



# **Risk Register Module**

## **Step-by-Step Tutorial**

Document Version: 01.01.02 | December 2018

Rsam © 2018. All rights reserved

[Privacy Policy](#) | [Terms of Service](#)

# Contents

- About Rsam Tutorials ..... 3
- Rsam Sandbox Environment ..... 4
  - Sign-In Page..... 4
- Rsam Risk Register ..... 5
  - Overview ..... 5
  - Risk Register Workflow ..... 5
  - User Accounts ..... 7
  - High-Level Steps ..... 7
- Step-by-Step Procedure..... 8
  - Step 1: Creating a Risk ..... 8
  - Step 2: Analyzing a Risk ..... 11
  - Step 3: Creating a Remediation Plan..... 12
  - Step 4: Reviewing a Remediation Plan ..... 13
  - Step 5: Flagging Completion of a Remediation Plan ..... 15
- Appendix 1: Email Notifications and Offline Decision Making ..... 16
  - Setting up Email Addresses ..... 16
  - Offline Decision Making ..... 17
- Appendix 2: Rsam Documentation ..... 18
  - Risk Register Baseline Configuration Guide ..... 18
  - Online Help ..... 18

## 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

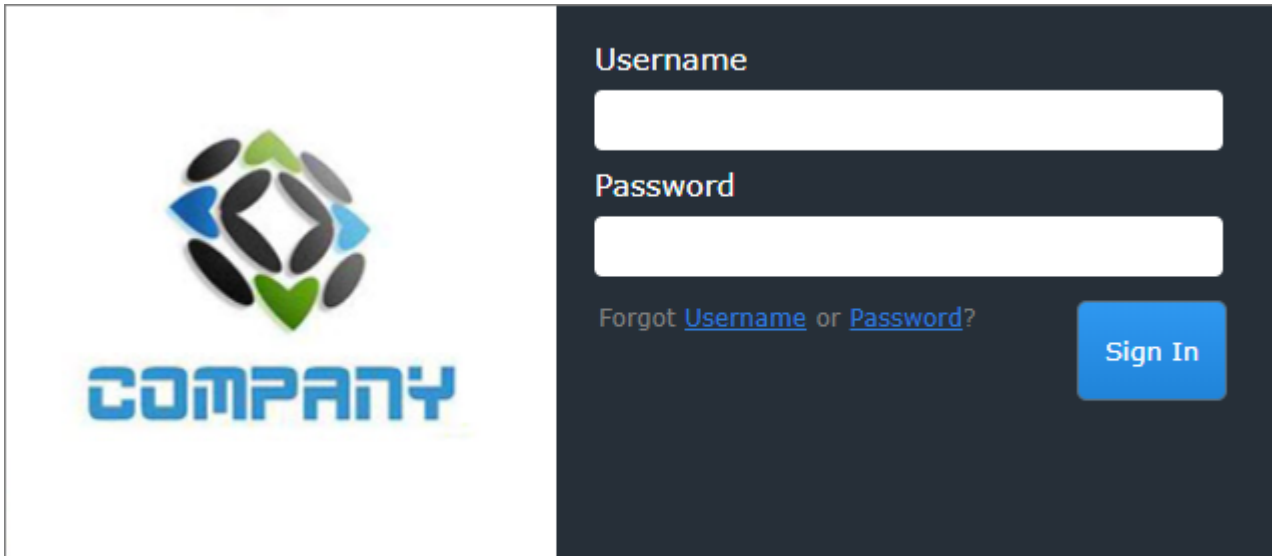
---

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](http://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.

# Rsam Risk Register

## Overview

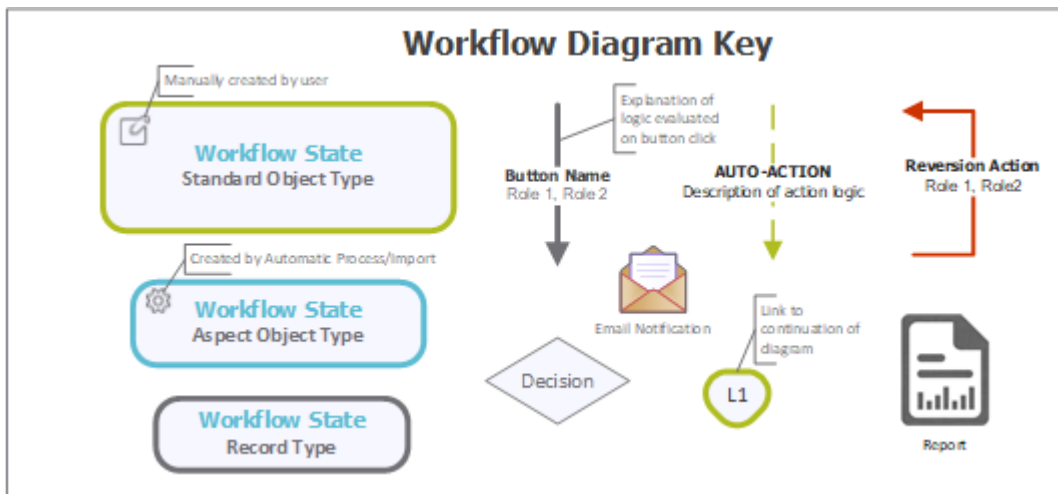
The Rsam Risk Register helps businesses to understand the wide spectrum of enterprise risks. This tutorial provides a step-by-step procedure to walk you through one path of a Risk Register workflow within the module.

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

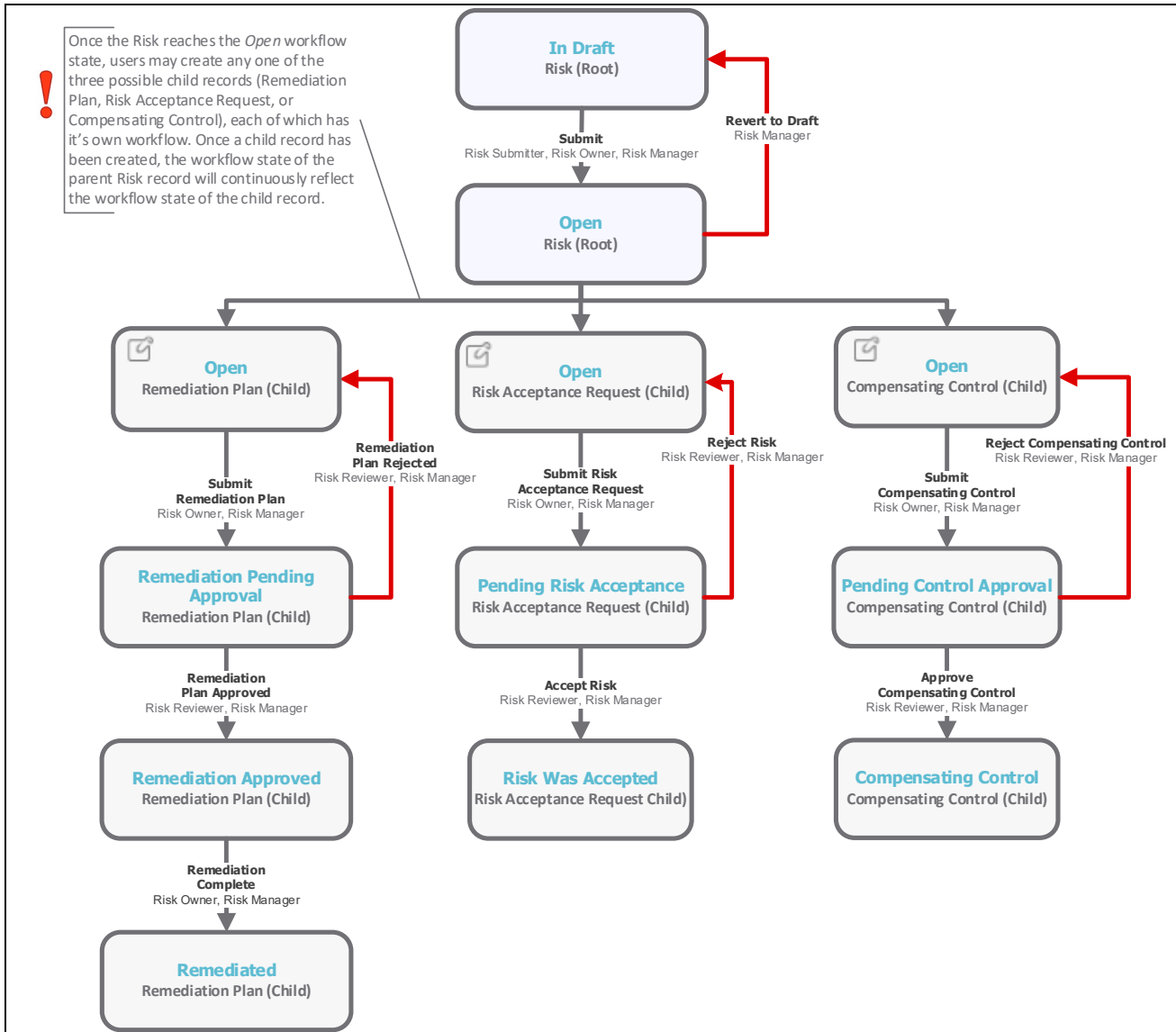
- Prioritize risks available in the risk register based on the inherent risk and residual risk ratings.
- Heat maps and dashboards to visualize risk effect and dependencies.
- Customize risk formulas and apply organization-specific logic to identify a risk.
- Define ownership at the risk and remediation 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.



**Note:** You may create as many variations to this pre-defined workflow configuration as desired to lessen or increase the number of steps and to match your specific business processes.

## 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 Rsam sandbox for Risk Register comes with pre-populated sample accounts that include the following:

Account ID	User	Business Responsibilities
<b>r_risk_manager</b>	Risk Manager	This user creates a risk, assigns an owner to the risk, and approves the risk remediation method.
<b>r_risk_owner</b>	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.

The default password for all accounts in the Rsam Risk Register sandbox is *password*. 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
<b>Step 1: Creating a Risk</b>	Risk Manager	In this step, a risk is created and an owner is assigned to that risk.
<b>Step 2: Analyzing a Risk</b>	Risk Owner	In this step, a risk is analyzed, risk score ratings are entered, and related controls are mapped.
<b>Step 3: Creating a Remediation Plan</b>	Risk Owner	In this step, a remediation method is determined and a remediation plan is created, and then it is submitted for review and approval.
<b>Step 4: Reviewing a Remediation Plan</b>	Risk Manager	In this step, a remediation plan is reviewed and approved.
<b>Step 5: Flagging Completion of a Remediation Plan</b>	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.

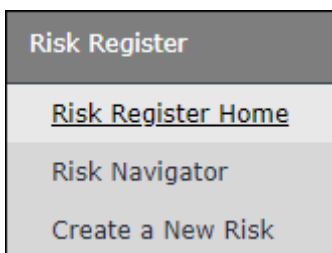
From this point forward, we will provide the steps that are required to complete this tutorial. Before you begin to practice each step, consider following underlying capabilities:

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



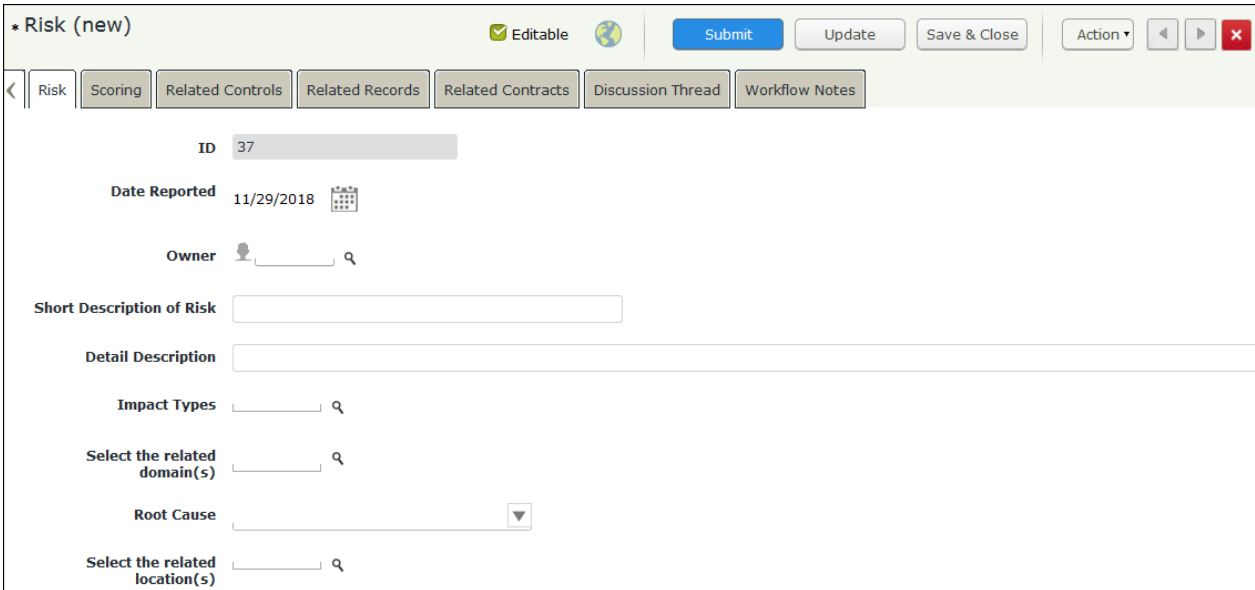


- In the list that appears, click the **Select** link.

Select from the list below				
Name	Type	Entity	State	Category
Global Records	Library for Global Records	Rsam Libraries	N/A	<a href="#">Select</a>

The **Risk (new)** record opens with the **Risk** tab selected.

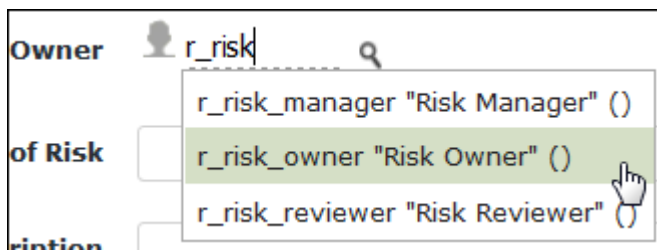
- Complete all the attributes on the **Risk** tab as necessary.




- Use one of the following methods to assign an owner.

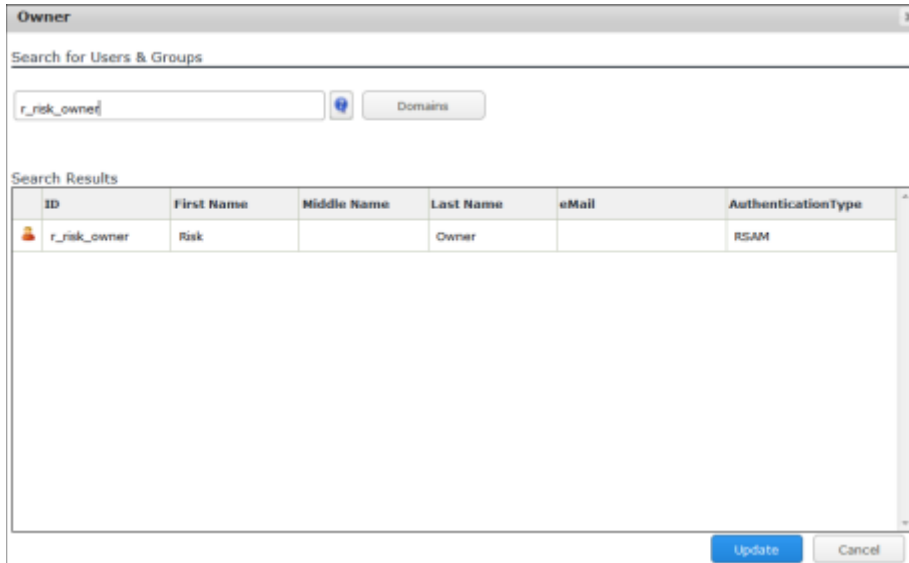
**Method I:**

- Type *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.



**Method II:**

- a. Click the  icon next to the **Owner** attribute. The **Owner** dialog appears.
- b. Type *r\_risk\_owner* in the search box.



The **Search Results** displays the *r\_risk\_owner* user.

- c. Select the user row, and then click **Update**.
7. Click **Submit**.


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

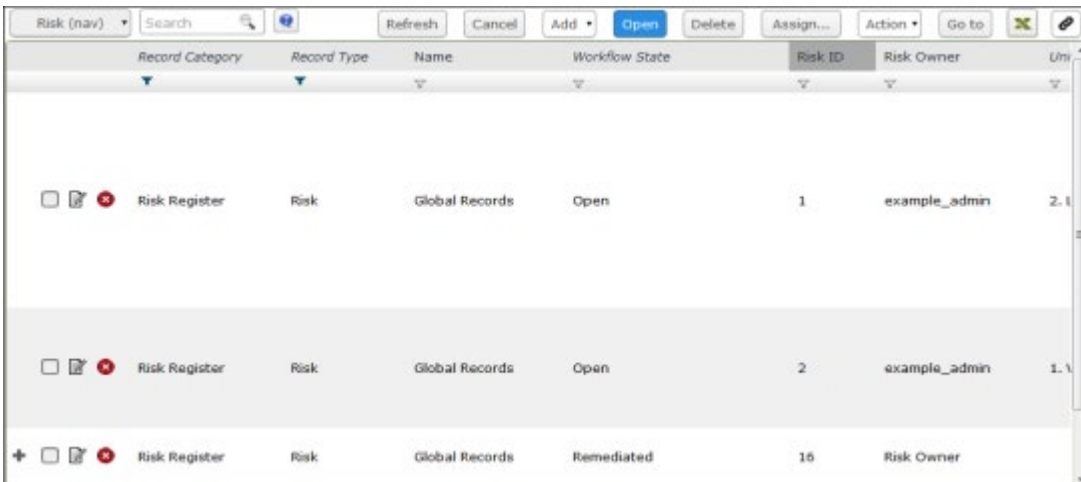
The risk record workflow enters the **Open** state.

- 8. Mouse hover 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. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Risk Register module.
2. Sign in as the *Risk Owner* user. Enter **Username** as *r\_risk\_owner* and **Password** as *password*.
3. From within the navigation panel on the left-hand side, navigate to **Risk Register > Risk Navigator**.  
The risk navigator appears.
4. Locate the risk created by the *Risk Manager* user in [Step 1: Creating a Risk](#).
5. Use one of the following methods to open the risk:
  - Double-click the risk record.
  - Select the risk record, and then click **Open**.
  - Click the  icon in the risk record row.



Record Category	Record Type	Name	Workflow State	Risk ID	Risk Owner	Un...
Risk Register	Risk	Global Records	Open	1	example_admin	2.1
Risk Register	Risk	Global Records	Open	2	example_admin	1.1
Risk Register	Risk	Global Records	Remediated	15	Risk Owner	

The risk details with **Risk** tab selected appears.

6. Click the **Scoring** tab.
7. Complete the attributes under **Inherent Risk** and **Residual Risk**.

← Risk
Scoring
Related Controls
Related Records
Related Contracts
Discussion Thread
Workflow Notes

**Inherent Risk**

**Inherent Likelihood: If not controlled, what is the likelihood that this could negatively effect the organization?** 3. Medium ▼

**Inherent Impact: If not controlled, what level of impact this could have on the organization?** 3. Medium ▼

**Inherent Risk** 3. Medium ▼

**Residual Risk**

**Residual Risk** 2. Low ▼

**Universal Severity** 3. Medium ▼

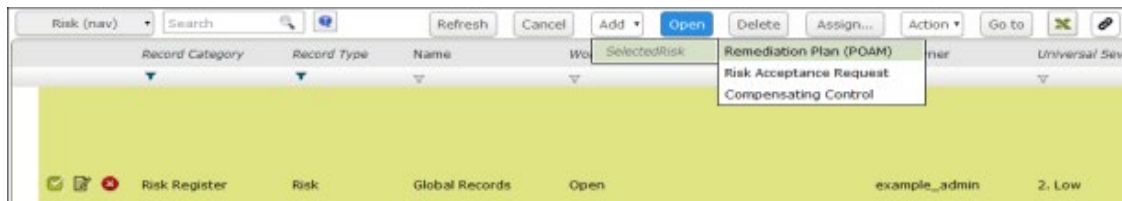
8. Click **Save & Close**.  
The risk record is saved.

Next, in [Step 3: Creating a Remediation Method](#), you will determine a remediation method to mitigate the risk effect.

### Step 3: Creating a Remediation Plan

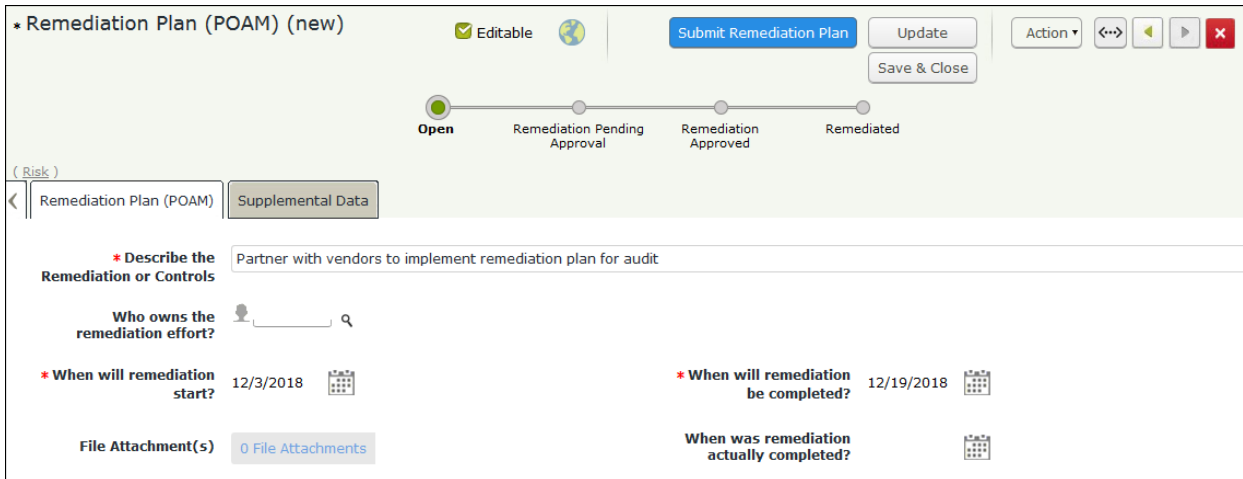
In this step, being the *Risk Owner* user, you will determine a remediation method. In this tutorial, you will create and submit a remediation plan for review to the *Risk Manager* user.

1. From within the navigation panel at the left-hand side, navigate to **Risk Register > Risk Navigator**.
2. Locate the risk created by the *Risk Manager* user in [Step 1: Creating a Risk](#).
3. Select the risk record.
4. Click **Add** and select **Remediation Plan (POAM)** from the options that appear.



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

- Complete all the attributes as necessary on the **Remediation Plan (POAM)** and **Supplemental Data** tabs.
- 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.

- Mouse hover 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 4: Reviewing a Remediation Plan

In this step, you will log in to Rsam as the *Risk Manager* user to review the risk details and the remediation plan. As part of the path taken by this tutorial, the *Risk Manager* user will approve the remediation plan.

- Open an Rsam supported browser and enter the URL of your Rsam instance containing the Risk Register module.
- Sign in as the *Risk Manager* user. Enter **Username** as *r\_risk\_manager* and **Password** as *password*.
- From within the navigation panel at the left-hand side, navigate to **Risk Register > Risk Navigator**.
- Locate the risk that the Risk Owner user had created the remediation plan in [Step 3: Creating a Remediation Plan](#).

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

Risk Register				
Record Workflow State	Risk ID	Date Risk Reported	Short Description	
Open	1	2013-03-14	No business continuity plan is in place. All aspects of faculty or service operations s...	
Open	2	2012-11-20	Improper use of General Ledger accounts. Several employees in the Account Mana...	
Remediated	16	2013-05-28	This is a sample risk because the identified vendor is not fully PCI compliant	
Pending Risk Acceptance	20	2013-06-18	Password schema is not 8 character.	
Open	37	2018-11-29		

Record Type	Record Workflow State	Remediation Description	
Remediation Plan (POAM)	Remediation Pending Approval	Partner with vendors to implement remediation plan for audit	

- Select the remediation plan record.
- Click **Action** and select **Remediation Plan Approved** from the options that appear.

Risk Register				
Record Workflow State	Risk ID	Date Risk Reported	Short Description	
Open	1	2013-03-14	No business con...	
Open	2	2012-11-20	Improper use of General Ledger accounts. Several employees in the Account Mana...	
Remediated	16	2013-05-28	This is a sample risk because the identified vendor is not fully PCI compliant	
Pending Risk Acceptance	20	2013-06-18	Password schema is not 8 character.	
Open	37	2018-11-29		

Record Type	Record Workflow State	Remediation Description	
Remediation Plan (POAM)	Remediation Pending Approval	Partner with vendors to implement remediation plan for audit	

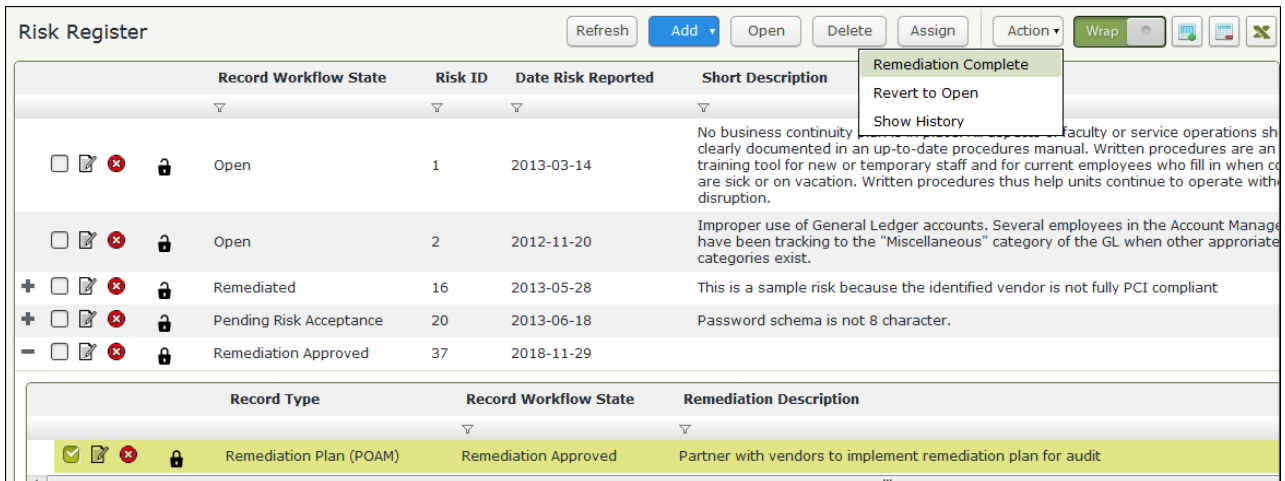
The risk and the remediation plan child records enter the **Remediation Approved** workflow state.

- Mouse hover 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 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 Manager* user.

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 Owner* user. Enter **Username** as *r\_risk\_owner* and **Password** as *password*.
3. From within the navigation panel at the left-hand side, navigate to **Risk Register > Risk Navigator**.
4. Locate the risk that the Risk Manager 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.



Risk Register				
Record	Workflow State	Risk ID	Date Risk Reported	Short Description
<input type="checkbox"/>	Open	1	2013-03-14	No business continuity...
<input type="checkbox"/>	Open	2	2012-11-20	Improper use of General Ledger accounts...
<input checked="" type="checkbox"/>	Remediated	16	2013-05-28	This is a sample risk because the identified vendor is not fully PCI compliant
<input checked="" type="checkbox"/>	Pending Risk Acceptance	20	2013-06-18	Password schema is not 8 character.
<input type="checkbox"/>	Remediation Approved	37	2018-11-29	

Record Type	Record Workflow State	Remediation Description
<input checked="" type="checkbox"/>	Remediation Plan (POAM)	Partner with vendors to implement remediation plan for audit

The risk record and the remediation plan child record enter the **Remediated** workflow state.

8. Mouse hover 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.

# 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 **Username** as *r\_admin* and **Password** as *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.

**User Details**  
User Id:  
152048

First Name: Middle Name: Last Name:  
May, Brian

eMail ID: Phone Number:  
support@rsam.com

Password:  
\*\*\*\*\*

Confirm Password:

LDAP User

User's LDAP ID:  
User's LDAP Domain:  
Please select a Domain

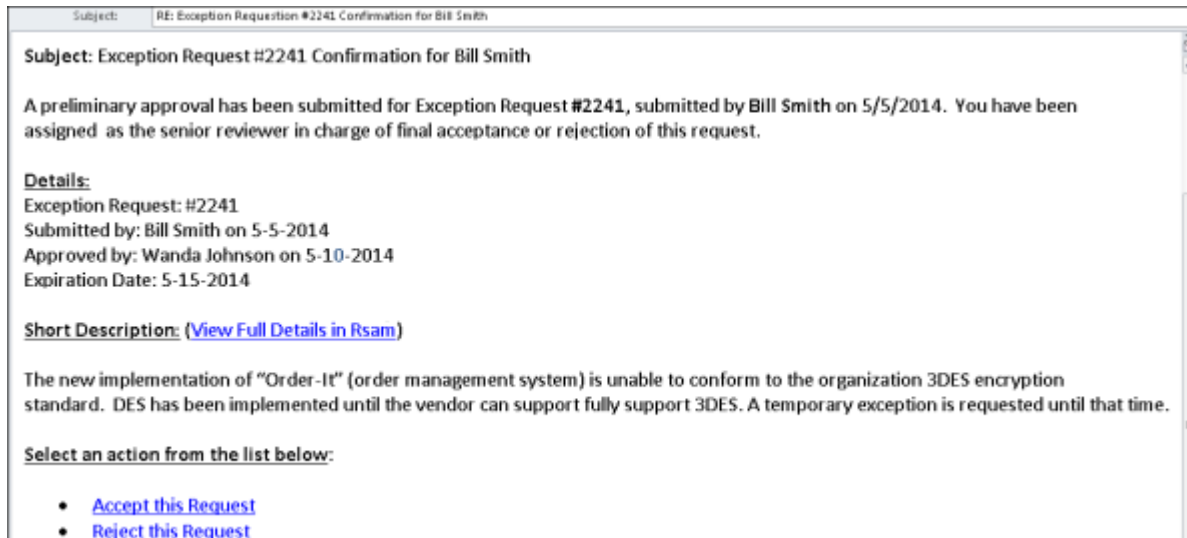
6. Click **OK**.  
The email address of the user account is saved.



## 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 Baseline Configuration Guide

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

## Online Help

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

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Enter **Username** as *r\_admin* and **Password** as *password*.
2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

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

