



Indicators Module

Baseline Configuration Guide

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About Rsam Baseline Configuration Guides

Rsam Baseline Configuration Guides provide you the information needed to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be used out-of-the-box.

Baseline Configuration Overview

Rsam Indicators module allows organizations to track key risk and performance indicators across all other Rsam modules and build-your-own applications. The Indicators module allows users to define thresholds and targets for aggregate data and to dashboard the organization's performance against those targets over time. Underlying indicator data can be collected either manually from users or automatically using Rsam saved searches.

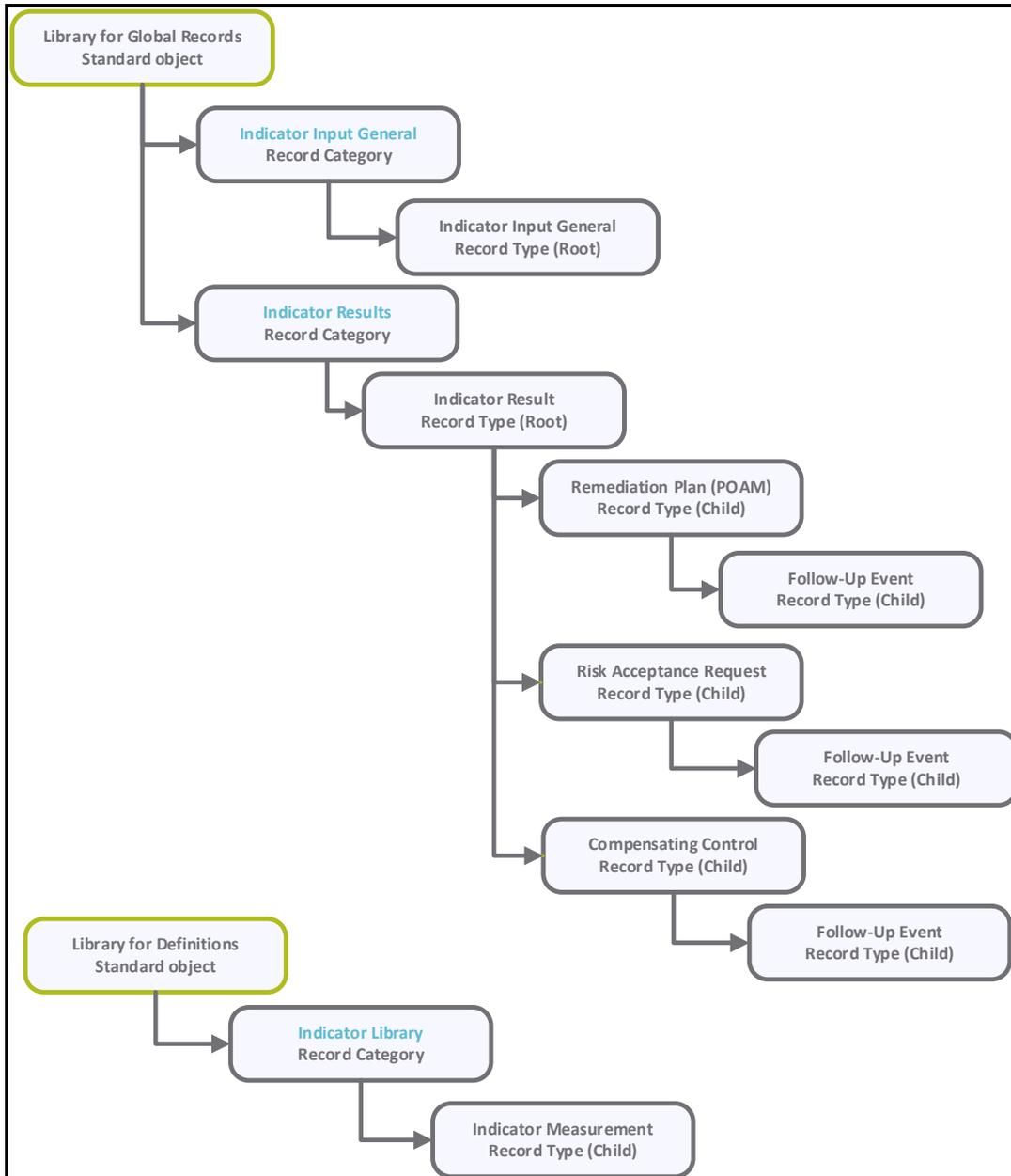
This document describes the baseline configuration and structure for the Rsam Indicators module. The information in this guide is meant to provide a baseline understanding before you leverage the Indicator module or begin to tailor the module to meet your unique requirements. The following is a list of some of the administrative elements that are documented in this guide:

- Data Structure
- Home Page Tabs
- Workflow

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

Indicator Module Structure

By default, Indicator definitions are stored in the object— *Library for Definitions*, and the indicator results are stored in the object— *Library for Global Records*. However, an administrator can also choose to associate indicator definitions and results with specific objects in Rsam. The following is a diagram of the default data structure.



Object Types

The following object types have been pre-configured in this module.

Object Type	Usage
Library for Definitions	Utilizes the standard Library for Definitions object for managing a library of global Indicators.
Library for Global Records	Utilizes the standard Library for Global Records object for managing result records for global indicators.
Any Rsam Assessment Object	Indicator Libraries, Indicator Input record types, and Indicator Results can also be defined and tracked on any Rsam object.

Record Categories

The following record categories have been pre-configured in this module.

Record Category Type	Usage
IND: Indicator Input - General	A category type that includes the Indicator Input General record type.
IND: Indicator Results	A category type that includes the Indicator Result record type and its child record types: Remediation Plan (POAM), Risk Acceptance Request, Compensating Control, and Follow-Up Event.
IND: Indicator Library	A category type that includes the Indicator Measurement record type.

Record Types

The following record types have been pre-configured in this module.

Record Type	Usage
IND: Indicator Input - General	The default record type for tracking the collection of manually-sourced indicator result data. Indicator Input records are generated on a periodic basis and then presented to end users populate and submit them. Once submitted, Indicator Input records are used to generate Indicator Results records.
IND: Indicator (fixed)	Tracks the definition of a given indicator including its overall type and purpose, data collection method and measurement thresholds.
IND: Indicator	A child of IND: Indicator, Indicator Measurement associates an alert level categorization (e.g. Normal, Warning, Caution) for a specific range of possible

Record Type	Usage
Measurement	Indicator Result values
IND: Indicator Result	Tracks a point-in-time snapshot of the results, used for comparison against the targets defined in an Indicator Measurement.

Home Page Tabs

The baseline configuration of the Indicator module contains several Home Page Tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. The following Home Page Tabs are available in the Indicator module.

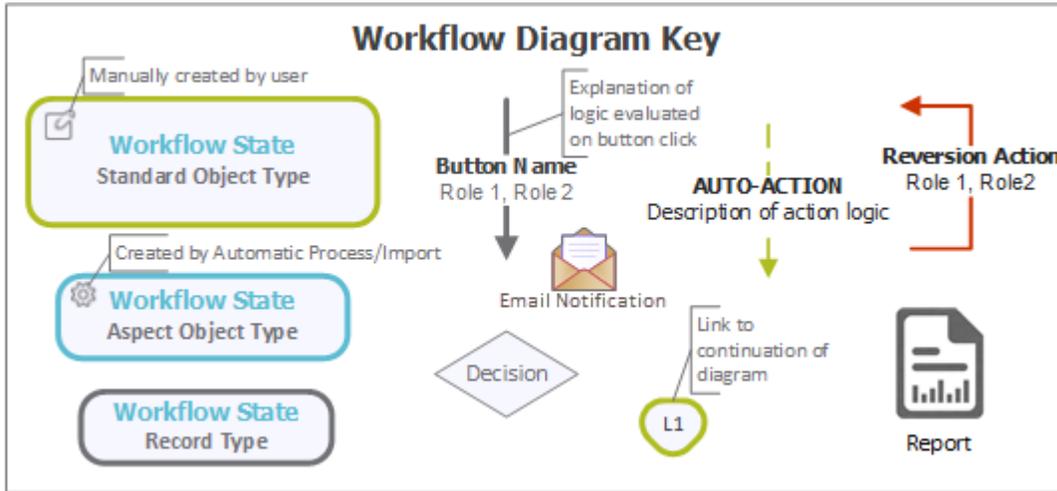
Home Page Tab	Description
IND: Indicators Management Home	A home page for the Indicators module that includes links to Indicator library and result record category types as well as dashboard widgets.
IND: Indicators Dashboard	A dashboard page of heat map widgets showing aggregate information across various Indicators and their results (as compared to defined targets) over time.
IND: Indicator Input Queue	A tactical home page for displaying Indicator Input records to the user responsible for populating and submitting on a periodic basis.
IND: Indicator Results Navigator	A navigator tab providing various searches across Indicator Result records.
IND: Indicators (grouping tab)	A grouping tab containing all other home pages included in the module. This grouping tab also includes a self-registration link for creating new Indicator library records.

Indicator Module Workflow

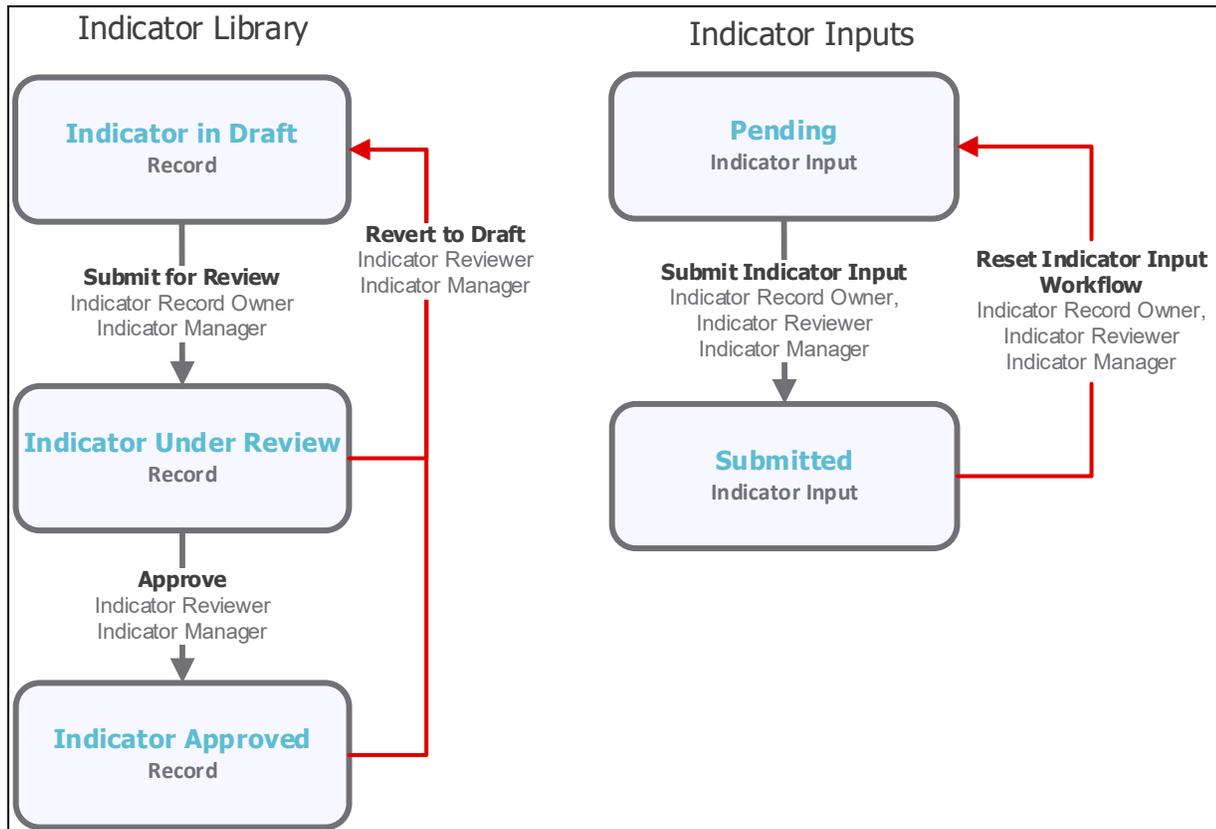
This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Indicator workflow.

Workflow Diagram

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



The following diagram shows the baseline Indicators workflow.



Workflow States

The following is a list of states associated with the baseline Indicator module workflow.

Workflow State	Description
IND: Indicator in Draft	Initial state for new Indicator library records.
IND: Indicator Under Review	Review state for submitted Indicator library records.
IND: Indicator Approved	Final state for submitted Indicator library records once they have been approved by the <i>Reviewer</i> .
IND: Pending	Initial state for Indicator Input records, indicating that they need to be populated and submitted by the <i>Input Owner</i> .
IND: Submitted	Final state for Indicator Input records upon which Indicator Result records are generated from the Indicator Input.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Indicator module workflow.

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

Role	Description
IND: Indicator Record Owner	Responsible for drafting the Indicator library record.
IND: Indicator Reviewer	Responsible for reviewing and approving/rejecting the Indicator library record.
IND: Indicator Manager	Manages the Indicator library record review-and-approval workflow.

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

Workflow Buttons

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

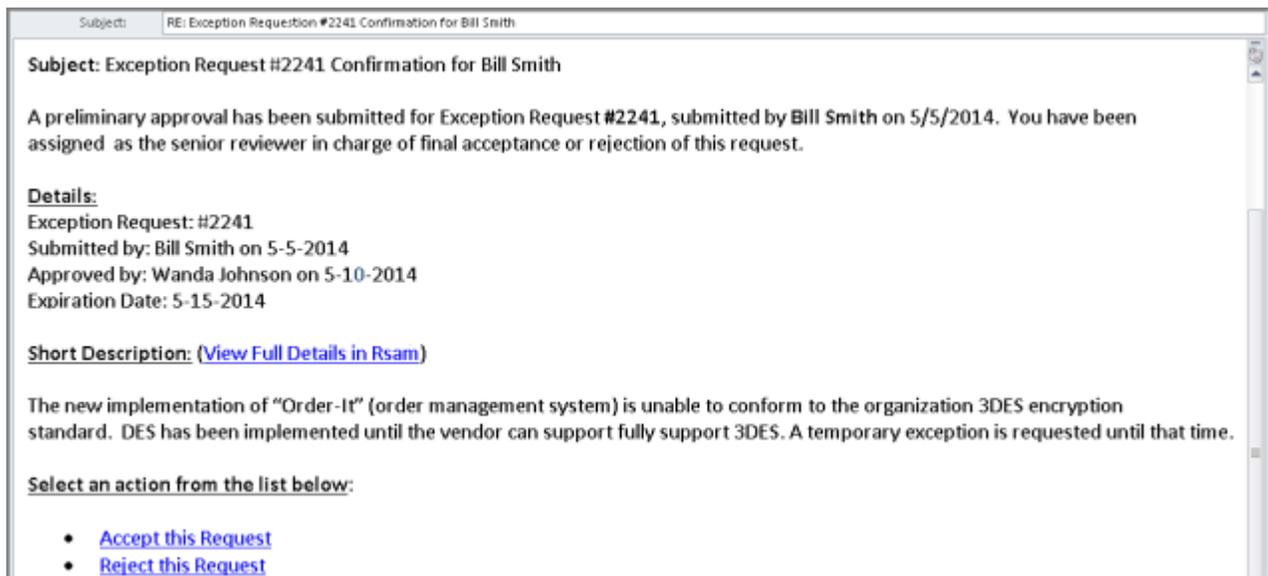
Button	Available to	Notification	Description
IND: Submit for Review	U: Object Administrator IND: Indicator Record Owner IND: Indicator Manager	No	Submits a drafted Indicator library record for review
IND: Approve	U: Object Administrator IND: Indicator Reviewer IND: Indicator Manager	No	Approves submission of a draft Indicator library record
IND: Revert to Draft	U: Object Administrator IND: Indicator Reviewer IND: Indicator Manager	No	Rejects submission of a draft Indicator library record

Button	Available to	Notification	Description
IND: Indicator - Execute Result Generation (manual)	U: Object Administrator IND: Indicator Record Owner IND: Indicator Reviewer IND: Indicator Manage	No	Generates result records from an Rsam saved search as defined on the Indicator library
IND: Indicator - Generate Input Records (for manual input)	U: Object Administrator	No	Generates input records (for Indicators with manual data collection)
IND: Input General - Generate Result Records (from manual input)	U: Object Administrator	No	Generates result records from input records (for Indicators with manual data collection)
IND: Input General - Submit Indicator Input	U: Object Administrator IND: Indicator Record Owner IND: Indicator Reviewer IND: Indicator Manager	Yes	Updates the workflow state of the Indicator Input and generates an Indicator Result record based on the manual submission
IND: AUTO: Action Item - On Record Create	U: Object Administrator	No	Sends an email notification to the input owner
IND: Reset Indicator Input Workflow	U: Object Administrator IND: Indicator Record Owner IND: Indicator Reviewer IND: Indicator Manager	No	Resets indicator input workflow to Pending

Appendix 1: Offline Decision Making

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

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

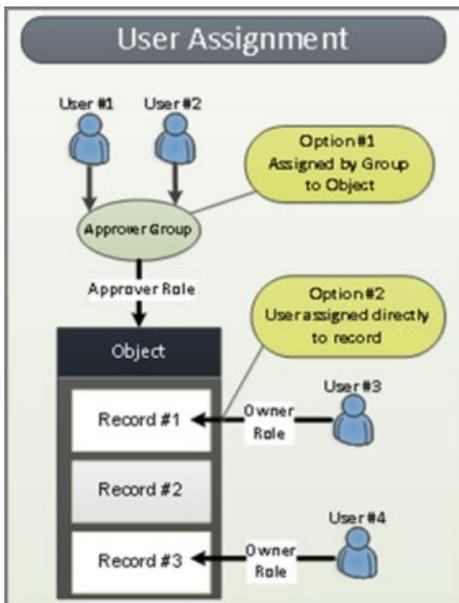


Appendix 2: User Assignment Options

Rsam allows organizations to customize configurations and workflows to their specific business practices. There are many methods by which users can be assigned roles (such as, who is responsible for reviewing and approving exceptions). The following are the most common assignment methods:

- Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object, the group is also given a specific role. This accomplishes the following:
 - All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.
 - All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.
- Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The method for implementing the assignment can also be customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.



Appendix 3: Rsam Documentation

Indicators Module Tutorial

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

Online Help

This document provides an overview of the Indicators Module configuration. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

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

