</i> 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 Finding Management workflow.

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

Account ID	Role	Description
r_finding_submitter	Finding Submitter	This role is assigned to a user who creates and submits Findings. This role allows a user to modify only the self-submitted Findings.
r_finding_owner	Finding Owner	This role is assigned to a user that has the responsibility to resolve Findings and therefore has the modify-level access to the Findings including child records. A user with this role can create and submit risk acceptance request,

Account ID	Role	Description
		remediation plan, and compensating control.
r_finding_reviewer	Finding Reviewer	This role is assigned to a user that has the responsibility to approve or reject a finding, remediation plan, or compensating control. This role has read-only access to the Findings.
r_finding_manager	Finding Manager	This role is assigned to a user that needs to manage findings in all the phases of finding process and therefore has the full set of permissions to the entire Finding 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 Finding Management workflow.

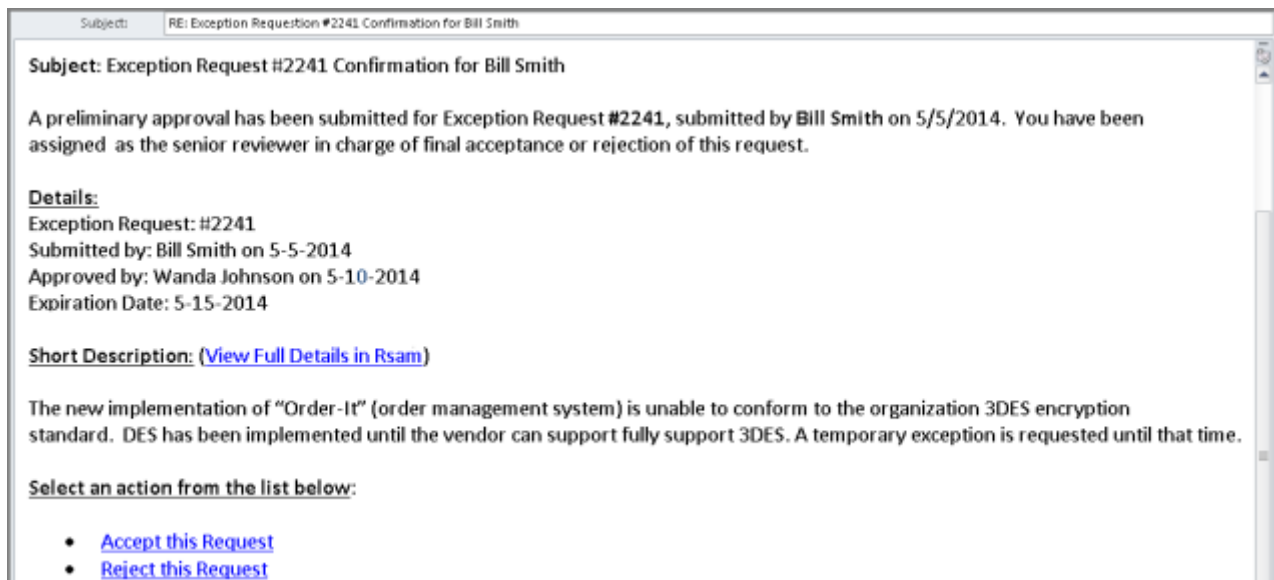
Button	Available to	Notification	Description
RM: Submit Remediation Plan	Finding Owner Finding Manager	No	Available in the Open state when creating a Remediation Plan (POAM) child record. Clicking this button moves the parent and child record workflow to the Remediation Pending Approval state.
RM: Remediation Plan Approved	Finding Reviewer Finding 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	Finding Reviewer Finding 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	Finding Owner Finding Manager	No	Available in the Remediation Approved state of a Remediation Plan (POAM) child record to mark the finding as remediation completed. Clicking this button moves the parent and child record workflow to the Remediated state.

Button	Available to	Notification	Description
RM: Submit Risk Acceptance Request	Finding Owner Finding Manager	No	Available in the Open state when creating a finding Acceptance Request child record. Clicking this button moves the parent and child record workflow to the Pending Risk Acceptance state.
RM: Accept Risk	Finding Reviewer Finding Manager	No	Available in the Pending Acceptance Request state of a Risk Acceptance Request child record to approve the finding. Clicking this button moves the parent and child record workflow to the Risk was Accepted state.
RM: Reject Risk	Finding Reviewer Finding Manager	No	Available in the Pending Acceptance Request state of a Risk Acceptance Request child record to reject the finding. Clicking this button moves the parent and child record workflow to the Open state.
RM: Submit Compensating Control	Finding Owner Finding 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	Finding Reviewer Finding 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.
RM: Reject Compensating Control	Finding Reviewer Finding 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	Finding 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.
FI: Submit	Finding Submitter Finding Owner Finding Manager	No	Available in the Draft state to submit the Finding record. Clicking this button moves the Finding record to the Open state.
FI: Revert to Draft	Finding Manager	No	Available in the Open state. Clicking this button moves a Finding 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 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.

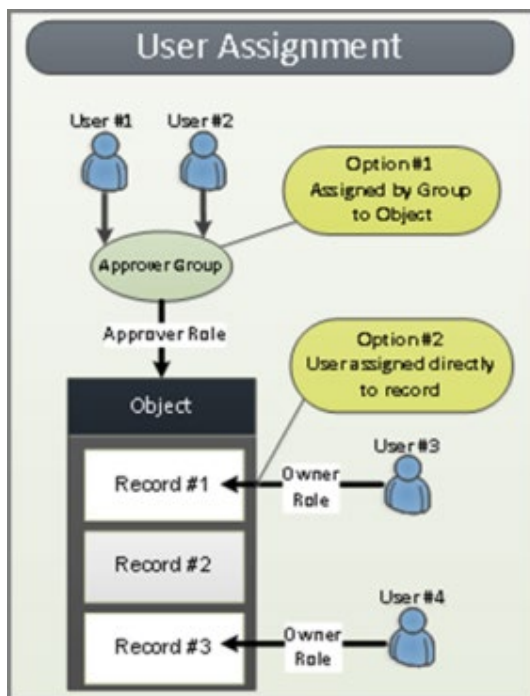


Appendix 2: User Assignment Options

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

Finding Management Module Tutorial

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

Online Help

This document provides an overview of the Finding 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. 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.

