User Guide

Microsoft Dynamics 365 for Risk Management

18 04 2024

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Contents

Logging In

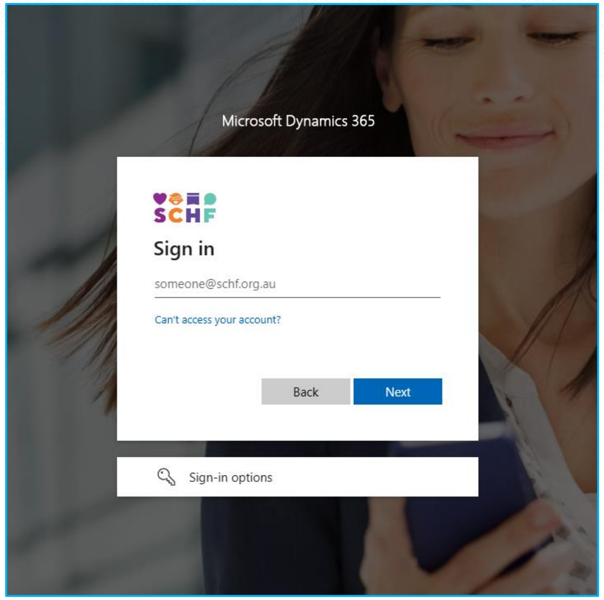
To log into the Risk system, click on the URL provided.

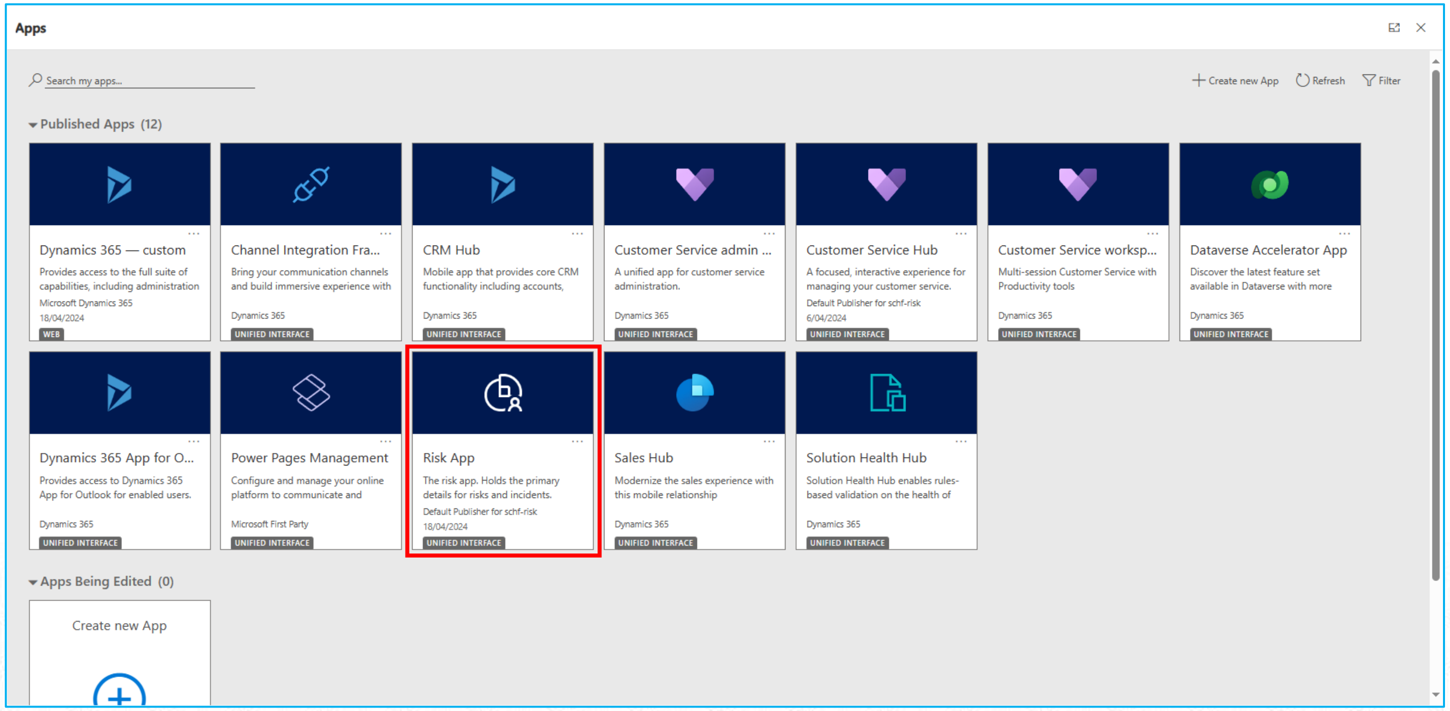
If not logged in, you'll be prompted to log-in with a Microsoft account. Simply log-in with your usual Microsoft work account (the same you use for Outlook, Teams, etc.).

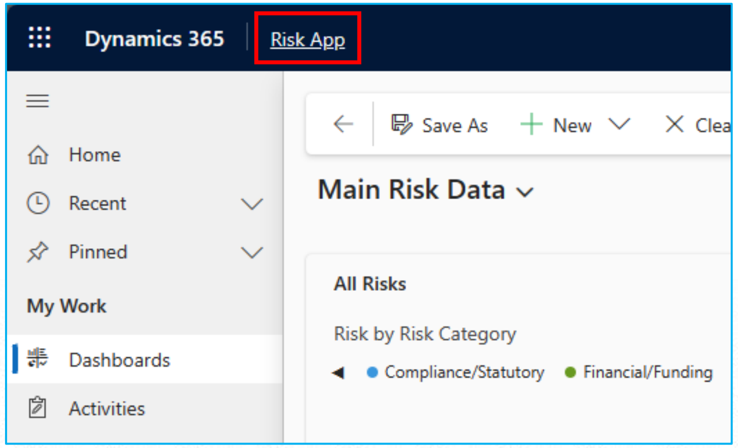
Dynamics will usually load the last app you had open by default (unless you use a URL with the app ID included). If you haven't opened an app, or if your security/licensing was changed, you may instead be provided a list of apps to choose from. You will only see apps you have access to.

<u>When prompted, you should choose the Risk App.</u>

You can change apps at any time by selecting the app name at the top-left of the screen.







Navigating the Dynamics 365 Interface - Summary

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1 **Side Menu**
Contains all modules available for the app.

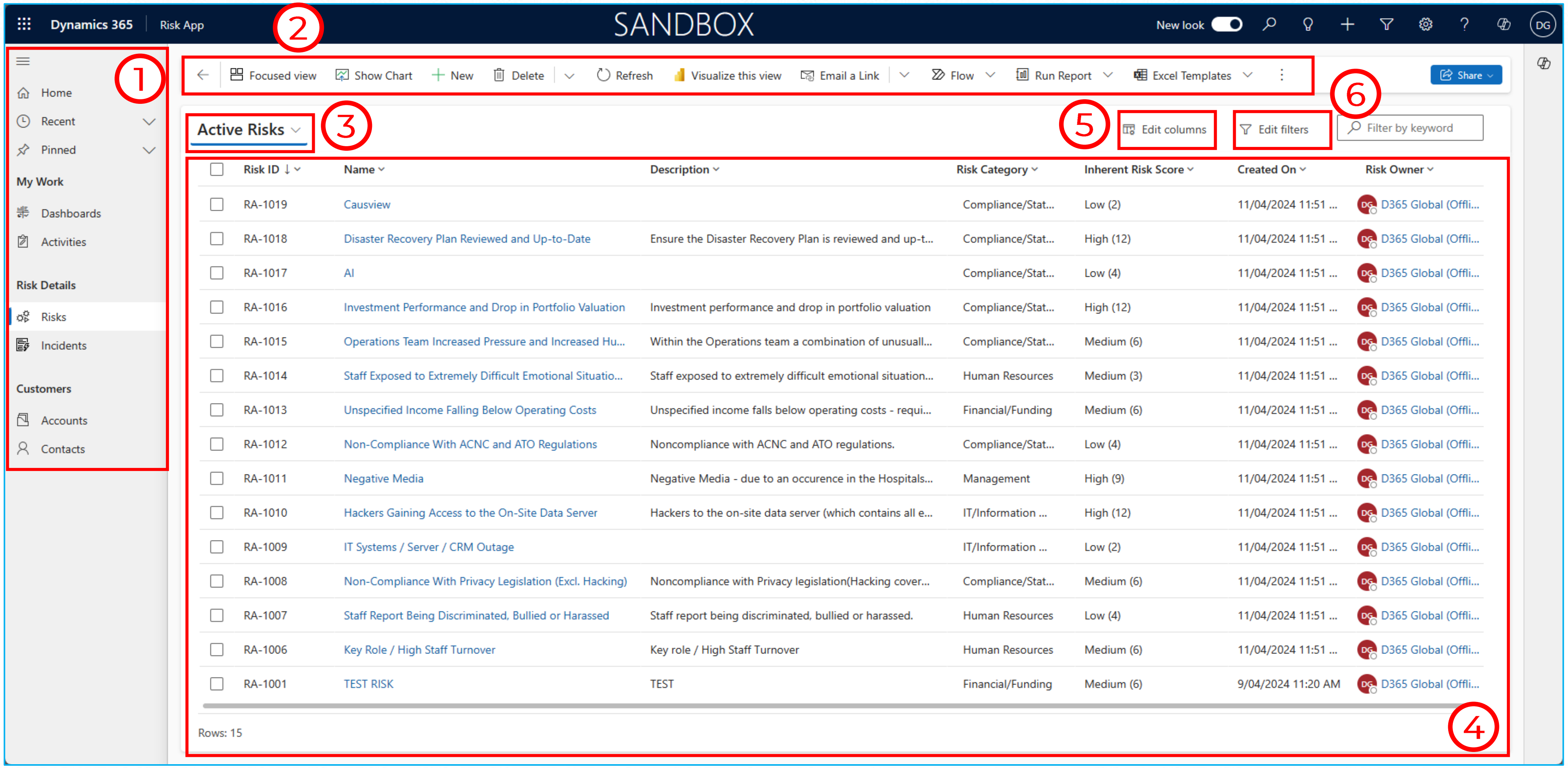
2 **Command Bar**
Contains various options for the current module.

3 **Change View**
Change the way the current data is presented.

4 **Table**
The list of records for the current module, filtered by the current view.
Use it like an Excel spreadsheet.

5 **Edit Columns**
Temporarily add or remove existing fields/column headings to the table.

6 **Edit Filters**
Temporarily change the advanced filters on the data.



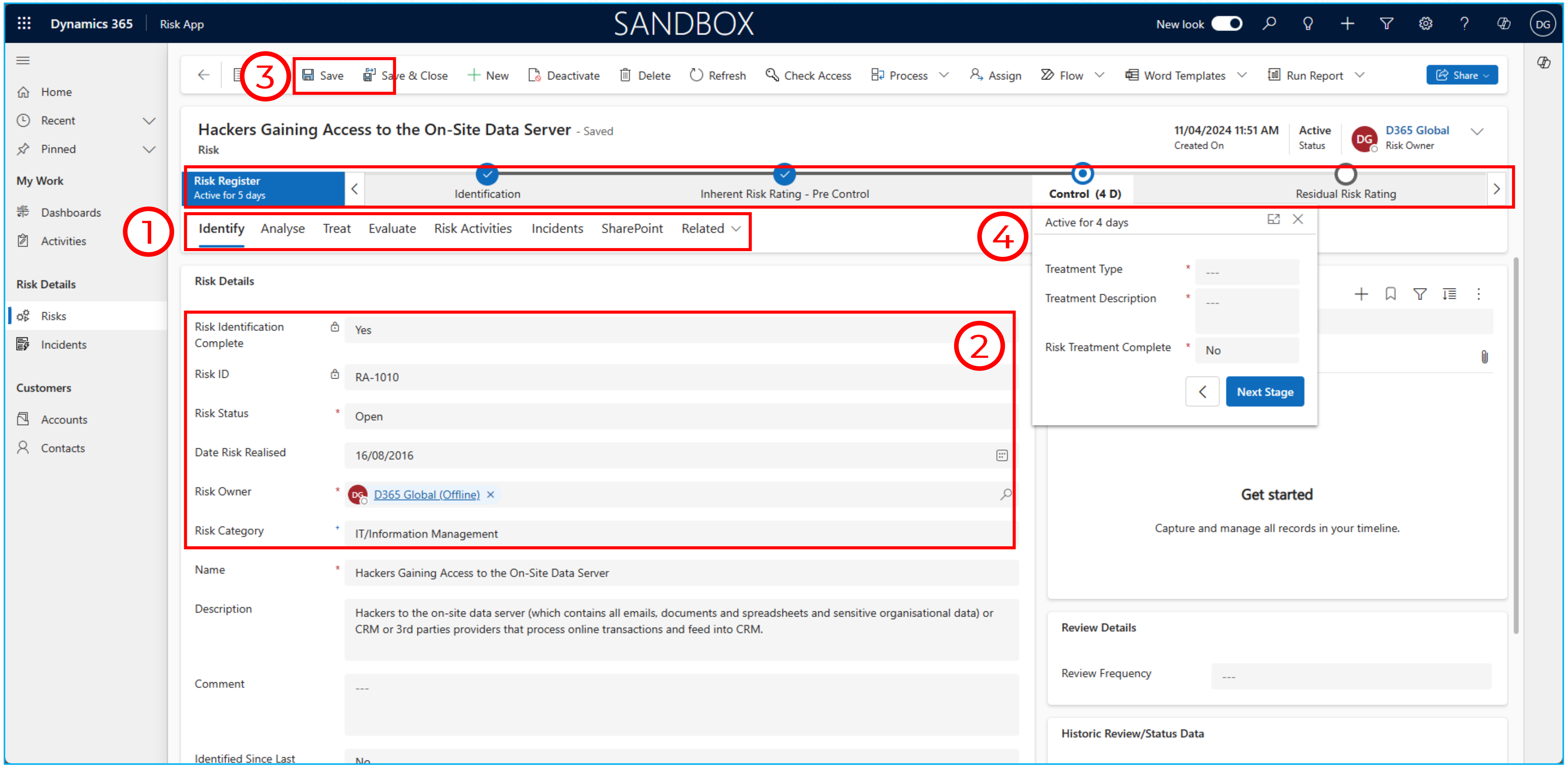
Navigating the Dynamics 365 Interface - Details

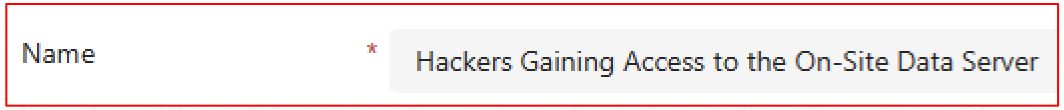
1 **Form Tabs**
Tabs group related fields in the form.

2 **Form Fields**
Customer data is displayed/edited in this section.

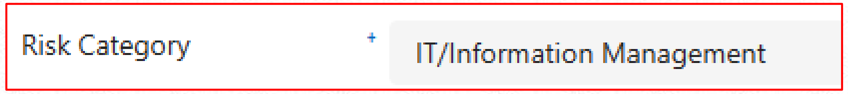
3 **Save**
Click to store any changes in the system.

4 **Business Process Flow (BPF)**
A guide on which fields are important to fill out at certain business stages (not all records have a BPF).



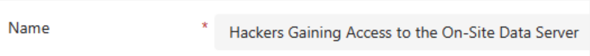
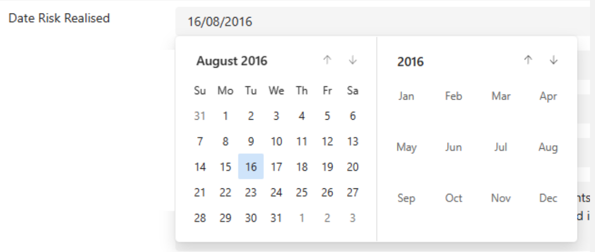
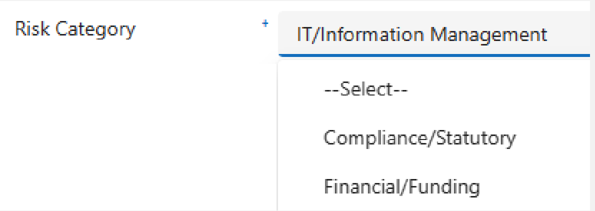


Fields with a red asterisk (*) are mandatory. You cannot save the record if any mandatory data has not been entered.



Fields with a blue plus (+) are recommended, but optional. You should enter data for these fields, but it is not required.

A Guide to Common Form Fields

Field Type	Example	Description
Plain Text/Number		Plain text or number. Some fields will limit your character length or set a particular range for your numbers.
Validated Text Box		Requires the user to input data that matches the prompt. E.G. an email must have an @ symbol and a suffix (.com, .me)
Date Selector		Pick a date with the on-board calendar. If your date settings seem wrong (i.e. American format), go to **Personalisation Settings** and check your format.
Drop Down Select/Multi Select		Select an option from the drop-down list. Some lists may have ☐ square boxes next to each option; this means you can select more than one.
Lookup		Opens a search bar where you can create a **relationship** to a different kind of record in Dynamics 365. Once set, you can click on the field's content to be taken to that record. Click on the magnifying glass icon to open the list or select the search bar and start typing to see the list.

Adding, Editing, and Deleting Records

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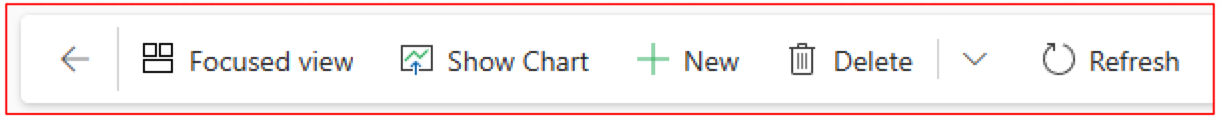
First, choose the table on the left-menu you want to add a record for. Then...



To add a record:

Along the top of the command bar, select [New]. This option won't appear if you are selecting a record.

To edit a record:

Either select the record(s) and then select [Edit] on the command bar, or simply double-click the record (fields highlighted blue refer to other records, including those of other tables; clicking directly on them will open the associated record).

To delete a record:

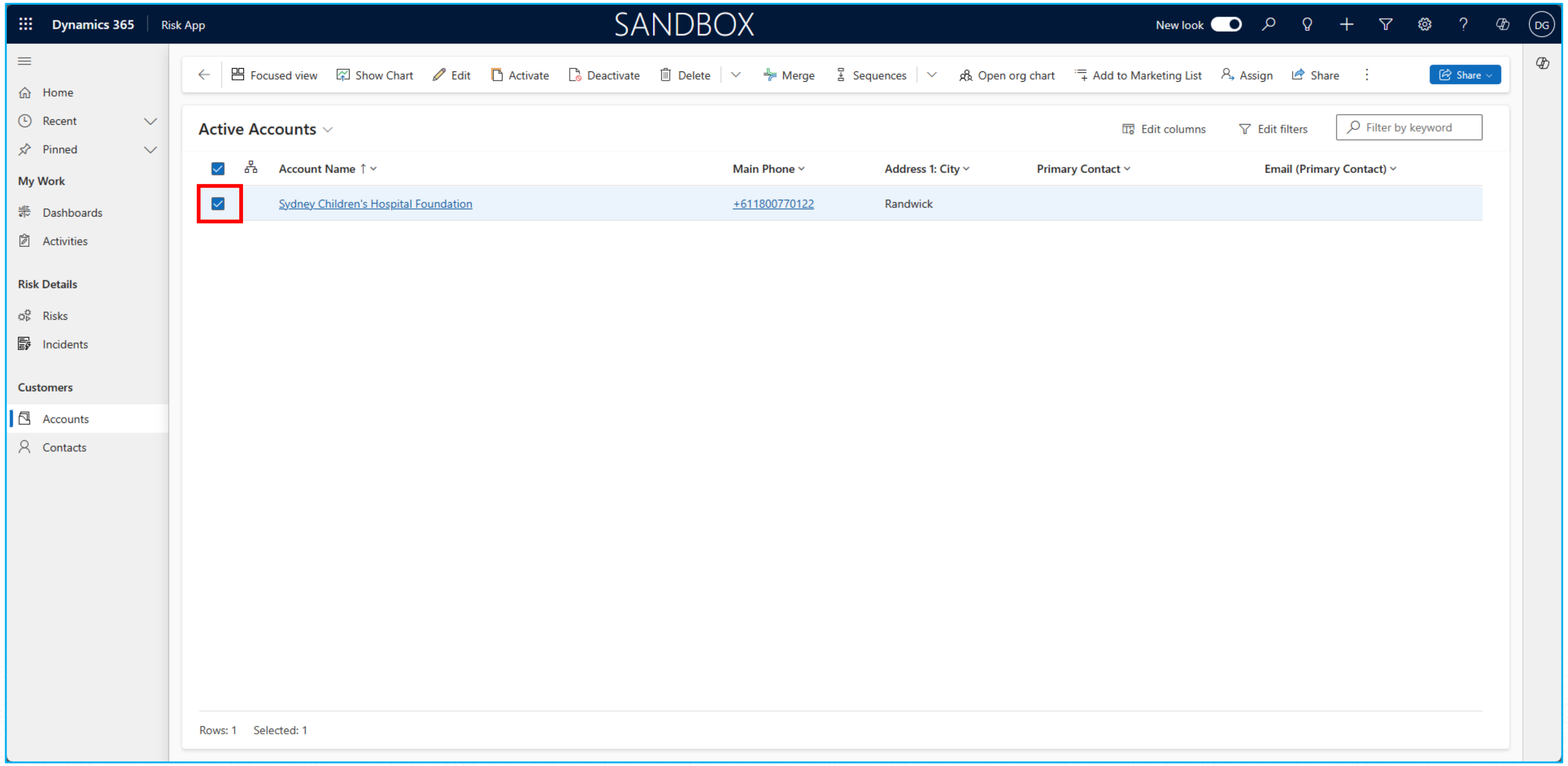
Select the record(s) and select [Delete]. You will be prompted for confirmation. Deletion is permanent.

Activating/Deactivating:

All records have a "status" field of either active or inactive. Inactive records do not appear as options when selecting related records (e.g., when creating a new incident, you cannot select an inactive risk as the related risk), but it still exists within the system and will still appear in any existing related records. Records can be activated/deactivated at any time.

You can do so by selecting the record(s) then either [Activate] or [Deactivate].

It is recommended to deactivate unneeded records rather than deleting them unless you are sure no other records relate to it and have no intention of re-activating the record.



Quick Create

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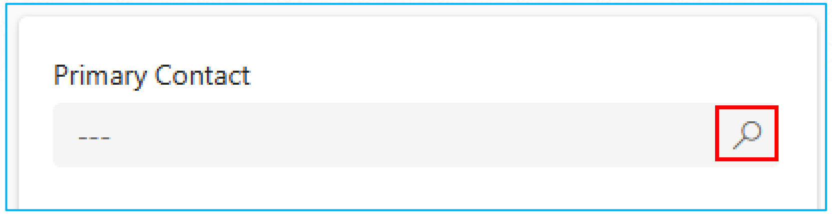
In situations where you can select a related record via a lookup (e.g., selecting a Company for a contact), you can create a new record by selecting [New {Record Type}] under the list of records.

Depending on the table and customisations, this will usually open a side-bar called a "Quick Create" view which lets you enter create a new record for a different table without leaving the original form.

Not all tables have Quick Create views, but this can be changed or customised as needed.

1



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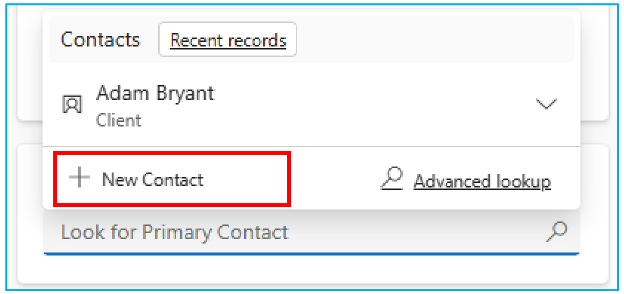

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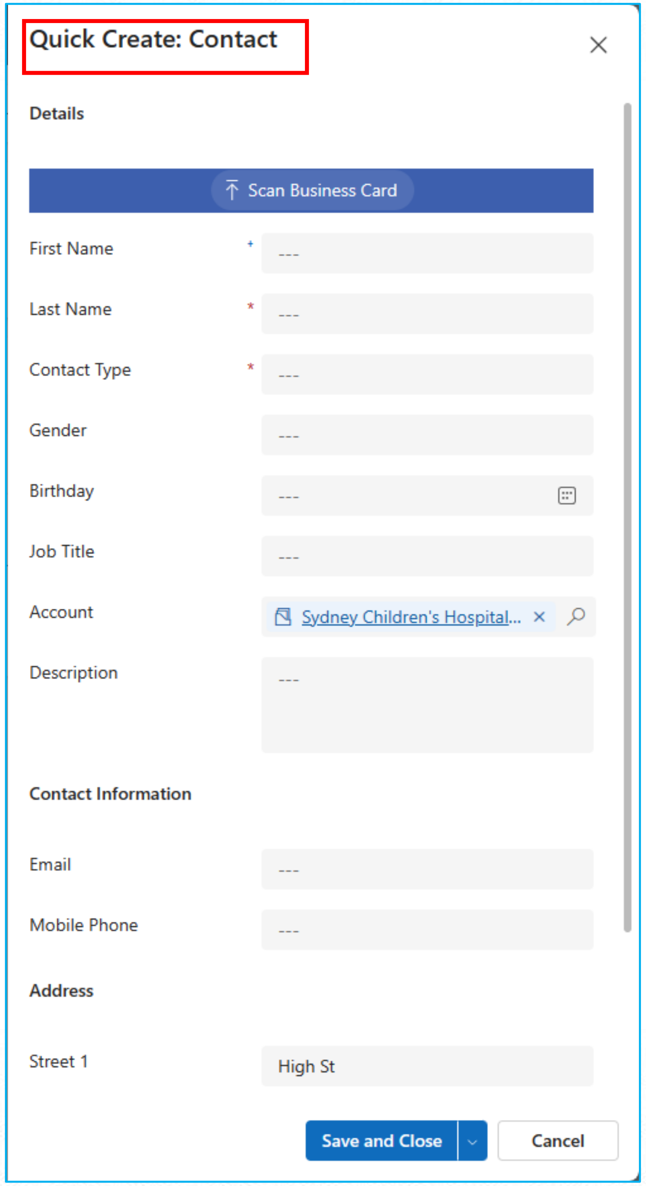


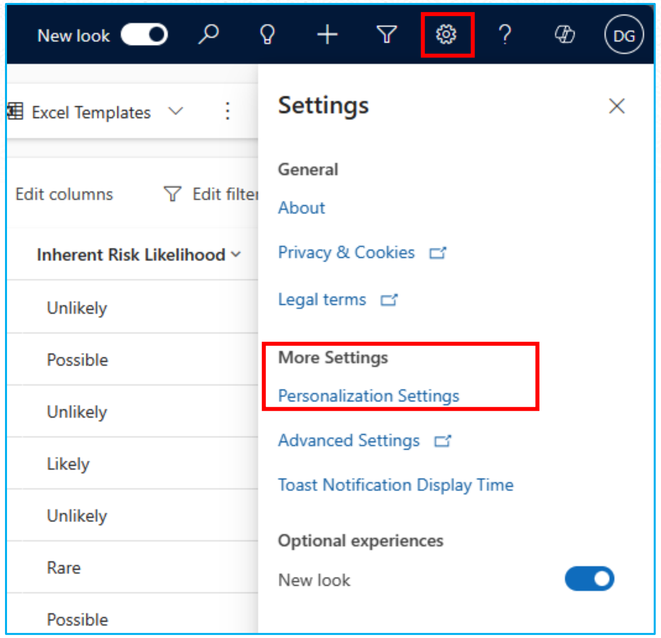
Personalisation Settings

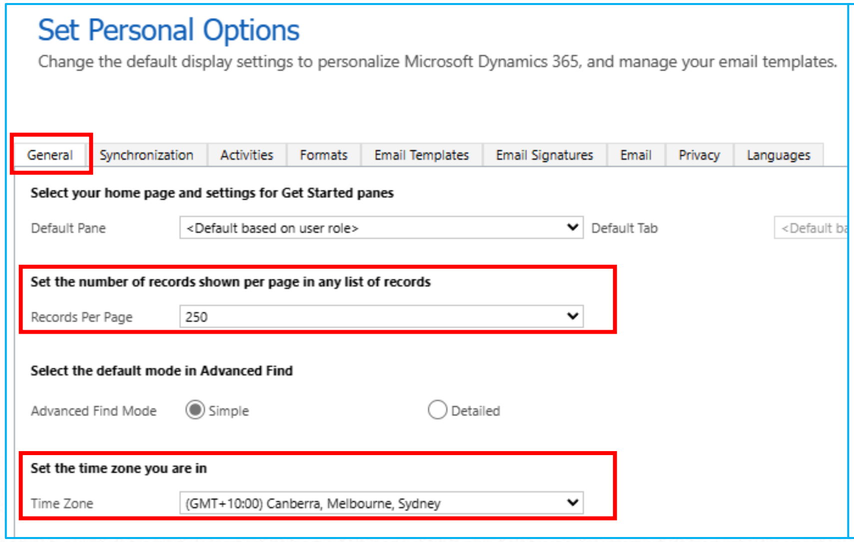
Each user can change their personalisation settings by selecting the *settings option* (gear icon) at the top-right of the screen, then selecting *Personalisation Settings*.

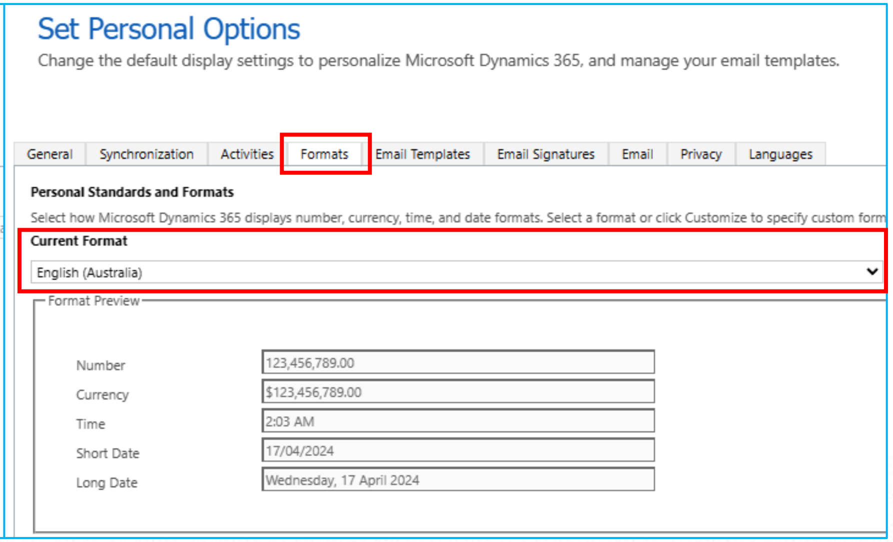
There are several options and settings, but the 3 key options that may be good to check are:

- Records Per Page (General)
  - Determines how many records get shown per page for views. Less important, but often useful to increase if you feel there are too few records in a page.
  - Defaults to 50.
- Time Zone (General)
  - Determines what time zone any date/times should be shown in. Important to set correctly.
  - Defaults to GMT 0.
- Format (Formats)
  - Determines how to format dates. Important to set correctly.
  - Defaults to English (America).

These options are set on a per-user basis instead of being system-wide.







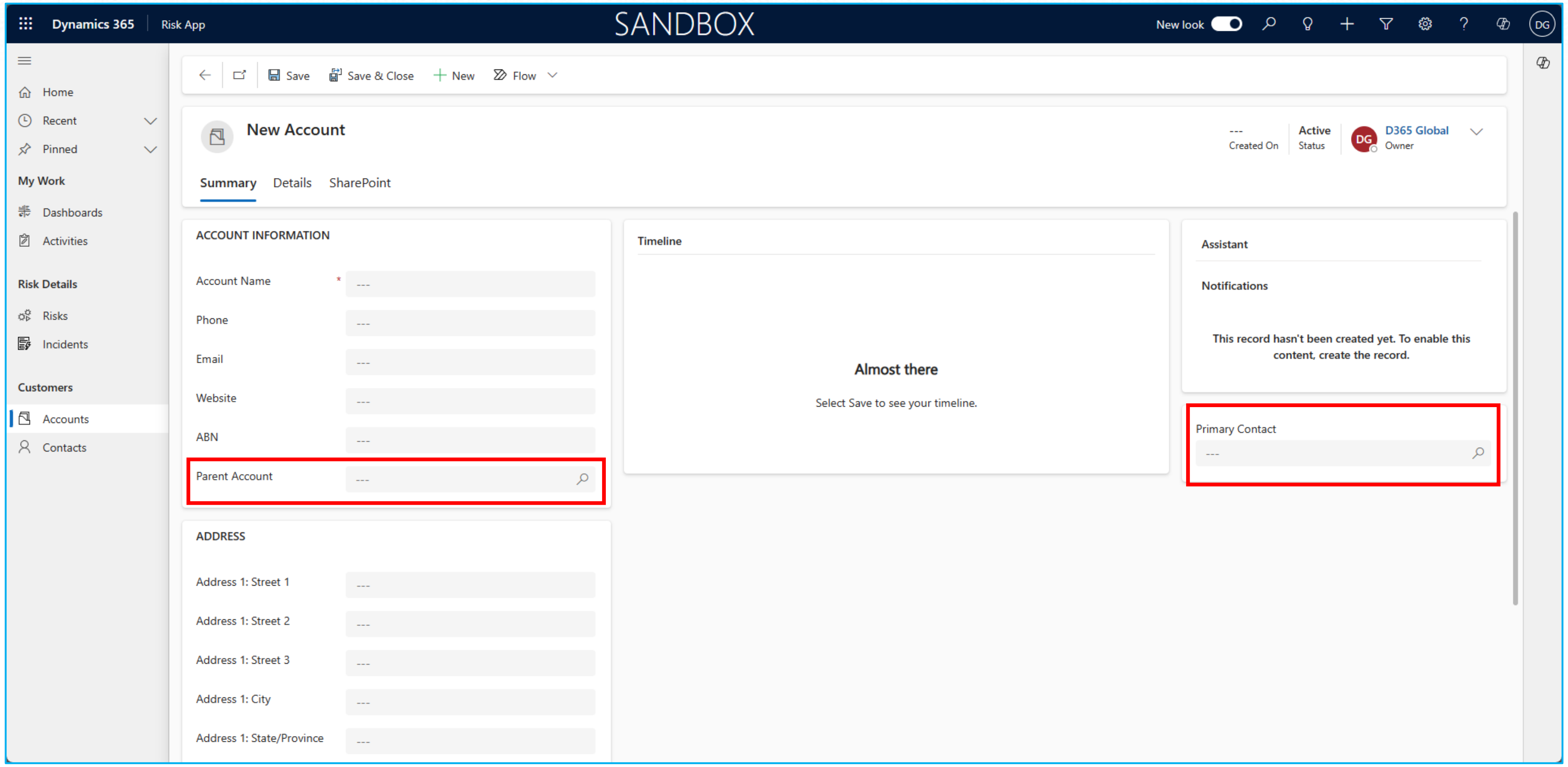
Accounts

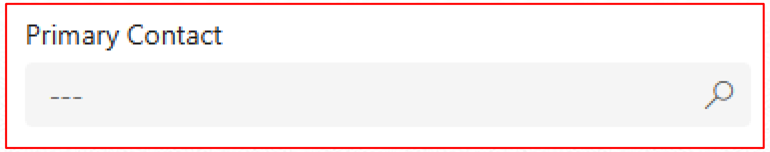
An account represents a business, company, organisation, etc.

When creating an account, simply fill out the details, as necessary.

If you know the company's parent company (for example), you can optionally use the Parent Account field to create a hierarchy. The other account must already exist in the system and be active.

Similarly, if you know the company's main point of contact, you can enter them as the Primary Contact of the account. The contact must already exist in the system and be active.





Accounts

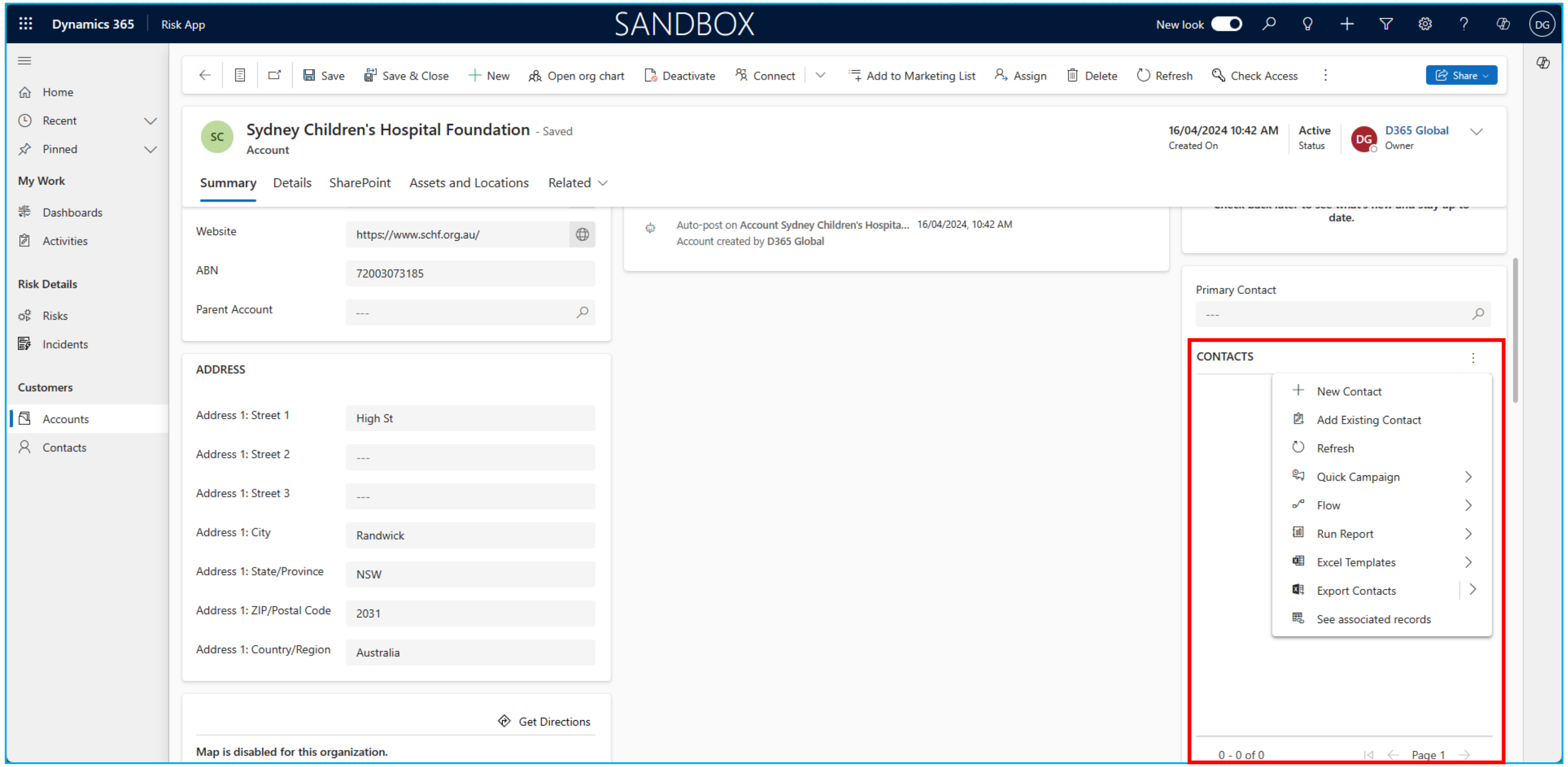
Because an account represents a business, Dynamics lets you add contacts underneath the account to represent employees or other forms of contacts.

The Primary Contact field holds a single contact, intended to be the main point of contact, but an account can hold multiple “non-primary” contacts underneath it as well.

You can view, add, and remove these contacts under the CONTACTS sub-grid, located under the Primary Contact field. More options will appear by selecting the triple-dot icon.

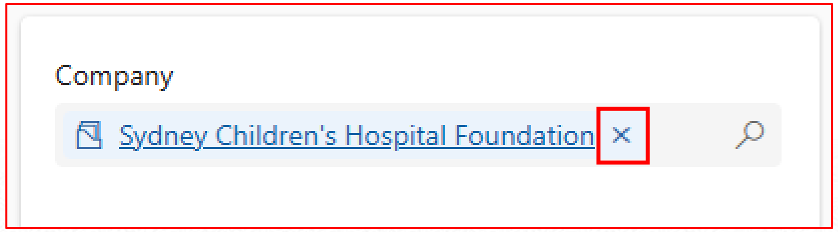
All contacts listed under an account will have their Company field be set to the account automatically, and vice-versa (if setting the contact’s related account from the contact).

This sub-grid won’t appear until the account record has been saved. The [Add Existing Contact] option will only add the contact if the contact is not already a part of another account; it will display a notification if you attempt to add them anyway.



WARNING: Dynamics will DELETE ALL CONTACTS in the sub-grid if you delete the parent account. This functionality cannot be changed or modified.

If you wish to delete an account, make sure to remove the contact(s) first. You can do so by opening the contact record and clearing the Company field.



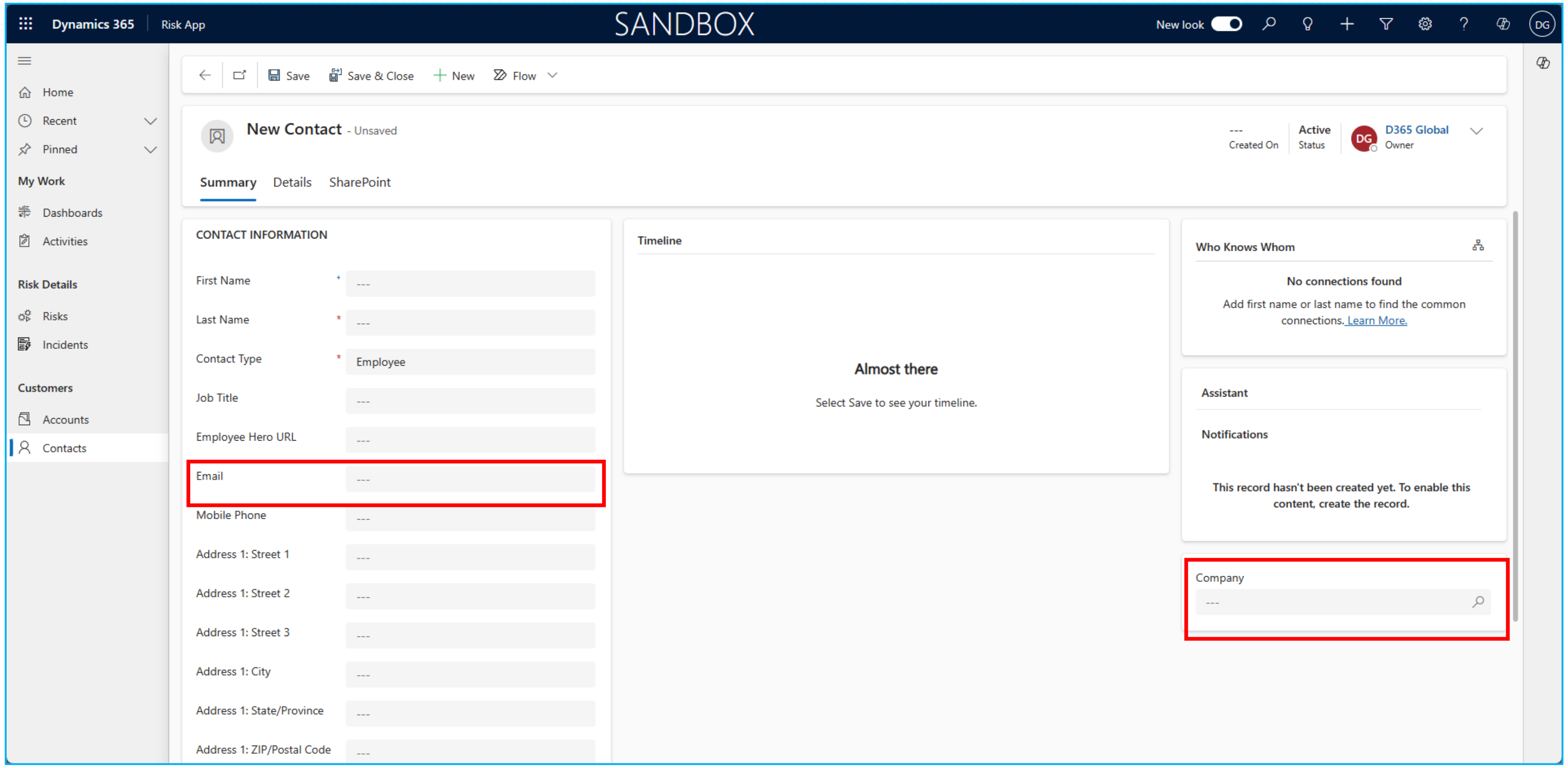
Contacts

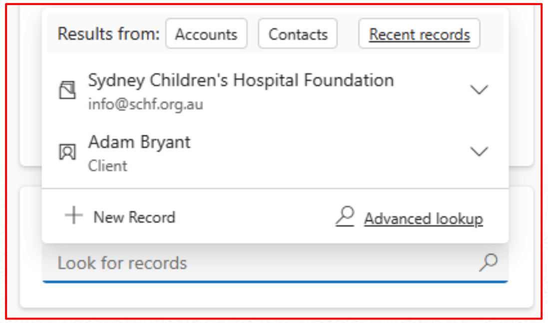
A contact represents a person. A Contact Type field has been added to differentiate between the types of contacts (namely employees and clients).

When creating a contact, simply fill out the details, as necessary. Some fields only appear based on the details of other fields, such as Employee Hero ID only appearing if the contact's type is "*Employee*".

If you know the person's related company, you can optionally use the Company field to create a hierarchy. The account must already exist in the system and be active.

Note that Dynamics allows you to select another contact for the Company field instead of an account; it is advised you only use accounts for this purpose instead.



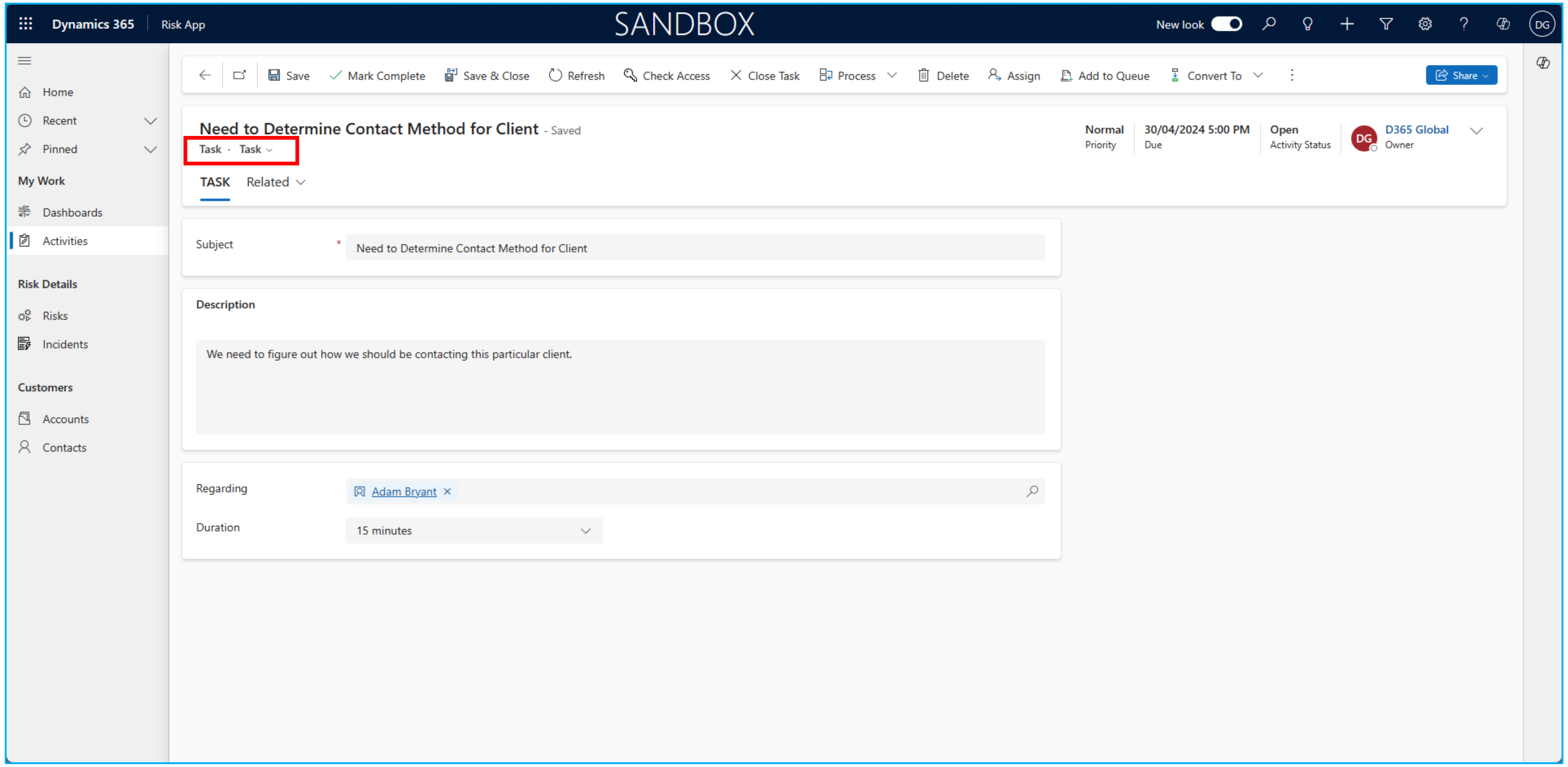


Activities

An activity represents an action that should be, or has been, taken by a user against a particular record. It can also represent a simple note for others to see.

Activity is the catch-all term for these records, but they are separated into several specific types. Some of the common types are:

- Tasks
  - Represents a generic task that needs undertaking.
- Emails
  - Represents an email to be sent to one or more recipients.
  - If emailing is enabled within the Dynamics environment, the email can be sent from within Dynamics.
- Phone Calls
  - Represents a phone call with the recipient.
- Appointments
  - Represents a meeting with the recipient.
  - Depending on the personal and system settings, this can appear within your Outlook calendar.
- Notes
  - A simple paragraph of text.
  - Only visible within Timelines.



Activities - Owner, Regarding, and Timelines

The user (or team) who is the primary person to act on the activity is determined by the Owner field in the top-right. You can change this field like any other field, or you can use the [Assign] command on the command bar.

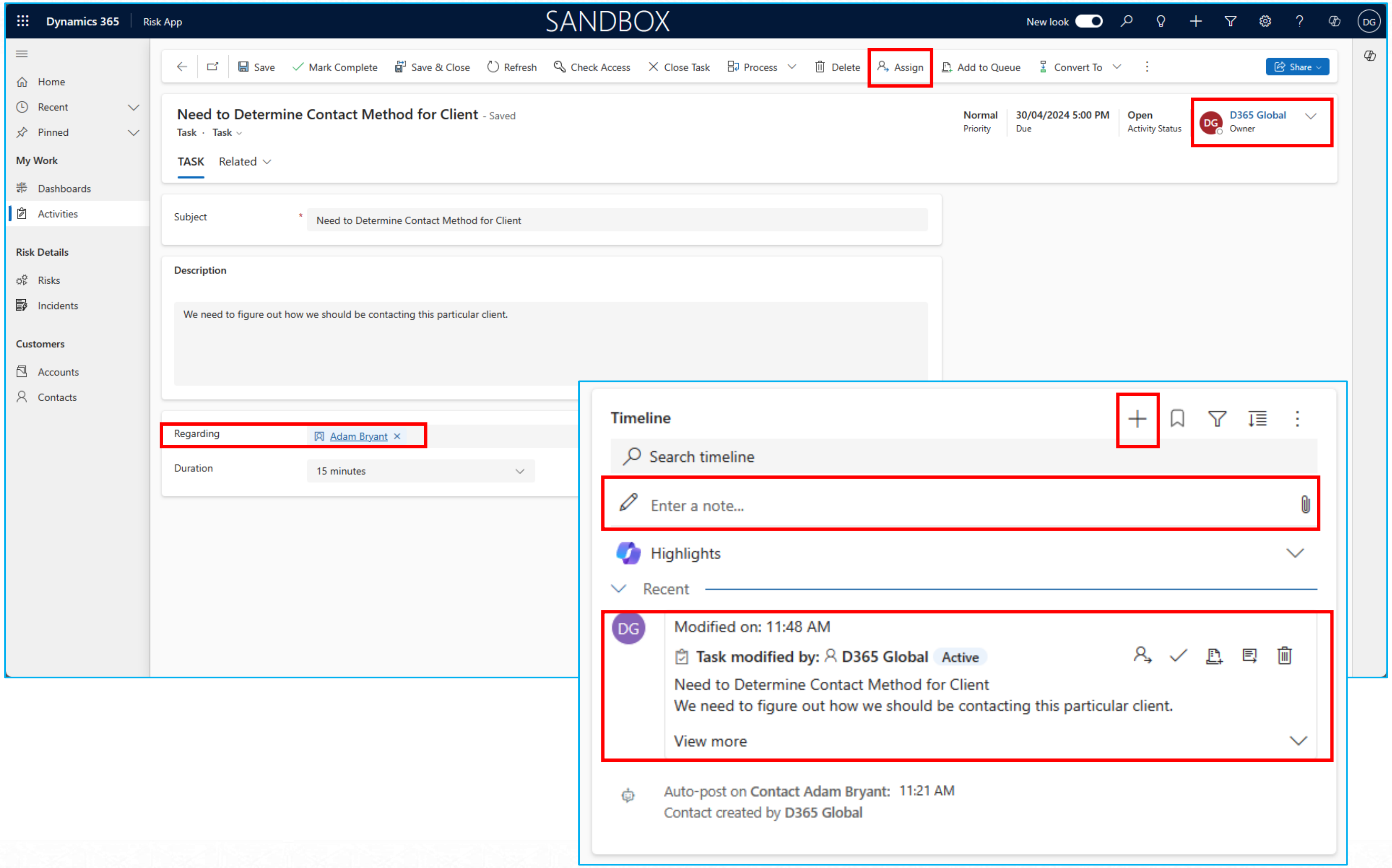
Within an activity is a special field called Regarding. This field is a lookup but it can be used to look up to any table with a Timeline (and the right system configuration) rather than one specific table.

When an activity is associated with another record via the Regarding field, it will appear on that record's Timeline.

A Timeline is a component common in most tables/forms which displays a chronological list of activities to perform (or which have been performed).

You can add activities to a Timeline by creating the activity and setting the Regarding field, or by creating the activity (or note) directly in a record's Timeline.

Accounts, contacts, risks, and incidents all have Timelines enabled.

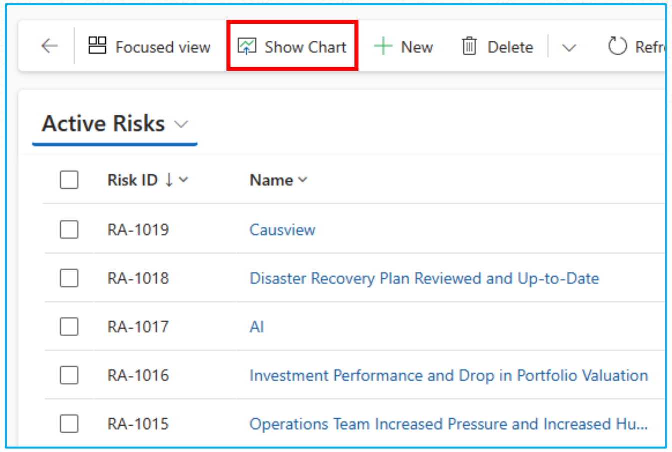


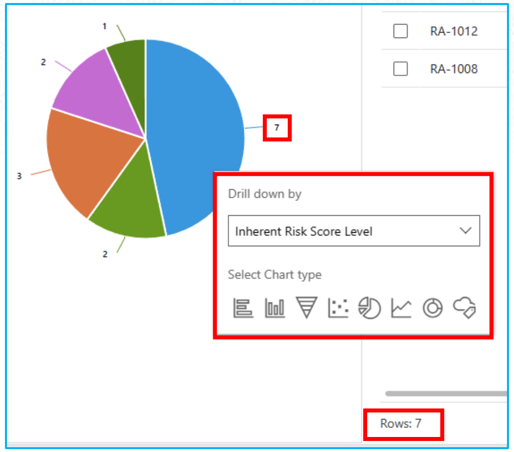
Charts

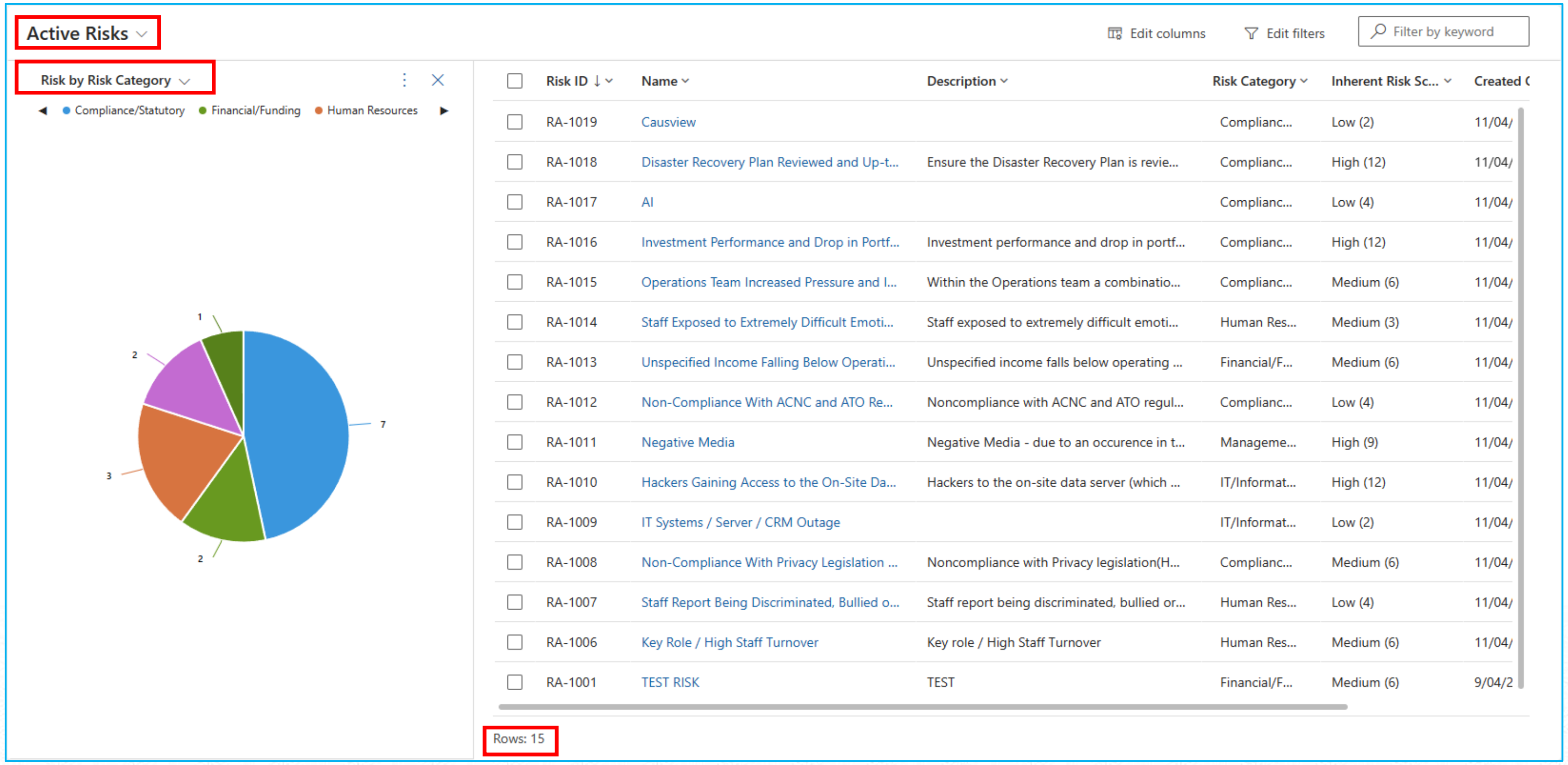
When looking at a view, you may see the option to [Show Chart] on the command bar. Selecting this will pop-up a chart area where you can visualise the current view with a pre-defined chart.

These charts show only data which appears in the currently shown view (for example, if "*Active Risks*" is the current view, inactive risks will not be included in the chart's data). You can change the view or chart while a chart is open.

These charts can be interacted with as well. By clicking on parts of the graph, you can select only records that are included in that section. You can drill down for further details as well by selecting another field and chart type.







Dashboards

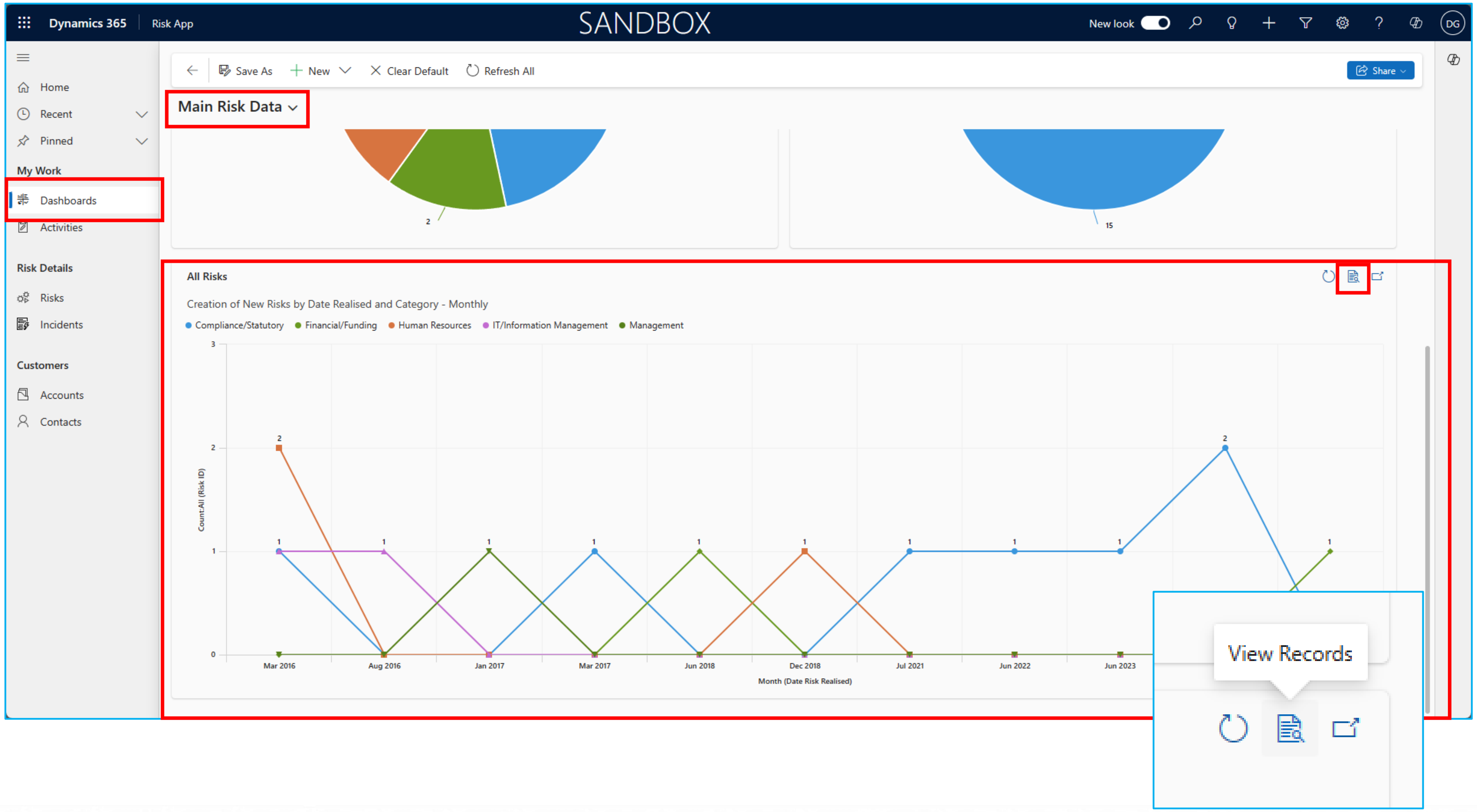
Dashboards are a collection of several pre-defined views and charts. They can be viewed by selecting *Dashboards* on the left-menu.

A variety of dashboards can be created across several different tables, using different views and charts.

These charts can also be interacted with and can be further drilled down for more details.

You can also access the original set of records from the dashboard.

The views used in charts are pre-determined when creating the dashboard.



Personal Views, Charts, and Dashboards

Views, charts, and dashboards come in 2 forms: system and personal.

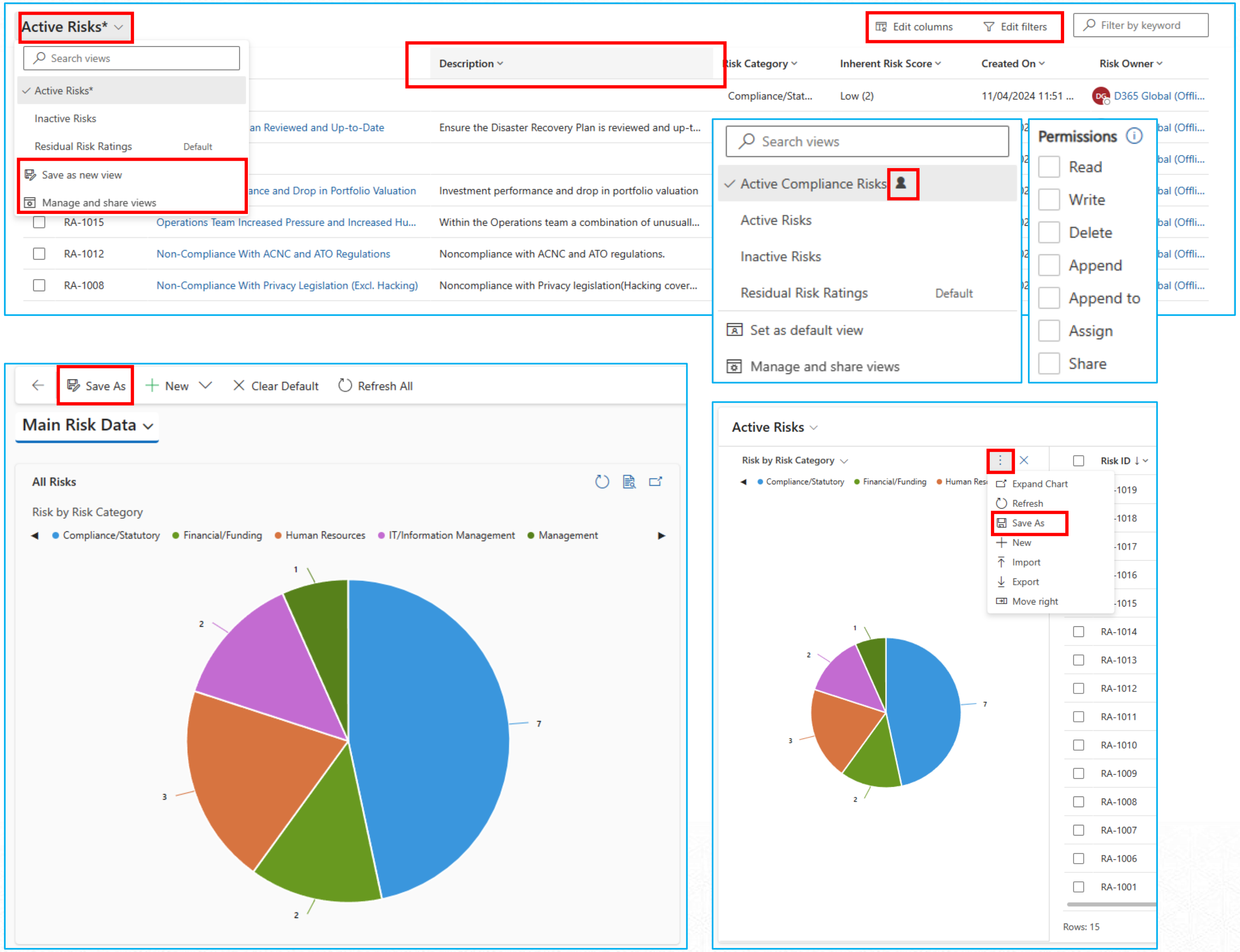
System views/charts/dashboards are pre-defined by an admin in the back-end of the system. These system components are automatically accessible by every user.

Personal views/charts/dashboards are created by a user and are only available to that user and anyone who it is shared with. Personal views have a little person icon next to them in drop-downs.

Be aware that if personal views/charts are used within a personal dashboard and the dashboard is shared with another user, the views/charts need to be shared manually as well (otherwise they won't appear).

You can create personal components by selecting an existing one, making any desired changes, and then selecting "Save As". For views, editing an existing one will show an asterisk (*) next to the view name.

You can manage (e.g., delete or re-order) and share these components by selecting "Manage and Share". When sharing, you can choose what permissions the user(s) has.



Risks

Like all tables, you create risks by entering the necessary data and saving. The Risk ID field will be auto-populated upon saving.

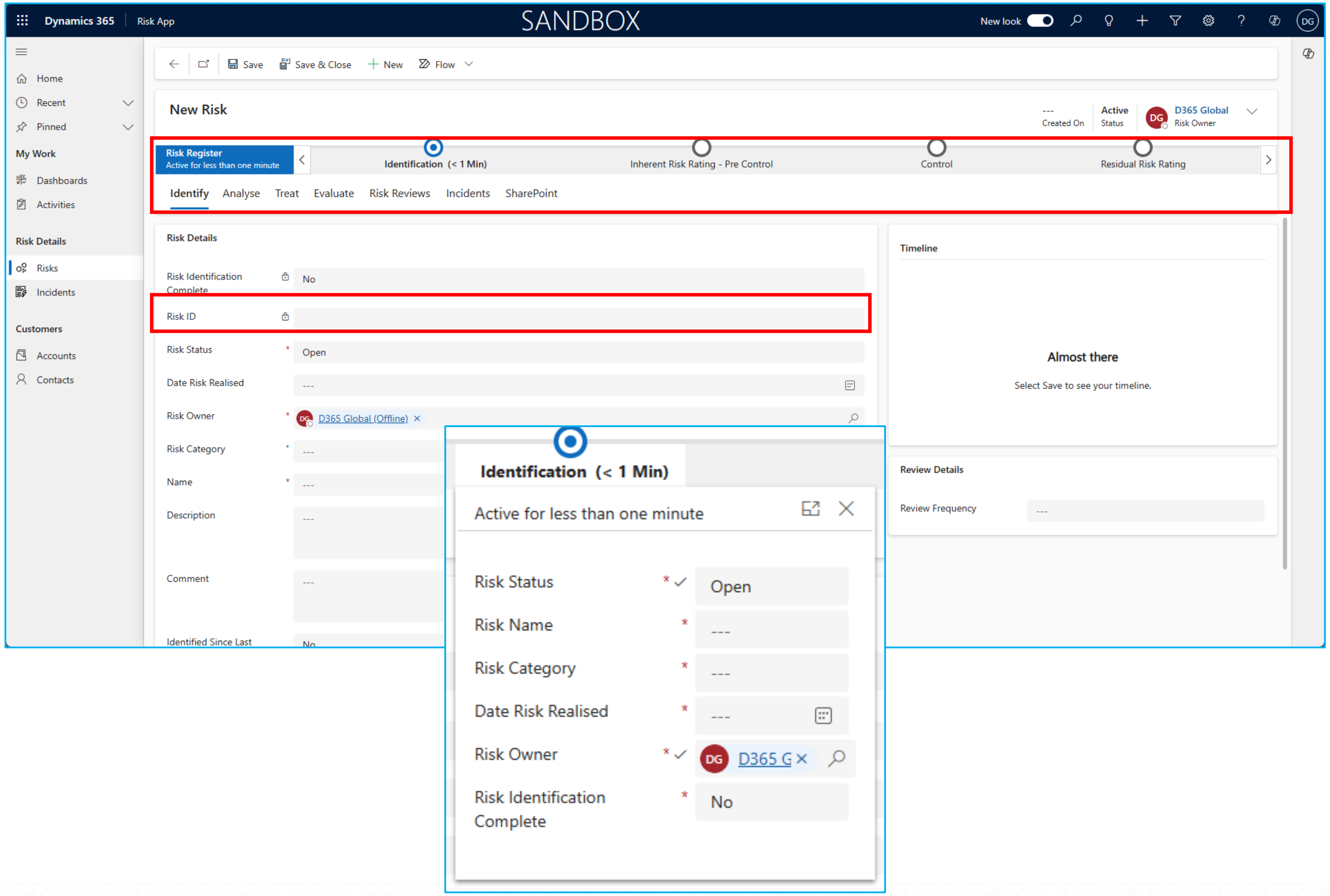
However, risks differ from accounts and contacts in that risks have a business process flow (BPF) to help guide the user on creating them.

Whereas accounts and contacts are largely one-and-done, risks have a lifecycle with each BPF stage representing a part of that.

The fields which appear in the BPF are identical to the fields in the main form body; editing one edits the other. The primary difference is that the BPF shows a list of which fields need to be entered before you can progress to the next stage (but don't necessarily have to enter to save the record), and some fields may only be accessible by one or the other.

For risks, each BPF stage represents a tab in the main form body:

- Identification: *Identify* Tab
- Inherent Risk Rating - Pre Control: *Analyse* Tab
- Control: *Treat* Tab
- Residual Risk Rating: *Evaluate* Tab



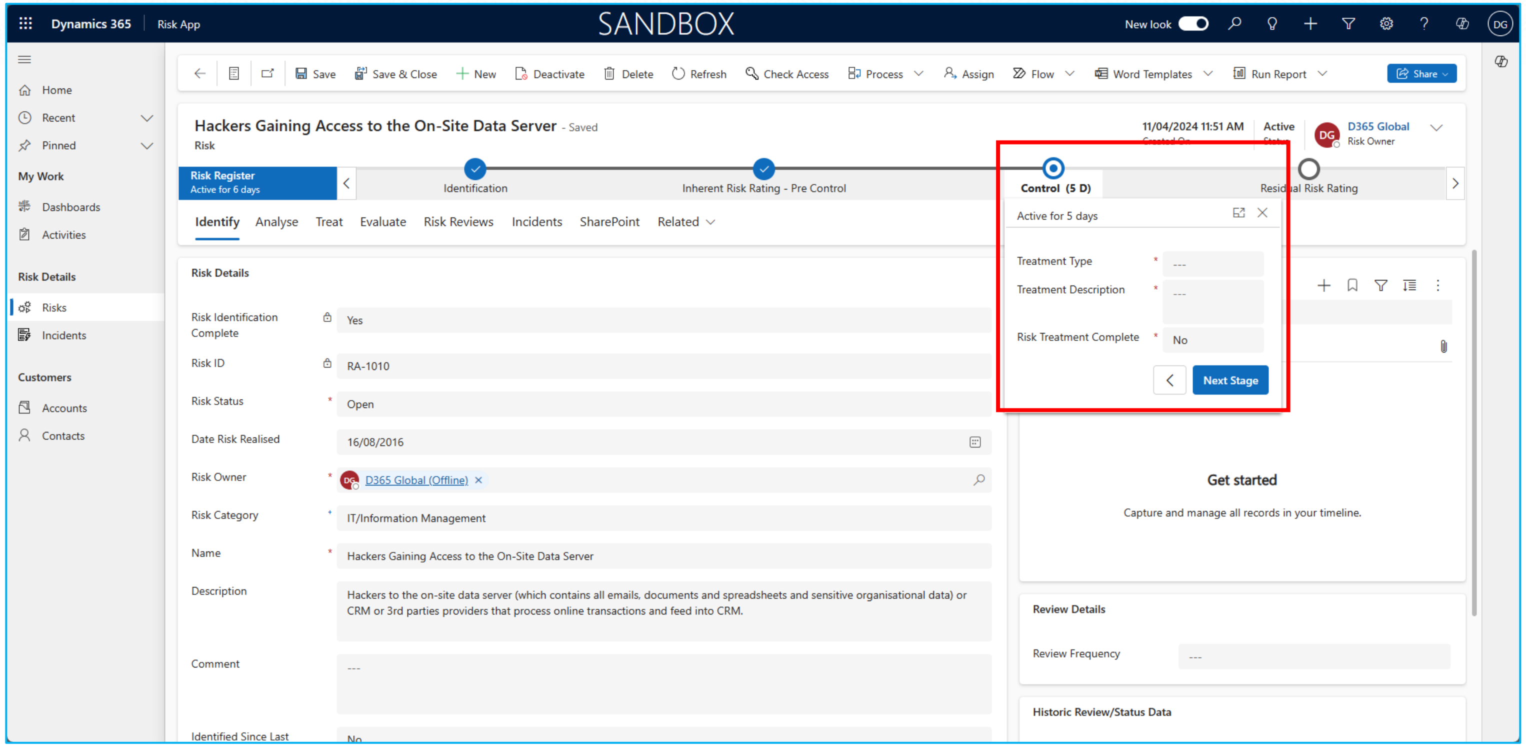
Risks

You progress through the BPF by selecting “Next Stage” on the current stage once all mandatory fields (with a red asterisk (*)) have been entered.

You do not have to progress to the next stage immediately upon entering all the required data.

You can also go back to previous stages as needed.

Instead of “Next Stage”, the final stage will have “Finish”. This will mark the BPF as complete, and it can no longer be set to a prior stage unless the BPF is re-activated. Finishing a BPF does not affect the risk itself (i.e., it does not delete, deactivate, edit, etc. the record), but instead it marks the risk as having been fully identified, analysed, and evaluated (versus a risk that might not be fully evaluated for example).



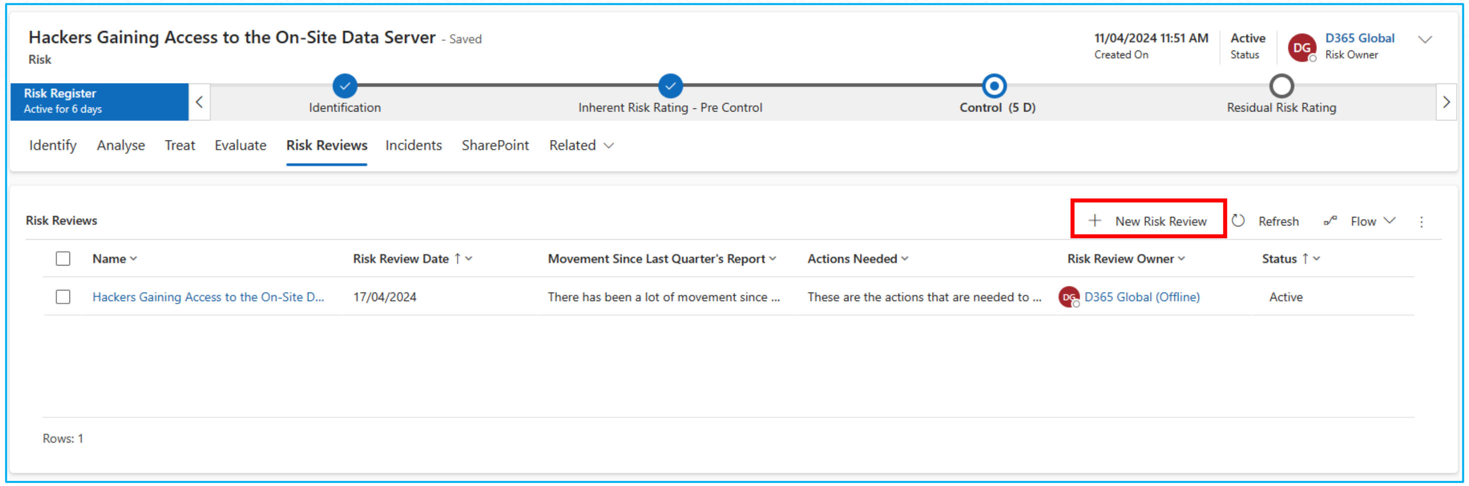
Risk Reviews

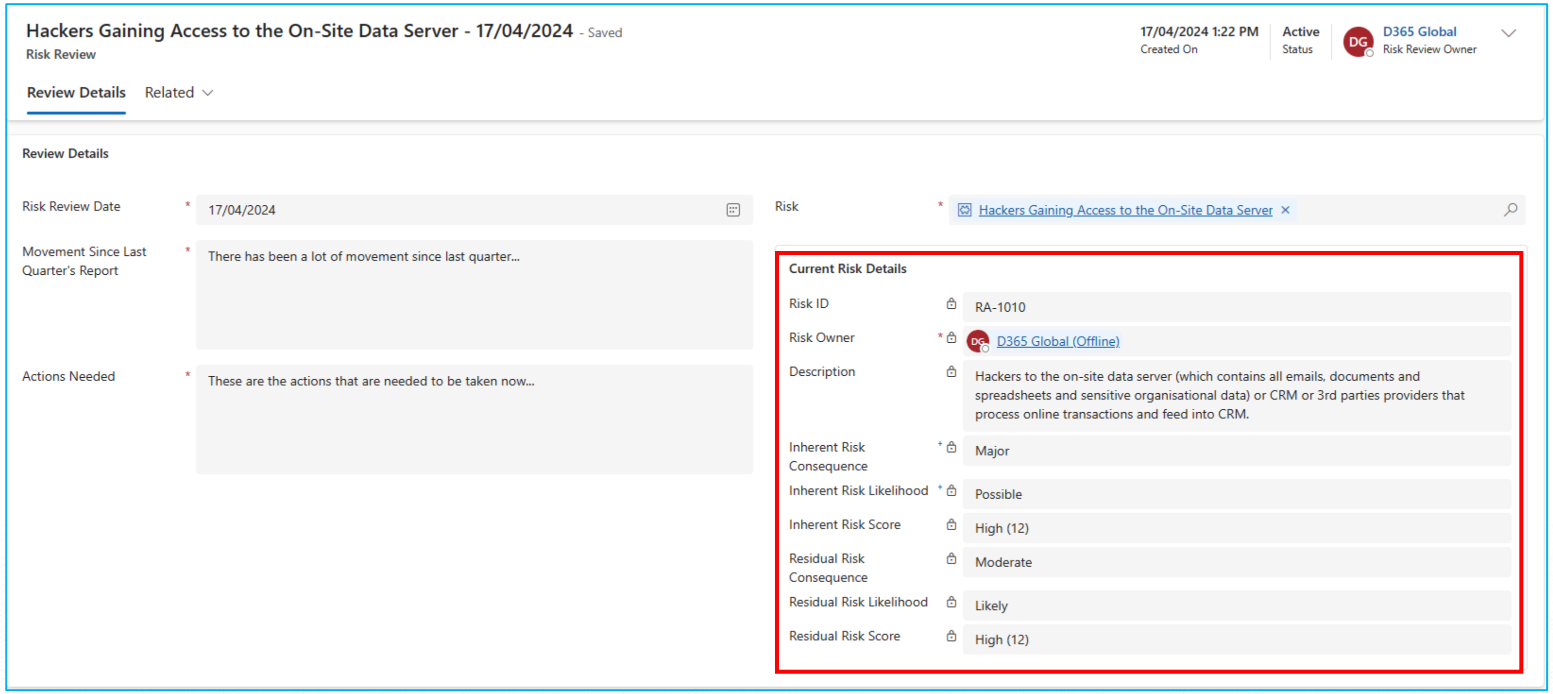
Risk reviews can be created and tracked via the Risk Reviews tab. Risk reviews exist as their own table.

You can create a new risk review by simply clicking [New Risk Review] on the sub-grid's command bar. This will most likely pop-up a Quick Create form so you don't have to leave the risk record.

You can open a risk review record to see its details easier. It also shows some of the risk's current details as well as the scoring of the risk at the time of the review's creation (for keeping track of changes).

By default, risks cannot be deleted if they have a risk review. You would need to delete the risk review(s) first.



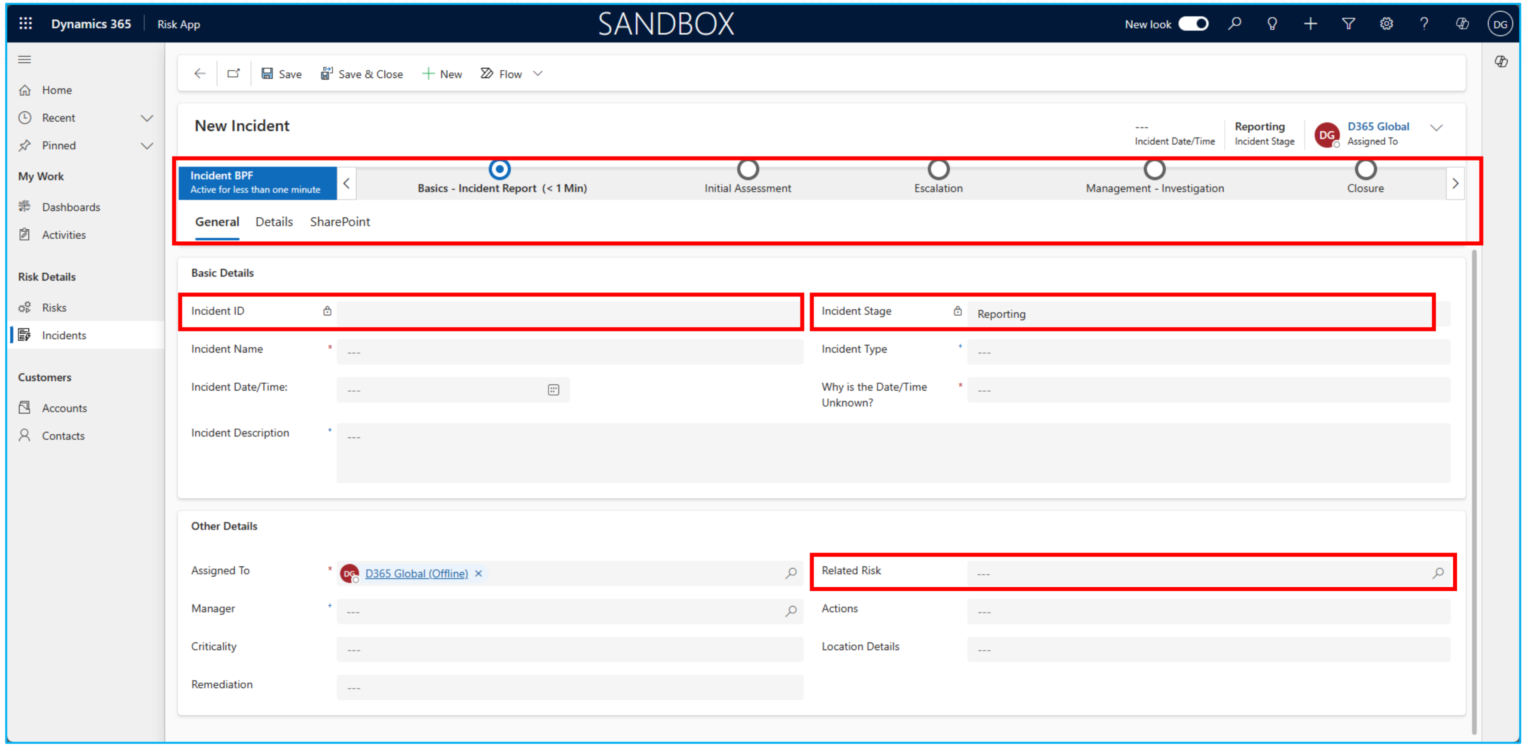


Incidents

Much like risks, you create incidents by entering the necessary data and saving. The Incident ID field will be auto-populated upon saving. You can create incidents from a risk (via the risk's Incident tab) to automatically associate it with the risk, or you can manually select the risk via the Related Risk field at the bottom-right of the General tab.

Also like risks, incidents have a business process flow (BPF). The incident BPF goes through the basic setup for incidents, then proceeds to delve deeper into the details. The escalation stage will alert the provided supervisor/manager/higher-up via email that the incident has been escalated, before allowing the higher-up to add additional details that the initial reporter might not have been able to report on, then finally closing the incident.

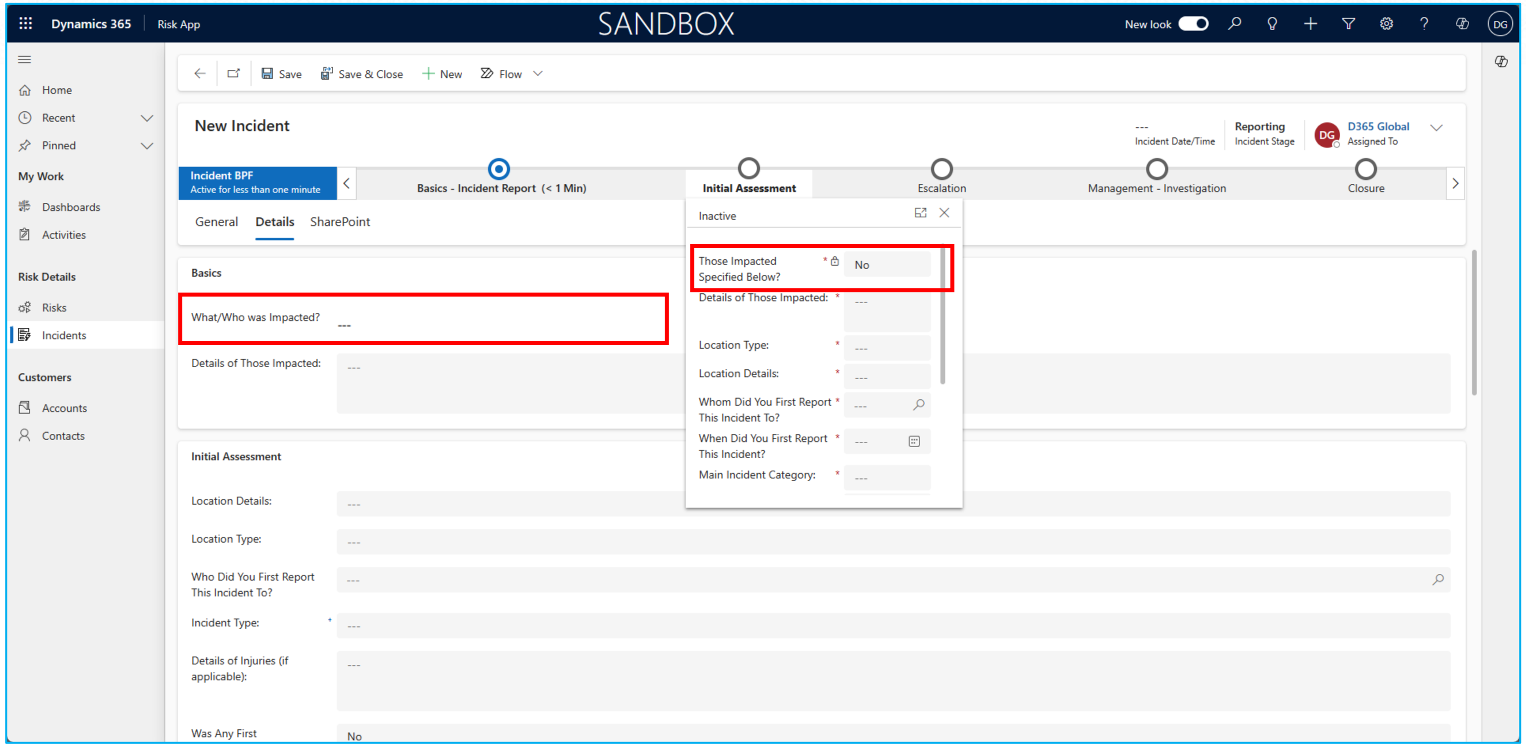
The Incident Stage field automatically updates itself to match the current BPF stage. This can be used in charts, reporting, and filtering. When the BPF is finished, the stage will update to "*Closed*" and the incident will be set to inactive automatically with a timestamp (the incident or the BPF can be re-activated if needed).

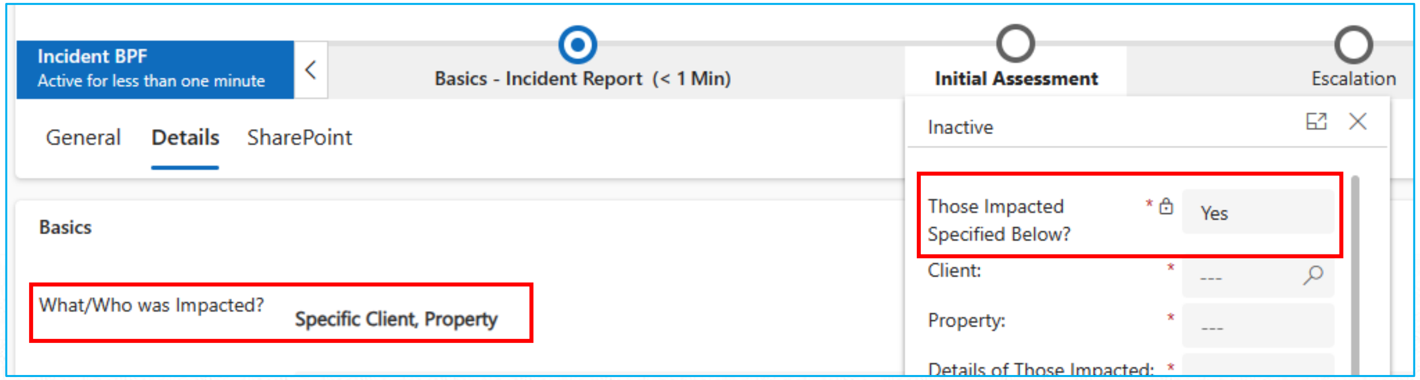


Incidents

Within the BPF, there will be some fields which cannot be interacted with. These fields will automatically set themselves when the necessary action has been taken.

An example is the "Those Impacted Specified Below?" field in the *Initial Assessment* stage of the BPF; the field will set itself when the "What/Who was Impacted?" field on the main form has been filled. The reason for the field not just being present in the BPF is simply due to technical limitations of Dynamics (specifically, option-sets which allow you to pick multiple choices cannot be used within a BPF).





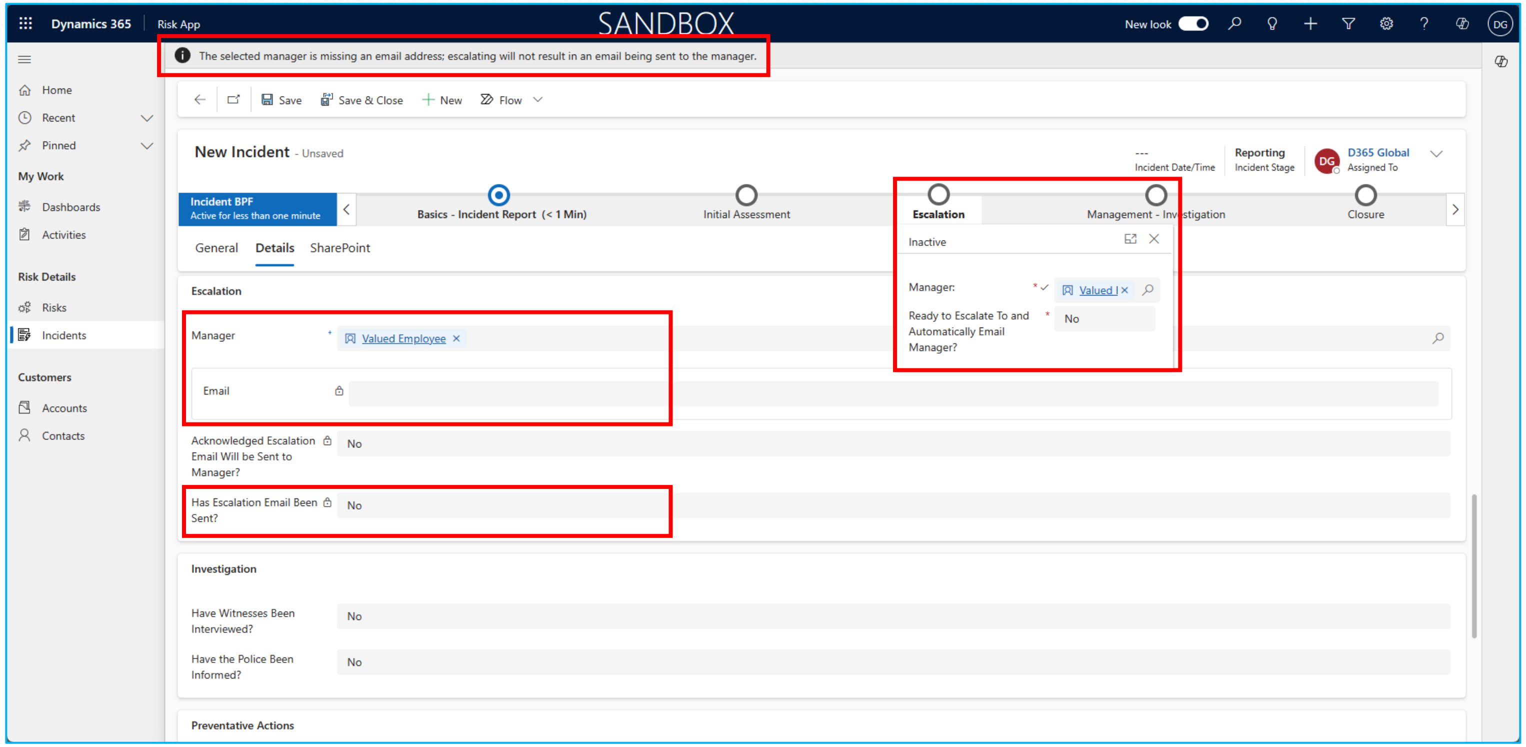
Incidents

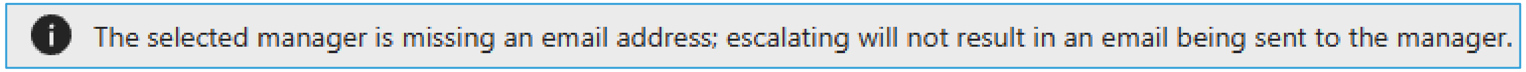
In the *Escalation* stage of the BPF, you must select a Manager if you have not already, and then tick the box to acknowledge that an email will be sent out to the selected Manager.

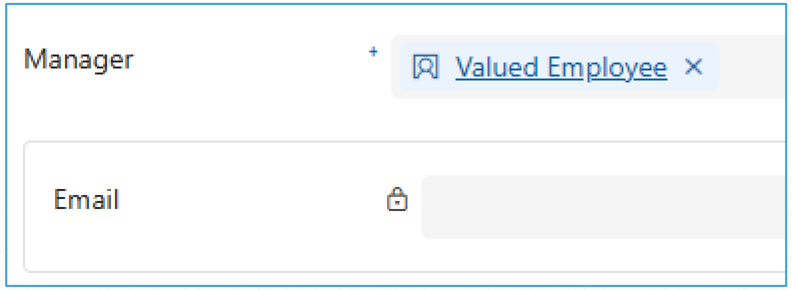
If the Manager has no email address in their contact, a warning will appear. You can still progress, but it will NOT send an email. The notification will disappear after the escalation stage has been completed.

The "Has Escalation Email Been Sent?" field will determine if the system has sent out an email. This will be set to *Yes* if the system has attempted to send an email without any immediate errors but note that it cannot determine if the email was successfully received (e.g., it cannot check if the email address/mailbox is invalid). The Manager field in the General and Details tab both show the current email address, though this does not appear in the BPF.

You can use the view "*Incidents Escalated but no Email Sent*" to help check for possible pending incidents. Keep in mind that this may not be a comprehensive list due to the reason stated above.





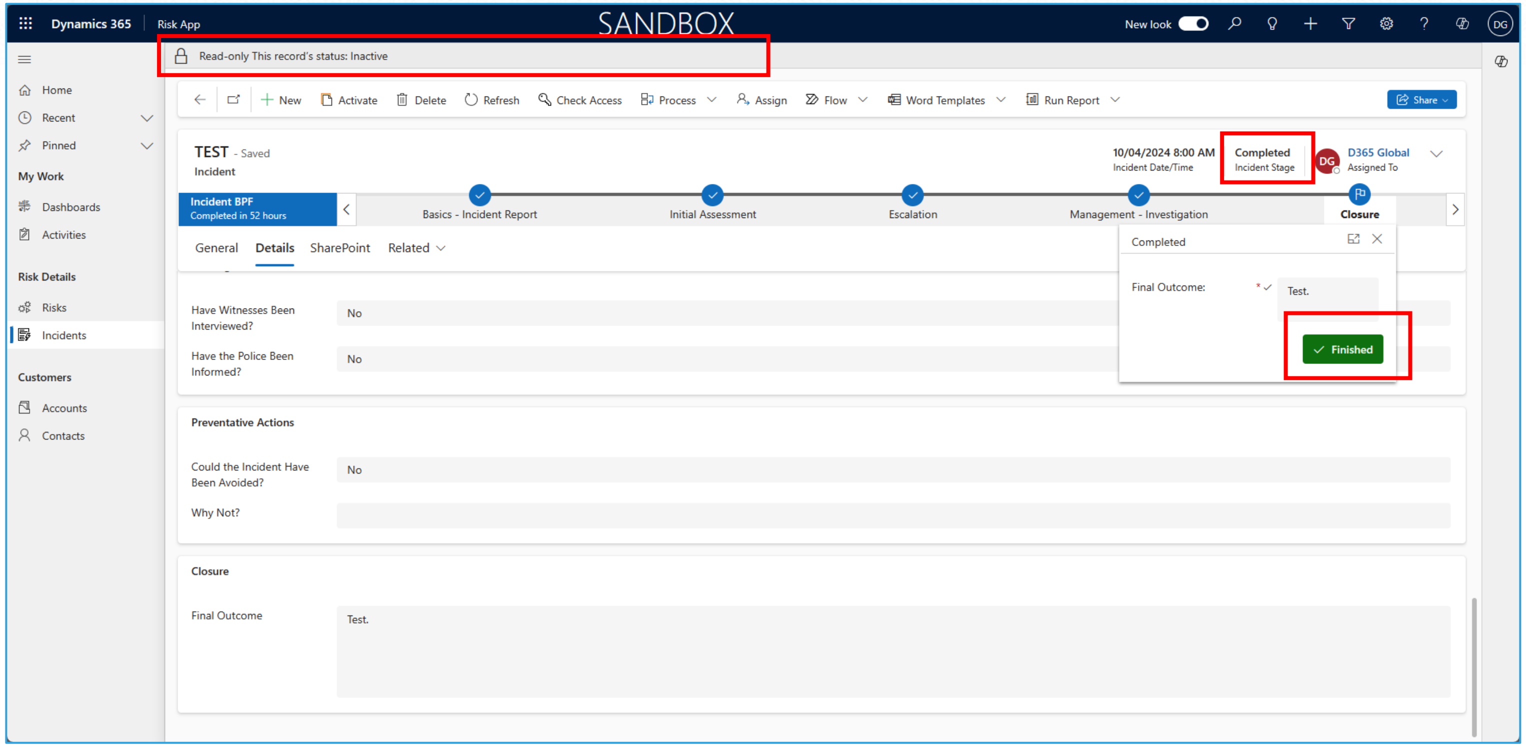


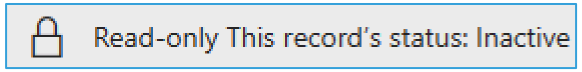
Incidents

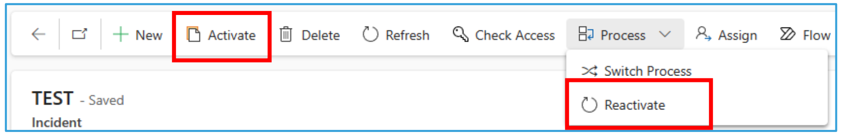
The final stage of the BPF is *Closure*, which when completed will deactivate the record, set its Incident Stage to "*Completed*", and timestamp the date/time of its closure. Inactive records are read-only.

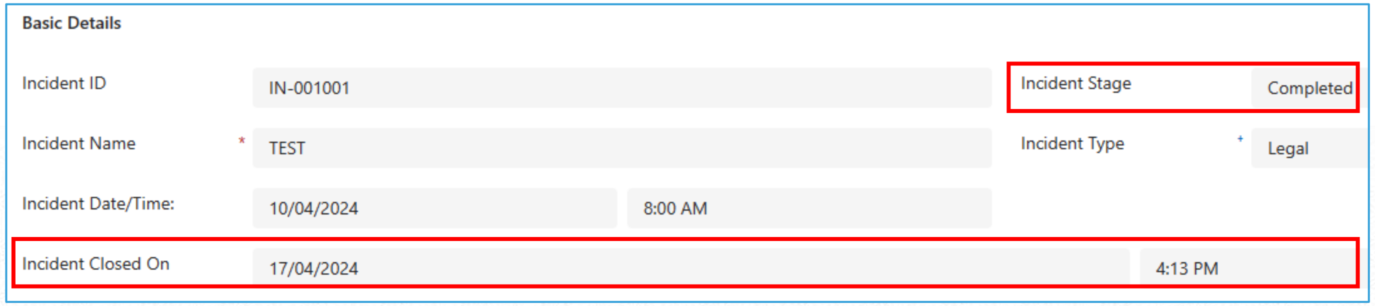
If you need to edit or adjust an incident, you can re-activate the record as usual. To re-activate the BPF, you can use [Process] > [Reactivate] on the command bar. Changing the BPF will change the Incident Stage, and completing the BPF again will deactivate the record and override its Closure Date again.

Completed incidents should be incidents which have been fully investigated and analysed, thus it is not recommended to re-activate closed incidents as this may mess with the closure date, authenticity, etc.









Thank you!

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