Advance Synergy Berhad (ASB) User Guide Risk Management – Business Risk (ADMIN)

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System Login

Type EMS.Net URL shown in Figure 1.0 → Enter Username and Password → Click Login button. Figure 1.1 will appear in your browser.

Figure 1.0: Login window

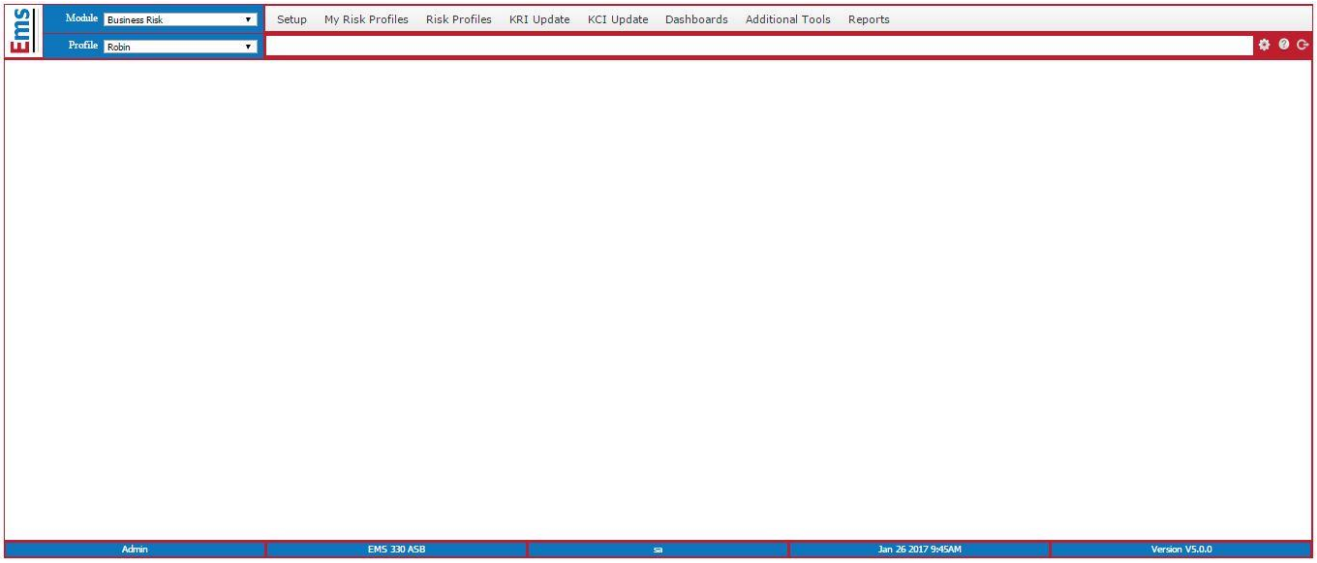

Figure 1.1: Default page window

Tier-3 Profiles

Click on **Risk Profiles → Tier-3 Profiles** from the menu. The browser will display the Tier-3 Profiles as shown in figure 2.0.

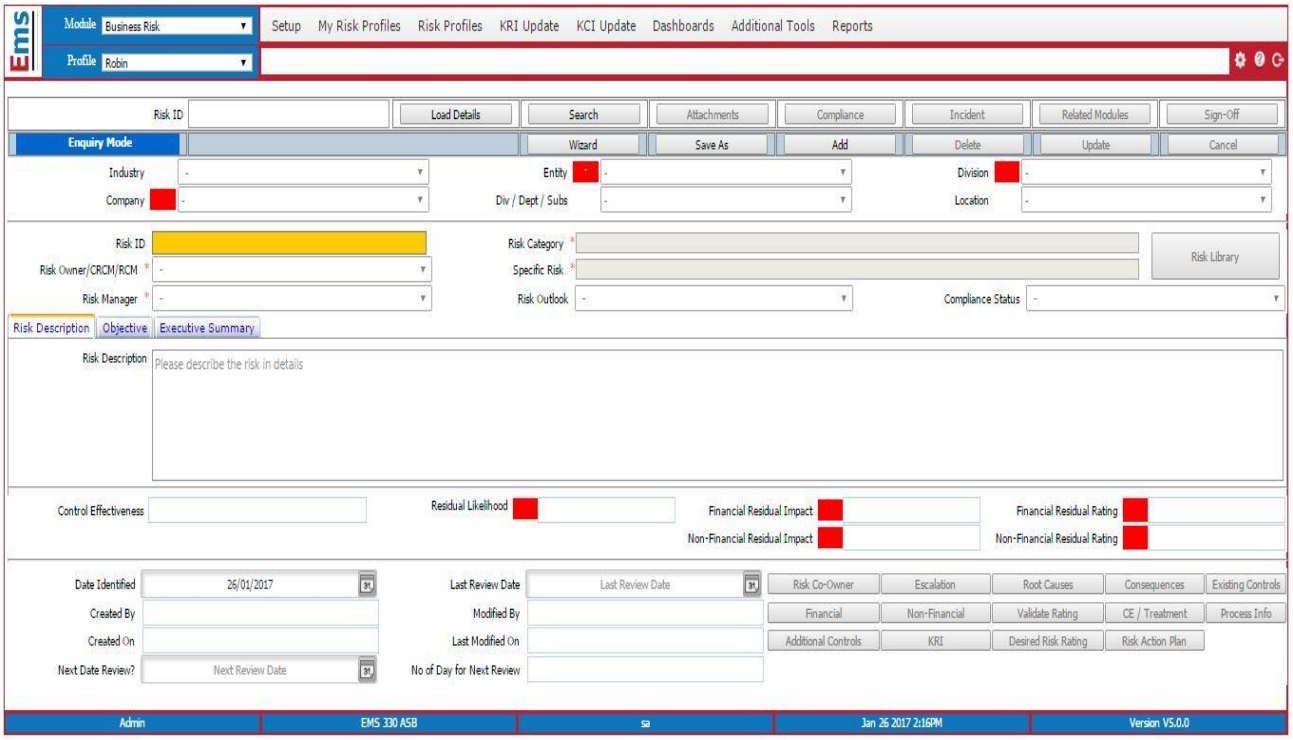

Figure 2.0: Tier-3 Profiles

To load the profile detail

Click on the **Search** button of the profile to be loaded as shown in figure 2.1. Scroll up-down for more profiles. Proceed to click on the desired risk profile as shown in figure 2.2.

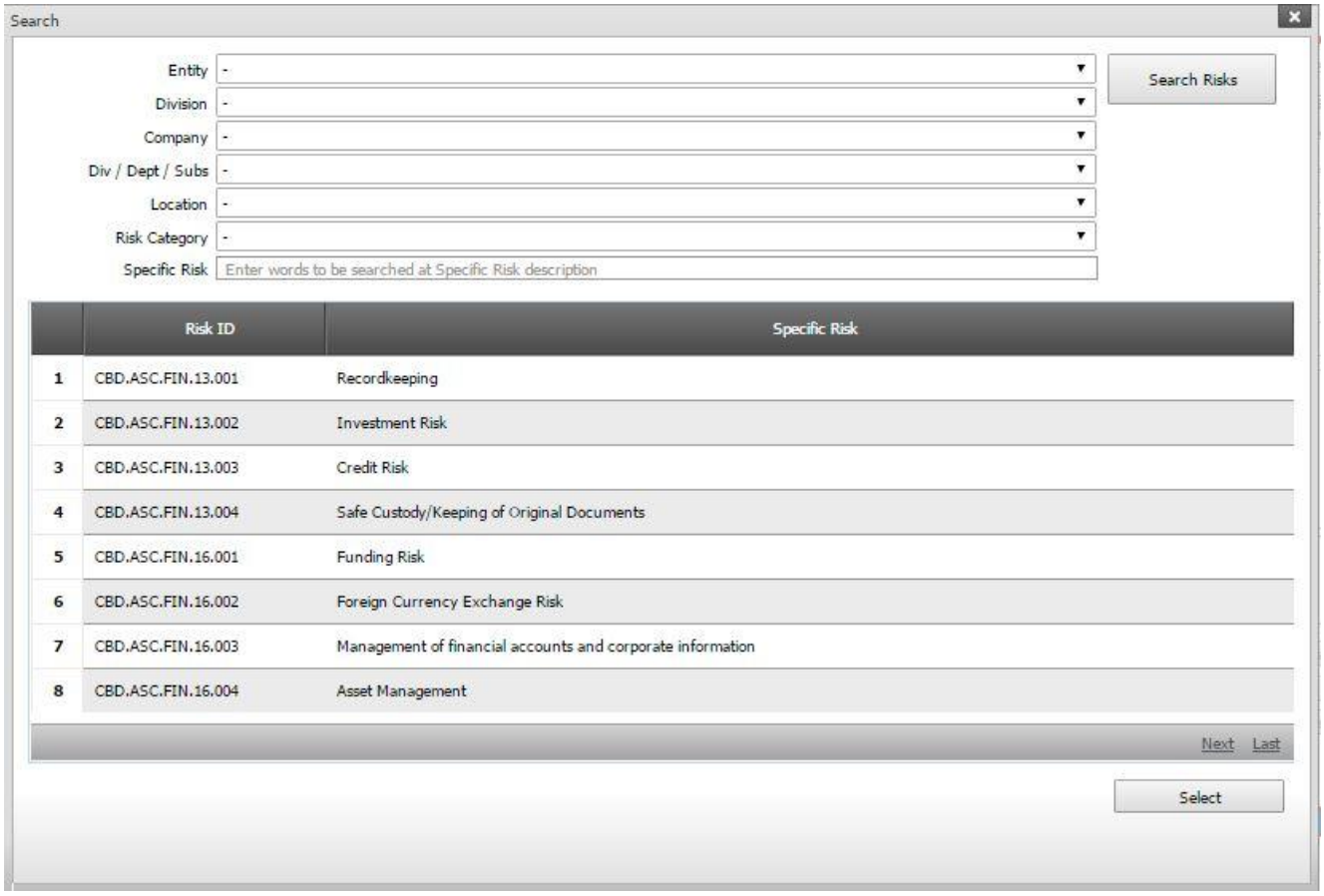

Figure 2.1: Tier-3 Profile – Search Window

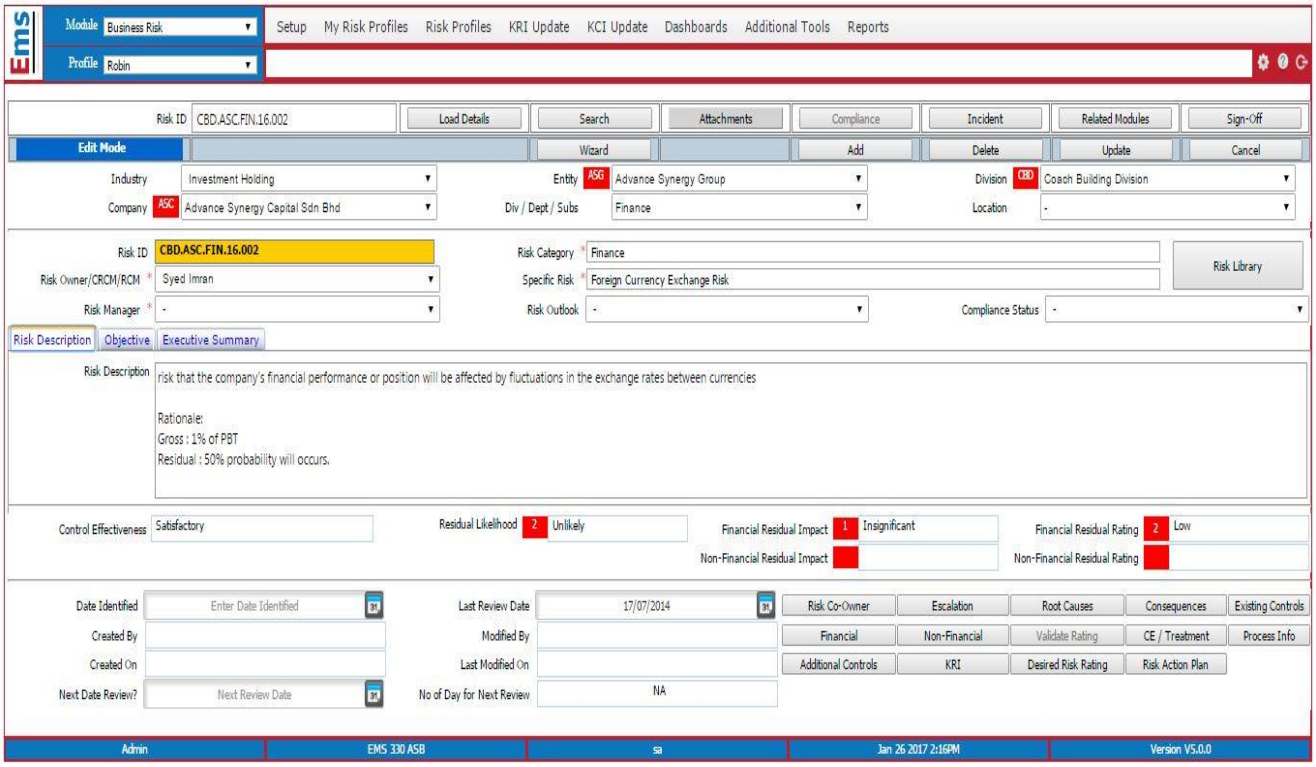

Figure 2.2: Tier-3 Profile details

Select details from the 'Industry', 'Div/Dept/Subs', 'Location', and 'Risk Officer/CRCM/RCM' dropdown lists that is applicable to the Risk Profile and click on the **'Update'** button.

To add a new profile

Click on the 'Add' button to add new Risk Profile.
A pop out window to generate the risk ID will appear as shown in Figure 2.3

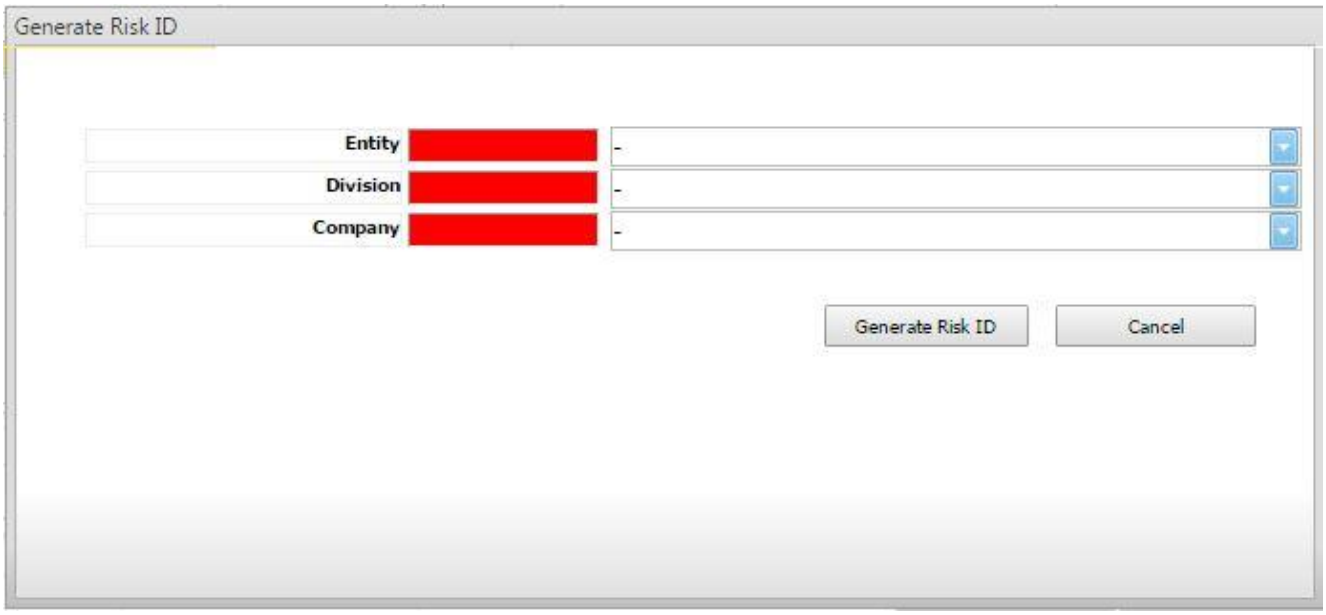

Figure 2.3: Generate Risk ID Pop out Window

Select the applicable information from the dropdown lists and click the 'Generate Risk ID' button to generate the risk ID. The information should reflect where the Risk Register is applicable in the organization's structure. A dialog box will appear asking for confirmation on the creation of the Risk ID. Click the 'OK' button to proceed or 'Cancel' button to amend the selected information. Click on the 'Update' button to save the Risk Profile.

Click on the '**Risk Library**' button. A pop out window will appear displaying a list of pre-defined Risk Category and Specific Risk as shown in Figure 2.4.

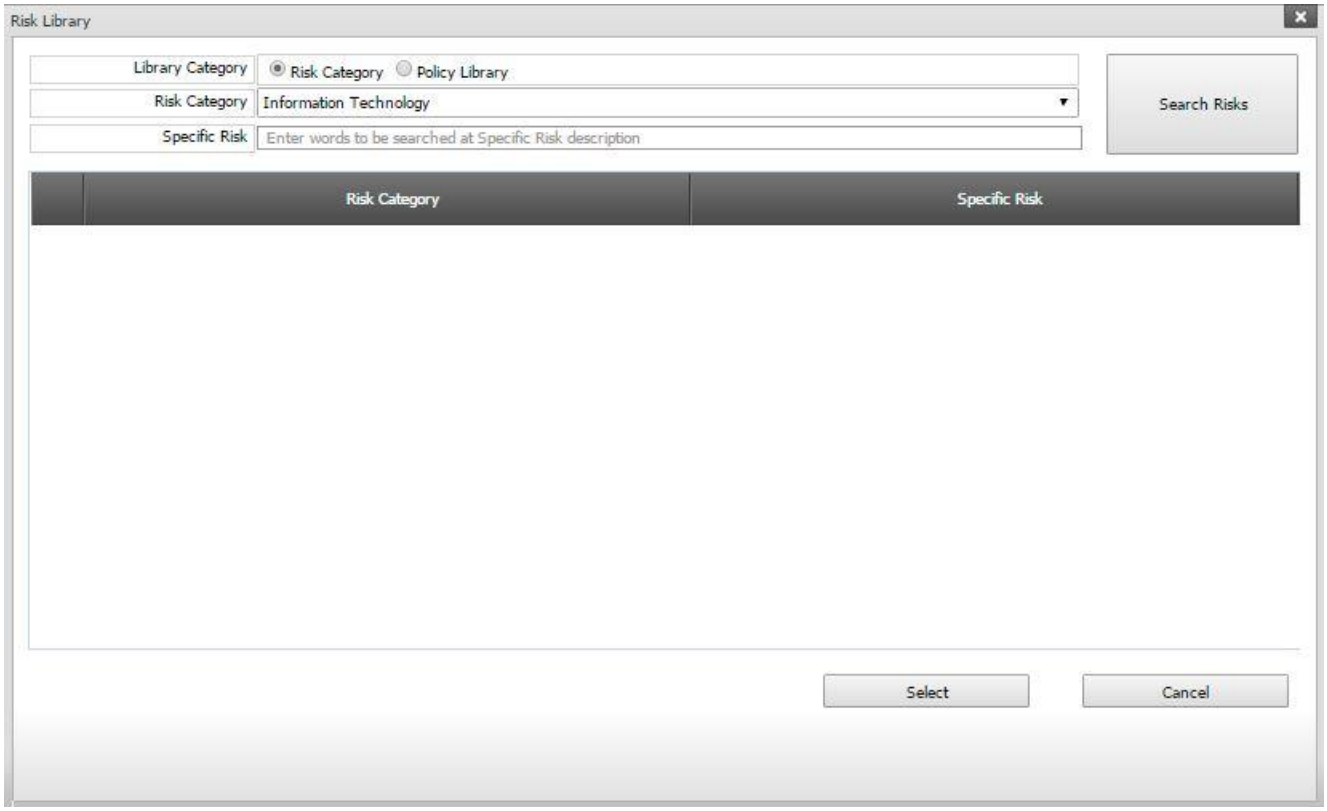

Figure 2.4: Risk Library Pop out Window

Field	Description
Risk ID	A unique system generated ID for the risk
Industry	Industry refers to which the risk profiles will be consolidated to. Select the industry from the dropdown list where the risk occurs.
Entity	Entity refers to the Group or Holding company with which the risk profiles will be consolidated to. This is also refers to Tier-1 in the pyramid build-up. Select the entity from the dropdown list where the risk occurs.
Division	Division within ASB. Select from the dropdown list where the risk occurs.
Company	Company within ASB. Select from the dropdown list where the risk occurs.
Div/Dept/Subs	Div/Dept/Subs within ASB Company. Select from the dropdown list where the risk occurs.
Location	This is the geographical location of where the risk happens. Select the location from the dropdown list where the risk occurs.
Risk Owner/CRCM/RCM	Risk Owner/CRCM/RCM is the primary person responsible for the risk. Select the user responsible for the risk from the dropdown list.
Risk Manager	Risk Manager is the person who will manage the whole risk from risk owner
Risk Category	A risk can be further categorized into broader risk area at which you can be easily identified with other similar profiles within the category. For example, remuneration, competency gap and payroll risks can all be categorized under Human Resource Broad Risk. Select the Broad Risk from the dropdown list where this profile can be grouped into.
Specific Risk	The specific risk's short description
Risk Outlook	Is either the risk is occur before or not
Compliance Status	Is either comply or not comply
Risk Description	You can further describe about the risk in detail.
Objective	You can explain more about the objective for each risk.

Executive Summary	You can briefly describe the risk for the higher management view.
Control Effectiveness	Control Effectiveness for respective risk.
Residual Likelihood	Select the quantify likelihood parameter.
Financial Residual Impact	When use in conjunction with Tier-3 parameter, the area of impact will be automatically selected based on the Tier-3 parameter setup. When no Tier-3 parameter is selected, you need to manually select the area of impact from the dropdown list.
Financial Residual Rating	The application will automatically determine the appropriate rating based on the 5 x 5 Matrix setup.
Non-Financial Residual Impact	When use in conjunction with Tier-3 parameter, the area of impact will be automatically selected based on the Tier-3 parameter setup. When no Tier-3 parameter is selected, you need to manually select the area of impact from the dropdown list.
Non-Financial Residual Rating	The application will automatically determine the appropriate rating based on the 5 x 5 Matrix setup.
Date Identified	This refers to the date when the risk profile is being identified.
Last Review Date	Enter the last review date of the profile by the Risk Owner.
Created By	This refer to the person who creates the risk profile.
Modified By	This refers to the person who modified the risk profile.
Created On	This refers to the date when the risk profile is created.
Last Modified On	This refers to the date when the risk profile is being modified.
Next Date Review?	This refer to the date of next review of the risk.
No of Day for next review	Will automatically calculate number of days remaining for the next review.

Click on the Search/Filter function to Search or Filter the displayed information. The list will display the information accordingly to the Search or Filter text.

Click on any row of the information displayed and click on the ‘Select’ button. The pop out window will be closed and the selected information will be displayed in the ‘Specific Risk’ and ‘Risk Category’ text box accordingly.

Click on the ‘**Escalation’** button. A pop out window will appear as shown in Figure 2.5

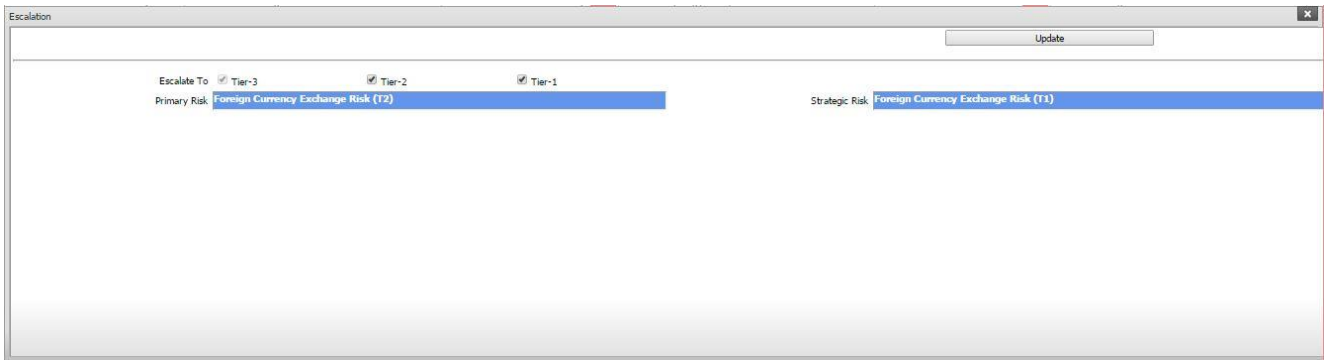

Figure 2.5: Escalation Window

Field	Description
Escalate-to	Determine if this risk profile is to be escalated to Tier-2 and Tier-1. The risk profile may remain at Tier-3 if the outcome of the risk has no significant impact to the company or entity.
Primary Risk	The risk register will be under this name when it is escalated to Tier-2.
Strategic Risk	The risk register will be under this name when it is escalated to Tier-1.

Enter Escalation information and click the 'Update' button in the pop out window.
A message box will appear notifying the user that the Escalation has been added and the information in the pop out window will be updated with the Escalation entered earlier.

Click on the '**Risk Co-Owner**' button. A pop out window will appear as shown in Figure 2.6.

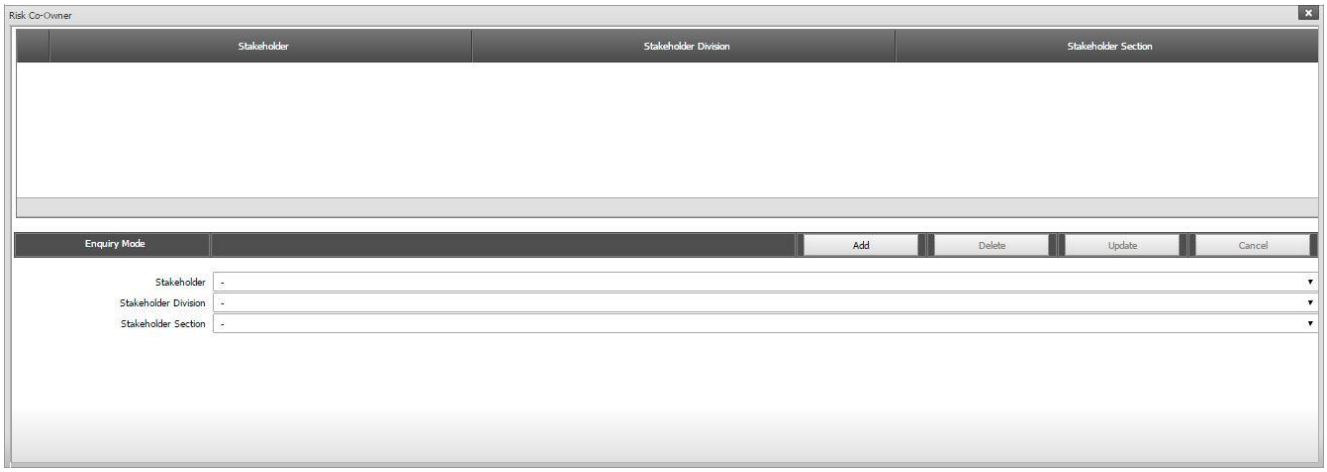

Figure 2.6: Risk Co-Owner Window

Click on the 'Add' button in the pop out window and enter Risk Co-Owner information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Risk Co-Owner have been added and data grid in the pop out window will be updated with the Risk Co-Owner entered earlier.

Field	Description
Stakeholder	Stakeholder are the people who have influence over the contents of the risk though it is not the primary stakeholder. Select the Stakeholder of the risk from the dropdown list. You may have multiple Stakeholder for one profile.
Stakeholder Division	This is the division or department where the Stakeholder belong to. Click on the dropdown list to select the division.
Stakeholder Section	This is the section where the Stakeholder belong to. Click on the dropdown list to select the section.

Click on the '**Root Causes**' button. A pop out window will appear as shown in Figure 2.7.

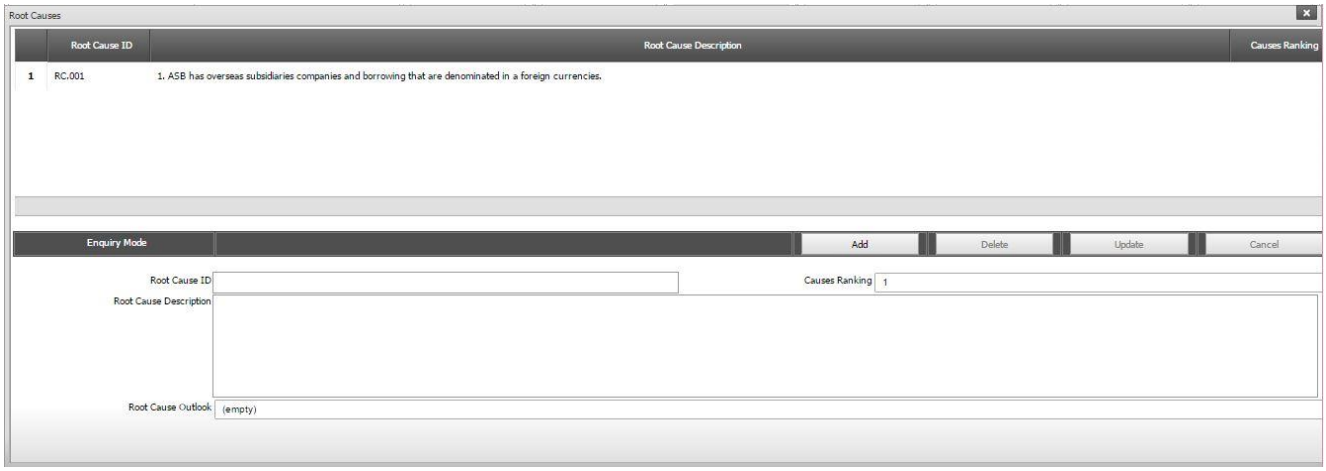

Figure 2.7: Root Causes Window

Click on the 'Add' button in the pop out window.
Enter Root Causes information and click the 'Update' button in the pop out window.
A message box will appear notifying the user that the Root Causes have been added and data grid in the pop out window will be updated with the Root Causes entered earlier.

Field	Description
Root Cause ID	This refers to the key to the profile that will be automatically filled in for you.
Causes Ranking	The priority of the root cause
Root Cause Description	What Root Causes the risk to happen? Describe the Root Causes here.
Root Cause Outlook	Either Actual or Potential.

Click on the '**Consequences**' button. A pop out window will appear as shown in Figure 2.8.

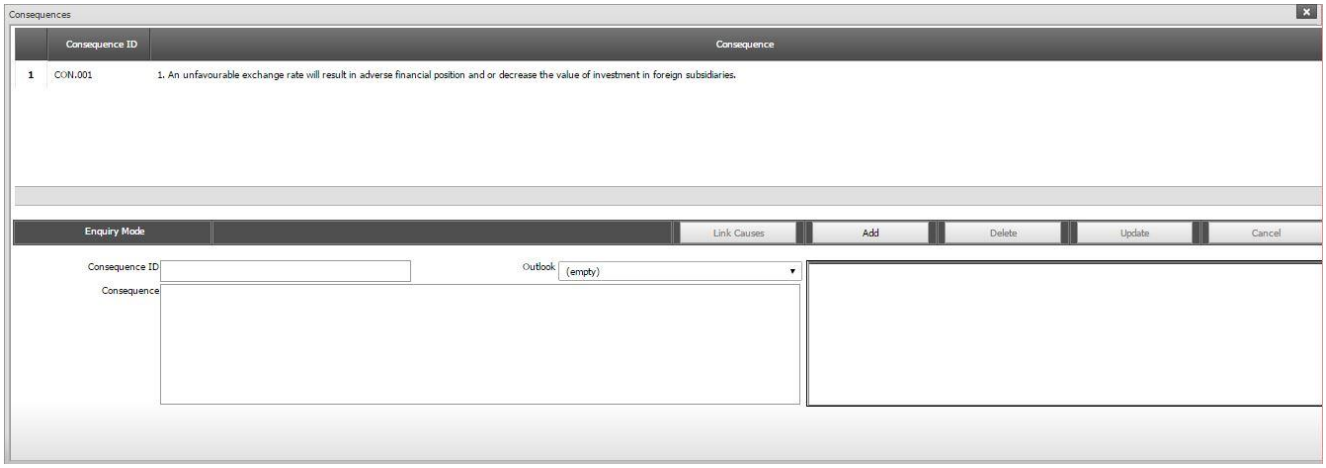

Figure 2.8: Consequences Window

Click on the 'Add' button in the pop out window.
Enter Consequence information and click the 'Update' button in the pop out window.
A message box will appear notifying the user that the Consequence have been added and data grid in the pop out window will be updated with the Consequence entered earlier.

Field	Description
Consequences ID	This refers to the key to the profile that will be automatically filled in for you.
Consequence	What are the consequences when it happens? Describe the consequences when the risk happens.
Outlook	Either Actual or Potential.

Click on the '**Existing Controls**' button. A pop out window will appear as shown in Figure 2.9.

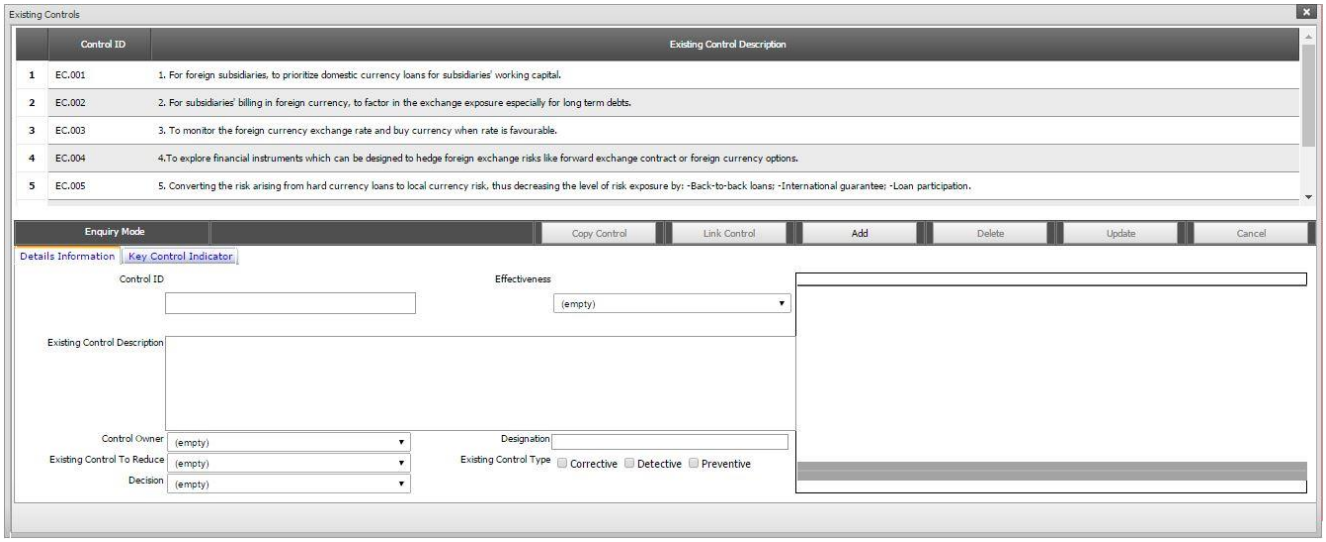

Figure 2.9: Existing Controls Window

Click on the 'Add' button in the pop out window. Enter Existing Control information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Existing Control has been added and data grid in the pop out window will be updated with the Existing Control entered earlier.

Field	Description
Control ID	This refers to the key to the profile that will be automatically filled in for you.
Control Owner	The person responsible for the control above. Select the person responsible for the control from the dropdown list.
Existing Control Description	Enter the description of the current controls in place
Existing Control Type	The type of controls. For example, preventive, detective and corrective. Click on the dropdown list to pick your selection.
Effectiveness	Rate the effectiveness of the current controls. Click on the dropdown list to pick your selection.
Existing Control To Reduce	An indicator for which the controls put in place is to reduce the level of likelihood of it happening or

	to reduce the magnitude of impact. Click on the dropdown list to pick your selection.
Decision	Decision to be made for each control.
Designation	Define the designation of Control Owner.

Click on the '**Financial**' button. A pop out window will appear as shown in Figure 2.10.

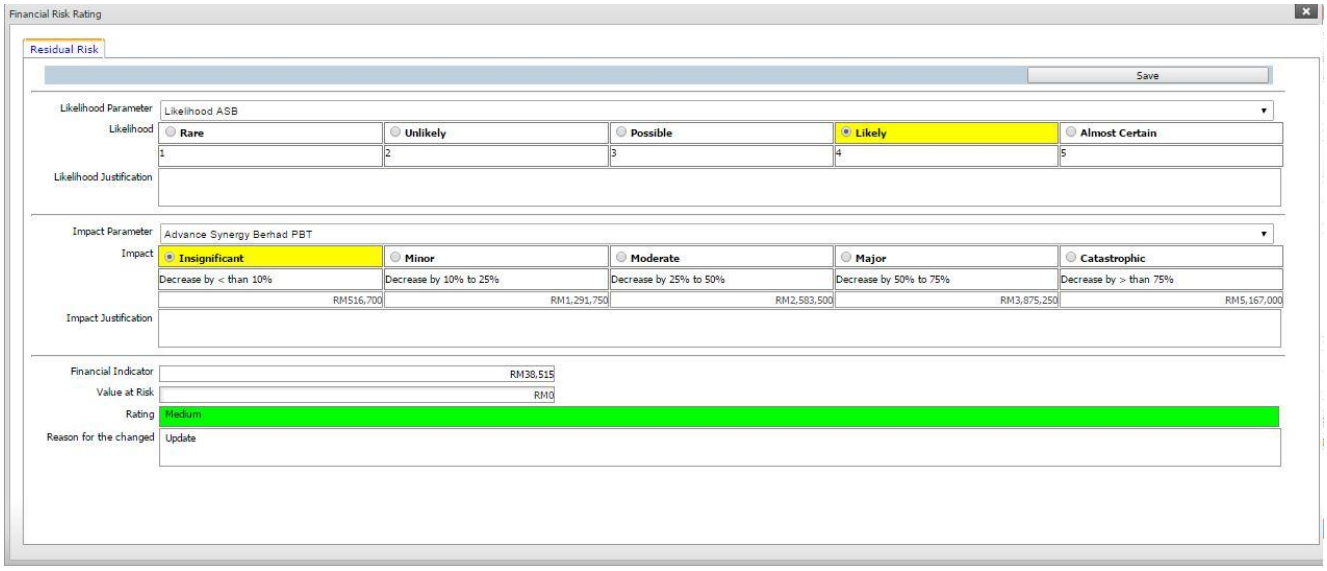

Figure 2.10: Financial Window

Select desire Likelihood Parameter, Likelihood, Impact parameter and Impact. Enter the financial information. Click on the 'Save' button to save the Financial information. A message box will appear notifying the user that the Financial has been added and data grid in the pop out window will be updated with the Financial entered earlier.

Field	Description
Likelihood Parameter	Select the likelihood affected by the risk
Likelihood	Likelihood after control(s) is implemented
Likelihood Justification	Justify why likelihood been selected

Impact Parameter	Select the impact affected by the risk
Impact	Impact after control(s) is implemented
Impact Justification	Justify why impact been selected
Financial Indicator	To calculate impact rating
Value at Risk	Value at risk for each rating
Rating	To populate the risk matrix
Reason for the changed	Any changes made should briefly justify here

Click on the **'Non-Financial'** button.A pop out window will appear as shown in Figure 2.11.

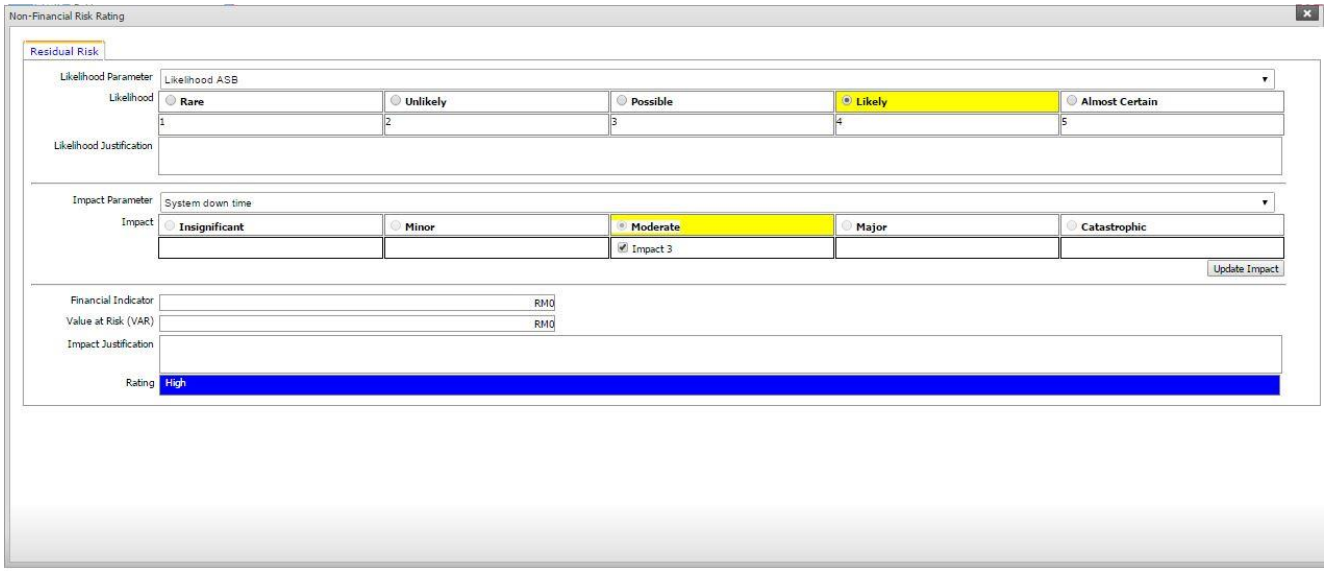

Figure 2.11: Non-Financial Window

Select desire Likelihood Parameter, Likelihood, Impact parameters and Impact. Enter the non-financial information. Click on the 'Save' button to save the Non-Financial information. A message box will appear notifying the user that the Non-Financial has been added and data grid in the pop out window will be updated with the Non-Financial entered earlier.

Field	**Description**
Likelihood Parameter	Select the likelihood of the chosen parameter affected by the risk

Likelihood	Likelihood after control(s) is implemented
Likelihood Justification	Justify why likelihood been selected
Impact Parameter	Select the impact of the chosen parameter affected by the risk
Impact	Impact after control(s) is implemented
Financial Indicator	To calculate impact rating
Value at Risk (VAR)	Value at risk for each rating
Impact Justification	Justify why impact been selected
Rating	To populate the risk matrix

Click on the '**CE/Treatment**' button. A pop out window will appear as shown in Figure 2.12

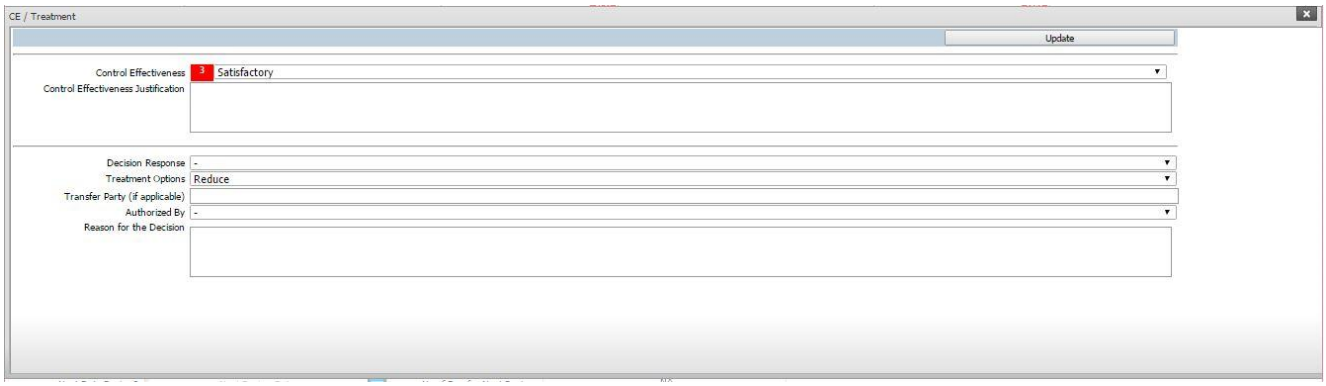

Figure 2.12: CE/Treatment Window

Enter Control Effectiveness and Treatment information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Control Effectiveness and Treatment has been added and information in the pop out window will be updated with the Control Effectiveness and Treatment entered earlier.

Field	**Description**
Control Effectiveness	Rate the effectiveness of the control

Control Effectiveness Justification	Justify the chosen effectiveness rate for the control
Decision Response	Action or decision on how to mitigate the risk
Treatment Option	Treatment option of each control effectiveness
Transfer Party (If applicable)	If the decision taken is “Transfer-on”, you need to further select the “Transfer-on” type.
Authorized By	Select the person authorizes the decision.
Reasons for the decision	Describe the reasons why such a decision was made.

Click on the '**Process Info**' button. A pop out window will appear as shown in Figure 2.13

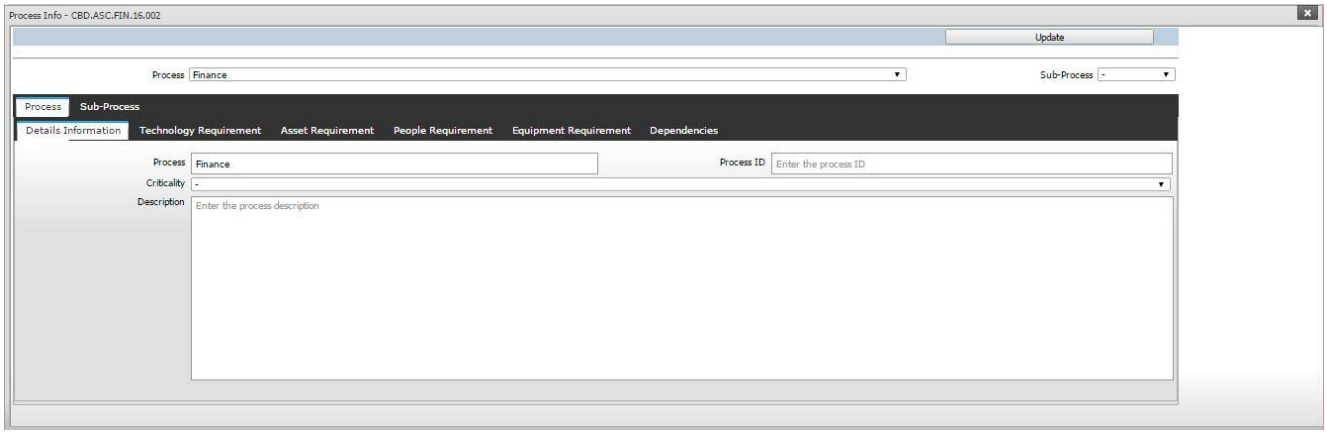

Figure 2.13: Process Info Window

Enter Process and Sub-Process information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Process and Sub-Process has been added and information in the pop out window will be updated with the Process and Sub-Process entered earlier.

Field	Description
Process	Process short description.
Process ID	The unique ID for each process
Criticality	The level of criticality for each process
Description	Brief the description for each process

Click on the '**Additional Controls**' button. A pop out window will appear as shown in Figure 2.14.

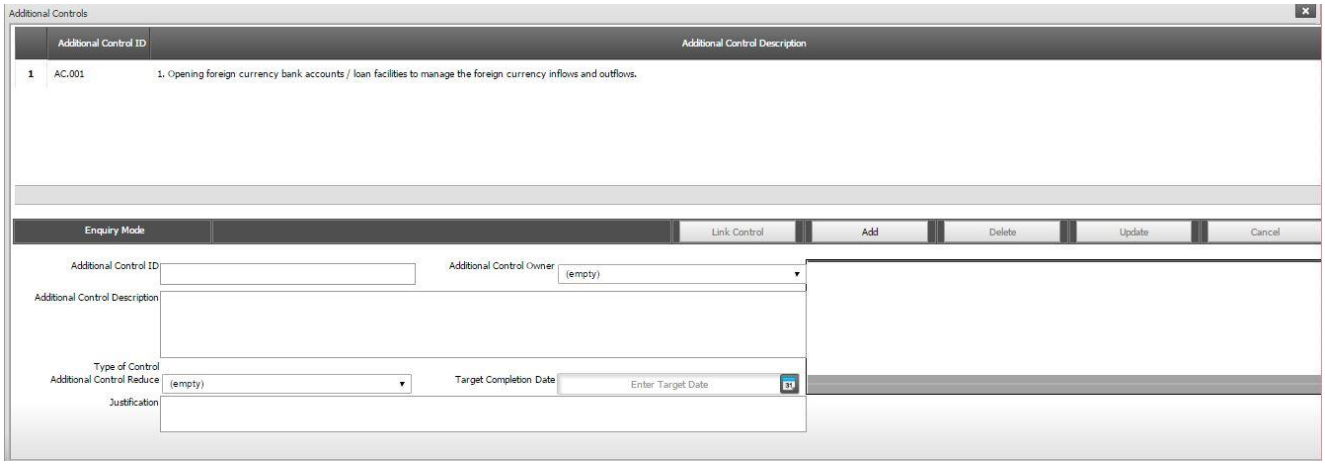

Figure 2.14: Additional Controls Window

Click on the 'Add' button in the pop out window. Enter Additional Controls information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Additional Controls has been added and data grid in the pop out window will be updated with the Additional Controls entered earlier.

Field	Description
Additional Control ID	The unique ID for each process
Additional Control Owner	Name of the owner for each Additional Control
Additional Control Description	Brief the description for each Additional Control
Type of Control Additional Control Reduce	Select which control to reduce
Target Completion Date	Select the date for the additional control to complete
Justification	Brief the additional control

Click on the '**KRI**' button. A pop out window will appear as shown in Figure 2.15.

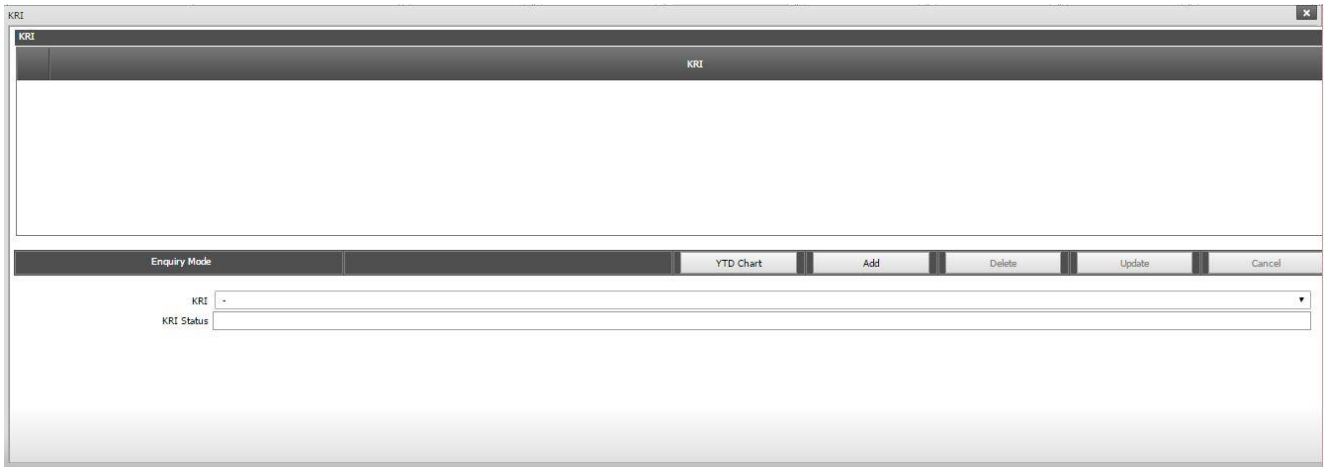

Figure 2.15: KRI Window

Click on the 'Add' button in the pop out window. Enter KRI information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the KRI has been added and data grid in the pop out window will be updated with the KRI entered earlier.

Field	Description
KRI	Name of the KRI
KRI Status	Status of the KRI

Click on the **'Desired Risk Rating'** button. A pop out window will appear as shown in Figure 2.16

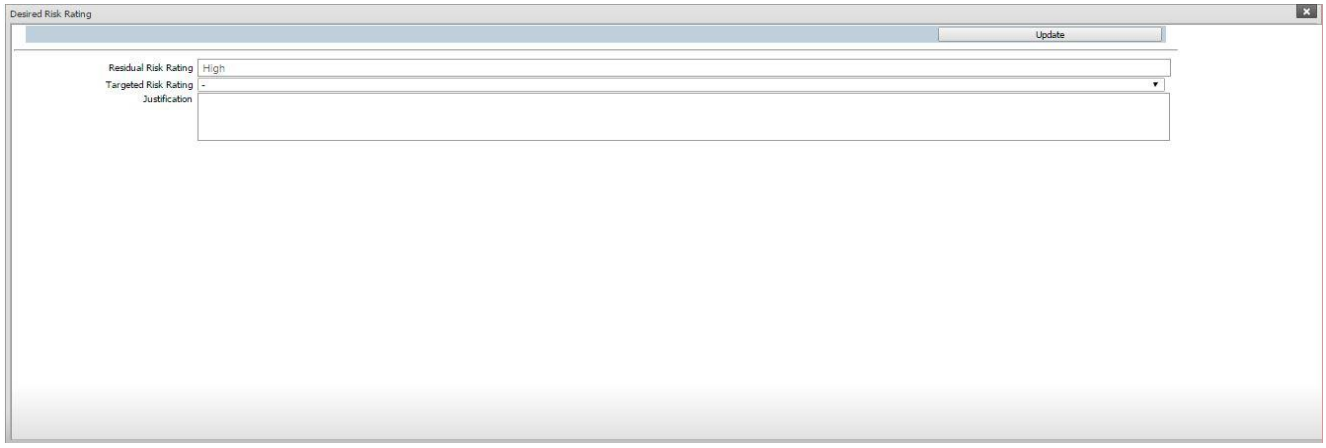

Figure 2.16: Desired Risk Rating Window

Enter Desired Risk Rating information and click the 'Update' button in the pop out window. A message box will appear notifying the user that the Desired Risk Rating has been added and information in the pop out window will be updated with the Desired Risk Rating entered earlier.

Field	Description
Residual Risk Rating	Rating at the present day
Targeted Risk Rating	Rating expected in the future
Justification	Justify the Desired Risk Rating.

To edit a profile

Edit or modify the field(s) and click **Update** Button. While modifying the **Escalation, Risk Co-Owner, Root Causes, Consequences, Existing Control, Financial, Non-financial, CE/Treatment, Process Info, Additional Controls, KRI and Desired Risk Rating** will be in its respective window and the data in the field(s) will be displayed according to the changes made.

To delete a profile

Click to select a risk profile from the list and click **Delete** Button. While deleting the **Escalation, Risk Co-Owner, Root Causes, Consequences, Existing Control, Financial, Non-financial, CE/Treatment, Process Info, Additional Controls, KRI and Desired Risk Rating** will be in its respective window. A dialog window will popup asking for confirmation from the user. Click on the **Ok** button to continue or the **Cancel** button to abort the deletion.

Figure 2.17: Click on OK to complete the deletion

To attach

Click on any row of the information displayed and click on the 'Select' button.
The pop out window will be closed and the selected information will be populated based on the selection earlier. Then, click on the Attachments button.
The Attachments window will be displayed as shown in Figure 2.18.

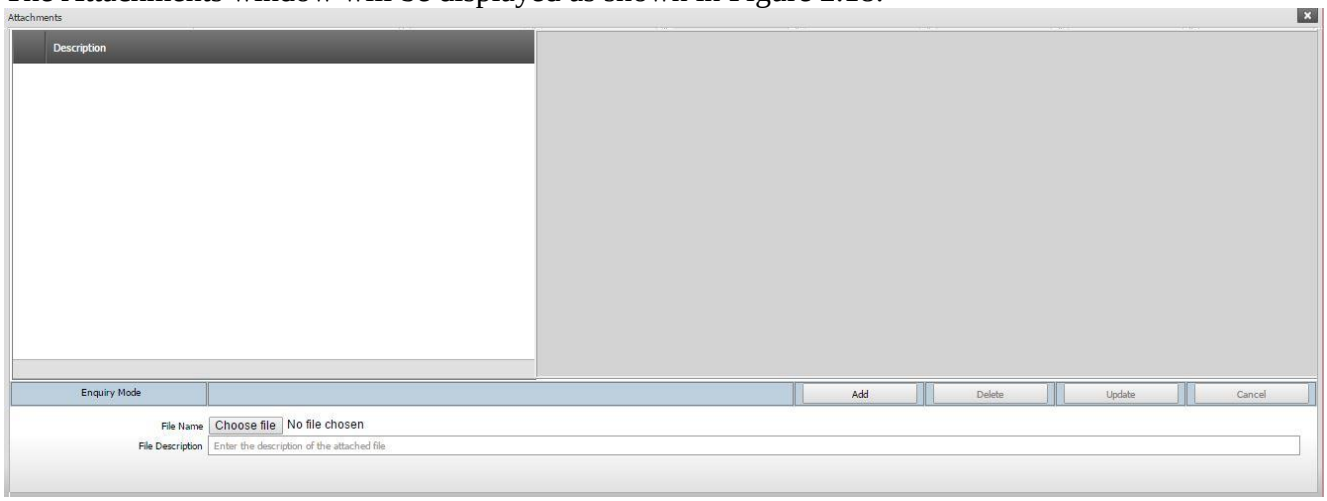

Figure 2.18: Attachment window

Click on the Add button.

Enter the description for the attachment and click on the Choose File button.
A window will pop up for the user to select the file to attach.
Choose file to be attached.
*The user should only choose 1 file at a time.
*The file size should be less than 100MB per attachment.

Click on the Update button. The document will be uploaded and it will appear on the list.

Click on the Select link in the list of attachments and click View button, a window will open for the user to view the document and if the user wishes to delete the attachment, click on the Delete button to delete an attachment. The attachment will be deleted and it will no longer appear on the list of attachments.

Field	Description
File Name	Name of the file want to be attached
File Description	Describing briefly about the attached file

To sign off

Click on any row of the information displayed and click on the 'Select' button. The pop out window will be closed and the selected information will be populated based on the selection earlier. Then, click on the Sign-off button and the Sign-off window will be displayed as shown in Figure 2.19.

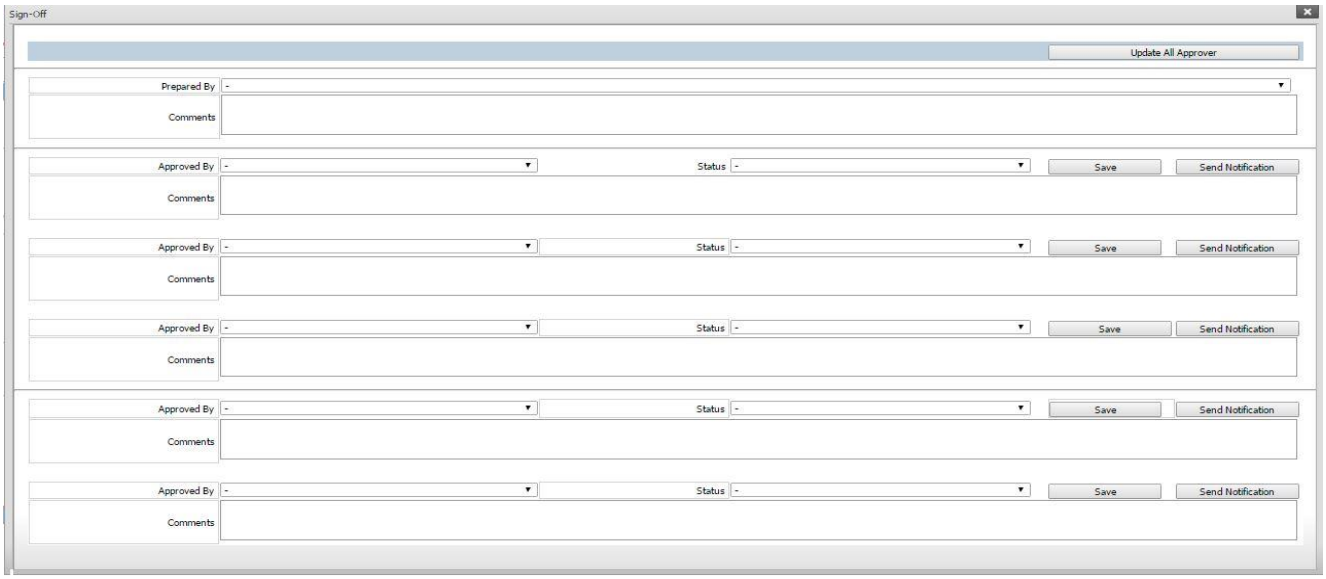

Figure 2.19: Sign-off window

In order to approve the risk profile, select the name from the dropdown list and place a comment in the textbox. Click the "**Send Notification**" button to save the status as well as to send email notification to the related person. A pop-up window will appear to notify that an email already has been sent to the approver as in Figure 2.16.

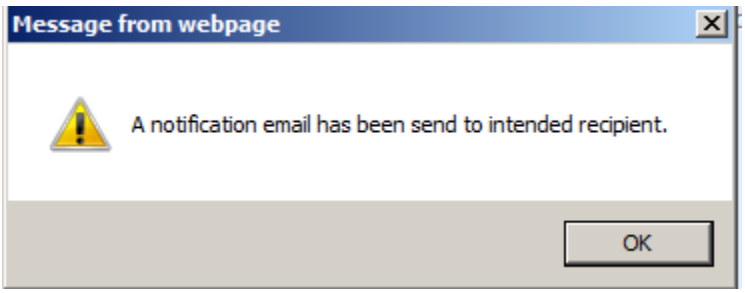

Figure 2.20: Notification email has been sent to intended recipient

The '**Send Notification**' button which comply with notification email only will be enabled for the first level of Risk Approver. The second '**Send Notification**' button will be enabled when the first level approver approved the risk profile at their level. The same process also apply to the third, fourth and fifth approver.

Action Plan

On the menu bar → click on **Risk Profiles → Action Plan.** Figure 3.0 will appear in your browser.

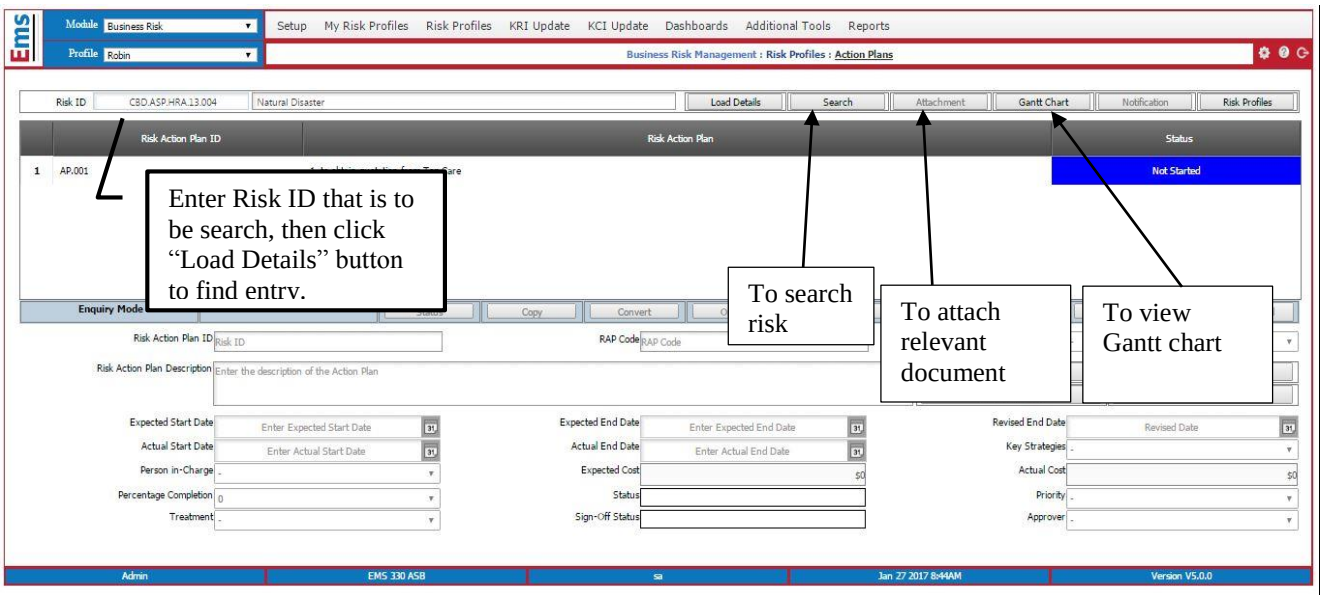

Figure 3.0: Action Plan

To load action plan details

Click on **Search** → insert risk category and specific risk **OR** click on **Search Risks** button to search the row of information in the list for the detail to be loaded. Scroll up-down for more risk profiles. Proceed to click on the **Select** shown in figure 3.1.

OR

Enter Risk ID that is to be search, then click **Load Details** button to find entry.

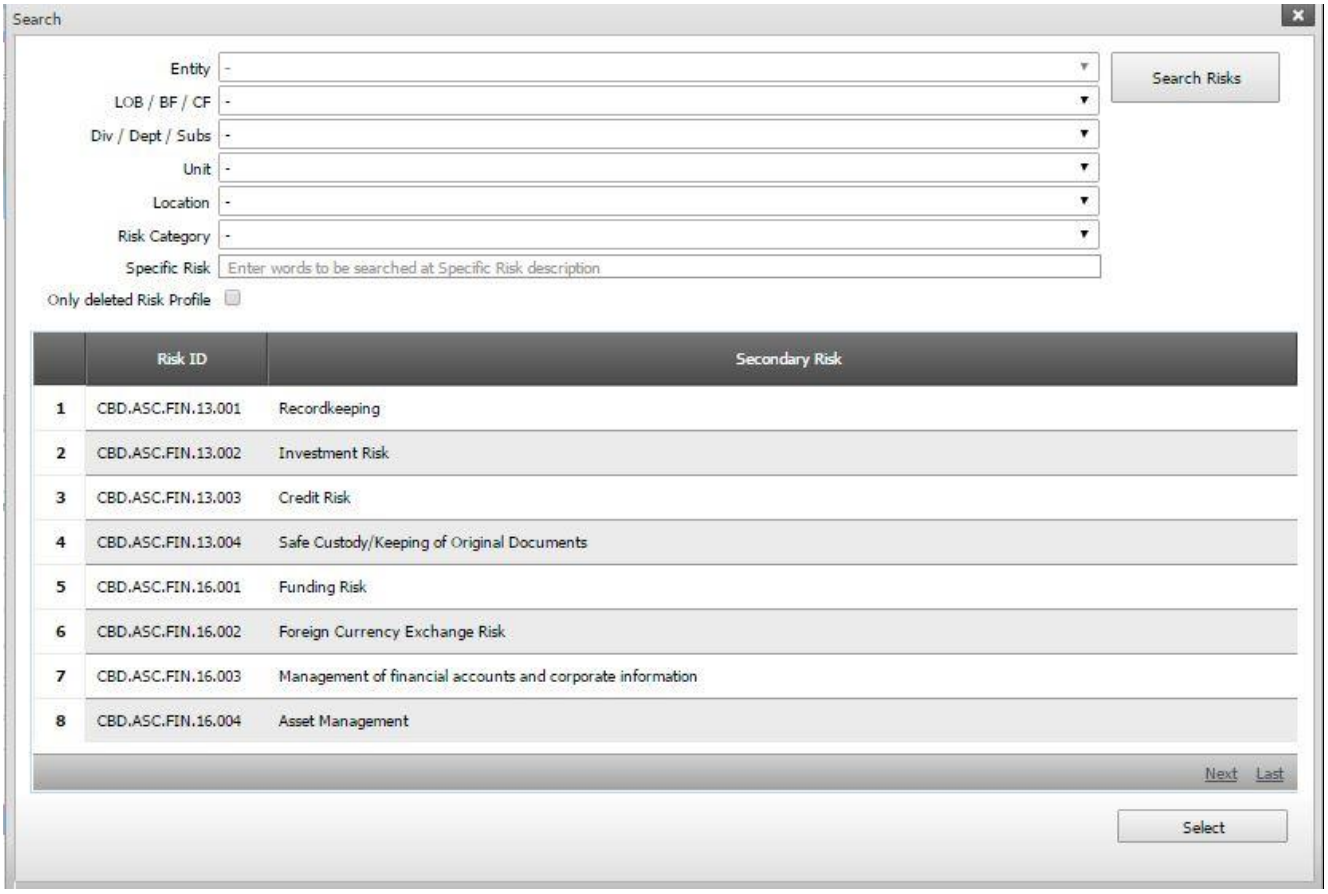

Figure 3.1: Details of action plan details

To add an action plan

Once you have selected the action plan from the row of information as illustrated at figure 3.1

Click on **Add** button to add an action plan as shown in figure 3.2

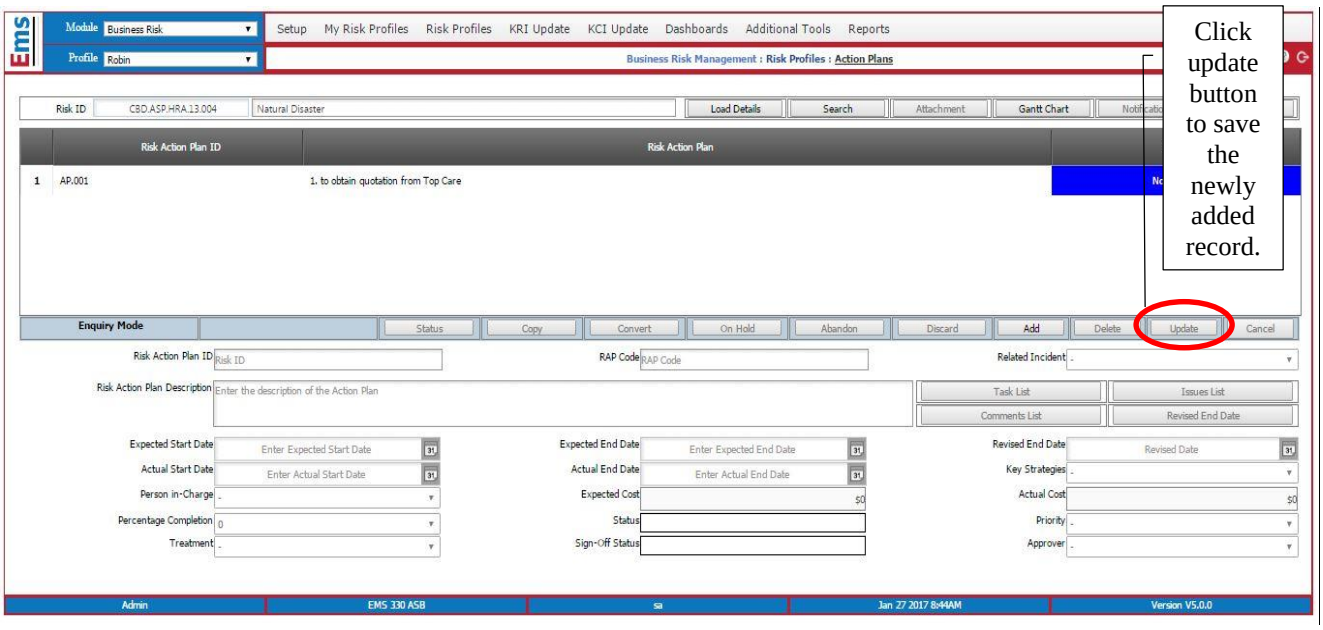

Figure 3.2: To add an action plan

When you are in the add mode, you can begin to fill in the information.

Click on the **Update** button to save the record.

Field	Description
Risk ID	A unique system generated ID for the risk
Risk Action Plan ID	A unique system generated ID for the action plan
RAP Code	A unique code manually set for each action plan
Related Incident	Is either the action plan is related to incident or not
Risk Action Plan Description	Description of the action plan

Expected Start Date	This refer to the estimated start date of the action plan
Expected End Date	This refer to the estimated end date of the action plan
Revised End Date	This refer to the reviewed end date of the action plan
Actual Start Date	This refer to the definite start date of the action plan
Actual End Date	This refer to the definite end date of the action plan
Key Strategies	This refer to main strategy for each action plan
Person In-charge	This refer to the person in-charge of the action plan
Expected Cost	This refer to the estimation cost of the action plan
Actual Cost	This refer to the definite cost of the action plan
Percentage Completion	This refer to the percentage accomplishment of the action plan
Status	This refer to the status of the action plan
Priority	This refer to level of importance of each action plan need to be taken
Treatment	Type of decision for each action plan.
Sign-Off Status	This refer to the approval status for the action plan
Approver	This refer to the approver of the action plan

Click on the '**Revised End Date**' button to add details. Then, click on **Add** button to add a revised end date as shown in figure 3.3

When you are in the add mode, you can begin to fill in the information.

Click on the **Update** button to save the record.

Repeat the steps for:

a. **Issues List** as shown in figure 3.4
b. **Task List** as shown in figure 3.5
c. **Comments List** as shown in figure 3.6

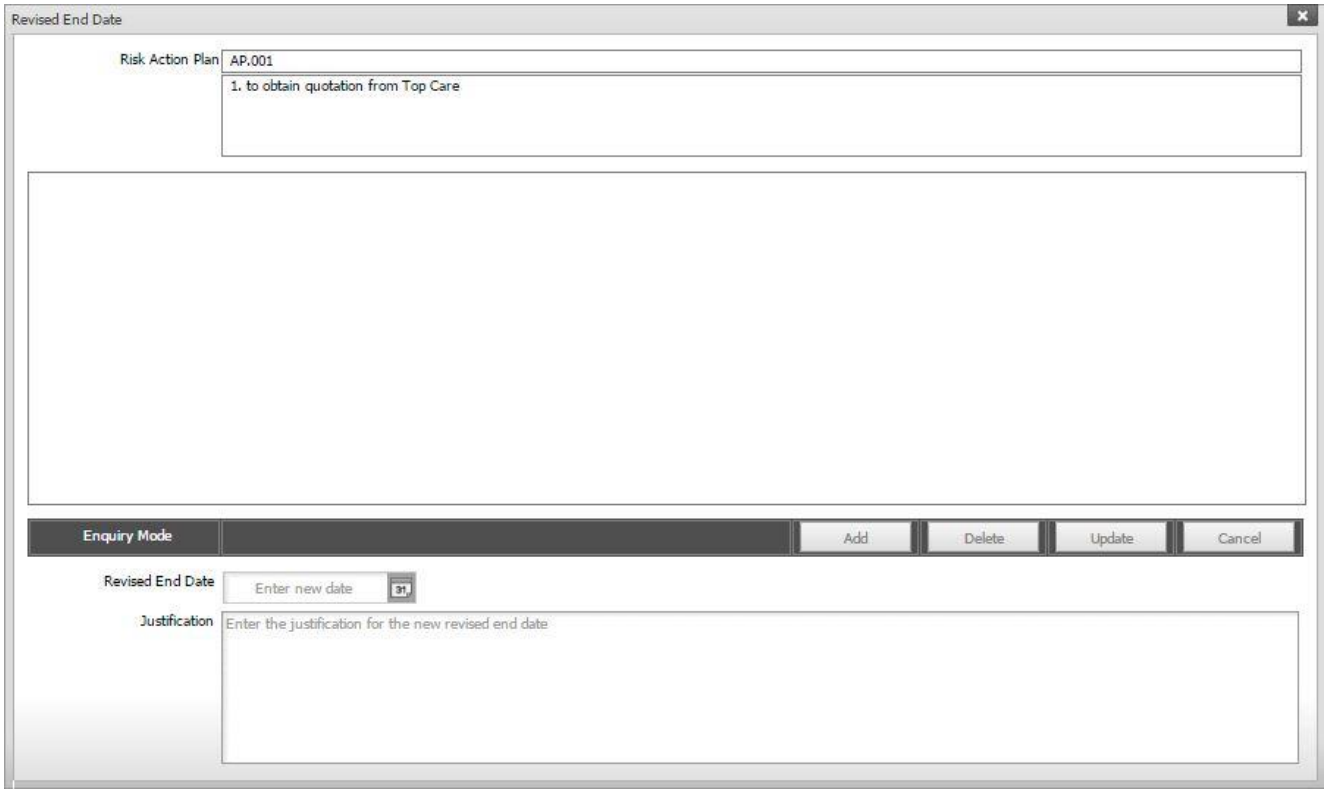

Figure 3.3: Revised End Date window

Field	Description
Revised End Date	This refer to the reviewed completion date
Justification	Enter the justification for the reviewed completion date

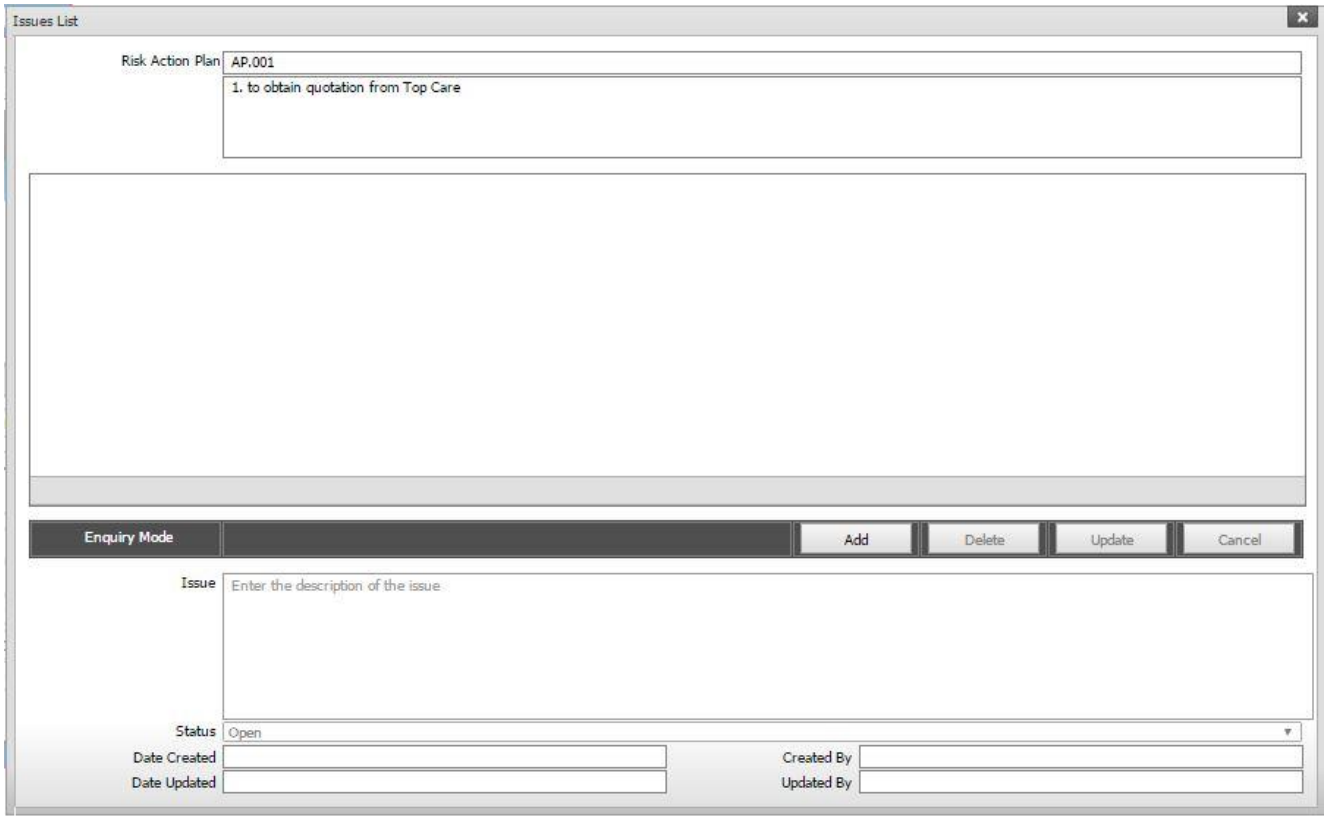

Figure 3.4: Issues List window

Field	Description
Issue	This refer to the issues related to the action plan
Status	Either Open or Close

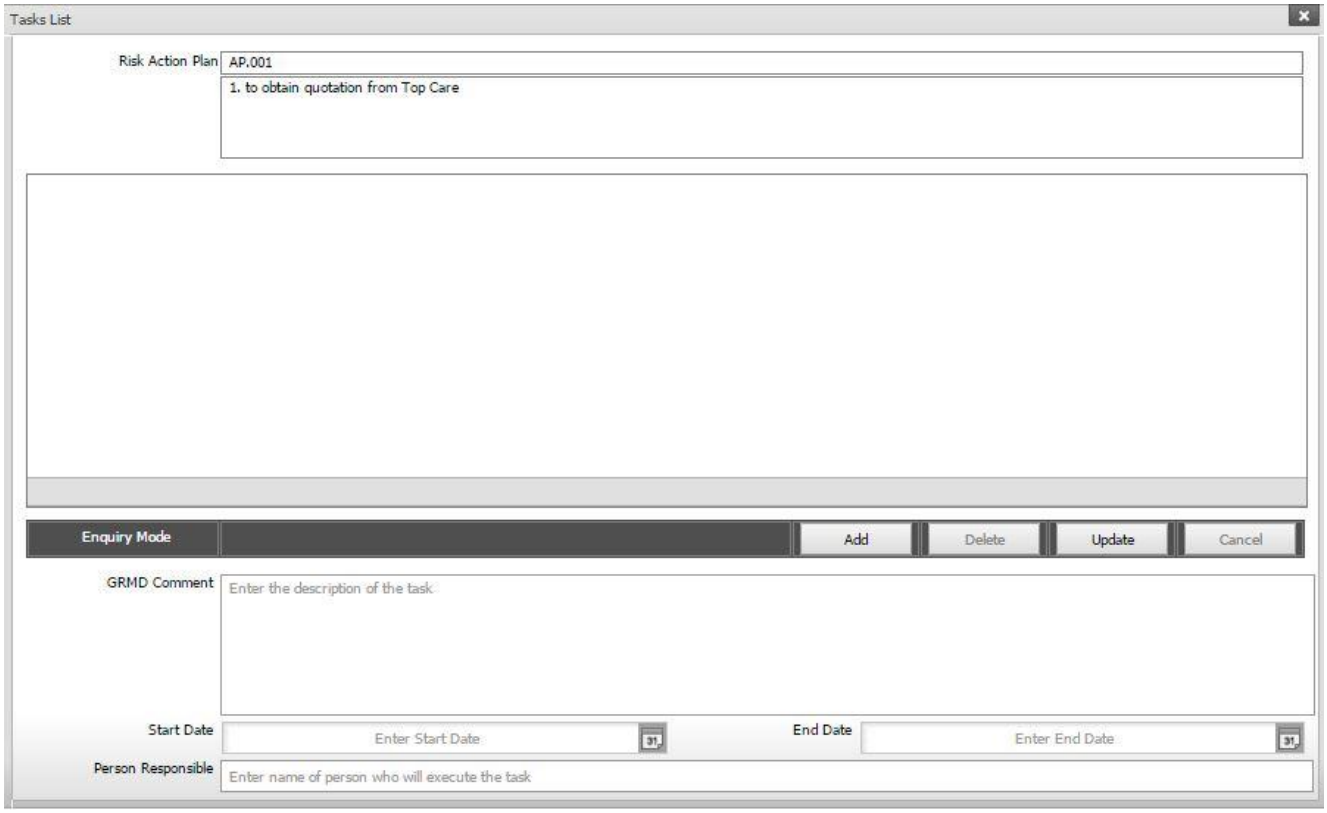

Figure 3.5: Task List window

Field	Description
GRMD Comment	Comments from Group Risk Management Department
Start Date	This refer to the start date of the GRMD Comments
End Date	This refer to the end date of GRMD Comments
Person Responsible	This refer to the person who is in-charge of the GRMD Comments

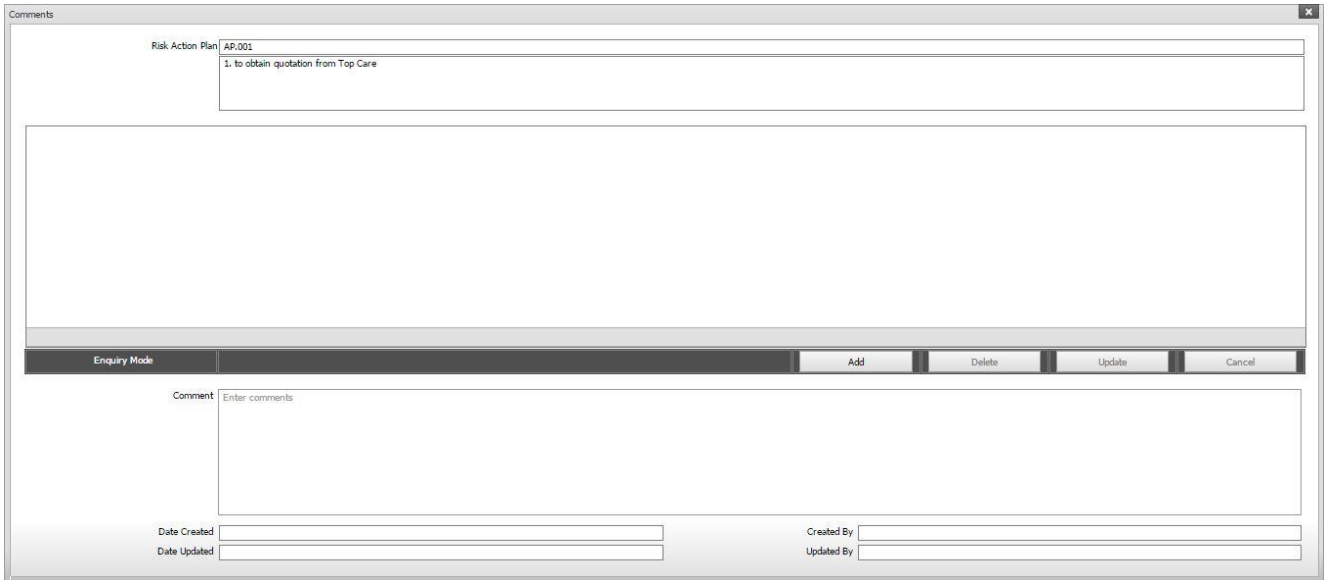

Figure 3.6: Comments List window

Field	Description
Comment	Enter any comments regarding the action plan

To edit action plan details

Once you have selected the action plan from the row of information as illustrated in figure 3.1

You can begin to modify the record. Once completed, click on the **Update** button to update the record as shown in figure 3.7

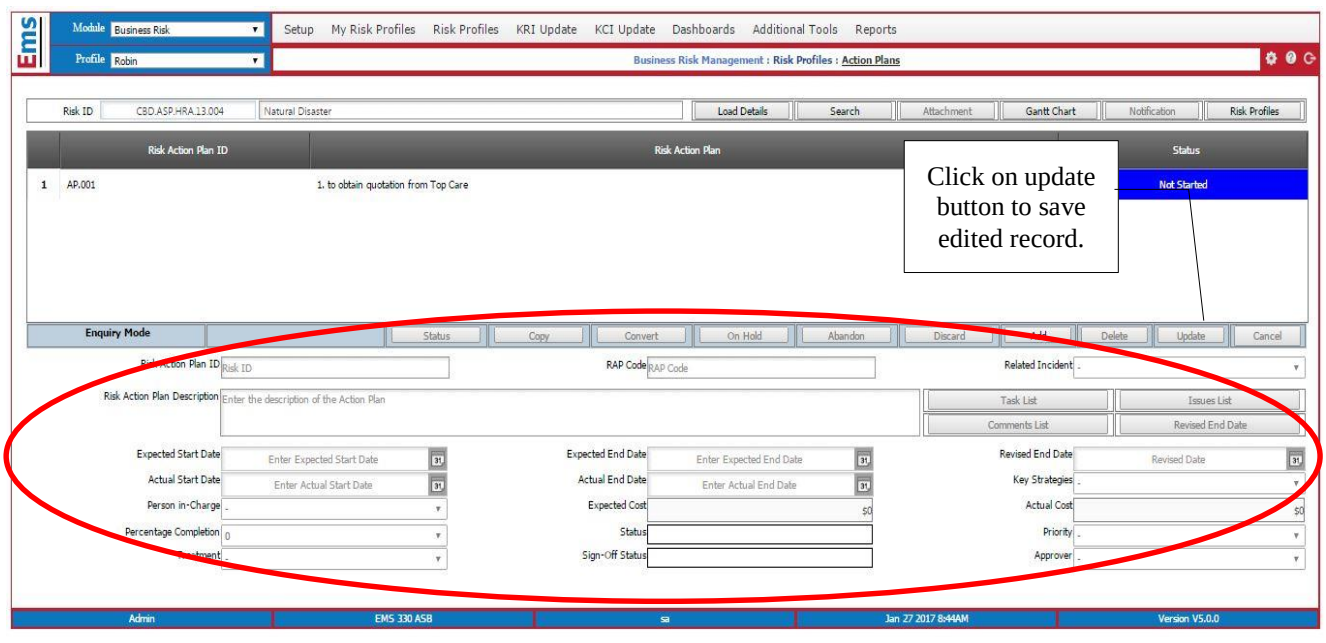

Figure 3.7: Click on row of information to select the record

To delete record

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click on the row of the information in the list for the detail that you want to delete. Click on the **Delete** button to delete the record. A confirmation window will pop up and then click on Ok button to continue.

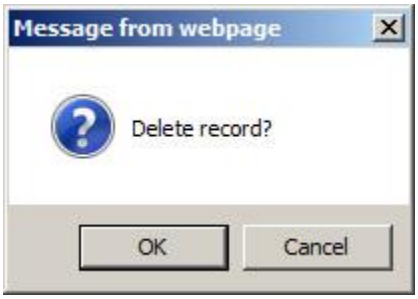

Figure 3.8: Click on OK to complete the deletion

To copy the action plan or additional controls

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click on **Add** Button. Then, **Copy** Button.

A window will pop up, click to select the action plan/ additional control you want to copy. Then, click **Select** Button as shown in figure 3.9

Click on **Update** in the Action Plan window.

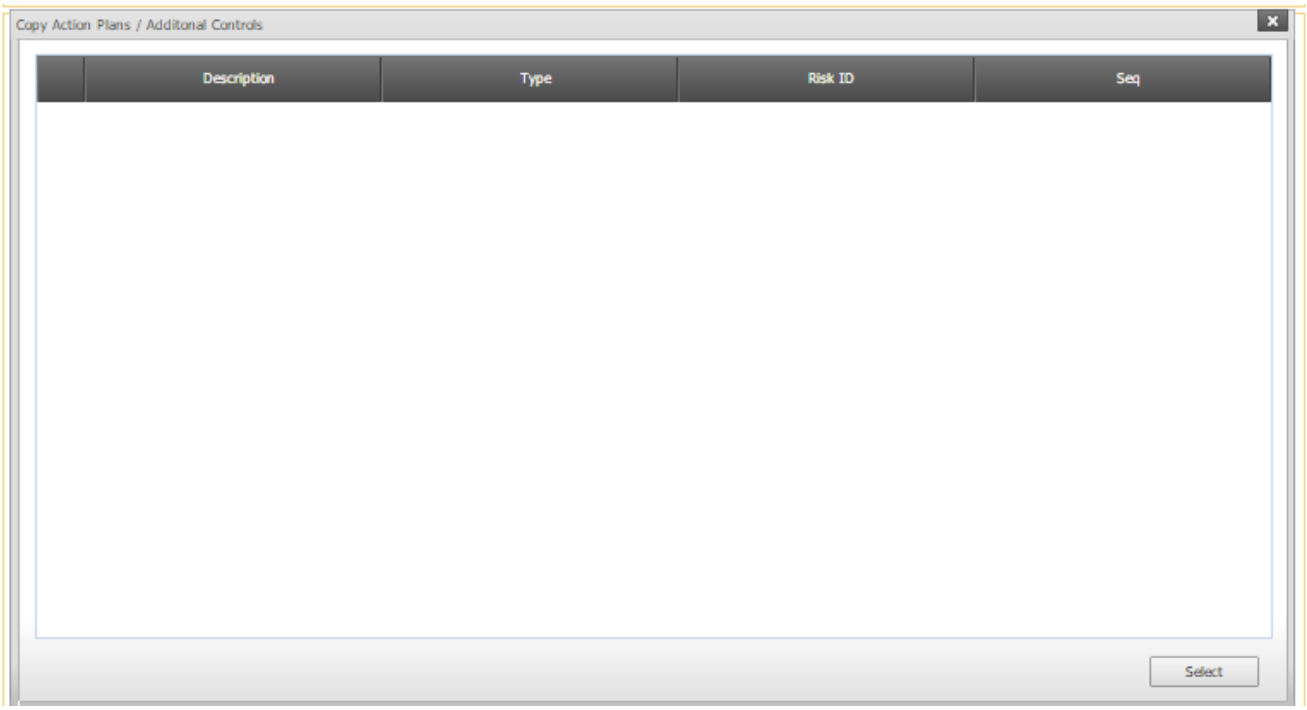

Figure 3.9: To add an action plan / additional controls

To on hold the action plan

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click to select an action plan from the list and click **On Hold** Button.

Once completed, click on the **Update** button to update the record as shown in figure 3.10

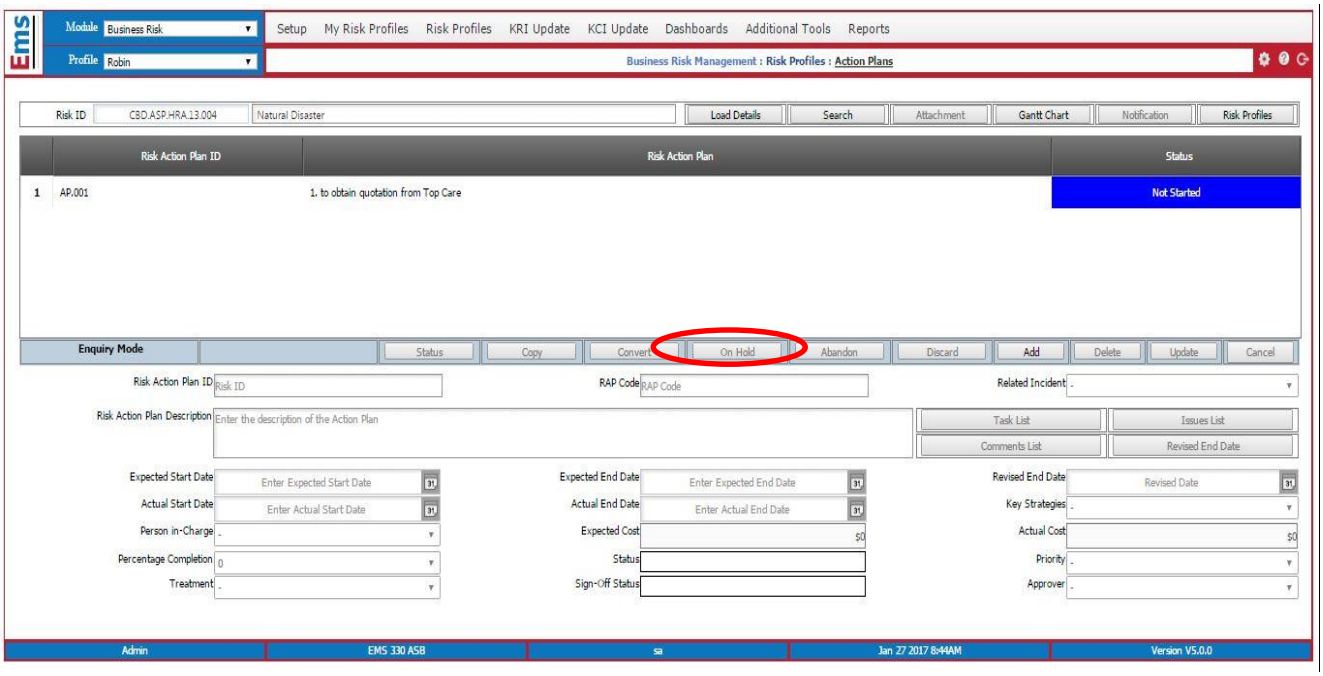

Figure 3.10: To on hold the action plan

To convert the action plans to existing controls

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click to select an action plan that is **'Completed'** from the list and click **Convert** Button as shown in figure 3.11

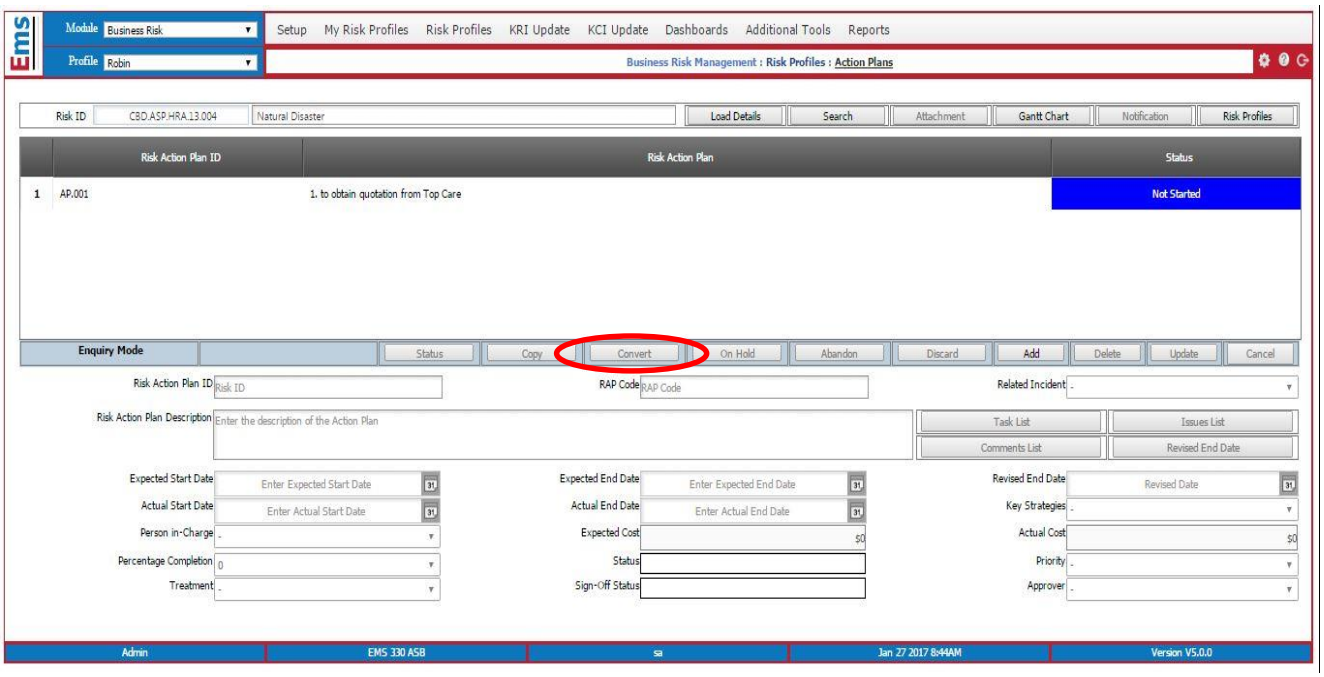

Figure 3.11: To convert the action plan to existing controls

To discard the action plans

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click to select an action plan from the list and click **Discard** Button as shown in figure 3.12

Remarks: **Discard** button is used when the user wants to discard an action plan which is on its half-way progress

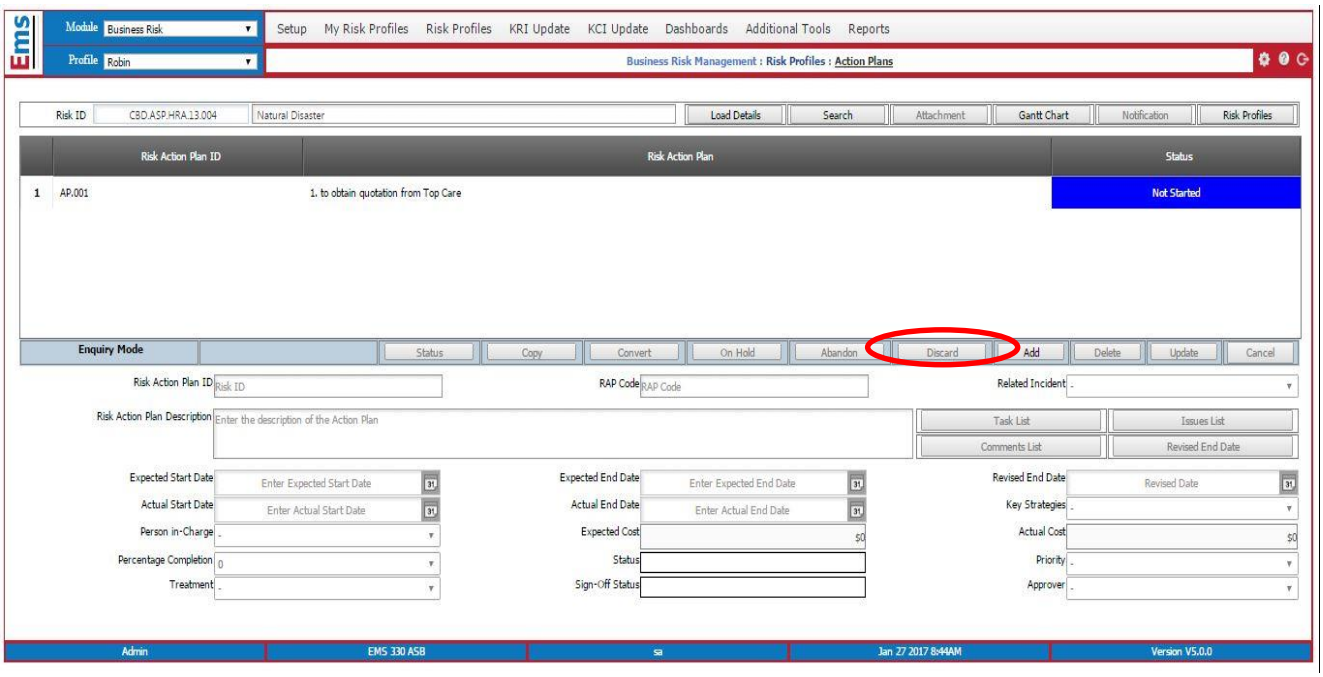

Figure 3.12: To discard the action plan

To abandon the action plans

Once you have selected the action plan from the row of information as illustrated in figure 3.1

Click to select an action plan from the list and click **Abandon** Button as shown in figure 3.13

Remarks: **Abandon** button is used when the user wants to abandon the action plan which is not yet been started

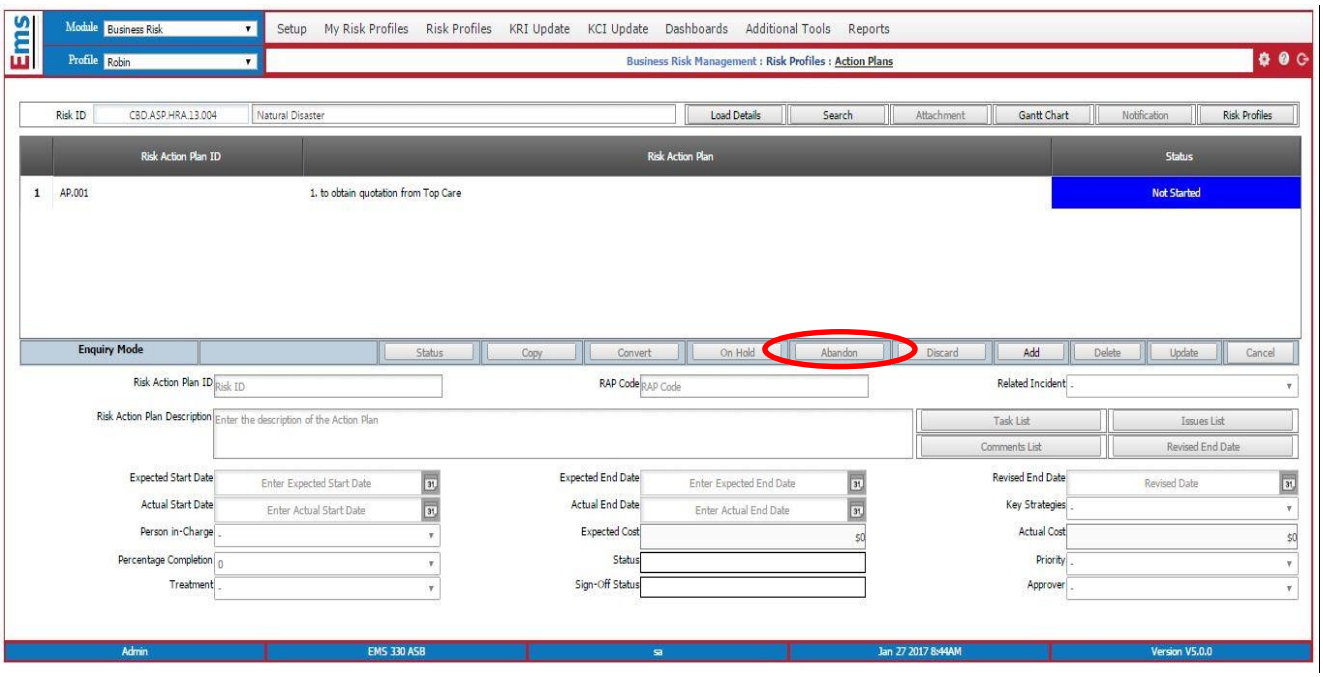

Figure 3.13: To abandon the action plan

KRI update

On the menu bar → click on **KRI Update.** Figure 4.0 will appear in your browser.

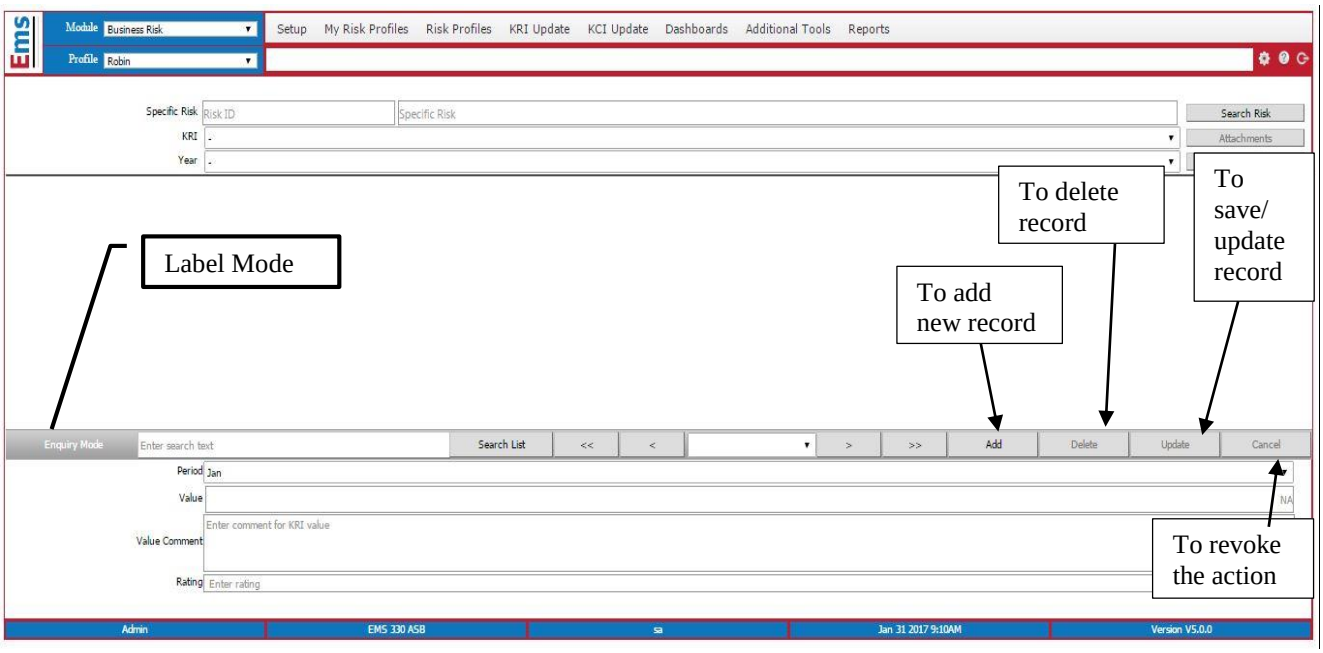

Figure 4.0: KRI Update

To load KRI update

Click on the **'Search Risk'** button and select the desired risk. Filter the KRI and Year from the dropdown menu. Click on the row of information in the list for the detail to be loaded. Scroll up-down for more KRI update. Proceed to click on the entry shown in figure 4.1.

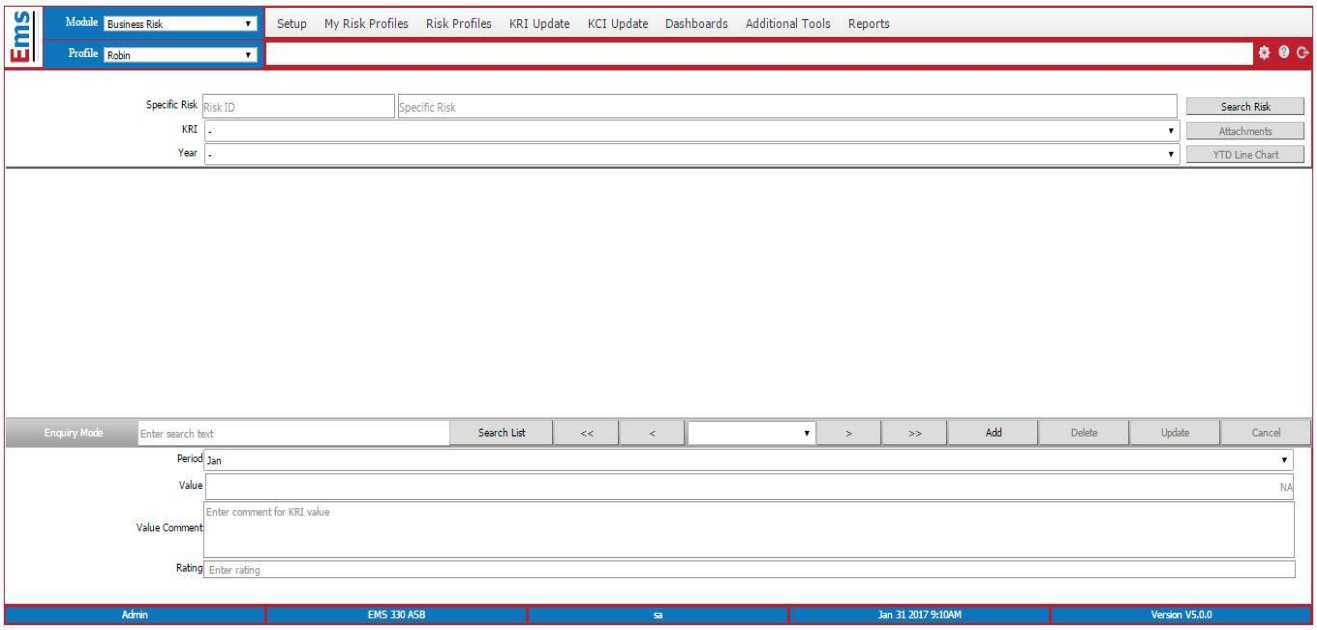

Figure 4.1: Details of KRI update

To add a KRI update

Filter the KRI and Year from the dropdown menu. Click on **Add** button to add a KRI update as shown in figure 4.2.

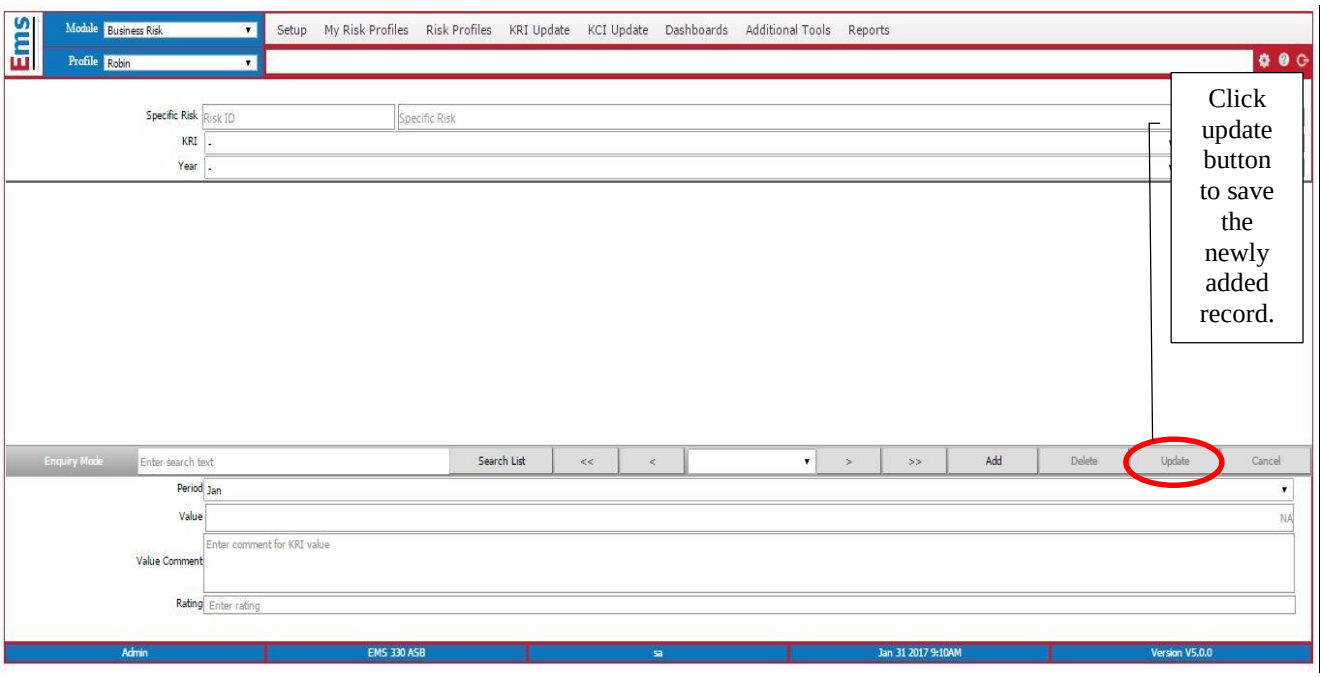

Figure 4.2: To add a KRI update

When you are in the add mode, you can begin to fill in the information.

Click on the **Update** button to save the record.

Field	Description
Specific Risk	This refer to which risk the KRI applied
KRI	Description of the KRI
Year	This refers to the year of for the KRI been done
Period	This refer to the year

Value	This refer to the value of KRI
Value Comment	Insert any comments for KRI
Rating	The application will automatically determine the appropriate rating based on the **5 x 5 Matrix** setup.

To edit KRI update

Filter the KRI and Year from the dropdown menu. Once you have selected the KRI update from the row of information as illustrated at figure 4.3, you can begin to modify the record.

Once completed, click on the **Update** button to update the record.

Figure 4.3: Click on row of information to select the record

To delete record

Filter the KRI LISTING and Year from the dropdown menu. Click on the row of the information in the list for the detail that you want to delete.

Click on the **Delete** button to delete the record. A confirmation window will pop up and then click on Ok button to continue.

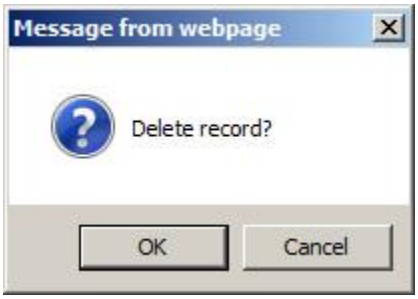

Figure 4.4: Click on OK to complete the deletion

To view YTD Line Chart

Filter the KRI and Year from the dropdown menu. Click on **YTD Line Chart** button as shown figure 4.5 to view YTD Line Chart as shown in figure 4.6.

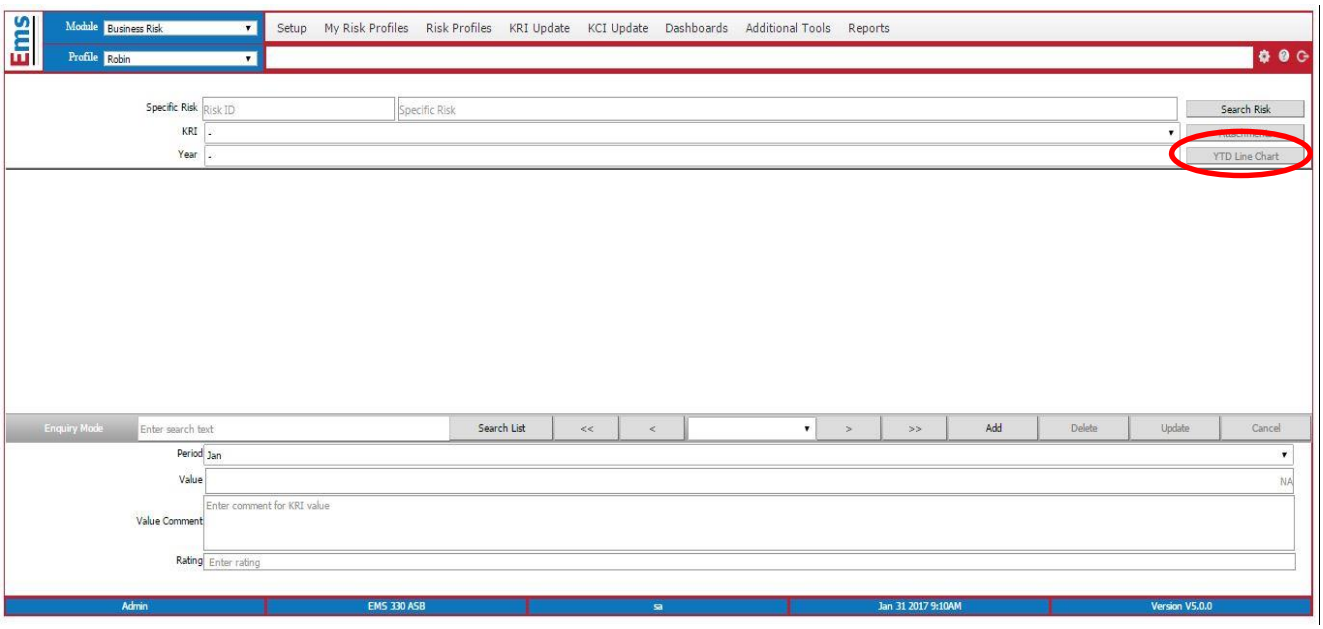

Figure 4.5: YTD Line Chart Window

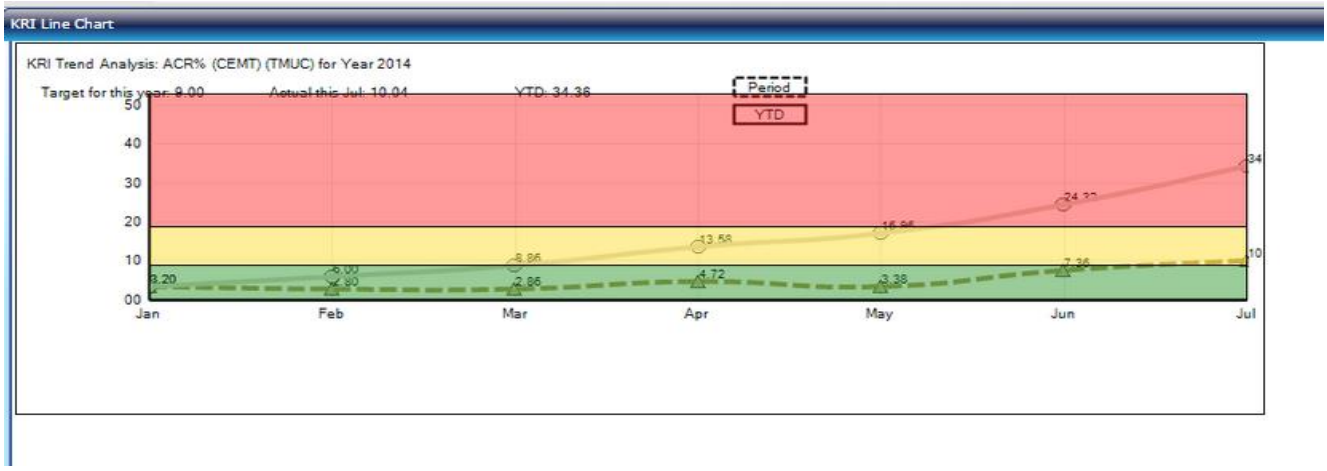

Figure 4.6: YTD Line Chart

KCI update

On the menu bar → click on **KCI Update.** Figure 5.0 will appear in your browser.

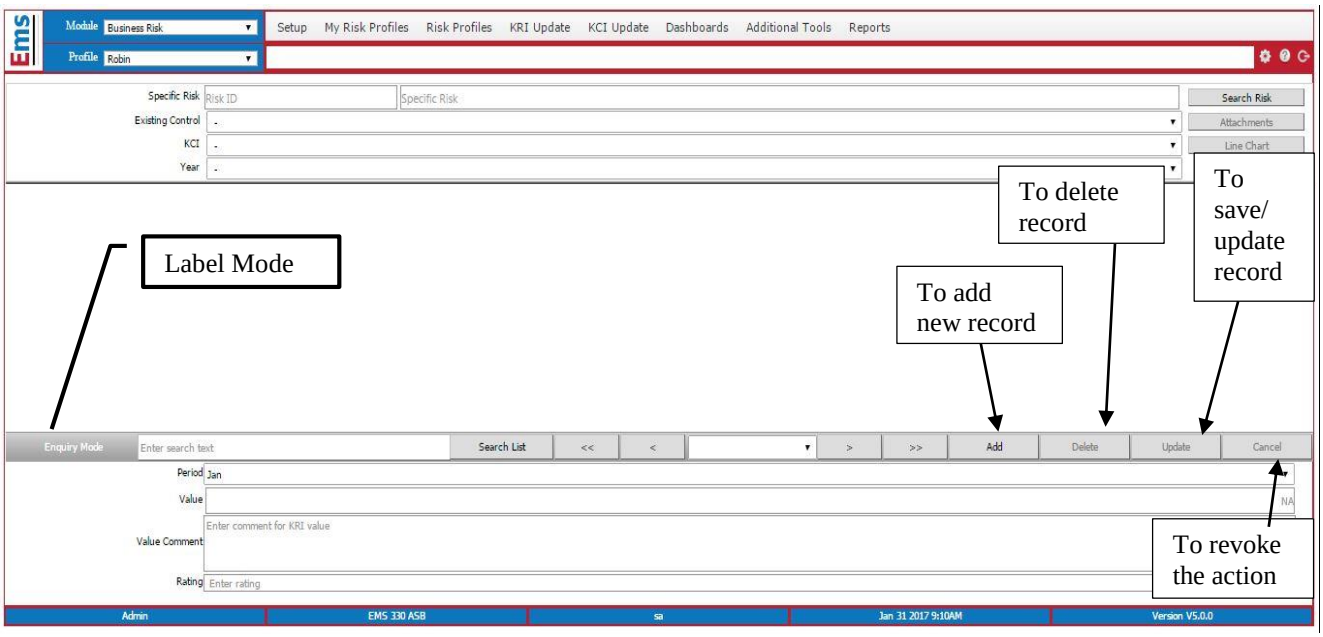

Figure 5.0: KCI Update

To load KCI update

Click on the **'Search Risk'** button and select the desired risk. Filter the KCI and Year from the dropdown menu. Click on the row of information in the list for the detail to be loaded. Scroll up-down for more KCI update. Proceed to click on the entry shown in figure 5.1.

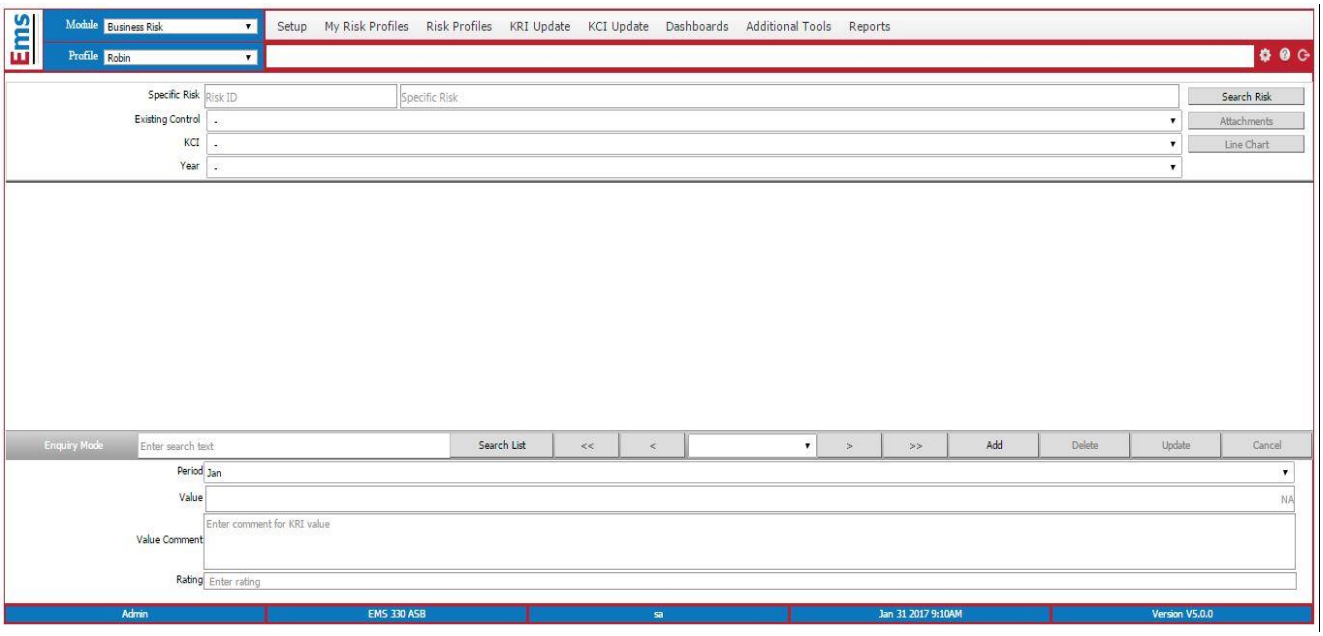

Figure 5.1: Details of KCI update

To add a KCI update

Filter the KCI and Year from the dropdown menu. Click on **Add** button to add a KCI update as shown in figure 5.2.

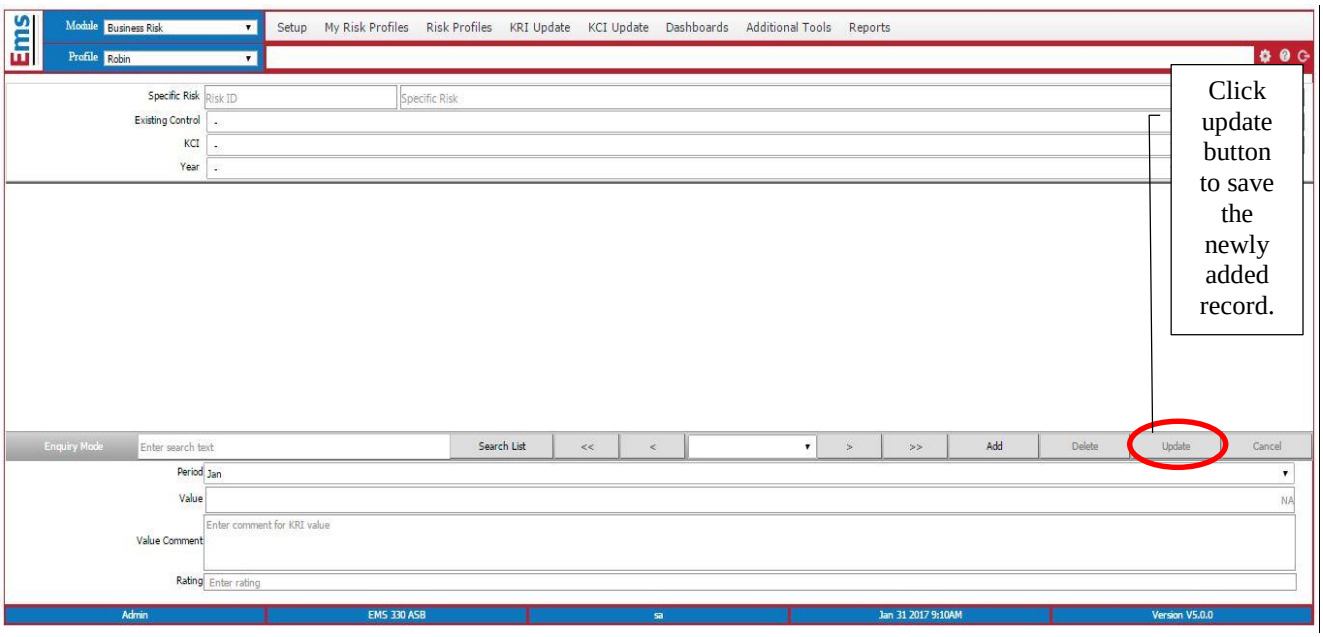

Figure 5.2: To add a KCI update

When you are in the add mode, you can begin to fill in the information.

Click on the **Update** button to save the record.

Field	Description
Specific Risk	This refer to which risk the KRI applied
Existing Control	Which control that tie to the risk
KCI	Description of the KCI
Year	This refers to the year of for the KRI been done

Period	This refer to the year
Value	This refer to the value of KRI
Value Comment	Insert any comments for KRI
Rating	The application will automatically determine the appropriate rating based on the **5 x 5 Matrix** setup.

To edit KCI update

Filter the KCI and Year from the dropdown menu. Once you have selected the KCI update from the row of information as illustrated at figure 5.3, you can begin to modify the record.

Once completed, click on the **Update** button to update the record.

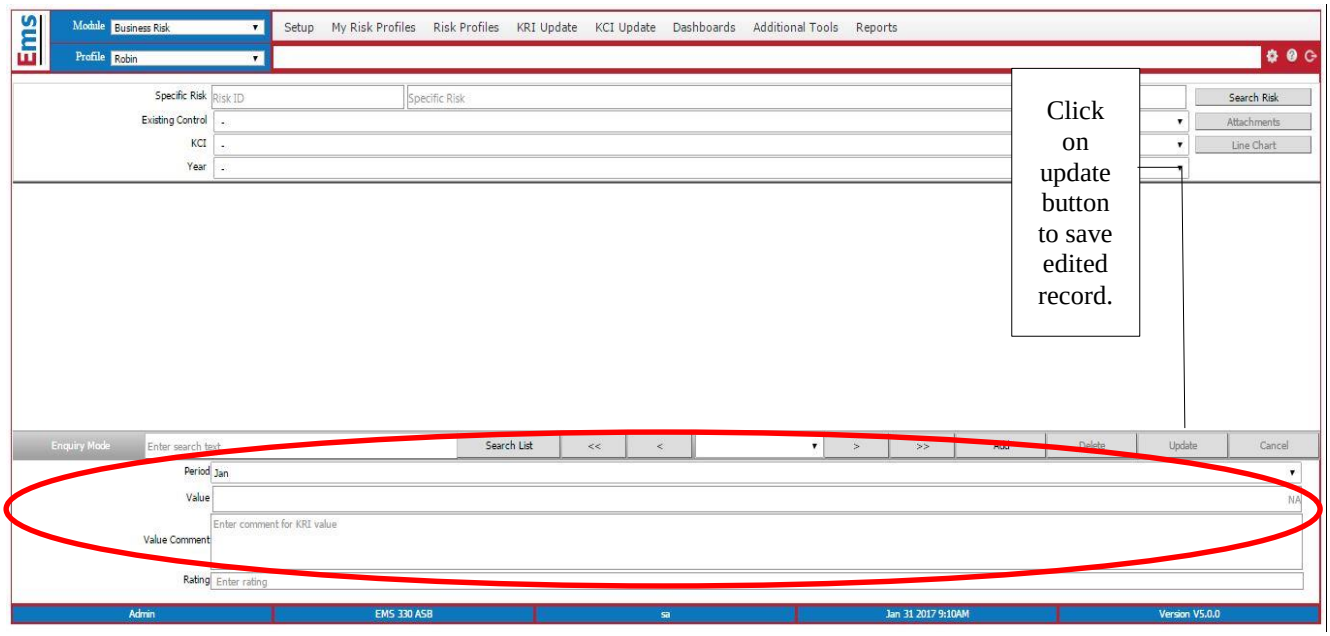

Figure 5.3: Click on row of information to select the record

To delete record

Filter the KRI LISTING and Year from the dropdown menu. Click on the row of the information in the list for the detail that you want to delete.

Click on the **Delete** button to delete the record. A confirmation window will pop up and then click on Ok button to continue.

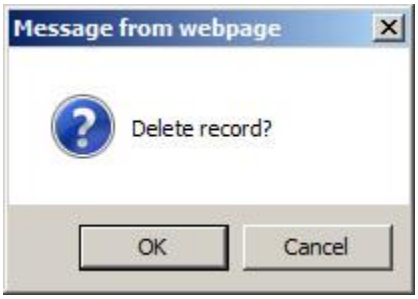

Figure 5.4: Click on OK to complete the deletion

To view Line Chart

Filter the KCI and Year from the dropdown menu. Click on **Line Chart** button as shown figure 5.5 to view Line Chart as shown in figure 5.6.

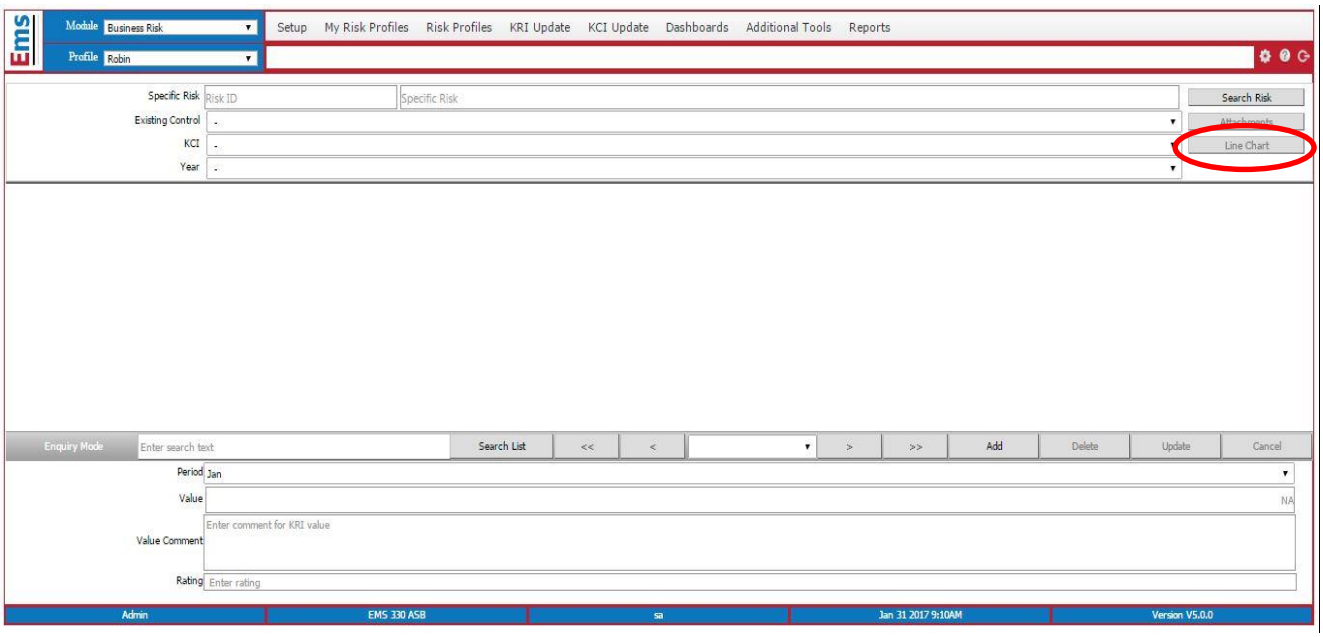

Figure 5.5: Line Chart Window

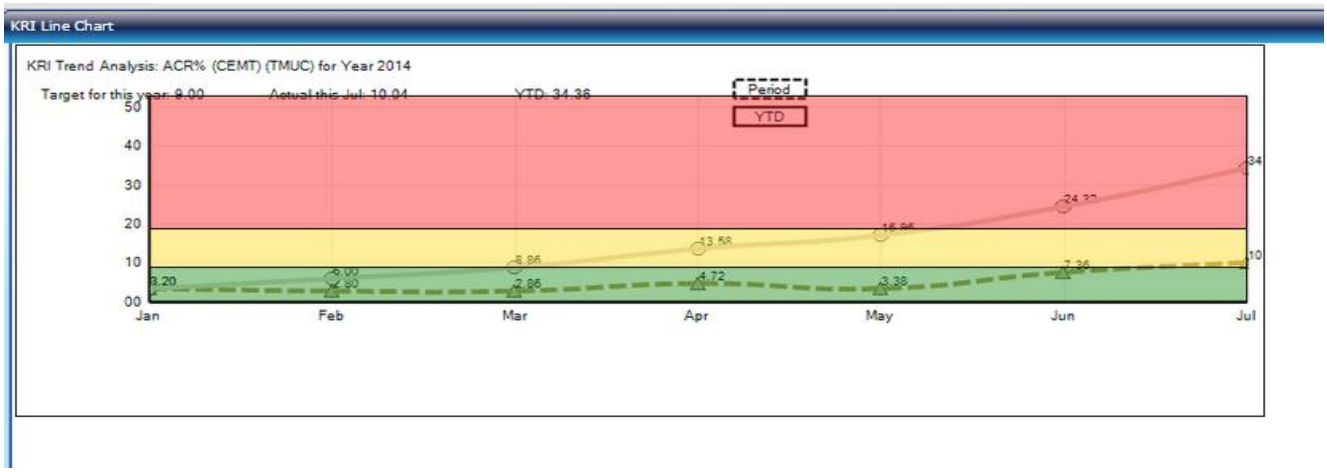

Figure 5.6: YTD Line Chart

Operational Dashboard

On the menu bar → click on **Dashboards → Operational Dashboard.** Figure 6.0 will appear in your browser.

Filter the Operational Dashboard by the data in each of the Dropdown List as shown in Figure 6.0 below. Click **Load** button to load the Risk Map.

The Bubble Chart will be displayed based on the data filtered as shown in Figure 6.1.

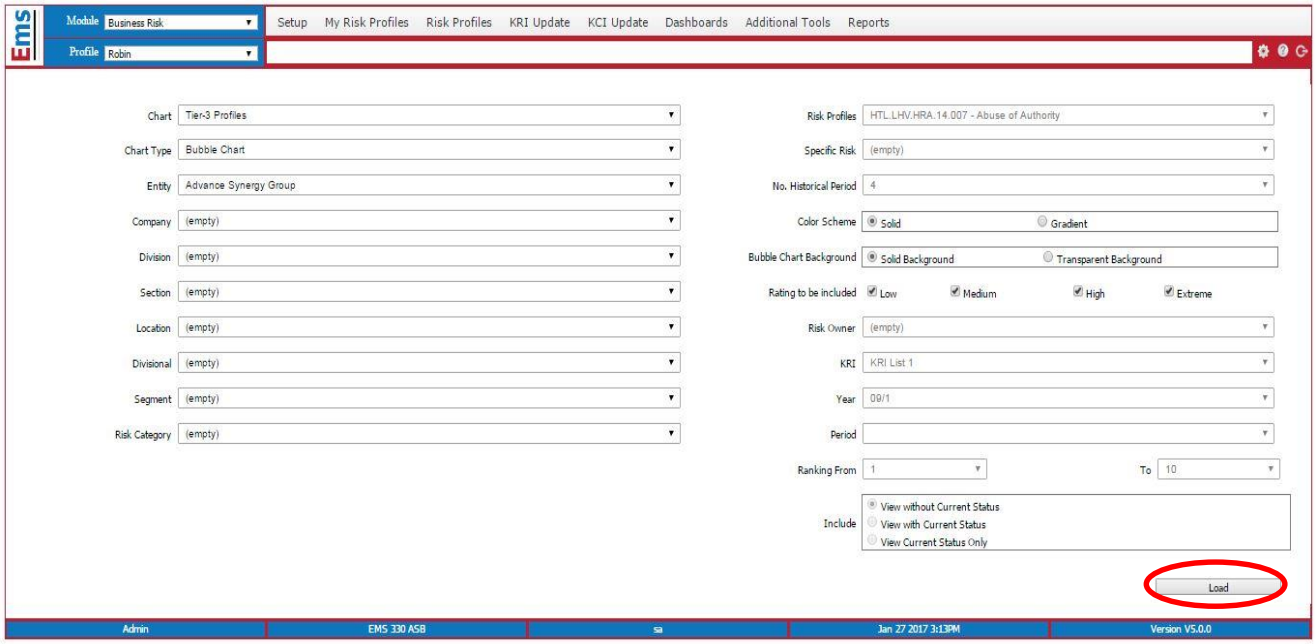

Figure 6.0: Operational Dashboard Filter

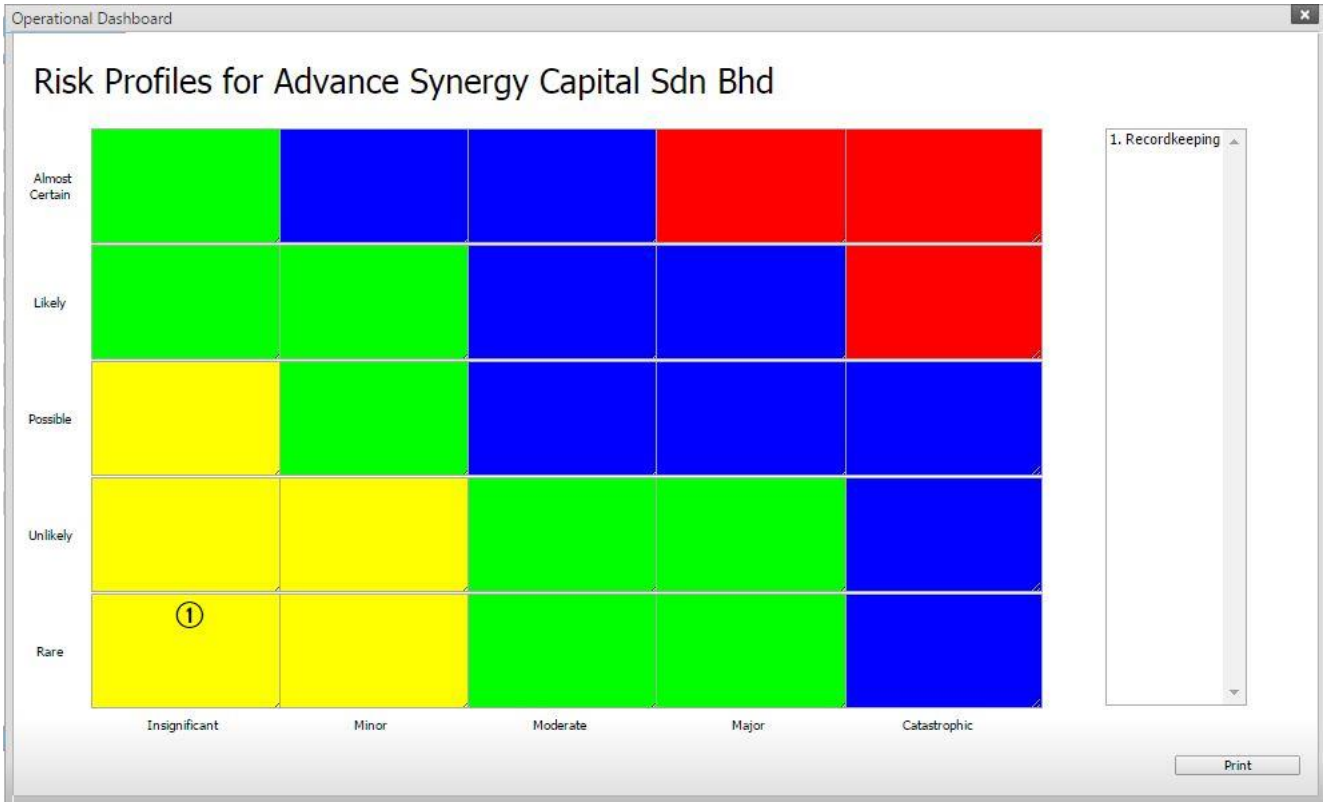

Figure 6.1: Bubble Chart

Report

On the menu bar → click on **Risk Management → Business Risk Management → Reports.** Figure 7.0 will appear in your browser.

Click on desired type of report that on the menu.

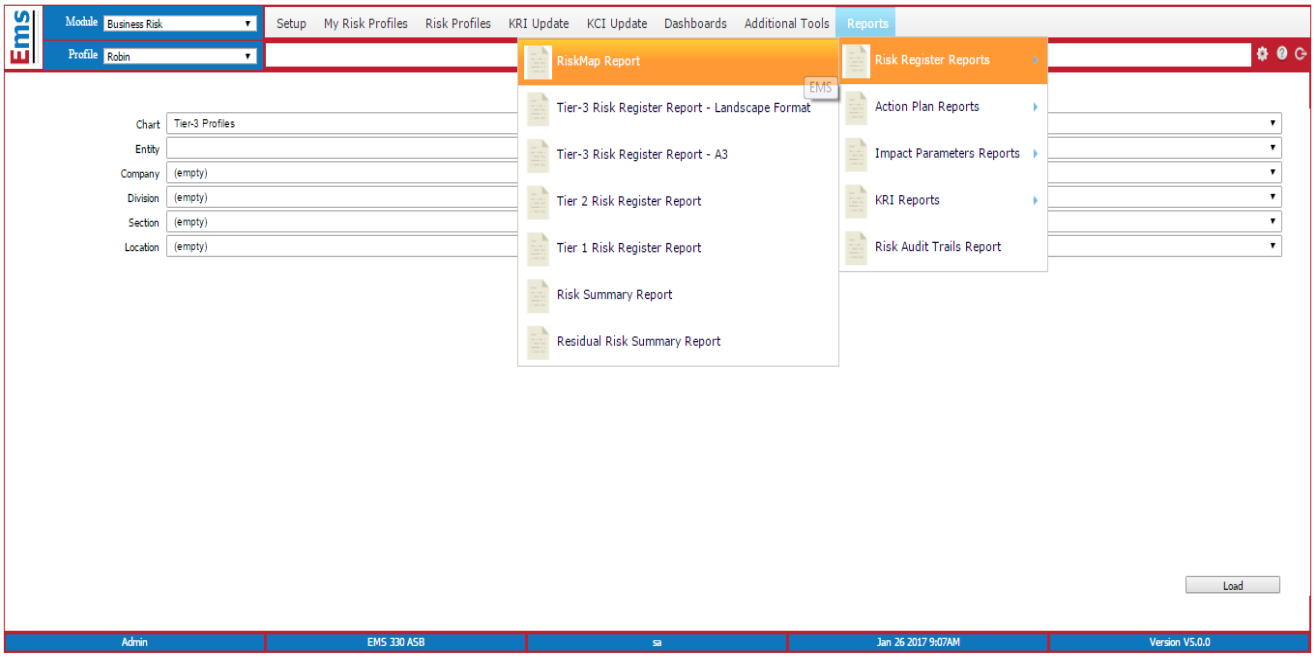

Figure 7.0: Type of reports

To view Report

Select the details in the respective fields and click **View Report** button as illustrated at Figure 7.1.

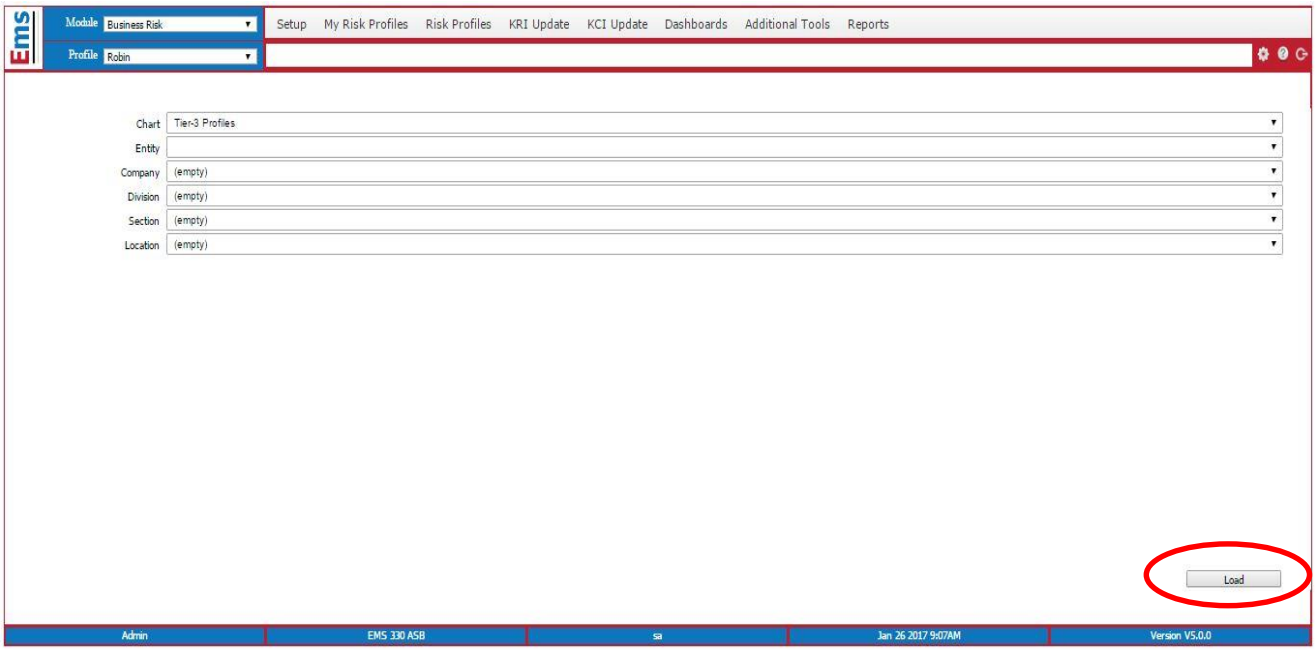

Figure 7.1: Sample of Report Filter Option

Once you have selected the **view report**, report will generates as illustrated at Figure 7.2. Click on Save or convert the report into multiple type of format.

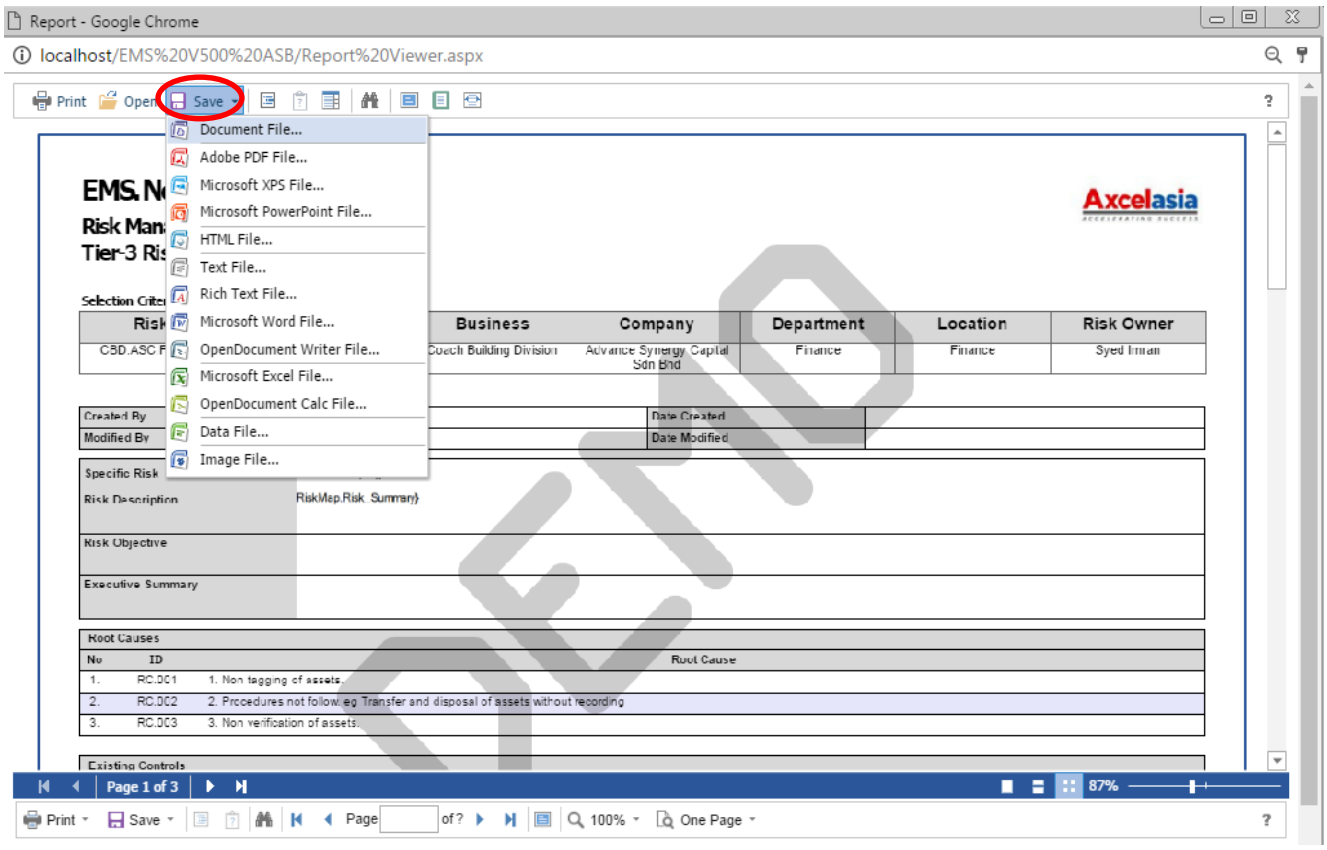

Figure 7.2: Reports window