Risk Register Module

Baseline Configuration Guide

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Contents

About Rsam Baseline Configuration Guides

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

Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam Risk Register module. The baseline configurations for the Risk Register module allow your users to manage risks in a centralized repository. The pre-configured activities help streamline your risk management cycle by leveraging a central repository, with the ability to track risks by object and auto calculate risk scores, and a baseline workflow that will allow you to propose acceptance of risk, create a remediation plan or compensate controls for each risk.

The following is a list of elements that have been configured in the Risk Register module:

- Structure

- Home Page Tabs

- Risk Register Workflow

- Importing Data

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

Risk Register Structure

All risks in the Risk Register module are stored in the object type *Library for Global Records*.
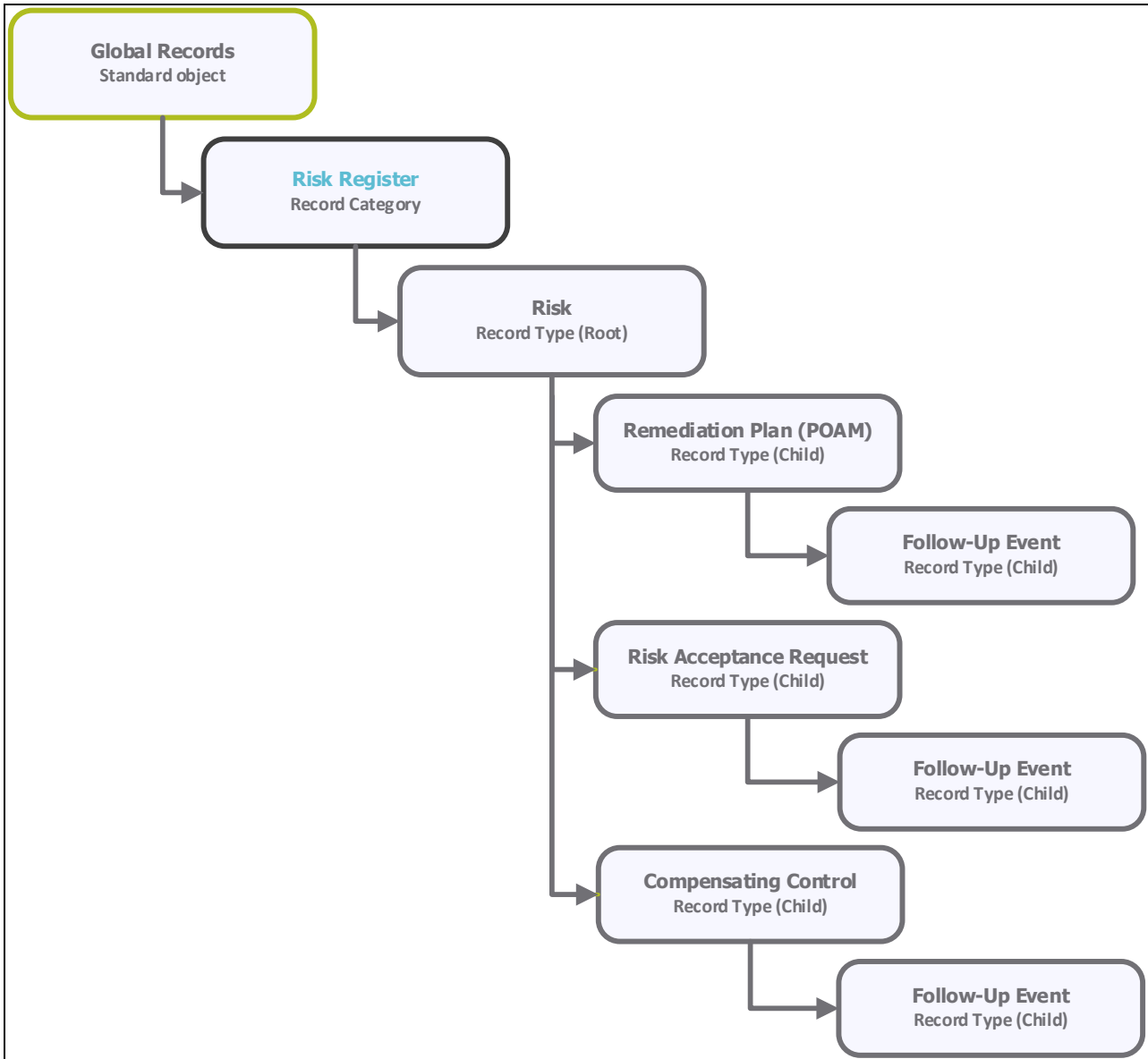
Object Types

The following object type has been pre-configured in this module:

Object Type	Usage
Library for Global Records	A standard library object under which all the risk records that are not specific to an individual asset (object) are stored.

Record Types

The following is a list of record types that have been pre-configured in this module:

Record Type	Usage
RR: Risk	This is a root level record that contains all risk related information. This record can have multiple child records.
RM: Remediation Plan (POAM)	This child record type allows a user to create a remediation plan to mitigate or resolve a risk.
RM: Risk Acceptance Request	This child record type allows a user to document the risk acceptance request.
RM: Compensating Control	This child record allows a user to attach a compensating control to mitigate or resolve a risk.
FE: Follow-up Event	This child record allows a user to follow up on the progress made in remediating or resolving a risk.

Home Page Tabs

The Baseline Configuration of the Risk Register module contains several Home Page tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. All home pages can be accessed from the **Risk Register** grouping tab on the left navigation pane.

Home Page Tab	Description
RRB: Activities	Provides access to all the task-based activity center tiles for the Risk Register module. Users can navigate to tasks from the relevant tiles.
RRB: Dashboards	Provides access to all the activity center tiles containing chart widgets for the Risk Register module.
RRB: Shortcuts	Provides quick access to the links to various record categories for the Risk Register module.
RR: Risk Navigator	A record navigator that allows the users to view risks grouped by various attributes, such as workflow state, status, owner, severity, and so on.

Risk Register Workflow

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

Workflow Diagram

Before proceeding to the workflow, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.
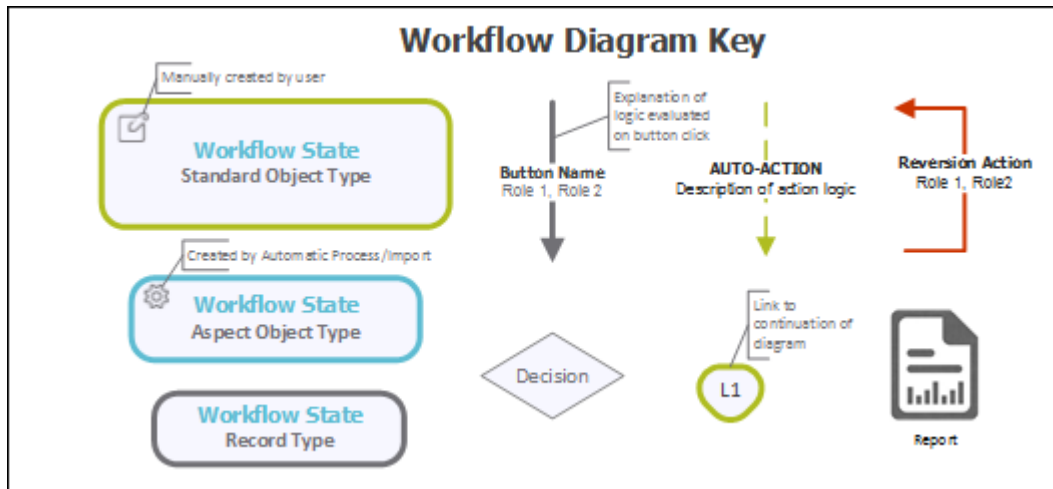
The following diagram depicts the baseline workflow of the Risk Register module.
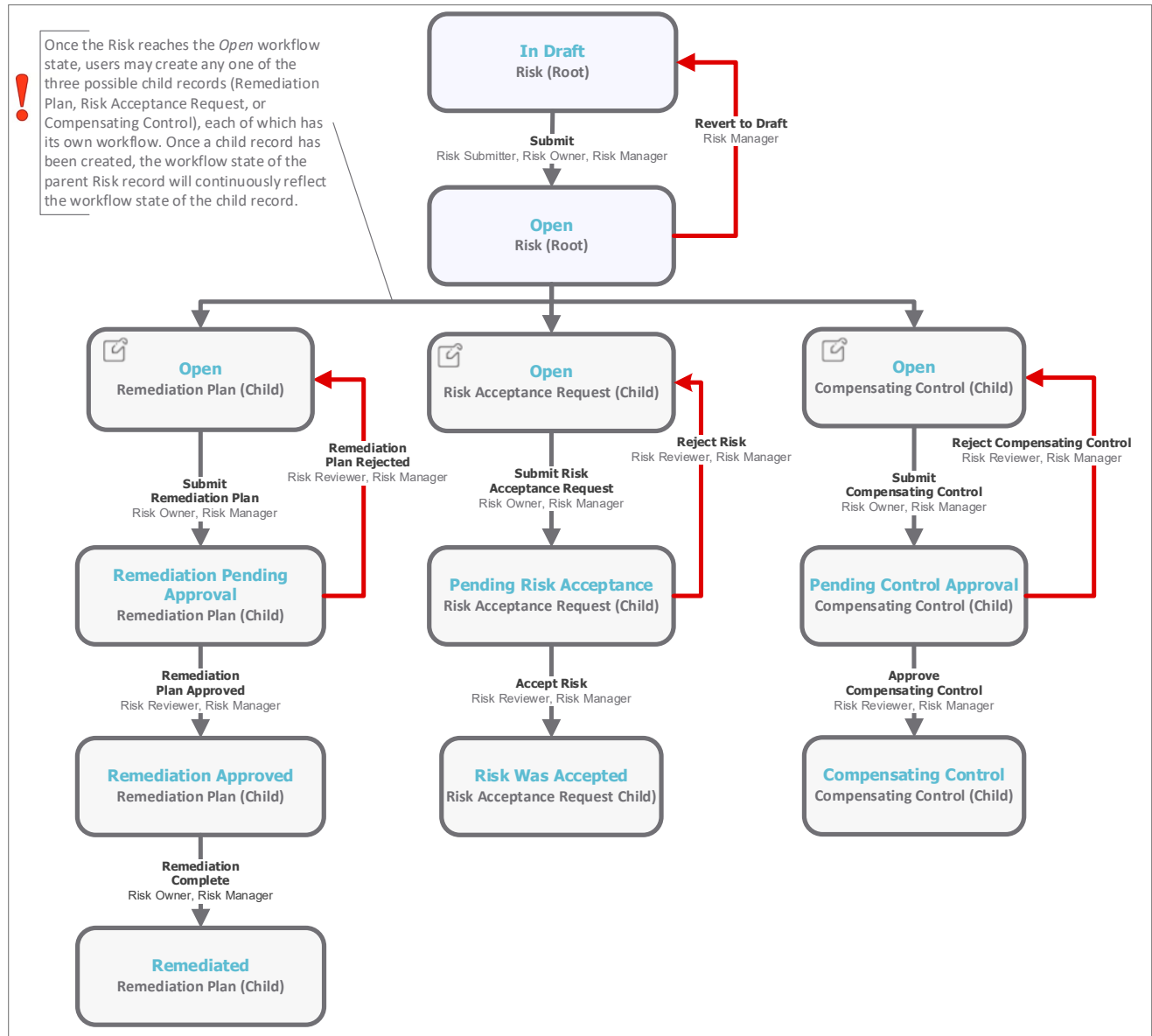
Workflow States

The following is a list of states associated with the baseline Risk Register workflow.

Workflow State	Description
GEN: Finding Draft	A risk that is created manually enters this state. A user can create as many risk records as needed, without submitting them.
GEN: Finding Open	A risk enters this state when a risk submitter has successfully submitted the risk record. A risk in this state signifies that no action has been taken yet. In this state, a risk owner can create a Remediation Plan, Compensating Control, or Risk Acceptance child record.

Workflow State	Description
RM: Remediation Pending Approval	A risk enters this state when a risk owner has created and submitted a Remediation Plan child record for approval. In this state, a risk manager or reviewer approves the remediation plan.
RM: Pending Risk Acceptance	A risk record workflow enters this state when a risk owner has created and submitted a Risk Acceptance Request child record for approval. In this state, a risk manager or reviewer confirms and accepts the risk.
RM: Pending Control Approval	A risk record workflow enters this state when a risk owner has created and submitted a Compensating Control child record for approval. From within the Compensating Control child record, a risk manager or reviewer confirms and approves the compensating control.
RM: Risk was Accepted	A risk record workflow enters this state when a risk manager or reviewer has successfully accepted the risk in the **Pending Risk Acceptance** state of a Risk Acceptance child record.
RM: Compensating Control	A risk record workflow enters this state when a risk manager or reviewer has successfully approved the proposed compensating control in the **Pending Control Approval** state of a Compensating Control child record.
RM: Remediation Approved	A risk record workflow enters this state when a risk manager or reviewer has successfully approved the proposed remediation plan in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record.
RM: Remediated	A risk record workflow enters this state when a risk owner marks the remediation plan as complete in the **Remediation Approved** state of a Remediation Plan (POAM) child record.

Workflow Roles

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

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

Role	User ID	Description
RR: Risk Submitter	N/A	This role is assigned to a user who creates and submits risks. This role allows a user to modify only the self-submitted risks.
RR: Risk Owner	r_risk_owner	This role is assigned to a user that has the responsibility to resolve risks and therefore has the modify-level access to the risk register including child records. A user with this role can create and submit risk acceptance request, remediation plan, and compensating control.
RR: Risk Reviewer	r_risk_reviewer	This role is assigned to a user that has the responsibility to approve or reject a risk, remediation plan, or compensating control. This role has read-only access to the risk register.

Role	User ID	Description
RR: Risk Manager	r_risk_manager	This role is assigned to a user that needs to manage risks in all the phases of risk management and therefore has the full set of permissions to the entire risk register including child records.

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

Workflow Buttons

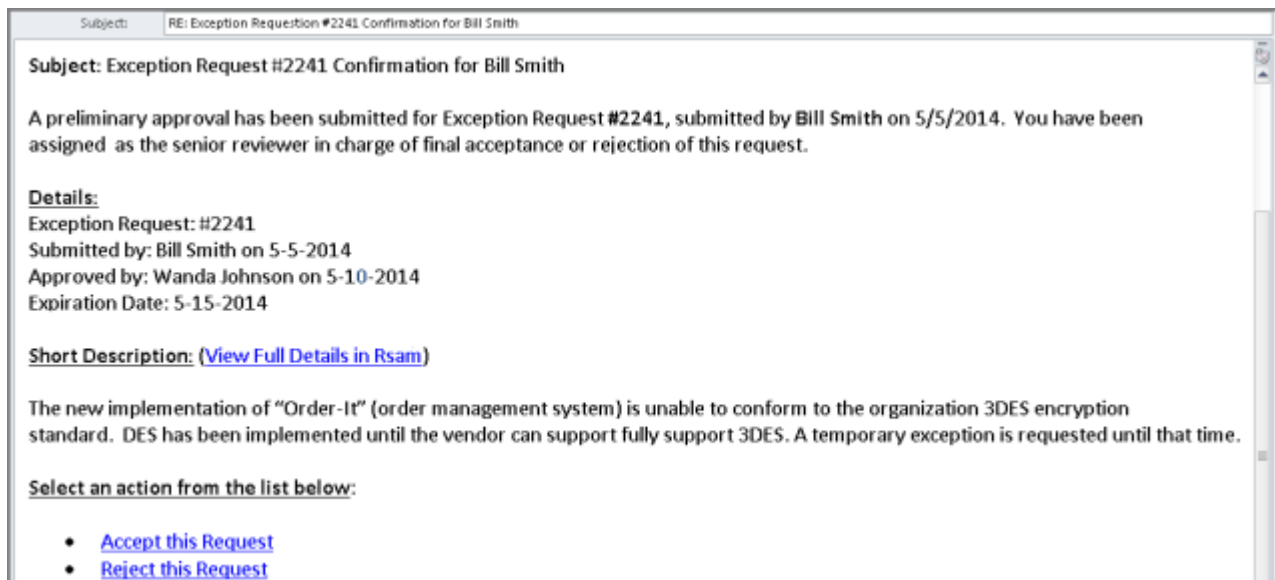The following is a list of buttons that are available in the various states of the baseline Risk Register workflow.

Button	Available to	Notification	Description
RM: Submit Remediation Plan	Risk Owner and Risk Manager	No	Available in the Open state when creating a Remediation Plan (POAM) child record. Clicking this button moves the parent and child record workflow to the **Remediation Pending Approval** state.
RM: Remediation Plan Approved	Risk Reviewer and Risk Manager	No	Available in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record to approve a remediation plan. Clicking this button moves the parent and child record workflow to the **Remediation Approved** state.
RM: Remediation Plan Rejected	Risk Reviewer and Risk Manager	No	Available in the **Remediation Pending Approval** state of a Remediation Plan (POAM) child record to reject a remediation plan. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Remediation Complete	Risk Owner and Risk Manager	No	Available in the **Remediation Approved** state of a Remediation Plan (POAM) child record to mark the risk as remediation completed. Clicking this button moves the parent and child record workflow to the **Remediated** state.
RM: Submit Risk Acceptance Request	Risk Owner and Risk Manager	No	Available in the **Open** state when creating a Risk Acceptance Request child record. Clicking this button moves the parent and child record workflow to the **Pending Risk Acceptance** state.
RM: Accept Risk	Risk Reviewer and Risk Manager	No	Available in the **Pending Acceptance Request** state of a Risk Acceptance Request child record to approve the risk. Clicking this button moves the parent and child record workflow to the **Risk was Accepted** state.

Button	Available to	Notification	Description
RM: Reject Risk	Risk Reviewer and Risk Manager	No	Available in the **Pending Acceptance Request** state of a Risk Acceptance Request child record to reject the risk. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Submit Compensating Control	Risk Owner and Risk Manager	No	Available in the **Open** state when creating a Compensating Control child record. Clicking this button moves the parent and child record workflow to the **Pending Control Approval** state.
RM: Approve Compensating Control	Risk Reviewer and Risk Manager	No	Available in the **Pending Control Approval** state of a Compensating Control child record to approve the compensating control. Clicking this button moves the parent and child record workflow to the **Compensating Control** state.
RM: Reject Compensating Control	Risk Reviewer and Risk Manager	No	Available in the **Pending Control Approval** state of a Compensating Control child record to reject the compensating control. Clicking this button moves the parent and child record workflow to the **Open** state.
RM: Revert to Open	Risk Manager	No	Available in all the states of a parent and child record except the **Open** and **Draft** states. Clicking this button moves the parent and child record workflow to the **Open** state.
RR: Submit	Risk Submitter, Risk Owner and Manager	No	Available in the **Draft** state to submit the risk record. Clicking this button moves the risk record to the **Open** state.
RR: Revert to Draft	Risk Manager	No	Available in the **Open** state. Clicking this button moves a risk record to the **Draft** state.

Appendix 1: Offline Decision Making

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

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

Subject: | RE: Exception Requestion #2241 Confirmation for Bill Smith

Subject: Exception Request #2241 Confirmation for Bill Smith

A preliminary approval has been submitted for Exception Request **#2241**, submitted by **Bill Smith** on 5/5/2014. You have been assigned as the senior reviewer in charge of final acceptance or rejection of this request.

Details:
Exception Request: #2241
Submitted by: Bill Smith on 5-5-2014
Approved by: Wanda Johnson on 5-10-2014
Expiration Date: 5-15-2014

Short Description: (View Full Details in Rsam)

The new implementation of "Order-It" (order management system) is unable to conform to the organization 3DES encryption standard. DES has been implemented until the vendor can support fully support 3DES. A temporary exception is requested until that time.

Select an action from the list below:

- Accept this Request
- Reject this Request

Appendix 2: User Assignment Options

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

- Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object, the group is also given a specific role. This accomplishes the following:

  - All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.

  - All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.

- Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The method for implementing the assignment can also be customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.
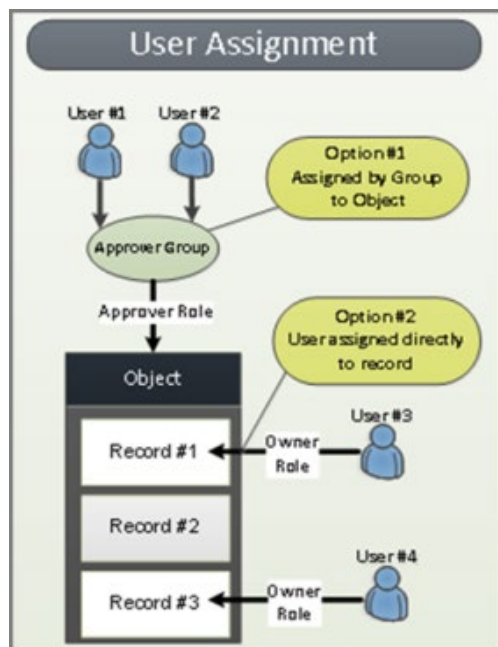
Appendix 3: Rsam Documentation

Risk Register Module Tutorial

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

Online Help

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

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Provide the **User ID** as **r_admin** and provide the **Password**.

2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

    The following image shows the *Rsam Administrator Help*, opened from the *Example Administrator* user account.