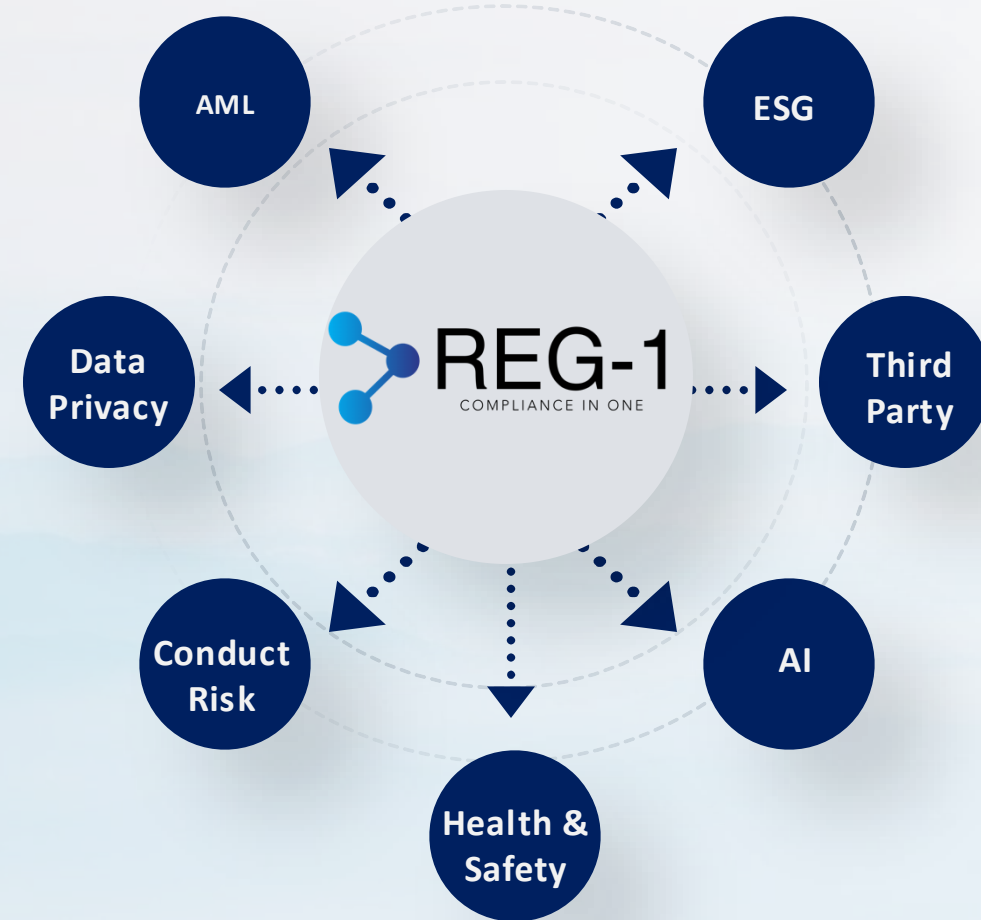




## **Your GLRC Co-Pilot**

**GLRC EcoSystem**

# REG-1: Risk Assessments Module



# REG-RA (Risk Assessments)

## Dynamic Risk Assessments

Conduct flexible and adaptable risk assessments that respond to evolving conditions and variables.

## Firm-Wide, Department-Wide, or Product-Based Assessments

Perform risk assessments at various levels, including firm-wide, department-wide, or specific product-based evaluations.

## Manage Multiple RAs

Create triage format RAs across any regulatory theme you like. With a custom RA builder connecting the RA to the regulatory library and an automated workflow tool to manage exceptions, raise risks and issues and alerts.

### Your Risk Assessments

Total Assessments 11

Ongoing Assessments 11

Completed Assessments 0

Overdue Assessments 8

🔄 Commence Assessment

🏠 Build your Own

📖 Regulation Library

📋 Obligation Register

📄 Your Policies

HEATH & BLENKINSOP

**RA AML 2023**  
Anti-Money Laundering 64

No Department 👤

Start 26-02-2024 Ended 25-06-2024

Completed ✅

---

Last Updated 2024-06-25 11:50:26

**RA AML 2024**  
Anti-Money Laundering 62

No Department 👤

Start 26-02-2024 Target 24-01-2024

Completed ✅

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Last Updated 2024-08-13 09:18:10

**DP RA 2023**  
Data Protection 53

No Department 👤

Start 26-02-2024 Ended 05-06-2024

Completed ✅

---

Last Updated 2024-06-05 21:09:27

**Template AML UK**  
Anti-Money Laundering 0

No Department 👤👤👤👤

Start 03-04-2024 Target

Ongoing ⏳

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Last Updated 2024-05-21 14:10:14

**FSRA**  
Anti-Money Laundering 76

No Department 👤

Start 03-04-2024 Target

Completed ✅

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Last Updated 2024-09-11 13:43:08

**ESG Risk Assessment**  
Environment 61

No Department 👤

Start 13-08-2024 Target 06-08-2024

Completed ✅

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Last Updated 2024-08-13 13:13:44

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1

>

# REG-RA (Risk Assessments)

## Manage Multiple RAs

Create triage format RAs across any regulatory theme you like. With a custom RA builder connecting the RA to the regulatory library and an automated workflow tool to manage exceptions, raise risks and issues and alerts.

## Regulatory Traceability

Link your RAs to the Regulatory Library ensuring end to end traceability

### RA AML 2024

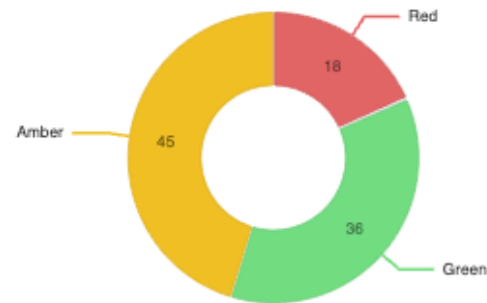
Last Updated: Tue, 13 Aug 2024 08:18:10 GMT

#### Risk Assessment Progress

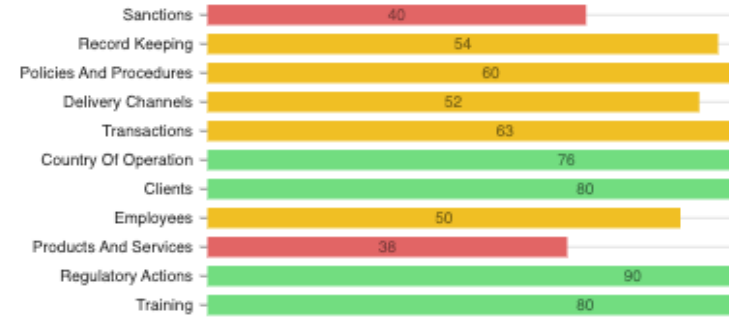
Completed

Not Submitted

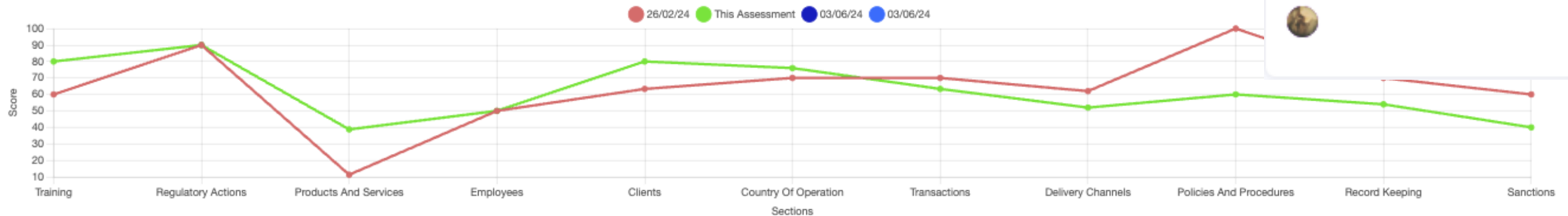
#### RAG Breakdown



#### Section Scores



#### Assessment History



#### Start Date

Mon Dec 02 2024

#### End Date

Mon Dec 02 2024

#### Current RAG

Red

#### Product/Service

No product/services linked

#### Jurisdictions

United Arab Emirates United Kingdom

#### Module

Anti-Money Laundering

#### Regulations

MLR 2017 UAE DFSA Rulebook AML

#### Department

None

#### Responsible Party



# REG-RA (Risk Assessments)

## Build Your Own Assessments

Utilise an intuitive interface to create customised risk assessments tailored to specific needs and requirements.

## Comprehensive Workflow Conditions

Access an extensive list of workflow conditions to ensure a thorough and end-to-end risk assessment process.

The screenshot shows two question configuration panels. **Question 1** is titled "Have all staff completed their mandatory AML training in the past 12 months?". It is set to "Mandatory" and has 1 Regulatory Link. The input type is a dropdown menu. It features three options: "Yes" (weight 15, green condition), "No" (weight 0, red condition), and "Don't know" (weight 0, red condition). **Question 2** is titled "How is this measured?". It is also "Mandatory" and has 0 Regulatory Links. The input type is a dropdown menu with four options: "HR Records" (weight 5, green condition), "Training Platform" (weight 5, green condition), "External Provider" (weight 0, yellow condition), and "Manually" (weight 0, yellow condition).

## RA Template 2 Anti-Money Laundering

Last updated: Mon Dec 02 2024

Jurisdiction  
[United Arab Emirates](#) [United Kingdom](#)

Responsible Party

Product/Service

Regulation  
[MLR 2017 UAE DFSA Rulebook AML](#)

Department  
 Firm Wide

Description

### Overall Scoring

Red	Less than	500
Amber	between	500-800
Green	More than	800

[Add Section](#)

[Archive Assessment](#)

*Any changes made to the assessment will not be reflected on any ongoing assessment.*

Section Name	Section Weights	No. of Questions	Owners	
Training	100	11	Select Owners	<a href="#">Go to Editor</a>
<p>● Less than 25 ● Between 25 and 75 ● Greater than 75 <span style="float: right;"><a href="#">Remove Section</a></span></p>				
Regulatory Actions	50	5	Select Owners	<a href="#">Go to Editor</a>
<p>● Less than 15 ● Between 15 and 35 ● Greater than 35 <span style="float: right;"><a href="#">Remove Section</a></span></p>				