

Scope & Launch/Create an Assessment

Last Modified on 11/04/2022 2:50 pm EDT

Overview

When assessing risk within the Risk Management applications, users must complete the following stages for the assessment: create, launch, and scope. Once an assessment has been launched, **Risk Team** user group members must scope it to define its required risk categories, sub-categories, risks, or controls.

If an admin has enabled the option to reuse data from other assessments and you have permission to view those objects, users must review those before the assessment is launched. See the **Review Objects** section below for more information.

User Account Requirements

The user account you use to log into Resolver must have Administrator permission or be part of the Risk Team user group.

Related Setup/Information

For more information on why assessments are scoped and launched, see the Scope & Launch Overview article.

To learn more about the user interface of the scoping tool, see the Scope & Launch User Interface article.

Please refer to the Rely on Previous Assessment Data article for more information on linking previous assessments to a new assessment.

Please refer to the Link to Existing (Rely On) Assessment Data article for more information on reusing data from other assessments.

Please refer to the Reviewing Assessment Objects article for more information on reviewing assessment objects before launching an assessment.

Navigation

1. From the *Home* screen, click the *Home* dropdown menu.



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Home	✓ My Tasks				

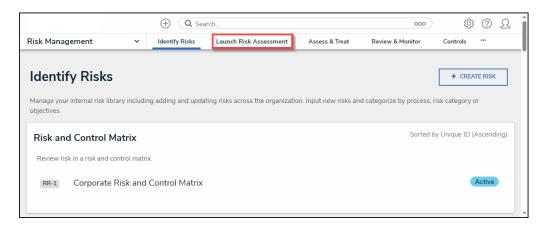
Home Dropdown Menu

2. Select Risk Management from the dropdown menu.

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Home	V My Tasks		
Home			
Portal Tasks			
Risk Management			
Compliance Management project			
Internal Audit Management			
Internal Controls Management			
Vendor Risk Management			
Business Continuity Planning	P		
IT Risk Management			
IT Compliance Management	×		

Risk Management

3. From the *Identify Risk* screen, click the Launch Risk Assessment tab.



Launch Risk Assessment Tab

4. From the *Launch Risk Assessment* screen, click the + Launch Risk Assessment button.



① Search 000 🔅 ? Ω								
Risk Management	~	Identify Risks	Launch Risk Assessment	Assess & Treat	Review & Monitor	Controls ***		
Launch Risk Assessment + LAUNCH RISK ASSESSMENT + LAUNCH PROCESS RISK ASSESSMENT MORE • Launch risk assessment by identifying relevant risks for each business unit and assign risk owners for analysis.								
Risks Requiring A	ssignme	nt			Sorted by	y Unique ID (Ascending		
The following risks have	not been assi	igned a risk owner a	and are waiting to be sent for a	risk assessment.				

+ Launch Risk Assessment Button

Launching an Assessment

 From the *Create a New Risk Assessment* screen, enter a name for the Risk Assessment in the **Risk Assessment Name** field. The Risk Assessment name identifies the Risk Assessment throughout the system.

		G Search	h		000	\$ \$	ß
Risk Management	~	Identify Risks	Launch Risk Assessment	Assess & Treat	Review & Monitor	•••	
Create a No	ew Risk A	Assessmen	t			RA-XXX	•••
Risk Assessme	nt Details						
	Risk Assessmen Workplace	t Name					
	Description						
					li li		
		same Business Unit i sment for reference a	in both fields for reporting cross all applications.	purposes and to tag ris	ks and controls		
	Business Unit		Busines	s Unit 🤨			
	Q		٩		×		
					CREATE		

Risk Assessment Name Field

 Enter a brief description outlining the Risk Assessment in the **Description** field. The **Description** field allows you to enter additional information about the Risk Assessment.



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Risk Management	~	Identify Risks	Launch Risk Asse	essment	Assess & Treat	Review & Monitor		
Create a Ne	ew Risk A	Assessmen	t				RA-XXX	•••
Risk Assessmer	nt Details							
	Risk Assessmen	nt Name						
	Workplace							
	Description							
	This Assessm	ent ensures that a wo	rkplace is free from	n health and	safety threats.			
						Ĺ.		
Please select the same Business Unit in both fields for reporting purposes and to tag risks and controls within this assessment for reference across all applications.								
	Business Unit)		Business Ur	nit 😶			
	Q			Q		×		
					c	CREATE		

Description Field

- Enter a business unit name in the first Business Unit field and select a business unit from the dropdown menu. The first Business Unit field is the Dimension field and tags data.
 Selecting the Dimension will tag the data with the appropriate business unit to help identify similar objects.
- 4. Enter the business unit used in the first **Business Unit** field in the second **Business Unit** field and select a business unit from the dropdown menu. The second Business Unit field is for reporting and establishes a link between the business unit and assessment.



		⊕ Q Searc	h		000	(j)	?	Ω	
Risk Management	~	Identify Risks	Launch Risk Assessment	Assess & Treat	Review & Monitor				
Risk Assessme	nt Details								
	Risk Assessmer	nt Name							
	workplace								
	Description								
	This Assessm	ent ensures that a wo	orkplace is free from health	and safety threats.					
					/				
			in both fields for reporting across all applications.	purposes and to tag risks	s and controls				
	Business Unit	9	Busine	ss Unit 😢					
	Q Business	Unit 1 ×	Q	BU-3 Business Unit 1	× ×				
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Business Unit Fields

5. Click the **Create** button to create the assessment.

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Risk Management	~	Identify Risks	Launch Risk Assess	sment	Assess & Treat	Review & Monitor					
Risk Assessmen	t Details										
	Risk Assessmer	nt Name									
	Workplace										l
	Description										l
	This Assessm	ent ensures that a wo	rkplace is free from I	health and	safety threats.						l
											l
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		e same Business Unit i ssment for reference a			ooses and to tag risk	s and controls					l
	Business Unit 🤇	•	E	Business U	Init 😧						l
	Q Business	Unit 1 ×		Q BU-	3 Business Unit 1	× ×					
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						CREATE					l
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Create Button

Scoping an Assessment

1. From the *Risk Assessment Details* tab, click the **Define Scope of RSCA** button to add



risks and controls to the assessment.

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isk Management 🛛 🗸	Identify F	Risks Launch F	sk Assessment	Assess & Tr	reat Review & Monitor			
Vorkplace				RA-4	DEFINE SCOPE OF AS	SESSMENT	•	••
Details Relationship Graph	History	Communication						
		RCSA" button to det n this assessment.	rmine what risks and		E DEFINE SCOPE OF RCSA			

Define Scope of RSCA Button

2. The *Risk Assessment* screen will appear.

	Q Search	000	\$ \$ \$
Applications ~			
Workplace		EDIT ASSESSM	ENT DETAILS
Business Unit 1 - Business Unit			
You'll be able to perform more granula	nt from the list below. If it's necessary, you can add multiple Risk Categori scoping before you confirm the scope of your assessment. RC-5 Financial	ies to focus on.	ACTIVE + ADD
By Name	RC-4 Information Technology		ACTIVE + ADD
Q	× ASSESSMENTS 、	v	
By Dimension	RC-3 Legal / Compliance		ACTIVE + ADD
By Description			
	There are currently 0 objects added and ready for review 🔺		

Risk Assessment Screen

3. **(Optional)** Use the **Filter** fields to narrow the search results by entering the corresponding keyword in the **Filter** field (e.g., Library in the **By Assessment Type** field) and selecting a filter from the dropdown list.



(Q Search	000	\$\$ @ <u>\</u>
pplications V Filters By Name	RC-5 Financial		ACTIVE + ADD
Q By Assessment Type	RC-4 Information Technology		ACTIVE + ADD
Q ~	ASSESSMENTS ~		
Vendor Assessment Objective Risk Assessment	RC-3 Legal / Compliance		ACTIVE + ADD
Location Audit Location-Specific Framework IT Risk Assessment	RC-2 Operational		ACTIVE + ADD
Security Framework Audit Compliance Assessment	ASSESSMENTS V		
۹ ~	RC-1 Strategic		ACTIVE + ADD
	There are currently 0 objects added and ready for review 🔺		

Filter Fields

4. Click the **Delete (x)** icon next to a filter on a Filter field to remove a filter.

\oplus	Q Search	000	\$? <u>}</u>
Applications ~			
Filters By Name	RC-5 Financial		ACTIVE + ADD
Q By Assessment Type	RC-4 Information Technology		ACTIVE + ADD
Q Library × · · · · · · · · · · · · · · · · · ·	RC-3 Legal / Compliance		ACTIVE + ADD
By Description	RC-2 Operational		ACTIVE + ADD
Q By Unique ID Q	RC1 Strategic		ACTIVE + ADD
By State		Page 1 of 1 (1 to 5 of	5 items) >
т	here are currently 0 objects added and ready for review 🔺		

Delete Icon

5. Click the **+Add** link on risk categories, processes, or objectives to create the assessment focus. Users can select multiple risk categories, processes, or objectives to add to the assessment.



\oplus	Q Search	000	\$ \$ \$
Applications ~			
Workplace		EDIT ASSESSM	ENT DETAILS
Business Unit 1 - Business Unit			
Add a Risk Category to your assessment from the You'll be able to perform more granular scoping b	e list below. If it's necessary, you can add multiple Risk Catego efore you confirm the scope of your assessment.	ories to focus on.	
Filters	RC-5 Financial		ACTIVE
By Name			+ ADD
Q	RC-4 Information Technology		ACTIVE + ADD
By Assessment Type			
	ASSESSMENTS	*	
By Dimension	RC-3 Legal / Compliance		ACTIVE
By Description			+ ADD
The	ere are currently 0 objects added and ready for review 🔺		

+ Add Link

6. An **Assessment** dropdown menu link will appear under an object if the object has previous assessments.

	(Q Search	···· 贷 ⑦ Ω
pplications	~	
Workplace		EDIT ASSESSMENT DETAILS
Business Unit 1 - Business Unit		
	sessment from the list below. If it's necessary, you can add multiple rranular scoping before you confirm the scope of your assessment.	
ilters	RC-5 Financial	ACTIVE
By Name		+ ADD
Q	RC-4 Information Technology	ACTIVE
By Assessment Type	RC-4 Information rechnology	+ ADD
Q	ASSESSME	ents V
By Dimension		
Q	RC-3 Legal / Compliance	ACTIVE
		+ ADD
By Description		
Q	RC-2 Operational	ACTIVE + ADD
By Unique ID		

Assessment Dropdown Link



7. Click the **Assessment** dropdown menu to view the object's previous assessments.

	⊕ Q Search	<u>ک</u> (ی بڑی
pplications ~		
Workplace Business Unit		✔ EDIT ASSESSMENT DETAILS
	ent from the list below. If it's necessary, you can add multiple Risk Categori ar scoping before you confirm the scope of your assessment.	ies to focus on.
By Name	RC-5 Financial	+ ADD
By Assessment Type	RC-4 Information Technology	ACTIVE + ADD
Q	~ ASSESSMEN	ITS ^
By Dimension	Risk Assessment 20 BUSINESS UNIT 1 Test 2 BUSINESS UNIT 1 Test 1 BUSINESS UNIT 1	RISK ASSESSME + ADD ARCHIVED + ADD MONITORING + ADD

Assessment Dropdown Menu

8. Click on the **+ Add** link next to an assessment to add a previously assessed object to the new assessment.

\oplus	Q Search	000	\$ @ L
Applications ~			
Workplace Business Unit 1 - Business Unit		EDIT ASSESSME	ENT DETAILS
Add a Risk Category to your assessment from the I You'll be able to perform more granular scoping bef	ist below. If it's necessary, you can add multiple Risk Categories to foc ore you confirm the scope of your assessment. RC-5 Financial	us on.	ACTIVE
By Name	RC-5 Fillancial		+ ADD
Q By Assessment Type	RC-4 Information Technology		ACTIVE + ADD
	ASSESSMENTS A		
By Dimension	Risk Assessment 20 BUSINESS UNIT 1 Test 2 BUSINESS UNIT 1 Test 1 BUSINESS UNIT 1	RISK ASSES ARCI MONITO	HIVED + ADD
ТТ	here are currently 0 objects added and ready for review 🔺		

+ Add Link

9. As you add risk categories, processes, or objectives, the banner at the bottom of the screen will track the number of objects added to the assessment for review.



	\oplus	Q Search	000	\$ () \$
opplications	~			
Filters By Name		RC-5 Financial		ACTIVE + ADD
Q By Assessment Type		RC-4 Information Technology		ACTIVE - REMOVE
Q. By Dimension	~	ASSESSMENT	rs v	
Q	~	RC-3 Legal / Compliance		ACTIVE + ADD
By Description Q By Unique ID		RC-2 Operational		ACTIVE - REMOVE
Q		ASSESSMENT	rs v	
	Ther	e are currently 37 objects added and ready for review 🔺		

Banner

10. Click the **Banner Arrow** to open the *Assessment Scope* screen.

	G Search			000	\$ \$	Ω
Applications ~						
	There are currently 3	37 objects added and ready for	review 🔻			
Filters					÷	
Review your scope		ormation Technology	~	со	NFIRM SCOPE	-
Take a look at the scope of your	⊕-[@ Op	📼 Data Security erational				
assessment by expanding the tree and seeing if you want to assess. To narrow the scope of your	(+)((+)(😁 Fiduciary Duty				
assessment, expand the nodes on the tree and then select or de-	Ð-[Member Satisfaction				
select specific items until you have	(· Operations				
exactly the data you want to assess selected.	(+)	People / HR				
	(+)	e Project				
Assessment details:	U	- Talenc	~			
Risk Assessment Workplace						
Business Unit 1 - Business Unit						

Assessment Scope Screen

11. (Optional) Click the Expand icon in the *Filters* section and select an Object Type from the Select Object Type to Filter Tree With dropdown menu to show the available plain text, select list, and property filters for that object type. The Navigation Tree will be filtered using the object type selected from the Select Object Type to Filter Tree With dropdown menu.



	\oplus	Q Search	000	\$\$? L
Applications	~			
		There are currently 37 objects added and ready for review 👻		
Filters				•
Select object type to filter tree v	with			
Risk Category				×
Control				
Risk				
Risk Category				
Risk Sub Category				
L				
Review your scope		 Information Technology Data Security 	СОМ	IFIRM SCOPE
Take a look at the scope of your assessment by expanding the tre and seeing if you want to assess narrow the scope of your assessment expand the podes of	. To			

Select Object Type to Filter Tree with Dropdown Menu

12. **(Optional)** Use the **Filter** fields to narrow the search results by entering the corresponding keyword in the **Filter** field (e.g., Creation in the **By State** field) and selecting a filter from the dropdown list.

		\oplus	Q Search		000	\$ \$	Ω
Applications	~						
			There are currently 37 objects added and ready fo	or review 🔻			
Select object type t	to filter tree with						
Risk Category						~	
By Name			By Description	By Unique ID			
Q			Q	Q			
By State							
Q		~	Location Filters	~			
Creation		î					_
 Active 			Information Technology			CONFIRM SCOPE	
 Archived 		- 1	Operational				
🔵 Risk Assessme	ent - Risk Category Wo	rkflow -	🕀 🖷 Fiduciary Duty				
Creation		Ŭ	+ Fraud	✓			
Risk Assessme	ent - Risk Category Wo	rkflow -	🕀 🖷 Member Satisfaction	~			
In Scope for Risk	Assessment		🕀 🖳 😁 Operations				
assess selected.		Ŧ	🕀 🖷 People / HR	Image: A start and a start			

Filter Fields

Review the assessment's scope by clicking the **Expand** icons on the **Navigation Tree Nodes** to review the object's relationships and references. Data Definitions determine the objects that appear on the Navigation Tree.



		000	\$ \$ \$
Applications ~			
	There are currently 37 objects added and ready for review 👻		
Filters			▲
Review your scope	Information Technology	c	ONFIRM 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 Workplace			
Business Unit 1 - Business Unit			

Expand Icon

14. By default, all objects and their relationships and references are automatically selected, including them in the assessment scope. Deselect the checkbox next to an object to remove it from the assessment's scope.

	Q Search	000	\$ \$ \$
Applications ~			
	There are currently 11 objects added and ready for review \checkmark		
Filters			æ
Review your scope	 ← ■ Information Technology ← ■ Data Security 		CONFIRM 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 Workplace Bunness Unit 1 - Bunness Unit	⊕ — ⊕ Talent		

Object Checkbox

15. Deselecting an object in an upper node will automatically deselect the objects in the subnodes below it.



	⊕ Q Search 000	\$ \$ \$
Applications 🗸	There are currently 34 objects added and ready for review 🔹	
Filters		æ
Review your scope	 	CONFIRM 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	Coperational C	
select or de-select specific items until you have exactly the data you want to assess selected.	⊕ ← ⊕ ⊕ ← ⊕ ⊕ ← ⊕ ⊕	
Assessment details: Risk Assessment Workplace Business Unit 1 - Business Unit	⊕ ⊖perations ✓ ⊕ ⊕ People / HR ✓ ⊕ ⊕ Project ✓	
	🕀 — 💮 Talent 🔽	

Deselected Sub-Nodes

16. Click an **Object Name**.

	⊕ Q Search	000	\$ \$ \$ \$ \$ \$ \$
Applications 🗸			
	There are currently 37 objects added and ready for review 👻		
Filters			
Review your scope	 → ■ Information Technology → → ■ Data Security 		CONFIRM 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 Workplace Dosiness Unit 1 – Dusiness Unit	 ⊕ Operations ⊕ People / HR ⊕ Project ⊕ Talent 		

Object Name

16. Depending on the Object (e.g., relationship, references, risk, or control) selected, a pop-up listing more detailed object information will appear. Users may be able to edit the object's content form, depending on their role's workflow permissions.



	Q Search	000	\$ \$ \$
Applications ~			
	There are currently 37 objects added and ready for	review 🔫	
Filters	RISK REVIEW		~~~~×
Review your scope	$\Theta - l$		
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.	Fiduciary Risk Amet nulla facilisi morbi tempu massa.	us iaculis. Vitae et leo duis ut diam qui	History C
Assessment details: Risk Assessment Workplace Business Unit 1 - Business Unit	Fiduciary Risk		
Dusiness Unit 1 - Dusiness Unit	Description		
	Amet nulla facilisi morbi temp massa.	ous iaculis. Vitae et leo duis ut diam quam	nulla porttitor
			h

Pop-up

17. After you have reviewed the assessment scope, click the **Confirm Scope** button.

	Q Search	<u> </u>
Applications ~		
	There are currently 37 objects added and ready for review \bullet	
Filters		æ
Review your scope	⊖ — ⊛ Information Technology ✓ ⊕ → ⊕ Data Security ✓	CONFIRM 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.	Gerational Fiduciary Duty Gerational Gerational	
Assessment details: Risk Assessment Workplace (Daness Unt 1 – Busness Unt)	⊕ ● Operations ⊕ ● People / HR ⊕ ● Project ⊕ ● Talent	

Confirm Scope Button

18. The *Confirm Scope* pop-up will appear, indicating the number of objects in the assessment and if the option to link to existing assessments exists.



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Applications		
	There are currently 37 objects added and ready for review $ extsf{-}$	
Filters		Ð
Review your scope	Information Technology	CONFIRM SCOPE
Take a look at the scope of your assessment by expanding the tree a seeing if you want to assess. To narrow the scope of your assessmer expand the nodes on the tree and th select or de-select specific items unl you have exactly the data you want	nd Confi Fiduciary Duty You Fiduciary Risk exis en Fiduciary Confi Fiduciary Duty You Fiduciary Risk exis For	Tim scope x are about to scope 37 objects into your essment; you have the option to link to the sting assessments of some of these objects. those objects, please click 'Review Objects' to cify the assessment data to link to.
assess selected. Assessment details: Risk Assessment Workplace Business Unit 1 - Business Unit		X CANCEL CONFIRM SCOPE

Confirm Scope Pop-up

19. Click the **Confirm Scope** button to confirm the assessment's scope and launch the assessment.

		000 Đ					
Applications ~							
There are currently 37 objects added and ready for review 👻							
Filters		⊞					
Review your scope	⊖ ■ Information Technology	CONFIRM 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.		Confirm scope X You are about to scope 37 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. X CANCEL CONFIRM SCOPE					
Assessment details: Risk Assessment Workplace Bunnes Unit 1 - Business Unit	 ⊕ People / HR ⊕ Project ⊕ Talent 						

Confirm Scope Button

- 20. If you created the assessment and accessed it from a view, the form selected for that view will be displayed after clicking the **Confirm Scope** button. Otherwise, the form used to create the assessment initially will be displayed.
- 21. If an Administrator enabled the *Link to Existing* feature on the *Configuration tab* on the *Admin: Editing Assessment* screen, and you have the appropriate user permissions.
 Clicking the Confirm Scope button will open the *Review Objects* screen, allowing the



user to review the data before the assessment is launched.

			Feature article for	more infor
on reusing data	a from othe	er assessments.		
				~ ~ ^
	(\pm)	Q Search	000	\$ @ L
Applications	~			
Review Objects				
-		ew version or link to the results of existing assessments.		
Please determine whether		ew version or link to the results of existing assessments. Global Assessment Selection		
Please determine whether Note: Create New Version			sessment's results to all listed objects	
Please determine whether Note: Create New Version		Global Assessment Selection Note: Selecting an option here will apply that as		
Please determine whether Note: Create New Version Filters By Name		Global Assessment Selection Note: Selecting an option here will apply that as	ssessment's results to all listed objects	

Review Options Screen

BACK TO SCOPING CONFIRM

transactions

C 49 Fraul alert/card blocking capture of suspicious

Mandatory AML/ATF training
 Create New Version
 ASSESSMENTS

Create New Version