Vendor Risk Management Module

Contracts, SLAs and Tasks - Step-by-Step Tutorial

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Contents

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.
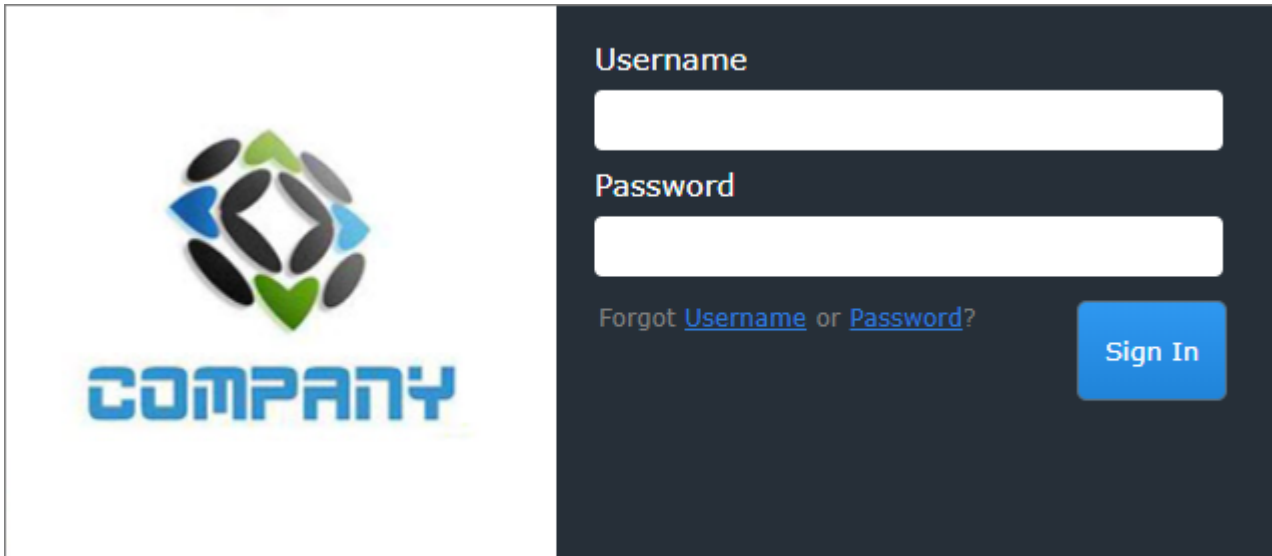
Like most elements in Rsam, the Sign-In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. 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 additional tutorials: This tutorial covers specific workflows around contract, SLA, and task management. This tutorial should be regarded as a supplement to the primary Vendor Risk Management step-by-step tutorial, which covers the core questionnaire assessment workflow. Please refer to the Rsam Community Forum or contact your Rsam representative to obtain that guide.

Vendor Risk Management Module Workflow Diagrams

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

- Contract and Deliverables Workflow

- Tasks Workflow

Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.
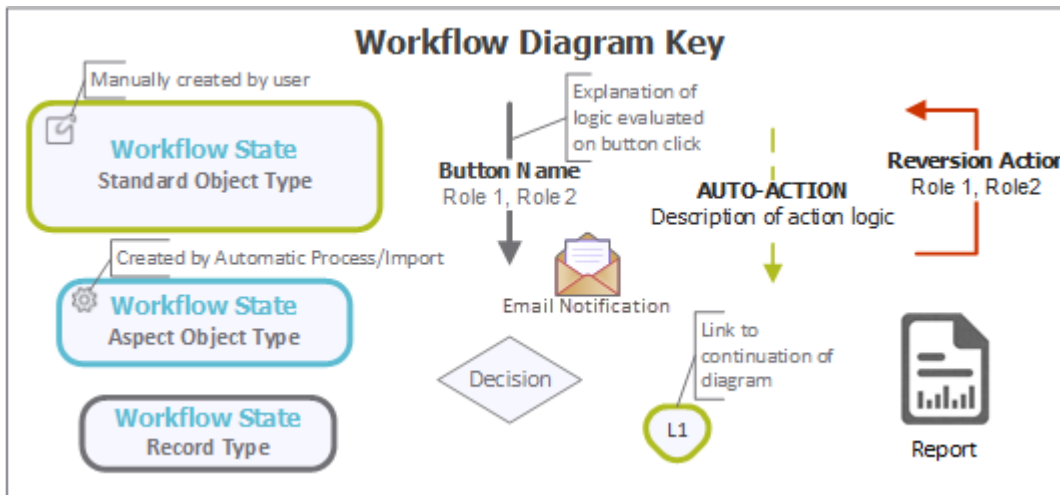
Note: Administrators may create variations to any pre-defined workflow configuration to match your specific business processes.

Contract and Deliverables Workflow

The following diagram depicts the out-of-the-box Contract and Deliverables workflow.
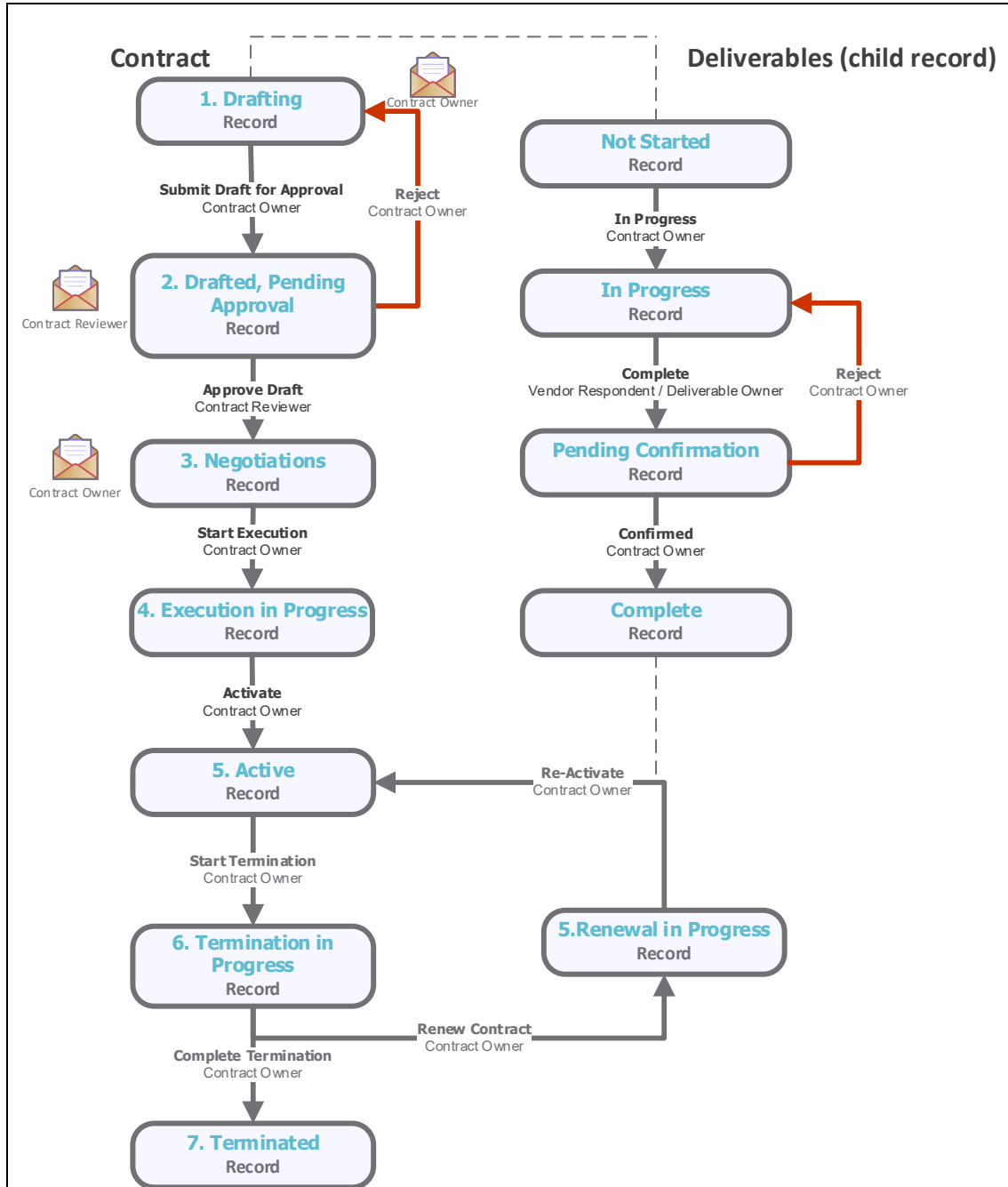
Task Workflow

The following diagram depicts the out-of-the-box Task workflow.

SLA Library Workflow

The following diagram depicts the out-of-the-box SLA Library workflow.

Sample User Accounts

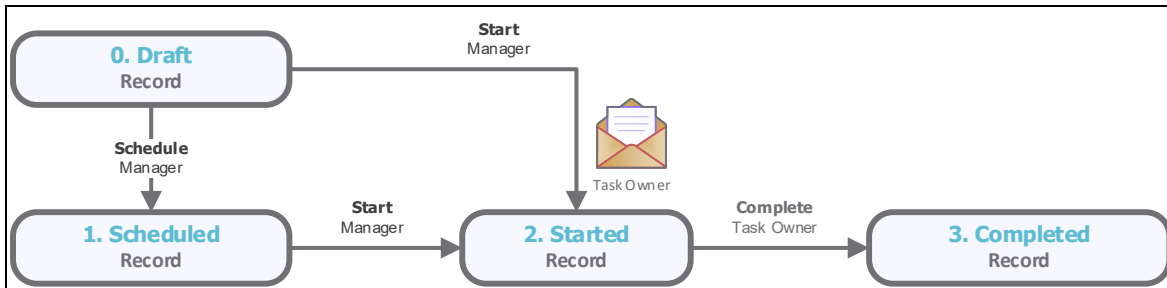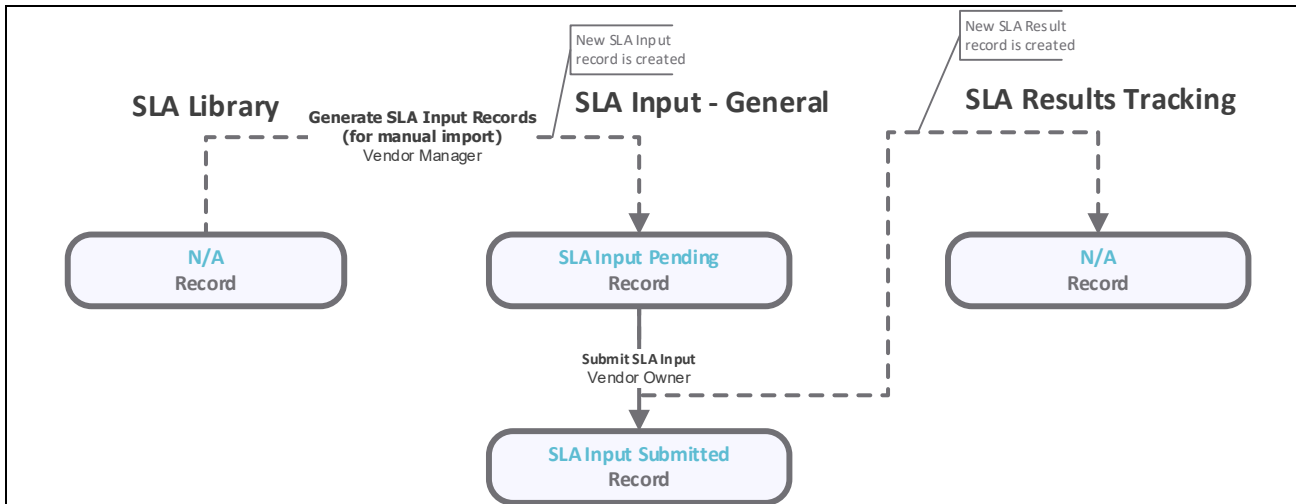Rsam Vendor Risk Management module comes with sample user accounts that provide access to various role-based experiences of the VRM module. In addition to executing steps in the Vendor Life-Cycle Management workflow, these roles can also execute the steps in the Contract Management, SLAs, and Tasks. The user accounts include:

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

Account ID	User	Description
r_vendor_owner	Contract Owner	This user will be assigned Contract Owner role that represents the business line owner responsible for managing contract with the vendor. This user represents an individual assigned to carry our certain vendor oversight tasks. Can be internal business owner or vendor representative.
r_vendor_reviewer	Vendor Reviewer	This user will be assigned role that represents business line manager who is responsible to approve contracts.
r_vendor_respondent	Vendor Respondent	This user will be assigned role that represent a vendor representative responsible for managing contract deliverables. Often times Vendor Respondent and Deliverable Owner are the same individuals.
r_vendor_manager	Vendor Manager	This user is responsible for overseeing the vendor risk management processes and can create, assign and start new tasks.

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 Contracts workflow, the Deliverables workflow, the Tasks workflow, and the SLA workflow.

Step	User	Description
Step 1: Creating a New Contract	Vendor Owner	In this step, the Vendor Owner creates a new contract and submits it to the Vendor Reviewer for approval of contract.
Step 2: Create a New Deliverable	Vendor Owner	In this step, the Vendor Owner creates a new deliverable and submits the deliverable to the Vendor Respondent user for completion.
Step 3: Approving the Contract	Vendor Reviewer	In this step, the Vendor Reviewer approves the contract.
Step 4: Executing the Contract	Vendor Owner	In this step, the Vendor Owner user executes the contract.
Step 5: Activating the Contract	Vendor Owner	In this step, the Vendor Owner user activates the contract.
Step 6: Completing the Deliverable	Vendor Respondent	In this step, the Vendor Respondent user completes the deliverable.
Step 7: Confirming the Deliverable	Vendor Owner	In this step, the Vendor Owner user confirms the deliverable.
Step 8: Creating a New Task	Vendor Manager	In this step, Vendor Manager creates a new task and assigns the task to the Vendor Owner user for flagging as complete.
Step 9: Completing the Task	Vendor Owner	In this step, the Vendor Owner user flags the task as complete.
Step 10: Creating an SLA	Vendor Manager	In this step, the Vendor Manager user creates an SLA Input.
Step 11: Submitting SLA Input	Vendor Owner	In this step, the Vendor Owner user submits the SLA Input.

Step-by-Step Procedure

This section contains detailed steps that will guide you through the module. In this section, you will learn how to work with Contracts, Deliverables, Tasks, and SLAs. 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.

Working with Contracts

Rsam out of the box VRM module provides users with basic contract/deliverables management capabilities. In this section we will review contract creation approval and activation process.

Step 1: Creating a New Contract

In this step, you will log in to Rsam as the Vendor Owner user to create and submit a new contract to the Vendor Reviewer for approval.

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. Navigate to **Records** > **Open By Category** > **Contracts**.

4. In the list of objects, click the **Contracts** link associated with the object for which you want to create a contract. As part of this tutorial, we will use the Alliance Ltd object. The Vendor / Service Provider object opens with the **Contracts** category selected.

5. Click **Add** and select **Contract**.

A new Contract record opens with the Contracts tab selected**.**

6. Complete the **Contract Name**, **Contract Description**, **Contract Type**, **Total Contract Amount**, **Contract Owner**, **Contract Reviewer**, and **Target Execution Date** attributes.

7. Set the **Contract Owner** attribute to **Vendor Owner (r_vendor_owner)**.

8. Set the **Contract Reviewer** attribute to **Vendor Reviewer (r_vendor_reviewer)**.

9. Complete any other attributes that are required to you. Ensure that the attributes marked with an asterisk (*) are completed.

10. Click **Action** and select **Submit Draft for Approval**.

11. In the message that appears indicating to save the changes and continue, click **OK**.

    The newly created contract enters the **Drafted, Pending Approval** workflow state.
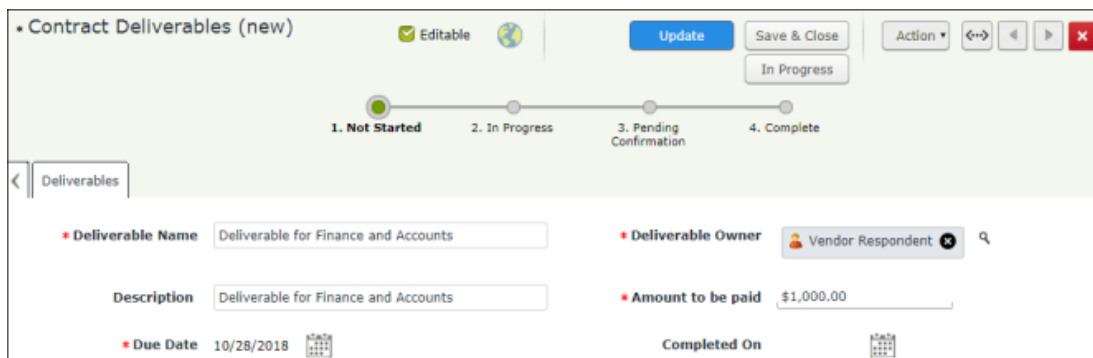
Step 2: Create a New Deliverable

In this step, by staying signed in as the *r_vendor_owner* user, you will create a deliverable to be tracked and updated either by internal users or by vendor users. In this example, the deliverable will be updated by the *Vendor Respondent* user. A *Contract Owner* can also create a deliverable.

1. Ensure that you are signed in as the *r_vendor_owner* user.

2. From within the navigation panel on the left-hand side of the screen, navigate to **Vendor Risk Management** > **Contracts, Deliverables & SLAs**.

3. From within the navigation panel at the left-hand side, select **Contracts by Vendor** and click your Vendor object. As part of this tutorial, we will select the Alliance Ltd vendor object.

4. Double-click the active contract. The **Contract** record opens with the **Contracts** tab selected.

5. Click the **Deliverables** tab.

6. Under **Contract Deliverables**, click **Add**.

7. Enter **Deliverable Name**, **Deliverable Owner**, **Amount to be paid**, and **Due Date**. Set the **Deliverable Owner** attribute to **Vendor Respondent (r_vendor_respondent)**.

    Note: The amount paid for the deliverable must be less than the total contract value.

8. Enter other attributes that are necessary to you.

9. Click **In Progress**. The **Contract Deliverables** record enters the **In Progress** workflow state.

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

Step 3: Approving the Contract

In this step, you will log in to Rsam as the *Vendor Reviewer* user to approve the contract.

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 Reviewer* user. Enter **Username** as *r_vendor_reviewer* and **Password** as *password*.

3. From within the navigation panel on the left-hand side of the screen, navigate to **Vendor Risk Management** > **Contracts, Deliverables & SLAs**.

4. From within the navigation panel at the left-hand side, select **Contracts by Vendor** and click your vendor object. As part of this tutorial, we will select the Alliance Ltd vendor object.

5. Select the contract in the **Drafted, Pending Approval** workflow state.

6. Click **Action** and select **Approve Draft**. The Contract record enters the **Negotiations** workflow state.

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

Step 4: Executing the Contract

In this step, you will log in to Rsam as the *Vendor Owner* user to start the execution of a contract.

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** > **Contracts, Deliverables & SLAs**.

4. From within the navigation panel at the left-hand side, select **Contracts by Vendor** and click your vendor object. As part of this tutorial, we will select the Alliance Ltd vendor object.

5. Select the contract in the **Negotiations** workflow state.

6. Click **Action** and select **Start Execution**. The **Contracts** record enters the **Execution in Progress** workflow state.

Step 5: Activating the Contract

In this step, by staying signed into Rsam as the *Vendor Owner* user, you will activate the contract.

1. Double-click the contract in the **Execution in Progress** workflow state. The **Contract** record opens with the **Contract** tab selected.

2. Before activating the contract, set **Actual Execution Date**, **Effective Date**, **Expiration Date**, and attach the final contract to the **Executed Contract(s)** attribute.

3. Click **Action** and select **Activate**. The **Contract** record enters the **Active** workflow state.

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

Step 6: Completing the Deliverable

In this step, you will log in to Rsam as the *r_vendor_respondent* user to complete the deliverable. A *Deliverable Owner* can also complete the deliverable.

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 Respondent* user. Enter **Username** as *r_vendor_respondent* and **Password** as *password* .

3. From within the navigation panel on the left-hand side of the screen, navigate to **Vendor Respondent Home** > **Vendor Respondent Deliverables & Tasks**.

4. From within the navigation panel at the left-hand side, select **Contracts by Vendor** and click your vendor object. As part of this tutorial, we will select the Alliance Ltd vendor object.

5. Double-click the contract for the Alliance Ltd vendor object. The **Contract** record opens with the **Contracts** tab selected.

6. Click the **Deliverables** tab.

7. Select the deliverable, then click **Action** and select **Complete**. The deliverable record enters the **Pending Confirmation** workflow state.

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

Step 7: Confirming the Deliverable

This step can be executed by logging in either as the *Vendor Owner* user. In this step, you will confirm the deliverable by logging in to Rsam as the *r_vendor_owner* user.

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** > **Contracts, Deliverables & SLAs**.

4. From within the navigation panel at the left-hand side, select **Contracts by Vendor** and click your vendor object. As part of this tutorial, we will select the Alliance Ltd vendor object.

5. Double-click the contract for the Alliance Ltd vendor object. The **Contract** record opens with the **Contracts** tab selected.

6. Click the **Deliverables** tab.

7. Select the deliverable, then click **Action** and select **Confirmed**. The deliverable record enters the **Complete** workflow state.

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

Working with Tasks

Rsam VRM module allows users to record and track vendor oversight tasks. Tasks are used to manage various activities such as site visits or business reviews and assign tasks to vendor within the tool.

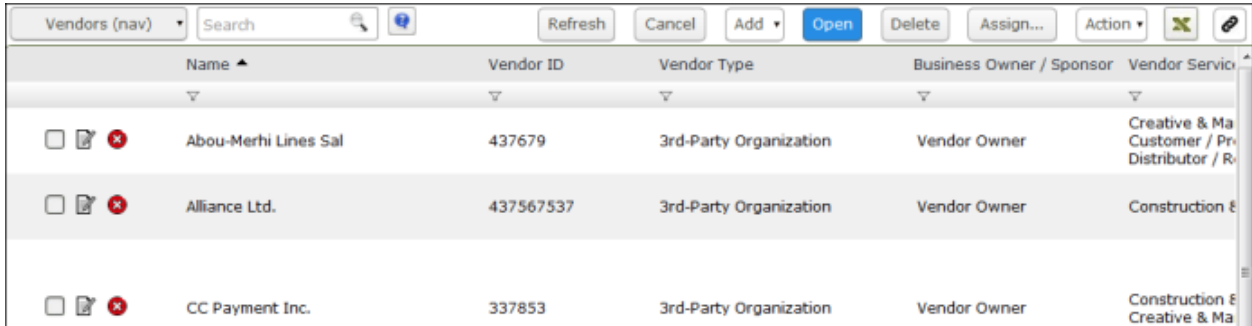## Step 8: Creating a New Task

In this step, you will log in to Rsam as the *r_vendor_manager* user to create a new task.

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 Manager* user. Enter **Username** as *r_vendor_manager* and **Password** as *password*.

3. From within the navigation panel on the left-hand side of the screen, navigate to **Vendor Risk Management** > **Vendor Navigator**.
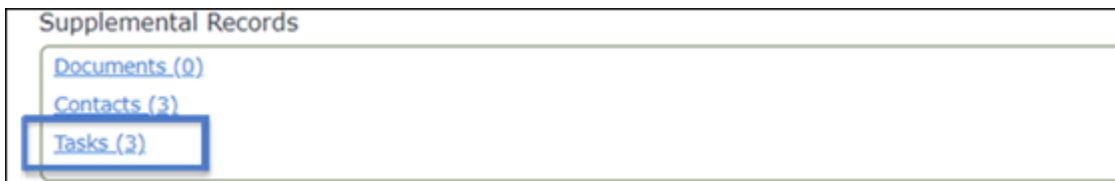
4. In the vendors list, double-click your object. As part of this tutorial, we will use the Alliance Ltd vendor object.

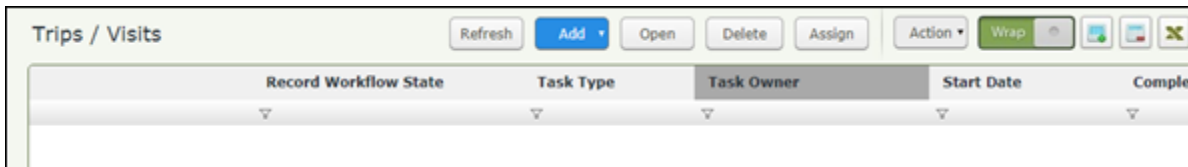Rsam displays the Alliance Ltd vendor object details.

5. Under **Supplemental Records**, click **Tasks**.

The Alliance Ltd vendor object opens with the **Tasks** tab selected.

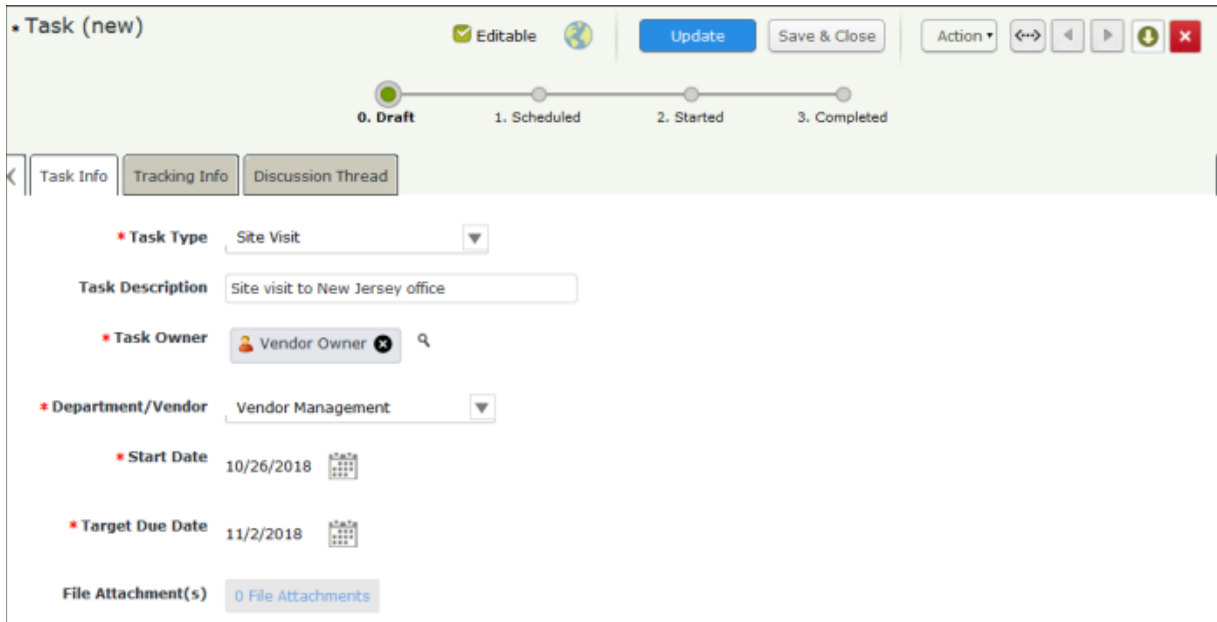6. Click **Add** and select **Task**.

7. Complete **Task Type**, **Task Description**, **Task Owner**, **Department/Vendor**, **Start Date**, and **Target Due Date**.

8. Set the **Task Owner** attribute to **Vendor Owner (r_vendor_owner)**.

9. Click **Action** and select **Start**.

> **Note**: If not started manually (that is when the user does not click the Start button), all scheduled tasks will start automatically based on the start date.
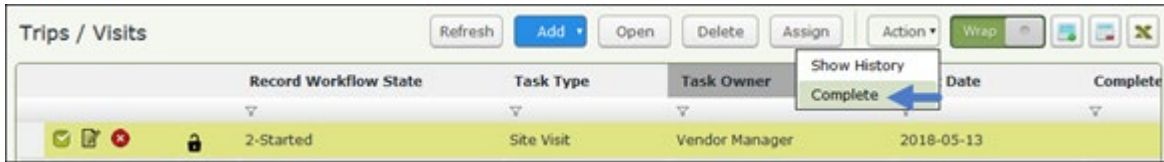
10. Mouse hover over the username and click **Logout**.

Step 9: Completing the Task

In this step, you will log in to Rsam as the *r_vendor_Owner* user to flag the task as complete.

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** > **Vendor Navigator**.

4. In the vendors list, double-click your object. As part of this tutorial, we will use the Alliance Ltd vendor object. Rsam displays the Alliance Ltd vendor object details.

5. Under **Supplemental Records**, click **Tasks**. The Alliance Ltd vendor object opens with the **Tasks** tab selected.

6. Click **Action** and select **Complete**.

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

Working with SLAs

SLAs in the Vendor Risk Management module allow you to track suppliers.

Step 10: Creating an SLA

In this step, you will log in to Rsam as the Vendor Manager user to create an SLA.

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 Manager* user. Enter **Username** as *r_vendor_manager* and **Password** as *password*.

3. Navigate to **Records** > **Open By Category** > **SLA Library**.

4. In the list of objects, click the **SLA Library** link associated with the object for which you want to create an SLA. As part of this tutorial, we will use the Alliance Ltd object.

   The Vendor / Service Provider object opens with the **SLA Library** category selected.
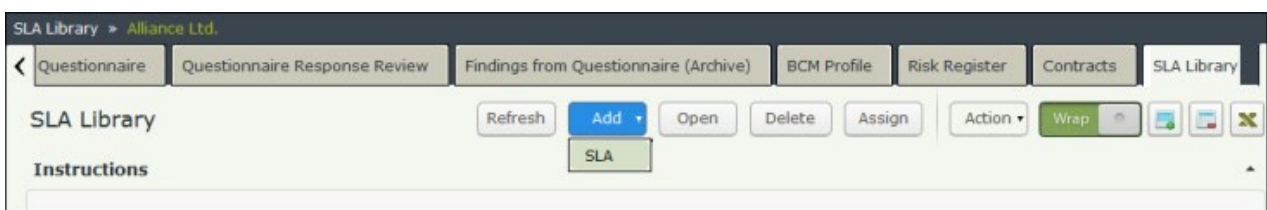
5. Click **Add** and select **SLA**.

   A new **SLA** record opens with the **Contracts** tab selected.

6. Complete the **SLA Name**, **SLA Description**, **Collection Methods**, and **Number of Days to Complete New Input Records** attributes. You may complete other fields if they are required to you.
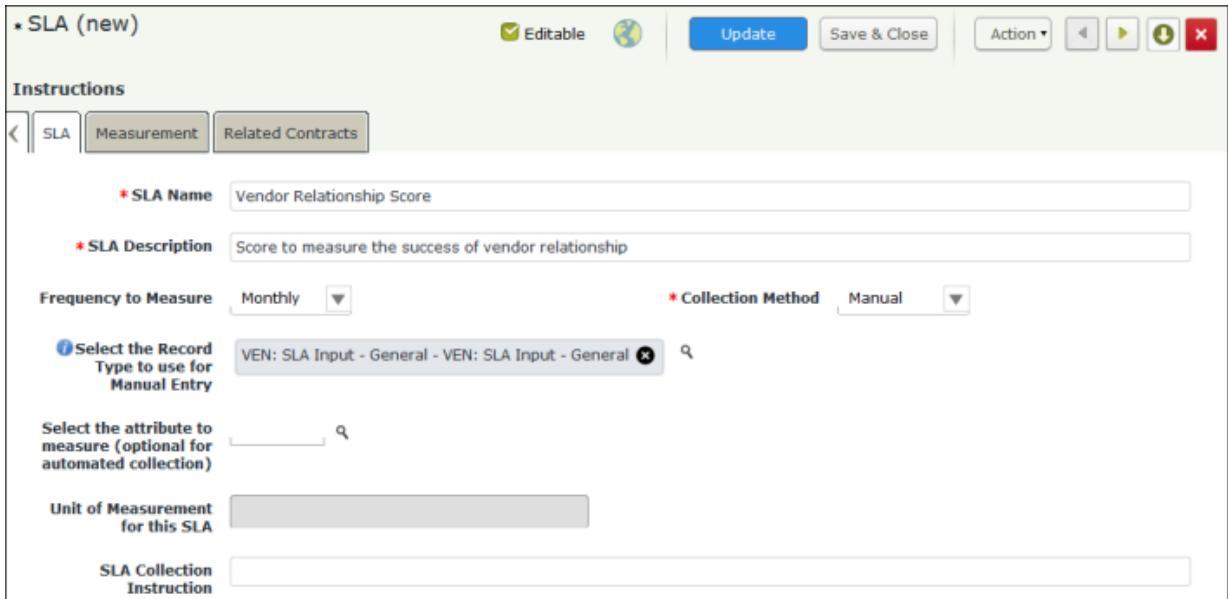
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7. Click the magnifying glass icon associated with the **Select the Record type to use for Manual Entry** attribute. In the dialog that opens, search and select **VEN: SLA Input – General - VEN: SLA Input – General**, and then click **Update**.
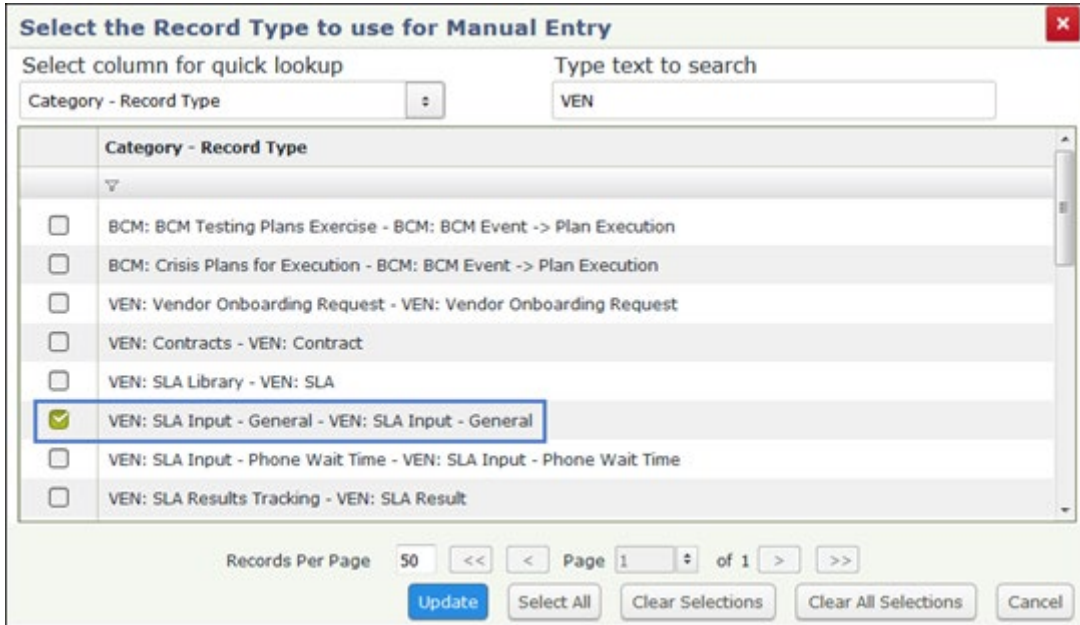
8. Click the magnifying glass icon associated with the **Select the attribute to measure (optional for automated collection)** attribute. In the dialog that opens, search and select **SLA Value / Input**, and then click **Update**.
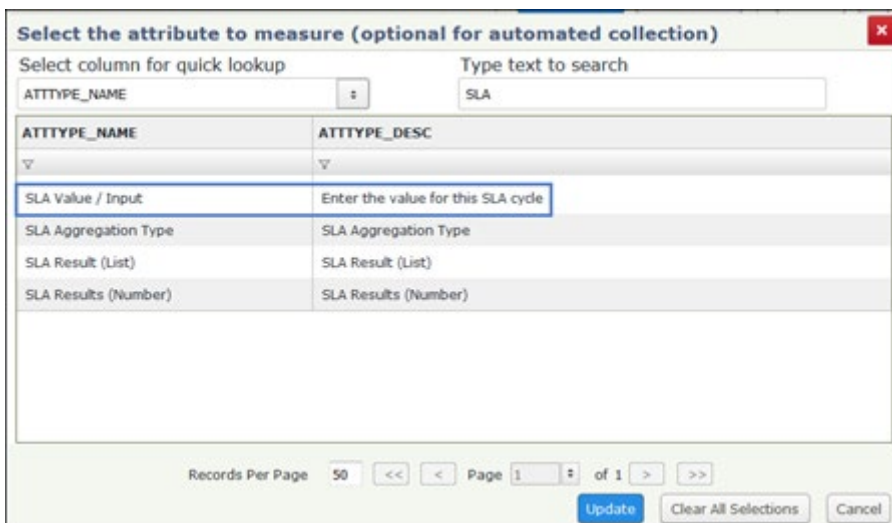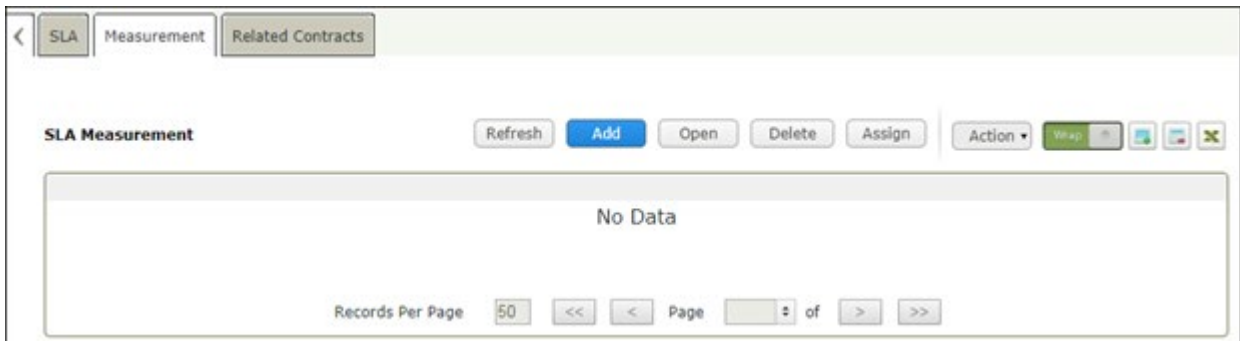
9. Complete the **No. of Days to complete the measurement** attribute. For the sake of completing this tutorial, we will enter *5*.

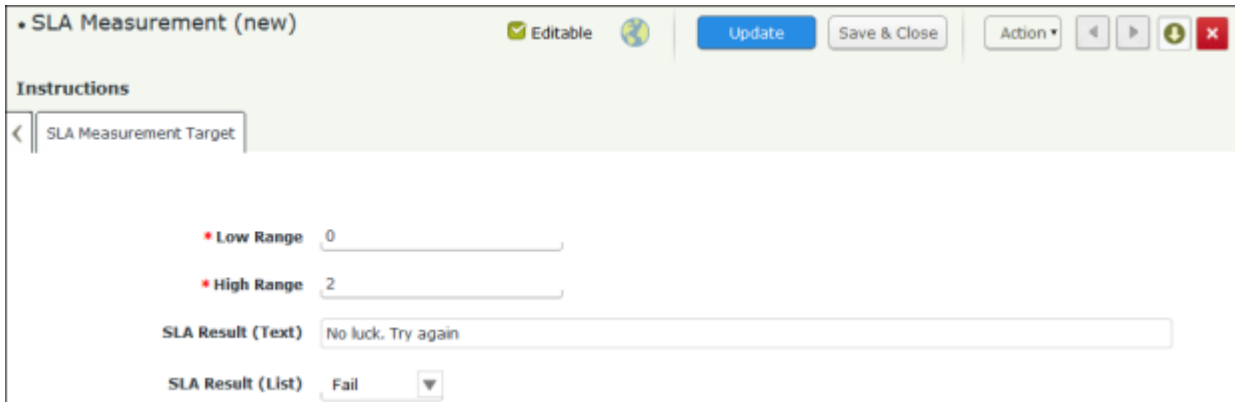10. Click the **Measurement** tab.

11. Click **Add**.

A new **SLA Measurement** record opens with the **SLA Measurement** Target tab selected.

12. Complete the **Low Range** and **High Range** attributes. For the sake of completing this tutorial, we will enter *0* for **Low Range** and *2* for **High Range**.

13. Select **SLA results (List)** to indicate this range will constitute a Fail result.

14. Add another SLA measurement, enter *3* for **Low Range** and *5* for **High Range**.

15. Select SLA results to indicate this range will constitute a Pass result.

16. Click **Save & Close**.

17. Click the **Related Contracts** tab.

18. Click **Add**.

    The **Related Contracts** dialog appears.

19. Select a desired contract and click **Update**. The contract is added to the **Related Contracts** grid.

20. Click **Action** and select **Generate SLA Input Records (for Manual input)**.

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

Step 11: Submitting the SLA Input

In this step, you will log in to Rsam as the *Vendor Owner* user to submit the SLA Input.

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** > **Contracts, Deliverable & SLAs**.

4. In the navigator, select **SLA Inputs (nav)** and select the **SLA Input Pending** group.

5. Click **Action** and select **Submit SLA Input**.

   At this point a new SLA result record will be generated with provided scores recorded in that record along with Pass/Fail distinction for each provided input.

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

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.

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.
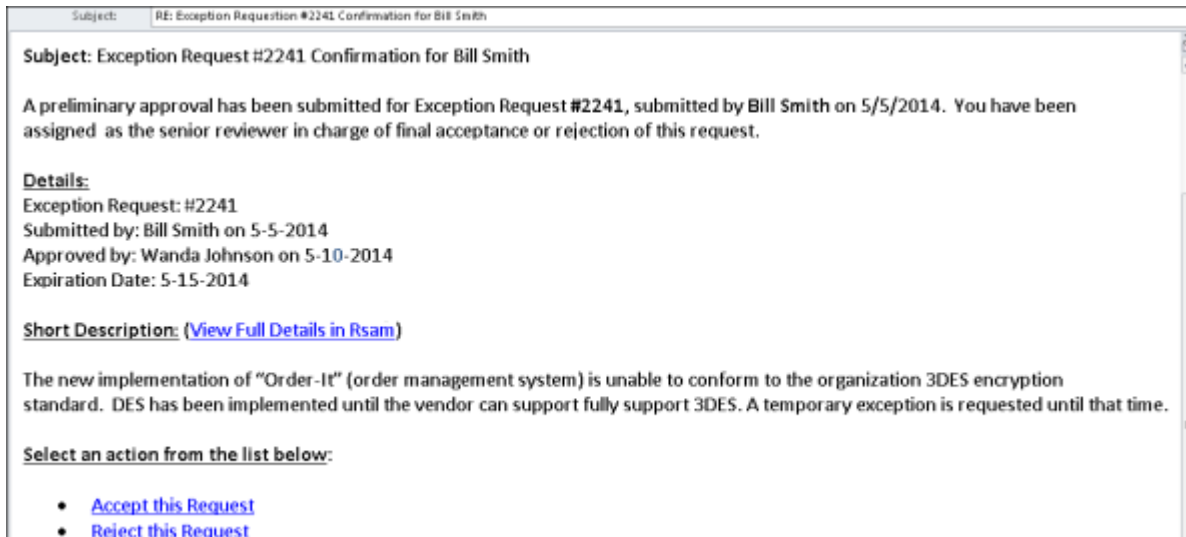
Appendix 2: Rsam Documentation

Vendor Risk Management 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 on 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. Enter **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.