RISK SUPER ADMIN CONTROL TASKS

FUNCTIONAL REQUIREMENT SPECIFICATION (FRS) DOCUMENT

Super Admin (Risk)

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RSACT-01: Risk Matrix Attributes Default Set Up

Risk Matrix Attributes

Task Control Ref	Major/ Sub Tasks	Task Dependencies
1.1.	**Risk Matrix Attributes (Default Values):** − The Risk Matrix Attributes are input points for each Risk Definition/ Statement that gets built within the Risk Document at client side. − Risk Document that will be created with certain default attributes for which information is provided directly by the Super Admin, but Client side Admin can also further add to the Risk Attributes List. − The data in above attributes need to be provided by the Super Admin (Risk). − These default values need to be imported by the client side Admin to be used at their level.	•

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PFM-01 -

RSACT-01: Risk Matrix Attributes (Default Values)

Process Control Ref	Process Flow	Control References
RSACT-01A **RSACT-01A.1** **RSACT-01A.2** **RSACT-01A.3**	**Type of Risk:** **ADD Type of Risk**: – Type of Risk Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Type of Risk Name. Certain 'default values' need to be input by User Role: Implementor. – Type of Risk Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Type of Risk. **EDIT Type of Risk**: – Search and Select Type of Risk Name from the 'List of Type of Risk' that needs to be edited. – Edit Type of Risk Name or Description and UPDATE with changes. – Any change in Type of Risk field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Type of Risk**: – Search and Select Type of Risk Name from the 'List of Type of Risk' that needs to be viewed. – View 'List of Type of Risk' created with name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-01B **RSACT-01B.1** **RSACT-01B.2**	**Risk Classification:** **ADD Risk Classification**: – Select Type of Risk under which Risk Classification needs to be created. – Risk Classification Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Classification Name. – Risk Classification Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Classification. **EDIT Risk Classification**: – Search and Select Risk Classification Name from the 'List of Risk Classification' that needs to be edited. – Select Type of Risk if change in grouping is required. – Edit Risk Classification Name or Description and UPDATE with changes. – Any change in Risk Classification field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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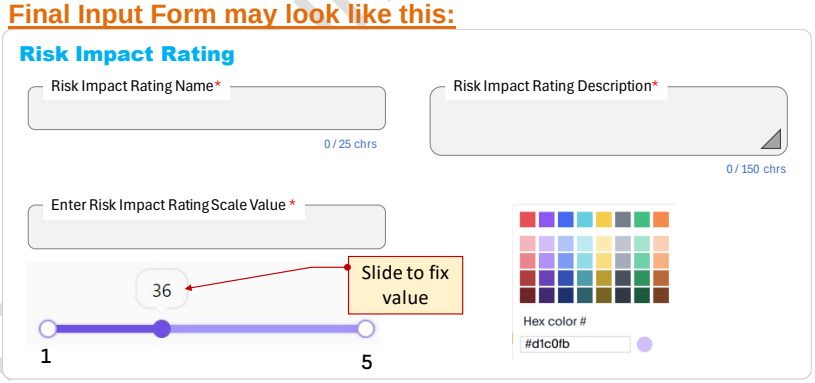
Process Control Ref	Process Flow	Control References
RSACT-01B.3	**<u>VIEW Risk Classification</u>**: – Search and Select Risk Classification Name from the 'List of Risk Classification' that needs to be viewed. – View 'List of Risk Classification' created with dependent Type of Risk, name of creator/ editor, last edited on and any description text.	
RSACT-01C **RSACT-01C.1**	**Risk Impact Rating:** **<u>ADD Risk Impact Rating</u>**: – Risk Impact Rating Name [Text Field; VarChar – 25Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Impact Rating Name against the position number as per relevance. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Risk Impact Rating need to be configured by Administrator (value should not be less than 3 and more than 5)*] [Validation: *1) The order needs to be set with regard to relevance from highest relevance position to lowest. For eg, if No. 1 has the most impact position, then numbers in increasing order will have lower relevance allotted. 2)* ***Default Value example – 3 list options*** *defined as,* ***a) High, b) Medium, c) Low***] – Risk Impact Rating Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for each Risk Impact Rating. – Enter Risk Impact Rating Scale [Number Field; Value Range: Min – 1 to Max - 5; Mandatory; Color selection with hex code]: The rating scale value will be entered against each Risk Impact Rating Name, and the same will be used for calculating rating score in relation to probability of that event being occurred. Further, select a Color from pre-defined color palette to signify the rating scale selected [Validation: *1) The number range can lie between 1 to 5 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each risk impact rating value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) High – 5 [Red], b) Medium – 3 [Yellow], c) Low – 1 [Green].***] – **<u>Final Input Form may look like this:</u>**  	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-01C.2	**<u>EDIT Risk Impact Rating</u>**: – Search and Select Risk Impact Rating Name from the 'List of Risk Impact Rating' that needs to be edited. – Edit Risk Impact Rating Name or add/ move position level or Description or Risk Impact Rating Scale and **UPDATE** with changes – Any change in Risk Impact Rating field(s) **does not affect** any previous Assessments concluded or to all assessments that are 'in progress' and where result has not been published/ assessed. The changes will affect only the new assessments that will map the changed values. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document.	

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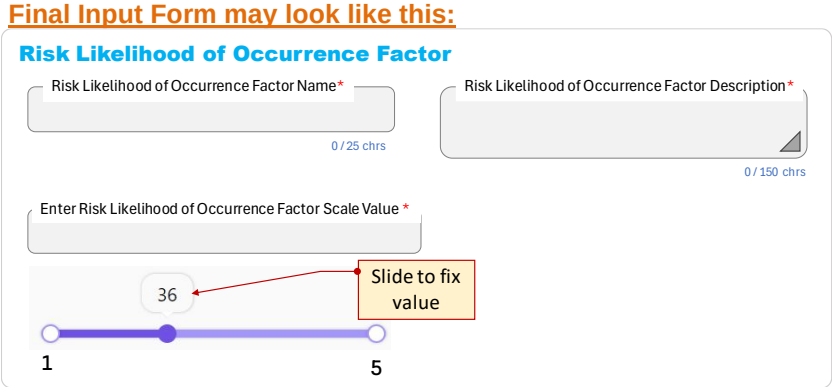
Process Control Ref	Process Flow	Control References
RSACT-01C.3	**VIEW Risk Impact Rating**: – Search and Select Risk Impact Rating Name from the 'List of Risk Impact Rating' that needs to be viewed. – View 'List of Risk Impact Rating' created with name of creator/ editor, last edited on, position level of relevance mapped, and any description text. – **Final Output may look like this:**	

Risk Impact Rating:

#	Risk Impact Rating	Risk Impact Rating Scale Value *(default: sorted in descending order)*	Colour Reference
1	High	*5*	🔴
2	Medium	3	🔵
3	Low	1	🟢

Process Control Ref	Process Flow	Control References
RSACT-01D **RSACT-01D.1**	**Risk Likelihood of Occurrence Factor:** **ADD Risk Likelihood of Occurrence Factor**: – Risk Likelihood of Occurrence Factor Name [Text Field; VarChar – 25Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Likelihood of Occurrence Factor Name against the position number as per relevance. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Risk Likelihood of Occurrence Factor need to be configured by Administrator (value should not be less than 3 and more than 5)*] [Validation: *1) The order needs to be set with regard to relevance from highest relevance position to lowest. For eg, if No. 1 has the most impact position, then numbers in increasing order will have lower relevance allotted. 2)* ***Default Value example – 3 list options*** *defined as,* ***a) Likely, b) Moderate, c) Unlikely***] – Risk Likelihood of Occurrence Factor Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for each Risk Likelihood of Occurrence Factor. – Enter Risk Likelihood of Occurrence Factor Scale [Number Field; Value Range: Min – 1 to Max - 5; Mandatory]: The Risk Likelihood of Occurrence Factor value will be entered against each Risk Likelihood of Occurrence Factor Name, and the same will be used for calculating rating score in relation to risk impact of that event being occurred. [Validation: *1) The number range can lie between 1 to 5 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Risk Likelihood of Occurrence Factor value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Likely - 5, b) Moderate - 3, c) Unlikely - 1.***] – **Final Input Form may look like this:**	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA



EDIT Risk Likelihood of Occurrence Factor:

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Process Control Ref	Process Flow	Control References
RSACT-01D.2	– Search and Select Risk Likelihood of Occurrence Factor Name from the 'List of Risk Likelihood of Occurrence Factor' that needs to be edited. – Edit Risk Likelihood of Occurrence Factor Name or add/ move position level or Description or Risk Likelihood of Occurrence Factor Scale and **UPDATE** with changes – Any change in Risk Likelihood of Occurrence Factor field(s) **does not affect** any previous Assessments concluded or to all assessments that are 'in progress' and where result has not been published/ assessed. The changes will affect only the new assessments that will map the changed values. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document.	
RSACT-01D.3	**VIEW Risk Likelihood of Occurrence Factor**: – Search and Select Risk Likelihood of Occurrence Factor Name from the 'List of Risk Likelihood of Occurrence Factor' that needs to be viewed. – View 'List of Risk Likelihood of Occurrence Factor' created with name of creator/ editor, last edited on, position level of relevance mapped, and any description text. – **Final Output may look like this:** **Risk Likelihood of Occurrence Factor:** \# | Risk Likelihood of Occurrence Factor | Risk Likelihood of Occurrence Factor Value *(default: sorted in descending order)* | Colour Reference 1 | High | *5* | 🔴 2 | Medium | 3 | 🔵 3 | Low | 1 | 🟢	
RSACT-01E **RSACT-01E.1**	**Risk Categorization:** **ADD Risk Category**: – Risk Category Name [Text Field; VarChar – 25Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Category Name. Certain 'default values' need to be input by User Role: Implementor. – Risk Category Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Category.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-01E.2	**EDIT Risk Category**: – Search and Select Risk Category Name from the 'List of Risk Category' that needs to be edited. – Edit Risk Category Name or Description and UPDATE with changes. – Any change in Risk Category field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document.	
RSACT-01E.3	**VIEW Risk Category**: – Search and Select Risk Category Name from the 'List of Risk Category' that needs to be viewed. – View 'List of Risk Category' created with name of creator/ editor, last edited on and any description text.	
RSACT-01F **RSACT-01F.1**	**Risk Cause List:** **ADD Risk Cause List**: – Risk Cause List Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Cause List	**User Role**: Super Admin **Status Tracking**: NA

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Process Control Ref	Process Flow	Control References
RSACT-01F.2 **RSACT-01F.3**	Name. Certain 'default values' need to be input by User Role: Implementor. – Risk Cause List Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Cause List. **<u>EDIT Risk Cause List</u>**: – Search and Select Risk Cause List Name from the 'List of Risk Cause List' that needs to be edited. – Edit Risk Cause List Name or Description and UPDATE with changes. – Any change in Risk Cause List field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document. **<u>VIEW Risk Cause List</u>**: – Search and Select Risk Cause List Name from the 'List of Risk Cause List' that needs to be viewed. – View 'List of Risk Cause List' created with name of creator/ editor, last edited on and any description text.	**Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-01G **RSACT-01G.1**	**Risk Priority:** **<u>ADD Risk Priority</u>**: – Risk Priority Name [Text Field; VarChar – 25Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Priority Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Risk Priority Names need to be configured by Administrator (value should not be less than 3 and greater than 10)*] [Validation: *1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*] – Set Rating Level Range [Number Field; Value Range – Min 1 to Max 100; Unique; Mandatory; color selection with hex codes]: The Super Admin will need to enter range of numbers against each Risk Priority Name. Certain 'default values' need to be input by User Role: Implementor. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation: *1) The number range can lie between 1 to 100 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Rating Level 'Critical Risk' the range may be set between 16 and 25 [Red]. Similarly, for Rating Level 'Medium Risk' the range may be set between 6 and 15 [Yellow]. Thus, for Score Indicator 'Low Risk' number range between 5 and 10 will not be allowed, as 10 already falls in between the range used by 'Medium Risk' indicator, hence the number to set has to be less than 6 [Green].* – Risk Priority Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Priority. – **<u>Final Input Form may look like this:</u>**	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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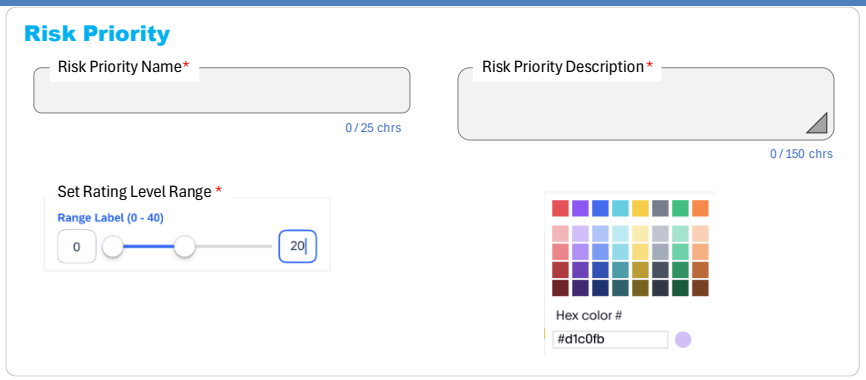
Process Control Ref	Process Flow	Control References
RSACT-01G.2		
RSACT-01G.3	**EDIT Risk Priority**: – Search and Select Risk Priority Name from the 'List of Risk Priority' that needs to be edited. – Edit Risk Priority Name or Rating Level Range or Description and **UPDATE** with changes. – Any change in Risk Priority field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted. **VIEW Risk Priority**: – Search and Select Risk Priority Name from the 'List of Risk Priority' that needs to be viewed. – View 'List of Risk Priority' created with name of creator/ editor, last edited on, rating level range mapped, and any description text. – **Final Output may look like this:** **Risk Priority:** \# | Risk Priority | Risk Priority Range *(default: sorted in descending order)* | Colour Reference 1 | High | *75 – 100* | 🔴 2 | Medium | 50 – 74 | 🔵 3 | Low | 1 – 49 | 🟢	
RSACT-01H **RSACT-01H.1** **RSACT-01H.2**	**Potential Business Impact:** **ADD Potential Business Impact**: – Potential Business Impact Name [Text Field; VarChar – 150Chrs; Unique; Mandatory]: The Super Admin will need to enter the Potential Business Impact Name. Certain 'default values' need to be input by User Role: Implementor. – Potential Business Impact Description [Text Field; VarChar – 2500Chrs; Optional]: The Super Admin may enter detailed Potential Business Impact Description for easy reference for the reader explaining the repercussions if risk comes true. – Select to Show Description in Risk Document [select Yes/ No; Optional]: The User can allow to show Description in Risk Document. Default value is "No". **EDIT Potential Business Impact**: – Search and Select Potential Business Impact Name from the 'List of Potential Business Impact' that needs to be edited. – Edit Potential Business Impact Name or Description and UPDATE with changes. – Any change in Potential Business Impact field(s) does not affect any live change in Assessment being carried out. However, where any	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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Process Control Ref	Process Flow	Control References
RSACT-01H.3	Risk Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Potential Business Impact**: – Search and Select Potential Business Impact Name from the 'List of Potential Business Impact' that needs to be viewed. – View 'List of Potential Business Impact' created with name of creator/ editor, last edited on and any description text.	
RSACT-01I **RSACT-01I.1** **RSACT-01I.2** **RSACT-01I.3**	**Loss Event Threat Category (L1):** **ADD Loss Event Threat Category (L1)**: – Loss Event Threat Category (L1) Name [Text Field; VarChar – 150Chrs; Unique; Mandatory]: The Super Admin will need to enter the Loss Event Threat Category (L1) Name. Certain 'default values' need to be input by User Role: Implementor. – Loss Event Threat Category (L1) Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for Loss Event Threat Category (L1). – Select to Show Description in Risk Document [select Yes/ No; Optional]: The User can allow to show Description in Risk Document. Default value is "No". **EDIT Loss Event Threat Category (L1)**: – Search and Select Loss Event Threat Category (L1) Name from the 'List of Loss Event Threat Category (L1)' that needs to be edited. – Edit Loss Event Threat Category (L1) Name or Description and UPDATE with changes. – Any change in Loss Event Threat Category (L1) field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Loss Event Threat Category (L1)**: – Search and Select Loss Event Threat Category (L1) Name from the 'List of Loss Event Threat Category (L1)' that needs to be viewed. – View 'List of Loss Event Threat Category (L1)' created with name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-01J **RSACT-01J.1** **RSACT-01J.2**	**Loss Event Threat Category (L2):** **ADD Loss Event Threat Category (L2)**: – Select Loss Event Threat Category (L1) under which Threat Category (L2) needs to be created. – Loss Event Threat Category (L2) Name [Text Field; VarChar – 150Chrs; Unique; Mandatory]: The Super Admin will need to enter the Loss Event Threat Category (L2) Name. Certain 'default values' need to be input by User Role: Implementor. [**Validation** - Default Value: "N.A."] – Loss Event Threat Category (L2) Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for Loss Event Threat Category (L2). – Select to Show Description in Risk Document [select Yes/ No; Optional]: The User can allow to show Description in Risk Document. Default value is "No". **EDIT Loss Event Threat Category (L2)**: – Search and Select Loss Event Threat Category (L2) Name from the 'List of Loss Event Threat Category (L2)' that needs to be edited. – Select Loss Event Threat Category if change in grouping is required – Edit Loss Event Threat Category (L2) Name or Description and UPDATE with changes.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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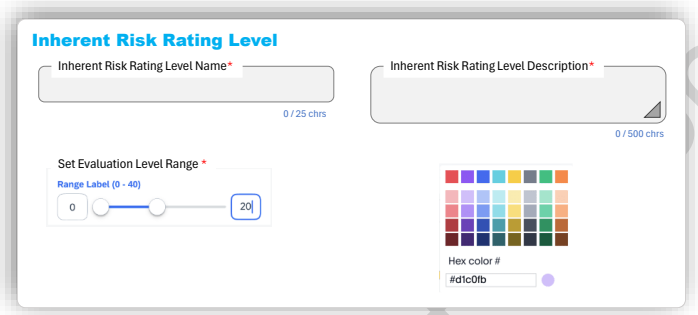
Process Control Ref	Process Flow	Control References
RSACT-01J.3	– Any change in Loss Event Threat Category (L2) field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Loss Event Threat Category (L2)**: – Search and Select Loss Event Threat Category (L2) Name from the 'List of Loss Event Threat Category (L2)' that needs to be viewed. – View 'List of Loss Event Threat Category (L2)' created with dependent threat category (L1), name of creator/ editor, last edited on and any description text.	
RSACT-01K **RSACT-01K.1**

Process Control Ref	Process Flow	Control References
	Super Admin will need to enter range of numbers against each Inherent Risk Rating Level Name. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation: *1) The number range can lie between 1 to 25 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Evaluation Level 'High Risk' the range may be set between 16 and 25. Similarly, for Evaluation Level 'Medium Risk' the range may be set between 5 and 15. Thus, for Score Indicator 'Low Risk' number range between 1 and 10 will not be allowed, as 10 already falls in between the range used by 'Medium Risk' indicator, hence the number to set has to be less than 5.* – Inherent Risk Rating Level Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for Inherent Risk Rating Level. – **Final Input Form may look like this:**  	
RSACT-01L.2	**EDIT Inherent Risk Rating Level**: – Search and Select Inherent Risk Rating Level Name from the 'List of Inherent Risk Rating Level' that needs to be edited. – Edit Inherent Risk Rating Level Name or Evaluation Level Range or Description and **UPDATE** with changes. – Any change in Inherent Risk Rating Level field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted.	
RSACT-01L.3	**VIEW Inherent Risk Rating Level**: – Search and Select Inherent Risk Rating Level Name from the 'List of Inherent Risk Rating Level' that needs to be viewed. – View 'List of Inherent Risk Rating Level' created with name of creator/ editor, last edited on, evaluation level range mapped, and any description text. – **Final Output may look like this:** **Inherent Risk Rating Level:** (# / Inherent Risk Rating Level / Inherent Risk Rating Level Range *(default: sorted in descending order)* / Colour Reference) 1 / High Risk / *16 – 25* / 🔴 2 / Medium Risk / 9 – 15 / 🔵 3 / Low Risk / 1 – 8 / 🟢	
RSACT-01M	**Risk Intensity:**	**User Role**:

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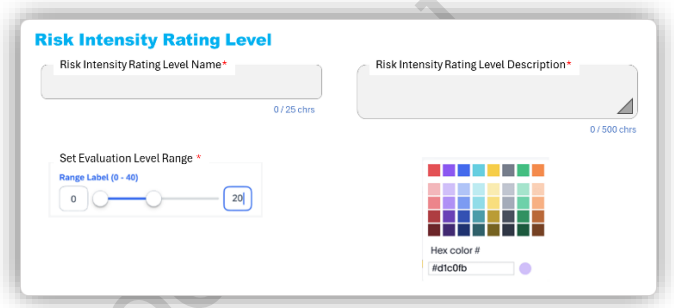
Process Control Ref	Process Flow	Control References
RSACT-01M.1	**ADD Risk Intensity Rating Level**: – Risk Intensity Level Name [Text Field; Unique; VarChar – 25Chrs; Mandatory]: The Super Admin will need to enter the Risk Intensity Rating Level Name. [*Limit on number of Risk Intensity Rating Level Names need to be configured by Administrator (value should not be less than 3 and greater than 10)*] [Validation: *1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*] – Set Evaluation Level Range [Number Field; Value Range – Min 1 to Max 25; Unique; Mandatory; color selection with hex codes]: The Super Admin will need to enter range of numbers against each Risk Intensity Rating Level Name. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation: *1) The number range can lie between 1 to 25 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Evaluation Level 'High Risk' the range may be set between 16 and 25. Similarly, for Evaluation Level 'Medium Risk' the range may be set between 5 and 15. Thus, for Score Indicator 'Low Risk' number range between 1 and 10 will not be allowed, as 10 already falls in between the range used by 'Medium Risk' indicator, hence the number to set has to be less than 5.* – Risk Intensity Rating Level Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for Risk Intensity Rating Level. – **Final Input Form may look like this:**  	Super Admin
RSACT-01M.2	**EDIT Risk Intensity Rating Level**: – Search and Select Risk Intensity Rating Level Name from the 'List of Risk Intensity Rating Level' that needs to be edited. – Edit Risk Intensity Rating Level Name or Evaluation Level Range or Description and **UPDATE** with changes. – Any change in Risk Intensity Rating Level field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted.	
RSACT-01M.3	**VIEW Risk Intensity Rating Level**: – Search and Select Risk Intensity Rating Level Name from the 'List of Risk Intensity Rating Level' that needs to be viewed. – View 'List of Risk Intensity' created with name of creator/ editor, last edited on, evaluation level range mapped, and any description text. – **Final Output may look like this:**	

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Process Control Ref	Process Flow	Control References
	Risk Intensity Rating Level: | # | Risk Intensity Rating Level | Risk Intensity Rating Level Range *(default: sorted in descending order)* | Colour Reference | | 1 | High Risk | *16 – 25* | 🔴 | | 2 | Medium Risk | 9 – 15 | 🔵 | | 3 | Low Risk | 1 – 8 | 🟢 |	
RSACT-01N **RSACT-01N.1** **RSACT-01N.2** **RSACT-01N.3**	**Risk Event Frequency:** **ADD Risk Event Frequency**: – Risk Event Frequency Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Event Frequency Name. Certain 'default values' need to be input by User Role: Implementor. [**Validation** - Default Value: "N.A."] – Risk Event Frequency Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Event Frequency. **EDIT Risk Event Frequency**: – Search and Select Risk Event Frequency Name from the 'List of Risk Event Frequency' that needs to be edited. – Edit Risk Event Frequency Name or Description and UPDATE with changes. – Any change in Risk Event Frequency field(s) does not affect any live change in Assessment being carried out. However, where any Risk Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Risk Event Frequency**: – Search and Select Risk Event Frequency Name from the 'List of Risk Event Frequency' that needs to be viewed. – View 'List of Risk Event Frequency' created, name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin
RSACT-01O **RSACT-01O.1**	**Risk Activity Frequency:** **ADD Risk Activity Frequency**: – Define Risk Activity Frequency [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Activity Frequency Name. Certain 'default values' need to be input by User Role: Implementor. – Risk Activity Frequency Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Activity Frequency. – Enter Risk Activity Frequency Rating Scale [Number Field; Value Range: Min – 1 to Max - 100; Mandatory]: The rating scale value will be entered against each Frequency of Control Name, and the same will be used for calculating rating score in relation to selection of such Activity Frequencyl. [Validation*: 1) The number range can lie between 1 to 100 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Frequency of Control value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Annual - 5, b) Monthly - 20, c) Daily - 30****.*] – **Final Input Form may look like this:**	**User Role**: Super Admin

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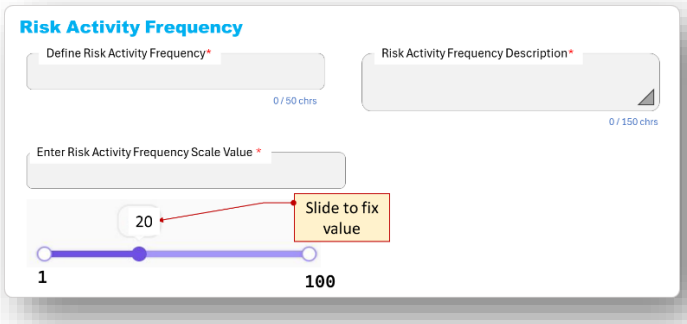
Process Control Ref	Process Flow	Control References
		
RSACT-01O.2	**<u>EDIT Risk Activity Frequency</u>**: – Search and Select Risk Activity Frequency from the 'List of Risk Activity Frequency' that needs to be edited. – Edit Risk Activity Frequency Name or Description and UPDATE with changes. – Any change in Risk Activity Frequency field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document.	
RSACT-01O.3	**<u>VIEW Risk Activity Frequency</u>**: – Search and Select Risk Activity Frequency Name from the 'List of Risk Activity Frequency' that needs to be viewed. – View 'List of Risk Activity Frequency' created with name of creator/ editor, last edited on and any description text. – **<u>Final Output may look like this:</u>**	

Risk Activity Frequency:

#	Risk Activity Frequency	Risk Activity Frequency Value *(default: sorted in descending order)*
1	Annual	*5*
2	Monthly	20
3	Daily	30

IMPORTANT: Above Default Values can be used for 'Import' by Client Admin (similar to Compliance module)

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RSACT-02: Control Matrix Attributes Default Set Up

Control Matrix Attributes

Task Control Ref	Major/ Sub Tasks	Task Dependencies
2.1.	**Control Matrix Attributes (Default Values):** − The Control Matrix Attributes are input points for each Control Objective that gets built within the Risk & Control Document at client side. − Control Document that will be created with certain attributes for which information is provided directly by the Super Admin, but Client side Admin can also further add to the Contrtol Attributes List. − The data in above attributes need to be provided by the Super Admin (Risk). − These default values need to be imported by the client side Admin to be used at their level.	•

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PFM-02

RSACT-02: Control Matrix Attributes

- Nature of Control Performance
- Nature of Control Occurrence
- Control Level
- Frequency of Control Applied
- Control Dependencies
- Risk Control Effectiveness Rating
- Control Risk of Assessment
- Residual Risk Rating
- Control Measure
- Control Activity Type
- Control Reference Type

Process Control Ref	Process Flow	Control References
RSACT-02A **RSACT-02A.1** **RSACT-02A.2** **RSACT-02A.3**	**Nature of Control Performance:** **ADD Nature of Control Performance**: – Nature of Control Performance Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Nature of Control Performance Name. Certain 'default values' need to be input by User Role: Implementor. [Example: *Automated, Manual, Hybrid*] – Nature of Control Performance Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Nature of Control Performance. – Enter Nature of Control Performance Rating Scale [Number Field; Value Range: Min – 0.1 to Max - 10; Mandatory]: The rating scale value will be entered against each Nature of Control Performance Name, and the same will be used for calculating rating score in relation to selection of such Type of Control. [Validation: *1) The number range can lie between 0.1 to 10 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Nature of Control Performance value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Automated – 0.5, b) Hybrid – 0.75, c) Manual - 1.***] **EDIT Nature of Control Performance**: – Search and Select Nature of Control Performance Name from the 'List of Nature of Control Performance' that needs to be edited. – Edit Nature of Control Performance Name or Description and UPDATE with changes. – Any change in Nature of Control Performance field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Nature of Control Performance**: – Search and Select Nature of Control Performance Name from the 'List of Nature of Control Performance' that needs to be viewed. – View 'List of Nature of Control Performance' created with name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02B **RSACT-02B.1**	**Nature of Control Occurrence:** **ADD Nature of Control Occurrence**: – Nature of Control Occurrence Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Nature of Control Occurrence Name. Certain 'default values' need to be input by User Role: Implementor. – Nature of Control Occurrence Description [Text Field; VarChar –	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**:

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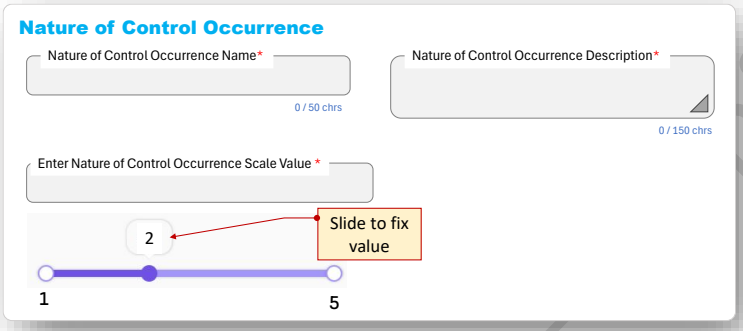
Process Control Ref	Process Flow	Control References
	150Chrs; Optional]: The Super Admin may enter description for Nature of Control Occurrence. – Enter Nature of Control Occurrence Rating Scale [Number Field; Value Range: Min – 1 to Max - 5; Mandatory]: The rating scale value will be entered against each Nature of Control Occurrence Name, and the same will be used for calculating rating score in relation to selection of such Nature of Control. [Validation: *1) The number range can lie between 1 to 5 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Nature of Control Occurrence value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Detective - 5, b) Preventive - 3, c) Corrective - 1.***] – **Final Input Form may look like this:**  	NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02B.2	**EDIT Nature of Control Occurrence**: – Search and Select Nature of Control Occurrence Name from the 'List of Nature of Control Occurrence' that needs to be edited. – Edit Nature of Control Occurrence Name or Description or rating scale range and UPDATE with changes. – Any change in Nature of Control Occurrence field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document.	
RSACT-02B.3	**VIEW Nature of Control Occurrence**: – Search and Select Nature of Control Occurrence Name from the 'List of Nature of Control Occurrence' that needs to be viewed. – View 'List of Nature of Control Occurrence' created with name of creator/ editor, last edited on and any description text. – **Final Output may look like this:**	

Nature of Control Occurrence:

#	Nature of Control Occurrence	Nature of Control Occurrence Value *(default: sorted in descending order)*
1	Detective	5
2	Preventive	3
3	Corrective	1

RSACT-02C **RSACT-02C.1**	**Control Level:** **ADD Control Level**: – Control Level Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]:	**User Role**: Super Admin **Status Tracking**:

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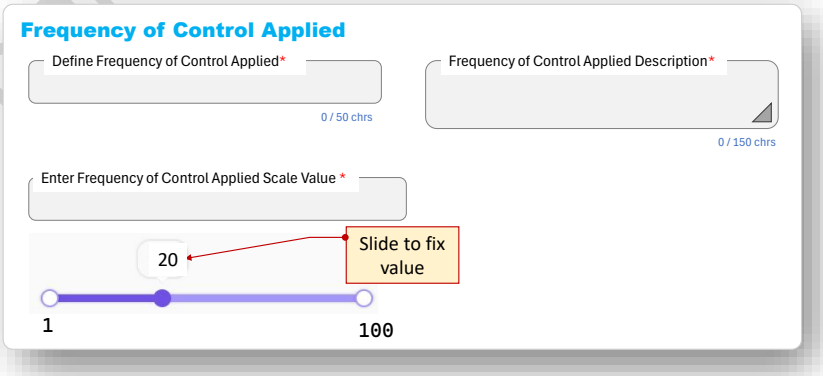
Process Control Ref	Process Flow	Control References
RSACT-02C.2 **RSACT-02C.3**	The Super Admin will need to enter the Control Level Name. Certain 'default values' need to be input by User Role: Implementor. – Control Level Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Level. **<u>EDIT Control Level</u>**: – Search and Select Control Level Name from the 'List of Control Level' that needs to be edited. – Edit Control Level Name or Description and UPDATE with changes. – Any change in Control Level field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **<u>VIEW Control Level</u>**: – Search and Select Control Level Name from the 'List of Control Level' that needs to be viewed. – View 'List of Control Level' created with name of creator/ editor, last edited on and any description text.	NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02D **RSACT-02D.1** **RSACT-02D.2**	**Frequency of Control Applied:** **<u>ADD Frequency of Control Applied</u>**: – Define Frequency of Control Applied [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Frequency of Control Applied Name. Certain 'default values' need to be input by User Role: Implementor. – Frequency of Control Applied Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Frequency of Control Applied. – Enter Frequency of Control Rating Scale [Number Field; Value Range: Min – 1 to Max - 100; Mandatory]: The rating scale value will be entered against each Frequency of Control Name, and the same will be used for calculating rating score in relation to selection of such Frequency of Control. [Validation: *1) The number range can lie between 1 to 100 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Frequency of Control value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Annual - 5, b) Monthly - 20, c) Daily - 30.***] – **<u>Final Input Form may look like this:</u>**  **<u>EDIT Frequency of Control Applied</u>**: – Search and Select Frequency of Control Applied from the 'List of Frequency of Control Applied' that needs to be edited. – Edit Frequency of Control Applied Name or Description and UPDATE	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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Process Control Ref	Process Flow	Control References
RSACT-02D.3	with changes. – Any change in Frequency of Control Applied field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Frequency of Control Applied**: – Search and Select Frequency of Control Applied Name from the 'List of Frequency of Control Applied' that needs to be viewed. – View 'List of Frequency of Control Applied' created with name of creator/ editor, last edited on and any description text. – **Final Output may look like this:** **Frequency of Control Applied:** | # | Frequency of Control Applied | Frequency of Control Applied Value *(default: sorted in descending order)* | | 1 | Annual | *5* | | 2 | Monthly | 20 | | 3 | Daily | 30 |	
RSACT-02E **RSACT-02E.1** **RSACT-02E.2** **RSACT-02E.3**	**Control Dependencies:** **ADD Control Dependencies**: – Define Control Dependencies [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Dependencies Name. Certain 'default values' need to be input by User Role: Implementor. – Control Dependencies Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Dependencies. **EDIT Control Dependencies**: – Search and Select Control Dependencies from the 'List of Control Dependencies' that needs to be edited. – Edit Control Dependencies Name or Description and UPDATE with changes. – Any change in Control Dependencies field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Control Dependencies**: – Search and Select Control Dependencies Name from the 'List of Control Dependencies' that needs to be viewed. – View 'List of Control Dependencies' created with name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02F **RSACT-02F.1**	**Risk Control Effectiveness Rating:** **ADD Risk Control Effectiveness Rating**: – Risk Control Effectiveness Rating Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Control Effectiveness Rating Name against the position number as per relevance. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Risk Control Effectiveness Rating need to be configured by Administrator (value should not be less than 3 and more than 5)*] [Validation*: 1) The order needs to be set with regard to relevance from highest*	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA

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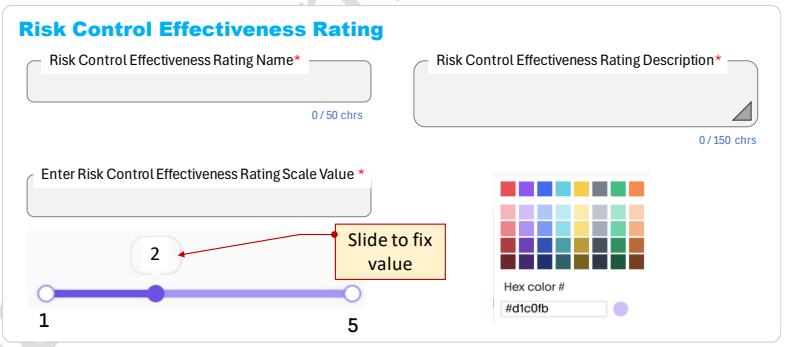
Process Control Ref	Process Flow	Control References
	relevance position to lowest. For eg, if No. 1 has the most impact position, then numbers in increasing order will have lower relevance allotted. 2) ***Default Value example – 3 list options*** *defined as,* ***a) Weak, b) Moderate, c) Strong***] – Risk Control Effectiveness Rating Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for each Risk Control Effectiveness Rating. – Enter Risk Control Effectiveness Rating Scale [Number Field; Value Range: Min – 1 to Max - 5; Mandatory; color selection with hex codes]: The rating scale value will be entered against each Risk Control Effectiveness Rating Name, and the same will be used for calculating rating score in relation to probability of that event being occurred. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation*: 1) The number range can lie between 1 to 5 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Risk Control Effectiveness Rating value. 3)* ***Default Value example – 3 list options*** *defined as,* ***a) Strong - 5, b) Moderate - 3, c) Weak - 1.***] – **Final Input Form may look like this:**  **EDIT Risk Control Effectiveness Rating**: – Search and Select Risk Control Effectiveness Rating Name from the 'List of Risk Control Effectiveness Rating' that needs to be edited. – Edit Risk Control Effectiveness Rating Name or add/ move position level or Description or Risk Control Effectiveness Rating Scale and **UPDATE** with changes – Any change in Risk Control Effectiveness Rating field(s) **does not affect** any previous Assessments concluded or to all assessments that are 'in progress' and where result has not been published/ assessed. The changes will affect only the new assessments that will map the changed values. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Risk Control Effectiveness Rating**: – Search and Select Risk Control Effectiveness Rating Name from the	**Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02F.2		

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Process Control Ref	Process Flow	Control References
RSACT-02F.3	'List of Risk Control Effectiveness Rating' that needs to be viewed. – View 'List of Risk Control Effectiveness Rating' created with name of creator/ editor, last edited on, position level of relevance mapped, and any description text. – **Final Output may look like this:**	

Risk Control Effectiveness Rating:

#	Risk Control Effectiveness Rating	Risk Control Effectiveness Rating Scale Value *(default: sorted in descending order)*	Colour Reference
1	High	*5*	
2	Medium	3	
3	Low	1	

RSACT-02G

RSACT-02G.1

Control Risk of Assessment:

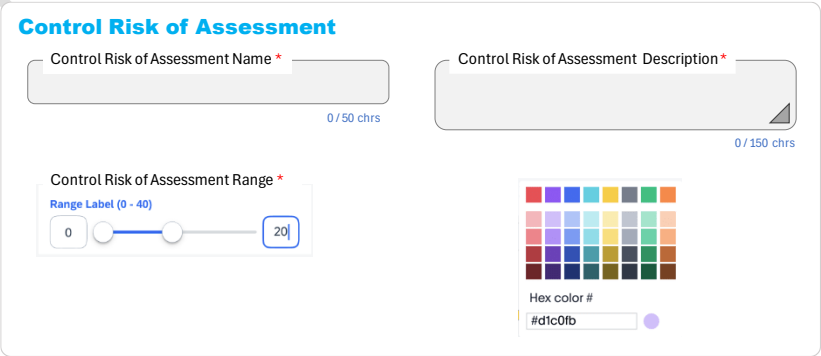
ADD Control Risk of Assessment:

– Control Risk of Assessment Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Risk of Assessment Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Control Risk of Assessment Names need to be configured by Administrator (value should not be less than 3 and greater than 10)*] [Validation*: 1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*]

– Control Risk of Assessment Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for each Control Risk of Assessment.

– Enter Control Risk of Assessment Range [Number Field; Unique; Mandatory; color selection with hex codes]: The Super Admin will need to enter range of numbers against each Control Risk of Assessment Name. Certain 'default values' need to be input by User Role: Implementor. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation*: 1) The number range can lie between 1 to 100 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Rating Level 'Critical' the range may be set between 16 and 25. Similarly, for Rating Level 'Moderate Control' the range may be set between 6 and 15. Thus, for Score Indicator 'Minor' number range between 5 and 10 will not be allowed, as 10 already falls in between the range used by 'Moderate Control' indicator, hence the number to set has to be less than 6.*

– **Final Input Form may look like this:**



User Role: Super Admin

Status Tracking: NA

Action Task Board: NA

Report/ Audit Log: NA

Dashboard Status: NA

Notification & Alerts (IN): NA

Notification & Alerts (OUT): NA

RSACT-02G.2

EDIT Control Risk of Assessment:

– Search and Select Control Risk of Assessment Name from the 'List of

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Process Control Ref	Process Flow	Control References
RSACT-02G.3	Control Risk of Assessment' that needs to be edited. – Edit Control Risk of Assessment Name or add/ move position level or Description or Control Risk of Assessment Range and **UPDATE** with changes – Any change in Control Risk of Assessment field(s) **does not affect** any previous Assessments concluded or to all assessments that are 'in progress' and where result has not been published/ assessed. The changes will affect only the new assessments that will map the changed values. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Control Risk of Assessment**: – Search and Select Control Risk of Assessment Name from the 'List of Control Risk of Assessment' that needs to be viewed. – View 'List of Control Risk of Assessment' created with name of creator/ editor, last edited on, position level of relevance mapped, and any description text. – **Final Output may look like this:** **Control Risk of Assessment :** | # | Control Risk of Assessment | Control Risk of Assessment Range *(default: sorted in descending order)* | Colour Reference | | 1 | High | *75 – 100* | 🔴 | | 2 | Medium | 50 – 74 | 🔵 | | 3 | Low | 1 – 49 | 🟢 |	
RSACT-02H **RSACT-02H.1**	**Residual Risk Rating:** **ADD Residual Risk Rating**: – Residual Risk Rating Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Residual Risk Rating Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Residual Risk Rating Names need to be configured by Administrator (value should not be less than 3 and greater than 10)*] [Validation*: 1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*] – Set Rating Level Range [Number Field; Unique; Mandatory; color selection with hex codes]: The Super Admin will need to enter range of numbers against each Residual Risk Rating Name. Certain 'default values' need to be input by User Role: Implementor. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation*: 1) The number range can lie between 1 to 100 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Rating Level 'High Control' the range may be set between 16 and 25. Similarly, for Rating Level 'Moderate Control' the range may be set between 6 and 15. Thus, for Score Indicator 'Low Control' number range between 5 and 10 will not be allowed, as 10 already falls in between the range used by 'Moderate Control' indicator, hence the number to set has to be less than 6.* – Residual Risk Rating Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Residual Risk Rating. – **Final Input Form may look like this:**	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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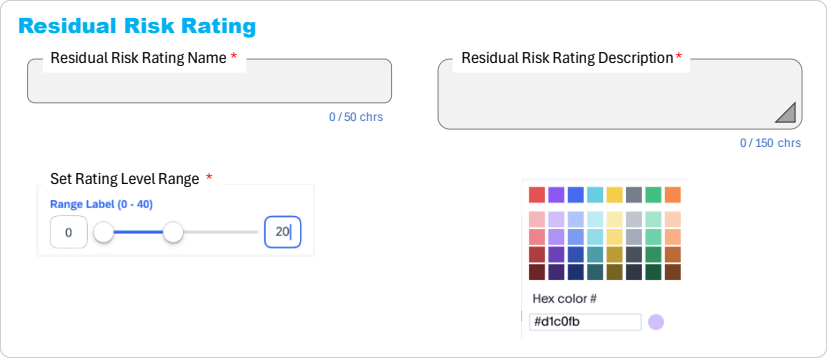
Process Control Ref	Process Flow	Control References
RSACT-02H.2 **RSACT-02H.3**	 **<u>EDIT Residual Risk Rating</u>**: – Search and Select Residual Risk Rating Name from the 'List of Residual Risk Rating' that needs to be edited. – Edit Residual Risk Rating Name or Rating Level Range or Description and **UPDATE** with changes. – Any change in Residual Risk Rating field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted. **<u>VIEW Residual Risk Rating</u>**: – Search and Select Residual Risk Rating Name from the 'List of Residual Risk Rating' that needs to be viewed. – View 'List of Residual Risk Rating' created with name of creator/ editor, last edited on, rating level range mapped, and any description text. – **<u>Final Output may look like this:</u>** **Residual Risk Rating:** | # | Residual Risk Rating | Residual Risk Rating Range *(default: sorted in descending order)* | Colour Reference | | 1 | High | *75 – 100* | 🔴 | | 2 | Medium | 50 – 74 | 🔵 | | 3 | Low | 1 – 49 | 🟢 |	
RSACT-02I **RSACT-02I.1** **RSACT-02I.2**	**Control Measure:** **<u>ADD Control Measure</u>**: – Control Measure Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Measure Name. Certain 'default values' need to be input by User Role: Implementor. – Control Measure Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Measure. **<u>EDIT Control Measure</u>**: – Search and Select Control Measure Name from the 'List of Control Measure' that needs to be edited. – Edit Control Measure Name or Description and UPDATE with changes. – Any change in Control Measure field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **<u>VIEW Control Measure</u>**: – Search and Select Control Measure Name from the 'List of Control	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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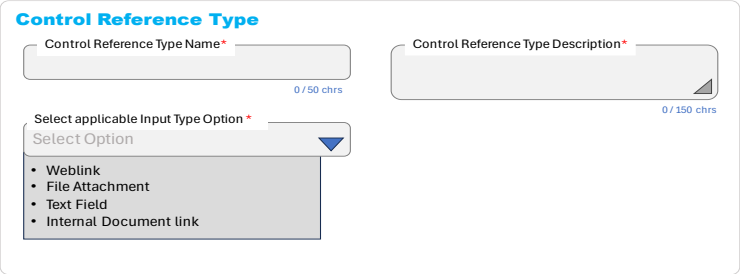
Process Control Ref	Process Flow	Control References
RSACT-02I.3	Measure' that needs to be viewed. – View 'List of Control Measure' created with name of creator/ editor, last edited on and any description text.	
RSACT-02J **RSACT-02J.1** **RSACT-02J.2** **RSACT-02J.3**	**Control Activity Type:** **ADD Control Activity Type**: – Control Activity Type Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Activity Type Name. Certain 'default values' need to be input by User Role: Implementor. – Control Activity Type Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Activity Type. **EDIT Control Activity Type**: – Search and Select Control Activity Type Name from the 'List of Control Activity Type' that needs to be edited. – Edit Control Activity Type Name or Description and UPDATE with changes. – Any change in Control Activity Type field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document. **VIEW Control Activity Type**: – Search and Select Control Activity Type Name from the 'List of Control Activity Type' that needs to be viewed. – View 'List of Control Activity Type' created with name of creator/ editor, last edited on and any description text.	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-02L **RSACT-02L.1**	**Control Reference Type:** **ADD Control Reference Type**: – Control Reference Type Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Reference Type Name. Certain 'default values' need to be input by User Role: Implementor. One of the **Default Value** to be listed as "**No Reference Required**". – Control Reference Type Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Reference Type. – Select for Input Type Options [Internal hard-coded listing]: Select from following that will be applicable/ associated as Input field: 1. File Attachment 2. Weblink 3. Text Field 4. Internal Document link – **Final Input Form may look like this:**  	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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Process Control Ref	Process Flow	Control References
RSACT-02L.2

Process Control Ref	Process Flow	Control References
RSACT-02N.2	**<u>EDIT Control Monitoring Mechanism</u>**: – Search and Select Control Monitoring Mechanism Name from the 'List of Control Monitoring Mechanism' that needs to be edited. – Edit Control Monitoring Mechanism Name or Description and UPDATE with changes. – Any change in Control Monitoring Mechanism field(s) does not affect any live change in Assessment being carried out. However, where any Risk & Control Document is in process of being created, the new change will be affected upon saving the Document.	
RSACT-02N.3	**<u>VIEW Control Monitoring Mechanism</u>**: – Search and Select Control Monitoring Mechanism Name from the 'List of Control Monitoring Mechanism' that needs to be viewed. – View 'List of Control Monitoring Mechanism' created with name of creator/ editor, last edited on and any description text.	

IMPORTANT: Above Default Values can be used for 'Import' by Client Admin (similar to Compliance module)

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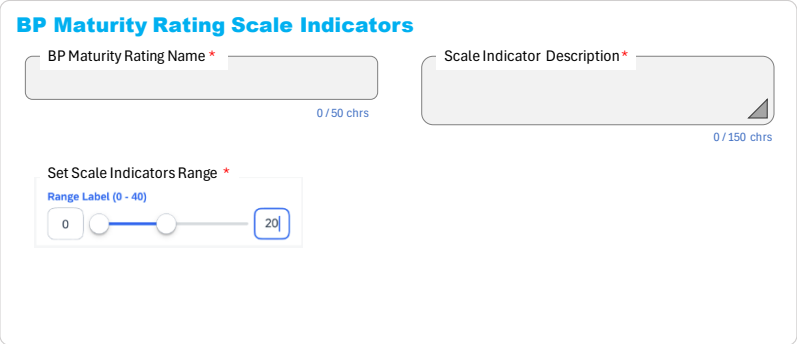
PFM-03

RSACT-03: Assessment Control Default Settings

BP Maturity Rating Scale Indicators → Control Hierarchy Settings → Control Assessment Test Attributes → Initial Assessment Impact Factor → Risk Mitigation Decision List → Assessment Control Acceptance Criteria

Process Control Ref	Process Flow	Control References
RSACT-03A **RSACT-03A.1**	**BP Maturity Rating Scale Indicators:** **ADD BP Maturity Rating Scale Indicators**: – BP Maturity Rating Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the BP Maturity Rating Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of score indicators need to be configured by Administrator (value should not be less than 3 and greater than 5)*] [Validation*: 1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*] – Set Scale Indicators Range [Number Field; Unique; Mandatory]: The Super Admin will need to enter range of numbers against each Scale Indicator. Certain 'default values' need to be input by User Role: Implementor. [Validation*: 1) The number range can lie between 1 to 10 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Scale Indicator 'Highly Matured', the range may be set between 8 and 10. Similarly, for Scale Indicator 'Progressive', the range may be set between 5 and 7. Thus, for Scale Indicator 'Need More Improvement' number range between 1 and 6 will not be allowed, as 6 already falls in between the range used by 'Progressive' score indicator, hence the number to set has to be less than 5.* – Scale Indicator Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Scale Indicator. – **Final Input Form may look like this:**  	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-03A.2	**EDIT BP Maturity Rating Scale Indicators**: – Search and Select Maturity Rating Name from the 'List of Maturity Rating' that needs to be edited. – Edit Maturity Rating Name or Scale Indicator Range or Description and **UPDATE** with changes. – Any change in Maturity Rating field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to	

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Process Control Ref	Process Flow	Control References
RSACT-03A.3	Performance Metrics will happen. Previous indicators cannot be deleted. **VIEW BP Maturity Rating Scale Indicators**: – Search and Select Maturity Rating Name from the 'List of Maturity Rating' that needs to be viewed. – View 'List of Maturity Rating' created with name of creator/ editor, last edited on, scale indicator range mapped, and any description text. – **Final Output may look like this:** **BP Maturity Rating Scale Indicators:** \# | BP Maturity Rating | BP Maturity Rating Range *(default: sorted in descending order)* 1 | High | *75 – 100* 2 | Medium | 50 – 74 3 | Low | 1 – 49	
RSACT-03B **RSACT-03B.1**	**Control Hierarchy Settings: [TO BE DISCUSSED SEPERATELY]** **SET Control Hierarchy**: – Will result of Sub-Control assessment affect the dependent sub-controls under same Parent Control selected for assessment? [select Yes/ No; Mandatory]: The Super Admin will need to select the option between Yes & No to confirm if the result of one sub-control affects the other dependent sub-controls or not. This option is useful for evaluating the assessment result. Where the option is selected as 'No', then result of each sub-control will be evaluated on independent basis, but if 'Yes' is selected then result of one sub-control will affect the result of other dependent sub-controls, irrespective of what the Assessor had selected. [Validation: *1) Default Value - Yes, 2) The selection will give effects to result assessed for other dependent sub-controls*]. – Add Rule(s) [Multi-selection Field(s); Optional]: If above option is selected as **'Yes'**, The Super Admin may add rule(s) based on which the result of dependent sub-control will be finally evaluated. **IMPORTANT**: The rules cannot be contradictory to already added rules. 1. **Add Rule 1**: (1) **IF** Any / or ___% of Sub-Control is dependent on any other sub-control under the same parent control, **AND/ OR** (2) having _____ (select risk priority), **THEN** Failure/ Pass/ Compensated (select result) of dependent control will affect the result of the other Sub-Control(s) 2. Rule Description [Text Field; Optional]: The Super Admin may enter description for the rule added. 3. [**Add as many rules required without contradiction**] – Add Condition(s) [Multi-selection Field(s); Optional]: If above option is selected as **'Yes'**, The Super Admin may add rule(s) based on which the result of dependent sub-control will be finally evaluated. **IMPORTANT**: The rules cannot be contradictory to already added rules. 1. **Add Condition 1**: (1) **IF**___% of dependent/ independent (select) Sub-Controls are assessed for the result as Failure/ Pass/ Compensated (select result), **AND/ OR** (2) ___% of dependent/ independent (select) Sub-Controls are assessed for the result as Failure/ Pass/ Compensated (select result), **THEN** the result of	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA

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Process Control Ref	Process Flow	Control References
	Parent Control will be reflected as Failure/ Pass/ Compensated (select result option) 2. Condition Description [Text Field; Optional]: The Super Admin may enter description for the condition added 3. [**Add as many conditions required without contradiction**] **EDIT Control Hierarchy**:	
RSACT-03B.2	– Search and Select Control Hierarchy Setting(s) from the 'List of Rules/ Conditions' that needs to be edited. – Edit Control Hierarchy Settings or add/ edit/ remove rules or conditions or Description and **UPDATE** with changes. – Any change in Control Hierarchy Setting(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted	
RSACT-03B.3	**VIEW Control Hierarchy**: – Search and Select Control Hierarchy Setting(s) from the 'List of Rules/ Conditions' that needs to be viewed. – View 'List of Rules/ Conditions' created with name of creator/ editor, last edited on, and any description text.	
RSACT-03C	**Control Assessment Test Attributes:**	**User Role**: Super Admin
RSACT-03C.1	**ADD Control Assessment Test Attributes**: – Control Assessment Test Attribute Name [Text Field; VarChar – 150Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Assessment Test Attribute Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Control Assessment Test Attributes need to be configured by Administrator (value should not be less than 3 or more than 100)*] – Control Assessment Test Attribute Description [Text Field; VarChar – 500Chrs; Optional]: The Super Admin may enter description for Control Assessment Test Attribute.	**Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA
RSACT-03C.2	**EDIT Control Assessment Test Attributes**: – Search and Select Control Assessment Test Attribute Name from the 'List of Control Assessment Test Attributes' that needs to be edited. – Edit Control Assessment Test Attribute Name or Description and **UPDATE** with changes. – Any change in Control Assessment Test Attribute field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen.	**Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-03C.3	**VIEW Control Assessment Test Attributes**: – Search and Select Control Assessment Test Attribute Name from the 'List of Control Assessment Test Attributes' that needs to be viewed. – View 'List of Control Assessment Test Attributes' created with name of creator/ editor, last edited on, and any description text.	

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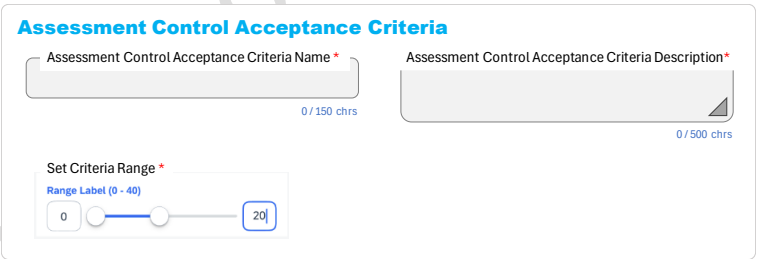
Process Control Ref	Process Flow	Control References
RSACT-03D **RSACT-03D.1**

Process Control Ref	Process Flow	Control References
RSACT-03E.3	**VIEW Risk Mitigation Decision List**: – Search and Select Risk Mitigation Decision Name from the 'List of Risk Mitigation Decisions' that needs to be viewed. – View 'List of Risk Mitigation Decisions' created with name of creator/ editor, last edited on, and any description text.	
RSACT-03F RSACT-03F.1	**Assessment Control Acceptance Criteria:** **ADD Assessment Control Acceptance Criteria**: – Assessment Control Acceptance Criteria Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Assessment Control Acceptance Criteria Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Assessment Control Acceptance Criteria need to be configured by Administrator (value should not be less than 3 and greater than 5)*] [Validation: *1) The order needs to be set from highest score position to lowest. For eg, if No. 1 is top position, then numbers in increasing order will have lower scores allotted.*] – Set Criteria Range [Number Field in Percentile; Unique; Mandatory]: The Super Admin will need to enter range of numbers against each Criteria Range. Certain 'default values' need to be input by User Role: Implementor. [Validation: *1) The number range can lie between 0 to 100 only, 2) Once the range has been set, no other number can be used if it falls between the numbers set earlier*]. *For example, for Criteria Range 'Risk Neutral', the range may be set between 0% and 40%. Similarly, for Criteria Range 'Risk Averse', the range may be set between 41% and 60%. Thus, for Criteria Range 'Risk Hunter', number range between 51% and 80% will not be allowed, as 51% already falls in between the range used by 'Risk Averse' Criteria Range, hence the number to set has to be more than 61%.* – Criteria Range Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for every Criteria Range. – **Final Input Form may look like this:**  	**User Role**: Super Admin **Status Tracking**: NA **Action Task Board**: NA **Report/ Audit Log**: NA **Dashboard Status**: NA **Notification & Alerts (IN)**: NA **Notification & Alerts (OUT)**: NA
RSACT-03F.2	**EDIT Assessment Control Acceptance Criteria**: – Search and Select Assessment Control Acceptance Criteria from the 'List of Assessment Control Acceptance Criteria' that needs to be edited. – Edit Assessment Control Acceptance Criteria Name or Criteria Range or Description and **UPDATE** with changes. – Any change in Assessment Control Acceptance Criteria field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted.	
RSACT-03F.3	**VIEW Assessment Control Acceptance Criteria**:	

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Process Control Ref	Process Flow	Control References
	– Search and Select Assessment Control Acceptance Criteria Name from the 'List of Assessment Control Acceptance Criteria' that needs to be viewed. – View 'List of Assessment Control Acceptance Criteria' created with name of creator/ editor, last edited on, Criteria Range mapped, and any description text. – **Final Output may look like this:**	

Assessment Control Acceptance Criteria

#	Assessment Control Acceptance Criteria	Criteria Range *(default: sorted in descending order)*
1	High	*75 – 100*
2	Medium	50 – 74
3	Low	1 – 49

RSACT-03G **RSACT-03G.1**	**Control Testing PARAMETERS/ Control RELEVANCE Category:** **ADD Control Testing Parameters**: – Control Testing Parameters Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Testing Parameter Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Control Assessment Test Attributes need to be configured by Administrator (value should not be less than 3)*] [**For Example**: *1) Testing Design of Control (DOC), 2) Testing Operating Effectiveness (TOE), 3). Testing General Controls (GEN).*] – Control Testing Parameter Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Testing Parameter.	
RSACT-03G.2	**EDIT Control Testing Parameters**: – Search and Select Control Testing Parameters Name from the 'List of Control Testing Parameters' that needs to be edited. – Edit Control Testing Parameters Name or Description and **UPDATE** with changes. – Any change in Control Testing Parameters field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen.	
RSACT-03G.3	**VIEW Control Testing Parameters**: – Search and Select Control Testing Parameters Name from the 'List of Control Testing Parameters' that needs to be viewed. – View 'List of Control Testing Parameters' created with name of creator/ editor, last edited on, and any description text.	
RSACT-03H **RSACT-03H.1**	**Risk Treatment Decision List:** **ADD Risk Treatment Decision List**: – Risk Treatment Decision Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Risk Treatment Decision Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Risk Treatment Decision List need to be configured by Administrator (value should not be less than 3 or more than 10)*]	

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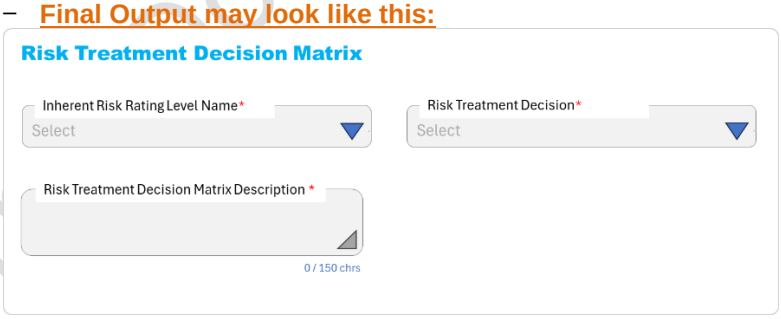
Process Control Ref	Process Flow	Control References
	– Risk Treatment Decision Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Treatment Decision.	
RSACT-03H.2	**<u>EDIT Risk Treatment Decision List</u>**: – Search and Select Risk Treatment Decision Name from the 'List of Risk Treatment Decisions' that needs to be edited. – Edit Risk Treatment Decision Name or Description and **UPDATE** with changes. – Any change in Risk Treatment Decision List field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen.	
RSACT-03H.3	**<u>VIEW Risk Treatment Decision List</u>**: – Search and Select Risk Treatment Decision Name from the 'List of Risk Treatment Decisions' that needs to be viewed. – View 'List of Risk Treatment Decisions' created with name of creator/ editor, last edited on, and any description text.	
RSACT-03J **RSACT-03J.1**	**Risk Treatment Decision Matrix:** **<u>ADD Risk Treatment Decision Matrix</u>**: – Select Inherent Risk Rating Level – Select Risk Treatment Decision – **IMPORTANT**: The Super Admin will need to map the Risk treatment Decision against Inherent Risk Rating Level. Certain 'default values/ mapping' need to be input by User Role: Implementor. [**Validation**: ***<u>Only one mapping can be done</u>*** *against Inherent Risk Rating List. However, Risk Treatment Decision value can be used again*] – Risk Treatment Decision Matrix Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Risk Treatment Decision Matrix. – **<u>Final Output may look like this:</u>**  	
RSACT-03J.2	**<u>EDIT Risk Treatment Decision Matrix</u>**: – Search and Select Risk Treatment Decision Name from the 'List of Risk Treatment Decisions' that needs to be edited. – Edit Risk Treatment Decision Name or Description and **UPDATE** with changes. – Any change in Risk Treatment Decision List field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen.	

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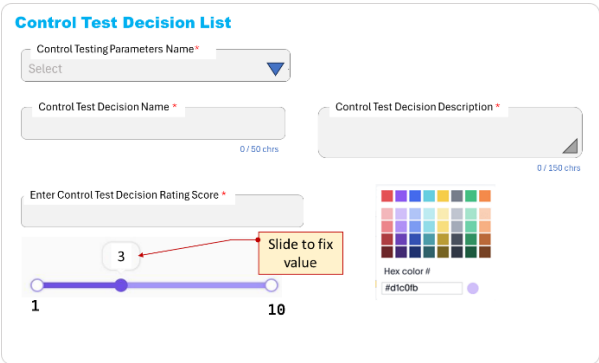
Process Control Ref	Process Flow	Control References
RSACT-03J.3	**<u>VIEW Risk Treatment Decision Matrix</u>**: – Search and Select Risk Treatment Decision Name from the 'List of Risk Treatment Decisions' that needs to be viewed. – View 'List of Risk Treatment Decisions' created with name of creator/ editor, last edited on, and any description text. – **<u>Final Output may look like this:</u>** **Risk Treatment Decision Matrix:** \# | Inherent Risk Rating Level Name | Risk Treatment Decision | Risk Treatment Decision Matrix Description 1 | Xxxx | *Xxxx* | *Xxxx* 2 | Xxxx | Xxxxx | Xxxxx 3 | Xxxxx | Xxxxx | Xxxxx	
RSACT-03K **RSACT-03K.1**	**Control Test Decision List:** **<u>ADD Control Test Decision</u>**: – Select Control Testing Parameters Name – Control Test Decision Name [Text Field; VarChar – 50Chrs; Unique; Mandatory]: The Super Admin will need to enter the Control Test Decision Name. Certain 'default values' need to be input by User Role: Implementor. [*Limit on number of Control Test Decision List need to be configured by Administrator (value should not be less than 3 or more than 10)*] [Validation: ***Administrator set List Master Values – 1) Control Passed, 2) Control Compensated, 3) Control Failed/ Deviated, 4) Control cannot be tested, 5) Control Not Tested. IMPORTANT: Default Value: Control Not Tested***]. – **IMPORTANT: The combination of Control Testing Parameter and Control Test Decision needs to be UNIQUE** – Control Test Decision Description [Text Field; VarChar – 150Chrs; Optional]: The Super Admin may enter description for Control Test Decision. – Enter Control Test Decision Rating Score [Number Field; Value Range: Min – 1 to Max - 10; Mandatory; color selection with hex codes]: The rating score value will be entered against each Control Test Decision Name, and the same will be used for calculating Assessment rating score. Further, select a Color from pre-defined color palette to signify the rating scale selected. [Validation: *1) The number range can lie between 1 to 10 only. 2) The Administrator will need to enter a value to indicate what rating scale to be given against each Control Test Decision Rating value.*] – **<u>Final Output may look like this:</u>**  	

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<table>
<tr><th>Process Control Ref</th><th>Process Flow</th><th>Control References</th></tr>
<tr><td>RSACT-03K.2</td><td>

<u>EDIT Control Test Decision List</u>:

- Search and Select Control Test Decision Name from the ‘List of Control Test Decisions’ that needs to be edited.
- Edit Control Test Decision Name or Description and **UPDATE** with changes.
- Any change in Control Test Decision List field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are ‘in progress’ and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen.

</td><td></td></tr>
<tr><td>RSACT-03K.3</td><td>

<u>VIEW Control Test Decision List</u>:

- Search and Select Control Test Decision Name from the ‘List of Control Test Decision’ that needs to be viewed.
- View ‘List of Control Test Decision’ created with name of creator/ editor, last edited on, and any description text.
- **<u>Final Output may look like this:</u>**

<table>
<tr><th colspan="5">Control Test Decision List:</th></tr>
<tr><th>#</th><th>Control Testing Parameters Name</th><th>Control Test Decision Name</th><th>Control Test Decision Rating Score (default: sorted in descending order)</th><th>Colour Reference</th></tr>
<tr><td>1</td><td>Xxxx</td><td></td><td>5</td><td>🔴</td></tr>
<tr><td>2</td><td>Xxxx</td><td></td><td>2</td><td>🔵</td></tr>
<tr><td>3</td><td>Xxxxx</td><td></td><td>5</td><td>🟢</td></tr>
</table>

</td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
</table>

IMPORTANT: Above Default Values can be used for ‘Import’ by Client Admin (similar to Compliance module)

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PFM-04

RSACT-04: Mitigation Control Default Settings

Mitigation Action Required → **Action Priority List**

Process Control Ref	Process Flow	Control References
RSACT-04A **RSACT-04A.1**

Process Control Ref	Process Flow	Control References
RSACT-04B.2	**<u>EDIT Action Priority</u>**: – Search and Select Action Priority Name from the 'List of Action Priority' that needs to be edited. – Edit Action Priority Name or Description and **UPDATE** with changes. – Any change in Action Priority field(s) **does not affect** any previous Assessments concluded. However, the changes will affect to all assessments that are 'in progress' and where result has not been published/ assessed. Accordingly, the changes to Performance Metrics will happen. Previous indicators cannot be deleted.	**Notification & Alerts (IN)**: NA
RSACT-04B.3	**<u>VIEW Action Priority</u>**: – Search and Select Action Priority Name from the 'List of Action Priority' that needs to be viewed. – View 'List of Action Priority' created with name of creator/ editor, last edited on, and any description text.	

IMPORTANT: Above Default Values can be used for 'Import' by Client Admin (similar to Compliance module)

---------- **END OF DOCUMENT** ----------

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