THE UNITED REPUBLIC OF TANZANIA
TANZANIA COMMUNICATIONS REGULATORY AUTHORITY
ISO 9001:2015 CERTIFIED

ENTERPRISE RISK MANAGEMENT SYSTEM USER GUIDE

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1 INTRODUCTION

Enterprise Risk Management System (ERMS) is a system that will facilitate Risk Management Processes which comprises of Risk Identification, Risk Assessment, Risk Monitoring and Reporting. ERMS has incorporated the management functionalities and business processes of the risk management unit.

1.1 Main Objective

The main purpose of this document is to provide guidance to TCRA staff on how to use the ERMS system for risk management activities.

1.2 Scope

This document will only guide the TCRA users on how they will perform different activities on the Enterprise Risk Management System (ERMS).

1.3 Security and Privacy

The document will only be accessed to all the authorized TCRA staff within TCRA (organization) and not otherwise for the control of privacy within the organization.

2 SYSTEM SET-UP

2.1 Set-up Considerations

ERMS System is mobile responsive software hence it can be accessed and adjusted in various platforms such as; Desktop, Laptop, Mobile phone and also Tablets.

Use **Firefox, Google Chrome, Internet Explorer, Opera Min** as Web browsers to access the system.

2.2 User Access Considerations

ERMS allows users to report new risk and incidents as anonymous with an option of submitting their email address when in need of feedback after review.

ERMS TCRA users will also use their Active Directory credentials (***Username*** and ***Password***) to access the system.

2.3 Users

ERMS has been designed to accommodate various types of users as categorized below:

i. TCRA ERMS Users

- Anonymous users
- Risk Champion
- Risk Owner
- Risk Management Officer

ii. Administrator

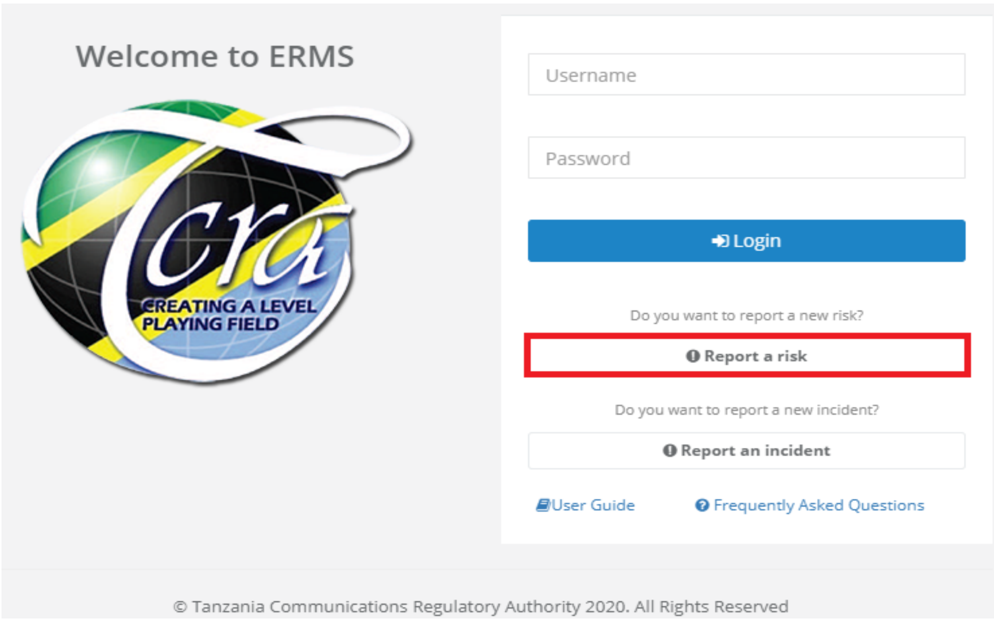
2.4 Accessing the System

2.4.1 Anonymous User

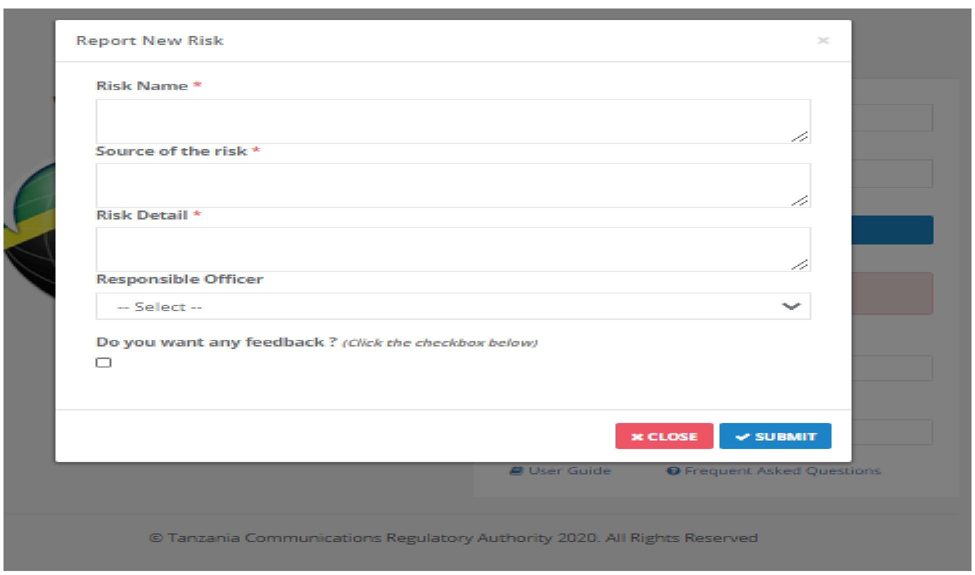
Anonymous users will either report a new risk or incident without submitting username and password to access the system.

i. Report a Risk

Users will click on Report a risk button to report a new risk anonymously as shown below:

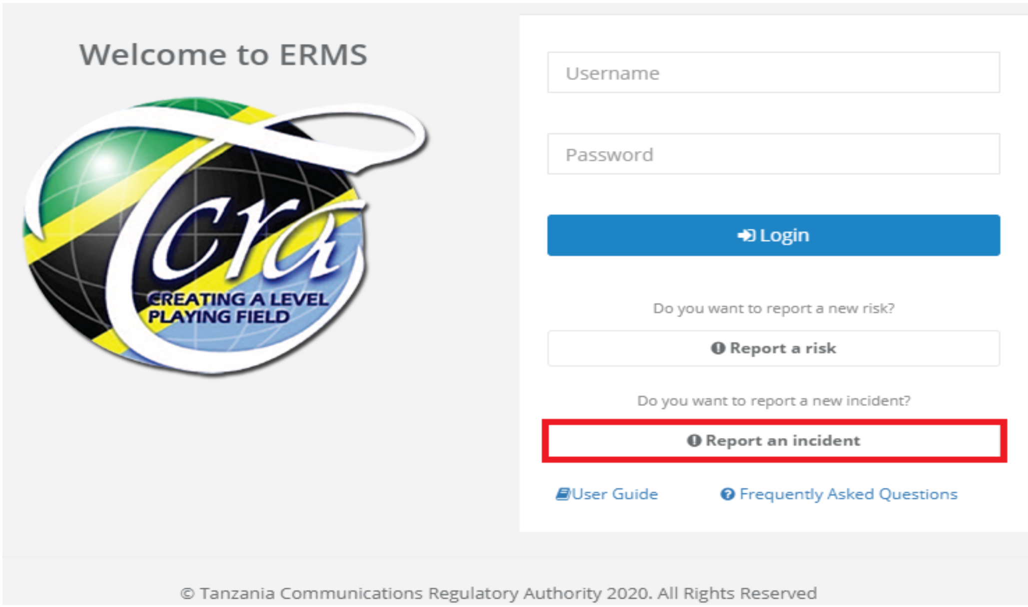


Users will fill in new risk details as shown below to report a new risk

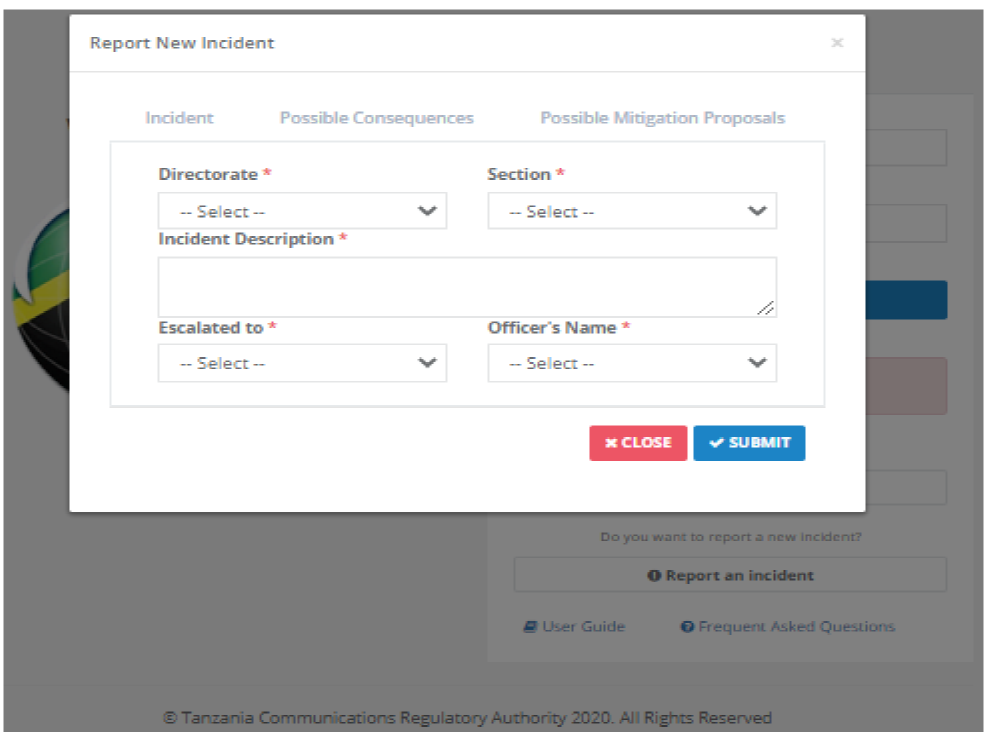


ii. Report an Incident

Users will click on Report an incident button to report a new incident anonymously as shown below:



Users will fill in new incident details as shown below to report a new incident



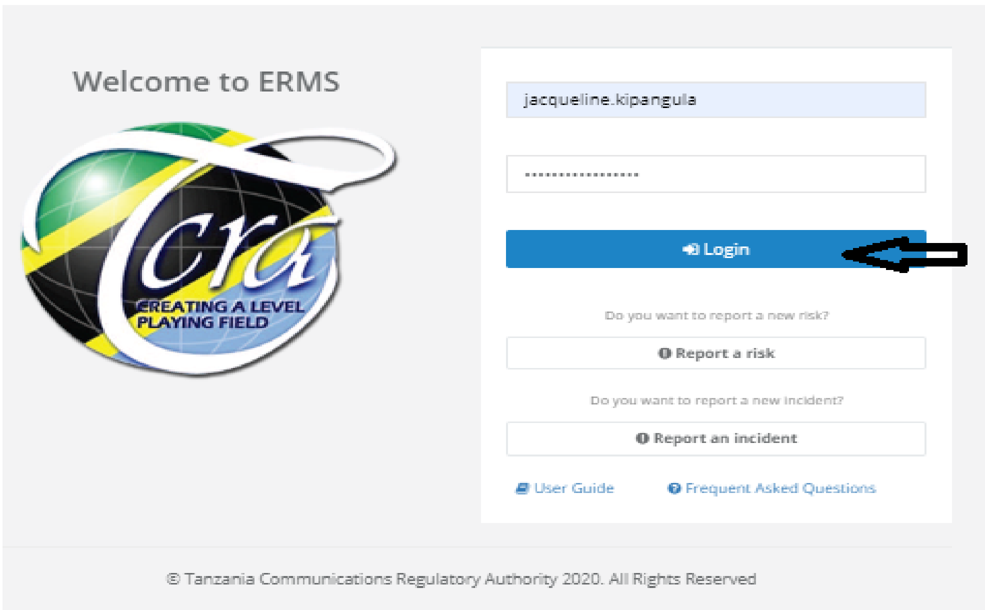
2.4.2 TCRA Users

ERMS TCRA users which includes Risk Champions, Risk Owners, Risk Management Unit officers will access the system through the below url:

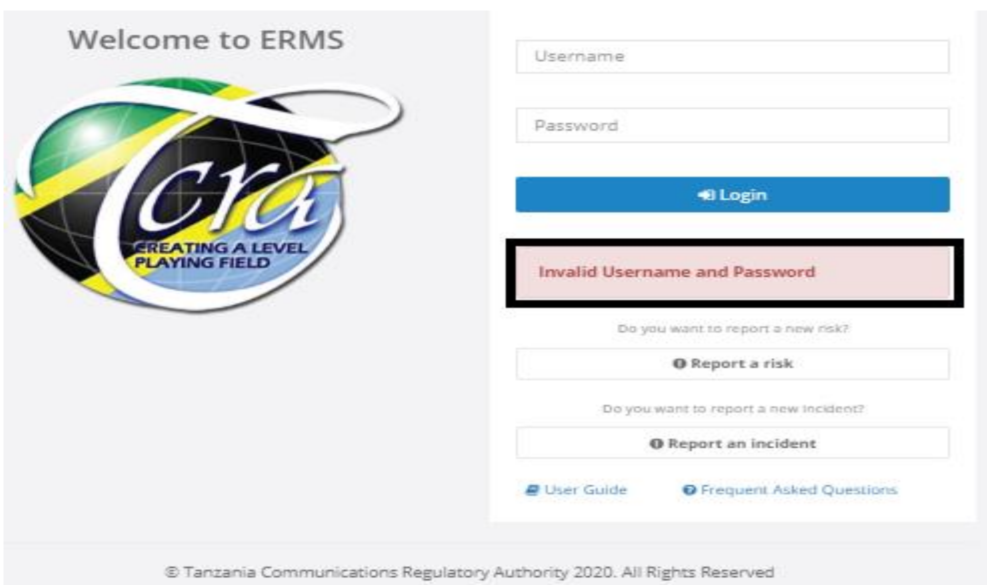
erms.*tcra.go.tz*, where he/she will be responsible to follow the below steps.

i. Insert given Username and Password

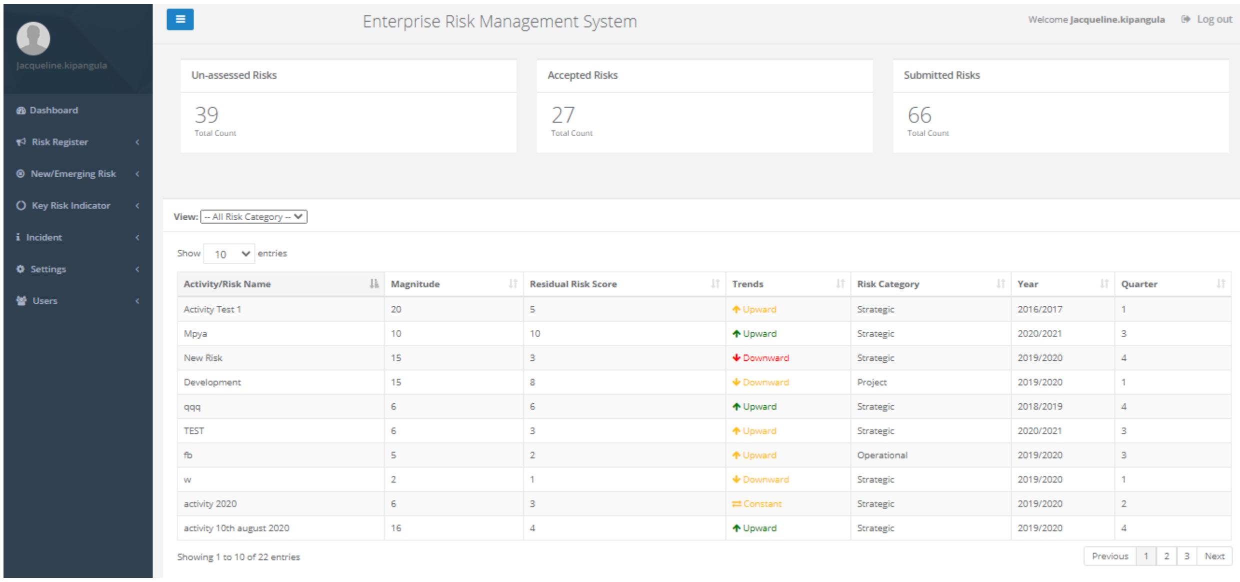
1. Any new applicant will have to insert his/her active directory **username** and **password** to access the system as shown below.



2. Then the user has to click the Login button to login in to the system; In case the username or password is incorrect he/she will be prompted with the message "Incorrect username and password"as shown below;



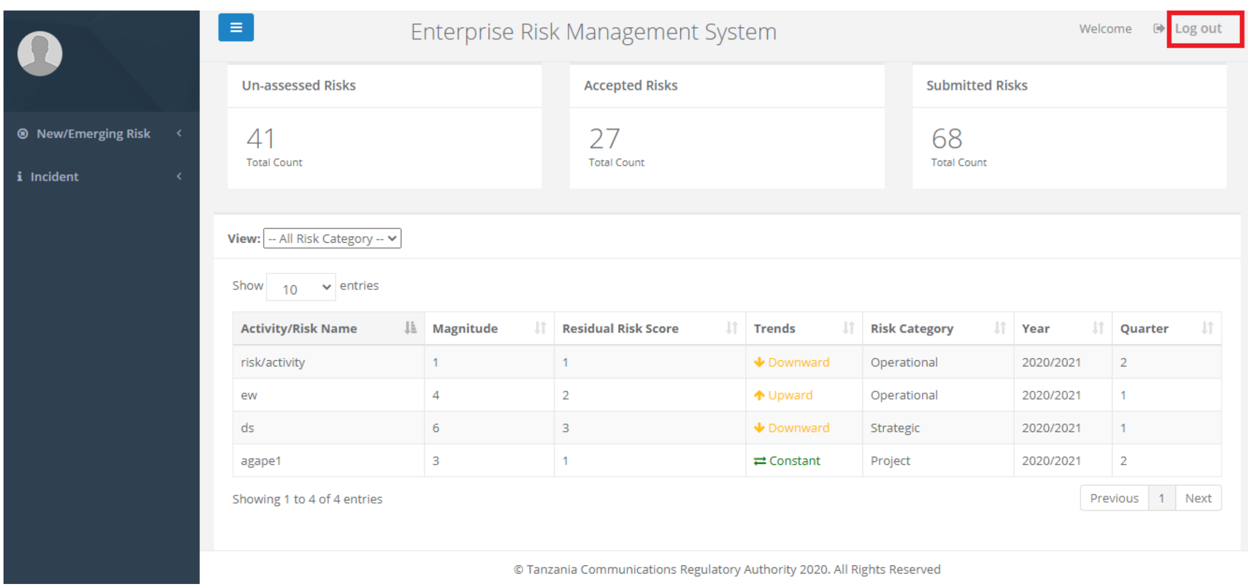
After the user has successfully login to the system the user will be prompted with a default dashboard page as shown below.



ii. Exiting the System

You can exit the system by clicking the **logout** button as shown below;

Click the logout button as shown;



2.5 System Organization & Navigation

ERMS System is organized according to different categories, which each has different sub-categories on it; ***Dashboard***, ***Risk Register, New/Emerging Risk***, ***Key Risk Indicator***, ***Incident***, ***Settings and Users***.

i. Dashboard

The Dashboard page describes Summary of New/Emerging Risk and Risk Register. New Risk is described in different perspective such as: Un assessed Risks, Accepted Risks and Submitted. Risk Register is described by Activity name, Magnitude, Residual Risk Score, Trends, Risk category, Year and Quarter. It has no sub-category.

ii. **Risk Register**

Describe the assessment of different risk categories Strategic, Process and Project risks. Hence it captures the Activity, Affected Strategic Objective, Risk Causes, Risk Events, Risk Consequences, Inherent analysis, Existing controls, Effectiveness of existing controls, Additional controls, Risk status, Remarks and Trend.

Risk Register has three sub-categories:

a. Assess
b. Review and Assess
c. Report

iii. **New/Emerging Risk**

Describe the creation and overview of risk. Risk is the possibility that an event could occur and adversely affect the achievement of organization objectives.

New/Emerging Risk has three sub-categories

a. Create
b. View
c. Report

iv. **Key Risk Indicator**

Describes quantative metrics related to a particular risk will be filled showing a change in the risk magnitude.

Key Risk Indicator has three sub-categories

a. Create
b. View
c. Assess
d. Reports

v. **Incident**

Describe An event that may be, or may lead to a business interruption, disruption, loss and/or crisis.

Incident has three sub-categories:

a. Create

b. View

c. Report

vi. **Settings**

Describe all the administrative activities such as; definition of key details which includes effective scale, Impact scale, Likelihood Scale, Objectives and Frequently asked questions.

vii. **User**

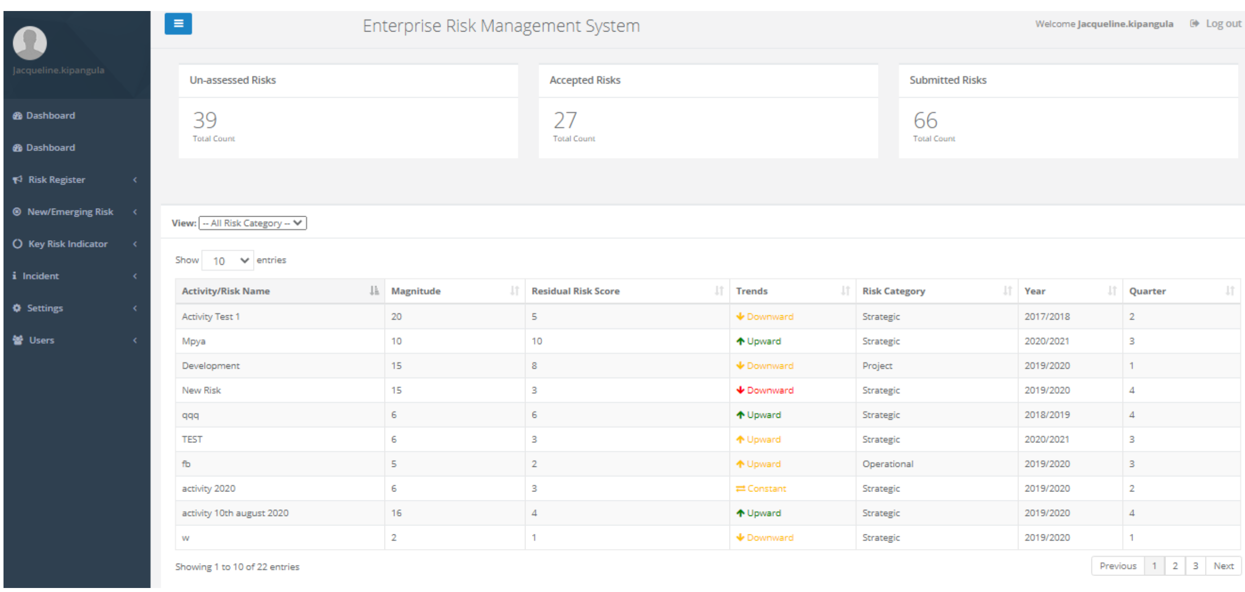
Describe all the administrative activities which includes the management of users and roles

3 SYSTEM USAGE

After the TCRA user has successfully logged in to the system, he/she will be prompted with various menu to guide when managing risk as elaborated below;

3.1 Dashboard

Under the dashboard category the user will be able to view total numbers of Un assessed risks, accepted risks and Submitted risks and summary of risk register.



3.2 Risk Register

Describe the assessment of different risk categories Strategic, Process and Project risks. Hence it captures the Activity, Affected Strategic Objective, Risk Causes, Risk Events, Risk Consequences, Inherent analysis, Existing controls, Effectiveness of existing controls, Additional controls, Risk status, Remarks and Trend.

Risk Register has three sub-categories:

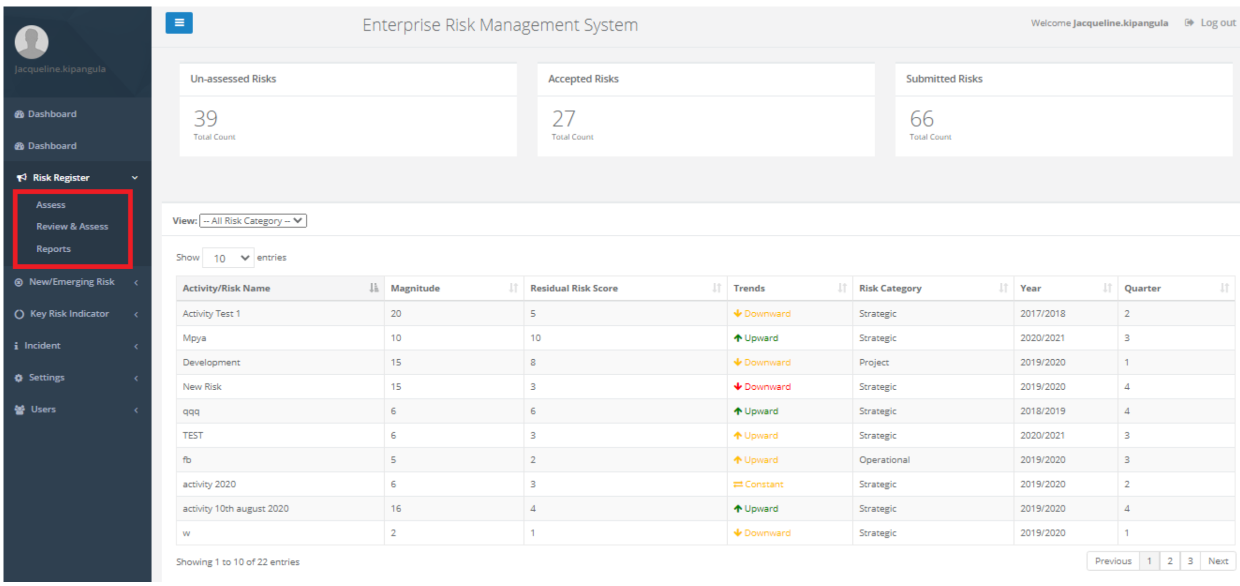
a. Assess

b. Review and Assess

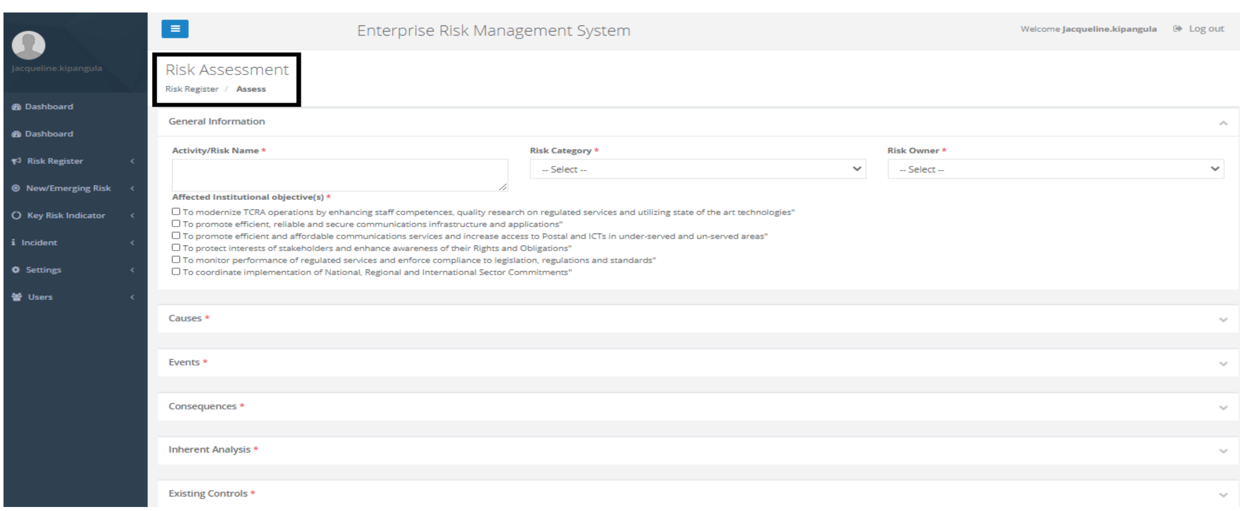
c. Report

3.2.1 Assess

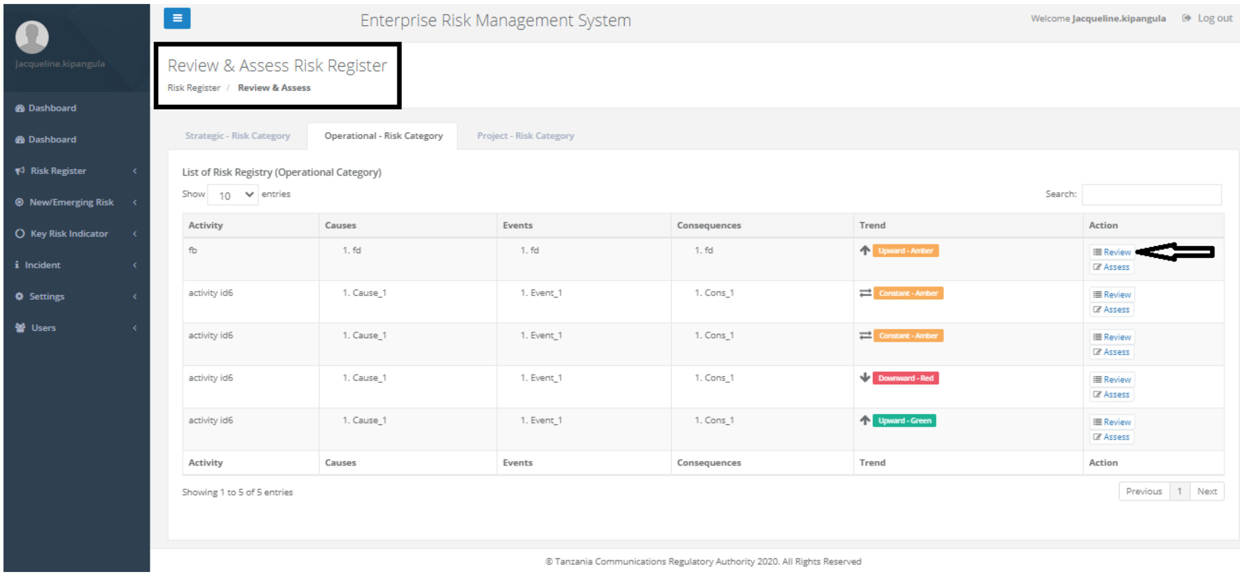
To assess risk, click on the Assess sub-category link below as shown



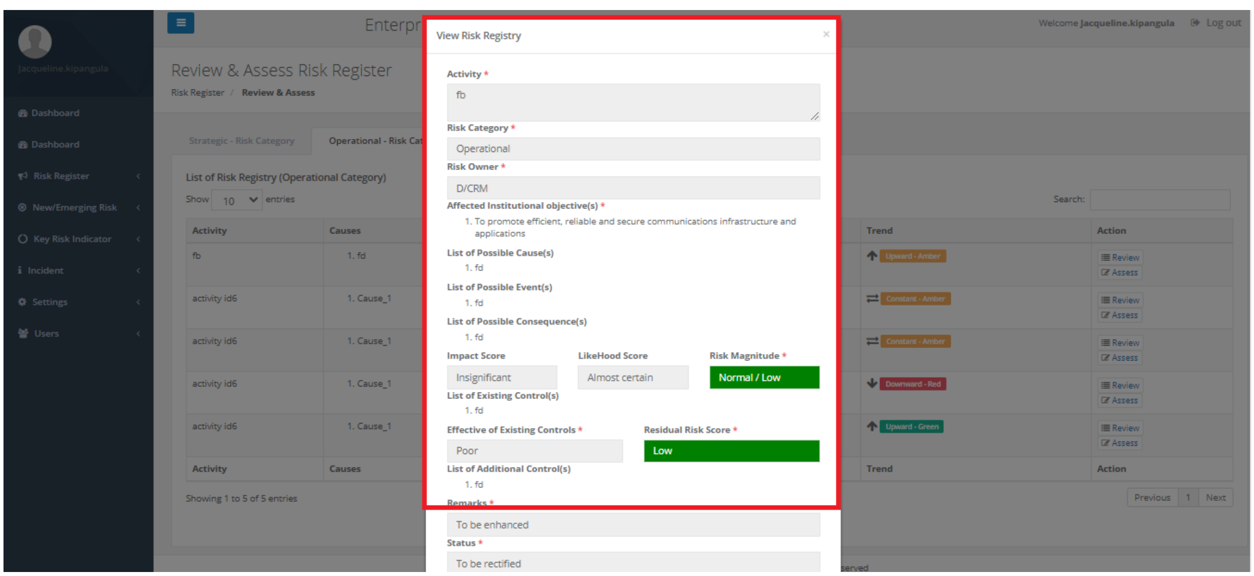
Then the risk register form will be displayed on the left side as shown below for RMU officer to fill in the required information:



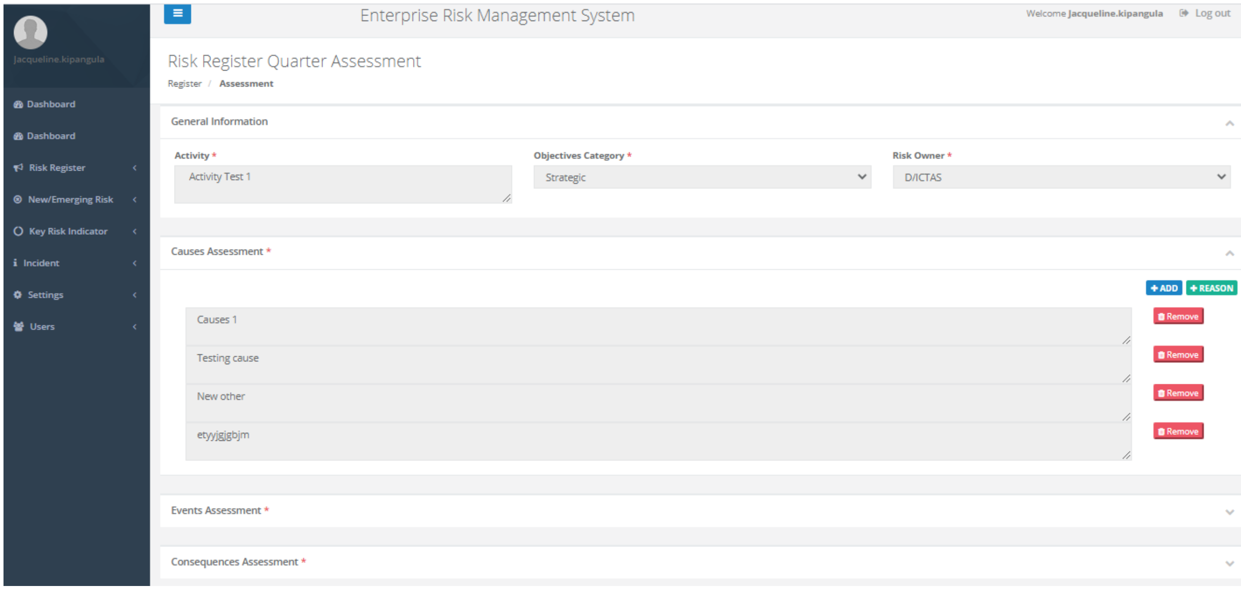
3.2.2 Review & Assess



On Clicking the Review button as highlighted above, a summary of submitted risk register will be displayed with all details;

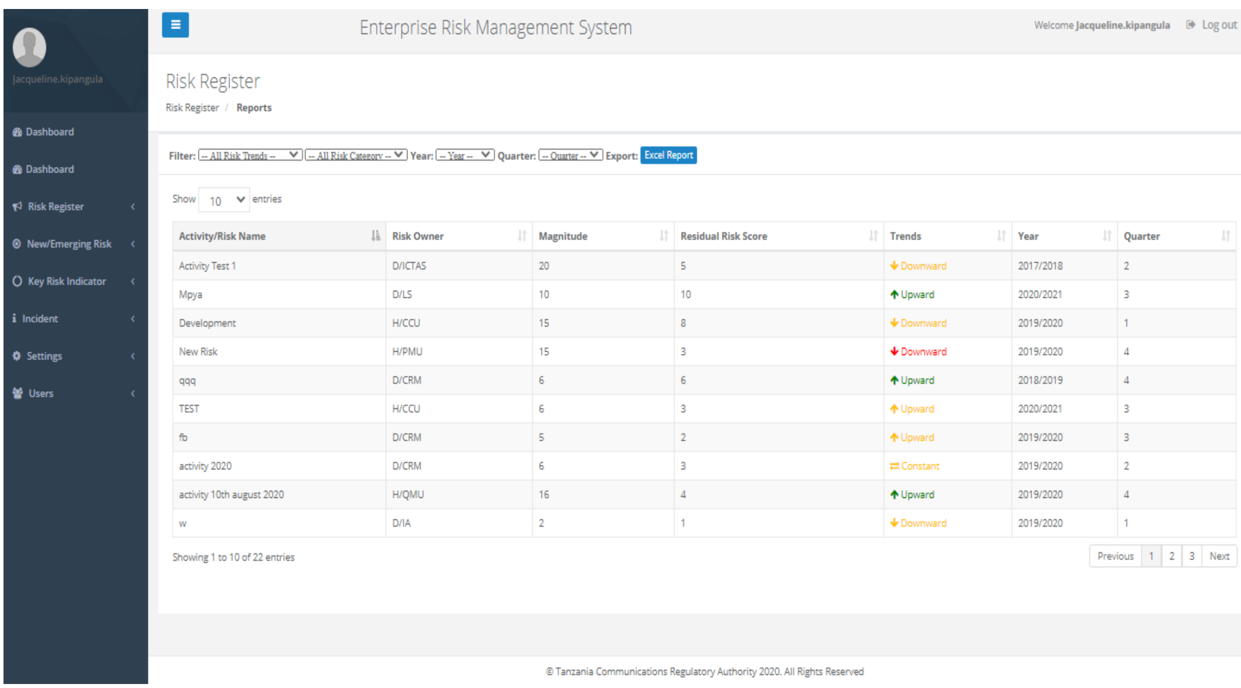


On Clicking the Assess button as highlighted below, a risk register will be displayed with all details which needs to be updated;



3.2.3 Reports

To view Risk register report. The report can be filtered by, Risk Trends, Risk Category, Year, Quarter and downloaded in excel format:



3.3 New/Emerging Risk

Describe the creation and overview of risk. Risk is the possibility that an event could occur and adversely affect the achievement of organization objectives.

Risk Register has three sub-categories:

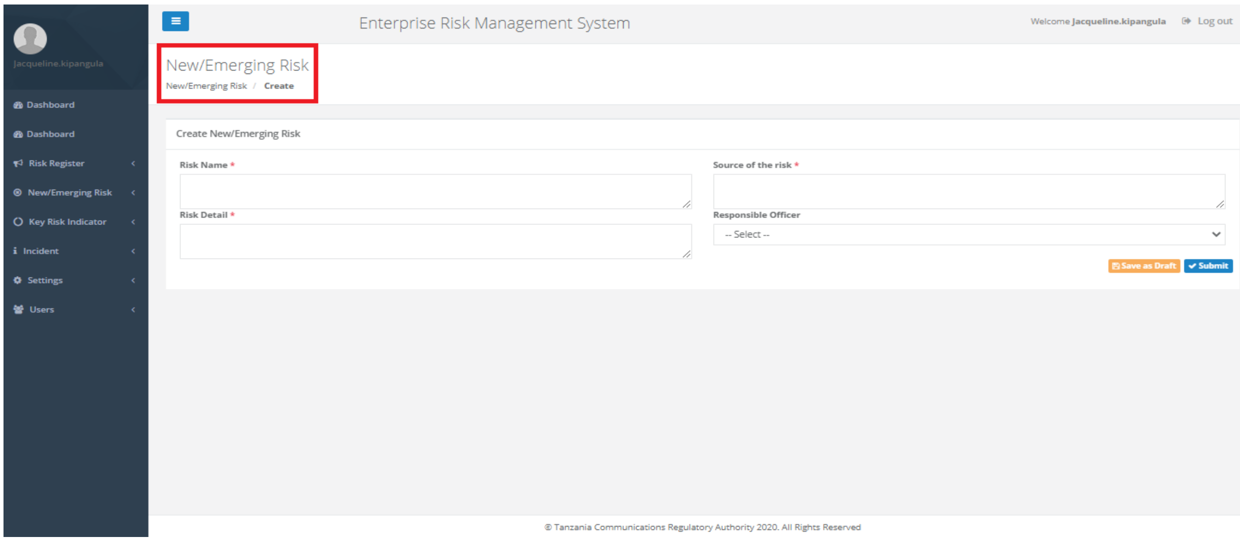
a. Create

b. View

c. Report

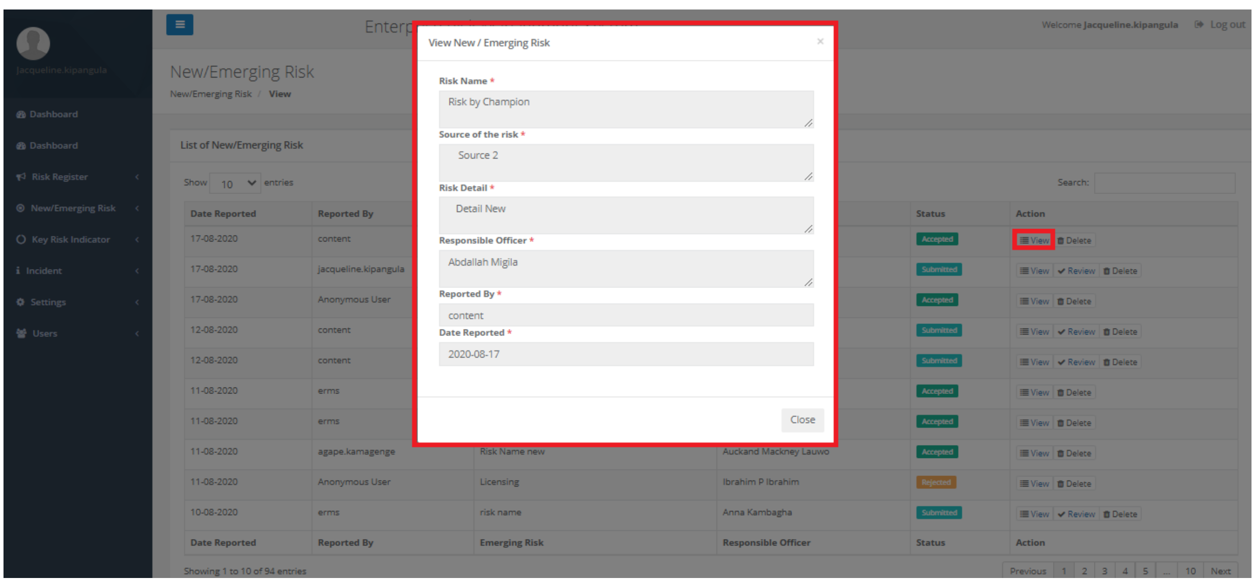
3.3.1 Create

To create new risk, when the create button is clicked it displays as below



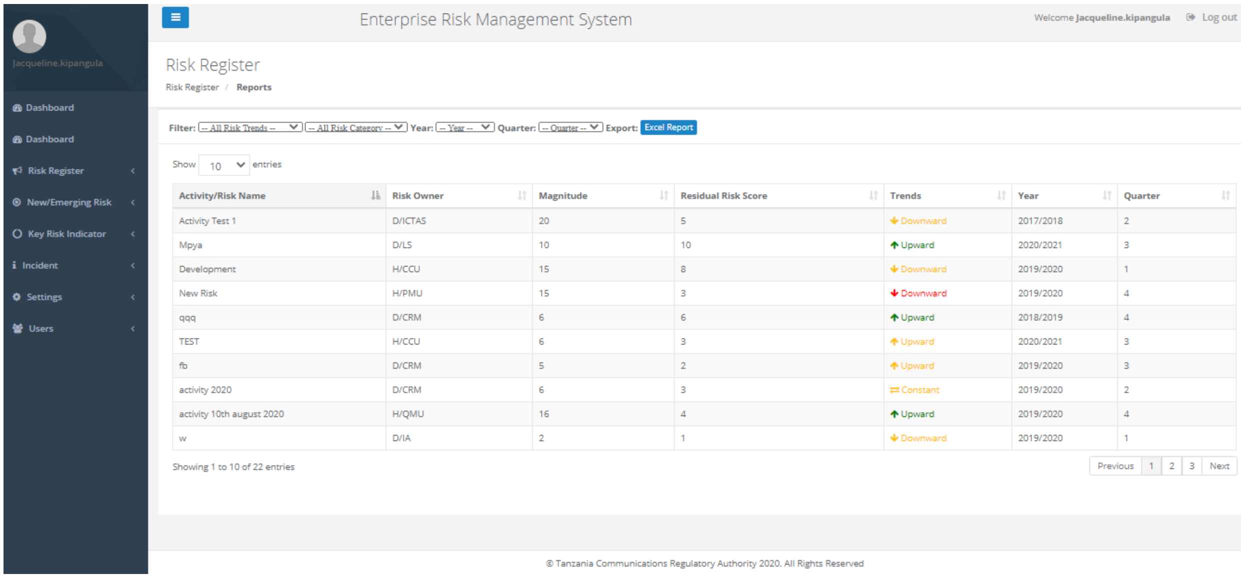
3.3.2 View

To view the created new risk, User has to click on view button to see the summary of created new risk.



3.3.3 Reports

To view New/Emerging Risk report. The report can be filtered by, Reported By, Status, Date Range and it can be downloaded in excel format:



3.4 Key Risk Indicator

Describes quantative metrics related to a particular risk, it will be filled to show a change in the risk magnitude.

Key Risk Indicator has four sub-categories:

a. Create

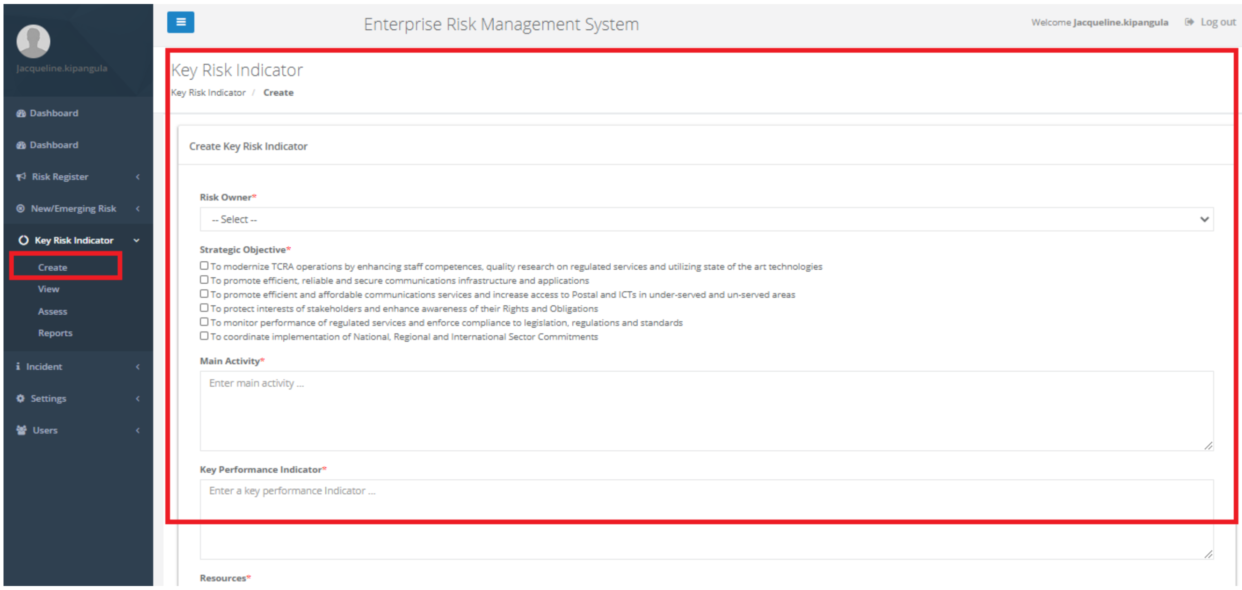
b. View

c. Assess

d. Report

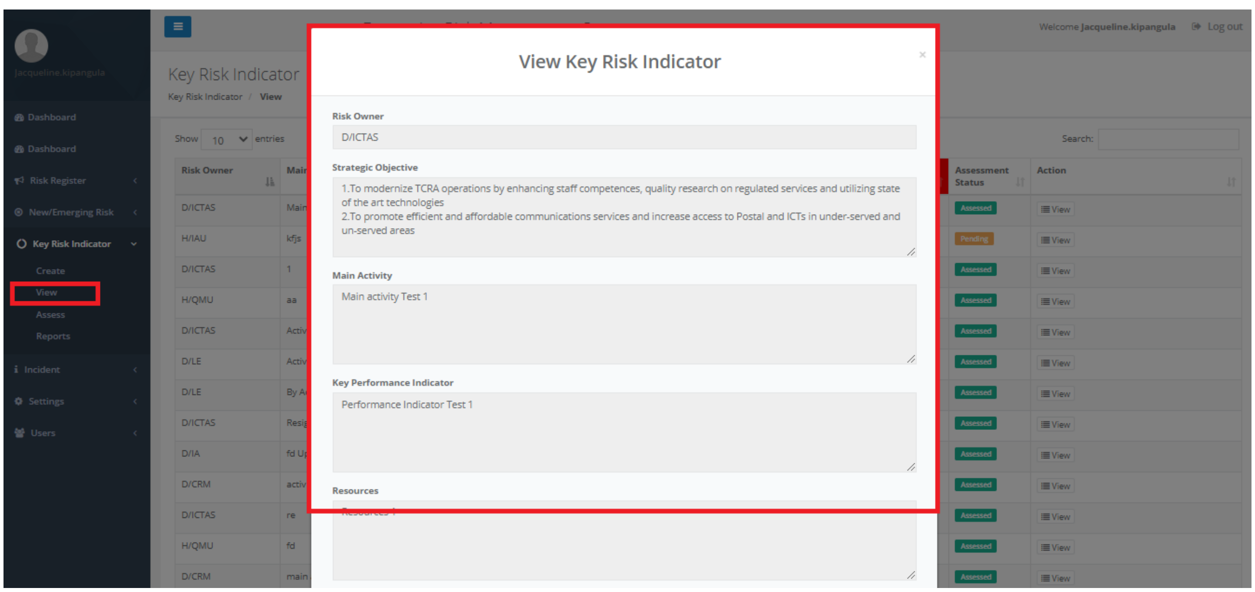
3.4.1 Create

To create Key Risk Indicator, when the create button is clicked it displays as below



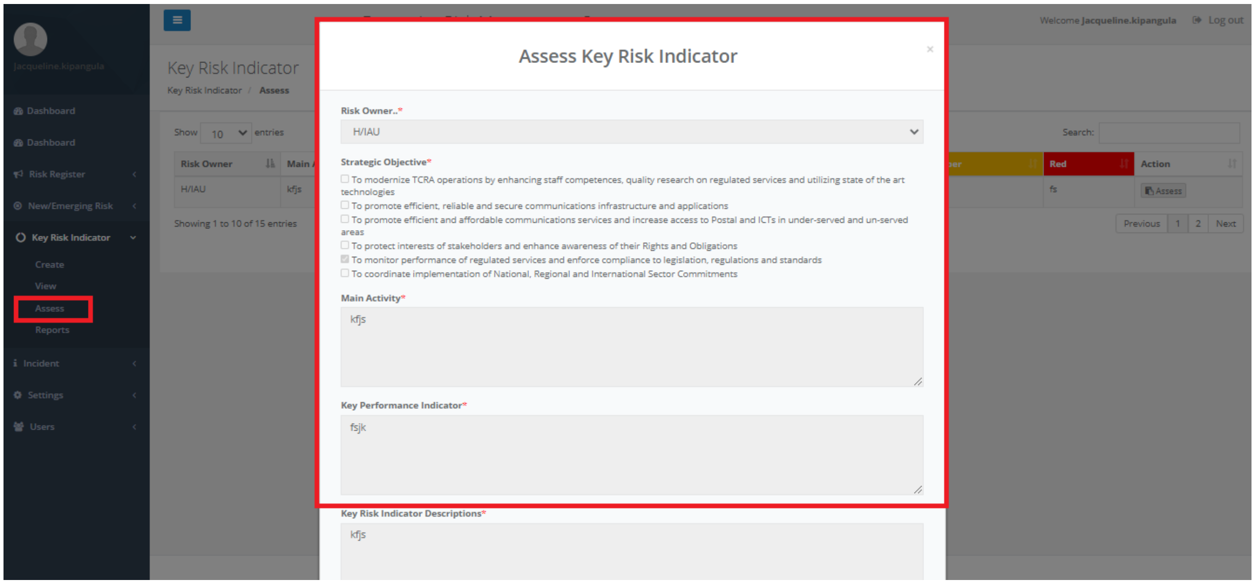
3.4.2 View

To view the created Key Risk Indicator, User has to click on view button to see the summary of created Key Risk Indicator.



3.4.3 Assess

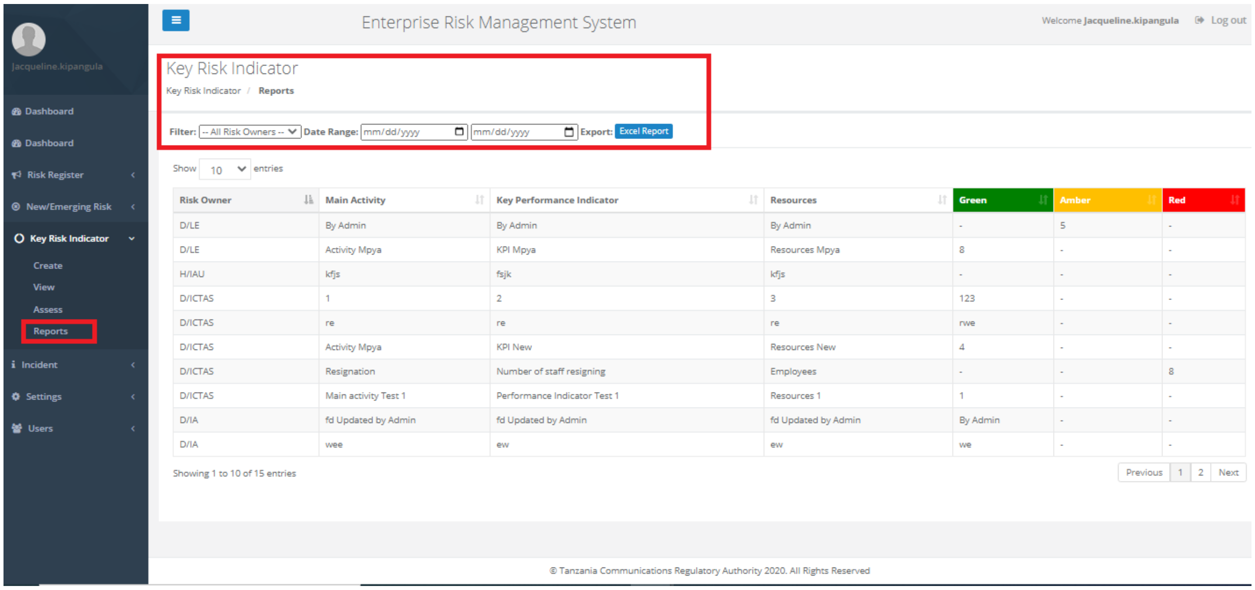
To Assess the created Key Risk Indicator, User has to click on view button to see the summary of created Key Risk Indicator and fill in Key Risk Indicator Measurements.



3.4.4 Reports

To view Key Risk Indicator report

The Key Risk Indicator report can be filtered by, Risk Owner, Date Range and it can be downloaded in excel format:



3.5 Incident

Describe An event that may be, or may lead to a business interruption, disruption, loss and/or crisis.

Incident has three sub-categories:

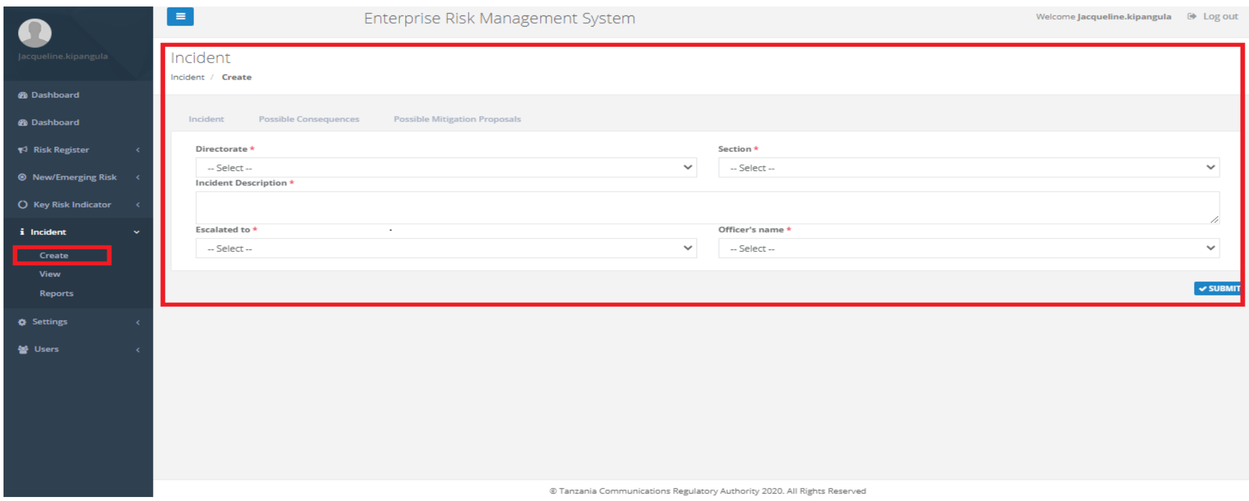
a. Create

b. View

c. Report

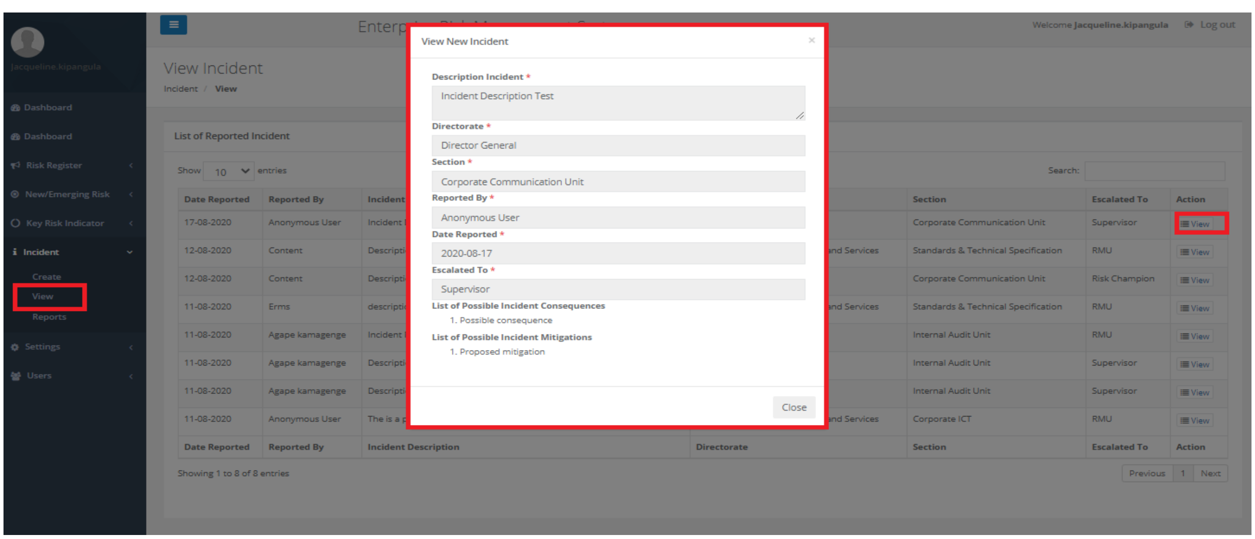
3.5.1 Create

To create an Incident, user has to click the create button and the below will be displayed;



3.5.2 View

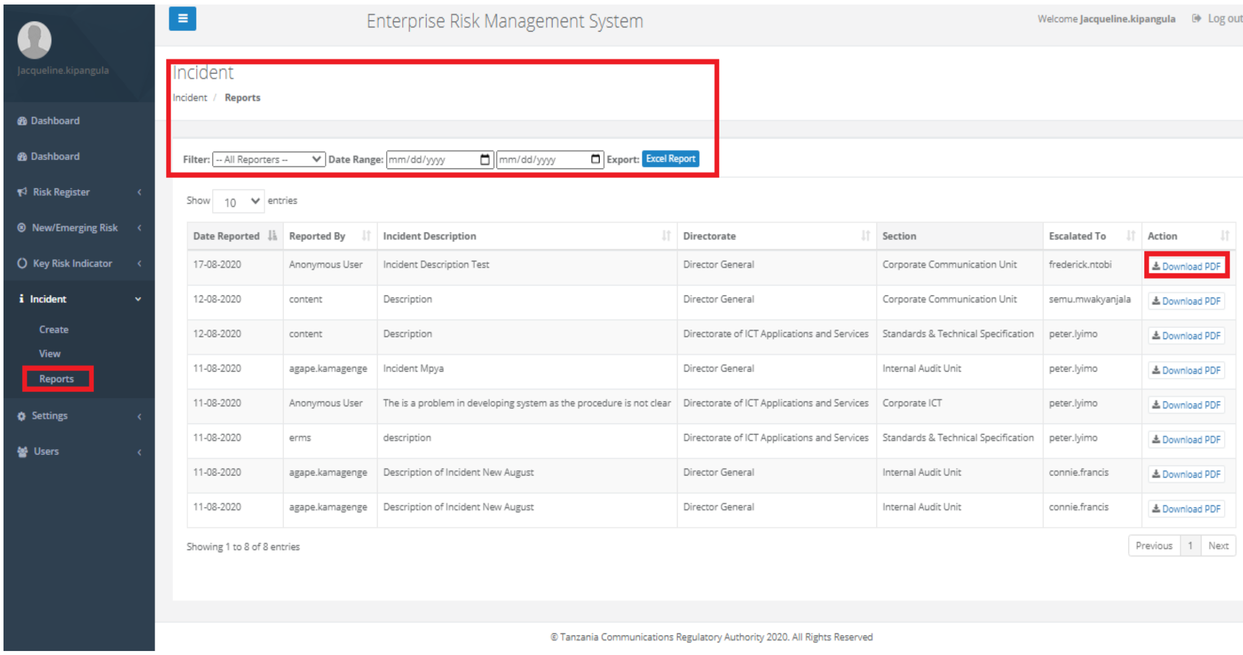
To view the created Incident, User has to click on view button to see the summary of created Incident.



3.5.3 Reports

To view Incident report

The Incident report can be filtered by, Reported By, Date Range and downloaded in excel and PDF format:



3.6 Settings

Describe all the administrative activities such as; definition of key details which includes effective scale, Impact scale, Likelihood Scale, Objectives and Frequently asked questions.

Settings has five sub-categories:

a. Effectiveness Scale

b. Impact Scale

c. Likelihood Scale

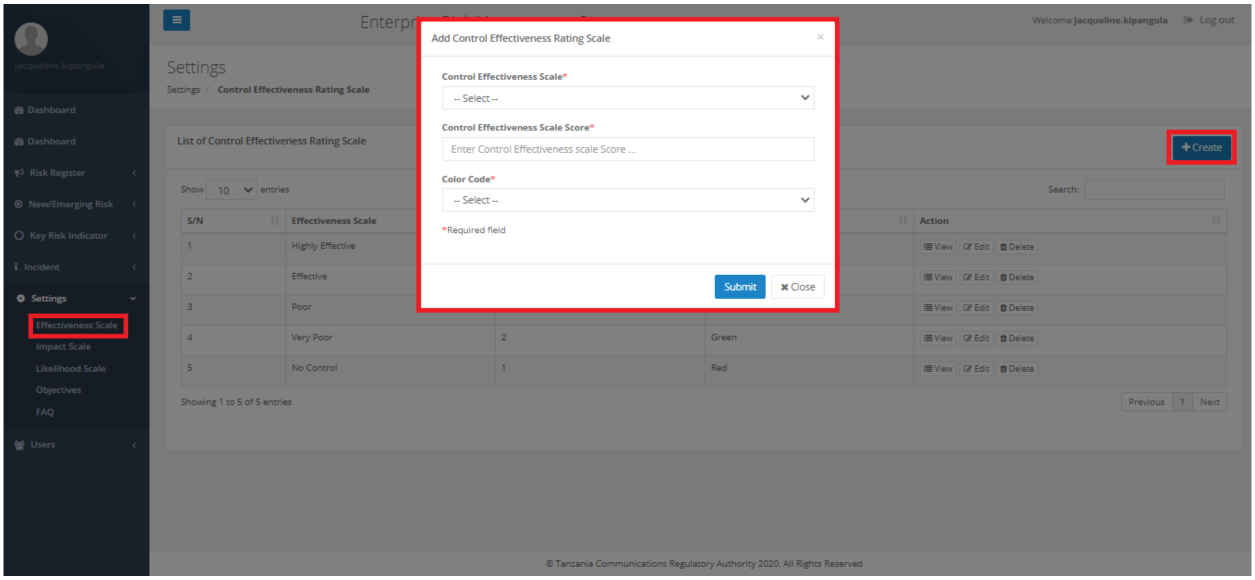
d. Objectives

e. Frequently Asked Questions

3.6.1 Effectiveness Scale

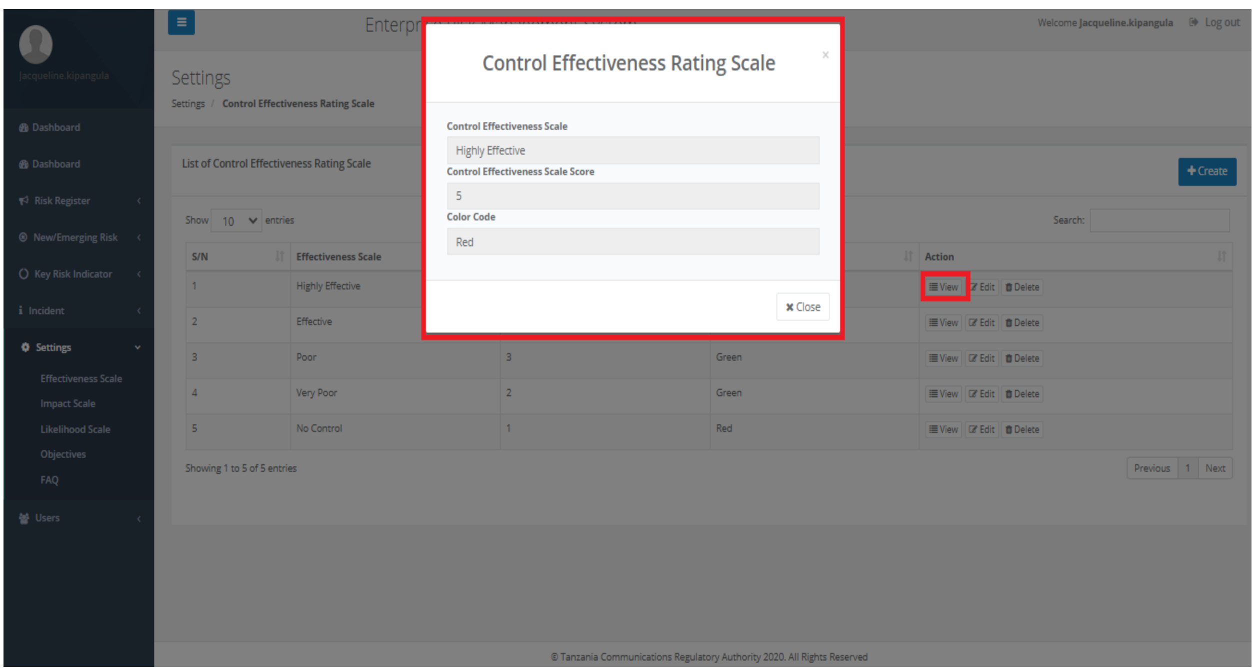
3.6.1.1 Create

To create an Effectiveness Scale, user has to click the create button and the below will be displayed;



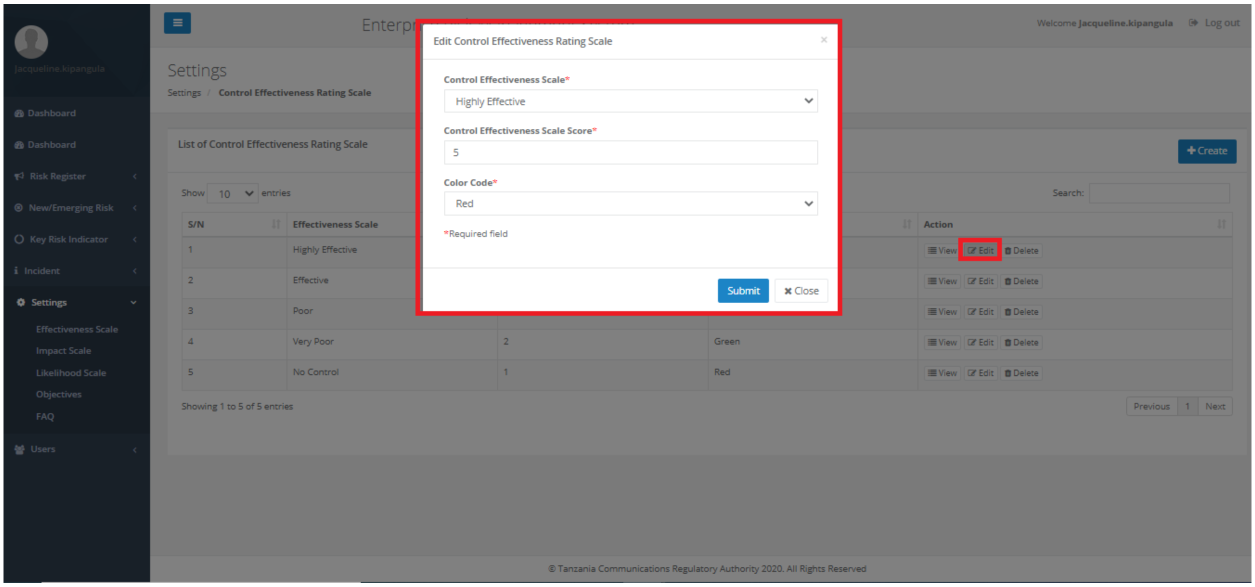
3.6.1.2 View

To view the created Effectiveness Scale, User has to click on view button to see the summary of the effectiveness scale.



3.6.1.3 Edit

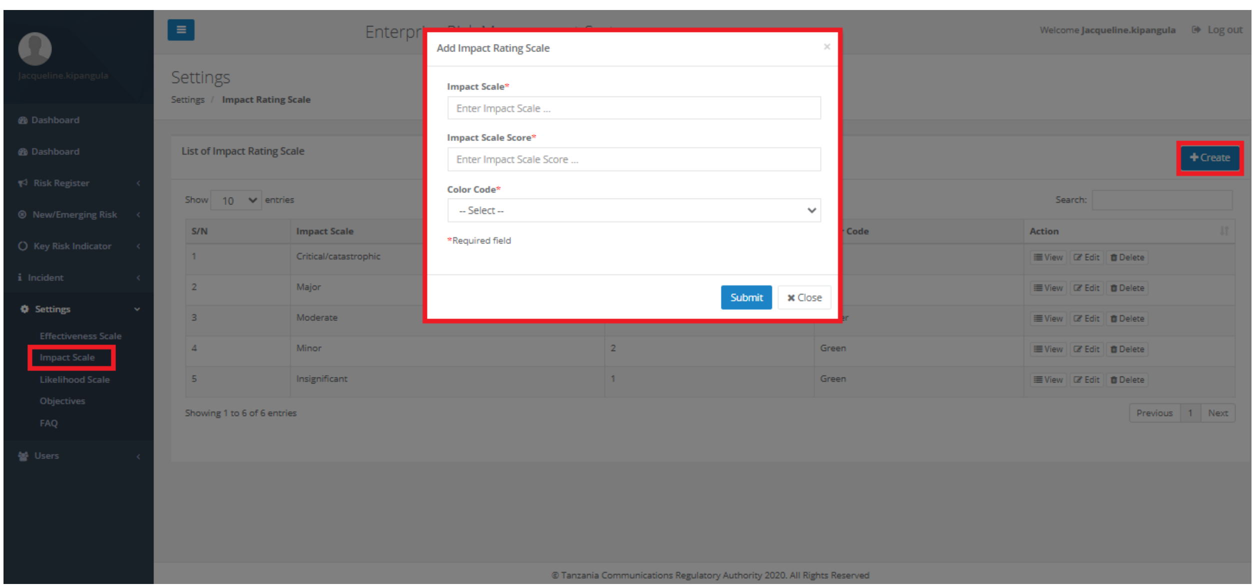
To edit Effectiveness Scale, User has to click on edit button to edit details of the effectiveness scale.



3.6.2 Impact Scale

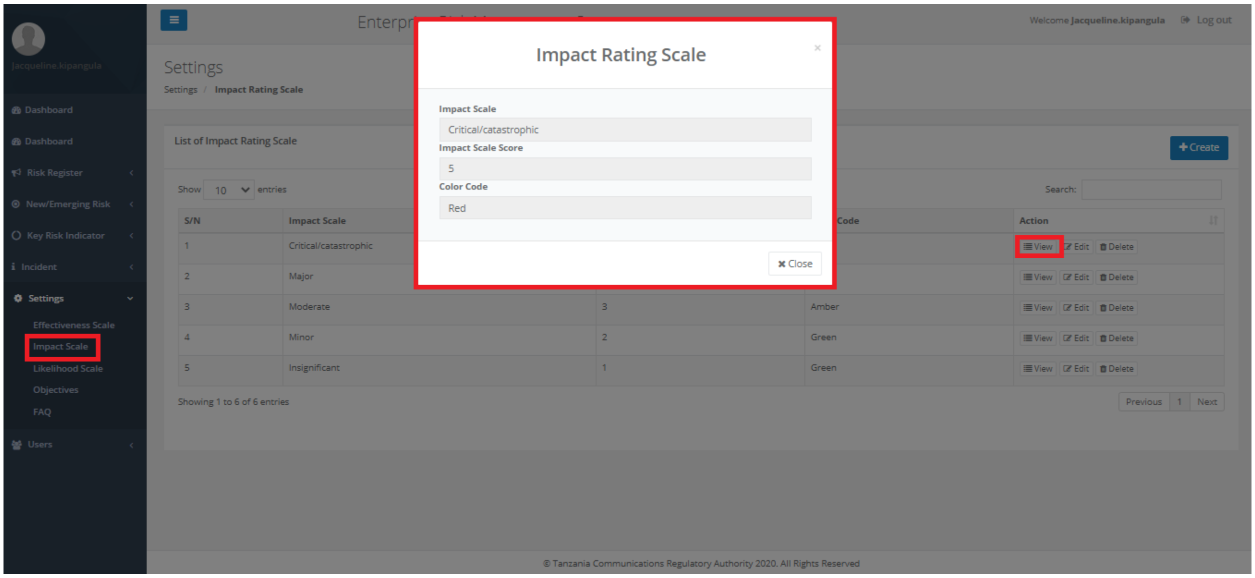
3.6.2.1 Create

To create an Impact Scale, user has to click the create button and the below will be displayed;



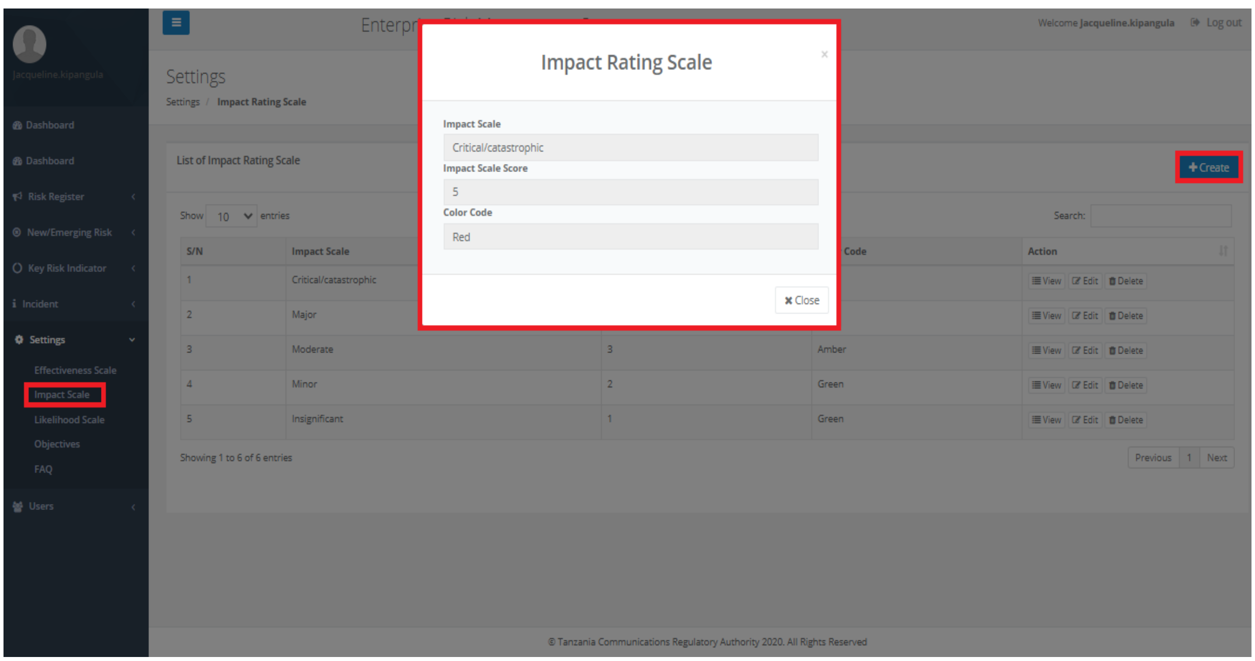
3.6.2.2 View

To view the created Impact Scale, User has to click on view button to see the summary of the effectiveness scale.



3.6.2.3 Edit

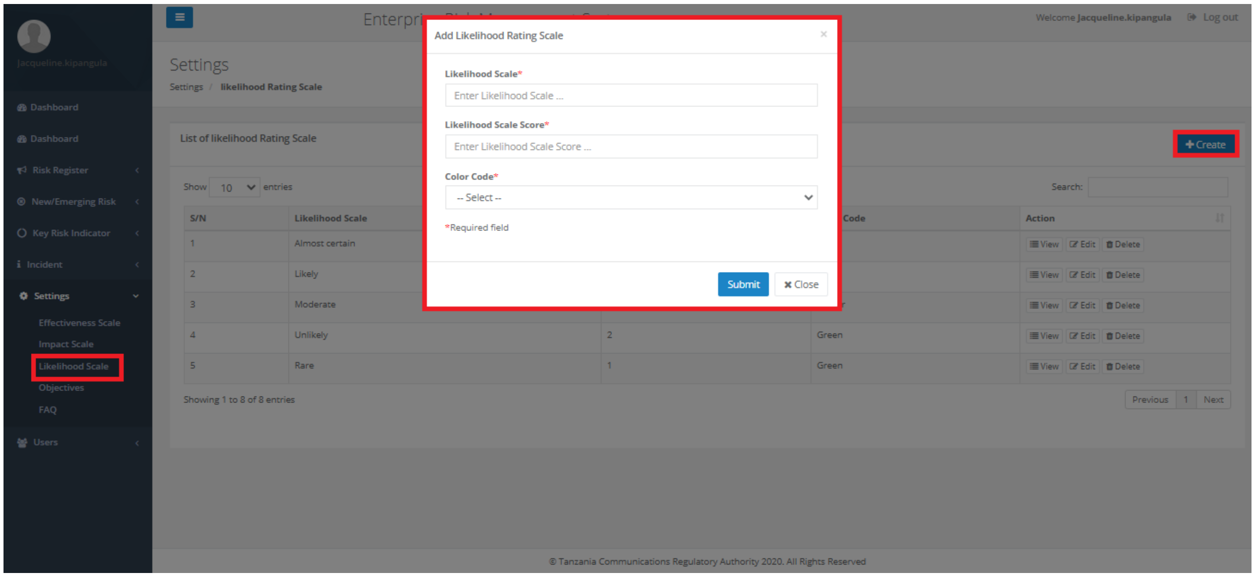
To edit Effectiveness Scale, User has to click on edit button to edit details of the effectiveness scale.



3.6.3 Likelihood Scale

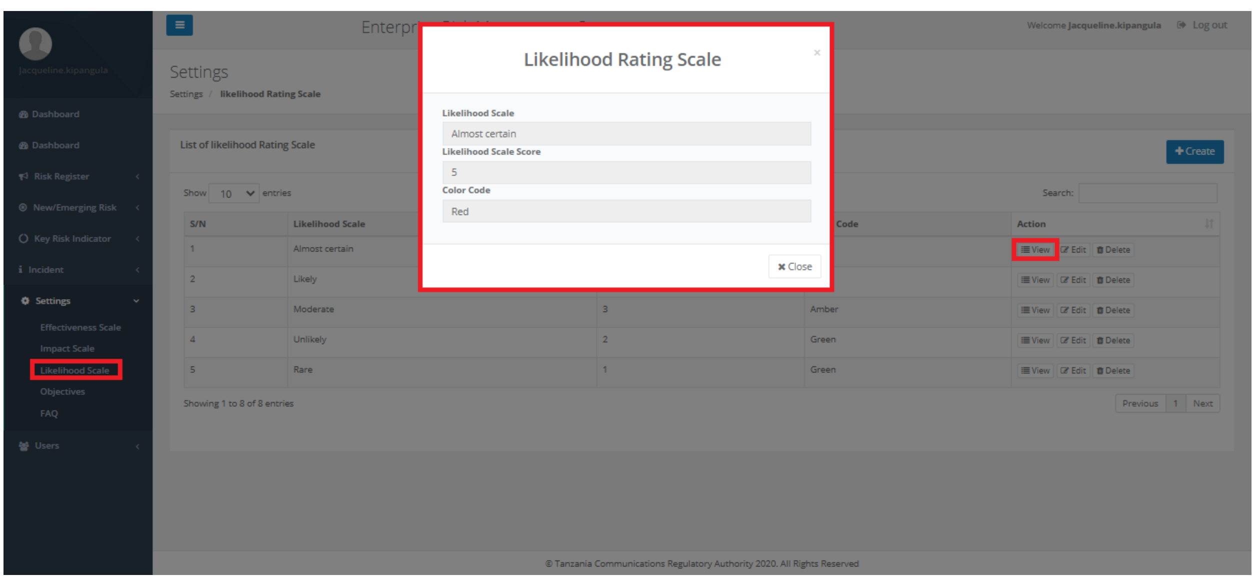
3.6.3.1 Create

To create Likelihood Scale, user has to click the create button and the below will be displayed;



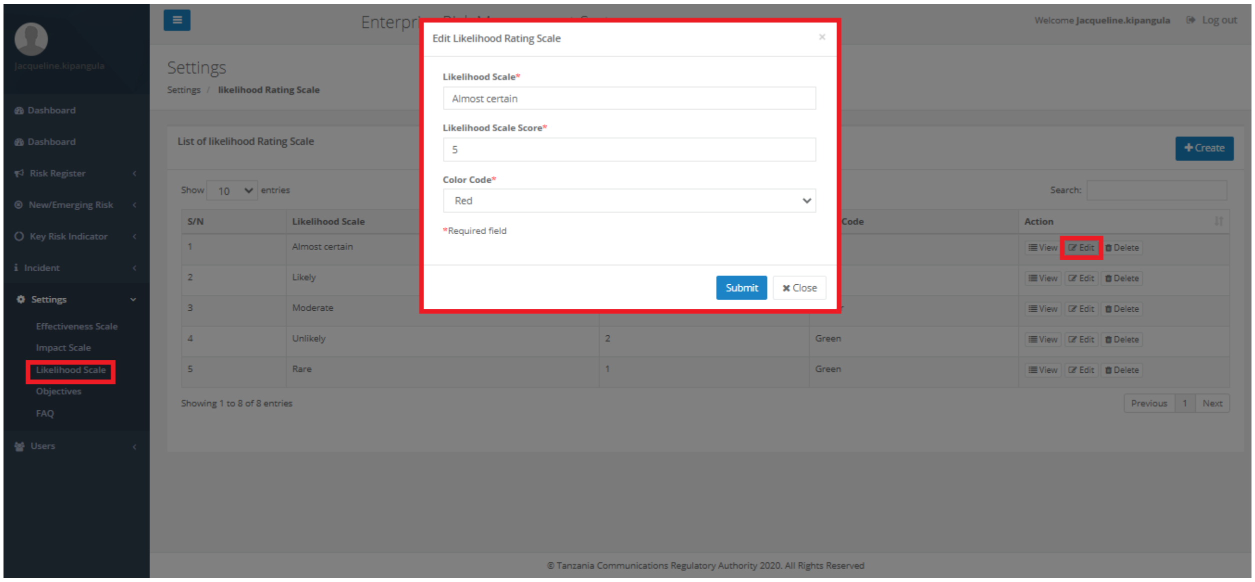
3.6.3.2 View

To view the created Likelihood Scale, User has to click on view button to see the summary of the impact scale.



3.6.3.3 Edit

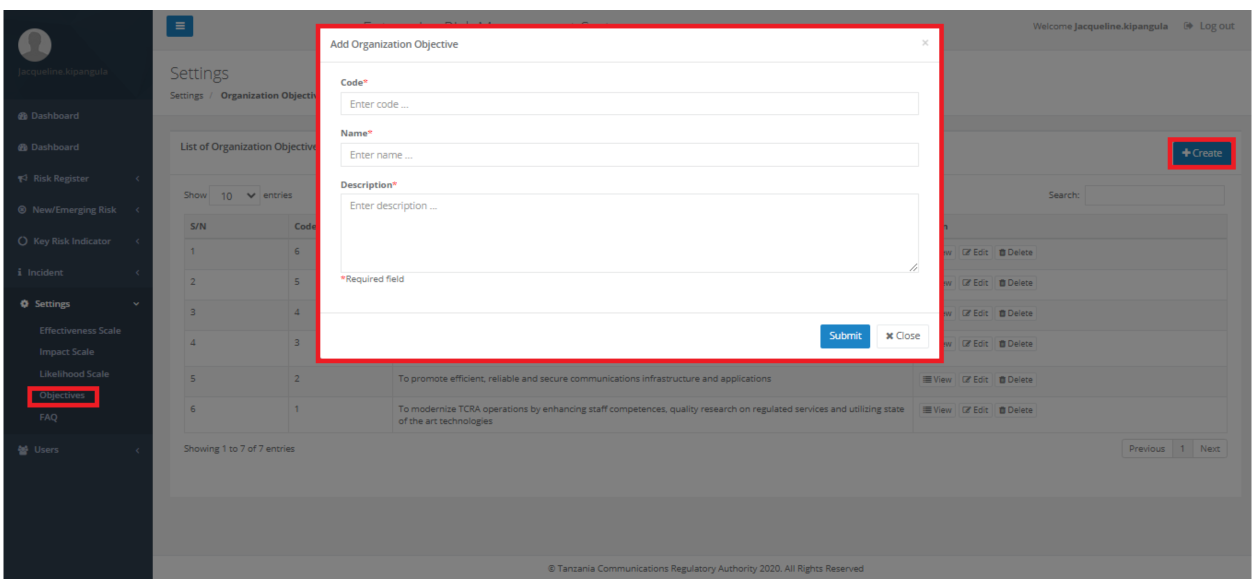
To edit Impact Scale, User has to click on edit button to edit details of the Impact scale.



3.6.4 Objective

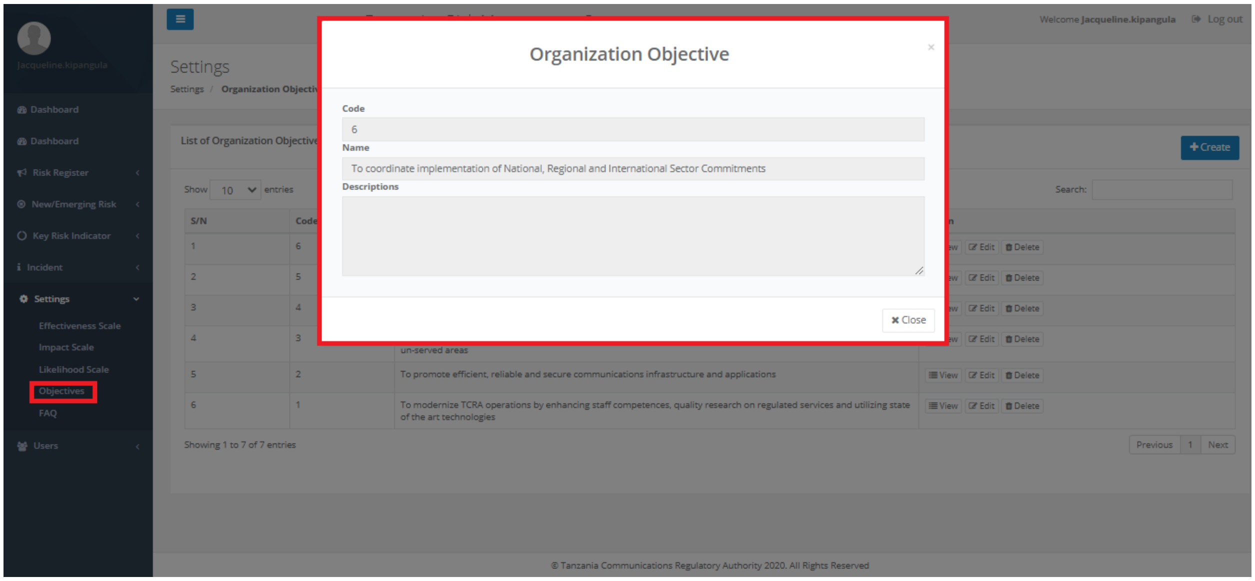
3.6.4.1 Create

To create an Objective, user has to click the create button and the below will be displayed;



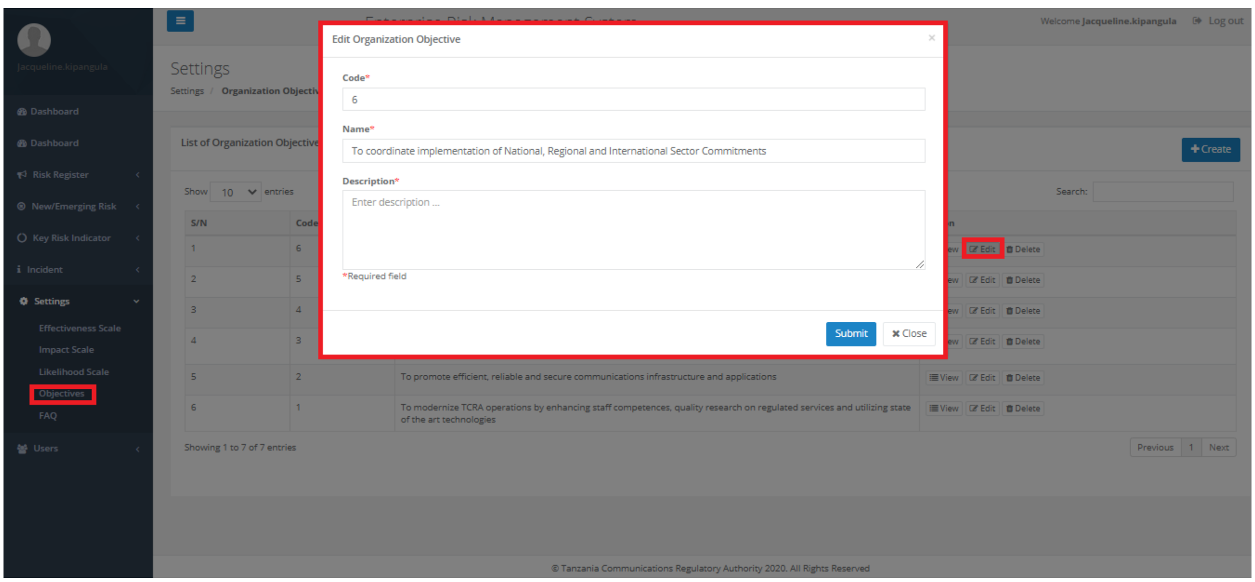
3.6.4.2 View

To view the created Objective, User has to click on view button to see the summary of Objectives.



3.6.4.3 Edit

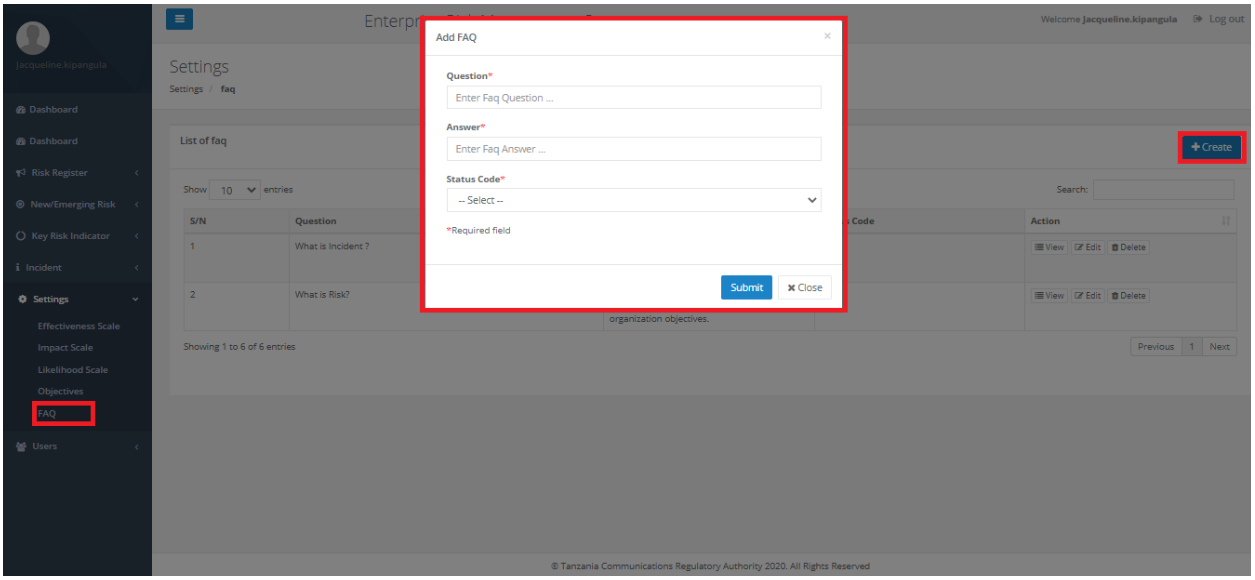
To edit Objective, User has to click on edit button to edit details of Objectives.



3.6.5 Frequently Asked Question

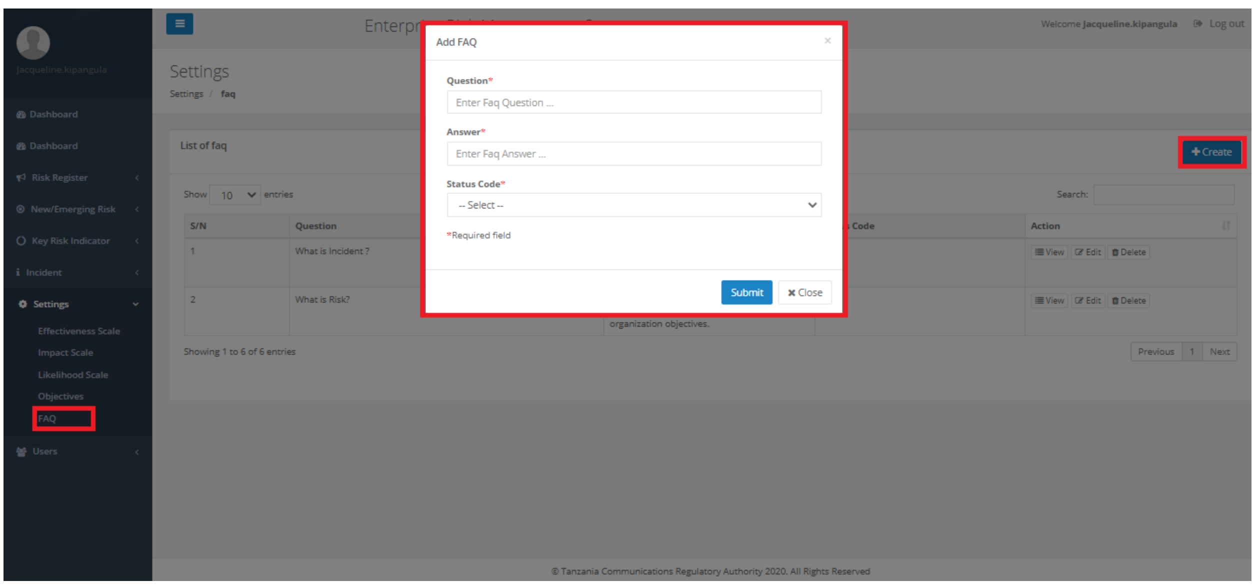
3.6.5.1 Create

To create a Frequently Asked Question, user has to click the create button and the below will be displayed;



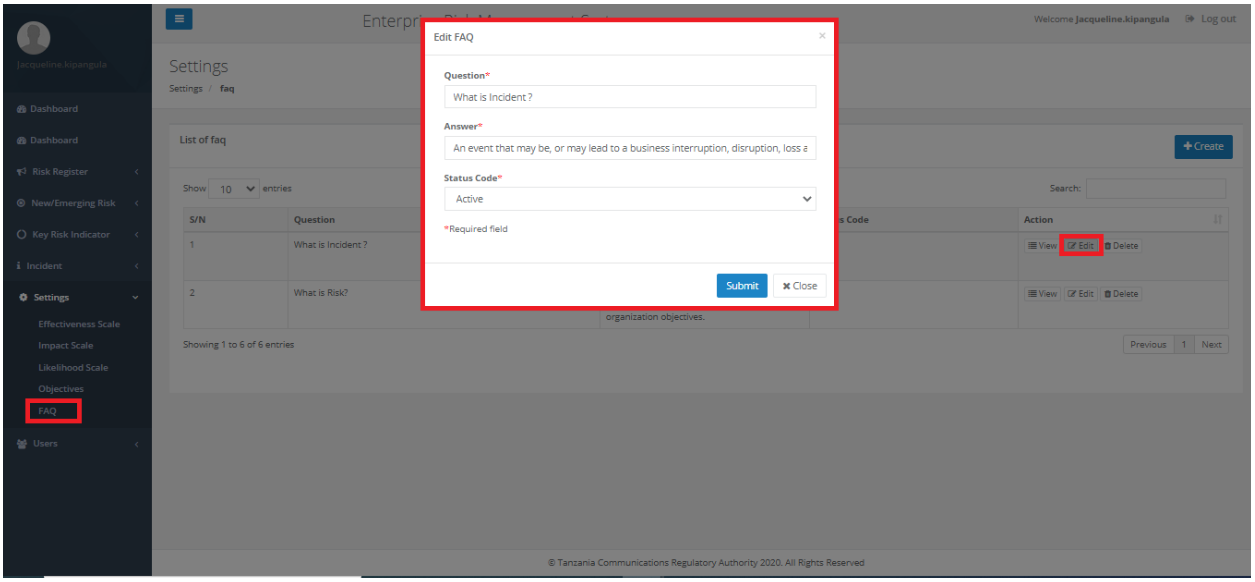
3.6.5.2 View

To view the created Frequently Asked Question, User has to click on view button to see the summary of the Frequently Asked Question.



3.6.5.3 Edit

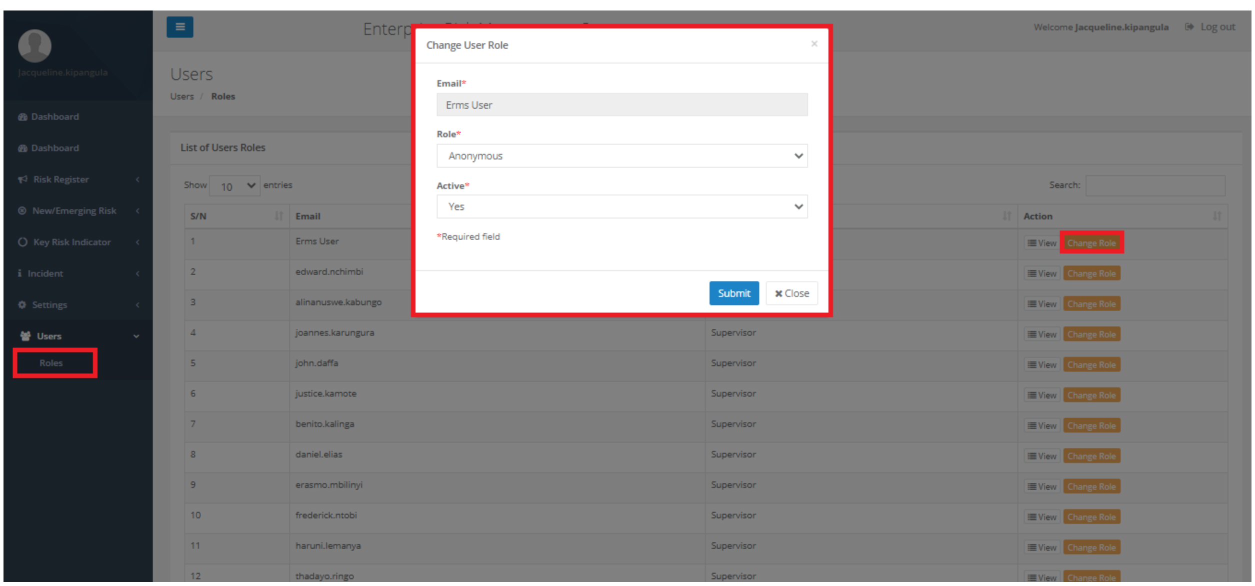
To edit Frequently Asked Question, User has to click on edit button to edit details of the Frequently Asked Question.



3.6.6 Role

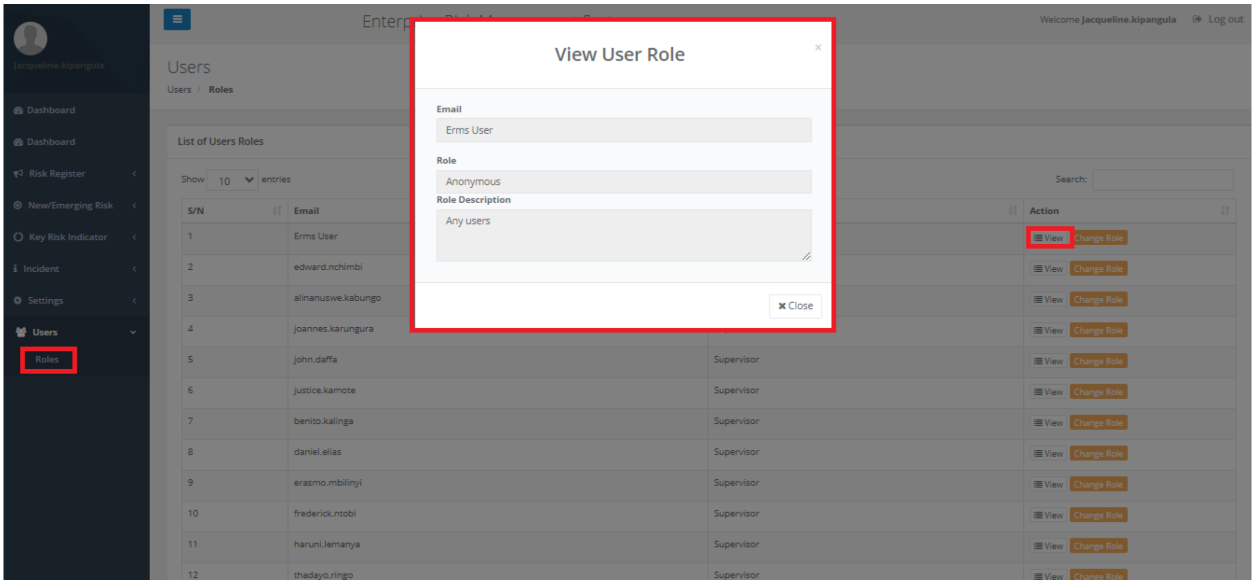
3.6.6.1 Change Role

To create a Change Role, user has to click the change role button and the below will be displayed;



3.6.6.2 View

To view user roles, User has to click on view button to see the summary of the created user roles.



4 CONCLUSION

The user guide has been designed so as to direct Enterprise Risk Management System users to access all system's core functionalities based on their different roles and access levels. The key functionality of the user guide is to simplify and answer all preliminary user questions before seeking for support from the system Administration Office on how to go about the system.