

Define Scope of Risk Assessment

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Once an [assessment has been launched](#), Risk Team user group members must scope it to define the assessment's required risk categories, risk sub-categories, risks, or controls.



After launching an assessment, you should scope it immediately. However, the assessment can be also accessed and scoped later in Risk Management > Launch Risk Assessment > Risk Assessment Planning.

To scope an assessment:

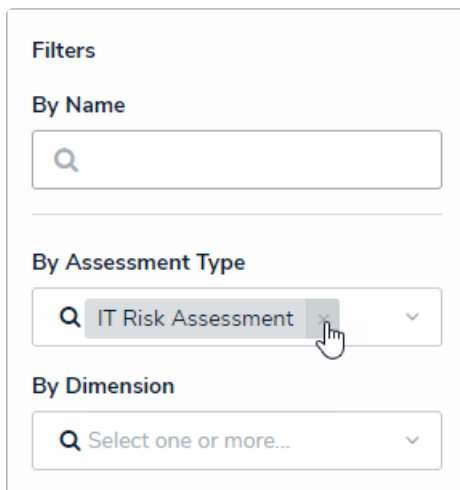
1. Log into a user account from the Risk Team user group.
2. Click the relevant Risk Assessment and click **Define Scope of RCSA**
3. Click **+Add** to select one or more risk categories, processes, or objectives to focus your assessment on.

A list of available risk categories.

4. **Optional:** Use the left-side Filters pane to refine the categories further with one or more of these default filters:
 - **By Name:** Filters which category names are displayed. Type the keywords here, then press the **Enter** key to apply the filter.

- **By Assessment Type:** Filters results by the object or assessment types.
- **By Dimension:** Filters results by assessment context (e.g., Business Unit or Location).
- **By Description/Unique ID:** Filters objects and instances by these properties.
- **By State:** Filters objects and instances by workflow state, including states from other assessment workflows.
- **Location Filters:** Allows you to filter results By House Number, Street, City, Zip Code, State, Country.
- **Count:** Filters by Count Me or Count Me Again.

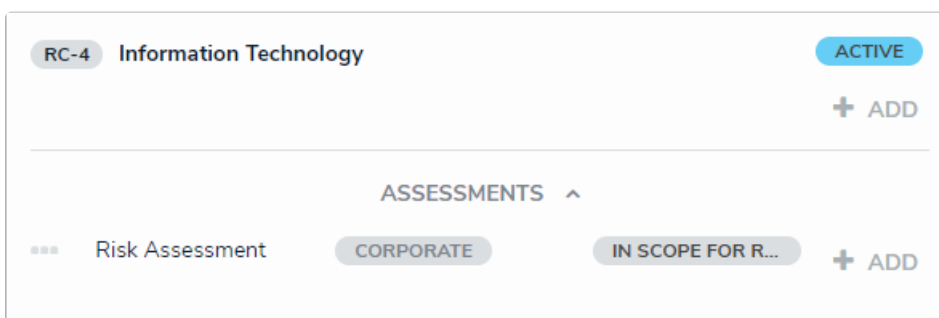
5. **Optional:** To remove any unneeded filters, click the X beside the filter in the Filter Selection field.



The screenshot shows a 'Filters' section with three filter types. The 'By Assessment Type' filter is currently set to 'IT Risk Assessment' and has a small 'X' icon next to it, which a mouse cursor is hovering over, indicating it can be removed. The other filters are 'By Name' (empty search box) and 'By Dimension' (dropdown menu with 'Select one or more...').

Removing unneeded filters from the Filter Selection field.

6. To add a new version of a previously assessed object, click the **Assessments** link below said object, then click **+ Add**.
- For more information about the object, hover your cursor over the ellipsis beside the object.



The screenshot shows an object card for 'RC-4 Information Technology' with an 'ACTIVE' status and a '+ ADD' button. Below the card, there is an 'ASSESSMENTS' link with an upward arrow. Underneath, there is a list of assessments, including 'Risk Assessment' with 'CORPORATE' and 'IN SCOPE FOR R...' tags, and another '+ ADD' button.

Clicking the Assessments link below an object will display any instances that can be added to the assessment.



If an object has not been previously assessed, it will not have any instances and the Assessments link will be hidden.

8. Click **Remove** to remove any unneeded risk categories.

- Click the green banner at the bottom of the page to display the Assessment Navigation form.

There are currently 19 objects added and ready for review

Filters +

Review your scope

Take a look at the scope of your assessment by expanding the tree and seeing if you want to assess. To narrow the scope of your assessment, expand the nodes on the tree and then select or de-select specific items until you have exactly the data you want to assess selected.

Assessment details:
 Risk Assessment — Corporate
 BU Risk Assessment
 Corporate - Business Unit

- Information Technology
 - Data Security
- Legal / Compliance
 - Intellectual Property
 - Regulatory
- Operational
 - Operations
 - People / HR
 - Project
- Strategic
 - Business Continuity
 - Ethics
 - Governance
 - Reputation

CONFIRM SCOPE

The Assessment Navigation form.

- Click the + icons in the tree to expand the nodes and display any relationships or references to the scoped sub-categories, risks, and controls.
- Click the relevant object names in the tree to open the Risk Review palette, as well as any applicable requirements.
- Deselect the checkboxes beside the objects to remove them from the scope.
 - By default, all objects and their relationships or references are selected.
 - Deselecting an object in an upper node will automatically deselect the objects in the nodes immediately below it.
- To filter which objects are displayed in the tree, click the + icon, then **Select object type to filter tree with select list** to show the available plain text, select list, and property filters for that object type.
- To hide the filters, click the ☒ icon.



Instances cannot be deselected from the scoping form. To remove instances from the scope, click the green banner at the top of the page, then click **Remove From Scope** beside the instances in the **Assessments** sections.

The Filters menu is a panel with a title bar and a close button. It contains a dropdown menu for 'Select object type to filter tree with' set to 'Risk Category'. Below this are six search and selection fields: 'By Name', 'By Description', 'By Unique ID', 'By State', 'Location Filters', and 'By Count'. Each field has a search icon and a dropdown arrow.

The Filters menu.

14. Click **Confirm Scope**, then **Review Objects** to determine whether the **Review Objects** page displays.

The 'Please Confirm' dialog box has a blue header. The main text reads: 'You are about to scope 404 objects into your assessment; you have the option to link to the existing assessments of some of these objects. For those objects, please click 'Review Objects' to specify the assessment data to link to.' At the bottom, there are two buttons: 'CANCEL' and 'REVIEW OBJECTS'. A mouse cursor is pointing at the 'REVIEW OBJECTS' button.

The Please Confirm dialog box.

15. **Optional:** To link to all the applicable objects of a particular assessment, click **Assessments** on the **Global Assessments Selection** section, then check **Link to Existing** next to the assessment you wish to use objects from.

The 'Review Objects' page has a title bar and a main heading. Below the heading is a note: 'Please determine whether you want to create a new version or link to the results of existing assessments. Note: Create New Version is selected by default'. The page is divided into three main sections: 'Filters' on the left with search fields for 'By Name' and 'By Unique ID'; 'Global Assessment Selection' on the right with a 'CLEAR SELECTION' button and a 'Link to Existing' radio button; and 'Control' at the bottom with a 'Signature approval on checks' section and a 'Create New Version' radio button.

The Review Objects page.

16. Optional: If you would like to use the version of only one object currently being used by another assessment, click **Assessments** on the applicable object then check **Link to Existing**.

C-2 Signature approval on checks Create New Version

ASSESSMENTS ^

... 2020 Internal Audit ... CORPORATE Link to Existing

C-2 Signature approval on checks Create New Version

ASSESSMENTS ^

... 2020 Internal Audit ... CORPORATE Link to Existing

An object that has a version being used in another assessment.

17. Click **Confirm** to launch the assessment.
- If you created the assessment then accessed it later from a view, the form selected for that view will be displayed after clicking **Yes**. Otherwise, the form used to originally create the assessment will be displayed.