ThirdPartyBond

Baseline Configuration Guide

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Contents

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.

Baseline Configuration Overview

This document describes the baseline configuration for the ThirdPartyBond. ThirdPartyBond enables users both inside and outside of your organization to collaborate effectively throughout the vendor risk management lifecycle. More specifically, it allows users to create, assign, and respond to vendor onboarding requests, criticality assessments, control questionnaires, findings and remediations, and supplemental information such as Contract Management, SLAs, Task, Documents, and Contacts.

This document provides detailed explanations of the following elements to provide a baseline understanding before you leverage the *ThirdPartyBond Step-by-Step Tutorial* or begin to tailor the module to meet your unique requirements:

- Data Structure (Records and Objects)
- Home Page Tabs
- Workflows

Initial Setup and Configuration

This section provides a walkthrough of the initial setup and configuration required when you use two working instances of Rsam (local and remote) for the ThirdPartyBond module.

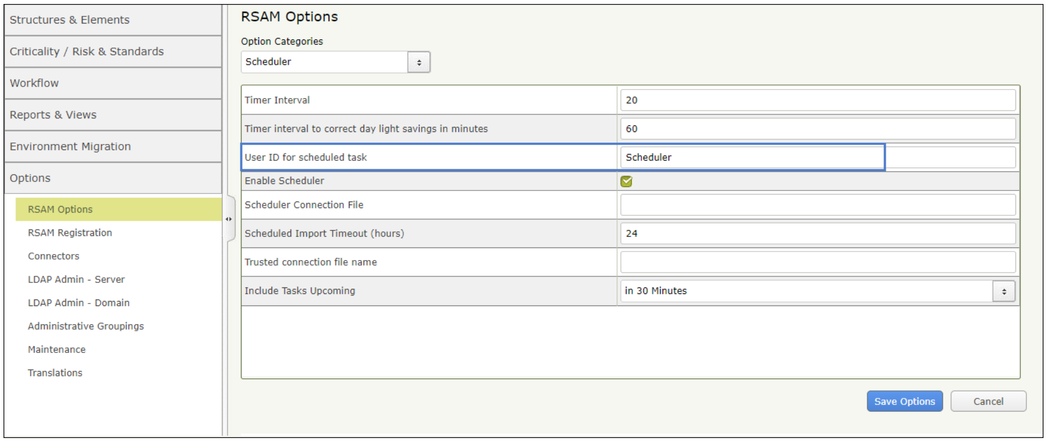
- User Account for the Scheduler
- Enabling Data Synchronization
- Generating API Key
- Assigning Permission to a User Account
- Updating Connectors for Data Synchronization

User Account for the Scheduler

Ensure the following in both local and remote instances of Rsam:

- Separate user account exists for associating with the Scheduler in both local and remote instances of Rsam. If you do not have a Scheduler account, create an account for the Scheduler. Contact your Rsam Administrator or Support for assistance.
- In both local and remote Rsam instances, go to **Manage** > **Administration** > **Options** > **Rsam Options** > **Scheduler** and verify the option **User ID for scheduled task** has a value and is not empty.

The following screenshot shows the value **Scheduler** for the **User ID** field.

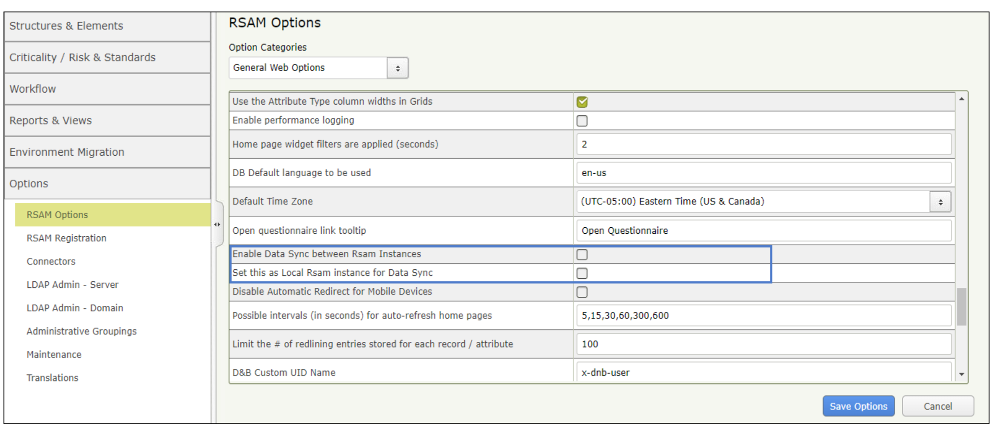


Enabling Data Synchronization

To set up data synchronization in both local and remote Rsam instances, perform the following steps:

Local Instance

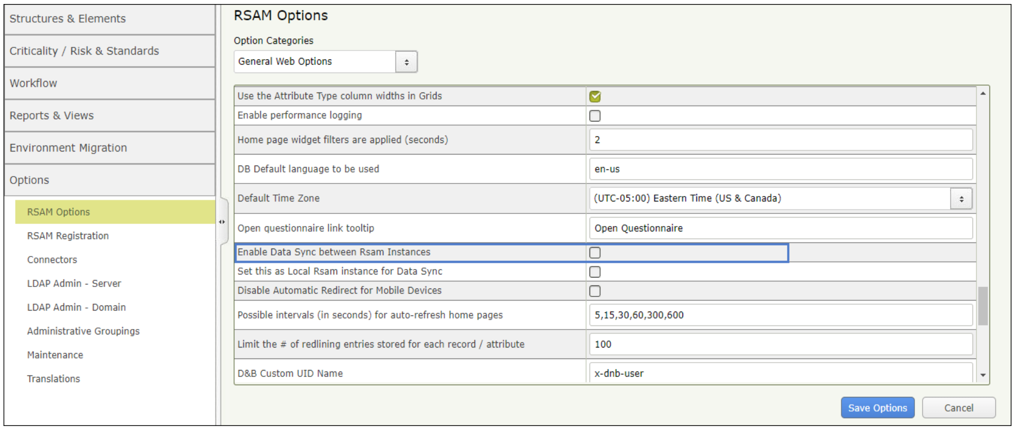
1. In the *local* instance, go to **Manage** > **Administration** > **Options** > **RSAM Options.**
2. Under **General Web Options**, select the checkbox corresponding to the following options:
    a. **Enable Data Sync between Rsam Instances**
    b. **Set this as Local Rsam instance for Data Sync**



Remote Instance

1. In the *remote* instance, go to **Manage** > **Administration** > **Options** > **RSAM Options**.

2. Under **General Web Options**, select the checkbox corresponding to the **Enable Data Sync between Rsam Instances** option.



Generating API Key

To generate an API key, perform the following steps:

1. Login to the Rsam instance and go to **Manage** > **Users**

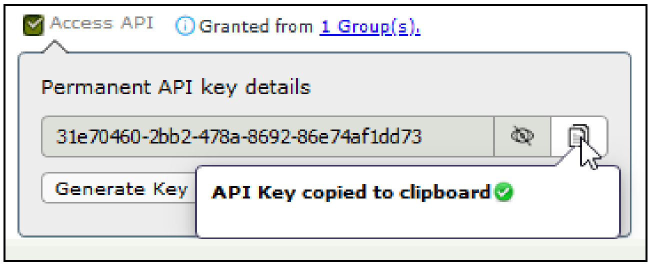
2. Select and open the user account—**TPB_API_User**

   Note: The user account—**TPB_API_User** is created and shared with the ThirdPartyBond module. If you do not have this account, create a new account or contact Support for assistance.

3. Click **Access API**

4. Click **Generate Key**

5. Click  to copy the key value.



Tip: Store the API key in a secure location, this will help you to quickly copy and paste into the respective fields whenever required.

Assigning Permission to a User Account

The API user account must have permission to access the sub-entity of the vendor objects, i.e., **Assessments**. Permission is assigned already to the **TPB_API_User** in the local instance. To assign permission in the remote instance, perform the following steps:

1. Login to the Rsam instance and go to **Manage** > **Permission Assignments**
2. Search and select the API user account—**TPB_API_User**

   Note: The user account—**TPB_API_User** is created and shared with the ThirdPartyBond module. If you do not have this account, create a new account or contact Support for assistance.

3. Under **Entity & Sub Entity**, select **Assessments**
4. Under **Special Access**, select **Add Object**
5. After making all the changes, click **Save Changes**.

   Result - The user account is granted the permission.

Updating Connectors for Data Synchronization

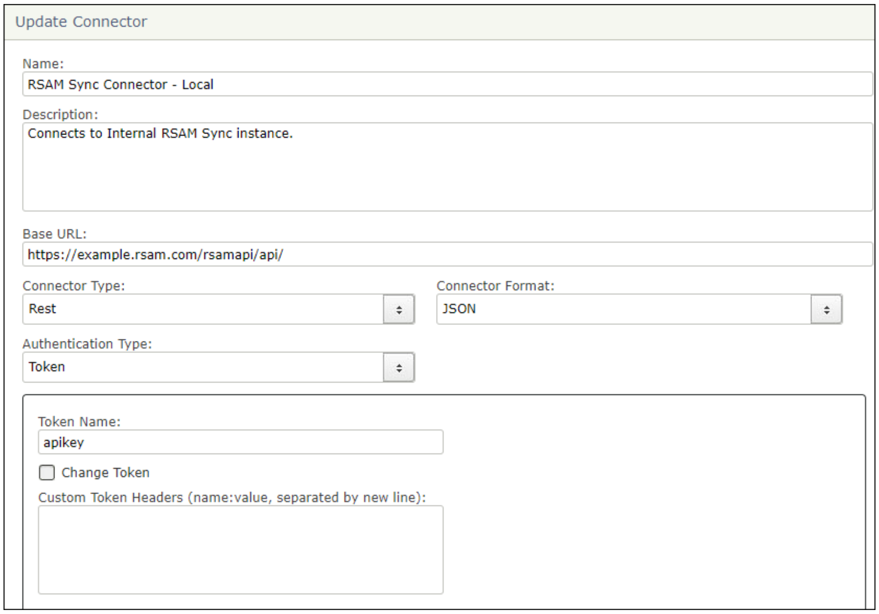
To update connectors for data synchronization, perform the following steps:

Note: Ensure you have API keys of both local and remote instances. If you have not generated them, see Generating API Key.

Local Instance

1. In the *local* instance, go to **Manage** > **Administration** > **Options** > **Connectors**.

2. Double-click to open the **Rsam Sync Connector - Local (fixed)** connector.



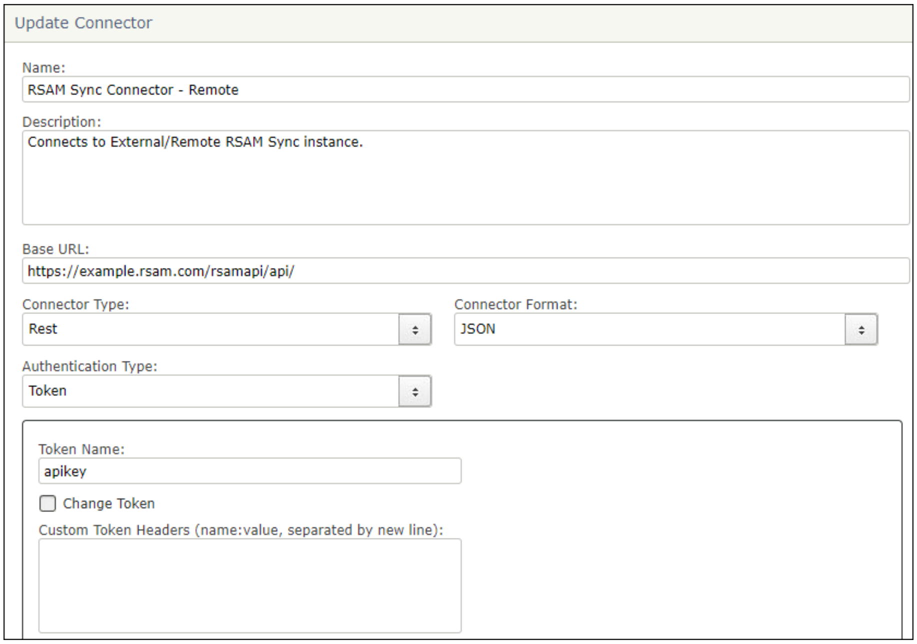
3. Enter the *local* instance details in the Update Connector dialog box.

Field Name	Description
Base URL	Enter URL of the *local* instance.
Change Token	Select this option to enter the API key. After this option is selected, the **Token** and **Confirm Token** fields appear.
Token and Confirm Token	Enter API key of the *local* instance in both the fields.

4. After entering the details, click **Save**.

   The connector details are updated.

5. Double-click to open the **Rsam Sync Connector - Remote (fixed)** connector.



6. Enter the *remote* instance details in the Update Connector dialog box.

Field Name	Description
Base URL	Enter URL of the *remote* instance.
Change Token	Select this option to enter the API key. After this option is selected, the **Token** and **Confirm Token** fields appear.
Token and Confirm Token	Enter API key of the *remote* instance in both the fields.

7. After entering the details, click **Save**.

   The connector details are updated.

Remote Instance

1. Repeat the steps in the *remote instance* of Rsam to update the connectors—**Rsam Sync Connector - Local (fixed)** and **Rsam Sync Connector - Remote (fixed)**.

Note: The instance that you are currently working on becomes the local instance.

Scheduler Tasks

The following is a list of scheduler tasks that must be executed for the ThirdPartyBond module.

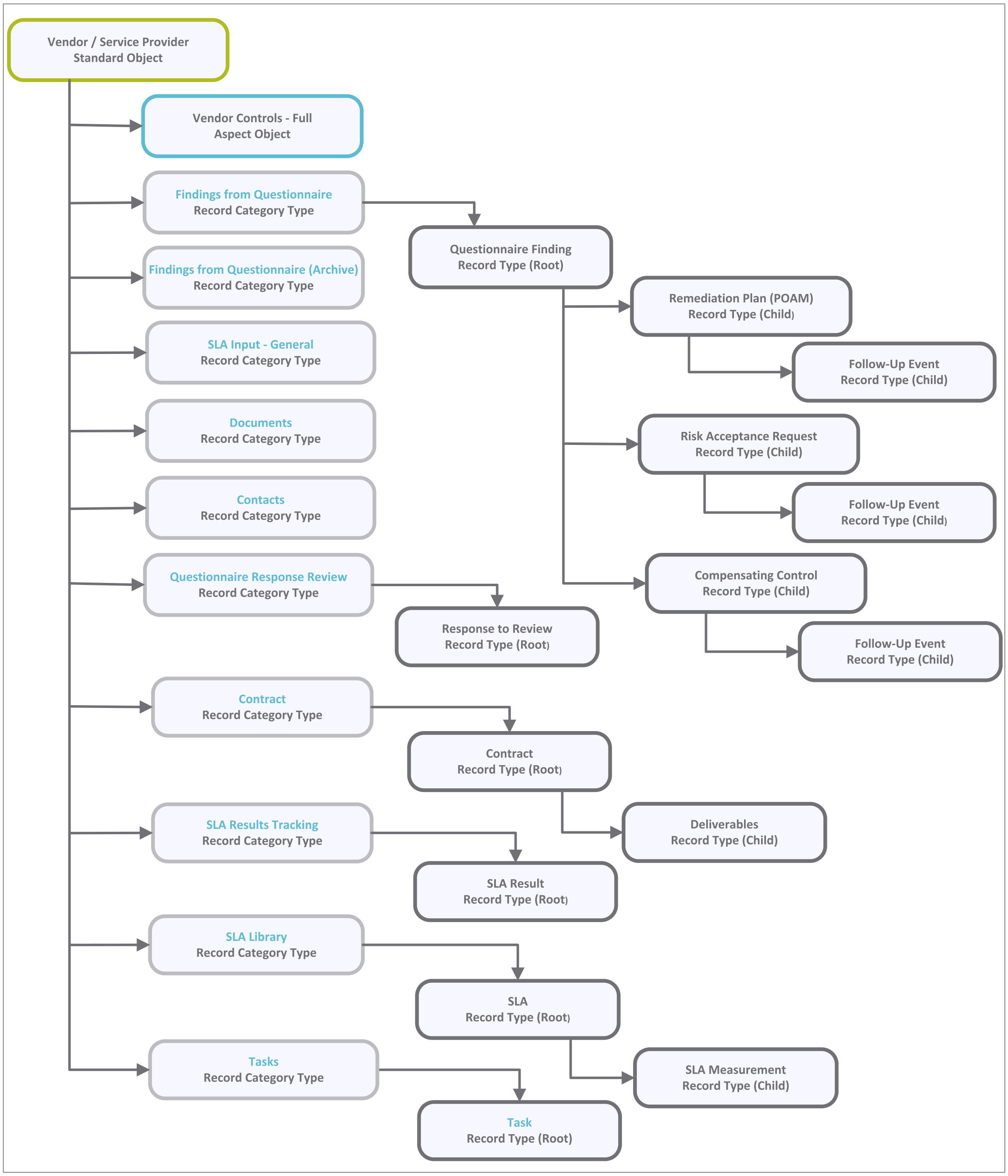
Name	Description
Sync Rsam Instances	This task synchronizes data between local and remote instances of Rsam, i.e., the local instance can *push* data to the remote instance and *pull* data from the remote instance.
VEN_Create User_ Add Permission	The task creates a new user account in the remote instance using the details from the local instance.
VEN_Send_Q_ Reviewer Notification	This task sends a notification to the Assessment Reviewer to inform them that the assessment from the vendor is ready for review.

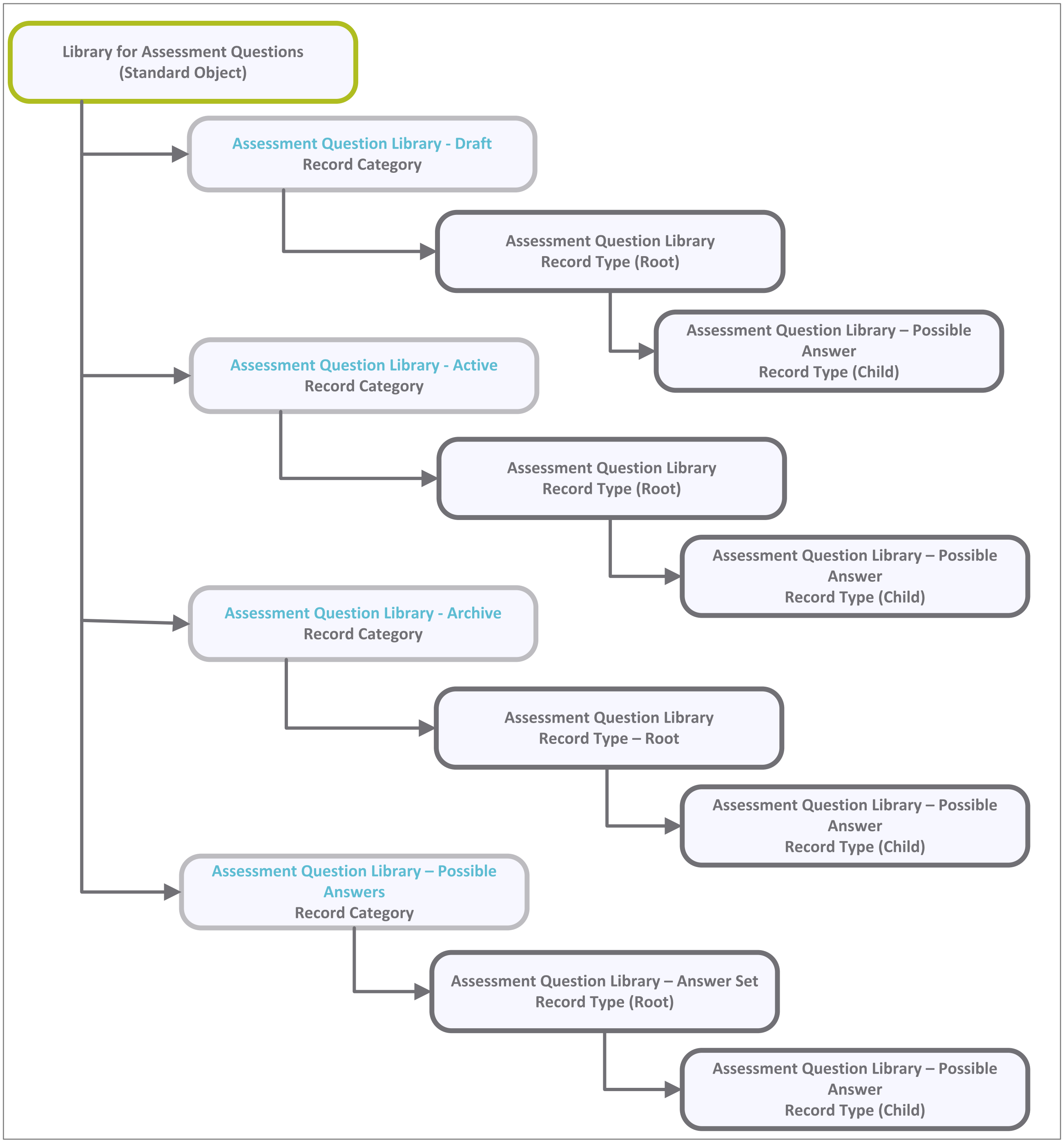
Note: The scheduler tasks are preconfigured to run at every 30-minute interval, but you can change the interval schedule or run the tasks manually when required. Only Administrator users can view and manage the scheduler tasks.

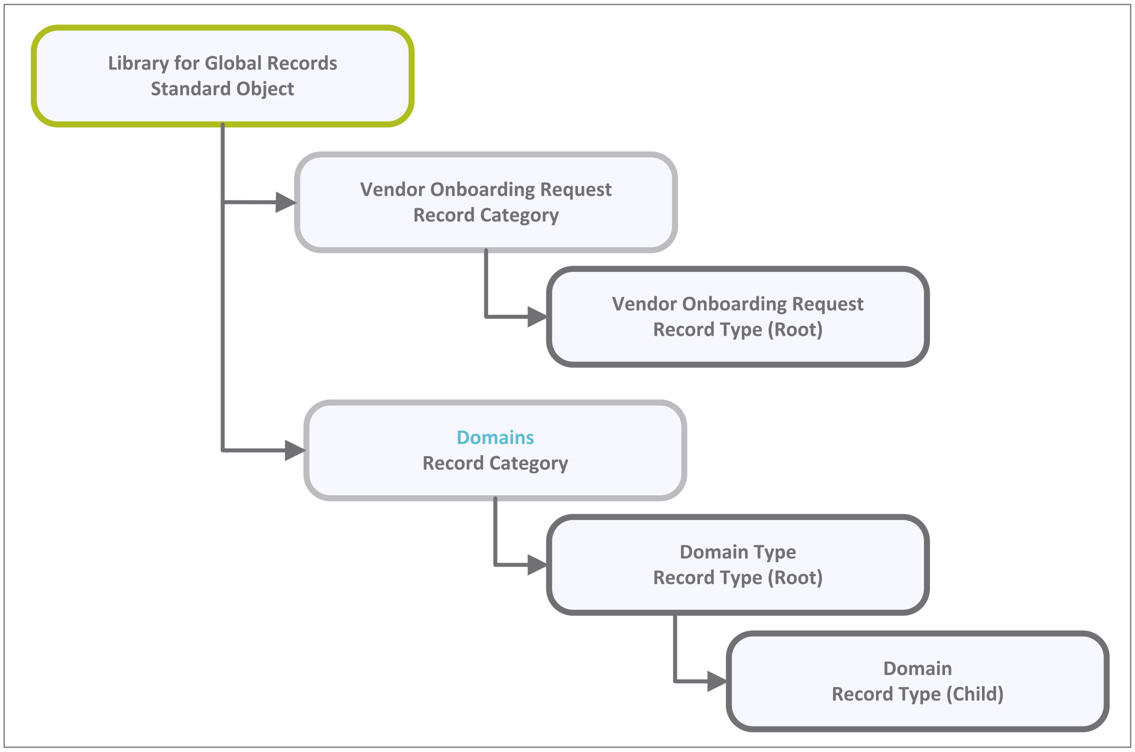
ThirdPartyBond Data Structure

All assets, controls, findings, and other ThirdPartyBond related records are stored under the *Vendor / Service Provider* object type.

Note: ThirdPartyBond supports a wide variety of aspect object types (or control assessments) that can used to assess vendors. The following diagram depicts the specific example of *Vendor Controls – Full* for the aspect object type.


Vendor / Service Provider
Standard Object
Vendor Controls - Full
Aspect Object
Findings from Questionnaire
Record Category Type
Questionnaire Finding
Record Type (Root)
Findings from Questionnaire (Archive)
Record Category Type
Remediation Plan (POAM)
Record Type (Child)
SLA Input - General
Record Category Type
Follow-Up Event
Record Type (Child)
Documents
Record Category Type
Risk Acceptance Request
Record Type (Child)
Contacts
Record Category Type
Follow-Up Event
Record Type (Child)
Questionnaire Response Review
Record Category Type
Compensating Control
Record Type (Child)
Response to Review
Record Type (Root)
Follow-Up Event
Record Type (Child)
Contract
Record Category Type
Contract
Record Type (Root)
SLA Results Tracking
Record Category Type
Deliverables
Record Type (Child)
SLA Result
Record Type (Root)
SLA Library
Record Category Type
SLA
Record Type (Root)
Tasks
Record Category Type
SLA Measurement
Record Type (Child)
Task
Record Type (Root)


Library for Assessment Questions
(Standard Object)
Assessment Question Library - Draft
Record Category
Assessment Question Library
Record Type (Root)
Assessment Question Library – Possible
Answer
Record Type (Child)
Assessment Question Library - Active
Record Category
Assessment Question Library
Record Type (Root)
Assessment Question Library – Possible
Answer
Record Type (Child)
Assessment Question Library - Archive
Record Category
Assessment Question Library
Record Type – Root
Assessment Question Library – Possible
Answer
Record Type (Child)
Assessment Question Library – Possible
Answers
Record Category
Assessment Question Library – Answer Set
Record Type (Root)
Assessment Question Library – Possible
Answer
Record Type (Child)



Object Types

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

Object Type	Usage
AQ: Library for Assessment Questions	All assessment questions originate from an Assessment Question Library. All questions, whether added manually or by importing them into Rsam, will be created under this library.
Vendor / Service Provider	A standard object that stores the attributes & criticality and information to perform assessments for a Vendor / Service provider.
Vendor Controls - Full Vendor Controls - Light	Aspect objects that store control information (separate from the criticality information) for assessing a Vendor / Service Provider. Both utilize Rsam's harmonized control questions, which cross-map to multiple domains. Light and full aspects have different depths to their assessment and are generated automatically based on the criticality of the Vendor / Service Provider.

Object Type	Usage
Library for Global Records	An object that houses various global Rsam records. In case of ThirdPartyBond, this object is used to house Vendor Onboarding Request records, which are created before the creation of a corresponding Vendor / Service Provider object.

Record Categories

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

Record Categories	Usage
AQ: Assessment Question Library – Draft	A category type that stores the Assessment Question Library Draft record type.
AQ: Assessment Question Library – Active	A category type that stores the Assessment Question Library Active record type.
AQ: Assessment Question Library – Archive	A category type that stores the Assessment Question Library Archive record type.
AQ: Assessment Question Library – Possible Answers	A category type that stores the Assessment Question Library – Possible Answers record type.
CONTACT: Contacts	A category type that stores information about vendor contacts
DOC: Documents	A category type that stores documents
VT: Tasks	A category type that stores vendor oversight activity including site visits to vendor facilities and affiliates.
QF: Findings from Questionnaire (fixed)	A category type that stores the Questionnaire Finding record type.
QF: Findings from Questionnaire (Archive)	A category type that stores the archived Questionnaire Finding record type.
QRR: Questionnaire Response Review	A category type that stores the Questionnaire Response Review record type
VEN: SLA Input – General	A category for tracking general manual SLA inputs requested from users

Record Categories	Usage
VEN: SLA Input – Phone Wait Time	A category that provides an example of how a more customized record type could be created for specific SLA input types SLA inputs requested from users
VEN: SLA Library	A category type that stores information about vendor-specific SLA targets
VEN: SLA Results Tracking	A category type that stores information about vendor-specific SLA results (i.e. performance)
VEN: Contracts	A category type that stores information about specific vendor contracts
VEN: Vendor Onboarding Request	A category type that stores the vendor onboarding request record type
VEN: Vendor Metrics	A category type that stores information about vendor risk and performance trends over time using Rsam Metrics Generator feature

Record Types

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

Record Type	Usage
AQ: Assessment Question Library (fixed)	A record representing a draft, active, or archive Assessment Questions in the library.
AQ: Assessment Question Library – Possible Answer (fixed)	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.
AQ: Assessment Question Library –Answer Set (fixed)	A child record representing the possible answers for Assessment Questions.
CONTACT: Contact	A record representing an external contact.
DOC: Document	A record representing a document received from a third party.

Record Type	Usage
FE: Follow-up Event	A record representing a specific event or task to be tracked under a Remediation Plan, Risk Acceptance Request, Compensating Control, or Assessment Procedure.
VT: Tasks	A record representing an oversight activity including site visits to vendor facilities and affiliates.
QF: Questionnaire Finding	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.
QRR: Assessment Procedure	A record representing the assessment procedures used to assess a parent Questionnaire Response Review record.
QRR: Response to Review	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.
RM: Compensating Control	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.
RM: Remediation Plan (POAM)	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.
RM: Risk Acceptance Request	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.
VEN: Contract	A record type that stores information about specific vendor contracts.
VEN: Contract Deliverable	A record type that stores information about specific contract deliverables.
VEN: Vendor Onboarding Request	A record type that tracks the request-and-approval workflow for onboarding new vendors.
VEN: SLA	A record type that stores information about vendor-specific SLA types, and which houses VEN: SLA Measurement child records that capture vendor-specific SLA targets.

Record Type	Usage
VEN: SLA Measurement	A record type that stores information about vendor-specific SLA measurement (i.e. performance).
VEN: SLA Input – General	A record for tracking general manual SLA inputs requested from users.
VEN: SLA Input – Phone Wait Time	A record that provides an example of how a more customized record type could be created for specific SLA input types SLA inputs requested from users.
VEN: SLA Result	A record type that stores information about vendor-specific SLA results (i.e. performance).
VEN: Vendor Metric: Approval Status	An out-of-the-box vendor metric record type provided primarily as an example for creating your own metrics.

Important! Depending on what other Rsam modules you have purchase, additional Category Types and Record Types from those modules might also be included within the Vendor / Service Provider object. Common examples include items from the Risk Register module and Incident Management module.

Important! There are also optional add-on configurations that support connectors to third-party intelligence feeds that integrate security and financial risk ratings, etc.

Home Page Tabs

The Baseline Configuration of the ThirdPartyBond 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. All home pages can be accessed from the **ThirdPartyBond** grouping tab in the left navigation pane.

The following table lists the Home Page Tabs available in the ThirdPartyBond.

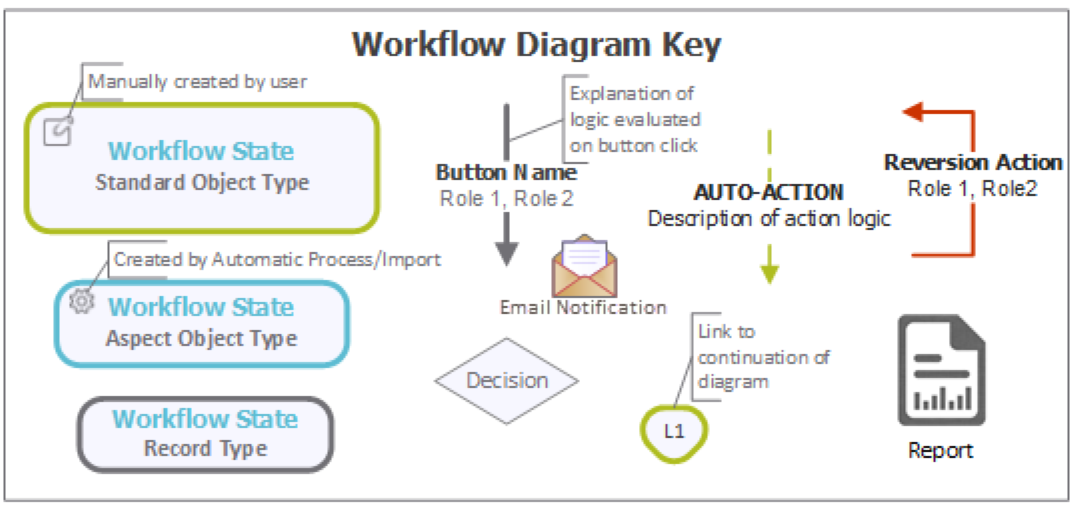
Home Page Tab	Description
TPB: Activities	Provides access to all the task-based activity center tiles for the ThirdPartyBond. Users can navigate to tasks from the relevant tiles.
TPB: Dashboards	Provides access to dashboards for all ThirdPartyBond metrics and activities.
TPB: Shortcuts	Provides quick access to the links to various record categories for the ThirdPartyBond.
VEN: VRM Team Home	A role-based home page tab for the internal VRM team (Reviewers and Managers).
VEN: Business Owner Home	Provides business owners access to submit onboarding requests for new vendors as well as to see the status of their existing requests and related vendor assessments.
VEN: Vendor Navigator	An object navigator that provides quick access to Vendor / Service Provider objects.
VEN: Top 10 Vendors Dashboard	Provides access to dashboards to compare the top-10 vendors by different types of risk and compliance scores.

ThirdPartyBond Workflows

This section provides an overview of the following workflows included in the ThirdPartyBond:

- Vendor Onboarding Workflow
- Vendor Assessment Workflow
- Questionnaire Finding Workflow
- Contract Management Workflow

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



Vendor Onboarding Workflow

This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Vendor Onboarding workflow.

Vendor Onboarding Workflow Diagram

Please see the Vendor Assessment Workflow.

Vendor Onboarding Workflow Roles

The following is a list of workflow roles (and sample users) that perform tasks associated with the states in the baseline Vendor Onboarding workflow.

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

User ID	Role Name	Admin Name	Description
r_vendor_manager	Vendor Manager	Q: Manager	This role has access to all states and buttons in the vendor onboarding workflow.
r_vendor_owner	Vendor Owner	VEN: ONBOARD: Vendor Requestor	This role is automatically assigned to the user that creates a Vendor Onboarding Request record. This is the user responsible for populating the form and submitting it to the VRM team for review, and it is often the same user that will play the role of the Business Owner / Sponsor when a Vendor Assessment workflow is initiated for the requested vendor.
r_vendor_reviewer	Vendor Reviewer	Q: Reviewer	This role is assigned at via the Vendor Reviewers group, which grants this at the Library for Global Records object (i.e. it grants the role across all Vendor Onboarding Request records). When a Vendor Onboarding Request is submitted by the Requester, this Reviewer can then request clarification, reject the request, or accept it, at which point a Vendor / Service Provider assessment object will be created.

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**.

Vendor Onboarding Workflow States

The following is a list of states associated with the baseline Vendor Onboarding workflow

Workflow State	Description
VEN: ONBOARD: Request in Draft	Initial workflow state for Vendor Onboarding Requests.
VEN: ONBOARD: Request Under Review	Indicates that the request is pending review by the VRM team.
VEN: ONBOARD: Reviewed – Out of Scope	Indicates that the request was rejected by the VRM team and deemed to be out of scope for assessment.
VEN: ONBOARD: Reviewed – In Scope	Indicates that the request was accepted by the VRM team. At this point, the Vendor Onboarding Request would be linked to a corresponding Vendor / Service Provider assessment object.

Vendor Onboarding Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Vendor / Service Provider workflow.

Button	Available to	Notification	Description
VEN: ONBOARD: Submit Onboarding Request	VEN: ONBOARD: Vendor Requestor Q: Manager	Yes	Available in the **VEN: ONBOARD: Request in Draft** state. By clicking this button, a requester submits the request to the VRM team for review.
VEN: ONBOARD: Request Additional Information	Q: Reviewer Q: Manager	Yes	Available in the **VEN: ONBOARD: Request Under Review** state. By clicking this button, the reviewer sends the request back to the requester for additional information.
VEN: ONBOARD: Out of Scope for Assessment	Q: Reviewer Q: Manager	Yes	Available in the **VEN: ONBOARD: Request Under Review** state. By clicking this button, the reviewer rejects the request and ends the onboarding workflow.

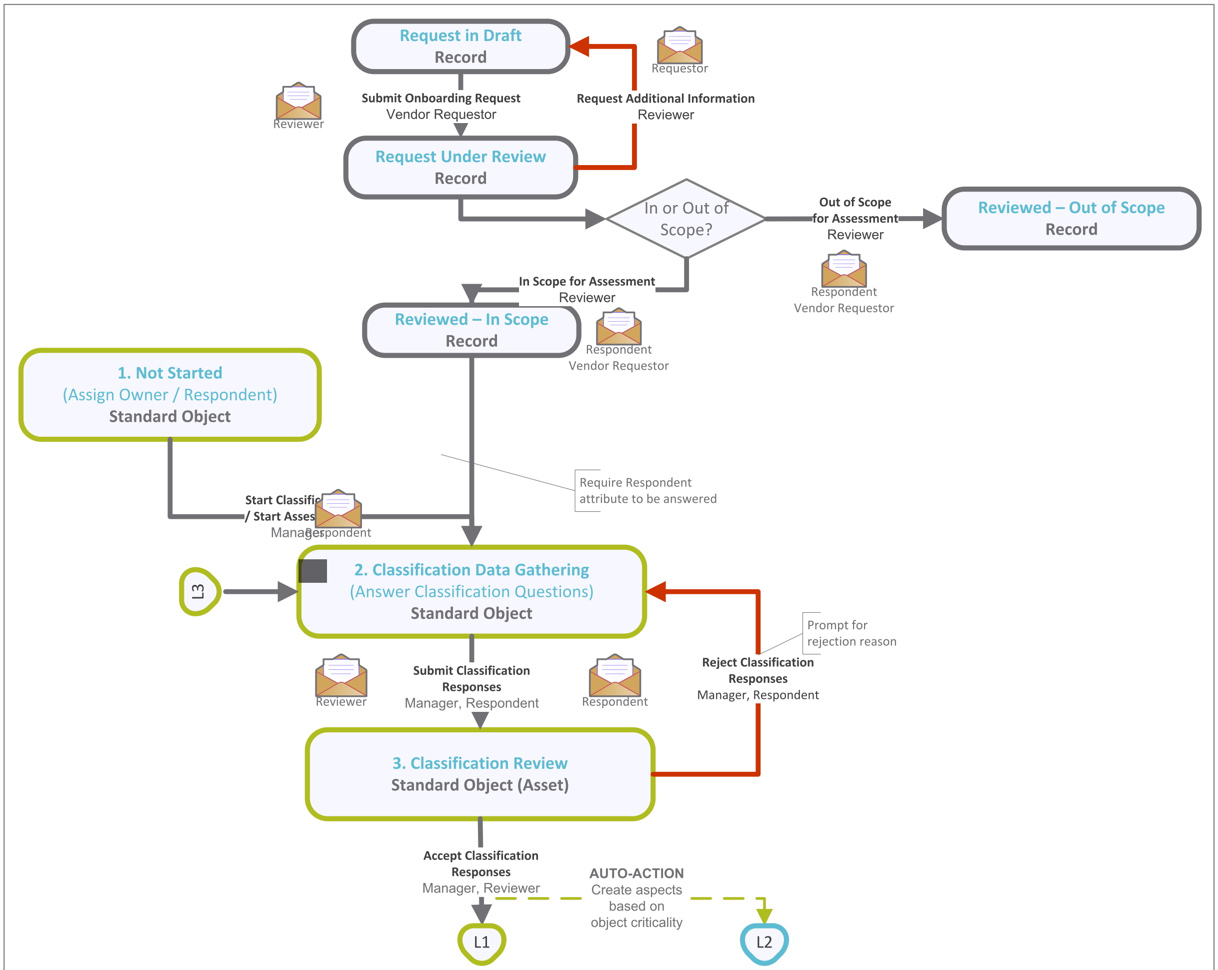
Button	Available to	Notification	Description
VEN: ONBOARD: In Scope for Assessment	Q: Reviewer Q: Manager	Yes	Available in the **VEN: ONBOARD: Request Under Review** state. By clicking this button, the reviewer accepts the request, which creates a Vendor / Service Provider object and initiates the Vendor Assessment workflow.
VEN: ONBOARD: Reset Work-flow	Q: Manager	No	Available in the **VEN: ONBOARD: Request Under Review**, **VEN: ONBOARD: Request Rejected**, and **VEN: ONBOARD: Request Accepted** states. By clicking this button, the manager moves the onboarding request to the **VEN: ONBOARD: Request in Draft** state.

Vendor Assessment Workflow

This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Vendor Assessment workflow.

Vendor Life-Cycle and Assessment Workflow Diagram

Below are the baseline workflow diagrams for Vendor / Service Provider objects. In this workflow, the root object stores the attributes and criticality, and the aspects store controls and responses.



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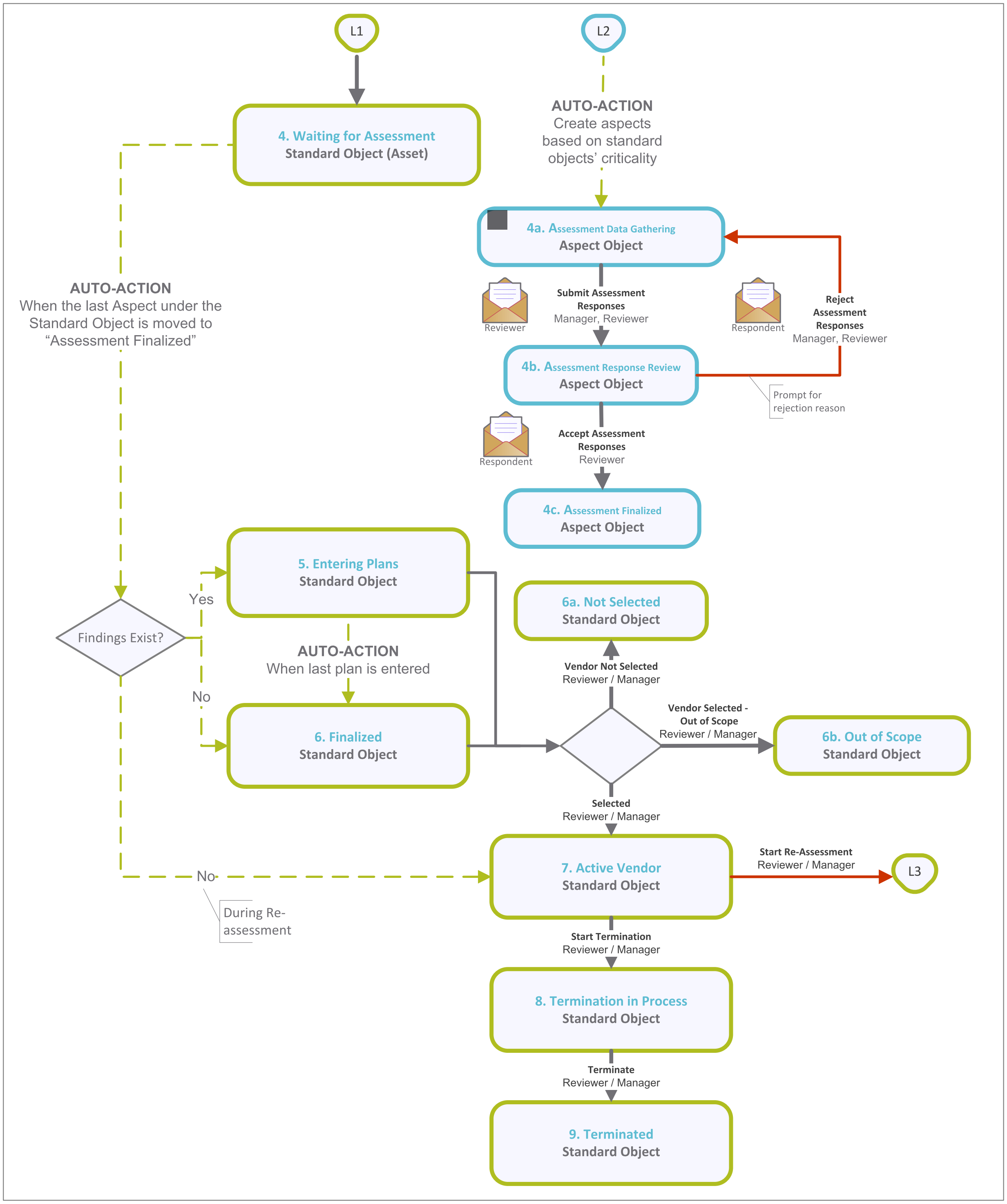


L1
L2
4. Waiting for Assessment
Standard Object (Asset)
AUTO-ACTION
Create aspects
based on standard
objects' criticality
4a. Assessment Data Gathering
Aspect Object
Reviewer
Submit Assessment
Responses
Manager, Reviewer
Respondent
Reject
Assessment
Responses
Manager, Reviewer
AUTO-ACTION
When the last Aspect under the
Standard Object is moved to
"Assessment Finalized"
4b. Assessment Response Review
Aspect Object
Prompt for
rejection reason
Respondent
Accept Assessment
Responses
Reviewer
4c. Assessment Finalized
Aspect Object
5. Entering Plans
Standard Object
Yes
Findings Exist?
6a. Not Selected
Standard Object
AUTO-ACTION
When last plan is entered
Vendor Not Selected
Reviewer / Manager
No
Vendor Selected -
Out of Scope
Reviewer / Manager
6. Finalized
Standard Object
6b. Out of Scope
Standard Object
Selected
Reviewer / Manager
7. Active Vendor
Standard Object
Start Re-Assessment
Reviewer / Manager
L3
No
During Re-
assessment
Start Termination
Reviewer / Manager
8. Termination in Process
Standard Object
Terminate
Reviewer / Manager
9. Terminated
Standard Object

Vendor Assessment Workflow Roles

The following is a list of workflow roles (and sample users) to perform tasks associated with the states in the baseline Vendor Assessment workflow.

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

User ID	Role Name	Description
r_vendor_ manager	Q: Manager	This role allows a user to perform all the tasks in each Vendor / Service Provider workflow state.
r_vendor_ owner	Q: Respondent	This role is assigned at the Vendor / Service Provider (object) level to the users that are responsible for answering the classification/criticality questionnaire related to that object (typically the business sponsor). 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).
r_vendor_ reviewer	Q: Reviewer	This role is assigned at the Vendor / Service Provider (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).
r_vendor_ respondent	VEN: Vendor Respondent	This role is assigned at the Vendor / Service Provider (object) level to the users in the vendor organization that are responsible for answering the control assessment aspect questionnaires related to that object. This role is also able to submit action plans for questionnaire findings generated form the responses.

Vendor Assessment Workflow States

The following is a list of states associated with the baseline Vendor Assessment workflow:

Workflow State	Description
VEN: 1. Not Started	Initial workflow state for standard Vendor / Service Provider objects. Objects in this state are idle and typically await a vendor manager to assign a business owner and start the assessment.

Workflow State	Description
VEN: 2. Classification Data Gathering	A Vendor / Service Provider object enters this state when a vendor manager has successfully assigned & started the assessment. In this state, the information is gathered on the standard (root-level) object. Typically, a business owner or risk analyst answers the attributes and provides criticality information.
VEN: 3. Classification Review	A Vendor / Service Provider object enters this state when a business owner or a risk analyst 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.
VEN: 4. Waiting for Assessment	A Vendor / Service Provider 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.
VEN: 4a. Assessment Data Gathering	Initial workflow state for the light and full control questionnaire aspect. In this state, a vendor respondent answers control questions.
VEN: 4b. Assessment Response Review	An aspect enters this state when a vendor respondent 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.
VEN: 4c. Assessment Finalized	A Vendor / Service Provider object enters this state when the assessment responses have been accepted. This is the last workflow state for control aspects.
VEN: 5. Entering Plans	A Vendor / Service Provider 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.
VEN: 6. Finalized	A Vendor / Service Provider object enters this workflow state when all plans have been submitted for questionnaire findings. Follow-ups may continue for the records & plans under this object.

Workflow State	Description
VEN: 6a. Not Selected	A Vendor / Service Provider enters this workflow state if users chose to manage vendor using life-cycle approach to indicate that vendor/service provider was not selected.
VEN: 6b. Out of Scope	A Vendor / Service Provider enters this workflow state if users chose to manage vendor using life-cycle approach to indicate that that vendor/service provider was selected however is not in scope for oversight.
VEN: 7. Act-ive Vendor	A Vendor / Service Provider enters this workflow state if users chose to manage vendor using life-cycle approach to indicate that this is an active vendor.
VEN: 8. Ter-mination in Process	A Vendor / Service Provider enters this workflow state before relationship with vendor/service provider is retired to perform relationship closure activity.
VEN: 9. Ter-minated	A Vendor / Service Provider enters this workflow state upon complete termination of the relationship. This is the last workflow state in vendor life-cycle.

Vendor Assessment Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Vendor / Service Provider workflow.

Button	Available to	Notification	Description
VEN: Start Classification	Q: Manager	Yes	Available in the **Not Started** state. By clicking this button, a manager initiates the classification process and moves the workflow to the **Classification Data Gathering** state. This applies to objects that have their control aspects under them.
VEN: Submit Classification Responses	Q: Respondent Q: Manager	Yes	Available in the **Classification Data Gathering** state. By clicking this button, a responder submits the classification responses and moves the workflow to the **Classification Review** state.

Button	Available to	Notification	Description
VEN: Accept Classification Responses	Q: Reviewer Q: Manager	Yes	Available in the **Classification Review** state. By clicking this button, a reviewer accepts the classification responses and moves an object to the **Waiting for Assessment** state. In parallel, the control aspects are launched and are sent to the **Assessment Data Gathering** state.
VEN: Reject Classification Responses	Q: Reviewer Q: Manager	Yes	Available in the **Classification Review** state. By clicking this button, a reviewer rejects the classification responses and moves an object back to the **Classification Data Gathering** state.
VEN: Submit Assessment Responses	Q: Respondent Q: Manager VEN: Vendor Respondent	Yes	Available in the **Assessment Data Gathering** state. By clicking this button, a respondent submits the control assessment responses and moves the object to the **Assessment Response Review** state.
VEN: Accept Assessment Responses	Q: Reviewer Q: Manager	Yes	Available in the **Assessment Response Review** state. By clicking this button, a reviewer accepts the control assessment responses and moves an object to the **Assessment Finalized** 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 **Entering Plans** state.
VEN: Reject Assessment Responses	Q: Reviewer Q: Manager	Yes	Available in the **Assessment Response Review** state. By clicking this button, a reviewer rejects the classification responses and moves an object back to the **Assessment Data Gathering** state.
VEN: Revert to Entering Plans	Q: Manager	No	Available in the **Finalized** state. Clicking this button moves the workflow to the **Entering Plans** state.
VEN: Revert to Classification Data Gathering	Q: Manager	No	Available in the **Classification Review**, **Waiting for Assessment**, **Entering Plans**, and **Finalized** states. Clicking this button moves the workflow to the **Classification Data Gathering** state.

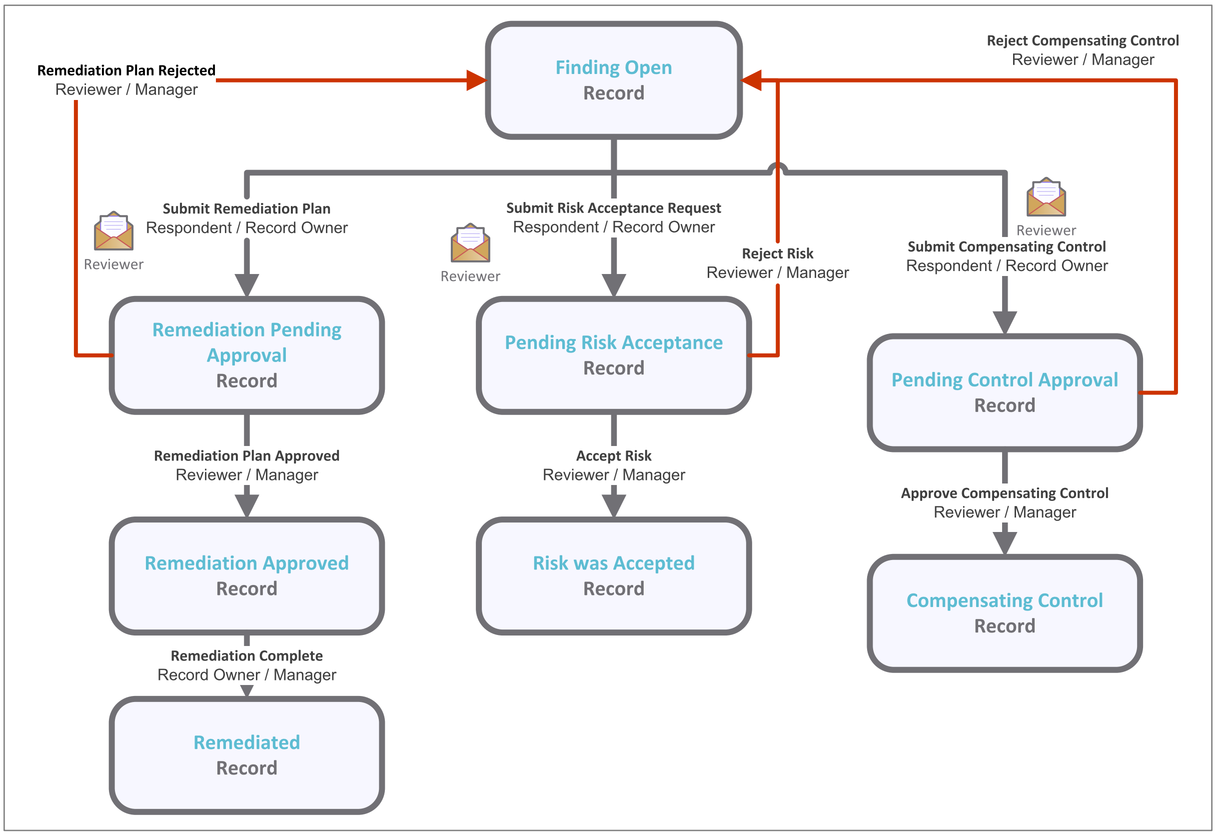
Button	Available to	Notification	Description
VEN: Revert to Classification Review	Q: Manager	No	Available in the **Waiting for Assessment**, **Entering Plans**, and **Finalized** states. Clicking this button moves the workflow to the **Classification Review** state.
VEN: Revert to Assessment Data Gathering	Q: Manager	No	Available in the **Assessment Response Review**, **Waiting for Assessment**, **Entering Plans**, and **Assessment Finalized** states. Clicking this button moves the workflow to the **Assessment Data Gathering** state.
VEN: Revert to Assessment Review	Q: Manager	No	Available in the **Assessment Finalized** state. Clicking this button moves the workflow to the **Assessment Response Review** state.
VEN: Vendor Not Selected	Q: Reviewer Q: Manager	No	Available in the **Assessment Finalized** state. Clicking this button moves the workflow to the **Not Selected** state.
VEN: Vendor Selected - Out of Scope	Q: Reviewer Q: Manager	No	Available in the **Assessment Finalized** state. Clicking this button moves the workflow to the **Out of Scope** state.
VEN: Selected	Q: Reviewer Q: Manager	No	Available in the **Assessment Finalized** state. Clicking this button moves the workflow to the **Active Vendor** State.
VEN: Start Re-Assessment	Q: Reviewer Q: Manager	No	Available in the **Active Vendor** state. Clicking this button moves the workflow to the **Classification Data Gathering** state.
VEN: Start Termination	Q: Reviewer Q: Manager	No	Available in the **Active Vendor** state. Clicking this button moves the workflow to the **Termination in Process** state.
VEN: Terminate	Q: Reviewer Q: Manager	No	Available in the **Termination in Process** state. Clicking this button moves the workflow to the **Terminated** workflow state.

Questionnaire Finding Workflow

This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Questionnaire Finding workflow.

Questionnaire Finding Workflow Diagram

Below is the baseline Questionnaire Finding workflow:



Questionnaire Finding 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 Name	Description
r_vendor_ manager	QF: Questionnaire Finding Record Owner	This role is assigned to the users responsible for submitting plans for specific questionnaire findings. This role is similar to the VEN: Respondent role, though it is typically only granted access to one or more questionnaire findings, and not the entire object.
r_vendor_ owner	QF: Questionnaire Finding Reviewer	This role is assigned to the users responsible to review submitted plans for specific questionnaire findings. This role is similar to the VEN: Reviewer role though it is typically only granted access to one or more questionnaire findings, and not the entire object.
r_vendor_ reviewer	QF: Questionnaire Finding Manager	This role is assigned to the users responsible to manage all the questionnaire findings including performing any workflow action. This role is similar to the VEN: Manager role though it is typically only granted access to one or more questionnaire findings, and not the entire object.
r_vendor_ respondent	VEN: Vendor Respondent	This role is assigned to the vendor users responsible for submitting plans for specific questionnaire findings.

Questionnaire Finding Workflow States

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

Workflow State	Description
QF: Finding Open (from questionnaire)	The initial workflow state for a questionnaire finding.
RM: Remediation Pending Approval	A questionnaire finding enters this workflow state when a remediation plan has been created and submitted for approval.
RM: Remediation Approved	A questionnaire finding enters this state when a remediation plan has been approved by a reviewer.
RM: Remediated	A questionnaire finding enters this state when an approved remediation plan has been flagged as complete.
RM: Pending Risk Acceptance	A questionnaire finding enters this state when a risk acceptance request has been created and submitted for approval.
RM: Risk was Accepted	A questionnaire finding enters this state when a risk acceptance request has been approved.

Workflow State	Description
RM: Pending Control Approval	A questionnaire finding enters this state when a compensating control has been created and submitted for approval.
RM: Compensating Control	A questionnaire finding enters this state when a compensating control has been approved by a reviewer.

Questionnaire Finding 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
RM: Submit Remediation Plan	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager VEN: Vendor Respondent	Yes	Available in the **Finding Open** state. This button is available for a respondent or record owner to submit a remediation plan. By clicking this button, a respondent or record owner moves the remediation plan record workflow to the **Remediation Pending Approval** state.
RM: Remediation Plan Approved	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Remediation Pending Approval** state. By clicking this button, a reviewer approves a remediation plan and moves the remediation plan record workflow to the **Remediation Approved** state.
RM: Remediation Plan Rejected	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Remediation Pending Approval** state. By clicking this button, a reviewer rejects a remediation plan and moves the remediation plan record workflow to the **Finding Open** state.

Button	Available to	Notification	Description
RM: Remediation Complete	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	No	Available in the **Remediation Approved** state. By clicking this button, a respondent or record owner flags a remediation as completed to move the remediation plan record workflow to the **Remediated** state.
RM: Submit Risk Acceptance Request	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the **Finding Open** state. This button is available for a respondent or record owner to submit a risk acceptance request. By clicking this button, a respondent or record owner moves the risk acceptance request record to the **Pending Risk Acceptance** state.
RM: Accept Risk	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Pending Risk Acceptance** state. By clicking this button, a reviewer accepts a risk acceptance requests and moves the risk acceptance record workflow to the **Risk was Accepted** state.
RM: Reject Risk	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Pending Risk Acceptance** state. By clicking this button, a reviewer rejects a risk acceptance requests and moves the risk acceptance record workflow to the **Finding Open** state.

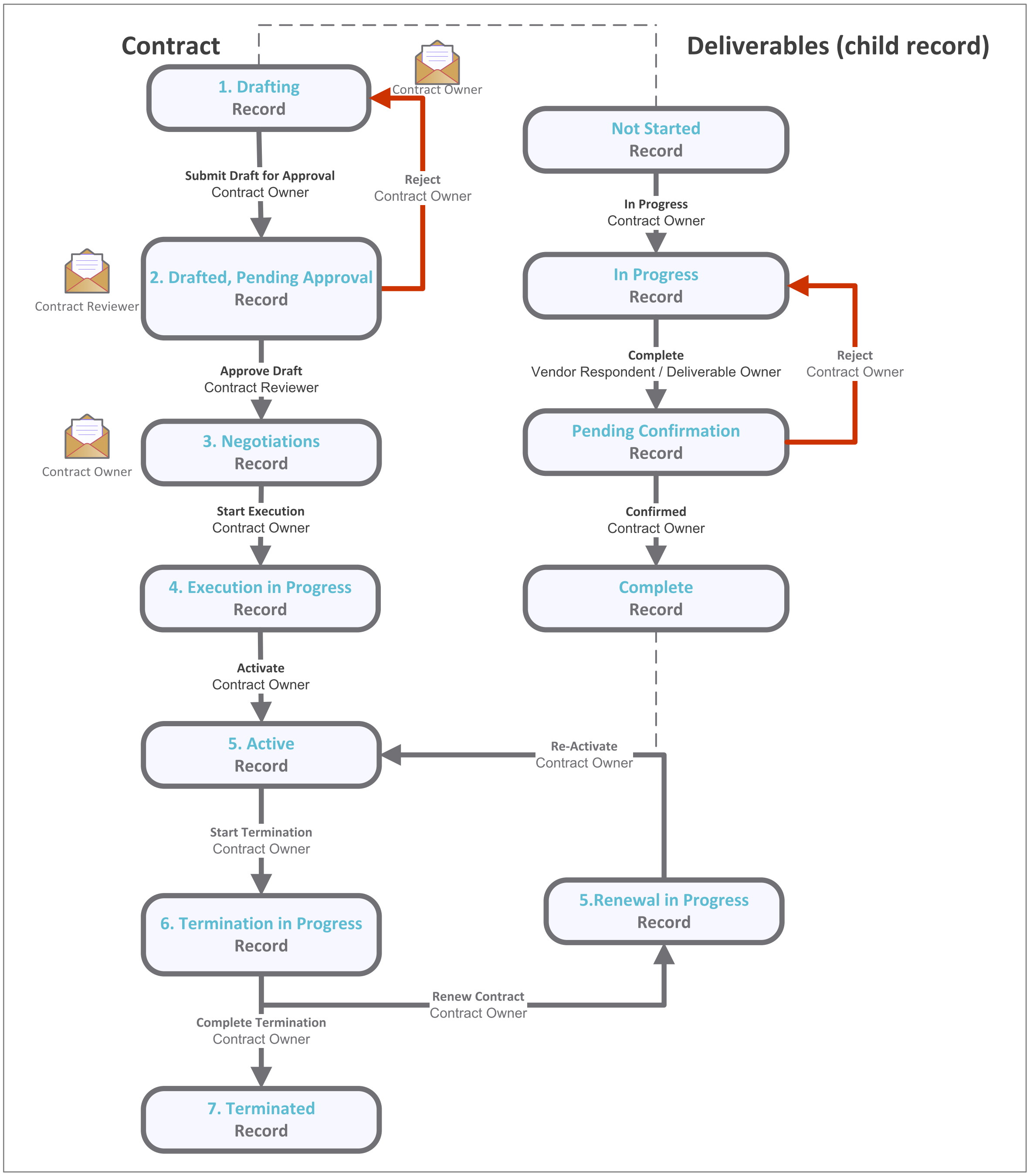
Button	Available to	Notification	Description
RM: Submit Compensating Control	QF: Questionnaire Finding Record Owner QF: Questionnaire Finding Manager Q: Respondent Q: Manager	Yes	Available in the **Finding Open** state. This button is available for a respondent or record owner to submit a compensating control. By clicking this button, a respondent or record owner moves the compensating control record workflow to the **Pending Control Approval** state.
RM: Approve Compensating Control	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Pending Control Approval** state. By clicking this button, a reviewer approves a compensating control and moves the compensating control record workflow to the **Compensating Control** state.
RM: Reject Compensating Control	QF: Questionnaire Finding Reviewer QF: Questionnaire Finding Manager Q: Reviewer Q: Manager	No	Available in the **Pending Control Approval** state. By clicking this button, a reviewer rejects a compensating control and moves the compensating control record workflow to the **Finding Open** state.
RM: Revert to Open	QF: Questionnaire Finding Manager VEN: Manager	No	Available in all the states except the **Finding Open** state. By clicking this button, a manager moves the workflow back to the **Finding Open** state.

Contract Management Workflow

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

Contract Management Workflow Diagram

Below is the baseline Contract Management workflow:



Contract Management Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Contract workflow:

Role	Description
VEN: CONTRACT: Contract Owner	This role is assigned to the user who is responsible for drafting the contract and shepherding it through the workflow.
VEN: CONTRACT: Contract Reviewer	This role is assigned to the user who is responsible for reviewing and either approving/rejecting the contract draft submitted by the contract owner.
VEN: CONTRACT: DELIVERABLE: Deliverable Owner	This role is designated for user who is assigned to contract deliverable; usually representative from Vendor / Service Provider.

Contract Management Workflow States

The following is a list of states associated with the baseline Contract Management workflow:

Workflow State	Description
VEN: CONTRACT: Drafting	Initial workflow state for a contract.
VEN: CONTRACT: Drafted, Pending Approval	Review state once initial draft has been completed.
VEN: CONTRACT: Negotiations	State for tracking negotiations, which occur primarily outside of Rsam.
VEN: CONTRACT: Execution in Progress	State for tracking execution of signatures once negotiation is finalized.
VEN: CONTRACT: Active	Designates that the contract is currently in an active (executed) status, though it may or may not be effective (Effective Date is captured separately from the workflow state, as a contract can be executed before it has gone into effect).
VEN: CONTRACT: Termination in Progress	State to designate that he contracts termination date is approaching and that it either needs to be renewed of decommissioned according to applicable policies.
VEN: CONTRACT: Terminated	Designates an expired contract that has not been renewed.

Workflow State	Description
VEN: CONTRACT: Renewal in Progress	Designates that a renewal workflow is in progress.
VEN: CONTRACT DELIVERABLE: Not Started	Designates that a contract deliverable is not started.
VEN: CONTRACT DELIVERABLE: In Progress	Designates that a contract deliverable in progress.
VEN: CONTRACT DELIVERABLE: Pending Confirmation	Designates that a contract deliverable is pending confirmation by Contract Owner.
VEN: CONTRACT DELIVERABLE: Complete	Designates that a contract deliverable is complete.

Contract Management Workflow Buttons

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

Button	Available to	Notification	Description
VEN: CONTRACT: Submit Draft for Approval	VEN: CONTRACT: Contract Owner	Yes	Contract Owner submits a draft for review by the contract reviewer.
VEN: CONTRACT: Approve Draft	VEN: CONTRACT: Contract Reviewer	Yes	Contract reviewer approves the draft and moves contract into the negotiations state.

Button	Available to	Notification	Description
VEN: CONTRACT: Reject Draft	VEN: CONTRACT: Contract Reviewer	Yes	Contract reviewer rejects the draft and moves it back to the **Drafting** state.
VEN: CONTRACT: Start Execution	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract to the **Execution** state.
VEN: CONTRACT: Activate	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract to the Active state. Moves Vendor /Service Provider into **Active Vendor** state
VEN: CONTRACT: Re-Activate	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract to the **Activate** state. Moves Vendor /Service Provider into **Active Vendor** state.
VEN: CONTRACT: Start Termination	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract and the Vendor / Service Provider into the **Termination in Progress** state to begin capturing decommissioning information, or to start on a renewal workflow.
VEN: CONTRACT: Complete Termination	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract into the Terminated to designate that the contract is no longer active.
VEN: CONTRACT: Renew Contract	VEN: CONTRACT: Contract Owner	No	Contract Owner moves the contract into the **Renewal in Progress** state, from which it will ultimately move back into the **Active** state.
VEN: CONTRACT: Reset Workflow	VEN: CONTRACT: Contract Owner	Yes	Allows the Contract Owner to reset the workflow in case of mistaken button clicks, etc. Contracts will still have to go through a review once they have had their workflows reset.

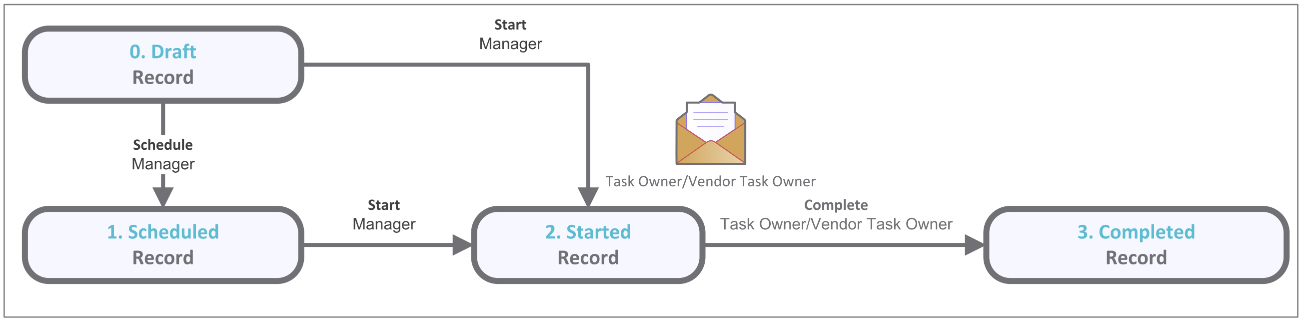
Button	Available to	Notification	Description
VEN: CONTRACT: DELIVERABLE: In Progress	VEN: CONTRACT: Contract Owner	No	Contract Owner moves contract deliverable to in progress
VEN: CONTRACT: DELIVERABLE: Complete	VEN: CONTRACT: DELIVERABLE: Deliverable Owner VEN: CONTRACT: Contract Owner	No	Deliverable Owner marks deliverable complete
VEN: CONTRACT: DELIVERABLE: Confirmed	VEN: CONTRACT: Contract Owner	No	Contract Owner marks deliverable as confirmed.
VEN: CONTRACT: DELIVERABLE: Reject	VEN: CONTRACT: Contract Owner	No	Contract owner moves contract deliverable back to in process state.

Task Management System Workflow

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

Task Management Workflow

Below is the baseline Task Management workflow:



Task Management Workflow Roles

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

Workflow Role	Description
VT: Task Owner	This role is assigned to the business owner responsible for task completion.
VT: Vendor Task Owner	This role is assigned to the vendor respondent responsible for task completion.

Task Management Workflow States

The following is a list of states associated with the baseline Task Management workflow:

Workflow State	Description
VT: 0. Draft	Initial workflow state for a task.
VT: 1. Scheduled	Record moves to scheduled state once manager assigns a new task to task owner.
VT: 2. Started	Record moves to started state once manager assigns a new task to task owner and starts it.
VT: 3. Completed	Record moves to **Completed** state once task owner marks task as complete.

Task Management Workflow Buttons

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

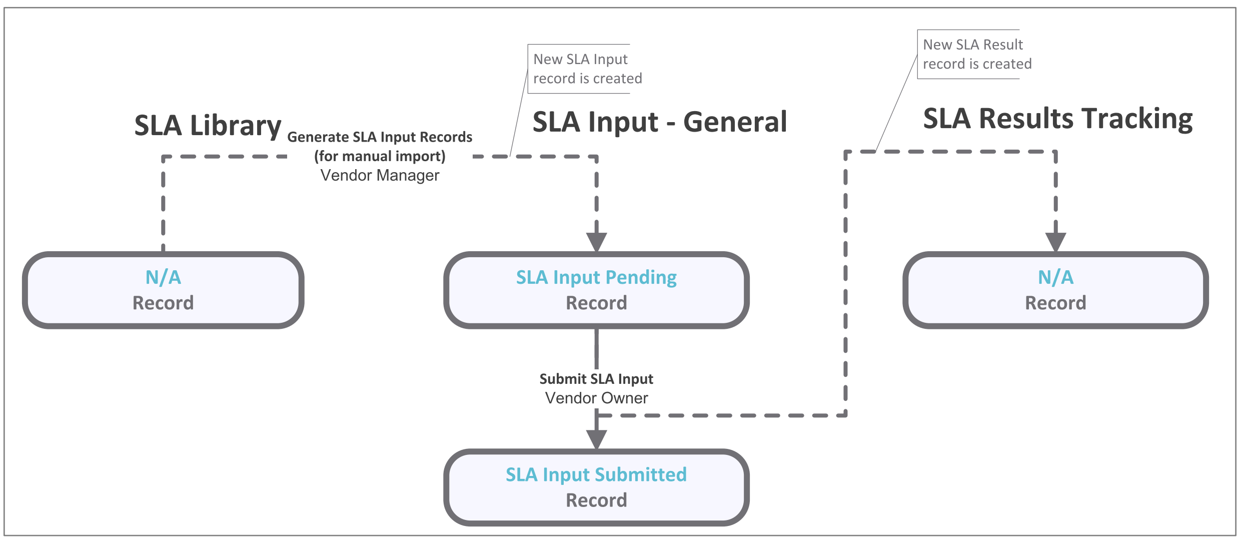
Button	Available to	Notification	Description
VT: Start	Q: Manager	Yes	Manager starts a new task.
VT: Schedule	Q: Manager	No	Manager schedules a new task.
VT: Complete	VT: Task Owner	No	Task owner completes assigned tasks.

SLA Library Workflow

This section covers the workflow diagram, workflow states, and workflow buttons associated with the baseline SLA Library workflow.

SLA Library Workflow Diagram

Below is the baseline Task Management workflow:



SLA Library Workflow States

The following is a list of states associated with the baseline SLA Library workflow:

Workflow State	Description
SLA Input Pending	A workflow that indicates SLA inputs are being gathered from vendor owner or other responsible party.
SLA Input Submitted	A workflow that indicates SLA inputs have been submitted and a new SLA result record has been generated.

SLA Library Workflow Buttons

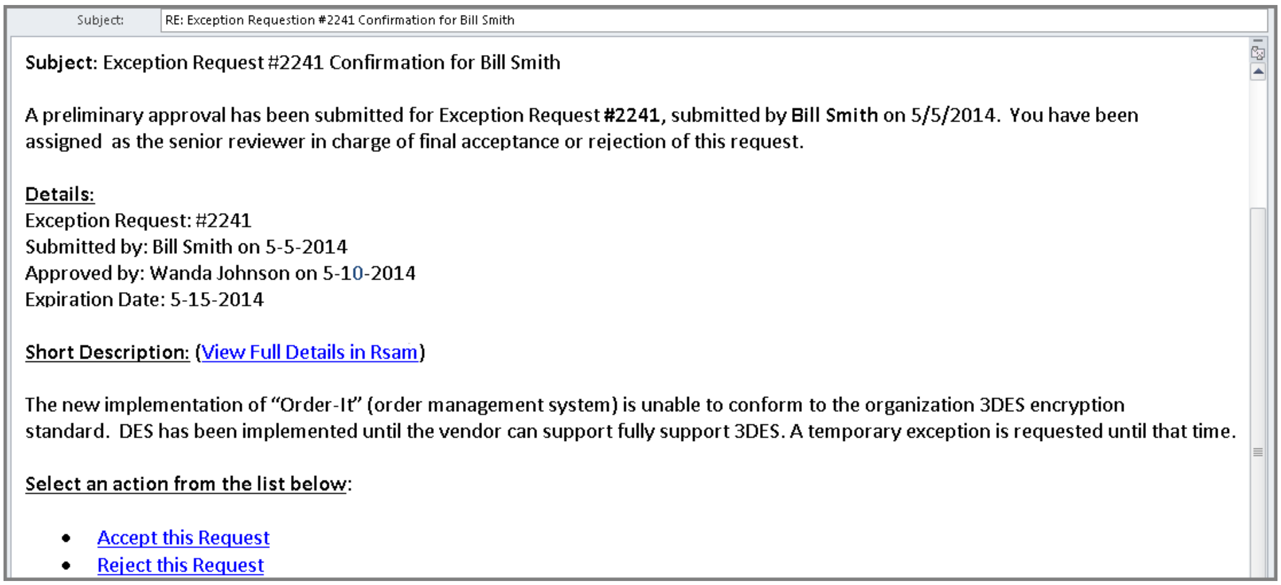
The following is a list of buttons that are available in the various states of the baseline SLA Library workflow:

Button	Available to	Notification	Description
Generate SLA Input Records (for manual import)	Vendor Manager	No	Used to create new SLA Input records and initiate new SLA data gathering cycle.
Submit SLA Input	Vendor Owner	No	Used to submit SLA data inputs. This action will also create new SLA results tracking record.

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.



Subject: RE: Exception Requestion #2241 Confirmation for Bill Smith

Subject: Exception Request #2241 Confirmation for Bill Smith

A preliminary approval has been submitted for Exception Request **#2241**, submitted by **Bill Smith** on 5/5/2014. You have been assigned as the senior reviewer in charge of final acceptance or rejection of this request.

Details:
Exception Request: #2241
Submitted by: Bill Smith on 5-5-2014
Approved by: Wanda Johnson on 5-10-2014
Expiration Date: 5-15-2014

Short Description: (View Full Details in Rsam)

The new implementation of "Order-It" (order management system) is unable to conform to the organization 3DES encryption standard. DES has been implemented until the vendor can support fully support 3DES. A temporary exception is requested until that time.

Select an action from the list below:

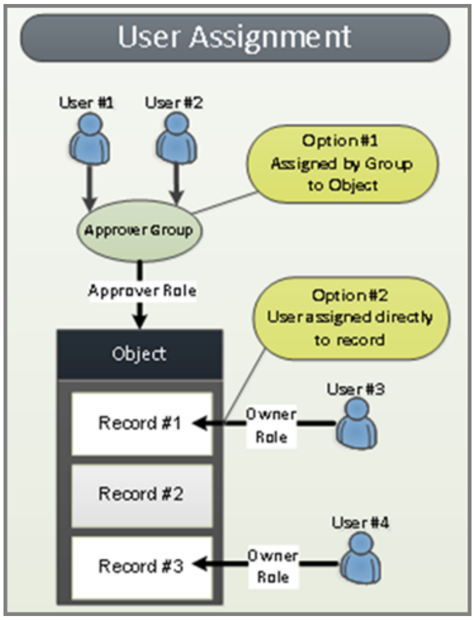
- Accept this Request
- Reject this Request

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.


User Assignment
User #1
User #2
Option #1
Assigned by Group
to Object
Approver Group
Approver Role
Option #2
User assigned directly
to record
Object
User #3
Record #1
Owner
Role
Record #2
User #4
Record #3
Owner
Role

Appendix 3: Rsam Documentation

ThirdPartyBond Tutorial

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

Online Help

This document provides an overview of the ThirdPartyBond 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.