Rsam New Feature Orientation Guide

Assessment Questionnaire

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Contents

About Rsam New Feature Orientation Guides

New Feature Orientation Guides help you familiarize yourself with major new Rsam platform features. These guides explain how to enable/implement the new feature and also highlight considerations for how that feature might impact existing configurations.

This guide aims to provide a walk-through of the settings and benefits of Assessment Questionnaire feature, allowing you to get immediate hands-on familiarity with its implementation and use.

Intended Audience

This document is intended for the Rsam Administrators to understand the Assessment Questionnaire feature and start creating new assessment questionnaires for end users.

Assessment Questionnaire Concepts

Terminology Used in the Document

The new Assessment Questionnaire feature is a next-generation update to Rsam's questionnaire capabilities. This feature is designed to use many of the new features of the Records module and provides customers with a new experience when designing and using the Rsam questionnaire. Following are explanations of some of the terms mentioned in this document:
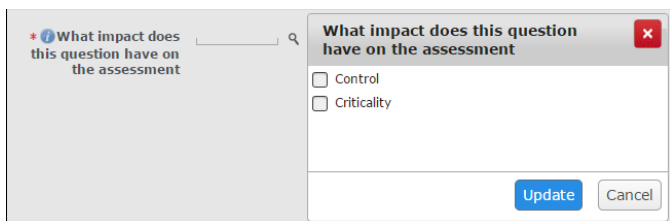
- **Assessment Questionnaire** – The new questionnaire feature in Rsam introduced in version 9.2.

- **Legacy Questionnaire** – The older questionnaire feature in Rsam, still available to customers using 9.2 who do not perform the steps to upgrade to the new questionnaire.

- **Assessment Questions** – The questions that will be mapped to object types and presented to users as part of the Assessment (previously called Control Types and Criticality Factor Types). These questions are created as records and stored in their respective Assessment Question Library. Each question is mapped to an object type and it is published in the corresponding assessments.

- **Assessment Question Library** – A Library assessment question record that defines a possible question to be asked in an assessment. Libraries are stored in library objects and divided into three record categories – Draft, Active, and Archive.

- **Assessment Question Domain –** A content domain, such as ISO or HIPAA, that the Assessment Questions and Libraries are related to for regulatory reporting. They exist in a flat record structure with a virtual hierarchy (with attributes that specify their parents and children).

The Assessment Questionnaire feature is based on a Records structure for the management of questions in the question library and for use of the questions in an assessment. Each question presented to the user has a dedicated record, with multiple attributes within it.

Assessment Questions

Assessment Questions represent questions that will be asked within an object as part of the assessment process. Each assessment question is a record in the Rsam database and consists of multiple attributes. Some examples of the attributes in an assessment question record are Question Name, Question Description, Extended Description, etc. These attributes are provided out-of-the-box (OOTB) in Rsam and mapped to the assessment question records.

With the new assessment questionnaire, you can define both Control and Criticality questions from the same record. A specific attribute in the library record distinguishes a control question from a criticality question. Following figure shows the attribute – **What impact does this question have on the assessment** to determine whether the question is a control or criticality type.

For the assessment questions:

- Criticality factors are leveraged in the analysis process to trigger criticality levels and control standards
- Controls are leveraged in the analysis process to compare against control standards and generate findings

Assessment Question Libraries

All assessment questions are created and maintained in Assessment Question Libraries. These libraries are record categories and can be accessed by navigating to **Records > Open By Category** and selecting the required category. The three library categories are:

- **Draft** – Contains all the questions in the draft form. You can create and update questions from this library.
- **Active** – Contains read-only copies of all the published / active questions. You can map the questions available in this library to the objects, and the questions appear in the assessments corresponding to the objects.
- **Archive** – Contains all archived questions corresponding to each question which has been updated. These questions are not used in any active assessments, but can be referred by older assessments.

Assessment Question Lifecycle

Each assessment question created in Rsam goes through a specified lifecycle. A workflow has been created to manage the lifecycle through the three categories. Following image shows the lifecycle.

Assessment Question Library Objects

The library of Assessment Questions is logically divided into separate library objects. Each object presents a specific body of content outside of the harmonized question library in Rsam. Existing customers upgrading to the new feature will have all questions stored under a single object. New customers receive the OOTB questions divided into the following objects.

Object	Content
AQ – RSAM Harmonized	Rsam Harmonized Controls Cross-Mapped to • 201 CMR 17 • COBIT • COSO • FFIEC • General IT • GLB • HIPAA • HITRUST • ISO • PCI (not SAQ) • SOX IT
AQ - NIST 800-53	• NIST 800-53 • FIPS 199 • DFARS
AQ – NIST 171	NIST 171
AQ – Shared Assessments	SHARED ASSESSMENT (BITS)
AQ – PCI SAQ	PCI SAQ
AQ – FERPA	FERPA
AQ – CSA	Cloud Security Alliance
AQ – Customer	Customer – Generated Assessment Questions

Enabling the New Assessment Questionnaire Feature

The new Assessment Questionnaire feature is available in Rsam from the 9.2 version, but must be enabled. To enable the assessment questionnaire feature, customers must import an AQ environment migration script, and a SQL script provided by Rsam.

Points to Consider – For Customers Upgrading

If you are an existing customer of Rsam and upgrading to the 9.2 version, following are some points to consider before enabling the new Assessment Questionnaire feature:

- Once you enable the new Assessment Questionnaire feature, the steps cannot be reversed. You will need to do a full database restore to revert to the old Questionnaire.

- Running the SQL script can take an hour or more, depending on the volume of existing questionnaire responses in the database. During this time, you should not use the Rsam instance, for the scripts to make updates successfully.

For more information on enabling the feature, see the **Rsam 9.2 Upgrade Guide for the Assessment Questionnaire Feature.**

Assessment Questions

As an initial step to creating a new questionnaire, you must create the required questions to be presented to users. You will also specify the possible answers (responses) that users may have for the questions. Each response can have a control standard or criticality level mapped, which helps in assessing the risk/criticality when generating the findings from the questionnaire.
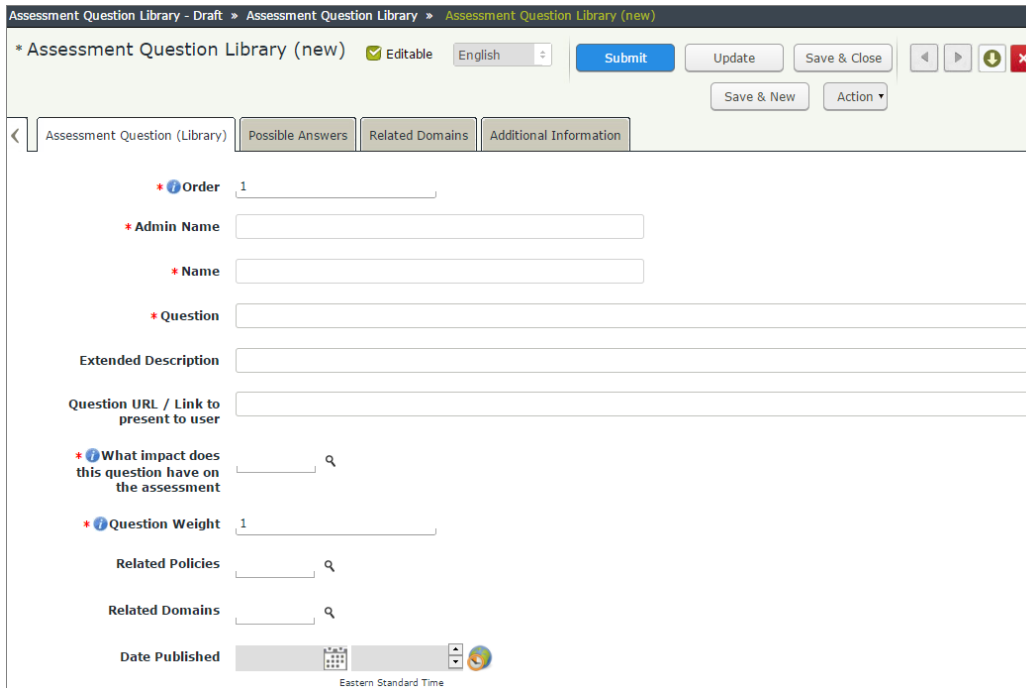
This chapter explains the following:

1. Creating an Assessment Question

2. Publishing Assessment Questions

3. Importing Assessment Questions

4. Assessment Questions Presentation to End User

Creating an Assessment Question

To create an assessment question, perform the following:

1. Navigate to **Records > Open By Category > Assessment Question Library - Draft**. Page refreshes to show all the available questions in the draft tab.

2. Click **Add > Assessment Question Library**. Page refreshes to show the fields to create the new question.

If you want to update an existing question, select the question and click **Open**.

Note: You can update a question only after moving it to the Draft workflow state, by clicking **Action > Revise Question**.

3. Provide values for the following mandatory fields available on the page.

Field	Value
Order	Represents the order in which the question is presented in the list. Field is auto-populated with a value. You can update it as required.
Admin Name	Administrative name to identify the question in administrative screens.
Name	Name for the question that appears in user screens.
Question	Question text that appears in the assessment for end users.
What impact does this question have on the assessment	Click 🔍 and specify whether the question is a Control or Criticality. Select the check box corresponding to the required option, in the pop up that appears and click **Update**.
Question Weight	Value represents the weight of the response in the scoring system.

4. Click the **Possible Answers** tab. Page refreshes to show the fields and buttons to add possible answers for the question.

   a. Click **Add > Possible Answer**.

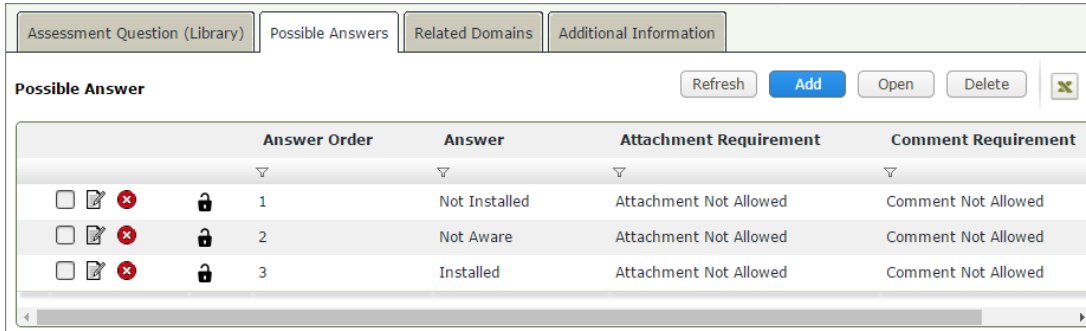   b. Provide values for the following mandatory fields on the **Possible Answer** tab.

Field	Value
Answer Level	Level of the response used in setting standards / identifying gaps. The higher the level, the stronger the control / answer.
Answer Order	Order in which the response is presented to the end-user.
Answer	Text of the possible answer that appears to the end-user.
Answer Weight	Weight of the response in the scoring system / finding gap generation.

   c. Click the other available tabs and provide values, as explained in the following table.

Tab	Description
Auto Answers	Other Assessment Questions that will be automatically answered and set to read only if this answer is selected.
Criticality Levels	Criticality Levels to apply to this object if this answer is selected. This can then enable control standards/requirements. **Note:** Required criticality levels must already be defined in the system.
Aspect Creation	Object Aspects (questionnaires) to auto-create if this answer is selected.

   d. Click **Save & Close**. The answers are saved and the page refreshes to show the Possible Answers tab.

   e. Provide values for the next set of answers as required.
      Refer the preceding steps for the available fields and possible values.

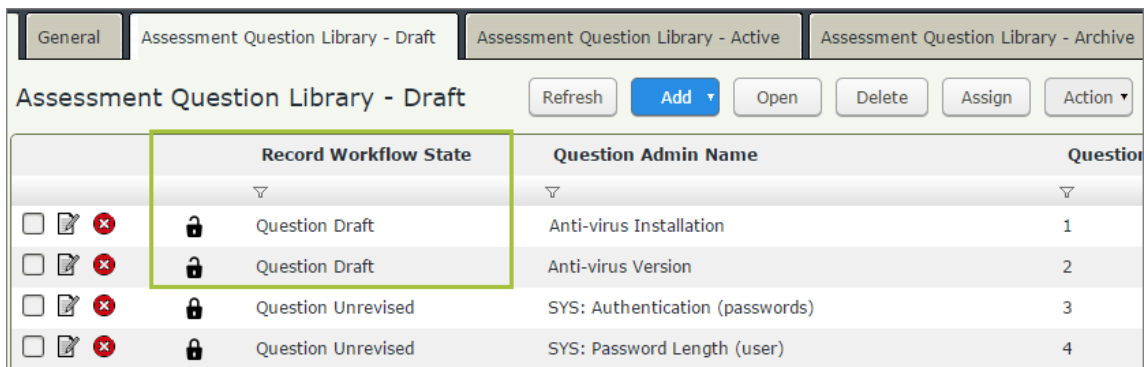f. Click **Save & Close**. Page refreshes to show the **Possible Answers** tab listing the provided answers.

g. Click **Save & Close**. The page refreshes to show the created question in the **Assessment Question Library – Draft** tab.
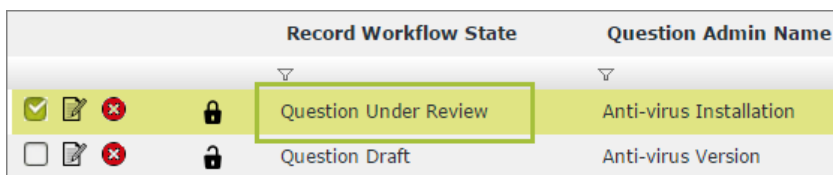
Publishing Assessment Questions

After you create a new question, the question's Record Workflow State is **Question Draft,** as shown in the following image. While in Draft the question is not available in the administrative screens / cannot be associated with an object assessment.

To publish a question to the **Assessment Question Library – Active** category, perform the following:

1. Editor Role: Select the required question and click **Action > Submit**. The Record Workflow State changes to **Question Under Review**.

2. Reviewer Role: With the question selected, click **Action > Approve**. The Record Workflow State changes to **Question Approved – Ready to Publish**.

3. Manager Role: With the question selected, click **Action > Publish**. The Record Workflow State changes to **Question Unrevised**. The question is now published and available in the **Assessment Question Library – Active** tab.

4. To view the published question, click **Assessment Question Library – Active** tab and search for the question. The Record Workflow State of the question is **Question Published**.
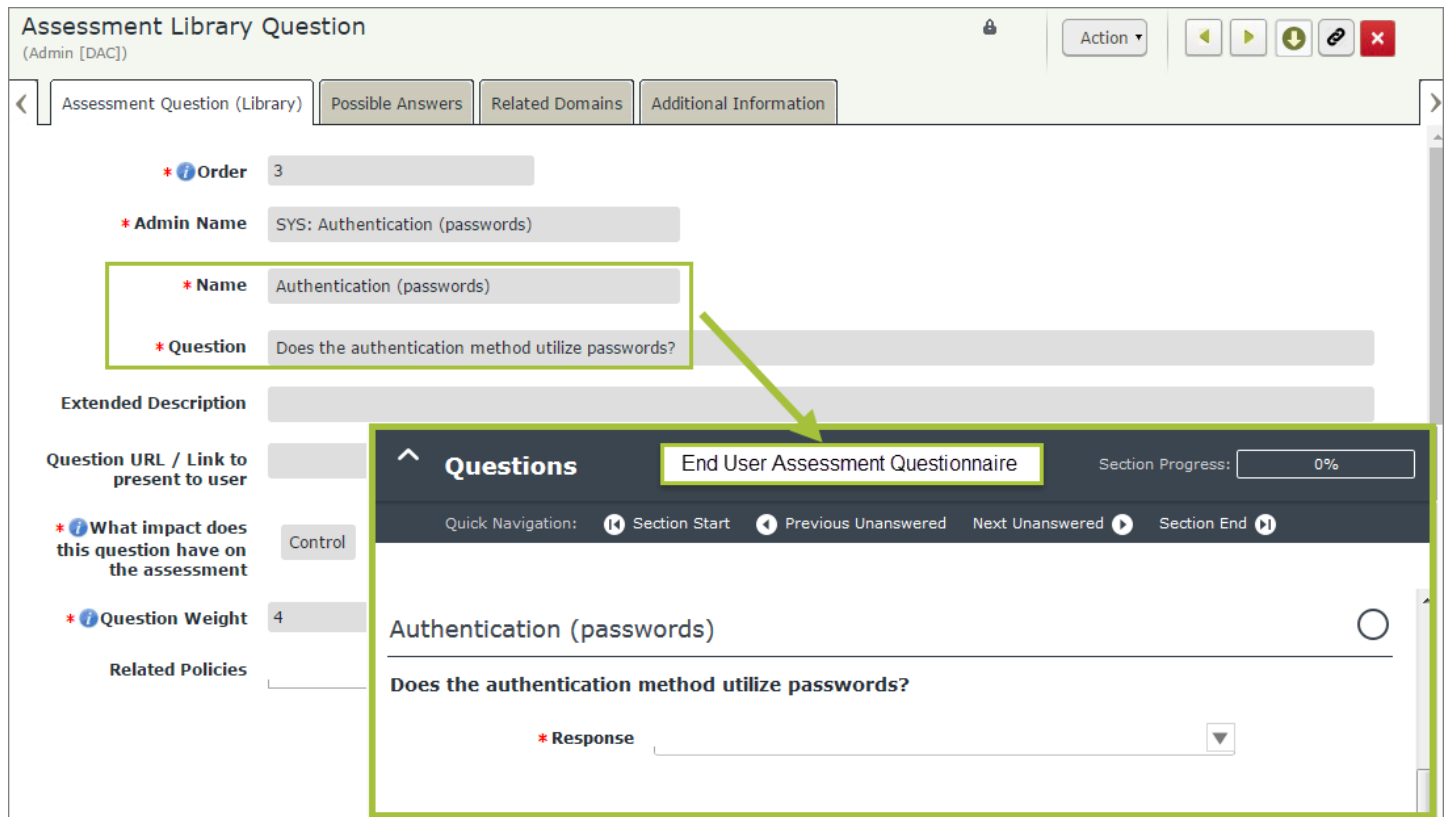

Note: If you updated an already published question, the older version of the question moves to the **Assessment Question Library – Archive** tab with the Record Workflow State as **Question Archived**.

Importing Assessment Questions

If you have your assessment questions defined in an external data source, supported by Rsam or in a supported format, you can import the questions into Rsam, using the standard **Import Records** feature. During import mapping, you can specify the record category for which the questions are being imported. Using this mapping, Rsam moves the assessment questions to the applicable Assessment Question Library (Draft, Active, or Archive).

Assessment Questions Presentation to End User

Following image shows an example of how a specific question defined in the library can be presented to an end user when the assessment is generated.

For more information on how an assessment questionnaire appears to the end user, see Assessment Questionnaire Presentation for End User.

Assessment Question and Object Type Mapping

Administrators can control which questions are presented in objects of a specific object type. To specify the assessment questions to appear for an object type, you must map the questions to the object types.

Note: To map the assessment questions, you must have the required Object Type created, and questions must be in the active category.

This chapter explains the following:

Mapping Assessment Questions to Object Type

To map required assessment questions to an object type, perform the following:

1. Navigate to **Manage** > **Administration** > **Structures & Elements** > **Object Types**.

2. Select the targeted object type. The corresponding tabs appear on the right panel.

3. Click **Assessment Questions** tab on the right panel, select **Show All**. All active assessment questions appear on the tab.
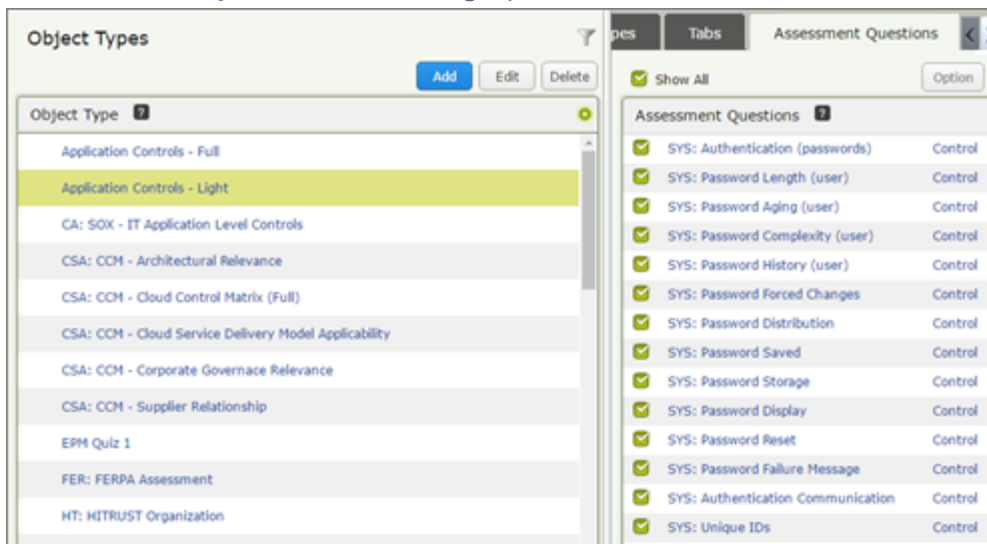
4. Select the check boxes corresponding to the required questions to be mapped to the object type. A pop appears asking the tab in which the question must be placed.

5. Select the desired tab and click **Save**.
   Note: If you want to place the question in a new tab, click **Tabs** and create a new tab. You may also open a tab to arrange the order that the questions will appear in. Refer the following section for more information.

Placing Questions in Respective Tabs

When associating an object type with an assessment question you can select the tab in which the question must be included. You can place all questions in one tab or divide questions into logical groups, create appropriate tabs, and place each group of questions in respective tabs.

Following image shows an example Object with multiple tabs defined.
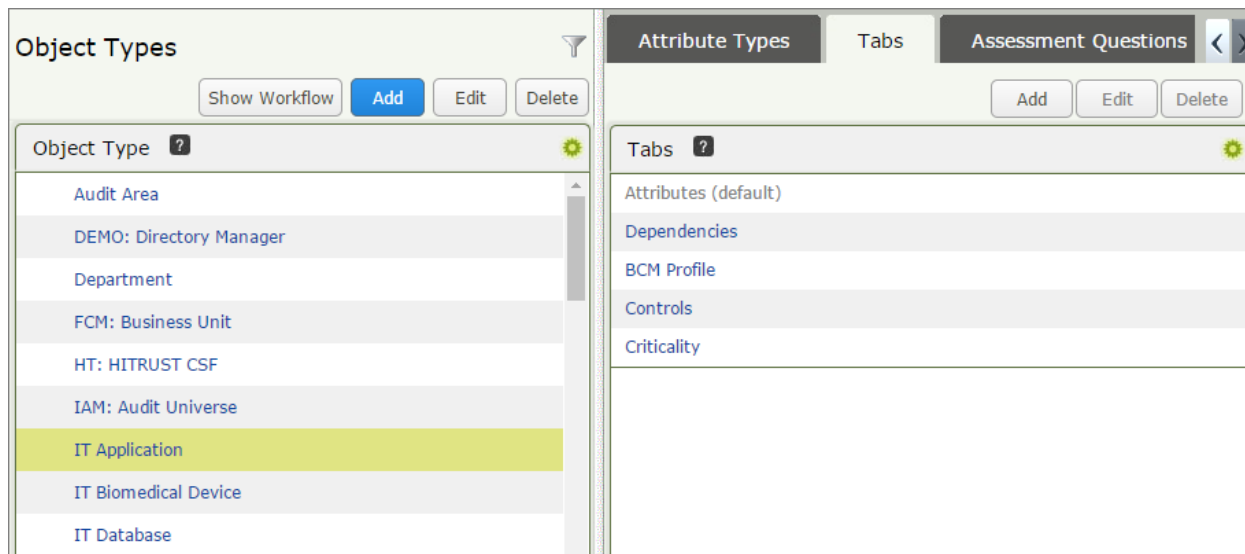
Arranging Assessment Questions in an Object Type (Tab)

Rsam provides you the functionality to arrange assessment questions and attributes on a tab as desired. This allows you to mix and place questions on a tab as desired, from an intuitive user interface.

To arrange assessment question in an object type tab, perform the following:

1. Navigate to **Manage** > **Administration** > **Structures & Elements** > **Object Types**.

2. Select the required object, and click **Tabs** on the right panel.

3. Select the required Tab name and click **Edit**.
   Alternatively, you can double-click the tab name.
   The Update Controls Tab pop up appears.

4. Click **Form Arrangements tab**.

5. Select **Attributes** or **Assessments** and arrange the corresponding questions on the tab as required.
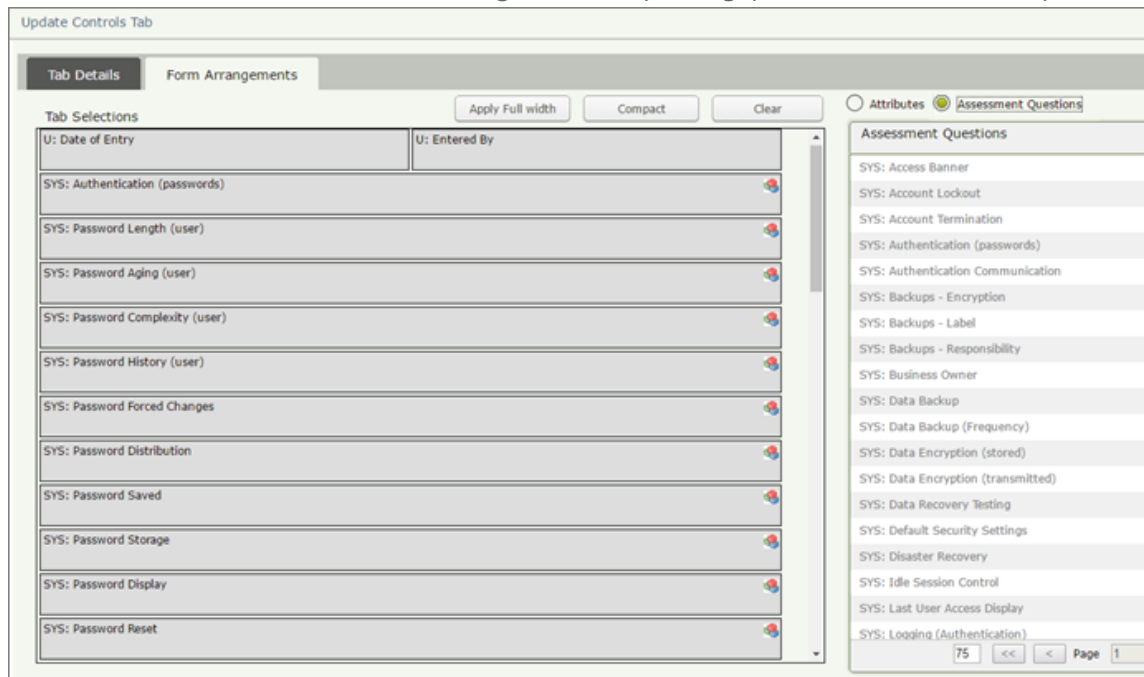
You can drag and drop the items from the list.

6. Click **Save** to save the arrangement.

OOTB Tabs

Multiple tabs are used to segment assessment questions. OOTB tabs are organized as explained in the following table.

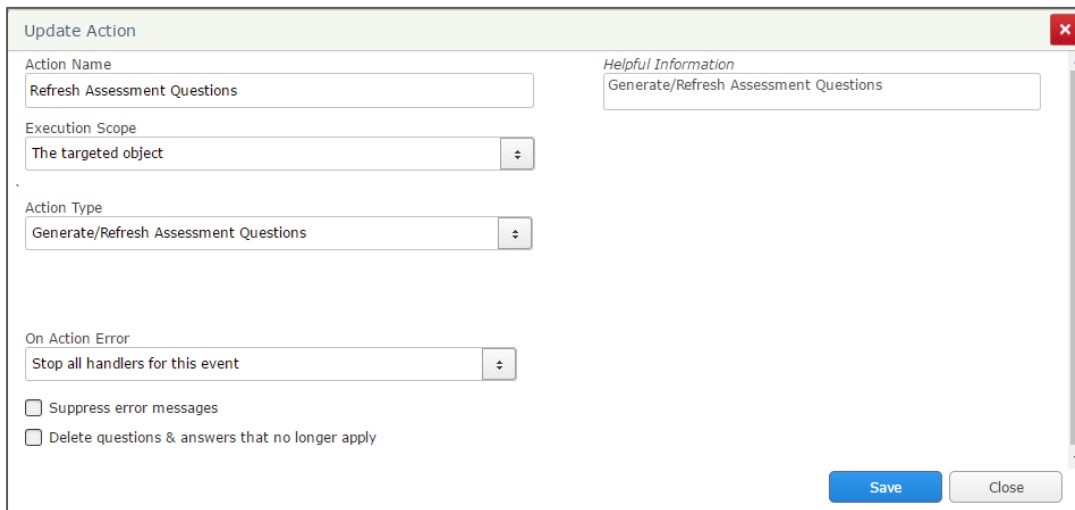| Scenario	How Tabs are Organized
Customers upgrading from previous versions of Rsam	**Attributes:** This tab holds the object's attributes. **Criticality:** This tab holds all criticality questions. **Control Section X:** The next tabs hold a # of control questions. These sections are created to ensure good performance (to not have too many questions on the user's screen / browser at once). By default, Rsam places 150 questions per tab.
New customers receiving Assessment Questions for the first time	**Attributes:** This tab holds the object's attributes. **Criticality:** This tab holds all criticality questions. **Control Topics:** The next tabs hold controls organized by logical topics such as Authentication Controls and Environmental Controls.

Populating Assessment Questions in an Object

For Assessment Questionnaire, Rsam provides you the ability to control when a questionnaire is generated / refreshed within an object. Creating an object by itself does not necessarily generate the assessment questions and associating a new assessment question library to an object type does not instantly place the assessment questions in all related objects. To populate assessment questions, you can use one of the following two features:

- Handler Action
- Object Type Setting

Handler Action

Handlers contain an Action Type – **Generate/Refresh Assessment Questions**. This action can be triggered on the object when you are ready to build or refresh the assessment question records for that object, from the Library.

Navigate to **Manage > Administration > Workflow > Risk Analytics Handlers**. Add a new handler and add the handler action as shown in the following image.
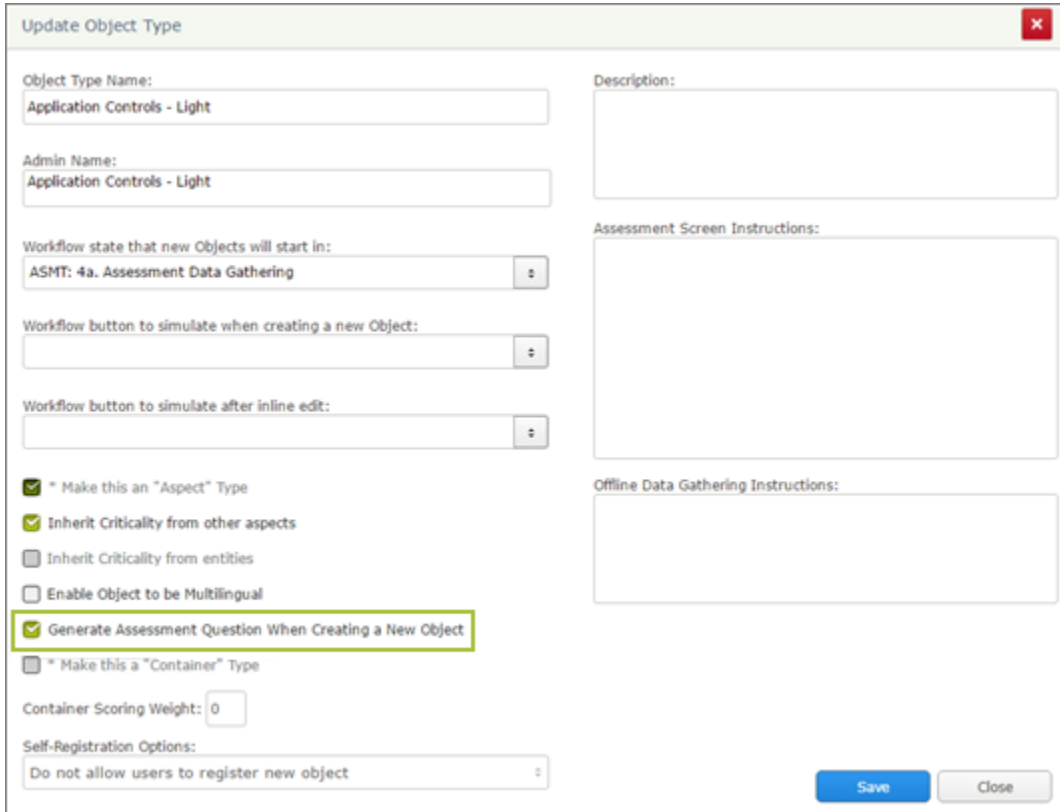

The following option is also available for the Action Type.

Option	Purpose
Delete questions & answers that no longer apply	If an assessment question is no longer associated with the object's object type, selecting this option removes the assessment question record / answer from this object. Only by removing the object type and assessment question mapping from the Admin screen will not remove the answers. Further, you must perform a refresh for the setting to take effect.

Object Type Setting

In the Object Type admin page, there is an option to auto-generate the assessment questions when a new object is created.

Following image shows the option for the Object Type.

This is the easiest method to generate the initial questionnaire within an object.

Note: Creating an object with assessment questions will take several seconds (without this option the creation is almost instantaneous). The actual time can vary depending on the number of questions involved.

Refresh Workflow Button

Rsam comes pre-configured with an object workflow button designed to refresh the questionnaire of the selected object called **AQ: Refresh Questions from Library**. This button triggers the **Generate/Refresh Assessment** Questions handler action and pulls any new questions associated with that object type into that object's questionnaire.

In addition to this manual action, some customers may choose to incorporate the Refresh handler action in their own workflow at the point where an assessment restarts the assessment process.

Home Page Tabs

You can access pages related to assessment questions from two new tabs on the home page as shown in the following image.
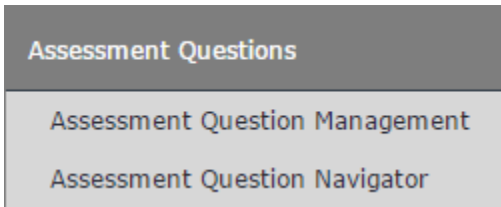
Assessment Question Management

In addition to navigation from the category menu, you can use this home page tab to quickly access to the different assessment question library categories available in Rsam. Following image shows an example page.
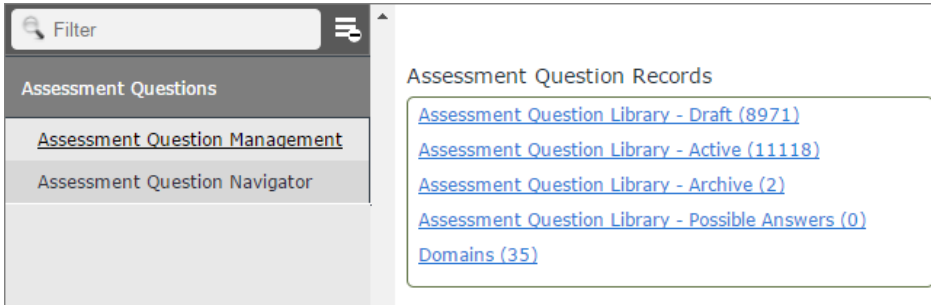
Assessment Question Navigator

Use this tab as a navigator to access the assessment question libraries based on different filters / groupings. Following image shows an example page.

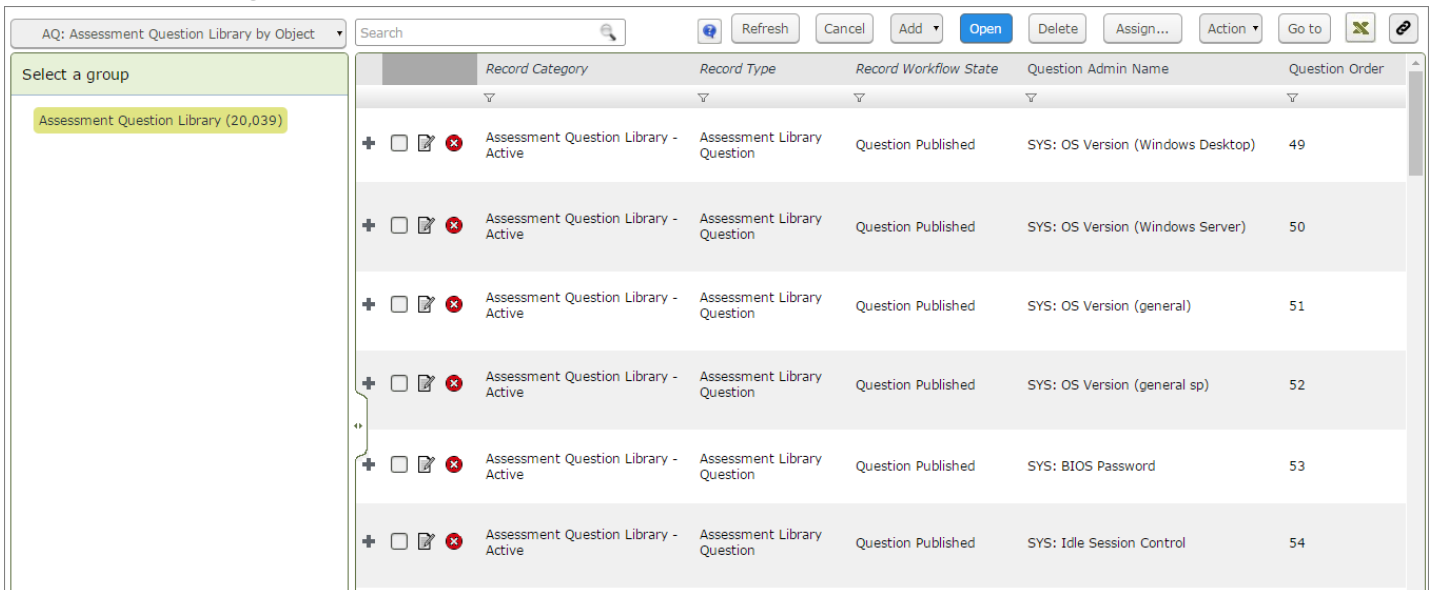# Reports and Gap Generation

Reports

OOTB questionnaire reports in Rsam support the assessment questionnaires. These reports use only the OOTB attributes to stay consistent with prior reports used for the legacy questionnaire. In the near future, you will also be able to use the powerful Rsam Search feature to include additional attributes in the reports.

You can use Searches on both the libraries as well as the object assessment question records. This offers many reporting capabilities, such as the display of specific assessment question attributes, charting, Rapid Reports, and more.

Gaps / Questionnaire Findings

For Questionnaire Findings, when compiling gaps, Rsam auto-generates questionnaire findings in the same way as it was done in the previous versions of Rsam for the legacy questionnaire. For the assessment questionnaires also, gaps are generated based on the control standards defined.

Transitioning to Assessment Questionnaire

If you are an existing customer upgrading to the new Assessment Questionnaire feature, following actions take place in your Rsam instance:

- All Control Types and Criticality Factor Types become Assessment Question Library records.

    o These libraries are mapped to the proper object types.
    o Tabs are auto-generated for any object type with more than 100 questions. This helps to avoid presentation of excessive number of questions on a single tab. The number can be modified before running the conversion procedure.

- All Domain Types and Domains are converted to Domain Records.

- All existing answers to questions get stored to the corresponding assessment questions, under the same object.

- All Findings from Questionnaire and Questionnaire Response Review records remain the same.

Deprecated Features

When you upgrade to the new assessment questionnaire, the following older version features are deprecated/changed:

- Questions associated with object types no longer instantly apply to all objects of that type. You must refresh the objects.
- Creating an object with assessment questions take some time (typically a few seconds more). In the previous versions of Rsam, it was instantaneous.
- You cannot associate assessment questions to Object Types. Instead, you need to navigate to the Object Type to associate the required assessment questions.

Custom Procedures and Reports

Customers using custom SQL stored procedures (written by the customer or by Rsam) related to the questionnaire system, will need to get the procedures reviewed and adjusted for the new assessment questionnaire. Rsam now requires that all questionnaire data be updated in the original tables (object_control, object_rf, etc) as well as in the records.

Record Volume

Now that Assessment Questions are stored as records, this will increase the volume of record data in the database. This leads to larger database files depending on the number of assessments.

Assessment Questionnaire Presentation for End User

Questionnaires presented to end users are quite intuitive. All object type tabs are shown on the left panel navigation. The top of each tab appears as collapsible section header. Each shows the number of required questions that are answered. Sections that have been completed are shown in green.

Action buttons appear at the top of the questionnaire, similar to how they appear in Record forms. Buttons may appear in the top panel, or in the action menu depending on their setting.

Following image shows an example assessment questionnaire for an end user.
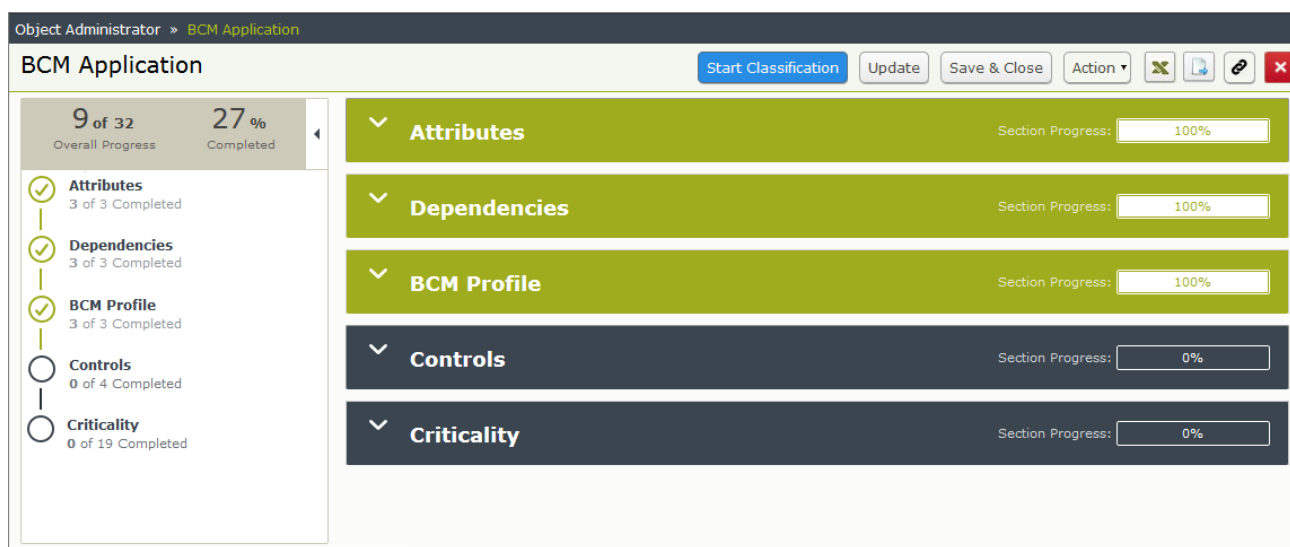
Answers to questions are saved automatically as the user moves from section to section, or when they close the questionnaire.