



Vendor Risk Management Module

Assessments Step-by-Step Tutorial

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About Rsam Tutorials

The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.

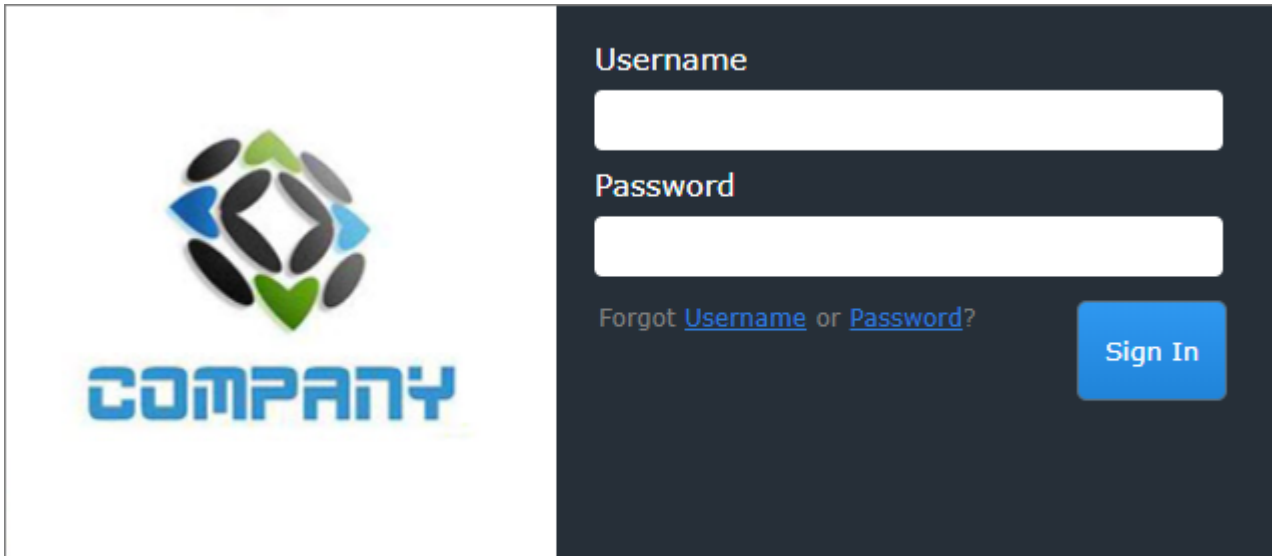
Rsam Sandbox Environment

Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization's internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as www.whatismyip.com, or contact your organization's Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

Sign-In Page

Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign-In page so that you can easily toggle between various sample accounts used throughout the tutorial.



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

Vendor Risk Management Module Overview

Features and Benefits

Rsam Vendor Risk Management module helps organizations automate the entire vendor risk management lifecycle – from vendor onboarding and initialization through risk assessment, remediation planning, and ongoing risk and performance monitoring. The Rsam Vendor Risk Management module provides the following capabilities and benefits:

- Role-based workflows enable effective collaboration between internal and external users.
- Automated vendor onboarding request-and-approval workflow streamlines the vendor onboarding process.
- Automated workflow for classifying vendors against pre-defined criticality factors guarantees that vendors are asked to respond only to relevant control self-assessment questionnaires.
- Out-of-the-box content allows you to jump-start your vendor assessment program by leveraging industry best practices and standards.
- Automatic identification of gaps and findings allows your team to spend less time deciphering responses and more time responding to them.
- Ongoing monitoring provides continued visibility into changing vendor risk.

Note: Rsam also offers optional connector products that enhance the Vendor Risk Management module by integrating third-party intelligence feeds relating to a vendor's IT security risk posture, financial viability, compliance status, etc. This tutorial does not cover such integrations explicitly; however, you may see references to BitSight, and other partner-provided content in some of the screen shots that appear in this tutorial.

A Note on Supplemental Tutorials

This tutorial covers the core questionnaire assessment workflow. However, Rsam Vendor Risk Management module provides a number of additional record workflows for activities such as contract and SLA management, ongoing activity monitoring, etc. Those peripheral workflows are covered in supplemental tutorials. Please refer to the *Rsam Community Forum* or contact your Rsam representative to obtain these additional guides.

A Note on Objects and Records

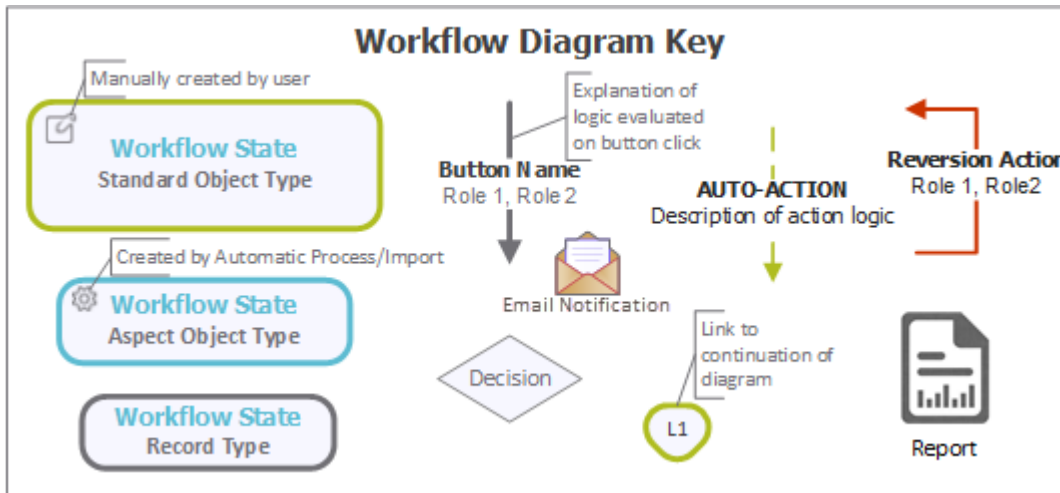
Objects and *Records* are core concepts in Rsam that are used to store and manage data, permissions, and workflow for a specific topic or asset. While you do not need to understand all the distinctions between *objects* and *records* in order to complete this step-by-step tutorial, it is important to understand that this tutorial will leverage an object called *Vendor / Service Provider* to represent a vendor, and that there are a number of record types (e.g. Findings, Contracts, etc.) that may be associated with a given Vendor /Service Provider object.

Vendor Risk Management Module Workflow Diagrams

This section provides illustrations of the following workflows covered in this tutorial:

- Vendor Onboarding Workflow
- Vendor Life-cycle Assessment Workflow
- Findings Remediation Workflow

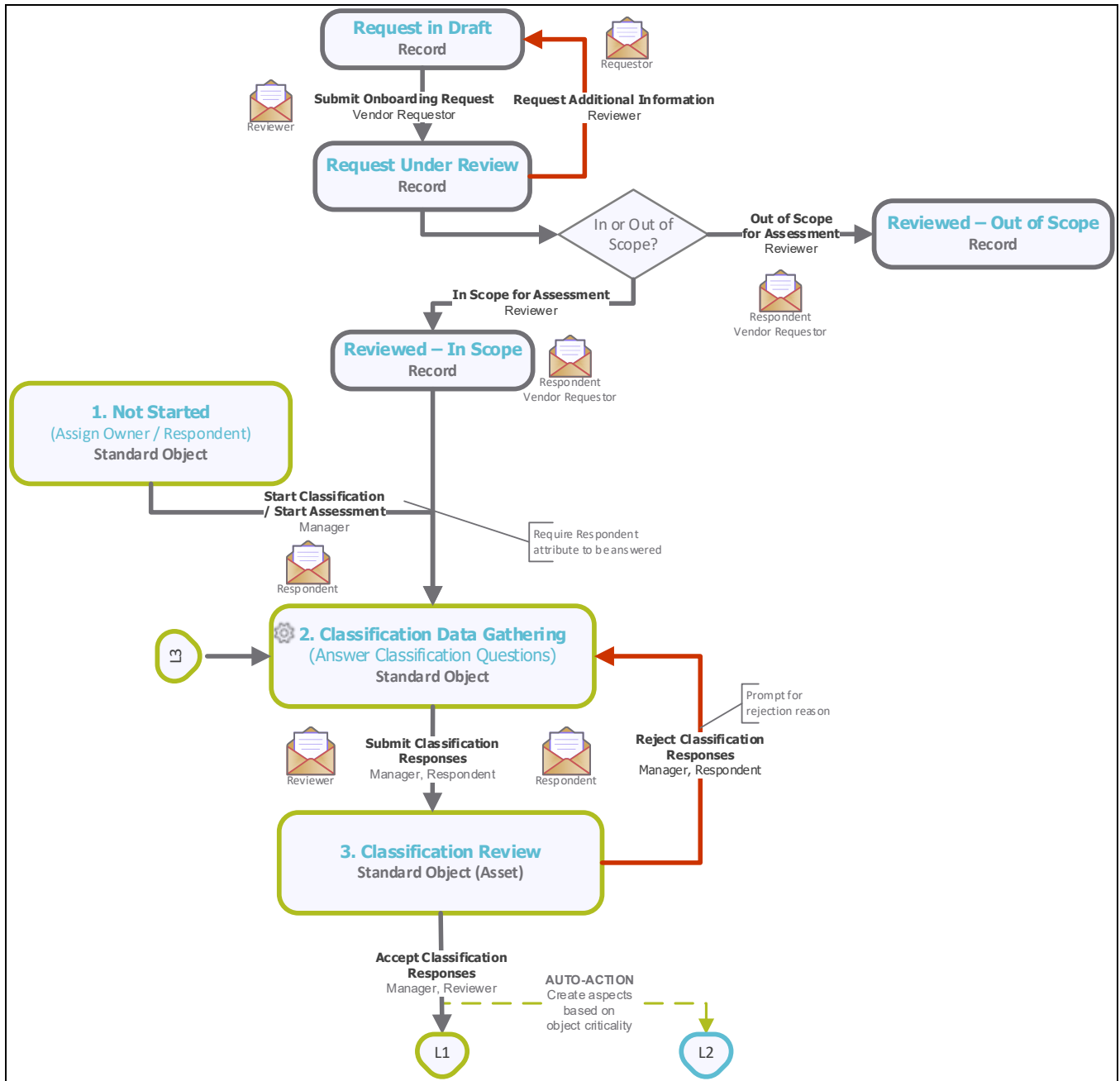
Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.

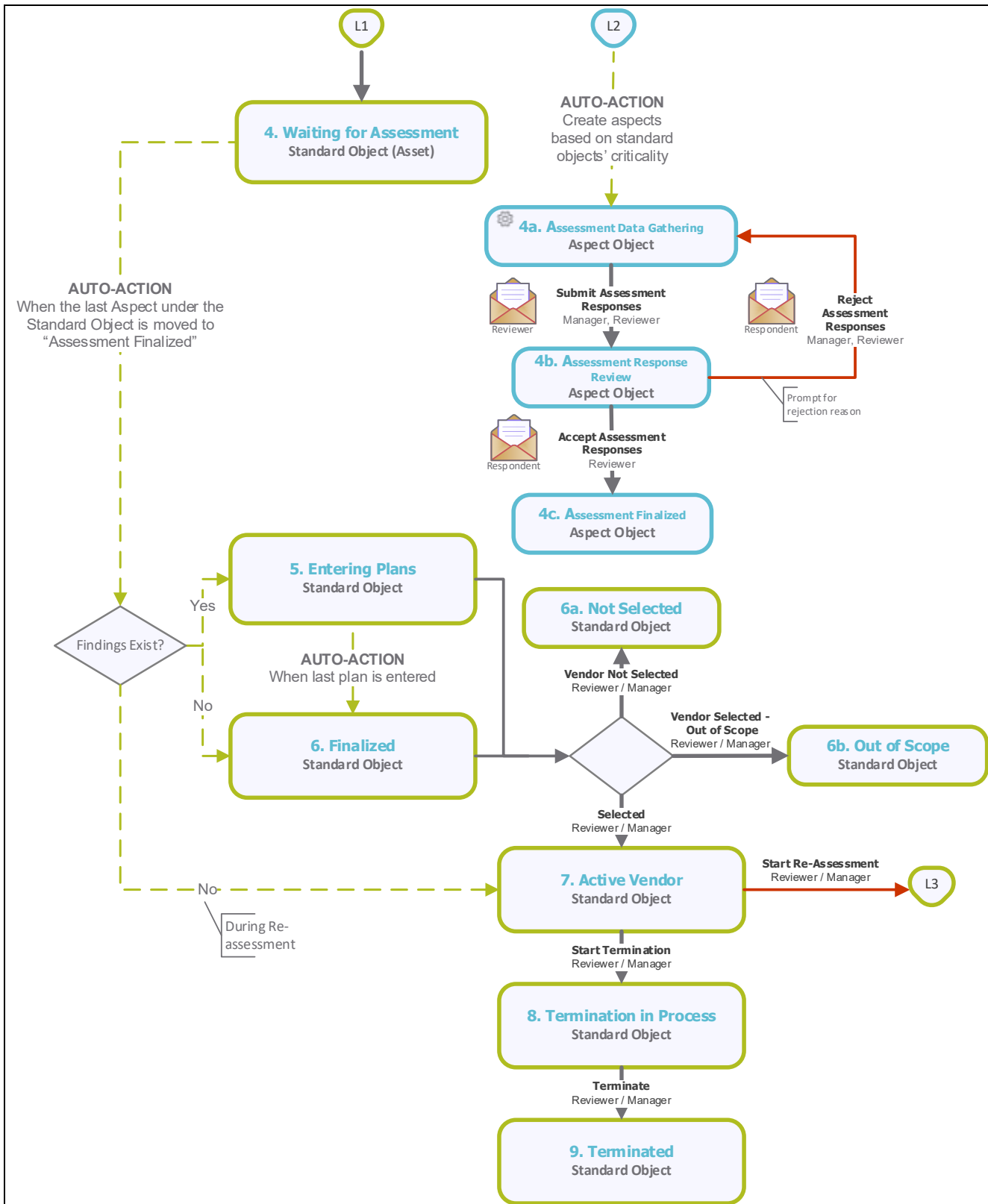


Note: Administrators may create variations to any pre-defined workflow configuration to match your specific business processes.

Vendor Onboarding & Assessment Workflow

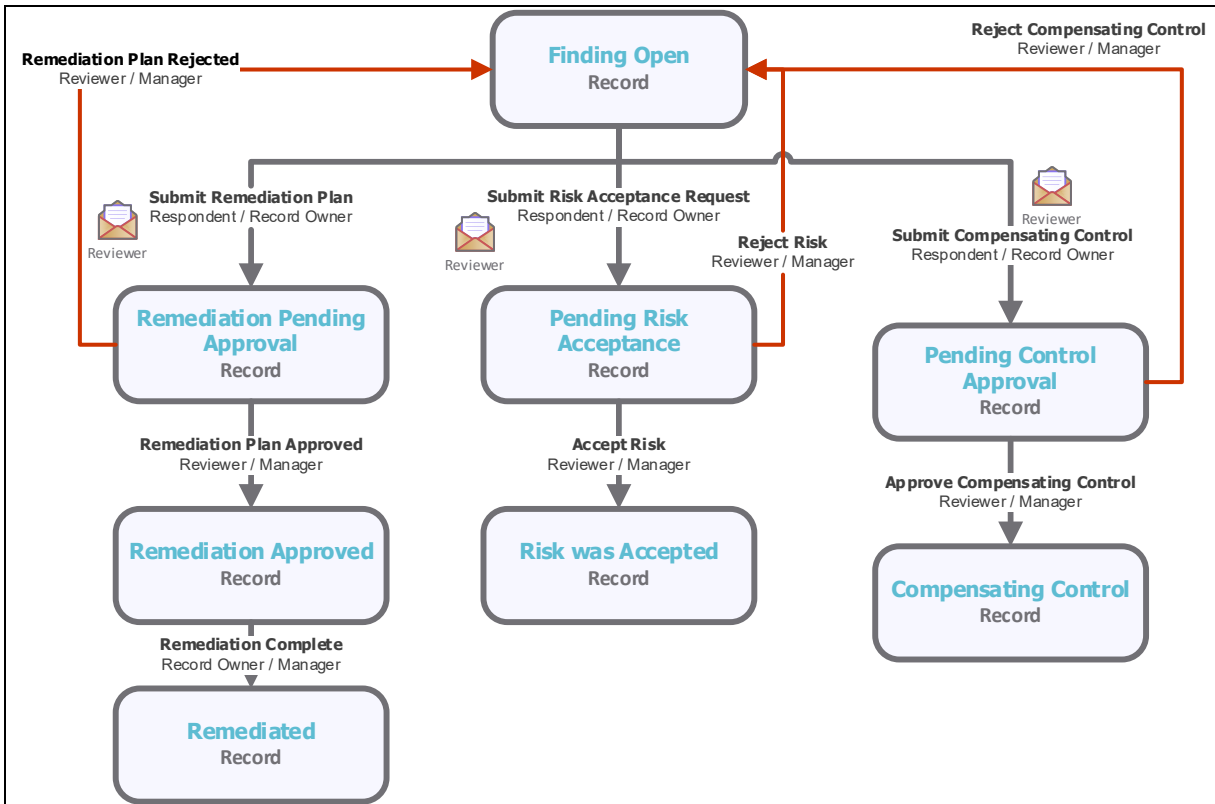
The following diagram depicts the out-of-the-box Vendor Onboarding & Assessment workflow.





Findings Remediation Workflow

The following diagram depicts the out-of-the-box Findings Remediation workflow.



Sample User Accounts

Rsam Vendor Risk Management module comes with sample user accounts that provide access to various role-based experiences of the VRM module.

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

Account ID	User	Description
r_vendor_owner	Vendor Owner	This user represents the business line owner of the vendor relationship and is responsible for completing vendor classification surveys. In the context of this tutorial, this is also the user that will initiate the onboarding request process.
r_vendor_requester	Vendor Requester	This user's only role in the application is to make vendor onboarding requests. This user is not covered in the present tutorial, as the Vendor Owner user will play the role of both the requester and the business owner.

Account ID	User	Description
r_vendor_respondent	Vendor Respondent	This user is responsible for answering self-assessment control questionnaires and submitting remediation plans.
r_vendor_reviewer	Vendor Reviewer	This user is responsible for reviewing and validating all submissions.
r_vendor_manager	Vendor Manager	This user is responsible for overseeing the vendor risk management processes and can perform all the tasks performed by the Vendor Owner, Vendor Reviewer, and Vendor Respondent user accounts.

The default password for all accounts in the Rsam Vendor Risk Management sandbox is *password*. Individual users may change their passwords from within Rsam, and users with administrator permissions may also reset passwords for other users.

Overview of High-Level Steps

The following is a high-level list of the steps described in this tutorial. These steps span across the Vendor Onboarding workflow, the Vendor Assessment workflow, and the Findings Remediation workflow.

Step	User	Description
Step 1: Creating and Submitting a New Vendor Onboarding Request	Vendor Owner	In this step, the Vendor Owner creates a new vendor onboarding request and submits it to the Vendor Reviewer for review.
Step 2: Reviewing and Accepting a New Vendor Onboarding Request	Vendor Reviewer	In this step, the Vendor Reviewer accepts the vendor onboarding request, resulting in the creation of a new Vendor / Service Provider assessment object.
Step 3: Answering Classification Assessment Questions	Vendor Owner	In this step, the Vendor Owner user answers the questions in the classification assessment and submits it to the Vendor Reviewer for review.
Step 4: Reviewing Classification Responses	Vendor Reviewer	In this step, the Vendor Reviewer user reviews and accepts the classification assessment responses submitted by the Vendor Owner user, resulting in the creation of risk-commensurate control assessments to be completed by the Vendor Respondent user.
Step 5: Answering Control Questions	Vendor Respondent	In this step, the Vendor Respondent user answers the questions in the control assessments and submits them to the Vendor Respondent user for review.

Step	User	Description
Step 6: Reviewing Control Answers	Vendor Reviewer	In this step, the Vendor Reviewer user reviews and accepts the control assessment responses, resulting in the creation of Questionnaire Findings records.
Step 7: Creating and Submitting the Remediation Plan	Vendor Respondent	In this step, the Vendor Respondent user creates a remediation plan for each questionnaire finding and submits them for review.
Step 8: Reviewing and Approving the Remediation Plan	Vendor Reviewer	In this step, the Vendor Reviewer user reviews and approves the submitted remediation plans.
Step 9: Flagging Completion of a Remediation Plan	Vendor Manager	In this step, the Vendor Manager user flags the completion of remediation plans.
Step 10: Flag the Vendor as Active	Vendor Manager	In this step, the Vendor Manager user flags the vendor as active.
Step 11: Vendor Maintenance/Termination	Vendor Manager	In this step, the Vendor Manager user performs maintenance actions to reassess or terminate the vendor.

Step-by-Step Procedure

This section contains detailed steps that will guide you through the module. In this section, you will learn how to onboard a new vendor, categorize and assess that vendor, and remediate weak/failed controls according to assessment responses. This represents the most common path through the workflows, but you are welcome to explore the other paths as well.

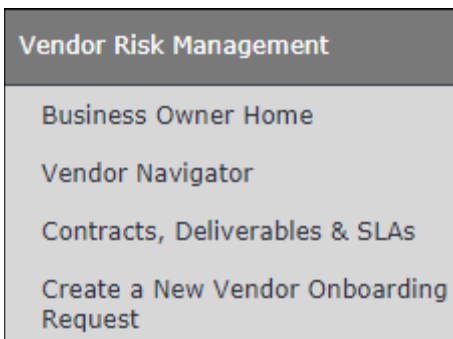
Before you begin executing the steps, note the following considerations:

- a. Some organizations may deploy Rsam in a single sign-on environment, which utilizes your corporate login to bypass the Rsam login screen. However, each step in this tutorial potentially requires a different user account, so be sure you have the access to the Rsam login screen and can log in using the different username / password combinations as stated in the steps.
- b. Some workflow state transitions may trigger email notifications to users in the workflow. If you want to ensure that your users receive these notifications, please see the [Setting up Email Addresses](#) section later in this tutorial.

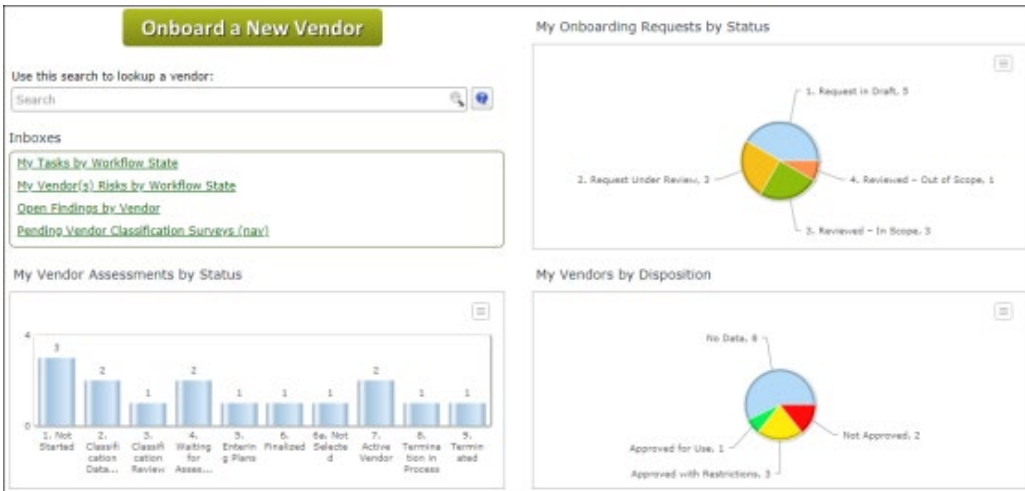
Step 1: Creating and Submitting a New Vendor Onboarding Request

In this step, you will log in to Rsam as the *Vendor Owner* user to create and submit a new vendor onboarding request and submit it to the VRM team for review.

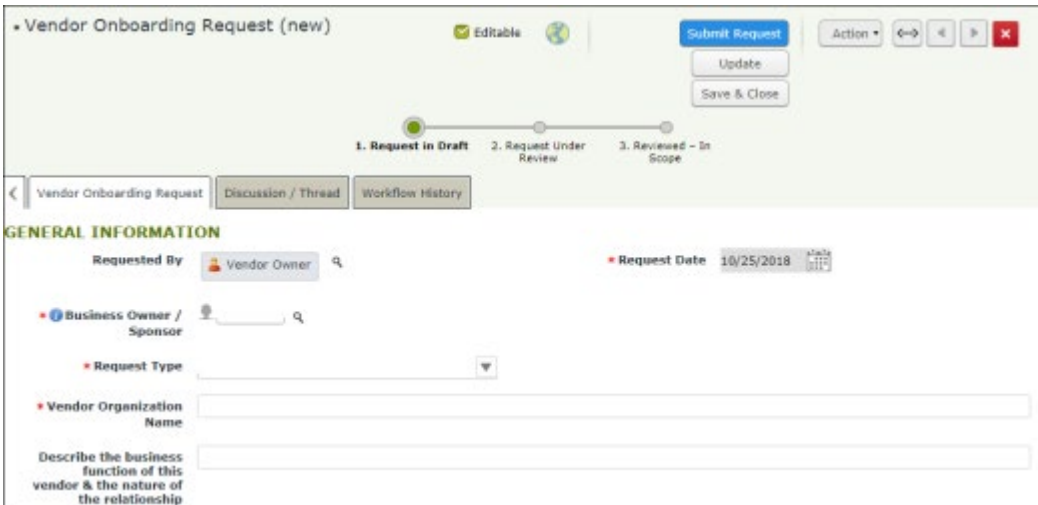
1. Open an Rsam-supported browser and enter the URL of the Rsam instance where you will complete this tutorial.
2. Sign in as the Vendor Owner user. Enter **Username** as *r_vendor_owner* and **Password** as *password*.
3. From within the navigation panel on the left-hand side of the screen, navigate to **Vendor Risk Management > Business Owner Home**.



4. Click the **Onboard a New Vendor** button.

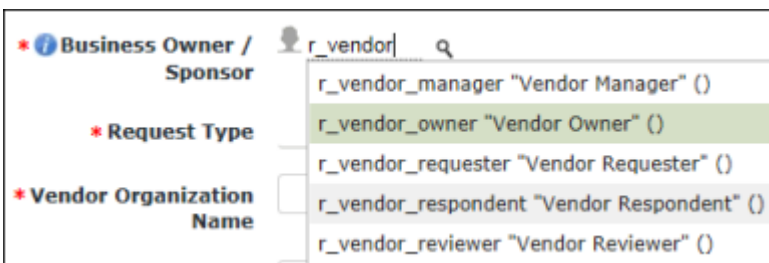


The **Vendor Onboarding Request** record opens with the **Vendor Onboarding Request** tab selected.



5. Set the **Business Owner / Sponsor** attribute. In this case, we will assume that the *Vendor Owner* sample user is playing the role of the *Business Owner / Sponsor*.

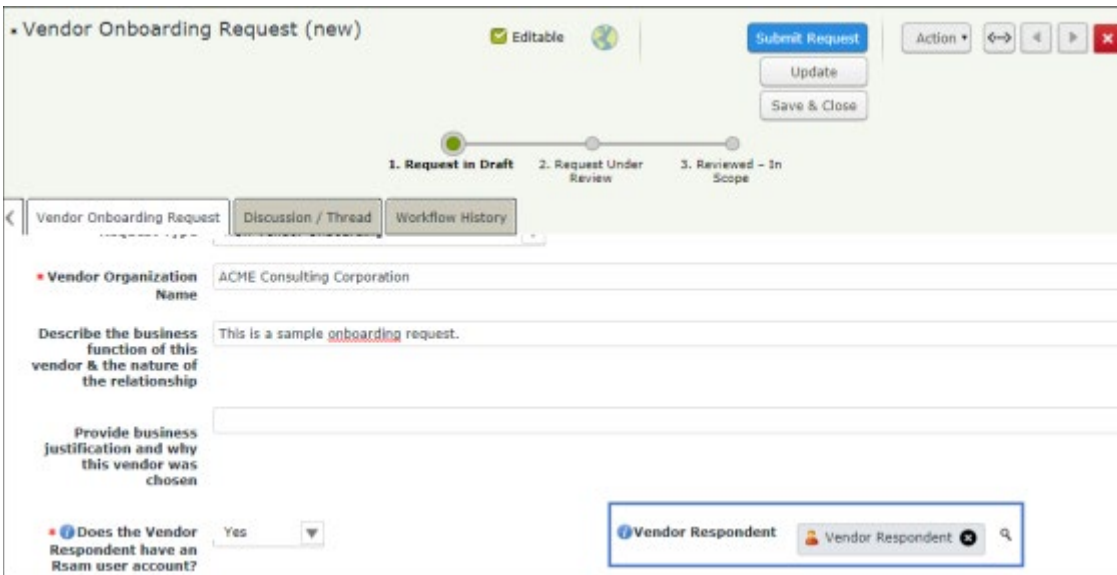
- a. Enter *r_vendor_owner* in the **Business Owner / Sponsor** attribute. As you type, a list of matching users appears.
- b. Select *r_vendor_owner* from the filtered user list.



6. Complete the 3 attributes shown in the image below.



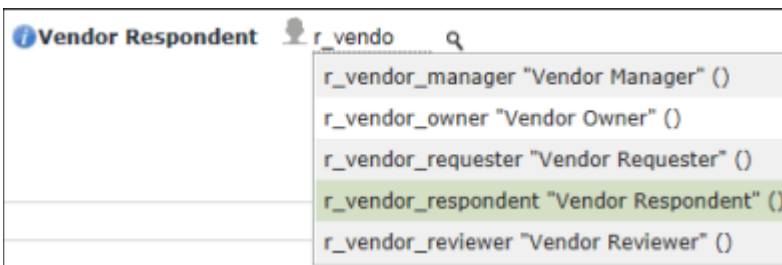
7. Select **Yes** from the **Does the Vendor Respondent have an Rsam user account?** drop-down list.



The **Vendor Respondent** attribute appears.

8. Set the **Vendor Respondent** attribute to **r_vendor_respondent**.

- a. Enter *r_vendor_respondent* in the **Vendor Respondent** attribute. As you type, a list of matching users appears.
- b. Select **r_vendor_respondent** from the filtered user list.



- Complete all the required attributes in the **ENGAGEMENT INFORMATION** section.

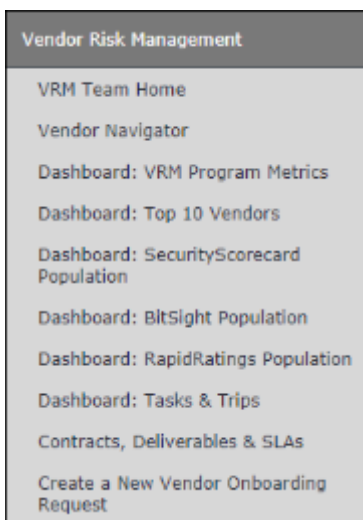


- Complete other attributes as you like. Note that you will need to populate all required attributes as indicated by the red asterisk.
- Click the **Submit Request** button.
- In the message that appears prompting you to save and continue, click **Yes**.
- Mouse hover over the username and click **Logout**.

Step 2: Reviewing and Accepting a New Vendor Onboarding Request

In this step, you will log in to Rsam as the Vendor Reviewer user to accept the vendor onboarding request, which will cause Rsam to create a new Vendor / Service Provider assessment object.

- Sign in as the Vendor Reviewer user. Enter **Username** as *r_vendor_reviewer* and **Password** as *password*.
- From within the left-hand side navigation panel, navigate to **Vendor Risk Management > VRM Team Home**. The **VRM Team Home** page appears.



- Under **Inboxes**, select **Onboarding Requests for Review**.

The screenshot displays a dashboard with several key sections:

- Initiate Vendor Onboarding:** Contains links for 'Create New Vendor / Service Provider' and 'Create a New Vendor Onboarding Request'.
- Record a New Risk / Task:** Contains links for 'Create a new Risk record' and 'Create and Assign a New Task'.
- Inboxes:** Lists various review items such as 'Expiring Contracts in 90 days', 'Onboarding Requests for Review', 'Open Findings by Vendor', 'Vendor Classification Surveys for Review', and 'Vendor Control Assessments for Review'.
- Quick Searches:** Provides shortcuts for 'Findings by Severity (nav)', 'Risks by Vendor', 'SLA Results by Vendor', and 'Tasks/Site Visits by Vendor'.
- Onboarding Requests (90 days):** A bar chart showing 1 request in draft and 4 reviewed - out of scope for April 2018.
- Vendors by Assessment Status:** A bar chart showing counts for various assessment stages from 1 to 9.

- Locate the request that you submitted in [Step 1: Creating and Submitting a New Vendor Onboarding Request](#). It should be available at the top of the list with a Request Date of today's date (this list is sorted by Request Date by default).
- Double-click the vendor onboarding request record to open its details.

Search Name: Onboarding Requests for Review

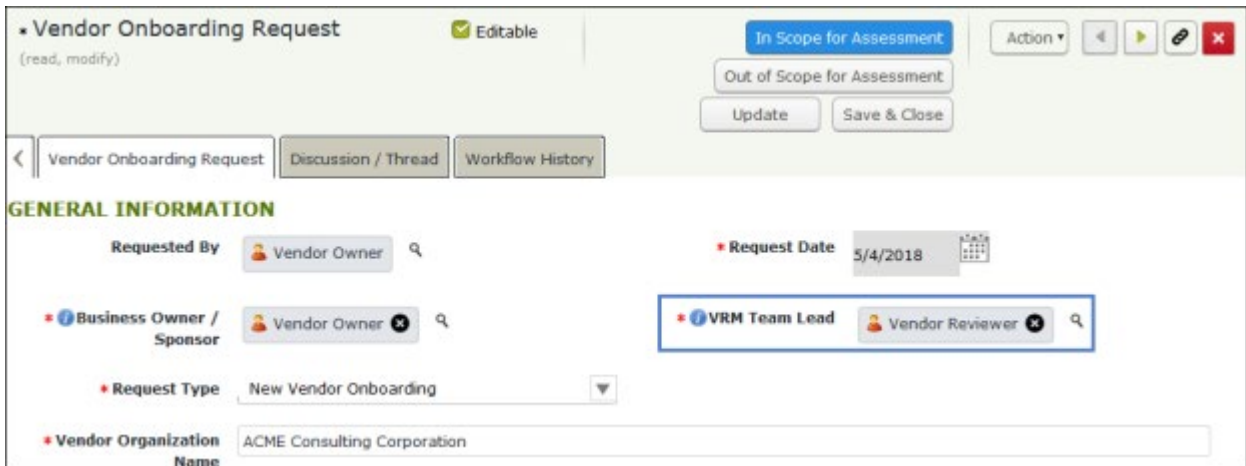
Search [] Refresh Cancel Add Open Delete Assign... Action Go to Search Criteria Save Save Search As

Drag a column here to group by.

	Request Date	Workflow State	Organization Name	Business Owner / Sponsor	VRM Team Lead	Vendor
<input type="checkbox"/>	2018-05-04	2. Request Under Review	ACME Consulting Corporation	Vendor Owner		Vendor
<input type="checkbox"/>	2017-03-11	2. Request Under Review	Breadcrumb Storage Solutions Co.	Vendor Owner		
<input type="checkbox"/>	2017-03-07	2. Request Under Review	Delware Logistics Co.	Vendor Owner		
<input type="checkbox"/>	2017-01-24	2. Request Under Review	Helium Hardware Solutions Co.	Vendor Owner		Vendor

The **Vendor Onboarding Request** form opens with the **Vendor Onboarding Request** tab selected.

- Note that an additional attribute, **VRM Team Lead**, is visible to the *Vendor Reviewer* user. Enter *r_vendor_reviewer* in the **VRM Team Lead** attribute, and then click **In Scope for Assessment**.



- In the message that appears indicating that a new Vendor / Service Provider object has been created, click **OK** to exit the message and continue.

This causes the Vendor Onboarding Request workflow to enter the **Reviewed - In Scope** workflow state. In addition, Rsam will create a new object to track the Vendor Assessment workflow.

Note: Clicking the **Out of Scope for Assessments** button moves the Onboarding Request workflow into the **Reviewed - Out of Scope** state.

- Mouse hover over the username and click **Logout**.

Step 3: Answering Classification Assessment Questions

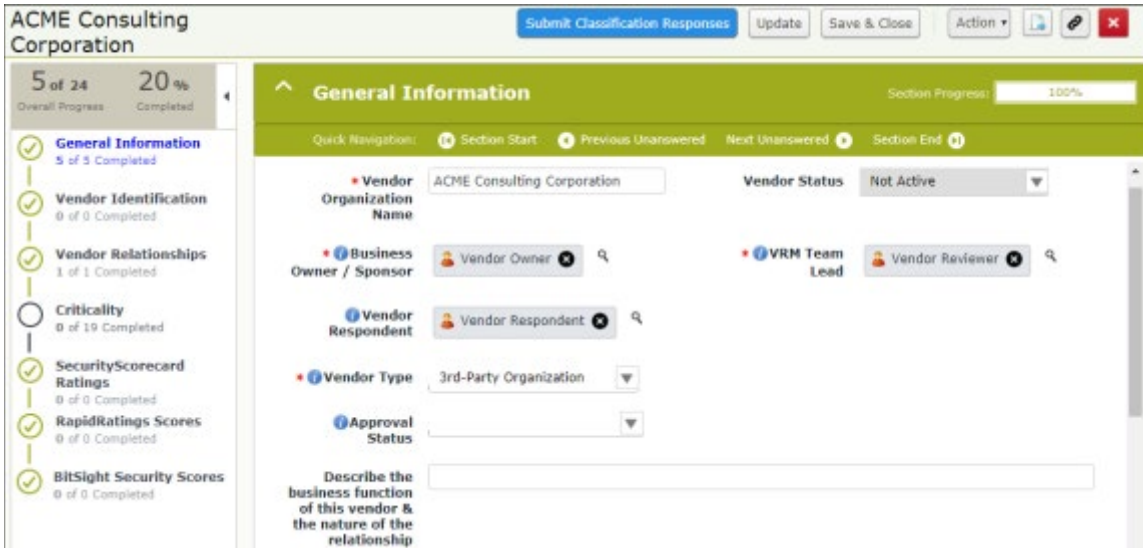
In this step, you will log in to Rsam as the *Vendor Owner* user to answer the classification questionnaire, which will determine specific control requirements according to the criticality levels established during the classification process. After answering all the questions, you will submit the classification questionnaire to the *Vendor Reviewer* user.

Note: A Business Owner or Vendor Reviewer can also answer classification assessment questions.

- Sign in as the *Vendor Owner* user. Enter **Username** as *r_vendor_owner* and **Password** as *password*.
- From within the left-hand side navigation panel, navigate to **Vendor Risk Management > Business Owner Home**.

The **Business Owner Home** page appears.

3. Under Inboxes, click **Pending Vendor Classification Surveys (nav)**.
The survey opens with the **General Information** section selected.
4. Double-click the survey created in [Step 2: Reviewing and Accepting a New Vendor Onboarding Request](#).
5. Complete all the sections available in the questionnaire.



6. To fill information or responses for each section, use the following navigation procedure:
 - a. Click the desired section on the left-hand side.
 - b. Use the following options to navigate within the section.

Option	Description
Section Start	This option takes you to the beginning of the section.
Previous Unanswered	This option takes you to the previous unanswered question from the current question.
Next Unanswered	This option takes you to the next unanswered question from the current question.
Section End	This option takes you to the end of the section.

7. Navigate through all the sections, ensuring all the information and responses are completed. Note that all questions in the **Criticality** section are required.
8. Click **Submit Classification Responses**.

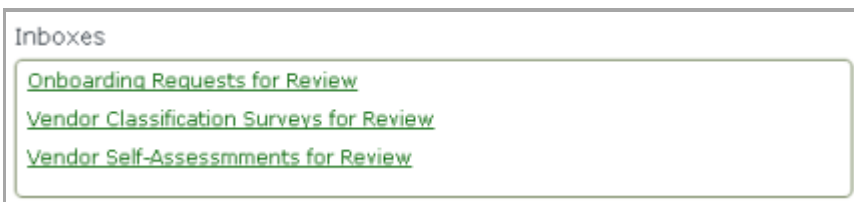
Note: You may see additional buttons depending on the optional add-ons you have purchased (e.g. BitSight).

9. In the message box that appears indicating that the responses have been submitted, click **OK**. The vendor object moves to the **Classification Review** state and an email notification is sent to the Vendor Reviewer user. Note that the classification no longer appears in the **My Pending Classification Surveys** widget.
10. Mouse hover over the username and click **Logout**.

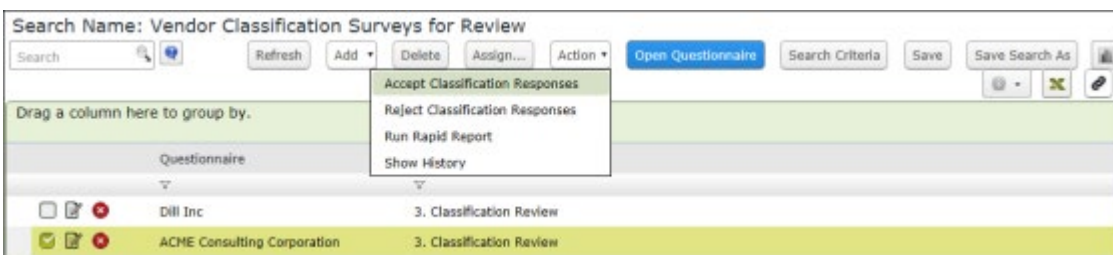
Step 4: Reviewing Classification Assessment Responses

In this step, you will log in to Rsam as the *Vendor Reviewer* user to review and accept the classification assessment responses submitted by the *Vendor Owner* user.

1. Sign in as the *Vendor Reviewer* user. Enter **Username** as *r_vendor_reviewer* and **Password** as *password*.
2. From within the navigation panel at the left-hand side, navigate to **Vendor Risk Management > VRM Team Home**. The **VRM Team Home** page appears.
3. Locate the **Inboxes** widget, and click **Vendor Classification Surveys for Review**.



4. Locate the Vendor / Service Provider object for which the classification assessment was submitted by the *Vendor Owner* user in [Step 3: Answering Classification Assessment Questions](#).
5. There are two methods by which you can accept the responses:
 - a. Open the assessment and clicking the workflow button as we did in [Step 3: Answering Classification Assessment Questions](#), or
 - b. Select the object and select **Accept Classification Responses** from the **Action** drop-down. We will use the second method, which is the fastest way to advance the object workflow.



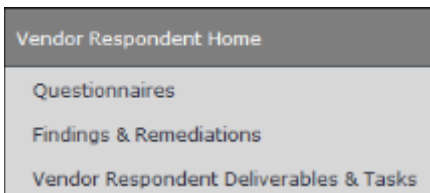
Rsam evaluates the classification response data and generates applicable control assessments. A message box will appear for each generated control assessment. Click **OK** for each message. The object workflow moves to the **Waiting for Assessment** state, and an email notification is sent to the Vendor Respondent user.

6. Mouse hover over the username and click **Logout**.

Step 5: Answering Control Questions

In this step, you will log in to Rsam as the *Vendor Respondent* user to answer the control assessments and submit the responses to the *Vendor Reviewer* user.

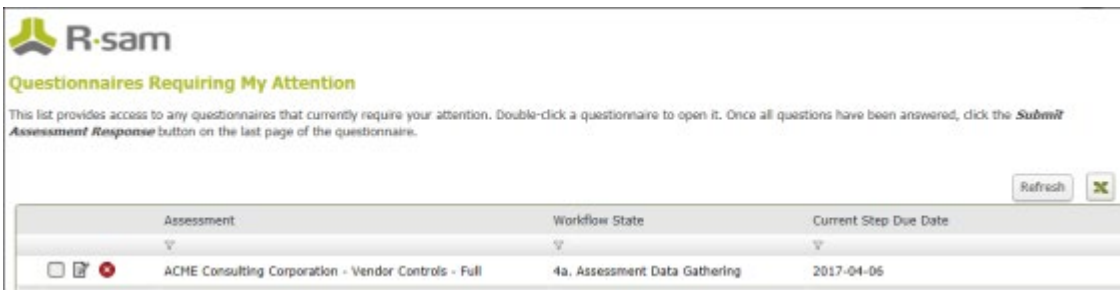
1. Sign in as the *Vendor Respondent* user. Enter **Username** as *r_vendor_respondent* and **Password** as *password*.
2. From within the navigation panel at the left-hand side, navigate to **Vendor Respondent Home > Questionnaires**.



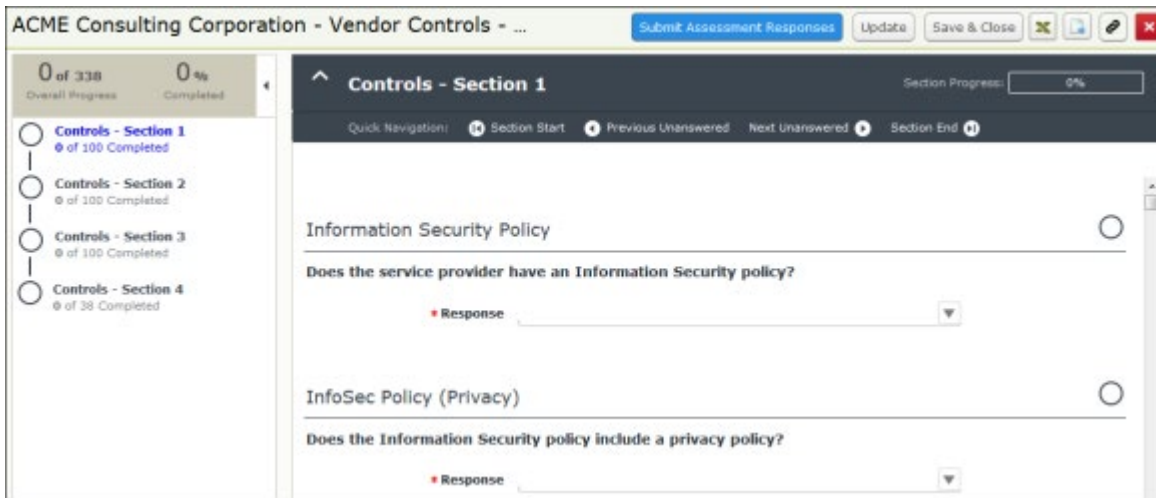
The **Questionnaires** home page appears.

Note: The number of questionnaires available will depend on
1) the specific control content packs that you purchased with your VRM module and
2) the specific responses you provided in the classification survey.

3. Double-click the questionnaire to open its details.



- Complete at least one control question with an answer that would generate a gap. For example, answering **No** to the *Information Security* policy question in the following screen will generate a gap upon submission of the questionnaire.



- When you finish answering all the control questions, click **Submit Assessment Responses**. The assessment workflow is moved to the **Assessment Response Review** state, causing it to disappear from the Vendor Respondent's home page, and an email notification is sent to the *Vendor Reviewer* user.

Note: To allow for quick and easy execution of this tutorial, Rsam default configuration allows the control questionnaires to be submitted without completing all required answers. Your Rsam administrator can easily modify the configuration to require answers for all questions before they can be submitted.

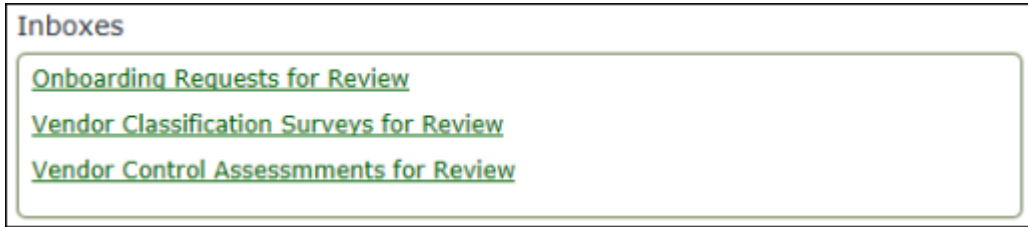
- If you have additional self-assessment questionnaires available on the Vendor Respondent's home page tab, repeat steps 2 through 6 for all remaining questionnaires.
- Mouse hover over the username and click **Logout**.

Step 6: Reviewing Control Answers

In this step, you will log in to Rsam as the *Vendor Reviewer* user to review and accept the control assessment responses submitted by the *Vendor Reviewer* user.

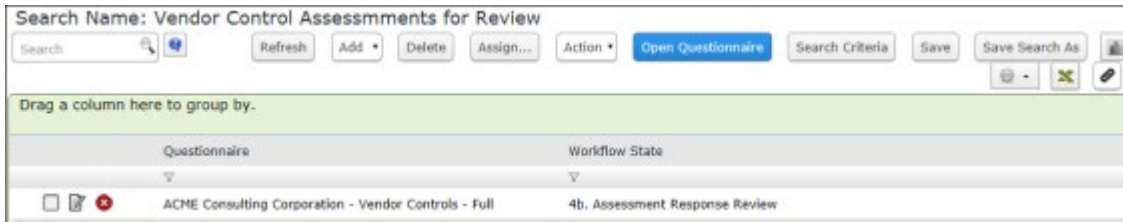
- Sign in as the *Vendor Reviewer* user. Enter **Username** as *r_vendor_reviewer* and **Password** as *password*.
- From within the left-hand side navigation panel, navigate to **Vendor Risk Management > VRM Team Home**.

- In the **Inboxes** widget, click the **Vendor Control-Assessments for Review** link.



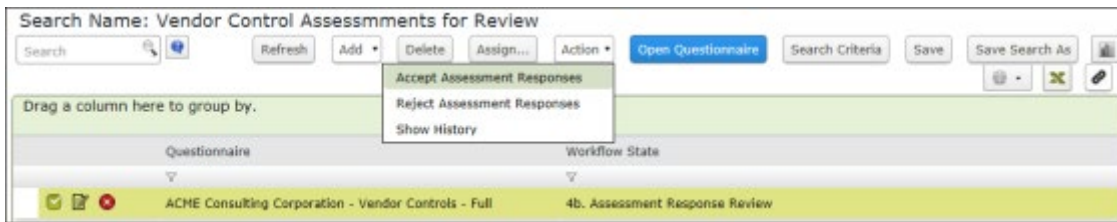
The control assessments that are pending for review appears.

- Locate and select the control assessments for the ACME Consulting Corporation, which was submitted in [Step 5: Answering Control Questions](#).



Note: If you have multiple control assessments for ACME Consulting, you can press the SHIFT key on your keyboard to select and accept multiple assessments at the same time.

- Click the **Action** menu and select **Accept Assessment Responses**.



This step may take a few minutes as Rsam processes each control assessment responses by evaluating it against the standards determined by the classification survey. Each control assessment moves to the **Assessment Finalized** state, and a questionnaire finding record is created for each response that does not meet its minimum standard requirement. Once all the control assessments are in the **Assessment Finalized** workflow state, the parent Vendor / Service Provider object moves to the **Entering Plans** state.

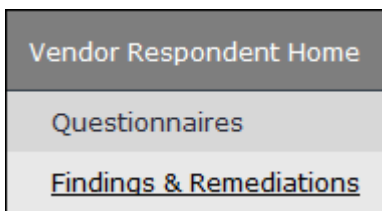
- Mouse hover over the username and click **Logout**.

Step 7: Creating and Submitting a Remediation Plan

In this step, you will log in to Rsam as the *Vendor Respondent* user to review questionnaire findings and propose a remediation plan.

Note: You can remediate a questionnaire finding by using the Remediation Plan (POAM), Risk Acceptance Request, or Compensating Control workflows. This tutorial documents the Remediation Plan (POAM) workflow, but you may explore other remediation methods if desired.

1. Sign in as the *Vendor Respondent* user. Enter **Username** as *r_vendor_respondent* and **Password** as *password*.
2. From within the navigation panel at the left-hand side, navigate to **Vendor Respondent Home** > **Findings & Remediations**. The **Findings & Remediations** home page appears.



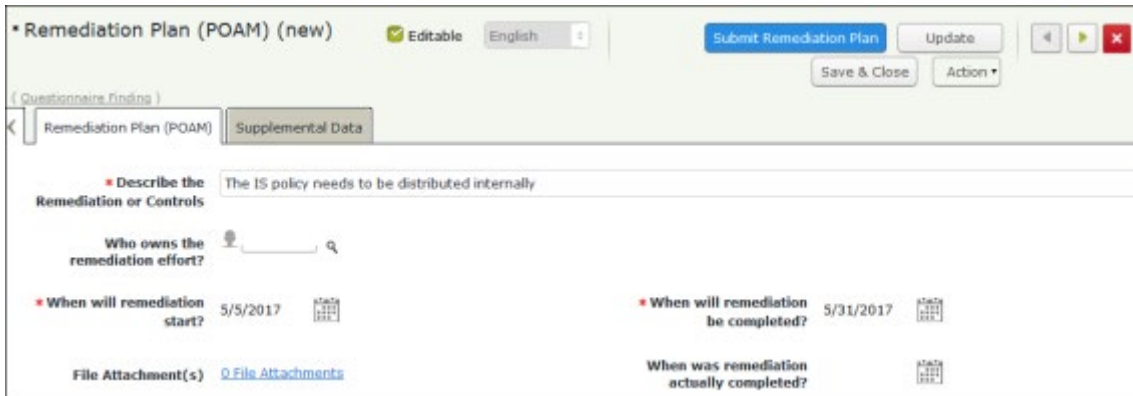
The questionnaire findings appear.

3. With the first questionnaire finding record selected, click **Add** and select **Remediation Plan (POAM)** from the options that appear.



The **Remediation Plan (POAM) (new)** record opens with the **Remediation Plan (POAM)** tab selected.

- On the **Remediation Plan (POAM)** and **Supplemental Data** tabs, complete all required attributes, and then click **Submit Remediation Plan**.



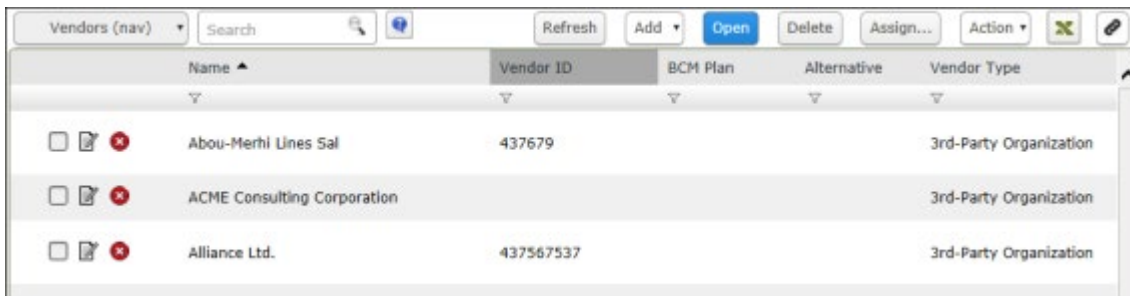
The **Remediation Plan (POAM)** record is created. Both the Remediation Plan (POAM) and the parent Questionnaire Finding records move to the **Remediation Pending Approval** state.

- Mouse hover over the username and click **Logout**.

Step 8: Reviewing and Approving the Remediation Plan

In this step, you will log in to Rsam as the *Vendor Reviewer* user to review and approve the remediation plan for a given questionnaire finding.

- Sign in as the *Vendor Reviewer* user. Enter **Username** as *r_vendor_reviewer* and **Password** as *password*.
- From within the navigation panel at the left-hand side, navigate to **Vendor Risk Management > Vendor Navigator**. A list of vendor profiles appears.
- Locate and double-click the vendor object. In this example, our vendor object is ACME Consulting Corporation.



Name	Vendor ID	BCM Plan	Alternative	Vendor Type
Abou-Merhi Lines Sal	437679			3rd-Party Organization
ACME Consulting Corporation	437567537			3rd-Party Organization
Alliance Ltd.	437567537			3rd-Party Organization

The ACME Consulting Corporation object details appear.

Note: This is the first time in the tutorial that we have opened a Vendor / Service Provider using an object navigator. The methods we have used to this point are the fastest (i.e. require the fewest clicks) because they bypass the navigator view and open the questionnaires directly. However, the navigator view provides a rich overview of the entire vendor profile, including not only its questionnaires but also related record categories, charts, and other valuable information.

- In the **Vendor Risk Factors** widget, click the **Findings from Questionnaire** link.

« Back to list

Vendor / Service Provider: ACME Consulting Corporation

Name: ACME Consulting Corporation	Vendor ID:
Vendor Type: 3rd-Party Organization	Business Owner / Sponsor: Vendor Owner
Vendor Services/Products: IT Application Provider IT Hardware Provider	Workflow State: 5. Entering Plans
Areas Used By:	Approval Status: Pending Assessment

Vendor Questionnaires

Name	Questionnaire	State			
ACME Consulting Corporation	20 of 20 answered	5. Entering Plans			
ACME Consulting Corporation - Vendor Controls - Full	4 of 338 answered	4c. Assessment Finalized			

Vendor Risk Factors

[Findings from Questionnaire \(4\)](#)

[Questionnaire Response Review \(338\)](#)

Contracts and SLAs

[Contracts \(0\)](#)

[SLA Library \(0\)](#)

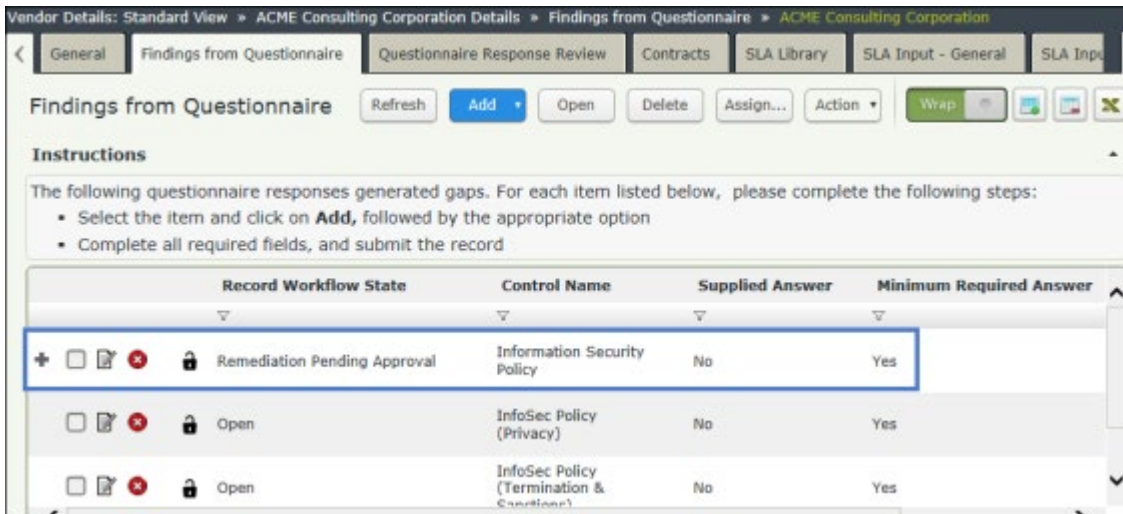
[SLA Input - General \(0\)](#)

[SLA Input - Phone Wait Time \(0\)](#)

[SLA Results Tracking \(0\)](#)

The ACME Consulting Corporation object opens with the **Findings from Questionnaire** record category selected.

- Locate the questionnaire finding for which you have submitted the Remediation plan (POAM) record in [Step 7: Creating and Submitting a Remediation Plan](#).



Vendor Details: Standard View » ACME Consulting Corporation Details » Findings from Questionnaire » ACME Consulting Corporation

General Findings from Questionnaire Questionnaire Response Review Contracts SLA Library SLA Input - General SLA Input

Findings from Questionnaire Refresh Add Open Delete Assign... Action Wrap

Instructions

The following questionnaire responses generated gaps. For each item listed below, please complete the following steps:

- Select the item and click on **Add**, followed by the appropriate option
- Complete all required fields, and submit the record

Record	Workflow State	Control Name	Supplied Answer	Minimum Required Answer
	Remediation Pending Approval	Information Security Policy	No	Yes
	Open	InfoSec Policy (Privacy)	No	Yes
	Open	InfoSec Policy (Termination & Suspension)	No	Yes

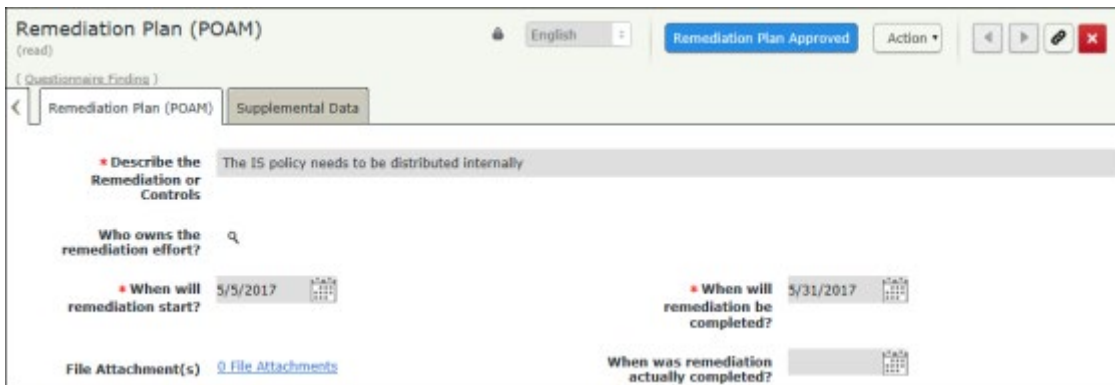
The icon indicates that the questionnaire finding has a child record associated with it (in this case, a Remediation Plan (POAM) record).

- Click the **+** icon to expand the Questionnaire Finding record.

Record Workflow State	Control Name	Supplied Answer	Minimum Required Answer
    Remediation Pending Approval	Information Security Policy	No	Yes

Record Type	Record Workflow State	Remediation Description
   Remediation Plan (POAM)	Remediation Pending Approval	The IS policy needs to be distributed internally

- Double-click the Remediation Plan (POAM) record to open its details. In our example, we will open the Remediation Plan (POAM) record that we have created in [Step 7: Creating and Submitting a Remediation Plan](#).
- Review the information on the **Remediation Plan (POAM)** and **Supplemental Data** tabs, and then click **Remediation Plan Approved**.



The Remediation Plan (POAM) record and the parent Questionnaire Finding record moves to the **Remediation Approved** state.

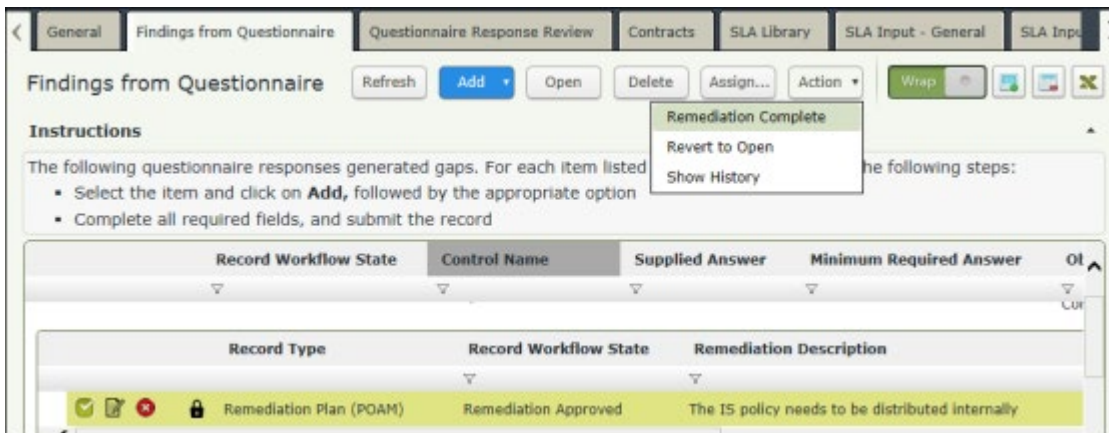
- Mouse hover over the username and click **Logout**.

Step 9: Flagging Completion of the Remediation Plan

In this step, you will log in to Rsam as the *Vendor Manager* user to flag the completion of the remediation plan (POAM) record approved by the *Vendor Reviewer* user.

- Sign in as the *Vendor Manager* user. Enter **Username** as *r_vendor_manager* and **Password** as *passwd*.
- From within the navigation panel at the left-hand side, navigate to **Vendor Risk Management > Vendor Navigator**. A list of vendor profiles appear.
- Locate and double-click the vendor profile. In this example, our vendor object is ACME Consulting Corporation.
The ACME Consulting Corporation object details appear.

4. Under the **Vendor Risk Factors** widget, click the **Findings from Questionnaire** link. The ACME Consulting Corporation object opens with the **Findings from Questionnaire** record category selected.
5. Locate the questionnaire finding for which you have submitted the Remediation plan (POAM) in [Step 7: Creating and Submitting a Remediation Plan](#).
6. Click the **+** icon to expand the Questionnaire Finding record for which the remediation plan was approved in [Step 8: Reviewing and Approving the Remediation Plan](#).
7. Select the remediation record, then click **Action** and select **Remediation Complete**.



The Remediation Plan (POAM) record and the parent Questionnaire Finding record moves to the **Remediated** state.

8. Mouse hover over the username and select **Logout**.

Step 10: Flag the Vendor as Active

Once the assessment has been finalized, you will make the vendor active. This means, after all the control assessments enter the Assessment Finalized workflow state and all the questionnaire findings are resolved, the vendor can be made active. In this step, you will log in to Rsam as the *r_vendor_manager* user to select and make the vendor active.

1. Sign in as the *Vendor Respondent* user. Enter **Username** as *r_vendor_manager* and **Password** as *password*.
2. From within the navigation panel at the left-hand side, navigate to **Vendor Risk Management** > Vendor Navigator. A list of vendor profiles appears.

- Locate and select the vendor profile. In this example, our vendor object is ACME Consulting Corporation.

Vendors (nav)					
Search					
Refresh Cancel Add Open Delete Assign... Action X					
Name	Vendor ID	Vendor Type	Business Owner / Sponsor	Vendor Service	
<input type="checkbox"/>	Abou-Merhi Lines Sal	437679	3rd-Party Organization	Vendor Owner	Creative & Mar Customer / Prc Distributor / Re
<input type="checkbox"/>	ACME Consulting Corporation	101	3rd-Party Organization	Vendor Owner	Management C Software
<input type="checkbox"/>	Alliance Ltd.	437567537	3rd-Party Organization	Vendor Owner	Construction &

- Click **Action** and select **Vendor Selected**.

The parent Vendor / Service Provider object moves to the **Active Vendor** state.

Step 11: Vendor Maintenance/Termination

Any active vendor that you currently work with needs to be re-assessed to ensure the vendor is compliant with your organization's goal. You can also terminate a vendor if you do not wish to work with the vendor in future. In this step, we will show you how to set a vendor for reassessment and termination. In this step, you will log in to Rsam as the *r_vendor_manager* user to perform maintenance activities.

- Sign in as the *Vendor Manager* user. Enter **Username** as *r_vendor_manager* and **Password** as *password*.
- From within the navigation panel at the left-hand side, navigate to **Vendor Risk Management > Vendor Navigator**. A list of vendor profiles appears.
- Locate and select the vendor profile. In this example, our vendor object is ACME Consulting Corporation.
- Click **Action** and do any of the following:
 - Select **Start Termination** if you want to terminate a vendor. This causes the parent Vendor / Service Provider object to enter the **Termination in Progress** workflow state. In this workflow state, Vendor manager would conduct termination activities (defined at a program/policy level of user organization) associated with exiting this vendor relationship. Upon completion of certain termination activities users can move vendor to Terminated workflow state by clicking the **Terminate** button.
 - Select **Start Re-assessment** if you want to reassess the vendor. This causes the parent Vendor / Service Provider object to enter the **Classification Data Gathering** workflow state. The re-assessment process will repeat in similar fashion as during the assessment process. Note that remediated/closed questionnaire findings will be archived upon initiation of the reassessment process.

Appendix 1: Email Notifications and Offline Decision Making

Setting up Email Addresses

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Vendor Risk Management Module.
2. Sign in as *r_admin* user. Enter **Username** as *r_admin* and **Password** as *password*.
3. Navigate to **Manage > Users/Groups**.
4. Double-click a user row to open the details.
5. Provide an email address in the **eMail ID** attribute.

User Details

User Id:
152048

First Name: Middle Name: Last Name:
May, [] Brian

eMail ID: Phone Number:
support@rsam.com []

Password:

Confirm Password:
[]

LDAP User

User's LDAP ID:
[]

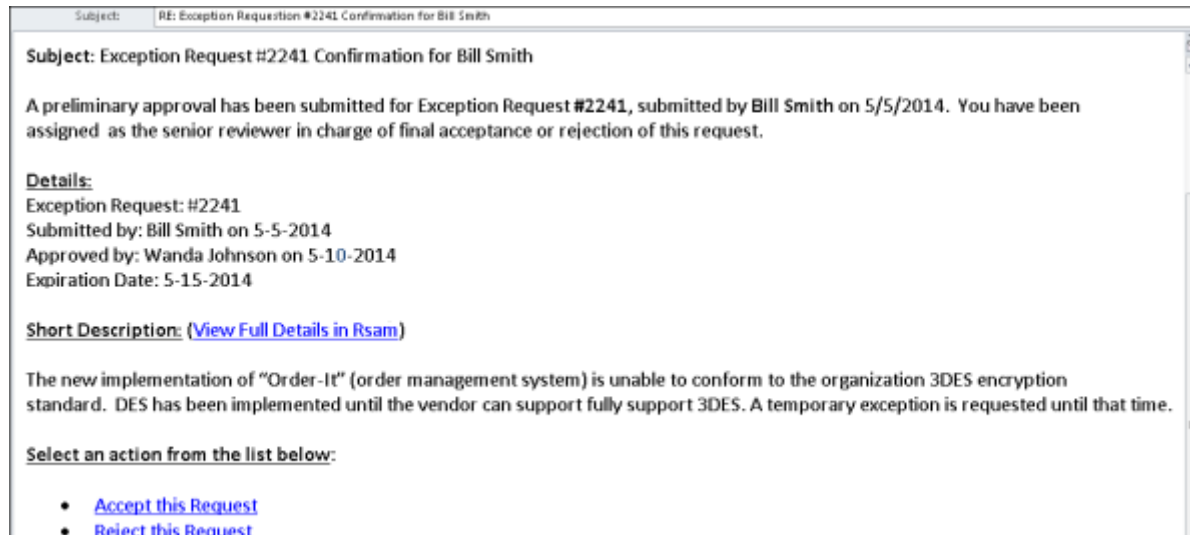
User's LDAP Domain:
Please select a Domain []

6. Click **OK**.
The email address of the user account is saved.

Offline Decision Making

Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications.

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.



Subject: RE: Exception Request #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: Rsam Documentation

VRM Module Baseline Configuration Guide

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

Online Help

This tutorial provides the step-by-step instructions for the Rsam Vendor Risk Management Module. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. 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.

