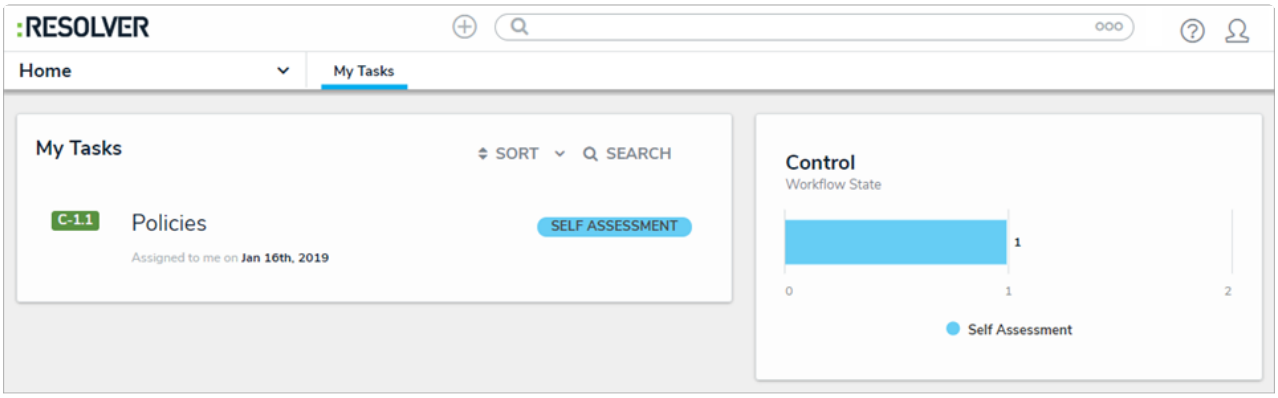
Perform a Control Self-Assessment

Last Modified on 04/05/2023 5:14 pm EDT

Control Owners and their Delegates are responsible for assessing Controls to ensure the Control documentation meets their organization's needs. Controls are linked to a Risk then assigned to a Control Owner. All Controls that require actions from the Control Owner appear on the My Tasks page.

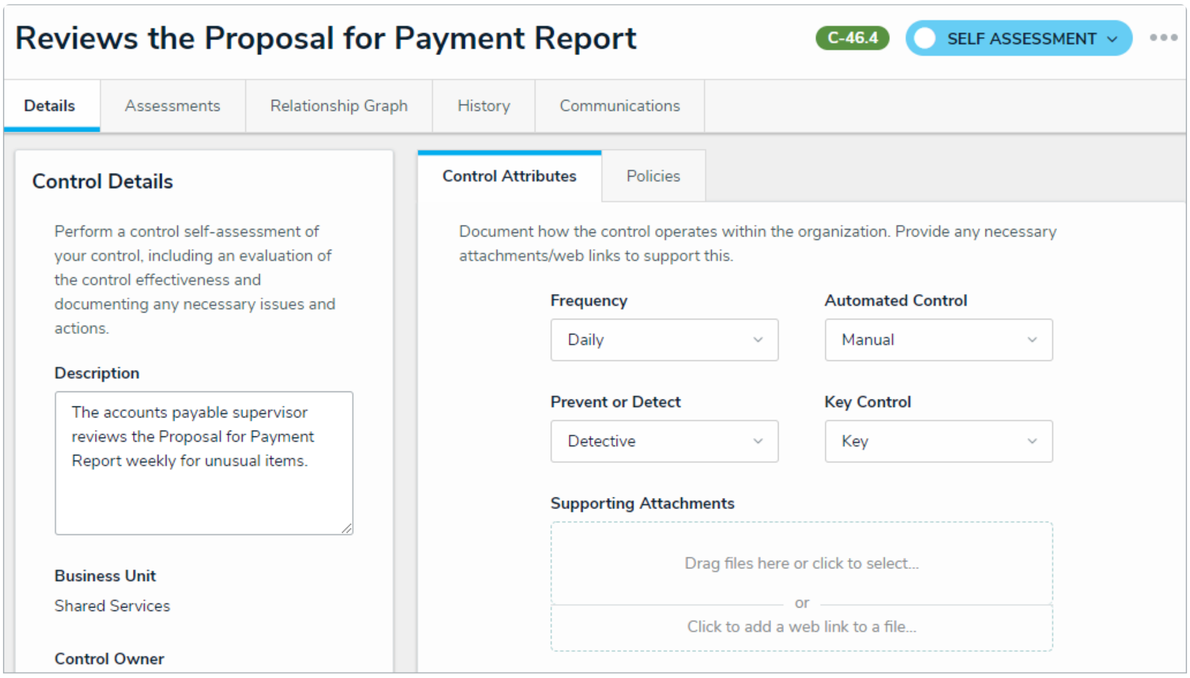


A control assigned to the control owner on the My Tasks page.

To Perform a Control Self-Assessment:

1. Log into a user account from the Control Owner and Delegate User Group to display the **My Tasks** page.

2. Click a Control to open the **Control** form.



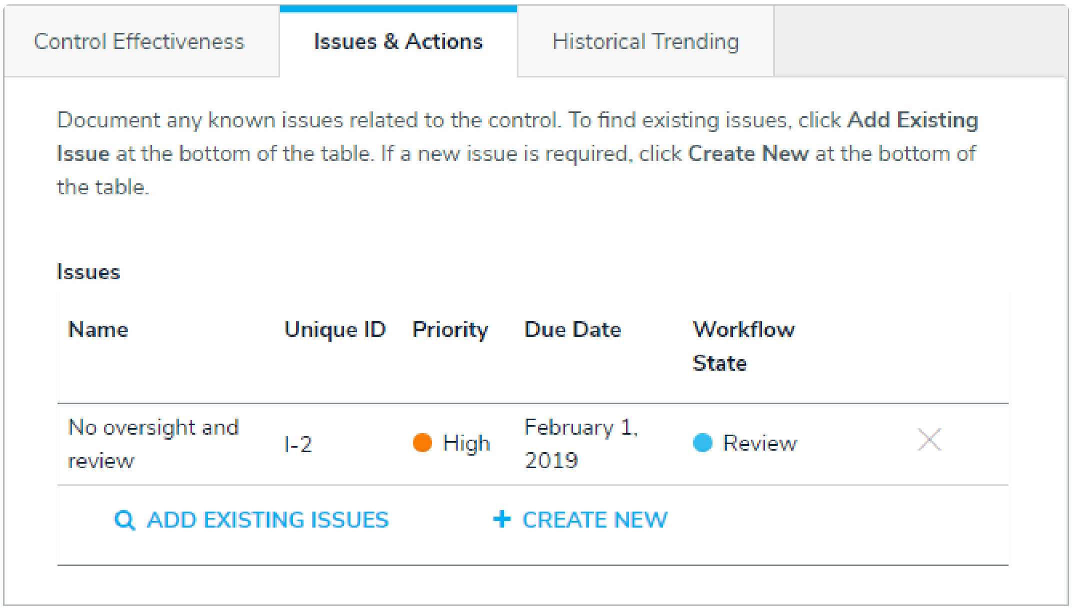
The Control form.

3. **Optional**: Edit the **Control Name** or **Description** fields.
4. Select a Control type option in the **Automated Control** dropdown.

5. Select the frequency of the Control in the **Frequency** dropdown.
6. Select the appropriate option to describe the Control in the **Key Control** dropdown.
7. Select whether the Control is Preventive or Detective in the **Prevent or Detect** dropdown.
8. Drag or browse for a file in the **Supporting Attachments** field. Files can be up to 100 MB in size. Most files types are accepted, however, you cannot upload files with the following extensions:

    - .bat
    - .exe
    - .gif
    - .sh
    - .dll
    - .com

9. Click **Add Existing Policies** under the **Policies** table. Begin typing keywords in the search bar and click **+ Add** next to the desired policy.
10. Select an option that describes the effectiveness of the Control in the **Control Self-Assessment** dropdown.
11. **Optional**: In the **Issues & Actions** section, click **Add Existing Issues**. Begin typing keywords in the search bar and click **+ Add** next to the desired Issue.



The Issues and Corrective Actions section.

12. Click **Submit for Review** to return the Control to the Risk Team for review. If the Risk Team finds the Control requires further remediation, they may send it back to the Control Owner.