

Reasonable **Risk**[™]



Training Module

Focus Area: Audits and Assessments

Agenda

Topic – Audits and Assessments

Modules

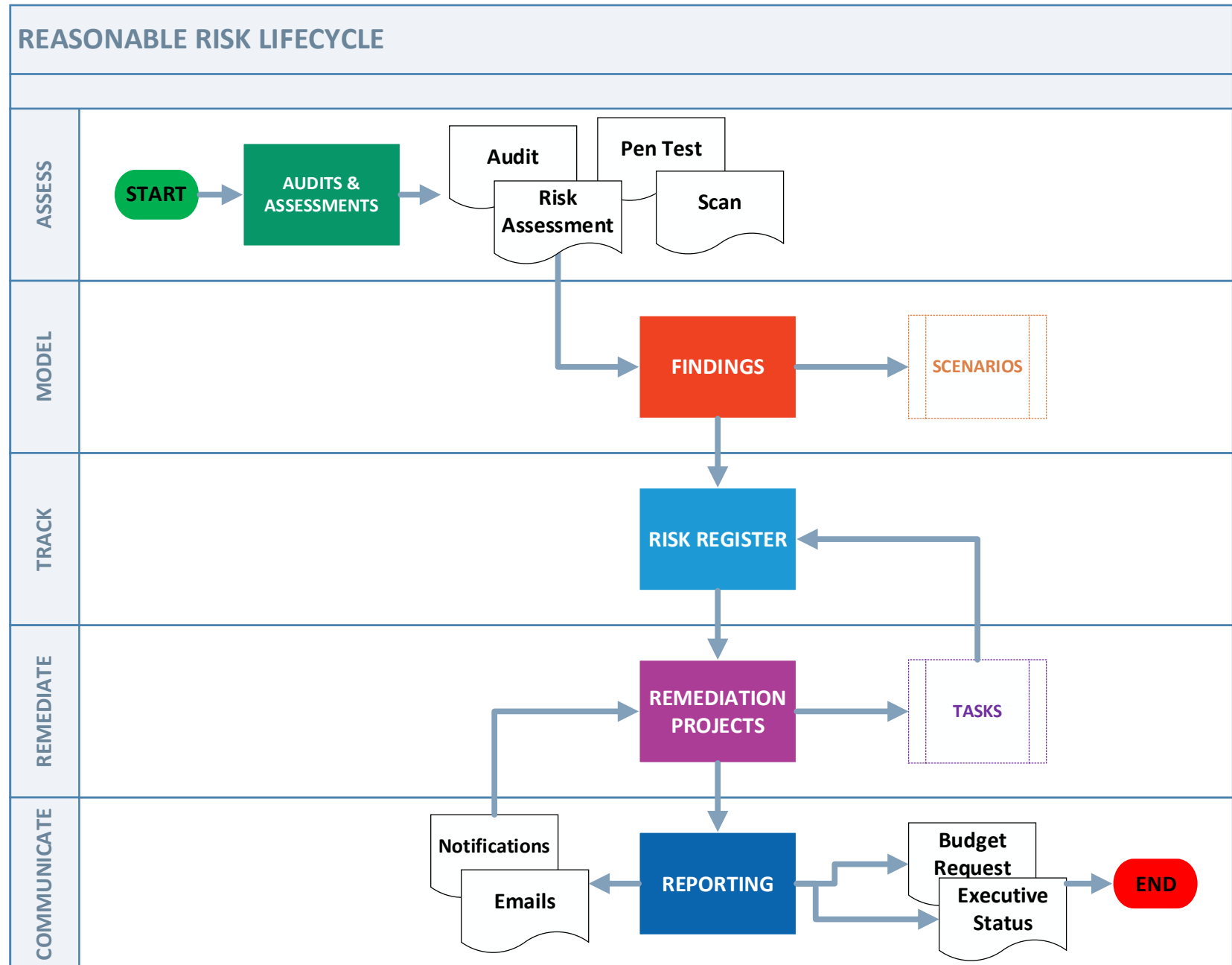
Audits & Assessments allow you to plan and monitor the periodic activities and assessments normally associated with a security program.

Findings & Scenarios provide a safe place to allow for the modeling of safeguard control use cases without impacting the **Risk Register**. Items can be manually input or imported from an external source.

The **Risk Register** tracks identified risks, recording the initial and safeguard risk score and associated details. Risks are created by promoting a **Finding** or **Scenario**, they may be also be manually input or imported from an external source.

Remediation Projects are created to group and manage implementation of safeguard controls for **Risks**. **Tasks** are time bound activities or milestones required to reduce Risks to an acceptable level.

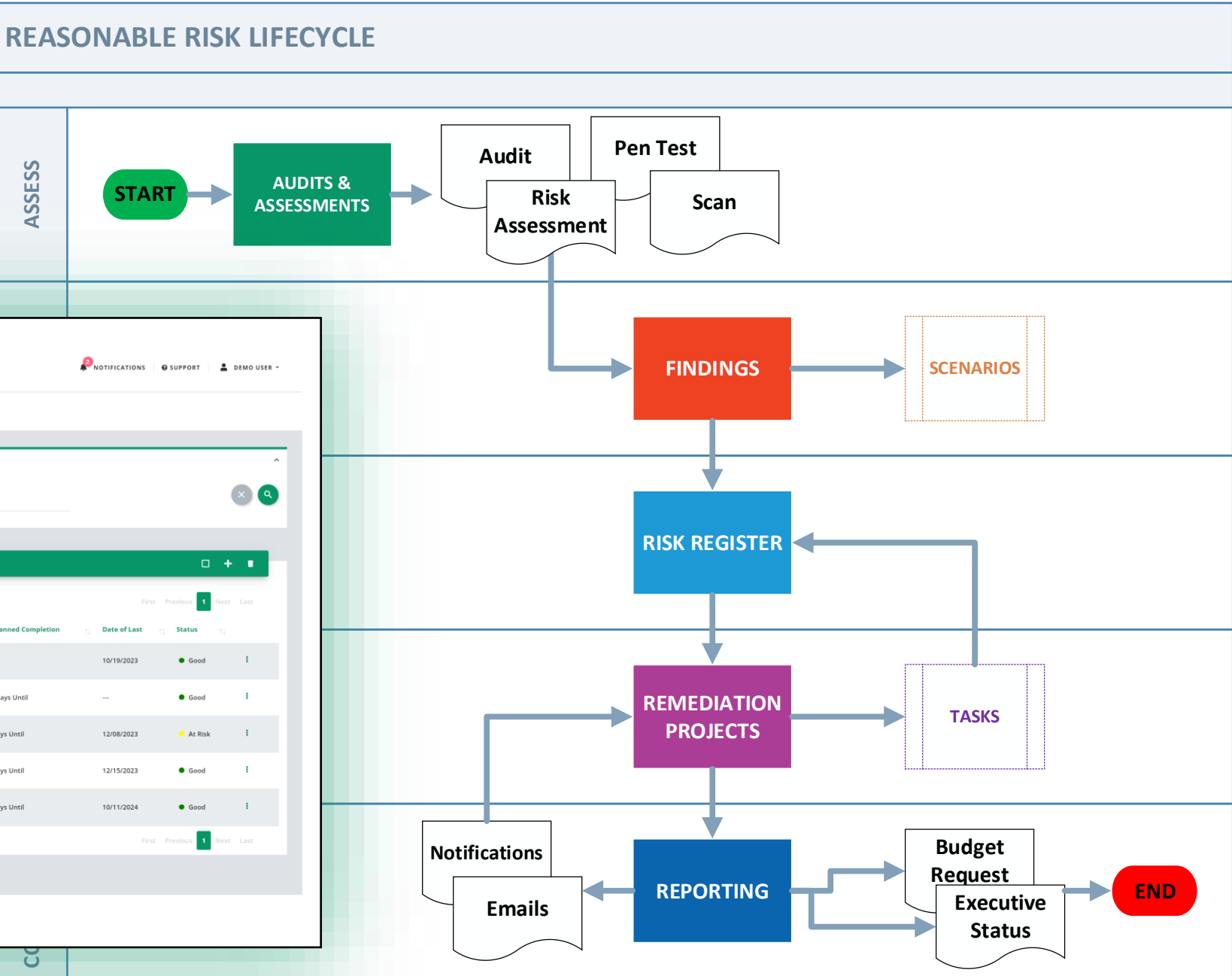
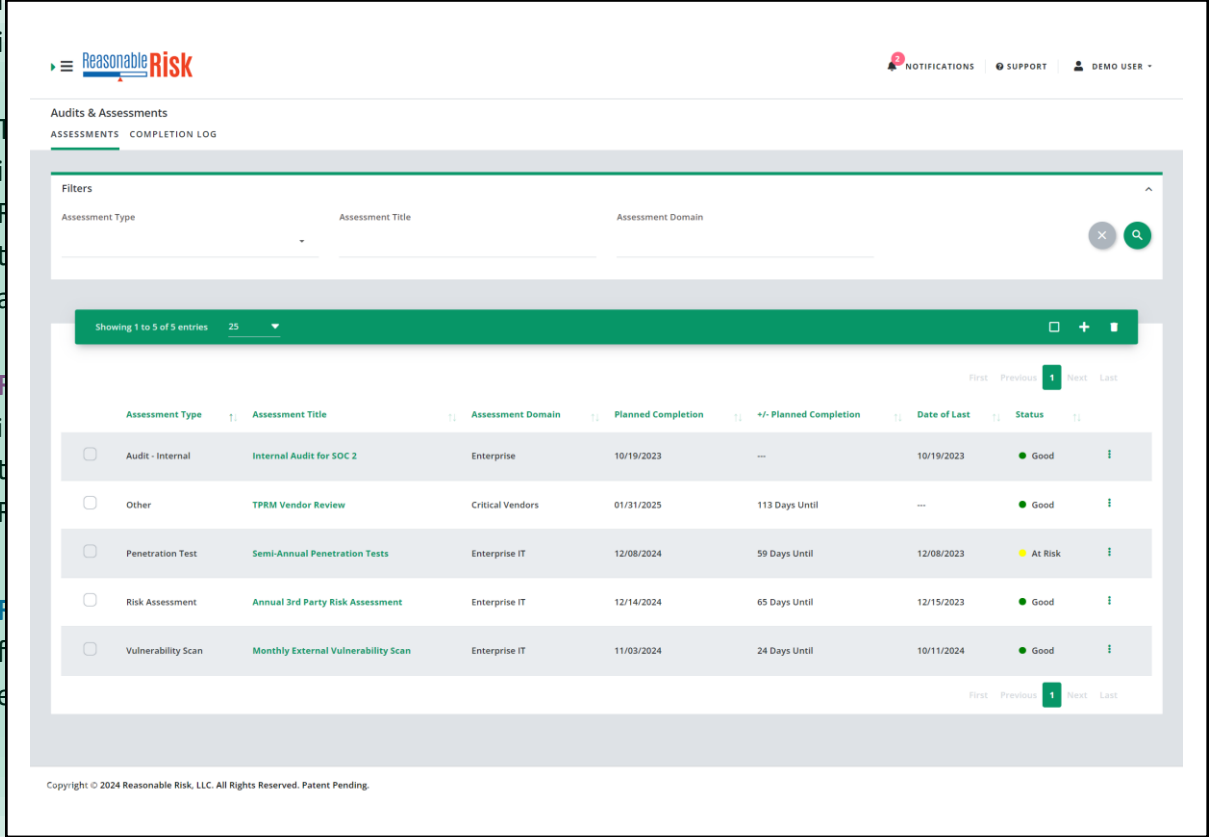
Reporting provides a consistent and efficient process for generating executive level communications in an editable PowerPoint deck.



Modules

Audits & Assessments allow you to plan and monitor the periodic activities and assessments normally associated with a security program.

Findings & Scenarios provide a safe place to allow for the modeling of safeguard control use cases without impacting the Risk Register. Items can be manually



Audits and Assessments

- Objectives:
 - Review and understand the concept of audits and assessments
 - Understand how to create and audit/assessment record
 - Understand how to complete an audit/assessment record

Audits & Assessments: Overview

- Reasonable Risk enables teams to keep track of the various Audits, Assessments, Penetration tests, etc. that they have to undergo on a one-time or a periodic basis.
- As these types of reviews often creep up on teams, Reasonable Risk helps by putting them on a schedule, as well as placing them on the Executive Status report to ensure they get the appropriate planning attention they deserve.
- For the events that take place on a recurring schedule, the team has the ability to indicate when the last time the audit/assessment/test took place, and show a history of that event for a not only security purposes, but for compliance ones as well.

Audits & Assessments: Workflow

Create Assessment/Audit/Test Record

- The first step is to create the assessment record.
- The key elements of the assessment are maintained here, such as:
 - Assessment Title, Domain, Scope, as well as
 - Start Date – and Duration in Days – and
 - Whether or not the assessment is RECURRING.
 - If it is – how often does it repeat? (Monthly? Yearly?)
- The creation of the assessment record ends with an initial status:
 - No Status
 - Good (green)
 - At Risk (yellow)
 - Issue (red)
 - AND the REASON for this status (text)
- This Status information will be provided on the Executive Status Report as well.
- Once the record is SAVED – the Current Schedule dates are populated based on the Assessment Start Date (Planned Completion Date, etc.)

Audits & Assessments: Workflow

For Recurring Assessments:

- Once an iteration of an assessment has been completed:
 - Create a “Completion Log”
 - The completion log has the date the assessment has been completed
- This provides a history of how often this assessment, audit or test has been completed, and the date, for compliance purposes.

Audits & Assessments

ASSESSMENTS COMPLETION LOG

Filters

Assessment Type

Assessment Title

Assessment Domain



Showing 1 to 4 of 4 entries 25



First Previous 1 Next Last

	Assessment Type	Assessment Title	Assessment Domain	Planned Completion	+/- Planned Completion	Date of Last	Status	
<input type="checkbox"/>	Audit - External	SOC 2 Assessment	Home Office	09/25/2025	108 Days Until	---	Issue	⋮
<input type="checkbox"/>	Audit - External	Audit	All	06/29/2025	20 Days Until	---	At Risk	⋮
<input type="checkbox"/>	Penetration Test	Annual Penetration Test	Home Office	06/20/2025	11 Days Until	---	Good	⋮
<input type="checkbox"/>	Vulnerability Scan	Monthly Key Scan	Servers	05/08/2025	32 Days Past	06/01/2025	Good	⋮

First Previous 1 Next Last

Audits & Assessments

ASSESSMENTS COMPLETION LOG

Example of List of Completion Logs. Note that this is a secondary menu within Audits & Assessments.

Filters

Assessment Type	Assessment Title	Assessment Domain
Completion Date Range	End Date	
Start Date		

Showing 1 to 2 of 2 entries 25

Assessment Type	Assessment Title	Assessment Domain	Date of Completion
<input type="checkbox"/> Vulnerability Scan	Monthly Key Scan	Servers	05/01/2025
<input type="checkbox"/> Vulnerability Scan	Monthly Key Scan	Servers	06/01/2025

Plan – Audits & Assessments:

Are we identifying & analyzing risks as we should?

Assessment Type	Assessment Title	Assessment Domain	Planned Completion	+/- Planned Completion	Date of Last Assessment	Status	Reason for Status	Action Plan	Approval Required?
Vulnerability Scan	Monthly Key Scan	Servers	05/08/2025	32 Days Past	06/01/2025	Good	On schedule		
Penetration Test	Annual Penetration Test	Home Office	06/20/2025	11 Days Until		Good	Ready		
Audit - External	Audit	All	06/29/2025	20 Days Until		At Risk	Not ready	Need support from legal team	
Audit - External	SOC 2 Assessment	Home Office	09/25/2025	108 Days Until		Issue	Budget issues	The contract and funding are not approved yet, need this to be escalated to the ELT next meeting for immediate approval.	YES

For monthly recurring – there is a small nuance to the system when the “next” scheduled event will happen, you may need to review and manually edit the slide accordingly. In this case, if the date was June 8th, the planned next completion would be “30 days until” the next one. We are reviewing how this works and will be adjusting this in a future release.

This is the slide that comes out of the Executive Status Deck. The two columns to the right are editable, and users are encouraged to enter information that would get them help for yellow and red entries.

Screen Narrative: Audits & Assessments

Item	Narrative
Purpose(s)	<ul style="list-style-type: none">• Review and understand the concept of audits and assessments• Understand how to create and audit/assessment record• Understand how to complete an audit/assessment record
High Level Description	Audits and Assessments are a way to manage the many audits, assessments, penetration tests, etc. that organizations undergo month after month, year after year. This collection of those reviews also allows organizations to properly prepare for them as well as enable this to be part of the Executive Status report.
Detailed Description/Workflow	Audits and Assessment records can be added into the platform, categorized and dates applied to them. Once created, anytime a recurring event takes place, a completion record can be created, and that shows that the particular audit or assessment took place on that date. The collection of completion records for particular assessments over time show that audit/assessment history of your organization's program, which is vital to demonstrating compliance as well as a solid, strong program.
How this screen fits into the overall risk lifecycle	Audits and Assessments do not connect to risks and are not part of the risk register. They are wholly separate from the risk register, graphs, etc. However, Items that are found during audits, assessments, etc. can become findings and eventually risks.

Screen Review: Audits & Assessments (1 of 3)

Screen: Audits & Assessments

Menu Selection: Audits & Assessments

Navigation Notes: Audits & Assessments

Field/Action/Selection	Description	Req?	Best Practice
Assessment Type	Audit-External, Audit-Internal, Event/Incident, Internal Security Measures, Notification, Other, Penetration Test, Risk Assessment, Vulnerability Scan	Yes	
Assessment Title	The name of the assessment/audit/test.	Yes	Including what entity performs the assessment is a best practice.
Assessment Domain	The scope of the assessment/audit/test.	No	Can be simple or complex – from “Corporate Office” to a single network “PCI Network.”
Out of Scope	Specifically, what is out of scope of the test.	No	Can be blank, or you can deliberately state “nothing.”
Special Section (Read Only) Current Start Date	This field is calculated once the assessment start date and Assessment Duration is completed, and the record is saved.	N/A	
Special Section (Read Only) +- Planned Completion Date	This field is calculated once the assessment start date and Assessment Duration is completed, and the record is saved.	N/A	
Special Section (Read Only) Date of Last Assessment	This field is calculated after a completion record has been created and saved. This is a read-only field that is seen after the record is opened after the completion record is created.	N/A	
Current Progress	Not Started In Progress Complete	No	The default is Not Started

Screen Review: Audits & Assessments (2 of 3)

Field/Action/Selection	Description	Req?	Best Practice
Next Schedule Next Start Date	This is a calculated field that ONLY appears when it is recurring event – and it is saved.	N/A	Appears and disappears based on whether or not it is a recurring event. Is only calculated on save of completed record.
Next Schedule +/- Next Start	This is a calculated field that ONLY appears when it is recurring event – and it is saved.	N/A	Appears and disappears based on whether or not it is a recurring event. Is only calculated on save of completed record.
Edit Schedule Box Carat	Expands or collapses the edit schedule box (upper right of box)	N/A	
Edit Schedule Box Assessment Start Date	Enter the first Assessment Start Date.	Yes	This is entered when you are originally creating the record.
Edit Schedule Box Assessment Duration (Days)	Enter the Assessment Duration in Days.	Yes	This is a general estimate.
Edit Schedule Box Recurring?	Yes/No	Yes	
Edit Schedule Box Repeat Every _____	When recurring is “Yes” – this is exposed to enter in a number of how often something recurs. This first field is the number, the next number is either months or years.	Yes	
Edit Schedule Box Select “Months/Years”	Pull down selection of months or years based on the previous number entry.	Yes	

Screen Review: Audits & Assessments (3 of 3)

Field/Action/Selection	Description	Req?	Best Practice
Status: Status Selection	Good (Green) At Risk (Yellow) Issue (Red)	No	Note that this is a very highlighted status on the Executive Status Report. The colors are represented.
Status: Reason for Status (Required Upon Status Change)	Enter in the reason for any status change.	Yes	This can be positive or negative – such as “We are on schedule and ready” for “Good/Green” – or “We need to get the contract signed” for “At Risk/Yellow.”

Screen Visual: Add Assessment

Add Assessment CANCEL SAVE SAVE & CLOSE

Overview:

Assessment Type *	Assessment Title *
Select...	
Assessment Domain	Out Of Scope

Current Schedule:

Current Start Date	Planned Completion Date	+/- Planned Completion
Date of Last Assessment	Current Progress	
	Not Started	x

Edit Schedule:

Assessment Start Date *	Assessment Duration (Days) *	Recurring? *
		No

Status:

Status	Reason for Status Update (Required upon Status Change)
<input type="radio"/> No Status	

Screen Narrative: Audits and Assessments

Filter, Action Menu & List

Item	Narrative
Purpose(s)	<ul style="list-style-type: none">• To filter and review Audits and Assessments• To add an Audit/Assessment Record• To delete an Audit/Assessment record• To Edit and Audit/Assessment record• To add Completion Date to an Audit/Assessment record
High Level Description	This screen allows the user to review all audits and assessments and take various actions on them.
Detailed Description/Workflow	Users can review, add, delete, edit audit and assessment records. They can, more importantly, add completion dates – where the Audit/Assessment record is maintained, but the running completion records show a history of audit/assessments.
How this screen fits into the overall risk lifecycle	Audits and Assessments do not connect to risks and are not part of the risk register. They are wholly separate from the risk register, graphs, etc. However, Items that are found during audits, assessments, etc. can become findings and eventually risks.

Screen Review: Audits and Assessments Filter, Action Menu & List

Screen: Audits & Assessments\Assessments

Menu Selection: Audits & Assessments

Navigation Notes: Audits & Assessments → Top Menu - ASSESSMENTS

Field/Action/Selection	Description	Best Practice
Filter \Assessment Type	Filter on Assessment Type	
Filter \Assessment Title	Filter on Assessment Title	
Filter \Assessment Domain	Filter on Assessment Domain	
Showing X of Y Records	Shows a number of assessments on the screen at once.	Default is 25
“Select All” Box Selection	When the box is selected – all records on the page are selected for an action.	The only action that can be performed is the delete function.
Add Audit/Assessment Record “+” Symbol	Add an Assessment/Audit Record	
Delete Audit/Assessment Record Symbol Garbage Can	Delete the SELECTED Assessment/Audit Record	You must select one first using the individual box selection on the individual record on the left of the record.
Three Dot Menu (on the individual record) – Edit Assessment	Edit the assessment record	
Three Dot Menu (on the individual record) – Add Completion Date	When a particular assessment or audit has taken place – create a completion date record.	

Screen Visuals: Audits and Assessments Filter, Action Menu & List

Audits & Assessments

ASSESSMENTS COMPLETION LOG

Filters

Assessment Type Assessment Title Assessment Domain

Showing 1 to 3 of 3 entries 1 row selected 25

First Previous 1 Next Last

Assessment Type	Assessment Title	Assessment Domain	Planned Completion	+/- Planned Completion	Date of Last	Status	
<input checked="" type="checkbox"/> Audit - External	SOC 2 Assessment	Home Office	08/05/2025	68 Days Until	05/07/2025	● Good	⋮
<input type="checkbox"/> Penetration Test	Annual Penetration Test	Home Office	08/01/2025	64 Days Until	---	● Good	Edit Assessment + Add Completion Date

Screen Review: Completion Log – Audits and Assessments Filter, Action Menu & List

Screen: Audits & Assessments\Completion Log

Menu Selection: Audits & Assessments

Navigation Notes: Audits & Assessments → Top Menu – COMPLETION LOG

Field/Action/Selection	Description	Best Practice
Filter\Assessment Type	Filter on Assessment Type	
Filter\Assessment Title	Filter on Assessment Title	
Filter\Assessment Domain	Filter on Assessment Domain	
Filter\Completion Date Range – Start Date	Filter on start date of completion log	
Filter\Completion Date Range – End Date	Filter on end date of completion log	
Showing X of Y Records	Shows a number of completion logs on the screen at once.	Default is 25
“Select All” Box Selection	When the box is selected – all records on the page are selected for an action.	The only action that can be performed is the delete function.
Add Completion Record Symbol “+”	When clicked – a pop up box will appear and you will select, by title, the assessment/audit record, and then the completion date, in order to create the completion log.	This can also be done from the Assessments Page.
Delete Completion Record Symbol Garbage Can	Delete the SELECTED Completion Log.	You must select one first using the individual box selection on the individual record on the left of the record.
Three Dot Menu (on the individual record) – Edit Completion Record	Edit the completion record.	

Screen Visuals: Completion Log – Audits and Assessments Filter

Audits & Assessments

ASSESSMENTS **COMPLETION LOG**

Filters

Assessment Type Assessment Title Assessment Domain

Completion Date Range

Start Date End Date

Showing 1 to 1 of 1 entries 25

First Previous **1** Next Last

Assessment Type	Assessment Title	Assessment Domain	Date of Completion
<input type="checkbox"/> Audit - External	SOC 2 Assessment	Home Office	05/07/2025

First Previous **1** Next Last

Add Completion Record

Assessment Title *

Select...

Completion Date *

CANCEL SAVE & CLOSE