AvePoint Risk Intelligence System

User Guide

Issued October 2016

Table of Contents

About AvePoint Risk Intelligence Assessment

When developing or procuring any technology that collects, maintains, or disseminates personal information, it is important to determine how that data is collected and used throughout the organization. The AvePoint Risk Intelligence System can ensure that privacy protections are addressed throughout the development, design, and deployment of that software by providing assessment tools for analyzing how personally identifiable information is handled. The AvePoint Risk Intelligence System helps users develop, maintain, distribute, and analyze privacy assessment surveys, and is comprised of the following six components:

- My Tasks: provides users with access to answer or approved Privacy Impact Surveys assigned to them.
- Question Bank: provides users with access to create or edit questions and create categories for classifying questions.
- Question Collection: provides users with the ability to group questions into collections, which can be assigned via a workflow to responders.
- Project Manager: allows users to manage all of their AvePoint Risk Intelligence System projects and define the entire workflow of each project.
- Report Manager: generates data from a completed project instance in a report and allows users to customize the report document.
- Settings: allows users to customize configurations that effect the AvePoint Risk Intelligence System as a whole, or configure settings that may be relevant to certain features.

Submitting Documentation Feedback to AvePoint

AvePoint encourages customers to provide feedback regarding our product documentation. You can Submit Your Feedback on our website.

Logging into AvePoint Risk Intelligence System

To log into the AvePoint Risk Intelligence System, complete the following steps:

1. Open the following URL in the same format in an internet browser: *Https://<Hostname>:Port*.

   <Hostname> is the hostname of the machine where AvePoint Risk Intelligence System has been installed.

2. On the **AvePoint Risk Intelligence System Sign In** page, enter the following information:

   - **Login ID** – Enter **admin**.
   - **Password** – Enter **admin**.
   - **Remember my login ID** – Select whether or not to remember the login ID on this computer.

   This account will allow you to configure other users (administrators and non-administrators) within the system. For more information, refer to Account Management.

3. Select **Login** to log into AvePoint Risk Intelligence System.

After logging into the AvePoint Risk Intelligence System you will be presented with features based on the permissions granted to you.

My Tasks

The **My Tasks** page displays all tasks (including questions and question groups) that are assigned to you. The questions that require an answer are displayed under the **Need Answers** tab. The questions that have been answered by another user and require your review are displayed under the **Need Review** tab.

Managing My Tasks

In the **My Task** interface, customize how these questions or question groups (under the **Need Answers** tab and **Need Review** tab) are displayed in any of the following ways:

- **Search** – Filters the questions or question groups displayed by keyword; the keyword must be contained in a column value.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- **Filter the column** ( ) – Filters which item in the list is displayed. Hover over a column name, and then select the filter button ( ) of the column you want to filter, then select the checkbox next to the item name to have that item shown in the list.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower-right corner.

Answering Questions

To answer questions, complete the following steps:

1. Under the **Need Answers** tab, select the question that needs to be answered. The **Answer Question** interface appears.
2. Answer each question in the interface. You can add an attachment that helps answer your question or provides more information by selecting **Add File** after each question. You can upload multiple attachments.

   ***Note**: By default, the size of each uploaded file cannot exceed 50 MB.

3. Click **Submit** when you have completed all of the required questions. The status of the question or question group will be changed to **Awaiting Approval**. If you have answered the question and then select **Submit**, you can view the question's history.

   Before you submit your answers, you can temporally save a draft of them. Select **Save** to save you answers. The next time you select the question in the **Answer Question** interface, your previous answers will be available.

   ***Note**: If you select **Save** to save your incomplete answer and the question has assigned to multiple users, you cannot edit your answer or submit your answer the next time you go into

the **Answer Question** interface if the answers were submitted by another user. However, you will see who has answered the question under the **Answered by** column.

4. Select **Cancel** to return to the **My Tasks** interface without saving any changes.

You can view the question or question group's status in the **Status** column under the **Need Answers** tab. If you have submitted your answers, you cannot edit your answers. If the reviewer rejects your answers, the status of the question or question group will be **Rejected and Need Answer**, and you must answer the questions again. After you answer a question, you can select the question and go to the **Answer Question** interface to view the question's history.

Assigning Questions to Other Responders

For a question or question group that has been assigned to you for answer in a project, you can assign it to another user. After the assignee submits the answer, you need to approve or reject the submitted answer. If you approve the submitted answer, the reviewer specified in the project instance can approve or reject the answer. If you reject the submitted answer, the assignee needs to resubmit the answer and wait for your process again.

To assign a question or question group, complete the following steps:

1. Under the **Need Answers** tab, select a question or question group that you want to assign, and click **Assign**. The **Assign** pop-up window appears.
2. Enter a part or full name of an existing system user in the **Assignee** text box, and select a user from the results as the assignee who will answer the question or the questions in the question group.

   ***Note**: Only one assignee is allowed to be entered in the text box, and you cannot assign the question to yourself.

   *Note: After the new responder submits the answer to the question and the submitted answer is rejected by the reviewer, you, as the original assignee who has been designated to answer the question in the project, needs to process the question again. At this time, you can assign the question to yourself if you want to answer the question.

3. Click **Save**. The question or question group is assigned to the new assignee. The status of the question or question group is shown as **Delegated - Awaiting Response**. The current login user can process the question or question group only after the assignee submits the answer.

After you assign the question or question group, the assignee needs to answer it. For detailed information on answering a question or questions in the question group, refer to Answering Questions.

After the assignee submits the answer, the user who assigns the question or question group needs to approve or reject the submitted answer.

To approve or reject the answer, follow the steps below:

1. Under the **Need Answers** tab, the user who assigns the question or question group can view the record of the assigned question or question group, and the status of the question or question group is shown as **Delegated - Awaiting Review**.
2. Select on the question or question in the question group that has been answered by the assigned answerer to open the question or question group. The **Delegated Question** interface appears.
3. Select on the answerer's name link. The **Review Answer** interface appears.
4. Review the answer to the selected question or review the answers to the questions in the selected question group. You can view the attachments uploaded by the answerer. You can view the risk value of a question. For the **Text** type question, the **Privacy Risk** field's default value is the value specified when the question is created, you can view the risk value and edit the risk value of each answer.
5. Optionally, add a comment in the **Comment** text box.
6. Approve or reject the answer by selecting **Approve** or **Reject** on the top of the interface.
    - **Reject** – If **Reject** is selected as the result, the status of the question or question group is shown as **Rejected and Need to Answer**, and the assignee needs to submit the answer again.
    - **Approve** – If **Approve** is selected as the result, you are redirected to the **Delegated Question** interface. The status of the question or question group is shown as **Approved**. You need to select **Submit** to submit the answer to the reviewer specified in the project instance for reviewing.

Reviewing Answers

After the answerers submit the answers, the reviewers designated in the project can review the answers.

To review answers, complete the following steps:

1. Under the **Need Review** tab, select on a question or question in a question group that needs to be approved. The **Review Answer** interface appears.
2. Review the answer to the selected question or review the answers to the questions in the selected question group. You can view the attachments uploaded by the answerer. You can view the risk value of a question. For the **Text** type question, the **Privacy Risk** field's default value is the value specified when the question is created, you can view the risk value and edit the risk value of each answer.
3. Optionally, add a comment in the **Comment** text box. You can also select **Add File** in the **Review** field, and then select a file from the pop-up window to add an attachment for providing more information. You can upload multiple attachments.

   ***Note**: By default, the size of each uploaded file cannot exceed 50 MB.

4. Approve or reject the answers by selecting **Approve** or **Reject** on the top of the interface. The status of the question or question group will be displayed.
5. Select **View History** to view the history of the questions.
6. Select **Cancel** to return to the **My Tasks** interface without saving any changes.

Assigning Answers to Other Reviewers

For a question or question group that has been assigned to you for review in a project, you can assign it to another reviewer. After you assign an answer, the original reviewer can no longer view or manage the question of the answer. Only the new reviewer can approve or reject the answer. If the answer is approved by the new reviewer, the question is completed. If the answer is rejected by the new reviewer, the original responder must answer the question again.

1. Under the **Need Review** tab, select a question or a question group, and click **Assign**. The **Assign** pop-up window appears.
2. Enter a part or full name of an existing system user in the **Assignee** text box, and select a user from the results as the new reviewer.

   ***Note**: Only one assignee is can be chosen, and you cannot assign the answer to yourself.

3. Click **Save**. The answer is assigned to the new reviewer. The question or question group of the assigned answer will be removed from the **Need Review** tab.

Question Bank

Question Bank is used to create or edit questions and create categories for classifying questions. To access the Question Bank:

1. Log into AvePoint Risk Intelligence System.
2. Select **Question Bank** on the main interface or in the top navigation ribbon.

All previously added questions are displayed in the **Question Bank** interface. To change the number of questions displayed per page, select the desired number (**5**, **10**, **15**) from the **Show rows** drop-down menu.

To go to the next page, select the next (**>**) button in the lower-right corner. To return to the previous page, select the previous (**<**) button in the lower-right corner.

To find a desired question, enter a keyword in the search box, and then select the search ( ) button. The matching questions are displayed.

Adding a Category

Categories are used to help organize questions by topic. The AvePoint Risk Intelligence System has several built-in categories with ready-made questions, but you can add categories of your own and add questions to them. To add a category, complete the following steps:

1. Navigate to the **Question Bank**.
2. Select **Add Category** above the table listing the questions. The **Add Category** interface appears.
3. Enter a category name.
4. Select **Save** to save the created category, or select **Cancel** to exit the **Add Category** interface without saving any changes.

Adding a Question

Questions are used to assess how privacy information is collected and used throughout the development process. To add a question, complete the following steps:

1. Navigate to the **Question Bank**.
2. Select **Add Question** above the table listing the questions.
3. The **Add Question** interface appears. Configure the following settings to add a question:
    - **Category** – Select a category for the question. Select **Create New Category** to create a new category for this question. Enter a category name, and select **Save**.
    - **Question Text** – Enter the body of the question.

- **Description** – Enter an optional description for further reference.
- **Policy URL** – Enter an optional link to a website that details the question's related rules.
- **Training Topic** – Select an optional training topic that is used to provide information for answering questions.
- **Question Type** – Select a question type from the drop-down list.
- **Answer Choice** – select one of the following choices from the drop-down list.
    - **Text** – the question can be answered via a text box in which the responder can write an answer.
    - **Multiple Choice (Only One Answer)** — will allow you to configure several possible answers from which the responder will choose one.
    - **Yes/No** – allows a user to choose either Yes or No as a response.
    - **Multiple Choice (Multiple Answers)** – will allow you to configure several possible answers from which the responder can choose more than one.

  If **Multiple Choice (Multiple Answers)** or **Multiple Choice (Only One Answer)** is selected as the question type, the **Answer Choice** field appears. Enter an answer choice in the **Choice** textbox, and enter the corresponding risk values that are used to evaluate the risk condition in the **Risk** textbox. Select **Add**. The choice record is added into the table of the **Answer Choice** field, which will be the question's choice. Select the delete (✕) button to delete a record from the table, select **Add** to add another choice for the question.

- **Privacy Risk** – If **Text** or **Yes/No** is selected as the question type, the **Privacy Risk** field appears.
    - If Text is selected as the question type, you must enter a risk value in the Privacy Risk field. The reviewer can view and edit the risk value. The default value is 0.
    - If Yes/No is selected as the question type, you must enter the risk values for Yes or No. By default, the risk values for Yes and No are 0.
- **Answer Comment** – Select whether or not to allow the answerer to add comment to this question by selecting or deselecting the **Responder may add a comment to this question**. This is optional.

4. Select **Save** to save the question, or select **Cancel** to exit the interface without saving any changes. Select **Preview** to preview the created question.

Editing a Category or Question

To edit a category or a question, complete the following steps:

1. Select on a category or question in the **Question Bank** interface. The **Edit Category** or **Edit Question** interface appears.

2. Edit the settings.
3. Select **Save** to save the changes, select **Save As** to save the category or question to another one, or select **Cancel** to exit the **Edit Category** or **Edit Question** interface without saving any changes.

Deleting Categories and Questions

To delete categories and questions, complete the following steps:

1. Select the categories or questions you want to delete.
2. Select **Delete** to delete the selected categories or questions.
3. A warning message will appear to confirm the deletion. Select **OK** to delete the selected projects, or select **Cancel** to return to the **Question Bank** interface without deleting the selected categories or questions.

Downloading Questions

AvePoint Risk Intelligence System allows you to download the selected questions. To download questions, complete the following steps:

1. Select the questions.
2. Select **Download**. The selected questions are included in a ZIP file named **Question.zip**.
3. Save the ZIP file.
4. Check the questions in the ZIP files. You can edit the downloaded questions, or use the downloaded question as a template for creating new question. Refer to Configuring the Question File for details about configuring the question file.

Uploading Questions

AvePoint Risk Intelligence System allows you to upload the custom questions to **AvePoint Risk Intelligence System** > **Question Bank**. To upload questions, complete the following steps:

1. Select **Upload**. A pop-up window appears.
2. Select the custom ZIP file that contains the custom questions.
3. Select **Open** in the pop-up window. The questions are uploaded to AvePoint Risk Intelligence System.

   If there are some questions whose IDs are same as those of the custom questions that you want to upload, a conflict occurs. A window appears after you select **Open**:

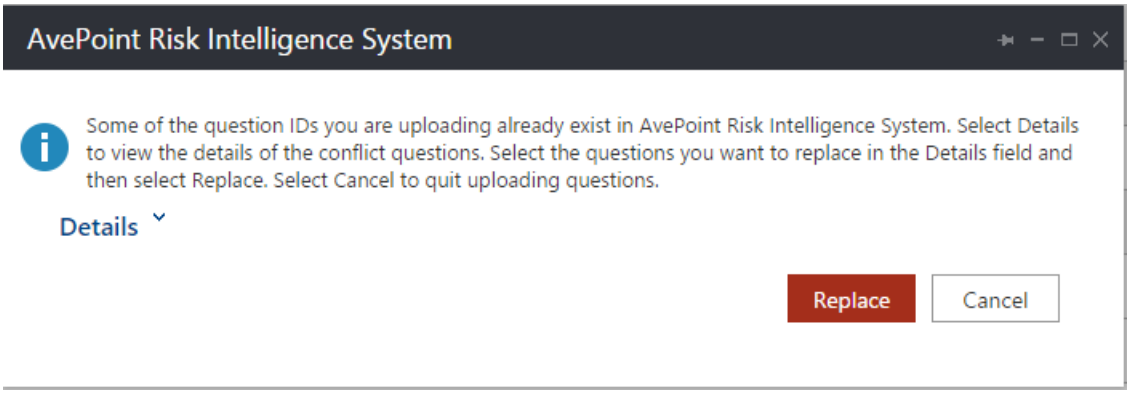

Figure 1: The question conflict window.

Select **Details** in the window to view the detailed conflict questions. Select the checkboxes before the questions, and then select **Replace**. The selected questions will replace the existing ones in AvePoint Risk Intelligence System. Select **Cancel** to quit uploading the questions.

Question Collection

The Question Collection feature collects all questions for a particular reviewer; the collected questions are sent to a reviewer via a review and approve workflow in AvePoint Risk Intelligence System.

Questions can be added to a question collection, or added to a question group and then added to a question collection.

To access the **Question Collection** interface, complete the following steps:

1. Log into AvePoint Risk Intelligence System.
2. Select **Question Collection** on the main interface on in the top navigation ribbon.

In the **Question Collection** interface, you will see a list of previously configured question collections. You can customize how these question collections are displayed in the following ways:

- **Search** – Filters the question collections displayed by the keyword you designate; the keyword must be contained in a column value. At the top of the table displaying the question collections, enter the keyword for the question collections you want to display.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **Question Collection** column to select all of the question collections.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower-right corner.

Adding a Question Collection

To add a question collection, complete the following steps:

1. Navigate to the **Question Collection**.
2. Select **Add Question Collection** above the table listing the question collections. The **Add Question Collection** interface appears.
3. Configure the settings in the **Add Question Collection** interface.
    - **Question Collection Name** – Enter a question collection name.
    - **Description** – Enter an optional description.
    - **Question Order Type** – Select the question order type:
        - Sequential – If you select Sequential, the questions or question groups added in the question collection will be assigned to the responders in the displayed order. Responders will be presented with one question or question group at a time and cannot complete others questions in this question collection until they have completed the previous one.

    - Parallel – If you select Parallel, all of the questions or question groups added in the question collection will be assigned to the responder at the same time.

- **Configure Question Collection** – Configure settings in the **Configure Question Collection** field. Refer to Configuring a Question Collection for details.

4. Select **Save** to save the question collection, or select **Cancel** to exit the **Add Question Collection** interface without saving any changes.

Configuring a Question Collection

You can add question groups and questions to a question collection. The questions can be added to a question group prior to being added to a question collection, or they can be added directly to a question collection.

Refer to the following sections for details.

Adding Question Groups to a Question Collection

To add a question group to a question collection, complete the following steps:

1. Select **Add Group** in the **Configure Question Collection** field. The **Add Group** interface appears.
2. Enter a group name in the **Add Group** interface.
3. Select **Save** to save the created group, or select **Cancel** to exit the window without saving any changes.

Adding Questions

To add questions, complete the following steps:

1. Select **Add Question** in the **Configure Question Collection** field. The **Add Question** interface appears. All of the created questions in Question Bank are displayed in a table of the window. You can select a question to view details about the question.
2. Select your desired questions, or select entire categories by selecting the checkboxes before the questions or categories. You can enter a keyword in the search box and then select the search ( ) button to find the desired question first.
3. Select **Add** on the upper-left corner or from the lower-right corner of the interface to add the selected items directly to the question collection.
4. To add questions to a question group, select a question group in the **Add to group** drop-down list, and select **Add** on the upper-left corner or from the lower-right corner.

All of the added questions and question groups are displayed in the table of the **Configure Question Collection** field. If you have selected **Sequential** as the **Question Order Type**, you can change the order of the question groups and questions in the question collection by selecting the drop-down list in the **Order** column. Then, the questions and question groups will also be displayed based on the order you specified.

Deleting Questions

Select **Delete** to delete the selected questions. If you select a question group and select **Delete**, all of the questions in the question group are deleted.

Editing Question Collections

To edit question collections, complete the following steps:

1. Select on a question collection in the **Question Collection** interface. The **Edit Question Collection** interface appears.
2. Edit the settings.
3. Select **Save** to save the changes, select **Save As** to save the question collection to another one, or select **Cancel** to exit the **Edit Question Collection** interface without saving any changes.

Downloading Question Collections

AvePoint Risk Intelligence System allows you to download selected question collections. To download question collections, complete the following steps:

1. Select the question collections.
2. Select **Download**. The selected question collections are included in a ZIP file named **QuestionCollection.zip**.
3. Save the ZIP file. The question collection files and the related question files are all contained in the downloaded ZIP file. You can also edit the downloaded files, or use the downloaded file as a template for creating new question collection. Refer to Configuring the Question Collection File for details about configuring the question collection files.

Uploading Question Collections

AvePoint Risk Intelligence System allows you to upload the custom question collections to **AvePoint Risk Intelligence System** > **Question Collection**. To upload question collections, complete the following steps:

1. Select **Upload**. A pop-up window appears.
2. Select the custom ZIP file that contains the custom question collections.
3. Select **Open** in the pop-up window. The question collections are uploaded to AvePoint Risk Intelligence System.

   If there are some question collection name or question IDs that are same as those of the custom question collections or questions that you want to upload, a conflict occurs.

A window appears after you select **Open**:

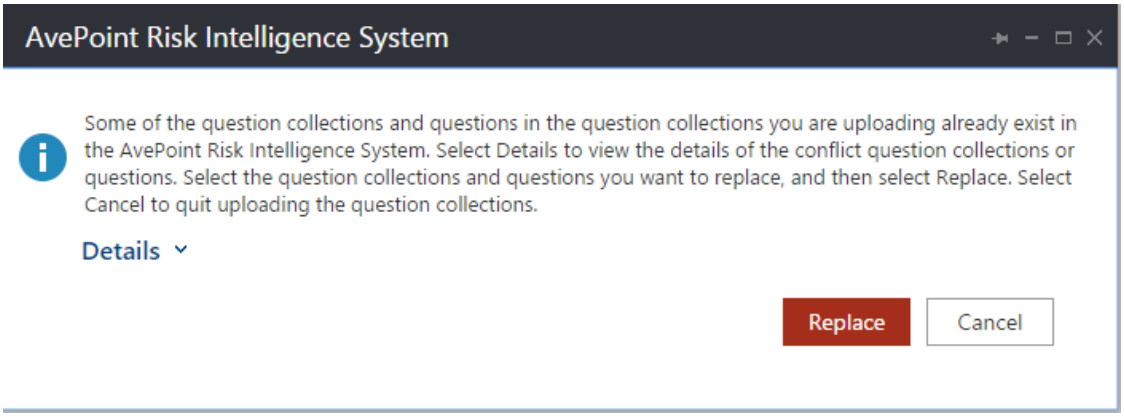

Figure 2: The question collection conflict window.

Select **Details** to view the details about the conflicting question collections or questions.

Select the checkboxes in front of the questions that you want to upload, and then select **Replace**. The selected questions will replace the existing ones or select **Cancel** to quit uploading the question collections or questions.

Project Manager

The **Project Manager** interface allows you to manage all AvePoint Risk Intelligence System projects. A project is a kind of workflow, which defines the reviewer of the answers to the questions, the answerers of the questions as well as the related templates and alerts.

To access the Project Manager, complete the following steps:

1. Log into AvePoint Risk Intelligence System.
2. Select **Project Manager** on the main interface or the top navigation ribbon.

In the **Project Manager** interface, you will see a list of previously configured projects. You can customize how these question collections are displayed in the following ways:

- **Search** – Filters the projects displayed by keyword; the keyword must be contained in a column value.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **Project** column to select all of the projects.
- **Filter the column ( )** – Filters which item in the list is displayed. You can filter whichever item you want, rather than search based on a keyword. Hover over a column name, and then select the filter button ( ) of the column you want to filter, then select the checkbox next to the item name to have that item shown in the list.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower-right corner.

Adding a Project

To add a project, select **Add Project** above the table listing the projects. The **Add Project** interface appears. To add a project, complete the following steps:

1. In the **Project Name** page of the **Add Project** interface, configure the following settings:
   - **Project Name** – Enter a project name.
   - **Description** – Enter an optional description.
   - **Question Collection** – Select a question collection.
   - **Global Reviewer** – Enter reviewers. You can enter one or more users, or AD groups. Any of the entered users can review and approve the answer. The global reviewers can review answers to all of the questions or question groups in this project instance.
2. Select **Next**. The **Assignee** page appears. All of the question groups and questions in the question collection selected in the **Project Name** page are displayed in the **Question** column.

3. Specify the assignees to answer each question or question group by entering their name assignees in the corresponding box. The questions in a question group cannot be assigned individually to different assignees. You can enter one or more users in an **Assignee** field, or you can enter users and AD groups in an **Assignee** field. By default, any entered user or one of the group users can finish answering the question or questions in a question group, the reviewer will review the answers.

4. Enter additional reviewers to review answers to each question or questions in a question group by entering the reviewers after the corresponding question and question group. The questions in a question group cannot be assigned to different reviewers, they can only be assigned to a user together as a question group. You can enter one or multiple users in a **Reviewer** field. By default, any entered user or one of the group users can finish reviewing the answer to the question or answers to the questions in a question group.

   ***Note**: The reviewers entered the **Assignee** page can only review the answers to the questions or question groups that have been assigned to them. The answers to the questions or question groups cannot be reviewed by the global reviewers specified in the **Project Name** page and the reviewers in the **Assignee** page simultaneously. If an answer to the question or question group has been reviewed by a reviewer, other reviewers cannot review the answer again.

   If you selected **Sequential** as the **Question Order Type** in the selected question collection, the questions or question groups will be sequentially assigned to the corresponding assignees according to the order of the questions or question groups. If you selected **Parallel** as the **Question Order Type** in the selected question collection, the questions or question groups have no order, and they will be assigned to the corresponding assignees at the same time.

5. Select **Next**. The **Project Configuration** interface appears. Configure the following settings.

   In the **Project** field:

   - **Enable Recurrence** – Select whether or not to enable the recurrence of this project. If you select **Yes**, configure the following settings:
     - **Start Time** – Specify the project's start time, and then enter a number in the Restart project after _ Years/Months field. The project will restart after the specified time. Specify the number of occurrences in the End by _ occurrences. The project will not restart after the specified occurrences. If a -1 appears in this field, the occurrences are unlimited.
   - **Expiration Time** – Enter a number, and then select **Days** or **Months**. The project will expire after the specified number of days or months. If a **-1** appears in this field, the number of allowed occurrences is unlimited.
   - **Risk Level** – Enter the risk values to define the section of **Pass**, **Warn** and **Fail**. If the total risk values of the assignees' answers is in the **Pass** section, the final risk level of the project is **Pass**; if the total risk values of the assignees' answers is in the **Warn** section, the final risk level of the project is **Warn**; if the total risk values of the assignees' answers is in the **Fail** section, the final risk of the project is **Fail**. For example: you specify **10** and **20** as the risk values to divide the **Pass**, **Warn** and **Fail** sections. If the total risk

values of the assignee's answers is 15, the final risk level of the project is **Warn**. You can view the risk level and the total risk values of a project in the Project Monitor.

In the **Task Alert** field:

- **Enable Task Alert** – Select whether or not to enable the task alert. If you select **Yes**, configure the following settings:
  - **E-mail Template** – Select an e-mail template for the reviewer, and then select an e-mail template for the assignee.
  - **Frequency** – Repeat the alert at a set frequency. Enter a positive integer into the text box and select **Days** or **Month** from the drop-down menu.
  - **End Time** – Select an option:
    - **End only when questions are answered or reviewed** – Select the radio button. The alert will end after the questions are answered or the answers are reviewed.
    - **End after _ alerts** – Select the radio button, and specify a positive integer. The alert will end after the specified number of alerts.

In the **Project Alert** field:

- **Enable Project Alert** – Select whether or not to enable the project expire alert. If **Yes** is selected, configure the following settings:
  - **E-mail Template** – Select an e-mail template.
  - **Alert at Expiration** – Specify the users who will receive the alert when the project is expired.
    - **Alert me** – Select the option. The alert will send to the project creator.
    - **Alert specified users** – Select the option, and then specify the users who will receive the alert.

6. Select **Save** to save the project, select **Save and Start Now** to start the project immediately, or select **Cancel** to return to the **Project Manager** interface without saving any changes.

Editing a Project

To edit a project, complete the following steps:

1. Select on a project in the **Project Manager** interface. The **Edit Project** interface appears.
2. Edit the settings according to your own requirement.
3. Select **Save** to save the changes, select **Save and Start Now** to start the project immediately, select **Save As** to save the project as a new project, or select **Cancel** to exit the **Edit Project** interface without saving any changes.

Starting a Project

To start a project, complete the following steps:

1. Navigate to the **Project Manager** page.
2. Select a project.
3. Select **Start** above the table listing all of the projects to start a project immediately.

Deleting Projects

To delete projects, complete the following steps:

1. Select the projects that you want to delete.
2. Select **Delete** to delete the selected projects. A warning message will appear to confirm the deletion.
3. Select **OK** to delete the selected projects, or select **Cancel** to return to the **Project Manager** interface without deleting the selected projects.

Exporting Projects

Select **Export** above the table listing the project instances, and then save the report. The report will be exported as an Excel file. You can view Project Name, Description, Question Collection, and Last Modified Time of all project instances in the system. If you have selected a specific project instance, and then select **Export**, the information about this specific project instance will be exported.

Project Monitor

Project Monitor allows you to view the status or details of project instances run in a specific date range, and manage the project instances all from a central interface. Select **Project Monitor** in the **Project Manager** interface to access the **Project Monitor** interface.

All of the project instances are listed in the **Project Monitor** interface. You can view the Project Name, Start Time, Finish Time, Status and Risk Level of a project instance.

You can also filter the project instances by date range. Select a provided date range or customize a date range. Project instances that are started within the date range will be displayed. To customize a date range, click **Customize**, select a **start date** and **end date**, and click **OK**.

Stopping a Project Instance

Select an In Progress project instance, and then select **Stop** to stop the project instance.

Viewing Details about a Project Instance

Select a project instance, and then select **View Details** to view the details about a project instance.

Deleting Project Instances

To delete project instances, complete the following steps:

1. Select the project instances that you want to delete.
2. Select **Delete** to delete the selected project instances. A warning message will appear to confirm the deletion.
3. Select **OK** to delete the selected projects, or select **Cancel** without deleting the selected project instances.

Exporting Project Instances

Select **Export** above the table listing the project instances, and then save the report. The report will be exported as an Excel file. You can view Project Name, Start Time, Finish Time, Progress, Status, and Risk Level of all project instances in the system. After selecting a date range, all project instances that are started within the date range will be displayed. Select **Export**, the information on the currently filtered project instances will be exported.

Report Manager

Report Manager generates data from a completed project instance in a report and allows users to customize the report document.

To access the Report Manager, complete the following steps:

1. Log into AvePoint Risk Intelligence System.
2. Select **Report Manager** on the main interface or the top navigation ribbon.

In the **Report Manager** interface, you will see a list of previously configured reports. Customize how these reports are displayed in any of the following ways:

- **Search** – Filters the reports displayed by the keyword you designate; the keyword must be contained in a column value. At the top of the table displaying the reports, enter the keyword for the reports you want to display.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **Report** column to select all of the projects.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower-right corner.

Adding a Report

To add a report, select **Add Report** above the table listing the reports. The **Add Report** interface appears. To add a report, complete the following steps:

1. In the **Report Name and Project Selection** page of the **Add Report** interface, configure the following settings:
   - **Report Name** – Enter a report name.
   - **Description** – Enter an optional description.
   - **Project** – Select a project from the drop-down list.
   - **Project Instance** – Select a project instance from the drop-down list. All of the project's completed project instances are listed here.
2. Select **Next**, the **Add Questions** page appears.
3. Select the questions or question groups that will be included in the report by selecting the checkboxes in front of the questions. Answers of all the assigned users and users in the assigned AD groups will be included in the report.
4. Select **Next**. The **Report Configuration** page appears.

5. Configure the following settings:
    - **Header** – Select whether or not to insert the header image or header message that will be displayed at the header of the report. Select **Browse**, and then select a header image. Enter the header message in the **Header message** text box.
    - **Footer** – Select whether or not to insert the footer image or header message that will be displayed at the footer of the report. Select **Browse**, and then select a footer image. Enter the footer message in the **Footer message** text box.

    In the **Cover Page** section, configure the following settings in the report's cover page:

    - **System Information** – Specify the system information, the system information will be displayed in the report's cover page.
        - **Company or Agency Name** – Enter the name of the company or agency.
        - **System Name** – Provide the full name of the system for which this privacy impact assessment is being completed.
        - **System Acronym** – Provide the system acronym for which this privacy impact assessment is being completed.
        - **System Owner** – Provide the name of the client Division or Office.
    - **Insert Logo** – Insert the logo for the report.

    In the **Thank You Page section**, configure the following settings in the report's cover page:

    - **Signature** – Select whether or not to insert a place where the user can sign in the report.
    - **Thank You Message** – Enter the Thank You Message which will be displayed in the report's Thank You Page.

    In the **Advance** section, configure the following settings:

    - **History Information** – Select the **Include the change history information for all questions** option to export the history information in the report.
    - **Attachment** – Select the **Export all documents attached in the project** option to export all attachments in the report.
6. Select **Save** to save the report, or select **Cancel** to return to the **Report Manager** interface without saving any changes.

Editing a Report

To edit a report, complete the following steps:

1. Select on a report in the **Report Manager** interface. The **Edit Report** interface appears.
2. Edit the settings as needed.

3. Select **Save** to save the changes, select **Save As** to save the report to another one, or select **Cancel** to exit the **Edit Report** interface without saving any changes.

Exporting a Report

Select a report, select **Export** above the table listing the reports, and then save the report. The report will be exported. The questions, answers, and the display names of the answerers are included in the report for review. If a question or question group has ever been assigned to another user during a project process, an item recording the original answerer will be included in the report.

If you have selected the **Include the change history information for all questions** and **Export all documents attached in the project** options when you add the report, the change history information is displayed in the exported report, and the attachments are also exported.

Deleting Reports

To delete reports, complete the following steps:

1. Select the reports that you want to delete.
2. Select **Delete**. A warning message will appear to confirm the deletion.
3. Select **OK** to delete the selected reports, or select **Cancel** to return to the **Report Manager** interface without deleting the selected reports.

Settings

The **Settings** page allows you to customize configurations that effect the AvePoint Risk Intelligence System as a whole, or configure settings that may be relevant to certain features. The **Settings** page provides access to, System Security Settings, Account Management, and Application Settings.

To open the **Settings** page, select **Settings** on the top of the interface.

System Security Settings

The **System Security Settings** page is used to configure how long a user can be inactive before being automatically logged off. To configure this option, follow the steps below:

1. Navigate to **System Settings** > **System Security Settings**. The **System Security Settings** interface will appear.
2. Enter a number into the **Logon will expire in:** text box, and then select either **Minutes** or **Hours** in the drop-down menu.
3. Select **Save** to save the settings.

Account Management

The **Account Management** page includes settings for Group Management and User Management. Refer to the following sections for details.

Group Management

Group Management allows you to apply or change the same permission levels for all users within the a user group. You can also change the permission levels of a user by changing the group where the user resides.

To access **Group Management**, complete the following steps:

1. Navigate to **AvePoint Risk Intelligence System** > **Settings**. The **Settings** interface appears.
2. Select **Group Management** under the **Account Management** heading of the **Settings** interface.
3. In the **Group Management** interface, you will see a list of previously configured user groups. The **Administrators** group comes pre-configured and users of this group have Full Control permissions for all modules.

   You can customize how these user groups are displayed in the following ways:

   - **Search** – Filters the Active Directories displayed by keyword; the keyword must be contained in a column value.

- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **Group Name** column to select all of the user groups.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower right corner.

Adding or Editing Groups

To add a new group to AvePoint Risk Intelligence System, complete the following steps:

1. Select **Add Group** in the **Groups** page, and the **Add Group** interface appears. To modify a previously configured group, select the group, and the **Edit Group** interface appears.
2. In the **Add Group** or **Edit Group** interface, configure the following settings:
    - **Group Name** – Enter a group name.
    - **Description** – Enter an optional **Description**.
    - **Permissions** – Select any of the permissions for the group:
        - **Question Definition** – Gives users in the group access to use Question Bank and Question Collection in AvePoint Risk Intelligence System.
        - **Project Manager** – Gives users in the group access to use Project Manager in AvePoint Risk Intelligence System.
        - **Answer Question** – Enables users in the group to answer questions. The users can view the Need Answers tab of the My Tasks interface.
        - **Delegate Question** – Enables users in the group to delegate the assigned questions to other responders. The users can view the Assign button in the Need Answers tab of the My Tasks interface.
        - **Review Answer** – Enables users in the group to review answers. The group user can view the Need Review tab of the My Tasks interface.
        - **Delegate Answer** – Enables users in the group to delegate the submitted answers to other reviewers. The users can view the Assign button in the Need Review tab of the My Tasks interface.
        - **Report Manager** – Gives users in the group access to use Report Manager in AvePoint Risk Intelligence System.
        - **Settings** – Enables users in the group to configure settings in AvePoint Risk Intelligence System.
3. Select **Save** to save the changes, or select **Cancel** to return to the **Groups** interface without any changes. If you are editing a group, select the **Save As** button to save the group as a new one.

Viewing Users

To view users in a group, complete the following steps:

1. Select a group, and then select **Show Users**.
2. All of the existing users in the group are listed in the interface. You can select **Add User to Group** to add other users to the selected group. Select the users, and then select **Remove User from Group** to remove the users from the selected group. Every user must belong to at least one group.

Deleting Groups

To delete groups, complete the following steps:

1. Select the groups that you want to delete.
2. Select **Delete**.
3. A warning message will appear to confirm the deletion. Select **OK** to delete the selected groups, or select **Cancel** to return to the **Groups** interface without deleting the selected groups. If the selected group contains some users, the group cannot be deleted.

User Management

To access **User Management**, complete the following steps:

1. Navigate to **AvePoint Risk Intelligence System** > **Settings**. The **Settings** interface appears.
2. Select **User Management** under the **Account Manager** heading of the **Settings** interface.

From the **User Management** page, you can customize how these users are displayed in any of the following ways:

- **Search** – Filters the Active Directories displayed by keyword; the keyword must be contained in a column value.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **Username** column to select all of the users.
- **Filter the column** ( ) – Filters which item in the list is displayed. You can filter the item you want, rather than search based on a keyword. Hover over a column name, and then select the filter button ( ) of the column you want to filter, then select the checkbox next to the item name to have that item shown in the list.
- To go to the next page, select the next (**>**) button at the lower right corner. To return to the previous page, select the previous (**<**) button at the lower-right corner.

Adding or Editing Users

To add a new user to AvePoint Risk Intelligence System, complete the following steps:

1. Select **Add User** in the **Users** page, and the **Add User** interface appears. To modify a user, select on the user, and the **Edit User** interface appears.
2. In the **Add User** or **Edit User** interface, select a **User Type** to configure the method for authentication:
    - **Local User** – Select **Local User** in the **User Type** section to manually enter the authentication credentials for this user. Configure the following settings to add a local user:
        - **Username** – Enter the Username.
        - **E-mail** – Enter the e-mail address of the user.
        - **Description** – Enter an optional description.
        - **Password** – Enter the user's password.
        - **Confirm Password** – Re-enter the user's password.
        - **Add to Group** – Set the permissions for this user by adding the user to a previously configured AvePoint Risk Intelligence System group.
3. Select **Save** to save the changes, or select **Cancel** to return to the **Users** interface without any changes.

Deleting Users

To delete users, complete the following steps:

1. Select the users you want to delete.
2. Select **Delete**.
3. A warning message will appear to confirm the deletion. Select **OK** to delete the selected user, or select **Cancel** to return to the **Users** interface without deleting the selected user.

Application Settings

Application Settings includes settings for **Outgoing E-mail Settings** and **E-mail Template**. For more information, refer to the following sections.

Configuring Outgoing E-mail Settings

To access **Outgoing E-mail Settings** for AvePoint Risk Intelligence System, in the **Settings** interface, select **Outgoing E-mail Settings** under the **Application Settings** heading. The outgoing e-mail server must be configured for the AvePoint Risk Intelligence System to send out e-mail notifications.

To configure the outgoing e-mail settings, complete the following steps:

1. Configure the following settings:
    - **Outgoing E-mail Server (SMTP)** – Enter the address of the outgoing e-mail server.

- **Port** – Enter the SMTP port. The default SMTP port is 25. For SSL authentication, the default port is 587.
- **Sender** – Enter the e-mail address where all AvePoint Risk Intelligence System e-mails are sent.
- **Username on SMTP** – Enter the sender's username on the SMTP server. If you do not enter the sender's username, the outgoing e-mail will be sent anonymously.
- **Password on SMTP** – Enter the sender's password to log onto the SMTP server, if you entered a **Username on SMTP**.
- **SSL authentication** – Configure this option according to your E-mail settings. If you select this option, the **Username on SMTP** and **Password on SMTP** must be configured.

2. Select **Save** to save your configurations, or select **Cancel** to exit the interface.

Configuring E-mail Template Settings

The E-mail Template allows you to customize notification e-mails sent by the AvePoint Risk Intelligence System, such as when notifying the assignee to answer questions or when notifying reviewer to reviewing answers.

To access E-mail Template in the **Settings** interface, select **E-mail Template** under the **Application Settings** heading.

You can customize how these e-mail templates are displayed in the following ways:

- **Search** – Filters the e-mail template displayed by keyword; the keyword must be contained in a column value.
- **Sort** – Select the ascending ( ) button or descending ( ) button to sort the column values in an ascending order or descending order.
- Select the select all ( ) button before the **E-mail Template Name** column to select all of the templates.
- **Filter the column** ( ) – Filters which item in the list is displayed. You can filter whichever item you want, rather than search based on a keyword. Hover over a column name, and then select the filter button ( ) of the column you want to filter, then select the checkbox next to the item name to have that item shown in the list.
- To go to the next page, select the next (**>**) button in the lower right corner. To return to the previous page, select the previous (**<**) button in the lower-right corner.

Adding or Editing E-mail Templates

To add a new e-mail template to AvePoint Risk Intelligence System, complete the following steps:

1. Select **Add E-mail Template** in the **E-mail Template Settings** interface, and the **Add E-mail Template** interface appears. To modify a previously configured e-mail template, select on the e-mail template, and the **Edit E-mail Template** interface appears.

2. In the **Add E-mail Template** or **Edit E-mail Template** interface, configure the following settings.

   In the **General Settings** field:

   - **E-mail Template Name** – Enter a name the for e-mail template.
   - **Description** – Enter an optional description for the e-mail template.
   - **E-mail Template Type** – Select an e-mail template type from the drop-down menu to designate when the e-mail template can be used in AvePoint Risk Intelligence System.
   - **Subject** – Enter a subject name of the e-mail notification for the e-mail template. You can insert reference in the **Subject** by selecting the **Insert Reference** hyperlink. A Reference is a parameter that will call up the corresponding bit of information for which it is named specific to each individual service request.

   In the **Message Body** field:

   Under the **Basic Mode** tab, enter the content of the message body of the e-mail notification for the e-mail template. You can insert reference in the message body by selecting the **Insert Reference** hyperlink. A reference is a parameter that will call up the corresponding bit of information for which it is named specific to each individual service request.

   Under the **Text Mode** tab, the message body of the e-mail notification for the e-mail template is displayed in the HTML format. Customize the body by editing or inserting the attributes. You can customize to insert an image, table, etc. You can also insert reference in the message body by selecting the **Insert Reference** hyperlink. A reference is a parameter that will call up the corresponding bit of information for which it is named specific to each individual service request.

3. Select **Save** to saving the settings, or select **Cancel** to exit the interface without saving any changes. If you are editing an e-mail template, select the **Save As** button to save the e-mail template as another one.

Deleting E-mail Templates

To delete e-mail templates, complete the following steps:

1. Select the e-mail templates you want to delete.
2. Select **Delete**. A warning message appears, asking you to confirm the deletion.
3. Select **OK** to delete the selected e-mail templates, or select **Cancel** to return to the **E-mail Template Settings** interface without deleting the selected e-mail templates.

Appendix A: Configuring the Question File and Question Collection File

AvePoint Risk Intelligence System allows you to customize your own questions and question collections out of AvePoint Risk Intelligence System by configuring the question file and question collection file.

Configuring the Question File

To configure the question file, complete the following steps:

1. Get a question file template, you can download a question from AvePoint Risk Intelligence System as the template.
2. Open the .xml file (question file) with Notepad.
3. Configuring attributes in the question file. For detailed information on configuring the attributes, refer to Configuring Attributes for the Question File.
4. Save the changes.
5. You can configure multiple question collection files, and zip the configured files to a ZIP file. Then, upload the file to AvePoint Risk Intelligence System. All of the custom questions will be uploaded to AvePoint Risk Intelligence System.

Configuring Attributes for the Question File

Refer to the following question file example:

```
<!--Copyright 2016 AvePoint All Rights Reserved.-->

<QDF>

  <Category>Access to the Data</Category>

  <Id>29d03924-343e-4bb8-9576-28f47834d37b</Id>

  <Name>Are the criteria, procedures, controls and responsibilities
regarding access documented?</Name>

  <Description>

  </Description>

  <PolicyURL>

  </PolicyURL>

  <TrainingTopic>
```

```
  </TrainingTopic>

  <Type>1</Type>

  <!--Text = 1, Multiple Choice (Only One Answer) = 2, Yes/No = 3,
Multiple Choice (Multiple Answers) = 4-->

  <AnswerChoice />

  <!--If the value of the Type is 2 or 4, you must enter a value for
the AnswerChoice node.-->

  <TextRisk Risk="0" />

  <YesNoRisk Yes="0" No="0" />

  <NeedComment>no</NeedComment>

</QDF>
```

Refer to the following section for configuring a question file's attributes:

- **Category** – Enter the value for this attribute to indicate a category for this question. You can enter a category name that already exists in AvePoint Risk Intelligence System, or enter a new name. If you enter a new category name, the category will be created after you upload the question to AvePoint Risk Intelligence System.
- **Id** – Enter the value for this attribute to indicate the ID for this question. If you enter a question ID that has already existed in AvePoint Risk Intelligence System, after you select **Upload** to upload the question to AvePoint Risk Intelligence System, a conflict is judged. Refer to related information in Uploading Questions.
- **Name** – Enter the value for this attribute to indicate the question text for this question.
- **Description** – Enter an optional value for this attribute to indicate the description for this question.
- **PolicyURL** – Enter a URL as the value for this attribute. The URL links to a website that introduces the question's related rules. This step is optional.
- **TrainingTopic** – Enter a value for this attribute. The training topic is used to provide information for answering questions. This step is optional.
- **Type** – Enter a value for this attribute to indicate the type of the question. You can enter **1**, **2**, **3,** or **4** as the value.
    - 1 – Represents the Text type question.
    - 2 – Represents the Multiple Choice (Only One Answer) type question.
    - 3 – Represents the Yes/No type question.
    - 4 – Represents the Multiple Choice (Multiple Answers) type question.

- **AnswerChoice** – This attribute will only appear if you enter **2** or **4** as the value of **Type**. Enter the **Value** for this attribute, which is the answer choices of the question. Then, enter a **Risk** value for each answer choice.
- **TextRisk** – If the question type is **Text**, enter a number as the value of the attribute, which is the risk value of the **Text** type question.
- **YesNoRisk** – If the question type is **Yes/No**, enter the risk value for the **Yes** and **No** answers.
- **NeedComment** – Enter **Yes** or **No** as the value of the attribute. **Yes** means the answerer can add a comment to this question. **No** means the answerer is not allowed to add a comment to this question.

Configuring the Question Collection File

To configure the question collection file, complete the following steps:

1. Download a question collection from AvePoint Risk Intelligence System to use as a template.
2. Open the .xml file (question collection file) with Notepad.
3. Configuring attributes in the question collection file. For detailed information on configuring the attributes, refer to Configuring Attributes for the Question Collection File.
4. Save your changes.
5. Configure the file of the custom questions that are included in the question collection.
6. Compress the configured question collection files and question files to a ZIP file.

   If the questions in the question collection already exist in AvePoint Risk Intelligence System, and you do not want to update them, they can be not included in the ZIP file.

Configuring Attributes for the Question Collection File

Refer to the following question collection file example:

```
<QCF>

  <Name>alert coll</Name>

  <Description>

  </Description>

  <Type> 0 </Type>

    <!--0 = Sequential, 1 = Parallel-->

  <QDFs>

    <RunAsQuestionGroup GroupName="alert coll">
```

```
      <DoRunQDF QID="8ff1badb-c3ef-430c-86bf-76ce53d5dc95" />
      <DoRunQDF QID="582cc1fd-ffe1-4ebf-a043-1e5244639bc8" />
    </RunAsQuestionGroup>
    <DoRunQDF QID="f0b58c9c-71c8-417b-8241-c105e9201fe5" />
    <RunAsQuestionGroup GroupName="alert 2">
      <DoRunQDF QID="471d6284-5457-442d-abd0-1c9086550b94" />
    </RunAsQuestionGroup>
  </QDFs>
</QCF>
```

Refer to the following section for configuring a question collection file's attributes:

QCF field:

- **Name** – Enter the value for this attribute to define the question collection name. If you enter a name that already exists in AvePoint Risk Intelligence System, after you select **Upload** to upload the question collection to AvePoint Risk Intelligence System, a conflict occurs. For more information, refer to Uploading Question Collections.
- **Description** – Enter an optional value for this attribute to define the description for this question.
- **Type** – Enter a value for this attribute to indicate the question order type. You can enter **0** or **1** as the value.
  - 0 – Represents the Sequential type.
  - 1 – Represents the Parallel type.

QDFs field:

- **RunAsQuestionGroup** – The questions are added to a question group if this attribute is configured.
  - **GroupName** – Enter the value of this attribute to define the group name in the question collection.
  - **DoRunQDF** – Enter a question ID. The corresponding question is contained in the question group.
- **DoRunQDF** – Enter a question ID. The corresponding question is added into the question collection directly.

***Note**: At least one node must be configured in the QDFs field. If you select **0** as the value of **Type** in the QCF field, the questions or question groups in the question collection are displayed in order in the XML

file. In the above example, the question group **alert coll**'s order is 1, the order of the question with the ID of **f0b58c9c-71c8-417b-8241-c105e9201fe5** is 2, and the question group **alert 2**'s order is 3.

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