

EQMS Quick Start Guide



Risk Manager – risk assessment



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Risks List

When you first access the Risk Manager module, you should be greeted by the Risk List. If this is not the case, select Risks from the navigation menu on the left hand side of the screen.



Module Access

This dropdown list allows you to navigate easily between EQMS Modules

Navigation Bar

Links to other areas of the Module such as your To-Do list, the Risk Module, Tools and Log-Out

Risk List Filters

The Risk List will display a list of all Risks you have the permission to view. These results can be filtered down by **Status** or **Risk Class Level**. Additionally, you can display only your own Risks (**Mine**), **Archived Risks** and/or **Inactive Risks**. Also, under **Add Search Criteria** you can filter results using specific metadata

Additional Risk List Filters

Selecting the **plus** icon in the top right will reveal yet more filters for the Risk List. These are: **ID, Org Area, Standards, Tags, Risk Type, Asset, Owner and Title**. These can be used on their own or in combination in order to retrieve the specific data you require

Risk Manager Navigation

As a Risk User, you should have access to the **Risks** list. Also, if the feature is enabled in your system, you will be able to raise and view Risk Suggestions. Any of these options can be viewed by selecting them from the navigation sidebar

Risk List

Selecting a Risk from the list will reveal the Risk Details screen for the chosen Risk

Net Risk Class

By default, the Net Risk Class is displayed in the relevant row for each Risk. If Detectabilities have also been enabled in your system, you may also see the Risk Level

Clone Risk

To 'clone' an existing Risk and create a new record containing the same information ready for you to amend, select the Clone icon

Report Results

Clear Fields

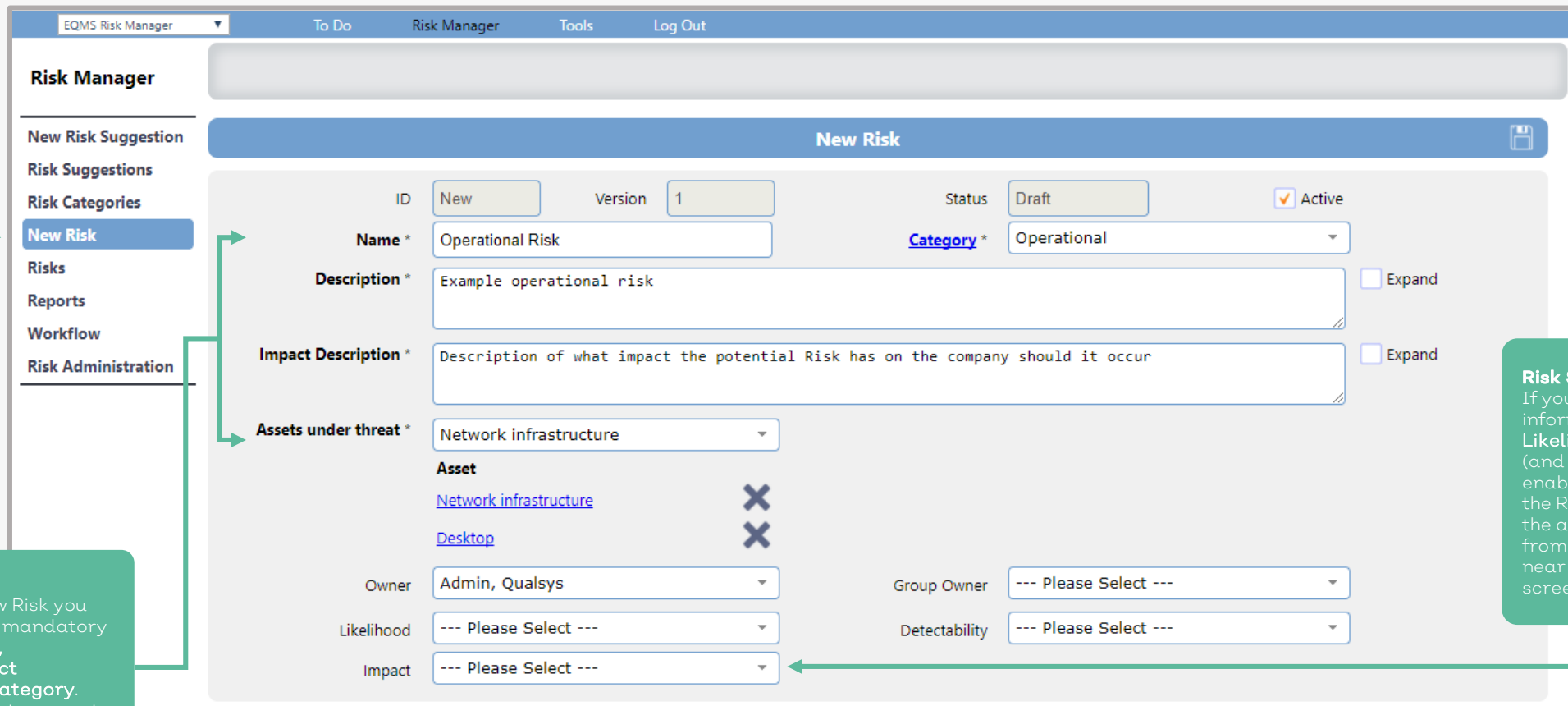
Submit Search

The screenshot shows the Qualsys Risk Manager interface. At the top, there's a navigation bar with 'EQMS Risk Manager', 'To Do', 'Risk Manager', 'Tools', and 'Log Out'. On the left, a sidebar lists 'Risk Manager', 'New Risk Suggestion', 'Risk Suggestions', 'Risk Categories', 'New Risk', 'Risks' (highlighted), 'Reports', 'Workflow', and 'Risk Administration'. The main area is titled 'Risks' and contains filters for 'Risk Class Level' (Low, Medium, High), 'Status' (Submitted, Under Assessment, Assessed, Approved), 'Mine', 'Show Archived', 'Include Inactive', and 'Add Search Criteria' (a dropdown menu). On the right, there are icons for 'Report Results', 'Clear Fields', and 'Submit Search'. Below the filters is a table with 7 columns: ID, Version, Risk Category, Risk, Owner, Status, and Risk Class. The table lists 5 risks, with the first four having a 'Net Risk Class' (red, green, orange, green) and the fifth having a status of 'Approved'.

ID	Version	Risk Category	Risk	Owner	Status	Risk Class
5	1	Legal / Compliance	Compliance Example Risk	Admin, Qualsys	Under Assessment	Red
4	1	Strategic	Strategic Risk Example	Admin, Qualsys	Under Assessment	Green
3	1	Legal / Compliance	Legal Risk Example	Admin, Qualsys	Under Assessment	Orange
2	1	Financial	Financial Risk Example	Admin, Qualsys	Under Assessment	Green
1	1	Operational	Operational Risk Example	Admin, Qualsys	Approved	

Raising a Risk

This guide is aimed at users with the ability to raise and manage new Risks. These are the EQMS system groups RSKMGR and RSKADM.



Risk Manager

EQMS Risk Manager To Do Risk Manager Tools Log Out

New Risk Suggestion

New Risk

ID: New Version: 1 Status: Draft ☒ Active

Name * Operational Risk **Category *** Operational

Description * Example operational risk ☐ Expand

Impact Description * Description of what impact the potential Risk has on the company should it occur ☐ Expand

Assets under threat * Network infrastructure

Asset

[Network infrastructure](#) ☒

[Desktop](#) ☒

Owner Admin, Qualsys **Group Owner** --- Please Select ---

Likelihood --- Please Select --- **Detectability** --- Please Select ---

Impact --- Please Select ---

New Risk
Selecting New Risk from the side bar will reveal a blank New Risk details screen

Risk Details
When raising a New Risk you must complete the mandatory detail fields. **Name**, **Description**, **Impact Description** and **Category**. You must also select an asset (or multiple) from the Assets under threat dropdown box

Risk Scores
If you already have information regarding the **Likelihood** and **Impact** (and **Detectability** of enabled in your system) of the Risk, you can select the appropriate scores from the dropdown boxes near the bottom of the screen

Kick-off Workflow

Behind each Risk should be a workflow configured to process and handle the assessment and mitigation. Once a risk has been raised, you will need to either kick-off the predefined workflow, or select the suitable workflow to use. To do this, access the Workflow tab from the Risk Header bar. You will be presented with a screen similar to below.

Workflow

If no workflow has been selected, choose the suitable one from the dropdown box

Actions

Prior to kick-off, the actions can be rearranged by selecting the up and down arrows. Actions can be set to be carried out in parallel by having them listed with the same sequence number in the workflow. The subsequent action will be issued once all parallel actions have been completed.

Selecting an Action from the list will reveal the Action Details screen.

From here you can override the Target Period. If the action is 'modifiable' then you will also be able to amend the actionee

Risk DetailsAssessmentsJournalWorkflowDocumentsStandardsOrganisationsAssociated ItemsTagsControls

Workflow

AssessmentOPRA - Operational Risk Assessment

Sequence	Title	Actionee	Status
1	Review	Qualsys Admin	Awaiting Issue
2	Response	Qualsys Admin	Awaiting Issue
3	Management Plan	Qualsys Admin	Awaiting Issue
4	Immediate Action	Qualsys Admin	Awaiting Issue
5	Long Term Action	Qualsys Admin	Awaiting Issue
6	Re-assessment	Qualsys Admin	Awaiting Issue
7	Approval	Qualsys Admin	Awaiting Issue

History

Save

Kick-Off
Workflow

Add Action

Process Workflow

In order to start the workflow, select the Kick-Off icon. This will issue the first action in the workflow. Subsequent actions will be issued as the previous action is completed.

Add Controls

To mitigate and handle the risks highlighted in your Risk records, you can associate and assign controls to each specific Risk record. To do this, select the Controls tab from the Risk Details header bar. You will be presented with a screen similar to below.



Controls Screen

If no controls have been linked, you will see a screen similar to the one shown here

The screenshot shows the 'Controls' tab selected in the header bar. Below the header, there's a search bar with 'Title' and 'Type' filters. The main content area is divided into two sections: 'Unlinked Controls' and 'Linked Controls'. The 'Unlinked Controls' section has a dropdown menu for 'Owner' set to '--- Please Select ---' and a message 'There are no Controls to show'. The 'Linked Controls' section has a message 'There are no Controls linked to this Risk.'.

Risk Details Assessments Journal Workflow Documents Standards Organisations Associated Items Tags Controls

Controls

Title Type

Unlinked Controls

Owner --- Please Select ---

There are no Controls to show

Linked Controls

There are no Controls linked to this Risk.

Add Control

Select this icon to associate a new control to this Risk Record. The Add Control and Control Details pop-up window will appear

Control Details

To add a new control to link with the Risk you need to complete the mandatory fields: Title, Type, Review (Days) and Owner.

Additionally, a description can prove helpful to other users who may review the risk and inform the Owner designated for this control.

Note: Review dates specifies when the control should be reviewed for effectiveness

The screenshot shows the 'Add Control' pop-up window. It has a title bar 'Add Control' and a close button. Below it is a section titled 'Control Details' with a save icon. The form contains several fields: 'ID' with a 'New' button, 'Title *' with the value 'Example Corrective Action', 'Description' with the value 'Description of the control being associated', 'Type *' with a dropdown menu showing 'Corrective controls', 'Review (Days) *' with the value '3', 'Owner *' with a dropdown menu showing 'Admin, Qualsys', and an 'Active' checkbox.

Add Control

Control Details

ID New

Title * Example Corrective Action

Description Description of the control being associated

Type * Corrective controls

Review (Days) * 3

Owner * Admin, Qualsys

Active ☐

Assessments

As part of Risk Assessment, you must set specific scores against a Risk for the Impact, Likelihood and, if enabled, the Detectability of a Risk. After each control is applied and reviewed, the score should also be reviewed and updated. Selecting the Assessments tab from the Risk Details header bar.



Assessment List

Each assessment will be listed chronologically and displays key information for the assessment

Assessment Details

To reveal additional information regarding the previous assessments, select the relevant row in the assessments list

Assessments					
Date Assessed	Risk Class Level	Impact	Likelihood	Assessed By	
19 Sep 2017 15:09	High	Standard - 2. Minor	Standard - 3. Possible (30% - 40%)	Admin, Qualsys	

New Assessment

To raise a new assessment against the risk record, select the **Add New** icon

This will reveal the New Assessment details as shown below

Assessments

Please input new assessment values

Likelihood

--- Please Select ---

Impact

--- Please Select ---

Assessment

Select the new scores from the dropdown boxes and then select the Save icon below to confirm. The assessment will be added to the list and the score for the Risk will be updated to the latest calculation

Aizlewood's Mill,
Nursery Street,
Sheffield
S3 8GG

 +44 114 282 3338

 info@qualsys.co.uk

