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Document Conventions

The following conventions are used to help the user identify certain types of information.

Convention	Usage
bold	Command names, options, window, and screen objects such as buttons and links (for example, the**OK** button).
italics	Variable information, wizard page names, and book titles.
`monospace`	File names, attributes path names, and programs.

Special Icons

In this document, icon graphic symbols are used to indicate special notes or specific information. The following table shows the type of information that each icon represents:

Alert Labels	Usage
Warnings	For important instructions, cautions or critical information.
Tips or information	For tips, shortcuts, or other helpful product information.
Notes	For notes or recommendations.

Terminology

JasperReports Server is a business intelligence product of Jaspersoft Corporation. It is integrated with RiskVision to compile data into a compact report. JasperReports Server will be referred to as either JasperReports Server or RiskVision Report Server.

Resolver Support and Professional Services

Resolver offers both Professional Services and Customer Support to assist customers at every stage of the application's lifecycle. This support includes the initial deployment, future expansion or migration, and ongoing use of the platform.

For customers looking to design and configure a tailored security risk and compliance management solution, Resolver Professional Services can help with installation and configuration, content development, automation options, process development, and report design. For more information or to inquire about a Resolver Professional Services engagement, please contact your Resolver Customer Support Representative.

Resolver Customer Support can assist the user with any product questions and resolve issues that may have occurred with the RiskVision deployment.

Resolver Technical Publications

If any additional information about the Resolver RiskVision is needed, the following additional documentation manuals and guides are available for customers to view:

RiskVision Installation and Configuration Guide

RiskVision Upgrade Guide

RiskVision Administrator's Guide

RiskVision Compliance Manager User's Guide

RiskVision Enterprise Risk Manager User's Guide

RiskVision Incident Manager User's Guide

RiskVision Policy Manager User's Guide

RiskVision Threat and Vulnerability Manager User's Guide

RiskVision Vendor Risk Manager User's Guide

RiskVision Questionnaire Responders Guide

RiskVision Analytics Guide

RiskVision Connector Reference Guides (provided for individual connectors installed in your environment)

These documents are available within RiskVision. In the RiskVision application, go to **Administration > Server Administration** and then click the **Documentation** tab.

Jaspersoft Documentation

Jaspersoft documentation is available on the Windows start menu:

- RiskVision Report Server - **Start** > **All Programs** > **RiskVision Report Server** > **JasperReports Server Documentation**

Resolver Customer Support Portal

For customer support for Resolver RiskVision, visit the Resolver Customer Portal, where you can access release notes, documentation, content packs, news and announcements, or create a ticket.

RiskVision Questionnaire Responders Guide Documentation

Welcome to the Questionnaire Responder's Guide. This guide provides explanation to the areas that a user must know when answering a questionnaire. In order to acquire more knowledge on the options that are available on the questionnaire interface, you will need to refer to the application user guide.

RiskVision Applications

The RiskVision applications are listed in the table below:

ICON	APPLICATION	DESCRIPTION
	Compliance Manager	RiskVision Application enables an organization to effectively manage and measure compliance programs across multiple regulations, standards, and frameworks. It also automates the compliance process through general computer controls (GCC) and questionnaires. The evidence and control results can be automatically collected through connectors or questionnaire results from business users. RiskVision Application enables data classification, ownership configuration, compliance assessment, mitigation, and reporting. It supports popular frameworks, standards, and regulations such as ISO 27002, CIS, HIPAA and PCI, and others. Compliance Manager improves process efficiency and integrity as well as data quality and reliability.
	Enterprise Risk Manager	Enterprise Risk Manager is a comprehensive risk lifecycle management solution. Using Enterprise Risk Manager, a company can identify, assess, and mitigate risk with an appropriate risk treatment plan. Its flexible risk model supports both qualitative and quantitative methodologies, including calculation of inherent risk, current risk, and residual risk within the context of mitigating controls. This application features rich reports and dashboards, as well as easy to use risk assessment tools. It will help your organization understand and monitor its enterprise risk position by providing out-of-the box support for popular risk methodologies, such as COSO, AZ/NZS 4360 and ISO.
	Vendor Risk Manager	Vendor Risk Manager helps organizations audit and manage third-party risks, as mandated by regulations and standards, such as ISO 27001, PCI, and FISMA. This application classifies, assesses, and reports on third-party risk, based on the standard control framework from shared assessment programs, or an organization's custom control framework. Vendor Risk Manager provides a portal where vendors participate in assessments and the results are retrieved by an organization's risk analysts. Vendors are classified automatically into appropriate tiers and applicable controls are applied based on the vendor tier. Powerful delegated administration and automation features allow Vendor Risk Manager to scale to large numbers of vendors.
	Threat and Vulnerability Manager	Threat and Vulnerability Manager allows organizations to consolidate their threat and vulnerability programs on a single platform. It integrates vulnerability and early warning data feeds from iDefense and National Vulnerability, and correlates these feeds with vulnerability scanner results to eliminate false positives and report incidents. Inferred scans are performed by correlating the vulnerability data feeds to a company's RiskVision asset database, which mitigates risks for assets not reachable by vulnerability scanners. Once detected, vulnerabilities are assessed and remediated using the system's workflow for true closed-loop vulnerability management.
	Policy Manager	Policy Manager manages enterprise policies on a single centralized platform. Organizations can enforce policy and process standards across different locations, departments, and programs. Policy Manager supports simultaneous policy editing across multiple stakeholders using a rich WYSIWYG user interface. An organization can automate processes for policy authoring, reviewing and approval. Policy templates help enforce consistent formatting and structure. Policy Manager has a highly configurable workflow which allows your organization to enforce change control and maintain accountability. It supports policy awareness campaigns with policy distribution, attestation, and comprehension testing tools.

	Incident Manager	Incident Manager allows organizations to collect, classify, and manage multiple IT and non-IT incidents. It's a single collection point for all manually reported and automatically imported incidents. It imports incidents reported from most monitoring systems and scanners as well as Security Incident Management (SIM) solutions. All incidents, including business, operational, and environmental can be reported in the incident-reporting portal. Incidents are assessed based on a configurable workflow and automatically created and classified based on rules that are tracked throughout the incident's lifecycle. Incidents are tied to controls, policies, and risks to provide closed loop feedback for policy and control assessment and risk monitoring. Incidents are rated based on the criticality so that organizations can respond based on the impact to the business.

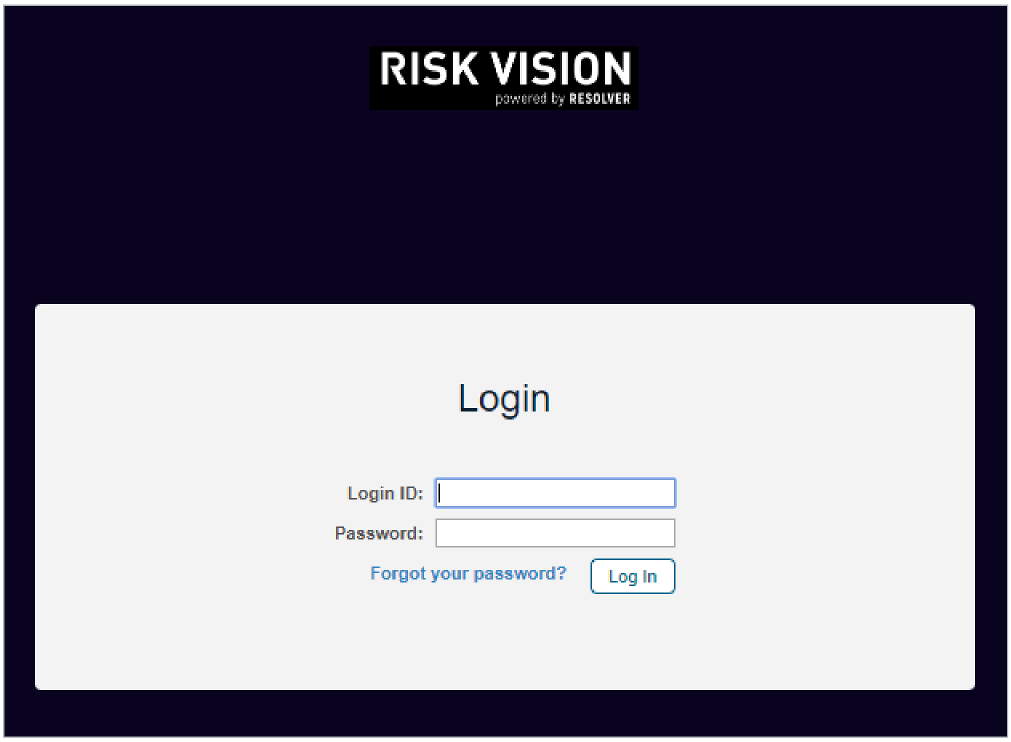
Logging into RiskVision Application

Your login account may be identical to your Active Directory credentials, or a new ID may have been created for you within the RiskVision Enterprise Risk Manager. Contact your Administrator for your credential information.

For more information on default accounts, please refer to the Installation & Configuration Guide or contact your Resolver Customer Support representative.

To access the application using a web browser:

1. Open a browser and enter the RiskVision URL.



The RiskVision login screen.

2. For example, https://RISKVISION, where RISKVISION is the hostname or IP address for the Resolver RiskVision Server.

   Depending on your browser, you may see a message like "Web site certified by an unknown authority." To avoid seeing these types of messages in future sessions, accept the certificate permanently.

3. Enter the user name or e-mail and password that is specific to your domain, select a domain if the **Domain** drop-down list is available, and then click **Log In**.

   The first time you log in, the *License Agreement* is displayed.

4. Click **Accept** to continue. The **Welcome** page is displayed.

Logging in as a Delegate

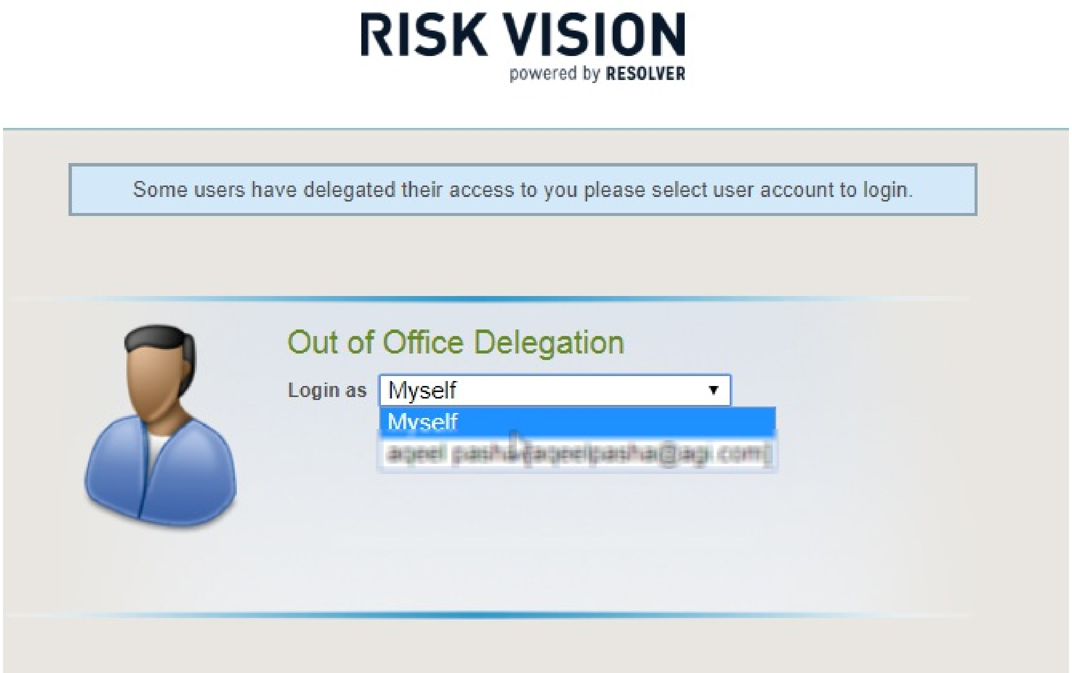
You can log into the account of another user if that user or a RiskVision administrator nominates you to access the delegation. To learn how to delegate your RiskVision user account, see Delegating Your RiskVision User Account.

To access the delegated user account:

1. Open a browser and enter the RiskVision server URL.

2. Enter your RiskVision credentials: Login ID and Password, and click Log In.

3. The **Out of Office Delegation** page appears. In the Login as drop-down list, select the user account other than **Myself**, and click **Log In**. You would select **Myself** to log in to your user account.



After you log into the delegated user's account, you become eligible to perform any task that the user who delegated the access can perform on behalf of that user.

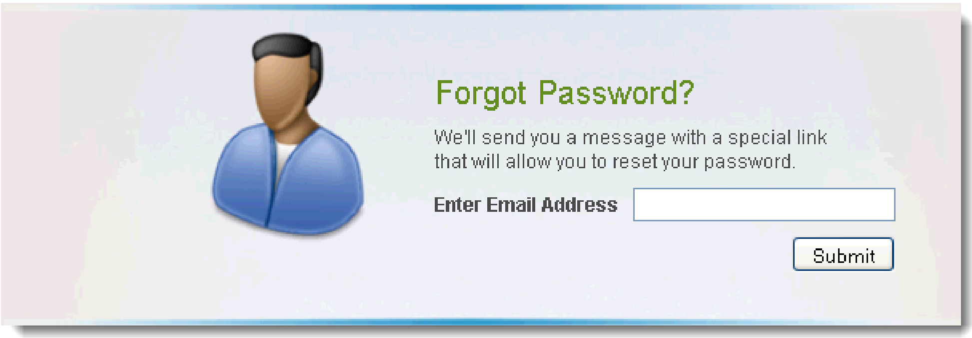
When the delegated user logs into the RiskVision application, the **Current User** displays the **Logged in as: delegated by username**.

Resetting Your Password

If you have forgotten your password, you can set the new password right away with no assistance required from your RiskVision administrator.

To reset your password

1. In the login page, click the **Forgot your Password** link.
2. The Forgot Password page appears. Enter your email Id in the Enter Email Address field and click **Submit**. An email containing the link to reset your password is sent to your mail box.



Only the email address that has been registered in the RiskVision Server must be entered here.

Click the link, sent to reset your password, in the email. The link opens the **Change Password** page in the new browser window.

Enter a new password in the New and Confirm fields and click **Submit**. A pop-up box notifying the successful change of password appears.

To know how to log in with new password, see Logging in With Your New Password.

Logging in With Your New Password

After you reset your password using the **Forgot Your Password** link on the login page, you can now log in with your new password. Make sure that you close all your browser windows and then launch the RiskVision application in a new browser window.

Getting Started

All logged in users of any RiskVision application are directed to the **Welcome** page, on the **Home** menu. The **Welcome** page contains active tasks and messages which require your attention. The tasks are divided into categories and displayed as sections with links. If you are not a stakeholder in any task, you will not see any links in the sections. By default, each section will show up to five items you might own more tasks. By clicking the "**Go to..."** link below the section, you will be navigated to the respective page of that section, on the **Home** menu, to view the exhaustive list of items. Besides accessing sections, the **Welcome** page also provides **Quicklinks** to pages so that you can be directed to the desired area instead of having to manually navigate trough the RiskVision applications.

Here's the complete list of pages on the **Home** menu, which appear based on your role and the RiskVision application:

- Welcome
- Message Center
- Findings
- Risk Register
- Risk Responses
- Questionnaire
- Submitted Questionnaires
- Tickets
- Exception Requests

The pages as discussed above will help you to view, edit, or update the list of do able items, and these operations can also be accomplished from other points in RiskVision applications. Typically, the stakeholders who will not need their extreme participation in ITGRC projects are provisioned to access the pages on the Home menu. The user interface of each page can be customized to fit the needs of your business goal.

Before you move on to understand the purpose of these pages, RiskVision recommends to familiarizing yourself with the navigation, tree and grid, actions, user settings, and the advance search. For more information, see Navigating in RiskVision.

Navigating the RiskVision System

RiskVision Questionnaire Responders Guide pages use a consistent interface, shown below, to navigate easily wherever you are in the application.

Selecting a different application changes the menus. The specific menus and submenu choices available depends on the current application and the permissions assigned to your user role.

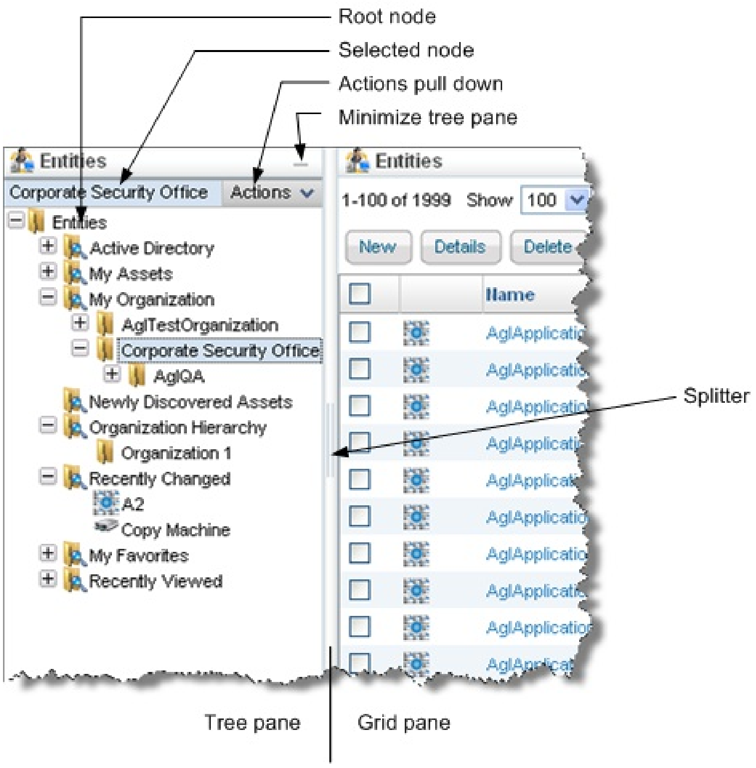
Moving the mouse hover a menu, such as "Home," displays a pull-down submenu of items. You can quickly view a snapshot of the available pages by moving the mouse over each menu.

Clicking the menu selects it and displays as many submenu items as possible under the menus. If your browser window is narrow, there may be more submenu items under the menu than what appears.

Using the Tree and Grid View

Many pages in the RiskVision solution display a hierarchical tree on the left and a tabular grid on the right side of the screen. The tree and grid function in the familiar way that files and folders are shown in Operating Systems like Microsoft Windows.

For more information about the grid side of the tree and grid view, see Using the Grid View.



To adjust the width of the tree view, click the Splitter, the vertical bar between the panes, and drag it to right or left. To hide the entire tree view, move the Splitter all the way to the left, or click the Minimize control at the top of the tree pane. To view the tree again after it has been minimized, click the Splitter--parked on the left edge of the window--and drag it to the right.

The contents of the tree pane vary considerably. Some pages use the tree to differentiate read-only content from read-write Organization content, for example. Some trees group the objects you own--My Dashboards, for instance--separately from shared objects and archived objects.

Certain trees include objects. When you click on an object in the tree, the detail pane for that object replaces the grid pane. In other cases, the tree only includes folders. Clicking on a folder or a dynamic group usually displays the objects it contains in the grid pane.

Selecting different nodes of the tree have different effects:

Target	Description
Root / Initial view	May display a grid view showing all objects, or may display a landing page (such as Analytics> Dashboards). The initial view is usually similar to selecting the root of the tree. Selecting the root of the Entities tree is special: it displays a details view for all entities, summarizing the set and providing a convenient place for manually creating an Entity.
Folder	The contents of the folder appear in the grid.
Object	The details view for the selected object replaces the grid view.

Certain root or initial view pages include action buttons, such as the **Import Content (XML)** button on the **Content** > **Controls and Questionnaires** page the **Import Policies (XML)** button on the **Content**> **Policies** page.

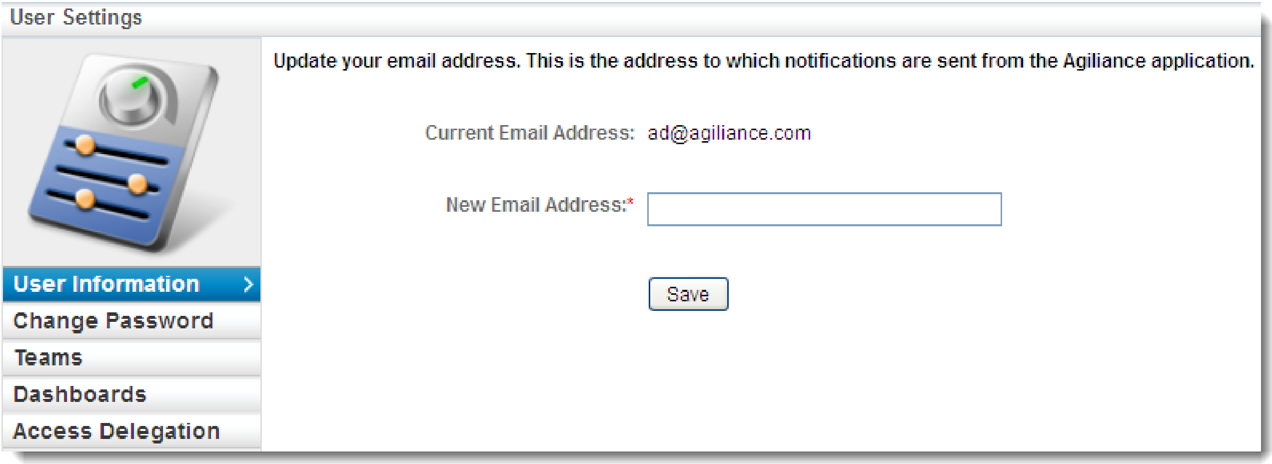
Using the Grid View

The grid view is used throughout the RiskVision solution to display a table of objects (users, programs, connectors, and so on) and their attributes. Each row in the table represents an object, and the columns reflect some of the object's attributes. In some cases, you can customize the columns and how they display particular attributes.

User Settings Overview

You can view and change your profile settings on the **User Settings** page, which can be accessed by clicking the **User Settings** link in the upper-right of every page.

From here, you can change your email address and password, view your teams, select a dashboard to display on the **Welcome** page, and delegate access to another user.



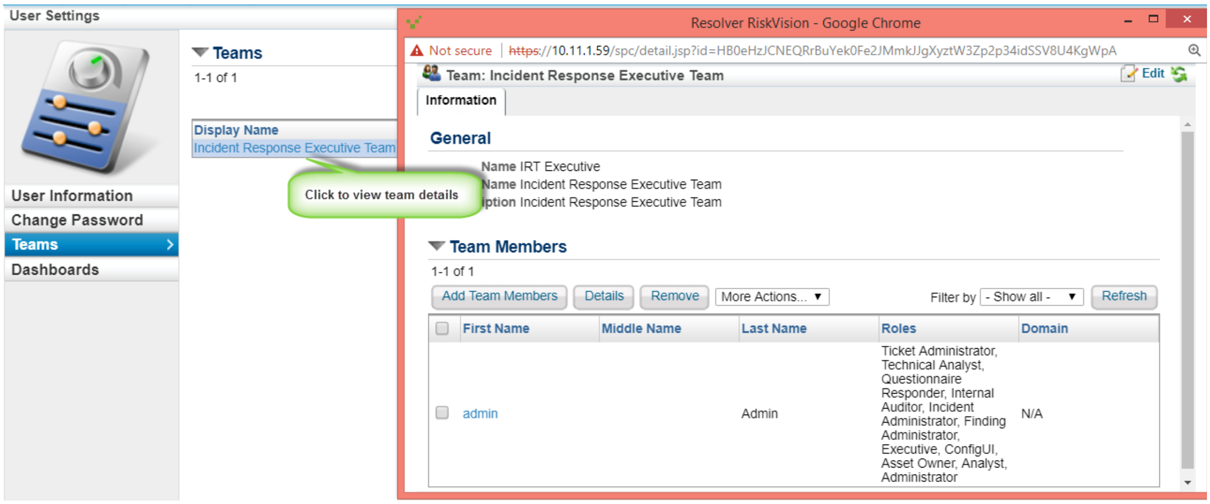
The User Settings page.

Knowing Your Team

You often work in a team no matter the task you perform in the application. If you are handling multiple responsibilities, you may be associated with more than one team. While working with more than one team, you may want to know about users in other teams. Knowing users in various teams can help you pose questions to members who have worked on the same projects in the past or to members who are currently working on the similar kinds of projects in a different team, so that you can quickly complete your work.

To know your team:

1. Click User Settings in the upper right corner of the application and then click the Teams tab.



A list of teams appears in which you are a member.

2. Click the display name of a team to know the other members of that team. In the team members details window, click the first name of a user to further open the details to know which teams that a user belongs to. Depending on the roles and permissions, you can add or remove members from a team, modify general settings of a user, or manage roles assigned to a user.

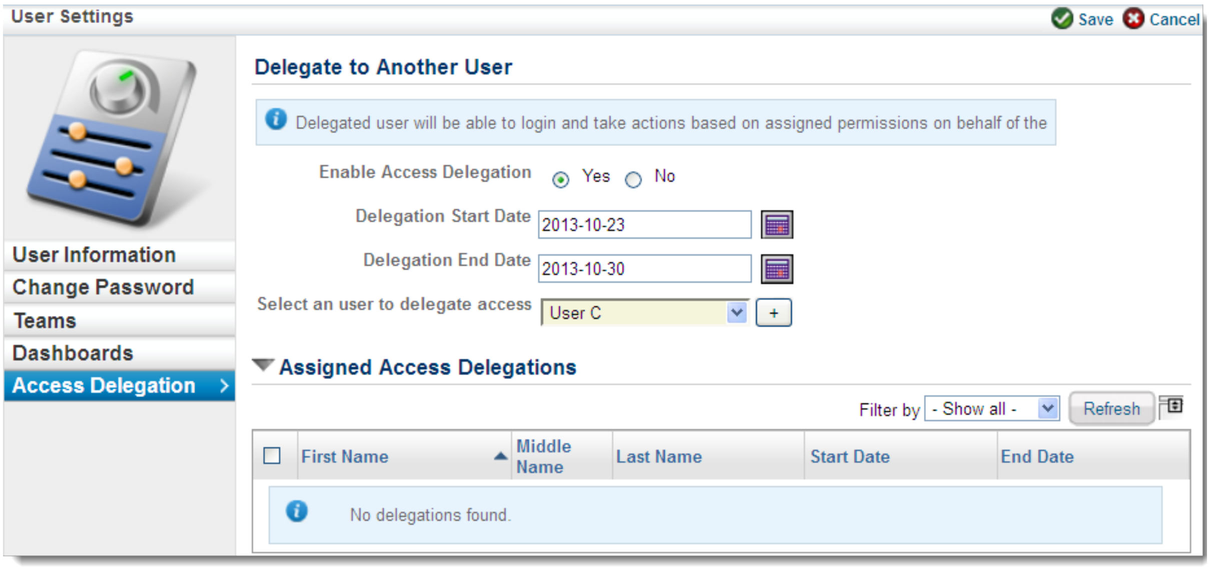
Delegating Your RiskVision User Account

The access delegation feature is intended to allow you to take vacation while enabling others to complete your tasks when you are out of the office. Prior to the availability of this feature, you either had to provide your login credentials to another user to substitute for you while you were gone, which is not a secure practice, or all of your tasks would remain uncompleted. With this feature, workflows will no longer need to stall, and your other RiskVision-related responsibilities no longer need to remain unfinished because you are absent. To enable and manage delegations, you must have the System User Access Delegation permission.

To delegate your RiskVision user account:

1. Click **User Settings** at the upper right corner of the RiskVision application. The **User Information** tab appears.

2. Click the **Access Delegation** tab and click **Edit** at the upper right corner of **User Settings** page.



3. Select **Yes** next to the **Enable Access Delegation** option.

4. Click the calendar icon associated with the **Delegation Start Date** field and select a date to specify when account delegation must start. If you do not set the **Delegation Start Date, your account will be delegated the moment after you save the settings.**

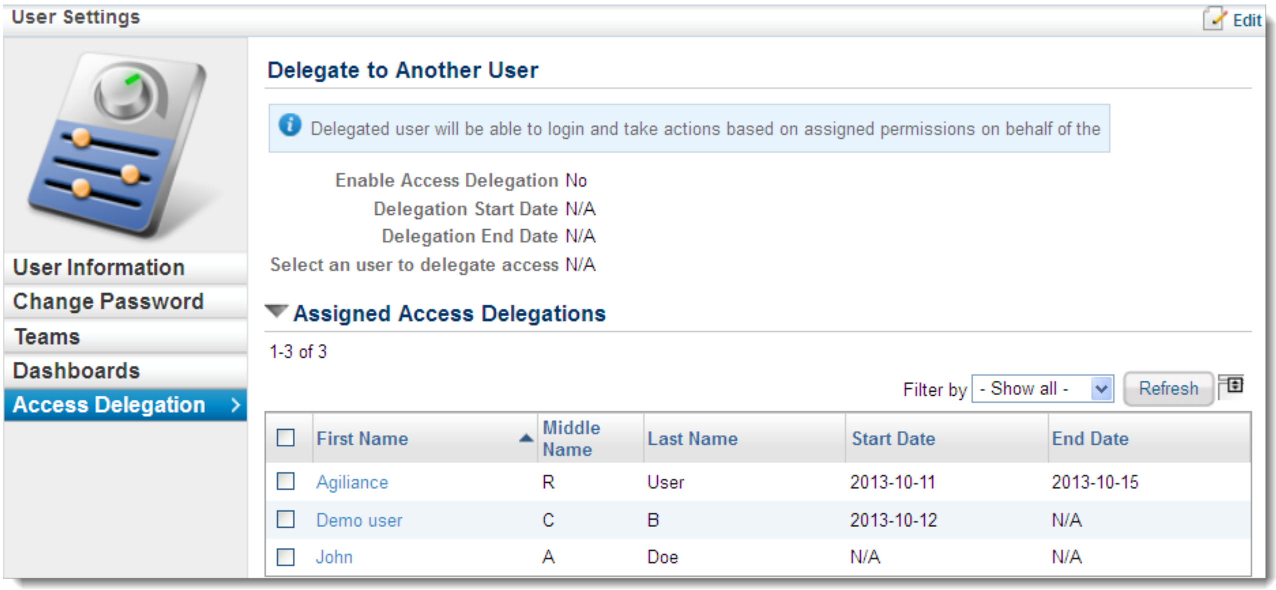
5. Click the calendar icon associated with the **Delegation End Date** field and select a future date to specify when the account delegation must end. You are permanently allowing the delegate to access to your account if no date is specified in the Delegation End Date field.

6. Select a user in the **Select a user to delegate access** drop-down list and click **Save** at the upper right corner of the **User Settings** page.

To read instructions for how to access the delegations and work on behalf of another user, see Logging in as Delegate.

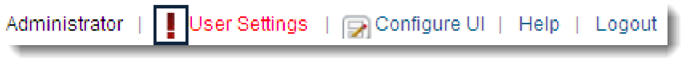
Receiving Delegations From Multiple Users

Multiple users can delegate their accounts to you. When you log in, you will see a list of all of the users who have delegated their access to you from the names other than Myself. That appear in the drop-down list of users who you can log on as delegate. Additionally, after you log in to your account, if you have the permission to view the **Access Delegation** tab in the **User Settings** page, you can see which users have delegated their accounts to you using the **Assigned Access Delegations** section, as shown in the figure below. You can also see the date on which each access delegation expires.



Managing Your User Account

Beginning with version 7.0, you can delegate your RiskVision user account to another user. When you delegate your user account, either you or your delegate can access your objects in the RiskVision application and perform actions, such as transitioning workflows and change object attributes on your behalf. When the delegation expires, the delegate will no longer be able to access RiskVision objects and make changes on your behalf. To minimize the likelihood that you will forget to revoke the delegation after returning to your work, you will see a next to the User Settings link, so you don’t forget the access delegation is in place.



It is important to note that when you delegate your account to someone, your administrators will know which operations are performed by you or your delegates. This will help protect you in the event that there is some confusion about who performed an action on your behalf.

Advanced Searching

The search box can be used to search for simple terms as well as for more structured queries. This section describes the syntax for advanced queries.

An advanced query consists of terms and operators. Terms can be single words (such as "test" or "hello"), or a phrase enclosed in double quotes (such as "hello dolly"). Single terms (but not phrases) can include wildcards, * and ?, anywhere except the start of a term.

In addition to terms and operators, queries can refer to specific fields, such as "assetType:computer."

There are more esoteric search facilities. For example, a term that ends with a tilde (~) is a proximity search. Fielded range searches, such as likelihood:[1 TO 4], are supported. When searching for more than one term, a query can "boost" the relevance of a particular term.

Terms are combined with Boolean operators to form more complex queries.

Search Type	Example
Basic	server
Phrase	"cvss score"
Wildcard	serv* (matches server, serving, serves) te?t (matches test, text)
Fielded	assetType:computer
Boolean Operators	The following Boolean operators are supported: ▪ *term1* AND *term2* ▪ +*term1 term2* (+ indicates that term1 must exist to match) ▪ *term1* NOT *term2* ▪ *term1* -*term2*
Fuzzy	server~ (matches server, swerver, fever, fervor, etc.)
Fielded range	impact:[1 TO 4] (inclusive--matches impact 1, 2, 3, or 4) impact:{1 TO 4} (exclusive--matches impact 2 or 3)

Additional Information

For more information about the advanced searching features built in to RiskVision, see http://lucene.apache.org/core/2_9_4/queryparsersyntax.html.

Using special characters to search objects might not return correct results. Instead, you can use the Advance Filter in the Filter by drop-down list if you have to perform a multi-criteria search.

Supported Fields

The following fields can be used to narrow the scope of a search to a particular field for certain objects. In the context of a grid of Policy objects, for example, you can search for specific policy types:

policyType:

Asset/Entity

- assetType
- assetSubtype
- name
- organization
- division
- subDivision
- assetNumber
- address.name

- address.address
- address.physicalPosition
- address.floor
- address.building
- address.city
- address.state
- address.region
- address.postalCode
- address.country
- assetTags.name
- assetTags.category
- assetTags.description
- assetTags.createdBy
- assetTags.createdTime
- assetTags.displayName
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2
- customAttributes.lstring1 (to) customAttributes.lstring3
- customAttributes.extendedCustomAttributes.string1

Computer System

Kind of Asset/Entity; adds:

- applicationLinks.cpe.description
- applicationLinks.cpe.title
- applicationLinks.cpe.part
- applicationLinks.cpe.vendor
- applicationLinks.cpe.version
- operatingSystems.cpe.description
- operatingSystems.cpe.title
- operatingSystems.cpe.part
- operatingSystems.cpe.vendor
- operatingSystems.cpe.version

Exception Request

- name
- justification
- startDate
- nextReviewDate
- requestedBy
- approvedBy
- status
- restart
- reEnd
- risk
- gap.createdBy

- gap.creationTime
- gap.name
- gap.status
- gap.priority
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2
- customAttributes.date1 (to) customAttributes.date3
- customAttributes.boolean1 (to) customAttributes.boolean5
- customAttributes.long1 (to) customAttributes.long3
- customAttributes.lstring1 (to) customAttributes.lstring3
- customAttributes.extendedCustomAttributes.string1 (to) .string25
- customAttributes.extendedCustomAttributes.text1 (to) .text2
- customAttributes.extendedCustomAttributes.date1 (to) .date3
- customAttributes.extendedCustomAttributes.boolean1 (to) .boolean5
- customAttributes.extendedCustomAttributes.long1 (to) .long3

Incident

- title
- description
- timeStarted
- timeDetected
- timeReceived
- uiIncidentId
- incidentNumber
- currentWorkflowStageName
- incidentType.typeName
- incidentType.typeDescription
- incidentSubtype.subtypeName
- incidentSubtype.subtypeDescription
- incidentDetail.severity
- incidentDetail.priority
- incidentDetail.status
- incidentDetail.preventiveMeasures
- incidentDetail.causeAnalysis
- incidentDetail.confidentialityAffected
- incidentDetail.integrityAffected
- incidentDetail.availabilityAffected
- incidentDetail.businessCriticality
- incidentSubmitter.caption
- attachements.name [Note misspelling]
- attachements.pathId [Note misspelling]
- attachements.url [Note misspelling]
- attachements.version [Note misspelling]
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2

- customAttributes.date1 (to) customAttributes.date3
- customAttributes.boolean1 (to) customAttributes.boolean5
- customAttributes.long1 (to) customAttributes.long3
- customAttributes.lstring1 (to) customAttributes.lstring3
- customAttributes.extendedCustomAttributes.string1 (to) .string25
- customAttributes.extendedCustomAttributes.text1 (to) .text2
- customAttributes.extendedCustomAttributes.date1 (to) .date3
- customAttributes.extendedCustomAttributes.boolean1 (to) .boolean5
- customAttributes.extendedCustomAttributes.long1 (to) .long3

Policy Set

- title
- description
- descriptor
- definitions
- scope
- purpose
- audience
- supportingInformation
- keyPoints
- policysetType
- policysetSubtype
- parentPolicySetIds
- policySetCategoryIds
- currentWorkflowStageName
- workflowUserDefinedStatus
- tags.name
- tags.category
- tags.description
- tags.createdBy
- tags.createdTime
- tags.displayName
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2
- customAttributes.lstring1 (to) customAttributes.lstring3
- customAttributes.extendedCustomAttributes.string1

Policy

- title
- description
- descriptor
- policyType
- checkFunction
- parameters
- checkType
- checkDescription

- organization
- parentPolicySetIds
- policySetCategoryIds
- tags.name
- tags.category
- tags.description
- tags.createdBy
- tags.createdTime
- tags.displayName
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2
- customAttributes.lstring1 (to) customAttributes.lstring3
- customAttributes.extendedCustomAttributes.string1

Report

- name
- displayName
- description
- reportOn
- reportFocus
- reportType
- reportChartType
- reportCreationType

Ticket

- name
- description
- plannedStartDate
- startDate
- owner
- priority
- createdBy
- updatedBy
- exceptionExpireTime
- incident.title
- submitter.userid
- attachements.name [Note misspelling]
- attachements.pathId [Note misspelling]
- attachements.url [Note misspelling]
- attachements.version [Note misspelling]
- customAttributes.string1 (to) customAttributes.string25
- customAttributes.text1 (to) customAttributes.text2
- customAttributes.date1 (to) customAttributes.date3
- customAttributes.boolean1 (to) customAttributes.boolean5
- customAttributes.long1 (to) customAttributes.long3
- customAttributes.lstring1 (to) customAttributes.lstring3

- customAttributes.extendedCustomAttributes.string1 (to) .string25
- customAttributes.extendedCustomAttributes.text1 (to) .text2
- customAttributes.extendedCustomAttributes.date1 (to) .date3
- customAttributes.extendedCustomAttributes.boolean1 (to) .boolean5
- customAttributes.extendedCustomAttributes.long1 (to) .long3

Vulnerability ID

- captionDB (vulnerability title)
- identifier (use title if available)
- description
- abstractText
- analysis
- recovery
- defaultSeverity
- cvssVector (matches value to first ':')
- likelihood
- source
- sourceFlags (string from int; for example, 3 is 'nvdbidefense')
- assessmentCheckSystem
- assessmentCheckName
- assessmentCheckHref
- recordType
- vulnerableProducts.description
- vulnerableProducts.title
- vulnerableProducts.vendor
- vulnerableProducts.version
- data.data
- tags.name
- tags.description
- tags.type
- tags.referenceType

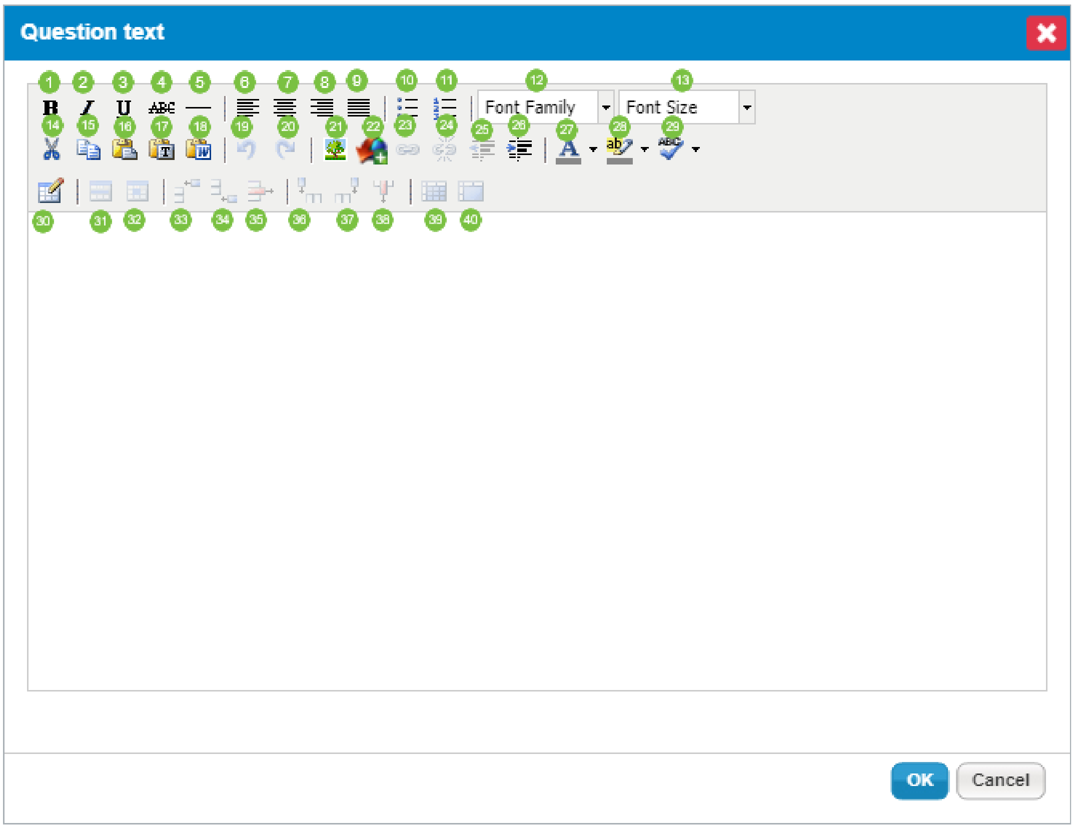
Vendor ID

Kind of Asset/Entity; adds:

- vendor.vendorType
- vendor.vendorTier
- vendor.vendorStatus
- vendor.vendorPreviousName

Using Rich Text Editor

The Rich Text editor is similar to word processing applications in that it allows users to enter text, and contains options to format the text with options, such as bold, align, indent, lists, font color, font size, text highlight, and more. The Rich Text editor is found throughout RiskVision in locations where more than simple text entry is required, such as when explaining an answer choice in a questionnaire, and when drafting a questionnaire, content pack or policy. Typically, the Rich Text editor is available for use in the fields of objects that show the **Click to enter text** informational message. When working with the Rich Text editor, you will notice that not all of the options appear for each field. For example, the table options mainly appear only in fields of the questionnaire object.



The Rich Text editor.

The following options are available in the Rich Text editor:

OPTION	DESCRIPTION
1	Makes the selected text bold. Use Ctrl + B as short-cut key.
2	Makes the selected text italic. Use Ctrl + I as short-cut key.
3	Underlines the selected text. Use Ctrl + U as short-cut key.
4	Draws a line through middle of the selected text.
5	Draws a horizontal line at the cursor position.
6	Aligns the text to the left.
7	Aligns the text to the center.
8	Aligns the text to the right.

9	Justifies the left and right alignments.
10	Makes the text a bulleted list.
11	Makes the text a numbered list.
12	Choose the font family for the selected text.
13	Choose the font size for the selected text.
14	Cut the selected text. Use Ctrl + X as short-cut key.
15	Copy the selected text. Use Ctrl + B as short-cut key.
16	Paste the text that is cut or copied. Use Ctrl + V as short-cut key.
17	Paste the text without any formatting.
18	Paste the text which is copied in the Microsoft Word application.
19	Revert the changes. Use Ctrl + Z as short-cut key.
20	Reverse undo changes. Use Ctrl + Y as short-cut key.
21	Insert or edit an image. Allows modification of image properties, such as dimension, space, border, and more.
22	Allows uploading of image from your computer.
23	Allows embedding the link to the selected text.
24	Allows to deactivate working links.
25	Adds space between the margin and the beginning of the text on a line.
26	Removes space in the indented line.
27	Allows choosing the text color.
28	Highlights the selected text.
29	Checks the spelling and grammar of the text.
30	Inserts a table in the editor. Use the General tab to specify the number of rows and columns, alignment, padding, border, and more. Use the Advanced tab to set the advanced properties.
31	Updates the current, odd, even, or all rows in a table.
32	Updates the current cell, all cells of a row, all cells of a column, or all cells in a table.
33	Inserts a row before the cursor position.

34	Inserts a row after the cursor position.
35	Deletes a row
36	Inserts a column before the cursor position.
37	Inserts a column after the cursor position.
38	Deletes a column.
39	Splits the merged cells.
40	Merges the cells.

About Welcome Page

Each RiskVision application has a Welcome page which can be customized for each individual user and their specific roles.

When you first log in, a summary of items assigned to you that you can view and work on or respond to will be displayed. An example of what might be displayed are questionnaires, tickets, exceptions, and notifications. Clicking on any of these items on the Welcome page brings up a navigation pane and detail specific to your selection.

The Welcome page is displayed and the first application is selected when you first log in. The Welcome page contains a number of useful components that change based on the selected application and the privileges assigned to your user account's role.

My Assessments

The **My Assessments** section in the **Welcome** page provides a glimpse of questionnaires that were recently assigned to you, because the assessment workflow has entered the stage in which you are a stakeholder. Based on the due date of a questionnaire, click the subject to begin answering a questionnaire instantly without requiring you to search for the questionnaire in the Questionnaires page. Clicking the **Go to Assessments** link at the bottom of the section will direct you to the **Questionnaires** page on the **Home** menu, where questionnaires with relevant action options are shown in a grid.

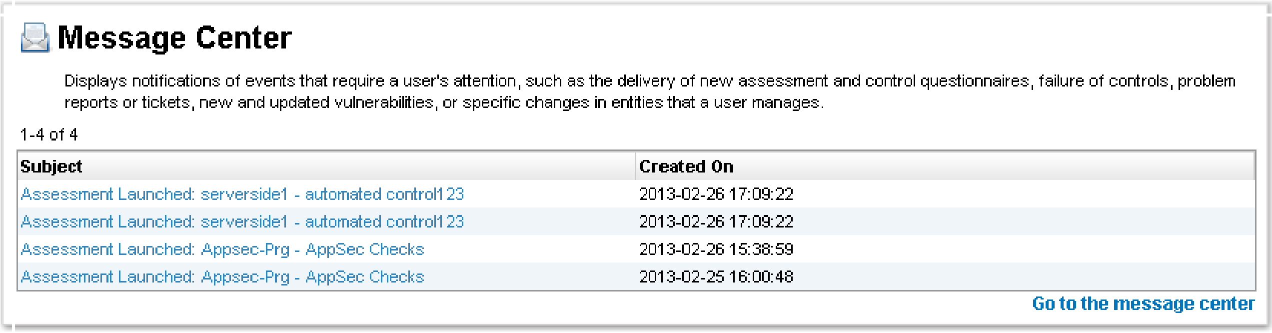
To-Do List

The **To-Do List** is a component of the Welcome page that displays exception requests, tickets, findings, and other requests for action (except assessments and questionnaires). The items displayed depend on your role, the current status of the system, and the selected application.

Click on an item to see more detail. Click**More To-Do Items** to see all to-do items. As with other grids or tabular displays in RiskVision, click on a column heading to sort by that column.

Message Center

The **Message Center** is a short summary, showing the most recent notifications on the **Welcome** page. The following graphic shows the sample notifications in the Message Center.

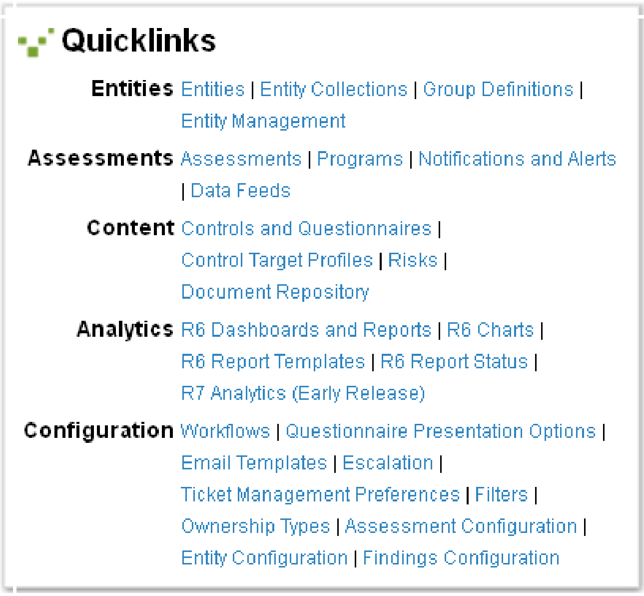


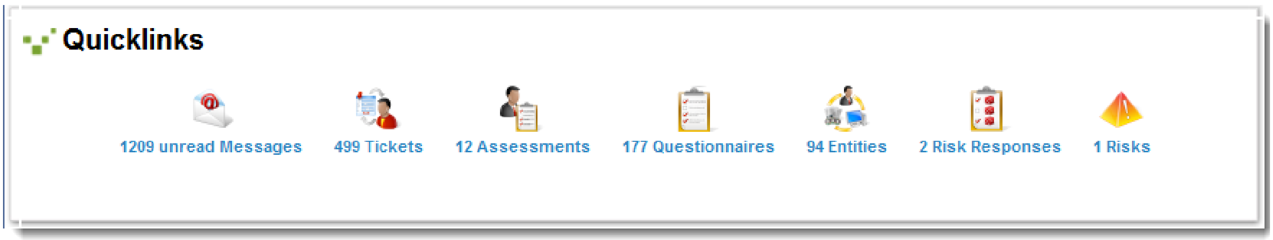
Clicking on a message displays an Alert window containing the message. When you finish reading the message, click **Archive & Close** to dismiss the window and to remove the message from the Message Center, or click **Cancel** to preserve the message in the Welcome page.

To see all messages, click **Go to the message center** or go to **Home** > **Message Center**. Also, see Understanding the Message Center.

Using Quick Links

Quicklinks is a component of the Welcome page that provides a categorized set of links to other pages in the RiskVision system. The set of links change depending on the selected application (such as the RiskVision Application) and your user account's role.





Understanding the Message Center

The **Message Center** is a page that displays notifications, such as an alert that a workflow has advanced to the next stage. The notifications in the **Message Center** page are always relevant, because of certain criteria. For example, the system only sends alerts to the stakeholders of a particular workflow stage.

The following graphic shows notifications in the **Message Center** page, on the **Home** menu.

Messages

1-100 of 211 Show 100 rows

Details Delete More Actions...

Subject	Entity	Status	Created On	
Ticket Escalated : CVE-2008-0083 - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:29	Workflow Notification
Ticket Escalated : CVE-2007-0025 - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:28	Workflow Notification
Ticket Escalated : CVE-2005-1983 - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:26	Workflow Notification
Ticket Escalated : Windows Server 2003 Service Pack 2 Not Installed - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:25	Workflow Notification
Ticket Escalated : CVE-2008-0087 - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:23	Workflow Notification
Ticket Escalated : CVE-2007-0026 - Windows Server 2003, Service Pack 1 - Unknown - Unknown	N/A	New	2013-04-12 05:04:22	Workflow Notification
Ticket Escalated : CVE-2005-1208 - Windows Server 2003, Service Pack 1 -	N/A	New	2013-04-12 05:04:21	Workflow Notification

In the **Message Center** page, you can perform the following tasks:

- Clicking the subject of a message will help you view the details in a pane below the grid.
- Simultaneous deletion or archiving of multiple messages is possible.

About Findings Page

Findings are associated with controls that are non-compliant in an assessment. The **Findings** page is a grid comprising of findings that are created for controls or questionnaire in the Questionnaire window as well as those created in the grid using the New button. In the **Findings** page, you can create a finding for an entity. You can work on findings only if you are a stakeholder or findings administrator. To respond to a finding, you must use response, exception or ticket that are available in the **Findings** details page. In order to work on exception and ticket, you need the set of permissions required by those objects; since the permissions related to a finding will allow only to modify the general, risk assessment, response, and attachments.

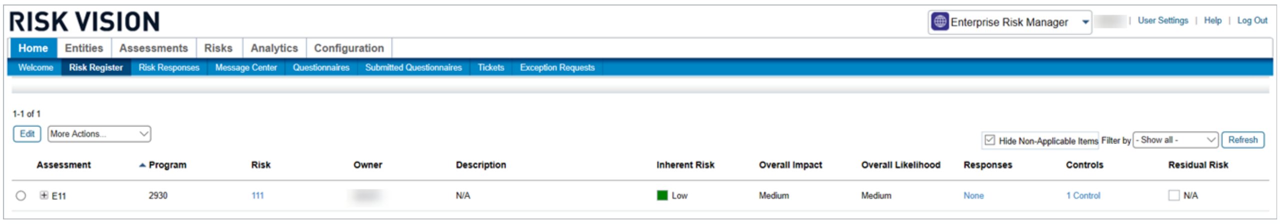
The following are the actions/option Findings in the grid helps you manage a finding:

Actions	Description
New	Creates a new finding.
Details	Displays the finding details so you can edit, update the general, risk assessment and response settings, or add or manage objects associated with a finding.
Delete	Allows deletion of findings.
Import Audit Findings	Allows importing of findings for an entity. For more information, see Importing Findings.
Add Finding Response	Allows adding a response to a finding
Show Finding Responses	Displays responses, if any, for the selected finding.
New Exception	Creates an exception to the selected finding. Use an exception to override the finding's score. For information about how to create an exception, see Requesting Global Exceptions.
New Ticket	Creates a ticket to the selected finding.
Synchronize Workflow	Incorporates workflow changes into the selected finding. The moment you apply this action the finding will advance using the latest changes.
Delegate	Bulk delegation can be done by stakeholders of a workflow or Users with Manage permission by checking the check boxes next to one or more findings and choose **Delegate** option to bring up the **User Picker.** The users can then delegate to any user or team.
Revoke Delegation	When a user chooses the bulk action of **Revoke Delegation** under the **More Actions** menu, then the delegation shall be revoked for all objects that have been delegated.

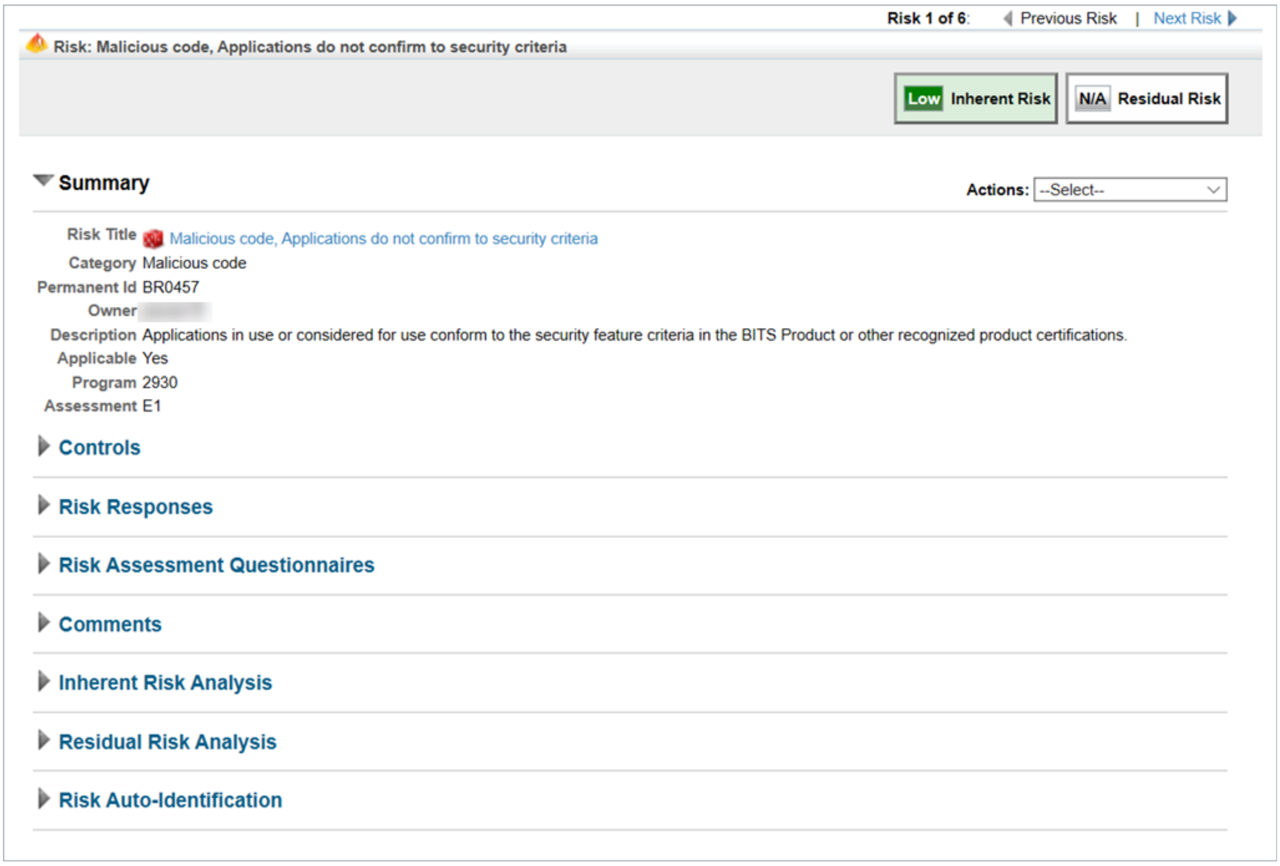
Using the Risk Register

The **Risk Register** page displays risks identified during assessments and are visible only if you are the stakeholder of the risk assessment workflow stage. In the Enterprise Risk Manager application, a stakeholder with Assessment Manage and Assessment Work on permissions can perform various risk actions such as assigning owners, adding risk response, updating inherent and residual risk scores, managing controls, and so on.

The **Risk Register** features inline editing of operational likelihood and impact values so that you can simultaneously perform batch editing of multiple risks. Clicking a risk on this page will display the risk details in a new pop-up window.



The Risk Register page.



The Risk pop-up window, displaying details of an individual risk.

About Risk Responses Page

The **Risk Responses** page is a grid consisting of responses that you create in order to mitigate risks affecting the entities in your organization. When you participate in risk assessment, the risk responses can be added to those risks in which the control(s) do not completely guard an entity from a risk. As a stakeholder in the risk assessment, you can view the risk responses that were added by other stakeholders. You can add the risk response in the **Risk Register** page and thereafter, the information relevant to the response is added if required. You need to use the **Risk Responses** page when you do not have the sufficient permissions to view the **Risk Register** page. In the **Risk Responses** page, you can perform one or more tasks as described below:

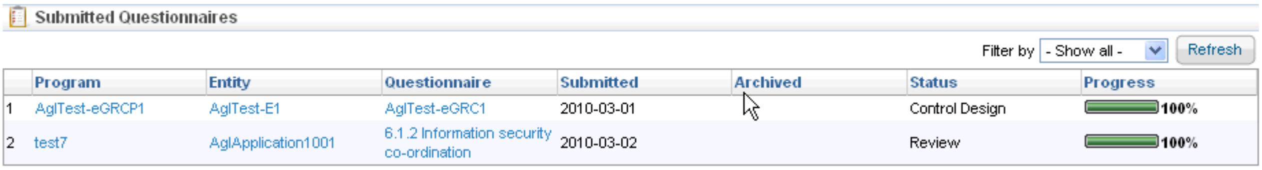
- Update the general information
- View controls related to a risk
- Create a new ticket
- Add an existing ticket
- Manage attachments

About Questionnaires Page

The **Home** > **Questionnaires** page lists all of the questionnaires assigned to you in a grid where actions specific to the state of the assessment appear in that questionnaire's row.

About Submitted Questionnaires Page

The **Submitted Questionnaires** page displays questionnaires in which you were a stakeholder, but which are no longer active, typically because you have completed the questionnaire and advanced it to the next workflow stage, which is often Review. This page allows you to follow the progress of completed questionnaires. You will not be able to view the **Submitted Questionnaires** page on the Home menu unless you have the Questionnaire View Submitted Questionnaires permission.



	Program	Entity	Questionnaire	Submitted	Archived	Status	Progress
1	AglTest-eGRCP1	AglTest-E1	AglTest-eGRC1	2010-03-01		Control Design	100%
2	test7	AglApplication1001	6.1.2 Information security co-ordination	2010-03-02		Review	100%

See also Using the Grid View

Introduction to Questionnaires

A questionnaire gathers information from users about a particular entity for specific risks and controls. The system provides a single copy of the questionnaire. When multiple users evaluate the same entity-subcontrol or entity-risk pair, the system saves the most recent entered answer.

Some answers are provided automatically because they are linked to other questionnaires where a user has already answered questions on similar controls.

About Questionnaire Types

The following table describes the types of questionnaires sent to users:

Questionnaire Type	Description
Classification	Evaluate and classify
Compliance and Risk Assessment	Evaluate compliance and assess risk against a control
Contract Awareness Campaign	Gather attestations of awareness of the details of a specific contract
Enterprise Risk Assessment	Evaluate and classify Risk Opinion and Risk Identification survey
Policy Awareness Campaign	Evaluate awareness of a particular policy

About Choice Types

The content developer configures the choices available for each question. Questions, the corresponding choices, and resulting scores vary for each questionnaire type. This section provides an overview of the available options.The following table describes the types of questions that may appear in a questionnaire.

Questionnaire types	Choice types	Description
Control	Radio button	Provides a list of answers from which you can select a single answer. Each answer has a score between 0-10, where zero is fully compliant with the subcontrol. A radio button choice may also have a drop-down. Optionally, answers may have dependant questions; a dependant question only appears if you select the answer.
	Multiple choice	Provides a list of answers and you can select all that apply. Each answer has a score between 0-10 and the selections are tallied. Optionally, answers may have dependant questions; a dependant question only appears if you select the answer.
	Text field	Provides a field for you to answer the question. Does not impact the score.
	Time series	Provides a series of fields with dates or periods for which an answer to the question is required. Does not impact the score.
	Multiple Text fields	Provides multiple text fields for you to provide answers to the question. Does not impact compliance and risk scores.
	Table	Provides a list of answer choices that are enclosed in a table and you can select all that apply.

ERM Risk Assessment	Operational	For likelihood, provides choices that allow you to indicate how likely you think the risk is to occur even if all controls, policies and guidelines, and mitigation's are met.
	Financial Regulatory	For impact, provides choices that allow you to indicate the level of impact a risk related event will cause with all controls, policy and guidelines, and mitigation's in place.
ERM Risk Identification	Radio button	Provides a list of questionnaires where stakeholders respond to each question to identify risks to an entity. Questionnaire responders can also assign risks to entities that are not identified through a risk identification questionnaire. For more information, Adding Risks to Assessments

Accessing the Questionnaire

Once you log in to the RiskVision application, use one of the following ways to access the questionnaires assigned to you:

1. **My Assessments** section on the **Home** > **Welcome** page.
2. **Home** > **Questionnaires** page, if additional permissions are assigned.

My Assessments

The **My Assessments** section on the **Welcome** page contains questionnaires that are assigned to you because the assessment workflow entered the stage in which you are a stakeholder. Based on the due date, click the subject of a questionnaire to work on it. Click **Go to Assessments** so that you are navigated to the **Home** > **Questionnaires** page where questionnaire assigned to you are displayed in a grid.

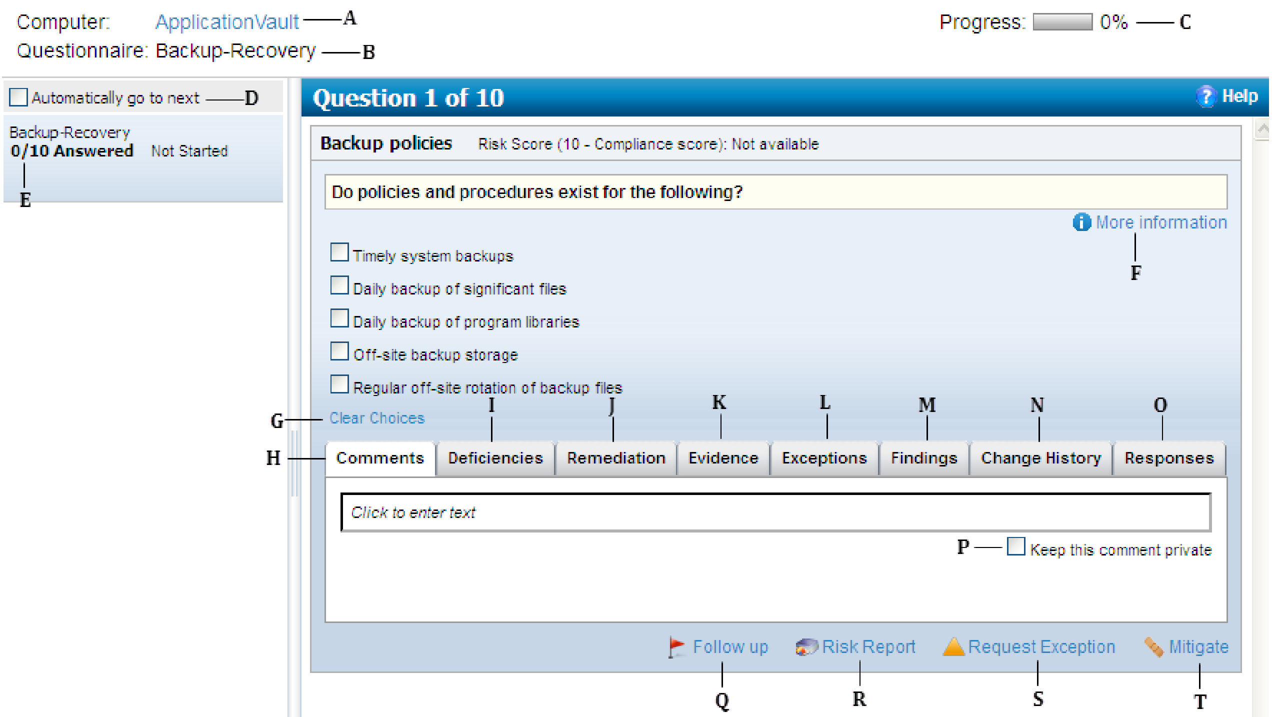
Questionnaires

Unlike **My Assessments** section which provides a glimpse of questionnaires, the **Questionnaires** page is a grid where you view the complete list of questionnaires. For more information, see About Questionnaires Page.

About the Questionnaire Workspace

A Questionnaire window can comprise of several features and operations common to any type of questionnaire and no matter in which application the questionnaire is being assessed. The features you can see and work depends on the questionnaire presentation options, which is usually set up by your program owner. And all questionnaires that are launched within a program share common options in the workspace.

The following graphic illustrates the Questionnaire workspace. Not all options you see in the Questionnaire's workspace appear by default, some of them are shown purposefully so that you may want to understand them.



Option	Description
A	Shows the entity name that is being assessed
B	Shows the questionnaire's name you are working on.
C	Shows the percentage of questions you answered in a questionnaire.
D	If you want to automatically navigate to the next question after answering each question without requiring to click next, select the **Automatically go to next** option.
E	Shows the count of questions you answered.
F	Click to bring on the **More Information** informational dialog. Provides help about the question, assessment, remediation, and guidance to answer the question.
G	Click to clear the answer choices so that you can enter a new answer.
H	Enter comments for the question. To enter comments, click in the box to bring on the**Comments** rich-text editor, enter text, and then click **OK**.
I	Enter text to log deficiencies for the question. To enter text, click in the box to bring on the**Deficiencies** rich-text editor, enter text, and then click **OK**. Note that you can be enforced to enter a deficiency if a particular answer choice for a question is selected.

Option	Description
J	Enter text to log remediation steps for the question. To enter text, click in the box to bring on the **Deficiencies** rich-text editor, enter text, and then click **OK**.
K	Create new evidence, select from existing evidence or select from the document repository to add evidence to the question. For more information, see Attaching Evidence.
L	Request an exception to the question. For more information, see Requesting Exceptions.
M	Create findings to the question. For more information, see Creating Findings.
N	Logs all of the events you performed in the questionnaire.
O	Use responses to mitigate or remediate the finding score or compliance score. For more information, see Creating a Response.
P	Select this option if you want to hide your comments from other stakeholders. This option appears only in the **Comments** tab.
Q	If you are not sure of the answer to any question, you can flag the question to follow up later once you answer other questions so that it can be answered in the end.
R	Shows the risk report for the question.
S	For more information, see Requesting Exceptions.
T	Allows mitigation using a response. For more information, see Creating a Response.
U	Allows navigation to access previous questions so that you can change the answers, answer the questions that are left unattended due to insufficient information, or update the options.
V	If you are sure that another user whom you know can answer the question, you can assign that particular question to the user using the Delegate option. For more information, see Delegating a Question to Another User.
W	Refresh the answer choice and the options you entered for the question.
X	Allows navigation to access the succeeding questions. You can skip clicking the Next link by selecting the **Automatically go to next** option so that questions keep appearing automatically when questions are answered.
Y	Once all questions are answered, click **Done** to submit the questionnaire or close the questionnaire if you are not finished answering all the questions and want to resume later so that your answer choices are saved. For more information, see Submitting Your Questionnaires

Questionnaire-Answered View

You can quickly go back to the skipped questions containing the flag, comments, exceptions, or mitigation requests. In general, you can navigate to any question directly without requiring to use the **Next** or **Previous** links. In order to access the questionnaire-answered view, you will need to click on the area showing the count of questions, which is on the left-hand side of the questionnaire workspace. This view lists all the questions and details, such as the user who last answered the question, whether the question is answered, and which question has flag, comments, exception, mitigation, and requires resolution.

Also, a View drop-down list is provisioned so that it lets you filter the questions using the following criteria: All Questions, Forwarded Questions, Need More Evidence, Need More Information, and Others.

Viewing Questionnaire Results Summary

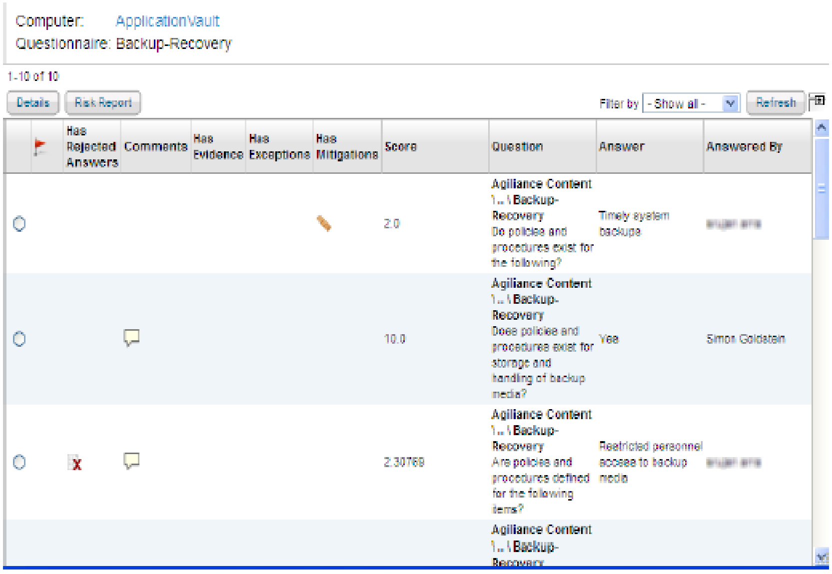
You will need to understand the questionnaire results summary on the following occasions:

1. After successfully submitting the questionnaire.

2. The questionnaire is rejected or yet to be submitted.

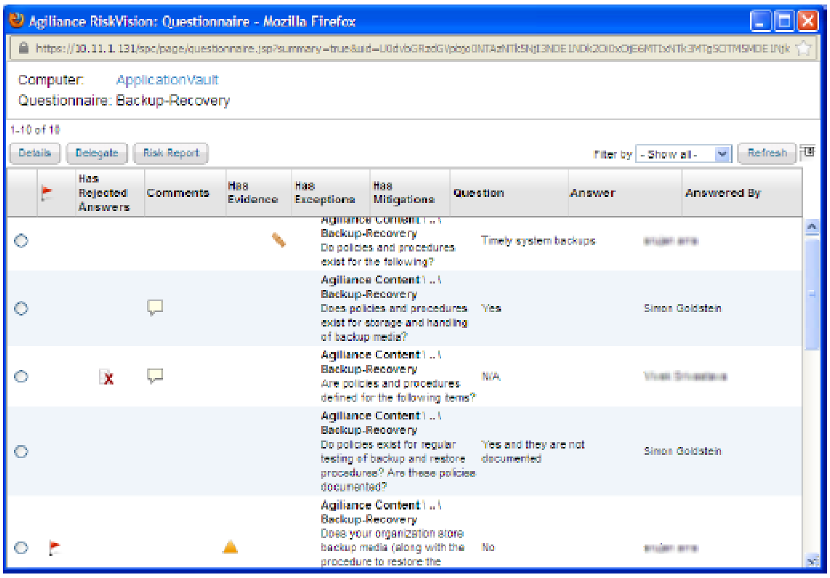
On both occasions, the answers to the questionnaire can be traced. But, the scores can be viewed only in the results summary and when you are no longer an active stakeholder of that assessment.

To view the results summary of the questionnaires you submitted, go to Home > Submitted Questionnaires page, and click the questionnaire's title. The following graphic shows the results summary of a questionnaire for which you are no longer an active stakeholder.



Unlike the questionnaire-answered view, the questionnaire results summary allows you to glance over the details, such as answers, the stakeholder who answered the question or rejected the answer, risk report, and more. When a questionnaire you submitted is rejected by the stakeholder in the next stage, the question that was rejected and the stakeholder who rejected the answer can be known in the questionnaire results summary. And if you are not sure about any rejected answers, you can straightforwardly delegate a question to another stakeholder without requiring to use the questionnaire workspace.

To view the results summary of the questionnaire which is rejected or yet to be submitted, go to **Home > Questionnaires**, and select **Results Summary** in the Actions drop-down list. The following graphic shows the results summary of a questionnaire.



Note: When the questionnaire you submitted is rejected, that particular questionnaire appears on the Questionnaires page as well as the Submitted Questionnaires page.

Evaluating an Entity Against Controls

Control questionnaires, such as Control Assessments, that measure an entity's level of compliance with standards and policies, present a series of questions with choices or text field that the questionnaire responder has been assigned to complete. Questionnaires can contain one or more questions, and the options available vary depending on the subcontrol as well as the questionnaire preferences.

The results of the questionnaire are used to determine whether or not the entity is compliant and calculate risk scores.

The following lists the possible questionnaire options:

- Types of choices
- Supporting Information
- Requesting Exceptions
- Delegating Questions to Another User
- Attaching Evidence
- Creating and Revising Findings
- Creating a Response and Revising Responses

To navigate the questionnaire window

- When you have finished responding to a question, click Next or Previous to save your answer and display the next question.

As you proceed through the questionnaire, the progress bar shows the number of completed questions and the total number of questions in the questionnaire.

To exit the questionnaire window

- When you have finished working on the questionnaire, click **Done**.

This closes the questionnaire without sending the assessment to the next stage.

Adding Supporting Information

Supporting information is an optional questionnaire preference configured by the Program Owner. All supporting information fields are logs which contain multiple entries. Each entry displays the name of the user who enters, along with the time stamp.

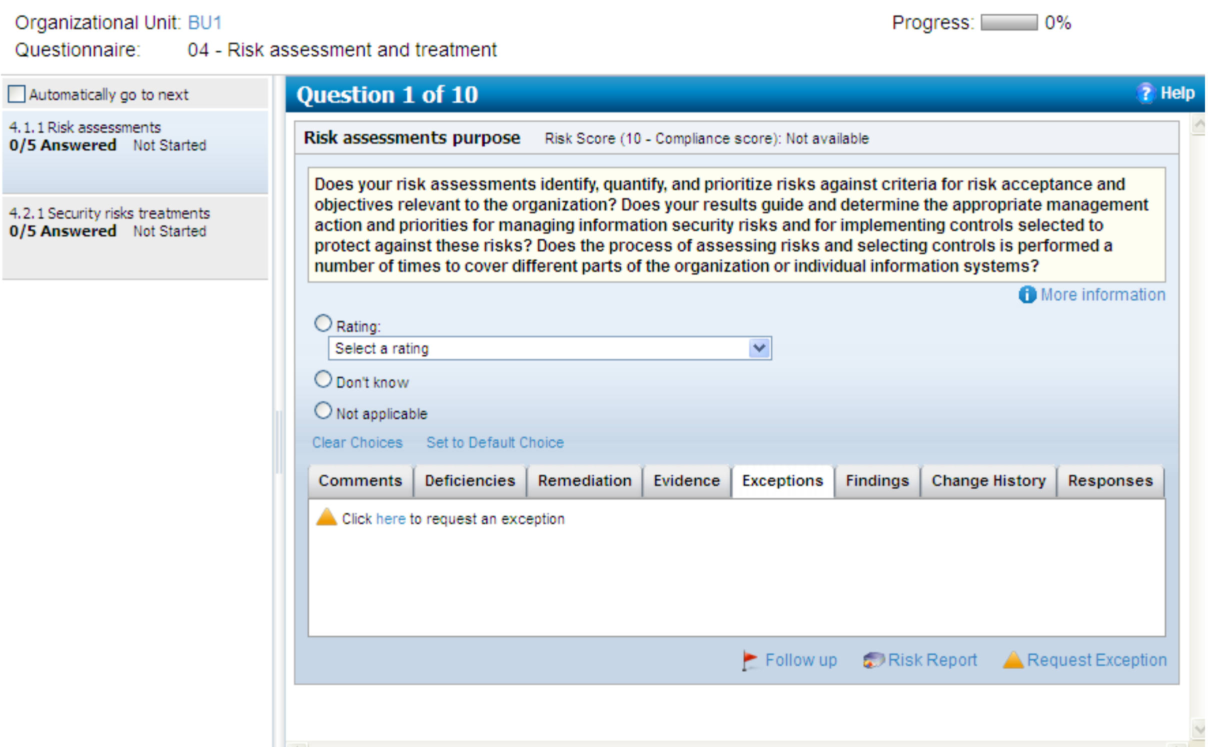
The following supporting information options are available:

- **Deficiency**. Enter a text description of a deficiency corresponding to a question/control.
- **Remediation**. Enter a text description of an action that has or will be taken to address the control.
- **Comments**. Enter any additional comments or text that you want to record with the question response; answers with comments display an icon.

To add supporting information:

1. Open the questionnaire by clicking the questionnaire in the **My Assessments** section or by navigating to **Home > Questionnaires** and then selecting **Work on this Questionnaire** or **Resume Questionnaire** from the action menu in the questionnaire's row.
2. Go to the subcontrol. In the navigation pane, select the control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question.

   The question displays.



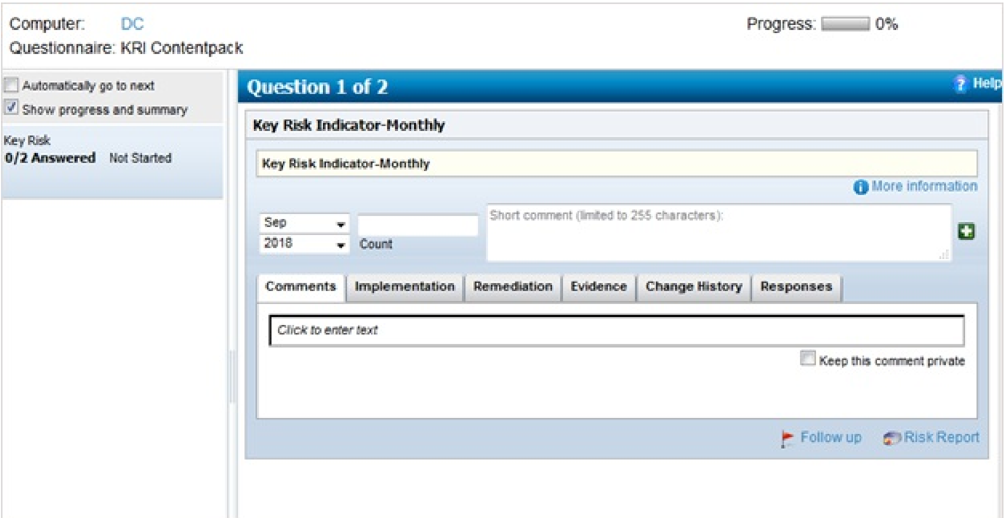
3. Go to the respective tab and click in the text box. A text editor displays.
4. Enter the description and click **OK**.

The text, your username, and a timestamp are attached to the answer.

Add Supporting Information to KRI Questionnaires

If you are adding supporting information to KRI Questionnaires, you have the option of commenting on each KRI period.

1. Go to the **My Assessments** section. You can also go to **Home>Questionnaires** and select **Work on this Questionnaire** or **Resume Questionnaire** from the **Actions** drop-down.
2. Open the questionnaire.
3. In the navigation pane, select the Key Risk Indicator.
4. Select the KRI period to which you will be adding information.
5. Enter your comments in the comments space.



Requesting Exceptions

While evaluating an entity that is out of compliance with the subcontrol, you can request an exception. Committing the exception request form initiates the exception workflow process. Exceptions affect the assessment that you are working and any other program that evaluates the entity-subcontrol pair.

Stage	Options	Next stage	Status	Description
Requested	Request	Review	Requested	Start of workflow stage, exception automatically transitions to the Executive owner of the entity for **Review.**
	Close	Closed	Expired	When stakeholders reject the review or sign off stage, gives the requestor the opportunity to add more information and request again or close the ticket as rejected. **Note**: Exception permissions are required.
Review	Sign off	Sign off	--	Transitions the request to Security owner of the entity for **Sign off.**
	Reject	Requested	Rejected	Returns the request to Exception Requestor and transitions the request back to the **Requested** stage.
	Delegate	--	Delegated	Assigns the request to another user, and allows that user to sign off or reject the exception as the temporary stakeholder of the Review stage. **Note:** If the delegate rejects the request, it moves back to the requestor.
Sign off	Accept	Accepted	Closed	Closes the request with an accepted status and removes compliance results from related reports and assessments.
	Rejected	Rejected	Requested	Returns the request to Exception Requestor and transitions the request back to the **Requested** stage.
Closed				

Exceptions impact programs and reports, as follows:

- An approved exception in the closed state (100% progress) allows the entity to be out-of-compliance with the control for a specified period without impacting the risk and compliance scores. The exception is applied to all programs with assessments of the entity-subcontrol pair.
- An expired exception in the closed state displays in all programs and assessments with the entity-subcontrol pair, but the results, answers of the questionnaire responders, are included in the risk and compliance scores.
- An open exception request, that is a request in any stage but closed, is flagged in programs and assessments, the questionnaire results use the questionnaire answers while calculating risk and compliance scores.

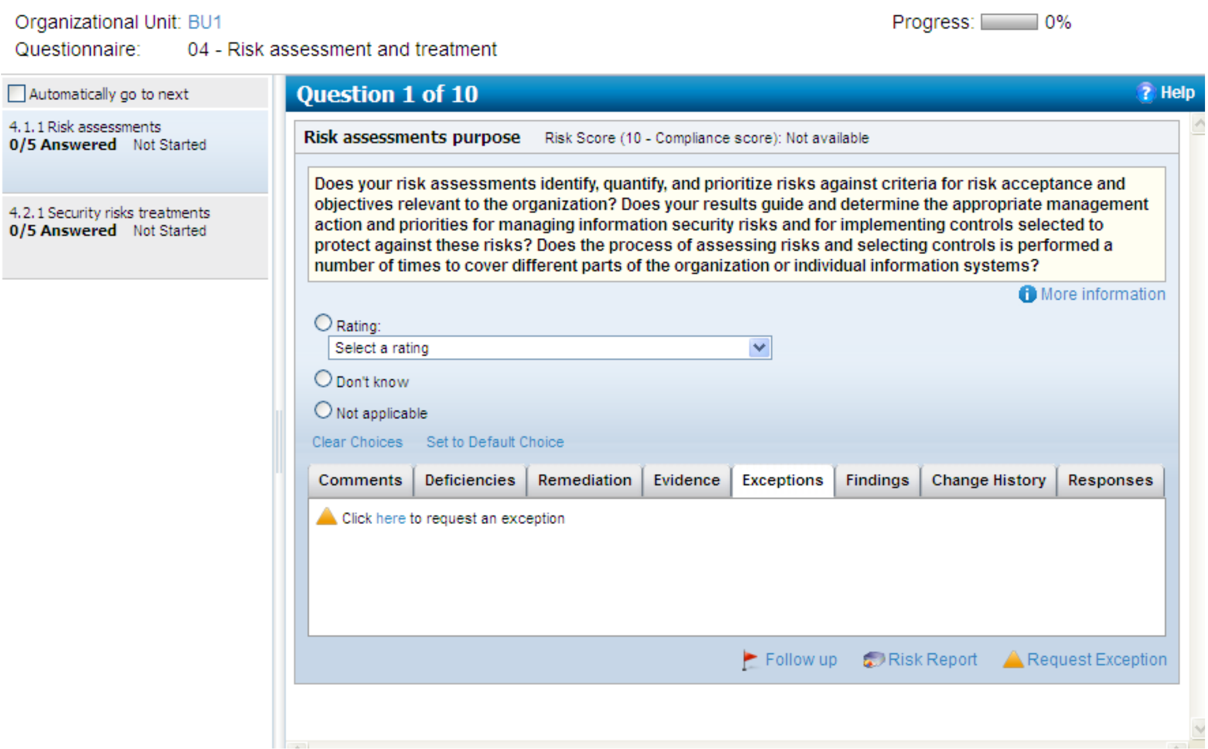
The exception request menu item is an optional questionnaire preference configured by the Program Owner. Exceptions apply to controls, subcontrols, and findings.

To request an exception:

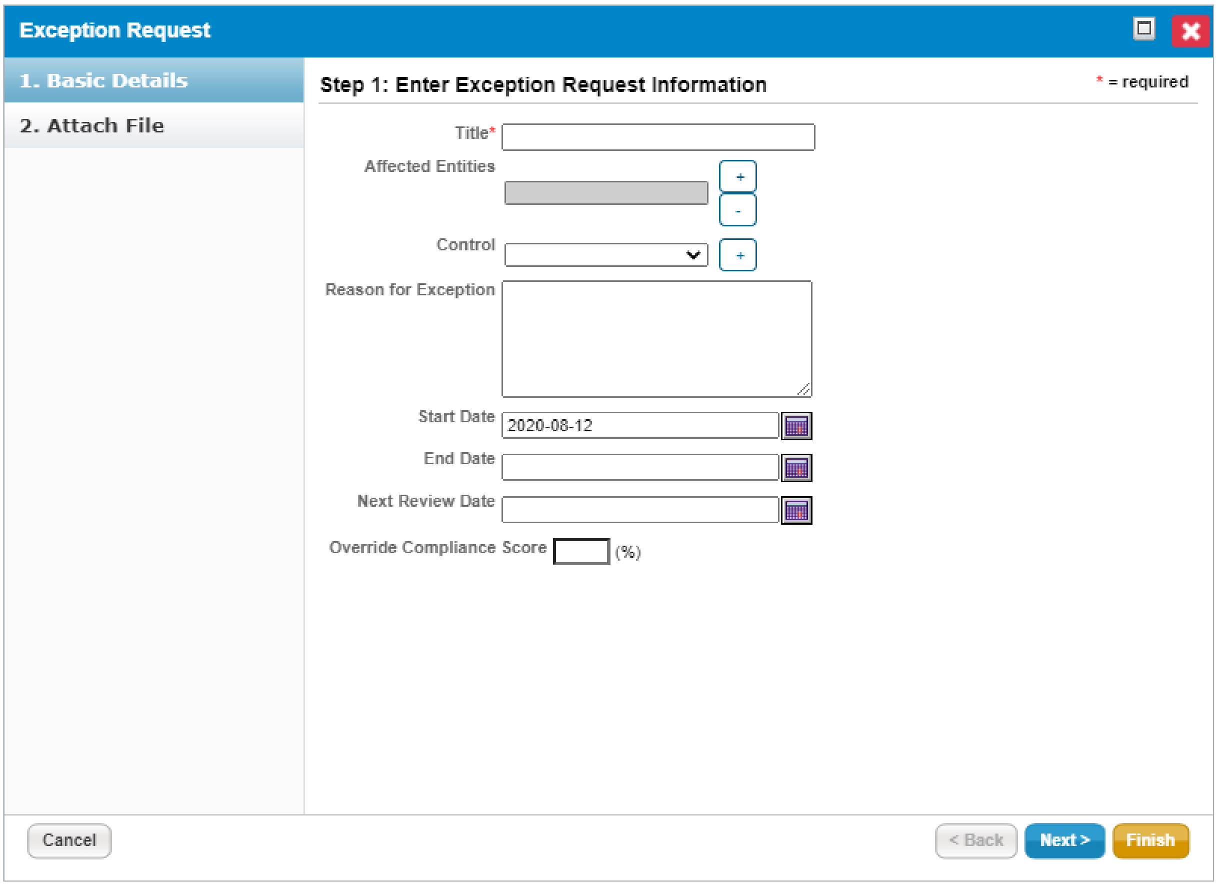
1. Open the questionnaire by clicking the questionnaire in the My Assessments or navigating to Home > Questionnaires and selecting **Work on this Questionnaire** or **Resume Questionnaire** from the action menu in the questionnaire's row.

2. Go to the question in the navigation pane and select the control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question.

   The question displays.



3. Click Request Exception. The **Exception Request** wizard appears.



The Exception Request wizard.

4. Enter the exception general and add an attachment, and then click OK.

    - If you selected attachments, the selection window displays after you click OK. To complete the attachment process, enter a description, select a file, and click OK.

5. Canceling the attachment seems to cancel the entire Exception Request, but it displays after a while without an attachment.

An exception icon displays in the actions column next to the question in the control tables, in the control on the Questionnaire navigation pane, and in the Questionnaires table.

The exception request automatically transitions to the Review stage and the stage stakeholder is notified according to the workflow settings.

Transitioning and Viewing Exception Requests

Questionnaire responders can view exceptions requested by other users. Only the workflow stage stakeholders can modify the settings and transition the exception to another stage.

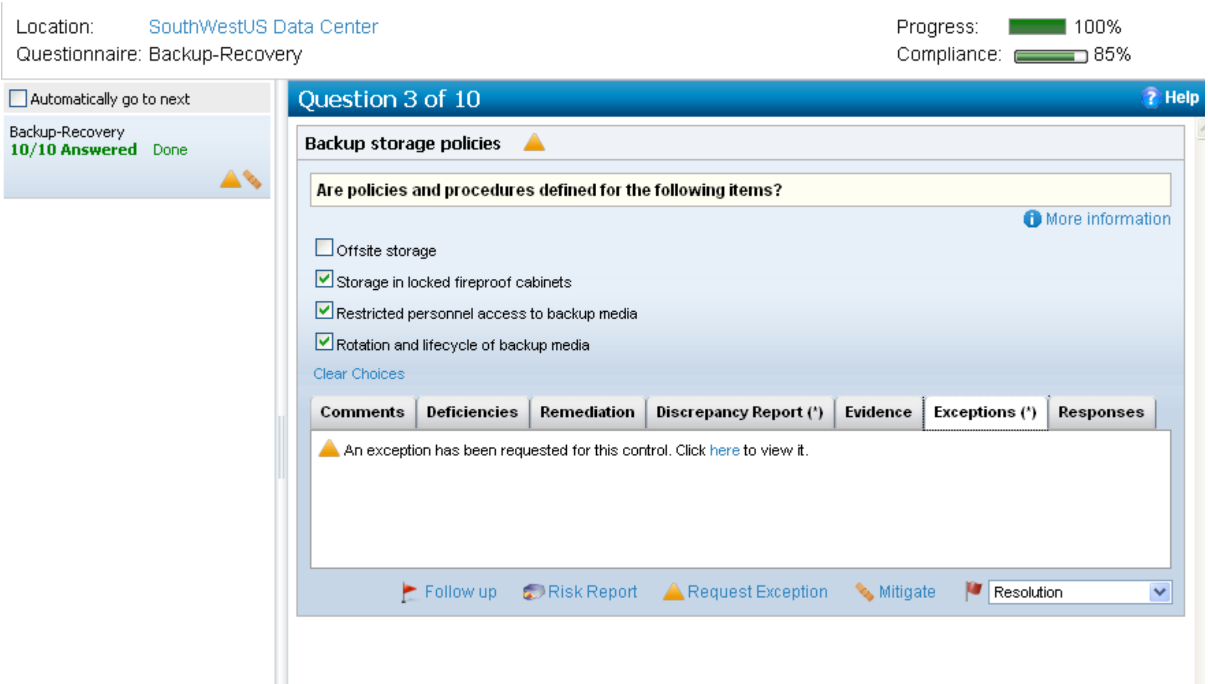
To view an exception:

1. Open the questionnaire by clicking the questionnaire in the My Assessments or by navigating to **Home** > **Questionnaires** and then selecting Work on from the action menu in the questionnaire's row.

2. Go to the subcontrol.

   In the Questionnaire navigation pane, select the control, if there is more than one subcontrol, a table displays, select the subcontrol title to open the question.

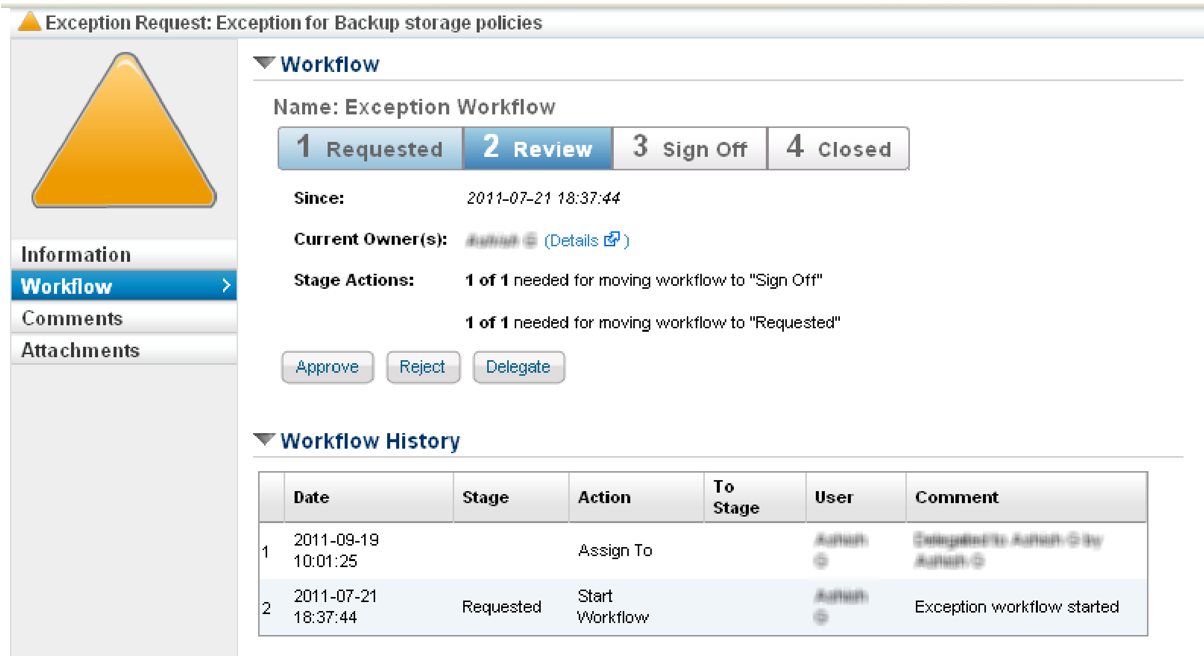
   The question displays.



3. Go to **Exception** tab and click the **here** link.

   The **Exception Request** details displays and if you are a stakeholder of the stage, the **Edit** button displays in the upper right corner.

4. Click **Workflow**. The stage details displays.



5. Click a stage action to transition the exception request.

6. To change either general or recurrence settings, click **Information** and then click **Edit**.

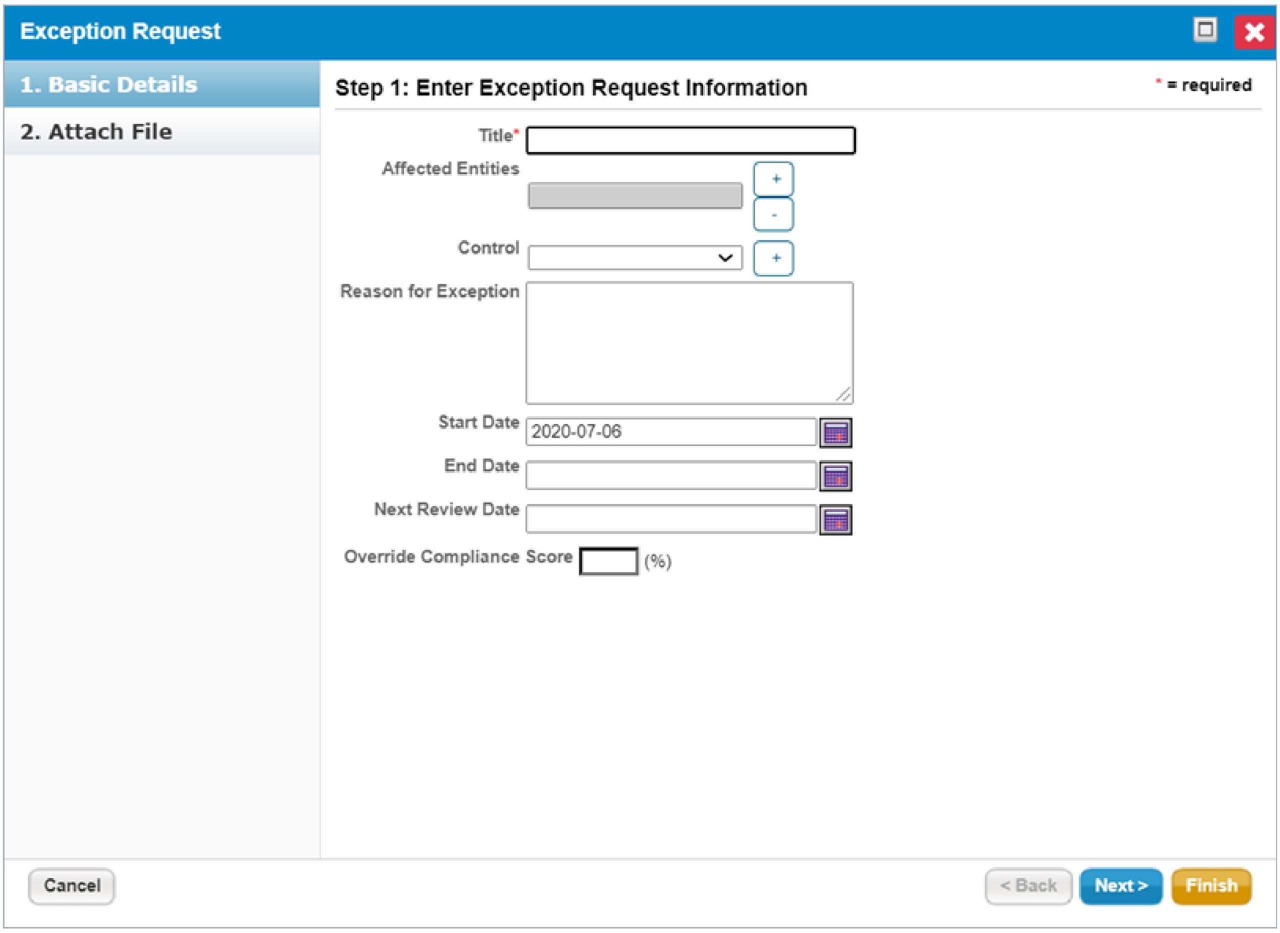
7. To modify attachments, click **Attachments** and change as follows:

   - Click **New Document** to attach a file that supports the exception request.
   - Click **New Web Link** and enter a complete URL including the protocol HTTP or HTTPS.
   - Select an attachment and click **Delete** to remove.

The modifications affect all entity-subcontrol pairs in reports and assessments.

Exception Request Basic Details

The following fields in the **Basic Details** wizard page of **Exception Request** must be specified when creating an exception.



The Basic Details section of the Exception Request wizard.

- **Title.** Enter the text to name the exception request.
- **Affected Entities.** Select entities for which you want to create an exception.
- **Applicable Controls.** Select controls that are applicable to the exception.
- **Reason for Exception.** Enter comments that explain why the exception is required.
- **Compensatory Controls.** Select subcontrols to compensate the non-performing subcontrol.
- **Start Date.** Select a date from when you want to start applying the exception.
- **End Date**. If the exception is for a specific period, select an end date. Otherwise, leave the End Date field empty if the exception is on-going.
- **Next Review.** Select the date and time that you want to automatically send a reminder to review the exception.
- **Override Compliance Score**. Enter a value to override the compliance score.

Exception Request Attachments

The **Attach File** wizard page of an exception request allows you to add documents to an exception. Stakeholders requesting an exception, or exception workflow stage stakeholders, can attach documents or web links.

To attach documents to an exception:

Select one of the following options:

1. **Add a document** Specify the following fields:
   - **Document Location**: Click **Browse** to select the document.
   - **Document Caption**: Enter the text to name the document.
   - **Description**: Enter the text that describes the document.
   - **Expires On**: Select the date when the document will expire.
2. **Add a link to a document in repository** Click **Browse** to select a document collection.
3. **Add a web link**, specify the following fields:
   - **URL**: Enter a complete URL including the protocol HTTP or HTTPS.
   - **Link Caption**: Enter the text to name the URL.
   - **Description**: Enter the text that describes the URL.
   - **Expires On**: Select the date when the document will expire.
4. **Add a Network Path**, specify the following fields:
   - **URL**: Enter a complete Network Path.
   - **Link Caption**: Enter the text to name the Network Path.
   - **Description**: Enter the text that describes the Network Path.
   - **Expires On**: Select the date when the document will expire.
5. Click **Add** to display the documents in the **Added Documents and Links** grid. Click **Clear** to clear the selection.

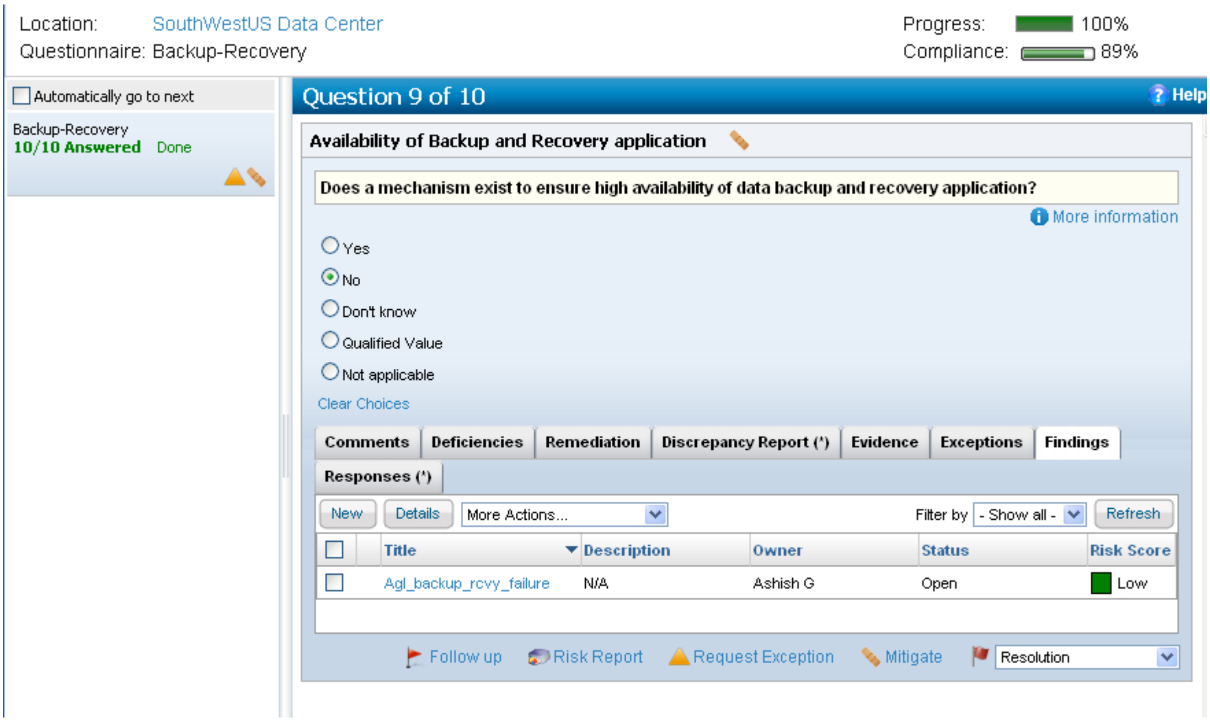
Creating Findings

Findings are associated with controls that are non-compliant in an assessment. For each failed control, you can mark it as a finding to recognize its significance through impact and likelihood.

To create a Finding:

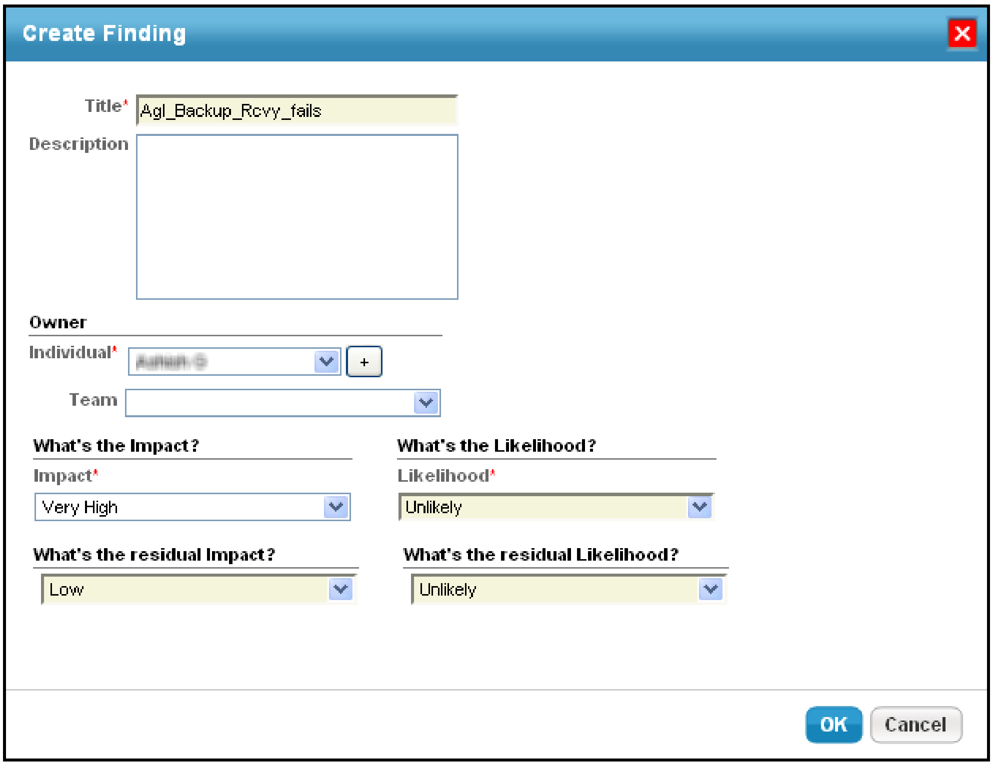
1. Open the questionnaire by clicking the questionnaire in the My Assessments or by navigating to **Home** > **Questionnaires** and selecting **Work on this Questionnaire** or **Resume Questionnaire** from the actions menu in the questionnaire's row.

2. In the Questionnaire window, for a control, select the sub-control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question. The question displays.



3. Click the **Findings** tab in the question and then click **New**.

4. The **Create Finding** dialog appears. Enter **Title, and select Individual, Impact, and Likelihood, and then click OK. Optionally, enter Description, and select Team, residual Impact**and residual Likelihood. Residual impact and likelihood are the future estimated values for the impact and probability of occurrence after a necessary action has been taken for a finding.



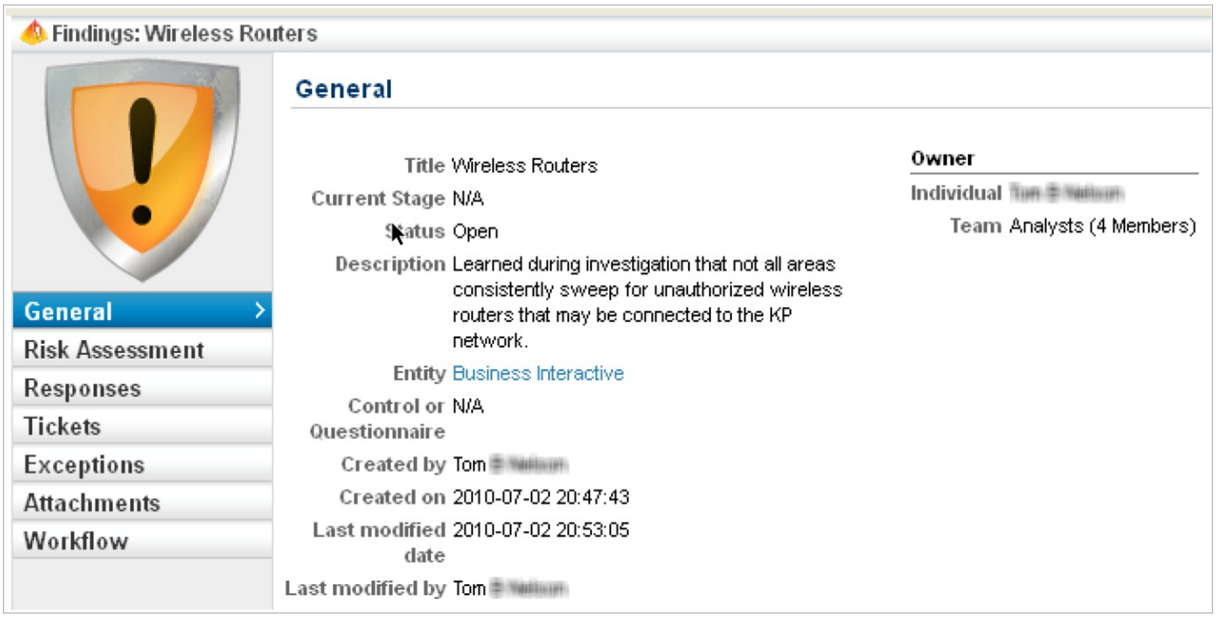
5. The finding is created.

Revise a Finding

Each finding can have a response, exception or a ticket associated with it. Risk associated with a finding can be mitigated or eliminated completely using the response or exception. Also, responding to weak controls by compensating with the best alternate controls will ensure the desired compliance score. Creating a finding will launch a workflow and you may track the remediation progress by its workflow status or optionally, associate a ticket to acknowledge an action request. A finding's risk mitigation strategy can be controlled by the program owner. When a risk mitigation strategy is not in place for a finding, only the risk analysis is allowed for a particular assessment.

To view finding details:

1. Open the questionnaire’s question that has a finding.
2. Click finding’s title to open the details.



3. Click the **General** tab to see the general information settings. To update the finding’s status, click Edit and select the appropriate status. Click **Save** to save the changes.
4. Click the **Risk Assessment** tab to assess the impact and likelihood ratings for a risk.
5. Click the **Responses** tab to create and view response associated with a finding. For more information, see Revising Responses.
6. Click the **Tickets** tab to create and view a ticket associated with a finding.
7. Click the **Exceptions** tab to request an exception or to view exceptions that are associated with a finding. For more information, see Transitioning and Viewing Exception Requests and Requesting Exceptions.
8. Click the **Attachments** tab to append the supporting documents that makes the other questionnaire responders understand well.
9. Click the **Workflow** tab and click a stage action to transition the findings workflow stage.

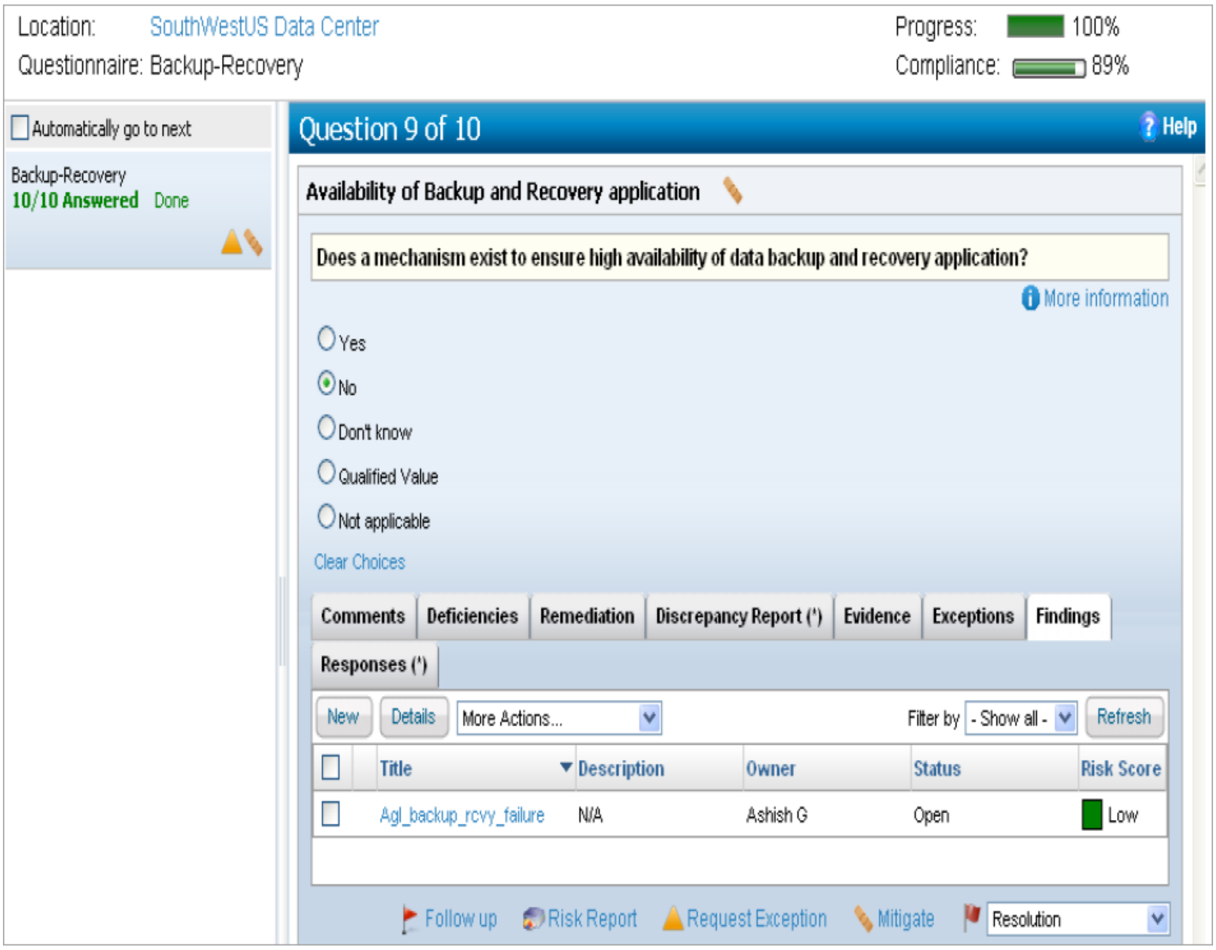
Creating a Response

Create a response to mitigate the finding score or to override the compliance score.

To create a response:

1. Open the questionnaire by clicking the questionnaire in **My Assessments** or by navigating to **Home > Questionnaires** and selecting **Work on this Questionnaire** or **Resume Questionnaire** from the actions menu in the questionnaire's row.
2. In the Questionnaire window, for a control, select the sub-control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question.

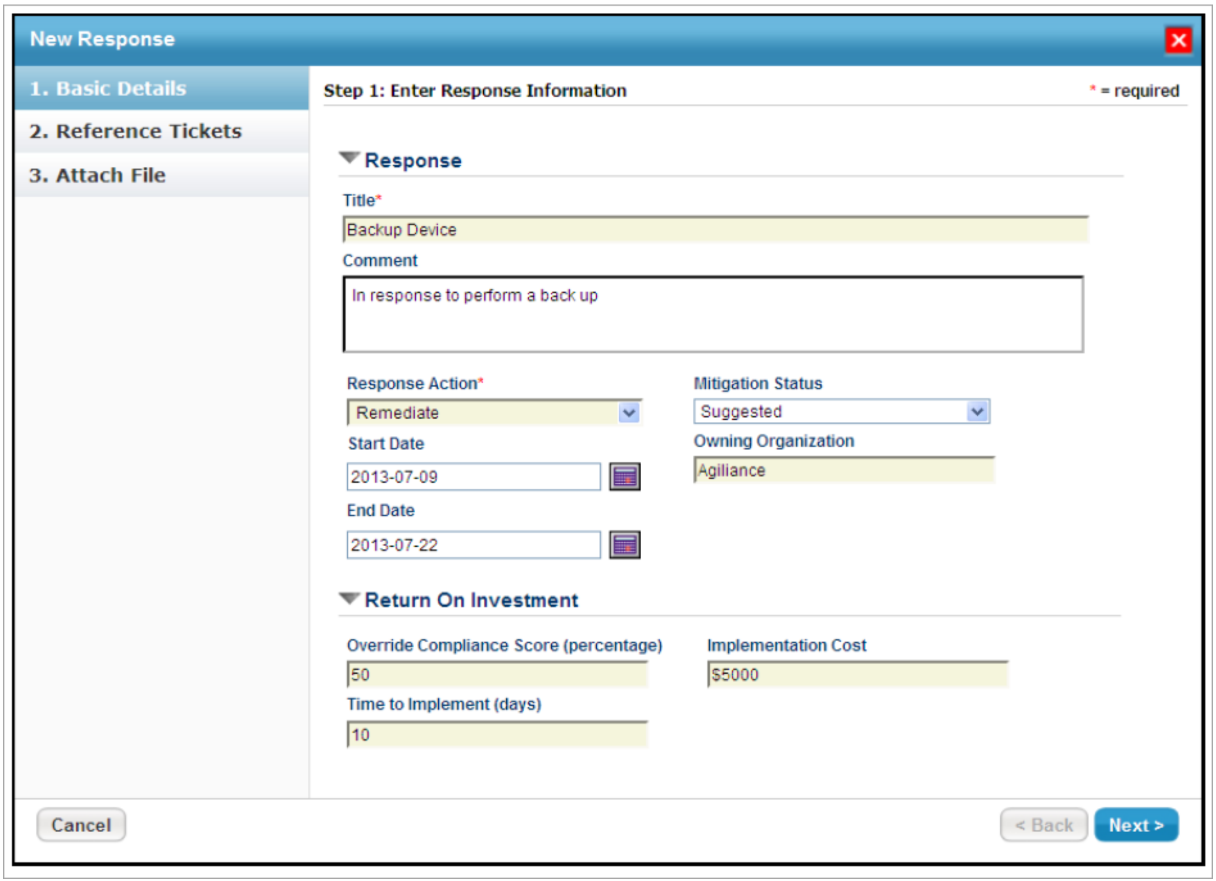
   The question appears.



3. Create a response.
   - To mitigate the finding score, click the **Findings** tab, select a finding to open its details and then click the **Responses** tab. Create a finding first if a finding you want to respond does not appear. For information about how to create a finding, see Creating Findings.

     Or

   - To override the compliance score, click **Mitigate**.
4. The **New Response** wizard appears.



5. In the **Basic Details** wizard page, expand the **Response** section, enter a name in the **Title** field, enter text in the **Comments** field to provide information about the need to create a response, select a value in the **Response Action** and **Mitigation Status** drop-down boxes, specify a date in the Start Date and End Date fields, and enter a name in the Owning Organization field.Then expand the **Return of Investment** section, enter a percentage value in the Override Compliance Score (percentage) field, enter a value in the Implementation Cost field to forecast the implementation cost, and enter a value in the Time to Implement (in days) field to calculate the effort.

   There are a number of response actions, depending on the specifics of a finding. Response actions include:

   - Compensate
   - Mitigate

   Click **Next** to Continue.

6. The **Reference Tickets** wizard page appears. To link tickets, select the box next to the **Link an existing or new Ticket with this Response** option. You can link an existing ticket or a new ticket that will help track this response.

   Select existing Tickets. Select this option to link existing tickets. In the **Available Tickets** box, select the box corresponding to each row, and click **>>** so that tickets are moved to the **Selected Tickets** box.

   Or

   Create new Ticket. Select this option to create a new ticket, specific to a response.

   Click **Next** to continue.

7. The **Attach File** wizard page appears. You use the following options to attach files.

   Add a document. Allows uploading a document from your local system.

   Add a link to a document in repository. Allows providing references to a document collection in document repository.

   Add a web link. Allows providing external references.

   Click **Add** followed by each option to upload multiple documents or links.

8. Click **Finish** to add a response. The response is created and appears in the **Responses** tab of questionnaire window.

Revising Responses

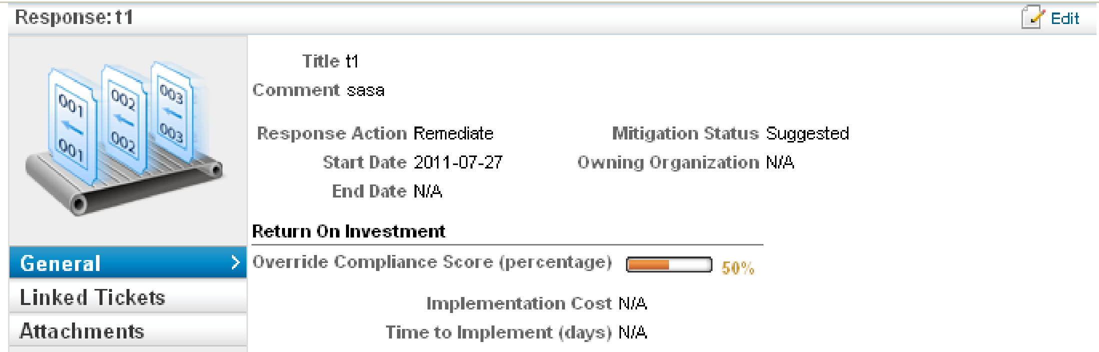
A program owner can configure a response to make it visible in the questionnaire's window. Only the workflow stage stakeholders can modify the response action and mitigation status and move a ticket's workflow that is associated with a response.

Response General Settings

To change the general information

1. Go to the response tab in the questionnaire that has a response.

2. Click a specific response title to open the details.



3. Click **General** page to see the general information settings.

4. Click **Edit** in the upper right corner of the page to change the response action and mitigation status, start and end date, override compliance score, implementation cost and time to implement.

5. Click **Save** to save the changes.

Transitioning the Ticket Linked to a Response

Following are the steps that describes how to move a ticket workflow.

1. Go to the response tab in the questionnaire that has a response with a ticket.

2. Click the response title to open the details.

3. Click **Linked Tickets** page to see the ticket associated with a response.

4. Click a ticket ID to open the details.

5. In the workflow section, click the stage action to transition the ticket's workflow stage to another user

A program owner can configure a risk program to decide on what mitigation status the compliance and risk scores must be affected. For example, if your program owner has configured to adjust the compliance and risk scores when the mitigation status is implemented/completed; the ticket associated with a response will be transitioned automatically to closed stage even if it is in the new, in progress, or review stage.

Response Attachments

Attach any document to justify your action against a response.

To attach information to a response

1. Go to the response tab in the questionnaire that has a response.

2. Click the response title to open the details.

3. Go to the **Attachments** page.

4. To add a document or link:

    a. Click **New Document** to attach a file that supports the response.

   b. Click **New Web Link** and enter a complete URL including the protocol HTTP or HTTPS.

5. To remove an attachment:

   a. Select the item to remove.

   b. Click **Delete**.

Submitting Your Questionnaires

After you perform all the required operations in the **Questionnaire** workspace, you must submit the questionnaire to the next stage stakeholder. A questionnaire can be submitted using the **Questionnaire** workspace or the **Questionnaires** page.

To submit the Questionnaire Using the Questionnaire Workspace

1. In the **Questionnaire** workspace, click **Done**. The options to submit the questionnaire and to close without submitting the questionnaire appear.

2. Only the stage to where the questionnaire will advance in a workflow appear. Click the name of the workflow stage to submit the questionnaire to that particular stage. The window is closed automatically, the questionnaire is submitted and changes cannot be made further.

To submit the questionnaire using the Questionnaires page

1. Go to **Home** > **Questionnaires**. The questionnaires are displayed in a grid.

2. In the questionnaire row, select **Assessment Workflow** in the **Actions** drop-down list.

3. The **Assessment Workflow** dialog appears, enter comments in the **Comments** text box, and then click **OK**. The questionnaire is submitted and changes cannot be made further.

> If you do not observe a questionnaire on the **Submitted Questionnaire**'s page even though you submitted the questionnaire successfully, It may be because the assessment workflow is set up in a way that it does not allow the incomplete submission and when one of the questions in the questionnaire is delegated to another stakeholder, the questionnaire is not moved to the next stage. In order to make a successful submission, ensure that the delegatee answers the question you forwarded.

Questionnaire Flow

After an assessment launches, the RiskVision solution sends a notification that a questionnaire is waiting for input from the users. A questionnaire gathers information about an entity for specific risks and controls. Some answers are provided automatically because they are linked to other questionnaires where a user has already answered questions on similar controls.

The entity owners identified as assessment stakeholders receive an e-mail with the name of the questionnaire, the entity name, and a link to the RiskVision Server. When the user logs in, they are presented with a list of the questionnaires assigned to them. The user opens the questionnaires and answers the questions. When all questionnaires in the assessment are complete, the user can then transition the assessment to the next stage.

Delegating Questions to Another User

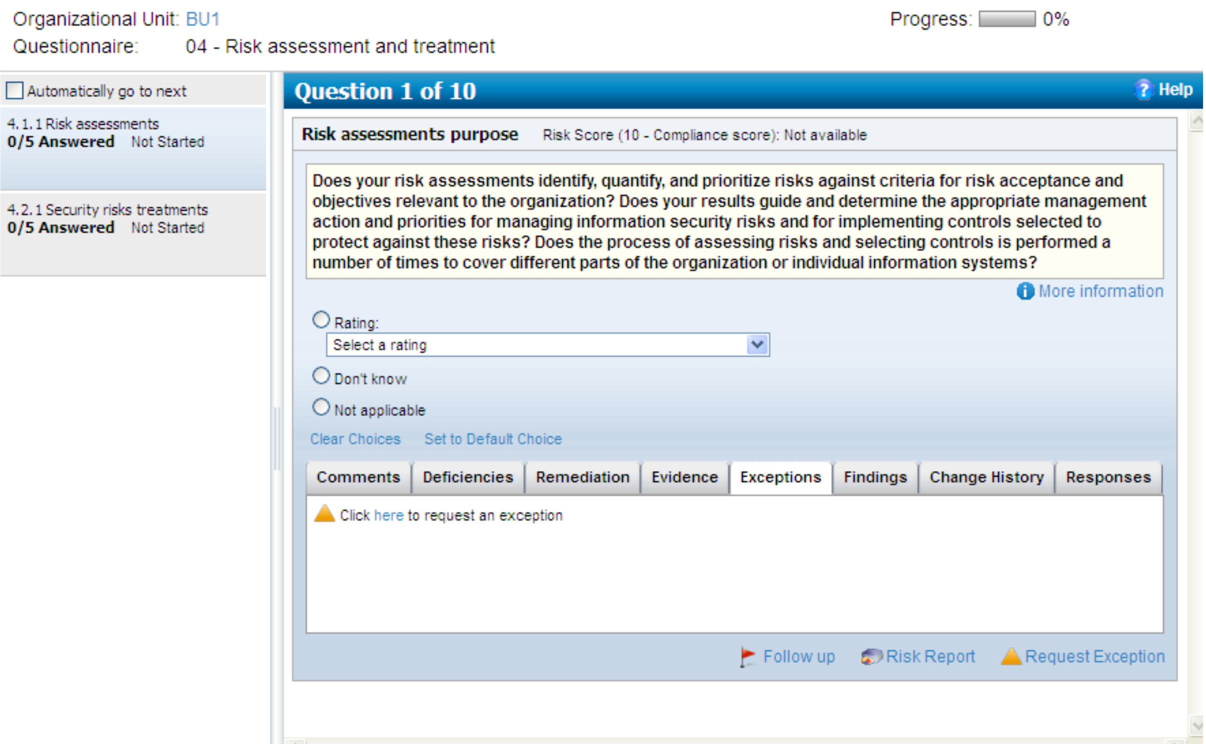
Delegating a question to another user creates a copy of the entire questionnaire and forwards it to the selected user. The delegate can answer any question in the questionnaire. Delegation is a questionnaire preference set by the Program Owner.

To delegate a question:

1. Open the questionnaire by clicking the questionnaire in the My Assessments or by navigating to **Home > Questionnaires** and then selecting **Work on this Questionnaire** or **Resume Questionnaire** from the action menu in the questionnaire's row.

2. Go to the subcontrol (question). In the navigation pane, select the control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question.

   The question displays.



3. Click **Delegate**. The **Select a User** dialog box appears.

4. Click **Other Users** or **Other Teams**. The **User or Team selection** dialog box appears.

5. Select a user or team you want to add to the previous screen and then click **OK**.

The questionnaire is forwarded to the delegate. Unlike delegating an entire questionnaire, when you delegate a question, the questionnaire also remains in your Questionnaires queue until it moves to the next stage.

Transitioning Questionnaires to the Next Stage

The console responds with a new display, prompting you to specify any action.

Click **Close now and resume later** to resume the questionnaire for a future submission. Click **Done** to transition to the next stage.

Delegating a Questionnaire

Delegating an entire questionnaire removes the questionnaire from your list and transfers the responsibility of answering questions to another user. When you delegate the questionnaire, the RiskVision solution notifies the user.

To delegate a questionnaire:

1. Navigate to **Home** > **Questionnaires**.

2. In the questionnaire row, from the **Action** drop-down box, select one of the following:

    - **Delegate**. To delegate to a user and/or a team.

    - **Delegate (multiple users)**. To delegate to more than one user and/or teams, click **Select Owner** in the **Assign Questionnaire to Multiple Users** dialog.

3. Click **Other Users** or **Other Teams**. The **User or Team selection** dialog displays.

4. Select a user or team you want to add to the previous screen for selection, and then click **OK**.

    If you have selected multiple users, you can delegate to an entire team. If you have selected Delegate, the Team members are listed, and you can select one user from the Team.

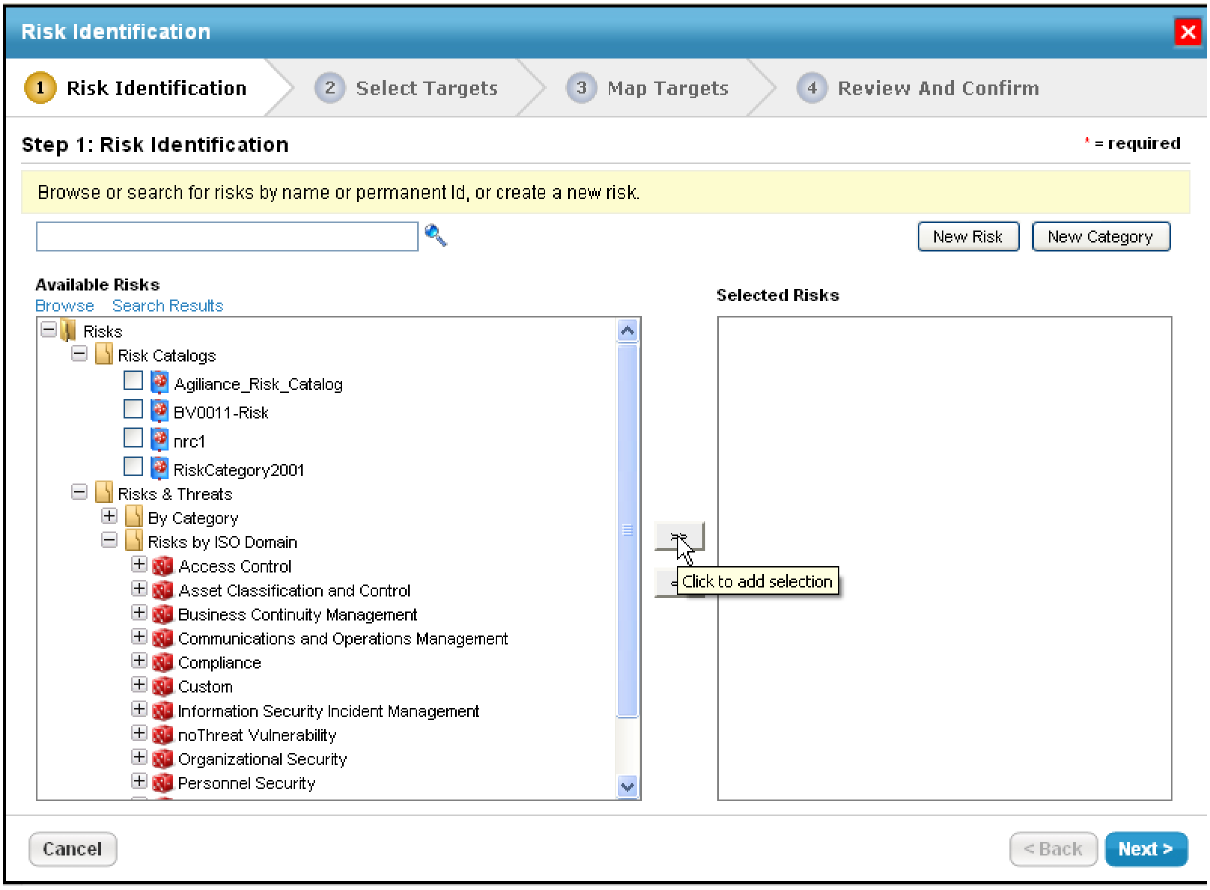
5. Select a user and click **OK**.

Adding a Risk to an Assessment

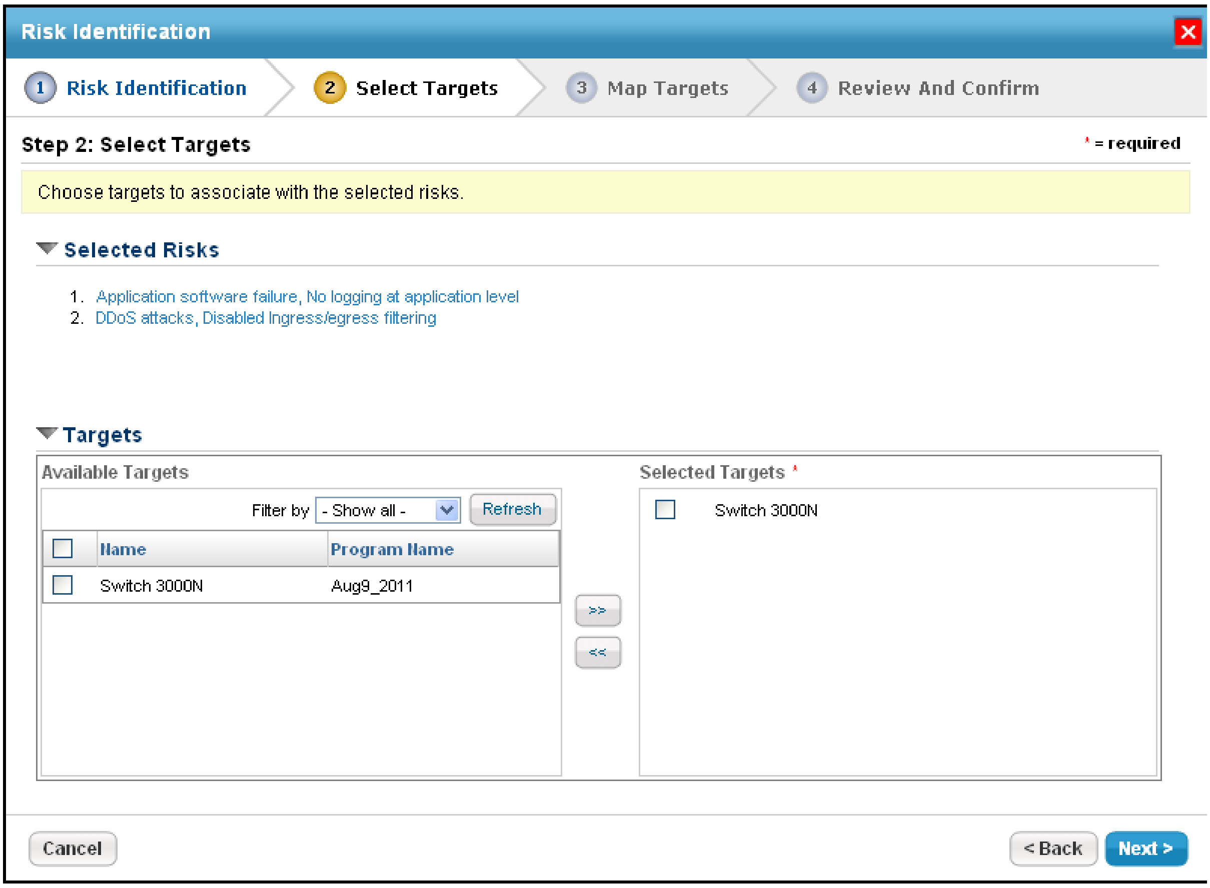
A risk identification questionnaire can be beneficial in discovering risks based on the answers submitted in periodic assessments, but it is also possible to add ad hoc risks identified through other means. When you discover a potential risk in the domain, you can add the risk to an assessment by using the **Identify New Risks** wizard.

To add one or more risks to an assessment

1. Display the details of an assessment. You can either:
   - Go to **Assessments** > **Assessments**, select the desired assessment, and click **Details**.
   - Go to **Assessments** > **Programs**, select the program containing the desired assessment, select the assessment, and click **Details**.
2. From within the **Risk Management** tab, click **Identify New Risks**. The **Risk Identification** wizard appears, showing the **Risk Identification** wizard page.
3. In the **Risk Identification** page, select risks by browsing, searching, or creating a new risk. To search, enter the risk name or permanent ID and click the search icon. To create a new risk, click **New Risk**. To browse, select a risk from the tree of **Available Risks** and then click the right arrow to add it to the **Selected Risks** list.

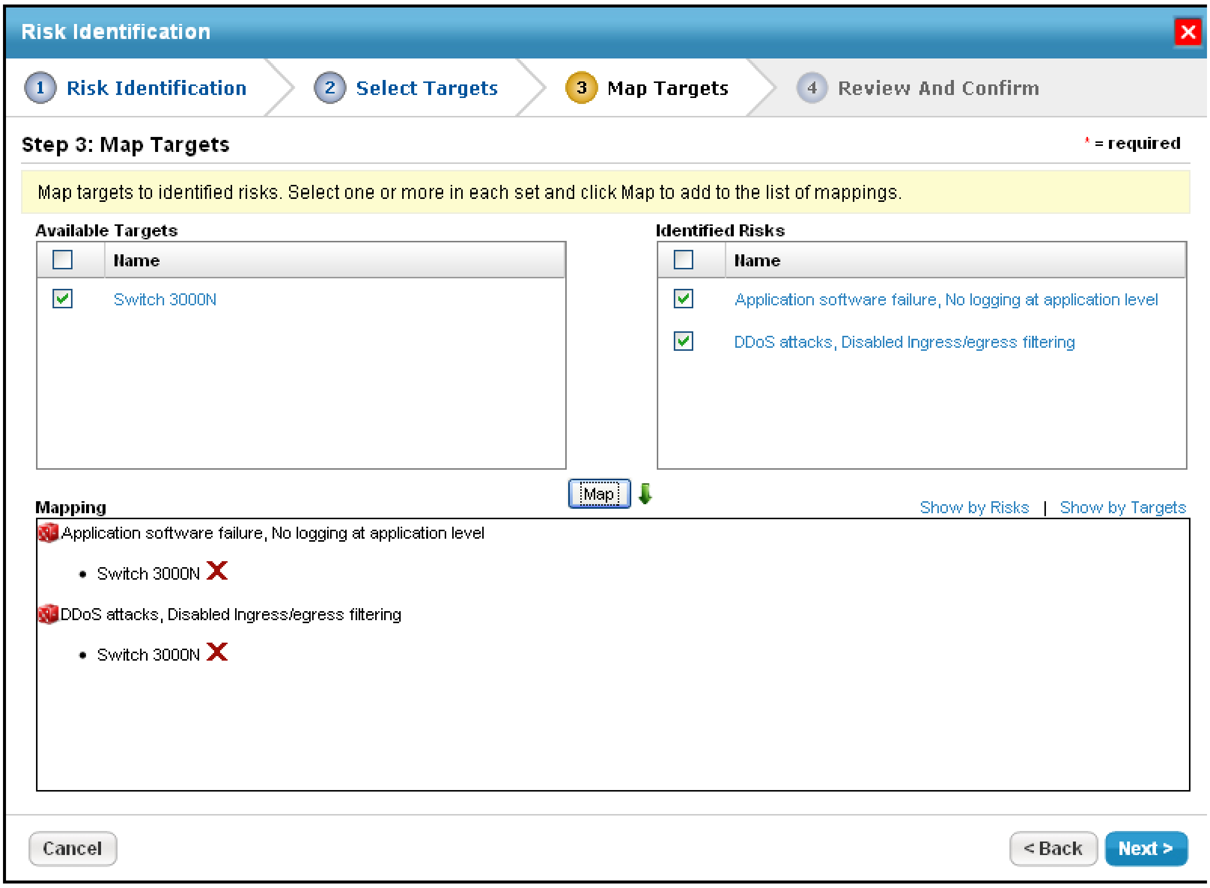
   

   Click **Next** to continue.
4. The **Select Targets** page is displayed. The **Targets** section will list all the entities associated with programs. Select entities as targets to map a risk in the assessment.



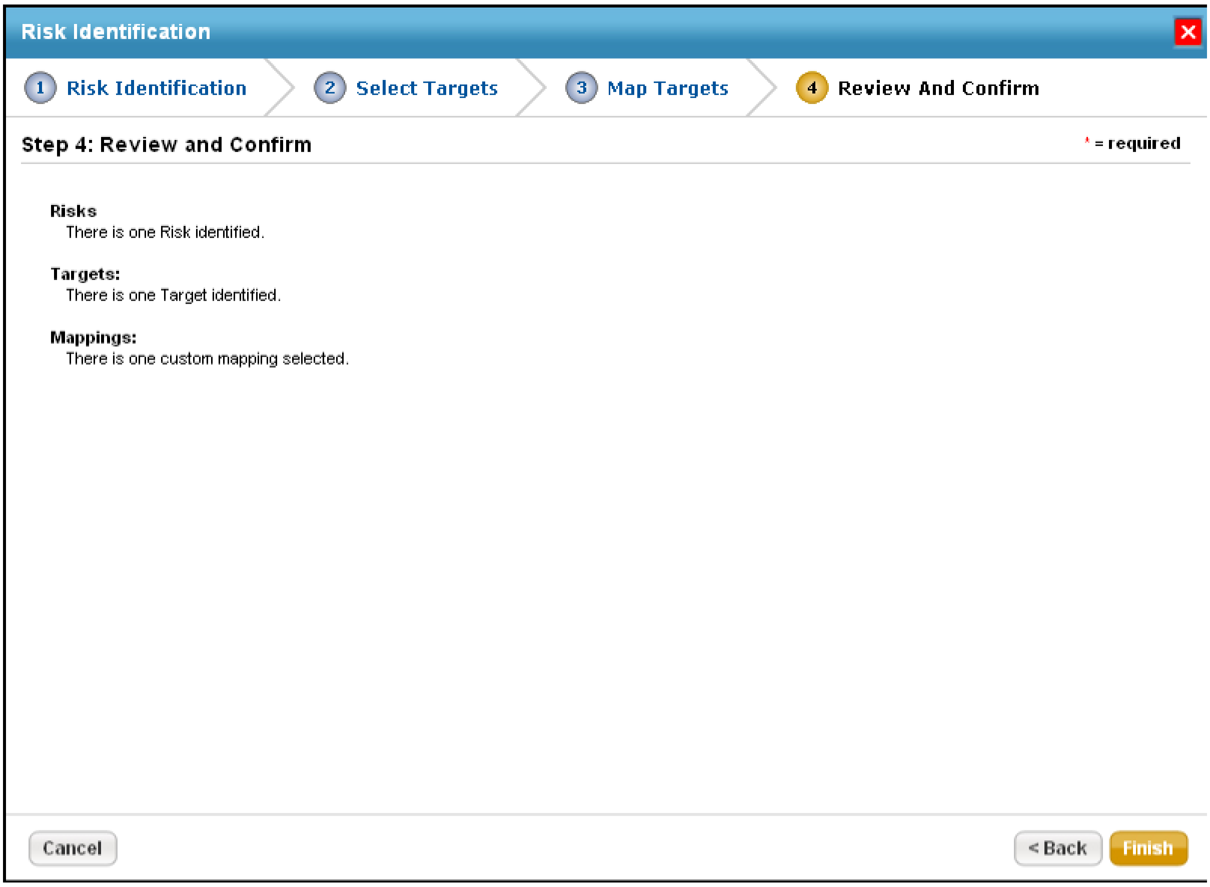
Click **Next** to continue.

5. The **Map Targets** page is displayed. Risks can be mapped onto multiple targets and targets can have multiple risks. To map a risk to a target, select one or more risks and targets and click **Map**.



Click **Next** to continue.

6. The **Review and Confirm** wizard page is displayed. Click **Finish** to add the selected risks to the assessment.



Any subcontrols that are mapped to the newly added risk appear on the **Risk Management** tab of **Assessment Details** page.

Importing and Exporting Questionnaires

Use the export and import options to choose answers to questions in an Excel spreadsheet.

The System Administrator can customize the import and export behavior.

Exporting a Questionnaire

Exports a Microsoft(R) Excel spreadsheet which is compatible with 1997-2003 that contains all the questions and corresponding choices. A sample page is provided within each export.

The spreadsheet creation runs in the background and can take several minutes.

To export a questionnaire

1. Go to **Home > Questionnaires**.
2. In the questionnaire row, select Export in the action drop-down. A dialog displays.
3. Select **Save File** and then click **OK**.

Importing a Questionnaire

Overwrites the current answers and sets the flag by using the information provided in the Excel spreadsheet. The supporting information is merged; comments, deficiencies, and remediation from the Excel spreadsheet have the imported date timestamp, and displays the user name.

- If the Excel spreadsheet contains unanswered questions, those records are skipped. However the answer of Don't know does overwrite other previously selected answers.
- Comments added to the My New Comments column will be merged with any existing comments associated with the question on import.

To import a questionnaire:

1. Go to **Home > Questionnaires**.
2. In the questionnaire row, select Import from the action drop-down. The **Import Questionnaire** dialog appears.
3. Click **Browse**, select the Excel spreadsheet, and then click **OK**. The application imports the answers, flags, and supporting information.
4. Open the questionnaire, review the data, and verify that the answers were successfully imported.

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Thank you in advance.