Risk Tracker 1.0

User’s Guide

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# Information Security Tools Portal

The Information Security Tools homepage is the launching point for all hosted Information Security applications. The portal provides a consistent feel across applications and a way to navigate among them.

## Information Security Tools Navigation

Two ways are provided for navigation through applications and features. The horizontal navigation bar at the top of the page remains the same across all applications hosted by the portal. Application specific navigation is located on the right side of the window and changes based on the selected application. A more direct way to access any application feature is to use the sitemap. The sitemap is accessible from the upper right corner of any page.

## Information Security Tools Homepage

The homepage consists of a collection of widgets, which provide quick access to features of security applications. The homepage and widgets are customizable per user.

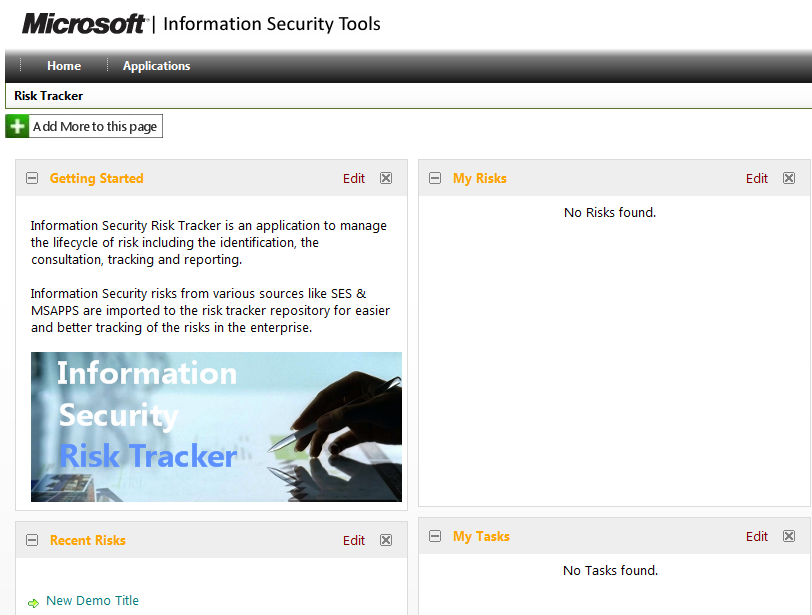


Figure : Example of the Information Security Tools homepage

## Working with Widgets

### Minimize and Maximize Widgets

To minimize or maximize a widget click the – or + button in the upper right corner of the widget. When a widget is minimized only the heading appears. When the widget is maximized it appears at its natural size.



Figure : Maximized Widget

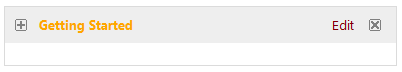


Figure : Minimized Widget

### Editing Widget Properties

Each widget may have a different set of properties that can be set according to personal preference. Click *Edit* in the title bar of the widget to access the properties. Some widgets may have no editable properties.



Figure : Properties of the RSS Widget

### Closing a Widget

To close and remove a widget from the home page, click the button in the upper right corner of the widget.

### Adding a Widget

To add a new or previously closed widget to the homepage, click the button *Add more to this page*. A panel will open showing all available widgets. Check the widgets desired or uncheck the ones to be removed from the homepage.



Figure : Button Used to Open a List of Widgets to Add

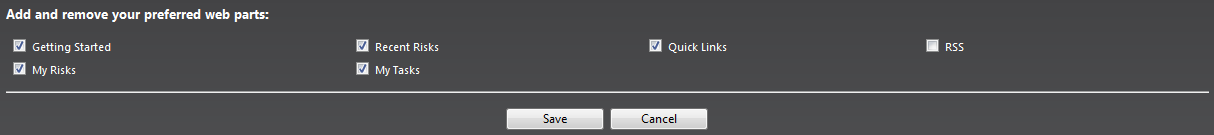


Figure : Panel Showing All Available Widgets

### Reset the Homepage

To reset the homepage to default settings click the button *Reset homepage*. All homepage customizations will be removed.



Figure : Button Used to Reset the Homepage to Default Settings

# Risk Tracker Application

Risk Tracker 1.0 is the very first version of a tool that we expect to evolve significantly into a sophisticated risk management tool that not only tracks and reports on risk and associated activities, but eventually a tool that can predict risk based on historical data and predictive models. It is built on the first version of our development framework that we have called CISF or the Connected Information Security Framework, an underlying framework that we are using to build a variety of applications that connect People, Process and Technology.

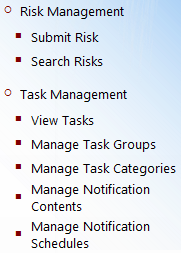


Figure : Features available in Risk Tracker

## Application Roles

The following table lists the application roles supported by Risk Tracker and the permissions for each role. Access to roles is controlled by Active Directory security groups. Please contact your system administrator for access to the application. Depending on the business needs in your organization, some users may require membership in multiple roles. For example, users who want to work with both risks and tasks must be a member of both Risk User and Task User roles.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | System Administrator | Risk Manager | Risk User | Task Manager | Trusted Task User | Task User |
| Update Task Information | X | X |  | X | Only on personal tasks and unable to change task assignment and due date | Only on personal tasks and unable to change task assignment and due date |
| View Tasks | X | X |  | X | Can see all tasks for the risks the user is working on | Only on personal tasks |
| View Risks | X | X | X |  | Only the first tab for risks related to assigned tasks. Excludes history or incident log. |  |
| Submit Risks | X | X | X |  |  |  |
| Modify Risks | X | X | X |  |  |  |
| Create Tasks | X | X |  |  |  |  |
| Modify Task Ownership and Due Dates | X | X |  | X |  |  |
| Set Risk Manager and Risk Status | X | X |  |  |  |  |
| Task Notification Configuration | X |  |  |  |  |  |

## Risk Management

### Submit Risk

To submit a new risk a user must belong to the Risk User role or above. The application will present an empty Risk Details page to collect information about the risk. The minimum required information necessary to submit a risk is the title, geography, and description. All other fields are either optional or are preset to default values. Once all information has been entered, use the *Submit* button in the upper right corner of the form to save the information to the system. Once a risk has been submitted, it cannot be deleted for audit purposes.

### Search Risks

The search page lets users run simple searches against risks. Only one search term may be used at a time. The search user interface lets users pick which field to search by and lists relevant operators for each field. Users must enter a search value – it is not possible to search for all risks by leaving the value blank.

After a search is run a table will display the results. Click on a column heading to change the sort order. Clicking on the underlined ID will take the user to the Risk Details page.

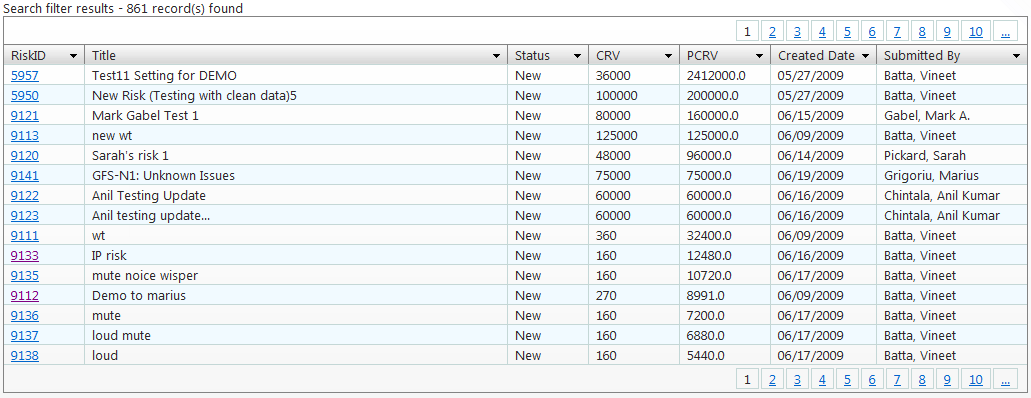


Figure : Example Search Results

### Risk Details Page

The Risk Details page is where users enter and view most of the descriptive and meta-data about a risk. From this page users can also track incidents, view change history, and task information related to the risk. Please refer to documentation supplied by the application administrators for information about the correct usage of each field as it relates to your specific business process.

#### Risk Rating Blades

In the center of the Risk Details page are three blades related to the risk’s rating. By clicking on a colored blade, the user can view the contents stored in each section. Users may document the current risk rating and set a desired target value according to business processes. The third blade, *Risk Rating Chart* shows how the risk’s value has changed in the past year. The chart’s axes scale automatically according to the values in the chart.

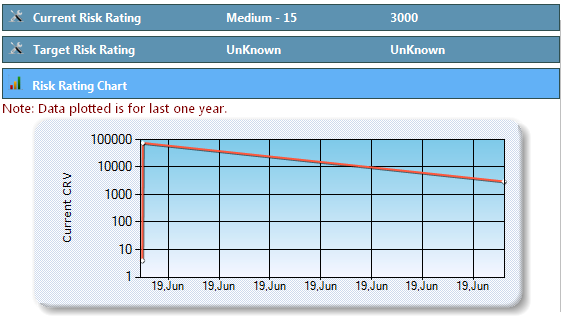


Figure : Risk Rating Blades

#### Risk Contacts

On the right side of the Risk Details page is the contacts area. The risk manager field shows only the people who belong to the Risk Manager role defined by the system administrator. Below is a list of business groups and contacts associated with the risk. If the system administrator sets up a feed that maps people to business groups, the system can place users in the contact list under the correct group. If a user does not belong to any of the groups added to the risk, he or she will be listed under Others.

To add business groups, click 

To add contacts, click 

To remove contacts or business groups, first select the desired items in the list, then click 

#### Notes

The notes section offers a way to micro-blog about developments or changes in a risk without cluttering other data fields. Once a risk has been submitted the notes typed under New Note will be posted to the right and become permanently attached to the risk’s history. The right half of the notes section shows a log of all notes posted to the risk.

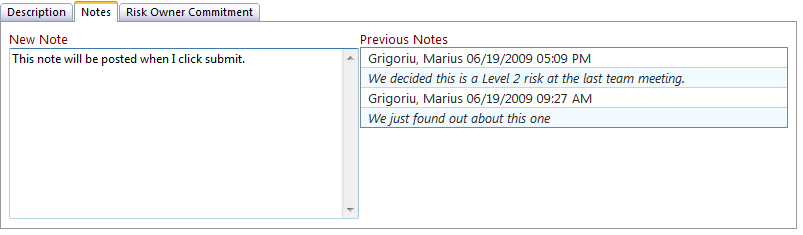


Figure : Risk Notes

### Incident Log

The incident log can be used to record information about each realization of a risk. The table displayed when switching to the Incident Log shows a summary of the existing incidents. The table can be sorted by clicking on the desired column heading. Clicking details will reveal the full description of the incident. To record a new incident for the risk, click the *Submit New Incident* button. Users must then summarize the incident with a short title and can provide full details in the description.

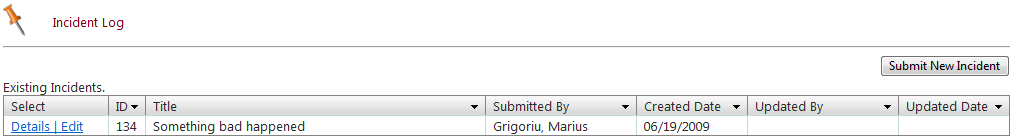


Figure : Incident Log

### Risk History

Risk Tracker records all changes made to each risk. It is possible to see who, when, what was changed, and the original values that were overwritten.

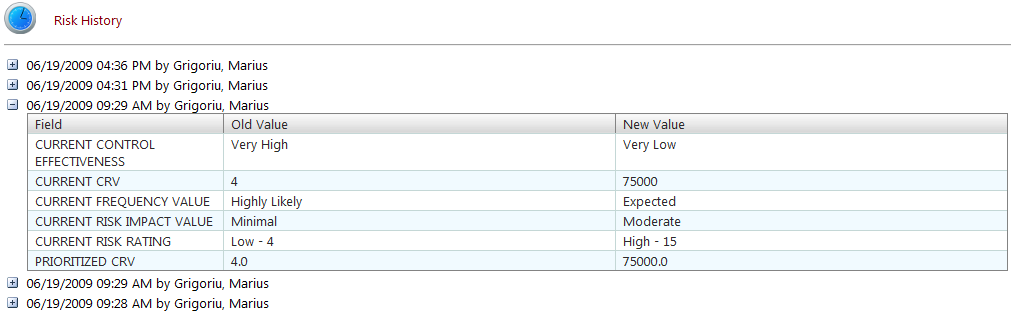


Figure : Risk History

### Task Information

The Task Information tab is a quick way to document a set of steps to be taken on a risk without navigating to the task management side of the application. Users can enter information for many risks at once. Click *Add* to save a row to the table. Click *Edit* for in-line editing of task information. Users may *Delete* a task before it has been permanently committed to the server by clicking *Save Tasks* under the table. Additional information may be captured on tasks through the task management pages.

Steps to add tasks:

1. Begin by entering task information
2. Click *Add* to add the task information to the list
3. Repeat steps 1 and 2 until all tasks have been added
4. Optionally click *Delete* to remove any tasks that have not yet been committed
5. Click *Save Tasks* located **below the list of tasks** to save the task information

If *Save Tasks* is clicked before clicking *Add* on a task, the task information will be lost.

If *Save Tasks* is not clicked tasks information will be lost when the user leaves the page. If *Submit* is clicked at the top of the page, unsaved tasks will be lost.

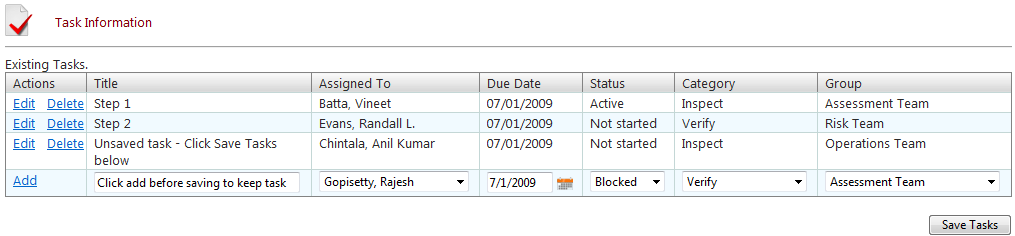


Figure : Task Information Table

## Task Management

With the task management module users can assign tasks, receive email notifications, and perform administrative functions. All tasks must be assigned to one and only one person and risk.

### 

### View Tasks

The view tasks page lets users run simple searches against tasks. Only one search term may be used at a time. The user interface lets users pick which field to search by and lists relevant operators for each field. Users must enter a search value – it is not possible to search for all tasks by leaving the value blank. Additionally, tasks that are not in the *Active* state can be filtered out with the checkbox *Only display active tasks.*

After a search is run a table will display the results. Click on a column heading to change the sort order. Clicking on the underlined Risk Title will take the user to the associated Risk Details page. Clicking on *Edit* or the Task Title will show the Task Details page where more information about the task can be entered.

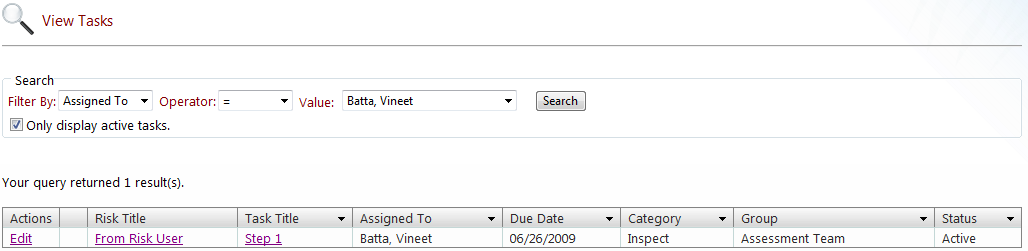


Figure : View Tasks Page

### Task Details Page

The Task Details page reveals all data about a single task. Since all tasks must be linked to a risk, it is possible to load the Risk Details page. Please refer to your business process documentation on how to use the data on this page in accordance with established process.

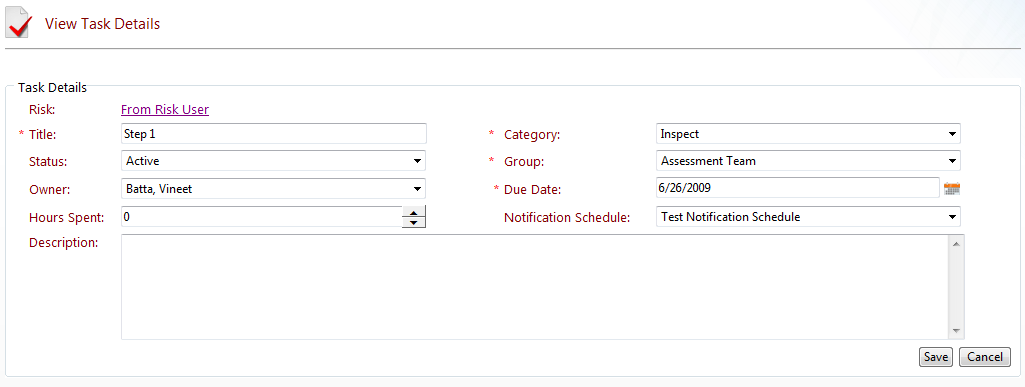


Figure : Task Details Page

### Task Notifications

Risk Tracker includes a notification engine that sends emails according to notification schedules set per task. A notification schedule is a collection of notifications, each of which defines when the notification is sent, the recipient, and content. Notification settings can be changed by the Task Administrator. At no time will a user receive more than one email from Risk Tracker per day. Risk Tracker will combine multiple emails messages into a single notification and send it at the end of the day.

### Task Administration Functions

#### Manage Task Groups and Manage Task Categories

The Manage Task Groups and Manage Task Categories page gives Task Administrators the power to modify the contents of the task dropdown boxes. Values can be added, renamed, and deleted. When a value is renamed, the change is applied to all tasks that have that value selected. When a value is deleted, any tasks affected will require a new selection to be applied next time any user wants to save changes to the task details. The old value will be used for reporting until the new one is selected.

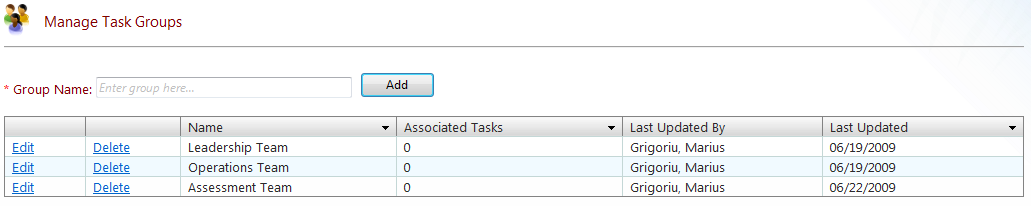


Figure : Manage Task Groups Page

#### Manage Notification Contents

The Manage Notification Contents page is where notification contents are created. Risk Tracker supports notification content in HTML or plaintext format. Notification content may be written in only one format.

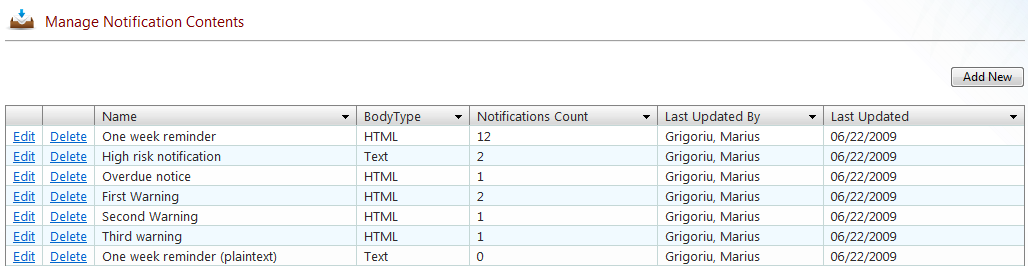


Figure : Manage Notification Contents Page

Delete a notification template by clicking on *Delete*. It is not possible to delete notification content that is in use. This is indicated when notification count is greater than zero.

To create new notification content click *Add New*. A dialog will open where the name and body can be set. When writing HTML content, the interface works like a rich text editor. All formatting must be done with the toolbar commands. Content can also be written in an external editor like Word and pasted into Risk Tracker. When content is pasted into Risk Tracker from another source embedded objects such as images will not appear. The notification body will be appended to a system defined header. Please contact the system administrator to modify this header through the system back-end.

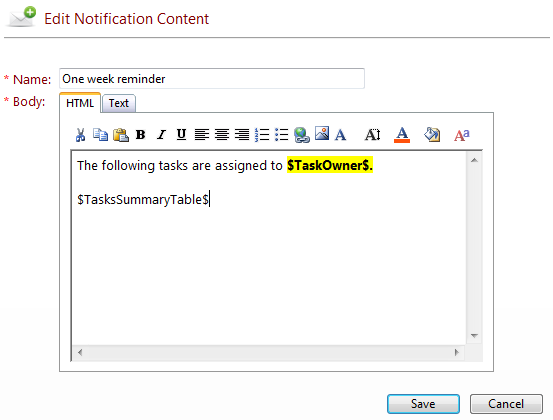


Figure : Editing Notification Content

Risk Tracker can dynamically insert data into the body of a notification. To specify where insert this data click on  in the toolbar. Risk Tracker currently supports two tags:

**$TaskOwner$** -- will insert the name of the owner of the task that triggered the notification

**$TasksSummaryTable$** -- will insert a table of all open tasks owned by same owner as the task that triggered the notification

Click *Save* to keep changes and close the window. Content will be saved as either HTML or text depending on which tab was active.

#### Manage Notification Schedules

Notification schedules are collections of notifications. Each notification that is assigned to a schedule can have a different trigger condition, content, and recipients. The default notification schedule is applied to all new tasks when the tasks are first created. Users may create new notification schedules, edit existing ones, and delete them if not in queue to be sent. When the task count for a notification is greater than zero it is in the queue.

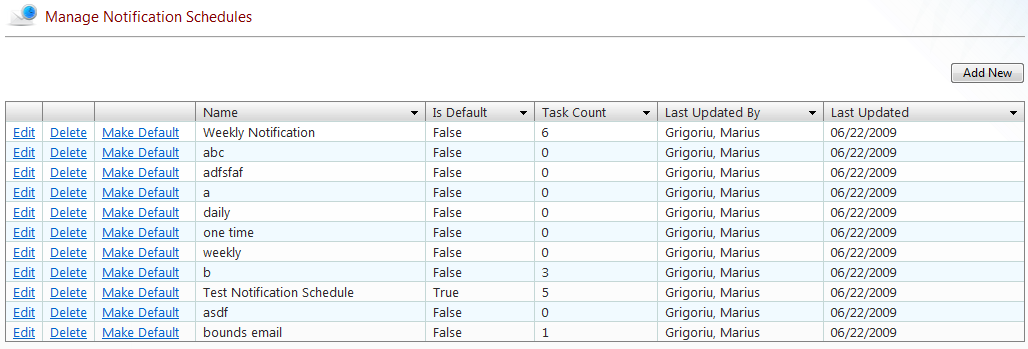


Figure : Manage Notification Schedules Page

Click *Add New* or *Edit* to begin working with a notification schedule. Assign a name and individual notifications to the schedule.

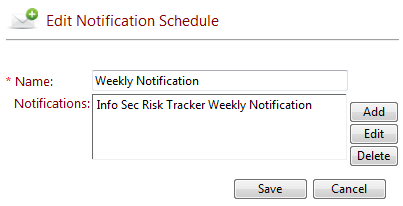


Figure : Editing a Notification Schedule

Click *Add* or select an individual notification and click *Edit* to set trigger conditions, recipients, and content to be sent.

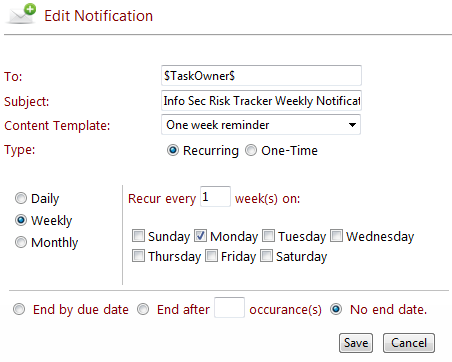


Figure : Edit Notification Window

Notifications may be sent to the task owner by selecting **$TaskOwner$** or to a direct recipient by typing the full email address. The content template dropdown lists the different notification message bodies that are defined from the *Manage Notification Contents* page. Recurring notifications are scheduled from the time the task is created until the end condition is met. One-time notifications revolve around the task due date and can be send before or after the due date. To send a message on the due date of a task set the notification to send 0 days before the due date.

# Reporting

Reporting in Risk Tracker 1.0 is accessed by pointing Excel directly to the data analysis cube. An Excel workbook with all the necessary settings is available from the application menu on the right side of the Risk Tracker pages. Please contact your administrator for access to the cube. The Excel workbook can be modified by anyone and saved to a local folder to load custom reports at any time. Since reporting is done through Excel it is very versatile and requires little additional knowledge beyond Excel. The following sections provide some basic guidance on how to use the default reporting workbook that ships with Risk Tracker.

To get started with the reporting workbook, you must allow data connections. By default, Excel display a security warning when the workbook is first opened. Anytime you want to refresh the data in Excel click the *Refresh* button under the *Data* tab in the ribbon.

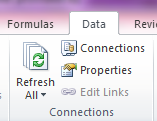


Figure : How to Refresh Data in Excel

## Risk Rating Report

The default workbook has two tabs: Risk Rating Report and Risk Table Report. The Risk Rating Report consist of a pivot table and chart that shows the number of risks distributed according to any combinations of dimensions users drag together. By default, closed risks are not included, but may be added by changing the filter settings for Risk Status. To customize reports click on the table or chart to display the field list then drag fields as filters, column labels, or row labels. Drill down into data by expanding interesting categories within the table. As the table and chart become cluttered by zooming in, use filters to remove unwanted data and clean up the report.

## Risk Table Report

The Risk Table report is a database dump of all risks stored in Risk Tracker. Use Excel features to filter, sort, and search through the table to find the exact set of risks desired. This can be used to perform advanced searching through the database until the ability is added on the web page. Any risk fields that support multiple value selections (such as Business Group) will have all selected values concatenated into a since cell and separated by a semicolon delimiter.