uRISQ®
powered by CSR

USER MANUAL

VENDOR MANAGEMENT

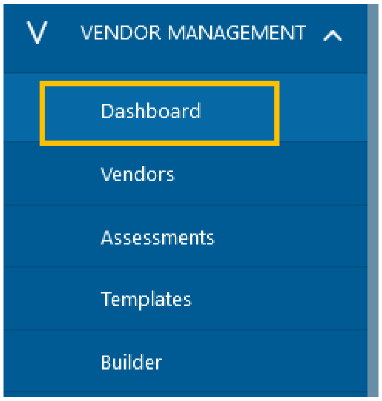
Vendor Management

uRISQs vendor management program is important for a business's success because it facilitates the management of third-party relationships and the risk of data exposure. uRISQ Vendor Management helps businesses manage key facets of a vendor relationship such as contract date and term, audits, and security and privacy assessments.

Dashboard

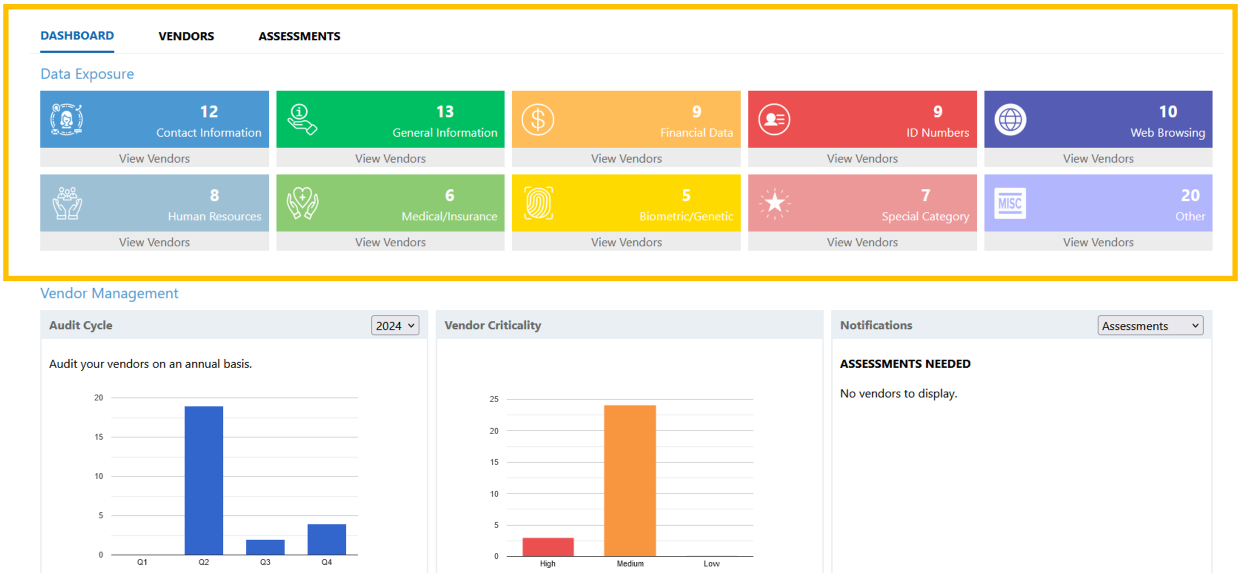
uRISQ is designed to help businesses manage their relationships with third-party vendors. Businesses are reliant on third party partnerships but these relationships can also lead to risk of data exposure. Vendor Management gives businesses the ability to manage specific vendor relationships and also gain insight on their vendor population based on the type data they share, criticality, etc. To access the Vendor Management Dashboard:

1. Log into https://urisq.net
2. Click on Vendor Management in the left side navigation
3. Click on Dashboard

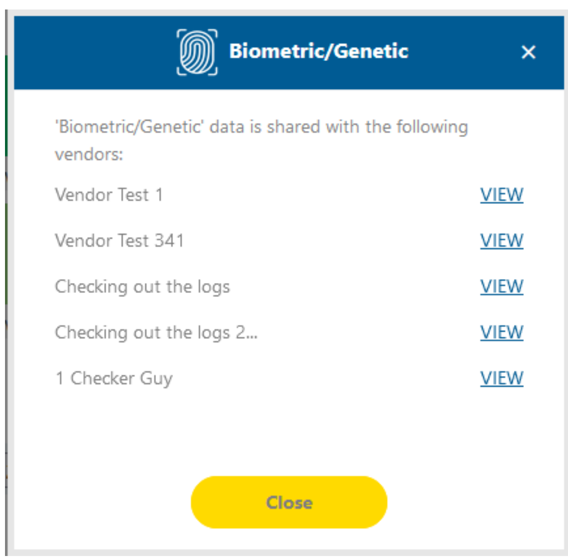


The Dashboard is structured to provide businesses the ability to view their vendors based on key factor such as data exposure, upcoming audit cycles, criticality, and upcoming vendor management tasks.

Data Exposure

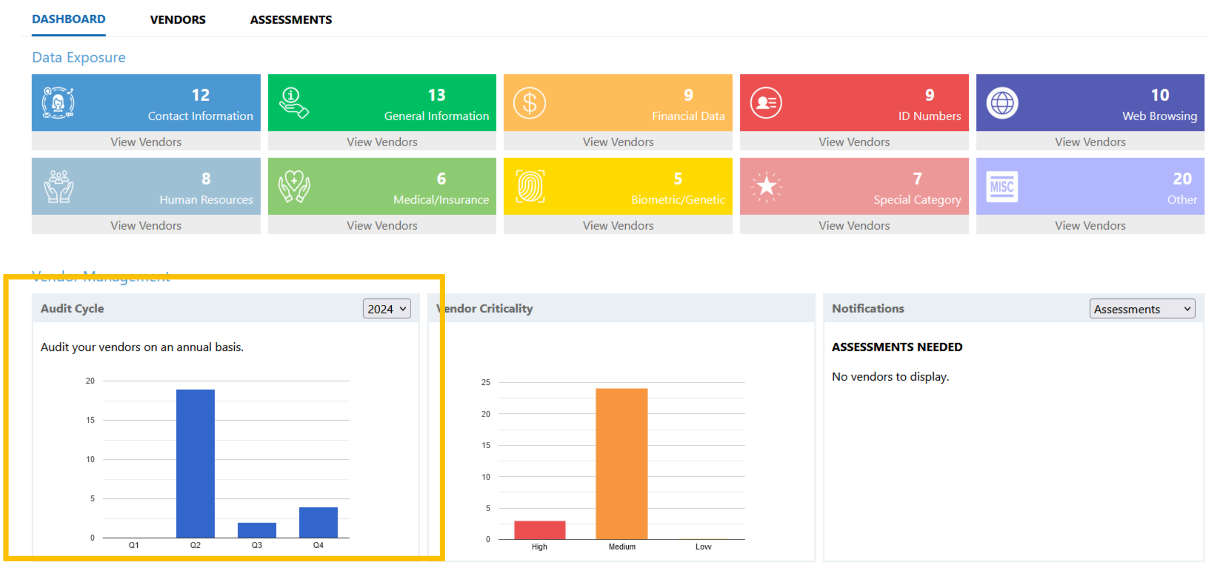


The top portion of the dashboard provides businesses with a view of active vendors based on the types of data they share. By clicking a colored tile, the business can see the vendors they share the respective type of data with. A window will appear with a list of the respective vendors. To easily access a vendor, Click the View link to.



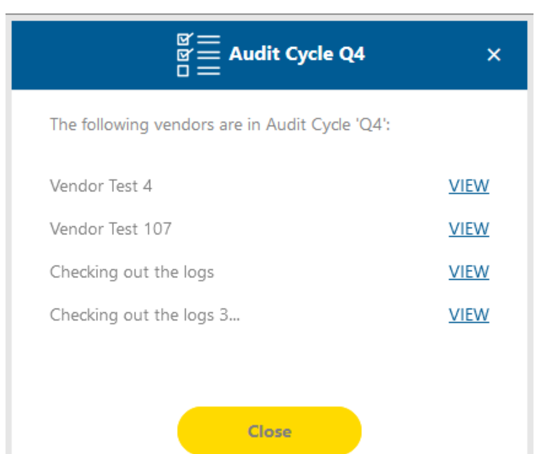
Audit Cycles

The Vendor Management Dashboard provides a graphical view of how many vendors should be audited in the upcoming quarters. Vendor audits are critical in understanding what data is still being transferred and shared and ensure that nothing has changed. section panels display a quick refence type view for Controllers. The first panel, 'Audit Cycle', displays a graphical representation of Vendors which have Audit Reviews due by quarter in the current and upcoming years.



The Audit Cycle graph also has a year filter dropdown so that businesses can look at the upcoming year. To change the year, use the year dropdown in the top right.

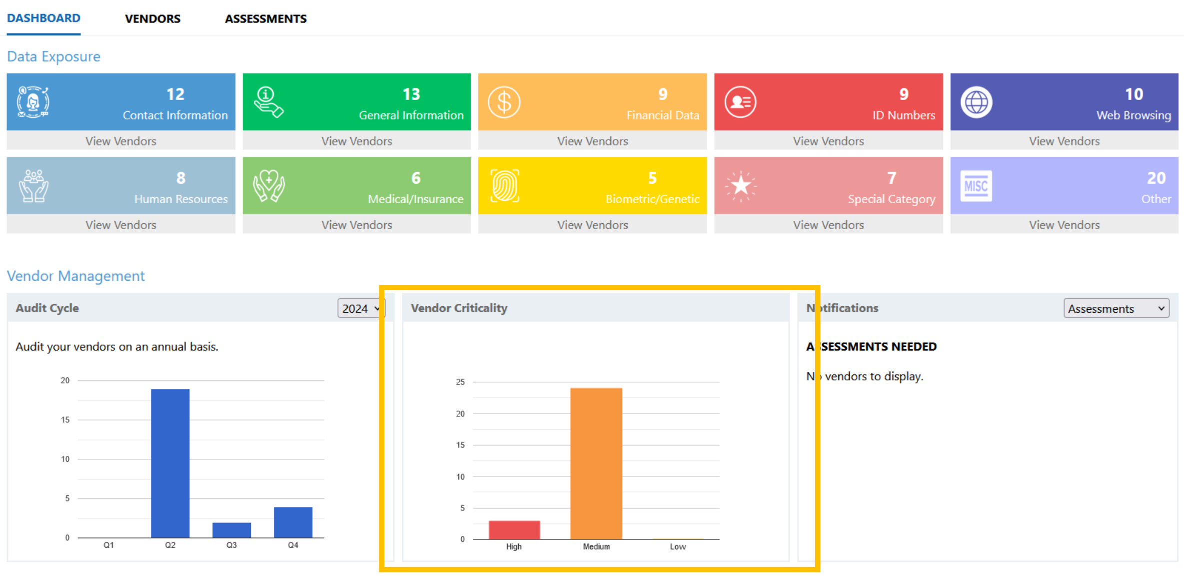
To view the vendors that have audits due on a respective quarter, click on the bar graph for the quarter and a window will appear with a list of the vendors. Click View to access the vendor record.



Vendor Criticality

uRISQ is designed to help businesses manage vendors specifically vendors that are critical to the operational and corporate health of an organization. Criticality of a vendor can be defined by different means, uRISQ allows a business to identify a vendor with a criticality level of high, Medium or low.

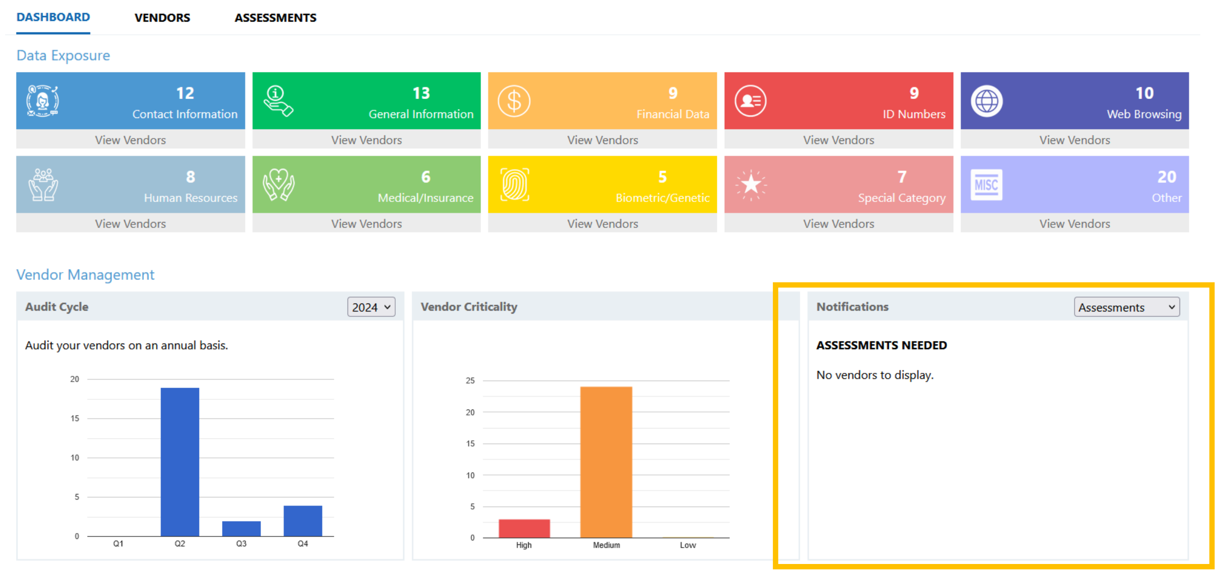
The Vendor Criticality graph allows a business to easily see how many vendors and which vendors are critical to their organization.



Notifications

uRISQ helps business track vendor specific requirements that should be conducted or reviewed on a recurring basis. The Notifications section displays all upcoming and past due assessments, audits, and contracts. To view assessments, audits or contracts, use the dropdown filter box located at the top right of the Notifications box.

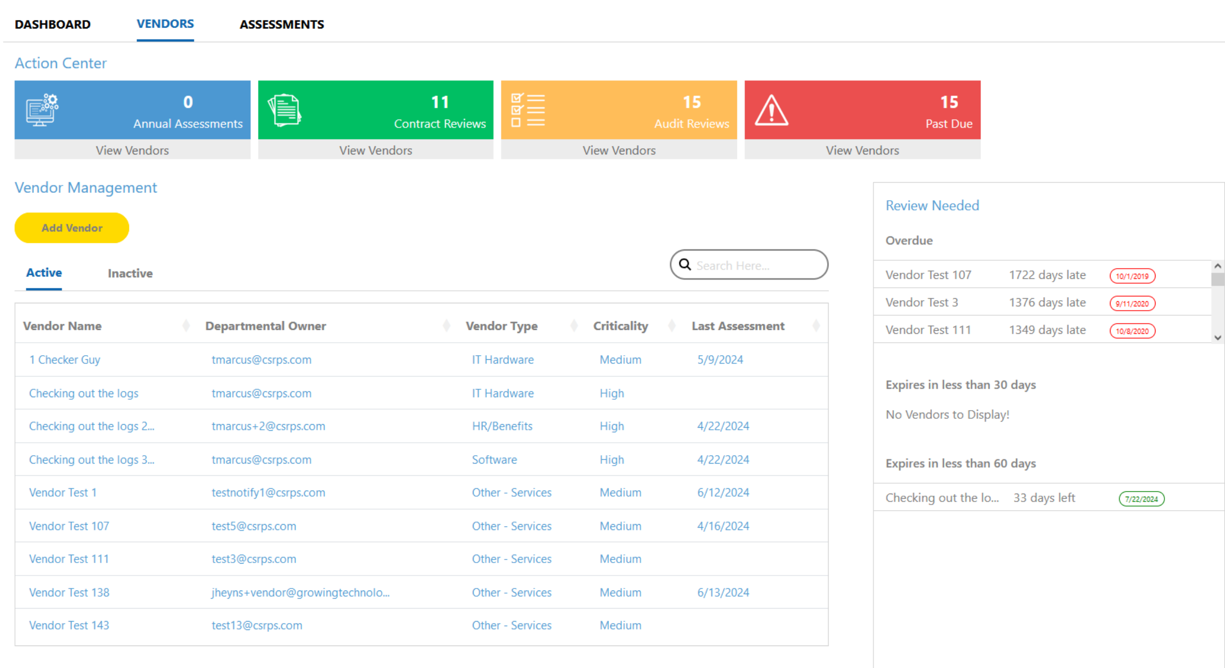
1. Assessments will display vendors that have past due assessments or will be due within 30 days. Assessments notifications are based on the last completed and verified assessment for the respective vendor.
2. Audits will display vendors that have past due audits or will be due within 30 days. Audits notifications are based on the last audit and the audit frequency that was entered for the respective vendor.
3. Contracts will display vendors that are past due or due within 60 days contracts. Contract notifications are based on the contract date and contract term entered on the vendor record.



Vendors

The Vendors page is broken up into three parts:

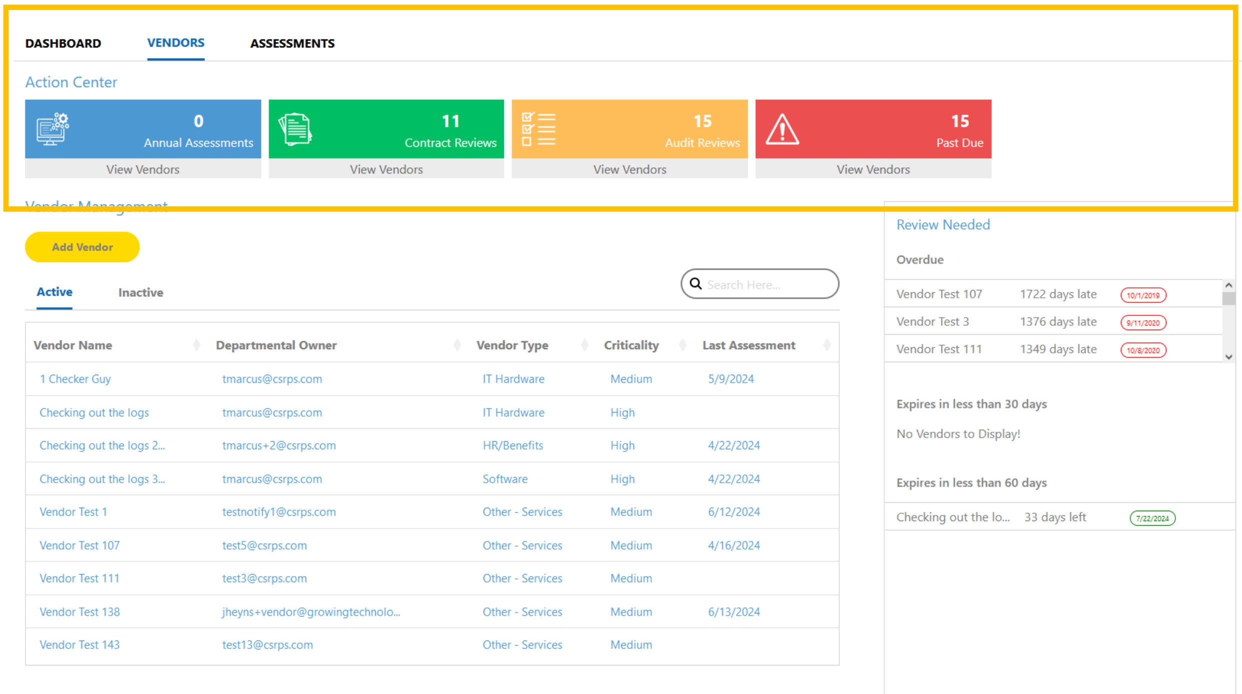
1. Action Center
2. Vendor Listing
3. Highlight of Reviews Needed



Action Center

The top section, Action Center, displays 4 views that helps businesses see what vendors need immediate attention. The tiles in the Action Center are:

1. Annual Assessments: Vendors are due for an annual assessment
2. Contract Reviews: Vendors that need a contract review
3. Audit Review: Vendors that need an audit review
4. Past Due: Vendors that have an assessment, contract, and/or audit past due

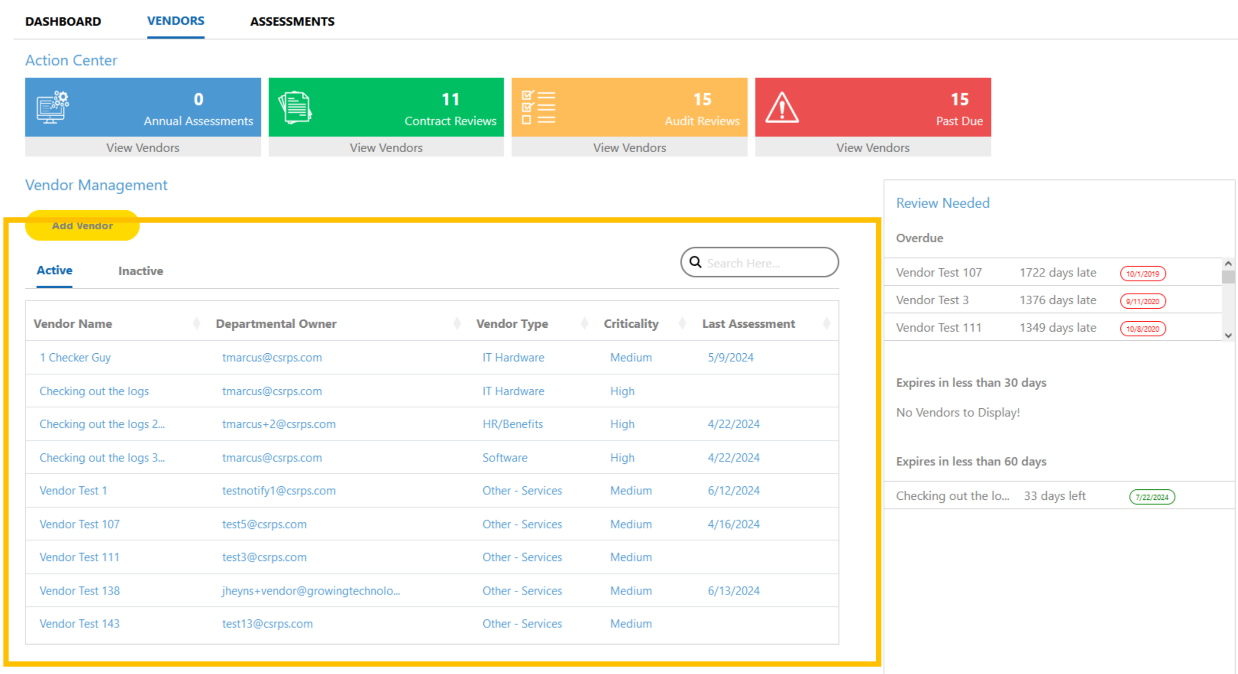


Click the tile or 'View Vendors' bar to open a list of Vendors.

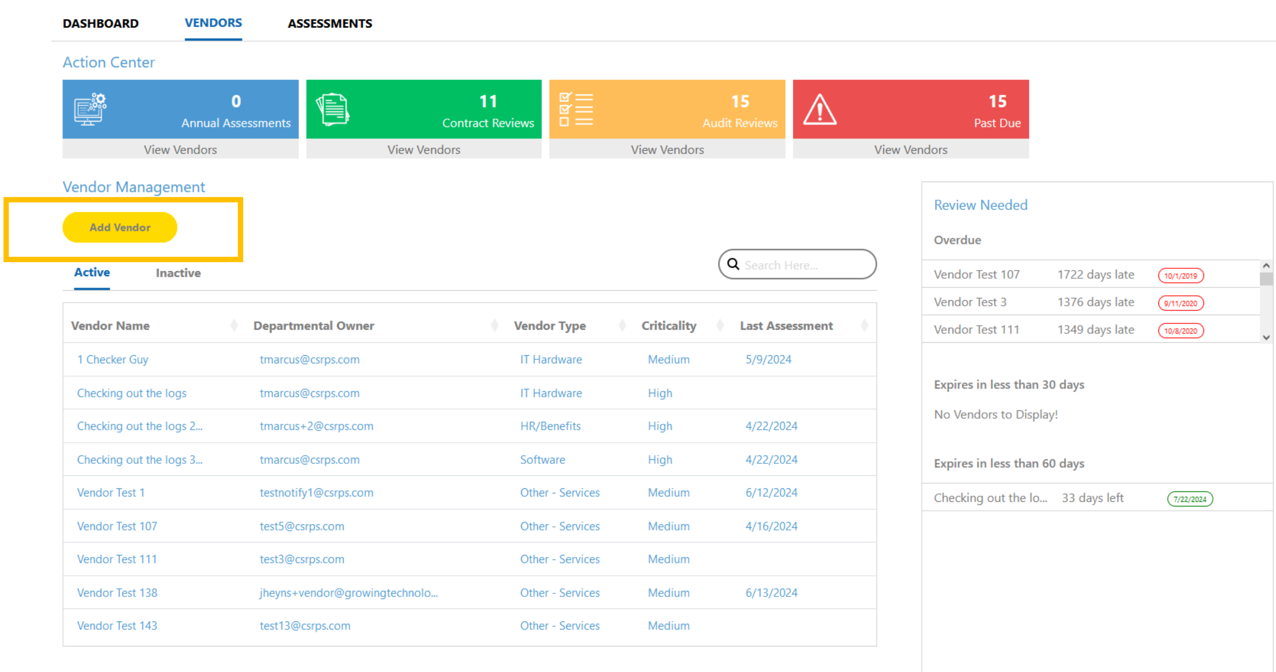
Vendor Listing

Below the Action Center is where a business can add new vendors and access their current vendor records. This section shows the vendor management user what should be worked on to help mitigate the risk that can be caused by their current vendor population.

The vendor listing area will display all vendors in the system. When the page loads, active vendors will be displayed. To search for a vendor, the search field is available at the top right of the vendor listing. Enter your search value and the vendor listing will filter based on the value you enter.



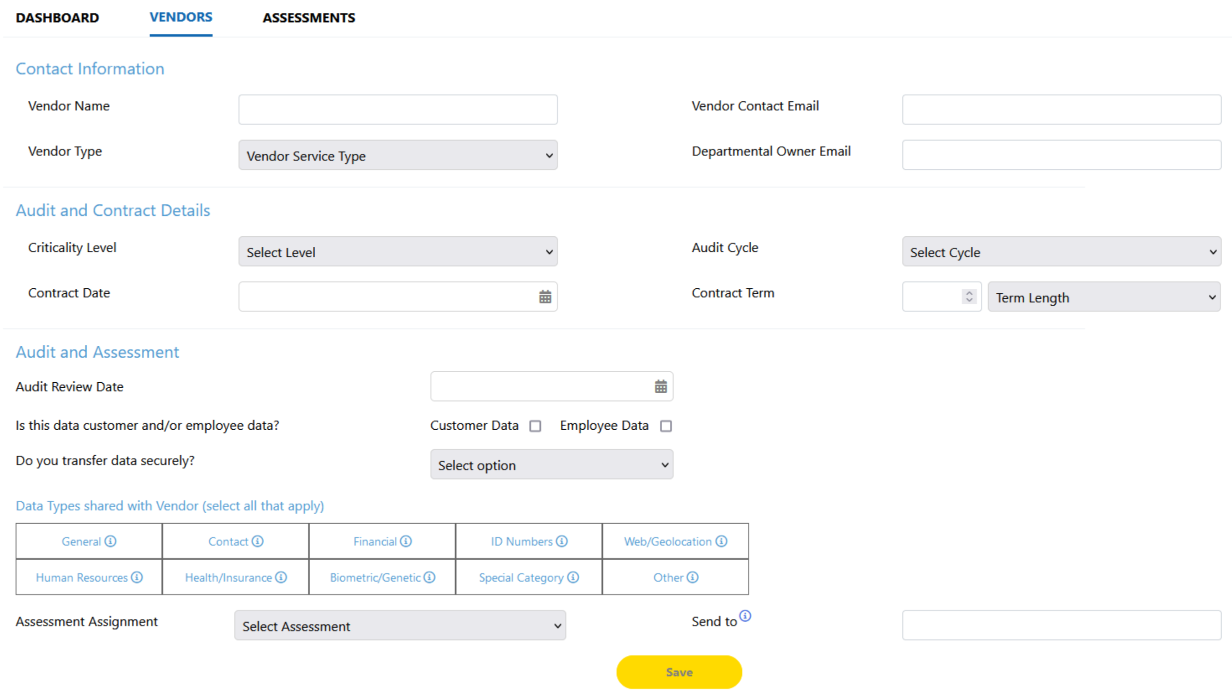
Add Vendor



Adding a vendor is a straightforward process.

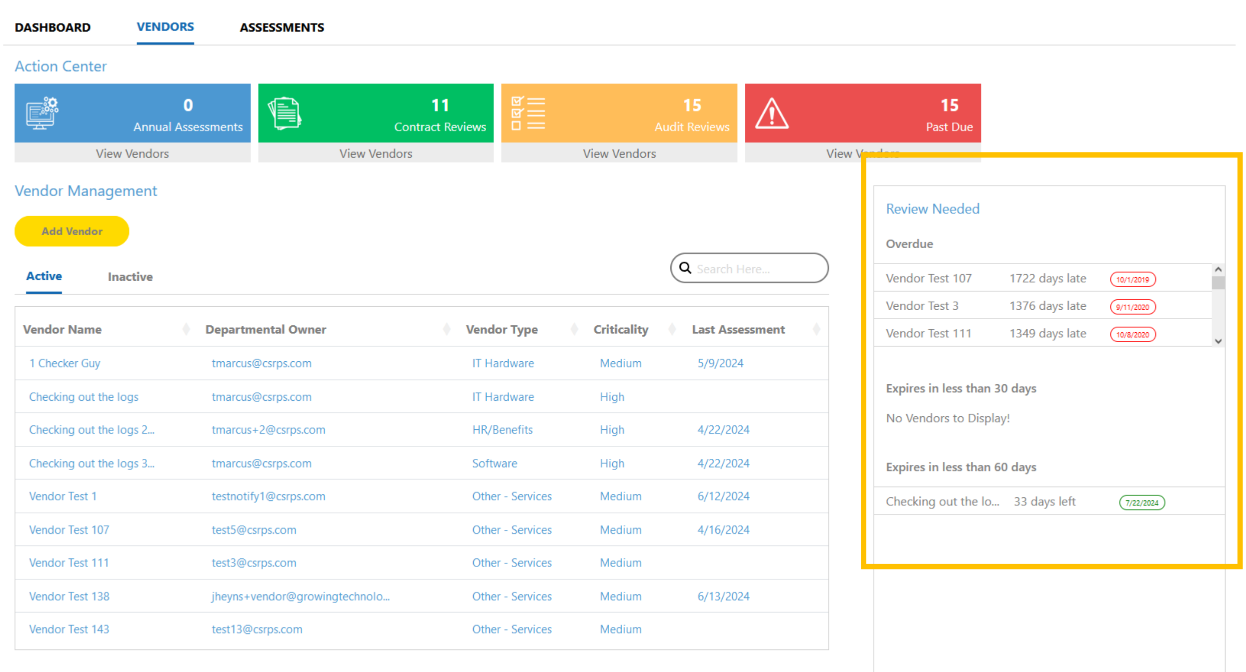
1. Click Vendor Management in the left side navigation
2. Click Vendors

3. Click the 'Add Vendor' button and the system will navigate the user to the add vendor page.
4. Add the following Information:
    a. Vendor Name (required)
    b. Vendor email address
    c. Vendor Type – select the best option form the drop down
    d. Department Owner Email (required)
    e. Criticality Level (required) – select the best option
    f. Audit Cycle (required) – Best practice is Annual; however, you can choose to audit more frequently based. An example of why you may want to audit more frequently is if a vendor had a data breach in the past. You may wish to audit semi-annually to ensure that their practices are up to your standards of security and privacy.
    g. Contract Date (required) – Every vendor relationship should have a contract. Enter in the date of the last contract.
    h. Contract Term (required) – Enter in a number and select a term length unit.
    i. Audit Review Date – Enter in the last audit review date.
    j. Select if the data you are sharing is employee or customer data, or both.
    k. Answer the question, "Do you transfer data securely?"
    l. Data Categories: Select all categories of data you share with the respective vendor.
    m. Assessment Assignment: Select an Assessment you wish to use to assess this vendor.
    n. Send to: Enter in the email address of the user that should receive the assessment. Depending on the vendor relationship, you may want to send it directly to the vendor or to an internal owner. Regardless, enter in the email address
    o. Click Save



Review Needed

The Review Needed section highlights vendor management best practices that are overdue or needs attention in the next 30 or 60 days.



Edit Vendor

When there is need to edit a vendor record to update information such as, vendor contact, vendor contract date, perform an audit, or assign an assessment:

1. Click on Vendor Management in the left navigation
2. Click on Vendors
3. Find the vendor you wish to edit
4. Click on the vendor in the listing
5. The vendor detail page will display

Editing a vendor is much the same as the add vendor page with the addition of a new section under Audits and Assessments. This section displays all audits and assessments assigned to this vendor and the state of each. Audits with an assessment are displayed with an orange create date while assessments with no audits are blue.

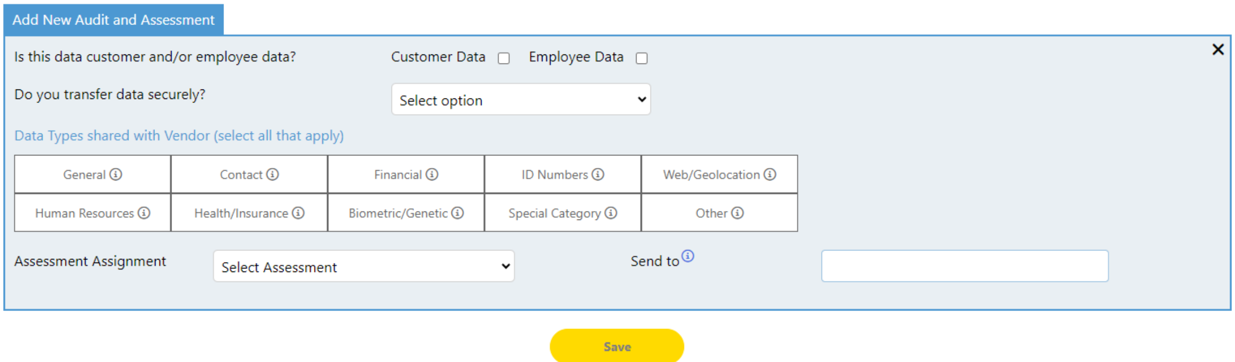

Audits and Assessments

CREATE DATE	ASSESSMENT NAME	COMPLETED BY	COMPLETION DATE
05/17/2024	uRISQ Template Assessment	Not Completed	Not Completed
05/16/2024	uRISQ Template Assessment	tmarcus@csrps.com	05/16/2024
05/16/2024	uRISQ Template Assessment	tmarcus@csrps.com	05/16/2024

Audit a Vendor

To add a new audit with an assessment:

1. Click on Vendor Management in the left-hand navigation
2. Click on Vendors
3. Find the Vendor you wish to audit
4. click the 'Add New Audit and Assessment' button to open a new section.
5. Add in the audit record fields
6. Click Save

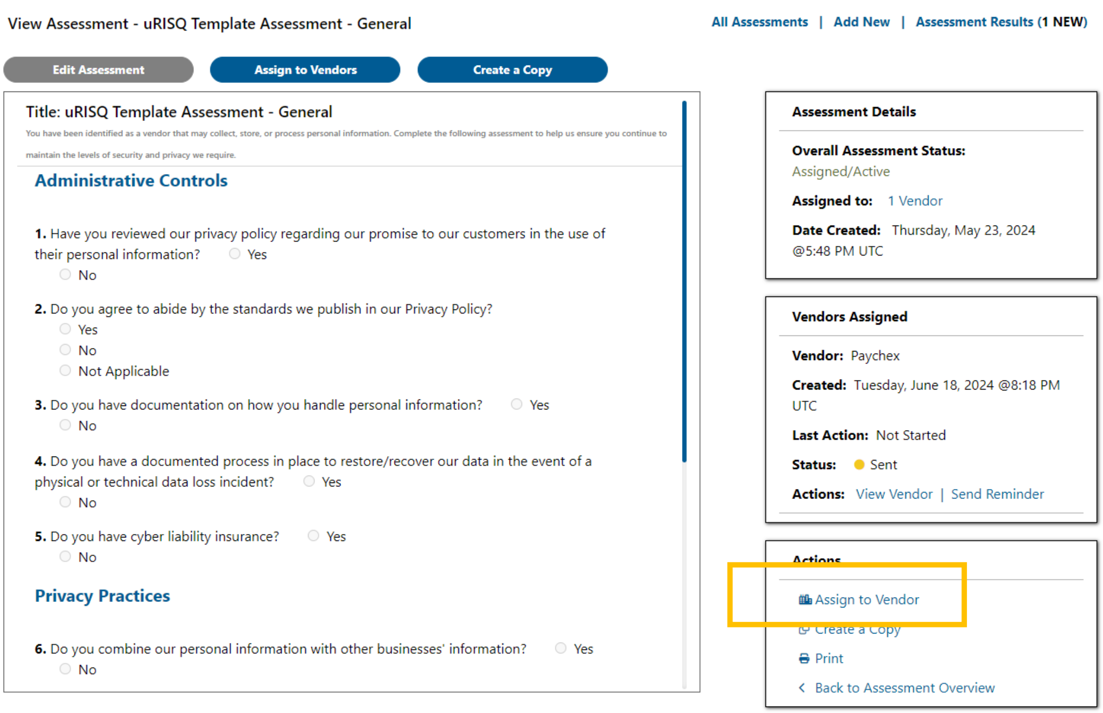


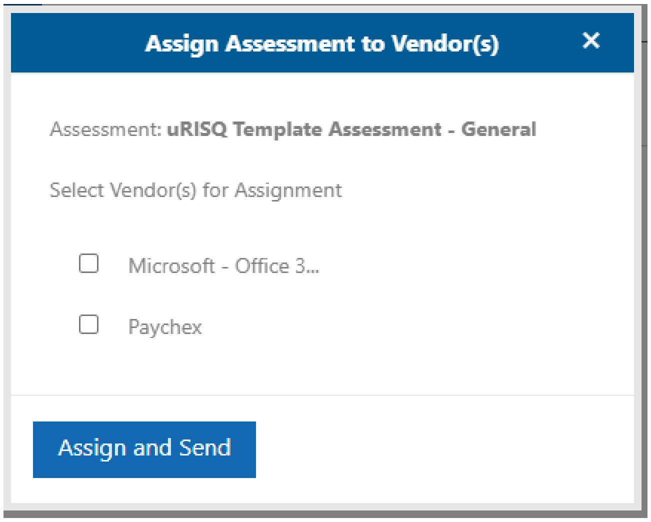
Note: If you wish to audit a vendor and NOT assign an assessment you are able to do this by not selecting an assessment and not enter in a send to email address.

Assessment Assignment

Assessments assignments can be done on the Vendor page as well as on the Assessment page. Typically, an assessment is done at the time of audit however, depending on your audit cycle, this may not be the case. To assign an assessment:

1. Click on Vendor Management in the left-hand navigation
2. Click on Templates
3. Select the Assessment template you wish to assign
4. Click on Assign to Vendor in the right-hand side
5. Select the vendor(s) and click Assign & Save





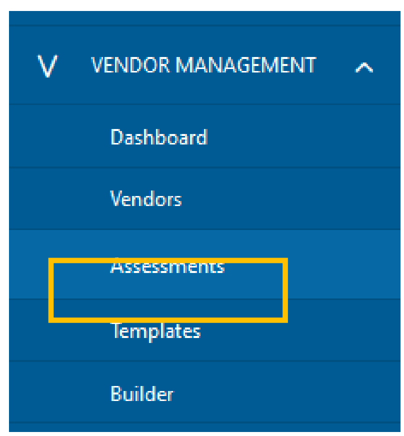
Once assigned an email will be sent to the last email address that received previous assessments or to the department owner email address entered in the vendor record. If you wish to send an assessment to a new user, go to the Vendor page and add a new audit record with assessment assignment.

Assessments

Vendor assessments that have been assigned and/or completed, are accessible in the Assessments section of Vendor Management. Once an assessment is completed the department owner and administrator will receive an email notifying them of the completed assessment. To quickly access the assessment you can click on the button in the email or access the assessment in the Vendor Management module.

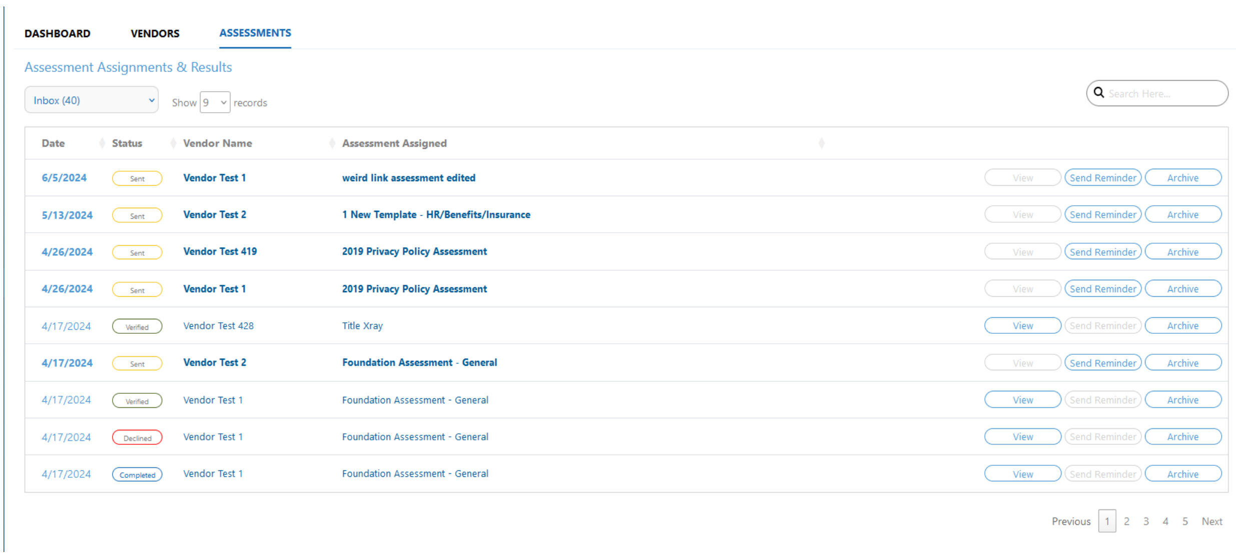
To access existing assessments:

1. Click on Vendor Management in the left side navigation
2. Click on Assessments
3. Select the Assessment you wish to review.

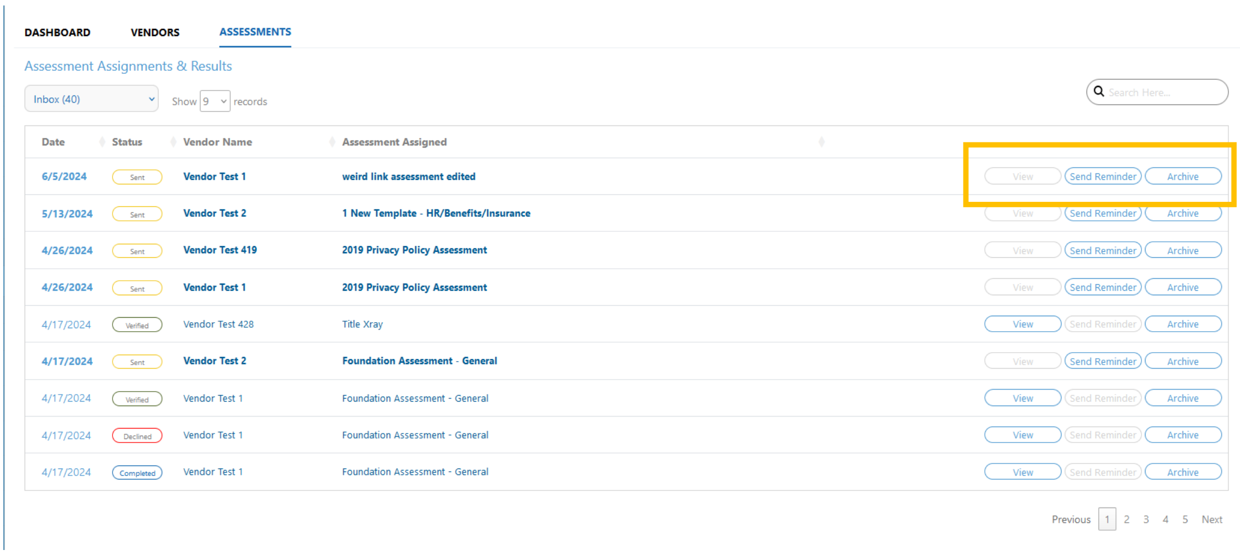


Assessments are listed in descending order of assignment date. The table shows the date, status, vendor name, and the assigned assessment. Assessment statuses are:

1. Assessment being taken
    a. Sent – assessment was assigned and an email was sent to the respective person to take the assessment.
    b. In Progress – user has started the assessment but has not completed it yet.
    c. Completed – assessment has been submitted
2. Administration of Assessment – Can only be modified by a global or application administrator
    a. Verified – assessment has been reviewed and Verified by authorized user
    b. Declined – assessment has been reviewed and Declined by authorized user



Users can choose to view, send a reminder to take the assessment, or archive the assessment using the three buttons to the right. If a button is greyed out, it is because the button function is not authorized at that time. For example, you are not able to view an assessment if the assessment has not been submitted yet.



The ‘View’ button is available once the assessment has been submitted by the vendor and, on click, will take the controller to the assessment results for verification.

The ‘Send Reminder’ option is available up until the assessment has been submitted. The button will send a reminder email to the vendor’s Send To email address in the vendor configuration.

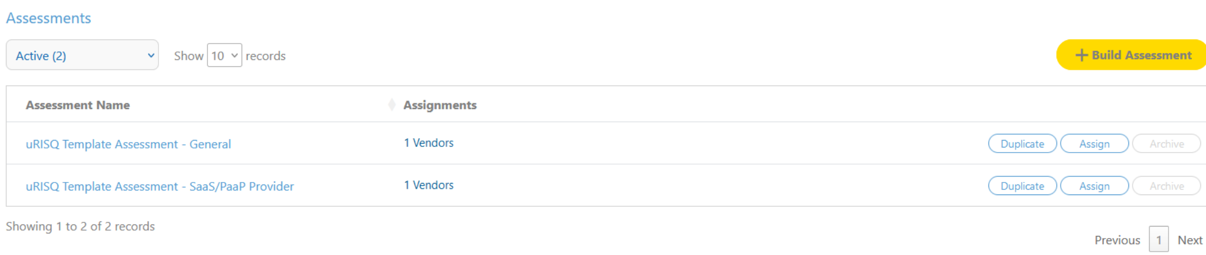
The ‘Archive’ button will move the assessment to the Archived listing. If an assessment has been completed and you wish to reduce the number of assessments in your primary you can archive the record and access archived records by selecting the dropdown in the upper left corner.

IMPORTANT: Assessment assignments email links are valid for 60 days after the assignment date and results are available for 30 days following submission.

Templates

uRISQ provides companies with a selection of template assessments and the ability to create custom assessments using the Builder tool. To access template assessments or assessments custom assessments created by your company:

1. Click on Vendor Management in the left-hand navigation
2. Click on Templates
3. List of assessments will appear



The dropdown in the upper left allows filtering by status

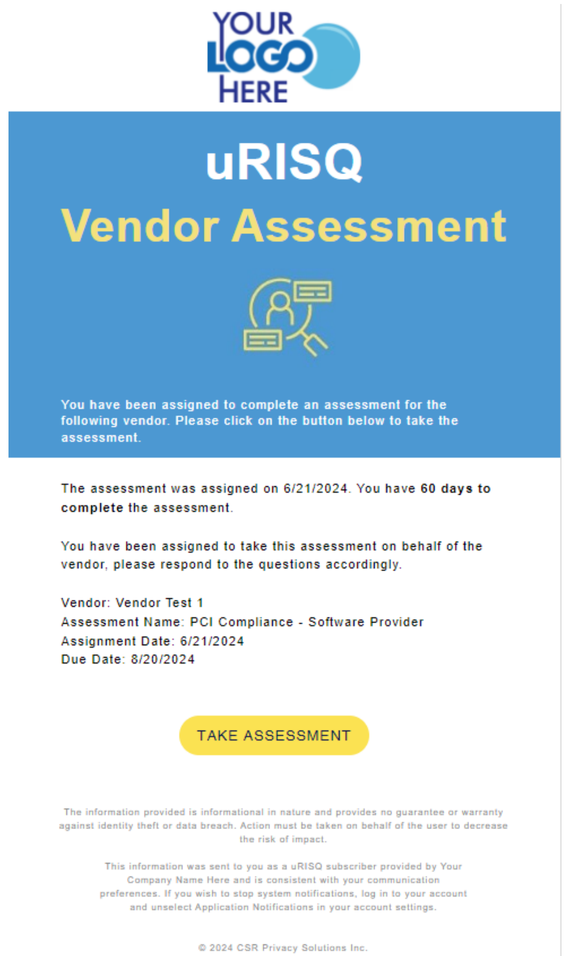
1. Active: All active assessments
2. Assigned: All assessments that have been assigned to a vendor
3. Not Assigned: All assessments that have never been assigned to a vendor
4. Archived: All assessments that have been archived by user or by the system due to new versions

uRISQ template assessments are revised periodically and old versions are deactivated and archived.

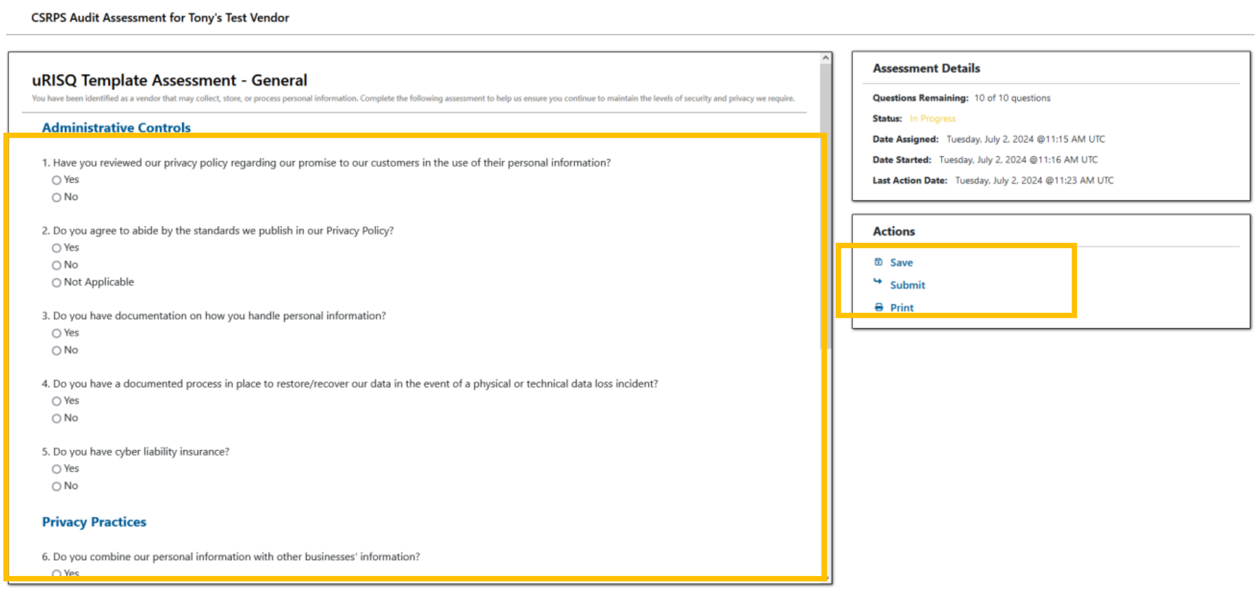
Taking Assessments

Taking assessments is a straightforward process. Upon receipt of the invitation email, click the ‘Take Assessment’ button. An assessment email link is valid for 60 days from the assignment date to complete the assessment.

If the assessment has not been completed, an administrator can resend the assessment email by clicking on the [Send Remainder button on the Assessment](#) page.



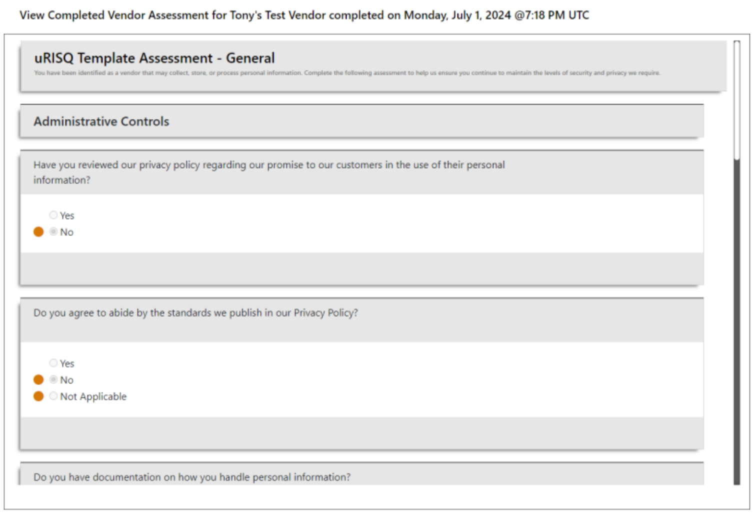
To complete the assessment, answers must be selected for each question. Details as to the number of remaining questions, status, and the assignment & last action dates are displayed on the right. Below the details section are the available actions; save, submit, and print.



As questions are answered, the assessment automatically saves the answers submitted. However, it is always recommended to click Save in case of network interruption.

'Submit' is only available if all questions have been answered and 'Print' provides the user with a properly formatted assessment to save or print out for their records. Once the assessment has been submitted an email is sent with a link accessing the assessment results. Assessment results are only available through the link for 30 days after submission.

This submission page displays the questions and answers with remediation level requirements. Additionally, the 'Print' action is available.



Reviewing an Assessment

Once the assessment has been submitted, the Controllers will receive an email notification of the completion.

The assessment submission can be quickly viewed by clicking on the 'View Results' button.

You can assess the submission by going to the Vendor Management Module:

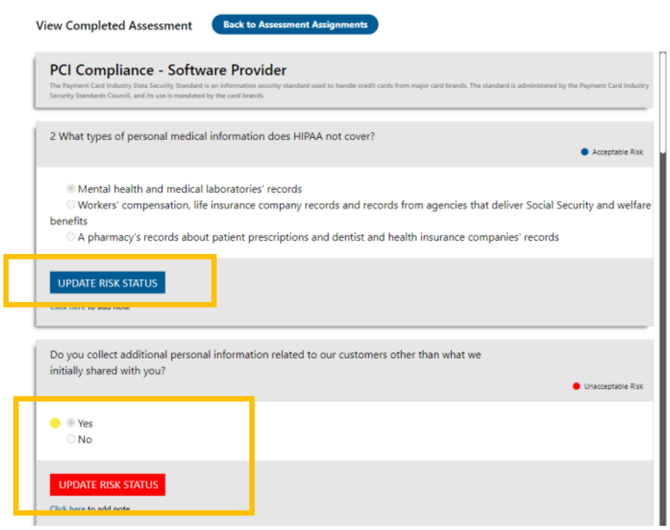
1. Click on Vendor Management in the left-hand navigation
2. Click on Assessments
3. Select the assessment you wish to review by clicking the View button

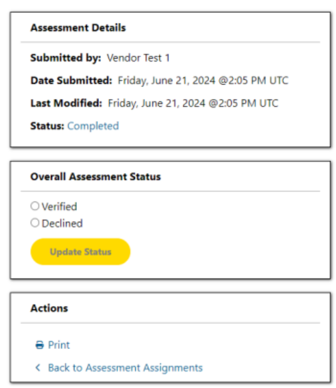
Based on how the assessment questions, uRISQ highlights risk levels.

1. Questions:
   a. Blue button: Acceptable risk levels
   b. Red Button: Unacceptable levels
2. Answers
   a. Yellow Circle: Needs Documentation, for example, copy of a SOC 2 Report or Risk Assessment
   b. Orange Circle: Needs more Investigation, indicates that the answer may cause an increased risk of data loss

Standard users are able to update the status of questions and add remediation notes to each question, however only Vendor Management Application Managers & Global administrators may update the Overall Assessment Status (located in the right-side box).

The assessment details and print options are also available in the right-side panel for all users with access to Vendor Management.



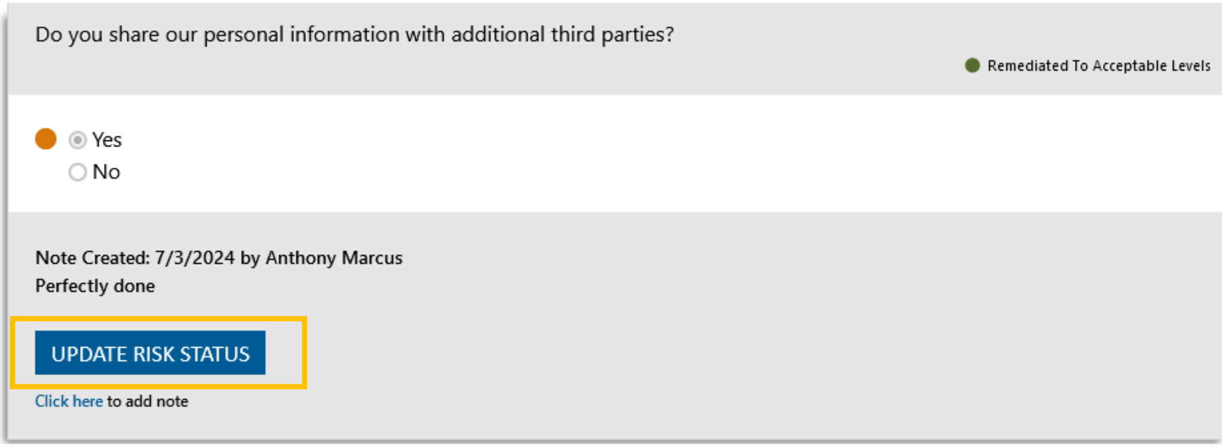


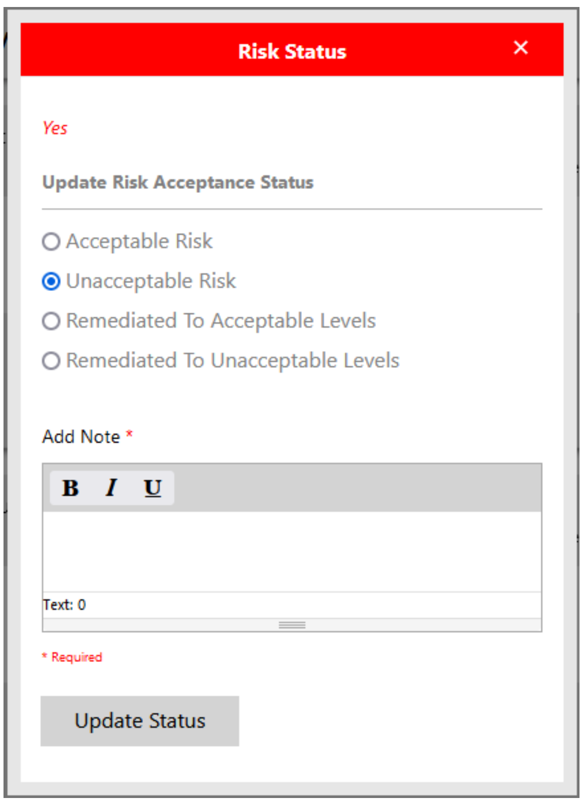
Update Question Risk Status

To update the question risk status:

1. Click on the UPDATE RISK button
2. A Risk Status panel will open
3. Click on the desired status
4. Add the required note

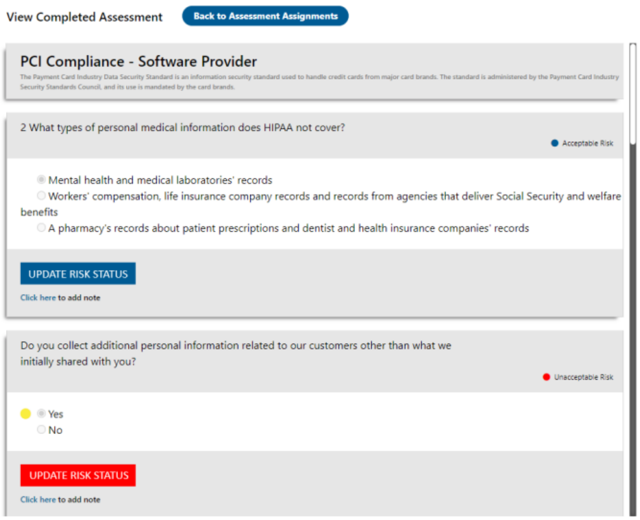
5. Click ‘Update Status’

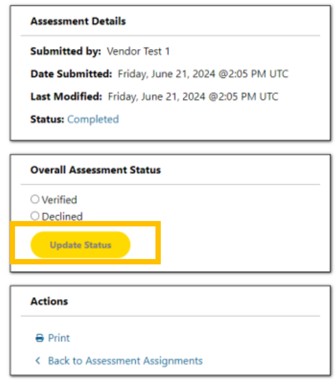




Update Assessment Status

Global and application administrators are authorized to update the assessment status. Once an assessment is reviewed and a determination of verifying or declining the assessment has been made, the administrator will go to the assessment and in the right-hand box, Overall Assessment Status, select Verified or Declined and click the Update Status button.

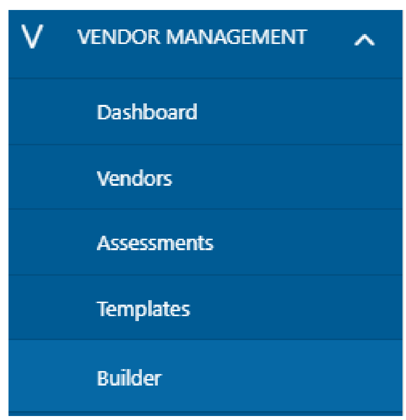




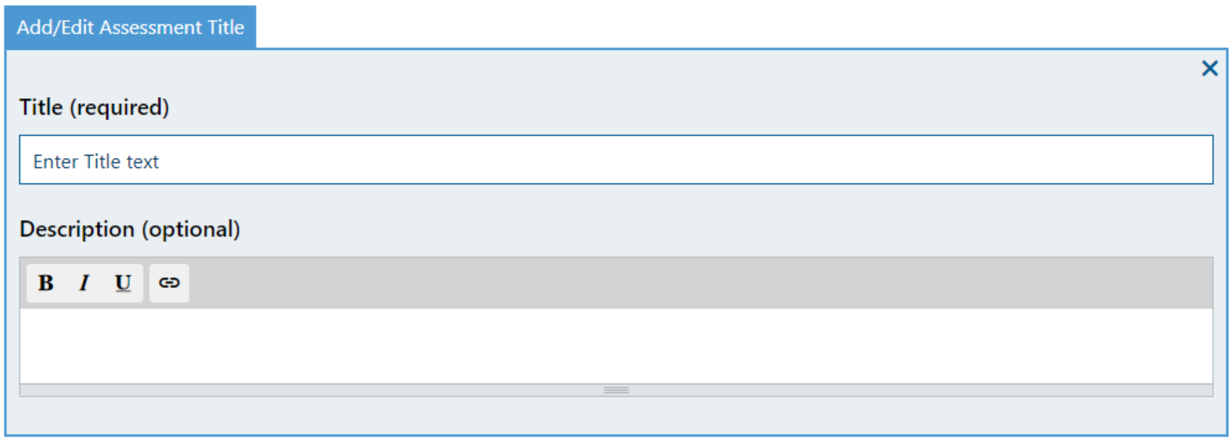
Builder – Building Custom Assessments

uRISQ provides businesses with an easy-to-use drag and drop tool for creating custom assessments. The Builder also allows users to use standard questions, create custom questions, and create headers they can be used in their custom assessment.

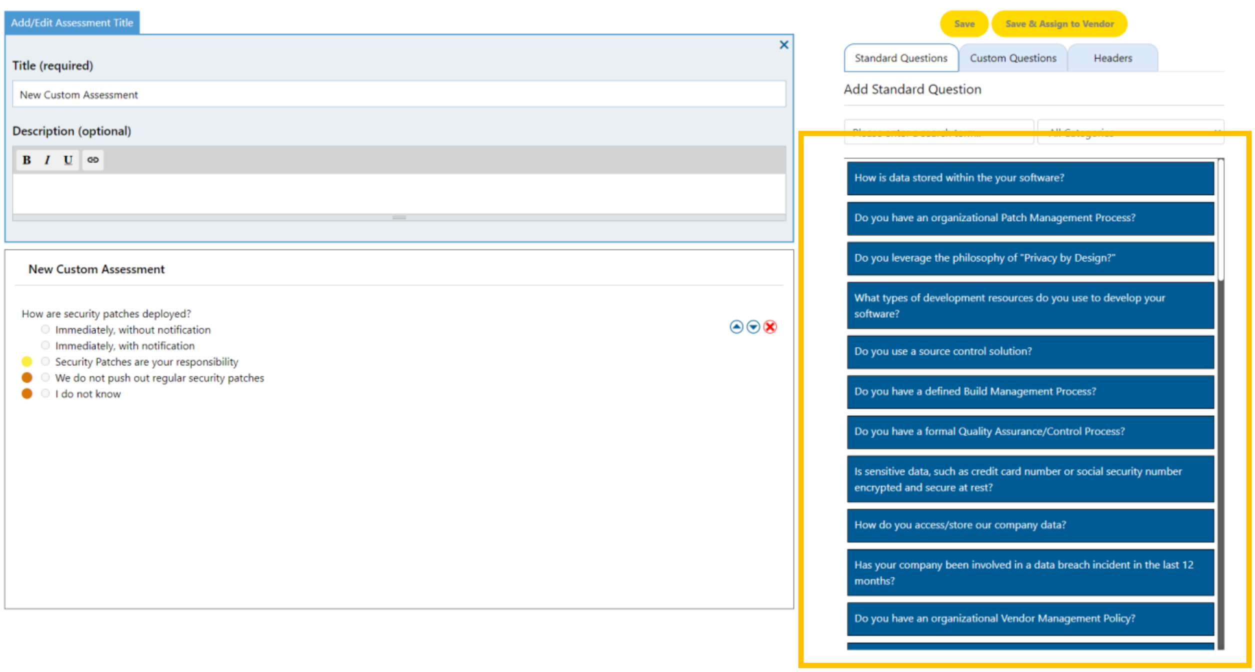
Create a New Custom Assessment



1. Click on Vendor Management in the left-side navigation
2. Click Builder
3. New Assessment page will appear
4. Click on 'Add/Edit Assessment Title' button
5. The title and description panel will open
6. Enter in Title and Description
7. real time in the assessment area below. Then click the 'Add/Edit Assessment Title' button again to collapse the input area and maximize the Assessment question area.



The right-side panel displays standard questions, custom questions, and headers that have been created. You can quickly and easily build a custom assessment by dragging and dropping the questions you wish to add to your new assessment into the left assessment panel.



1. Adjust the order of questions or header by dragging and dropping or use the up and down arrows to the right.
2. Remove a question or header from the assessment by clicking on the red “X’ to the right.
3. Once completed, Click ‘Save’
4. If you wish to immediately assign a vendor, Click ‘Save & Assign to Vendor’
    a. A window will appear with active vendors
    b. Select one or more vendors you wish to assign
    c. Click ‘Save’

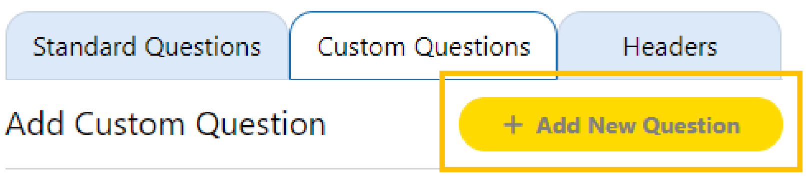
5. Emails will be sent to the email address that was sent an assessment for the respective vendors. If no previous assessments have been assigned the department owner will receive the notification of assignment.

NOTE: To save an assessment you must include a title and at least 3 questions.

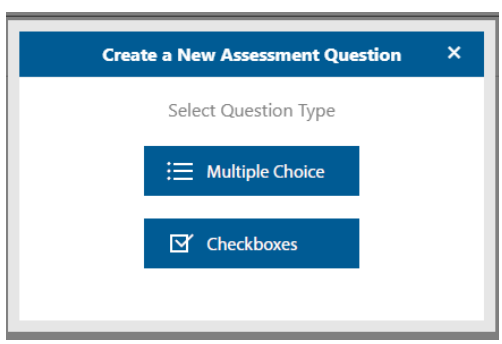
Creating Custom Questions

Creating questions allows a business to tailor their vendor assessments for specific use cases. Your custom questions are only available for your company. To add custom question:

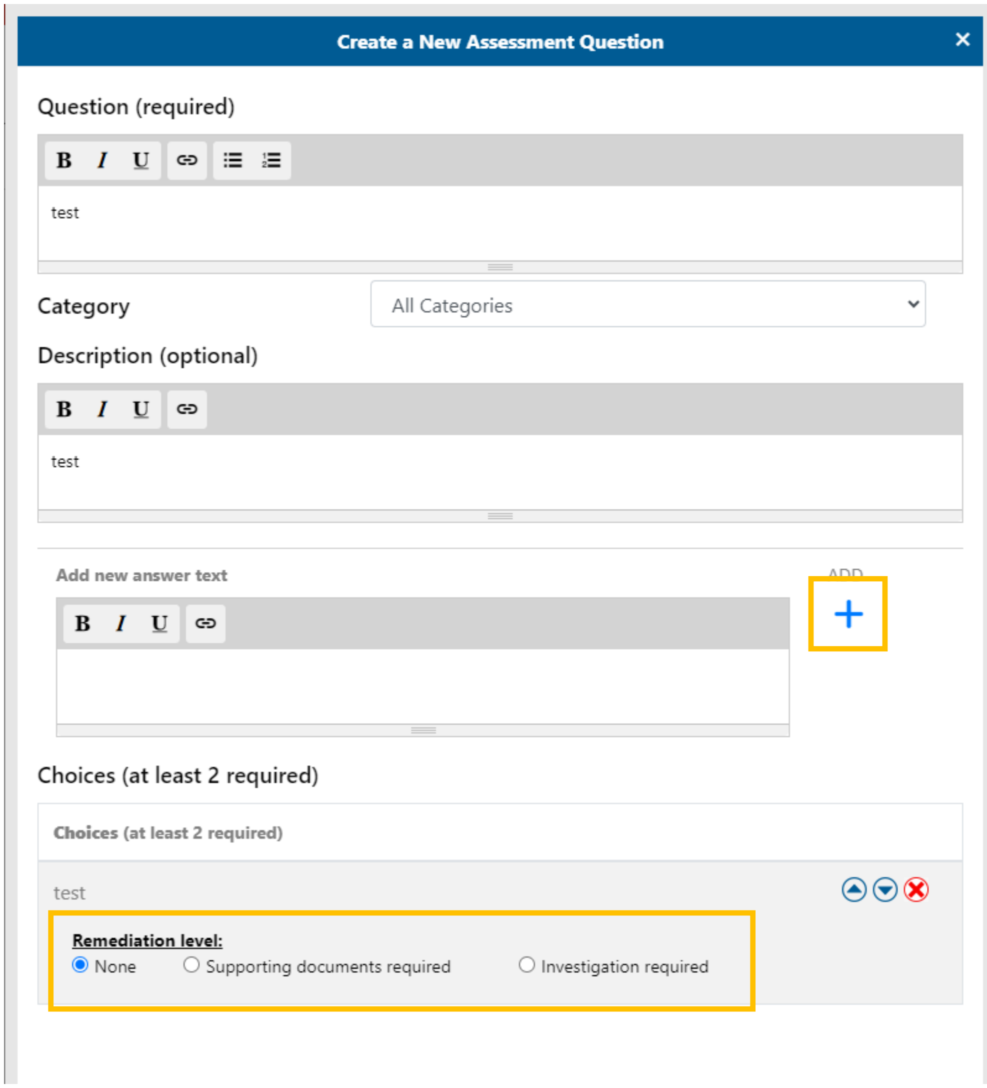
1. Click on Vendor Management in the left-side navigation
2. Click Builder
3. Create a new assessment or choose an existing one in the dropdown
4. Click on the Custom Questions tab
5. Click on the 'Add New Question' button



6. A Create New Assessment Question window will appear
7. Select the question type you wisht to create
    a. Multiple Choice questions use a single answer selector or radio type
    b. Checkboxes allow multi-answer selection.



8. The question editor will open
9. Enter the question text. This is the question you want to ask. i.e.: Do you have a Privacy Policy?
10. Select a Category, if desired. All Categories are default. Categories are most helpful if you have a specific question that would only be asked specific to a data category.
11. Enter a Description, this description will appear below the answers, similar to a tip to help guide the person taking the assessment
12. Answers can be added by entering in text into the "Add new answer text" field.
    a. Enter the answer text
    b. Click Add (plus to the right of the answer text)
    c. Answer will show up below the answer text box
    d. There are three remediation levels
        i. None
        ii. Supporting documents required – will display a yellow dot when this answer is selected
        iii. Investigation required – will display an orange dot when this answer is selected
13. Once completed, click Save Question
14. Your saved question will display at the top of the custom questions, for your convenience.



The question areas provide the user with limited text styling, such as bold, italics, and underline, as well as embedding links, and bulleted & numbered lists. While the Description and answer text has text styling and links only.

Headers

Headers provide the Controller a means to add sections/separators to their custom assessments.

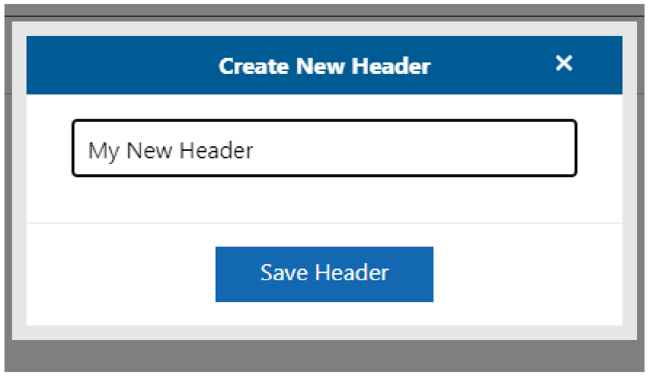
Headers can be drag and dropped onto the assessment.

Add New Header

If you wish to create a new section on your assessment:

1. Click on Vendor Management in the left-side navigation

2. Click on Builder
3. Click on the Header tab on the right side
4. Click the 'Add New Header' button.
5. The Create New Header window will open
6. Enter the header text
7. Click Save Header
8. The new header will appear at the top of the header listing on the right-side panel

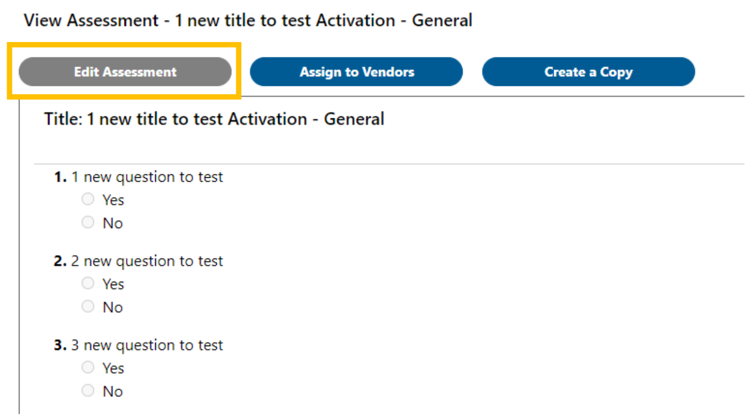


Editing Custom Assessments

Only assessments that have NEVER been assigned to a vendor can be edited to maintain the integrity of assessments taken or being taken. In addition, uRISQ template assessment cannot be edited, however you can leverage any existing assessment by "duplicating" the assessment.

To edit an existing custom assessment:

1. Click on Vendor Management in the left-side navigation
2. Click on Templates
3. Click the Assessment name you wish to edit
4. If you can edit the assessment, the Edit Assessment button will be blue. If it is grey, this assessment is not editable.


View Assessment - 1 new title to test Activation - General
Edit Assessment
Assign to Vendors
Create a Copy
Title: 1 new title to test Activation - General
1. 1 new question to test
Yes
No
2. 2 new question to test
Yes
No
3. 3 new question to test
Yes
No

Duplicate Custom Assessments

uRISQ provides the ability to duplicate an existing assessment, therefore leveraging the structure and questions on the existing assessment.

If you wish to duplicate a custom or template assessment:

1. Click Vendor Management in the left-side navigation
2. Click Templates
3. Click Duplicate on the row of the assessment you want to duplicate
4. A new assessment will be created
    a. The new assessment will be named the same with a number appended to the end of the name.
5. Click on duplicate assessment
6. Click blue Edit Assessment button
7. Make necessary changes in the drag and drop builder.