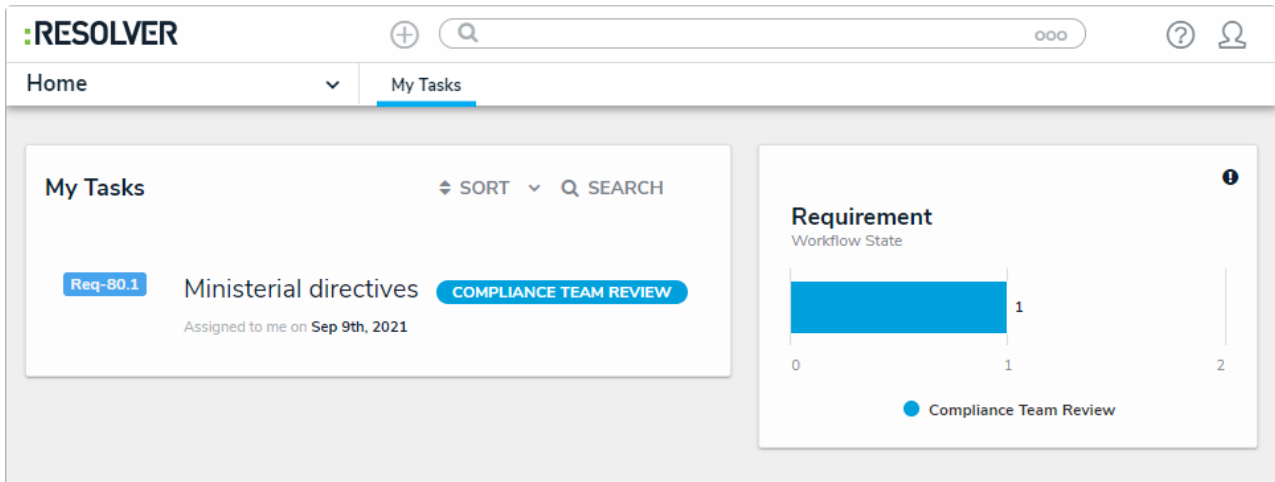


Review a Requirement

Last Modified on 05/19/2022 11:29 am EDT

After the **Requirement Owner** has reviewed a requirement or one has been **updated**, they return it to the **Compliance Team**, who will assess it for residual risk. As the Compliance Team, requirements that have been submitted for your review will appear either on the **My Tasks** page or the **Assess Risk** activity.



Assigned requirements on the My Tasks page.

To review a requirement:

1. Log into a user account from the **Compliance Team** user group to open the **My Tasks** page.
2. Click a requirement in the **Compliance Team Review** state to open the **Compliance Team Review** form.

REQUIREMENT DETAIL

Accommodate Investigation

RD-590 ACTIVE

Details History

Requirement Detail Name
Accommodate Investigation

Description
An employer must cooperate with the Commission's investigations into a complaint. This includes; (i) allowing an investigator with a warrant to enter and search any premises in order to carry out such inquiries as are necessary for the investigation of a complaint; (ii) providing or producing copies for inspection any records or documents relevant to the investigation to the investigator; (iii) not obstruct or impede the investigator in the investigation of the complaint.

Source of Requirement
CHRA s. 43 (<http://laws-lois.justice.gc.ca/eng/acts/h-6/FullText.html>)

| Date Updated | Effective Date |
|---------------|----------------|
| June 10, 2021 | |

The Requirement Detail form.

3. **Optional:** Navigate to the **Review Inherent Risk Assessment** section to review the inherent risk. Clicking the **Historical Trending** will display a chart showing how the inherent risk score has changed over time.
4. In the **Review Control Documentation** section:
 - a. Click the name of a control to open the **Control Review** palette. Add any additional details, as needed.
 - b. Select the rating that best describes the control in the **Control Effectiveness** field.

Step 2: Review Control Documentation

Review the requirement and document all relevant controls. To find existing controls from the control library, start typing the control name at the bottom of the table. If a new control is required, click **Create New** at the bottom of the table.

| Unique ID | Name | Description | Control Self Assessment | Design Effectiveness | Operating Effectiveness | Workflow State |
|-----------|--|---|-------------------------|----------------------|-------------------------|-----------------|
| C-101.2 | Protection of personal information stored on portable media or devices | Personal information stored on portable media or devices is protected from unauthorized access. | ● Not Tested | ● Not Tested | ● Not Tested | Self Assessment |

[ADD EXISTING CONTROLS](#) [+ CREATE NEW](#)

Control Effectiveness

● Medium

Medium: Control is not consistently effective

The Review Control Documentation section

5. In the **Residual Risk Assessment** section:

- a. Click the **Residual Impact** dropdown menu to select the impact of the risk after the controls have been put in place.
- b. Click the **Residual Likelihood** dropdown menu to select how likely the risk is to occur after the controls have been put in place.

RESOLVER

Compliance Management Determine Applicability Document Controls **Assess Risk** Remediation

Step 3: Residual Risk Assessment

Residual risk refers to the remaining level of risk once risk management activities have been put in place. The residual risk is determined based on the degree to which the controls reduce the level of inherent risk.

Residual Risk Historical Trending

Residual Impact **Residual Likelihood**

● High ● Rare

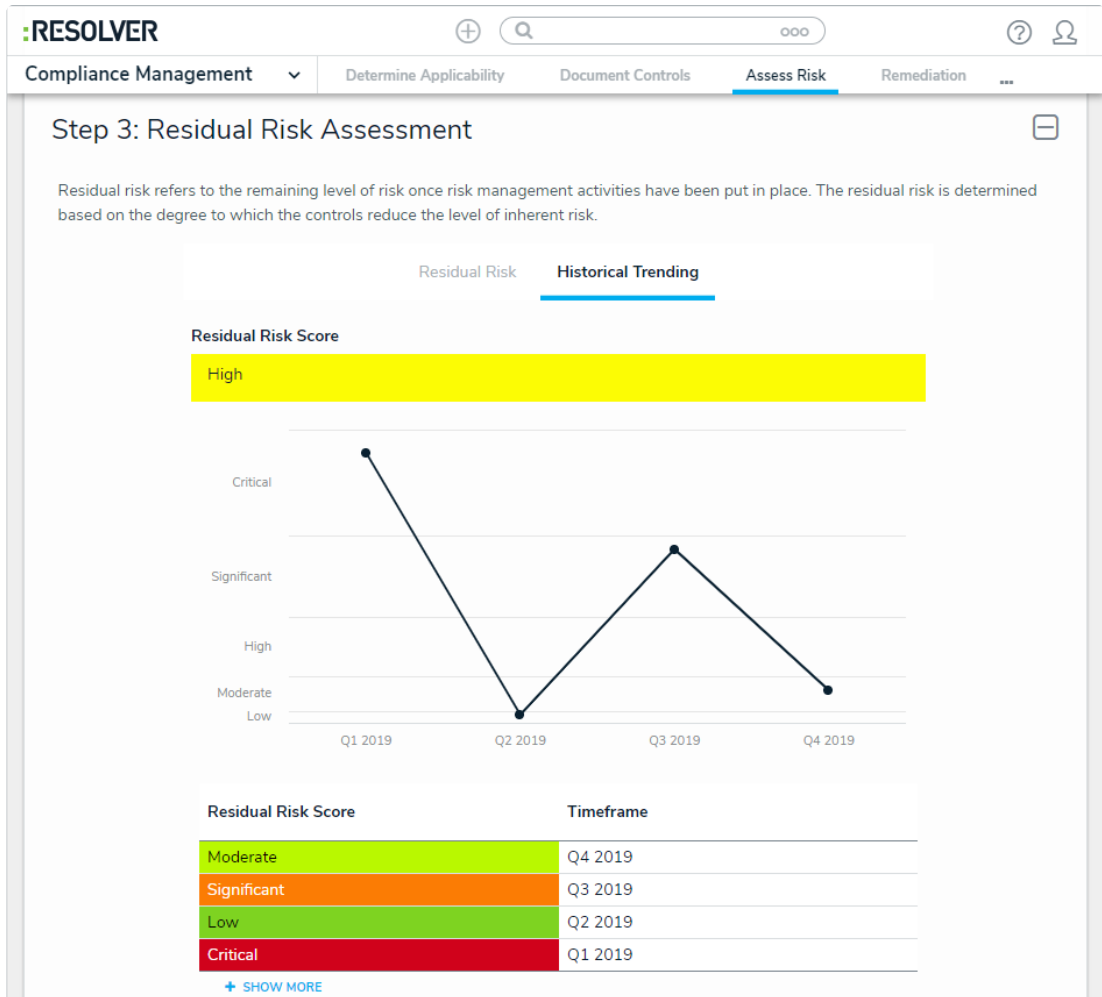
High: Financial loss of \$X million up to \$X million; Limited external reputational impact; Report of breach to regulator with immediate correction to be implemented
Rare: Once in 10 years up to once in 20 year

Residual Risk Score

High

The Residual Risk tab of the Residual Risk Assessment section.

- c. Click the **Historical Trending** tab to view how the residual risk score has fluctuated over time.



The Historical Trending tab of the Residual Risk Assessment section.

6. Optional: In the **Document Issues** section:

- a. Click the name of an issue to make any changes or to close the issue as needed.
- b. Begin typing keywords in the search bar to display a list of existing issues. Click on an appropriate issue to add it to the requirement.
- c. Click **+** to open the **Create a New Issue** palette. Fill in the fields as required.

The screenshot shows a web interface for creating a new issue. At the top, there is a blue header with the text 'Issue Status Creation' and a close button (X). Below the header, the main title 'Create a New Issue' is displayed in a large font. To the right of the title is a red button labeled 'I-XXX'. The form consists of several sections: 'Issue Name' with a text input field; 'Description' with a larger text area; 'Issue Owner' and 'Reviewed By' with dropdown menus containing the placeholder text 'Start typing to find Us...'; and 'Issue Delegate' and 'Priority' with dropdown menus, where the 'Priority' dropdown shows 'Select one...'. A vertical scrollbar is visible on the right side of the form.

The Create a new Issue palette.

7. In the **Determine Level of Compliance** section:
 - a. Select the requirement's level of compliance in the **Compliance Level** select list.
 - b. Enter any comments on the requirement's compliance level in the **Comments on Level of Compliance** field.

Step 5: Determine Level of Compliance ☰

Review the requirement, controls, residual risk, and issues to determine whether the requirement is compliant, partially compliant, or not compliant.

Compliance Level

Select one... ▼

Comments on Level of Compliance

VIEW REQUIREMENT PROFILE

The Determine Level of Compliance section.

8. **Optional:** Expand the **Related Assessments** section to view the assessments related to the risk. Clicking on an assessment will display its **Requirement Review** form.

RESOLVER
+

☰
?
👤

Compliance Management
Determine Applicability
Document Controls
Assess Risk
Remediation
...

Related Assessments ☰

Residual Risk Score

High

| Assessment Name | Inherent Risk Score | Control Effectiveness | Residual Risk Score |
|---------------------------------------|---------------------|-----------------------|---------------------|
| Shared Services Compliance Assessment | Significant | Medium | Moderate |

Comments

Type here to add a comment

VIEW RELATIONSHIP GRAPH
🗑️
✓ DONE

The Related Assessments section.

9. Add [comments](#), as needed.
10. Click one of the following buttons:
 - **Remediation Required:** Send the requirement back to the Requirement Owner if

further input is required.

- **Send to Monitoring:** Transition the requirement to the **Monitoring** state.