

**Prepared by eMomentum Interactive Systems Limited**

**For First Chartered Securities**

**Submitted on May 2016**

**FC S Governance Risk and Compliance System**

Risk Module Use Case Test Scenario

# **Introduction**

This document serves to guide the Quality Review Team through testing the Risk module of the Governance Risk and Compliance System developed for First Chartered Securities Group.

For each product functional area, this Quality Review Record is composed of the following:

1. Success criteria describing the expected outcome as per User Requirements and their subsequent revision.
2. Test results as observed by the Quality Review Team.

# Responsibilities

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# Quality Review Summary

* Functional Areas Quality Reviewed passed without reservations:
* Functional Areas Quality Review failed and require additional Review:
* Functional Areas Quality Review accepted with Concession and follow-up actions Recommended:

Table of Contents

[**Introduction** 1](#_Toc466263757)

[Responsibilities 1](#_Toc466263758)

[Quality Review Summary 1](#_Toc466263759)

[Test Cases 7](#_Toc466263760)

[Create Risk Register 8](#_Toc466263761)

[Prerequisites 8](#_Toc466263762)

[Success Criteria 8](#_Toc466263763)

[Test Use Case 8](#_Toc466263764)

[Edit Risk Register 10](#_Toc466263765)

[Prerequisites 10](#_Toc466263766)

[Success Criteria 10](#_Toc466263767)

[Test Use Case 10](#_Toc466263768)

[Delete Risk Register 11](#_Toc466263769)

[Prerequisites 11](#_Toc466263770)

[Success Criteria 11](#_Toc466263771)

[Test Use Case 11](#_Toc466263772)

[Add Risk to Risk Register 12](#_Toc466263773)

[Prerequisites 12](#_Toc466263774)

[Success Criteria 12](#_Toc466263775)

[Test use Case 12](#_Toc466263776)

[Remove Risk from Risk Register 13](#_Toc466263777)

[Prerequisites 13](#_Toc466263778)

[Success Criteria 13](#_Toc466263779)

[Test use Case 13](#_Toc466263780)

[Publish Risk Register 14](#_Toc466263781)

[Prerequisites 14](#_Toc466263782)

[Success Criteria 14](#_Toc466263783)

[Test use Case 14](#_Toc466263784)

[Create Risk Category 15](#_Toc466263785)

[Prerequisites 15](#_Toc466263786)

[Success Criteria 15](#_Toc466263787)

[Test use Case 15](#_Toc466263788)

[Edit Risk Category 16](#_Toc466263789)

[Prerequisites 16](#_Toc466263790)

[Success Criteria 16](#_Toc466263791)

[Test use Case 16](#_Toc466263792)

[Delete Risk Category 17](#_Toc466263793)

[Prerequisites 17](#_Toc466263794)

[Success Criteria 17](#_Toc466263795)

[Test use Case 17](#_Toc466263796)

[Create Risk Sub Category 18](#_Toc466263797)

[Prerequisites 18](#_Toc466263798)

[Success Criteria 18](#_Toc466263799)

[Test use Case 18](#_Toc466263800)

[Edit Risk Sub Category 19](#_Toc466263801)

[Prerequisites 19](#_Toc466263802)

[Success Criteria 19](#_Toc466263803)

[Test use Case 19](#_Toc466263804)

[Delete Risk Sub Category 20](#_Toc466263805)

[Prerequisites 20](#_Toc466263806)

[Success Criteria 20](#_Toc466263807)

[Test use Case 20](#_Toc466263808)

[Create New Risk 21](#_Toc466263809)

[Prerequisites 21](#_Toc466263810)

[Success Criteria 21](#_Toc466263811)

[Test Use Case 1 21](#_Toc466263812)

[Test Use Case 2 22](#_Toc466263813)

[Validate Risk 23](#_Toc466263814)

[Prerequisites 23](#_Toc466263815)

[Success Criteria 23](#_Toc466263816)

[Test Use Case 23](#_Toc466263817)

[Update Risk Status 24](#_Toc466263818)

[Prerequisites 24](#_Toc466263819)

[Success Criteria 24](#_Toc466263820)

[Test Use Case 24](#_Toc466263821)

[Edit Risk Details 25](#_Toc466263822)

[Prerequisites 25](#_Toc466263823)

[Success Criteria 25](#_Toc466263824)

[Test Use Case 25](#_Toc466263825)

[Analyze Risk 25](#_Toc466263826)

[Prerequisites 25](#_Toc466263827)

[Success Criteria 25](#_Toc466263828)

[Test Use Case 25](#_Toc466263829)

[Create Control Category 25](#_Toc466263830)

[Prerequisites 25](#_Toc466263831)

[Success Criteria 25](#_Toc466263832)

[Test Use Case 25](#_Toc466263833)

[Edit Control Category 25](#_Toc466263834)

[Prerequisites 25](#_Toc466263835)

[Success Criteria 25](#_Toc466263836)

[Test Use Case 25](#_Toc466263837)

[Delete Control Category 25](#_Toc466263838)

[Prerequisites 25](#_Toc466263839)

[Success Criteria 25](#_Toc466263840)

[Test Use Case 25](#_Toc466263841)

[Propose New Control 25](#_Toc466263842)

[Prerequisites 25](#_Toc466263843)

[Success Criteria 25](#_Toc466263844)

[Test Use Case 25](#_Toc466263845)

[Approve Proposed Control 25](#_Toc466263846)

[Prerequisites 25](#_Toc466263847)

[Success Criteria 25](#_Toc466263848)

[Test Use Case 25](#_Toc466263849)

[Add Control in place 25](#_Toc466263850)

[Prerequisites 25](#_Toc466263851)

[Success Criteria 25](#_Toc466263852)

[Test Use Case 25](#_Toc466263853)

[Approve Control in place 25](#_Toc466263854)

[Prerequisites 25](#_Toc466263855)

[Success Criteria 25](#_Toc466263856)

[Test Use Case 25](#_Toc466263857)

[Edit Control 25](#_Toc466263858)

[Prerequisites 25](#_Toc466263859)

[Success Criteria 25](#_Toc466263860)

[Test Use Case 25](#_Toc466263861)

[Delete Control 25](#_Toc466263862)

[Prerequisites 25](#_Toc466263863)

[Success Criteria 25](#_Toc466263864)

[Test Use Case 25](#_Toc466263865)

[Create Control Activity 25](#_Toc466263866)

[Prerequisites 25](#_Toc466263867)

[Success Criteria 25](#_Toc466263868)

[Test Use Case 25](#_Toc466263869)

[Approve Control Activity 25](#_Toc466263870)

[Prerequisites 25](#_Toc466263871)

[Success Criteria 25](#_Toc466263872)

[Test Use Case 25](#_Toc466263873)

[Edit Control Activity 25](#_Toc466263874)

[Prerequisites 25](#_Toc466263875)

[Success Criteria 25](#_Toc466263876)

[Test Use Case 25](#_Toc466263877)

[Delete Control Activity 25](#_Toc466263878)

[Prerequisites 25](#_Toc466263879)

[Success Criteria 25](#_Toc466263880)

[Test Use Case 25](#_Toc466263881)

[Create Risk evaluation 25](#_Toc466263882)

[Prerequisites 25](#_Toc466263883)

[Success Criteria 25](#_Toc466263884)

[Test Use Case 25](#_Toc466263885)

[Edit Risk evaluation details 25](#_Toc466263886)

[Prerequisites 25](#_Toc466263887)

[Success Criteria 25](#_Toc466263888)

[Test Use Case 25](#_Toc466263889)

# Test Cases

The table below show the process and the actors who perform them;

|  |  |
| --- | --- |
| Process | Actors |
| Create Risk Register | Risk Manager |
| Edit Risk Register | Risk Manager |
| Delete Risk Register | Risk Manager |
| Publish Risk Register | Risk Manager |
| Create Risk Category | Risk Manager |
| Edit Risk Category | Risk Manager |
| Delete Risk Category | Risk Manager |
| Create Risk sub category | Risk Manager |
| Edit Risk Sub Category | Risk Manager |
| Delete Risk Sub Category | Risk Manager |
| Create Risk | Unit Owner/ Risk Manager |
| Validate Risk | Risk Manager |
| Update Risk Status | Risk Manager |
| Edit Risk Details | Unit Owner |
| Add Risks to Risk Registers | Risk Manager |
| Remove Risks from Risk Register | Risk Manager |
| Analyze Risk | Risk manger |
| Create Control Category | Risk manger |
| Edit Control Category | Risk manger |
| Delete Control Category | Risk manger |
| Propose New control | Unit Owner |
| Approve proposed control | Risk Manager |
| Edit Control | Unit Owner |
| Delete Control | Risk Manager |
| Add control in place | Unit Owner |
| Approve control in place | Risk Manager |
| Create control activity | Unit Owner (assigns a staff) |
| Approve Control Activity | Risk Manager (Control Owner) |
| Edit Control Activity | Unit Owner |
| Delete Control activity | Risk Manager |
| Create Risk Evaluation | Risk Manager |
| Edit Risk Evaluation detail | Risk Manager |

# Create Risk Register

This process involves creating a Risk Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the Add Risk Register button.
3. Should be able to create a Risk Register.
4. The added Risk Register should appear on the list of all Risk Registers.

### Test Use Case

#### Actors

* **Risk Manager:** Creates Risk Register

#### Use Case Scenario: Create Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks the Risk Register button on the Risk menu |  |  |  |
| 1. Risk Manager clicks on add Risk Register button |  |  |  |
| 1. Risk Manager Fills in the Risk Register Details |  |  |  |
| 1. Risk Manager saves |  |  |  |

# Edit Risk Register

This process involves editing a Risk Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the Edit Risk Register function.
3. Should be able to edit Risk Register Details.
4. The edited Risk Register should appear on the list of all Risk Register.

### Test Use Case

#### Actors

* **Risk Manager**: Edits Risk Register

#### Use Case Scenario: Edit Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks the Risk Register button on the Risk menu |  |  |  |
| 1. Risk Manager clicks on edit Risk Register button |  |  |  |
| 1. Risk Manager edits Risk Register Details |  |  |  |
| 1. Risk Manager saves |  |  |  |

# Delete Risk Register

This process involves deleting Risk Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the delete Risk Register button.
3. Should be able to delete a Risk Register.
4. The deleted Risk Register should no longer be listed in the group for all Risk Registers.

### Test Use Case

#### Actors

* **Risk Manager**: Deletes a Risk Register

#### Use Case Scenario: Edit Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks the Risk Register button on the Risk menu |  |  |  |
| 1. Risk Manager selects desired Risk Register from the list |  |  |  |
| 1. Risk Manager clicks on delete Risk Register button |  |  |  |
| 1. Risk Manager delete Risk Register Details |  |  |  |
| 1. Risk Manager saves |  |  |  |

# Add Risk to Risk Register

This process involves selecting desired risks and adding them to a Risk Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have navigated to the Risk Register page.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the ‘Select Risks’ button.
3. Should be able to add desired risks.
4. Successfully add desired risks to a risk register.
5. The added risks should appear in the Risk Register

### Test use Case

#### Actors

* **Risk Manager:** Adds Risk to Risk Register

#### Use Case Scenario: Add Risk to Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager Selects desired Risk Register |  |  |  |
| 1. Risk Manager clicks on ‘Select Risks’ button |  |  |  |
| 1. Risk Manager selects desired Risks |  |  |  |
| 1. Risk Manager saves |  |  |  |

**Overall Comments:**

# Remove Risk from Risk Register

This process involves removing risks from desired Risk Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have navigated to the Risk Register page.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the ‘Select Risk’ button.
3. Should be able to remove desired risks.
4. The deleted risks should not appear in the Risk Register.

### Test use Case

#### Actors

* **Risk Manager:** Removes Risks from Risk Register

#### Use Case Scenario: Remove Risk from a Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager Selects desired Risk Register |  |  |  |
| 1. Risk Manager clicks on ‘Select Risks’ button |  |  |  |
| 1. Risk Manager unchecks desired risks |  |  |  |
| 1. Risk Manager saves changes |  |  |  |

**Overall Comments:**

# Publish Risk Register

This process involves publishing a Risk Register so that it is available to everyone.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have navigated to the Risk Register page.

### Success Criteria

1. Should be able to easily navigate to the Risk Register page.
2. Should be able to easily find the publish button
3. The published Risk Register should be available to unit owners

### Test use Case

#### Actors

* **Risk Manager:** Publish Risk Register

#### Use Case Scenario: Publish Risk Register

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager Selects desired Risk Register |  |  |  |
| 1. Risk Manager clicks on publish button |  |  |  |

**Overall Comments:**

# Create Risk Category

This process involves creating a Risk Category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard

### Success Criteria

1. Should be able to easily navigate to the Risk Categories page.
2. Should be able to easily find the add category function.
3. Should be able to easily create category
4. Should be able to find added risk category

### Test use Case

#### Actors

* **Risk Manager:** Creates Risk Category

#### Use Case Scenario: create Risk Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the Risk categories button on the Risk menu |  |  |  |
| 1. Risk Manager clicks on add category button |  |  |  |
| 1. Risk Manager fills the details |  |  |  |
| 1. Risk manager saves form |  |  |  |

**Overall Comments:**

# Edit Risk Category

This process involves editing a Risk category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have navigated to the Risk Categories page

### Success Criteria

1. Should be able to easily navigate to the Risk category page
2. Should be able to easily find the edit Risk Category button
3. Should successfully edit a Category
4. The edited category should appear on the list of all categories

### Test use Case

#### Actors

* **Risk Manager:** Edits Risk Category

#### Use Case Scenario: edit Risk Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on edit Category button |  |  |  |
| 1. Risk Manager fills the details |  |  |  |
| 1. Risk manager saves changes |  |  |  |

**Overall Comments:**

# Delete Risk Category

This process involves deleting a Risk Category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have navigated to the Risk Categories page

### Success Criteria

1. Should be able to easily navigate to the Risk Categories page
2. Should be able to easily find the delete Risk Category button
3. Should successfully delete Category
4. The deleted Category should not appear on the list of Categories

### Test use Case

#### Actors

* **Risk Manager:** Deletes Risk Category

#### Use Case Scenario: delete Risk Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on delete category button |  |  |  |
| 1. Risk manager confirms the delete action |  |  |  |

**Overall Comments:**

# Create Risk Sub Category

This process involves creating a Risk Sub category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have navigated to the Risk Categories page

### Success Criteria

1. Should be able to easily navigate to the Risk Categories page
2. Should be able to easily find the add Risk Sub Category button
3. Should successfully create a sub category
4. The created sub Category should appear under the specific Category
5. Should be able to see added category in the risk category field when creating a risk if it is level 3 subcategory

### Test use Case

#### Actors

* **Risk Manager:** Creates sub Risk Category

#### Use Case Scenario: create Risk sub Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager selects parent category |  |  |  |
| 1. Risk Manager clicks on add sub category button |  |  |  |
| 1. Risk Manager fills the details |  |  |  |
| 1. Risk manager saves form |  |  |  |

**Overall Comments:**

# Edit Risk Sub Category

This process involves editing a Risk Sub category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have navigated to the Risk Categories page

### Success Criteria

1. Should be able to easily navigate to the Risk Categories page
2. Should be able to easily find the edit Risk Sub Category button
3. Should successfully edit a Risk sub category
4. The edited sub Category should appear under the specific Category with the changes

### Test use Case

#### Actors

* **Risk Manager:** Edits sub Risk Category

#### Use Case Scenario: edit Risk sub Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager selects parent category and selects desired subcategory |  |  |  |
| 1. Risk Manager clicks on edit sub category button |  |  |  |
| 1. Risk Manager fills the details |  |  |  |
| 1. Risk manager saves changes |  |  |  |

**Overall Comments:**

# Delete Risk Sub Category

This process involves deleting a Risk Sub category

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have navigated to the Risk Categories page

### Success Criteria

1. Should be able to easily navigate to the Risk Categories page
2. Should be able to easily find the delete Risk Sub Category button
3. Should successfully delete a sub category
4. The deleted sub category should not appear on the list of sub categories

### Test use Case

#### Actors

* **Risk Manager:** Deletes Risk Sub category

#### Use Case Scenario: delete Risk Sub Category

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager selects parent category and selects desired subcategory |  |  |  |
| 1. Risk Manager clicks on delete sub category button |  |  |  |
| 1. Risk manager confirms the delete action |  |  |  |

**Overall Comments:**

# Create New Risk

### Prerequisites

1. The user should have successfully logged into the system.
2. The system should have existing business units.
3. The system should have existing Key Risk Areas.

The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to successfully add a Risk.
2. Should be able to view added risk
3. The Risk added should appear on the list of all Risks.
4. Send email notifications

### Test Use Case 1

#### Actors

* **Risk Manager**: Creates Risk

#### Use Case Scenario 1: Create Risk

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the quick create dropdown and selects Risk |  |  |  |
| 1. Risk Manager fills in the risk details |  |  |  |
| 1. Risk Manager Saves details |  |  |  |
| 1. System sends notification Risk Owner(Unit Owner) |  |  |  |

**Overall Comments:**

### Test Use Case 2

#### Actors

* **Unit Owner**: proposes a risk
* **Risk Manager**: receives email notification on proposed Risk

#### Use Case Scenario 2: Create Risk

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit Owner clicks on the quick create dropdown and selects Risk |  |  |  |
| 1. Unit Owner fills the risk details |  |  |  |
| 1. Unit Owner Saves details |  |  |  |
| 1. System Sends notification to risk manager |  |  |  |

**Overall Comments:**

# Validate Risk

The purpose of this process is to approve a proposed Risk by the Risk Manager.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The Risk Manager should have accessed the desired Risks from the email notification.

### Success Criteria

1. Should be able to easily validate Risks.
2. Send Email Notification.

### Test Use Case

#### Actors

* **Risk Manager**: approves the Risks.
* **Risk Owner**: receives email notification when a Risk has been approved.

#### Use Case Scenario: Validate Risk

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on approve/reject risk |  |  |  |
| 1. System sends notification email to unit owner |  |  |  |

**NB:** *Risk Manager can access all proposed Risks from the Risk Admin page.*

**Overall Comments**

# Update Risk Status

This process involves updating a Risk Status to either active or inactive.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have accessed the specific risk from the Risk Admin page

### Success Criteria

1. Should be able to access desired Risk information.
2. Should be able to edit Risk Status information successfully.
3. The Risk Status should change to either active or inactive.
4. If the Risk Status is active the Analyze Gross Risk button should appear.
5. Should send email notification to Unit Owner on the status.

### Test Use Case

#### Actors

* **Risk Manager**: updates Risk Status
* **Unit Owner**: receives email notification on Risk Status update

#### Use Case Scenario: Update Risk status

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on activate/deactivate button |  |  |  |
| 1. System sends email notification to unit owner |  |  |  |

**Overall Comments**:

# Edit Risk Details

This process involves editing Risk details.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to select desired Risks.
2. Should be able to edit Risks details.
3. Should be able to send email notification.

### Test Use Case

#### Actors

* **Unit Owner:** Selects desired risks and edits risk Details
* **Risk Manager:** Receives email notification

*Use Case Scenario: Edit Risk details*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit Owner accesses a specific risk by navigating to; 2. Dashboard page and selects desired Risk from the list in the table or 3. Risk control page and selects desired Risk from the list in the table or 4. Risk Reports page and selects desired Risk from the list in the table 5. Control activity page and selects desired Risk from the list in the table |  |  |  |
| 1. Unit Owner clicks on edit button under the Risk Summary section |  |  |  |
| 1. Unit Owner enters Risk details and saves changes |  |  |  |
| 1. Send email notification to Risk Manager |  |  |  |

**Overall Comments**:

# Analyze Risk

This process involves rating a Risk without any controls.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have selected the desired Risk.
4. The Risk selected must be approved and activated.

### Success Criteria

1. Should be able to view selected Risk details.
2. Should be able to successfully calculate a Risk gross rating.
3. Should be able to only Analyze Risks that have been approved and activated.
4. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager:** Analyzes Risk
* **Unit Owner**: receives email notification on Analyze Gross Risk created

*Use Case Scenario: Analyze Risks*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on ‘Analyze Gross Risk ‘button |  |  |  |
| 1. Risk Manager specifies the probability and impact |  |  |  |
| 1. Risk Manager saves the form |  |  |  |
| 1. System sends email notification to Unit Owner on the Analyze Gross Risk created |  |  |  |

**Overall Comments**:

# Create Control Category

This process involves creating a control category.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to successfully create control category.
2. The added control category should appear on the dropdown category when adding a control.

### Test Use Case

#### Actors

* **Risk Manager**: Creates a control category

*Use Case Scenario: create Control Category*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **ERROR/COMMENTS** |
| 1. Risk Manager clicks on quick create dropdown and selects Control Category |  |  |  |
| 1. Risk Manager fills in Control Category details |  |  |  |
| 1. Risk Manager saves |  |  |  |

**Overall Comments**:

# Edit Control Category

This process involves editing a Control Category.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to successfully edit a control category.
2. The edited control category should appear on the dropdown category when adding a control.

### Test Use Case

#### Actors

* **Risk Manager**: Edits a control category

*Use Case Scenario: Edit Control Category*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **ERROR/COMMENTS** |
| 1. Risk Manager clicks on quick create dropdown and selects Control Category |  |  |  |
| 1. Risk manager selects desired Control Category |  |  |  |
| 1. Risk Manager clicks on the pencil icon and edits |  |  |  |
| 1. Risk Manager saves |  |  |  |

**Overall Comments**:

# Delete Control Category

This process involves deleting a Control Category.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to successfully delete a Control Category.
2. The deleted Control Category should not appear on the dropdown Control Category when adding a control

### Test Use Case

#### Actors

* **Risk Manager**: Deletes a Control Category

*Use Case Scenario: Delete a Control Category*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **ERROR/COMMENTS** |
| 1. Risk Manager clicks on quick create dropdown and selects Control Category |  |  |  |
| 1. Risk manager selects desired Control Category |  |  |  |
| 1. Risk Manager clicks on the trash icon and deletes |  |  |  |
| 1. Risk Manager confirms delete |  |  |  |

**Overall Comments**:

# Propose New Control

This process involves adding a new control to treat a Risk.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have selected the desired Risk.
4. The Risk selected should be analyzed
5. The control category should have been created

### Success Criteria

1. Should be able to successfully navigate to desired Risk.
2. Should be able to view selected Risk details.
3. Should be able to successfully add a new control.
4. The control category appears in the control category dropdown when creating a new control
5. Send Email Notification

### Test Use Case

#### Actors

* **Unit Owner**: Proposes new control
* **Risk Manager**: receives email notification on new control created

*Use Case Scenario: Propose new Control*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **ERROR/COMMENTS** |
| 1. Risk Owner clicks on ‘Treat Risk with Controls’ button |  |  |  |
| 1. Risk Owner fills in control details and saves |  |  |  |
| 1. Sends email notification to Risk Manager on proposed Risk |  |  |  |

**Overall Comments**:

# Approve Proposed Control

This process involves reviewing a proposed control

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard

### Success Criteria

1. Should be able all to access all controls
2. Should be able to view all proposed controls
3. Should be able to successfully approve proposed control
4. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager**: Selects desired risks, selects proposed controls and approves.
* **Unit Owner:** Receives Email Notification

*Use Case Scenario: Approve Control*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager locates unapproved control |  |  |  |
| 1. Risk Manager clicks on a desired Control that has the type as proposed |  |  |  |
| 1. Risk Manager approves/rejects controls |  |  |  |
| 1. Sends email notification to unit owner |  |  |  |

**Overall Comments**:

# Add Control in place

This process involves adding a control in place

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have selected the desired control

### Success Criteria

* Should be able to successfully add a control in place
* Should only add approved control to control in place
* Send Email Notification

### Test Use Case

#### Actors

* **Unit Owner**: sets control in place
* **Risk Manager:** Receives Email Notification

*Use Case Scenario: Add Control in place*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner clicks on the set control in place button |  |  |  |
| 1. Sends email notification to Risk Manager |  |  |  |

**Overall Comments**:

# Approve Control in place

This process involves approving a control in place

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have selected the desired control

### Success Criteria

1. Should be able to successfully approve a control in place
2. The type field should change to in place
3. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager:** Approves control in place
* **Unit Owner**: Receives Email Notification

*Use Case Scenario: Approves Control in place*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on approve/reject |  |  |  |
| 1. Sends email notification to Risk Manager |  |  |  |

**Overall comments:**

4

# Edit Control

This process aims to edit a control

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. User should have selected the desired control.

### Success Criteria

1. Should be able to view desired control details
2. Should be able to successfully edit control
3. Send Email Notification

### Test Use Case

#### Actors

* **Unit Owner**: Edits a control
* **Risk Manager:** Receives email notification

*Use Case Scenario: Edit Control*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner clicks on edit button |  |  |  |
| 1. Unit Owner saves changes |  |  |  |
| 1. System sends email notification to Risk Manager. |  |  |  |

**Overall Comments:**

# Delete Control

This process aims to delete a control

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. User should have selected the desired control.

### Success Criteria

1. Should be able to view desired control details.
2. Should be able to successfully delete control.
3. Send Email Notification.

### Test Use Case

#### Actors

* **Risk Manager:** Deletes a control

*Use Case Scenario: Delete Control*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on delete button |  |  |  |
| 1. System sends email notification to Unit Owner |  |  |  |

**Overall comments:**

# Create Control Activity

This process involves creating a control activity within a control

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.

### Success Criteria

1. Should be able to select the desired Control.
2. Should be able to find the add Control Activity button.
3. Should be able to add Control Activity.
4. Sends Email Notification.

### Test Use Case

#### Actors

* **Risk Owner**: adds a new control activity
* **Staff:** receives email notification

*Use Case Scenario: Create Control Activity*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner clicks on Risk Controls button on the Risk menu |  |  |  |
| 1. Unit owner selects the desired Control from the control list |  |  |  |
| 1. Unit owner clicks on the add Control Activity button |  |  |  |
| 1. Unit Owner fills the Control Activity form |  |  |  |
| 1. Unit owner saves the Control Activity form |  |  |  |
| 1. System sends email notification to staff who was assigned Control Activity as well as the control activity owner |  |  |  |

**Overall comments:**

# Approve Control Activity

This process aims to approve a control activity

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. User should have selected the desired control.

### Success Criteria

1. Should be able to view desired control details
2. Should be able to successfully approve control activity
3. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager**: Approves a control activity
* **Staff:** receives email notification
* **Unit Owner**: receives email notification

*Use Case Scenario: Approve Control Activity*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager selects desired control |  |  |  |
| 1. Risk Manager selects desired control activity |  |  |  |
| 1. Risk Manager approves/rejects |  |  |  |
| 1. System sends email notification to Staff |  |  |  |

**Overall Comments:**

# Edit Control Activity

This process aims to edit a control activity

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. User should have selected the desired control

### Success Criteria

1. Should be able to view desired control details
2. Should be able to successfully edit control activity
3. Send Email Notification

### Test Use Case

#### Actors

* **Unit Owner**: Edits a control activity
* **Staff**: receives email notification
* **Unit Owner:** Receives email notification

*Use Case Scenario: Edit Control Activity*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner selects desired control activity |  |  |  |
| 1. Unit owner clicks on edit button |  |  |  |
| 1. Unit Owner saves changes |  |  |  |
| 1. System sends email notification to Staff |  |  |  |

**Overall Comments:**

# Delete Control Activity

This process aims to delete a control activity

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. User should have selected the desired control activity

### Success Criteria

1. Should be able to view desired control activity details
2. Should be able to successfully delete control activity
3. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager**: Delete a control activity
* **Staff** : Receives email notification
* **Unit Owner:** Receives email notification

*Use Case Scenario: Delete Control Activity*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner clicks on delete button |  |  |  |
| 1. System sends email notification to Staff |  |  |  |

**Overall comments:**

# Create Risk evaluation

This process involves carrying out a Risk evaluation

**N.B:** When a user is creating a Risk Evaluation for the first time, the following parameters have to be set

* Capacity
* Appetite
* Target
* Upper and lower tolerance limit
* Appetite Measure
* Key risk Indicator
* Current level

The next time a Risk Evaluation is done for the same risk, only the current level is changed .The Risk Manager can edit the details.

### Prerequisites

1. The user should have successfully logged into the system
2. The user should have navigated to the Risk dashboard
3. The user should have selected the desired Risk

### Success Criteria

1. Should be able to add Risk evaluation successfully
2. Should be able to view past Risk evaluations if any
3. The risk evaluation details should appear on the Evaluation trend table
4. The speedometer should change against the risk evaluation parameters set
5. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager**: Creates Risk evaluation
* **Unit Owner**: Receives the email notification

*Use Case Scenario: Create Risk evaluation*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on Evaluate Risk button in the Risk review section |  |  |  |
| 1. Risk Manager enters risk evaluation details and submits |  |  |  |
| 1. System sends email notification to unit owner |  |  |  |

# Edit Risk evaluation details

This process involves editing Risk evaluation details

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have navigated to the Risk dashboard.
3. The user should have selected the desired Risk.

### Success Criteria

1. Should easily find the Edit details button
2. Should be able to edit Risk evaluation successfully
3. Should be able to see the changes made on the Evaluation Trend table
4. Send Email Notification

### Test Use Case

#### Actors

* **Risk Manager**: Edits Risk evaluation
* **Unit Owner**: Receives the email notification

*Use Case Scenario: Edit Risk evaluation details*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on Evaluate Risk button in the Risk review section |  |  |  |
| 1. Risk Manager clicks on Edit details button |  |  |  |
| 1. Risk Manager fills in the form |  |  |  |
| 1. Risk Manager saves |  |  |  |
| 1. System sends email notification to Unit Owner |  |  |  |