Risk Register Module

Step-by-Step Tutorial

Rsam Version: 10 | Document Version: 01.01.03

April 2020

Contents

About Rsam Tutorials

The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.
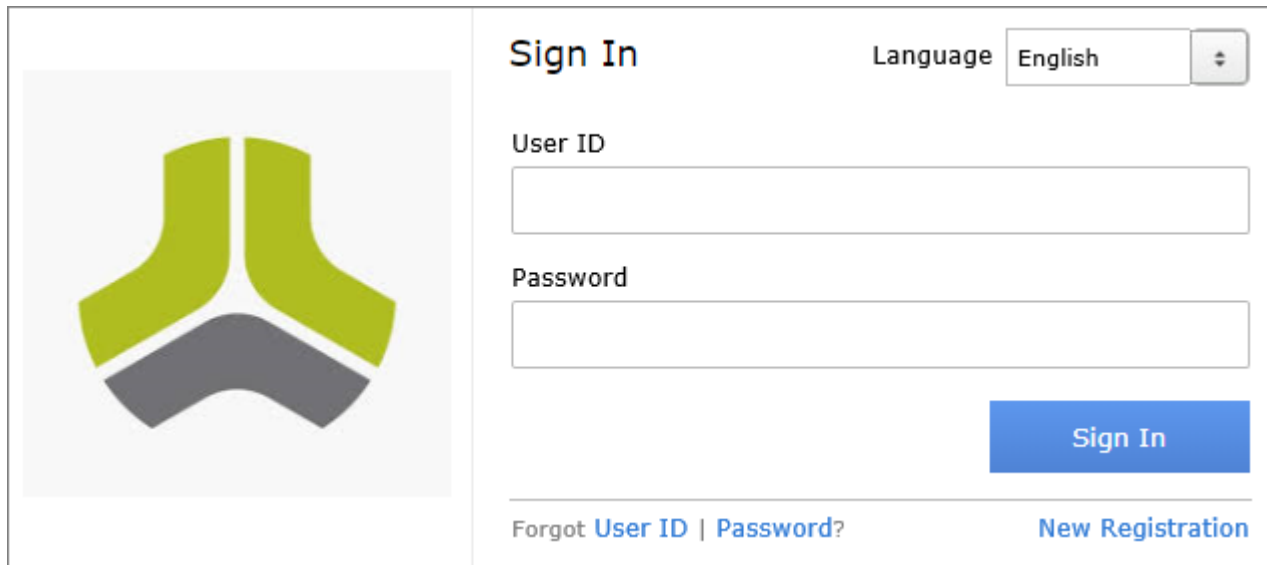
Rsam Sandbox Environment

Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization's internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as www.whatismyip.com, or contact your organization's Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

Sign-In Page

Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign In page so that you can easily toggle between various sample accounts used throughout the tutorial.

Like most elements in Rsam, the Sign In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. You can also embed your own branding and logo on the Sign In page.

Welcome Page

The Welcome Page is the first page that appears when you log in to Rsam for the first time. This page provides navigation instructions and shortcuts to access the most commonly used pages from the bonds you have access to.
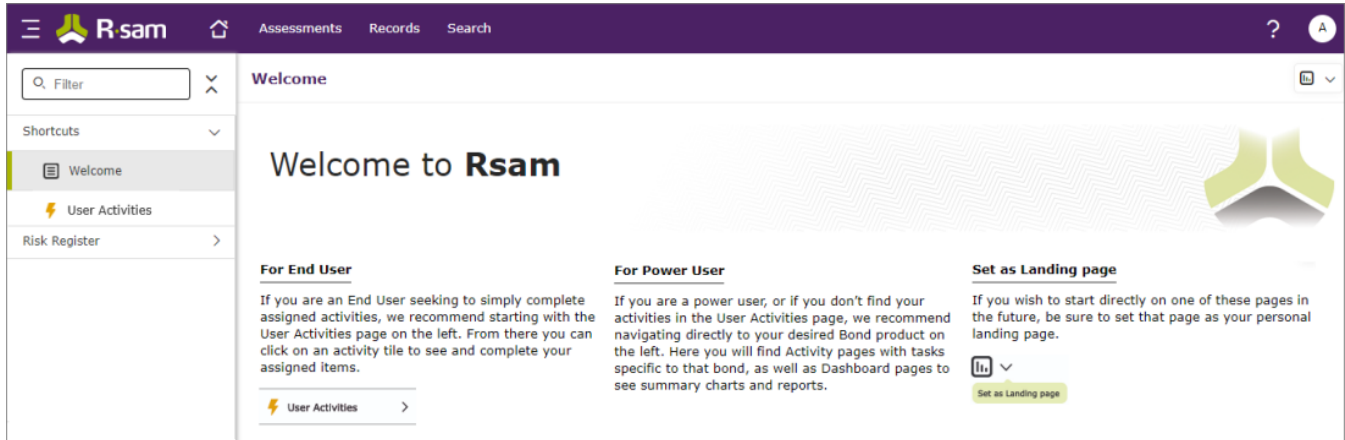

Note: The view of the Welcome Page may be different from the one shown in the image, based on the role of the logged in user.

Navigating to Tasks and Dashboards

If you are an end user and have logged in to complete assigned tasks, you can click ⚡ User Activities > available on the left navigation bar to view the most frequently used Activity Centers *across all bonds assigned for your role*. You can click the relevant activity tile to navigate to your tasks.
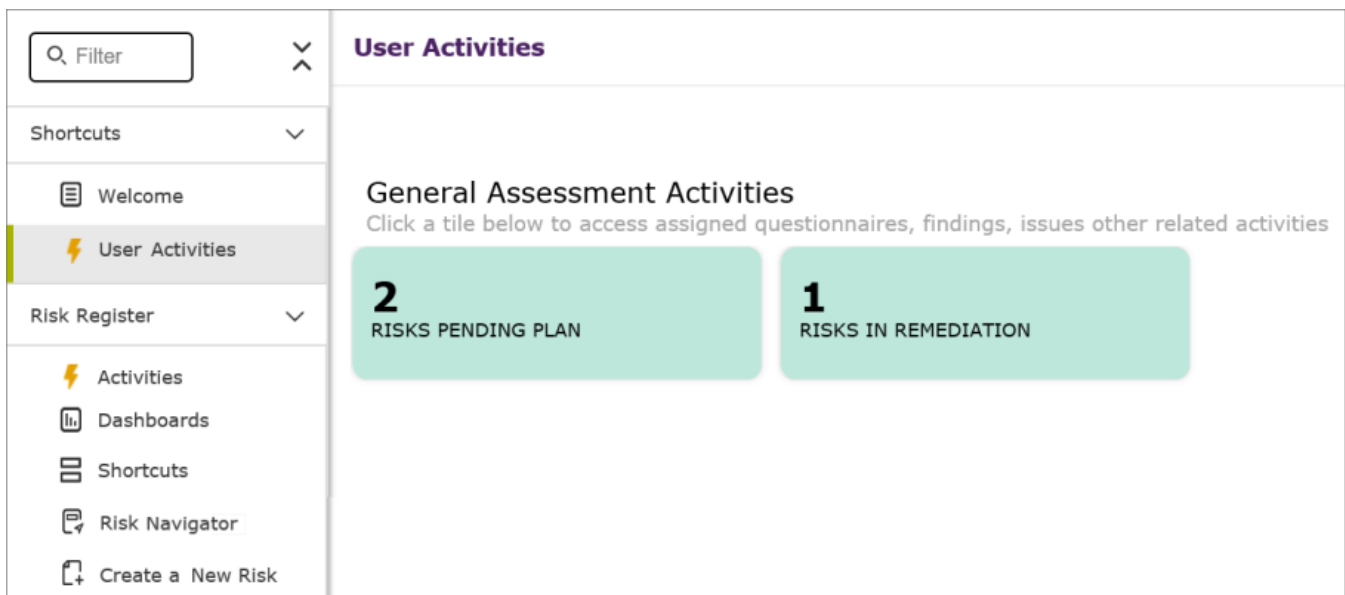
If you do not find the required activity tiles, you can either click [⚡] corresponding to a bond on the Welcome Page or navigate directly to the bonds from the left navigation bar and select the **Activities** tab to view all related Activity Centers.

Click an Activity Center tile to view all related tasks.

Additionally, you can perform the following navigation actions:

- From the left navigation bar, click **Dashboards** corresponding to a bond to view all Dashboards configured for the bond.
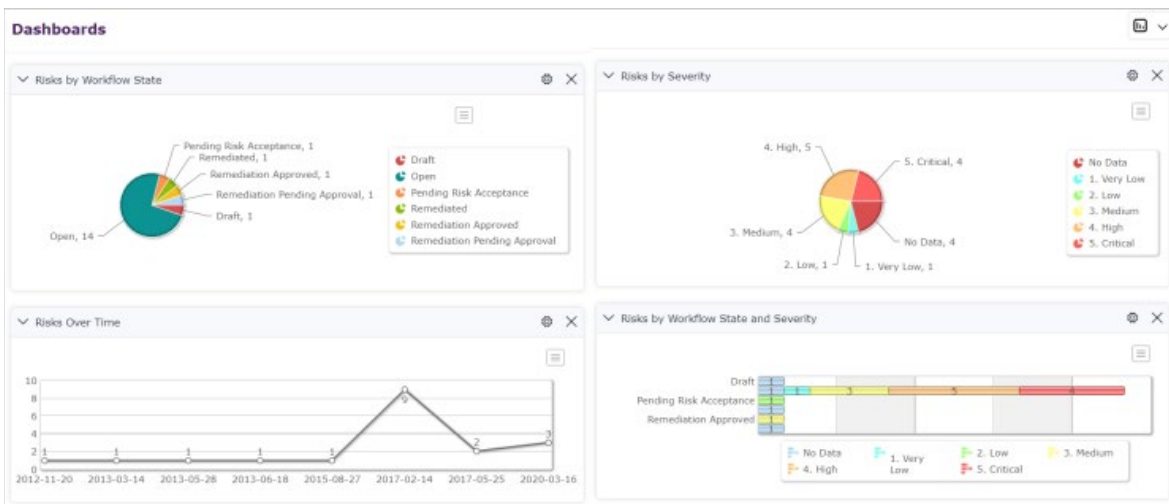
- Expand the required bond from the left navigation bar and use the pages.

For information on using the home page features and configuring Activity Centers, see the *Rsam Administrator* and *End-User Help*.

Rsam Risk Register

Overview

The Rsam Risk Register helps businesses to understand the wide spectrum of enterprise risks. This tutorial provides a step-by-step procedure to walk you through one path of a Risk Register workflow within the module.

Features and Benefits

The Rsam Risk Register module provides the following capabilities and benefits:

- Prioritize risks available in the risk register based on the inherent risk and residual risk ratings

- Dashboards to visualize risk effect and dependencies

- Risk scores that prioritize risks based on inherent likelihood and inherent impact

- Define ownership at the risk and remediation level

Risk Register Workflow

Before proceeding to the workflow, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.
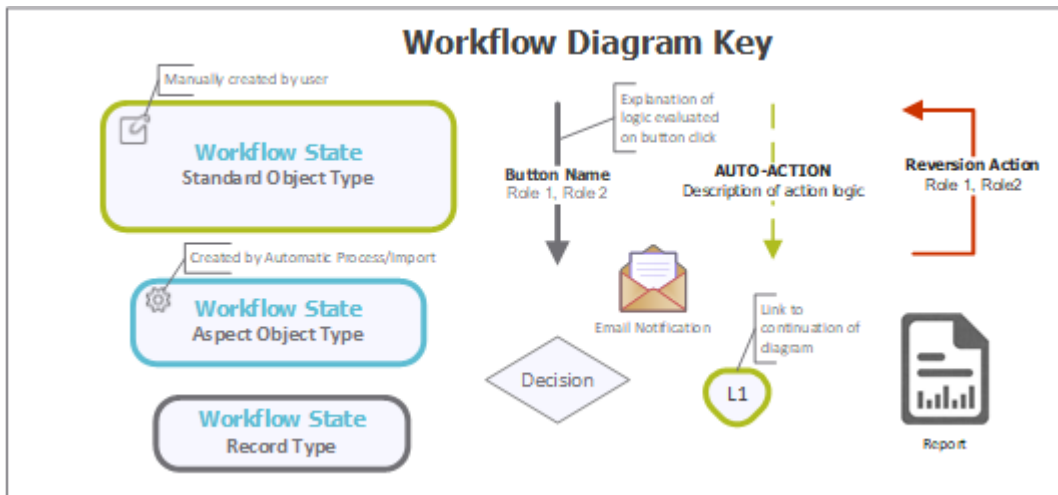
The following diagram depicts the out-of-the-box Risk Register workflow.
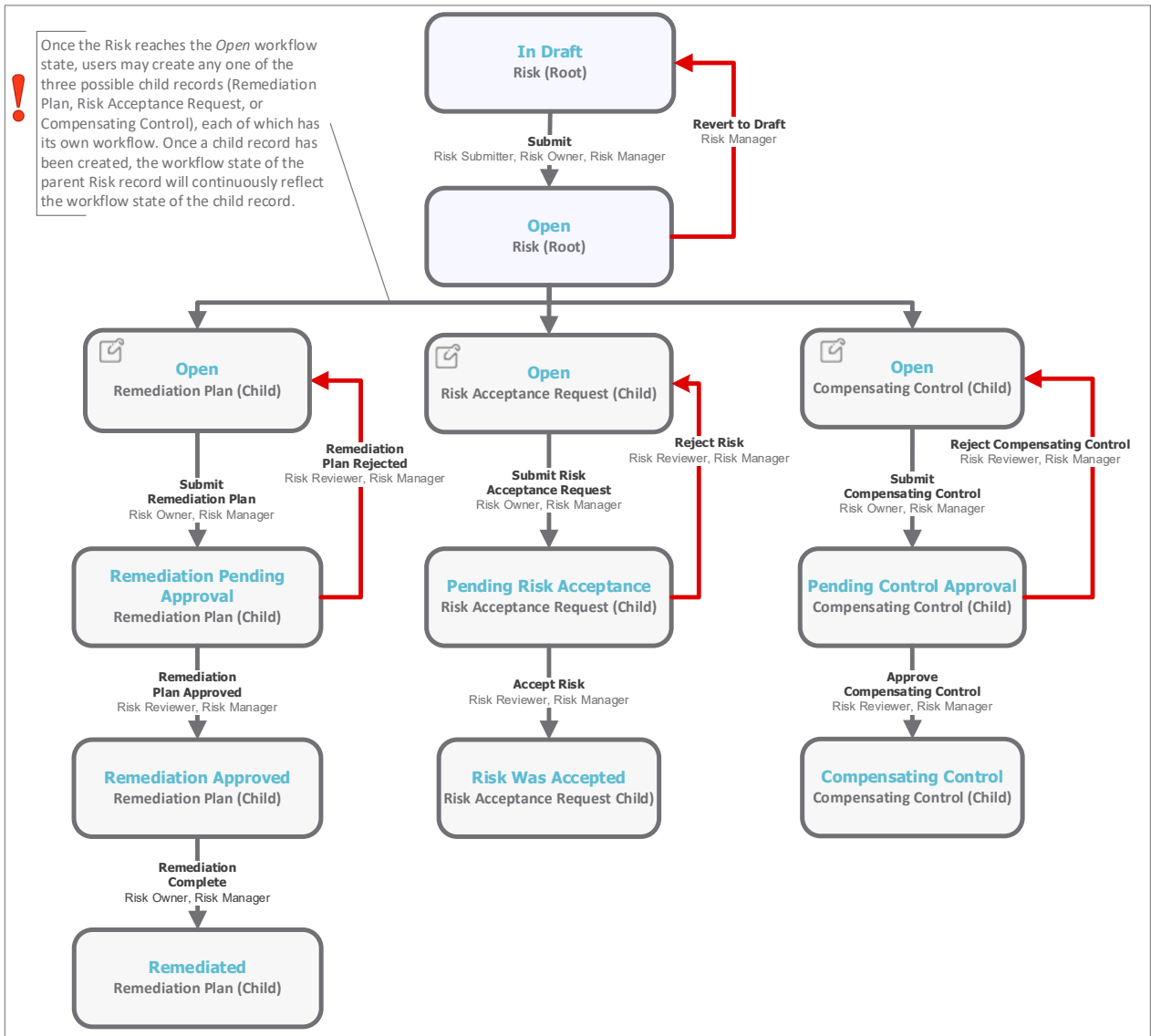
User Accounts

User accounts are required for the individuals that are authorized to access a specific Rsam baseline module.

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

The following table lists the pre-populated sample accounts that come with the Rsam sandbox for the Risk Register module.

User ID	User	Business Responsibilities
r_risk_manager	Risk Manager	This user creates a risk, assigns an owner to the risk, and approves the risk remediation method.
r_risk_owner	Risk Owner	This user enters risk details, determines and creates a remediation method, and submits a remediation method for approval to the *Risk Manager*.

User ID	User	Business Responsibilities
r_risk_reviewer	Risk Reviewer	This user reviews the risk remediation plans submitted by a *Risk Owner*.

Users can contact *Rsam Administrator* to obtain passwords for assigned accounts. Individual users may change their password once authenticated. Users with administrator permissions may also reset the password of other users.

High-Level Steps

The following is a high-level list of the steps described in this tutorial.

Step	User	Description
Step 1: Creating a Risk	Risk Manager	In this step, a risk is created and an owner is assigned to that risk.
Step 2: Analyzing a Risk	Risk Owner	In this step, a risk is analyzed, risk score ratings are entered, and related controls are mapped.
Step 3: Creating a Remediation Plan	Risk Owner	In this step, a remediation method is determined and a remediation plan is created, which is then submitted for review and approval.
Step 4: Reviewing a Remediation Plan	Risk Manager	In this step, a remediation plan is reviewed and approved.
Step 5: Flagging Completion of a Remediation Plan	Risk Owner	In this step, an approved remediation plan is flagged as completed.

Step-by-Step Procedure

This section contains steps we will follow in this tutorial. The path followed in this tutorial walks you through the steps to remediate a risk. In this tutorial, you will learn how to create a risk, and how to create a remediation plan to mitigate the risk effect. This path was chosen as is a common path to follow, though you are welcome to explore the other paths as well.
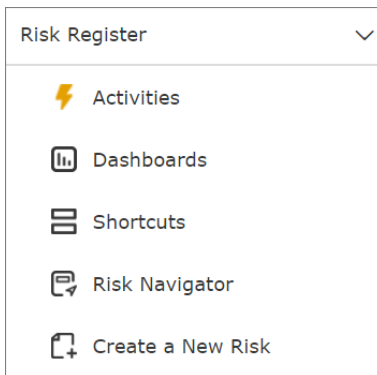
From this point forward, we will provide the steps that are required to complete this tutorial. Before you begin to practice each step, consider following underlying capabilities:

a. Practicing each step requires a different user account as mentioned in the High-Level Steps section. However, you may execute all the steps with the Risk Manager user credentials in one session if desired.

b. Workflow state transitions involve sending email notifications to users in the workflow. If you want to ensure that your workflow users receive the notifications while practicing the steps, please see the Setting up Email Addresses section later in this tutorial.

Step 1: Creating a Risk

In this step, you will log in to Rsam as the *Risk Manager* user to create a risk and assign an owner to that risk.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Risk Register module.

2. Sign in as the *Risk Manager* user. Enter **Username** as *r_risk_manager* and provide the **Password**.

3. From within the left navigation panel at the left-hand side, navigate to **Risk Register** > **Create a New Risk**.
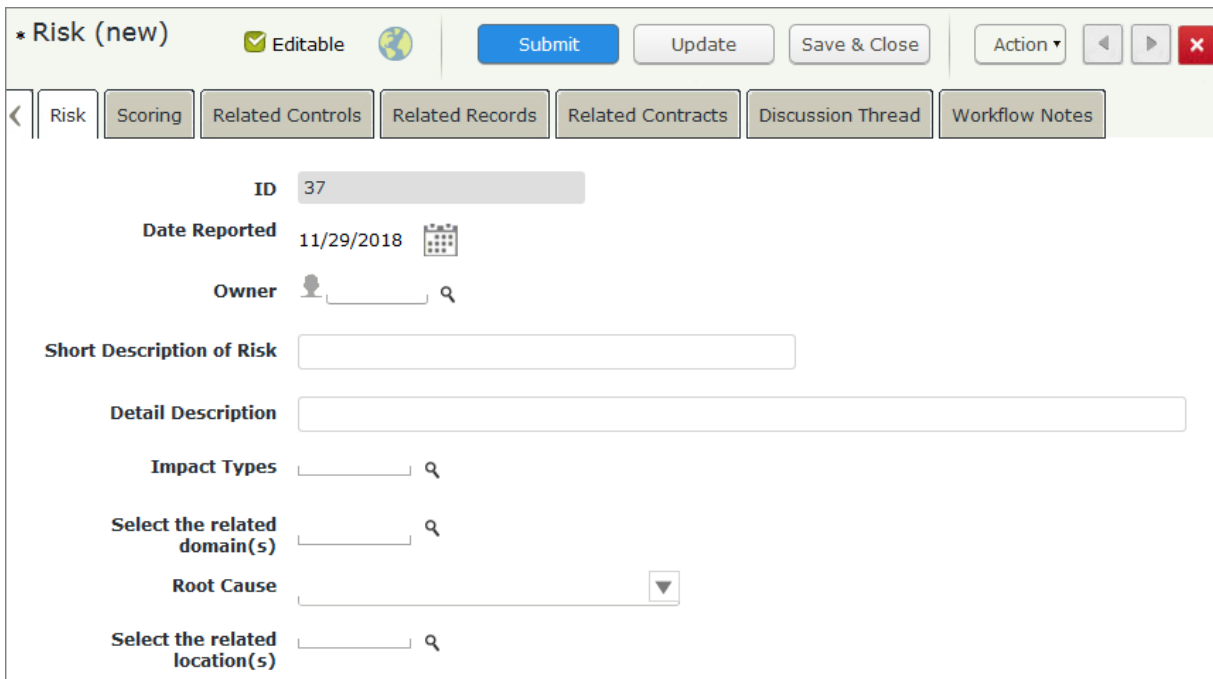

4. In the list that appears, click the **Select** link.
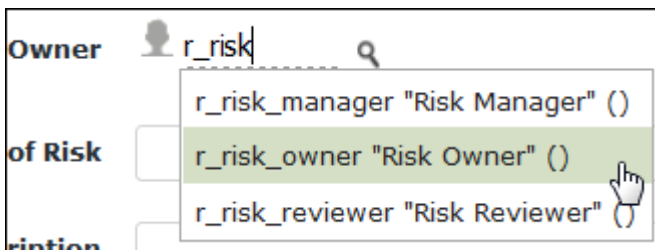
The **Risk (new)** record opens with the **Risk** tab selected.

5. Complete all the attributes on the **Risk** tab as necessary.

6. Assign an owner for the risk by typing *r_risk_owner* in the **Owner** attribute. While typing, a list of users that match the string is shown.
   Select **r_risk_owner "Risk Owner" ()** from the user list.

   Alternatively, you can click the [search] icon next to the **Owner** attribute and search and select the *r_risk_owner*.

7. Click **Submit**.

   Note: Saving a risk record before it is submitted places the risk in the **Draft** workflow state.

   The risk record workflow enters the **Open** state.

8. Hover the cursor over the username at the right-hand corner and select **Logout** from the options that appear.
   You have been successfully logged out from the Rsam Risk Register module.

Step 2: Analyzing a Risk

In this step, you will log in to Rsam as the *Risk Owner* user to review the risk, provide inherent risk and residual risk ratings, enter related controls, and determine a remediation method.

1. Sign in as the *Risk Owner* user. Enter **Username** as *r_risk_owner* and provide the **Password**.

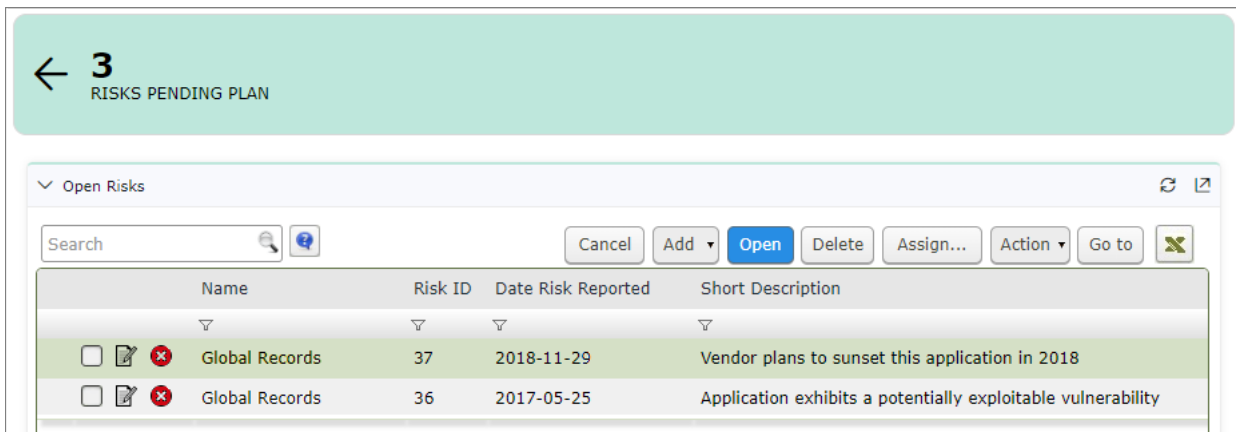2. From within the navigation panel on the left-hand side, navigate to **Shortcuts > User Activities**.

   The User Activities page appears listing the applicable activity tiles.
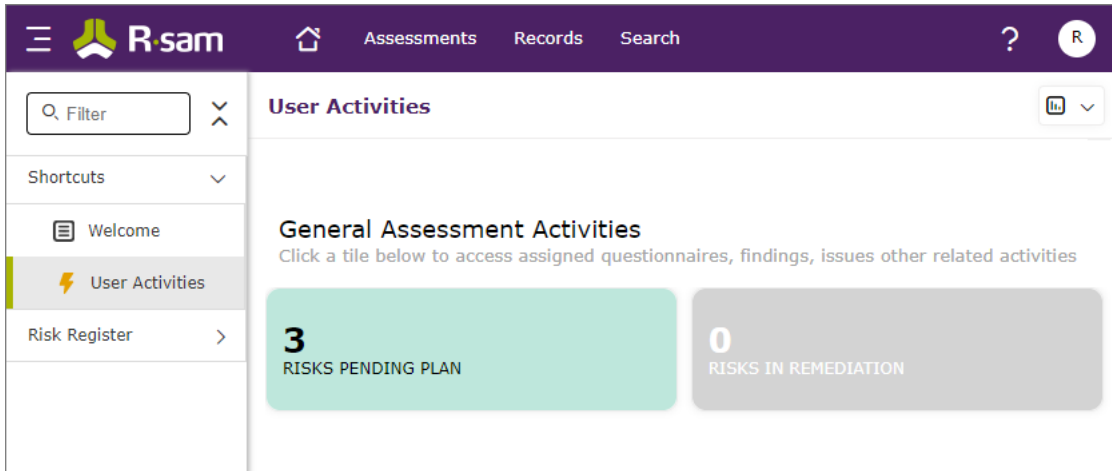
3. Click the tile **Risks Pending Plan**.
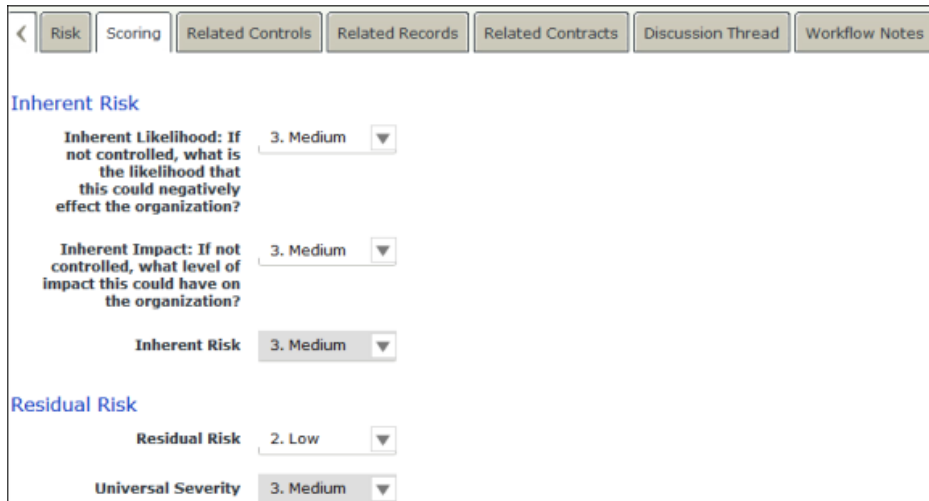
   This tile shows a count of all risks that are pending action from the Risk Owner.

   The tile expands to display the **Open Risks** grid.

4. Locate the risk created by the Risk Manager user in Step 1: Creating a Risk.

5. Double-click the risk record to open it.

   Alternatively, you can select the record and click **Open** or click 📝 icon in the risk record row.

   The record opens displaying the **Risk** tab.

6. Click the **Scoring** tab.

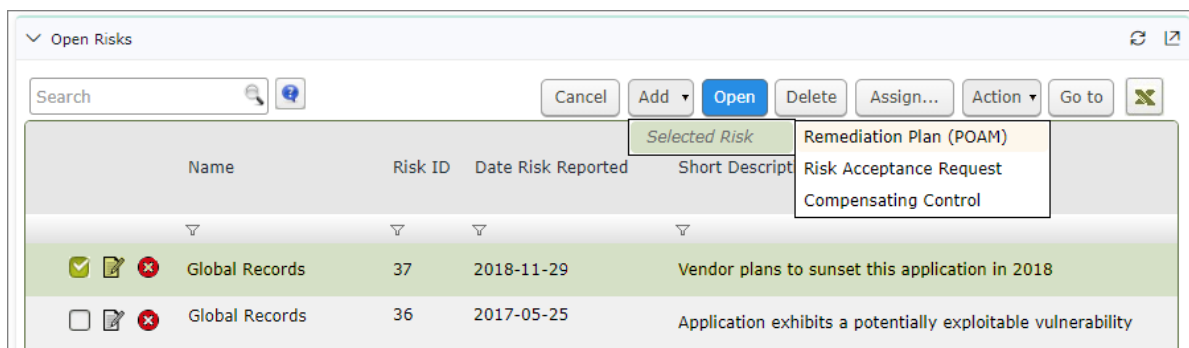7. Select values for the attributes under **Inherent Risk** and **Residual Risk**.

8. Click ![x] to close the record.

The risk record is saved.

Step 3: Creating a Remediation Plan

In this step, being the *Risk Owner* user, you will determine a remediation method and create and submit a remediation plan for review to the *Risk Manager* user.

1. From within the navigation panel on the left-hand side, navigate to **Shortcuts > User Activities**.

The User Activities page appears listing the applicable activity tiles.

2. Click the tile **Risks Pending Plan**.

The tile expands to display the **Open Risks** grid.

3. Locate the risk created by the *Risk Manager* user in Step 1: Creating a Risk.

4. Select the risk record.

5. Select **Add** > **Remediation Plan (POAM)** from the options that appear.

The **Remediation Plan (POAM) (new)** record opens with the **Remediation Plan (POAM)** tab selected.

6. Complete all mandatory attributes on the **Remediation Plan (POAM)** and **Supplemental Data** tabs.

7. Click **Submit Remediation Plan**.

   The risk now has the remediation plan child record. Both the risk and the remediation plan record workflows are in the **Remediation Pending Approval** state.

8. Log out from Rsam.
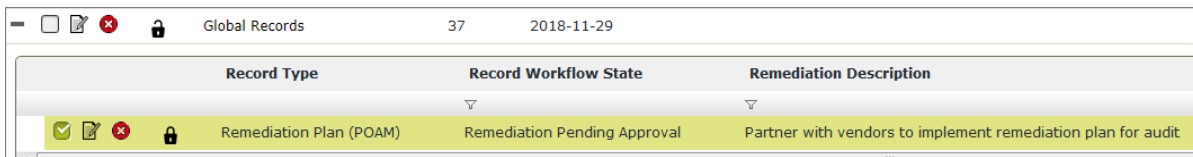
Step 4: Reviewing a Remediation Plan

In this step, you will log in to Rsam as the *Risk Reviewer* user to review the risk details and the remediation plan and approve the remediation plan.

1. Sign in as the *Risk Reviewer* user. Enter **Username** as *r_risk_reviewer* and provide the **Password**.

2. From within the navigation panel at the left-hand side, navigate to **Risk Register** > **Activities**.

   The Activities page appears listing the applicable activity tiles.

3. Click the **Plans Pending Approval** tile.

   The tile expands to display the grid.

4. Locate the risk that the Risk Owner user had created the remediation plan in Step 3: Creating a Remediation Plan.

5. Click **+** in the risk record row to find the remediation plan you want to approve.
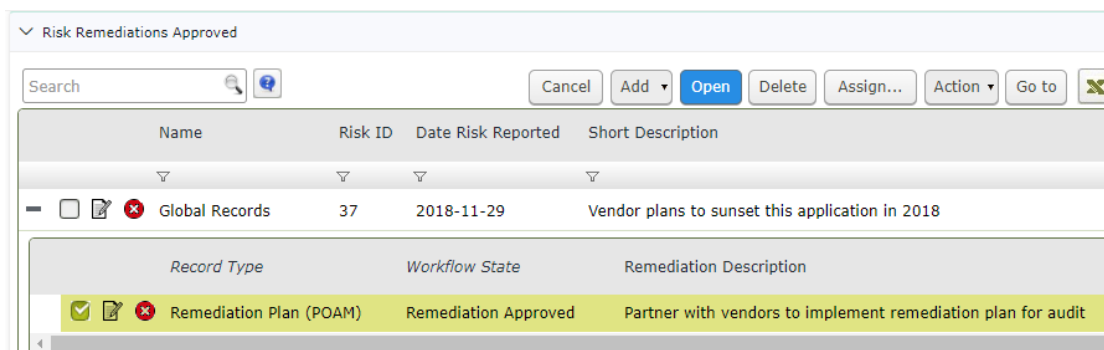
6. Select the remediation plan record.

7. Click **Action > Remediation Plan Approved** from the options that appear.

   The risk record and the remediation plan child record enters the **Remediation Approved** workflow state.

8. Log out from Rsam.

Step 5: Flagging Completion of a Remediation Plan

In this step, you will log in to Rsam as the *Risk Owner* user to flag the completion of remediation plan which was approved by the *Risk Reviewer* user.

1. Sign in as the *Risk Owner* user. Enter **Username** as *r_risk_owner* and provide the **Password**.

2. From within the navigation panel on the left-hand side, navigate to **Shortcuts > User Activities**.

   The User Activities page appears listing the applicable activity tiles.

3. Click the tile **Risks in Remediation**.

   The tile expands to display the **Risks Remediations Approved** grid.

4. Locate the risk that the Risk Reviewer had approved the remediation plan in Step 4: Approving a Remediation Plan.

5. Click **+** in the risk record row to find the remediation plan you want to flag as complete.

6. Select the remediation plan record.

7. Click **Action** and select **Remediation Complete** from the options that appear.

   The risk record and the remediation plan child record enters the **Remediated** workflow state.
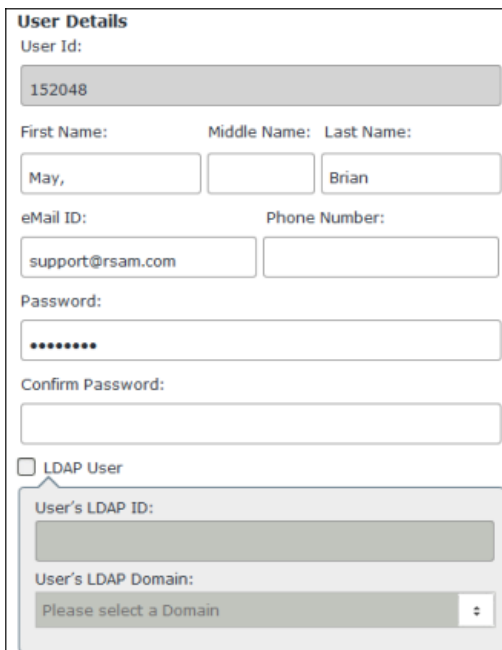
8. Log out from Rsam.

Appendix 1: Email Notifications and Offline Decision Making

Setting up Email Addresses

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Risk Register Tutorial module.

2. Sign in as *r_admin* user. Enter **User ID** as *r_admin* and provide the **Password**.

3. Navigate to **Manage** > **Users/Groups**.

4. Double-click a user row to open the details.

5. Provide an email address in the **eMail ID** attribute.

6. Click **OK**.

    The email address of the user account is saved.

Offline Decision Making

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

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.
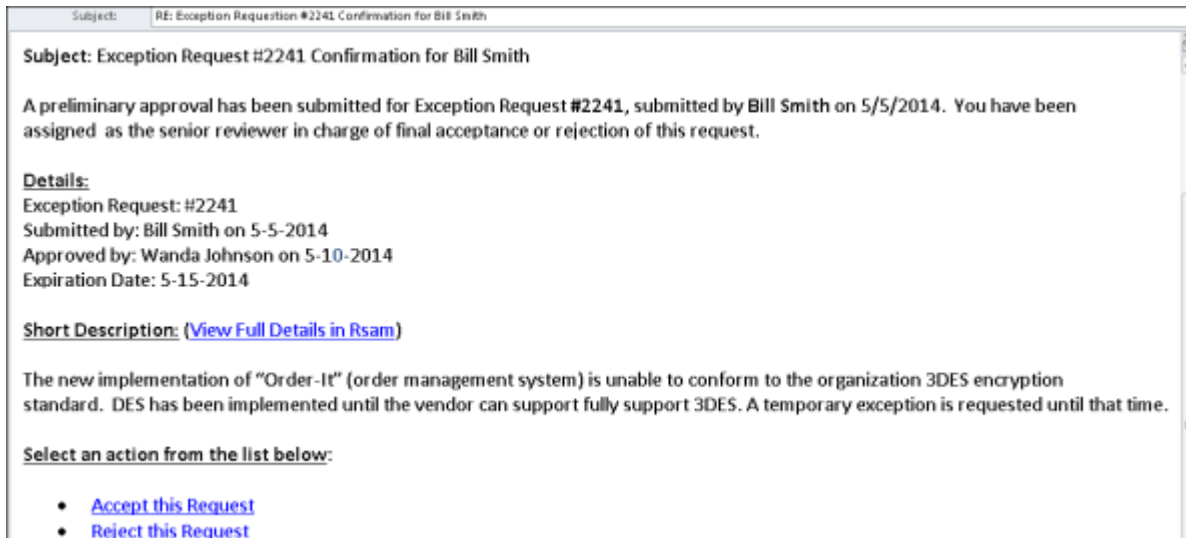
Appendix 2: Rsam Documentation

Risk Register Tutorial Baseline Configuration Guide

To learn more about the pre-configurations in the Risk Register Tutorial, refer the Risk Register Tutorial *Baseline Configuration Guide*. You should have received the Risk Register Tutorial *Baseline Configuration Guide* along with the Risk Register Tutorial sandbox. If not, please contact your Rsam Customer Representative to obtain an electronic copy of the Risk Register Tutorial *Baseline Configuration Guide*.

Online Help

This tutorial provides the step-by-step instructions for the Rsam Risk Register Tutorial module. 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.