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CONFERO

RiskMaster Creatio

Single general register of risks, incidents and risk cases for a company of any size

Version 1.2

User's Manual

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1. Introduction

Risk management is a topical issue that almost any organization is facing these days. Applying basics of risk management will contribute to achieving company's goals and carrying out its tasks, even though it cannot ensure zero probability of occurrence of various risks.

Implementation of risk management system in the company helps it to:

- Detect possible risks at all stages of the operation
- Predict, compare and analyse the emerging risks
- Develop a suitable management strategy and a decision-making procedure for risk mitigation and elimination
- Create conditions necessary for implementation of the developed measures
- Carry out monitoring of the risk situations management system
- Analyse and control the obtained results

RiskMaster Creatio is designed to be used as a single general register of the risks in a company of any size. The risk management system is developed on Creatio platform which enables it to be configured for modelling and automation of any specific business processes of the company and flexible adaptation to the peculiarities of business.
This user's manual provides descriptions of RiskMaster Creatio sections: Business object, Risk catalogue, RCSA, Preventive protocols, Incidents, Risk cases, Audit cases, Audit findings, Activities, Risk documents.

The basic functionality of Creatio is available at company's website https://academy.creatio.com

2. Business object

Business object section is designed for storing information about all business objects, regarding which the risks are calculated. There are the following business object categories:

- Business process
- Product
- System
- Supplier

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

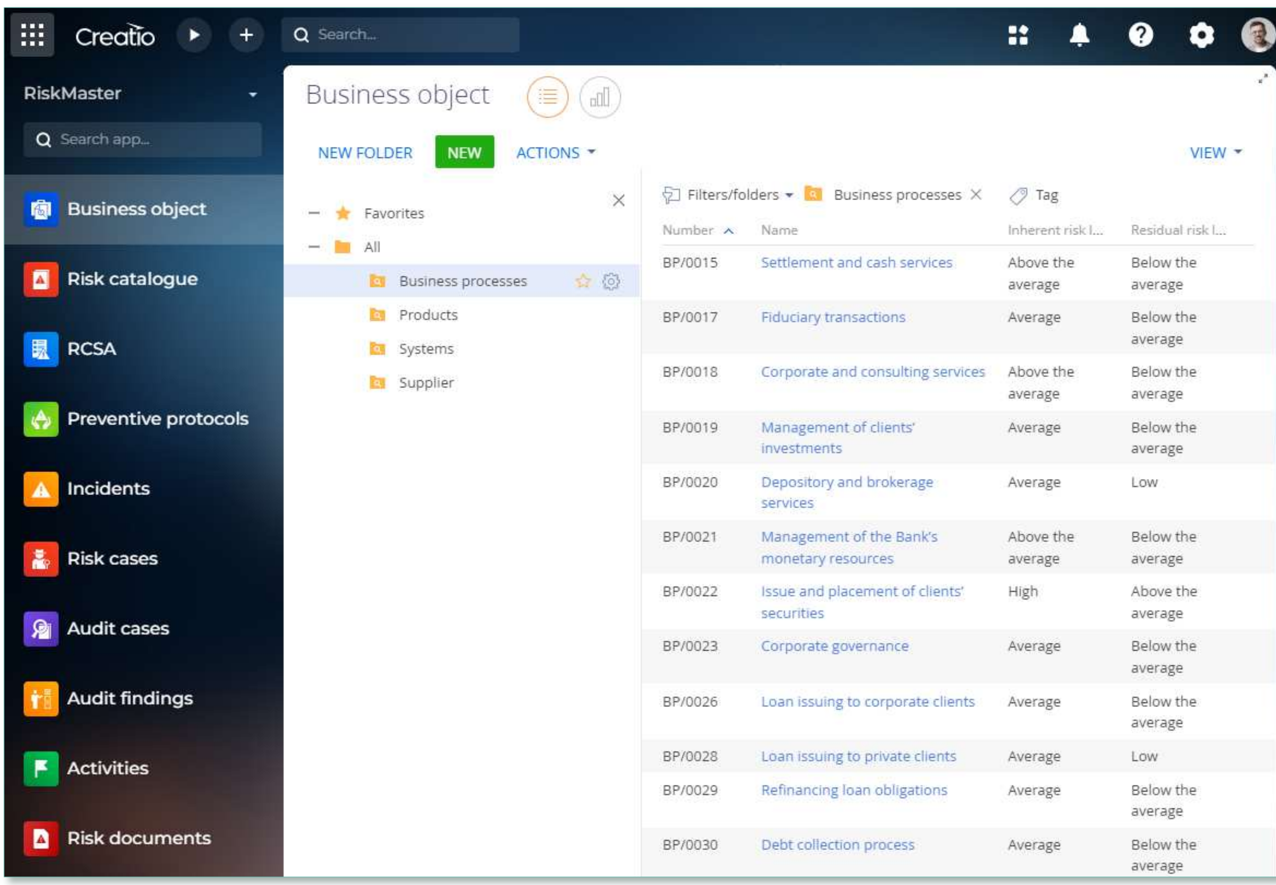


Image 1. Business object section view

Business object card offers a wide range of information for risk management: parent business objects, subordinate business objects, planned preventive protocols, preventive cases, consequence mitigating actions, related RCSA, Business object's risk levels (Inherent and Residual), Related risk documents etc.

Business object card consists of a set of fields of general data, as well as several tabs. In order to create new entry, one should click NEW and fill in the fields on the page.

List and description of fields is provided below:

Field	Description
Profile fields	
Number	Full number Generated by the system automatically according to mask upon initially saving Read only
Object owner	Value from table Contact
Category *	Value from lookup Business object category Drop-down menu
Status *	Value from lookup Business object status Drop-down menu
Start date	Start date Filled in automatically with the date, when risk status becomes Active Through Actions / Activate Read only
Archived date	Archived date Filled in automatically with the date, when risk status becomes Archived Through Action /Activate Read only
Parent business object	Value from lookup Risk case - Business object at risk
Company	Value from the list
Inherent risk level	Filled in automatically Maximum value from an active card is RCSA -> General -> Related risks -> Risk and RCSA relation-> Inherent risk
Residual risk level	Filled in automatically Maximum value from an active card is RCSA -> General -> Related risks -> Risk and RCSA relation-> Residual risk
Name *	Name of the business object Text field, maximum size – 250 characters
Description	Business object description Text field
Tab General	
Analytics	Shows statistical information
Subordinated business objects	Subordinated business objects (detail) Add new by clicking on +

Field	Description
	Opens a card for new entry in section Business objects
Preventive protocols	Preventive protocols (detail) Add new by clicking on + Opens a card for new entry in section Preventive protocols
Related mitigation actions	Activities (mitigation) (detail) Add automatically from card RCSA -> PRINCIPAL INFORMATION –> Related risks -> Risk case and RSCA card For more information, see clause 12.14 Automatically generated tasks from RCSA
Tab RCSA	
Related RCSA	Related RCSA (detail) Add by clicking on +
Tab Relations	
Related business objects	Related business objects (Detail) Value from lookup Risk case – Business object in risk case Add by clicking on +
Related risk cases	Related risk cases (Detail) Add by clicking on +
Tab Documents	
Related risk documents	Related risk documents (detail) Value from section Risk documents Add new document by clicking on +
Attachments	Attachments (detail) In detail field one can place files and links related to the business object If incident is created automatically from email, files and links attached to the email are automatically attached on this detail
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail Upon switching to other tab, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card

Field	Description
	Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups

The system provides several configurable lookups which are used upon filling in the document:

- Business object category
- Business object status

3. Risk Catalogue

Risk catalogue section is an extended lookup of possible risks. It offers classification of risks by type, by groups, by classes. It is used in all sections of RiskMaster.

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

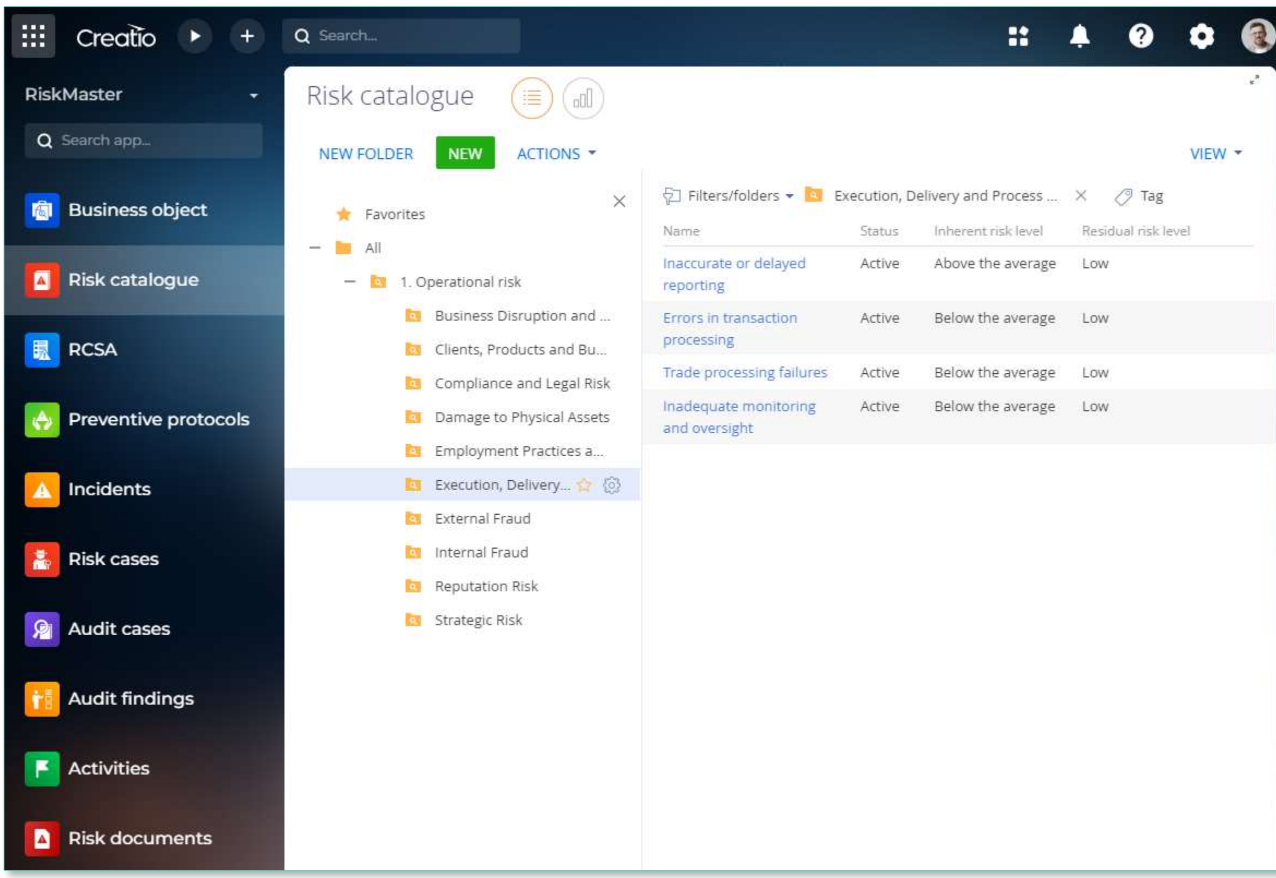


Image 2. Risk catalogue section view

Risk catalogue card consists of a set of fields of general data, as well as several tabs. In order to create new entry, one should click NEW and fill in the fields on the page.

List and description of fields is provided below:

Field	Description
Profile fields	
ID number	Full document number Generated automatically by the system according to mask upon initial saving Read only
Name *	Document name Text field, maximum size: 250 characters
Responsible	Value from table Contact
Status *	Value from lookup Risk status Dropdown menu
Start date	Risk start date Filled in automatically with a date on which the risk status becomes Active Read only
Archived date	Date on which the risk was archived Filled in automatically with a date on which the risk status becomes Archived Read only
Account	Select from section Persons with a type Our bank
Inherent risk level	Filled in automatically Action / Risk level calculation If the detail Related RCSA is not filled in, then the system shows a notification: There is no active related RCSA for calculation!
Residual risk level	Filled in automatically according to Action / Risk level calculation If the detail Related RCSA is not filled in, then the system shows a notification: There is no active related RCSA for calculation!
Tab Main info	
Description *	Risk description Text field
Type division	Lookup field Value from lookup Risk case - Risk type division (Level 1)
Type group	Lookup field Value from lookup Risk case – Risk type group (Level 2) Level 2 hierarchy Level 2 is offered depending on what type was chosen on Level 1
Type class	Lookup field Value from lookup Risk case – Risk type class (Level 3) Level 3 hierarchy Level 3 is offered depending on what type was chosen on Level 2 Upon registering a risk case on Level 3 there can be only one active card for visualisation
Risk related preventive protocols	Risk related preventive protocols (detail) Value from lookup Preventive protocols Can be added by clicking +
Related RCSA	Related RCSA (detail)

Field	Description
Metrics	Shows statistical information
Tab Relations	
Related business objects	Related business objects (Detail) Value from lookup Risk case – Business object at risk Can be added by clicking +
Related risk cases	Related risk cases (Detail) Can be added by clicking +
Tab Documents	
Related risk documents	Related risk documents (detail) Used for storing files and links related to current Risk
Attachments	Attachments (detail) In detail field one can place files and links related to the risk If incident is created automatically from email, files and links attached to the email are automatically attached on this detail
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail Upon switching to other tab, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Manual risk assessment	Manual risk assessment (block of fields) Importance – value from lookup Risk importance scale Probability – value from lookup Risk probability scale Risk level – autofill according to the matrix Risk level scale
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups

The system provides several configurable lookups which are used upon filling in the document:

- Risk case - Business object at risk
- Risk case - Process structure
- Risk case - Risk type class (Level 3)
- Risk case - Risk type division (Level 1)
- Risk case - Risk type group (Level 2)
- Risk importance scale
- Risk status

4. RCSA

RCSA (risk control self-assessment) is expanding the possibilities of the process, through which the management and personnel on all levels can collectively identify and assess risks and related means of control. It adds value through increasing the involvement of the operational unit in the development and maintenance of the risk control and management system, risk exposure detection and defining of corrective actions.

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

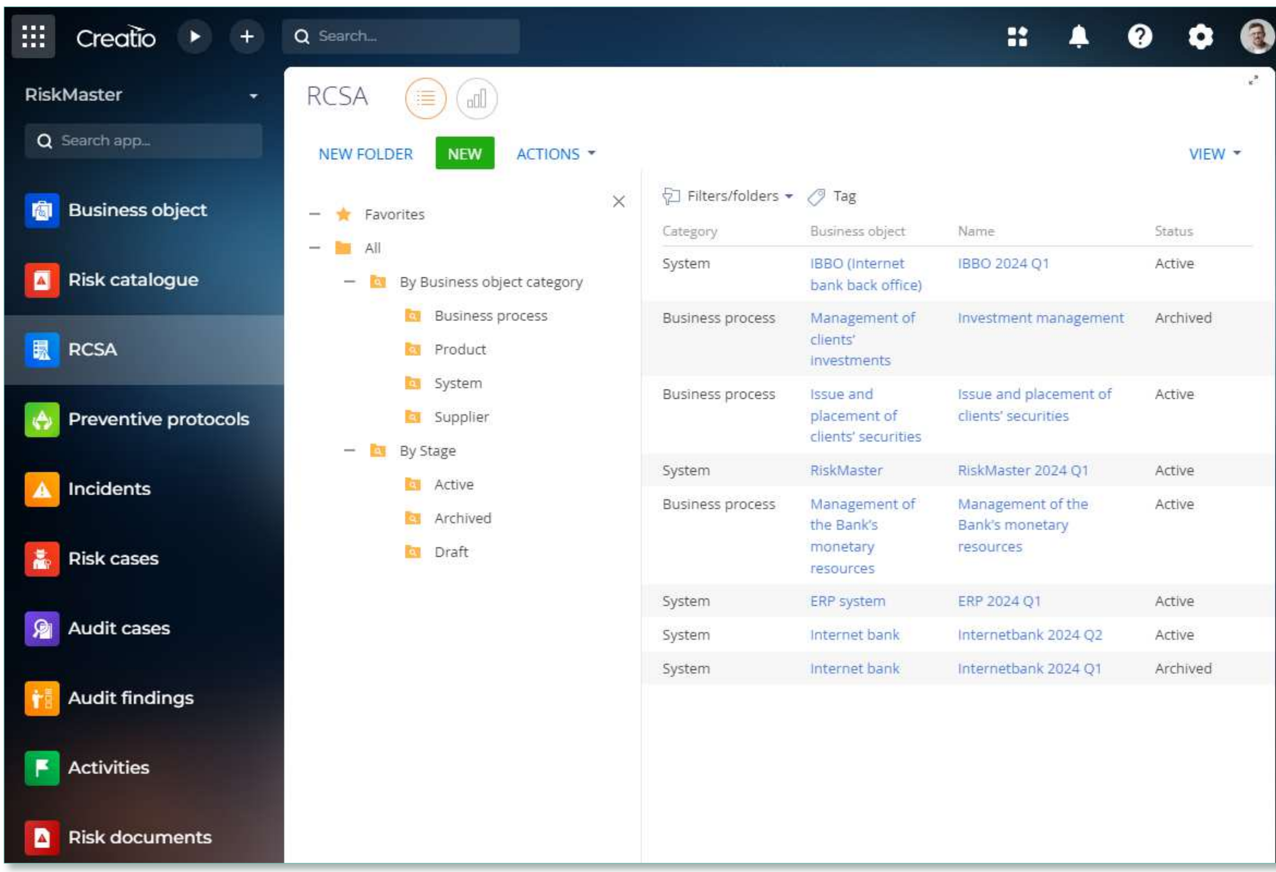


Image 3. RCSA section view

RCSA card provides information about the levels of inherent and residual risk of business object, probability, importance and mitigation actions. RCSA card consists of a set of fields of general data, as well as several tabs.

In order to create new entry, one should click NEW and fill in the fields on the page.

NB!
By default, Status field is in value Draft

List and description of fields is provided below:

Field	Description
Profile fields	
Number	Full document number Generated automatically by the system according to mask upon initial saving Read only
Responsible	Value from table Contact
Business object	Value from section Business objects Editing possible
Business object category	Field is filled in automatically depending on the chosen Business object Field blocked
Status *	Value from lookup RCSA Status Drop-down menu
Assessment date	Risk assessment/reassessment date Filled in manually when changing status from Draft to Active
Inherent risk level	Filled in automatically according to the value Inherent risk level from card Risk case and RCSA relations, indicated on the detail Related risks
Residual risk level	Filled in automatically according to the value Residual risk level from card Risk case and RCSA relations, indicated on the detail Related risks
Tab General	
Name *	Document name Text field, maximum size - 250 characters
Description	description Text field
Risk assessment	Risk assessment (detail) Filled in through mini-card Risk case and RCSA relations There is an option to create tasks automatically from RCSA card – for more information see clause 12.14 Automatically generated tasks from RCSA
Involved executors	Involved executors (detail) Filled in through mini-card RCSA Participants Value from lookup Risk case - Role in risk case
Tab Documents	
Related risk documents	Value from section Risk documents Add new document by clicking on +
Attachments	Attachments (detail) In detail field one can place files and links related to the RCSA

Field	Description
	If incident is created automatically from email, files and links attached to the email are automatically attached on this detail
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail Upon switching to other tab, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Related risk cases	Related risk cases (Detail) Can be added by clicking +
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

5. Preventive protocols

Section Preventive protocols provides organisation and systemising of risk mitigation measures. In this section one can set actions for automated generation of risk case investigations with a predetermined term.

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

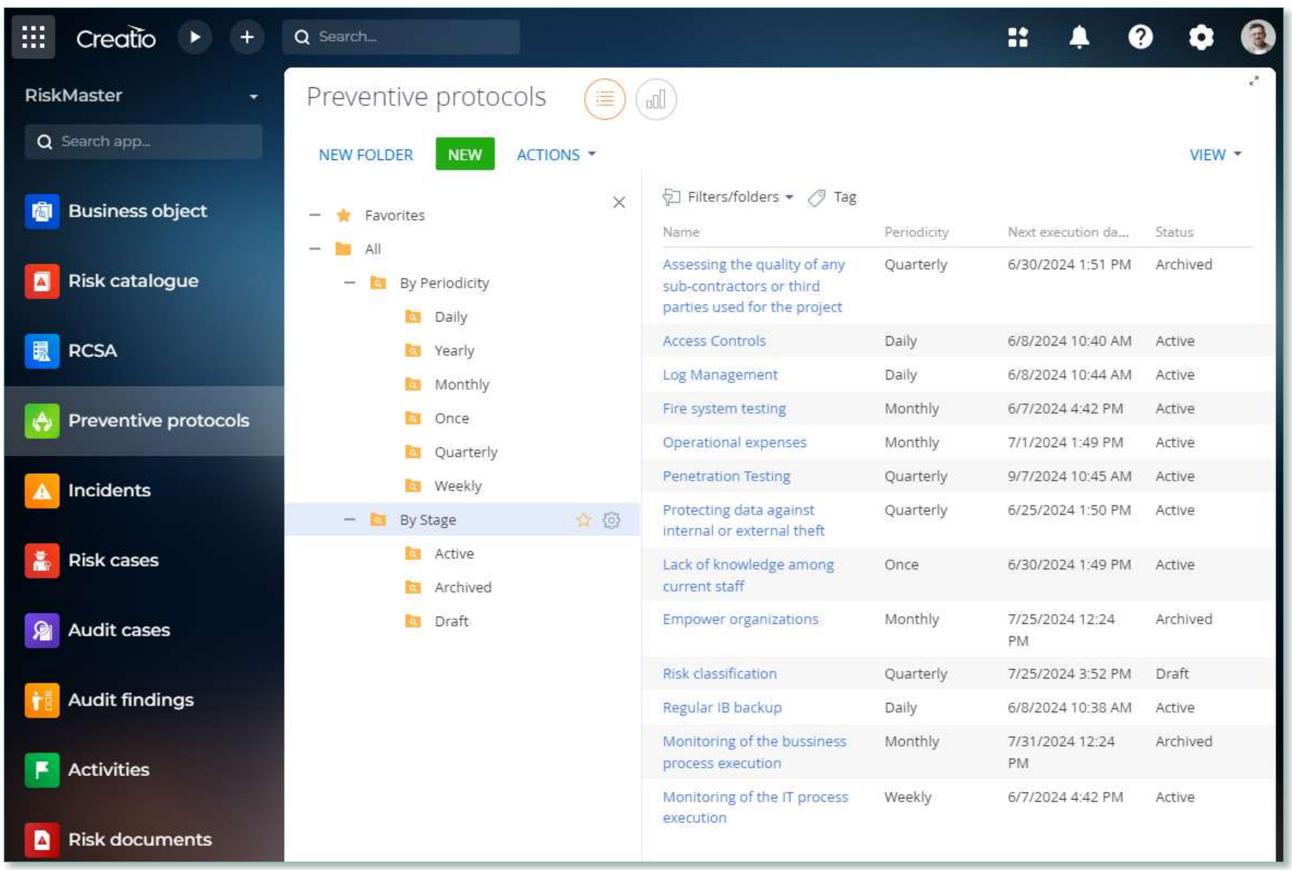


Image 4. Preventive protocols section view

Card Preventive protocols consists of a set of fields of general data, as well as several tabs. In order to create new entry, one should click NEW and fill in the fields on the page.

PLEASE NOTE
Field “Status” by default displays value “Draft”

List and description of fields is provided below:

Field	Description
Profile fields	
Number	Full number Generated automatically by the system Read only
Responsible	Value from table Contact
Previous execution date	Filled in automatically from the process The process generates a risk case according to the set schedule and records a value after generation
Next execution date	Value cannot be before current date If the schedule provides periods, the process creates a risk case and after launching it, sets a new scheduled launch date
Periodicity	Value from lookup Periodicity
Status *	Value from lookup Preventive protocols status Dropdown menu
Name *	Document name Text field, maximum size: 250 characters
Description	Description of Preventive protocols Text field
Tab General	
Risk case type *	Value from lookup Risk case - type Type of risk case which this preventive protocol should initiate
Related business objects	Value from lookup Risk case – Business object at risk
Risk classification	Risk classification (detail) Relation of preventive protocol and the risks Value from lookup Risk catalogue Can be added by clicking +
Related risk cases	Related risk cases (detail) Created and automatically linked after risk case is generated by the process according to the schedule (see Article 12.7 Clause 4) Can be added by clicking + (see Article 12.7 Clause 3)
Tab Documents	
Related risk documents	Value from section Risk documents Add new document by clicking on +
Attachments	Attachments (detail) In detail field one can place files and links related to the Preventive protocols If incident is created automatically from email, files and links attached to the email are automatically attached on this detail
Notes	Notes (detail)

Field	Description
	Body text in the note can be edited and formatted directly on the detail Upon switching to other tab, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups
The system provides several configurable lookups which are used upon filling in the document:

- Risk case – Type
- Periodicity
- Preventive protocols status
- Risk case – Process structure
- Risk case – Business object at risk

6. Incidents

Incident is an event that has affected or may affect reaching the goals of the organization. Section Incidents in Creatio is designed for:

- Registering events which in turn have affected occurrence of risks
- Carrying out measures related to elimination of consequences of the incident (carrying out investigation, appointing persons in charge etc.)

In Incidents section one can create the following types of incidents:

- Potential risk incident

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

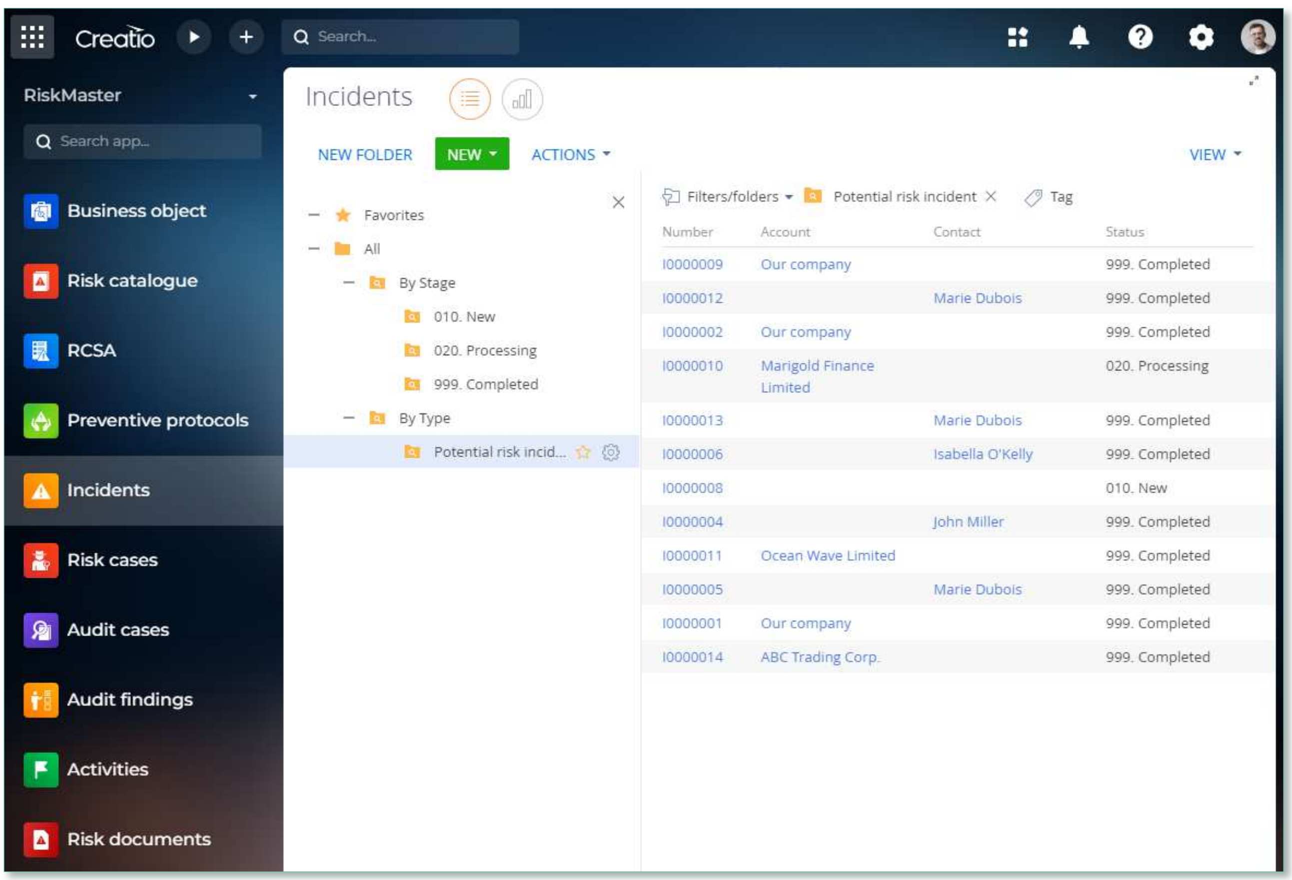


Image 5. Incidents section view

One can create an incident in the system automatically or manually (for more details see Article 12.6):

- Based on message received to the email registered for the certain type of incident
- Manually, by clicking NEW and filling in the fields on the page.

List and description of fields is provided below:

Field	Description
Profile fields	
ID number	Unique incident number This field is filled in automatically according to the set template Read only
Incident date*	Date when incident occurred Filled in automatically with current date value Editing possible after the card is saved for the first time In status Completed and Cancelled – field is available for editing
Type *	Incident type The grounds for registering an incident Value from lookup Risk case - Incident type Read only
Status *	Incident processing status Choose from lookup Risk case – Incident status Editing possible
Account	Legal entity related with the incident Value from lookup Account In status New may be blank Mandatory field if in status Completed (one should fill in either Account or Contact field)
Contact	Individual related with the incident Value from lookup Contact In status New may be blank Mandatory field if in status Completed (one should fill in either Account or Contact field)
Due date (plan.)	Estimated term of completion of the incident The field is filled in automatically in accordance with the template set in lookup Risk case – Incident type Choose from calendar Editing possible after the card is saved for the first time
Actual resolution date	Actual resolution date Value from calendar Filled in automatically with a date of completion of a incident upon shifting it to final status Read only
Responsible group	Group of people responsible for resolving the incident Value from settings System administration object Mandatory field in status Processing, Completed (either Responsible group or Responsible must be filled in)
Responsible	Name of the person responsible for the incident

Field	Description
	Value from section Contacts
Tab General	
Reporter *	A person declaring the incident. A person that detected an incident Choose from section Contact
Sourse	Source of origin of the incident Choose from lookup Incident origin
Receiving date *	Date when the information about the incident was received Upon creating an incident from email message, set automatically as current date Choose from calendar Editing possible after the card is saved for the first time
Short description *	Short description of the incident Text field Upon creating an incident from email message, filled in automatically with information from the email message Editing possible after the card is saved for the first time
Reporter comment	Comment of the person declaring the incident Text field Editing possible after the card is saved for the first time Upon receiving the incident by email, it is filled in automatically by the information from the email body text
Result	Actual result in the incident Text field Editing possible after the card is saved for the first time
Related risk cases	Related risk cases (detail) Value from lookup Risk cases
Activities	Activities (detail) Shows all the activities related to the incident New activity can be created upon filling in card Task
Email	Email (detail) Shows all the emails related to the particular incident If incident is created automatically from email, the message, based on which the incident was created, is attached on this detail New email can be created by clicking +
Tab Attachments and notes	
Attachments and notes	Attachments and notes (detail) In detail field one can place files and links related to the incident If incident is created automatically from email, files and links attached to the email are automatically attached on this detail
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail

Field	Description
	Upon switching to other tab, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Lifecycle	Lifecycle (detail) The detail enables to track stages of incident processing Notes on the detail are read only and are added automatically upon change of status
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups

The system provides several configurable lookups which are used upon filling in the document:

- Incident origin
- Risk case - Characteristics in incident type
- Risk case - Incident type
- Risk case - Incident status

7. Risk Cases

Upon occurrence of an incident, one needs to detect and eliminate its cause, which means carrying out the necessary investigation of the risk case.
Section Risk cases is designed for creating the following types of risk cases.

- Operational risk
- Preventive case
- Audit recommendation
- New Risk Assessment
- Risk control self assessment

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

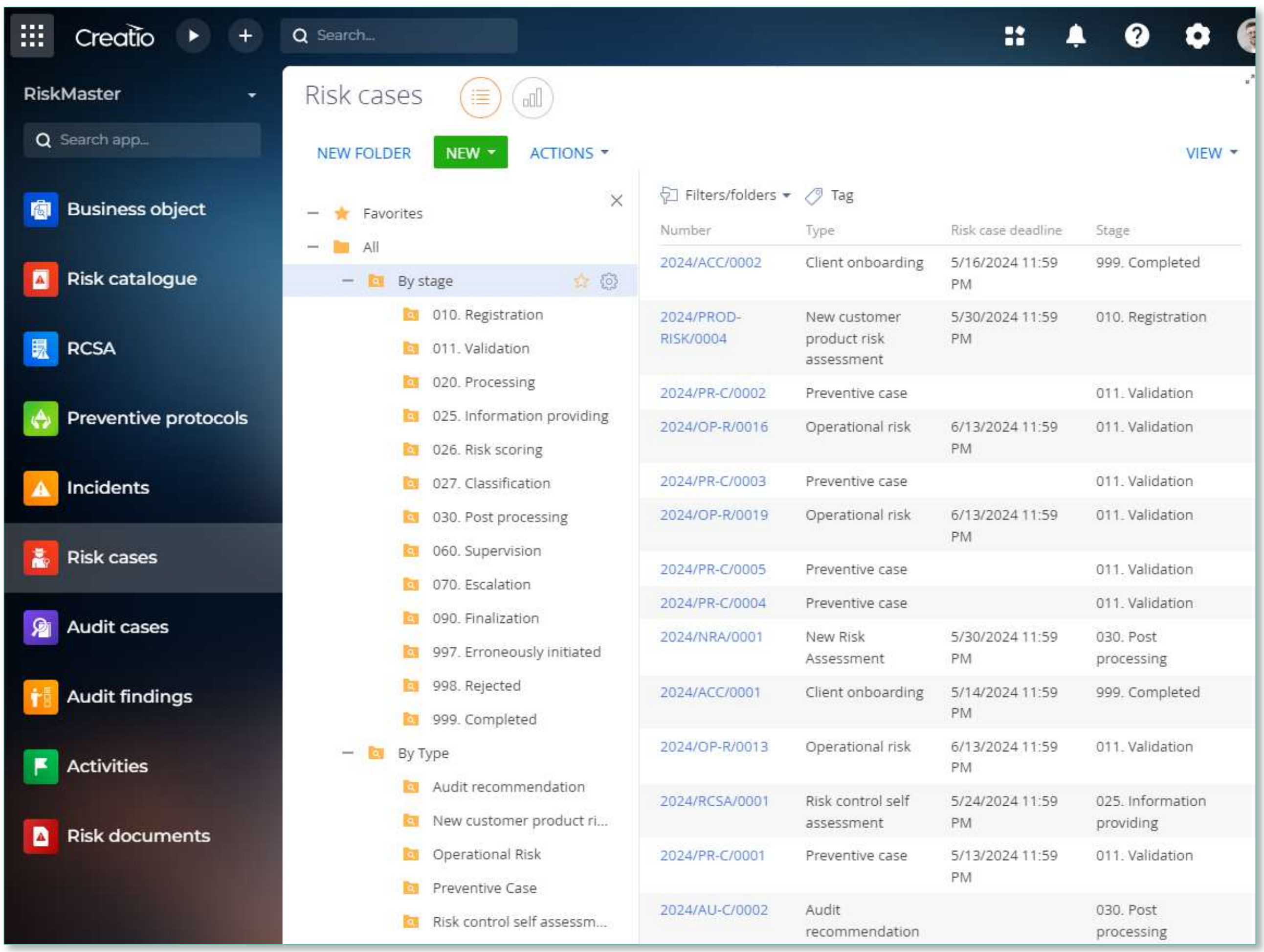


Image 6. Risk cases section view

Risk cases in the system are created both manually and automatically (for more details see Article 12.7).

Risk case card consists of a set of fields of general data, as well as several tabs containing detailed information about the investigation, history of investigation and other additional information.

List and description of fields is provided below:

Field	Description
Profile fields	
Risk case deadline	Investigation deadline Set automatically after initial saving of the card in accordance with the setting Deadline days term in lookup Risk case - Type Read only
Account	Legal entity Value from lookup Account In status New may be blank Mandatory field if in status In progress, in case field Contact is not filled in
Contact	Individual Value from lookup Contact In status New may be blank Mandatory field if in status In progress, in case field Account is not filled in
Case status	Case status Filled in automatically in accordance with the status chosen in progress bar Read only
Actual case resolution date	Actual case resolution date Value from calendar Filled in automatically with a date of completion of a case upon shifting it to final status Read only
Stage deadline	Deadline for completing a certain stage of risk case investigation Filled in automatically in accordance with the template settings in lookup Risk case - Type Read only
Stage	Risk case stage Can be changed using progress bar Upon entering each new stage, the person or group of persons responsible of the particular stage can change
Stage responsible group	Group of persons responsible at the particular stage of the case investigation Value from lookup System administration object
Stage responsible *	Person responsible for the particular stage of the case investigation Value from lookup Contact
On work	This check-box allows to mark the cases that are in active processing by a certain processor Used in Risk case – Operational risk Check-box
Tab Processing info	
Block of tabs General	
General	The set feature enables to mark cases which are in active processing by the particular employee Used in risk case Operational risk

	Checkbox
Type	Filled in with value automatically upon creating a risk case Read only
Description	Short description of the risk case Text field
Result	Risk case result Value from lookup Risk case – Result
Decision	Risk case decision Text field
Stage notes	Stage notes (detail) Text field To be filled in through a mini-form
Tab Classification	
Block of fields Operational risk classification	
Data source	Source of data on the event of operational risk Lookup field Value from lookup Operational risk data source
Cause of incident	Cause that led to occurrence of the incident Lookup field Value from lookup Risk case – Cause of incident
Business line 1	Lookup field Value from lookup Risk case (operational risk) Business line (1)
Business line 2	Lookup field Value from lookup Risk case (operational risk) Business line (2)
Related risks	Related risks (detail) Relation of preventive protocol and the risks Value from lookup Risk catalogue Can be added by clicking +
Related business objects	Lookup field Value from lookup Risk case - Business object at risk
Tab Additional info	
Bloc of fields Miscellaneous	
Source	Source of cause of the risk case Value from lookup Risk case – Source
Priority	Priority of the case Value from lookup Risk case – Priority
Features	Features (detail) To be filled in through a mini-form Features in Risk case Characteristics available for the case type are indicated in the lookup Risk case - Characteristics in Risk case type

	Automated adding of characteristics is available upon creating the case (see Article 12.10)
Decision (corrective actions)	Decision (corrective actions) (detail) To be filled in in form Corrective actions in case card Operational risk Upon reaching the final status of the risk case investigation, based on the corrective action, a task is formed aimed at elimination of the aftermath of the operational risk incident (see Article 12.9)
Block Loss	
Financial loss	Financial loss (detail) Registers the losses incurred in the result of the operational risk incident To be filled in through card Financial loss
Amount of loss	Total amount of loss incurred in the result of operational risk incident To be filled in automatically based on total sum of financial losses
Followers	Followers (detail) On this detail one can list the persons who should be given access to seeing the information in the risk case, follow the resolution process of the case Value from lookup Contact
Tab Relations	
Related accounts in risk case	Related accounts in risk case (detail) Form Related account in risk case
Related contacts in risk case	Related contacts in risk case (detail) Form Related contacts in risk case
Related risk cases	Related risk cases (detail) Form Subordinate risk cases is filled in
Activities	Activities (detail) Shows all activities related to the case One can create a new activity by filling in card Task
Email	Email (detail) Shows all emails related to the particular case One can create a new email by clicking +
Incidents	Incidents (detail) Shows all incidents related to the risk case
Documents	
Related risk documents	Related risk documents Value from lookup Documents One can create a new document by clicking +
Attachments and notes	Attachments and notes (detail) Used for storing files and links related to current risk case
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only

Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Object owner	Person responsible for the risk case investigation Filled in automatically by a value of the person responsible from cards Account or Contact Read only
History of changes	History of changes (detail) Automatically registers all amendments in the entry on the form
Risk case stage history	Risk case stage history (detail) Registers the period of risk case investigation during which the investigation was in each particular stage, and the persons responsible
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups
The system provides several configurable lookups which are used upon filling in the document:

- Risk case (operational risk) Business line (1)
- Risk case (operational risk) Business line (2)
- Risk case - Characteristics in Risk case type
- Risk case – Priority
- Risk case – Result
- Risk case – Role in Risk case
- Risk case – Source
- Risk case – Stage
- Risk case – Stage validation result
- Risk case – Status
- Risk case – type
- Risk case type in risk case result
- Risk case - Process structure
- Operational risk data source
- Risk case – Business object at risk
- Risk case – Risk type division (Level 1)
- Risk case – Risk type group (Level 2)
- Risk case – Risk type class (Level 3)

8. Audit Cases

Audit ensures the basis for the analysis of financial and economic activity of the business, which reveals its strengths and weaknesses, making justified decisions and preventing administrative penalties or other types of accountability laid down in the law for violating the requirements for account keeping in the organization.
Section Audit cases includes the following stages of audit:

- Planning of audit
- Drafting procedures based on which the audit is carried out
- Recommendations for elimination of deficiencies detected in the course of audit.

The section is of standard structure that does not change in comparison to the basic version.

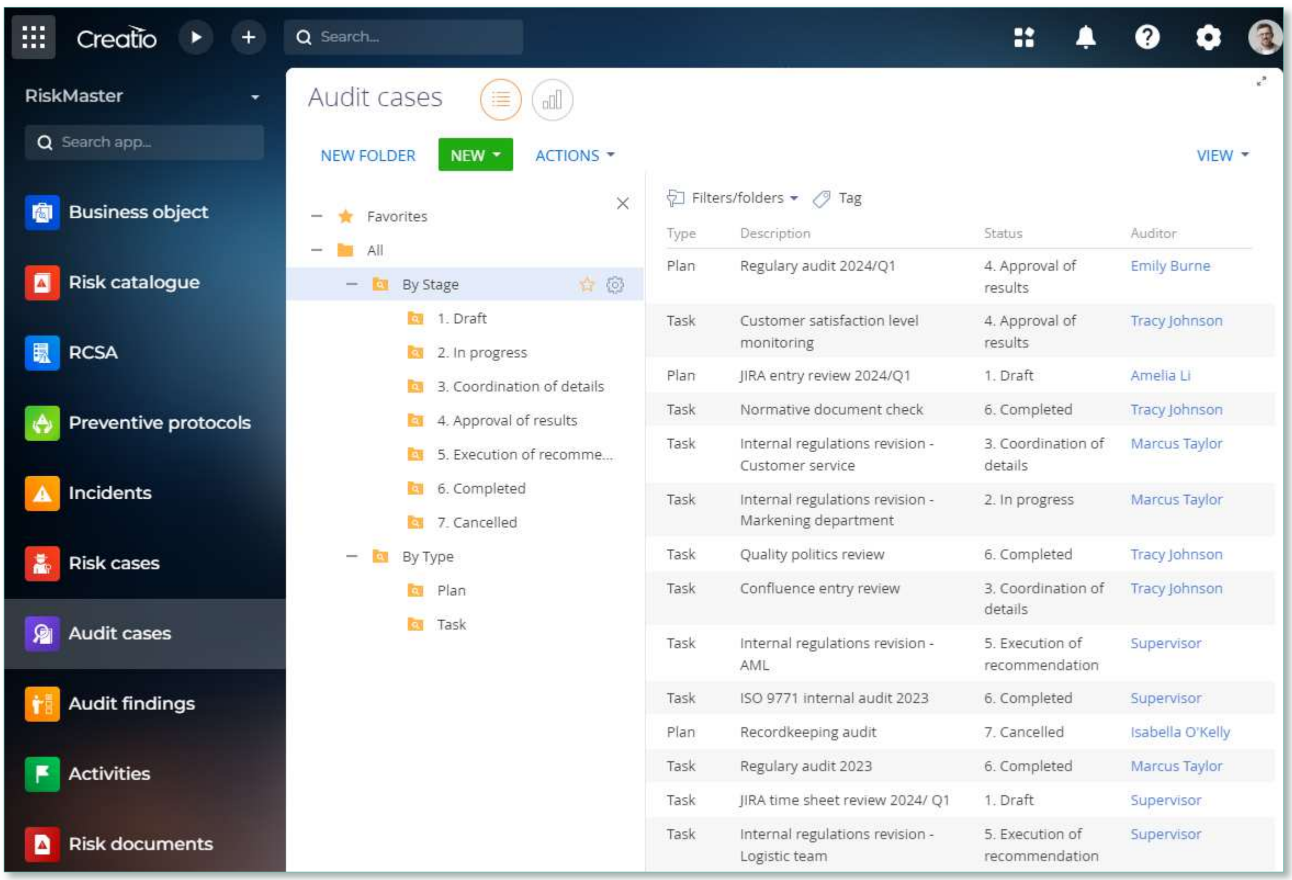


Image 7. Audit cases section view

Section Audit cases includes two types of cards:

- Plan
- Task

If click on the button 

, you can create an audit case with the Plan type.

And audit case with the Task type is created from the Plan card by pressing the button CREATE AUDIT TASK
List and description of fields is provided below:

Field	Description
Profile fields	
Plan number	Plan number Generated automatically upon creating a new entry
Registration date *	Date of registration of audit Filled in automatically by value of current date Read only after initial saving of the card
Auditor *	Name of person in charge who is working on solving the audit case Filled in automatically by value of current user Choose from section Contact
Status *	Audit case status Value from lookup Audit case status
Audit type	The area (field) in which the audit case is being carried out Value from lookup Audit case area
Reason	The grounds for carrying out the audit (scheduled audit, audit upon request) Choose from lookup Audit case source
Audit title*	Tasks and objectives of the Audit case Text field
Planned start	Planned date of starting the audit case Value from calendar
Actual start	Actual date of starting the audit case Value from calendar
Planned due date	Planned date of completing the audit case Value from calendar
Actual due date	Actual date of completing the audit case Value from calendar
Tab General	
Audit tasks	Audit tasks (detail) Filled in in by button CREATE AUDIT TASK
Audit participants	Participants in audit (detail) Form Participants in audit
Comments	Audit case notes (detail) Can create new note by clicking +

Field	Description
Email	Email (detail) Shows all emails related to this audit case Can create new email by clicking +
Features	Features typical for the risk case type Audit case (detail) Filled in through mini-card Features in audit Features available for the audit case type are listed in the lookup Characteristics in audit type Can automatically add features upon creating an audit case (see Article 12.10)
Tab Audit Findings	
Audit Findings	Audit Findings (detail) Fills in a form Issues in card Task In case of Audit case Task is closed with decision = Needs improvement, from the Issues there is audit case Audit recommendation created (see Article 12.7 Clause 5) Audit case Audit recommendation is automatically displayed on the detail Related risk cases in card Task
Tab Relations	
Risk classification	Risk classification (detail) Relation of audit case with risks Value from section Risk Catalogue Can be added by clicking +
Related business objects	Related business objects (detail) Value from lookup Risk case - Process structure
Related accounts	Related accounts (detail) Form Related accounts in audit
Related risk cases	Related risk cases (detail) Value from lookup Risk cases
Related incidents	Related incidents (detail) Shows all incidents related to the risk case
Tab Approvals	
Approvals	Approvals (detail) Intended for coordination and approval of results of audit case Approvals are carried out by clicking Actions and choosing option Send for approval (see Article 12.5)
Tab Documents	
Related risk documents	Related risk documents (detail) Value from lookup Documents Can create new document by clicking +
Attachments	Attachments (detail) In detail field one can place files and links related to the current Audit case
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail

Field	Description
	Upon switching to other tab of the page, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
History of changes	History of changes (detail) Automatically registers all amendments made to the entry in this form
Lifecycle	Lifecycle (detail) The detail provides tracking of stages of Audit Case processing Notes on the detail are read only and are added automatically upon changing the status
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups
The system provides several configurable lookups which are used upon filling in the document:

- Audit case area
- Audit case source
- Audit case stage
- Audit case status
- Audit case type
- Audit risk level
- Characteristics in audit type
- Participant role in audit

9. Audit findings

The section Audit findings is of standard structure that does not change in comparison to the basic version. Standard registry view of this section is provided below:

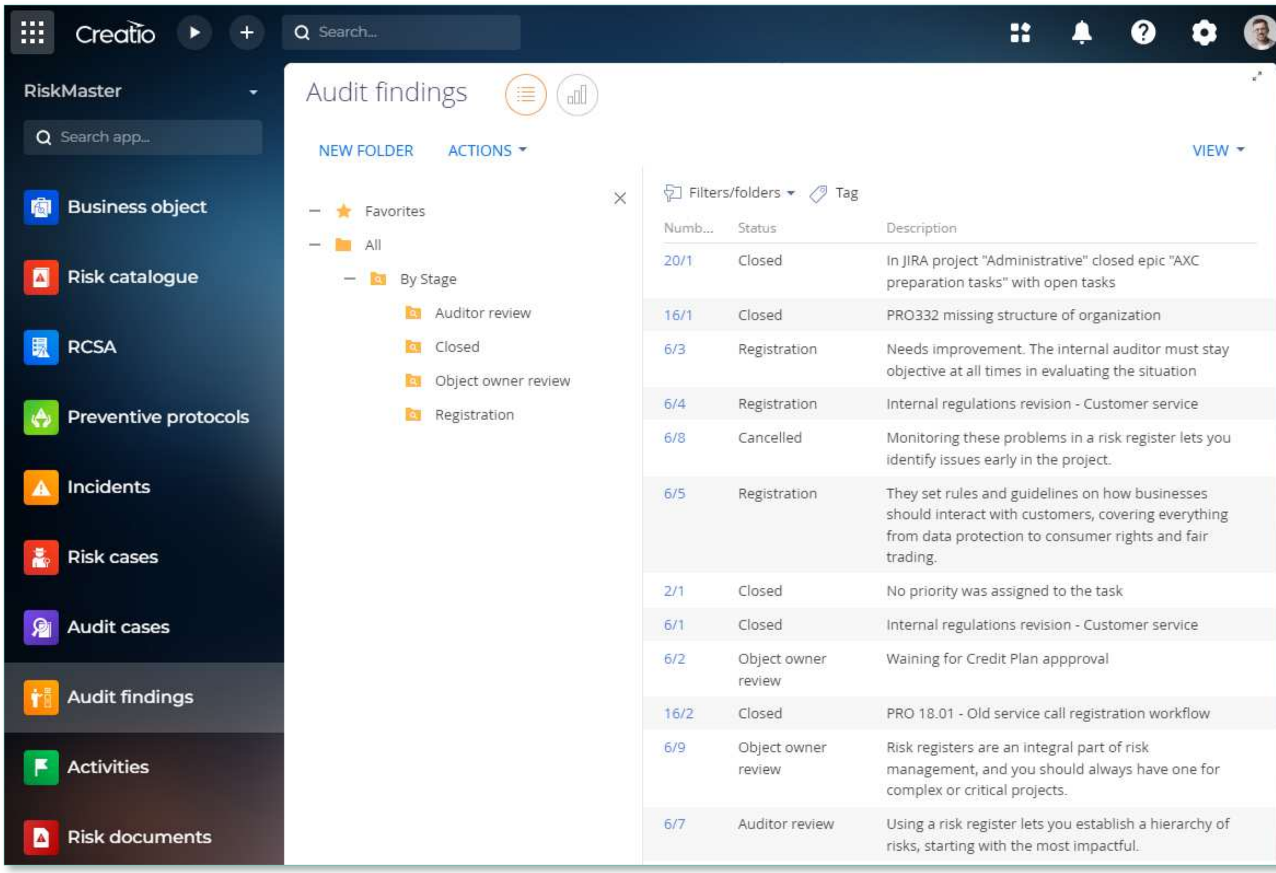


Image 8. Audit findings section view

The system functionality does not provide for manual creation of records directly in the section Audit Findings. This section displays records created from the Audit Case Task in the Audit Findings details.

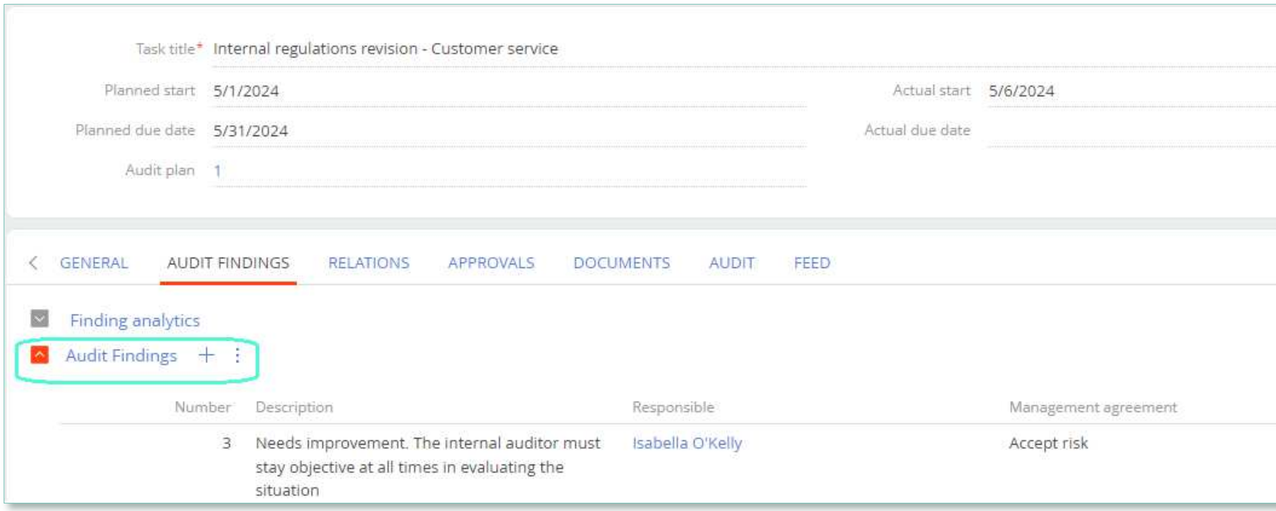


Image 9. Audit findings detail view

Card Audit findings consists of a set of fields of general data, as well as several tabs.

List and description of fields is provided below:

Field	Description
Profile fields	
Number	Generated automatically upon creating a new entry
Risk level	Risk level
Risk	Risk
Status	Audit findings status
Responsible on current status	Name of person in charge who is working on Filled in automatically by value of current user Choose from section Contact
Target date	Target date Value from calendar
Tab General	
Audit plan	Audit plan Filled in automatically
Audit tasks	Audit tasks Filled in automatically
Auditor	Auditor Filled in automatically

Field	Description
Business objects	Business objects Value from Business objects
Description	Description Text field
Object owner	Object owner
Object owner decision	Object owner decision
Audit recommendation	Audit recommendation Text field
Object owner comment	Object owner comment Text field
Related risk cases	Related risk cases (detail) Value from lookup Risk cases
Tab Documents	
Related risk documents	Related risk documents (detail) Value from lookup Documents Can create new document by clicking +
Attachments	Attachments (detail) In detail field one can place files and links related to the current Audit case
Notes	Notes (detail) Body text in the note can be edited and formatted directly on the detail Upon switching to other tab of the page, information on detail Notes is saved
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only

Field	Description
Audit findings status history	Audit findings status history (detail) Automatically registers all amendments made to the entry in this form
Email	Email (detail) Shows all emails related to this document Can create a new email by clicking +
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

10. Activities

Activities allow tracking all of the tasks set for all objects of the system. It is a convenient tool for overview and control of all tasks from one location, for filtering tasks by priority, execution date, responsible employee or business object.

The section contains several views:

— schedule. Shows activities as an online planner.

— register of activities. Shows activities as a list of entries.

— analytics on activities. Shows diagrams, sole indicators and ratings used for analysis of activities.

Activities card has standard functions and consists of a set of fields of general data, as well as several tabs.

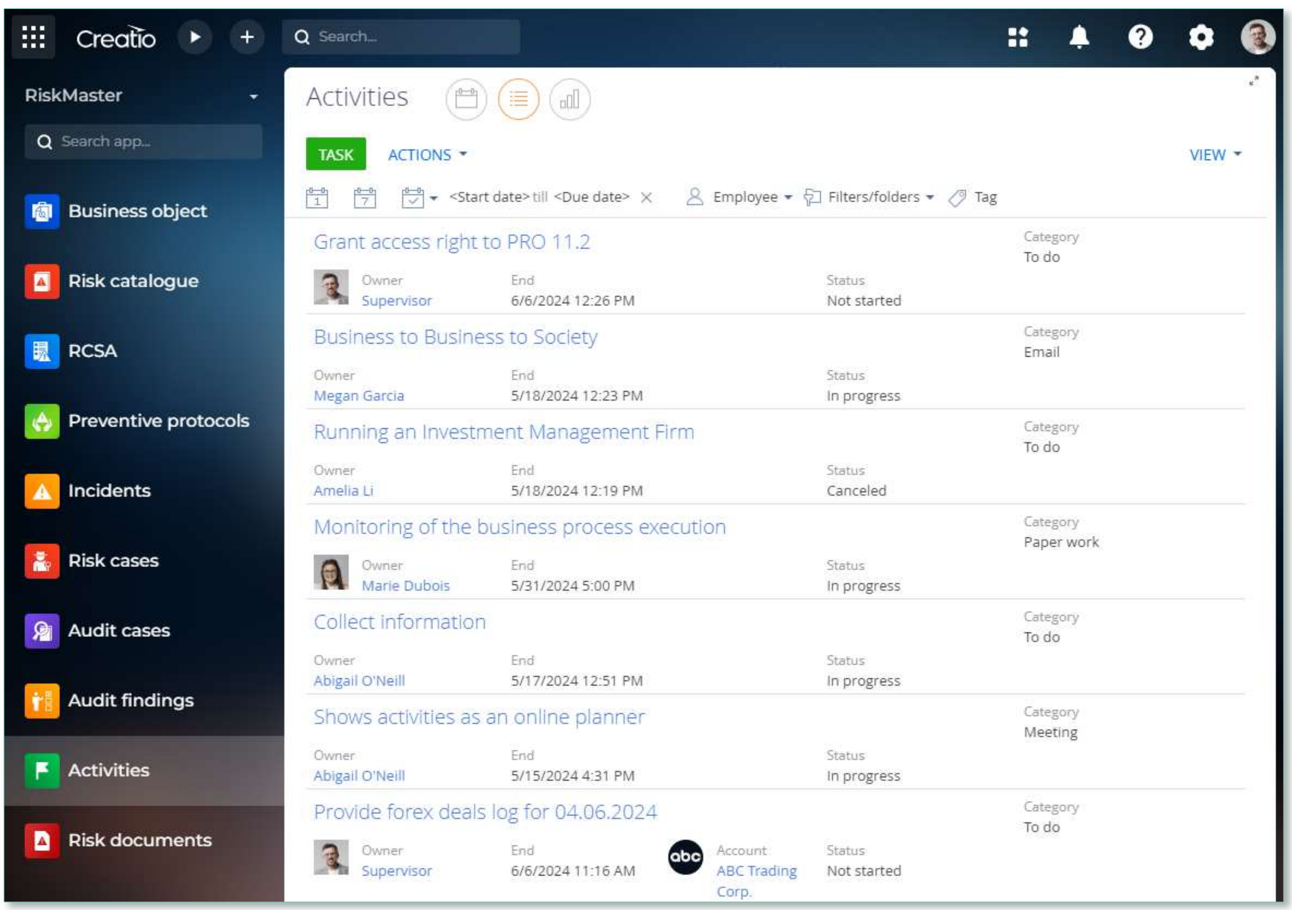


Image 10. Activities section view

There is an option to create tasks automatically from RCSA card.
For more detailed information on the functions, see clause 12.14 Automatically generated tasks from RCSA

11. Risk documents

The Risk Documents section is meticulously designed to provide a convenient and efficient document storage solution tailored for risk management needs. This section allows users to store, organize, and manage documents related to various objects within the system.

Documents are organized into a convenient two-level hierarchy consisting of 'Type' and 'Subtype' categories, simplifying the classification and retrieval process. The system supports both static folders for predefined document storage and dynamic folders that use filters to automatically organize documents based on specific criteria. This flexibility allows users to maintain an organized and up-to-date document repository effortlessly.

Each document is accompanied by a detailed document card that includes extensive metadata. This metadata includes information such as document name, number, date of creation, validity end date, and other relevant attributes. The rich metadata ensures that documents are easily searchable and can be cross-referenced with related objects, enhancing overall document management capabilities within the risk management workflow.

The section is of standard structure that does not change in comparison to the basic version.
Standard registry view of this section is provided below:

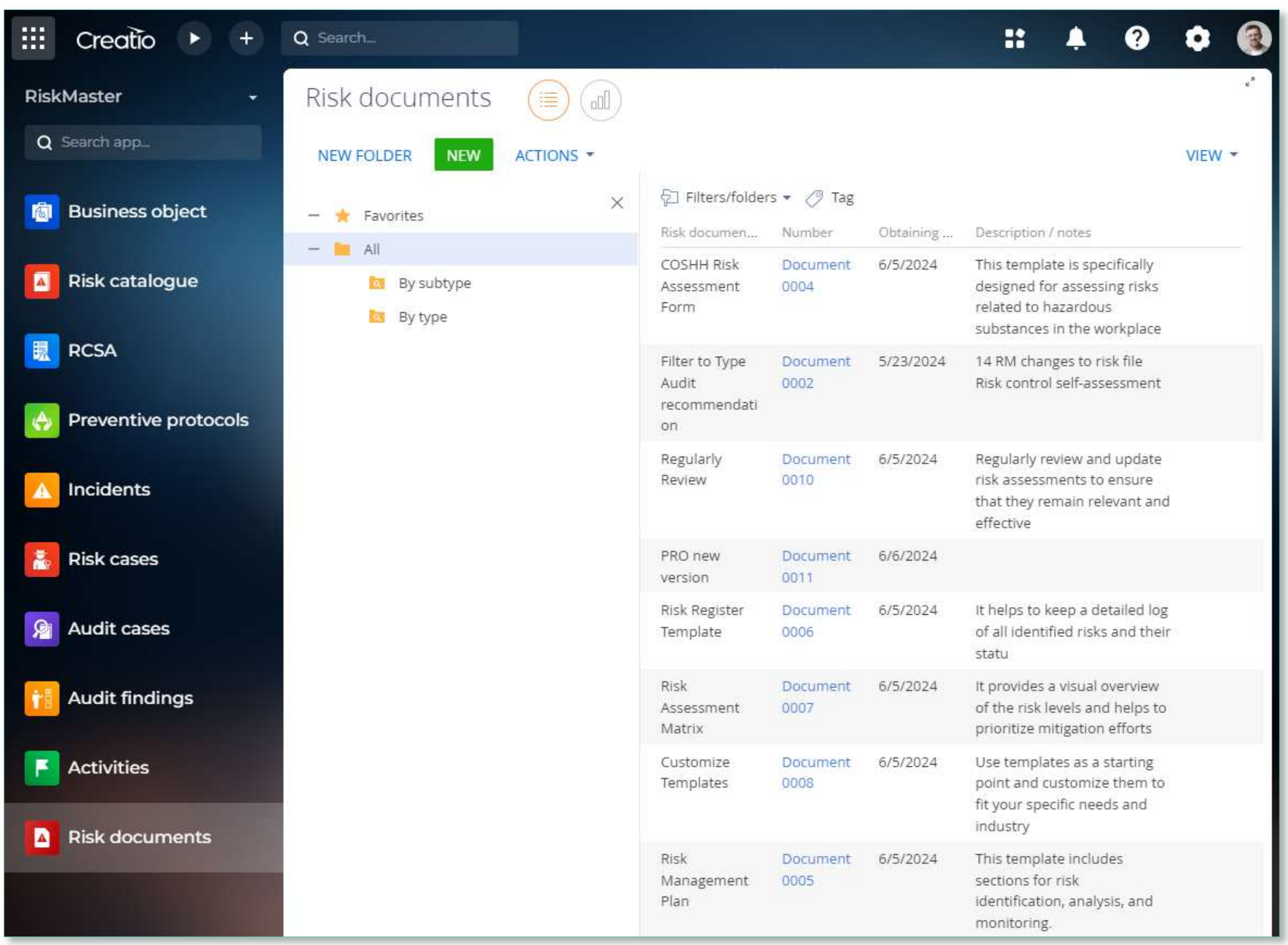


Image 11. Documents section view

Card Risk document consists of a set of fields of general data, as well as several tab. In order to create new entry, one should click NEW and fill in the fields on the page.

List and description of fields is provided below:

Field	Description
Profile fields	
Number	Full document number Generated automatically by the system Read only
Risk document type*	Risk document type Value from lookup Risk document type
Risk document subtype	Risk document subtype Value from lookup Subtypes of risk documents Tree structure Depends on Risk document type
Obtaining date*	Date of Obtaining the document Auto-populate with current date with possibility to change
Document date	Document date
Valid to	Document expiration date Read only if document is Termless
Termless	Checkbox
Tab General	
Risk document name	Document name Text field
Description / notes	Document description Text field
Attachments	Attachments (detail) In detail field one can place files and links related to the current document
Related risk cases	Related risk cases (detail) Can choose risk case by clicking +
Tab Activities	
Activities	Activities (detail) Shows all activities related to the document Can create new activity by filling in card Task
Email	Email (detail) Shows all emails related to this document Can create a new email by clicking +

Field	Description
Tab Audit	
Created by	Author of the entry Value from lookup Contact Generated by the system automatically upon initially saving the card Read only
Created on	Date and time of creation Generated by the system automatically upon initially saving the card Read only Value from calendar
Modified by	Last person who modified the entry Value from lookup Contact Generated by the system automatically each time upon saving the card Read only
Modified on	Date and time the entry was last modified Value from calendar Generated by the system automatically each time upon saving the card Read only
Tab Feed	
Feed	The tab displays chat history among the employees regarding this document

Configurable lookups

The system provides several configurable lookups which are used upon filling in the document:

- Types of risk documents
- Subtypes of risk documents

12. Configurable System Details

12.1. Status change process

In sections where the workflow implies change of statuses, there is a special element on the page – status bar. It helps you to see in what status is the entry at any given time and quickly switch from one status to another. It helps to keep better focus on moving forward and makes the work more intuitive and simple.

Depending on the chosen status the colour of the status bar may change.

NB!
Status bar setup is carried out in case designer.

In order to process the risk case use the status bar and action panel which you can see in the upper side of the risk case page. Move forward in the process or case using status bar.

Change the status of the risk case using Status bar.

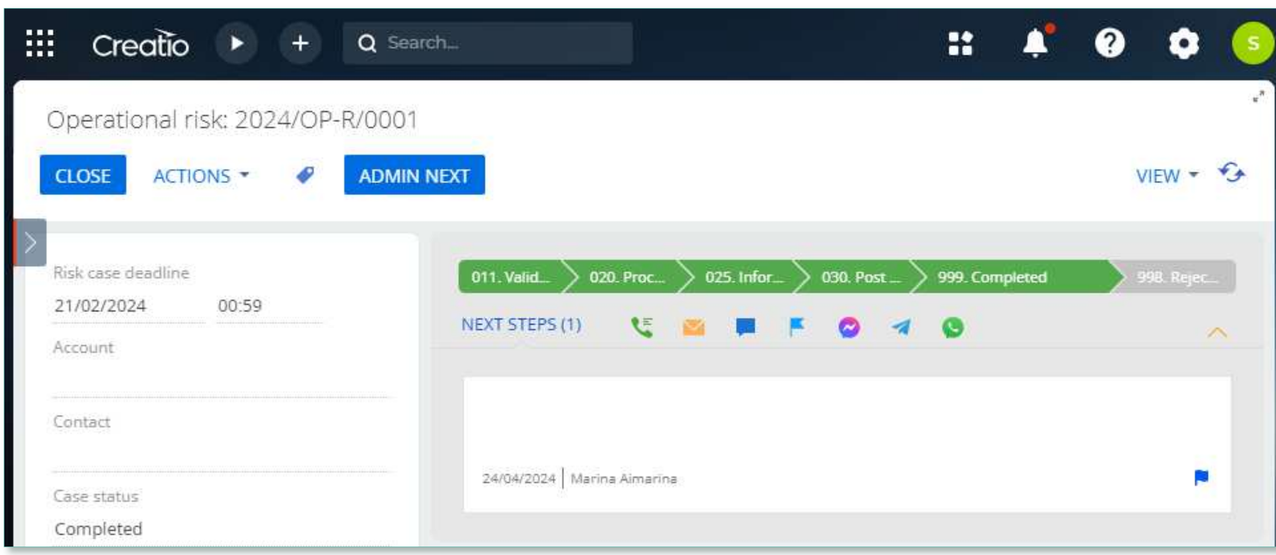


Image 12. Document status change

The order of switching from status to status is determined in the settings of each type of document. The change of status is duplicated to the field Status.

12.2. Attachments and notes

To work with additional materials in entries of the sections, the system is using a detail Attachments. This detail is available in every section of the system.

In the Attachments detail you can use the following display options:

tile view. Use it to display files and links to details as icons. The image of the icons will differ depending on the file extension.

NB!
Icons for various types of files can be set in the lookup [File extensions]. For the files having no defined type in this lookup, the system shall use default icon.

list view. In this view one can see all entries in the detail as a list of entries. Use this view if you need to delete a file or edit a link.

12.3. Details

The details are located in the form and are designed for storing any additional information. You can open and close the detail by clicking

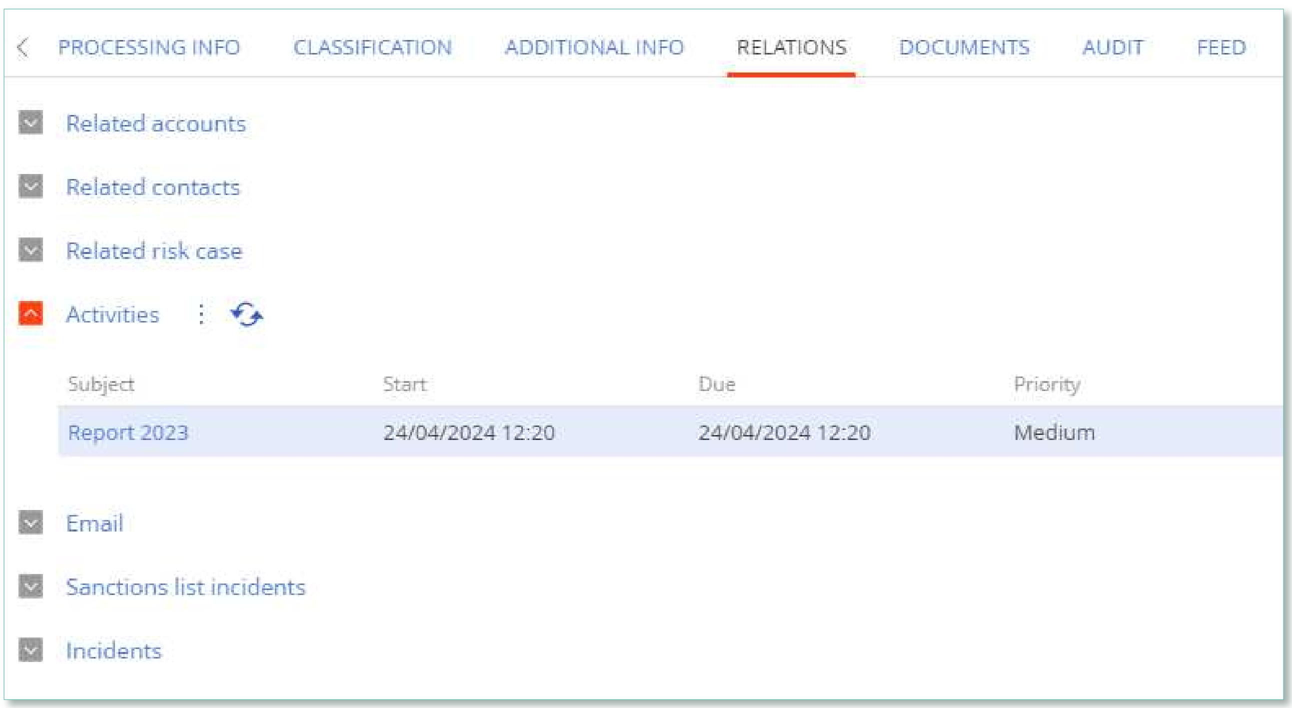


Image 13. View of details in the form

One can add and configure the information to be displayed in detail by clicking ⋮ through action Columns setup.

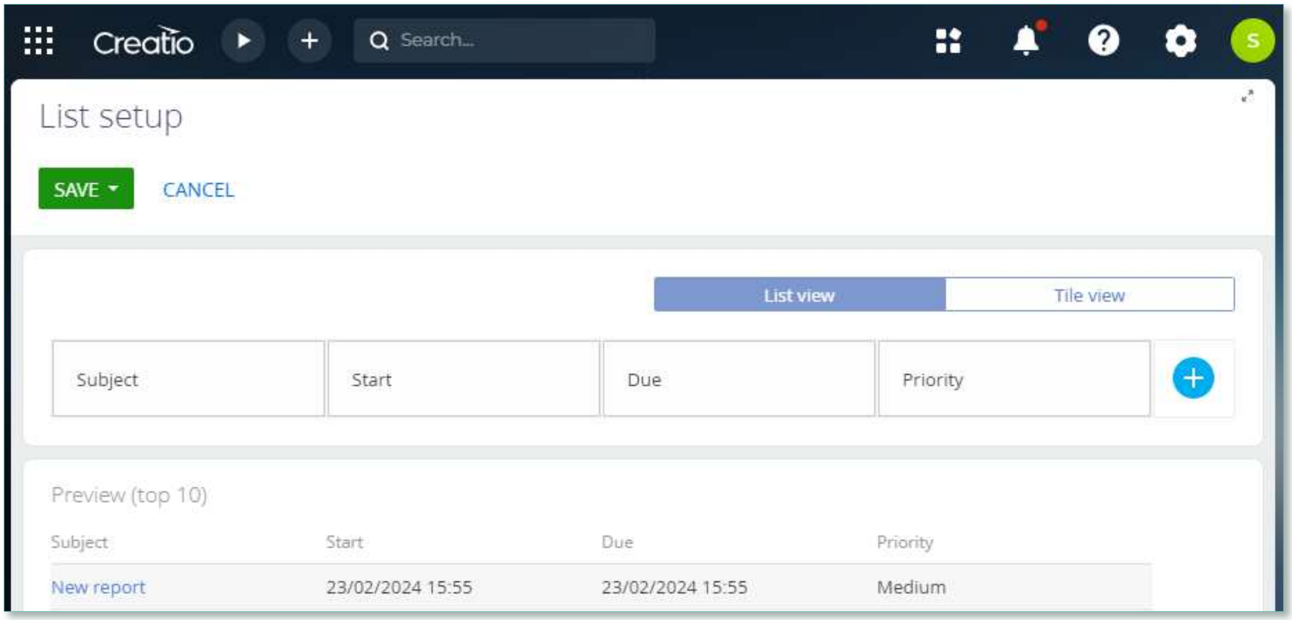


Image 14. Setup of information to be displayed in detail

User can individually change the sequence of columns and add new ones.

Administrator can set up and save the sequence and sets for all users. Administrator can change the arrangement of details in the form.

One can add a new document by clicking + and filling in the form.

12.4. Setting up access rights

You can control access to certain operations with the entries. There are three groups of such operations: Read, Edit and Delete. For example, access to operation "Read" means the user or group of users can view the entry in the section or on the entry page. For each operation there are two levels of access:

- Granted — right to execute the operation of reading, amending or deleting an entry.
- Granted/delegation permitted — the right to execute operations with the entry, as well as the right to control access to this operation.

NB!
Absence of any level of access means absence of access to the entry. By default the user who created the entry has the right to execute and delegate all the operations with the entry. Access to the entry created by you is set by default and configured by the system administrator.

In order to start managing access to the entry, open the page of this entry and in Actions menu choose Set up access rights.

12.5. Approval process

Adding approvals is carried out in tab Approvals. The view of the page is provided below:

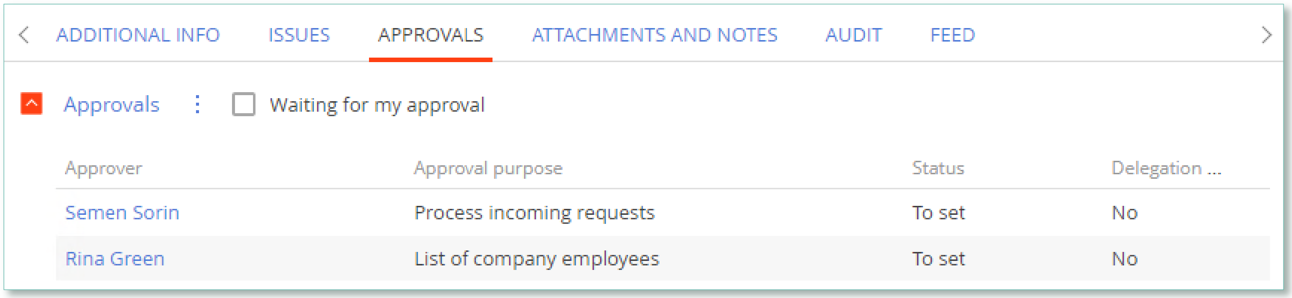


Image 15. Approval page view

Actions in the detail:

Approve – an action available only for users appointed by the approving person. Upon carrying out this action, a page is opened where approver can add a comment. After clicking “OK” the status of the approval shall automatically change to Positive.

Reject – the action is available only for users appointed by the approving person. Upon carrying out this action, a page is opened where approver can add a comment. After clicking “OK” the status of the approval shall automatically change to Negative.

Change approver – the action is available only for users appointed by the approving person. Upon carrying out this action a page will open to appoint a new approver (field Approval participant). After clicking “OK”, the value in the field Participant will automatically change to the new value.

Configurable fields:

Field	Description	Type
Contact	In this field the approving person is registered	Lookup (lookup Contact)
Role	A sign indicating the role of the approving person	Lookup (lookup Record keeping related employees role)
Order number	Order number of the approving person. In this precise order the persons in charge of approval will receive the notifications.	Number

Attention!
Upon adding new approval process an automated email notification is sent to the approving contacts, while the condition of inquiry for amendments is set from the system settings «Change Approval Status».

Also the person in charge of approval shall receive a notification on communication panel.

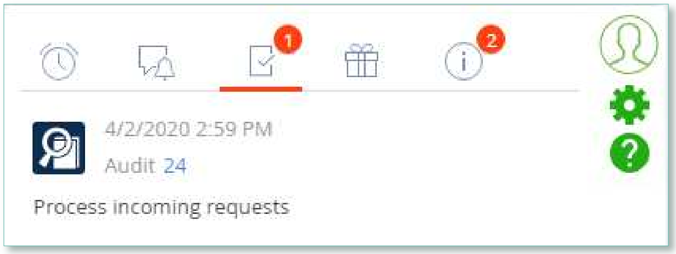


Image 16. Notification on communication panel

12.6. Creating an incident

There are several ways how to create an incident.

1. By clicking NEW in Incidents section and choosing the necessary type of incident from the list.

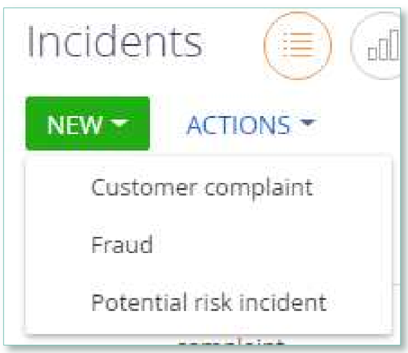


Image 17. Creating an incident from section

2. By sending a message to an email indicated in the lookup Risk case - Incident type. For each type of inquiry there should be a separate email address set up.

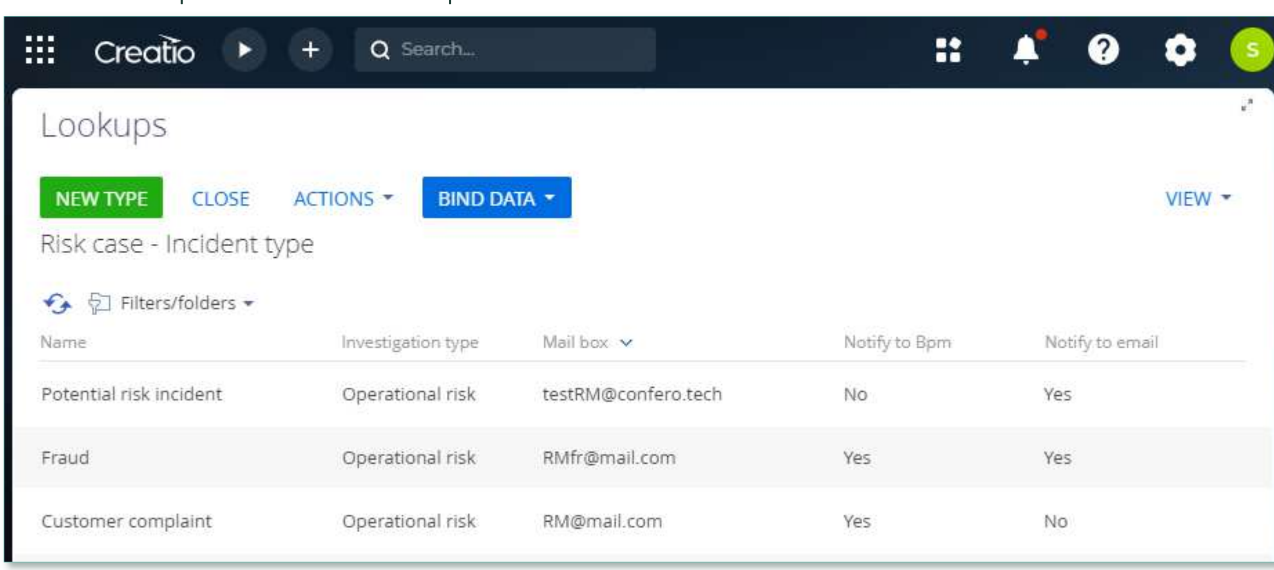


Image 18. Lookup Risk case - Incident type

Herein the following fields are filled in automatically:

- ID number – index number of the section of the incident
- Incident date – date when the email was received
- Type – indicated depending on to which email address the message was sent. Can be set up in lookup Risk case - Incident type
- Status – by default New
- Declarer – a person responsible from the email message
- Owner – a person responsible from the email message
- Incident origin – by default Email
- Info getting date – date when the email was received
- Due date (plan.) – a setup Deadline days from the lookup of incident types
- Synopsis – information from the email message subject box
- Declarer comment – information from the email message body text
- Attachments – filled in if there were any files attached to the email message
- Generates and sends notification to the sender's email about that the inquiry is registered

NB!
An incident can be completed without opening a risk case.
Risk case related incidents are closed automatically after risk case investigation is completed. Person having initiated the incident by sending the email will receive a notification about incident being closed.

12.7. Creating a risk case

There are several ways to create a risk case.

1. In section Incidents through button Create risk case

Image 19. Button Create risk case from Incident form

Herein the following fields are filled in automatically:

- Case deadline – generated automatically based on value from settings
- Account – value from Incident
- Status – by default New
- Stage deadline – generated automatically based on value from settings
- Stage – by default Validation
- Stage responsible – person responsible from Incident
- Incident status is moved to Completed and Result Closed with Risk case

2. From section Risk cases

By clicking 

in section Risk cases and choosing the necessary one from the types of risk cases.

Image 20. Creating risk case from section Risk cases

3. From section Preventive protocols
   In the section from the form Preventive protocol through Action / Create case

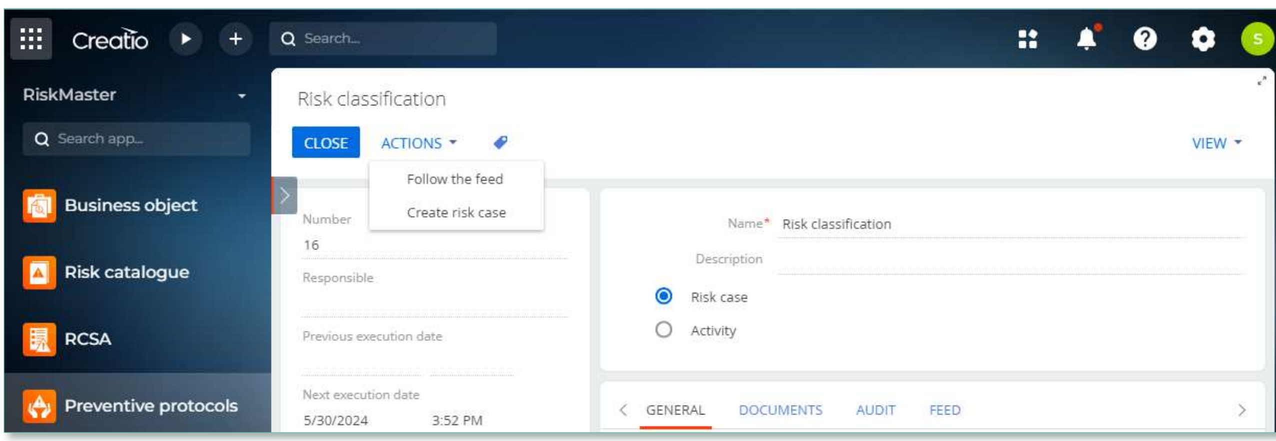


Image 21. Creating risk cases from section Preventive protocols

Herein a new risk case is generated automatically under type Preventive protocols and the following fields are filled in automatically:

- Case deadline – generated automatically with a value from settings
- Status – by default Draft
- Stage deadline - generated automatically with a value from settings
- Stage – by default Validation
- Description – information from Preventive protocols

4. From section Preventive protocols, by setting up scheduled risk case generation

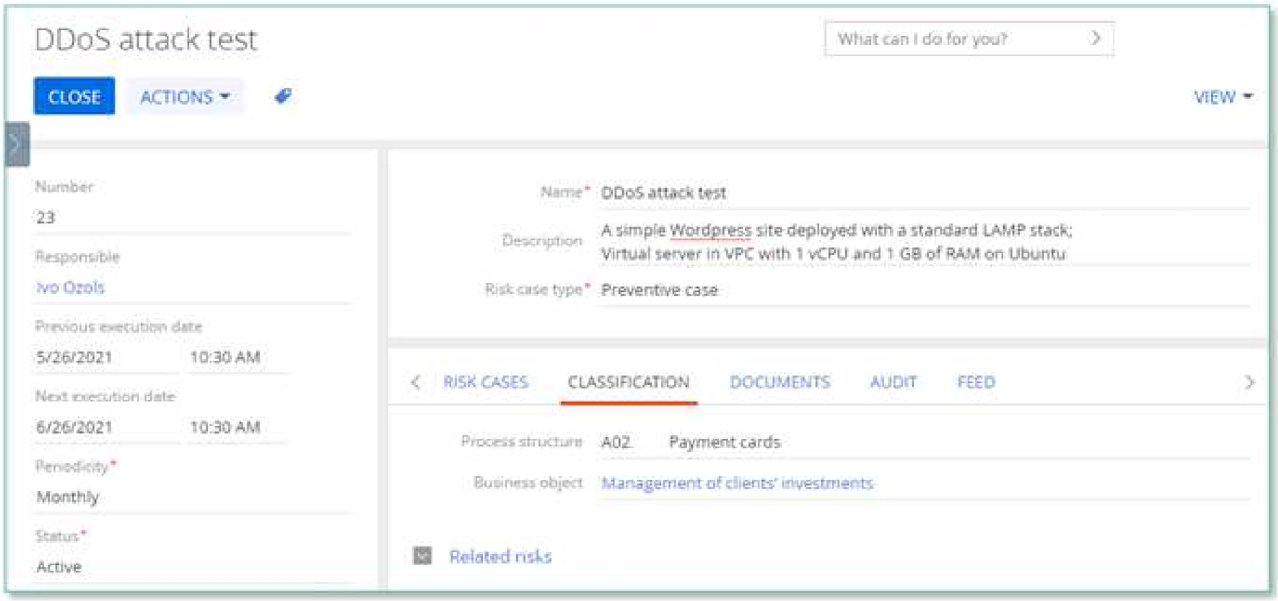


Image 22. Generating a risk case from section Preventive protocols according to set schedule

In order the risk case to be generated, the following fields must be filled in:

- Status – Active
- Next execution date value higher than current date
- Risk case type
- Periodicity

A new risk case is automatically generated and the following fields are filled in:

- Case deadline – generated automatically with a value from settings
- Status – by default Draft
- Stage deadline - generated automatically with a value from settings
- Stage – by default Validation
- Description – information from Preventive protocol
- Stage responsible – responsible person from Preventive protocol
- Type of risk case is inherited in accordance with the value selected in Preventive protocols

5. From section Audit cases, in detail Issues
   In order the risk case to be generated, the following conditions must be met:
   - Approval – in status Positive
   - Detail Issue – in the field Management agreement a value should be chosen, which has Yes in Create risk case checkbox in the lookup

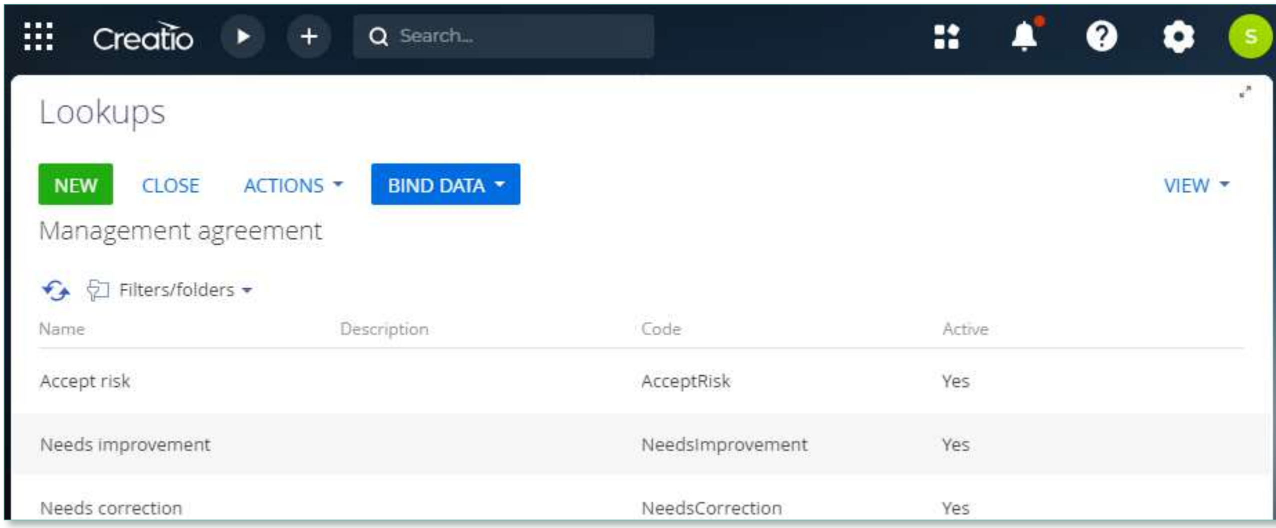


Image 23. Lookup Management agreement

A new risk case is automatically generated and the following fields are filled in:

- Case deadline:
  - if the field Target date is filled in on the detail Issue, then it uses this value
  - if Target date is not filled in, the value is generated based on settings in lookup Risk case – Type
- Status – by default Draft
- Stage deadline - generated automatically with a value from settings
- Stage – by default Validation
- Description – information from card Issues
- Stage responsible – responsible person from card Issues

6. From section Audit cases, in detail Related risk cases

Risk cases can be generated from the form Audit cases on the detail Related risk cases, by clicking +

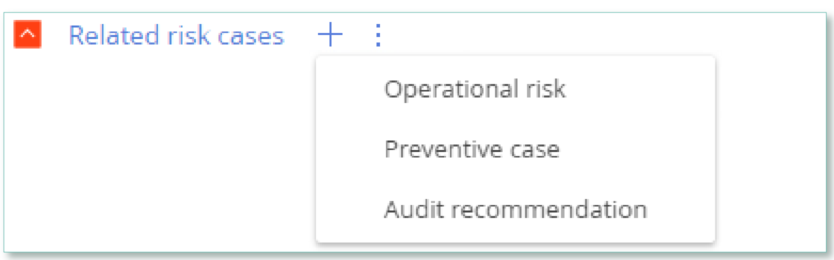


Image 24. Creating a risk case from section Audit cases

12.8. Changing stage/case deadline

In section Risk case by clicking on Action / Change stage/case deadline, one can open fields Stage deadline and Case deadline for editing.

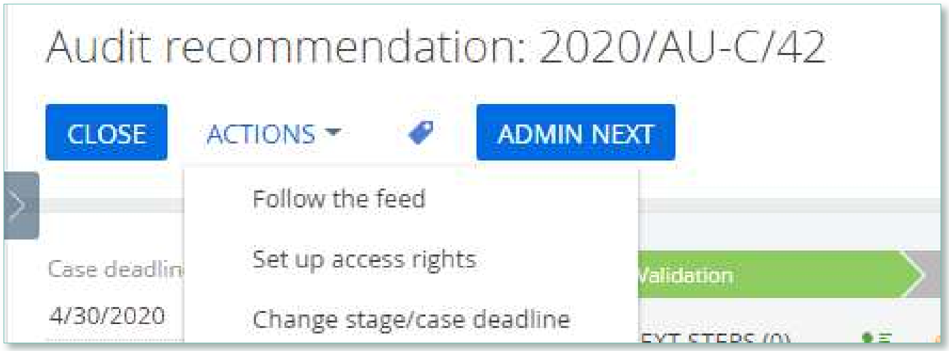


Image 25. Action / Operation permission

One needs to have access rights to carry out this operation, then the action in the card will be available. This is an action configurable by administrator; access rights are assigned to users in System designer in section.

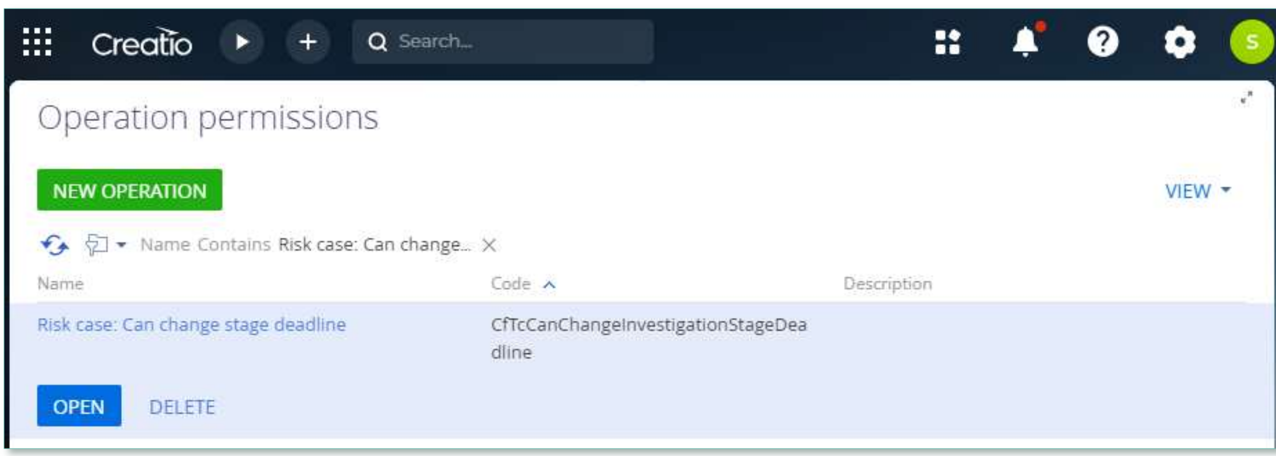


Image 26. Operation permissions

12.9. Automated task generation

In section Risk cases in type Operational risk upon reaching status Completed, Tasks are generated based on the detail Decision (corrective actions) if Sent task setting in the Risk case – Status lookup says Yes.

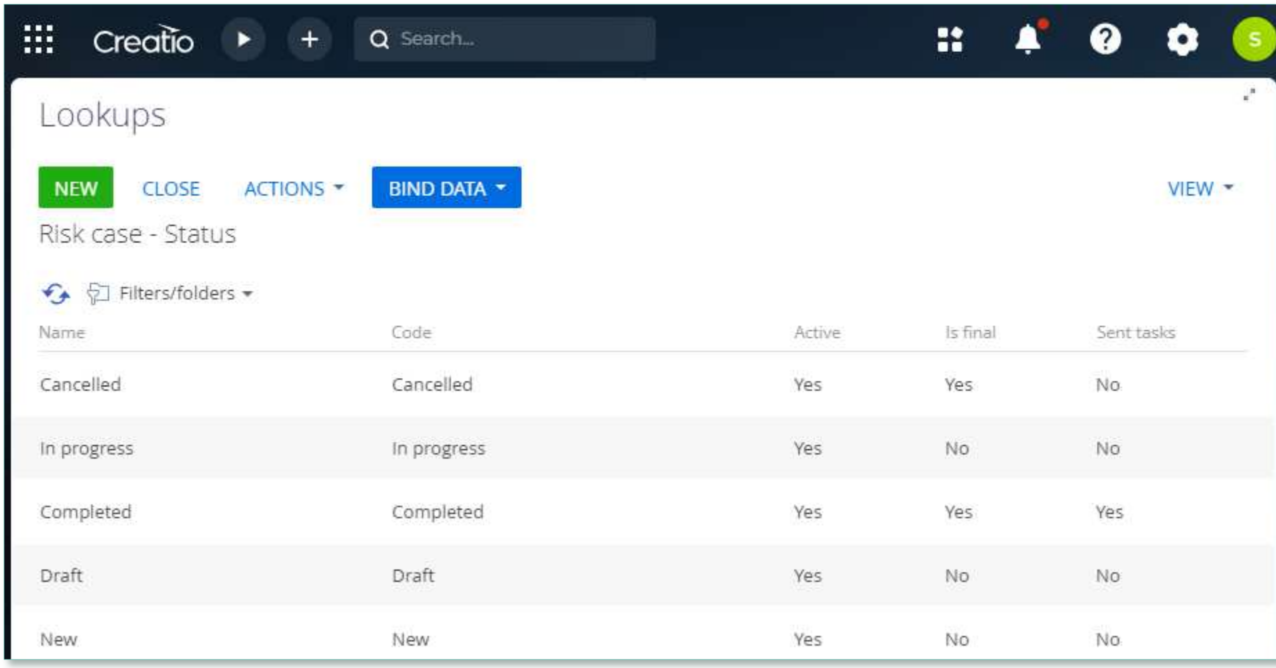


Image 27. Lookup Risk case – Status

12.10. Automated adding of Characteristics

Upon creating a new document, in which adding characteristics is planned (for example, Incident, Risk case, Document), there is an option of automated adding designed. In lookups Characteristics, if there is checkbox value Yes in the column Add as default in the lookup settings, then the characteristic feature is added upon initial saving of the document.

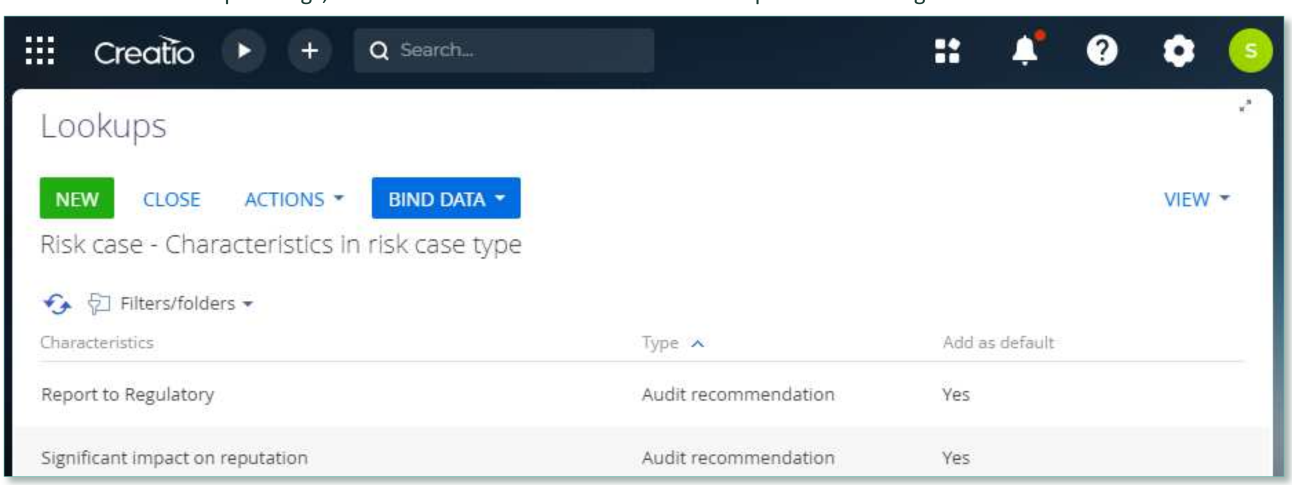


Image 28. Add to Characteristics by default

12.11. Sending notifications from the system

In lookup Risk case - Incident type there are checkboxes for sending notifications to a group / a user upon creating incidents of each type: to email and in Creatio system.

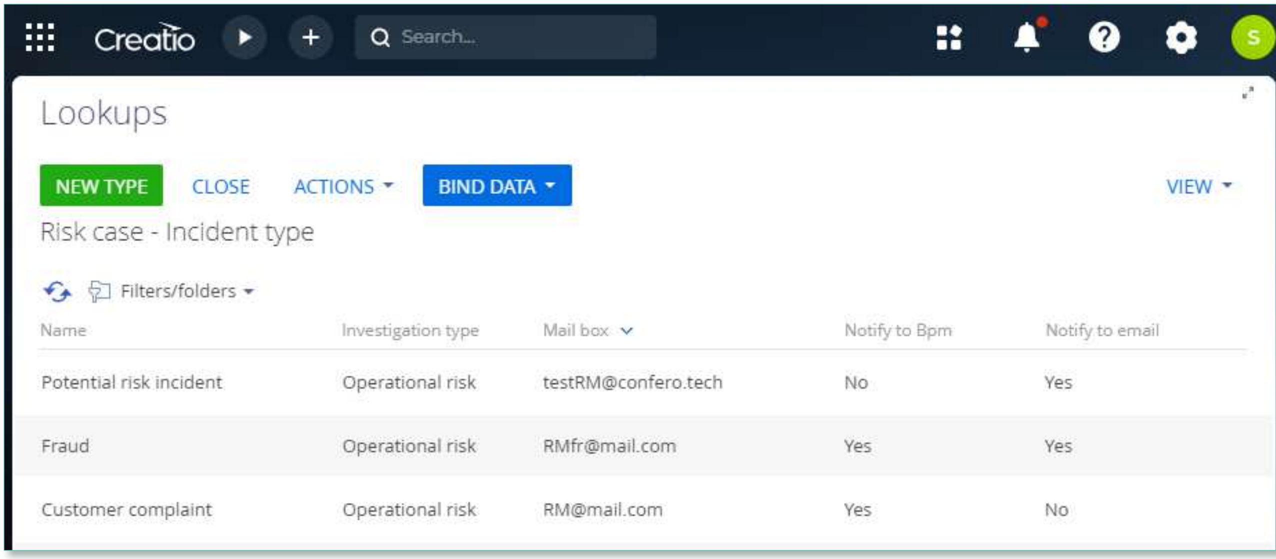


Image 29. Settings in lookup Risk case - Incident type

The notifications about incidents are created for sending from email templates. They are available in lookup Email templates.

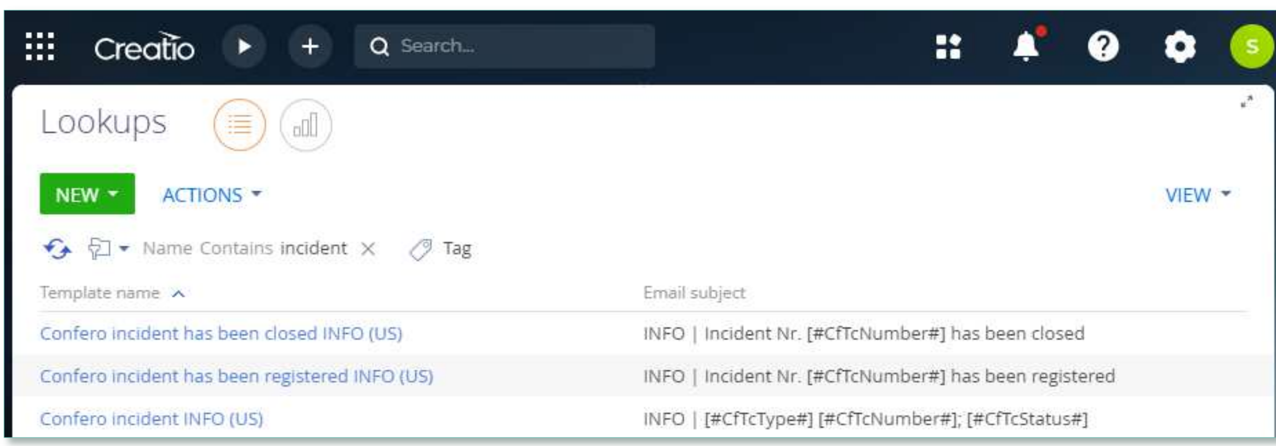


Image 30. Lookup Email templates

12.12. Description of fields and settings in lookup Risk case - Type

In lookup Risk case - Type one can find all the principal settings related to the risk cases.

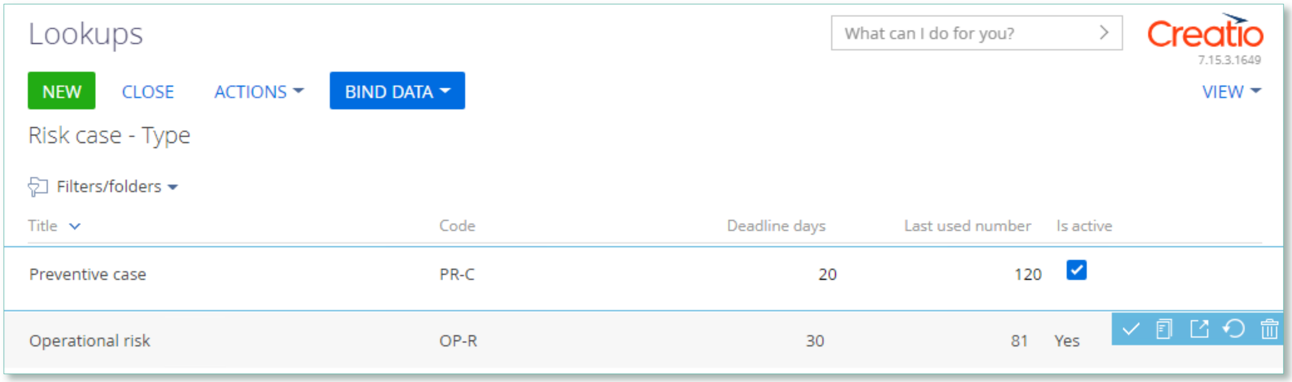
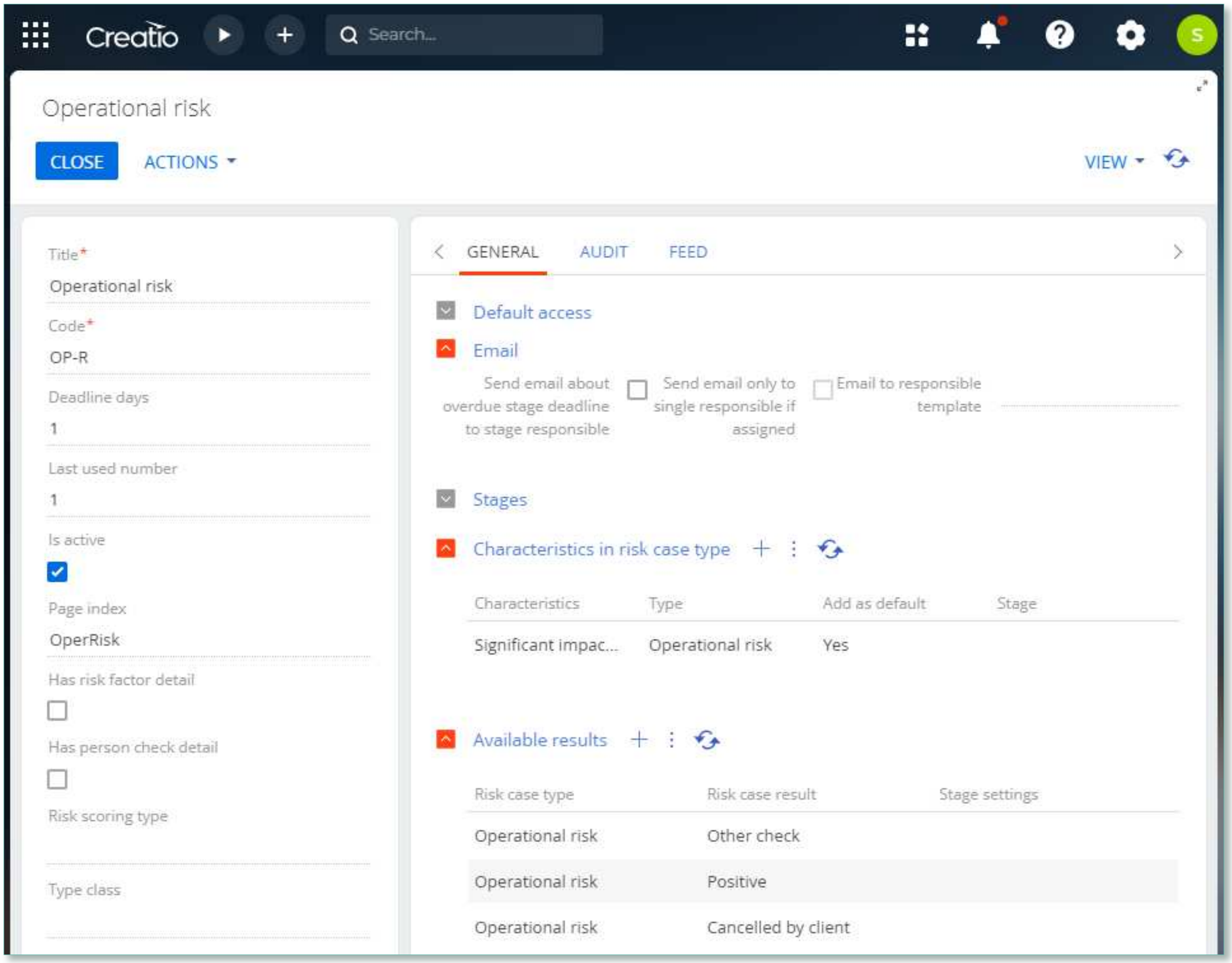


Image 31. Lookup Risk case - Type

- Title – type name
- Code – code of the type which is used for generating the index number of the risk case
- Deadline days – number of days automatically granted for processing the risk case when it is created
- Last used number – the last used number of this type which is used for generating the index number of the risk case
- Is active – a checkbox about that this type of risk case is active

Each type of risk case contains separate fields and settings. They can be accessed by clicking 
Settings panel of the risk case provides three blocks which contain separate settings page:



- **Profile fields**

Title – the name of the risk case
Code – code of risk case, is used in numbering, see System settings.
Deadline days – calendar days for the case processing
Restrict overdue risk case deadline – if set Risk case cannot be updated until deadline is not overdue. If the case is moved forward and stage deadline is over the date of risk case deadline, it is cut to equal with risk case deadline.
Last used number – last used sequence number, is filled in automatically with the last one, can be set manually to start counting from another number.
Is active – risk case is available for users to create.
Page index – page index
Has risk factor detail – to show detail with risk factors, is not related to person's card detail, is not used usually.
Has related representative detail – To show information from representative detail on the person's card (who is representative of the customer), if relation activation is via risk cases must be active for Client onboarding and Changes in Customer file risk cases, in others optionally.
Has person check detail – if need to make screening of client and related persons in sanction and other lists

Has related beneficiary detail – To show information from Beneficiary / Owner detail on the person's card (who is BO/Owner of the customer), if relation activation is via risk cases must be active for Client onboarding and Changes in Customer file risk cases, in others optionally. Risk scoring type – if there is stage with risk scoring process need to set which of scoring types to use.
Type class – additional classification, not in use.

- **Default access**
  Access rights for the cases can be set for each of type individually. Can be set access to see (read) the case / edit the case or delete the case. If functional role is not added and the case type is active, the access to edit it have all the users.

- **Email**

  To receive notification on the stage overdue need to tick "Send email about overdue stage deadline to stage responsible" for whole group of responsible users, if "Send email only to single responsible if assigned" is ticked the notification will be sent to responsible user only. The notification can be received as email only, additionally need to add e-mail template.

- **Stages**

  List of stages used in the risk case.

- **Characteristics in risk case type**

  Can be added or created characteristic to risk case. Add as default means that it appears on the screen automatically, if set Is 'No' can be added by pressing +. If stage is not set, the characteristics are added after first saving of the case, if stage is set, the characteristics are added at the time the process is moved to the stage.

- **Available results**

  Results that will be available in the field result of the case. Result is s elected from Risk case - Result lookup, additionally need to set final stage which corresponds to the result. When finishing the case the system will validate the result.

12.13. Forced change of stage in Risk case

In section Risk case, system administrator can manage the course of the case investigation using button ADMIN NEXT that enables the system administrator to force change the stages in the Risk case. In order to do so, one needs to fill in fields Stage, Notes in the dialog window.

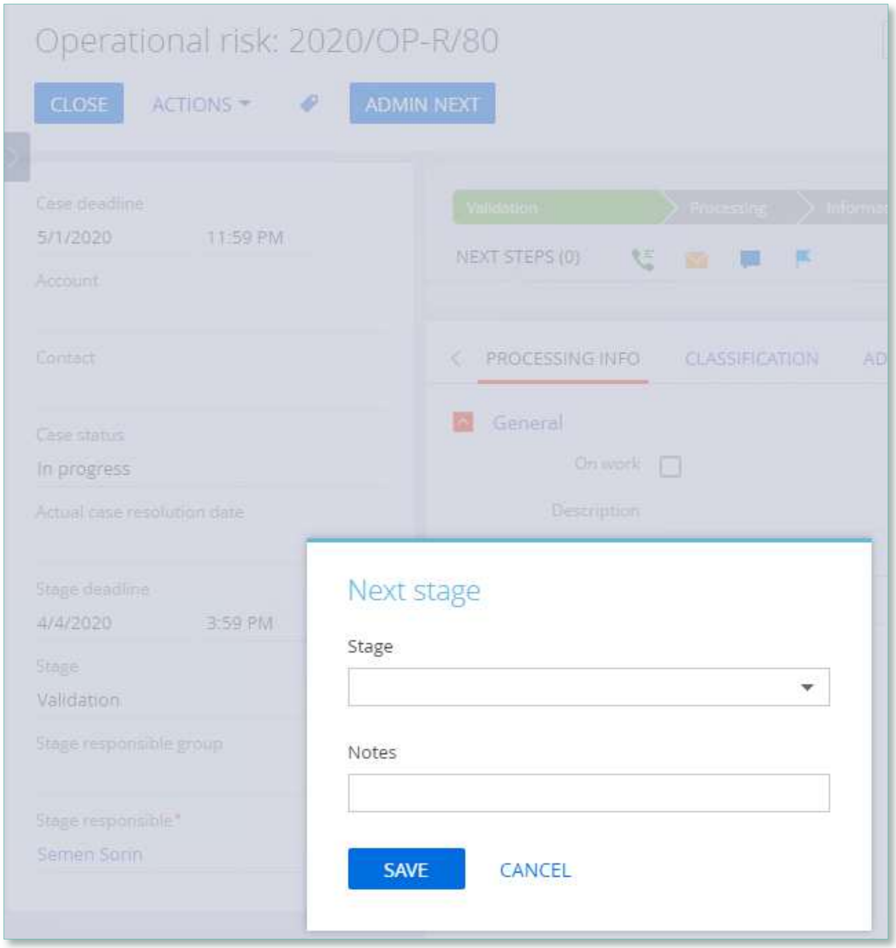


Image 32. Button ADMIN NEXT

All the changes made to the risk case through ADMIN NEXT button are recorded on the detail Notes of the given stage in the tab Processing info.

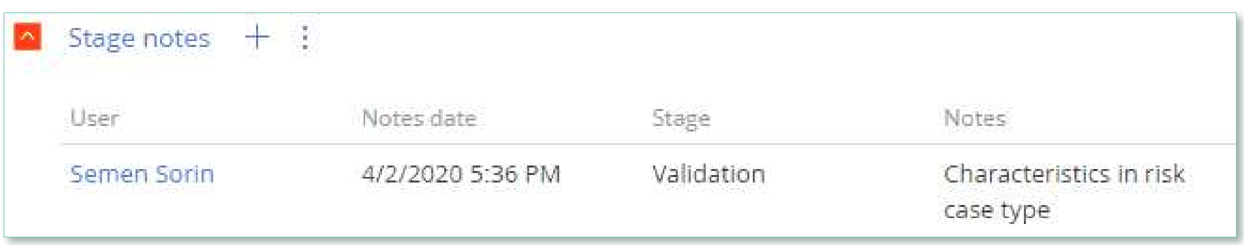


Image 33. Detail Stage notes

Setting up administrator's rights to ADMIN NEXT

- In the system Settings in section Users and administration/ Operation permissions open the operation Can use next button
- On the detail Operation permission add the users who are granted permission to carry out this action.

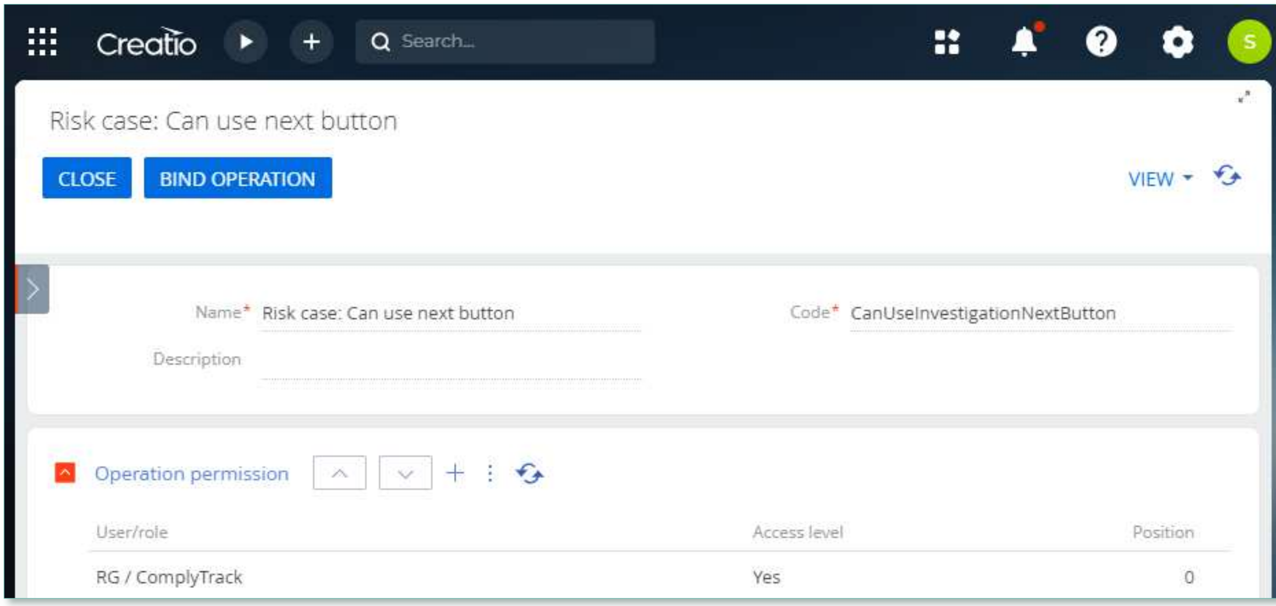


Image 34. Risk case: Can use next button

12.14. Automatically generated tasks from RCSA

There is an option to create tasks automatically from RCSA card. To set up this feature:

- in RCSA card (in status Draft) add risk to the detail Related risks
- on form Relations of risks and RCSA fill in the detail Mitigation
- change status in RCSA card to Active

After the Mitigation option was created in the RCSA card and the card was switched to status Active, in Business objects card on the Activities (mitigation) detail the system generates tasks based on the RCSA data (except the type Accept the risk).
In the generated tasks, the following fields are filled in:

- Subject – field Name from Mitigation card
- Start – adds current time value
- Due – Start plus 2 hours
- Owner – filled in from field Responsible in Mitigation card
- Category – To do
- Priority – Medium
- Status – Not started