Oracle Financial Services Model Risk Management
User Guide

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Model Risk Management
User Guide

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Preface

This guide explains the functionality of Oracle Financial Services Model Risk Management (OFSMRM) in procedural approach.

This chapter discusses the following topics:

- Audience
- Related Documents
- Conventions

Audience

This document is intended for the following users:

- Creator (Creator of Model/Usage development)
- Initial Approver (Model/Usage)
- Model Owner
- Analyst
- Approver
- Usage Owner
- Issue Owner
- Issue Creator
- Action Owner
- Administrator
- Business Unit Head

The roles and functions of the above users have been detailed in the following chapters.

Related Documents

For more information, see the following documents in the Oracle Financial Services Model Risk Management Release 8.0.2.0.0 documentation set on OTN:

- *Oracle Financial Services Model Risk Management 8.0.2.0.0 Release Notes*
- *Oracle Financial Services Governance,Risk, and Compliance 8.0.2.0.0 Installation Guide*

Conventions

The following text conventions are used in this document:

Table 1. Convention

Convention	Meaning
Boldface	Boldface type indicates graphical user interface elements associated with an Action, or terms defined in text or the glossary.
Italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

About Model Risk Management

This chapter provides a brief overview of Oracle Financial Services Model Risk Management (MRM). This chapter discusses the following topics:

- Overview
- Components of OFSMRM

Overview

The Oracle Financial Services Model Risk Management (OFSMRM) enables financial institutions to record all activities related to Model Development, Customization and Implementation Process, and identify and regularize assessments in order to evaluate and assess performance and risk associated with the Models.

Many organizations use Models to ensure smooth running of their day-to-day activities. Financial institutions rely on financial or economic Models for various activities such as risk management, valuation, and financial or regulatory reporting.

According to the Federal Reserve System, a Model is a quantitative method, system, or approach that applies statistical, economic, financial, or mathematical theories, techniques, and assumptions to process input data into quantitative estimates.

Some of the areas where Models are used extensively are:

- Business planning and forecasting
- Product development, underwriting, and pricing
- Client advice and asset management
- Investment decision support and monitoring
- Valuation of assets and liabilities
- Asset and liability management

Risk management - catastrophe, market, credit, operational, liquidity, and so on

Model risk is the risk of financial loss, poor decision-making, or damage to company's reputation. These risks arises due to:

- Incorrect Model inputs or assumptions
- Erroneous implementation of Models
- Misuse of or overreliance on Models
- Fundamental errors in the design of Models
- Unauthorized and incorrect changes to the Models
- The OFSMRM application enables financial institutions to record all the information related to the Models to obtain an enterprise-wide view. The application facilitates in scheduling assessments in order to evaluate and

assess the performance and the various risks associated with the Models. The OFSMRM also enables the organizations to monitor Model performance, identify risk, and plan Actions to mitigate risk.

Features of Model Risk Management are:

- A central repository of all Models in a Financial Institution

- A central repository of Model Usages.

- A framework to support logging Model and Usage Development ideas and tracking all activities involved in building Model and Usage through discussion and approval process.

- Ability to record assessment results along with documentations.

- Ability to raise and track Issues on Model and Usage and Action plans to resolve Issues.

- Attestation of Model and Usage to support internal reviews and accuracy.

- The Dashboard integrates the results generated by the OFSMRM with Oracle Business Intelligence, giving users the ability to perform queries on MRM Results.

Model Risk Management framework enable banks to predict and identify risk more accurately. This also enables them to make better top-level and line-of-business (LOB) decisions, based on Model results by answering the following queries:

- How often must a Model be assessed?

- How does a bank with Models that are already in production meet the newly defined expectations of Model development and implementation?

- How does an institution begin to develop an effective Model Risk Management program?

This chapter provides a brief overview of the Oracle Financial Services Model Risk Management (OFSMRM) in terms of its architecture and operations. Financial institutions use Models across the enterprise to synthesize large amounts of complex data into a simplified form for analysis and evaluation, in order to facilitate in reporting, decision-making, and monitor risks.

Components of OFSMRM

This version of OFSMRM application consists of the following tabs. You can click the following links to view the details:

- Getting Started

- General Features

- Managing Model Management

- Managing Issues and Actions

- Managing Admin Tasks

- Managing Dashboards

The functions and workflow of each of these tabs are explained in the respective chapters.

CHAPTER 2 *Getting Started*

This chapter provides step-by-step instruction to login to the MRM application and different features of the Oracle Financial Services Model Risk Management (MRM) Application page.

This chapter discusses the following topics:

- System Requirements
- Accessing OFSAA Applications
- Managing the MRM Application Page
- Troubleshooting Your Display

System Requirements

The following applications are required to run Oracle Financial Services Model Risk Management:

- Microsoft Internet Explorer (IE) version 9 or later.

  Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.

- Adobe Acrobat Reader version 9.0, or later.

  You can download a free copy of the latest version of the Reader at www.adobe.com.

- Java should be installed. JDK 1.6 (version 6) or above.

- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interface (UI).

Accessing OFSAA Applications

Access to the Oracle Financial Services Model Risk Management application depends on the Internet or Intranet environment. Oracle Financial Services Model Risk Management is accessed through Microsoft Internet Explorer (IE). Your system administrator provides the intranet address uniform resource locator (URL).

Your system administrator provides you with a user ID and password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. (Refer to section *Change Password* for more information.)

Your password is case sensitive. If you have problems with the password, verify that the **Caps Lock** key is off. If the problem persists, contact your system administrator.

To access OFSAA Applications, follow these steps:

1. Enter the URL into your browser using the following format:

   `<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp`

   For example: https://myserver:9080/ofsaaapp/login.jsp

   The OFSAA Login page is displayed.

Figure 1. OFSAA Login Page

2. Select the Language from the Language drop-down list.

3. Enter your User ID and Password.

4. Click **Login**. The OFSAA Application page is displayed.
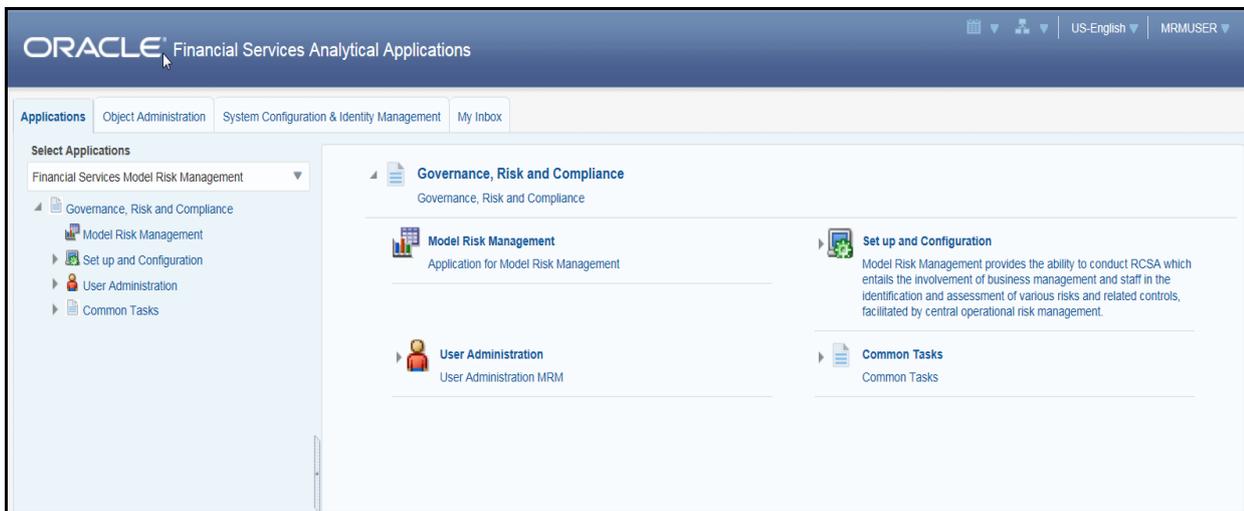
Figure 2. OFSAA Application Page

The OFSAA Application page is a common landing page for all users until a preferred application page is set. For example, to access MRM, select **Model Risk Management** from the drop-down list.

The OFSAA Application page has multiple tabs and each tab has specific links to OFSAA Infrastructure and Application modules. The modules which you may access depend on your user role and the OFSAA Application you select. The relevant tabs and links are displayed

This page is divided into two panes:

- **Left Pane**: Displays any menus and links to modules in a tree format based on the application selected in the Select Application drop-down list.

- **Right Pane**: Displays any menus and links to modules in a navigational panel format based on the selection of the menu in the Left pane. It also provides a brief description of each menu or link.

Managing the MRM Application Page

This section describes the different panes and tabs in the OFSAA Application page.

The OFSAA Application page has the following tabs:

- Applications Tab

- Object Administration Tab

- System Configuration and Identity Management Tab

The following sections describe these tabs.

Applications Tab

The Applications tab lists the various OFSAA Applications that are installed in the OFSAA setup based on the logged in user and mapped OFSAA Application User Group(s).

To access the OFSAA Applications, choose the required Application from Select Application drop-down list. For MRM select **Model Risk Managemetn.** Based on your selection, the page refreshes the menus and links across the panes.
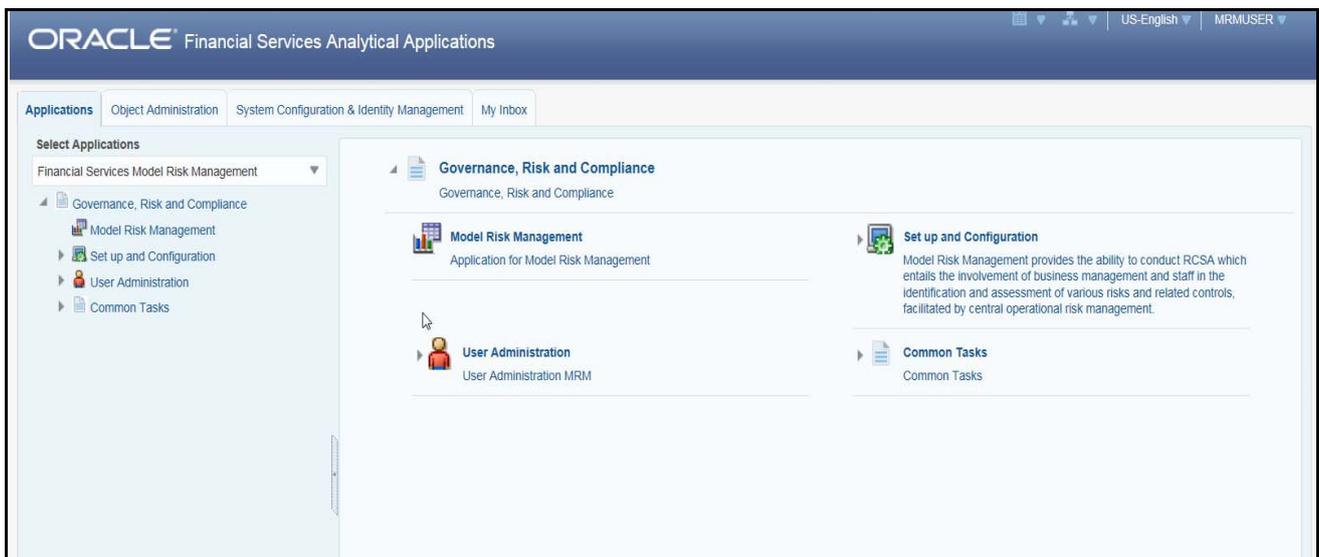
Figure 3. OFSAA Application Selection Tab

Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the various OFSAA Information Domains created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, refer to the *Administration Guide.*

To define or maintain access for an Information Domain, choose the required Information Domain from the Select Information Domain drop-down list. Based on your selection, the page refreshes the menus and links across the panes.
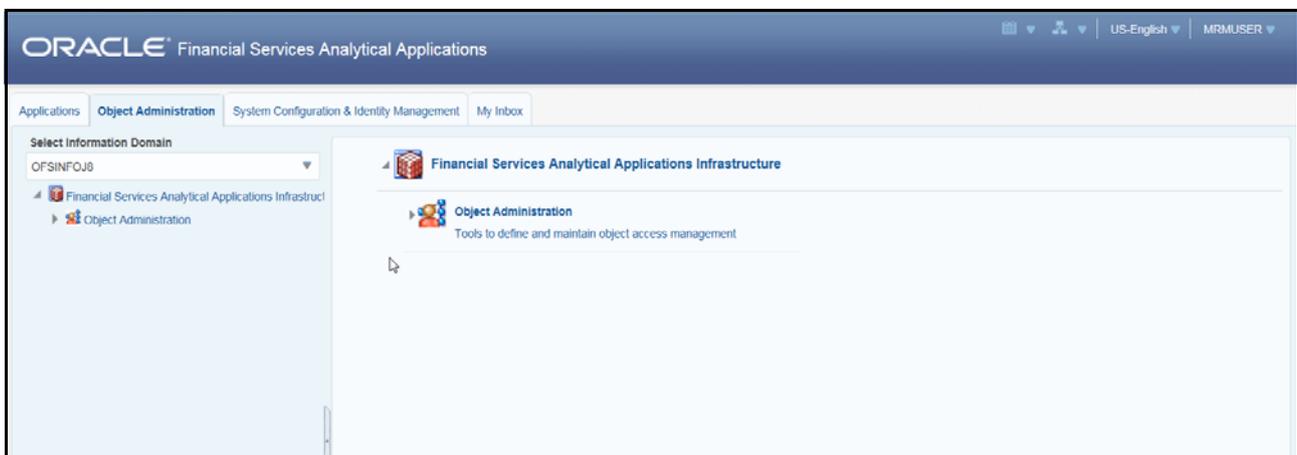
Figure 4. Object Administration Selection Tab

System Configuration and Identity Management Tab

System Configuration and Identity Management is an integral part of the Infrastructure administration process. This tab helps System Administrators to provide security and operational framework required for the Infrastructure.

System Administrators can configure Server details, Database details, OLAP details, and Information Domains, along with other configuration processes such as segment and metadata mapping, mapping segments to securities, and rules setup. System Configuration is mostly a one-time activity, which helps the System Administrator make the Infrastructure system operational.

The System Configuration and Identity Management tab lists the OFSAA Infrastructure System Configuration and Identity Management modules. These modules work across Applications and Information Domains, so there is no Application and Information Domain drop-down list in this tab.
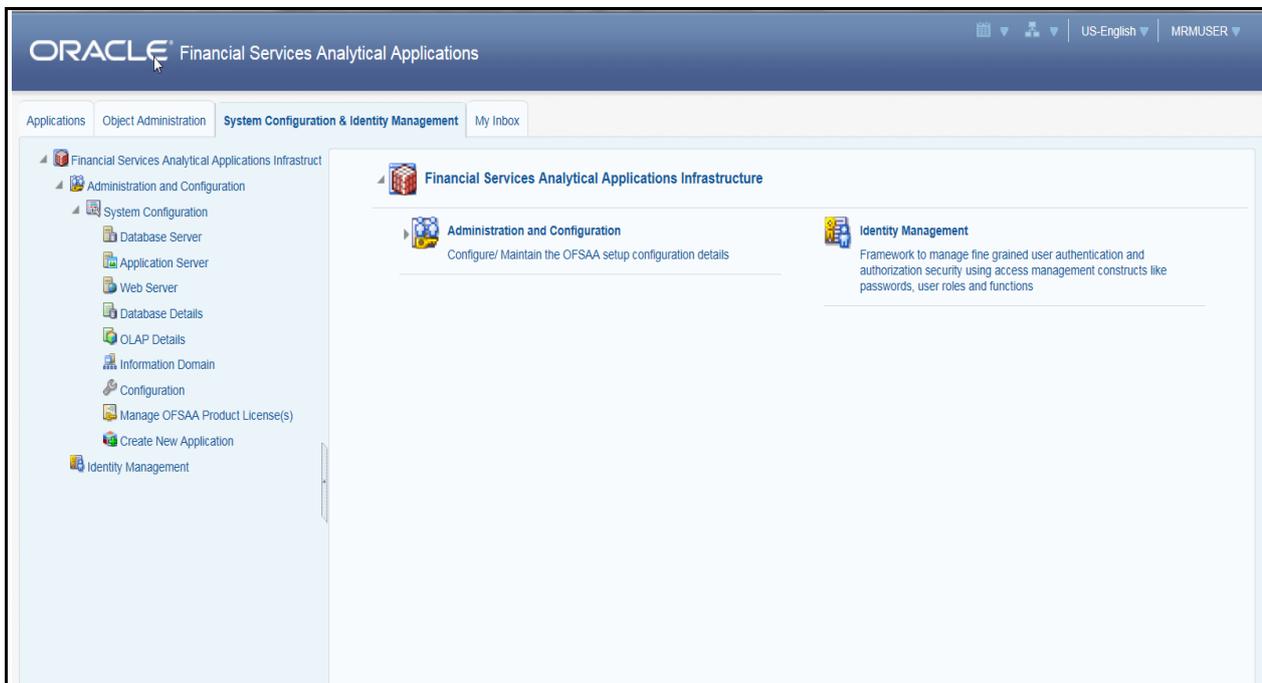
Figure 5. System Configuration and Identity Management Tab

Selecting Identity Management allows System Administrators to manage Users, User Groups, and the functions each User or User Group may access. For more information about managing Users and User Groups, refer to the *GRC Installation and Administration Guide*.

Copyright Information

To access copyright information, click the **About** hyperlink in the OFSAA Login page.

The Copyright text displays in a new pop-up window.

Figure 6. Copyright Information

Change Password

If you want to change your password, you can do so using the **Change Password** option available from the drop-down list available on the OFSAA Application page.

The application will navigate to the Password Change page. Enter your old and new password in the given fields respectively, and click **OK**. Your password is changed successfully. After clicking **OK** in the pop-up window, the application navigates back to the Login page where you can login with the new password.

Figure 7. Change Password

Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Model Risk Management Application, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for properly setting your Web display options for OFSAA applications within IE.

Note: The following procedures apply to all versions of IE listed in section *System Requirements*. Separate procedures are listed for each version where differences exist in the locations of settings and options.

Enabling JavaScript

JavaScript must be enabled. To enable JavaScript, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. Click the **Security** tab.

3. Click the **Local Intranet** icon as your Web content zone.

4. Click **Custom Level**.

   The Security Settings dialog box displays.

5. In the Settings list and under the Scripting setting, enable all options.

6. Click **OK,** then click **OK** again to exit the Internet Options dialog box.

Enabling Cookies

Cookies must be enabled. If you have problems troubleshooting your display, please contact your System Administrator.

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page. To adjust your Temporary Internet File settings, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. On the General tab, click **Settings**.

    The Settings dialog box displays.

3. Click the **Every visit to the page** option.

4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

File downloads must be available. To enable file downloads, follow these steps:

1. From the Tools menu, click **Internet Options**.

    The Internet Options dialog box displays.

2. Click the **Security** tab.

3. Click the **Local Intranet** icon as your Web content zone.

4. Click **Custom Level**.

    The Security Settings dialog box displays.

5. Under the Downloads section, ensure that **Enable** is selected for all options.

6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

1. From the Tools menu, click **Internet Options.**

    The Internet Options dialog box displays.

2. Click the **Advanced** tab.

3. In the Settings list, under the Printing setting, click **Print background colors and images**.

4. Click **OK** to exit the Internet Options dialog box.

Tip: For best display results, use the default font settings in your browser.

Enabling Pop-Blocker

Some users may experience difficulty running the Oracle Financial Services MRM application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* in the Pop-up Blocker Settings in the IE Internet Options.

To enable Pop-up Blocker, follow these steps:

1. From the Tools menu, click **Internet Options**.

    The Internet Options dialog box displays.

2. Click the **Privacy** tab.

3. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option**.**

The **Settings** enable.

4. Click **Settings** to open the Pop-up Blocker Settings dialog box.

5. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.

6. Click **Add**.

   The URL appears in the Allowed site list.

7. Click **Close**, then click **Apply** to save the settings.

8. Click **OK** to exit the Internet Options dialog box.

Preferences

The preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click Preferences from the drop-down where the user name is displayed. The Preferences screen is displayed.
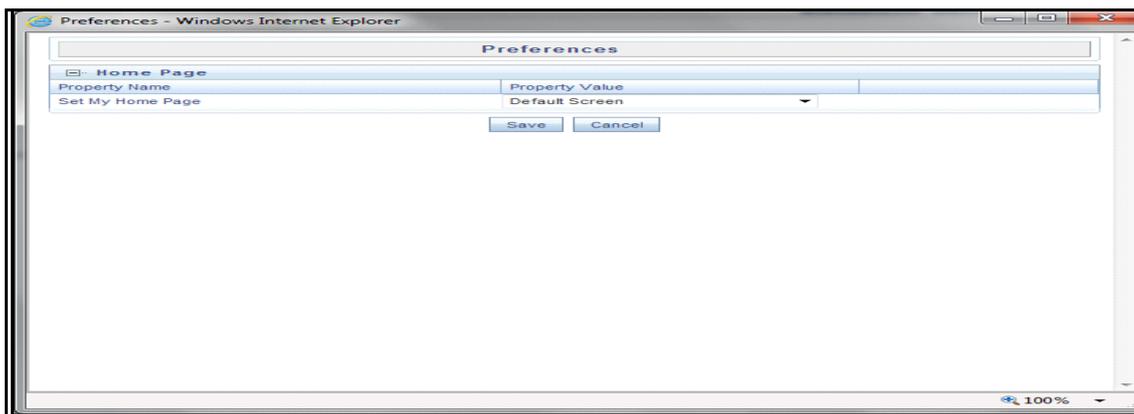
Figure 8. Preference screen

Under Property Value drop-down, select the application which you want to set as the Home Page.

Note: Whenever you install a new application, the related value for that application is found in the drop-down list.

2. Click **Save** to save your preference.

CHAPTER 3 *General Features*

This chapter explains the general features of OFSMRM application. These are the common features that are found across the modules of OFSMRM application. It describes the organization of the user interface and provides step-by-step instructions for navigating through the application.

This chapter includes the following topics:

- Managing OFSAAI Home Page
- OFSMRM Common Screen Elements
- Managing OFSMRM

Managing OFSAAI Home Page

This section describes how to manage the Oracle Financial Services Analytical Application Infrastructure Home page. Any user logging in to OFSMRM Application comes across the OFSAAI Home page.

This section discusses the various components of the OFSAAI Home page.

Components of OFSAAI Home Page

The OFSAAI Home Page contains the following sections.

- Top Menu
- Left Hand Side (LHS)
- Right Hand Side (RHS)
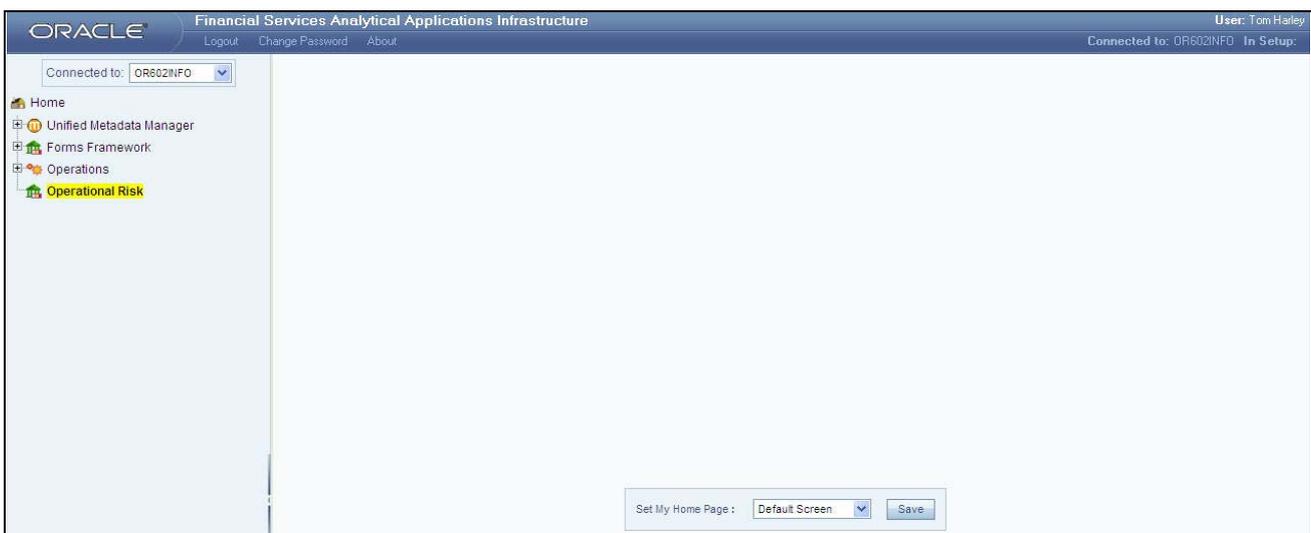
Figure 9. OFSAAI Home Page

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Top Menu

This section displays the logged in User information and Information Domain. The Top menu contains the following buttons:

- **Logout**: This logs you out from the application.

- **Change Password**: This takes you to the Change Password window.

- **About**: This displays the OFSAAI copyright information.

Left Hand Side (LHS)

This section displays the menu which allows you to navigate to the required module. The items displayed in the Menu depend upon the access rights of the logged in user.

You can select an Information Domain to which the Application is connected to, from the Connected to drop-down. The Menu gets refreshed based on the selected Information Domain.

If you click **Model Risk Management** in the LHS Menu, the OFSMRM Home page opens in a different window.

For more details, refer to the *Oracle Financial Services Analytical Application Infrastructure User Guide*.

Right Hand Side (RHS)

This section displays user options available on the Home page on logging into OFSAAI application. From the Set My Home Page drop-down select an option and click **Save**. This saves the application page as the default landing page.

OFSMRM Common Screen Elements

This section describes the common screen elements of OFSMRM.

The following tables lists the various icons and buttons in the OFSMRM user interface:

Table 2. Screen Elements

Icon/Button	Name	Description
? Help	Help	This Icon displays at the top right corner of a page. Click this button to display information related to the page.
Go	Go	This button displays in all Search bars and performs the search function. Click this button to search the selected search criteria.
Clear	Clear Search	Click this button to clear the search fields to blank.
Wrap	Wrap	When values displayed in the column of a matrix is lengthy and by Unwrap full details are displayed . Click this button to wrap the text in all columns of a matrix.
Unwrap	Unwrap	When values displayed in the columns of a matrix are long only the first few characters are displayed. Click this button to display full details of the text in all columns of a matrix.
>>	Expand	When values displayed in a particular column or row are lengthy, only the first few characters are displayed followed by the Expand button, indicating that more text is available. Click this button to expand the column or row for the complete text to view.

Table 2. Screen Elements

Icon/Button	Name	Description
Collapse icon	Collapse	When values displayed in a particular column or row are expanded, click the Collapse button in that column or row to contract the displayed text.
View More icon	View More	This button displays at the lower left corner of the Details page. Click this button to view additional details of a record such as Documents, Workflow History, and so on.
Hide icon	Hide	Click this button to hide additional details of a record.
+ or ⊞	Section Expand	This button is present in some sections of the Details page. Click this button to expand a section and display the fields.
− or ⊟	Section Collapse	Click this button to collapse a section, which is already expanded. All fields in the section are hidden.
Calendar icon	Calendar	Click this button to display the calendar. You can select a date from the calendar.
Clear icon	Clear	This button displays on actionable sections of the UI which do not display any pre-populated data. Click this button to clear the data entered.
Save Draft icon	Save Draft	Click this button to save a draft version of a record.
Edit icon	Edit	Click this button to edit the details of a record.
Update icon	Update	Click this button to update the changes made to a record.
Submit icon	Submit	Click this button to submit a record.
Cancel icon	Cancel	Click this button to cancel an action.
Close icon	Close	Click this button to close a page or window.
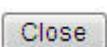
Managing OFSMRM

This section describes how to manage the Oracle Financial Services Model Risk Management application. This applies to users across all modules of the application. Some of the functionalities may be specific to the rights owned by a user.

This section discusses the following topics:

- Managing Home Page
- Managing Inbox
- Managing Search and List Page
- Managing Details Page

Managing Home Page

The Home page is the landing screen of OFSMRM. This page displays major reports, latest announcements, notifications and tasks assigned to the logged in user. The Home page is different for the top management users and the business users.

The top management users can include Administrator, Business Unit Head and Chief Executive Officer.

The Home page for top management users consists of the following sections:

- Reports
- Announcements
- Summary Report
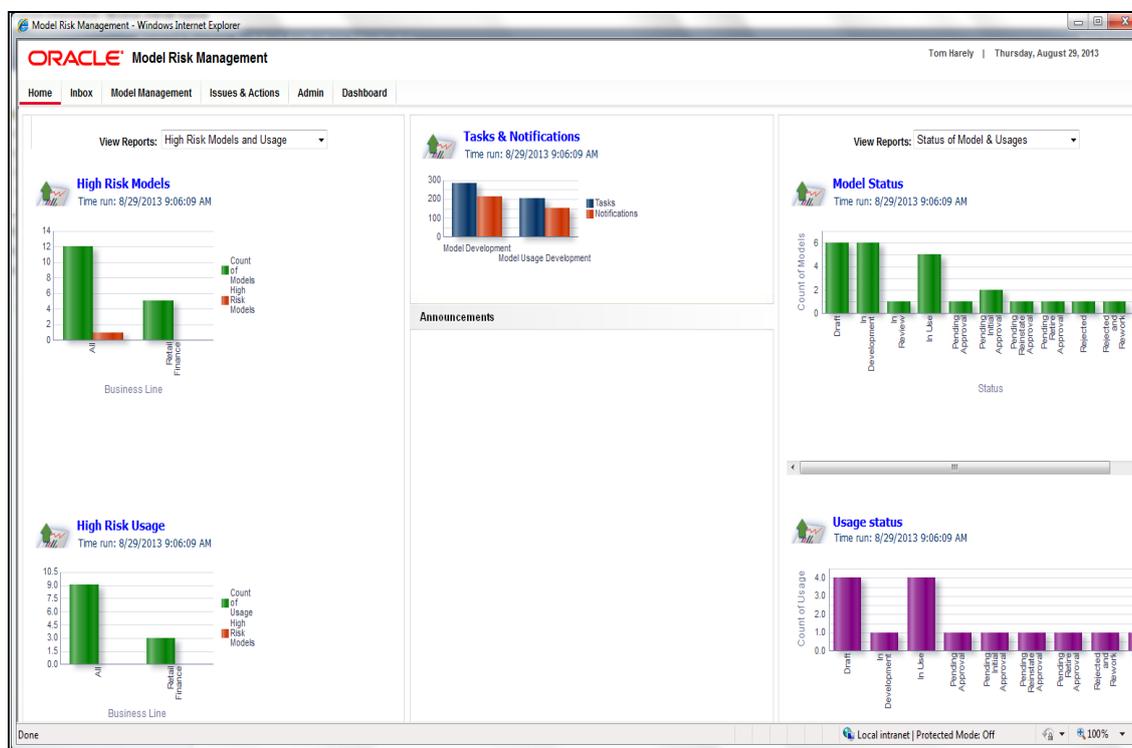
Figure 10. OFSOR Home Page for Top Management Users

The Home page for business users consists of the following sections:

- Reports
- Announcements
- Summary Report
- Notifications
- Tasks
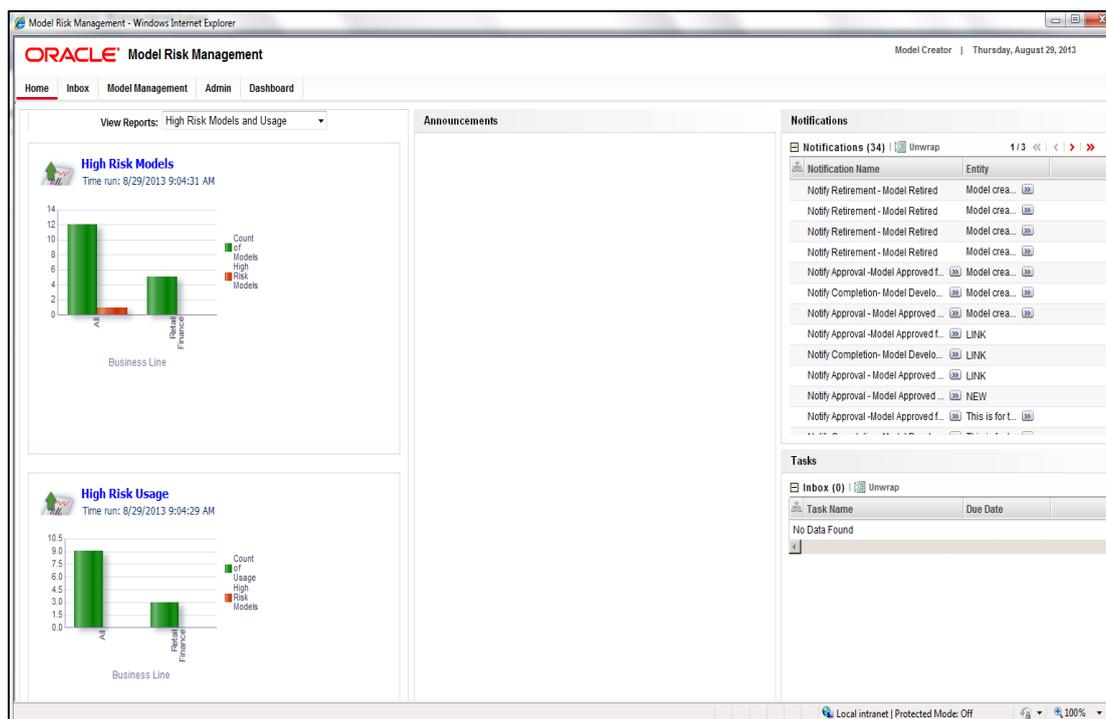
Figure 11. OFSOR Home Page for Other Users

Reports

This section is organized differently for top management users and business users. For top management users, reports are displayed on left hand side and right hand side of the Home page. For other users, reports are displayed only on the left hand side of the Home page.

The View Reports drop-down list consists of the reports as per the roles you are mapped to. You can select an option to view the required report.

Announcements

This section is same for all users of OFSMRM. This section displays announcements and organizational updates related to OFSMRM. The Administrator may have the rights to add or delete announcements in this section.

This section covers following topics:

- Adding Announcements
- Deleting Announcements

Adding Announcements

To add an announcement, follow these steps:

1. Navigate to the OFSMRM Home page.

2. Click **Add** in the Announcements section. The Add Announcement window is displayed.

| Subject* ? | |
| Details* ? | |

Save Back

Figure 12. Add Announcement Window

3. Enter the Subject of the announcement. The Subject field allows you to enter a maximum of 300 characters.

4. Enter the Details of the announcement. The Details field allows you to enter a maximum of 3000 characters.

5. Click **Save**. The following message is displayed: *Add Operation Successful.*

6. Click **OK**. The Add Announcement window is displayed. Click **Back**. The Home page with the announcement is displayed.

Deleting Announcements

To delete an announcement, follow these steps:

1. Navigate to the OFSMRM Home page.

2. Click the **Delete Announcement** button next to the Announcement you want to delete. The following message is displayed: *Retiring this announcement will make it not appear in the announcements. Do you want to continue?.*

3. Click **OK**. The announcement is deleted from the Home page.

Summary Report

This section is displayed only for top management users of the organization.This section displays a report of the Tasks, Notifications, and Reminders generated for each module.

Notifications

This section is displayed for all users except top management users. This section displays the list of notifications pertaining to the logged in user arranged in reverse chronological order. The notifications are listed in two columns: Notification Name and Entity.

Tasks

This section is displayed for all users except top management users. This section displays the actionable tasks pertaining to the logged in user arranged in descending order of the due date.

The tasks are listed in two columns:

- Task Name
- Due Date

Managing Inbox

The Inbox page displays all Tasks and Notifications of the logged in user. The Task IDs are hyperlinks that enable you to view the contents of the task or notification. You can click the Task ID to view its details and take action, if required.

This section covers following topics:

- Searching Inbox
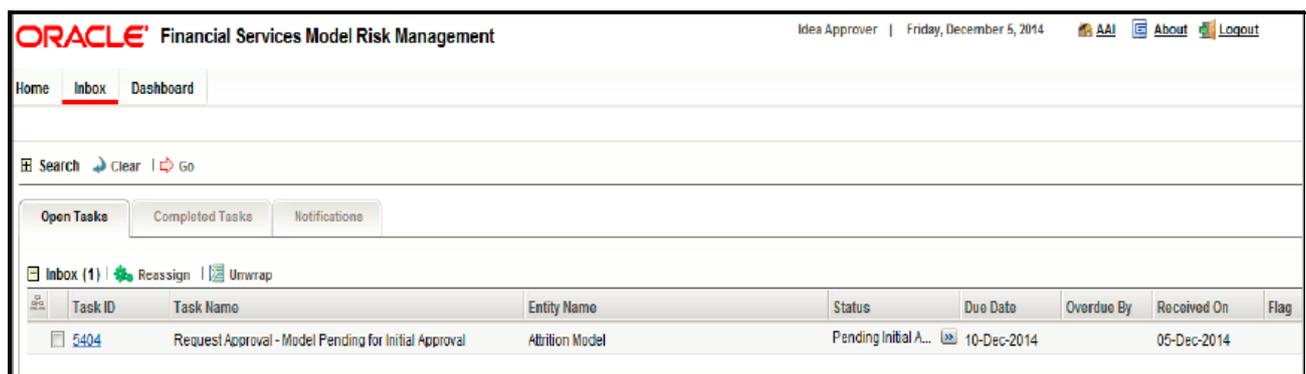
Figure 13. Inbox

There are four tabs in the Inbox of any user:

Open Tasks

This tab displays tasks received by the user which are yet to be completed. Open Tasks are listed with the following details.

Table 3. Open Tasks Details

Field	Description
Task ID	Displays the unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, Action, Stage, or Change Log.
Entity Status	Displays the current status of the entity.
Due Date	Displays the date on which the task is due to be completed.
Overdue By	Displays the number of days, for which the task is pending after its due date.
Received On	Displays the date on which the task has been received.
Flag	Checks the overdue status.

Completed Tasks

This tab displays tasks which have been performed or completed by the user. Completed Tasks are listed with following details:

Table 4.   **Completed Tasks Details**

Field	Description
Task ID	Displays the unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, Action, Stage, or Change Log.
Entity Status	Displays the current status of the entity.
Received On	Displays the date on which the task was received.
Completed On	Displays the date on which the task was completed.
Completed By	Displays the user name, who has completed the task.

Notifications

This tab displays notifications sent to the user for information. Notifications are listed with the following details.

Table 5.   *Notifications Tasks Details*

Field	Description
Task ID	Displays the unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, Action, Stage, or Change Log.
Entity Status	Displays the current status of the entity.
Received On	Displays the date on which the notification has been received.
Due Date	Displays the date on which the task associated to the notification is due to be completed.

Reassigned Tasks

This tab displays tasks which were not performed by the actual receiver and are reassigned to a different user. Reassigned Tasks are listed with the following details.

Table 6.   *Open Tasks Details*

Field	Description
Task ID	Displays the unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, Action, Stage, or Change Log.
Entity Status	Displays the current status of the entity.
Due Date	Displays the date on which the task is due to be completed.
Overdue By	Displays the number of days, for which the task is pending after its due date.

Table 6. *Open Tasks Details*

Field	Description
Reassigned To	Displays the user name, to whom the task has been reassigned.
Reassigned On	Displays the date on which the task has been reassigned.

Note:

- You can click the Task ID to view the definition details associated with the Open Tasks and Notifications. This navigates you to the respective Model Details, Usage Details, Stage Details, or Assessment Details window.

- The unread Task IDs will appear in bold format and can be distinguished from the read Task IDs.

For more information on Models, Usage, Stages, and Assessment, refer to Managing Model Management chapter.

Searching Inbox

The Inbox page allows you to filter the tasks and notifications that you want to view and analyze. This search is based on limited set of search criteria and helps to retrieve the relevant tasks and notifications of the Inbox.

To search the Inbox, follow these steps:

1. Login to OFSMRM.

2. Click **Inbox**. The Inbox page is displayed.

3. Click the Expand icon (+) to display the details.

4. Enter the pertinent details in the Search fields to filter the list.

   The following table provides the list of the search criteria that display in the Inbox Search section:

Fields	Description
Task Name	Enter the name of the task.
From	Enter the name of the user from which task was generated
Due Date	Select a condition from the drop-down list with the following options: • <= • < • = • > • >= Select a date from the calendar.

5. Click **Go**. The records meeting the criteria are displayed in the tabs of Inbox.

   Note: If no records match the search criteria, the following message is displayed: *No records found for the selected search criteria.*

Managing Search and List Page

This section provides details about the components of the Search and List page, and describes how to manage them.

This section includes the following topics:

- Components of Search and List Page

- [Managing Pagination](#)

- [Saving a Search](#)

- [Exporting Records](#)

Components of Search and List Page

The Search and List page displays the summary of all records and is sorted by the Last Modified Date by default. It displays the total number of records, page number, and the total number of pages in the search result.

The Search and List page contains the following components:

- Masthead

- Navigation Path

- Page Help

- Search Bar

- List Header

- Action Buttons

- Check Boxes

- Column Headings
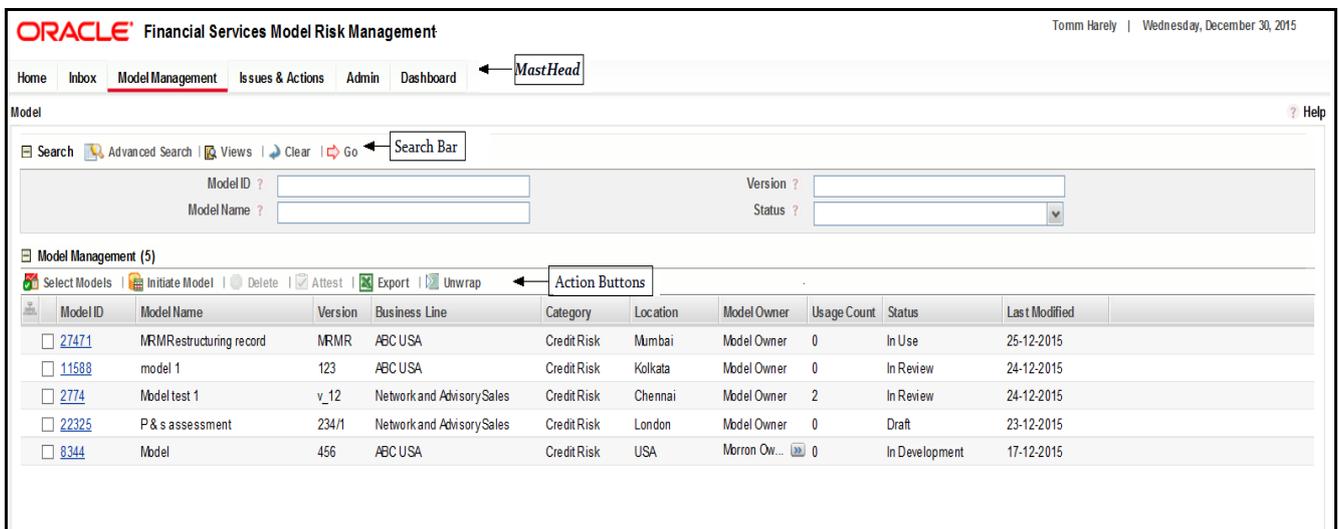
Figure 14. Search and List Page

Masthead

The mast head displays at the top of the page and contains the menus of the application. This section also displays the session information which includes session user name, day, and date.

Navigation Path

The Search and List page and the Details page have navigation path to display the route taken to reach the current page. Click on any component of the navigation path to view the respective screen.

Model >> **Model - 27471**

Figure 15. Navigation Path

Page Help

Page level help is provided in all screens of OFSMRM. The Help Page provides context-sensitive information based on the page displayed.

To view the page help, follow these steps:

1. Click **Help** in the top right corner of the screen. The Help Page opens in a separate window.

2. Click on **Close** button of the browser window to close the Help Page.

Search Bar

This section allows you to search and view records and their details. Records can be searched either by using Basic Search, Advanced Search, or Search by Views.

List Header

The header contains the title and displays the total number of records. The header also provides pagination with forward and backward arrows for advancing page by page or to the first or last page.

Action Buttons

Action buttons are the tool bar buttons that enable you to perform various actions such as create, delete, close, export and so on. These buttons are enabled or disabled based on the access rights provided to the user and the operations that can be performed on the selected record.

Note: The actions buttons differ from module to module. Refer to the respective chapters for more details.

Check Boxes

Check boxes are provided at the beginning of each row in the Search and List Page. You can select one or more check boxes depending upon the action you take.

Column Headings

Column headings provide labels that depict the kind of information displayed in the columns. The list of records can be sorted from the column headings.

To sort the records, follow these steps:

1. Navigate to the Search and List page.

2. Right-click on a column heading. A list of sorting options is displayed.

.

Figure 16. Sorting Menu

3. Select the relevant sorting option. The records are sorted as per the selected sorting option.

4. Select **Clear Sort** to clear the applied sorting option.

The different sorting options are described below:

Sort Ascending

Upon selecting this option, the records are sorted in ascending order if the data is numeric. In case of a text field, the data is sorted in alphabetical order. If the selected column is a date column, then the data is sorted in chronological order.

Sort Descending

Upon selecting this option, the records are sorted in descending order if the data is numeric. In case of a text field, the data is sorted in reverse alphabetical order. If the selected column is a date column, then the data is sorted in reverse chronological order.

Clear Sort

Upon selecting this option, the applied sorting is removed and records are displayed in their original order.

Group by Tree

Upon selecting this option, the records are listed in a tree structure under various values in the column. You can click **Close** to close the grouping and view the normal List page.

Group by Tab

Upon selecting this option, the records are arranged horizontally as tabs. Each value in the column becomes a separate tab and the records are classified and grouped under respective tabs. You can click the tabs to display the respective records. You can click **Close** to close the grouping and view the normal List page.

Note: The Group by Tree and Group by Tab options are enabled only for columns which have predefined values from dim tables. They are not enabled for columns for which the data is captured in the front end by the Business User. Also, these options are not available for columns with distinct values like Name, Amount and so on.

Transpose

This option allows you to convert columns to rows. Upon clicking this option, the column headings are arranged vertically, the records are displayed horizontally and the record details are displayed vertically corresponding to each column. You can click **Close** to close the transposed view.

Field Chooser

This option allows you to enable or disable fields in a grid. The changes made are applicable for future sessions of the logged in user alone and can be modified whenever necessary.

To sort by Field Chooser, follow these steps:

1. Right-click on the column heading. A list of sorting menu displays.

2. Click **Field Chooser**. The Field Chooser window displays. The columns displayed are selected by default.
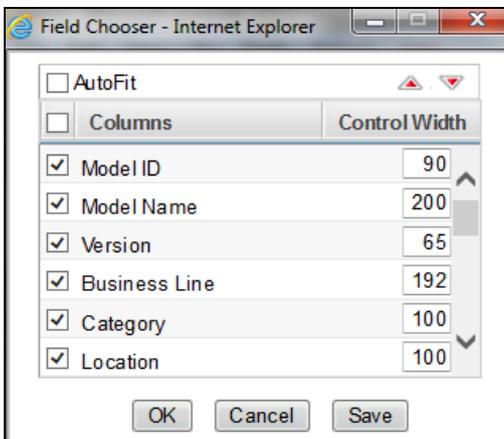
Figure 17. Field Chooser window

3. Select the fields which you want to display.

4. You can increase or decrease the width of a column by modifying the Control Width value. To change the position of the columns, select a column and click ▲ or ▼ .

5. Click **OK**. The Field Chooser window closes and the selected columns are displayed.

   Or

   Click **Save**. The Field Chooser window closes and the selected columns are displayed. The changes made are saved for the logged in user.

Managing Pagination

This feature helps manage a large number of records in a single grid. A limit is defined in each grid as to how many records will be displayed at a time. If it is defined that only x number of records will be displayed in a single page of the grid at a time, the rest of the records will be displayed in the subsequent pages. These pages can be viewed by using pagination options.

Figure 18. Pagination

- Click ➤ to view the records in the next page.

- Click ◄ to view the records in the previous page.

- Click ➤➤ to view the records in the last page.

- Click ◄◄ to return to the first page when you are in any other page.

Saving a Search

OFSMRM provides a Save Search option in the Advanced Search section that allows you to save your search criteria for future use. Such a saved search is considered a pre-defined search and is listed in the Views Search drop-down list.

To save a search, follow these steps:

1. Navigate to the Search and List page.

2. Click **Advanced Search**. The Advanced Search section is displayed.

Figure 19. Advanced Search Section

3. Enter your search criteria in the Advanced Search fields and click **Save**. The Save Search window is displayed.
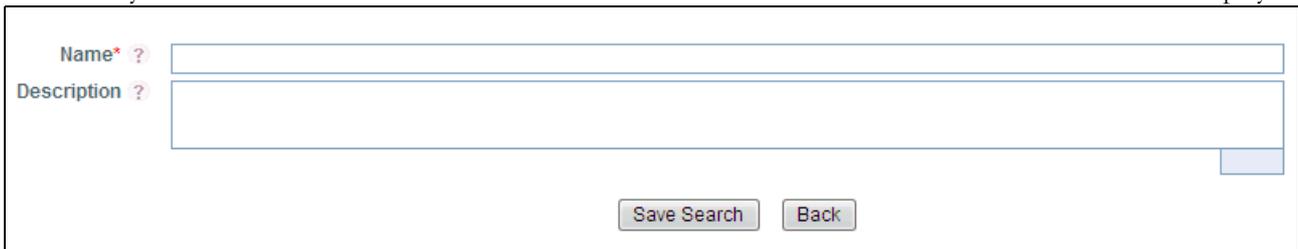
Figure 20. Save Search Window

4. Enter the Search Name and Description in the respective fields.

   Note: You can check the Set as Default View option if you want to make these search criteria your default View.

5. Click **Save Search**. The following message is displayed: *Add Operation Successful*. Click **OK**. The Save Search window is displayed.

6. Click **Back**. The Advanced Search section is displayed and the saved search criteria is listed under the Views drop-down list.

Exporting Records

The Search and List page allows you to export the listed records to a Microsoft Excel spreadsheet. If any search criteria is applied, the values exported are restricted only to the search result.

To export the records, follow these steps:

1. Navigate to the Search and List page.

2. Click **Export**. The Export Details box is displayed.
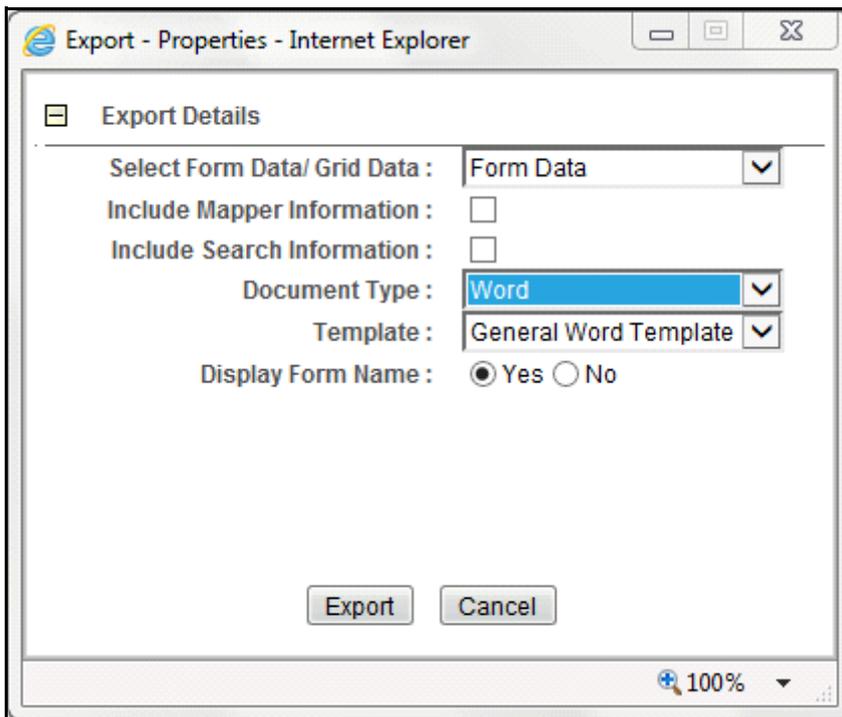
Figure 21. Export Details Box

3. Select the appropriate options from the Export Details box.

Table 7. Export Details

Fields	Description
Select Form Data/ Grid Data	Select Form Data or Grid Data from the drop-down list.
Include Mapper Information	Check if you want to include mapper information in the report.
Include Search Information	Check if you want to include search information in the report.
Document Type	Select Excel from the drop-down list.
Template	Select General Excel Template from the drop-down list.
Display Form Name	Select if you want to display the form name or not from Yes or No radio buttons.

4. Click **Export**. The File Download box is displayed.

Figure 22. File Download Box

5. Click **Open**. An Excel spreadsheet is displayed which consists of a compiled list of all records displayed in the Search and List page.

Managing Details Page

This section covers the components of the Details page, and describes how to manage them.

This section includes the following topics:

- Components of Details Page
- Viewing Profile Report
- Viewing Additional Information
- Exporting Definitions
- Managing Documents
- Sending Email
- Viewing Workflow History

Components of Details Page

The following sections describe the components found in the Details page:

- Field and Data Types
- Text Box
- Text Area
- Hierarchy Browser
- Drop-down List
- Radio Buttons

- Numeric Fields

- Date

- Mandatory Data Fields

- Contextual Help

- Tool Tip

Field and Data Types

The Details page of all modules has the following types of field:

Text Box

This is an alphanumeric free-text field with a restriction of 300 characters.

Text Area

This is an alphanumeric free-text field with a restriction of 3000 characters. The number of characters allowed for these fields displays in a box which is non-editable. The count is updated based on the actual number of characters entered in the Text Area.

Hierarchy Browser

The Hierarchy Browser window displays an entire node of hierarchical items, including root, parent, and child nodes. This facilitates you to drill through the hierarchy and select a specific item to be used for processing.
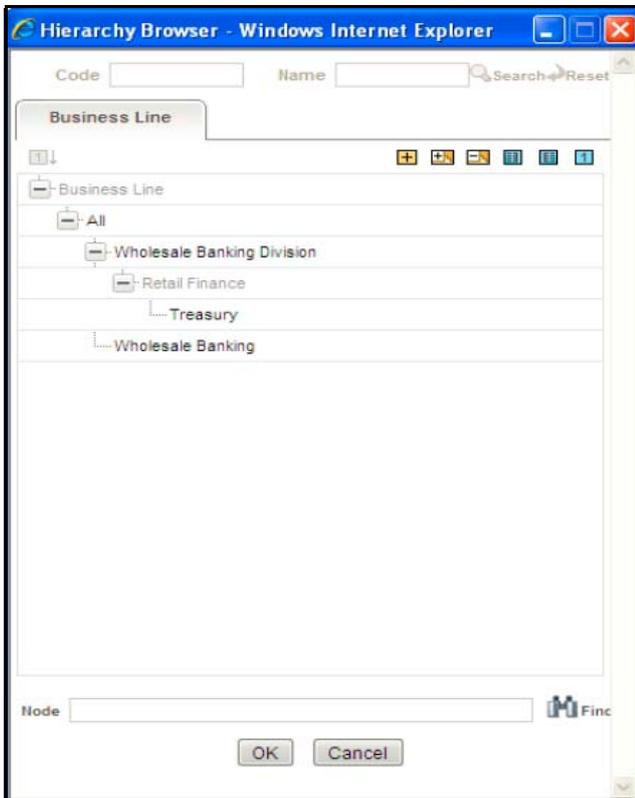
Figure 23. Hierarchy Browser

You can use the hierarchical member code, name, or node name to search for a specific member.

In the Hierarchy Browser window, you can also perform the following actions:

- Click **Expand All** button to expand all the branches.

- Click **Expand Branch** button to expand a selected branch.

- Click **Collapse Branch** button to collapse a selected branch.

- Click **Show Code Values (Right)** button to view the code values at the right side of the hierarchy members.

- Click **Show Code Values (Left)** button to view the code values at the left side of the hierarchy members.

- Click **Show Code** button to view the code of hierarchy members instead of hierarchy member names.

Drop-down List

Some fields are provided with a drop-down button ![dropdown], which displays a list of values. You can select the relevant value from the list.

Radio Buttons

Radio buttons are provided for fields where the user must select from two or more options.

Figure 24. Radio Buttons

Numeric Fields

These fields allow only numeric data to be entered. The different types of numeric fields include:

- Number Field - You can enter up to 20 digits.

- Amount Field - You can enter up to 22 digits and 8 decimals

- Percentage Field - You can enter up to 3 digits

Date

These fields are provided with calendar button which allows you to select a date. If you click on the **Calendar** button, a calendar of the current month is displayed with the current date highlighted.

Figure 25. Calendar

Mandatory Data Fields

Mandatory fields are fields which capture data that must be entered by the user. All data fields that are marked with a red asterisk (*) are mandatory data fields. Only when all of these fields have been completed, an entity can be submitted by the user for further steps in the workflow. For example, the Owner field is mandatory for submitting a record.

However, some fields are mandatory based on the data captured. If such fields are not captured, an alert message displays, asking to capture the relevant fields.

Contextual Help

Contextual Help is offered at every field level in the User Interface screen, by providing a brief description about the specific field. You can click ? to view the contextual help text. Contextual help available for that field displays in a window box for a few seconds and closes automatically.
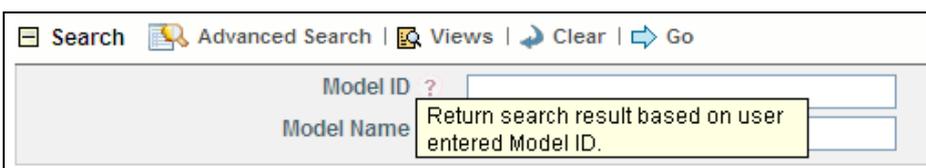
Figure 26. Contextual Help

Tool Tip

You can refer to the Tool Tip to identify a task or action button. The Tool Tip displays when you place the cursor over a button. In case of a button, it specifies the purpose of the button.
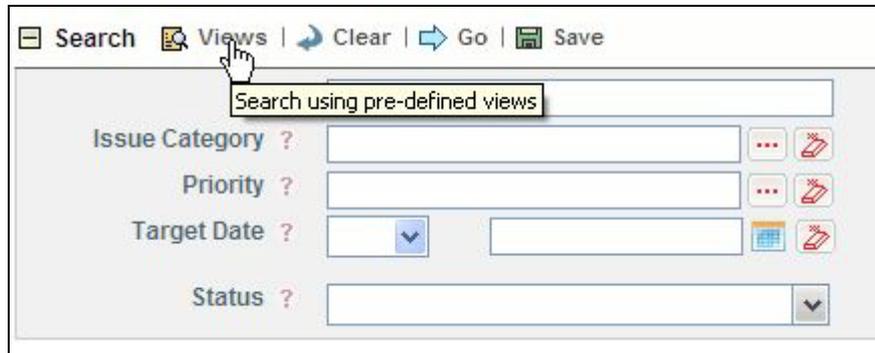
Figure 27. Tool Tip

Viewing Profile Report

The Details page allows you to export all details of a record to Portable Data Format. The Profile Report gives a current snapshot of the record.

To view the profile report, follow these steps:

1. Navigate to the Details page.

2. Click <Module Name>**Profile** button. A File Download Box is displayed.
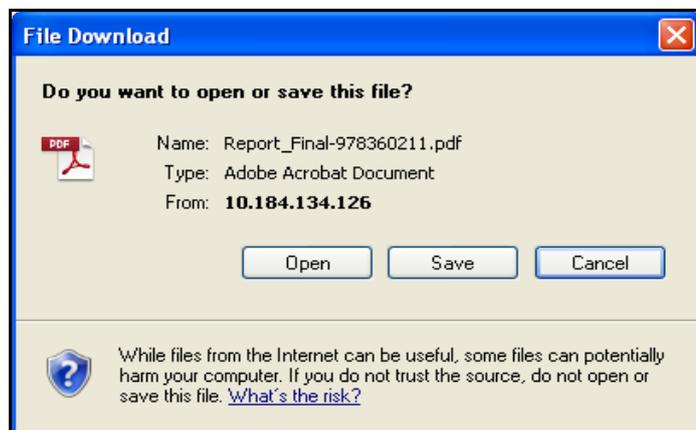
Figure 28. File Download Box

3. Click **Open**. The profile report of the record is displayed. Alternatively, you can save the report in your drive by clicking **Save**.

Viewing Additional Information

The Details page has an Additional Information section on the right. This section displays reference information such as the count or amount of various components related to the record. The information is updated as per the

current date. The count or amount displayed are hyperlinks which take you to the required pages as described in the respective modules.

Note: If the reference information is blank or zero, clicking on them displays the following message: *There are no records to display for this criteria.*
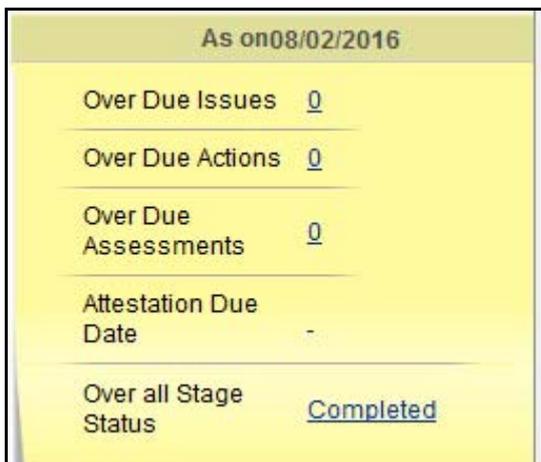
Figure 29. Additional Information

The Additional Information in some sections display an embedded report. You can click **Refresh** at the bottom of the report to view the latest report.

The Additional Information of the following sections display an embedded report:

- Model Assessment
- Usage Assessment
- Planning and Scoping

Exporting Definitions

You can export the definitions using the export functionality. This exports the definition details in a spreadsheet and you can save the same in your local computer.

To export a definition in OFSMRM:

1. Select the check box adjacent to the definition you want to export.

2. Click Export button.

The Export Properties dialog box is displayed.

3. Set the Document Type as Excel and select the Form Data/section Data as section Data.

4. Click Export in the Export Properties dialog box.

When processing is complete, the data is displayed in the browser window with a dialog box with save option.

5. Click Save button.

The Save As dialog box is displayed.

6. Select a location where you want to save the file.

7. Click Save.

Managing Documents

The Details page allows you to attach or delete documents related to the module. You can attach documents in the following formats:

- Microsoft Word

- Microsoft Excel

- PDF

- Text

This section covers following topics:

- Attaching a Document

- Deleting a Document

Attaching a Document

To attach a document, follow these steps:

1. Navigate to the Details page.

2. Click **View More**. The Documents section is displayed.

3. Click **Attach Document(s)**. The Attach Documents window is displayed.
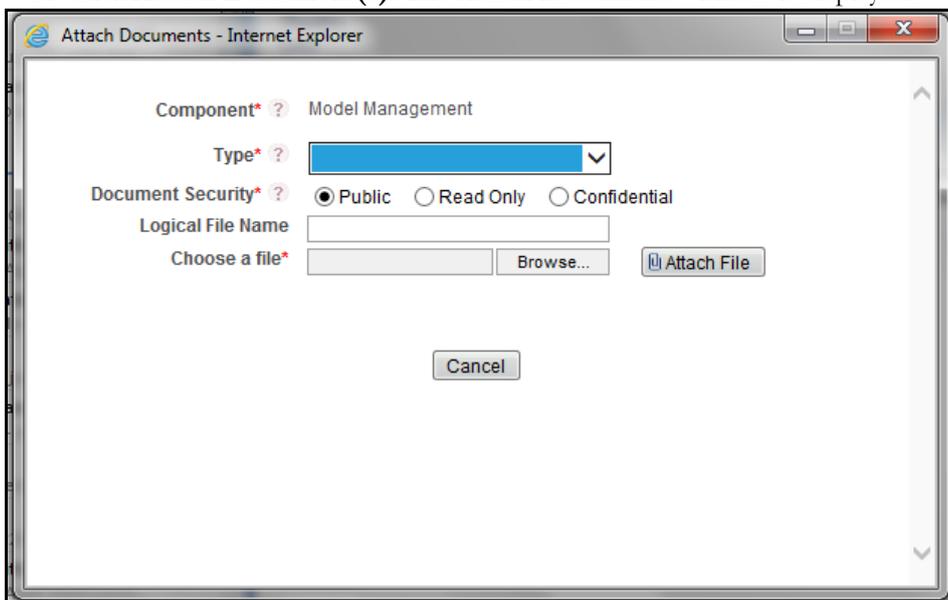
Figure 30. Attach Documents Window

4. Enter the required details in the Attach Documents window. The following table describes the fields in the Attach Documents window

Table 8. Attach Documents Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	Displays the component name for which the document is uploaded. This is a non-editable field.
Type	Select the type of file from the following options in the drop-down list: ● Algorithm ● Annexure ● Assumptions ● Back Test Result ● Business Case for Model ● Business Use for Model Usage ● Dataset ● Documentation ● Evidences ● Implementation and Use ● Implementation document ● Limitations ● Model Algorithm ● Model Calibration Document ● Model Theory ● Model Usage Algorithm ● Organisation Risk Management Policy ● Others ● Policy ● Regulation ● Results ● Review Document ● SOP ● Sample Data ● User Manual ● Validation Result
Document Security	The available options are: ● Public: Public documents can be viewed, edited, and re-uploaded by any user. ● Read Only: Read only documents can be viewed by all users. However, edit and re-upload rights will be limited to a user or an administrator. ● Confidential: Confidential documents can be viewed by only those users who have the confidential role or the users selected for the specific document.

Table 8. Attach Documents Details

Field	Description
Logical File Name	Enter the Logical File Name. It is a text field which supports alpha-numeric characters.
Choose a file	Click the Browse button to locate and find a document from the local computer in the Choose FIle to Upload dialog box. Click **Attach File** button. The document is uploaded.

5. Click **Browse** to choose a file from your computer.

6. Click **Attach File**. The following message is displayed: *Add Operation Successful.* Click **OK**.

   The document is attached and listed in the Documents section.

Deleting a Document

The attached documents can be deleted if no longer required. You can delete a document only if you have uploaded it. Documents attached by one user cannot be deleted by others.

To delete a document, follow these steps:

1. Navigate to the Details page.

2. Select the document which you want to delete. The Delete Document button enables.

3. Click **Delete Document**. The following message is displayed: *Are you sure you want to delete this record?*

4. Click **OK**. The following message is displayed: *Delete Operation Successful.*

5. Click **OK**. The document is removed from the Documents section.

Sending Email

Any updates regarding the definitions can be notified to all the stakeholders by sending emails to them. This is possible from the definition listing window.

To send an email from the definition listing window:

1. Click Send Email button in the definition listing window.

The Send Email window is displayed.

2. Enter the details in the Send Email window as tabulated below:

Table 9. Send Email Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
From	By default, this field is populated with the logged in user name. You can update this field.
Recipients	Enter the recipient email ID(s). The maximum allowed characters are 3000.
Subject	Enter the subject for the email
Mail Body	Enter the email body. The maximum allowed characters are 3000.
Attach Profile Report	Select Yes, if you want to attach the profile report with the email.

3. Click Send.

Emails to all the mentioned stakeholders are sent, with the populated details.

Viewing Workflow History

The Workflow History displays the audit trail of all changes made to a record. The data is maintained from the first save of the record. A different history record is created each time you perform a save or submit action. The history records are displayed according to their last modified date.

To view Workflow History, follow these steps:

1. Navigate to the Details page.

2. Click **View More**. The Workflow History section is displayed in collapsed mode.

3. Click the Expand icon (**+**) in the Workflow history section to display the details. This section displays snapshots of the selected entity at a certain point in time when it was changed.

	Last Modified	Last Modified By	Status	Action Comments
	09-06-2015 15:05:41	BES Identifier	Open	Risk details Submitted
	09-06-2015 15:05:29	BES Identifier	Draft	Risk Details Updated
	09-06-2015 15:03:54	BES Identifier	Draft	Risk created at Business Unit

Figure 31. Workflow History

4. Select two or more records and click **Difference**. A table opens in a new window which displays the difference between the selected history records. The differences are highlighted in red.

Figure 32. Difference Table

CHAPTER 4   *Managing Model Management*

This chapter explains the Model Management of OFSMRM application. This chapter explains about the workflow, User role and action, and Management of Model, Usage, Assessment, and so on.

This chapter includes the following topics:

- Overview
- Model and Usage Management - Workflow
- User Roles and Actions
- Access Model Management
- Components of Model Management

Overview

Models are tools used to perform quantitative analysis of large amount of data and transform those results into vital information for making financial decisions such as underwriting credits, valuing exposures, instruments and positions, measuring risk, managing and safeguarding client assets, and determining capital and reserve adequacy.

Models can be developed within an organization, can be acquired from a third party vendor, or can be developed and serviced by a third party and implemented within the organization. If a financial institution has the ability to develop a Model, it can develop a Model and use it internally.

OFSMRM offers the ability to track and record all the activities involved in developing and using Models. This chapter provides an overview of Model Management module of OFSMRM application, which manages Models and their Usages.

Model and Usage Management - Workflow

Following flowcharts explain Model and Usage development status flow, by different users:

Model

The following figure depicts the workflow of a Model.
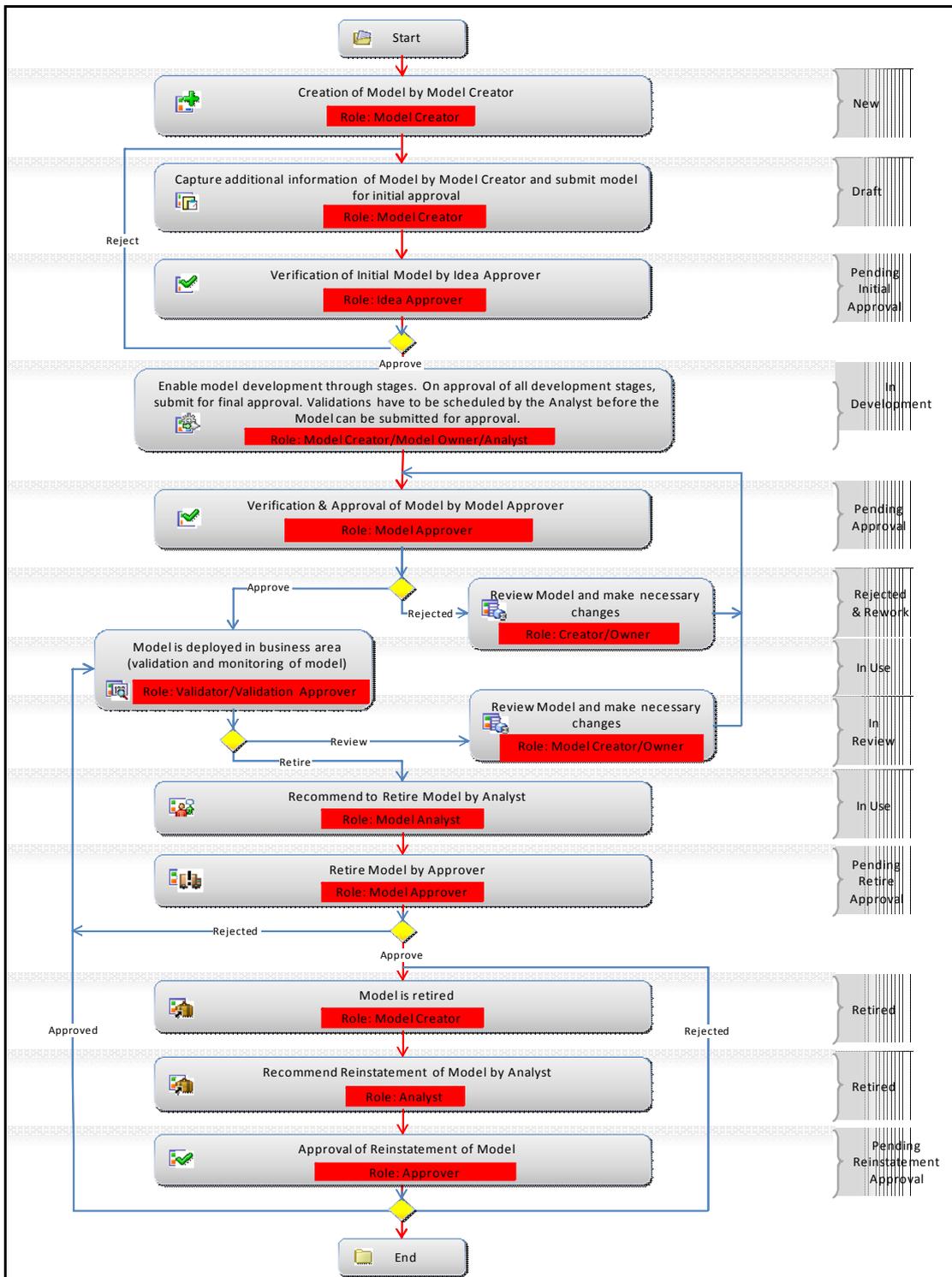
Figure 9. Model Workflow

Usage

The following figure depicts the workflow of a Usage.
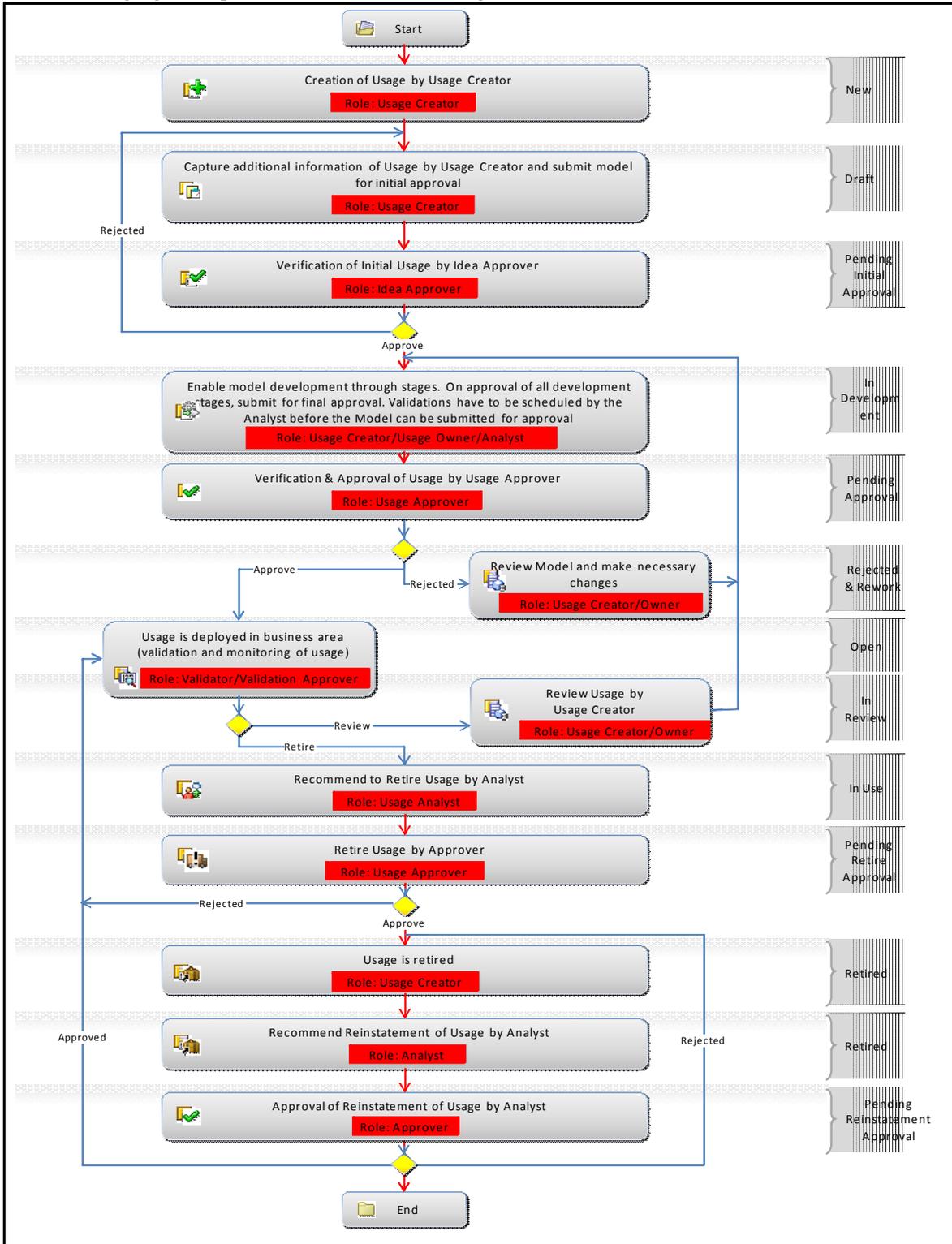
Figure 10. Usage Workflow

Assessment

The following figure depicts the workflow of an Assessment.
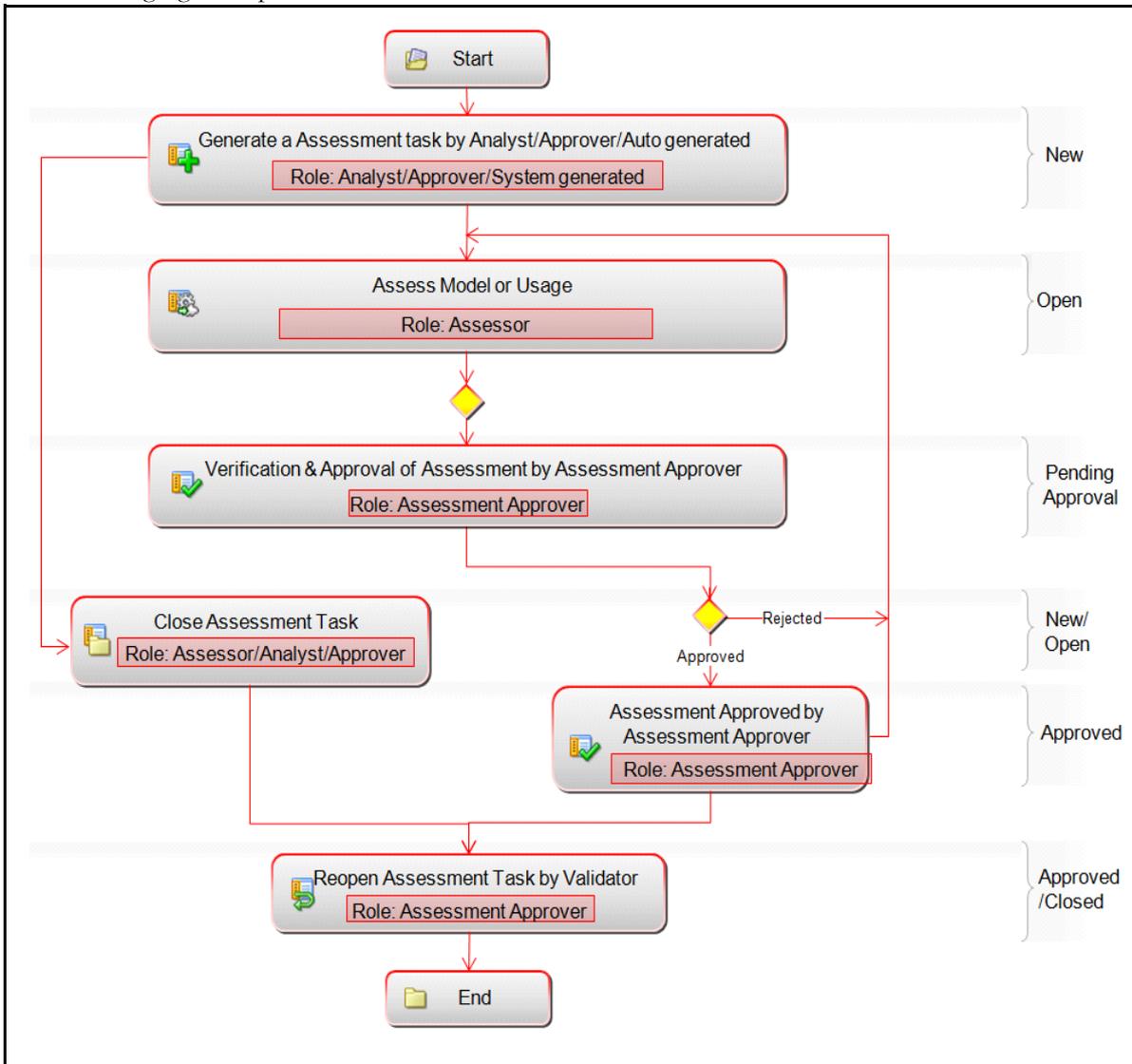
Figure 11. Assessment Workflow

Stage

The following figure depicts the workflow of a Stage.
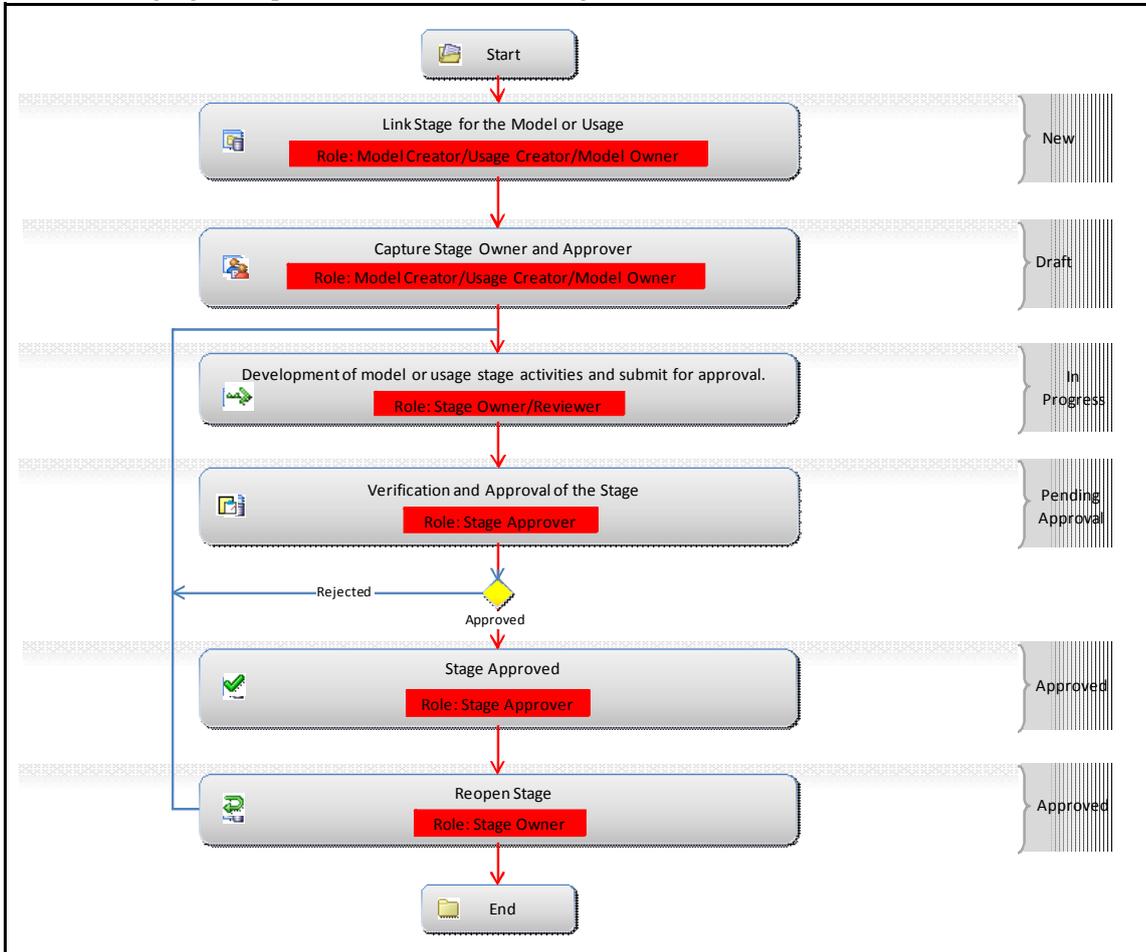
Figure 12. Stage Workflow

User Roles and Actions

Different actions that can be performed on a Model are dependant on the roles assigned to each of the users.

The following table describes the actions that can be performed by various users in the Model/Usage Development workflow.

Table 1.   User Roles and Actions

Action	Action Taker
Create Model/Usage	Creator
Update/Modify Details	Creator/Analyst
Link Stages	Creator/Model Owner/Analyst (In review status)
Delete Model/Usage	Creator
E-mail Model/Usage Details	Creator/Owner/Analyst/Approver

The following table describes the actions that can be performed by various users in the Model/Usage Stages Development workflow:

Table 2. Roles and Actions

Action	Action Taker
Add comments/Add attachment	Creator (Creator of Model/Usage development) and selected Stage owner after stage movies to in progress.
Save (Add Attachments/ Add Comment)	Reviewer (users who are identified as Reviewers by the -Stage Owner)
Submit (Add Attachment/ Add Comments)	Analyst and Reviewer (users who are identified as Analyst and Reviewers by the Creator)
Save/Submit (Add Attachment/Add Comments)	Creator/Owner (Creator/Owner of Model/Usage development)
De-link Stages	Creator (Creator of Model/Usage development) and Model Owner
Submit for Approval	Stage Owner
Approve Stage	Approver (user identified as Approver for the Stage)
Reject Stage	Approver (user identified as Approver for the Stage)
E-mail Model/Usage Details	Creator/ Model Owner/ Analyst/ Peer Reviewer/ Approver

Tasks and Notifications in Models

The following table lists all the tasks and notifications depending on different user roles. These tasks and notifications are received by the corresponding users in their Inbox menu, on performing a particular action.

Table 3. Tasks and Notification in Models

Action Performed	Task Update	Notification Update	Task or Notification Received by
Submitting a Model	A Task is sent to the Model Owner selected in the Owner field.		Model Owner
Closing a Model		A Notification is sent to the Model Creator who created the Model.	Model Creator

Tasks and Notifications in Usages

The following table lists all the tasks and notifications depending on different user roles. These tasks and notifications are received by the corresponding users in their Inbox menu, on performing a particular action.

Table 4. Tasks and Notification in Usages

Action Performed	Task Update	Notification Update	Task or Notification Received by
Submitting a Usage	A Task is sent to the Usage Owner selected in the Owner field.		Usage Owner
Closing a Usage		A Notification is sent to the Usage Creator who created the Model.	Usage Creator

Access Model Management

You can access the Model Management module from the OFSMRM home screen. Mouse over the *Model Management* tab in OFSMRM application and select either **Models** or **Usage**.

Users mapped to the following user roles can access the *Model Management* section:

- Creator
- Owner
- Analyst

Note: Model Creator/Usage Creator has the rights to create Models and Usages in the Model Management module.

Components of Model Management

The Model Management module consists of the following two components:

- Models
- Usage

Models

Models menu under *Model Management* module navigates you to the Model list. Model Creator and Model Owner have access to the Model List screen. The list displays only those Models which are either created or owned by the logged in user. An Analyst has access to all the Models in the Model List screen. The Models are listed with following details:

Table 5. Model Detail

Column Name	Description
Model ID	Displays ID of the Model
Model Name	Displays name of the Model
Version	Version of the Model
Business Line	Business Line to which the Model belongs
Category	Category of the Model
Location	Location for the Model
Model Owner	Name of the owner of the Model
Usage Count	Number of active Usages
Status	Current status of the Model
Last Modified	Last modified date of the Model

Searching Model

This section explains how to search and filter existing Model. The Model Search and List page allows you to filter the Models that you want to view and analyze. The Model Search section supports three types of search- Basic Search, Advanced Search, and Search by Views. You can use only one search at a time.

This section explains the following topics:

- Searching Models Using Basic Search

- Searching Models Using Advanced Search Criteria

- Searching Models Using Pre-defined Views

Note: The MRM application supports saved search feature as mentioned.

- The List and Search section is filtered based on the search criteria entered and these criteria are retained when you refresh the page, unless you change the criteria.

- If you have filtered the list using the Advanced Search option, then the same filtered list is displayed when return back to the page. But the search section displays the Basic Search.

- When you navigate from one search type to another, you must click **Go** to filter the list based on the previously entered search criteria. For example: When you navigate from the Views search type to the Advanced Search type, you must click **Go** to filter the list based on the criteria entered in the Advanced Search.

- This feature is specific to the user logged on to the application.

Searching Models Using Basic Search

This search is based on a limited set of search criteria and helps you to retrieve the relevant Models.

To search for an Model using Basic Search, follow these steps:

1. Navigate to the Model Search and List page. By default, the Model Search and List page displays all Models.

Figure 13. Searching Model Using Basic Search

2. Enter the following search criteria in the Basic Search fields to filter the Model list.

Table 6. Basic Model Search Criteria

Criteria	Description
Model ID	Enter the sequential tracking number of the Models. This field allows you to enter a maximum of 8 numeric values.
Version	Enter the Version of the Model. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Model Name	Enter the name of the Models. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Status	Select the Model status from the multi-select drop-down. Following are the possible values for the Status drop-down list: • Select All • Draft • Pending Approval • Rejected • In Review • Pending Reinstate Approval • Reject and Rework • Retired • Pending Retire Approval • In Development • In Use • Pending Initial Approval **Note:** You can select more than one option from the drop-down list.

3. Click **Go**. The relevant search list is displayed.

4. Click **Clear** to reset the search fields.

   Note: If there are no matched details with the given search criteria, then the Alert window displays the following message: *No records found with the given search criteria.*

Searching Models Using Advanced Search Criteria

The Advanced Search provides more specific search options. It offers the same search fields as provided for a Basic Search along with an expanded set of fields. If you know Model details such as ID, Name, Status, and so on, then you can filter the Model using the Advanced Search criteria.

To search for Models using Advanced Search, follow these steps:

1. Navigate to the Model Search and List page.

2. Click **Advanced Search** from the Search section. The Advanced Search fields display.

Figure 14. Searching Model Using Advanced Search Criteria

3. Enter the following search criteria to filter the Model list.

Table 7. Advanced Search

Criteria	Description
Model ID	Enter the sequential tracking number of the Models. This field allows you to enter a maximum of 8 numeric values.
Version	Enter the Version of the Model. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Model Name	Enter the name of the Models. This field allows you to enter a maximum of 300 characters and supports wildcard search.

Table 7. Advanced Search

Criteria	Description
Status	Select the Model status from the multi-select drop-down. Following are the possible values for the Status drop-down list: - Select All - Draft - Pending Approval - Rejected - In Review - Pending Reinstate Approval - Reject and Rework - Retired - Pending Retire Approval - In Development - In Use - Pending Initial Approval **Note:** You can select more than one option from the drop-down list.
Sourced From	Select the Model Source from the Sourced From drop-down. The drop-down list has the following options: - Select All - Modeling Framework - Run Rule Framework
Sourced Model Name	Enter the Source Model Name in this field.
Business Line	Select the Business Line from the hierarchy browser. Incidents are mapped to the business line. For example, Retail, Trading, and so on.
Category	Select the Risk Category from the hierarchy browser. For example, Fraud, and so on.
Location	Select the Location from the hierarchy browser. Models are mapped to the location. For example, London, Bangalore, and so on.
Model Owner	Select the Model owner from the hierarchy browser.
Count of Usage	Select the count from the Count of Usage drop-down. The drop-down have the following signs: < <= = > >=

Table 7. Advanced Search

Criteria	Description
Assessment Type	Select the Assessment Type from the Assessment Type drop-down. The drop-down list have the following options: ● Select All ● Back Testing ● Control ● Evaluation of Conceptual Soundness ● Ongoing Monitoring ● Outcome Analysis ● Result
Criticality	Select the Criticality from the Criticality drop-down. The drop-down list have the following options: ● Select All ● Very Low ● Low ● Medium ● High ● very High
Target Date	Select a Target Date from the Target Date drop-down list with the following options: ● <= ● < ● = ● > ● >= Select a date from the calendar.
Model Tier	Select the Model Tier from the Model Tier drop-down. The drop-down list have the following options: ● Select All ● Tier One ● Tier Two ● Tier Three ● Tier Four
Last Modified	Select the last modified date from the calendar to display Models having a modified date greater than or equal to the specified date. **Note:** If the date entered in Last Modified From is later than the date entered in Last Modified To the application displays the following message: *Please verify the range selected in Last Modified Date.*

4. Click **Go**. The relevant search list is displayed.

   Note: If there are no matched records with the given search criteria, then the Alert pop-up window displays the following message: *No records found with the given search criteria.*

Note: The application provides a **Save Search** button in the Advanced Search section that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: General Features, Saving a Search* section.

Searching Models Using Pre-defined Views

Views search represents pre-populated search criteria and helps you to filter the Model based on pre-defined views.

To search for an Model using pre-defined views, follow these steps:

1. Navigate to the Model Search and List page.
2. Click **Views**. The Views drop-down list is displayed.
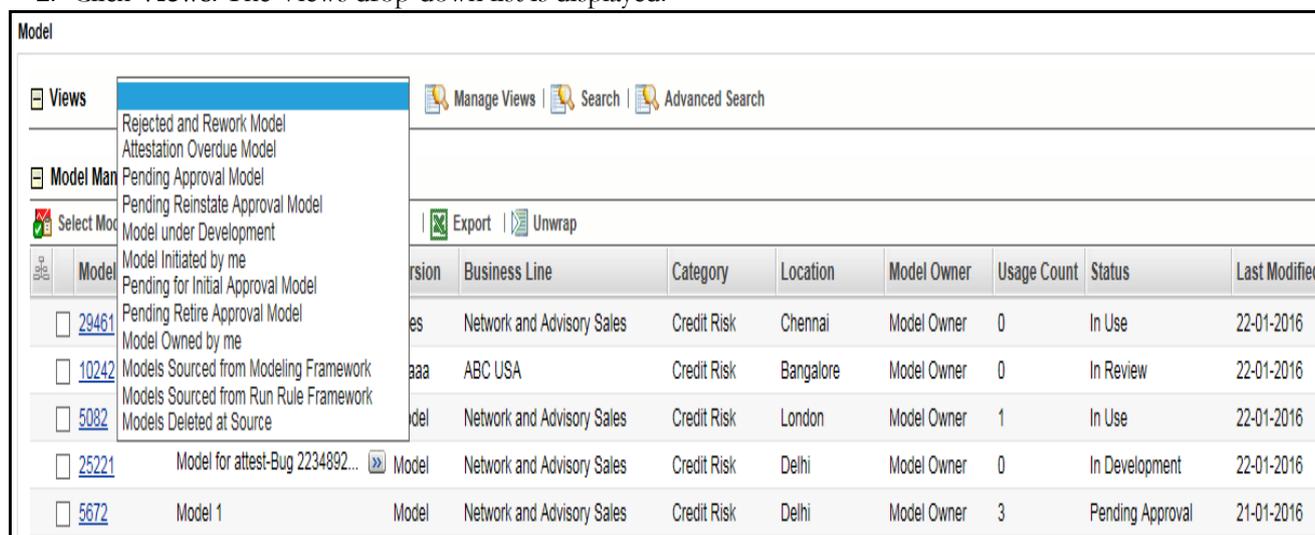
Figure 15. Searching Model Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant Model list page is displayed.

   If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down. The following table explains the default types of pre-defined views available.

Table 8. Pre-defined views

View	Description
Rejected and Rework Model	Select *Rejected and Rework Model* from the Views drop-down list to display the Models in descending order of the last modified date.
Attestation Overdue Model	Select *Attestation Overdue Model* from the Views drop-down list to display the Models in descending order of the last modified date.
Pending Approval Model	Select *Pending Approval Model* from the Views drop-down list to display the Models in descending order of the last modified date.
Pending Reinstate Approval Model	Select *Pending Reinstate Approval Model* from the Views drop-down list to display the Models in descending order of the last modified date.
Model under Development	Select *Model under Development* from the Views drop-down list to display the Models in descending order of the last modified date.
Model Initiated by me	Select *Model Initiated by me* from the Views drop-down list to display the Models in descending order of the last modified date.
Pending for Initial Approval Model	Select *Pending for Initial Approval Model* from the Views drop-down list to display the Models in descending order of the last modified date.

Table 8. Pre-defined views

View	Description
Pending Retire Approval Model	Select *Pending Retire Approval Model* from the Views drop-down list to display the Models in descending order of the last modified date.
Model Owned by me	Select *Model Owned by me* from the Views drop-down list to display the Models in descending order of the last modified date.
Model Sourced from Modeling Framework	Select *Model Sourced from Modeling Framework* from the Views drop-down list to display the Models in descending order of the last modified date.
Model Sourced from Run Rule Framework	Select *Model Sourced from Run Rule Framework* from the Views drop-down list to display the Models in descending order of the last modified date.
Model Deleted at Source	Select *Model Deleted at Source* from the Views drop-down list to display the Models in descending order of the last modified date.

You can send updates regarding the definitions to all the stakeholders by sending emails to them. For more information, refer to Sending Email section.

You can also export the Model definitions to a spreadsheet. For more information, refer to Exporting Definitions.

The following actions are possible from the *Model Management* window:

- Create Model
- Select Model
- View Model Definition
- Edit Model Definition
- Submit Model for Initial Approval
- Submit Model for Approval
- In Review Status: Full Review
- Attest Model
- Model Details Management
- Model Details Management
- Delete Model
- Delete Model
- Delete Model

Create Model

The Initiate Model facilitates the initialization of a new Model. To develop a new Model from the *Model Management* window:

1. Click **Initiate Model** button from the *Model Management* window. The *Model Management Details* window is displayed:

Figure 16. Model Management Details Screen

The default **Status** of a new Model is **New**.

2. Populate data in the fields as tabulated:

Table 9. Model Management Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Model ID	The Model ID is auto generated.
Version	Enter the version of the new Model. The maximum allowed characters are five.
Model Name	Enter the required name of the new Model. The maximum number of characters should not exceed 50.
Description	Enter a description for the Model under development.
Acquisition type	Select the Source from the drop down list. The available values are: ● In House - These Models are developed within the organization. ● Third Party - These Models are developed by a third party and are implemented by the organization. ● Hosted - These Models are developed and serviced by a third party, but is implemented within the organization.
Objective	Select the objective from the drop-down list. The available values are: ● Automation - Automation facilitates the automation of the concept behind the Model. ● Replacement - In Replacement, the objective is to replace an existing Model with a new one. ● Recalibration - In Recalibration, the variables within an existing Model are updated. ● Redevelopment - In Redevelopment, the development of an existing Model is re initiated for an updated concept. ● New Development - In New Development, a new Model with new concepts is developed.
Preceding Model ID	Select the preceding Model ID from the *Hierarchy Browser* window by clicking **Browse**. This field is active only if you have selected Replacement, Recalibration, or Redevelopment in the **Objective** field.
Developed By	Enter the name of the Model developer.
Business Line	Select the primary Business Line from the *Hierarchy Browser* window by clicking **Browse**.
Category	Select the primary Category of the Model from the *Hierarchy Browser* window by clicking **Browse**.
Location	Select the Location of the Model from the Hierarchy Browser window by clicking **Browse.** The list of Location is filtered based on the Business Line selected. The user is able to select only one location from the hierarchy browser.
Model Owner	Select the user who owns the Model, from the *Hierarchy Browser* window by clicking **Browse**.
BU Head	Select the user who is the Business Unit Head, from the *Hierarchy Browser* window by clicking **Browse**.

Table 9. (Continued)Model Management Details

Field	Description
Criticality	Select the criticality of the Model under development, to the business. This indicates the impact of the Model in the business. The available options are: ● Very Low ● Low ● Medium ● High ● Very High
Requires Attestation	This field indicates whether the Model requires attestation or not. Models are attested by the Model Owner or the Business Head to affirm and confirm the working, relevance, and use of Model for its intended business. Select **Yes** if the Model requires attestation.
Attestation Frequency	Select the attestation frequency from the drop down list. The available values are: ● Half Yearly ● Yearly ● Biennial This field is active only if you have opted the Model requires attestation.
Target Date	Select the target date for the completion of the Model development from the Calendar.
Approval Expiry Date	This field is auto-populated with the data provided by the approver when approving the model. If the model is in **In Use** status and the approval expiry date is reached, the status of the model changes to **In Review**.
Regulation	Select the regulation that governs the Model by selecting the check box(s) adjacent to the regulation name(s) from the drop down list. Examples of available regulations are: ● MiFID ● BASEL ● Patriot ACT ● SOX ● Dodd Frank Rule The selected regulation(s) are listed as comma separated values in the field.

Table 9. (Continued)Model Management Details

Field	Description
Model Type	Select the model type adopted in the Model construction by selecting the check box adjacent to the methodology(s) available in the drop down list. The available methodologies are: • Statistical - These Models have the probability distribution functions or probability density functions used. • Behavioral - These Models reproduce the required behavior of the original analyzed system. • Mathematical - These Models are defined based on mathematical concepts. • Regression - These Models are used to predict one variable from one or more other variables.
Model Tier	This field is non-editable. You can select the Model Tier value from the *Assessment* tab in the *Model Definition Details* window or can set the value using a questionnaire. Model Tiering is based on factors such as reliance and uncertainty of the Models. Tiering assessment is performed once the tool has been acknowledged as Model. The frequency at which the assessments/reviews are conducted for Tier 1 Models are more in comparison with Tier 2, Tier 3, and Tier 4 Models.
Valid Till	This field is non-editable. You can edit this field under *Assessment* tab.
Platform	Enter the repository path, where the Model artifacts, data files, and algorithms are stored.
Governance Committee	Select the Governance committee based on the risk category from the drop-down list.
Software	Select the software for the model from the drop-down list.
Restriction on Use	Enter the restrictions on using the Model. The maximum allowed characters are 3000.
Assumptions	Enter the assumptions as applicable to the Model. The maximum allowed characters are 3000.
Known Limitation	Enter any known limitation of the Model. The maximum allowed characters are 3000.
CFO	Enter the Chief Financial Officer name. The maximum allowed characters are 300. **Note:** CFO is enabled when Regulation is selected as SOX.
CFO Designate	Enter the Deputy Chief Financial Officer name. The maximum allowed characters are 300. **Note:** CFO Designate is enabled when Regulation is selected as SOX.
SOX Control #	Enter the reference number for SOX Control. The maximum allowed characters are 300. **Note:** SOX Control # is enabled when Regulation is selected as SOX.

Table 9.   (Continued)Model Management Details

Field	Description
SOX Financial Statement Ref #	Enter the reference number for SOX Financial Statement. The maximum allowed characters are 300. **Note:** SOX Financial Statement Ref # is enabled when Regulation is selected as SOX.
Model Algorithm	**Note:** Attach the document associated with Model Algorithm. This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Business Case for Model	Attach the document associated with Business Case for Model. **Note:** This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Comment	Enter the comments based on the latest approval or rejection action on Model.

The **Comment** field displays the comments provided while performing the latest actions on the Model. This remains blank, in case of a new Model.

   3.   Click **Save As Draft**.

The Model is saved and is displayed as shown in the following figure:
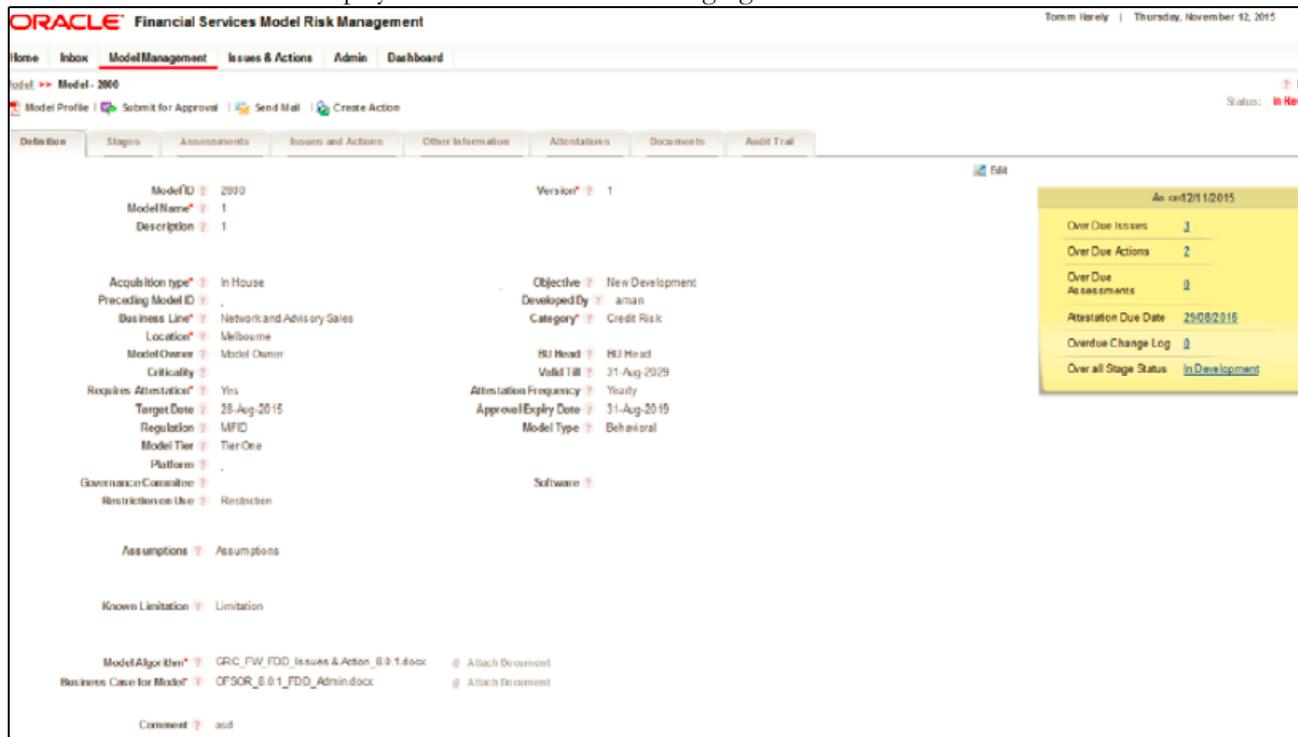
Figure 17. Model Management Details Screen - Draft

The Status of a saved definition changes to **Draft** and is displayed on the top right corner of the *Model Management Details* window.

The saved Model is displayed in the *Model Management* window. You can click the **Model ID** to view the details.
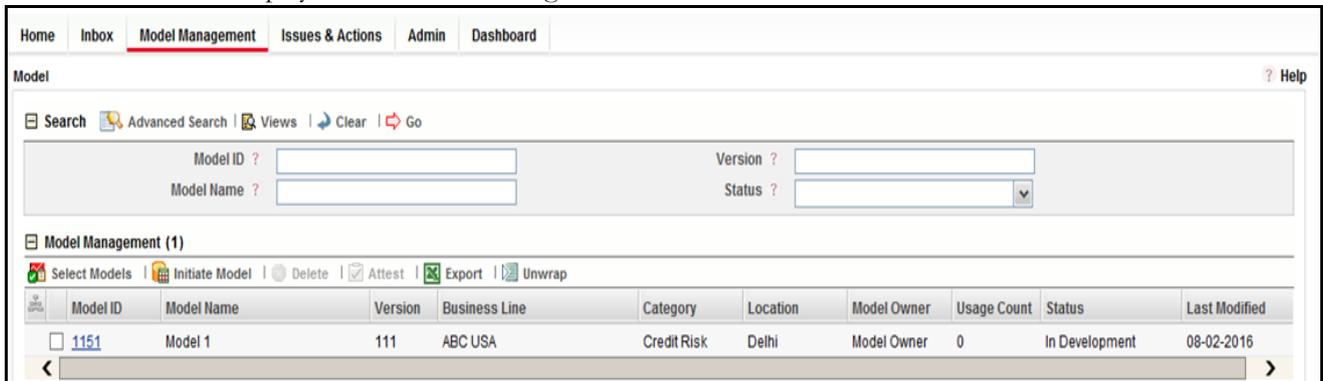
Figure 18. Model Management Window

Select Model

Model/Usage can be selected from any framework user has configured or run rule framework. Inputs, Intended use, model/usage name, version and description are populated from selected model with Business line and Category user selected. User can select model for model/usage from list or details screen. If user does not select any source then source container is hidden from draft status of model/usage.
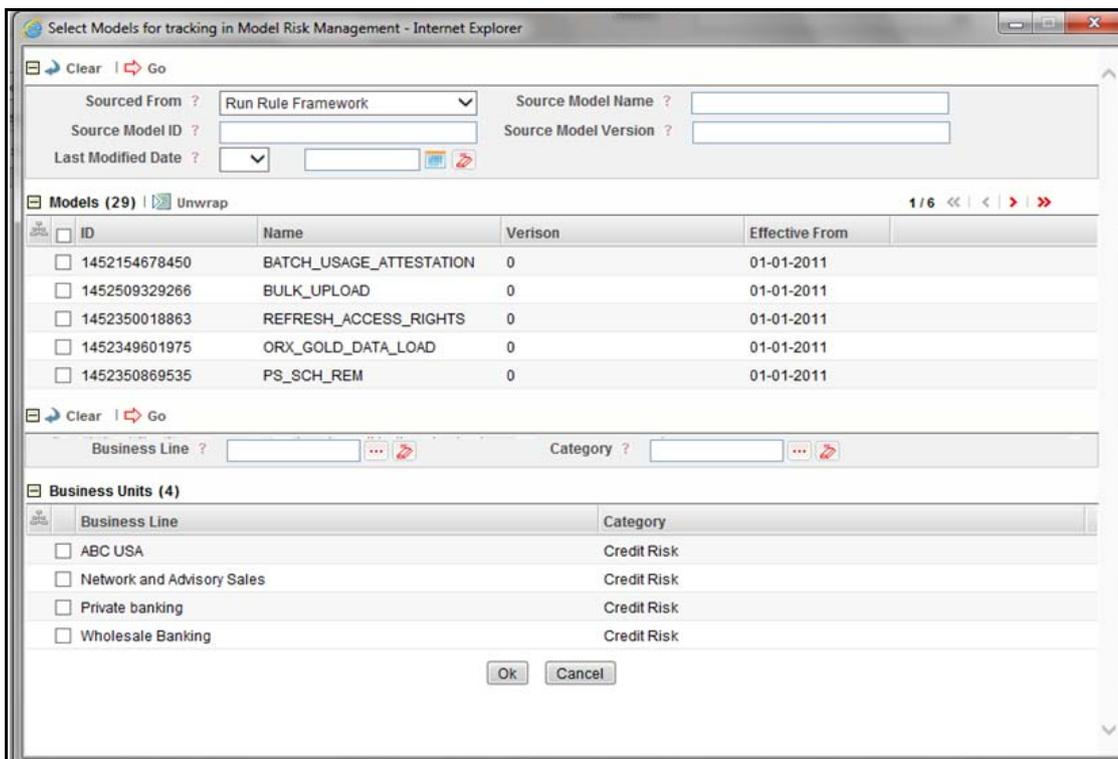
Figure 19. Select Model

View Model Definition

A pre-defined Model definition can be viewed from the *Model Management* window.

To view the details of a pre-defined Model definition from the *Model Management* window:

Click the **Model ID** of the definition you want to view.

The Model Definition details are displayed in *Model Management Details* window.

Edit Model Definition

The Model Creator/Model Owner can edit a saved Model definition, if it is in **Draft**, **In Development**, or **In Review** status, from the *Model Management* window.

Analyst can edit a saved Model definition, if it is in **In Development** status.

Editing Model definition facilitates the population of additional details and further actions after the creation of the Model.

To edit a Model definition from the *Model Management* window, follow these steps:

1. Click the **Model ID** of the Model definition, which you want to edit. The *Model Management Details* window is displayed.

2. Click the **Edit** button from the *Definition* tab.

Note: You can edit all the fields of a Model definition which is in **Draft** status and all the fields except Model ID, Version, Source, Objective, and Preceding Model ID of a Model definition which is in **In Development**, **In Review**, or **Rejected and Rework** status.

For more information, refer to Create Model section.

3. Once all the necessary details are updated, click **Update** button. The Model definition details are updated.

Submit Model for Initial Approval

A Model definition, which is in **Draft** or **Rejected** status, whose Source is **In House** or **Hosted** has to be submitted for initial approval. Only a user who has Idea Approver role assigned can approve a Model definition.

To send a Model definition for approval from the *Model Management* window, perform the following actions:

1. Click the **Model ID** of the Model definition, which is to be sent for initial approval.

The Model definition details are displayed.

2. Click **Submit for initial Approval** button.

3. The *Model Initial Approval* dialog box is displayed.

4. Select the Initial Approver by clicking **Browse** button and selecting the user from Hierarchy Browser window.

5. Enter the required comments in **Comments** field.

6. Click **Submit**. The Model definition has been submitted for initial approval.

Submit Model for Approval

A Model definition, whose status is in **In review**, **In Development**, and **Rejected and Rework** has to be submitted for approval. Only a user who has Model Approver role assigned can approve a Model definition.

It is mandatory to schedule a assessment before Model can be submitted for approval.

To send a Model definition for approval from the *Model Management* window, perform the following actions:

1. Click the **Model ID** of the Model definition, which is to be sent for approval.

The Model definition details are displayed.

2. Click **Submit for Approval** button.

3. The *Model Approval* dialog box is displayed.

4. Select the Approver by clicking **Browse** button and selecting the user from Hierarchy Browser window.

5. Enter the required comments in Comments field.

6. Click **Submit**. The Model definition has been submitted for approval.

Submit Model for Review

A Model created by Model Creator has to be moved to **In Review** by analyst for any minor updates in Model definition or change in assessment schedule. Any change to Model in **In Review** status can be done only by Analyst.

> **Note:**

- Marking a Model definition for review prevents the creation of Scheduled assessment task, until review is complete.

- A Model is moved to In review status either by ad hoc method of clicking on review or it automatically moves to In review on Approval expiry date.

To mark a Model definition for review from *Model Management* window:

1. Click the **Model ID** of the Model definition, which is to be marked for review. The *Model Management Details* window is displayed.

2. Click **In Review** button. A confirmation dialog box is displayed.

3. Click **OK**.

The Model definition is marked for review and the status of the definition changes to **In Review**.

In Review Status: Full Review
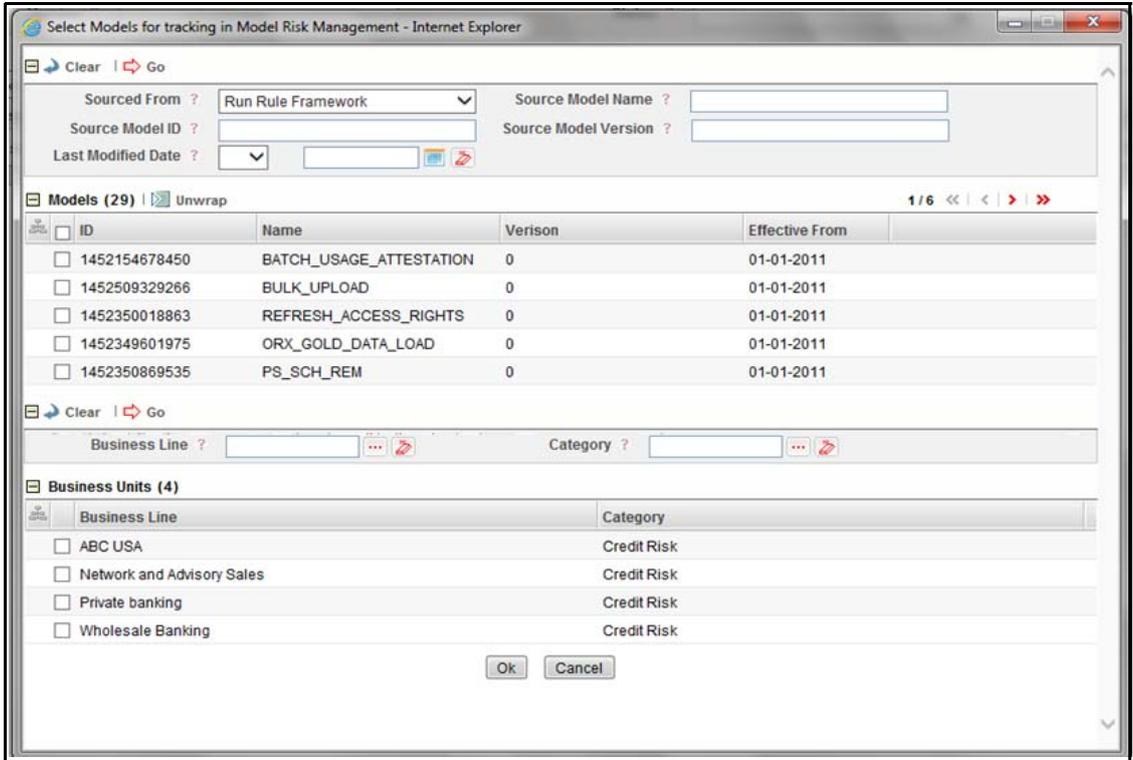
This is to associate the Review cycle when the document is uploaded for a stage. Each of these stages is repeated as a part of different review cycles. The review cycle of the stage is captured along with the document upload details.

Also, on uploading a document for a Action/Discussion of a Stage, the review cycle of the stage is captured along with the document upload details. The review cycle is visible in the Documents grid for the Stages and Actions.

To add the model for full review do the following steps:

1. In **Model Details** page, click Review. Following **Confirmation Dialog Window** is displayed.
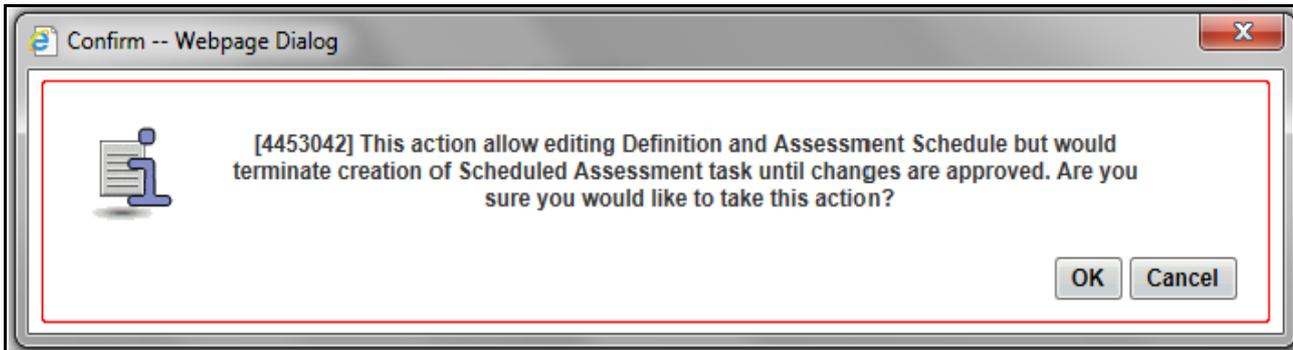
Figure 20. Confirmation Webpage Dialog

2. Click **OK.**
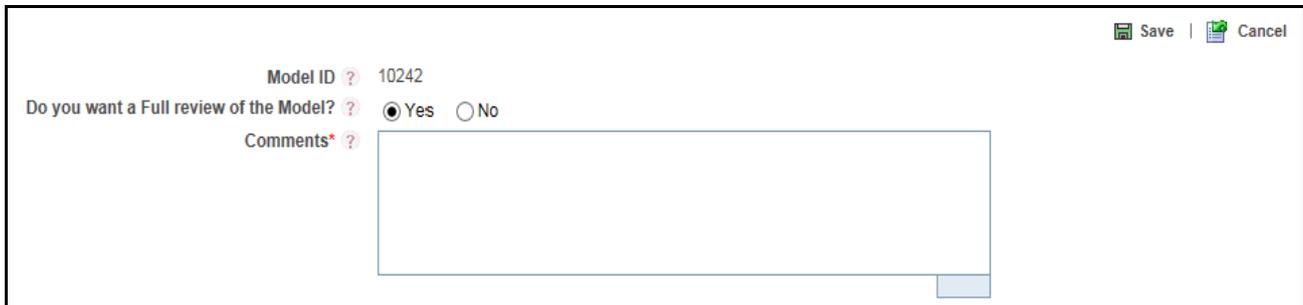
Figure 21. Full review pop-up window

3. Select the **Yes** radio button.

4. Click **Save.**

The document is set for **In Review** status.

Attest Model

Models are attested by the Model Owner and are approved by the BU Head to affirm and confirm the working, relevance, and use of Model for its intended business. Only approved Models which are in **In Use** or **In Review** status can be attested.

Note: BU Head can attest a Model through the task which is generated 30 days prior to the attestation due date or from the Attestation section of the Model Management module.

Model Details Management

You can incorporate additional details such as Business Unit, Products, Source and Output details, Stages, Assessment Schedule, linkage of Issues and Actions, Attestation details, and Document attachment, to a Model for its further Usage. *Model Management Details* window allows you to perform these actions.

The actions that are possible on a Model from the *Model Management Details* window are the following:

- s
- View the Model Usage Details
- Link Products
- Define Source Details
- .Define Output Details
- Link Stages
- Save Sequence of the Stages
- Managing Assessment
- Link Issues and Actions
- Other Information
- Attach Documents

- [Audit Trail](#)

You can download the profile report of a Model definition which provides all the details associated with the selected definition. For more information, refer to Viewing Profile Report section.

s

The application allows the users mapped to the role of Model Creator, Model Owner (in **In Development**, **Rejected and Rework** statuses), and Analyst in (**In Review**) status to link Business Lines to the Model. The Creator can link Business Lines to the Model at any Stage.

To link Business Units to a Model, from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the business units. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Click **Add BU** button from the *Recommended Business Area* grid. The *Recommended Business Combinations* window is displayed. This window lists the available Business Lines and the corresponding categories.

   In the *Recommended Business Combinations* window, you can search for Business Lines and category by clicking the **Browse** button and selecting the required value from the Hierarchy Browser.

4. Select the required Business Lines by selecting the check boxes adjacent to the Business Lines.

5. Click **OK**. The selected Business Lines are linked to the Model definition and displayed under *Recommended Business Area* grid of the *Model Management Details* window.

From the *Recommended Business Area* grid, you can also select the check box adjacent to a Business Line and perform the following actions:

- Delink a Business Line by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the Business Unit.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the Business Line.

View the Model Usage Details

The *Model Usage* grid in *Model Management Details* window displays the list of Usages associated with the particular Model definition.

You can click the **+** button to view the list of Usages.

Link Products

You can link the financial elements or products such as equities, loans, and other finances to the Model definitions.

To link a financial element to a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the financial elements. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Link the financial element by clicking the **Link** button and selecting the product from the Hierarchy Browser window.

The selected products are displayed under *Products* grid.

From the *Products* grid, you can also select the check box adjacent to a financial element and perform the following actions:

- Delink a financial element by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the financial element.

- Revert the comment changes to previously saved value the comments by clicking **Clear** button, before you save the financial element.

Define Source Details

Source section in *Model Management Details* window fetch the Model source and Model upstream details (Model from which data/input is used in Model under reference) of a Model definition.

Upstream Models

To link the Model source details from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the input details. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Further expand the *Source* section by clicking the **+** button.

4. Link the Model sources by clicking the **Link** button and selecting the source members from the Hierarchy Browser window.

The selected members are displayed under *Input* grid.

From the *Input* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.

- Revert the comment changes to previously saved value the comments by clicking **Clear** button, before you save the member.

You can link the upstream Model source details from the *Source* section. An upstream Model is the Model from which the data/inputs are used in the current Model. To link an upstream Model, follow these steps:

1. Link the upstream Models by clicking the **Link** button. The *Upstream Models* window is displayed.

   In the *Upstream Models* window, you can search for a set of Models using the Model ID, Model Name, Version, and Model Owner details. For more information, refer to Components of Search and List Page section. The *Model List* grid in the *Upstream Models* window displays only those models.

2. Select the required Models by selecting the check box adjacent to the Model IDs and clicking the **Link** button.

The selected Models are listed under *Upstream Models* grid with their ID, Name, Version, Usages, Status, and Criticality details. You can click the ID hyperlink to view the Model details.

You can also Delink a selected Model by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

.Define Output Details

Output section in *Model Management Details* window fetch the intended use and downstream Model details of a Model definition.

To link the Model output details from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to provide **Output and Intended Use** and **Downstream Model** details. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Further expand the *Output* section by clicking the **+** button.

4. Link the Model Output and Intended Use by clicking the **Link** button and selecting the source members from the Hierarchy Browser window. The selected members are displayed under *Intended Use* grid.

   From the *Intended Use* grid, you can also select the check box adjacent to a member and perform the following actions:

● Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

● Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the member.

● Revert the comment changes to previously saved value by clicking **Clear** button, before you save the Business Line.

You can link the downstream Model details from the *Output* section. A downstream Models is the Model in which the current Model will be used as an input or source. To link a downstream Model, follow these steps:

1. Link the downstream Models by clicking the **Link** button. The *Downstream Models* window is displayed.

   In the *Downstream Models* window, you can search for a set of Models using the Model ID, Model Name, Version, and Model Owner details. For more information, refer to Components of Search and List Page section. The *Model List* grid in the *Downstream Models* window displays only those Models.

2. Select the required Models by selecting the check box adjacent to the Model IDs and clicking the **Link** button.

   The selected Models are listed under *Downstream Models* grid with their ID, Name, Version, Usages, Status, and Criticality details. You can click the ID hyperlink to view the Model details.

You can also Delink a selected Model by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

Link Stages

Model Development Stages are activities involved in developing and building Models. Model Creator and Model Owner can link the Stages, which are appropriate for the Model to be developed. Stages can be linked to an approved Model when it is in **In Development** status.

If all the Stages linked to the Model and the Model definition submitted for approval by the Analyst are approved by the Model Approver, the status of the Stages changes to be **Approved**. The Analyst has to submit the Model to Model Approver for approval. Once submitted, the status is changed to **Pending Approval**. After approval, the Model is changed to **In Use** status.

To link Stages to a Model which is in **In Development** status from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model, to which you want to link Stages.

Note: Ensure that the Model definition you have selected is in, **In Development** status.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Stages** tab. The *Stages* tab is enabled.

   The *Stages* tab displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

3. Click **Link Stages** button from the *Stages* grid. The *Stages* window is displayed. The *Stages* window lists all the available Stages.

4. Select a Stage by clicking the check box adjacent to the required Stage(s) and clicking **Link** button.

The selected Stages are linked to the Model and are displayed in *Stages* tab with the details such as Stage ID, Stage Name, Status, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, and Checklist.

All the selected Stages are assigned with Stage IDs. You can click these IDs to view the Stage definition details.

The Stage Definition Details window displays the Stage Name, Stage Status, Model ID, Model Name, Stage Owner, and Stage Approver details. For a Model definition in **In Development** or **Reject and Rework** status, you can update the Stage Owner and Stage Approver details by clicking the **Browse** button and selecting the users from the Hierarchy Browser window.

The Stage Activities details, Documents List, and Audit Trail details are displayed in the *Stages* tab.

To create a new Activity from the *Stage Definition Details* window, perform the following:

1. Click the **Create New** button from the *Actions and Discussions* grid. The *Stage Activities* window is displayed.

2. Select the required type among action and discussion radio button. For **Action**, Select Action from the action hierarchy window. For **Discussion,** enter discussion topic.

3. Enter the required comments in the **Comments** field.

4. Click **Add** button in the *Stakeholders* grid and select the required stakeholders from the Hierarchy Browser window.

The selected stakeholders are displayed in the *Stakeholders* grid with the details such as Name, Key User, Activity Type, and Due Date.

You can select the check box adjacent to a stakeholder name and update the Key User, Activity Type and Due Date. Once the required changes are made, click the **Update Task Due Date** button to save the changes.

5. Click the **Attach Document** button and select a document to upload by providing the Component, Type, Logical File Name, document path, and clicking **Attach Document** button.

6. Click **Submit** inthe *Stage Activities* window.

The Activity is saved and is displayed under *Actives* grid of the *Stage Definition Details* window with the details such as Date, By, Activity, Comments, and Upload details.

You can add documents to an Activity by clicking the **Add Documents** hyperlink in the Upload tab, adjacent to each Activity and providing the following details:

Table 10. Add Documents Details

Field	Description
Component	The component is auto populated as **Model Development Stages**, as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: ● Regulation ● Policy ● Documentation ● Annexures ● SOP ● User Manual ● Assumptions ● Algorithm ● Validation Result ● Back Test Result ● Limitations ● Implementation and Use ● Others ● Evidences ● Organization Risk Management Policy ● Dataset ● Sample Data ● Model Calibration document ● Review Document ● Model Theory ● Implementation document ● Results ● Model Algorithm ● Business Case for Model ● Model Usage Algorithm ● Business Use for Model Usage
Security	Select the required security type by selecting any of the following options: ● Public ● Read Only ● Restricted
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

To attach a document to the Stage definition from the *Stage Definition Details* window, perform the following:

1. Click **Attach Document** button from the *Documents List* grid. The *Attach Documents* window is displayed.

2. Populate the form details as tabulated:

Table 11.   Attach Documents Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as **Model Development Stages**, as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: ● Regulation ● Policy ● Documentation ● Annexures ● SOP ● User Manual ● Assumptions ● Algorithm ● Validation Result ● Back Test Result ● Limitations ● Implementation and Use ● Others ● Evidences ● Organization Risk Management Policy ● Dataset ● Sample Data ● Model Calibration document ● Review Document ● Model Theory ● Implementation document ● Results ● Model Algorithm ● Business Case for Model ● Model Usage Algorithm ● Business Use for Model Usage
Document Security	Select the required radio button from the following: ● Public ● Read Only ● Confidential
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

3. Click **Attach File**.

The selected document is uploaded and is displayed under *Documents List* grid with the details such as Document Name, Document, Version, Document Type, Activity, By, and Date & Time.

You can select the check box adjacent to a document and click the **Delete** button to remove a document.

The *Audit Trail* grid displays the history of actions performed on the Stage definition with the details such as Date and Time, Action, Action By, and Status.

4. Click the **List Stages** button at the top right corner of the *Stage Definition Details* window to navigate back to the Stage list window.

   From the *Stages* tab, you can also select the check box adjacent to a **Stage ID** and perform the following actions:

- Delink a Stage by clicking the **Delink Stage** button and clicking **OK** in the confirmation dialog box.

Note: You can delink only those Stages which are in **Draft** status.

- Assign Approver and Owner role by clicking **Assign Approver/Owner** button and selecting the users from the Hierarchy Browser window and enter the description for the stage in the **Description** text field.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

The checklist items for each Stage can be viewed in the *Checklist* window, by clicking the **Checklist** hyperlink adjacent to each Stage definition listing.

You can also export the Stage definitions to a spreadsheet and wrap/unwrap Stage definitions listing. For more information on creation of Stages, refer to Reference Data Management section in *Admin* chapter.

Save Sequence of the Stages

Stages can be saved in a sequence when the model is **In Development**, **Rejected, Reworked,** and **In Review** status and the stages are in **Draft** status.

Note: At least one stage must be linked to the model. When the stage is linked to the model for the first time, the Review Cycle is updated as Review Cycle1. The Review Cycle is incremented everytime the stage is linked again, as a part of Reviews.

Users mapped to the role of Model Creator or Model Owner can update and save the stages in a sequence.

Under the *Stages* grid, details of the stages such as Stage ID, Stage Name, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, Status, and Checklist are available.

To save the stages in a sequence, follow these steps:

1. Select a stage by clicking the checkbox adjacent to the required stage. The sequence column becomes editable.

2. Enter the sequence number.

Note: This field accepts only whole numbers.

3. Click **Save Sequence** from the *Stages* grid.

The sequence is saved for the stage for this model. Based on the sequence provided in ascending order, the task is sent to the stage which is first. The task is sent to the next stage(s) only on completion of the first stage. If two or more stages have the same sequence numbers, such stages is initiated at the same time. On completion of both such stages, the next stage is initiated. The Start Date of the first stage is when the Owner and Approver are assigned and the End Date of the stage is updated, when the stage is approved by the Approver. The Start date of the next stage in the sequence should be the end date of the previous stage.

If a new stage is linked along with existing stages, the following check should be performed when saving the sequence:

- If the sequence number is an incremental value, from all the past stages, allow the Saving of sequence with a message: *Update operation successful.*

- If the sequence number is less than or equal to the sequence number of any Stage which is in **In Progress** status, provide an alert message: *Provide a sequence number which is greater than the Stages which are in progress to save the sequence.* This message does not allow the user to save the sequence until the condition exists.

On clicking **Initiate**, if the stage sequences are set and the Owner and Approver of the stages are assigned, a task is sent to the Owner of the stage, which is the first stage based on the sequence if the stages are in draft status.

No tasks are sent to the Owner and the Approver under the following conditions:

- If a user clicks the **Initiate** before assigning the sequence, Owner, and Approver for all the linked stages, an alert message is displayed: *Provide the sequence,Owner and Approver for all the linked stages,to Initiate the stage Tasks.*

- If a user clicks the **Initiate** when the linked stages are **In progress** or **Approved,** an alert message is displayed: *Stages are already initiated for the current cycle.*

Inherit Stages

Stages can be inherited from the preceding Model definition, when the Model definition is in **In Development** status

Note: You can inherit Stages for a Model definition, only if there is a preceding Model definition present and the status is in **In Development**.

To inherit Stages from the preceding Model definition, follow these steps:

1. Click the **Model ID** of a Model to which you want to inherit Stages from the preceding Model. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Inherit Stages** button. A confirmation dialog box is displayed. Click **OK**.

The Stages from the preceding definition are inherited and is displayed under *Stages* tab.

Managing Assessment

This section provides information about managing Assessment of the MRM application and step-by-step instructions to use this section.

This section includes the following topics:

- Setup Assessment Type
- Tier Managing Validity and Model Tier
- Creating Assessment
- Managing Individual Assessments
- Managing Aggregated Assessments

Setup Assessment Type

Assessment functionality of OFSMRM facilitates you to perform assessments on defined Models and arrive at ratings. You can schedule the assessment of a Model from the *Model Management* window, if all the linked Stages of

the Model definition are approved. The assessment can be set up only for those Models which are in **In Development**, **Rejected and Rework**, and **In Review** status.

To schedule assessment of a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to schedule an assessment. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Assessments** tab.

The *Assessments* tab is enabled.

The *Assessments* tab displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

Managing Validity and Model Tier

The Validity and Model Tier grid in the Assessments tab enables you to modify Validity and Model Tier, follow these steps:

1. Expand Validity and Model Tier section.

2. Click **Edit** to enable Validity and Model tier details section.

3. Modify following details:

Table 12. Model Assessment Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Model Tier	Model Tiering is based on factors such as reliance and uncertainty of the Models. Tiering assessment can be performed once the tool has been acknowledged as a Model. Select the Model tier from the drop-down list.The available values are: ● Tier One ● Tier Two ● Tier Three ● Tier Four

Field	Description
Tier Template	You can update the tier template from the Validity and Model Tier grid by performing the following steps. 1. Click the Tier Template hyperlink adjacent to the Model Tier field. The Tier Templates window is displayed with the available list of templates. 2. Select the check box adjacent to the required Tier Template and click Next. The Tier Template window with the questionnaire is displayed. The questions are segregated in sections such as General, Exposure, Reliance, and Uncertainty Assessment. 3. Answer all the questions and provide the necessary comments. 4. Click Submit. In the Tier Template window, you can also perform the following: ● Click Review and review the answers and comments you have provided for each question. ● Click View Documents/Hide Documents to toggle the view of related documents in the Documents grid. ● Click Save to save the answers and comments before submitting. A recommended tier for the Model definition is assigned, based on the responses. User can opt to keep the recommended Tier or manually change the tier later.
Valid Till	Select the date of validity of the Model for business use from the Calendar.

5. Click **Save**. The details are updated.

Creating Assessment

The Assessment grid in the Assessments tab enables you setup an assesment. The Assessment grid also allows you to delete and terminate an assessment.

This section covers following topics:

-
-
-

Setup Assessment Type

To setup an assessment type, follow these steps:

1. To setup the assessment for a selected Model, click **Setup Assessment Type** from the Assessments grid. The Model Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 13. Model Assessment Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
ID	The ID of the assessment is auto populated and this field is not editable.
Type	Select the type of the assessment from the drop down list. The available values are: • Back Testing • Control • Evaluation of the Conceptual Soundness • Ongoing Monitoring • Outgoing Analysis • Result • Full Scope Review • Quantitaive Performance Monitoring • Back Testing • Tier Template • Calibration Error Tests • P & L Attribution Tests • Delta-Vega Smoothness Test • Convergence Tests If the assessment type is selected as Tier Template, only those users mapped to the role of Analyst will be displayed and you will be able to select only one user. For other assessment types, only those users mapped to the role of Assessor will be listed and you will be able to select multiple users.
Approver	Select the approver from the Approver hierarchy window.

3. Click **Save**. The assessment is saved.

4. Add assessors by clicking **Link** button in the Assessors grid and selecting the user from the Hierarchy Browser window.

You can also select the check box adjacent to an Assessor and click **Delink** to remove the selected Assessor.

5. Select the Questionnaires by clicking **Link** button in the Questionnaire grid.

   The Link Questionnaire window is displayed. It is mandatory to link a questionnaire. The linked questionnaire is sent to the assessor to respond during the assessment.

   You can search for a particular Questionnaire by providing the Questionnaire ID, Questionnaire Name, Created From, or Created To details. For more information, refer to Components of Search and List Page section.

   For more information regarding Questionnaires, refer to Questionnaire section from the Admin module.

6. Select the check box adjacent to the **Questionnaire ID.**

7. Click **Link**. The selected Questionnaire is displayed under Questionnaire grid of Model Assessment window.

   You can also select the check box adjacent to an **ID** and click **Delink** to remove the selected Questionnaire.

8. Click **Back**.

The Model assessment is scheduled and the schedule is displayed under Assessments grid of the Assessments tab.

A new assessment is saved with status **Draft.** The staus become **Open** on submit. The status become **Active** on the plan scheduled date, once the batches are executed for a Model which has status **In Use**. Once the scheduled assessment is executed, you can change the status to **Inactive** by performing the following actions:

- Move the Model status to **In Review**.
- Select the Active assessment and click **Terminate**.

The status of the assessment becomes **Inactive**.

Delete Assessment

An asessment that has not be finalized can be deleted using the Delete button. Delete button is enabled on selecting an assessment, which is in **New** status. Once the Assessment is in **Active** status, the assessment cannot be deleted and needs to be terminated.

To delete an assessment, follow these steps:

1. Select the Assessment ID that is in **New** status.
2. Click **Delete** on the Assessment grid. The following message is displayed: *Deleting the assessment schedule will stop future scheduling of assessments. Are you sure to delete?* Click **OK**. The selected Assessment is deleted.

Terminate Assessment

An assessment can be terminated by using the Terminate button. The Terminate button is enabled on selecting an assessment, which is in Active status.

To terminate an assessment, follow these steps:

1. Select the Assessment ID that is in **Active** status.
2. Click **Terminate** on the Assessment grid. The following message is displayed: *Are you sure would like to terminate the selected Validation Schedule?* Click **Yes**. The selected Assessment is Terminated.

Managing Individual Assessments

Once the assessment moves to Active status, the respective assessors will receive task based on the plan schedule. The assessor can access the task from the Inbox.

Once the assessment is completed, scores get generated based on the Questionnaire answered (the questionnaire used should be score based) and rating is displayed as High/Medium/Low in Individual Assessments grid.

To perform an assessment, follow these steps:

1. Select the Scheduled Assessment which is in **Active** status from the Assessmet grid.
2. Select the Assessment record from the *Aggregated Assessments grid.*
3. Select the Individual record from the *Individual Assessments grid.*

The individual Assessment window is displayed. In the Assessment window, you can perform the following:

- Submitting Assessment
- Approving/Rejecting Assessment

● Clsosing Assessment

● Reassigning Assessment

Submitting Assessment

An assessment can be submitted for approval when an assessment is in **New**, **Open**, **Rejected**, or **Reopened** status and all the questionnaire are answered.

To submit an assessment, follow these steps:

1. Click **Submit for Approval** in the individual Assessment window. The Submit for Approval window is displayed.

2. Populate the form with the necessary details as tabulated as follows:

Table 14. Submit for Approval Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	To Select the user from the Hierarchy Browser.
Due Date	Select the due date of assessment from the Calendar. By default, systempopulates 5 days from the system date.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

The assessment is submitted for approval. The comments entered will be saved in the Approval/Rejection comments field in the Model details page. On successfully submitting an Assessment, the status of the Assessment changes to Pending for Approval and task is sent to the approver.

Approving/Rejecting Assessment

Approving/Rejecting Assessment is approving or rejecting an Assessment. An assessment can be approved or rejected when it is in **Pending for Approval** status and the Model to which the assessment is linked should not be in **Retired** status. A user selected when submitting the assessment who has Assessment Approver role and who shares at least one common Business Line and Category of the Model to which the Assessment is linked, can approve or reject the assessment.

The Approve/Reject button is enabled only when the assessment is in **Pending for Approval** status.

To approve an assessment, follow these steps:

1. Click **Approve** in the individual Assessment window. The Approve Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 15. Approve Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click OK.

The assessment is Approved and status is marked as **Approved**. Notification will be sent to the Assessor and user who has Assessment Approver role.

To reject an assessment, follow these steps:

1. Click **Reject** in the individual Assessment window. The Reject Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 16. Reject Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	The Assign to is auto populated with the user who submitted the Assessment task.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

    or

    Click **Reset**. The values are set to default value.

    The assessment is rejected and status is marked as **Reject**. Once the assessment is in **Reject** status, task is sent to assessor and he can resubmit for assessment.

Closing Assessment

Closing Assessment is closing of an Assessment. An assessment can be closed when it is in **New** or **Open** status and the Model to which the assessment is linkedto should not be in **Retired** status. An Assessor of the Assessement or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Model to which the Assessment is linked, can close the assessment.

The Close button is enabled only when the assessment is in **New** or **Open** status.

To close an assessment, follow these steps:

1. Click **Close** in the individual Assessment window. The Close Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 17. Close Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

or

Click **Reset**. The values are set to default value. The assessment is closed and status is marked as Closed.

Reassigning Assessment

Reassigning Assessment is assigning an Assessment to another Assessor for reassessment. Reassigning of an assessment can be performed when an assessment is in **New**, **Open**, **Rejected**, or **Reopened** status and the Model to which the assessment belongs to should not be in **Retired** status. An Assessor of the Assessement or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Model to which the Assessment is linked, can reassign the assessment.

The Reassign button is enabled only when the assessment is in **New**, **Open**, **Rejected**, or **Reopened** status.

To reassign an assessment, follow these steps:

1. Click **Reassign** in the individual Assessment window. The Reassign window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 18. Reassign Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser.
Comments	Enter any comment or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is reassigned to the selected Approver and notification is sent. The comments entered will be saved in the Approval/Rejection comments field in the Model details page.

Managing Aggregated Assessments

Once the assessment is completed, aggregated scores get generated based on the Questionnaire answered (if the Questionnaire is score based) and aggregated rating is displayed as High/Medium/Low in the Aggregating Assessment grid. All the completed assessments need to be approved by a user who has Assessment Approver role assigned.

Link Issues and Actions

You can link Issues and subsequent Actions to a Model definition.

To link Issues to a Model definition from *Model Management* window, follow these steps:

1. Click the **Model ID**. of a Model to which you want to associate Issues and Actions. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click the *Issues and Actions* tab. The *Issues and Actions* tab is enabled.

3. Click the **Link** button from the *Issues* grid. The *Issues* window is displayed.

You can use the search parameters in the *Issues* window to search and find a particular Issue or a set of Issues. For more information, refer to Components of Search and List Page section.

4. Select the check boxes adjacent to the **Issue IDs**, you want to link to the Model definition.

5. Click **Link** button.

The selected Issue(s) are linked with the Model definition and are listed under *Issues* grid in *Issues and Actions* tab of *Model Details Management* page.

The Issues are listed with the details such as Issue ID, Issue Name, Type, Creator, Owner, CCY, Estimated Cost, Target Date, Last Modified, and Status.

You can view the Actions associated with each Issue by selecting the check box adjacent to the **Issue ID**.

The associated Actions are displayed under *Actions* grid.

You can also select the check box adjacent to an **Issue ID** and click **Delink** button in the *Issues* grid to delink an Issue from the Model definition.

Other Information

There is checklist and change log grid.

To see checklists user submitted while changing status of model user can use checlist grid.

The *Other Information* tab helps you to track any amendments made to the Model definition. This is possible only for a definition, which is in **In Use** status.

To create a new log information for a Model definition, which is in **In Use** status, follow these steps:

1. Click the **Model ID** of a Model to which you want to associate a change log. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click the **Other Information** tab. The *Other Information* tab is enabled.

   This tab displays the available change log details under *Change Log* grid.

   The *Other Information* tab also displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

3. By default the Change Log Details form is in editable status. Alternatively, you can click **Create New** button to log a change.

4. Populate the form details as tabulated below:

Table 19. Change Log Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID for a new change log is auto populated. This field is not editable.
Name	Enter the name for the change log.
Source	Select the source from the drop down list. the available options are: ● Internal ● External
Owner	Select the owner of the change log from the Hierarchy Browser by clicking **Browse** button.
Due Date	Select the due date from the Calendar.
Status	The status of a new change log is always set to **Draft**. This field is not editable.
Created By	This field is populated with the name of the user, who creates the change log. This field is not editable.
Created On	This field is auto populated with the current date. This field is not editable.
Description	Enter a description about the change log.
Closing Note	This field is not editable when you create the change log draft. Once saved as draft, you can enter the closing note and submit the change log. **Note**: This field is active only if you have **Change Owner** role assigned.

5. Click **Save as Draft** to save the draft and submit later for approval.

   The change log is saved in **Draft** status.

   Or

   Click **Submit** to submit the change log for approval.

   The change log is saved in **Open** status.

A change log in **Draft** status can be updated and submitted to a Change Owner for further actions.

To submit a change log:

1. Select the check box adjacent to the Change Log ID, which is in **Draft** status. The change log is open for edit under *Change log Details* grid.

2. Enter/modify the details as required.

3. Click **Update** button to save the changes.

4. Click **Submit**.

The change log is saved with updated details and submitted to the Change Owner. The status of the change log is changed to **Open**.

Once submitted, the Change Owner can review the change log and close it after providing necessary information in the **Closing Note** field. The status of such a closed change log moves from **Open** to **Closed**. The Change Owner can also reassign a change log to another user.

Attach Documents

You can attach any document related to a specific Model definition.There are two ways in which you can associate a document with a Model definition.

- Upload a new document

- Link an existing document to the Model definition

To attach a document by uploading it from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model for which you want to upload supporting documents.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Populate the form details as tabulated:

Table 20.   Attach Document Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as **Model Development**, as the document upload is being performed for a Model definition.

Table 20. (Continued)Attach Document Details

Field	Description
Type	Select the type of the document from the drop down list. The available values are: ● Algorithm ● Annexure ● Assumptions ● Back Test Result ● Business Case for Model ● Business Use for Model Usage ● Dataset ● Documentation ● Evidences ● Implementation and Use ● Implementation document ● Limitations ● Model Algorithm ● Model Calibration Document ● Model Theory ● Model Usage Algorithm ● Organisation Risk Management Policy ● Others ● Policy ● Regulation ● Results ● Review Document ● SOP ● Sample Data ● User Manual ● Validation Result
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

3. Click **Attach File**.

To link an existing document to the Model definition from the *Documents* tab of the *Model Details Management* window, follow these steps:

1. Click **Link** button. The *Document* window with the currently available document list is displayed. These documents are displayed with their ID, Name, Version, Type, Document Security, Component, Uploaded by and Uploaded Date.

2. Select the check box adjacent to the ID column and click **Link** button. The selected document is linked to the Model definition.

You can delete any of these associated documents from the Model definition by selecting the check box adjacent to the document name and clicking **Delete** button.

Audit Trail

The Audit Trail section tracks and displays the history of all the changes made to the Model. This tab records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing two or more actions performed on a Model definition.

To view the audit trail details of a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model of which you want to view the audit trail details. The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click *Audit Trail* tab. The *Audit Trail* tab is displayed with the history of actions of the selected Model definition. The audit Trail displays the details such as Date and Time, Action, Action By, Status, and Comments.

If there are more than one audit trail items present for a Model, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *Audit Trail* tab.

Delete Model

Model definition(s), which are in **Draft** status and no longer required can be deleted from the list.

To delete Model definition(s) from the *Model Management* window:

1. Select the check box adjacent to the Model ID of the definition you want to delete.

Note: You can delete a Model definition, which is not linked or referenced elsewhere. In case, the Model definition is linked or referenced, you have to delink or remove the reference of the Model definition and try again.

2. Click the **Delete** button. The confirmation dialog box is displayed.

3. Click **OK** button in the confirmation dialog box. The selected Model definition is deleted and a confirmation message is displayed.

Usage

The instances of a Model used in different businesses with or without change of parameter, processing, and calculation to the Model in use, is termed as **Usage**. In other words, Usage is subset of Model used in different business units for closely aligned purpose of Model. A Usage must be linked to a Model. The workflow of a Usage is the similar to that of a Model.

For more information about the Model Usage workflow, refer to User Roles and Actions section.

Usage menu under *Model Management* module navigates you to the Usage list. Usage Creator and Usage Owner have access to the Usage List screen. The list displays only those Usages which are either created or Owned by the logged in user. An Analyst has access to all the Usages in the Usage List screen.

The Usages are listed with following details:

Table 21. Usages Details

Tab Name	Description
Usage ID	ID of the Usage
Usage Name	Name of the Usage

Table 21.   (Continued)Usages Details

Tab Name	Description
Version	Version of the Usage
Business Line	Business Line to which the Usage belongs
Category	Category of the Usage
Location	Location of the Usage
Usage Owner	Name of the owner of the Usage
Status	Current status of the Usage
Last Modified	Last modified date of the Usage

Searching Usage

This section explains how to search and filter existing Usage. The Usage Search and List page allows you to filter the Usage that you want to view and analyze. The Usage Search section supports three types of search- Basic Search, Advanced Search, and Search by Views. You can use only one search at a time.

This section explains the following topics:

- Searching Usage Using Basic Search

- Searching Usage Using Advanced Search Criteria

- Searching Usage Using Pre-defined Views

Note: The MRM application supports saved search feature as mentioned.

- The List and Search section is filtered based on the search criteria entered and these criteria are retained when you refresh the page, unless you change the criteria.

- If you have filtered the list using the Advanced Search option, then the same filtered list is displayed when return back to the page. But the search section displays the Basic Search.

- When you navigate from one search type to another, you must click **Go** to filter the list based on the previously entered search criteria. For example: When you navigate from the Views search type to the Advanced Search type, you must click **Go** to filter the list based on the criteria entered in the Advanced Search.

- This feature is specific to the user logged on to the application.

Searching Usage Using Basic Search

This search is based on a limited set of search criteria and helps you to retrieve the relevant Usage.

To search for an Usage using Basic Search, follow these steps:

1. Navigate to the Usage Search and List page. By default, the Usage Search and List page displays all Usage.

Figure 22. Searching Usage Using Basic Search

2. Enter the following search criteria in the Basic Search fields to filter the Usage list.

Table 22. Basic Usage Search Criteria

Criteria	Description
Usage ID	Enter the sequential tracking number of the Usage. This field allows you to enter a maximum of 8 numeric values.
Version	Enter the Version of the Usage. This field allows you to enter a maximum of 300 characters and supports wildcard search.

Table 22. Basic Usage Search Criteria

Criteria	Description
Model Name	Enter the name of the Usage. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Status	Select the Usage status from the multi-select drop-down. Following are the possible values for the Status drop-down list: ● Select All ● Draft ● Pending Approval ● Rejected ● In Review ● Pending Reinstate Approval ● Reject and Rework ● Retired ● Pending Retire Approval ● In Development ● In Use ● Pending Initial Approval **Note:** You can select more than one option from the drop-down list.

3. Click **Go**. The relevant search list is displayed.

4. Click **Clear** to reset the search fields.

   Note: If there are no matched details with the given search criteria, then the Alert window displays the following message: *No records found with the given search criteria.*

Searching Usage Using Advanced Search Criteria

The Advanced Search provides more specific search options. It offers the same search fields as provided for a Basic Search along with an expanded set of fields. If you know Usage details such as ID, Name, Status, and so on, then you can filter the Usage using the Advanced Search criteria.

To search for Usage using Advanced Search, follow these steps:

1. Navigate to the Usage Search and List page.

2. Click **Advanced Search** from the Search section. The Advanced Search fields display.

Figure 23. Searching Usage Using Advanced Search Criteria

3. Enter the following search criteria to filter the Usage list.

Table 23. Advanced Search

Criteria	Description
Usage ID	Enter the sequential tracking number of the Usage. This field allows you to enter a maximum of 8 numeric values and supports wildcard search
Version	Enter the Version of the Usage. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Usage Name	Enter the name of the Usage. This field allows you to enter a maximum of 300 characters and supports wildcard search.

Table 23. Advanced Search

Criteria	Description
Status	Select the Usage status from the multi-select drop-down. Following are the possible values for the Status drop-down list: ● Select All ● Draft ● Pending Approval ● Rejected ● In Review ● Pending Reinstate Approval ● Reject and Rework ● Retired ● Pending Retire Approval ● In Development ● In Use ● Pending Initial Approval **Note:** You can select more than one option from the drop-down list.
Sourced From	Select the Usage Source from the Sourced From drop-down. The drop-down list has the following options: ● Select All ● Modeling Framework ● Run Rule Framework
Sourced Model Name	Enter the Source Usage Name in this field.
Business Line	Select the Business Line from the hierarchy browser. Incidents are mapped to the business line. For example, Retail, Trading, and so on.
Category	Select the Risk Category from the hierarchy browser. For example, Fraud, and so on.
Location	Select the Location from the hierarchy browser. Usage are mapped to the location. For example, London, Bangalore, and so on.
Usage Owner	Select the Usage owner from the hierarchy browser.
Model ID	Select the Model ID from the Model hierarchy window.
Assessment Type	Select the Assessment Type from the Assessment Type drop-down. The drop-down list have the following options: ● Select All ● Back Testing ● Control ● Evaluation of Conceptual Soundness ● Ongoing Monitoring ● Outcome Analysis ● Result

Table 23. Advanced Search

Criteria	Description
Criticality	Select the Criticality from the Criticality drop-down.
	The drop-down list have the following options:
	● Select All
	● Very Low
	● Low
	● Medium
	● High
	● very High
Target Date	Select a Target Date from the Target Date drop-down list with the following options:
	● <=
	● <
	● =
	● >
	● >=
	Select a date from the calendar.
Usage Tier	Select the Usage Tier from the Usage Tier drop-down.
	The drop-down list have the following options:
	● Select All
	● Tier One
	● Tier Two
	● Tier Three
	● Tier Four
Last Modified	Select the last modified date from the calendar to display Usage having a modified date greater than or equal to the specified date.
	Note: If the date entered in Last Modified From is later than the date entered in Last Modified To the application displays the following message: *Please verify the range selected in Last Modified Date.*

4. Click **Go**. The relevant search list is displayed.

 Note: If there are no matched records with the given search criteria, then the Alert pop-up window displays the following message: *No records found with the given search criteria.*

Note: The application provides a **Save Search** button in the Advanced Search section that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: General Features, Saving a Search* section.

Searching Usage Using Pre-defined Views

Views search represents pre-populated search criteria and helps you to filter the Usage based on pre-defined views.

To search for an Usage using pre-defined views, follow these steps:

1. Navigate to the Usage Search and List page.

2. Click **Views**. The Views drop-down list is displayed.

Figure 24. Searching Usage Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant Usage list page is displayed.

If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down. The following table explains the default types of pre-defined views available.

You can send updates regarding the definitions to all the stakeholders by sending emails to them. For more information, refer to Sending Email section.

You can also export the Usage definitions to a spreadsheet. For more information, refer to Exporting Definitions.

The following actions are possible from the *Model Management* window:

- Create Usage
- Select Model
- View Usage Definition
- Edit Usage Definition
- Submit Usage for Initial Approval
- Submit Usage for Approval
- Submit Usage for Review
- Attest Usage
- Create Issue
- Usage Details Management
- Retire Usage
- Reinstate Usage
- Delete Usage

Create Usage

The Initiate Usage section facilitates the development/creation of a new Usage. To develop a new Usage from the *Usage Management* window:

1. Click **Initiate Usage** button from the *Usage Management* window.

The *Usage Management Details* window is displayed:

Figure 25. Usage Management Details Screen

The default **Status** of a new Usage is **New**.

2. Populate data in the fields as tabulated below:

Table 24. Usage Management Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Sourced From	Select the Source from the Sourced From drop-down box. Following are the options available: ● Run Rule Framework ● Model Framework

Table 24.   (Continued)Usage Management Details

Field	Description
Select Model Name	Select the Model Name from the Model Name hierachy window.
Source Model ID	This field is displyed auto populated after selecting source model name.
Source Model Version	This field is displyed auto populated after selecting source model name.
Source Model Status	This field is displyed auto populated after selecting source model name.
Model ID	Select the Model ID to which the Usage belongs from the Hierarchy Browser window by clicking the Browse button. The status of available Models are: ● In Use ● Rejected and Rework ● In Review ● Pending Approval
Usage ID	The Usage ID is auto populated.
Version	Enter the version of the new Usage. The maximum number of characters should not exceed five.
Usage Name	Enter the required name of the new Usage. The maximum number of characters should not exceed 50.
Description	Enter a description for the Usage under development.
Acquisition Type	Select the Source from the drop down list. The available values are: ● In House - These Usages are developed within the organization. ● Third Party - These Usages are developed and implemented by a third party. ● Hosted - These Usages are developed and serviced by a third party, but is implemented within the organization.
Objective	Select the objective form the drop-down list. The available values are: ● Automation - This automates the concept behind the Usage. ● Replacement - In this case, the objective is to replace the existing Usage with a new one. ● Recalibration - In recalibration, the variables within an existing Usage are updated. ● Redevelopment - This re initiates the development of existing Usage for an updated concept. ● New Development - This is the development of new Usage with new concepts.

Table 24. (Continued)Usage Management Details

Field	Description
Preceding Usage ID	Select the preceding Usage ID from the Hierarchy Browser window by clicking the **Browse** button. This field is active only if you have selected Replacement, Recalibration, or Redevelopment in the **Objective** field and is mandatory for such objectives. Upon selecting a preceding Usage, the details such as ID, Usage Owner, BU Head, Criticality, Regulation, Methodology, Restrictions in Use, Assumptions, and Known Limitations are taken from the selected Usage and auto populated in the respective fields of the Usage under creation.
Business Line	Select the Business Line from the Hierarchy Browser window by clicking the **Browse** button.
Category	Select the primary category of the Usage from the Hierarchy Browser window by clicking the **Browse** button.
Location	Select the Location from the Hierarchy Browser window by clicking **Browse.**
Usage Owner	Select the User Name who owns the Usage from the Hierarchy Browser window by clicking the **Browse** button.
BU Head	Select the Business Unit Head user Name from the Hierarchy Browser window by clicking the **Browse** button.
Criticality	Select the criticality of the Usage under development, to the business. This indicates the impact of the Usage in the business. The available options are: ● Very Low ● Low ● Medium ● High ● Very High
Valid Till	This field is autopopulated and is noneditable. The field indicates the validity of the Usage. You can edit this field under Assessment tab.
Requires Attestation	This field indicates whether the Usage requires attestation or not. Usages are attested by the Usage Owner to affirm and confirm the working, relevance, and use of Usage for its intended business. Select **Yes** if the Model requires attestation.
Attestation Frequency	Select the attestation frequency from the drop down list. The available values are: ● Half Yearly ● Yearly ● Biennial This field is active only if you have opted the Usage requires attestation.
Target Date	Select the Usage development target date from the Calendar.

Table 24.   (Continued)Usage Management Details

Field	Description
Regulation	Select the regulation that governs the Usage by selecting the check box adjacent to the regulation name from the drop down list. Following are examples of available regulations: ● MiFID ● BASEL ● Patriot ACT ● SOX ● Dodd Frank Rule The selected regulation(s) are listed as comma separated values in the field.
Usage Type	Select the usage type from the drop-down list.
Developed By	Enter the name of the Usage developer.
Tier	This field is disabled. User can select tier from assessment tab. **Note:** Usage tier should not be higher than the tier of the associated Model.
Platform	Enter the repository name, where the data files for the Usage is available.
Governance Committee	Select the Governance committee based on the risk category from the drop-down list.
Software	Select the software for the Usage from the drop-down list.
Restriction on Use	Enter the restrictions on using the Usage. The maximum allowed characters are 3000.
Assumptions	Enter the assumptions based on the Usage. The maximum allowed characters are 3000.
Known Limitation	Enter any known limitation of the Usage. The maximum allowed characters are 3000.
CFO	Enter the Chief Financial Officer name. The maximum allowed characters are 300. **Note:** CFO is enabled when Regulation is selected as SOX.
CFO Designate	Enter the Deputy Chief Financial Officer name. The maximum allowed characters are 300. **Note:** CFO Designate is enabled when Regulation is selected as SOX.
SOX Control #	Enter the reference number for SOX Control. The maximum allowed characters are 300. **Note:** SOX Control # is enabled when Regulation is selected as SOX.
SOX Financial Statement Ref #	Enter the reference number for SOX Financial Statement. The maximum allowed characters are 300. **Note:** SOX Financial Statement Ref # is enabled when Regulation is selected as SOX.

Table 24. (Continued)Usage Management Details

Field	Description
Model Usage Algorithm	Attach the document associated with Model Algorithm. **Note:** This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Business Case for Model Usage	Attach the document associated with Business Case for ModelUsage. **Note:** This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Comments	Enter the comments based on the latest approval or rejection action on Usage.

The **Comment** field displays the latest actions performed on the Usage. This remains blank, in case of a new Usage.

3. Click **Save As Draft**.

The Usage Definition is saved and the Usage Details are displayed as shown in the following figure:

Figure 26. Usage Details Screen

The saved Usage is displayed in the *Usage Management* window. You can click the **Usage ID** link to view the details. The Status of a saved definition changes to Draft and is displayed on the top right corner of the *Model Management Details* window.

Select Model

Model/Usage can be selected from any framework user has configured or run rule framework. Inputs, Intended use, model/usage name, version and description are populated from selected model with Business line and Category user selected. User can select model for model/usage from list or details screen. If user does not select any source then source container is hidden from draft status of model/usage.
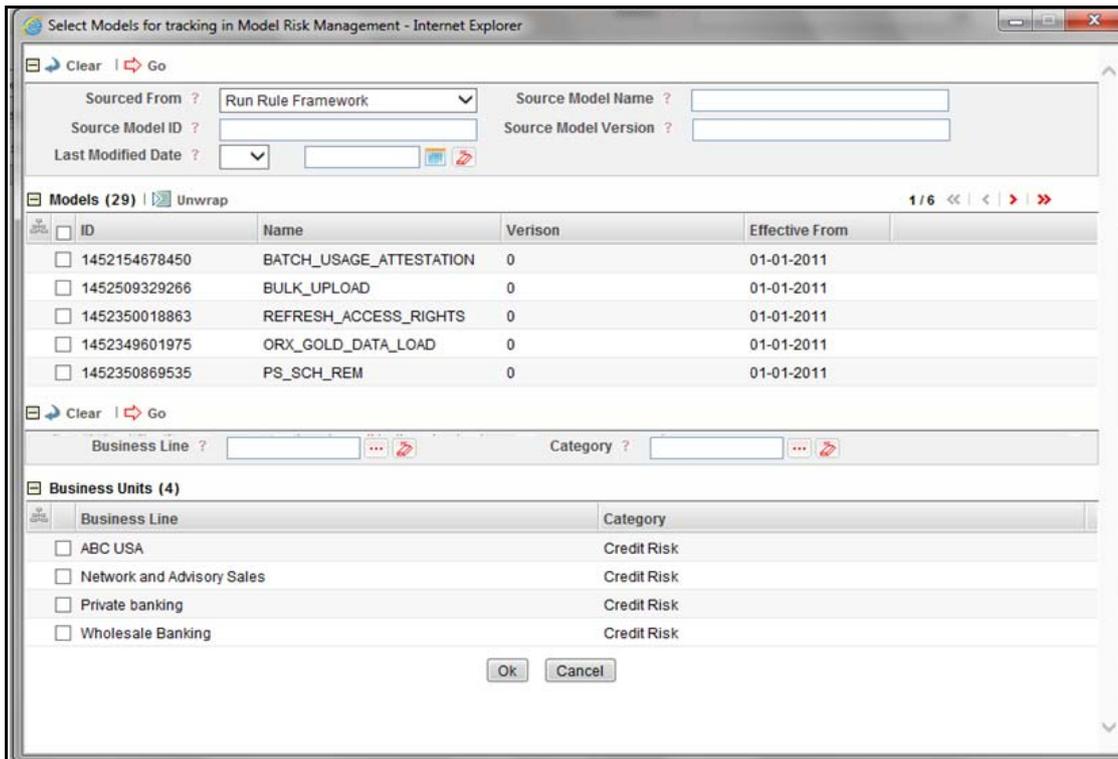
Figure 27. Select Model

View Usage Definition

A pre-defined Usage definition can be viewed from the *Usage Management* window.

To view the details of a pre-defined Usage definition from the *Usage Management* window:

Click the **Usage ID** of the definition you want to view. The Usage Definition details are displayed in *Usage Management Details* window.

Edit Usage Definition

You can edit a saved Usage definition created by you, and is in **Draft**, or **In Development** status, from the *Usage Management* window.

Analyst can edit a saved Usage definition, if it is in **In Development** or **In Review** status.

To edit a Model definition from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of the Usage definition, which is to be edited. The *Usage Management Details* window is displayed.

2. Click the **Edit** button from the *Definition* tab.

Note: You can edit all the fields, except Usage ID, of a Usage definition which is in **Draft** status and all the fields except Usage ID, Version, Source, Objective, and Preceding Usage ID of a Usage definition which is in **In Development**, **In Review**, or **Rejected and Rework** status.

For more information, refer to Creating Issues section.

3. Once all the necessary details are updated, click **Update** button. The Usage definition details are updated. Update Questtionnaire if available.

Submit Usage for Initial Approval

A Usage definition, which is in **Draft** or **Rejected** status, whose Source is **In House** or **Hosted** has to be submitted for initial approval. Only a user who has Idea Approver role assigned can approve a Usage definition.

To send a Usage definition for approval from the *Usage Management* window, perform the following actions:

1. Click the **Usage ID** of the Usage definition, which is to be sent for initial approval.

The Usage definition details are displayed.

2. Click **Submit for initial Approval** button.

3. The *Usage Initial Approval* dialog box is displayed.

4. Select the Initial Approver by clicking **Browse** button and selecting the user from Hierarchy Browser window.

5. Enter the required comments in Comments field.

6. Click **Submit**. The Usage definition has been submitted for initial approval. Update Questtionnaire if available.

Submit Usage for Approval

A Usage definition, whose status is in **In review, In Development**, and **Rejected and Rework** has to be submitted for approval. Only a user who has Usage Approver role assigned can approve a Usage definition.

It is mandatory to schedule an assessment before Usage can be submitted for approval.

To send a Usage definition for approval from the *Usage Management* window, perform the following actions:

1. Click the **Usage ID** of the Usage definition, which is to be sent for approval.

The Usage definition details are displayed.

2. Click **Submit for Approval** button.

3. The *Usage Approval* dialog box is displayed.

4. Select the Approver by clicking **Browse** button and selecting the user from Hierarchy Browser window.

5. Enter the required comments in Comments field.

6. Click **Submit**. The Usage definition has been submitted for approval.

Submit Usage for Review

A Usage created by Usage Creator has to be moved to **In Review** by analyst for any minor updates in Usage definition or change in assessment schedule. Any change to Usage in **In Review** status can be done only by Analyst

Note: Submitting a Usage definition for review prevents the creation of Scheduled assessment task, until review is complete.

Note: A Usage is moved to In review status either by ad hoc method of clicking on review or it automatically moves to In review on Approval expiry date.

To mark a Usage definition for review from *Usage Management* window:

1. Click the **Usage ID** of the Usage definition, which is to be marked for review. The *Usage Management Details* window is displayed.

2. Click **In Review** button. A confirmation dialog box is displayed.

3. Click **OK**. The Usage definition is submitted for review and the status of the definition changes to **In Review**.

Attest Usage

Usages are attested by the Usage Owner and are approved by the BU Head to affirm and confirm the working, relevance, and use of Model for its intended business. Only approved Usages which are in **In Use**, **In Review**, and **Pending Approval** status can be attested.

Attestation is generated only if the Questionnaire is available. The latest questionnaire must be in the **Open** status.

Note: BU Head can attest a Usage through the task which is generated 30 days prior to the attestation due date or from the Attestation section of the Model Management module.

To attest a Usage from the *Usage Management* window:

1. Select the check box adjacent to a Usage ID, which is in **Draft** status.

2. Click the **Attest** button. The *Usage Details Management* window is opened with *Attestation* tab enabled.

The *Attestation* tab lists a new attestation with an ID and status New.

3. Click the **ID** of the attestation with status **New**. The attestation is open for edit and the available assertions are displayed.

4. Select the **Effective To** date from the Calendar.

   Note: The **Effective From** date is auto populated with the date, after the End Date of the previous attestation.

5. Select the check box adjacent to the assertions you want to respond to.

   Note: You can click the check box adjacent to the *Assertions* grid, and respond to all the assertions.

6. Respond to the assertions with **Yes** or **No**.

7. Enter necessary comments.

8. Click **Save** button. The attestation is saved and the status is changed to **Draft**.

You can also click **Submit** button to save and submit the attestation.

On submit, the status of the attestation is changed to **Completed**.

The **Usage Attestation** menu navigates you to the list of Usages to be attested. The list displays only those Usages which the logged in user can attest.

The Models to be attested are listed with the following details:

Table 25. Usage Attestation Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Usage ID	Enter the Usage ID.
Version	Enter the version of the new Usage.
Usage Name	Enter the required name of the new Usage.
Usage Status	Select the status of the drop-down list: The available options are: ● Draft ● Pending Approval ● Rejected ● In Review ● Pending Reinstate Approval ● Rejected and Rework ● Retired ● Pending Retire Approval ● In Development ● In Use ● Pending Insitial Approval
Business Line	Select the Business Line from the Hierarchy Browser window by clicking **Browse**.
Category	Select the Category from the Hierarchy Browser window by clicking **Browse**.
Usage Owner	Select the user who owns the Usage, from the Hierarchy Browser window by clicking **Browse**.
Assessment Type	Select the Assessment Type from the drop-down list: The available options are: ● Select All ● Back Testing ● Control ● Evaluation of Conceptual Soundness ● Ongoing Monitoring ● Outcome Analysis ● Result
Criticality	Select the criticality of the Usage from the drop-down list: The available options are: ● Very Low ● Low ● Medium ● High ● Very High

Table 25.   (Continued)Usage Attestation Details

Field	Description
Target Date	Select the target date from the Calendar. The equality operator drop-down will have the following signs: • < • <= • = • > • >=
Usage Tier	Select the values from the drop-down list: • Select All • Tier One • Tier Two • Tier Three • Tier Four
Last Modified Date	Select the Last Modified Date from the Calendar. The equality operator drop-down will have the following signs: • < • <= • = • > • >=

You can search for a specific Usage or a set of Usages from the *Usage Attestation* window. For more information, see Components of Search and List Page section.

To attest a Usage from the *Usage Attestation* window, perform the following actions:

1. Select the check box adjacent to a Usage ID, which you want to attest.

2. If you have selected multiple Usages for attestation, ensure that all these Usages belong to the same Business Line and Category.

You can also select the check box adjacent to the Usage ID tab to select all the Usages for bulk attestation if all the Usages belong to same Business Line and Category.

3. Click the **Attest** button. The *Business Unit Attestation* window is displayed.

   The *Business Unit Attestation* window displays the Usage List grid with the list of selected Usages and *the Business Unit Head Attestation Details* grid with required Assertions.

4. Select the check box(es) adjacent to the serial number(s) of the required Assertion(s) and enter the response(s) and comment(s).

You can also select the check box adjacent to the Sl. No. tab and choose all the Assertions.

Upon entering the details, at any point of time, you can click the **Save** button to save the entered details.

5. Enter the required comments in the **Comments** field.

6. Click **Approve** button. The selected Usages are attested.

Create Issue

Issues can be assigned to a Usage, which is in **In Use** status if the user is mapped to Issue Creator role.

To create an Issue for a Usage in use, from the *Usage Management* window perform the following steps:

1. Click the Usage ID of a Model definition, about which you want to report an Issue. The Usage definition is displayed in *Usage Management Details* window.

2. Click **Create Issue** button. The *Issue Details* window is displayed.

3. Populate the required Issue Details. For more information, refer to Creating Issues section.

Usage Details Management

You can incorporate additional details such as Products, Source and Output details, Stages, Assessment Schedule, linkage of Issues and Actions, Attestation details, and Document attachment, to a Usage for its further Usage. *Usage Management Details* window allows you to perform these actions.

The actions that are possible on a Usage from the *Usage Management Details* window are the following:

- Define Source Details
- Define Output Details
- Link Stages
- Save Sequence of the Stages
- Inherit Stages
- Managing Assessment
- Link Issues and Actions
- Other Information
- Attach Documents
- Audit Trail

You can download the profile report of a Usage definition which provides all the details associated with the selected definition. For more information, refer to Viewing Profile Report section.

Define Source Details

Source section in *Usage Management Details* window fetch the Usage source and Usage upstream details of a Usage definition.

Upstream Usage

To link the Usage source details from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to link the input details.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Further expand the *Source* section by clicking the **+** button.

4. Link the Usage sources by clicking the **Link** button and selecting the source members from the Hierarchy Browser window.

The selected members are displayed under *Input* grid.

From the *Input* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the Source details.

To link the upstream Usage source details from the *Source* section, follow these steps:

1. Link the upstream Usages by clicking the **Link Usage** button. The *Upstream Usage* window is displayed.

In the *Upstream Usage* window, you can search for a set of Models using the Usage ID, Usage Name, Version, Business Line, Category, and Usage Owner details. For more information, refer to Components of Search and List Page section.

2. Select the required Models by selecting the check box adjacent to the Usage ID's and clicking the **Link** button.

The selected Models are listed under *Upstream Models* grid with the Usage ID, Name, Version, Business Line, Category, Status, and Criticality details.

You can also Delink a selected Usage by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

Upstream Models

To link the Usage source details from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to link the input details.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Further expand the *Source* section by clicking the **+** button.

4. Link the Model sources by clicking the **Link** button and selecting the source members from the Hierarchy Browser window.

The selected members are displayed under *Input* grid.

From the *Input* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

You can link the upstream Model source details from the *Source* section. An upstream Model is the Model from which the data/inputs are used in the current Model. To link an upstream Model, follow these steps:

1. Link the upstream Models by clicking the **Link** button. The *Upstream Models* window is displayed.

In the *Upstream Models* window, you can search for a set of Models using the Model ID, Model Name, Version, and Model Owner details. For more information, refer to Components of Search and List Page section. The *Model List* grid in the *Upstream Models* window displays only those models with the same Business Line and Category of the Model under development.

2. Select the required Models by selecting the check box adjacent to the Model IDs and clicking the **Link** button.

The selected Models are listed under *Upstream Models* grid with their ID, Name, Version, Usages, Status, and Criticality details. You can click the ID hyperlink to view the Model details.

You can also Delink a selected Model by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

Define Output Details

Output section in *Usage Management Details* window fetch the intended use and Usage downstream details of a Usage definition.

To link the Usage output details from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Model to which you want to provide Output and Intended Use and downstream Usage details. The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Expand the *View More* section by clicking the **+** button.

3. Further expand the *Output* section by clicking the **+** button.

4. Link the Usage Output and Intended Use by clicking the **Link** button and selecting the source members from the Hierarchy Browser window.

The selected members are displayed under *Intended Use* grid.

From the *Output and Intended Use* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

To link the downstream Usage details from the *Output* section, follow these steps:

1. Link the downstream Usages by clicking the **Link Usage** button. The *Downstream Usages* window is displayed.

In the *Downstream Usages* window, you can search for a set of Usages using the Usage ID, Usage Name, Version, Business Line, Category, and Usage Owner details. For more information, refer to Components of Search and List Page section.

2. Select the required Usages by selecting the check box adjacent to the Usage IDs and clicking the **Link** button.

The selected Usages are listed under *Downstream Usage* grid with the Usage ID, Name, Version, Business Line, Category, Status, and Criticality details.

You can also Delink a selected Usage by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

Link Stages

Usage Development Stages are activities involved in developing and building Usages. Usage Creator and Usage Owner can link the Stages, which are appropriate for the Usage to be developed. Stages can be linked to a Usage when it is in, **In Development** status.

If all the Stages linked to the Usage and the Usage definition submitted for approval by the Analyst are approved by the Usage Approver, the status of the Stages changes to be **Completed**. The Analyst has to submit the Usage to Usage Approver for approval. Once submitted, the status is changed to **Pending Approval**. After approval, the Usage is changed to **In Use** status.

To link Stages to an approved Usage which is in **In Development** status from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage, to which you want to link Stages.

Note: Ensure that the Usage definition you have selected is in **In Development** status

The *Usage Management Details* window is displayed. By default, the *Definition* tab with the basic Usage definition details are displayed.

2. Click **Stages** tab. The *Stages* tab is enabled.

The *Stages* tab displays the Usage ID, Usage Name, Status, Version, Usage Owner, and BU Head details.

3. Click **Link Stages** button from the *Stages* grid.The *Stages* window is displayed. The *Stages* window lists all the available Stages.

4. Select a Stage by clicking the check box adjacent to the required Stage(s) and clicking **Link** button.

The selected Stages are linked to the Usage and are displayed in *Stages* tab with the details such as Stage ID, Stage Name, Status, Owner, Approver, Start Date, End Date, Sequence number, Review Cycle, and Checklist.

All the selected Stages are assigned with Stage IDs. You can click these IDs to view the Stage definition details.

The Stage Definition Details window displays the Stage Name, Stage Status, Usage ID, Usage Name, Stage Owner, and Stage Approver details. For a Usage definition in **In Development** or **Reject and Rework** status, you can update the Stage Owner and Stage Approver details by clicking the **Browse** button and selecting the users from the Hierarchy Browser window.

The Stage Activities details, Documents List, and Audit Trail details are displayed in the *Stages* tab.

To create a new Activity from the *Stage Definition Details* window, perform the following:

1. Click the **Create New** button from the *Activities* grid. The *Stage Activities* window is displayed.

2. Select the required activity among the available list of activities from the **Choose Activity** drop down list.

3. Enter the required comments in the **Comments** field.

4. Click **Add** button in the *Stakeholders* grid and select the required stakeholders from the Hierarchy Browser window.

The selected stakeholders are displayed in the *Stakeholders* grid with the details such as Name, Activity Type, and Due Date.

You can select the check box adjacent to a stakeholder name and update the Activity Type and Due Date. Save the changes by clicking the **Update Task Due Date** button.

5. Click the **Attach Document** button and select a document to upload by providing the Component, Type, Logical File Name, document path, and clicking **Attach Document** button.

6. Click **Submit** in the *Stage Activities* window.

   The Activity is saved and is displayed under *Actives* grid of the *Stage Definition Details* window with the details such as Date, By, Activity, Comments, and Upload details.

   You can add documents to an Activity by clicking the **Add Documents** hyperlink in the Upload tab, adjacent to each Activity and providing the following details:

Table 26.   Add Documents Details

Field	Description
Component	The component is auto populated as **Usage Development Stages**, as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: ● Regulation ● Policy ● Documentation ● Annexures ● SOP ● User Manual ● Assumptions ● Algorithm ● Validation Result ● Back Test Result ● Limitations ● Implementation and Use ● Others ● Evidences ● Organization Risk Management Policy ● Dataset ● Sample Data ● Model Calibration document ● Review Document ● Model Theory ● Implementation document ● Results ● Model Algorithm ● Business Case for Model ● Model Usage Algorithm ● Business Use for Model Usage

Table 26.   (Continued)Add Documents Details

Field	Description
Security	Select the required security type by selecting any of the following options: ● Public ● Read Only ● Restricted
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

To attach a document to the Stage definition from the *Stage Definition Details* window, perform the following:

1. Click **Attach Document** button from the *Documents List* grid.

The *Attach Documents* window is displayed.

2. Populate the form details as tabulated:

Table 27.   Attach Documents

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as **Usage Development Stages**, as the document upload is being performed for a Stage definition.

Table 27. (Continued)Attach Documents

Field	Description
Type	Select the type of the document from the drop down list. The available values are: - Regulation - Policy - Documentation - Annexures - SOP - User Manual - Assumptions - Algorithm - Validation Result - Back Test Result - Limitations - Implementation and Use - Others - Evidences - Organization Risk Management Policy - Dataset - Sample Data - Model Calibration document - Review Document - Model Theory - Implementation document - Results - Model Algorithm - Business Case for Model - Model Usage Algorithm - Business Use for Model Usage
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

3. Click **Attach File**.

The selected document is uploaded and is displayed under *Documents List* grid with the details such as Document Name, Document, Version, Document Type, Activity, By, and Date & Time.

You can select the check box adjacent to a document and click the **Delete** button to remove a document.

The *Audit Trail* grid displays the history of actions performed on the Stage definition with the details such as Date and Time, Action, Action By, and Status.

Click the **List Stages** button at the top right corner of the *Stage Definition Details* window to navigate back to the Stage list window.

From the *Stages* tab, you can also select the check box adjacent to a **Stage ID** and perform the following actions:

- Delink a Stage by clicking the **Delink Stage** button and clicking **OK** in the confirmation dialog box.

Note: You can delink only those Stages which are in **Draft** status.

- Assign Approver and Owner role by clicking **Assign Approver/Owner** button and selecting the users from the Hierarchy Browser window and enter the description for the stage in the **Description** text field.

- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

The checklist items for each Stage can be viewed in the *Checklist* window, by clicking the **Checklist** hyperlink adjacent to each Stage definition listing.

You can also export the Stage definitions to a spreadsheet. For more information, refer to Exporting Definitions.

For more information on creation of Stages, refer to Reference Data Management section in *Admin* chapter.

Save Sequence of the Stages

Stages can be saved in a sequence when the model is **In Development**, **Rejected, Reworked,** and **In Review** status and the stages are in **Draft, In Progress**, and **Rejected** status.

Note: At least one stage must be linked to the model. When the stage is linked to the model for the first time, the Review Cycle is updated as Review Cycle1. The Review Cycle is incremented everytime the stage is linked again, as a part of Reviews.

Users mapped to the role of Model Creator or Model Owner can update and save the stages in a sequence.

Under the *Stages* grid, details of the stages such as Stage ID, Stage Name, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, Status, and Checklist are available.

To save the stages in a sequence, follow these steps:

1. Select a stage by clicking the checkbox adjacent to the required stage. The sequence column becomes editable.

2. Enter the sequence number.

Note: This field accepts only whole numbers.

3. Click **Save Sequence** from the *Stages* grid.

The sequence is saved for the stage for this model. Based on the sequence provided in ascending order, the task is sent to the stage which is first. The task is sent to the next stage(s) only on completion of the first stage. If two or more stages have the same sequence numbers, such stages is initiated at the same time. On completion of both such stages, the next stage is initiated. The Start Date of the first stage is when the Owner and Approver are assigned and the End Date of the stage is updated, when the stage is approved by the Approver. The Start date of the next stage in the sequence should be the end date of the previous stage.

If a new stage is linked along with existing stages, the following check should be performed when saving the sequence:

- If the sequence number is an incremental value, from all the past stages, allow the Saving of sequence with a message: *Update operation successful.*

- If the sequence number is less than or equal to the sequence number of any Stage which is in In Progress status, provide an alert message: *Provide a sequence number which is greater than the Stages which are in progress to save the sequence.* This message does not allow the user to save the sequence until the condition exists.

On clicking **Initiate Stage**, if the stage sequences are set and the Owner and Approver of the stages are assigned, a task is sent to the Owner of the stage, which is the first stage based on the sequence if the stages are in draft status.

No tasks are sent to the Owner and the Approver under the following conditions:

- If a user clicks the **Initiate Stage** before assigning the sequence, Owner, and Approver for all the linked stages, an alert message is displayed: *Provide the sequence,Owner and Approver for all the linked stages,to Initiate the stage Tasks.*

- If a user clicks the **Initiate Stage** when the linked stages are **In progress** or **Approved,** an alert message is displayed: *Stages are already initiated for the current cycle.*

Inherit Stages

Stages can be inherited from the preceding Usage definition and associated Models, when the Usage definition is in **In Development** status.

To inherit Stages from the preceding Usage definition, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to inherit Stages from the preceding Usage.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click **Inherit Stages** button. A confirmation dialog box is displayed. Click **OK**. The Stages from the preceding definition are inherited and is displayed under *Stages* tab.

Managing Assessment

This section provides information about managing Assessment of the MRM application and step-by-step instructions to use this section.

This section includes the following topics:

- Schedule Assessment
- Managing Validity and Usage Tier
- Creating Assessment
- Managing Individual Assessments
- Managing Aggregated Assessments

Schedule Assessment

Assessment functionality of OFSMRM facilitates you to perform assessments on defined Usage and arrive at ratings. You can schedule the assessment of a Usage from the *Usage Management* window, if all the linked Stages of the Usage definition are approved. The assessment can be scheduled only for those Uage which are in **In Development**, **Rejected and Rework**, and **In Review** status.

To schedule assessment of a Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Model to which you want to schedule an assessment.

The *Usage Management Details* window is displayed. By default, the *Definition* tab with the basic Usage definition details are displayed.

2. Click **Assessments** tab. The *Assessments* tab is enabled.

The *Assessments* tab displays the Usage ID, Usage Name, and Usage details.

Managing Validity and Usage Tier

The Validity and Usage Tier grid in the Assessments tab enables you to modify Validity and Usage Tier, follow these steps:

1. Expand Validity and Usage Tier section.

2. Click **Edit** to enable Validity and Usage tier details section.

3. Modify following details:

Table 28. Model Assessment Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Usage Tier	Usage Tiering is based on factors such as reliance and uncertainty of the Usage. Tiering assessment can be performed once the tool has been acknowledged as a Usage. Select the Usage tier from the drop-down list.The available values are: ● Tier One ● Tier Two ● Tier Three ● Tier Four
Tier Template	You can update the tier template from the Validity and Usage Tier grid by performing the following steps. 1. Click the Tier Template hyperlink adjacent to the Usage Tier field. The Tier Templates window is displayed with the available list of templates. 2. Select the check box adjacent to the required Tier Template and click Next. The Tier Template window with the questionnaire is displayed. The questions are segregated in sections such as General, Exposure, Reliance, and Uncertainty Assessment. 3. Answer all the questions and provide the necessary comments. 4. Click Submit. In the Tier Template window, you can also perform the following: ● Click Review and review the answers and comments you have provided for each question. ● Click View Documents/Hide Documents to toggle the view of related documents in the Documents grid. ● Click Save to save the answers and comments before submitting. A recommended tier for the Usage definition is assigned, based on the responses. User can opt to keep the recommended Tier or manually change the tier later.
Valid Till	Select the date of validity of the Model for business use from the Calendar.

5. Click **Save**. The details are updated.

Creating Assessment

The Assessment grid in the Assessments tab enables you setup an assesment and create Ad Hoc assessment. The Assessment grid also allows you to delete and terminate an assessment.

This section covers following topics:

- Setup Assessment Creating Adhoc Assessment
- Delete Assessment
- Terminate Assessment

Setup Assessment

To schedule an assessment type, follow these steps:

1. To schedule the assessment for a selected Usage, click **Assessment** from the Assessments grid. The Usage Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 29. Usage Assessment Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
ID	The ID of the assessment is auto populated and this field is not editable.
Type	Select the type of the assessment from the drop down list. The available values are: • Control • Evaluation of the Conceptual Soundness • Ongoing Monitoring • Outgoing Analysis • Tier Template If the assessment type is selected as Tier Template, only those users mapped to the role of Analyst will be displayed and you will be able to select only one user. For other assessment types, only those users mapped to the role of Assessor will be listed and you will be able to select multiple users.
	•
Approver	Select the approver from the hierarchy browser window.

3. Click **Save**. The assessment is saved.

Once the assessment is scheduled, the Assessors and Questionnaire grids are enabled in the Usage Assessment window.

4. Add assessors by clicking **Link** button in the Assessors grid and selecting the user from the Hierarchy Browser window. You can also select the check box adjacent to an Assessor and click **Delink** to remove the selected Assessor.

5. Select the Questionnaires by clicking **Link** button in the Questionnaire grid.

The Link Questionnaire window is displayed. It is mandatory to link a questionnaire. The linked questionnaire is sent to the assessor to respond during the assessment.

You can search for a particular Questionnaire by providing the Questionnaire ID, Questionnaire Name, Created From, or Created To details. For more information, refer to SearchandFilter section.

For more information regarding Questionnaires, refer to Questionnaire section from the Admin module.

6. Select the check box adjacent to the **Questionnaire ID.**

7. Click **Link**. The selected Questionnaire is displayed under Questionnaire grid of Usage Assessment window.

You can also select the check box adjacent to an **ID** and click **Delink** to remove the selected Questionnaire.

8. Click **Back**. The Usage assessment is scheduled and the schedule is displayed under Assessments grid of the Assessments tab.

A new assessment is saved with status **New**. When Assessor and Questionnaire is linked, click **Submit**, it moves to Open Status. The status become **Active** on the scheduled date, once the batches are executed for a Usage which has status **In Use**. Once the scheduled assessment is executed, you can change the status to **Inactive** by performing the following actions:

- Move the Usage status to **In Review**.

- Select the Active assessment and click **Terminate**.

The status of the assessment becomes **Inactive**.

Creating Adhoc Assessment

Once the assessment is complete, the assesment can be reassigned to the assessor using the Ad Hoc assessment. To perform Ad Hoc assessment, the Usage should be in **In Use** status and at least one assement should be setup. The Ad hoc assessment needs to be approved by a user who has Analyst or Assessment Approver role assigned.

To perform Ad Hoc assessment, follow these steps:

1. Select the Assessment ID from the Assessment tab.

2. Click **Ad Hoc** on the Assessments grid.

Note: The Ad Hoc button is enabled when the Usage is in **Open** status and the assesment is in **Active** status.

The Ad Hoc Assessment window is displayed.

3. Populate the form with the necessary details as tabulated below:

Table 30. Ad Hoc Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Type	The assessment type is auto populated and this field is not editable.

Field	Description
Comment	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters and saved in Audit trail as action comment.
Due Date	Select the due date of assessment from the Calendar.
Assessor	Select the user from the Hierarchy Browser window in the Assessor grid.

4. Click **Submit**. The following message is displayed: *Updated operation successful.* Click **OK**.

The assessment is scheduled for Ad Hoc assessment.

Delete Assessment

An asessment that has not be finalized can be deleted using the Delete button. Delete button is enabled on selecting an assessment, which is in **New** status. Once the Assessment is in **Active** status, the assessment cannot be deleted and needs to be terminated.

To delete an assessment, follow these steps:

1. Select the Assessment ID that is in **New** status.

2. Click **Delete** on the Assessment grid. The following message is displayed: *Deleting the assessment schedule will stop future scheduling of assessments. Are you sure to delete?* Click **OK**. The selected Assessment is deleted.

Terminate Assessment

An assessment can be terminated by using the Terminate button. The Terminate button is enabled on selecting an assessment, which is in Active status.

To terminate an assessment, follow these steps:

1. Select the Assessment ID that is in **Active** status.

2. Click **Terminate** on the Assessment grid. The following message is displayed: *Are you sure would like to terminate the selected Validation Schedule?* Click **Yes**.

The selected Assessment is Terminated.

Managing Individual Assessments

Once the assessment moves to Active status, the respective assessors will receive task based on the start date and the schedule. The assessor can access the task from the Inbox.

Once the assessment is completed, scores get generated based on the Questionnaire answered (the questionnaire used should be score based) and rating is displayed as High/Medium/Low in Individual Assessments grid.

To perform an assessment, follow these steps:

1. Select the Scheduled Assessment which is in **Active** status from the Assessmet grid.

2. Select the Assessment Task from the *Aggregated Assessments grid*.

3. Select the Individual Task from the *Individual Assessments grid*.

The individual Assessment window is displayed. In the Assessment window, you can perform the following:

● Submitting Assessment

- Approving/Rejecting Assessment

- Closing Assessment

- Reassigning Assessment

Submitting Assessment

An assessment can be submitted for approval when an assessment is in **New**, **Open**, **Rejected**, or **Reopened** status and all the questionnaire are answered.

To submit an assessment, follow these steps:

1. Click **Submit for Approval** in the individual Assessment window. The Submit for Approval window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 31. Submit for Approval Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	To Select the user from the *Hierarchy Browser*.
Due Date	Select the due date of assessment from the Calendar. By default, systempopulates 5 days from the system date.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

The assessment is submitted for approval. The comments entered will be saved in the Approval/Rejection comments field in the Usage details page. On successfully submitting an Assessment, the status of the Assessment changes to Pending for Approval and task is sent to the approver.

Approving/Rejecting Assessment

Approving/Rejecting Assessment is approving or rejecting an Assessment. An assessment can be approved or rejected when it is in **Pending for Approval** status and the Usage to which the assessment is linked should not be in **Retired** status. A user selected when submitting the assessment who has Assessment Approver role and who shares at least one common Business Line and Category of the Model to which the Assessment is linked, can approve or reject the assessment.

The Approve/Reject button is enabled only when the assessment is in **Pending for Approval** status.

To approve an assessment, follow these steps:

1. Click **Approve** in the individual Assessment window. The Approve Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 32. Approve Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click OK.

The assessment is Approved and status is marked as **Approved**. Notification will be sent to the Assessor and user who has Assessment Approver role.

To reject an assessment, follow these steps:

1. Click **Reject** in the individual Assessment window. The Reject Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 33. Reject Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

   or

   Click **Reset**. The values are set to default value.

   The assessment is rejected and status is marked as **Reject**. Once the assessment is in **Reject** status, task is sent to assessor and he can resubmit for assessment.

Closing Assessment

Closing Assessment is closing of an Assessment. An assessment can be closed when it is in **New** or **Open** status and the Usage to which the assessment is linkedto should not be in **Retired** status. An Assessor of the Assessement or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Usage to which the Assessment is linked, can close the assessment.

The Close button is enabled only when the assessment is in **New** or **Open** status.

To close an assessment, follow these steps:

1. Click **Close** in the individual Assessment window. The Close Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 34. Close Assessment Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

   or

   Click **Reset**. The values are set to default value.

   The assessment is closed and status is marked as Closed.

Reassigning Assessment

Reassigning Assessment is assigning an Assessment to another Assessor for reassessment. Reassigning of an assessment can be performed when an assessment is in **New**, **Open**, **Rejected**, or **Reopened** status and the Usage to which the assessment belongs to should not be in **Retired** status. An Assessor of the Assessement or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Usage to which the Assessment is linked, can reassign the assessment.

The Reassign button is enabled only when the assessment is in **New**, **Open**, **Rejected**, or **Reopened** status.

To reassign an assessment, follow these steps:

1. Click **Reassign** in the individual Assessment window.

The Reassign window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 35. Reassign Window Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser.
Comments	Enter any comment or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

   or

   Click **Reset**. The values are set to default value.

The assessment is reassigned to the selected Approver and notification is sent. The comments entered will be saved in the Approval/Rejection comments field in the Usage details page.

Managing Aggregated Assessments

Once the assessment is completed, aggregated scores get generated based on the Questionnaire answered (if the Questionnaire is score based) and aggregated rating is displayed as High/Medium/Low in the Aggregating Assessment grid. All the completed assessments need to be approved by a user who has Assessment Approver role assigned.

Link Issues and Actions

You can link Issues and subsequent Actions to a Usage definition.

To link Issues to a Usage definition from *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to associate Issues and Actions.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click the *Issues and Actions* tab. The *Issues and Actions* tab is enabled.

3. Click the **Link** button from the *Issues* grid. The *Issues* window is displayed.

You can use the search parameters in the *Issues* window to search and find a particular Issue or a set of Issues. For more information, refer to Components of Search and List Page section.

4. Select the check boxes adjacent to the Issue IDs, you want to link to the Usage definition.

5. Click **Link** button.

The selected Issue(s) are linked with the Usage definition and are listed under *Issues* grid in *Issues and Actions* tab of *Usage Details Management* page.

The Issues are listed with details such as Issue ID, Issue Name, Type, Creator, Owner, CCY, Estimated Cost, Target Date, Last Modified, and Status.

You can view the Actions associated with each Issue by selecting the check box adjacent to the **Issue ID**.

The associated Actions are displayed under *Actions* grid.

You can also select the check box adjacent to an **Issue ID** and click **Delink** button in the *Issues* grid to delink an Issue from the Model definition.

Other Information

The *Other Information* tab helps you to track any amendments made to the Usage definition. This is possible only in a definition, which is in **In Use** status.

To create a new log information for a Usage definition, which is in **In Use** status, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to associate a change log.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click the **Other Information** tab. The *Other Information* tab is enabled.

This tab displays the available change log details under *Change Log* grid.

The *Other Information* tab also displays the Usage ID, Usage Name, Status, Due Date, Source, Owner, Created By, and Closed on details.

3. By default the Change Log Details form is in editable status. Alternatively, you can click **Create New** button to log a change.

4. Populate the form details as tabulated below:

Table 36.   Change Log Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID for a new change log is auto populated. This field is not editable.
Name	Enter the name for the change log.
Source	Select the source from the drop down list. the available options are: ● Internal ● External
Owner	Select the owner of the change log from the Hierarchy Browser by clicking **Browse** button.
Due Date	Select the due date from the Calendar.
Status	The status of a new change log is always set to **Draft**. This field is not editable.
Created By	This filed is populated with the name of the user, who creates the change log. this field is not editable.
Created On	This filed is auto populated with the current date. This field is not editable.
Description	Enter a description about the change log.
Closing Note	This field is not editable when you create the change log draft. Once saved as draft, you can enter the closing note and submit the change log. **Note:** This field is active only if you have **Change Owner** role assigned.

5. Click **Save as Draft** to save the draft and submit later for approval.

    The change log is saved in **Draft** status.

    Or

    Click **Submit** to submit the change log for approval.

    The change log is saved in **Open** status.

A change log in Draft status can be updated and submitted for approval.

To submit a change log:

1. Select the check box adjacent to the Change Log ID, which is in **Draft** status. The change log is open for edit under *Change log Details* grid.

2. Enter/modify the details as required.

3. Click **Update** button to save the changes.

4. Click **Submit**.

The change log is saved with updated details and submitted to the Change Owner. The status of the change log is changed to **Open**.

Once submitted, the Change Owner can review the change log and close it after providing necessary information in the **Closing Note** field. The status of such a closed change log moves from **Open** to **Closed**. The Change Owner can also reassign a change log to another user.

Attach Documents

You can attach any documents related to a specific Usage definition. There are two ways in which you can associate a document with a Model definition.

- Upload a new document

- Link an existing document to the Model definition

To attach a document by uploading it from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage for which you want to upload supporting documents.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click *Documents* tab. The *Documents* tab with *Documents* and *Stage Documents* grid is displayed. The Documents List grid is explained below:

Field	Description
ID	Displays the ID given by application
Name	Displays the name of the document
Version	Displays the version of the document. It also displays the number of times it has been attached.
Type	Displays the type of document selected while attaching the document.
Document Security	Displays the security selected while attaching the document. It can be Public, Read Only or Confidential.
Component	Displays where the document was attached.
Activity	It comes in stage it shows if and for which activity document was uploaded.
Review Cycle	Displays the stage attached in which review of model/usage.
Updated By	Displays the name of the user who has Uploaded.
Updated Date	Displays the date of upload.
Users	In case of confidential document, it can be assigned to users who can see the document.

3. Click **Attach Document** button from the *Documents* grid. The *Attach Documents* window is displayed.

4. Populate the form details as tabulated:

Table 37.   Attach Documents Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as **Model Usage Development**, as the document upload is being performed for a Usage definition.
Type	Select the type of the document from the drop down list. The available values are: ● Regulation ● Policy ● Documentation ● Annexures
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking **Browse** button and selecting the file.

5. Click **Attach File**.

To link an existing document to the Usage definition from the *Documents* tab of the *Usage Details Management* window, follow these steps:

1. Click **Link** button.

The *Document* window with the currently available documents list is displayed. These documents are displayed with their ID, Name, Version, Type, and Status details.

2. Select the check box adjacent to the ID column and click **Link** button.

The selected document is linked to the Usage definition.

You can delete any of these associated documents from the Usage definition by selecting the check box adjacent to the document name and clicking **Delete** button.

Audit Trail

The Audit Trail section tracks and displays the history of all the changes made to the Usage. This tab records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing two Actions performed on a Usage definition.

To view the audit trail details of a Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage of which you want to view the audit trail details.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click *Audit Trail* tab.

The *Audit Trail* tab is displayed with the history of Actions of the selected Usage definition. The Audit Trail displays the details such as Date and Time, Action, Action By, Status, and Comments.

If there are more than one audit trail items present for a Usage, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *Audit Trail* tab.

Retire Usage

An active Usage definition, which is in **In Use** status and is not relevant or requires an update before it can be used again, can be retired.

To retire a Usage from the *Usage Management* window:

1. Click the **Usage ID** of a Usage definition, which you want to retire.

Note: Ensure that you have selected a Usage, which is in **In Use** status and the Usage is not linked to any Models.

The Usage definition is displayed in *Usage Management Details* window.

2. Click **Retire Model Usage** button. The *Usage Approval* window is displayed.

3. Select the Usage Approver from the *Usage Approval* window, by clicking the **Browse** button and selecting the user from the Hierarchy Browser window.

4. Enter the required comments in **Comments** field.

5. Click **Submit**. The Usage definition has been initiated for retirement and sent for approval. Once approved, the status of the Usage changes to **Retired**.

Reinstate Usage

A Usage definition, which is in **Retired** status can be reinstated for its further use. A Retired Usage can be reinstated only by the Usage Analyst and this Usage has to be approved before it can be further edited.

To reinstate a retired Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage definition, which you want to reinstate.

The *Usage Details* window is displayed.

2. Click **Re Instate Usage** button. The *Usage Approval* window is displayed.

3. Select the Usage Approver by clicking the **Browse** button and selecting the user from the Hierarchy Browser window.

4. Provide the necessary comments.

5. Click **Submit** button.

The Usage definition has been marked for reinstation and submitted to the selected Usage Approver for approval.

Delete Usage

Usage definition(s), which are in Draft status and no longer required can be deleted from the list.

To delete Model definition(s) from the *Usage Management* window:

1. Select the check box adjacent to the Usage ID of the definition you want to delete.

Note: You can delete a Usage definition, which is not linked or referenced elsewhere. In case the Usage definition is linked or referenced, you have to delink or remove the reference of the Usage definition and try again.

2. Click the **Delete** button. The confirmation dialog box is displayed.

3. Click **OK** button in the confirmation dialog box. The selected draft Usage definition is deleted and a confirmation message is displayed.

1. Click the **Usage ID** of the Usage definition, which is to be marked for review. The *Usage Management Details* window is displayed.

Managing Issues and Actions

This chapter provides information about the Issues and Actions module and step-by-step instructions to use this module.

This chapter explains the following topics:

- About Issues and Actions
- Managing Issues
- Managing Actions

About Issues and Actions

The Issues and Actions module is an integral part of the OFSMRM solution. An issue is a problem statement and actions are plans or activities taken up to resolve those issues. Organizations may need to identify and track issues whenever there is an alarming situation, such as when an incident is reported, Key Indicators (KIs) are breached, risk is assessed as high, control is assessed as ineffective, regulation is breached and so on.

Issues can be created either from the Issues and Actions module or from other modules in OFSMRM such as Model, Usage, and so on, whenever the parameters are alarming and require issue creation. Action plans aim at estimating the cost involved in addressing issues. If the cost of taking up the action is more than the risk involved in the issue, an organization can choose to close the issues without any actions. For more information on issues, refer to *Managing Issues* section.

Actions can also be directly created from different modules of OFSMRM. Subsequently, the application automatically creates a system generated issue for that particular source and internally maps the created actions to the auto-created issue. For more information on actions, refer to *Managing Actions* section.

Managing Issues

This section covers the following topics:

- About Issue
- User Roles and Actions
- Issues Workflow
- Tasks and Notifications in Issues
- Accessing Issues Menu
- Searching Issues
- Creating Issues
- Managing Issue Details
- Transferring Ownership of an Issue
- Closing an Issue
- Reopening Closed Issues

- Deleting an Issue

- Exporting List of Issues to Excel

- Viewing Issues Profile Report

- Creating Actions from Issues

About Issue

An issue can be identified in any module of OFSMRM whenever there is an alarming situation pertaining to that particular module. As a result, the application provides the ability to create issues from various modules and plan for actions accordingly to resolve the issue.

Users mapped to the role of Issue Creator can create issues manually either from the Issues and Actions module or from various other modules in the application.

Salient Features

The following are the salient features of Issues and Actions module:

- Identifying an Issue and creating action plans to address them.

- Creating issues and corresponding actions from various modules, or creating actions directly on identified issues from various modules.

- Reopening closed issues.

- Transfering ownerhip of issues to a different user

- Exporting the issues list to an excel sheet.

User Roles and Actions

This section covers the following topics:

- User Roles

- Actions

User Roles

This module is designed for users mapped to the roles of Issue Creator, Issue Owner or Action Creator, and Action Owner. Their roles and responsibilities, as they operate within the application, include the following:

- **Issue Creator:** This user is responsible for creating an issue and helping the organization in tracking the progress of an issue till its closure. This user can assign a created issue to an Issue Owner and reopen closed issues.

- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and reopen the completed actions.

    Note: Refer *User Roles and Actions*, for more information on user roles specific to Actions menu.

Actions

The User Roles described above can perform the following actions:

- **Creating Issue**: This action allows an Issue Creator to create a new issue identified by an organization.

- **Creating Action**: This action allows an Issue Owner to create new action plans or link existing action plans from the Issue Details page for resolving an issue.

- **Editing Issue**: This action allows an Issue Creator or Issue Owner to edit an issue from the Issue Details page in Draft and Open status respectively.

- **Deleting Issue**: This action allows an Issue Creator to delete an issue in Draft status if the Issue Creator believes that the particular issue is no longer required.

- **Closing Issue**: This action allows either an Issue Creator to close an issue when all the associated actions have been completed.

- **Reopening Issue**: This action allows an Issue Creator to reopen a closed issue.

- **Transferring Ownership**: This action allows an Issue Owner to transfer the ownership of an issue to an appropriate user.

- **Exporting Issue**: This action allows you to export the list of issues to an Excel format.

Issues Workflow

The following figure displays the complete workflow of the Issues module:
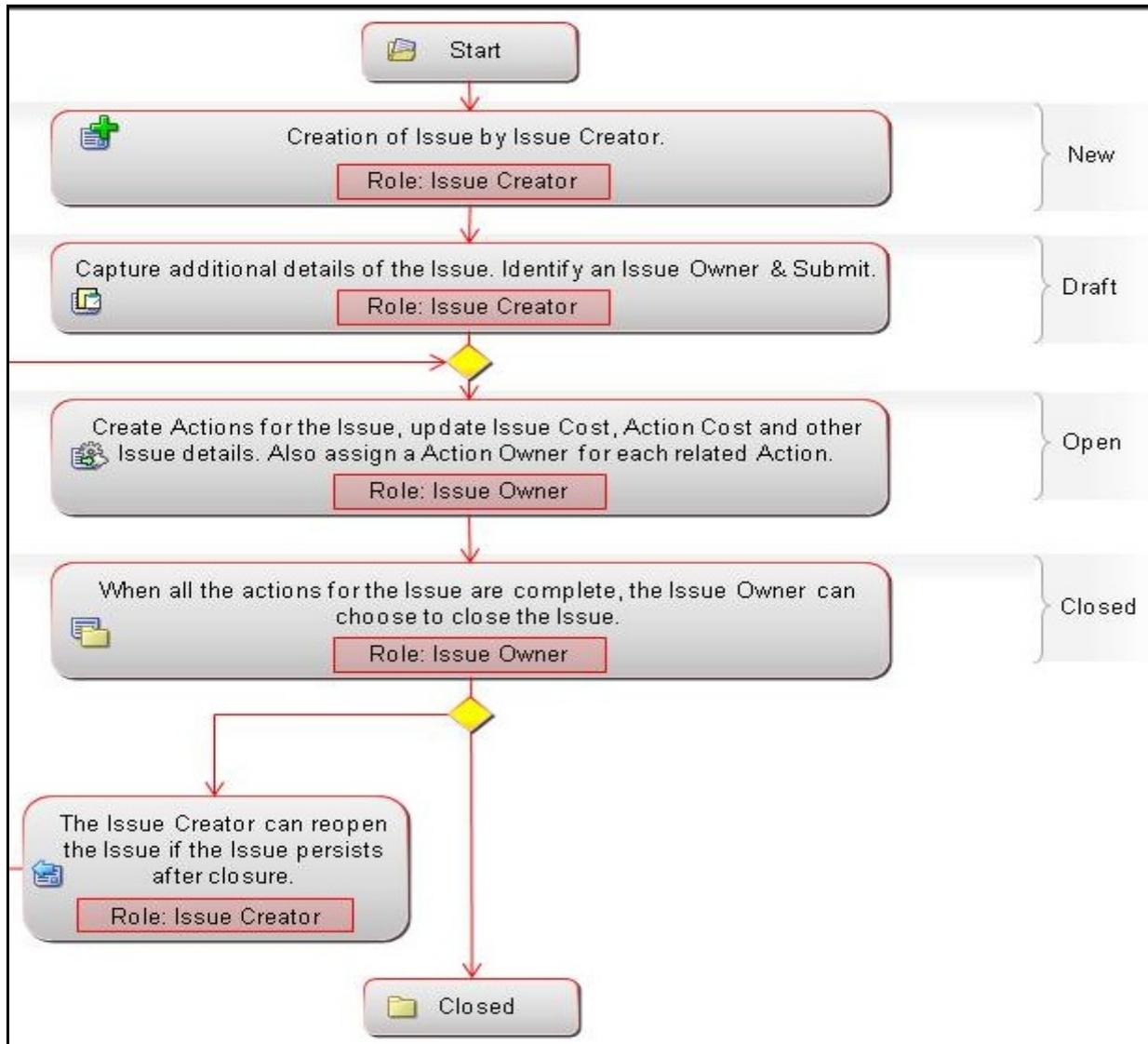
Figure 17. Issues Workflow

Tasks and Notifications in Issues

Tasks are actionable items assigned and sent to a user. By performing these tasks, you complete the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

The following table lists the tasks and notifications that each user role will receive in their Inbox menu on performing a particular action.

Table 35. Tasks and Notifications

Action Performed	Task/Notification	Task/Notification Description	Sent To	Status
Submitting an Issue	Task	A Task is sent to the Issue Owner selected in the Owner field.	Issue Owner	Open
Transferring the Ownership of an Issue	Task	A Task is sent to the new Issue Owner selected in the Transfer Ownership window.	Issue Owner	Open
Transferring the Ownership of an Issue	Notification	A Notification is sent to the Issue Creator who created the issue.	Issue Creator	Open
Closing an Issue.	Notification	A Notification is sent to the Issue Creator who created the issue.	Issue Creator	Closed
Reopening an Issue by Issue Creator.	Task	A Task is sent to the Issue Owner selected in the Owner field.	Issue Owner	Open
Submitting an Action by Issue Owner or Action Creator	Task	A Task is sent to the Action Owner selected in the Owner field.	Action Owner	Open

Accessing Issues Menu

Users mapped to the role of Issue Creator, Issue Owner, or Action Owner can access the Issues menu. The Issues and Actions module contains the following menus, Issues and Actions.

To access the Issues menu, follow these steps:

1. Login to OFSMRM application either as an Issue Creator, Issue Owner, or Action Owner user role.

2. Hover over the **Issues and Actions** menu, and then select **Issues**. The Issues Search and List page is displayed.

   Based on user roles, the Issues Search and List page enables you to set criteria to retrieve issues or actions respectively, the results of which display on the Issues List below the Search bar. The search can be performed either through pre-defined views or by simple search criteria.

Searching Issues

The Issues Search and List page enables you to filter the list of issues that you want to view and analyze. The Issues search bar supports two types of search-Search using Basic Search, and Search by Views.

The Issues List displays a list of issues that meet the criteria specified on the Issues Search bar. The search results are displayed using a default sort criteria of Last Modified Date.

This section explains the following topics:

- Searching Issues Using Basic Search

- Searching Issues Using Pre-defined Views

Note: The OFSMRM application supports saved search feature as mentioned.

- The List and Search section is filtered based on the search criteria entered and these criteria are retained when you refresh the page, unless you change the criteria.

- If you have filtered the list using the Advanced Search option, then the same filtered list is displayed when return back to the page. But the search section displays the Basic Search.

- When you navigate from one search type to another, you must click **Go** to filter the list based on the previously entered search criteria. For example: When you navigate from the Views search type to the Advanced Search type, you must click **Go** to filter the list based on the criteria entered in the Advanced Search.

- This feature is specific to the user logged on to the application.

Searching Issues Using Basic Search

This search is based on limited set of search criteria such as ID and Name, and helps to retrieve the relevant Issues details.

To search for Issues using Basic Search, follow these steps:

1. Navigate to the Issues Search and List page.

   Note: By default, the Issues Search and List page expands the Search option in the Issues search bar and displays all the available issues.
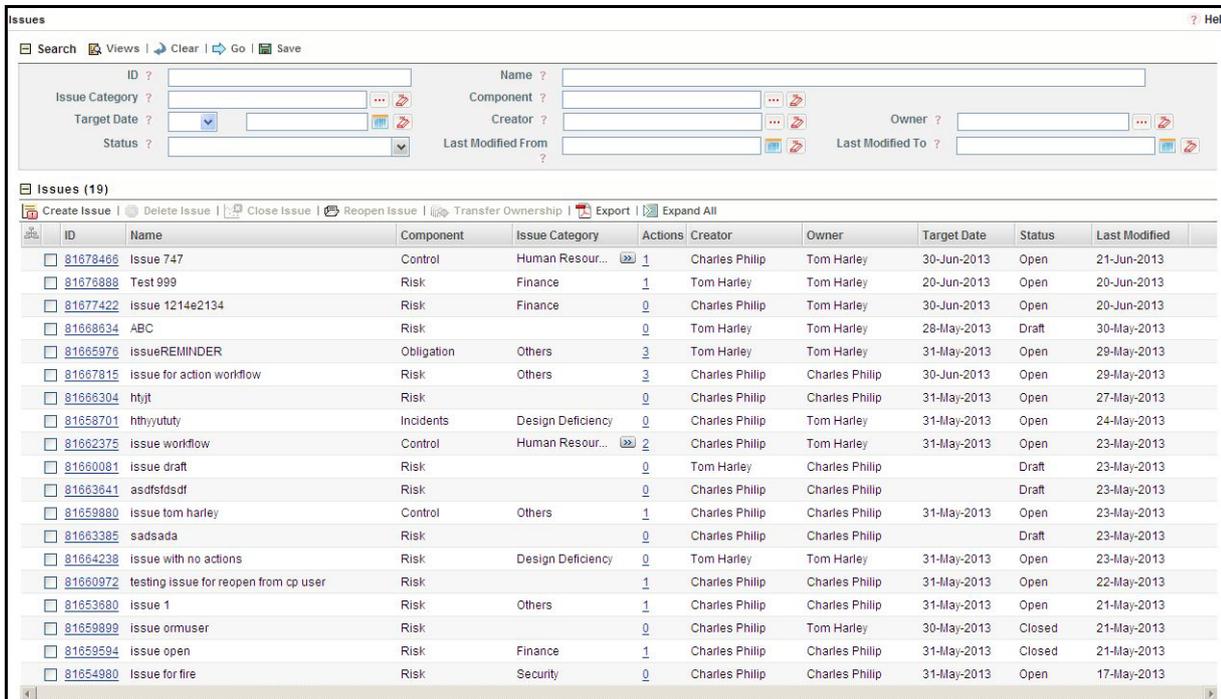
Figure 18. Searching Issues with Basic Search

2. Enter the following search criteria to filter the Issues list.

Table 36. Basic Search

Criteria	Description
ID	Enter the Issue ID in the text field to search for details of the exact issue. You can enter up to 20 digits in this field. If the issue is found, the Issues List displays the issue that exactly matches the ID you entered or the following warning message is displayed: *No Data Found for this Search Criteria*.
Name	Filters the Issues list by the name of the issues that matches the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Issue Category	Select an issue category from the hierarchy browser to display the list of issues pertaining to the selected issue type. For example, External, Design Deficiency, Human Resources and so on.
Component	Select a component from the hierarchy browser to display the list of issues created in the selected component. The values in the hierarchy browser window display based on the Issue Creation option selected in the *Application Preference* section in the Admin module. **Note:** When you choose to filter the list based on the Component, the Business Line and Location fields are displayed below the search bar for further filter criteria.
Criticality	Select an issue criticality from the hierarchy browser to display the list of issues with the selected criticality. The following options are listed in the *Hierarchy Browser* window: ● High ● Medium ● Low

Table 36. Basic Search (Continued)

Criteria	Description
Priority	Select an issue priority from the hierarchy browser to display the list of issues with the selected priority. The following options are listed in the *Hierarchy Browser* window: ● High ● Medium ● Low
Creator	Select an Issue Creator user from the *Hierarchy Browser* to display the list of issues created by the selected user. **Note:** The *Hierarchy Browser* window displays the list of users mapped to the role of Issue Creator.
Owner	Select an owner from the *Hierarchy Browser* to display the list of issues owned by the selected user. **Note:** The *Hierarchy Browser* window will display the list of users mapped to the role of Issue Owner.
Target Date	Select a target date from the calendar to display the list of issues whose target date matches the specified date. Select the required operator from the following drop-down list to filter the list of issues: ● < ● <= ● = ● > ● >=
Last Modified From	Select a date from the calendar to display the list of issues whose last modified date is greater than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates*.
Last Modified To	Select a date from the calendar to display the list of issues whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates*.
Status	Select the required status from the drop-down list to filter the list of issues by the status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● Closed

Note: The Business Line, Location, and Component fields are specific to the OFSMRM application. If the Issues and Actions module is used with other products, information specific to those applications have to be configured.

3. Click **Go**. The relevant search list is displayed.

   Note:

■ By default, the Issues List section displays only the issues that are manually created unless the option to view the *System Generated Issues* in the *Preferences* section under the Admin module is enabled.

■ Using the context menu option on a column name in the Issues List, you can click the Field Chooser option to choose additional fields to be displayed in the List section.

Searching Issues Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of issues based on pre-defined views. By default, the Issues List displays the summary of all the issues.

To search for issues using pre-defined views, follow these steps:

1. Navigate to the Issues Search and List page.

2. Click **Views**. The Views drop-down list is displayed.
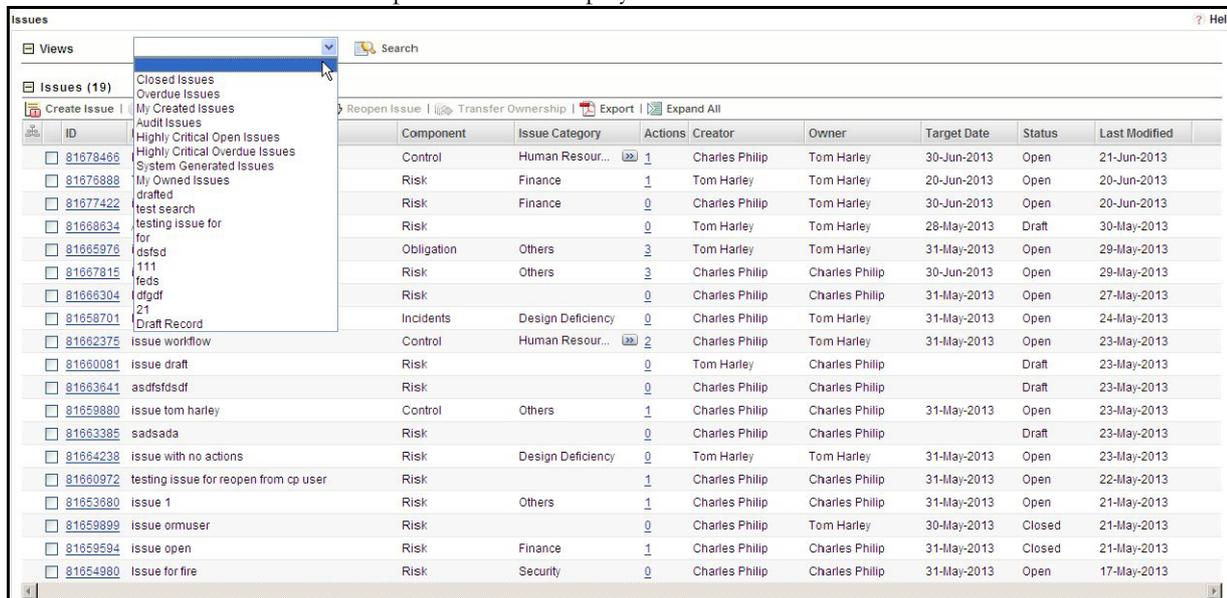
Figure 19. Searching Issues with Pre-defined Views

3. Select any of the pre-defined views from the **Views** drop-down list. The relevant search list page is displayed.

The following table explains the default types of pre-defined views available.

Table 37. Issues View Type

View Type	Description
Closed Issues	Select **Closed Issues** from the drop-down list to display the list of issues whose statuses are closed.
Overdue Issues	Select **Overdue Issues** from the drop-down list to display the list of issues in *Open* status with a target date less than the current date.
Highly Critical Open Issues	Select **Highly Critical Open Issues** from the drop-down list to display the list of issues which are in *Open* status and are categorized as *Highly Critical*.
Highly Critical Overdue Issues	Select **Highly Critical Overdue Issues** from the drop-down list to display the list of issues in *Open* status that are categorized as *Highly Critical* and their target date is less than the current date.

Table 37. Issues View Type

View Type	Description
Audit Issues	Select **Audit Issues** from the drop-down list to display the complete list of issues created from the **Audit** module. **Note:** This option is displayed only if you have the GCM application installed.
My Owned Issues	Select **My Owned Issues** from the drop-down list to display the list of issues owned by the logged in user with a status either in *Open* or *Closed*.
My Created Issues	Select **My Created Issues** from the drop-down list to display the list of issues created by the logged in user.
System Generated Issues	Select **System Generated Issues** from the drop-down list to display the list of issues generated by the system.

Creating Issues

When you identify a particular issue or a problem statement that poses as operational risk to an organization, you can create issues either from the Issues and Action module or from different modules in the application and subsequently create necessary action plans to resolve or address the identified issue.

Note: Only users mapped to the role of Issue Creator can create a new issue from the respective modules.

To manually create an issue from the Issues and Actions module, follow these steps:

1. When creating issues from the Issues and Actions module, navigate to the Issues Search and List page and click **Create Issue**. The Issues Definition page is displayed.

   Or:

   When creating issues from other modules in the OFSMRM application, navigate to the respective details page and click **Create Issue**. The Issues Definition page is displayed.
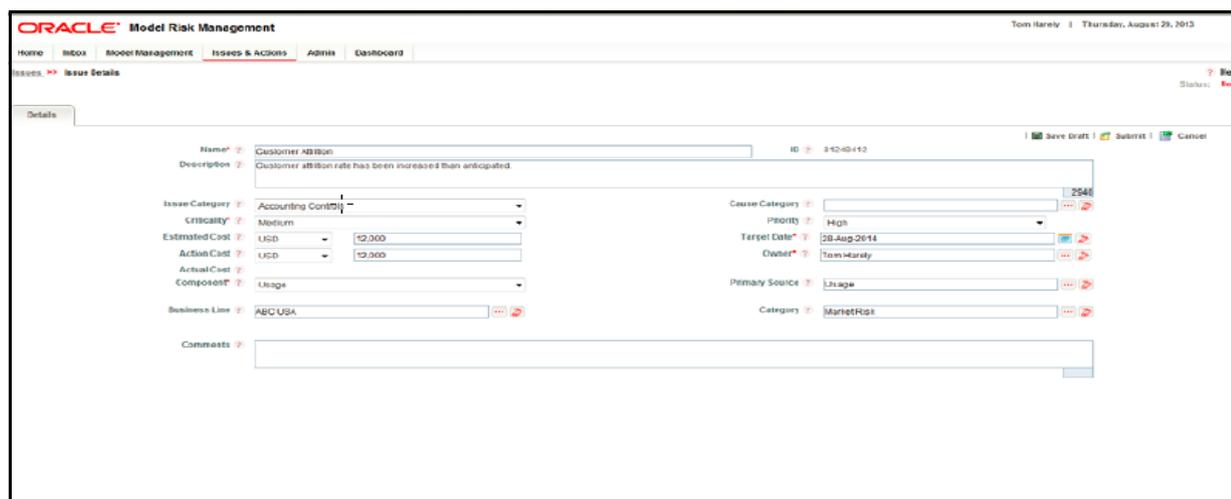
Figure 20. Issues Definition Page

2. Enter the following information in the Issues Definition page.

Table 38. Fields of Issues Definition Page

Field Name	Description
Name	Enter the name of the issue. This field allows you to enter a maximum of 300 characters. **Note:** if you try to save without entering the name of the issue, the application displays the following message: *Name is mandatory*.
ID	Displays the sequential tracking created for the issue. This field is not editable.
Description	Enter a brief description of the issue. The description field allows you to enter a maximum of 3000 characters. As you begin entering the description, the word count displayed below the description field decreases.
Issue Category	Select the classification of the Issue from the drop down list. The available values are: • External • Others • Design Deficiency • Human Resources • Finance • Administration • Security • Non Compliance • Accounting Control • Authorization • Data Privacy
Cause Category	Select a cause category from the hierarchy browser for the issue.
Criticality	Select the criticality from the drop down list. This determines the level of importance to be given towards the mitigation of this Issue. The available values are: • Low • Medium • High
Priority	Select the Priority from the drop down list. This determines the level of importance to be given towards the mitigation of this Issue. The available values are: • Low • Medium • High
Estimated Cost	Select the required base currency in which you want to calculate your estimated cost by clicking Browse button and selecting from the *Hierarchy Browser* window. Enter an estimated cost to be incurred for mitigating the Issue in the text field **Note:** By default, the Currency drop-down field is auto-populated with the base currency. You can also edit this field.
Target Date	Select a target date from the calendar to set a date by when you want to mitigate the issue.

Table 38. Fields of Issues Definition Page (Continued)

Field Name	Description
Action Cost	Select the required base currency in which you want to calculate your Action cost by clicking Browse button and selecting from the *Hierarchy Browser* window. Enter an Action cost to be incurred for mitigating the Issue in the text field. This field can be populated even after Action completion. **Note:** The amount entered in the actual cost field is converted into the currency in which the Issue is recorded. The currency exchange rate is calculated till the time the Action is in Draft and Closed statuses.
Owner	Select an issue owner from the *Hierarchy Browser* to whom you want to assign the issue for taking appropriate actions such as verifying the issue, creating action plans to mitigate the issue and so on. By default, this field will display the name of the logged in Issue Owner's name. You can also edit this field.
Actual Cost	Actual cost is the sum of all action costs created for the issue. This field is auto-populated and displays the actual cost of taking action plans to mitigate the issue. The actual cost will be converted into the currency in which the Issue is captured. **Note:** The currency exchange rate is calculated till the time the action is in *Draft*, *Open*, and *Completed* statuses.
Component	Select a component from the drop-down list for which you want to create the issue. When you select a component for the issue, additional fields related to the selected component are displayed to capture further information about the issue. The drop-down list displays the following options: ● Model ● Usage
Primary Source	Select a primary source from the *Hierarchy Browser*.
Business Line	Select a business line from the *Hierarchy Browser* to which the issue is related to.
Category	Select a category of risk from the *Hierarchy Browser* associated with the issue.
Comments	Enter any comments or additional information about the issue up to 3000 characters in this field.

Note: When you are creating issues from different modules, the following fields namely, Business Line, Location, Risk Inventory, Risk Category, Risk Event Type, Product, Process, and Legal Entity are auto-populated from the Primary Source for which the issue is being created. You can also edit all the fields.

3. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful.* Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Draft*.

Or:

Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. The following message is displayed: *Add Operation Successful.* Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Open*.

A new issue is created.

Submitting Issues in Draft Status

Once an Issue Creator manually creates an issue, the status of the issue changes to Draft status. An issue in Draft status can be submitted to an issue owner for taking further actions such as verifying the issue, creating action plans for addressing the identified issues, and so on.

To submit the issues in Draft status, follow these steps:

1. Navigate to the Issues Search and List page.

2. Click the required Issue ID in Draft status.

   The Issues Details page is displayed.
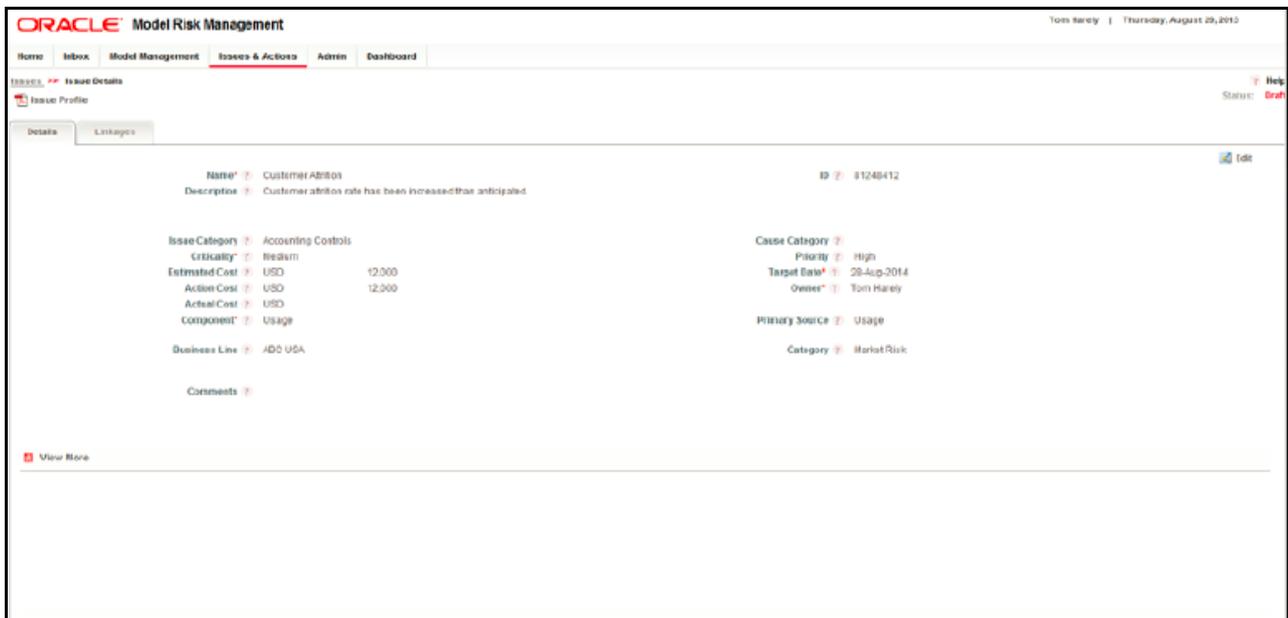
Figure 21. Issues Details Page

When an issue is in Draft status, you can perform the following actions:

- Editing an Issue

- Attaching and Deleting Documents

- Submitting Issues in Draft Status

- Viewing linked entities details

- Viewing Issues Profile Report

- Viewing Workflow History

For detailed information about these actions, refer to *Managing Issue Details*.

3. Click **Edit**. The Details tab becomes editable and displays the **Update** and **Submit** buttons.

4. Click **Submit**. The following message is displayed: *Update Operation Successful*.

5. Click **OK**. You are navigated to the Issue Details page, the status of the issue changes to Open and a task is sent to the Issue Owner user to take further actions.

   The Issue Owner can perform the following actions when the issue is in Open status:

- Editing Issue Details

- Creating Actions

- Linking Actions

- Linking and Delinking Entities

■ Viewing linked Entities Details

■ Viewing Issue Profile Report

■ Viewing Workflow History

■ Closing an Issue

For detailed information about these actions, refer to *Managing Issue Details*.

Managing Issue Details

The Issues Details page allows you to manage additional tasks and functionalities pertaining to the Issues.

This section covers the following topics:

● Editing an Issue

● Editing an Issue in Open Status

● Managing Details

● Managing Linkages

Editing an Issue

When you want to update or modify the issue details, you can edit an issue from the Issue Details page.

Users mapped to the role of Issue Creator can view the details of all the issues in the Issues Search and List page, but can edit only the issues that they created. An Issue Owner can edit an issue in Open status whereas an Issue Creator can edit only in Draft status.

This section includes the following two topics:

● Editing an Issue in Draft Status

● Editing an Issue in Open Status

Editing an Issue in Draft Status

To edit an issue in Draft status, follow these steps:

1. Navigate to the Issues Details page.

2. From the Details tab, click **Edit**. The Issues Definition page is displayed.

3. Modify the necessary issue details. For more information on Issue fields, refer *Table 38*.

4. Click **Update** to save the information entered in the Definition page. The following message is displayed: *Update Operation Successful.* Click **OK**. You are navigated to the Issues Details page and the status of the issue remains in *Draft*.

   Or:

   Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. The following message is displayed: *Update Operation Successful.* Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Open*.

Editing an Issue in Open Status

To edit an issue in Open status, follow these steps:

1. Navigate to the Issues Details page.

2. From the Details tab, click **Edit**. The Issues Definition page is displayed.

3. Modify the necessary issue details. For more information on Issue fields, refer *Table 38*.

   Note: You can edit only the following details when the issue is in Open status:

   ■ Name

   ■ Description

   ■ Issue Category

   ■ Cause Category

   ■ Criticality

   ■ Priority

   ■ Estimated Cost

   ■ Action Cost

   ■ Comment

   You can also link and delink records of various entities to an issue, attach and delete documents, and view workflow history.

4. Click **Submit**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The updated Issue Details page is displayed.

Managing Details

This section covers the following topics:

- Attaching and Deleting Documents
- Viewing Workflow History

Attaching and Deleting Documents

The Issue Details page allows you to attach or delete documents related to an issue. For more details on how to attach and delete documents, refer to *Chapter 3: General Features, Managing Documents* section.

Viewing Workflow History

The Issue Details page records the audit trail of all the changes made to the issue in the Workflow History section. Users mapped to the role of Issue Creator, Issue Owner, or Action Creator can view the Workflow History.

To view the workflow history, follow these steps:

1. Navigate to the Issue Details page of an Issue in any status.

2. Expand the **View More** section to display the Actions, Document and Workflow History sections.

3. Expand the Workflow History section.

The Workflow History section displays the following columns:

Table 39. Columns in Workflow History section

Column Name	Description
Last Modified On	Displays the date of last modification of the issue.
Last Modified By	Displays the name of the user who modified it.
Status	Displays the status in which the issue was modified.
Action Comments	Displays the comments entered while performing the action.

For more details on how to view the difference in workflow history, refer to Viewing Workflow History *section*.

Managing Linkages

When an issue is in Open status, an Issue Owner can link and delink records of entities to the respective section such as Model, Usage, Assessment, and so on from the Linkages tab.

Note: You cannot perform link or delink action when the status of an issues is in *Closed*.

This section includes the following topics:

- Linking an Entity Record to an Issue

- Delinking an Entity Record to an Issue

Linking an Entity Record to an Issue

To link an entity record such as risks, controls, incidents and so on to an issue, follow these steps:

1. Login to the application as an Issue Owner.

2. Navigate to the Issue Details page of an issue in *Open* status.

3. Click **Linkages** tab. The list of entities are displayed.

4. Click **Link** on the required entity. A window with a search bar and a list of pre-filtered records are displayed in various statuses.

5. Search for the required entity record using the Search bar and then select the entity record from the List section.

   Or

   Select the required entity record from the List section that already displays the pre-filtered list of entity records through a default search criteria.

6. Click **Link**. The following message is displayed: *Records Linked Successfully.*

7. Click **OK**.

8. Click **Back** to navigate back to the Linkages tab.

   The linked entity records are displayed in the respective entities section. You can click on the ID of the linked record to navigate to the respective entity details page.

Note:

- The linked records will reflect the updated statuses in their respective sections if any changes are made to the record in their respective modules.

● Once you link records to the entities, they can be delinked from the respective sections.

Delinking an Entity Record to an Issue

To delink entity records such as risks, controls, incidents and so on from an issue, follow these steps:

1. Login to the application as an Issue Owner.

2. Navigate to the Issue Details page of an issue in *Open* status.

3. Click **Linkages** tab. The list of entities are displayed.

4. Expand the required section where you want to delink a record.

5. Select the record(s) using the checkbox and click **Delink**. The following message is displayed: *Are you sure you want to delink the records?*

6. Click OK. The following message is displayed: *De-link Operation Successful.*

7. Click **OK**.

   The record is delinked from the respective entity section.

Note: You cannot delink a primary source record from the entities section. If you try to delete a primary source record, the following message is displayed: *The selected record cannot be delinked as it is a primary source record for the issue.*

Transferring Ownership of an Issue

When the owner of an issue has changed for reasons such as the Issue Owner user has quit the organization or moved to a different role and so on, an Issue Owner user can transfer the ownership of the issue to an appropriate user by using the Transfer Ownership option in the Issue Details Page or from the Issues Search and List page

To transfer the ownership of an issue, follow these steps:

1. Navigate to the Issues Search and List page. Select an issue in Open status, and click **Transfer Ownership**. The Ownership Transfer window is displayed.

   Or:

   From the Issues Details page of an issue in Open status, click **Transfer Ownership**. The Ownership Transfer window is displayed.

Figure 22. Transfer Ownership Window

2. Select a new owner from the hierarchy browser window.

3. Enter any comments in the **Comments** fields.

4. Click **Submit**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**.

6. Click **Back**.

   You are navigated to either the updated Issues and Search List page or the Issues Details page from where the transfer of ownership action is performed.

Closing an Issue

You can close an issue when you have completed all the actions created for an issue or you believe that the identified issue is no longer relevant.

Note: When you want to close an issue, the status of all the associated actions must be in Completed status. If you try to close an issue without completing all the actions associated with it, the following message is displayed: *Please close all actions associated with the Issue.*

To close an Issue, follow these steps:

1. Navigate to the Issues Search and List page. Select an issue in Open status, and click **Close**. The Issue Details window is displayed.

   Or:

   From Issues Details page of an issue in Open status, click **Close**. The Issue Details window is displayed.

Figure 23. Closing an Issue

2. Enter the reason for the closure of the issue.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

4. Click **OK**.

5. Click **Back**.

   You are navigated to either the updated Issues and Search List page or Issues Details page from where the closure action is performed. The status of the issue changes to *Closed.*

Reopening Closed Issues

An Issue Creator user can reopen a closed issue if the user believes that if there is a need to re-examine the issue or the issue that was closed is still existing in the organization, or the actions plans initiated to mitigate the issue were not satisfactory.

Note: Only users mapped the role of Issue Creator can reopen the closed issues.

To reopen a closed issue, follow these steps:

1. Navigate to the Issues Search and List page. Select an issue in Closed status, and click **Reopen**. The Issue Details window is displayed.

   Or:

From the Issues Details page of an issue in Closed status, click **Reopen**. The Issue Details window is displayed.

2. Enter comments in the **Comments** field.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

4. Click **OK**. You are navigated back to the Issue Details window.

5. Click **Back**.

   You are navigated to either the updated Issues and Search List page or Issues Details page from where the reopening actions is performed. The status of the issue changes to *Open*.

Deleting an Issue

Users mapped to the role of Issue Creator can delete issues in Draft status if they are not applicable to the business or an organization.

Note: You can delete an issue only when it is in Draft status.

To delete an issue, follow these steps:

1. Navigate to the Issues Search and List page.

2. Select an issue in Draft status.

3. Click **Delete**. The Confirmation window is displayed:

4. Click **OK**. The following window is displayed: *Delete Operation Successful.*

5. Click **OK**. The selected issue is deleted.

   You are navigated to the updated Issues Search and List page.

Exporting List of Issues to Excel

You can export the list of issues displayed in the Issues Search and List page to an Excel format.

Note: You cannot export individual issues to Excel.

To export the Issue list to Excel, follow these steps:

1. Navigate to the Issues Search and List page.

2. Click **Export**. The Export Properties dialog box is displayed.

3. Set the Document Type as **Excel** and select the Form Data/Section Data as **Section** Data.

4. Click **Export** in the Export Properties dialog box.

   When processing is complete, the data is displayed in a new browser window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a location where you want to save the file.

7. Enter a new name in the File Name field or the application automatically generates a name for the file.

8. Click **Save**. The application saves your file to the specified location.

   All the issues in the Issues Search and List page are exported into an Excel spreadsheet.

Viewing Issues Profile Report

When you want to download the details of an issue or you want to send the **Issues Profile Report** by email, you can use the Issue Profile option from the Issue Details page.

To view the issue details in a PDF, follow these steps:

1. Navigate to the Issue Details page.

2. Click **Profile**. A File Download Box is displayed.
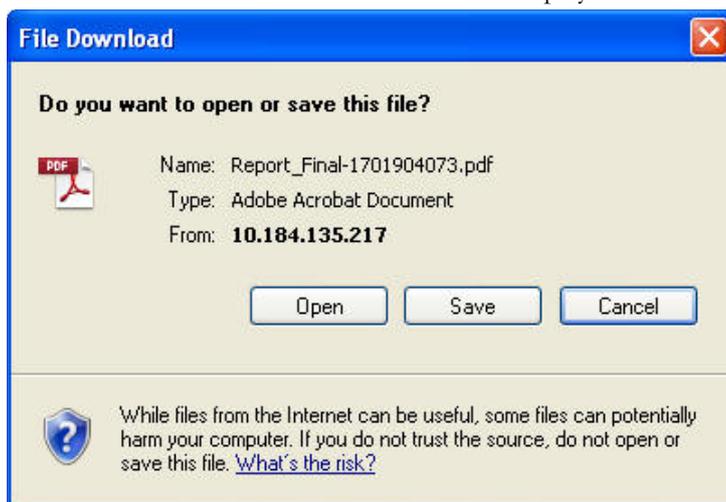
Figure 24. File Download Window

3. Click **Open** to view the Issues Profile Report.

Figure 25. Issues Profile Report

Creating Actions from Issues

When an organization wants to record recommended action plans to address a particular issue that has occurred, they can create action plans.

Users mapped to the role of Issue Owner or Action Creator can create action plans or new actions for an issue.

To create action plans for a an issue, follow these steps:

1. From the Open Tasks tab in the Inbox menu, click a Task ID in Open status. You are navigated to the Issues Details page.

   Or:

   Navigate to the Issues Search and List page and click the required Issue ID in Open status on which you want to create actions. You are navigated to the Issues Details page.

2. Expand **View More** from the Details tab. The Actions, Document and Workflow History sections are displayed.

3. Click **Create Action** from the Actions section. The Actions Definition page is displayed.

Figure 26. Actions Definition Page

4. Enter the following information in the Actions Definition page.

Table 40. Fields of Actions Definition Page

Field Name	Description
Name	Enter the name of the action. This field allows you to enter a maximum of 300 characters. **Note:** if you try to save without entering the name of the action, the application displays the following message: *Name is mandatory.*
ID	Displays the sequential tracking number created for the action. This field is not editable.

Table 40. Fields of Actions Definition Page (Continued)

Field Name	Description
Description	Enter a brief description of the action. The Description field allows you to enter a maximum of 3000 characters. As you begin entering the description, the word count displayed below the description field keeps decreasing. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*.
Criticality	Select a criticality level from the drop-down list specifying how critical the action is to the organization. The available options are: ● Very High ● High ● Medium ● Low ● Very Low
Owner	Select an issue owner from the hierarchy browser to whom you want to assign the action for taking appropriate actions such as tracking activities, linking and delinking stakeholders, attaching documents, updating the action progress percentage and so on. **Note:** The hierarchy browser window will display list of users who are mapped to the role of Action Owner for that BU.
Start Date	Select a date from the Calendar icon to specify the start date of the action. **Note:** By default, this field will auto populate the current date.
Completion Date	Select a date from the Calendar icon to specify the action completion date.
Reminder (in days)	Enter the number of days before which the Action Owner needs to be reminded about the completion of the action.
Progress	This field displays the approximate measure of completion of Actions. This field is not editable
Estimated Cost	Enter an estimated cost to be incurred for mitigating the action plan. From the drop-down list, select the required currency in which you want to calculate your estimated cost.
Actual Cost	This field automatically displays the actual cost of mitigating the action. The actual cost will be converted into the currency in which the action is captured. **Note:** By default, this field is disabled when the action is created.
Component	Select a component from the drop-down list for which you want to create the action. The available options are: ● Model ● Usage
Primary Source	Select a primary source from the Hierarchy Browser button.
Business Line	Select a business line from the Hierarchy Browser to which the action is related.
Category	Select a risk category from the Hierarchy Browser associated with the action.
Comments	Enter any comments or additional information about the action up to 3000 characters.

5. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Actions Details page and the status of the issue changes to *Draft*.

   Or:

   Click **Submit** to save the entered information and submit the action to the Action Owner for taking further actions. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Actions Details page and the status of the action changes to *Open*.

A new action is created and a task is sent to the owner of the action for taking further actions.

Note: You can also use the **Link** option to link the various actions that are applicable to the current issue.

Managing Actions

Issues are problem statements. Actions are plans or activities taken to resolve the Issues. Users mapped to the role of Issue Owner/Action Owner can access Actions section. Issues and Actions module is useful for an organization when it requires to record a particular problem that has occurred and recommend steps that must be taken to resolve the problem.

Actions menu under Issues & Actions module navigates you to the Actions list. Action Owner has access to the Action List screen. The list displays only those Actions which are owned by the logged in user. An Analyst has access to all the Actions in the Action List screen.

This section covers the following topics

- Creating Actions

- User Roles and Actions

- Actions Workflow

- Tasks and Notifications in Actions

- Accessing Actions Menu

- Searching Actions

- Completing the Progress of Actions

- Managing Actions Details

Creating Actions

The OFSMRM application provides organizations the ability to directly create action plans for various modules without creating issues.

When you directly create actions from different modules such as Model, Usage and so on, the application automatically creates an issue for that particular source and internally maps the created actions to the auto-created issue.

Note:

- The Issues Search and List page lists the issues created by the users whereas all the system generated issues can be viewed through pre-defined views.

- When the Issue Creation option for creating issues in the Admin module is set to *Yes*, the Create Issue button will replaced with the Create Action button in the respective Details page under the navigation bar. Additionally, the Issues and Actions menu in the application will change to Actions in the Details page of various modules in the application.

User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

User Roles

This module is designed for users mapped to the roles of Issue Owner or Action Creator, and Action Owner. Their roles and responsibilities, as they operate within the application, include the following:

- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions.

- **Action Owner:** This user is responsible for assessing the actions created by the Issue Owner, implementing action plans pertaining to an issue and tracking them to completion. This user can update the percentage completion of actions, activities performed and cost incurred in carrying out the actions.

Actions

The User Roles described above can perform the following actions:

- **Editing Action**: This action allows an Action Owner user to edit an action from the Action Details page.

- **Deleting Action**: This action allows an Issue Owner or Action Creator user to delete an action in Draft status when an Issue Owner or Action Creator believes that the action is no longer required.

- **Closing Action**: This action allows an Action Creator or Issue Owner user to close an issue when associated actions have been completed.

- **Reopening Action**: This action allows an Issue Owner or an Action Creator to reopen closed actions.

- **Transferring Ownership**: This action allows an Action Owner to transfer the ownership of an action to an appropriate user.

- **Exporting Action**: This action allows all user roles to export the list of actions to a Microsoft Excel spreadsheet.

Actions Workflow

The following figure depicts the complete workflow of the Actions module:
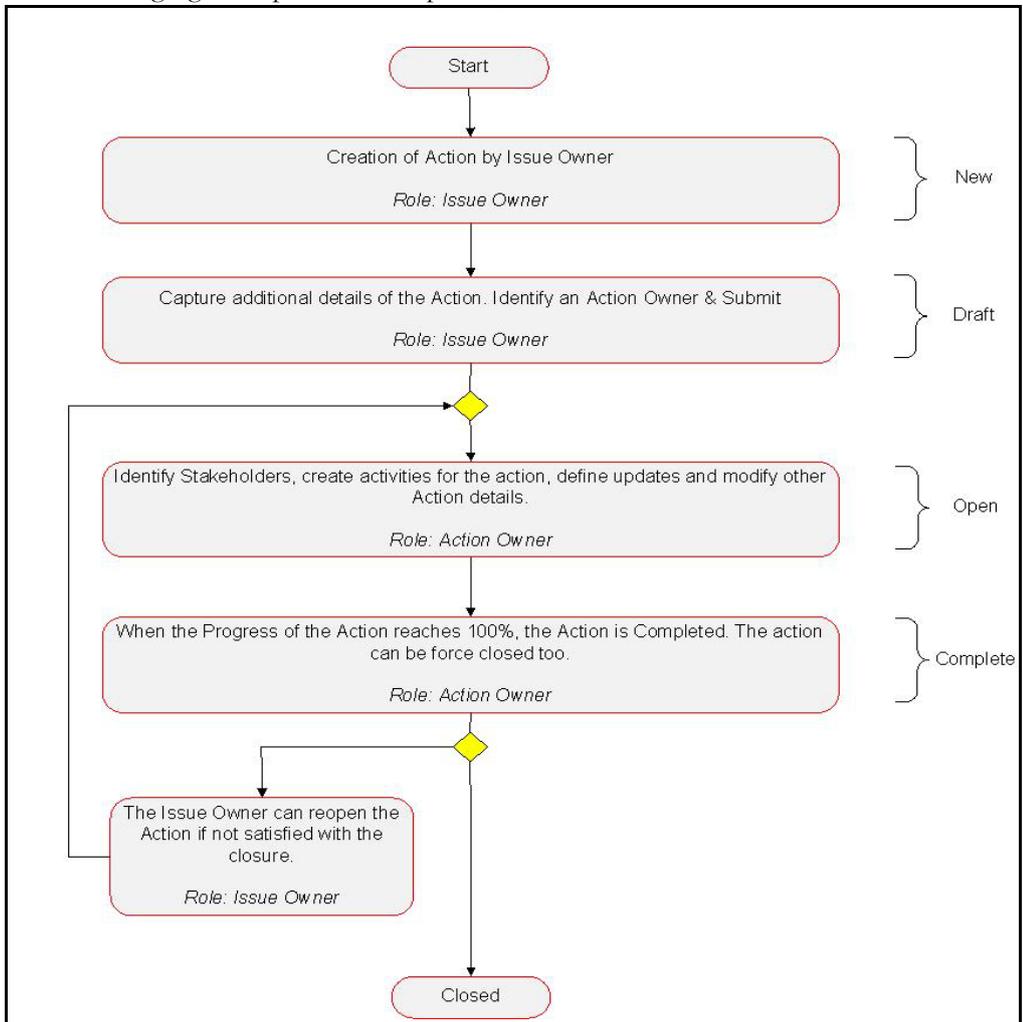
Figure 27. Workflow of Actions Menu

Tasks and Notifications in Actions

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

The following table lists the tasks and notifications that each user will receive in their Inbox menu on performing a particular action.

Table 41. Tasks and Notifications in Actions Menu

Action Performed	Task/Notification	Task/Notification	Sent To	Action Status
Submitting an Action by Issue Owner or Action Creator	Task	A Task is sent to the Action Owner selected in the Owner field.	Action Owner	Open
Submitting an Action by Action Owner	Notification	A Notification is sent to the Issue Creator of the Issues mapped to the action.	Issue Creator	Open
Transferring the Ownership	Task	A Task is sent to the new action owner selected in the Transfer Ownership window.	Action Owner	Open
Transferring Ownership	Notification	A Notification is sent to the Issue Owner who created the Action and all the stakeholders captured in stake holders tab.	Issue Owner and Stake holders	Open
Completing the Progress of an Action to 100%	Notification	A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab.	Issue Owner and Stake Holders	Closed
Force closing an Action	Notification	A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab.	Issue Owner and Stake holders	Open

Accessing Actions Menu

The Oracle Financial Services Model Risk Management Home page allows you to access the Actions sub-module. The Issues and Actions module in the masthead area consists of two sub-modules namely, Issues and Actions.

To access the Actions sub-module, follow these steps:

1. Login to the OFSMRM application either as an Issue Owner or Action Creator.

   The Inbox page is displayed by default.

2. Hover over the **Issues and Actions** menu, and then select **Actions**. The Actions Search and List page is displayed.

The Actions Search and List page enables you to filter the actions, the results of which display on the Actions List below the Search bar. The search can be performed either through pre-defined views or by search criteria.

Searching Actions

The Actions Search and List page enables you to filter the list of actions that you want to view and analyze. The Actions Search bar supports two types of search-Search using Basic Search, and Search by Views.

The Actions List displays a list of actions that meet the criteria specified on the Issues Search bar. Clicking the Actions ID link in any status from the List page displays the Actions Details page. The search results are displayed using a default sort criteria of Last Modified Date.

This section explains the following topics:

- Searching Actions Using Basic Search
- Searching Actions Using Pre-defined Views

Note: The OFSMRM application supports saved search feature as mentioned.

- The List and Search section is filtered based on the search criteria entered and these criteria are retained when you refresh the page, unless you change the criteria.

- If you have filtered the list using the Advanced Search option, then the same filtered list is displayed when return back to the page. But the search section displays the Basic Search.

- When you navigate from one search type to another, you must click **Go** to filter the list based on the previously entered search criteria. For example: When you navigate from the Views search type to the Advanced Search type, you must click **Go** to filter the list based on the criteria entered in the Advanced Search.

- This feature is specific to the user logged on to the application.

Searching Actions Using Basic Search

This search is based on limited set of search criteria such as ID and Name, and helps to retrieve the relevant Action details.

To search for actions using Basic Search, follow these steps:

1. Navigate to the Actions Search and List page.

   Note: By default, the Actions Search and List page expands the Search option in the Actions Search bar and displays all the available actions in the Actions List.
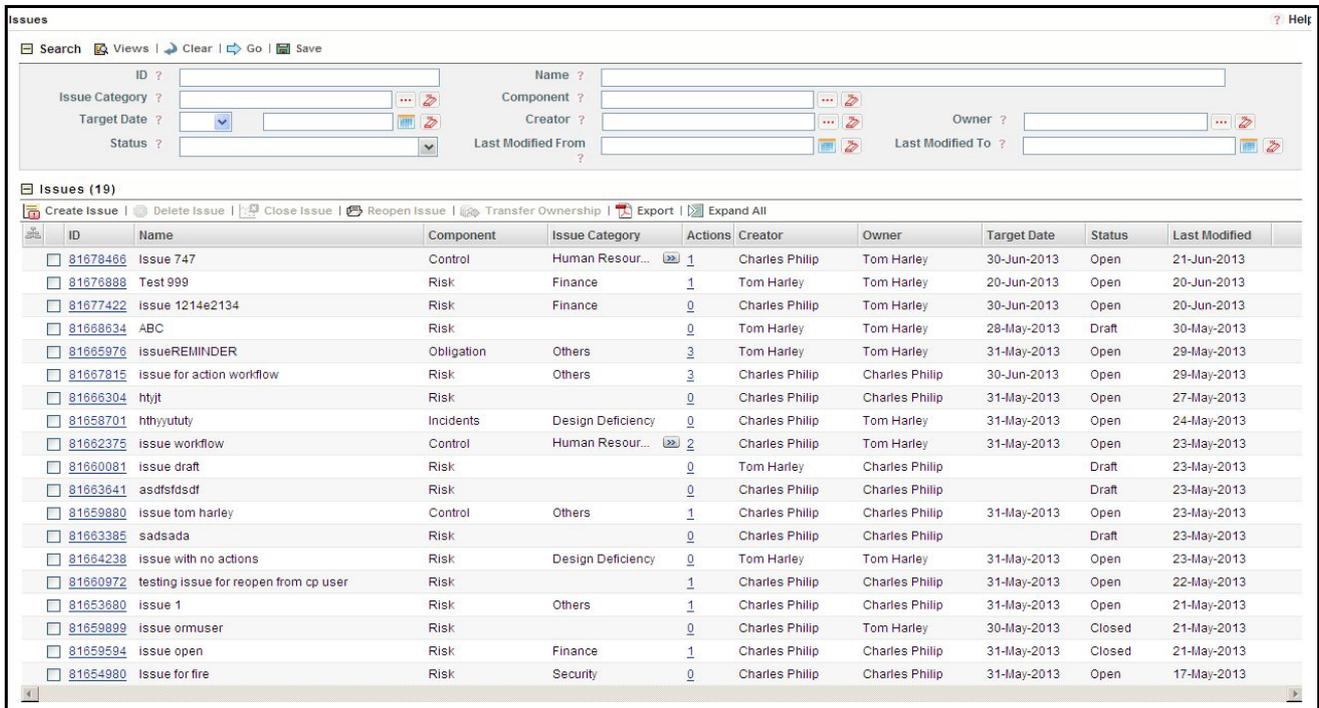
Figure 28. Searching Actions with Basic Search

2. Enter the following Basic Search criteria to filter the Actions list.

Table 42. Basic Search Bar

Criteria	Description
ID	Enter the Action ID in the text field to search for action details of the entered Action ID. You can enter up to 30 characters in this field.
	If the action is found, the Actions List page displays the action that exactly matches the ID you entered or the following warning message is displayed: *No Data Found for this Search Criteria.*
Name	Filters the Actions list by the name of the action entered in the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Criticality	Select the criticality of action from the hierarchy browser to display the list of actions with the selected criticality.
	For example, High, Medium, and Low
Component	Select a Component from the Hierarchy Browser to display the list of actions created for the selected component.
Owner	Select an owner from the Hierarchy Browser to display the list of actions for which the selected user is the action owner.
Progress From	Enter the percentage of progress to filter list of actions whose percentage completion is more than or equal to the entered value.
Progress To	Enter the percentage of progress to filter list of actions whose percentage completion is less than or equal to the entered value.

Table 42. Basic Search Bar (Continued)

Criteria	Description
Target Date	Select a target date from the calendar to display the list of actions whose target date matches the specified date. Select the required equality operator from the following drop-down list: ● < ● <= ● = ● > ● >=
Status	Select any status from the multi-select list to filter the list of actions by the current status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● Closed
Last Modified Date From	Select a date from the calendar to display the list of actions whose last modified date is greater than or equal to the specified date.
Last Modified Date To	Select a date from the calendar to display the list of actions whose last modified date is lesser than or equal to the specified date.

3. Click **Go**. The relevant search list is displayed.

   Note: If you want to view additional values about the action, you can use the **Field Chooser** option to choose the fields to be displayed in the Actions List. Right-click on any column heading to view the context menu options.

Searching Actions Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of actions based on the pre-defined views. By default, the Actions List displays the summary of all the actions.

To search for actions using the pre-defined views, follow these steps:

1. Navigate to the Actions Search and List page.

2. Click **Views**. The Views drop-down list is displayed.

Figure 29. Searching Actions with Pre-defined Views

3. Select following pre-defined views from the **Views** drop-down list. The relevant search list page is displayed.

Table 43. Issues View Type

View Type	Description
Completed Actions	Select Completed Actions from the drop-down list to display the list of actions in *Completed* status.
Overdue Actions	Select Overdue Actions from the drop-down list to display the list of actions in Open status with target date less than the current date.
Highly Critical Open Actions	Select Highly Critical Open Actions from the drop-down list to display the list of actions which are in Open status and are categorized as highly critical.
Highly Critical Overdue Actions	Select Highly Critical Overdue Actions from the drop-down list to display the list of actions in Open status that are categorized as highly critical and target date as less than the current date.

Note: The application provides a **Save Search** option in the Search and Views section that allows you to save your search criteria. For more information on Saving a Search, refer *Chapter 3: General Features, Saving a Search* section.

Completing the Progress of Actions

Once an Issue Owner or an Action Creator user creates an action plan for addressing an issue, the Action Owner can perform appropriate actions such as tracking activities, linking and delinking stakeholders, updating actions, and attaching documents. Once you complete all the actions plans for an issue, you can manually update the progress as 100 percent. For detailed information, refer to *Managing Issue Details*.

Once the progress of an action plan reaches 100 percent complete, the status of the plan changes to Completed. When all the action plans associated with an issue are completed, the Issue Creator can and close the issue.

Managing Actions Details

The Actions Details page allows you to manage additional tasks and functionalities pertaining to the Actions.

This section discuses the following topics:

- Editing Action Details
- Managing Details
- Transferring Ownership of an Action
- Force-Closing an Action
- Reopening Completed Actions
- Deleting an Action in Draft Status
- Exporting List of Actions to Excel
- Viewing Actions Profile Report

Editing Action Details

When you want to update or modify action plans associated with issues, you can edit an action from the Action Details page. Users mapped to the role of Action Owner can edit an issue in Open status whereas an Action Creator user can edit only in Draft status.

To edit an action in Open status, follow these steps:

1. Navigate to the Action Details page.

2. From the Details tab, click **Edit**. The Action Definition page is displayed.

3. Modify the necessary action details.

   You can also perform actions such as adding an activity, adding stakeholders, and adding action updates and viewing the workflow. For more information, refer to *Managing Details*.

4. Click **Submit**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The updated Action Details page is displayed.

Managing Details

The Details page allows you to manage additional tasks and functionalities pertaining to the Actions.

This section discuses the following topics:

- Adding Activities to an Action

- Linking Stakeholders to an Action

- Adding Stakeholders to an Action

- Sending Email to Stakeholders

- Adding Action Updates

- Attaching and Deleting Documents

- Viewing Workflow History

Adding Activities to an Action

To add an activity to an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.

2. Expand **View More** to display the list of sections.

3. Click **Add Activity** from the Activity section.

   An activity row is added.

4. Click the check box for the row to make the Activity editable.

5. Enter the name, progress, start date, end date of the activity. and any comments.

6. Click **Save**. The following message is displayed: *Update Operation Successful.*

7. Click **OK**. A new activity is added in the activities section.

   Note: To delete an activity, select the row and click **Delete Activities**.

Linking Stakeholders to an Action

To link a stakeholder to an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.

2. Expand **View More** to display the list of sections.

3. Click **Link Stakeholders** from the Stakeholders section.

   A window is displayed with a search bar and a list of stakeholders based on a pre-defined search criteria. You can also perform a search to filter the required stakeholders.

4. Select the required stakeholders from the list using the check box.

5. Click **Link**. The following message is displayed: *Records Linked Successful.*

6. Click **OK**. You are navigated to the Link Stakeholders window.

7. Click **Back**. You are navigated to the Action Details page.

   Note: To delink a stakeholder, select the row and click **Delink Stakeholders**.

Adding Stakeholders to an Action

To add stakeholders to an action, follow these steps:

1. Navigate to the Action Details page of an action in *Open* status.

2. Expand **View More** to display the list of sections.

3. Click **Add Stakeholders** from the Stakeholders section.

   A stakeholder row is added.

4. Click the check box for the row to make the stakeholder row editable

5. Enter the User Name, Designation, and Email ID of the stakeholders.

6. Click **Save**. The following message is displayed: *Update Operation Successful.*

7. Click **OK**. A new stakeholder is added in the Stakeholders section.

   Note: To delete a stakeholder, select against each row and click **Delete Stakeholders**.

Sending Email to Stakeholders

To send an email to stakeholders associated with an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.

2. Expand **View More** to display the list of sections.

3. Click **Send Mail** from the Stakeholders section. A Mail Details window is displayed.

Figure 30. Sending Email to Stakeholders

4. Enter the recipient's email address in the **To** field.

5. Enter the subject of the email.

6. Enter the message you want to include in the **Mail Body** field.

7. Click **Send**. The following message is displayed: *Mail Successfully Sent*.

8. Click **OK**. You are navigated to the Mail Details window.

9. Click **Back**. You are navigated to the Action Details page.

Adding Action Updates

To add an update to an Action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.

2. Expand **View More** to display the list of sections.

3. Click **Add Action Updates** from Activity section.

   An Action Update row is added.

4. Click the check box for the row to make the action update editable.

5. Enter comments.

6. Click **Save Action Updates**. The following message is displayed: *Update Operation Successful*.

7. Click **OK**. A new update action is added in the Action Updates section.

Note: To delete an action update, select against each row and click **Delete Action Updates**.

Attaching and Deleting Documents

The Action Details page allows you to attach or delete documents related to an action. For more details on how to attach and delete documents, refer to *Managing Documents section*.

Viewing Workflow History

The Action Details page records the audit trail of all the changes made to an action in the Workflow History section. Users mapped to the role of Issue Creator, Issue Owner, or Action Creator can view the Workflow History.

To view Workflow History, follow these steps:

1. Navigate to the Action Details page of an action in any status.

2. Expand **View More** to display the Activities, Stakeholder, Action Updates, Document and Workflow History sections.

3. Expand the Workflow History section.

   The Workflow History section displays the following columns:

Table 44. Columns in Workflow History section

| Column Name	Description
Last Modified On	Displays the date of last modification of the action.
Last Modified By	Displays the name of the user who modified it.
Status	Displays the current status of the action.
Action Comments	Displays the comments entered while performing the action.

Transferring Ownership of an Action

To transfer the ownership of an Action, follow these steps:

1. From the Action Search and List page, select an action in Open status, and click **Transfer Ownership**. The Ownership Transfer window is displayed.

   Or:

   From the Action Details page of an action in Open status, click **Transfer Ownership**. The Ownership Transfer window is displayed.
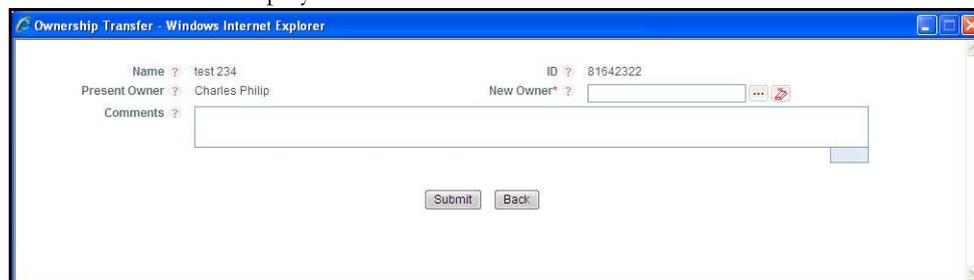
Figure 31. Transfer the Ownership

2. Select a new owner from the hierarchy browser window.

3. Enter any comments in the Comments fields.

4. Click **Submit**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**.

6. Click **Back**. You are navigated to either the updated Issues and Search List page or Issues Details page from where the transfer of ownership action is performed.

Force-Closing an Action

You can force-close an action if it is no longer relevant to the associated issues. You can force-close an action only when it is in *Open* status.

To close an action, follow these steps:

1. From the Action Search and List page, select an action in Open status, and click **Force Close**. An Action Details window is displayed.

Or:

From the Action Details page of an action in Open status, click **Force Close**. An Action Details window is displayed.

Figure 32. Force-Closing an Action

2. Enter the reason for the closure of the issue.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

4. Click **OK**.

5. Click **Back**. You are navigated to either the updated Actions and Search List page or Action Details page from where the closure action is performed. The status of the issue changes to *Complete.*

Reopening Completed Actions

Only a user mapped to the role of Issue Creator can reopen actions associated for an Issue.

To reopen a completed action by an Issue Creator, follow these steps:

1. From the Issues Search and List page, select an issue in Open status. Expand **View More** and click the required Action **ID** in Completed status. The Action Details page is displayed. Click **Reopen Action**. An Action Details window is displayed.

   Or:

   From the Action Search and List page, select an action in Completed status, and click **Reopen Action**. The Action Details window is displayed.

   Or:

   From the Action Details page of an action in Completed status, click **Reopen Action**. An Action Details window is displayed.

Figure 33. Reopening an Action

2. Enter comments in the **Comments** field.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

4. Click **OK**.

5. Click **Back**. You are navigated to either the updated Action Search List page or Issues Details page from where the reopening actions is performed. The status of the issue changes to *Open*.

Deleting an Action in Draft Status

Users mapped to the role of Action Owner can delete issues in Draft status if they are not applicable to the business or an organization.

To delete an action in Draft status, follow these steps:

1. From the Action Search and List page, select an issue in Draft status.

2. Click **Delete**. The following confirmation window is displayed:

3. Click **OK**. The following message is displayed: *Delete Operation Successful*.

4. Click **OK**. The selected action is deleted.

   You are navigated to the updated Action Search and List page.

Exporting List of Actions to Excel

You can export the list of actions displayed in the Action Search and List page to an Excel spreadsheet.

Note: You cannot export individual actions to Excel.

To export the Action List to an Excel format, follow these steps:

1. Navigate to the Action Search and List page.

2. Click **Export**. The Export Properties dialog box is displayed.

3. Set the Document Type as **Excel** and select the Form Data/Section Data as **Section** Data.

4. Click **Export** in the Export Properties dialog box.

   When processing is complete, the data is displayed in a browser window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a location where you want to save the file.

7. Enter a new name in the File Name field or application automatically generates a name for the file.

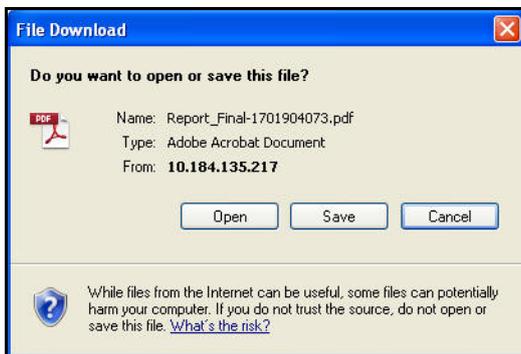8. Click **Save**. The application saves your file to the specified location.

   All actions in the Action Search and List page are exported into an Excel template.

Viewing Actions Profile Report

The Action Details page allows you to view the details of the issue in a PDF document.

To view the action details in a PDF, follow these steps:

1. Navigate to the Action Details page.

2. Click **Profile**. A File Download Box is displayed.

Figure 34. File Download Window

3. Click **Open** to view the Action Profile Report.

Figure 35. Action Profile Report

CHAPTER 6   *Managing Admin Tasks*

This chapter explains the Managing of Admin Task of OFSMRM application. This chapter includes the following topics:

- Overview
- Access Admin
- Questionnaire

Overview

Administration is an integral part of OFSMRM system and the **Admin** module within the application facilitates system administrators to set application preferences, manage reference data, determine the access rights, upload documents, manage User Interface language, and manage Questions and Questionnaire library. These administrative activities are mainly performed at the initial stages of application configuration and then based on requirement.

Access Admin

You can access Admin module from the OFSMRM Home page by clicking **Admin** menu.
Following are the sections available in **Admin** module of OFSMRM:

- Reference Data Management
- Preferences
- Application Preference
- Access Rights
- Excel Upload
- User Interface Language Manager
- Document Upload
- Managing Planning and Scoping
- Questionnaire

Reference Data Management

The *Reference Data Management* window allows you to manage the basic values of elements used across hierarchies and drop-downs in OFSMRM.
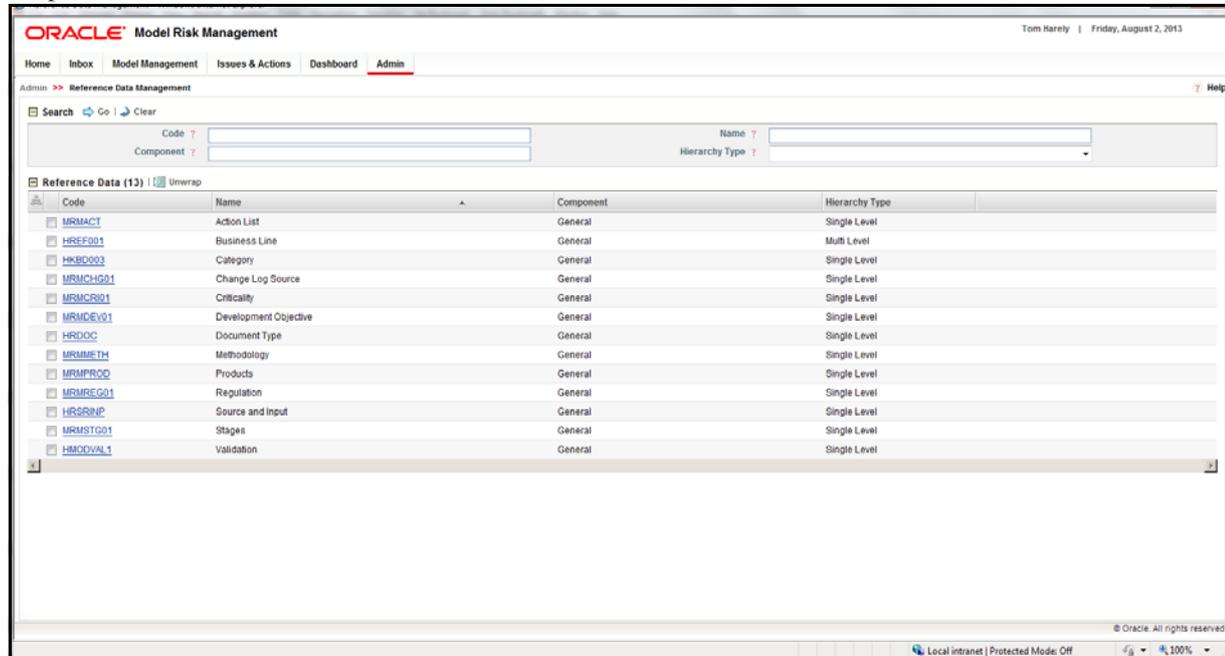
Figure 63. Reference Data Management Page

You can search for a specific reference data element from the *Reference Data Management* window, using Code, Name, Component, or Hierarchy Type details. For more information, refer to Components of Search and List Page section. Following are the pre-defined reference data elements available in this version of the OFSMRM application:

Table 54.   Pre-defined Reference Data Elements

Code	Name	Component	Hierarchy Type
MRMACT	Action List	General	Single Level
HREF001	Business Line	General	Multi Level
HKBD003	Category	General	Single Level
MRMCHG01	Change Log Source	General	Single Level
MRMCRI01	Criticality	General	Single Level
MRMDEV01	Objective	General	Single Level
HRDOC	Document Type	General	Single Level
MRMMETH	Methodology	General	Single Level
MRMPROD	Products	General	Single Level
MRMREG01	Regulation	General	Single Level
HRSRINP	Source and Input	General	Single Level
MRMSTG01	Stages	General	Single Level
HMODVAL1	Assessment	General	Single Level

You can click the **Code** adjacent to each **Name** of the reference data elements to view the list of nodes in that particular element. You can also create new nodes for a selected reference data element.

Create New Node

To create a new node for a reference data element from the *Reference Data* window, follow these steps:

1. Click the **Code** of the Reference Data element, for which you want to create a node.

The *Reference Data Management Details* window is displayed.

2. Click **Add New Node** button from the *Action List* grid.

The *Details* and *Locale* grids are enabled.

3. Populate the data in *Details* grid as tabulated below:

Table 55.   Details Grid Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Description	Enter the description for the new reference data management element. The maximum allowed characters in this field are 3000.
Start Date	Select the start date of the element from the Calendar.
End Date	Select the end date of the element from the Calendar. After this date, the node will not be available for use.

4. Select the required locale(s) by selecting the check box adjacent to the available locale names.

You can also select all the available locales by selecting the check box adjacent to the *Locale* tab.

5. Enter the Name of the new Node under the *Name* tab of the *Locale* grid.

6. Click **Save** button.

The new node is created and listed under *List* grid.

Note: An expired node will not be available for creation of new records. However, the node will be available for previously created records. An updated node will be available for all the records on which the node is used, with the updated details. An expired node can be revived by modifying the End Date.

Preferences

The Preferences section allows you to set and manage the email notification configurations. You can access the Preferences section by navigating to *Admin > Preferences* from the OFSMRM Home screen.

The *Preferences* window is displayed with *General* tab enabled.

Under the *General* tab, you can configure the *Email Notification* settings as follows:

1. Select the Email option from the drop down list.

The available options are:

- No Email - No email will be generated.

- Email Digest - Provides you all the emails generated for you in a package, at the end of the day.

- All Email - Email is sent as it is generated.

2. Select the Attach Profile Reports option either as **Yes** or as **No**, from the drop down list.

The option is enabled only if you have selected **All Email** option in the **Email** field.

3. Click **Save** button.

The selected preferences are saved and this will be used in all instances, where **Send Email** option is present.

Application Preference

The *Application Preference* section allows you to predefine the functionalities of general workflow items in OFSMRM. You can set preferences for the following from *Application Preference* section:

- Workflow Manager

- Workflow Details Management

Workflow Manager

Workflow Manager provides users an option to configure the process flow of each module from a centralized location. There is also a provision to configure the Tasks and Notifications sent to each user based on the rules. The *Workflow Manager* menu allows you to create Workflows for the existing Workflow functions of OFSMRM application. You can access *Workflow Manger* window by navigating to *Admin > Application Preference > Workflow Manager*.
In the *Workflow Manager* window, select the **Application** (Model Risk Management) from the drop down list. Select the required Workflow function in the **Workflow Functions** field. The currently available Workflow functions are:

- Model Management

- Actions

- Issues

- Model Development Stages

- Model Usage Development Stages

- Model Assessment

- Usage Assessment

- Model Change Log

- Usage Change Log

- Model Usage Development

The available Workflows of the selected Workflow Function are displayed under *Workflows* grid with the details such as ID, Name, Business Line, Category, Description, Effective From, Last Modified, and Status.
The actions possible from the *Workflow Manager* window are the following:

- Create Workflow

- Copy Workflow

- Deactivate Workflow

Create Workflow

You can create Workflows for any of the selected Workflow Functions, from the *Workflow Manager* window.
To create a new Workflow for a Workflow Function from the *Workflow Manager* window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.

The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.

2. Click **Create Workflow** button from the *Workflows* grid.

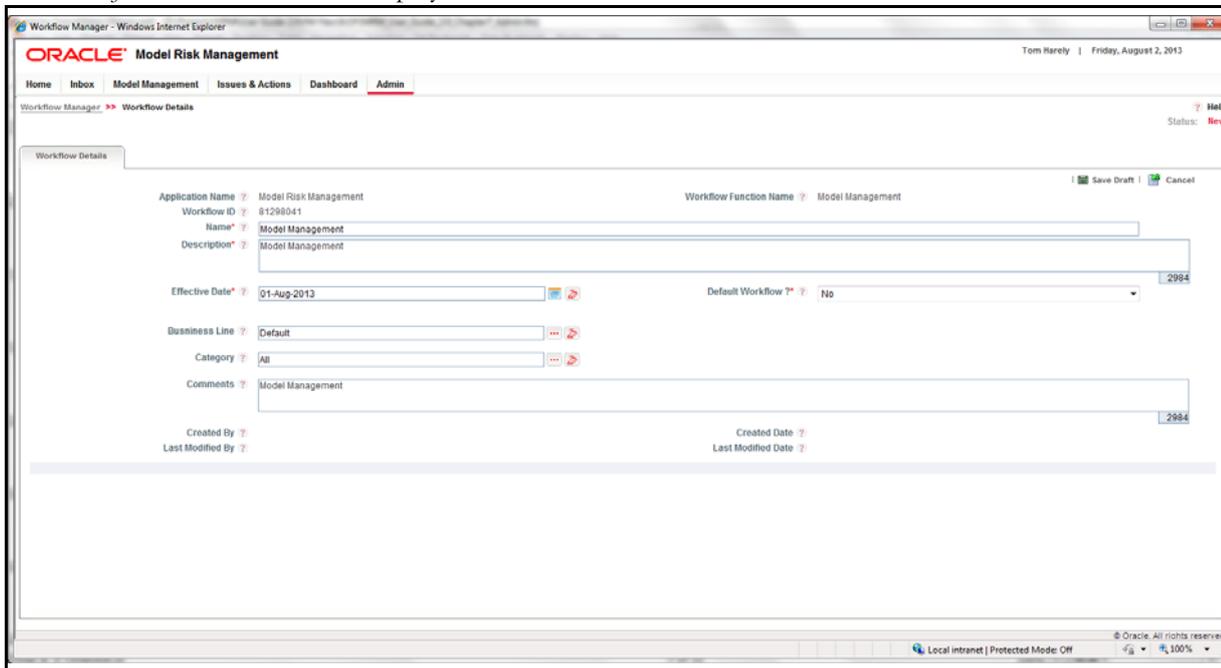The *Workflow Details* window is displayed.

Figure 64. Workflow Details Page

3. Populate the *Workflow Details* form as tabulated below:

Table 56. Workflow Details

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Application Name	The Application Name is auto populated with the value **Model Risk Management**.
Workflow Function Name	The Workflow function name is auto populated with the function name you have selected in the *Workflow Manager* window.
Workflow ID	The Workflow ID is an auto populated sequential tracking number assigned to a Workflow.
Name	Enter the required name of the Workflow. This field is alphanumeric and the maximum allowed characters are 300.
Description	Enter a description for the Workflow. The maximum allowed characters are 3000.
Effective Date	Select the date from which the Workflow should be active, from the Calendar.
Default Workflow	Select **Yes**, if the Workflow under creation is the default Workflow for the selected Workflow function and **No**, otherwise.
Business Line	Click the **Browse** button and select the Business Line from the Hierarchy Browser, to which the Workflow is mapped. **Note**: This field is active only if you have selected **No** in **Default Workflow** field.

Table 56.   (Continued)Workflow Details

Field	Description
Category	Click the **Browse** button and select the category from the Hierarchy Browser, to which the Workflow is mapped. **Note**: This field is active only if you have selected **No** in **Default Workflow** field.
Comments	Enter any additional information/comments regarding the Workflow under creation.
Created By	This will be populated with the name of the Person who has created the Workflow.
Created Date	This will be populated with the date on which the Workflow was created.
Last Modified By	This field is populated with the user name, who last modified the Workflow.
Last Modified Date	This field will be populated with the date on which the Workflow was last modified.

4. Click **Save Draft** button.

The Workflow is saved and is displayed under *Workflows* grid.

Copy Workflow

You can copy the details of an existing Workflow to create a new one. To copy a Workflow from the *Workflow Manager* window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.

The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.

2. Select the check box adjacent to the Workflow, which you want to copy.

3. Click **Copy Workflow** button.

The *Workflow Manager Copy* window is displayed.

4. Populate the form details.

For more information refer to Create Workflow section.

5. Click **Copy** button.

The Workflow details are copied and is displayed under *Workflows* grid.

Deactivate Workflow

You can deactivate a workflow which is in **Active** status, if it is no longer required in the system.

To deactivate a workflow from the Workflow Manager window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.

The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.

2. Select the check box adjacent to the Workflow, which you want to deactivate.

3. Click **Deactivate Workflow** button.

Note: The **Deactivate Workflow** button is enabled, only if you have selected a Workflow which is in **Active** status.

A confirmation dialog box is displayed.

4. Click **OK**.

The Workflow is deactivated.

Workflow Details Management

You can incorporate additional details such as Workflow Stages, routing rules, notifications, and tasks to Workflow definitions for further usage. You can perform these actions from the *Workflow Details* window.
The actions possible from the *Workflow Details* window are the following:

- Create Workflow Stage

- Edit Workflow

- Map Routing Rules

- Create Notifications

- Create Tasks

Create Workflow Stage

Stages of a definition are the indicators of its Workflow progress. You can determine how the Workflow should progress, where all approvals are required, and what are the parameters that should be considered for the definition to progress to the next stage.

To create a Workflow Stage from Workflow details page, follow these steps:

1. Click **Create Workflow Stage** button from the *Workflow Stages* grid.

The *Workflow Stage Details* window is displayed.

Figure 65. Workflow Stage Details Page

2. Populate the form details as tabulated below:

Table 57. Workflow Stage Details

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Stage ID	This is an auto populated sequential tracking number assigned to Workflow Stages. This field is not editable.
Name	Enter the name of the Workflow Stage.
Entity Status	Click **Browse** button and select the status in which the Workflow Stage is active, from the Hierarchy Browser.
Entry Point	Enter the entry point value of the Workflow Stage. This field is numeric and the values are set in individual Stages.
Description	Enter a brief description of the Workflow Stage.
Mandatory	Select **Yes**, if the Stage is mandatory in the Workflow.
Status	Select **Enable** to enable the Workflow Stages and **Disable** otherwise.
Is Committee Stage	Select **Yes** if the Workflow Stage requires committee approval and **No**, otherwise. If committee approval is set for a Workflow Stage, the Workflow will not proceed until all the users of task have worked on it.
Is User Based	Select **Yes** if the Workflow Stage is user based and **No**, otherwise. If you have selected **Yes**, all the tasks assigned to the user get completed for a particular Stage irrespective of the role code.
Pre Condition	Enter the condition to be satisfied, to reach this Workflow Stage. You can set SQL procedures as Pre Condition.
Post Condition	Enter the condition to be reached to leave the Workflow Stage and move to the next. You can set SQL procedures as Post Condition.
Comments	Enter any additional information/comments related to the Workflow Stage.
Level	Enter the level in the Workflow hierarchy to which this Stage belongs to.
Created By	This field is auto populated with the name of the user, who created this Workflow Stage.
Created Date	This field is auto populated with the date on which the Workflow Stage is created.
Last Modified By	This field is auto populated with the name of the user, who modified the Stage.
Last Modified Date	This field is auto populated with the date on which the Workflow Stage is last modified.

3. Click **Save** button.

The Workflow Stage is saved and is displayed under *Workflow Stages* grid.

Edit Workflow

You can edit the details of an existing Workflow in **Draft** status from the *Workflow Manager* window. To edit the Question definition details from the *Workflow Manager* window, follow these steps:

1. Click the Workflow **ID** hyperlink of the Workflow in **Draft** status, which you want to edit.

The *Workflow Details* window is displayed.

By default, the *Workflow Details* window displays the *Workflow Stage Details* tab.

2. Click the *Workflow Details* tab.

3. Click the **Edit** button.

You can update the details such as Name, Description, Effective Date, Default Workflow, Business Line, Category, Comments, and Documents.

For more information, refer to Create Workflow section.

4. Once you are done with the necessary edits, click **Update** button.

The updated details are saved.

Map Routing Rules

Routing rules are the criteria defined to determine if a definition is eligible to advance to a higher Stage. The pre defined rules can be assigned to each Stages to check the eligibility.

To map a routing rule to a Workflow Stage from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the **Stage ID** of a Stage, to which you want to map a routing rule.

2. Click **Map Rules** button in the *Routing Rules* grid.

The *Workflow Rule Details* window is displayed.

3. Populate the form details as tabulated below:

Table 58. Workflow Rule Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Next Stage	Click the **Browse** button and select the next Stage from the Hierarchy Browser.
Rule Sequence	Enter the rule execution sequence number. This is the order/sequence in which the Rule has to be executed in comparison with the other rules available.
Rules	Click **Browse** button and select the rules from Hierarchy Browser.
Status	Select **Enable** if the rule is to be enabled on the Workflow Stage and **Disable** otherwise. By default, **Enable** is selected.
Created By	This field is auto populated with the name of the user, who created this rule.
Created Date	This field is auto populated with the date on which the rule is created.
Last Modified By	This field is auto populated with the name of the user, who modified the rule.
Last Modified Date	This field is auto populated with the date on which the rule is last modified.

4. Click **Save** button.

The rule is mapped to the Stage and is displayed under *Routing Rules* grid.

You can click the **Rule ID** hyperlink to view and edit the rule definition details.

You can also select the check box adjacent to a Rule ID and perform the following:

- Click **Enable Rule** button from the *Routing Rules* grid to enable the selected rule.

This button is enabled only if you have selected a disabled rule.

- Click **Disable Rule** button from the *Routing Rules* grid to disable the selected rule.

This button is enabled only if you have selected an enabled rule.

Create Notifications

You can create notifications to be generated, during the entry to a Stage, in the Stage, or during exit from a Stage. To create notifications from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the Workflow Stage ID.

2. Click **Notifications**. The *Notifications* grid is displayed.

3. Click **Create Notification** button.

The *Workflow Notifications* page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

4. Populate the form details as tabulated below:

Table 59. *Workflow Notification Details*

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Notification ID	This is an auto populated sequential tracking number assigned to the Notifications. This field is not editable.
Name	Enter the name of the notification. This name will be generated in the inbox for the intended users. This field is alphanumeric and the maximum allowed characters are 300.
Sequence	Enter the sequence in which you want the notification to be generated.
Generate	Select from the drop down list, when to display the notification. The available values are: • On Entry • On Exit • On Stage
Description	Enter the description for the notification. This field is alphanumeric and the maximum allowed characters are 3000.
Access Rights	Select the access rights from the drop down list. The available values are: • Single - In Single, you can add only one role. Users of a specific role can be selected and rules can be mapped for those users. • Multi - In Multi, multiple roles can be added and branching of users can be done. Rules can be added from the repository to choose which role should be given notification access based on defined conditions. • User Defined - In User Defined, the behavior is as defined from the front-end. • Default Access - Default Access overrides all conditions of that Workflow and provides Stage access to the selected role.

Table 59. *Workflow Notification Details*

Field	Description
Status	Select the status of the notification from the drop down list as: **Enable** or **Disable**
Created By	This field is auto populated with the name of the user, who created this notification.
Created Date	This field is auto populated with the date on which the notification is created.
Last Modified By	This field is auto populated with the name of the user, who modified the notification.
Last Modified Date	This field is auto populated with the date on which the notification is last modified.

5. Click **Save** button.

The notification is saved and displayed in *Notifications* grid.

You can click the **Notification ID** hyperlink to view and edit the notification details in the *Workflow Notifications* window. From this window, you can also perform the following:

● Map a role to the notification by clicking the **Map Role** button from the *User Roles* grid.

The grids are displayed depending on the selection of Access Rights in the Notification.

Note: You can only map a single user role to a notification

● If you are an Admin user, you can map a decision to the notification definition by clicking the **Map Decision Rule** button from the *User Decision Rules* grid.

Click **Save** button in the *Workflow Notifications* window.

You can also select the check box adjacent to a notification and perform the following:

● Click **Enable Notification** button from the *Notifications* grid to enable the selected notification.

● Click **Disable Notification** button from the *Notifications* grid to disable the selected notification.

● Click **Map Rule** button from the *Notification Rules* grid map and link a rule to the notification from the *Map Renderer* window.

● Select a language under the *Language Manager* grid to select and save a language in which the notification has to be displayed.

Create Tasks

You can pre-define tasks to be executed during the entry to a Stage, in the Stage, or during exit from a Stage.

To create a task from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the Workflow Stage **ID**.

2. Click **Tasks**.The *Tasks* grid is displayed.

3. Click **Create Task** button.

The *Workflow Tasks* window is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

4. Populate the form details as tabulated below:

Table 60. Workflow Tasks Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Task ID	This is an auto populated sequential tracking number assigned to tasks. This field is not editable.
Name	Enter the name of the task. This field is alphanumeric and the maximum allowed characters are 300.
Sequence	Enter the sequence in which you want the task to be executed.
Generate	Select from the drop down list, when to execute the task. The available values are: ● On Entry ● On Exit ● On Stage
Description	Enter the description for the task. This field is alphanumeric and the maximum allowed characters are 3000.
Access Rights	Select the access rights from the drop down list. The available values are: ● Single ● Multi ● User Defined ● Default Access
Status	Select the status of the task from the drop down list as **Enable** or **Disable**.
Created By	This field is auto populated with the name of the user, who created this task.
Created Date	This field is auto populated with the date on which the task is created.
Last Modified By	This field is auto populated with the name of the user, who modified the task.
Last Modified Date	This field is auto populated with the date on which the task is last modified.

5. Click **Save** button.

The task is saved and displayed in *Tasks* grid.

You can click the **Task ID** hyperlink to view and edit the task details in the *Workflow Tasks* window. From this window, you can also perform the following:

● Map a role to the task definition by clicking the **Map Role** button from the *User Roles* grid.

Note: You can only map a single user role to a task.

Map a user to the task definition by clicking the **Map User** button from the *Users* grid.

Map a Rules for the selected User by clicking the **Map User Rule** button from the *User Allocation Rule* grid.

Click **Save** button in the *Workflow Tasks* window.

You can also select the check box adjacent to a **Task ID** and perform the following:

● Click **Enable Notification** button from the *Tasks* grid to enable the selected task.

- Click **Disable Notification** button from the *Tasks* grid to disable the selected task.

- Click **Map Rule** button from the *Task Rules* grid to map and link a rule to the task from the *Map Renderer* window.

- Select a language under the *Language Manager* grid to select and save a language in which the task has to be displayed.

Issues and Actions Configuration

Issues are the problem statements and Actions are plans or activities taken to resolve Issues. You can create Actions without creating Issues. At the same time, there are certain functional areas where creation of Issue is mandatory. To facilitate this need to have Issues on a requirement basis, the *Issues and Actions Configuration* feature in Application Preference of Admin module enables you to decide whether they need to create Issues and then create Actions or create Actions directly.

The *Issues and Actions Configuration* section under *Admin* module facilitates you to determine if Issues creation and display of Issue list have to be enabled in Model and Usage components.

To determine, whether to enable Issue creation display list of Issues in Model and Usage components, follow these steps:

1. Select the check box adjacent to the required component, that is Model or Usage.

The Component field is editable. In addition, the radio buttons in **Enable Issue Creation** and **Display List of Issues** columns of the selected component are enabled.

2. Edit the component name.

3. Select the **Enable Issue Creation** radio button either as **Yes** or as **No**.

On selecting **Yes**, you will be able to create Issues for the selected Component.

4. Select the **Display List of Issues** radio button either as **Yes** or as **No**.

On selecting **Yes**, the Issues will be listed for the selected Component.

5. Click **Save** button.

The preferences are saved.

Access Rights

The Access Rights functionality allows you to create and manage user groups and mapping of roles to the user groups. It also allows the mapping of users to specific groups, which in turn provides the users with the role mapping for a Business Dimension.

User - Profile Maintenance

The *User - Profile Maintenance* section allows you to create user groups and manage them. You can access the User - Profile Maintenance section by navigating to *Admin > Access Rights > User - Profile Maintenance*.

The *User - Profile Maintenance* window displays the list of available User Groups. You can select the check box adjacent to a User Group name to view the Access Rights.

In the *User - Profile Maintenance* window, you can search for an existing user group using Name, Code, or Modified Date parameters. For more information, refer to Components of Search and List Page section.

From the *User - Profile Maintenance* window, you can perform the following:

- Create User Groups

- Map Access Rights

- Delete User Group

Create User Groups

To create a user group from the *User - Profile Maintenance* window, perform the following steps:

1. Click Create Group button from the *Users Groups* grid.

The *Group Definition* window is displayed.

2. Enter the User Group **Code**.

This field is alphanumeric and the maximum allowed characters are 300.

3. Enter the **Name** of the User Group.

4. Provide a brief **Description** about the User Group.

5. Click **Submit** button.

The user group is saved and is displayed under *Users Groups* grid.

You can click the User Group hyperlink to view and modify a user group details.

Note: You can only modify the Description of a user group.

Map Access Rights

You can define the access rights for a user group by mapping the Key Business Dimensions with user roles.

To map the access rights with user group from the *User - Profile Maintenance* window, perform the following steps:

1. Select the check box adjacent to the User Group name, to which you want to map access rights.

The *Access Rights* grid is enabled.

2. Click Map Rights button from the *Access Rights* grid.

The *Add Access Rights* window is displayed.

3. From the *Add Access Rights* window, click the **Browse** button and select a Business Line for which the Access Rights have been assigned, from the Hierarchy Browser window.

4. Click the **Browse** button and select the category of locations for which the Access Rights have been assigned, from the Hierarchy Browser.

5. Select the check boxes adjacent to the Business Lines you want to map with the User Roles.

6. Select the check boxes adjacent to the Role Codes of the user roles, which you want to map with the Business Lines.

You can search for a specific User Role from the *Search* grid, using Role Code and Role name.

7. Click **Map Rights** button.

The access rights are mapped to the selected user group.

Delete User Group

You can delete a user group, which is no longer required and if there are no users mapped to the group.

To delete a user group, which has no users mapped, from the *User - Profile Maintenance* window, follow these steps:

1. Select the check box adjacent to the user group name.

2. Click Delete group button.

3. Click **OK** in the confirmation dialog box.

The user group is deleted.

User - Profile Mapping

The *User - Profile Mapping* section allows you to map users to specific groups, which in turn provide the users with the role mapping for a key business dimension.

You can access the *User - Profile Mapping* section by navigating to *Admin > Access Rights > User - Profile Mapping*.

From the *User - Profile Mapping* window, you have to search for the existing Users using Name, Code, or Modified Date parameters. The Users matching the search criteria are displayed under *Users* grid. For more information, refer to Components of Search and List Page section.

You can select the check box adjacent to a User name to view the User Group Mapping and Access Rights.

From the *User - Profile Mapping* window, you can perform the following actions:

- Map User Groups to the Users
- Delete User Group Mapping

Map User Groups to the Users

You can map the user groups to a user. Mapping facilitates the associated roles for the selected BU made available for the user.

To map user groups to a user from the *User - Profile Mapping* window, perform the following steps:

1. Select the check box adjacent to the User ID, to which you want to map User groups rights.

The *User Group Mapping* and *Access Rights* grids are enabled.

2. Click **Map Group** button from the *Access Rights* grid.

The *Map Groups to User* window is displayed.

In the *Map Groups to User* window, you can search for a specific group or a set of groups using the Group Code, Group Name, Description, Business Line, or Category parameters.

3. Select the check boxes adjacent to the Group Codes of the user groups, which you want to map with the Users.

4. Click **Map Groups** button.

The selected user groups are mapped to the user and are displayed under the User Group Mapping grid of the *User - Profile Mapping* window.

You can view the access rights mapped to the user group by selecting the check box adjacent to the User Group Code of the User Group you have mapped. The access codes are displayed under *Access Rights* grid.

Delete User Group Mapping

You can delete a user group mapping from the User - Profile Mapping   window and thereby unmap the group from a user.

To delete and unmap a user group, from the *User - Profile Mapping* window, follow these steps:

1. Select the check box adjacent to the User Group Code from the *User Group Mapping* grid.

2. Click **Delete Group** button.

3. Click **OK** in the confirmation dialog box.

The user group mapping is deleted from the user. Deleting a mapping removes the associated roles from the user.

Excel Upload

Excel Upload utility facilitates you to upload excel data sheets to specific destination table and map the table's columns with the columns in the excel. Excel Upload supports excel files created in Microsoft 2007 along with the earlier versions. In addition, you can map and upload multiple sheets created within a single excel file.

You can access Excel Upload section by navigating to *Admin > Excel Upload* from the OFSMRM Home screen. The Excel-Entity Mappings and Excel Upload options are displayed in the LHS menu.

Click the links to view the section in detail.

- Excel-Entity Mappings

- Excel Upload

Excel-Entity Mappings

Excel-Entity Mapping helps you to map Excel Data to the destination table in the database. Excel-Entity Mapping supports excel files created in Microsoft 2007 and earlier versions along with the option to map and upload multiple sheets created within a single excel file.

Add Excel-Entity Mappings

To define mapping in the *Excel-Entity Mappings* screen:

1. Click **Add** button in *Mappings Summary* tool bar. The *ADD Excel-Entity Mappings* window is displayed.

2. Enter the required **Mapping Name** and **Description**.

3. Click **Browse** button. The Choose File to Upload dialog is displayed. Select the required Excel and click **Load Excel Metadata** button.

On upload, the selected Excel columns are listed in *Select Excel Columns* grid and the database tables are listed in *Select Entities* grid.

4. Enter the Source Date in dd/mm/yy format. You can select Apply to all Dates check box if the Excel contains date field.

5. Select First Row is the Header check box, if the first row in the Excel has headings.

6. Select the mapping database table by clicking on the + symbol or table name.

7. Click **Automap**. The respective columns with the similar names in the excel and database is mapped. You need to manually map the other columns. The mapping details are displayed in the *Mapping Information* grid which facilitates you to edit the details as required.

8. Select **Save with Authorization** check box to authorize and upload the data. The 3 mandatory fields i.e. Maker_id, System_Date, and Authorization_Status, are displayed in the *Select Excel Columns* grid.

9. (Optional) Select **Bulk Authorization** check box to assign the "Excel_Name" across the selected column. For example, the selected column "v_fic_description" will have the Excel Name assigned.

Note: Ensure that the selected "Varchar2" column contains the required length to hold the Excel Name. In order to select Bulk Authorization, you need to have Save with Authorization check box selected.

10. Select **Save Mapping**. The *Excel-Entity Mapping* screen displays the excel-database table mapping details. Mapping helps the further upload of data in the specified format and it does not require the user to map the entities again.

In the *Excel-Entity Mappings* window, you can also do the following:

- Click **View** button in the Mappings Summary tool bar to View the mapping details.

- Click **Edit** button in the Mappings Summary tool bar to Edit the mapping details.

- Click **Delete** button in the Mappings Summary tool bar to Delete the mapping details.

Excel Upload

Excel Upload helps you to upload Excel Data to destination table in the database. Excel Upload supports excel files created in Microsoft 2007 and earlier versions along with the option to map and upload multiple sheets created within a single excel file. You need to ensure that the excel data contains the dates in the format as defined in Add Excel-Entity Mapping definition.

To upload excel data in the *Excel Upload* screen:

1. Click **Browse** in the Excel File to Upload grid. The *Choose File to Upload* dialog box is displayed.

2. Select the required Excel and click **Preview** button.

The columns in excel are populated in the Sheet drop down list and the *Preview* grid displays the data of the selected excel file.

3. Click **Browse** in the *Excel-Entity Mappings* grid. The Mapping Selector dialog box is displayed with the pre-defined mapping details.

4. Select the check box adjacent to the required mapping definition and click **OK**.

5. Click **Upload**. A confirmation dialog is displayed on successful upload and the excel data is uploaded to the database table.

User Interface Language Manager

The User Interface Language Manager section allows you to maintain the labels of screens, fields, containers, and messages in multiple languages. You can access the User Interface Language Manager by navigating to Admin > User Interface Language Manager from OFSMRM Home screen.

User Interface Language Manager allows updating existing labels in the application in the default language English. You can change the language of the following UI components:

- Screens

- Containers

- Fields

- Messages

To change the language of an above component from the *User Interface Language Manager* window, from the follow these steps:

1. Select a user interface component from the LHS menu. The respective Search, Details, and Language Manager grids are displayed.

You can use the Search functionality to locate a specific component in the User Interface Language Manager window. For more information, refer to Components of Search and List Page section.

2. Select the check box adjacent to the Form Code, Screen Code, Field Details, or Message Details column depending on the component selected.

The *Language Manager* grid is displayed with the available language details.

3. Select the check box adjacent to the required language and update the details.

4. Click **Save** button.

The language details are updated for the selected component.

Document Upload

The Document Upload section uploads and holds the documents uploaded from and required to be used in, various modules of the OFSMRM application.

You can search for a specific document or a set of documents from the *Document Upload* window using the parameters such as Name, ID, Status, Type, or Created Date. For more information, refer to Components of Search and List Page section.

The *Document Upload* window allows you to perform the following actions:

- Attach Documents

- View Documents

- Document Details Management

- Edit Document Details

- Delete Documents

Attach Documents

The attach document functionality facilitates you to upload and save a document in the OFSMRM application. To upload a document from the *Document Upload* window, follow these steps:

1. Click **Attach Document(s)** button from the *Documents* grid.

The *Attach Documents* window is displayed.

2. Populate the form details as tabulated below:

Table 61. Attach Documents Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Component	By default, the component is selected as Others.
Type	Select the type of the document form the drop down list. The available values are: - Regulation - Policy - Documentation - Annexures
Document Security	The available options are: - Public: Public documents can be viewed, edited, and re-uploaded by any user. - Read Only: Read only documents can be viewed by all users. However, edit and re-upload rights will be limited to a user or an administrator. - Confidential: Confidential documents can be viewed by only those users who have the confidential role or the users selected for the specific document.
Logical File Name	Enter a name for the document to be uploaded.
Choose a file	Click the **Browse** button to locate and find a document from the local computer in the *Choose FIle to Upload* dialog box. Click **Attach File** button. The document is uploaded.

3. Click **Back** button and you are directed to the *Document Upload* window. You can view the uploaded document under *Documents* grid.

While attaching a document which is marked as confidential, the *User* grid will be enabled where the users can be linked or delinked. For Public and Read Only documents, the *User* grid will not be displayed.

View Documents

The view document functionality facilitates you to view the document in the OFSMRM application.
To view a document from the *Document Management* window, follow these steps:

1. Select the check box adjacent to the document ID of the document which you want to view.

2. Click **View Document** button.
The *File Download* window is displayed.

3. In the *File Download* window, click **Save** button to save the document or click **Open** button to view the document.
In the *Documents* grid, the documents are listed depending on the different logged-in user roles.

- If you login as an Administrator, you can edit, view, and upload *Public* and *Read only* documents. You can also can re-upload *Public* and *Read only* documents.

- If you login as a Confidential user and an Administrator, then you can view the documents marked as confidential.

- If you login as an Analyst, you can view all the documents.

- If you login as any other user, then you can view only the *Public* and *Read only* documents. You can re-upload only the *Public* documents or the documents that you uploaded previously.

Confidential documents can be viewed by the users selected in the *User* grid even if the confidential role is not mapped. When a document security is selected as Confidential, the *User* grid is enabled in the *Document Details* screen.

Document Details Management

The *Document Details Management* window facilitates you to populate additional details such as Users and Business Units to an uploaded document.
You can navigate to the *Document Details Management* window by clicking the Document ID hyperlink of an uploaded document from the *Documents* grid.
You can perform the following actions from the *Document Details Management* window:

- Link Users

- Link Business Units

Note: The link User and link Business Unit functionalities are enabled only for the *Confidential* documents.

Link Users

To link users to an uploaded document from the *Document Details Management* window, perform the following steps:

1. Click the Document ID hyperlink of the document to which you want to link users, from the *Document Management* window.
The *Document Details* window is displayed.

2. Click **Link Users** button from the *Users* grid.
The *Hierarchy Browser* window is displayed.

3. Select the required users from the Hierarchy Browser window and click **OK** button.

For more information, refer to Hierarchy Browser section.

The selected users are displayed in the *Users* grid.

4. Click **Submit** button.

In the *User* grid, all the users are displayed in a Hierarchy Browser, other than the users mapped to an Analyst role. The Administrator can select the users who will have access to the document. The users mapped to an Analyst role should have access to all the documents, including Confidential documents.

You can delink the users linked to a document, from the *Document Details Management* window by selecting the check box(s) adjacent to the User Names, which you want to delink and by clicking the **Delink** button from the *Users* grid.

Note: Link and delink User functions are available for all users who can attach a document.

Link Business Units

To link Business Units to an uploaded document from the *Document Details Management* window, perform the following steps:

1. Click the Document ID hyperlink of the document to which you want to link Business Units, from the *Document Management* window.

The *Document Details* window is displayed.

Note: Business Units cannot be associated from Model or Usage windows.

2. Click **Link BU** button from the *Business Units* grid.

The *Recommended Business Combinations* window is displayed.

The selected users are displayed in the *Users* grid.

3. Select the check boxes adjacent to the required Business Units from the *Recommended Business Combinations* window and click **OK** button.

4. Click **OK** in the Operation Success dialog box.

The selected Business Units are displayed under *Business Units* grid.

5. Click **Submit** button.

You can delink the Business Units linked to a document, from the *Document Details Management* window by selecting the check box(s) adjacent to the Business Units, which you want to delink and by clicking the **Delink** button from the *Business Units* grid.

On removing the Business Unit, the document is not associated with any specific business unit and is available for all business units.

Note: Link and delink Business Unit functions are available for all users who can attach a document.

Edit Document Details

You can edit an uploaded document to change any pre defined parameters or to link Users and Business Units.

To edit a document from the *Document Management* window, follow these steps:

1. Click the document ID hyperlink of the document to be edited.

The *Document Details* window is displayed.

2. You can edit the Name, Document Security, Type, and Description fields.

You can also link/delink Users and Business Units to the documents. For more information, refer to the respective sections:

- Link Users
- Link Business Units

3. Click **Submit** button.

4. Click **OK** button in the information dialog box.

The document details are updated.

Delete Documents

You can remove a document if it is no longer required in the application.

To delete a document from the Document Management window, follow these steps:

1. Select the check box adjacent to the document ID under the *Documents* grid.

2. Click **Delete Document** button.

3. Click **OK** in the confirmation dialog box.

The document is deleted from the list.

Managing Planning and Scoping

This section gives complete information on Planning and Scoping and describes how to manage Planning and Scoping module.

This section covers following topics:

- About Planning and Scoping

- User Roles and Actions

- Planning and Scoping Workflow

- Accessing Planning and Scoping

- Searching Plans

- Creating Plans

- Managing Plan Details

- Closing Plans

- Deleting Plans

- Viewing a Plan Profile

About Planning and Scoping

Organizations must periodically assess their risks and controls to measure the impact on the organization. In addition, some regulators require the officers of the firm to attest the organizations processes and controls. The assessment plans risk and control, and attestation plans for process and controls should be created to facilitate assessments and attestations by group managers.

The Planning and Scoping function allows organizations to have a standard methodology, which reduces the burden of creating similar Assessment Plans for multiple entities and also creates a forward schedule of assessing risks and controls. It allows the user to set up plans for risk and control assessment scope for a particular entity. This also simplifies tracking assessments, attestation, and certifications. The user sets the periodicity of the assessment, (for example, weekly, monthly, quarterly, semi-annually, and yearly). The periodicity of assessment may be set on a random basis, belonging to any other category other than those mentioned in the field options, or on a custom basis. Plans are created for the following categories:

- **Assessment**: An Assessment plan is set for risks of a specific BU which have been defined as a questionnaire or manual type of assessment. Based on the type of assessment, tasks are generated. Multiple risks can be attached to a single assessment plan.

- **Questionnaire**: All Questionnaires which are generic in nature and in Open status and are mapped to the selected Business Units will be available to include in the plan.

User Roles and Actions

This section covers the following topics:

- User Roles

- Actions

User Roles

The following user role is defined in the Planning and Scoping section of the OFSMRM application:

Plan Owner: This user can create Plan for Business Line and Location, and also edit, delete, and close a Plan.

Actions

The Planning and Scoping section allows an Plan Owner to perform following actions in the application:

- **Creating Plan**: This action allows users to create a new Plan. Once users create Plan they can save as draft or submit the details.

- **Editing Plan**: This action allows users to edit and update the Plan in Draft status.

- **Deleting Plan**: When an organization believes that a certain Plans have been drafted incorrectly or not required, users can delete such Plans.

- **Managing Plan Task**: This action allows users plan and close the schedule, send reminders for overdue of the schedule, and revoke the Task.

- **Exporting Plan**: The Exported Plan report allows the organization to have a compiled list of all applicable Plan. This action allows users to export the details of the Plan.

Planning and Scoping Workflow

The following figures explains the Planning and Scoping workflow:
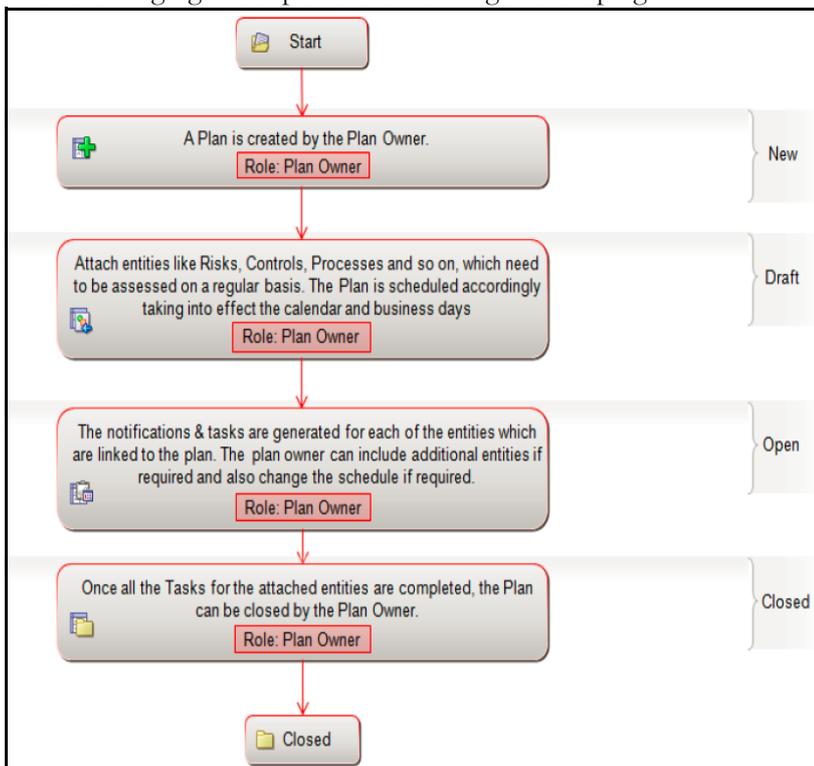
Figure 66. Planning and Scoping Workflow

Accessing Planning and Scoping

This section explains how to access Planning and Scoping section of Admin module in Oracle Financial Services Model Risk Management application.

To access the Planning and Scoping, follow these steps:

1. Login to OFSMRM application. The OFSMRM Home page is displayed.

2. Hover over the Admin primary menu.

3. Select Planning and Scoping feature from the Admin drop-down. The Planning and Scoping Search and List page is displayed.

Searching Plans

This section explains you how to search and filter the existing Plans. The Search and List page allows you to filter the Plans that you want to view and analyze. The Plans search bar supports three types of search-Basic Search, Advance Search, and Search by Views. You can use only one search at a time.
This section explains the following topics:

- Searching Plans Using Basic Search

- Searching Plans Using Advanced Search

- Searching Plans Using Pre-defined Views

Searching Plans Using Basic Search

This search is based on limited set of search criteria and helps you to retrieve the relevant Plans details.
To search Plans using the Basic Search, follow these steps:

1. Navigate to Plans Search and List page.
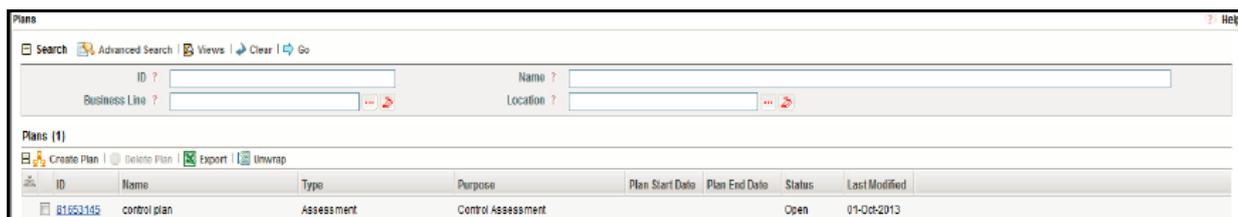
Figure 67. Basic Search

Note: By default, the Plans Search and List page displays all Plans.

1. Enter the following details in the Search fields to filter the Plans list.

The following table provides a list of the search criteria that display in the Plans search section:

Table 62. Plans Search Criteria

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
ID	Enter the sequential tracking number of the Plans. This helps to search the Plans with this unique number. This field allows you to enter a maximum of 20 numeric values. This field supports wildcard search.
Name	Enter the name of the Plan. This helps to search the Plan with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Business Line	Select the business line from the hierarchy browser. This helps to search the Plans mapped to the business line (for example, Product, Corporate, and so on).
Location	Select the location from the hierarchy browser. This helps to search the Plans mapped to the location (for example, London, Bangalore, and so on).

2. Click **Go**. The relevant search list is displayed.

3. Click **Clear** to reset the search fields to blank.

Note: If there are no matched details with the given search criteria then Alert window displays following message: *No records found with the given search criteria.*

Searching Plans Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with an expanded set of additional fields. If you know Plan details such as ID, Name, Status, and so on, then you can filter the Plans using the Advanced Search.

To search Plans using Advanced Search, follow these steps:

1. Navigate to the Plans Search and List page.

2. Click **Advanced Search** from the search section. The Advanced Search fields are displayed.
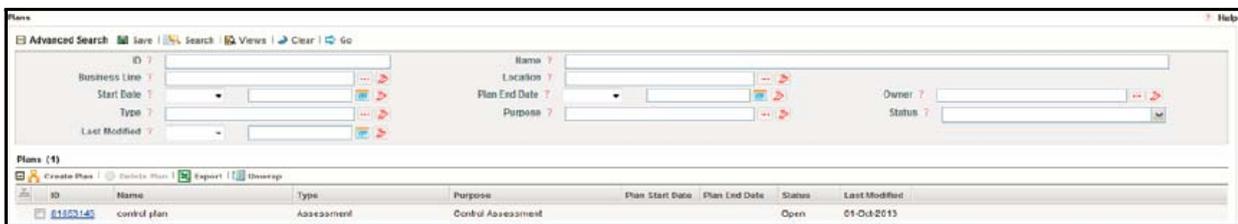
Figure 68. Advanced Search

3. Enter the search criteria to filter the Plans list.

The following table provides a list of search criteria that display in the Plans Advanced Search section.

Table 63. Advanced Search Criteria

Field	Description
The field(s) marked in asterisks (*) mandatory.	
ID	Enter the sequential tracking number of the Plans. This helps to search the Plans with this unique number. This field allows you to enter a maximum of 20 numeric values. This field supports wildcard search.
Name	Enter the name of the Plan. This helps to search the Plan with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Business Line	Select the business line from the Hierarchy Browser . This helps to search the Plans mapped to the business line (for example, Product, Corporate, and so on).
Location	Select the location from the Hierarchy Browser. This helps to search the Plans mapped to the location (for example, London, Bangalore, and so on).
Plan Start Date	Select the equality operator from drop-down list. Select the start date from the calendar. This searches for plans with having Plan start date as specified.
Plan End Date	Select the equality operator from drop-down list. Select the end date from the calendar. This searches for plans with having Plan end date as specified.

Table 63. Advanced Search Criteria

Field	Description
Owner	Select the owner from the Hierarchy Browser This helps to search for plans owned by the selected user.
Type	Select the type from the Hierarchy Browser. This helps to search for Plans with the selected type. For example, Attestation, Assessments, and so on.
Purpose	Select the purpose from the Hierarchy Browser. This helps to search for Plans with the selected Purpose. For example, Control Attestation, Control Assessments, and so on.
Status	Select the status of the Plan from the multi-select drop-down list. Following are the possible values for Status multi-select drop-down list: ● Select All ● Draft ● Closed ● Open
Last Modified	Select the equality operator from drop-down list. Select the last modified date from the calendar to display Plans having modified date greater than or equal to the specified date.

4. Click **Go**. The relevant search list is displayed.

Warning: If there are no matched details with the given search criteria then Alert window displays following message: *No records found with the given search criteria.*

The application provides a Save Search button in the Advanced Search section that allows you to save your search criteria.

Searching Plans Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the Plans based on the pre-defined views.

To search Plans using pre-defined views, follow these steps:

1. Navigate to the Plans Search and List page.

2. Click Views. The Views multi-select drop-down list is displayed.

Figure 69. Predefined Views Search

3. Select any of the pre-defined views from the Views drop-down list. The relevant search list page is displayed. The following table explains the different types of pre-defined views available.

Table 64. Plans Views

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Closed Plans	Select Closed Plans from the views drop-down list to display Plans that are in closed in status in descending order of the last modified date.
Plan closing within 3 months	Select Plan closing within 3 months from the views drop-down list to display Plans. These plans have end date which is less than or equal to three months from the current date.
My Plans	Select My Plans from the views drop-down list to display Plans that belong to the logged in user in descending order of the last modified date.

Creating Plans

This allows you to create a Plan for the entities requiring Assessments, Attestations, or SOX certifications. Various plans can be created with the scope and schedule for each plan.
To create Plans, follow these steps:

1. Navigate to Plans Search and List page.

2. Click **Create Plan**. The Plans Details page displays.

Figure 70. Plan Details Page

3. Enter the following information in the Plan Details page.

The following table describes the fields of the Plan Details page:

Table 65. Fields of Plans Details Page

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Name	Enter the name of the Plan. This field allows you to enter a maximum of 300 characters.
ID	Displays the sequential tracking number of the Plan. This is an auto-generated unique identification number and cannot be modified.
Objective	Select the objective from the drop-down list. For example, Business, Regulators, and Others. This is the objective of the plan.

Table 65. Fields of Plans Details Page

Field	Description
Owner	Select the owner from the Hierarchy Browser. The Owner is the one who is responsible for tracking the Plan.
Application	Select the application from the drop-down list.
Type	Select the type of the plan from the drop-down list. For example, Review, Attestation, and Assessment.
Purpose	Select the purpose of the plan from the drop-down list, purpose depends on the type you select. For example, If you select Review, you can select following Purposes: - Model Full Review - Usage Full Review If you select Attestation, you can select following Purposes: - Model - Usage If you select Assessment, you can select following Purposes: - Model - Usage
Assessment Type	This field is enabled on selecting Assessment in Type field. Select the Assessment Type from the drop-down list. For example, Back Testing, Control, Evaluation of Conceptual Soundness, Ongoing Monitoring, Outcome analysis, Result, Full Scope Review, P & L Attribution Tests, Delta-Vega Smoothness Tests, Convergence Tests, Quantitative Performance Monitoring, Tier Template, and Calibration Error Tests.
Description	Enter the plan description. This field allows you to enter a maximum of 3000 characters. **Note**: If you try to enter more than 3000 characters in the Description field, the application displays the following message: Number of characters exceeded.

4. Click **Save Draft**. The following message is displayed: Add Operation Successful.

5. Click **OK**. The status of the Plan changes to Draft.

Warning: To save a Plan as draft, It is mandatory to enter the Name, Application, Type, and Purpose of the plan. If not, the application displays the following message: *Name, Type, and Purpose is Mandatory to save the plan*.

Submitting Plans in Drafts Status

This section explains how to submit Plans in Draft status.

The Plans Details page allows you to submit the selected Plan.

To submit the Plans in Draft status, follow these steps:

1. Navigate to the Plans Search and List page.

2. Click the Plan ID in Draft status. The Plan Details page is displayed.
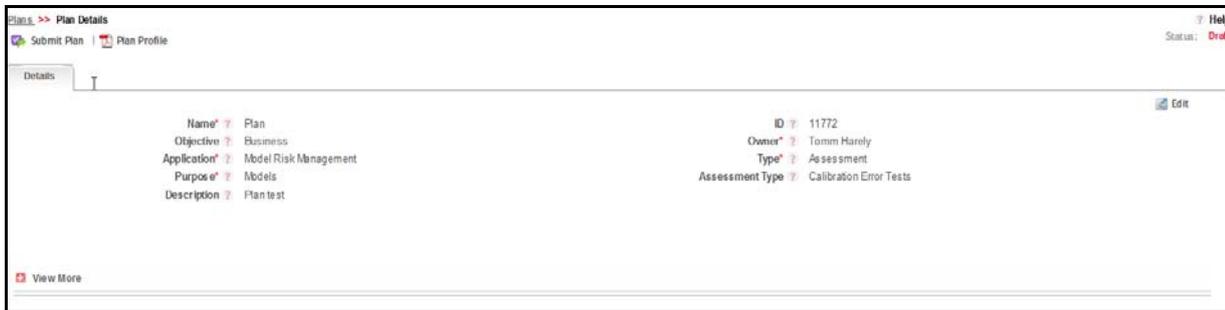
Figure 71. Plans Details Page

The Plan Details page allows you to perform following tasks in Draft status:

- Editing Plan details

- Managing Scope

- Managing Schedule

- Viewing the Workflow History for the Plan

- Attaching and deleting documents related to Plan

- Viewing Plan Profile Report

For more information on above tasks, refer to Managing Plan Details section.

1. Define the scope of Plan, for more information on defining the Scope, refer to Managing Plan Scope.

2. Schedule the Plan, for more information on Scheduling the Plan, refer to Task Flow.

Note:

- If you try to submit the Plan without scheduling the Plan. The following message is displayed: *The Plan is not Scheduled.*

- If you try to submit the Plan without defining the scope of the Plan. The following message is displayed: *No Record linked in scope.*

- If you try to submit the Plan without mapping BUs to the Plan. The following message is displayed: *Plan is not mapped to any BUs.*

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

Warning: To submit a Plan, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

4. Click **OK**. The status of the Plan changes to *Open*. A notification is sent to the owner of each entity of the scope.

The Plan Details page allows you to perform following tasks in Open status:

- Editing Plan details

- Managing Scope

- Managing Schedule

- Viewing the Workflow History for the Plan

- Attaching and deleting documents related to Plan

- Viewing Plan Profile Report

- Managing Task

For more information on above tasks, refer to Managing Plan Details section.

Managing Plan Details

Plan Details page allows you to manage plan details and progress plan.
This section explains the following topics:

- Managing Details

- Managing Plan Progress

Managing Details

This section describes how to manage Details page. The Details page gives complete information about the Plan. The Details tab is displayed in both Draft and Open status.
This section discusses the following topics:

- Editing Plan Details

- Managing Plan Scope

- Managing Schedule

- Attaching and Deleting Documents

- Viewing Workflow History

Editing Plan Details

This section describes you how to edit and update the existing Plan. You can edit a Plan in both Draft and Open status.
This section covers following topics:

- Editing Plan in Draft Status

- Editing Plan in Open Status

Editing Plan in Draft Status

To edit a Plan in Draft status, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Draft Status. The Details page is displayed.

3. Click **Edit**. The editable fields are enabled in the Details page.
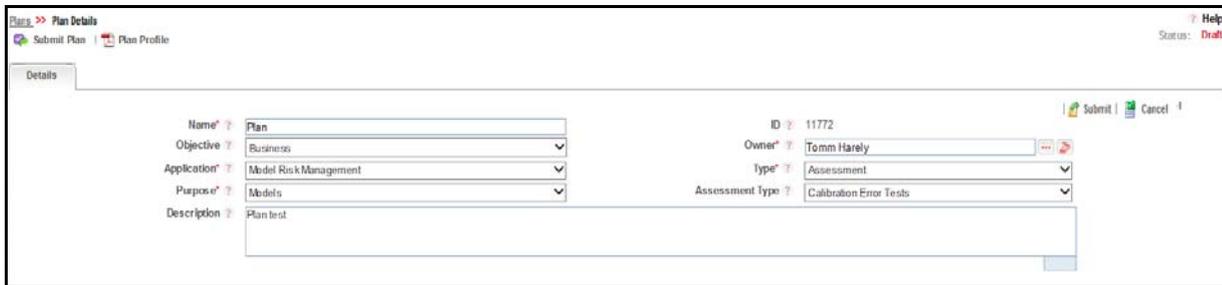
Figure 72. Editing Plan Details in Draft Status

4. Modify the necessary information.

5. Click **Update** to save the plan in Draft status. The following message is displayed: *Update Operation Successful.*
Or
Click **Submit** to move the plan to Open status. The following message is displayed: *Update Operation Successful.*

Note: To submit the Plan Details, it is necessary to enter all mandatory fields.

6. Click **OK** to confirm the changes. The updated Details page is displayed.

Editing Plan in Open Status

To edit a Plan in Open status, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Open status. The Details page is displayed.

3. Click Edit. The editable fields are enabled in the Details page.

Note: If the Plan is in Open status then Name, Type, and Purpose cannot be edited.
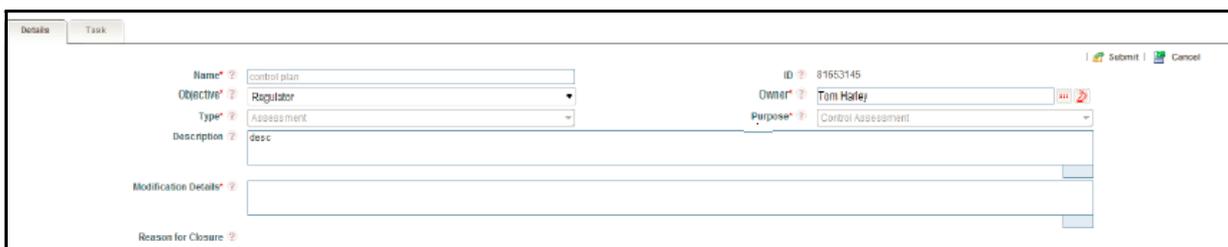
Figure 73. Editing Plan Details in Draft Status

4. Modify the necessary information. For more information on the fields, refer to Fields of Plans Details PageTable 6-13.

5. Click **Update**. The following message is displayed: Update Operation Successful.

6. Click **OK** to confirm the changes. The updated Details page is displayed.

Note: Scope and entities can be added or removed in Open status, which generate task from next schedule.

Managing Plan Scope

This allows you to define entities to assesse, atteste, or certify under each plan. The Scope of the plan differs based on the Plan type and Plan purpose. The Scope of the Plan is defined in Draft and Open status.
This section covers following topics:

- Mapping Business Units

- Linking and delinking Entities

Mapping Business Units

To map Business Units, follow these steps:

1. Navigate to the Details page.

2. Click Scope. The Scope section is expanded.

3. Click Business Unit. The list of Business Units gets expanded.

Linking and delinking Entities

For the mapped Business Units, respective entities are available such as Control, Risk, or Process to link. The Scope of a Plan is different for different Plan Purpose and Type selected.

Note: Without mapping Business Unit to a Plan, you cannot link Scope items to a Plan.

To link and delink entities, follow these steps:

1. Navigate to the Details page.

2. Click **Scope**. The Scope section is expanded with the relevant entities.

3. Click entity (for example, Assessment, SOX Certification, Questionnaire, and so on).
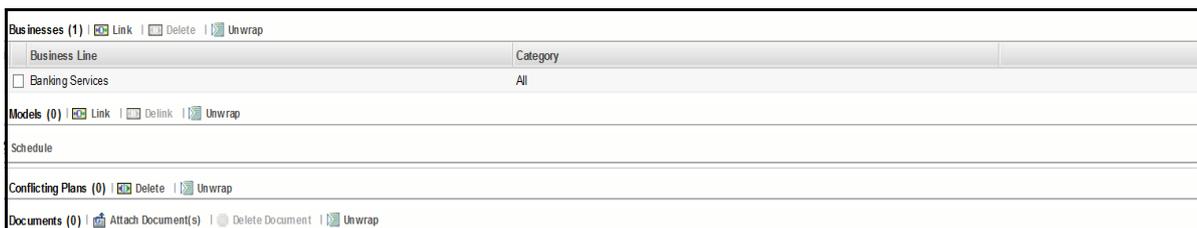
Figure 74. Schedule a Plan Section

4. Click Other Plan link. An Other Plan window is displayed with Entity Name, Entity ID, Entity Type, Plan Name, Plan Type, and Plan Purpose details.

Managing Schedule

This allows you to capture the details to generate a schedule for the plan. Depending on the details that are captured, notifications or tasks are generated in the Inbox once plan is submitted.
This section explains following topics:

- Scheduling a Plan

- Deleting Conflicting Plan

Scheduling a Plan

This section allows you to schedule the Plan. The Plan can be scheduled in Draft and Open status.
To schedule a Plan, follow these steps:

1. Navigate to the Details page.

2. Click Schedule. The Schedule section is expanded.

3. Click Edit. The Schedule section is enabled for modification.

Figure 75. Schedule a Plan Section

4. Select either Recurring or Custom Schedule.

5. If you select Recurring, following fields are enabled to enter in the Schedule page.

The following table describes the fields of the Schedule page:

Table 66. Fields of Plans Details Page

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Recurring or Custom	Select whether the schedule for Plan is Recurring or Custom. • **Recurring**: you can generate tasks based on selected recurrence • **Custom**: you can select specific dates on which the task has to be sent **Note:** If you select Recurring, Plan Start Date, Plan End Date, and Calendar Type are enabled.
Plan Start Date	Select the plan start date from the calendar. This is the date from when the task is generated. **Note:** Start Date should be greater than or equal to the current date.
Recurrence	Select the recurrence from the drop-down list. For example, Daily, Fortnightly, Monthly, and so on.
Calendar Type	Select Business Days to send the tasks and notification on working days. Select Calendar days to send it as per the next schedule regardless of Workingday or Holiday.
Complete Task within	Enter the number of days required for completing each task. **Note:** Based on the start date of a task, the end date for the task will be calculated based on the Days for completion. For example, if days for completion is five days and Start Date for a task is 1/11/13, the end date will be 1+5 days that is, 6/11/13.
Reminder for Completion	Enter the number of days to send a reminder before completion of the task. **Note:** It should be less than Days for Completion.
Reminder after due date	Select the date for reminder after due date from the drop-down list. For example, Select All, On Due Date, 7 weeks after, 5 weeks after, Two weeks after, and Day after.

Table 66. Fields of Plans Details Page

Field	Description
End Date	Select the end date whether No End Date, End After, or End by. ● To generate task contentiously, select No End date. This will continue to generate task until the plan is closed. ● To generate tasks for specific number of occurrence, select End after. Enter the number of occurrences ● To be generate task for specific period, select End by. Enter the end date. **Note:** If you select No End Date or End by then Plan End Date field is enabled.
Plan End Date	Select the plan end date from the calendar. This is the date when the plan ends. **Note:** It should be greater than Plan start Date.
Occurrences	Enter the number of occurrences.

6. If you select Custom, the Schedule section is enabled to add new dates. And only following fields are enabled to edit:

● Complete Task within

● Reminder for Completion

● Reminder after due date

For more information on fields, refer Table 66.

Adding Dates

The Schedule section allows you to add the dates.

To add dates, follow these steps.

      a.Navigate to Schedule section, Select Custom. The Schedule sub section is enabled.

      b.Click **Add Row**. The new row is expanded. Select the row and click calendar to add the date on which the task will be sent.

      c.Click **Save**. The following message is displayed: *Add Operation Successful.*

Based on the Number of days selected in Complete Task Within field, the end date is displayed for each date.

Deleting Dates

To delete a date, follow these steps.

      a.Select the date you wish to delete, Click **Delete**. The following confirmation message is displayed: *Are you sure that you want to delete this Record?*

      b.Click **OK**. The following message is displayed: *Add Operation Successful.*

  3.Click **Save**. The following message is displayed: *Add Operation Successful.*

4. Click **OK**. The details are saved in the Plan Schedule page.

Deleting Conflicting Plan

When an entity (Risk, Control and so on) is a part of another plan which has overlapping dates for assessments, such entities will be displayed in the Conflicting Plans.

Deleting entities in conflicting plans will remove such records from the scope of the current plan. The other plan's scope will not be altered.

To delete a Conflicting Plan, follow these steps:

1. Navigate to the Details page.

2. Click Schedule. The Schedule section is expanded.

3. Click Show Conflicting Plan. The Conflicting Plan section is expanded.

4. Select the Conflicting entity you wish to remove and click Delete.

Attaching and Deleting Documents

The Plan Details page allows you to attach or delete documents related to Plan. For more details on attaching and deleting documents, refer to Managing Documents section.

Viewing Workflow History

The Plan Details page shows the audit trail of all changes made to the Plan. For more details, refer to Viewing Workflow History section.

Managing Plan Progress

A Task is an actionable item sent to the Owner or Assessor for performing the relevant action. For example, Risk Assessment Plan task is sent to Risk Assessor for completing the assessment.
Task tab has two sections:

- Plan Schedule

- Task

This section describes how to track the progress of the task under each schedule of the Plan. The Tasks page gives complete information about the progress of the Plan. The Tasks tab is displayed in only Open status.
As soon as a schedule is generated for a plan, a new record is added to the Schedule section, detailing the status. This helps you to track the progress of task created for this plan. The records are displayed in order of time, with the latest records are displayed on top.
Tasks page allows you to view all active or past Schedules and Tasks created through the Plan and track their status. This section discusses the following topics:

- Tracking Plan Progress

- Sending Reminder

- Closing Schedule

- Revoking Tasks

Tracking Plan Progress

This page allows you to track the status of each schedule and each task under a schedule section. A schedule is an instance or batch based on the start and recurrence date. A schedule is a set of tasks for various entities which are generated at the same time. For example, for a Plan with quarterly frequency, at each quarter a schedule is created under which the Risks, Controls, and so on are assessed.
The status of the schedule is planned following option:

- On going- which is planned for future

- Overdue-where the system date is same as start date but end date is not reached

- Completed-where end date is reached but task is incomplete

For a schedule, the status of any tasks generated under the schedule can be viewed by selecting a task.
Status of tasks are as follows:

- Assigned

- In-progress

- Overdue

- Completed

The status of a Task is viewed to know the progress of the tasks as well as schedule.

To view and track the Plan Progress, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Open status. The Plan Details page is displayed.

3. Click Tasks tab. The Tasks Details page is displayed.

Figure 76. Tracking Plan

4. Select the Schedule ID. The tasks pertaining to this schedule expand.

Note: Only one Plan Schedule can be selected at a time.

The following table explains the task flow for plans of different purpose and type:

Sending Reminder

When a Plan schedule is Overdue, you can send an email reminder to the users whose tasks are in Overdue status. This reminder can be sent before or after the end date.

To send a reminder, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Open status. The Plan Details page is displayed.

3. Click Tasks tab. The Tasks Details page is displayed.

4. Select the Schedule ID and click **Send Reminder**. The reminder goes to only those users who have not completed the task.

Closing Schedule

When you want to revoke all the tasks under a schedule you can close the schedule. In case, tasks has been generated under a schedule and later on, it is known that it is no longer valid (for example, Scope itself is incorrect or Plan is no longer valid). In such case, the schedule can be closed. In effect, it will revoke all tasks which are not completed.

To close a schedule, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Open status. The Plan Details page is displayed.

3. Click Tasks tab. The Tasks Details page is displayed.

4. Select the Schedule ID and click Close Schedule. The following Confirmation message is displayed: *Open Tasks which are Assigned and or In progress, will be revOKed on Closing a Schedule. Do you want to Continue.*

5. Click **OK** to confirm.

Revoking Tasks

When you want to revoke specific task, you can revoke individually. In case, a task has been generated and later on it is known that it is no longer valid, it can be revoked. For example, the assessment of a model is no longer required to be done by a BU and so on. If a schedule is in Open or Overdue status due to such tasks, on revoking such tasks the status of the Schedule changes to Completed.

To revoke a task, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in Open status. The Plan Details page is displayed.

3. Click Tasks tab. The Tasks Details page is displayed.

4. Select the Schedule ID. The tasks pertaining to this schedule will expand.

5. Select the Task you wish to revoke and click **Revoke**.

Note:

- The status of task changes to Revoked. If a schedule is in Open or Overdue status, the status of the schedule changes to *Completed*. This will happen if the schedule is open because of only this task which was revoked.

- If the task is revoked, the tasks from the Inbox is removed.

Closing Plans

A plan can be closed when it is no longer required to generate any task or schedule.

To close a Plan, follow these steps:

1. Navigate to the Plan Search and List page.

2. Click Plan ID in *Open* status. The Plan Details page is displayed.

3. Click **Close Plan**. The Plan Closure window is displayed.

4. Enter the comments for closure. Click **OK**. These Comments are displayed in Reason for Closure.

Note: You cannot close a plan, when all schedule are not in Completed status.

Deleting Plans

When an organization believes that a certain Plans has been drafted incorrectly or not required, they may be deleted. The Plans Search and List page allows you to delete Plans in Draft status.

To delete a Plan, follow these steps:

1. Navigate to the Plan Search and List page.

2. Select the Plan ID in Draft status and click **Delete Plan**. The following message is displayed: *The selected plan with its scope will be deleted, do you want to continue?*

3. Click **OK**. The following message is displayed: Delete Operation Successful.

4. Click **OK**. The system refreshes and displays the Plans Search and List page.

Note: The plan is deleted along with any scope.

Exporting Plans

Exporting Plans List allows the organization to have a compiled list of all applicable Plans.

The Plan Search and List page allows you to export the listed records to a Microsoft Excel spreadsheet. If any search criteria is applied, the values exported are restricted only to the search result.

To export the records, follow these steps:

1. Navigate to the Search and List page.

2. Click Export. The Export Details box is displayed.

Figure 77. Export Details Box

3. Select the appropriate options from the Export Details box.

Table 67. Export Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Select Form Data/Grid Data	Select Form Data or Grid Data from the drop-down list.
Include Mapper Information	Check if you want to include mapper information in the report.
Include Search Information	Check if you want to include search information in the report.
Document Type	Select Excel from the drop-down list.
Template	Select General Excel Template from the drop-down list.
Display Form Name	Select if you want to display the form name or not from Yes or No radio buttons.

4. Click Export. The File Download box is displayed.

Figure 78. File Download Box

5. Click Open. An Excel spreadsheet is displayed which consists of a compiled list of all records displayed in the Search and List page.

Viewing a Plan Profile

The Plan Details page allows you to view plan details in a PDF.
For more information, refer to Viewing Profile Report section.

Questionnaire

This section provides information about the Questionnaire module and step-by-step instructions to use this module.

This section discusses the following topics:

- About Questionnaire
- User Roles and Actions
- Managing Questions Library
- Managing Questionnaire Template
- Managing Localized Questionnaire (Renamed as Localized Questionnaire)
- Managing Configuration Library
- Managing Manage Respondents
- Managing Distribution List

About Questionnaire

A Questionnaire module acts as an inquiry instrument consisting of a series of questions posed to various user roles for the purpose of gathering information. A Questionnaire module can guide you in different directions based on the answers to the questions and helps you in reaching a decision.

The Questionnaire module includes the following six sections:

- Questions Library
- Questionnaire Template
- Localized Questionnaire
- Configuration Library
- Manage Respondents
- Distribution List

Salient Features

The salient feature of the Questionnaire module includes the following:

- Creating a library of questions and questionnaires.
- Using questionnaires for assessing and attesting various entities such as risks, controls, obligations and so on.
- Using questionnaires as a scorecard for deriving scores based on the scores and weights assigned to questions which in turn will drive assessment of entities.
- Using Decision Tree Questionnaire to derive multiple results.

User Roles and Actions

This section explains the different user roles and related actions that can be performed in the Questionnaire module of OFS OR/GCM application.

This section covers the following topics:

- User Roles

- Actions

User Roles

The Questionnaire module includes Questionnaire Creator role, who is responsible for performing all actions pertaining to questions library and questionnaire library. A Questionnaire module can have multiple users mapped with Questionnaire Creator role.

Actions

This section includes the following two topics:

- Actions in Questions Library
- Actions in Questionnaire Template
- Actions in Localized Questionnaire
- Actions in Configuration Library
- Actions in Manage Respondent
- Actions in Distribution List

Actions in Questions Library

A **Questionnaire Creator** can perform the following actions in Questions Library:

- **Creating Question**: This action allows a Questionnaire Creator to create a new question.

- **Editing Question**: This action allows a Questionnaire Creator to update question details, add response options, and submit the question. A Questionnaire Creator can edit a question when in Draft and In Review status.

- **Submitting Question**: This action allows a Questionnaire Creator to submit a question and move it to *Open* status. A Questionnaire Creator can submit a question when in Draft and In Review status.

- **Copying Question**: This action allows a Questionnaire Creator to duplicate an existing question. A Questionnaire Creator can copy a question when in Draft and In Review status either from Questions Library Search and List page or from Question Details page.

- **Reviewing Question**: This action allows a Questionnaire Creator to review the question details. A Questionnaire Creator can review a question when in Open status

- **Deleting Question**: This action allows a Questionnaire Creator to delete a question that is in Draft status.

Actions in Questionnaire Template

A Questionnaire Creator can perform the following actions in Questionnaire Library:

- **Creating Questionnaire**: This action allows a Questionnaire Creator to create a new questionnaire.

- **Localizing Questionnaire:** This action allows a Questionnaire creator to create a questionnaire in draft status by selecting specific business line and location in a template.

- **Submitting Questionnaire**: This action allows a Questionnaire Creator to submit the questionnaire and move it to Open status. A Questionnaire Creator can submit a questionnaire when in Draft and In Review status.

- **Copying Questionnaire**: This action allows a Questionnaire Creator to duplicate an existing questionnaire. A Questionnaire Creator can copy a questionnaire when in Draft and In Review status.

- **Deleting Questionnaire**: This action allows a Questionnaire Creator to delete a question that is in Draft status.

- **Preview Questionnaire**: This action allows a Questionnaire Creator to preview the questionnaire as viewed by the respondents and understand the behavior of questionnaire. A Questionnaire Creator can preview a questionnaire in Draft, Open, and In Review status.

- **Attach and Delete Documents**: This action allows a Questionnaire Creator to attach and delete any documents related to the questionnaire. A Questionnaire Creator can attach and delete a document in Draft, Open, and In Review status.

- **Sequence Questions**: This action allows a Questionnaire Creator to sequence the sections and questions in Draft and In Review status.

Actions in Localized Questionnaire

A Questionnaire Creator can perform the following actions in Questionnaire Library:

- **Creating Questionnaire**: This action allows a Questionnaire Creator to create a new questionnaire.

- **Editing Questionnaire**: This action allows a Questionnaire Creator to update the questionnaire details, and manage the sections and questions section. A Questionnaire Creator can edit a questionnaire when in Draft, and In Review status.

- **Submitting Questionnaire**: This action allows a Questionnaire Creator to submit the questionnaire and move it to Open status. A Questionnaire Creator can submit a questionnaire when in Draft and In Review status.

- **Copying Questionnaire**: This action allows a Questionnaire Creator to duplicate an existing questionnaire. A Questionnaire Creator can copy a questionnaire when in Draft and In Review status.

- **Review Questionnaire**: This action allows a Questionnaire Creator to review the questionnaire details. A Questionnaire Creator can review a questionnaire in Open status.

- **Deleting Questionnaire**: This action allows a Questionnaire Creator to delete a question that is in Draft status.

- **Preview Questionnaire**: This action allows a Questionnaire Creator to preview the questionnaire as viewed by the respondents and understand the behavior of questionnaire. A Questionnaire Creator can preview a questionnaire in Draft, Open, and In Review status.

- **Attach and Delete Documents**: This action allows a Questionnaire Creator to attach and delete any documents related to the questionnaire. A Questionnaire Creator can attach and delete a document in Draft, Open, and In Review status.

- **Sequence Questions**: This action allows a Questionnaire Creator to sequence the sections and questions in Draft and In Review status.

Actions in Configuration Library

- **Create Custom Logic:** This action allows the Configuration Library Administrator to create new custom logic.

- **Delete Custom Logic**: This action allows the Configuration Library Administrator to delete an existing custom logic.

- **Add Button**: This action allows the Configuration Library Administrator to add a custom logic.

- **Delete Button**: This action allows the Configuration Library Administrator to delete an existing custom logic.

Actions in Manage Respondent

- **Delegate**: This action allows the Administrator to delegate tasks.

Actions in Distribution List

- **Create Distribution**: This action allows the Distribution List Administrator to create new distribution.

- **Delete Distribution**: This action allows the Distribution List Administrator to delete an existing distribution.

- **Link/Unlink Users**: This action allows the Distribution List Administrator to Link or Unlink Users to the newly created or existing distribution.

Managing Questions Library

This section covers the following topics:

- About Questions Library

- Questions Library Workflow

- Accessing Questions Library

- Searching Questions

- Creating a Question

- Managing Question Details

- Copying a Question

- Deleting a Question

About Questions Library

A Questions Library consists of a library of questions which can be used in a questionnaire. Users mapped to the role of Questionnaire Creator can create questions in Questions Library and can associate those questions to a Questionnaire from Questionnaire Library. While creating a question, a Questionnaire Creator can choose the question type, display option, and define the response options. The Questions Library will also list all the questions that were created through Questionnaire Library.

Questions Library Workflow

The workflow of the Questions Library is depicted in the following diagram:
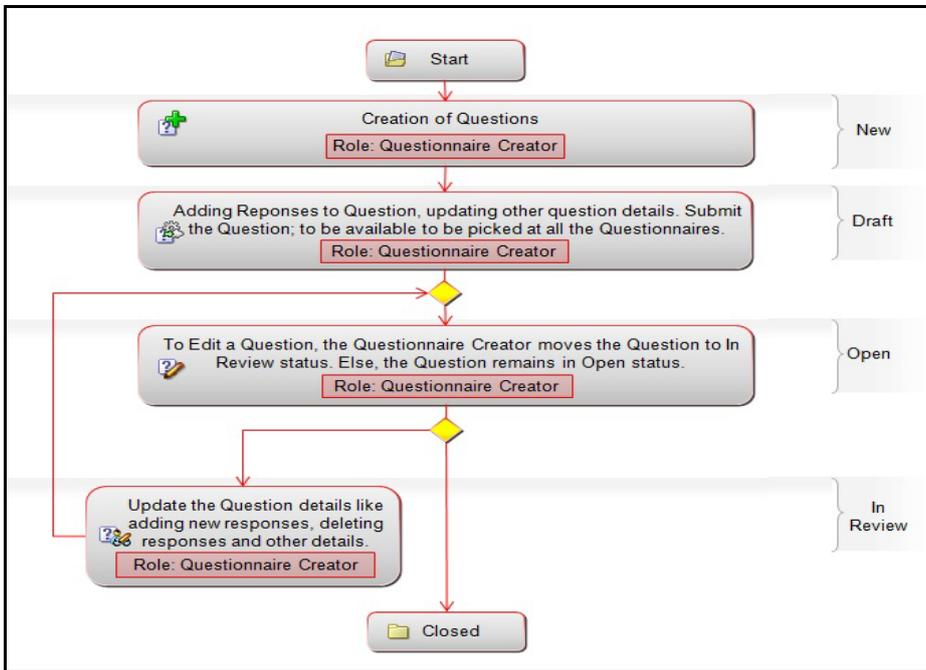
Figure 79. Questions Library Workflow

Accessing Questions Library

This section explains how to access the Questions Library menu.

To access the Questions Library menu, follow these steps:

1. Login to OFS OR/GCM application as Questionnaire Creator.

2. Click **Admin** primary menu, hover over Questionnaire and select **Questions Library**. The Questions Library Search and List page is displayed.

Figure 80. Questions Library Search and List Page

A Questionnaire Creator can perform a search either through simple search or by advanced search criteria.

Searching Questions

The Questions Library Search and List enables you to filter the list of questions that you want to view and analyze. The Questions Library search bar supports two types of search-Search using Basic Search and Advanced Search.

The Questions List displays a list of questions that meet the criteria specified on the Questions Library Search bar.

This section explains the following topics:

- Searching Questions Using Basic Search
- Searching Questions Using Advanced Search

Searching Questions Using Basic Search

This search is based on limited set of search criteria such as the ID or the Question and helps you to retrieve the relevant Questions details.

To search for questions using Basic Search, follow these steps:

1. Navigate to the Questions Library Search and List page.

   Note: By default, the Search option is selected in the search bar.

Figure 81. Searching Questions with Basic Search Fields

2. Enter the following search criteria to filter the list of questions.

Table 68. Basic Search Bar Fields

Criteria	Description
ID	Enter the sequential tracking number of the question record. This field supports wildcard search.
Question	Enter the title of the question. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.

Searching Questions Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with set of additional fields. If you know Processes details such as ID, Question, Category, Question Type, Status, and so on, then you can filter the Questions using the Advanced Search

To search for questions using Advanced Search, follow these steps:

1. Navigate to the Questions Library Search and List page.

   Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 82. Searching Questions with Advanced Search fields

3. Enter the following search criteria to filter the list of questions.

Table 69. Advanced Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the question record. This field supports wildcard search.
Question	Enter the title of the question. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Category	Select a category from the drop-down list to filter the list of questions having the selected category. The Category drop-down has the following options: ● Select All ● IT ● External ● Infrastructure **Note:** This field can be configured in Reference Data Management (RDM). Categories specific to each application can be configured from RDM. Default values for OR/GCM is listed above.
Question Type	Select the question type from the multi-select option to filter the list of questions having the selected question type. The Question Type field displays the following options: ● Select All ● Single Choice ● Multiple Choice ● Free Text ● Number ● Range
Status	Select the status from the drop-down list to filter the list of questions with the selected status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● In Review
Last Modified From	Select a date from the calendar to display the list of questions whose last modified date is greater than or equal to the specified date.
Last Modified To	Select a date from the calendar to display the list of questions whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates.*

4. Click **Go**. The relevant search list is displayed.

> **Note:** If there are no records matcheing the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Creating a Question

When an organization wants to bring out a new change to their infrastructure systems, process, or projects they can create a new Question and help the organization to track the initiated Question to completion.

To create a new Question, follow these steps:

1. Navigate to the Questions Library Search and List page.

2. Click **Create Question**. The Question definition page is displayed.

   The status of the question is displayed as *New.*

Figure 83. Question Definition Page

3. Enter the following field in the definition page:

Table 70. Fields of Question Definition Page

Field Name	Description
ID	Displays the sequential tracking number generated for the question. This is an auto-generated unique identification number and cannot be modified.
Question	Enter the title of the question. This field allows you to enter a maximum of 300 characters. **Note:** If you save without entering a value in the name field, the application displays the following message: *Question Name and Type are mandatory.*

Table 70. Fields of Question Definition Page (Continued)

Field Name	Description
Description	Enter a detailed description about the question. This field allows you to enter a maximum of 3000 characters.
Category	Select a category for the question from the drop-down list options. The default category options for OFS OR/GCM application is configured to list the following options: ● IT ● External ● Infrastructure **Note:** Category field options specific to different applications can be configured from Reference Data Management. This fields is a mandatory field.

4. From LHS menu, select a Question Type for the question. Based on the Question Type selected, the display options for the question are displayed as follows:

Table 71. Question Type and Response Options Field Descriptions

Question Types	Response Options & Display Choices
Single Choice	Select this option, when you want your respondents to choose a single answer from the list of provided options. You can select the list of options to be displayed for respondents either as a drop-down list or as Radio Buttons. To add the response options, click **Add Option** and a new row is added in the Response Options section. Enter a response option for the selected display choice list up to 50 characters. The following images are displayed to a respondent: Display as drop-down Display as Radio buttons **Note:** ● By default, the drop-down is selected as the display option. ● When you select Single Choice option as the question type, you need to mandatory define the response options for the list. ● To delete a response option, select the required response option row and click **Delete Option**.

Table 71. Question Type and Response Options Field Descriptions

Question Types	Response Options & Display Choices
Multiple Choice	Select this option, when you want your respondents to choose multiple answers from the list of provided options. You can select the list of options to be displayed for respondents either as a Check box list or as Combo Box. To add the response options, click **Add Option** and a new row is added in the Response Options section. Enter a response option for the display choice list up to 50 characters. The following images are displayed to a respondent: Display as Check box list Display as Combo Box: **Note**: ● By default, Multiple Choice Check boxes is selected as the display option. ● When you select Multiple Choice option as the question type, you need to mandatory define the response options for the list. ● To delete a response option, select the required response option row and click **Delete Option**.

Table 71. Question Type and Response Options Field Descriptions

Question Types	Response Options & Display Choices
Free Text	Select this option to allow the respondents to respond to the question as a free text. You can select the display option for respondents either as Text field or Text area. The following images are displayed to a respondent: Display as Text Field Display as Text Area **Note**: By default, Text Field is selected as the display option.

Table 71. Question Type and Response Options Field Descriptions

Question Types	Response Options & Display Choices
Number	Select this option to allow the respondents to respond to the question as a numeric value of up to 15 digits without any decimals. The following image is displayed to a respondent: Number Question # 1.) What is the population of America? Enter a value:
Range	Select this option, when you want your respondents to respond to the question within a range from the list of provided options. You can select the list of options to be displayed for respondents either as a Range of Values or as a Number. If you select Display as Number option, then the number entered by the respondents is compared with the defined range for each response option and a score is derived. To add the response options, click **Add Option** and a new row is added in the Response Options section. You need to define the lower limit and upper limit range for the responses. The following images are displayed to a respondent:: *Display as Range of Values* Question # 1.) What is the capital of America ? Select the correct option Select between ⦿ 0 to 100 ○ 101 to 1000 ○ 1001 to 1999 Display as a Number Question # 1.) What is the population of America? Enter a value: **Note**: ● By default, the Range of Values is selected as the display option. ● Ranges entered in Lower and Upper limit must not overlap themselves. Else while submitting the question, the following warning message is displayed: *Overlapping ranges are not permitted*. ● If a respondent enters a number outside the defined range for a response option, then the following message is displayed: *Value is outside the defined range for the question.*
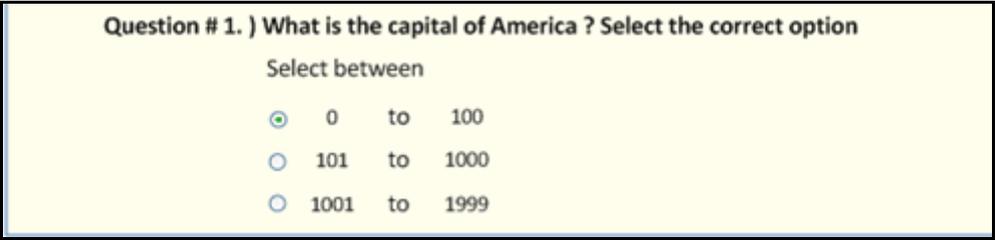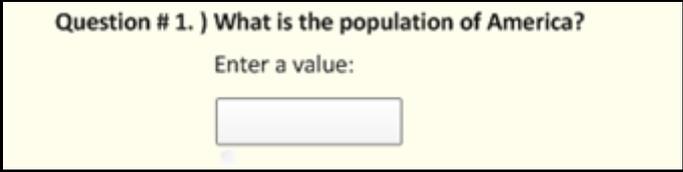
5. Select a display option for the question based on the selected question type.

   Note: An example of a question for the selected display type is displayed for your reference.

6. Add the appropriate responses for the question using the **Add Option** button.

   Note: To delete a response option, select an option from the Response Options section and click **Delete Option**.

7. After adding the required responses, click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the question changes to *Draft*. Subsequently, you can copy, edit, and submit a question in *Draft* status. You can also delete a question from Questions Library Search and List page.

   Or

   Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

   Validation Messages:

   - If any of the mandatory fields are not entered, the following message is displayed: *Mandatory fields are not entered.*

   - If the Question Type is selected as either Single Choice or Multiple Select or Range, then you must add at least one response in Response section. Else, the following message is displayed: *Response Options for the Question are not defined.*

   - If any of the response options is blank, then the following message is displayed: *Response Options cannot be left blank.*

   - If the Question Type is selected as Range, then the entered range values should not overlap each other. Else the following message is displayed: *Overlapping ranges are not permitted.*

   When the submission is successful, the following message is displayed: *Add Operation Successful.* Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

Managing Question Details

This section covers the following topics:

- Editing a Question

- Submitting a Question in Draft and In Review Status

- Viewing Associated Questionnaires

- Deleting a Question

- Viewing Associated Questionnaires

Editing a Question

If you want to edit or update the Question details, you can perform edit action on a Question from the Question Details page. Users mapped to the role of Questionnaire Creator can edit a Question only in Draft, and In Review status.

This section covers the following two topics:

- Editing a Question in Draft Status

- Reviewing a Question in Open Status

- Editing a Question in In Review Status

Editing a Question in Draft Status

To edit a question in Draft status, follow these steps:

1. Navigate to the Question Details page of question in Draft status.

2. Click **Edit**. The Details tab changes into an editable mode.

   You can edit the following items while in Draft status:

   ◼ Question

   ◼ Description

   ◼ Category

   ◼ Question Type and Display Options

   ◼ Response Options

3. After performing the appropriate actions, click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the Question remains in *Draft*.

   Or

   Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful*. Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

   Validation Messages:

   ◼ If any of the mandatory fields are not entered, the following message is displayed: *Mandatory fields are not entered*.

   ◼ If the Question Type is selected as either Single Choice or Multiple Select or Range, then you must add at least one response in Response section. Else, the following message is displayed: *Response Options for the Question are not defined*.

   ◼ If any of the response options is blank, then the following message is displayed: *Response Options cannot be left blank*.

   ◼ If the Question Type is selected as Range, then the entered range values should not overlap each other. Else the following message is displayed: *Overlapping ranges are not permitted*.

   ◼ If you try to change the Question Type of the question, the following message is displayed: *The response options for the current Question Type will be erased. Do you want to continue?*

Reviewing a Question in Open Status

You cannot edit a question in Open status. However, you can click **Review Question** action from Question Details page and move the question to In Review status. Subsequently, you can edit a question in *In Review* status.

To review a question in Open status, follow these steps:

1. Navigate to the Question Details page of question in *Open* status.

2. Click **Review Question**. The following message is displayed: *Reviewing the Question will render all Open Questionnaires using this Question to In-Review status. This might result in Questionnaires not being available for assessments. Do you want to continue?*

3. Click **OK**. The status of the question changes to *In Review.*

   Note: To know how to review a question from Questionnaire Details page, refer to *Managing Questionnaire Details* for more information.

Editing a Question in In Review Status

To edit a question in In Review status, follow these steps:

1. Navigate to the Question Details page of question in *In Review* status.

2. Click **Edit**. The Details tab changes into an editable mode.

   You can edit the following items while in In Review status:

   - Question

   - Description

   - Category

   - Display Options

   - Response Options

   Note: You cannot edit the Question Type of a question in *In Review* status.

3. After performing the appropriate actions, click **Update**. The following message is displayed: *Update Operation Successful.*

   Note: If there are mandatory information, which are missing or information that are in some way invalid, you will receive warnings to correct the information before updating.

4. Click **OK**. The status of the Question remains in *In Review.*

   Or

   Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

   Validation Messages:

   - If any of the mandatory fields are not entered, the following message is displayed: *Mandatory fields are not entered.*

   - If the Question Type is selected as either Single Choice or Multiple Select or Range, then you must add at least one response in Response section. Else, the following message is displayed: *Response Options for the Question are not defined.*

   - If any of the response options is blank, then the following message is displayed: *Response Options cannot be left blank.*

   - If the Question Type is selected as Range, then the entered range values should not overlap each other. Else the following message is displayed: *Overlapping ranges are not permitted.*

   - If you try to change the Question Type of the question, the following message is displayed: *The response options for the current Question Type will be erased. Do you want to continue?*

- ■ While submitting a question from *In Review* status if the question is linked to a Questionnaire in *Draft* and *In Review* status, the changes made to the question is updated in the associated questionnaires and the status of the questionnaires remain in *Draft* and *In Review* respectively.

- ■ While submitting a question from *In Review* status if the question is linked to a Questionnaire in *Open* status, the changes made to the question is updated in the associated questionnaires and the status of the questionnaire changes to *In Review.*

Submitting a Question in Draft and In Review Status

To submit a question in Draft and In Review status, follow these steps:

1. Navigate to the Questions Details page of a question in Draft or In Review status.

   The Question Details page is displayed.
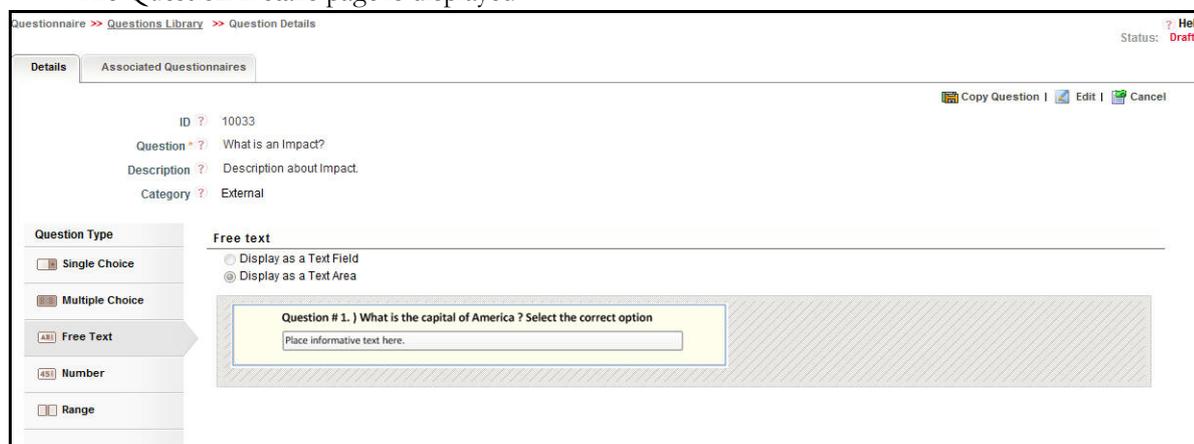
Figure 84. Question Details Page

   When a question is in Draft status, you can edit, copy, delete, and submit a question.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. After performing the appropriate actions, click **Submit**.

   Validation Messages:

   - ■ If any of the mandatory fields are not entered, the following message is displayed: *Mandatory fields are not entered.*

   - ■ If the Question Type is selected as either Single Choice or Multiple Select or Range, then you must add at least one response in Response section. Else, the following message is displayed: *Response Options for the Question are not defined.*

   - ■ If any of the response options is blank, then the following message is displayed: *Response Options cannot be left blank.*

   - ■ If the Question Type is selected as Range, then the entered range values should not overlap each other. Else the following message is displayed: *Overlapping ranges are not permitted.*

4. If there are no error detected, then the following message is displayed: *Update Operation Successful.*

5. Click **OK**. The status of the Question changes to *Open.*

Note: When you submit a question from In Review status, the updated question is linked to all associated questionnaires.

Viewing Associated Questionnaires

The Associated Questionnaires tab lists the questionnaires that are associated with the question. This tab will lists all questionnaires that you have either created or linked questions through the Questionnaire Details page.

Figure 85. Associated Questionnaires

You can view the Associated Questionnaire tab when the question is in Draft, Open, and In Review status. The Questionnaires section displays the following information:

- ID
- Name
- Type
- Purpose
- No of Questions
- Status
- Last Modified

Copying a Question

You can create a copy of a question along with its response options when in Draft and In Review status. You can copy a question either from Questions Library Search and List page or from Question Details page.

To create a duplicate question of an existing question, follow these steps:

1. From the Questions Library Search and List page, select a question in Draft or In Review status.

   Or

   Navigate to the Question Details page of a question in Draft or In Review status.

2. Click **Copy Question**.

   When you copy a question from Questions Library Search and List page, the following message is displayed: *New Question with ID <Question ID> is created*.

   When you copy a question from Question Details page, the following message is displayed: *Successfully created question with ID <Question ID>*.

3. Click **OK**. A new question is created and listed in the Questions Library Search and List page in *Draft* status. While copying a question, Workflow History and Associated Questionnaire information will not be copied to the newly created question.

   To view the copied question, navigate to the Questions List or search for copied question using the search bar.

Deleting a Question

You can delete a questions in Draft status if they are not applicable to the business or an organization.

To delete an questionnaire, follow these steps:

1. Navigate to the Questions Library Search and List page.

2. Select a **Question ID** in Draft status.

3. Click **Delete Question**. The following message is displayed: *Are you sure you want to delete this record?*

   Note: If the question is linked to a Questionnaire, then the following message is displayed: *This question is currently linked to questionnaires. Are you sure you want to delete this record?*

4. Click **OK**. The following message is displayed: *Delete Operation Successful*.

   Note: If there are any associated questionnaires, then they will be delinked.

5. Click **OK**. The system refreshes and displays the Questions Library Search and List page.

Managing Questionnaire Template

This section covers the following topics:

- About Questionnaire Template

- Questionnaire Template Workflow

- Accessing Questionnaire Template

- Searching Questionnaire Template

About Questionnaire Template

A Questionnaire Template consists of templates which can be used in a questionnaire. Users mapped to the role of Questionnaire Template Creator can create template in Questionnaire Template and can associate those templates to a Questionnaire. While creating a Questionnaire Template, a Questionnaire Template Creator can choose the questionnaire template type, display option, and define the response options. The Questionnaire Template will also list all the questionnaire template that were created.

Questionnaire Template Workflow

The workflow of the Questionnaire Template is depicted in the following diagram:

<Yet to confirm about this section>

Accessing Questionnaire Template

This section explains how to access the Questionnaire Template menu.

To access the Questionnaire Template menu, follow these steps:

1. Login to OFS OR/GCM application as Questionnaire Template Creator.

2. Click **Admin** primary menu, hover over Questionnaire and select **Questionnaire Template.** The Questionnaire Template Search and List page is displayed

Figure 86. Questionnaire Template Search and List Page

A Questionnaire Template Creator can perform a search either through simple search or by advanced search criteria.

Searching Questionnaire Template

The Questionnaire Template Search and List enables you to filter the list of Templates that you want to view and analyze. The Questionnaire Template search bar supports two types of search-Search using Basic Search and Advanced Search.

The Questionnaire Template List displays a list of questions that meet the criteria specified on the Questions Library Search bar.

This section explains the following topics:

- Searching Questionnaire Template Using Basic Search
- Searching Questionnaire Template Using Advanced Search

Searching Questionnaire Template Using Basic Search

This search is based on limited set of search criteria such as the ID or the Name and helps you to retrieve the relevant Questionnaire Template details.

To search for Questionnaire Template using Basic Search, follow these steps:

1. Navigate to the Questionnaire Template Search and List page.

    Note: By default, the Search option is selected in the search bar.
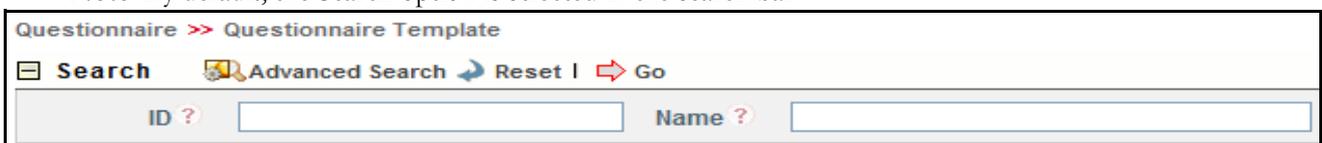
Figure 87. Searching Questionnaire Template with Basic Search Fields

2. Enter the following search criteria to filter the list of questions.

Table 72. Basic Search Bar Fields

Criteria	Description
ID	Enter the sequential tracking number of the questionnaire teamplate record. This field supports wildcard search.
Name	Enter the name of the template.

3. Click **Go**. The relevant search list is displayed.

Searching Questionnaire Template Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with set of additional fields. If you know Processes details such as ID, Name, Application, Type, Purpose, Status, and so on, then you can filter the Questionnaire Template using the Advanced Search

To search for questionnaire template using Advanced Search, follow these steps:

1. Navigate to the Questionnaire Template Search and List page.

   Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 88. Searching Questionnaire Template with Advanced Search fields

3. Enter the following search criteria to filter the list of questions.

Table 73. Advanced Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the question record. This field supports wildcard search.
Name	Enter the name of the template.
Application	Select the application from the application drop down list
Type	Select the type from the type drop down list
Purpose	Select the purpose from the purpose drop down list
Status	Select the status from the drop-down list to filter the list of questions with the selected status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● In Review

Table 73. Advanced Search Criteria

Criteria	Description
Last Modified From	Select a date from the calendar to display the list of questionnaire template whose last modified date is greater than or equal to the specified date.
Last Modified To	Select a date from the calendar to display the list of questionnaire template whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates.*

4. Click **Go**. The relevant search list is displayed.

> **Note:** If there are no records matcheing the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Managing Localized Questionnaire

This section covers the following topics:

- About Localized Questionnaire
- List of Entities Using Localized Questionnaire
- Localized Questionnaire Workflow
-
- Accessing Localized Questionnaire
- Searching Localized Questionnaire
- Creating a Localized Questionnaire
- Managing Questionnaire Details
- Responding to Questionnaire
- Deleting a Questionnaire
- "Responding to Questionnaire"

About Localized Questionnaire

A Localized Questionnaire consists of a library of questionnaires that can be used for various business purposes such as attestations, assessments, decision tree for suggesting results, and so on. There are three types of Questionnaires, namely:

- Basic Questionnaire
- Score Based Questionnaire
- Decision Tree Questionnaire

Basic Questionnaire

A Basic Questionnaire is a set of questions that can be used as an indirect input in decision making. For example, if you are assessing the risks using the basic questionnaires then the answers to those questions helps the assessor in arriving at a decision indirectly.

The assessor of an entity where the basic questionnaire is implemented can analyze all responses received from the respondents and helps an assessor in reaching a decision. Refer *Table 74 Entities Using Questionnaire,* for more information on the fields using the Basic Questionnaire.

Score Based Questionnaire

Score Based Questionnaires are a set of questions that can be used as a direct input in decision making. For example, if you are assessing risks using the Score Based questionnaires, then the answers to those questions derives the risk assessment rating based on the scores given to each questions. A score based Questionnaire is displayed in decesion-tree format.

The assessor of an entity where the score based questionnaire is implemented can override the ratings generated from the risk assessment. Refer *Table 74 Entities Using Questionnaire,* for more information on the fields using the Score Based Questionnaire.

Decision Tree Questionnaire

A decision tree acts a decision support tool that uses a tree-like graph or model of decisions and their possible consequences, including chance event outcomes, resource costs, and utility.

All types of questions can be linked from the Linked or Create Screen for Decesion Tree Questionnaire.

Decision Tree Questionnaire is a set of questions that guides you in different directions based on answers to questions and helps you in reaching a decision node. This type of questionnaire is useful when there are multiple outcomes possible and you are not aware which one is the appropriate outcome. Refer *Table 74 Entities Using Questionnaire,* for more information on the fields using the Decision Tree Questionnaire. All types of questions can be linked for a Decesion Tree Questionnaire.

List of Entities Using Localized Questionnaire

The following table lists the entities that uses the questionnaire module:

Table 74. Entities Using Questionnaire

Purpose	Basic Questionnaire	Score Based Questionnaire	Decision Tree Questionnaire
Inherent Risk Assessment	✔	✔	
Control OE Assessment	✔	✔	
Control DE Assessment	✔	✔	
Regulation Assessment	✔		
Obligation Assessment	✔	✔	
Control Attestation	✔		
Process Attestation	✔		
Financial Attestation	✔		
Compliance Plan Attestation	✔		
SOX Certification (302 & 404)	✔		

Table 74. Entities Using Questionnaire

Purpose	Basic Questionnaire	Score Based Questionnaire	Decision Tree Questionnaire
Change Management			✔
Risk Event Type			✔
Generic	✔	✔	

The following table includes the list of actions that are available according to the selected Purpose of a Questionnaire Type:

Table 75. Questionnaire Type-Purpose Mapping

Questionnaire Type	Purpose	Details Tab						Administer Tab				Analyze Tab
		Define Response Options for Questions	Define Scores for Response Options	Define Weightage for Questions	Define Scores for Assessment	Define Logic for the questions	Define Selected Result	Link Business Units Covered	Link Entities for Assessment	Add Questionnaire Respondents	Plan and Schedule the Questionnaire	Viewing Response Summary
Basic	Inherent Risk Assessment	X						X	X	X	X	X
	Control OE Assessment	X						X	X	X	X	X
	Control DE Assessment	X						X	X	X	X	X
	Obligation Assessment	X						X	X	X	X	X
	Control Attestation	X										
	Process Attestation	X										
	Financial Attestation	X										
	SOX 302 Certification	X										
	SOX 404 Certification	X										
	Generic	X						X	X	X	X	X
Score Based	Inherent Risk Assessment	X	X	X	X			X	X	X	X	X
	Control OE Assessment	X	X	X	X			X	X	X	X	X
	Control DE Assessment	X	X	X	X			X	X	X	X	X
	Obligation Assessment	X	X	X	X			X	X	X	X	X
	Generic	X	X	X	X			X	X	X	X	X
Decision Tree	Change Management	X				X	X					
	Risk Event Type	X				X	X					

Localized Questionnaire Workflow

The workflow of the Localized Questionnaire is depicted in the following diagram:
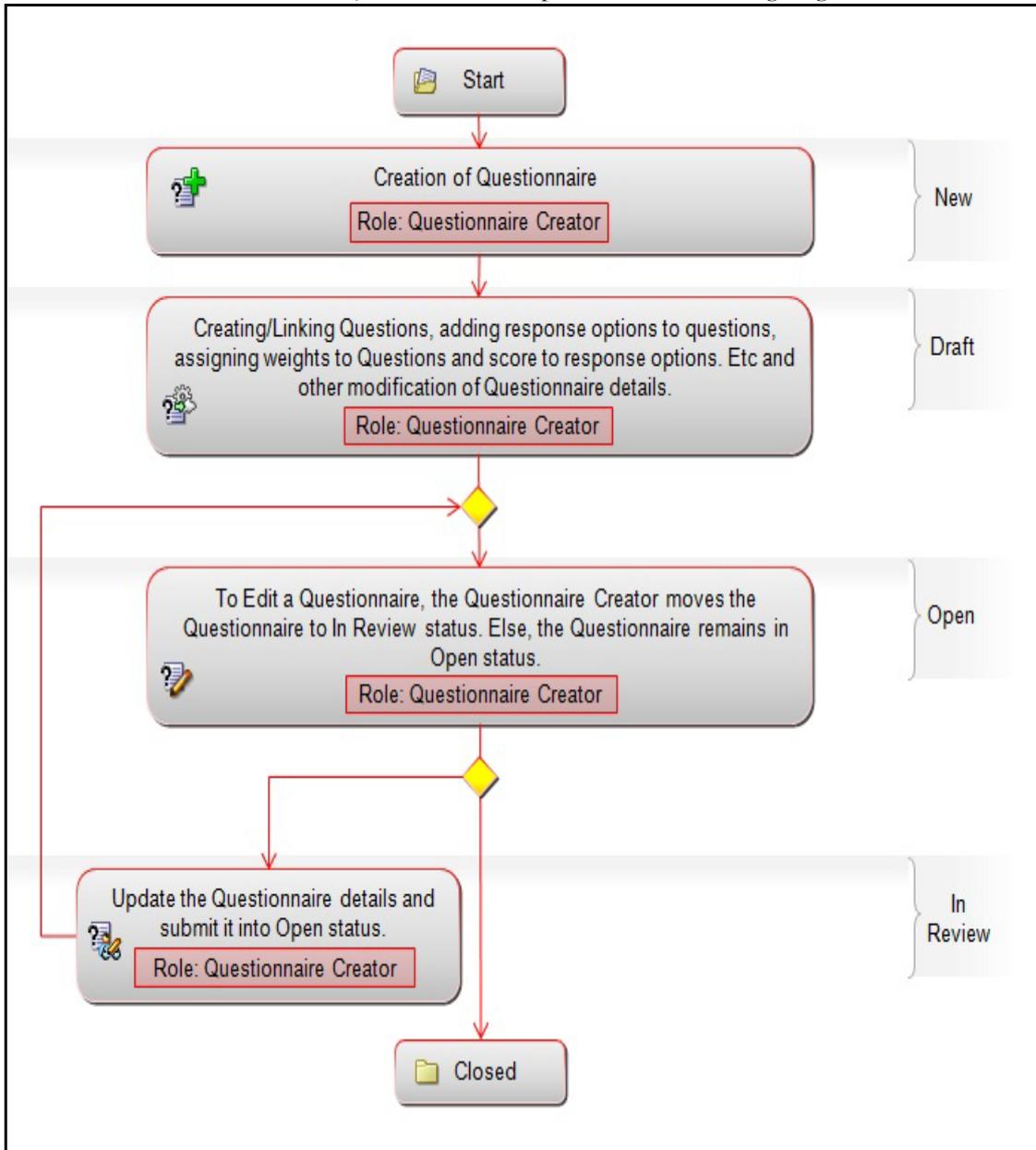
Figure 89. Localized Questionnaire Workflow

Tasks and Notifications in Localized Questionnaire Tasks are actionable items assigned and sent to an appropriate user role. By performing these tasks, the user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

The following table lists all tasks and notifications that each user roles will receive in their Inbox menu on performing a particular action.

Table 76. Tasks and Notifications

Action Performed	Task/Notification	Task/Notification Description	Sent To	Status
Linking Entities with Existing Questionnaires	Notification	A Notification is sent to the owners of the respective entities.	Entity Owners	Open
When a user other than the creator, moves the status of the Questionnaire to In Review status	Notification	A Notification is sent to the creator of the questionnaire.	Questionnaire Creator	In Review

Accessing Localized Questionnaire

This section explains how to access Localized Questionnaire menu.

To access the Localized Questionnaire menu, follow these steps:

1. Login to OFS OR/GCM application as Questionnaire Creator user.

2. Click **Admin** primary menu, hover over Questionnaire and select Localized **Questionnaire** The Localized Questions Search and List page is displayed.
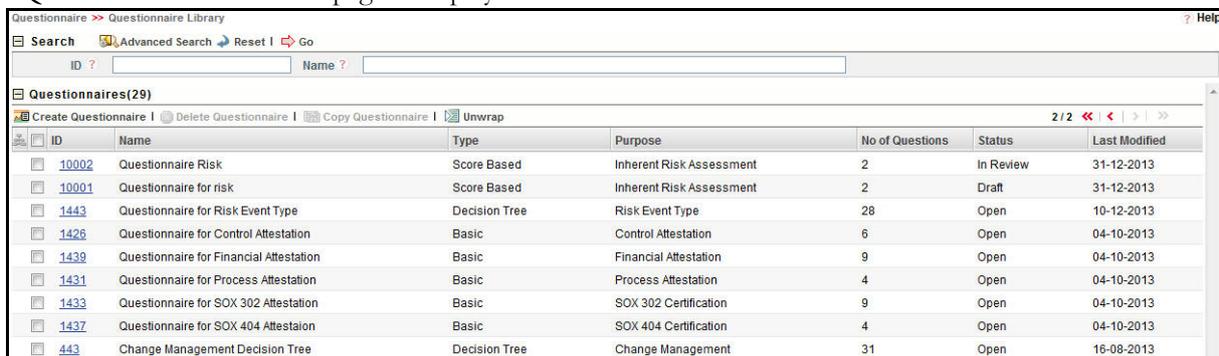
Figure 90. Localized Questionnaire Search and List Page

You can perform a search either through simple search or by advanced search criteria.

Searching Localized Questionnaire

The Localized Questionnaire Search and List enables you to filter the list of questions that you want to view and analyze. The Localized Questionnaire search bar supports two types of search-Search using Baisc Search and Advanced Search.

The Localized Questionnaire List displays a list of questions that meet the criteria specified on the Localized Questions Library Search bar. This section includes the following topics:

- Searching Localized Questionnaire Using Basic Search
- Searching Localized Questionnaire Using Advanced Search

Searching Localized Questionnaire Using Basic Search

This search is based on limited set of search criteria and helps you to retrieve the relevant Questionnaire Library details.

To search for Questionnaire using Basic Search, follow these steps:

1. Navigate to the Questionnaire Library Search and List page.

    Note: By default, the **Search** option is selected in the search bar.
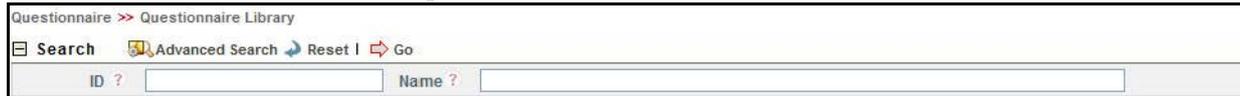
Figure 91. Searching Questionnaire with Baisc Search

2. Enter the following Baisc Search criteria to filter the list of questionnaire.

Table 77. Advanced Search Bar Criteria

Criteria	Description
ID	Enter the sequential tracking number of the questionnaire record. This field supports wildcard search.
Name	Enter the name of the questionnaire. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.

Searching Localized Questionnaire Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with additional fields. If you know Processes details such as ID, Name, Type, Purpose, Status, and so on, then you can filter the Questionnaire using the Advanced Search.

To search for Questions using Advanced Search, follow these steps:

1. Navigate to the Localized Questionnaire Search and List page.

    Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 92. Searching Questions with Advanced Search

3. Enter the following search criteria to filter the list of questionnaire.

Table 78. Advanced Search Bar Criteria

Criteria	Description
ID	Enter the sequential tracking number of the questionnaire record. This field supports wildcard search.
Name	Enter the name of the questionnaire. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Type	Select a type from the drop-down list to filter the list of questionnaire having the selected type. The Type drop-down has the following options: ● Basic ● Score Based ● Decision Tree

Table 78. Advanced Search Bar Criteria (Continued)

Criteria	Description
Purpose	Select a purpose from the drop-down list to filter the list of questionnaires having the selected question purpose. **Note:** The list options displayed in the Purpose drop-down are based on the values selected in the Type field. If you have selected Type as **Score Based**, then the following values are displayed in the purpose drop-down list: ● Inherent Risk Assessment ● Control OE Assessment ● Control DE Assessment ● Generic If you have selected Type as **Decision Tree**, then the following values are displayed in the purpose drop-down list: ● Change Management ● Risk Event Type If you have selected Type as **Basic**, then the following values are displayed in the purpose drop-down list: ● Inherent Risk Assessment ● Control OE Assessment ● Control DE Assessment ● Regulation Assessment ● Obligation Assessment ● Control Attestation ● Process Attestation ● Financial Attestation ● Compliance Plan Attestation ● SOX 302 Certification ● SOX 404 Certification ● Generic
Status	Select the status from the drop-down list to filter the list of questionnaire with the selected status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● In Review

Table 78. Advanced Search Bar Criteria (Continued)

Criteria	Description
Last Modified From	Select a date from the calendar to display the list of questionnaires whose last modified date is greater than or equal to the specified date.
Last Modified To	Select a date from the calendar to display the list of questionnaires whose last modified date is lesser than or equal to the specified date.
	When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates.*
Application	Select an application from the drop-down list.

4. Click **Go**. The relevant search list is displayed.

> **Note:** If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Creating a Localized Questionnaire

A Localized Questionnaire is of three types namely, Basic, Score Based, and Decision Tree.

This section includes the following topics:

- Creating a Basic Questionnaire
- Creating a Score Based Questionnaire
- Creating a Decision Tree Questionnaire

Creating a Basic Questionnaire

To create a Basic Questionnaire, follow these steps:

1. Navigate to the Localized Questionnaire Search and List page.

2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

   The status of the questionnaire is displayed as *New.*
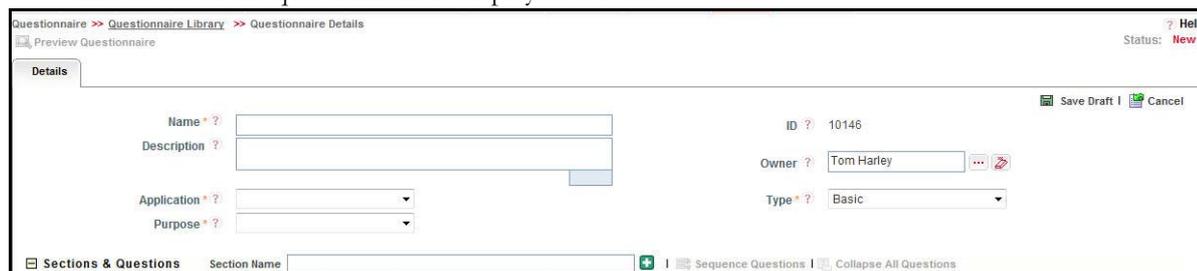
Figure 93. Basic Questionnaire Definition Page

3. Enter the following questionnaire details in the definition page.

Table 79. Fields of Basic Questionnaire Definition Page

Field Name	Description
ID	Displays the sequential tracking number generated for the questionnaire. This is an auto-generated unique identification number and cannot be modified.
Question	Enter a name for the questionnaire. You can enter up to 300 characters. **Note:** Entering a value in this field is mandatory. If you try to save without entering a value in this field, the application displays the following message: *Name, Type, Application & Purpose are mandatory*.
Description	Enter the detailed description about the questionnaire. You can enter up to 3000 characters.
Owner	Select an owner for the questionnaire from the hierarchy browser. The hierarchy browser will display the list of all users mapped to the role of Questionnaire Creator. **Note:** By default, this field will automatically populate the logged in Questionnaire Creator user.
Application	Select an application name from the drop-down for which the Questionnaire module is configured and used. This field is a mandatory field.
Type	Select the type as Basic from the drop-down list options. The Type drop-down displays the following options: ● Basic ● Score Based ● Decision Tree
Purpose	Select a purpose for the new questionnaire from the drop-down list options. The list options displayed in the Purpose drop-down are based on the values selected in the Application and Type fields. The purpose drop-down list displays the following options: ● Inherent Risk Assessment ● Control OE Assessment ● Control DE Assessment ● Obligation Assessment ● Control Attestation ● Process Attestation ● Financial Attestation ● SOX 302 Certification ● SOX 404 Certification ● Generic **Note:** The list of values in Purpose field pertains only to OFS OR/GCM application. In case other applications are using the Questionnaire module, the Administrator user can configure the list options for this field through Reference Data Management.

4. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Type, Application & Purpose of a Questionnaire once defined cannot be changed later. Do you want to proceed?*

5. Click **OK**. The following message is displayed: *Add Operation Successful*.

6. Click **OK**. The status of the question changes to *Draft*. Subsequently, you can edit and submit a questionnaire in *Draft* status. You can also copy and delete a questionnaire in *Draft* status from Questionnaire Library Search and List page.

A new Basic Questionnaire is created.

Creating a Score Based Questionnaire

To create a Score Based Questionnaire, follow these steps:

1. Navigate to the Localized Questionnaire Search and List page.

2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

The status of the questionnaire is displayed as *New*.

Figure 94. Score Based Questionnaire Definition Page

3. Enter the following questionnaire details in the definition page.

Table 80. Fields of Score Based Questionnaire Definition Page

Field Name	Description
ID	Displays the sequential tracking number generated for the questionnaire. This is an auto-generated unique identification number and cannot be modified.
Question	Enter a name for the questionnaire. You can enter up to 300 characters. **Note:** Entering a value in this field is mandatory. If you try to save without entering a value in this field, the application displays the following message: *Name, Type, Application & Purpose are mandatory.*
Description	Enter the detailed description about the questionnaire. You can enter up to 3000 characters.
Owner	Select an owner for the questionnaire from the hierarchy browser. The hierarchy browser will display the list of all users mapped to the role of Questionnaire Creator. **Note:** By default, this field will automatically populate the logged in Questionnaire Creator user.
Application	Select an application name from the drop-down for which the Questionnaire module is configured and used. This field is a mandatory field.

Table 80. Fields of Score Based Questionnaire Definition Page (Continued)

Field Name	Description
Type	Select the type as Score Based from the drop-down list options. The Type drop-down displays the following options: ● Basic ● Score Based ● Decision Tree
Purpose	Select a purpose for the new questionnaire from the drop-down list options. The list options displayed in the Purpose drop-down are based on the values selected in the Application and Type fields. The purpose drop-down list displays the following options: ● Inherent Risk Assessment ● Control OE Assessment ● Control DE Assessment ● Obligation Assessment ● Generic **Note:** The list of values in Purpose field pertains only to OFS OR/GCM application. In case other applications are using the Questionnaire module, the Administrator user can configure the list options for this field through Reference Data Management.

4. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Type, Application & Purpose of a Questionnaire once defined cannot be changed later. Do you want to proceed?*

5. Click **OK**. The following message is displayed: *Add Operation Successful.*

6. Click **OK**. The status of the question changes to *Draft*. Subsequently, you can edit and submit a questionnaire in *Draft* status. You can also delete a questionnaire in *Draft* status from Localized Questionnaire Search and List page.

   A new Score Based Questionnaire is created and additionally displays Results and Documents sections.

7. Expand the **Result** section.

   Note: This section is displayed only when the Questionnaire Type is Score Based.

8. Enter the rating values.

   Note:

   ■   The Lower and Upper limits must be in percentages and continuous either in ascending or descending order of 0 to 100.

   ■   The lower and upper limits must not overlap themselves. Else the following message is displayed while submitting: *Lower and Upper limit ranges should be continuous and should not overlap.*

   ■   If you enter a rating value outside the range of 0 and 100, then while submitting the questionnaire the following message is displayed: *Value should be between 0 and 100.*

   The rating values differ based on the purpose of the score based questionnaire selected. The following table lists the rating values for assessments:

Table 81. Rating Values for Assessments

Purpose	Rating Values	Result Description
Inherent Risk Assessment	• High • Medium • Low	This Questionnaire will derive the Inherent Risk Rating of the assessed risk record.
Control OE Assessment	• Requires Improvement • Qualified • Effective	This Questionnaire will derive the Operating Effectiveness of the assessed control record.
Control DE Assessment	• Requires Improvement • Qualified • Effective	This Questionnaire will derive the Design Effectiveness of the assessed control record.
Obligation Assessment	• Non-Compliant • Partially Compliant • Compliant	This Questionnaire will derive the compliance rating of the assessed obligation record.
Generic	This values for this purpose can be configured according to the application installed.	

9. Click **Update**. The following message is displayed: *Update Operation Successful.*

10. Click **OK**.

Note: The application is now able to display score based questionnaire in Decesion-Tree format.

Creating a Decision Tree Questionnaire

To create a Decision Tree Questionnaire, follow these steps:

1. Navigate to the Localized Questionnaire Search and List page.

2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

    The status of the questionnaire is displayed as *New.*

Figure 95. Decision Tree Questionnaire Definition Page

3. Enter the following questionnaire details in the definition page.

Table 82. Fields of Decision Tree Questionnaire Definition Page

Field Name	Description
ID	Displays the sequential tracking number generated for the questionnaire. This is an auto-generated unique identification number and cannot be modified.
Question	Enter a name for the questionnaire. You can enter up to 300 characters. **Note:** Entering a value in this field is mandatory. If you try to save without entering a value in this field, the application displays the following message: *Name, Type, Application & Purpose are mandatory.*
Description	Enter the detailed description about the questionnaire. You can enter up to 3000 characters.
Owner	Select an owner for the questionnaire from the hierarchy browser. The hierarchy browser will display the list of all users mapped to the role of Questionnaire Creator. **Note:** By default, this field will automatically populate the logged in Questionnaire Creator user.
Application	Select an application name from the drop-down for which the Questionnaire module is configured and used. This field is a mandatory field.
Type	Select the type as Decision Tree from the drop-down list options. The Type drop-down displays the following options: ● Basic ● Score Based ● Decision Tree **Note**: When you select the type as Decision Tree, an additional field namely Results Categories is displayed in the definition page.

Table 82. Fields of Decision Tree Questionnaire Definition Page (Continued)

Field Name	Description
Purpose	Select a purpose for the new questionnaire from the drop-down list options. The list options displayed in the Purpose drop-down are based on the values selected in the Application and Type fields. The purpose drop-down list displays the following options: ● Change Management ● Risk Event Type **Note:** The list of values in Purpose field pertains only to OFS OR/GCM application. In case other applications are using the Questionnaire module, the Administrator user can configure the list options for this field through Reference Data Management.
Results Categories	Select a result category for the decision tree questionnaire from the drop-down options. The drop-down list displays the following options: ● Change Impact Rating ● Risk Event Type ● Stakeholders ● Risk Categories ● Risk Inventory ● Product ● Process ● Causes ● Business Line ● Location ● Legal Entity ● Materiality

4. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Type, Application & Purpose of a Questionnaire once defined cannot be changed later. Do you want to proceed?*

5. Click **OK**. The following message is displayed: *Add Operation Successful.*

6. Click **OK**. The status of the question changes to *Draft*. Subsequently, you can edit and submit a questionnaire in *Draft* status. You can also delete a questionnaire in *Draft* status from Localized Questionnaire Search and List page.

   A new Decision Tree Questionnaire is created.

   A score -based Questionnaire can be displayed in the decesion-tree format.

Note: All types of Questionnaire for example, Single Choice, Multiple Choice, Free Text and so on can now be linked or created for Decesion Tree Questionnaire.

Managing Questionnaire Details

You can perform various actions on questionnaires from Questionnaire Details page such as edit, submit, review, and so on.

This section includes the following topics:

● Adding a Section

- Editing a Section

- Deleting a Section

- Creating a Question

- Linking Questions

- Editing a Questionnaire

- Editing Response Options of a Basic Questionnaire

- Editing Response Options of a Score Based Questionnaire

- Editing Response Options of a Decision Tree Questionnaire

- Submitting a Questionnaire in Draft and In Review Status

- Attaching Documents to a Questionnaire

- Managing Administer

- Managing Analyze

- Reviewing a Questionnaire

- Sequencing a Questionnaire

- Previewing a Questionnaire

Adding a Section

You can create multiple sections in a Questionnaire and include a list of related questions specific to the added section.

To add a section to a Questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the Update and Submit buttons.

3. Expand **Sections & Questions** section.

4. Enter the name of the new section in the **Section Name** text field.

5. Click . The following message is displayed: *Add Operation Successful.*

6. Click **OK**.

   A new section is added and displayed in the Sections and Questions section.

   Note: A Questionnaire Creator cannot add a section when the Questionnaire is in *Open* status.

Editing a Section

To edit a section in Questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in *Draft* or *In Review* status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Expand the required section that you want to edit.

4. Click **Edit Section**. The section name changes into an editable mode.

5. Edit the section name and click **Save Section**.

    The updated section is displayed.

    Note: You cannot edit a section when the Questionnaire is in *Open* status.

Deleting a Section

To delete a section in questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Expand the required section that you want to edit.

4. Click **Delete Section**. If the section includes any questions, then the following message is dis pl a hy ed: *Questions available under this section will be removed. Do you want to continue?*

5. Click **OK**.

    The section is deleted from the questionnaire.

    Note: You cannot delete a section when the Questionnaire is in *Open* status.

Creating a Question

To create a question from the questionnaire details page, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Expand the required section where you want to create a new question.

4. Click **Create Question**. A Question Definition page is displayed inside the Questionnaire Details Page.

    Refer to *Creating a Question* on page 202 for more information.

5. After creating a new question, click **Cancel** or to navigate back to Questionnaire Details page.

    Note: You can delete a question in *Draft* status using the **Delete Question** option.

Linking Questions

To link questions in a section om the questionnaire details page, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Expand the required Sections & Questions.

4. Click **Link Question**. A Link Questions window is displayed inside the Questionnaire Details page.

5. Search for the required questions using the search bar and then select the questions from the Questions Lists.

    Or

    Select the required questions from the Questions Lists that displays the pre-filtered list of questions through a default search criteria. The Questions list displays the questions only in *Draft* and *Open* status.

6. Click **Link**. The following message is displayed: *Questions Linked Successfully.*

7. Click **OK**.

8. After linking questions, click **Cancel** or ![X] to navigate back to Questionnaire Details page.

    Note: To delink a linked question from the Questionnaire, select the check box against each row and click **Delink Question**.

Editing a Questionnaire

This section describes you how to edit and update the existing Questionnaire.

This section includes the following topics:

- Editing a Questionnaire in Draft Status
- Reviewing a Questionnaire in Open Status
- Editing a Questionnaire in In Review Status

Editing a Questionnaire in Draft Status

To edit a Questionnaire in Draft status, follow these steps:

1. Navigate to the Questionnaire Details page of questionnaire in status.

2. Click **Edit**. The Details tab changes into an editable mode.

    You can edit the following items while in Draft status:

    - Name
    - Description
    - Owner
    - Sections and Questions
    - Sequence Questions
    - Documents

3. After performing the appropriate actions, click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the Question remains in *Draft*.

    Or

Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

Validation messages:

- If any of the mandatory fields are not entered, then the following message is displayed: *Mandatory fields are not entered.*

- If any of the questions associated with the questionnaire are in *Open* status, then the following message is displayed: *All Questions created for the Questionnaire should be moved into Open status.*

- If the Questionnaire type is **Score Based**, then you must ensure the following:

    - You must define the scores for all response options of the questions, and also define the weights for all questions in Sections and Questions section. You must also ensure that the sum of all weights add up to 100. Else the following message is displayed: *Define scores for all Response Options and ensure that the sum of weights of all Questions is 100.*

    - Based on the selected purpose of the questionnaire, you must define rating limits for different results. Else the following message is displayed: *Ranges for Rating is not defined.*

    - If any of the combination results in a rating which is not defined within a range of 0 to 100, then the following message is displayed: *The rating derived for one of the combinations for selection of response options is out of range. Please check your scores again.*

    - If the purpose is selected as Inherent Risk, Control OE Assessment or Control DE Assessment values then you must define the range values. For other applications using the Questionnaire module, you must configure the range values manually.

- If the Questionnaire type is **Decision Tree**, then you must ensure the following:

    - You must select at least one result category from the drop-down list and ensure that you define the Selected Result rule for at least one response option. Else the following message is displayed: *There are no result categories defined. Please define result categories to proceed.*

    - You must define at least one End Section logic for any response option of a question. Else the following message is displayed: *Please ensure that there is a logical end to each section in the Questionnaire.*

    - You must define the End Questionnaire logic for any of the response option of the entire questionnaire. Else the following message is displayed: *Please provide a logical end to the Questionnaire.*

- If there is an existing Questionnaire with purposes such as Control Attestation, Process Attestation, Financial Attestation, Compliance Plan Attestation, SOX 302 Certification, SOX 404 Certification, Change Management, and Risk Event Type in *Open* status then the following message is displayed: *A Questionnaire for this purpose already exists. Do you want to replace the existing Questionnaire?*

Reviewing a Questionnaire in Open Status

You cannot edit a questionnaire in *Open* status. However, you can click **Review Questionnaire** action from Questionnaire Details page and move the questionnaire to *In Review* status. Subsequently, you can edit a questionnaire in *In Review* status.

To review a questionnaire in *Open* status, follow these steps:

1. Navigate to the Questionnaire Details page of questionnaire in *Open* status.

2. Click **Review Questionnaire**. The following message is displayed: *Are you sure you want to review the Questionnaire?*

   Note: If the questionnaire is associated with another entity, then on click of **Review Questionnaire** the following message is displayed: *Reviewing might result in this Questionnaire not being available for assessments temporarily. Do you want to continue?*

3. Click **OK**. The status of the question changes to *In Review*.

Editing a Questionnaire in In Review Status

To edit a questionnaire in In Review status, follow these steps:

1. Navigate to the Questionnaire Details page of questionnaire in *In Review* status.

2. Click **Edit**. The Details tab changes into an editable mode.

   You can edit the following items while in *In Review* status:

   - Name
   - Description
   - Owner
   - Sections and Questions
   - Sequence Questions
   - Documents

3. After performing the appropriate actions, click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the Question remains in *In Review*.

   Or

   Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful*. Click **OK**. The status of the question changes to *Open*. Subsequently, you can copy and review a question in *Open* status.

   Validation messages:

   - If any of the mandatory fields are not entered, then the following message is displayed: *Mandatory fields are not entered.*

   - If any of the questions associated with the questionnaire are in *Open* status, then the following message is displayed: *All Questions created for the Questionnaire should be moved into Open status.*

   - If the Questionnaire type is **Score Based**, then you must ensure the following:

     - You must define the scores for all response options of the questions, and also define the weights for all questions in Sections and Questions section. You must also ensure that the sum of all weights add up to 100. Else the following message is displayed: *Define scores for all Response Options and ensure that the sum of weights of all Questions is 100.*

- Based on the selected purpose of the questionnaire, you must define rating limits for different results. Else the following message is displayed: *Ranges for Rating is not defined.*

- If any of the combination results in a rating which is not defined within a range of 0 to 100, then the following message is displayed: *The rating derived for one of the combinations for selection of response options is out of range. Please check your scores again.*

- If the purpose is selected as Inherent Risk, Control OE Assessment or Control DE Assessment values then you must define the range values. For other applications using the Questionnaire module, you must configure the range values manually.

- If the Questionnaire type is **Decision Tree**, then you must ensure the following:

  - You must select at least one result category from the Result Category drop-down list and ensure that you define the Selected Result rule for at least one response option. Else the following message is displayed: *There are no result categories defined. Please define result categories to proceed.*

  - You must define at least one End Section logic for any response option of a question. Else the following message is displayed: *Please ensure that there is a logical end to each section in the Questionnaire.*

  - You must define the End Questionnaire logic for any of the response option of the entire questionnaire. Else the following message is displayed: *Please provide a logical end to the Questionnaire.*

- If there is an existing Questionnaire with purposes such as Control Attestation, Process Attestation, Financial Attestation, Compliance Plan Attestation, SOX 302 Certification, SOX 404 Certification, Change Management, and Risk Event Type in *Open* status then the following message is displayed: *A Questionnaire for this purpose already exists. Do you want to replace the existing Questionnaire?*

Editing Response Options of a Basic Questionnaire

To edit the response options of questions of a basic questionnaire, follow these steps:

1. Navigate to the Questionnaire Search and List page.

2. Click a questionnaire of type Basic in Draft or In Review status.

3. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

4. Expand the required Sections & Questions section where you to want edit the responses of a question.

5. Select a question and click **Edit Options**.

   The Response Option section is expanded below the selected question with the following options:

   a. **Add Option**: Click this button to add new response options to the question.

   b. **Delete Option**: Click this button to delete the response options. If the response option is used in other questionnaires and you try to save the delete action, then the following message is displayed: *Cannot delete Option <Response Option> as it is used in other questionnaires.*

   c. **Save**: Click this button to save any changes to the response options.

   d. **Close**: Click this button to close the response option section.

6. Select the check box against each response option for which you want the respondents to enter the comments mandatorily.

Note: *Is Question Mandatory?* and *Is Question Required?* check box options in the Questions section are selected by default.

7. Click **Save** on the response option section. The following message is displayed: *Update Operation Successful.*

8. Click **OK**.

   The Sections and Questions section in the Basic Questionnaire is updated with the new changes.

9. Click **Submit**. The questionnaire moves to *Open* status.

   Validation Messages While Submitting:

● If any of the response options is blank, then the following message is displayed: *Response Options cannot be left blank.*

● If the Question Type is selected as Range, then the entered range values should not overlap each other. Else the following message is displayed: *Overlapping ranges are not permitted.*

Editing Response Options of a Score Based Questionnaire

To edit the response options of questions of a score based questionnaire, follow these steps:

1. Navigate to the Questionnaire Search and List page.

1. Click a questionnaire of type Score Based in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Expand the required Sections & Questions section where you to edit the responses of a question.

4. Select a question and enter a weightage score for the question in the Weightage column.

5. Modify the *Is Question Mandatory?* and *Is Question Required?* check box options if required. By default, both the options are selected for the question.

6. Click **Update**. The following message is displayed: *Update Operation Successful.*

7. Click **OK**.

8. Click **Edit Options**.

   The Response Option section is expanded below the selected question with the following options:

   a. **Add Option**: Click this button to add new response options to the question.

   b. **Delete Option**: Click this button to delete the response options. If the response option is used in other questionnaires and you try to save the delete action, then the following message is displayed: *Cannot delete Option <Response Option> as it is used in other questionnaires.*

   c. **Save**: Click this button to save any changes to the response options.

   d. **Close**: Click this button to close the response option section.

   Note: You must enter only a positive integer including 0 as the weightage score. For Question Types **Free Text, Number**, and **Range as Number**, the weightage score is defaulted to 0 and cannot be edited. The sum of weights of all questions in a Questionnaire must add up to 100.

9. Modify the required response options.

10. Enter a score for each response option.

    Note:

    ■　　If the Question Type is Single Choice, you must mandatorily define the scores for each response options that are available for a question.

    ■　　If the Question Type is Range and Display Type is Range of Values, you must mandatorily define the scores for the lower and upper limits.

    ■　　If the Question Type is Range and Display Type is Number for a question, then you must mandatorily define the score for each response options.

11. Click **Save** on the response option section. The following message is displayed: *Update Operation Successful.*

12. Click **OK**. The Sections and Questions section in the Score Based Questionnaire is updated with the new changes.

13. Click **Submit**. The questionnaire moves to *Open* status.

    Validation Messages While Submitting:

    ■　　Based on the selected purpose of the questionnaire, you must define rating limits for different results. Else the following message is displayed: *Ranges for Rating is not defined.*

    ■　　If any of the combination results in a rating which is not defined within a range of 0 to 100, then the following message is displayed: *The rating derived for one of the combinations for selection of response options is out of range. Please check your scores again.*

    ■　　If the purpose is selected as Inherent Risk, Control OE Assessment or Control DE Assessment values then you must define the range values.

Editing Response Options of a Decision Tree Questionnaire

To edit the response options of questions of a decision tree questionnaire, follow these steps:

1. Navigate to the Questionnaire Search and List page.

2. Click a questionnaire of type Decision Tree in Draft or In Review status.

3. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

4. Expand the required Sections & Questions section where you to edit the responses of a question.

5. Select a question and click **Edit Options**.

    The Response Option section is expanded below the selected question with the following options:

    a. **Add Option**: Click this button to add new response options to the question.

    b. **Delete Option**: Click this button to delete the response options. If the response option is used in other questionnaires and you try to save the delete action, then the following message is displayed: *Cannot delete Option <Response Option> as it is used in other questionnaires.*

    c. **Save**: Click this button to save any changes to the response options.

    d. **Close**: Click this button to close the response option section.

6. Modify the required response options.

7. Click [icon] and enter a logic for the each response option.

8. Click [icon] and define results for each of the response option.

9. Click **Save** on the response option section. The following message is displayed: *Update Operation Successful.*

10. Click **OK**. The Sections and Questions section in the Decision Tree Questionnaire is updated with the new changes.

11. Click **Submit**. The questionnaire moves to *Open* status.

   Validation Messages While Submitting:

   ■ You must select at least one result category from the Result Category drop-down list and ensure that you define the Selected Result rule for at least one response option. Else the following message is displayed: *There are no result categories defined. Please define result categories to proceed.*

   ■ You must define the End Questionnaire logic for any of the response option of the entire questionnaire. Else the following message is displayed: *Please provide a logical end to the Questionnaire.*

Submitting a Questionnaire in Draft and In Review Status

After updating the questionnaire details, you can submit a questionnaire and move it to *Open* status.

To submit a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Edit**. The Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.

3. Click **Submit**.

   Validation Messages:

   ● If any of the mandatory fields are not entered, then the following message is displayed: *Mandatory fields are not entered.*

   ● If any of the questions associated with the questionnaire are in *Open* status, then the following message is displayed: *All Questions created for the Questionnaire should be moved into Open status.*

   ● If the Questionnaire type is **Score Based**, then you must ensure the following:

   ■ You must define the scores for all response options of the questions, and also define the weights for all questions in Sections and Questions section. You must also ensure that the sum of all weights add up to 100. Else the following message is displayed: *Define scores for all Response Options and ensure that the sum of weights of all Questions is 100.*

   ■ Based on the selected purpose of the questionnaire, you must define rating limits for different results. Else the following message is displayed: *Ranges for Rating is not defined.*

   ■ If any of the combination results in a rating which is not defined within a range of 0 to 100, then the following message is displayed: *The rating derived for one of the combinations for selection of response options is out of range. Please check your scores again.*

- ■ If the purpose is selected as Inherent Risk, Control OE Assessment or Control DE Assessment values then you must define the range values. For other applications using the Questionnaire module, you must configure the range values manually.

- ● If the Questionnaire type is **Decision Tree**, then you must ensure the following:

  - ■ You must select at least one result category from the Result Category drop-down list and ensure that you define the Selected Result rule for at least one response option. Else the following message is displayed: *There are no result categories defined. Please define result categories to proceed.*

  - ■ You must define at least one End Section logic for any response option of a question. Else the following message is displayed: *Please ensure that there is a logical end to each section in the Questionnaire.*

  - ■ You must define the End Questionnaire logic for any of the response option of the entire questionnaire. Else the following message is displayed: *Please provide a logical end to the Questionnaire.*

- ● If there is an existing Questionnaire with purposes such as Control Attestation, Process Attestation, Financial Attestation, Compliance Plan Attestation, SOX 302 Certification, SOX 404 Certification, Change Management, and Risk Event Type in *Open* status then the following message is displayed: *A Questionnaire for this purpose already exists. Do you want to replace the existing Questionnaire?*

4. If there are no errors detected, then the following message is displayed: *Update Operation Successful.*

5. Click **OK**. The status of the Questionnaire changes to *Open*.

Attaching Documents to a Questionnaire

You can attach relevant documents to a Questionnaire that a respondent can refer to while answering the questions.

To add an attachment to a questionnaire, follow these steps:

1. Navigate to Questionnaire Details page of a questionnaire in Draft, Open, or In Review status.

2. From Documents section, click **Attach Document**. The Attach Documents pop-up window is displayed:
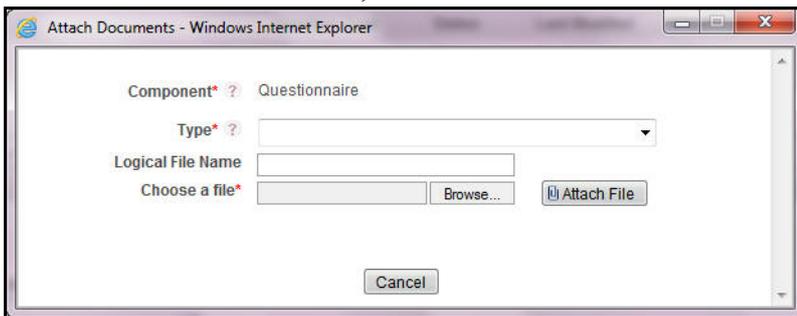
Figure 96. Attach Documents Window

3. Select a type from the drop-down options.

4. Enter a logical name for the attachment.

5. Browse and select one or more files for the questionnaire in the **Choose a File** text box.

6. Click **Attach File**. A confirmation message is displayed: *Add Operation Successful.*

7. Click **OK**.

Managing Administer

You can assign a questionnaire to an entity such as Risk, Control, Regulation, and Obligation specific to a business line and location for assessments. You can add respondents to the questionnaire, and also plan and schedule the assessment.

Note: This tab is enabled only for questionnaires of type Basic and Score Based with Purpose selected as Assessment or Generic.

This section has the following topics:

- Linking Business Units
- Linking Entities
- Adding Questionnaire Respondents
- Scheduling the Questionnaire for Assessment

Linking Business Units

If the Questionnaire is linked from a particular entity such as Risk, Control, Obligation and so on, then the Business Line & Location of the entity for which the Questionnaire was linked will be populated in the Business Units Covered section.

To manually link business units to a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Administer** tab.

3. From Business Units Covered section, click **Link**. A Choose Business Units window is displayed.

4. You can Search for the required Business Line and Location using the search bar and then select the business unit from the Business Units Lists.

   Or

   Select the required Business Unit(s) from the Business Units Lists that displays the pre-filtered list of business units through a default search criteria.

   Note: The Business Units list displays only the valid BU combinations applicable for the Questionnaire Creator.

5. Click **Link**. The following message is displayed: *Local Instance will be created for the selected Business Units. Do you want to continue?*.

6. Click **OK**. The following message is displayed: *Records Linked Successfully.*

7. Click **OK**. You are navigated to the Choose Business Units window.

8. Click **Close** to navigate back to the Administer tab in Questionnaire Details page.

   The linked business units are displayed in the Business Units Covered section.

   Note: To delink a linked business unit from the Questionnaire, select the check box against each row and click **Delink**.

Linking Entities

You can link entities such as **Risk**, **Control**, **Obligation** and **so on** for performing assessments. The section reflects the Purpose selected for the Questionnaire Type while creating a Questionnaire.

The following table lists the section names that will be displayed in the Administer tab as per the selected Purpose:

Table 83. Entity Names As Per the Selected Purpose

Purpose	Name of Section	Name of Entity List
Inherent Risk Assessment	Risks for Assessment	Risks
Control DE Assessment	Controls for Assessment	Controls
Control OE Assessment	Controls for Assessment	Controls
Regulation Assessment	Regulations for Assessment	Regulations
Obligation Assessment	Obligations for Assessment	Obligations

Note: This Entity section is not available for a Questionnaire with purpose as **Generic**.

To link an entity to a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Open or In Review status.

2. Click **Administer** tab.

3. From Entity (**Risk**, **Control**, **Obligation** and **so on**) section, click **Link**. A window is displayed.

4. You can Search for the required entities using the search bar and then select the entity from the Entity Lists.

   Or

   Select the required entities from the Entity Lists that displays the pre-filtered list of entities through a default search criteria.

   Note:

   For Risks and Controls records, the Entity Lists filters the records that are in *Open* status, records for which the Assessment Type is selected as Questionnaire Based, and records which are not linked to any questionnaire.

   In the search bar, you can also choose to filter the entity records that are already linked to a questionnaire through Linked Entities drop-down option.

5. Click **Link**. The following message is displayed: *Records Linked Successfully.*

6. Click **OK**.

7. Click **Back** to navigate back to the Administer tab in Questionnaire Details page.

   The linked entity records are displayed in the Entities section.

   Note: To delink a linked entity record from the Questionnaire, select the check box against each row and click **Delink**.

Adding Questionnaire Respondents

This tab contains the list of all respondents who will be answering or responding to the questionnaire.

To add respondents for the questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Administer** tab.

3. From Entity (**Risk**, **Control**, **Obligation** and **so on**) section, select a record for which you want to add resondents.

4. From Questionnaire Respondents section, click **Add Respondent**. A window is displayed.

5. You can Search for the required respondents using the search bar and then select the respondents from the Users Lists.

   Or

   Select the required respondents from the Users Lists that displays the pre-filtered list of respondents through a default search criteria.

6. Click **Link**. The following message is displayed: *Records Linked Successfully.*

7. Click **OK**.

8. Click **Cancel** to navigate back to the Administer tab in Questionnaire Details page.

   The added respondents are displayed in the Questionnaire Respondents section.

   Note:

   ■   To delete a respondent from the Questionnaire, select the check box against each row and click **Delete Respondent**.

   ■   If you have added the respondents from respective Risk/Control/Obligation/Regulation modules, then those respondents are auto populated in this section.

Scheduling the Questionnaire for Assessment

You can schedule the Questionnaire for Assessments for the selected respondents. To schedule a Questionnaire, you must create a plan.

Note: Planning and Scoping module is specific only to OR/GCM application. Other applications must use their own scheduling modules.

Managing Analyze

The Analyze tab displays the summary of all responses provided to the Questionnaire in each assessment by each respondent. This tab is enabled only for questionnaires of type Basic and Score Based with Purpose selected as Assessment or Generic.

Viewing Assessment Summary

This section lists the summary of assessments of the entities which have been linked to the Questionnaire in the Administer tab.

To view the Assessment Summary, follow these steps:

1. Navigate to the Questionnaire Details Page.

2. Click **Analyze** tab.

3. From Entities (**Risk**, **Control**, and **Obligation**) Assessment Summary list, select a questionnaire to view its response summary.

The response summary section displays the list of questions and corresponding responses of the respondents. This section also displays the count of users who selected particular response for each question in the questionnaire.

Reviewing a Questionnaire

If you want to edit or update the Questionnaire details, you can perform the **Review Questionnaire** action on a questionnaire in Open status from the Questionnaire Details page.

To review a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details page of questionnaire in *Open* status.

2. Click **Review Questionnaire**. The following message is displayed: *Reviewing the Question will render all Open Questionnaires using this Question to In-Review status. This might result in Questionnaires not being available for assessments. Do you want to continue?*

3. Click **OK**. The Details tab changes into an editable mode and the status of the questionnaire changes to *In Review* status.

4. Subsequently, you can edit and update the question details.

Sequencing a Questionnaire

You user can restructure the sequence of sections and questions included in the Questionnaire from the Questionnaire Details page.

To sequence the questions in a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Draft or In Review status.

2. Click **Sequence Questions**. The Sequence Sections & Questions window is displayed.

3. You can rearrange the order of the questions in a section, move a question from one section to another, and rearrange the order of the section.

4. After sequencing the sections and questions, click **Save Sequence**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**.

6. After sequencing the questions, click **Cancel** or ![X] to navigate back to Questionnaire Details page.

Previewing a Questionnaire

You user can preview a questionnaire from the Questionnaire Details page to assess the behavior and preview the questionnaire as viewed by the respondents while answering. A questionnaire can be previewed in *Draft*, *Open* and *In Review* status.

To preview a questionnaire, follow these steps:

1. Navigate to the Questionnaire Details Page of a questionnaire in Open status.

2. Click **Preview Questionnaire**. A Preview Questionnaire window is displayed.

    Note:

> ■ The Questionnaire lists the Sections and Questions in the order of the sequence as displayed in the Details page.

> ■ All questions display the entered response options.

> ■ All mandatory questions are highlighted with an asterisk mark.

3. After previewing the questionnaire, click **Back** or to navigate back to Questionnaire Details page.

Responding to Questionnaire

When a questionnaire assessment is initiated, users added as Respondents will receive a task in their Inbox.

To respond to a questionnaire, follow the steps given below:

1. From Open Tasks tab in Inbox, click on a Task ID.

   You will be directed to Questionnaire response page. The list of questions will display.

Figure 97. Questionnaire Response page

2. Enter the responses for all questions and click **Save**. The following message is displayed: *Add Operation successful*. Click **OK**. When you click **Save**, following four options will be available on Questionnaire response page.

> ■ Review

> ■ View Documents

> ■ Save

> ■ Submit

You can review the Assessment using the **Review** option, if required. Using **Review**, you can revise the responses with comments.
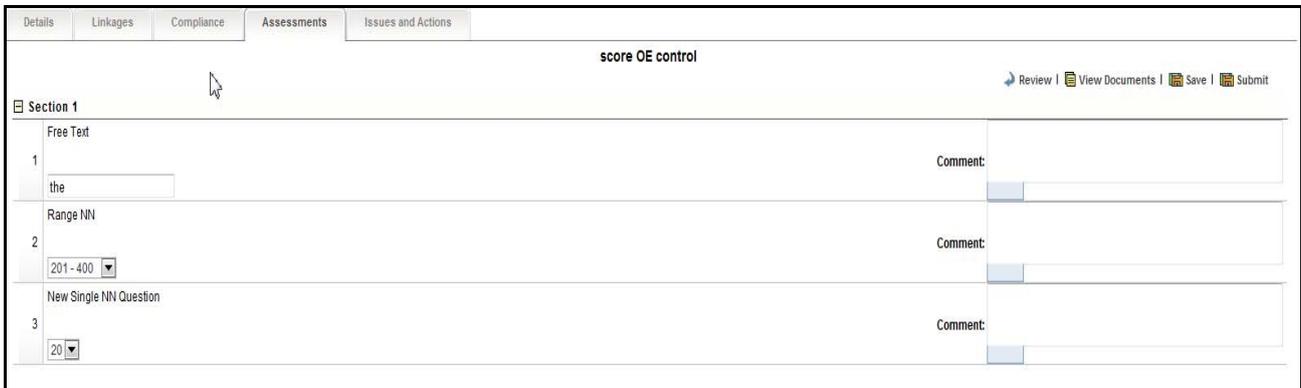
Figure 98. Review option

3. Click **Submit**. The following message is displayed: *Update Operation successful.* Click **OK**.

4. The responses and comments will not be editable after submitting the Questionnaire. You can only view the responses of questionnaire.

   The **View Documents** option shows the list of documents which are linked to the questionnaire.
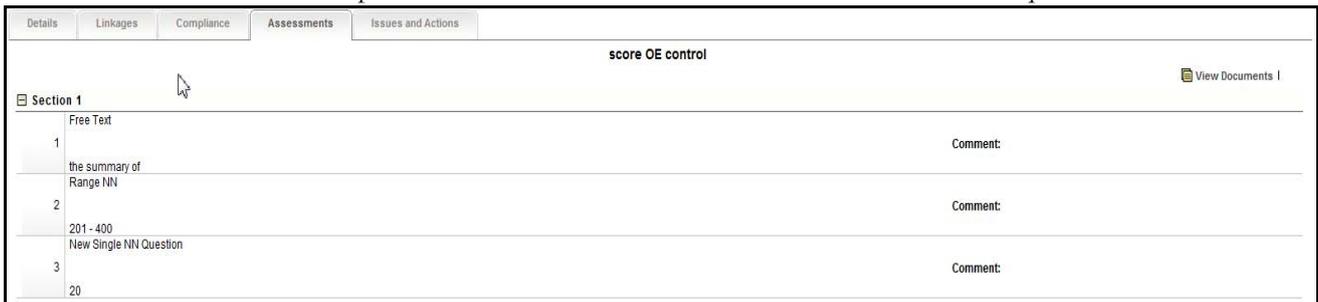
Figure 99. View Documents option

   The **Hide Documents** option hides the list of documents linked to Questionnaire.
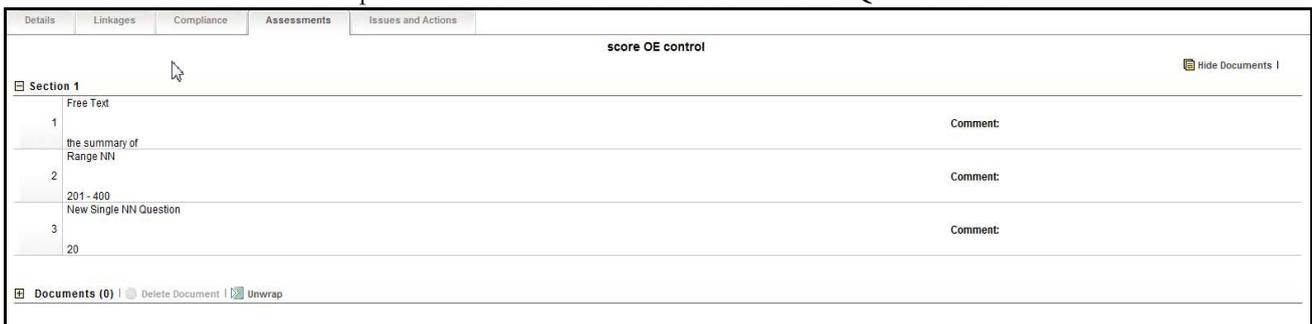
Figure 100. Hide Documents option

   Once the task is submitted, the task will be move to **Completed Tasks** tab. Here, you can view the task details.

Copying a Questionnaire

OFS OR/GCM enables you to create a duplicate copy of a questionnaire. Only a user mapped to the role of Questionnaire Creator can copy a questionnaire when in *Draft* and *In Review* status.

To create a duplicate questionnaire of an existing question, follow these steps:

1. From the Questionnaire Library Search and List page.

2. Select a questionnaire in *Draft* or *In Review* status.

3. Click **Copy Questionnaire**. The following message is displayed: *Successfully created questionnaire with ID <New Questionnaire ID>*.

4. Click **OK**. A duplicate copy of the selected questionnaire with a new ID is created in *Draft* status.

   To view the copied questionnaire, navigate to the Questionnaire List or search for copied questionnaire using the search bar.

   Note: The copied questionnaire will include all questionnaire details such as linked questions, scores defined for the response options and so on from the original questionnaire.

Deleting a Questionnaire

You user can delete a questionnaire when in *Draft* status if they are not applicable to the business or an organization.

To delete an questionnaire, follow these steps:

1. Navigate to the Questionnaire Library Search and List page.

2. Select a **Questionnaire ID** in *Draft* status.

3. Click **Delete Questionnaire**. The following message is displayed: *Are you sure you want to delete this record?*

4. Click **OK**. The following message is displayed: *Delete Operation Successful*.

5. Click **OK**. The system refreshes and displays the Questions Library Search and List page.

Back End Calculations for Ratings

The following example of Score Based Questionnaire for Inherent Risk Assessment explains the calculations that happens in back end while arriving at automatic ratings:

This section includes the following topics:

- Step 1: Defining Questions and Question Type

- Step 2: Defining a Questionnaire

- Step 3: Assigning Weights to Each Question

- Step 4: Define the Weightage Score for Each Questions

- Step 5: Assigning the Ratings for Inherent Risk Assessment

- Step 6: Answering the Questionnaire

- Step 7: Back End Calculations

- Step 8: Arriving at a Rating

Step 1: Defining Questions and Question Type

Define five Questions each with different Question Types as defined in the following table:

Table 84. Defining Questions and Question Type

Field Name	Description	Field Name
Questions	**Question Type**	**Response Options**
Question 1	Single Choice	**Response Options**
		High
		Medium
		Low
Question 2	Single Choice	**Response Options**
		Strongly Disagree
		Disagree
		Somewhat Agree
		Agree
		Strongly Agree
Question 3	Range	**Lower and Upper Limits**
		0 – 10000
		10001 – 50000
		50001 – 100000
		100001 – 9999999999
Question 4	Range & Display Option = Number	**Lower and Upper Limits**
		0 – 10000
		10001 – 50000
		50001 – 100000
		100001 – 9999999999
Question 5	Free Text/Number	No scores.

Step 2: Defining a Questionnaire

Define a Score Baed Questionnaire with purpose as Inherent Risk Assessment and link all the five questions to the Quetionnaire.

Step 3: Assigning Weights to Each Question

Define the scores for each response option as defined in the following table:

Table 85. Assigning Weights to Each Question

Questions	Question Type	Response Options	Scores for each Response Option
Question 1	Single Choice	High	1
		Medium	2
		Low	3
Question 2	Single Choice	Strongly Disagree	1
		Disagree	2
		Somewhat Agree	3
		Agree	4
		Strongly Agree	5
Question 3	Range	0 – 10000	1
		10001 – 50000	2
		50001 – 100000	3
		100001 – 9999999999	4
Question 4	Range & Display Option = Number	0 – 10000	1
		10001 – 50000	2
		50001 – 100000	3
		100001 – 9999999999	4
Question 5	Free Text	No scores.	

Step 4: Define the Weightage Score for Each Questions

Define the weightage score for each question as defined in the following table:

Table 86. Defining Weightage Score for Each Question

Questions	Question Type	Weightage
Question.1	Single Choice	11%
Question.2	Single Choice	21%
Question.3	Range	42%
Question.4	Range – Number	26%
Question.5	Free Text	N/A

Step 5: Assigning the Ratings for Inherent Risk Assessment

Define the ratings for the Inherent Risk Assessment as defined in the following table:

Table 87. Assigning Ratings for Assessment

Rating	Lower limit	Upper limit
Low	0	60
Medium	61	80
High	81	100
OR:		

Rating	Lower limit	Upper limit
Low	81	100
Medium	61	80
High	0	60

Step 6: Answering the Questionnaire

While assessing the questionnaire for Inherent Risk Assessment, enter the actual responses as defined in the following table:

Table 88. Entering the Responses

Questions	Question Type	Response Options	Scores for each Response Option	Actual Responses
Question 1	Single Choice	High	1	Low
		Medium	2	
		Low	3	
Question 2	Single Choice	Strongly Disagree	1	Somewhat Agree
		Disagree	2	
		Somewhat Agree	3	
		Agree	4	
		Strongly Agree	5	
Question 3	Range	0 – 10000	1	50001 - 100000
		10001 – 50000	2	
		50001 – 100000	3	
		100001 – 9999999999	4	
Question 4	Range & Display Option = Number	0 – 10000	1	25000
		10001 – 50000	2	
		50001 – 100000	3	
		100001 – 9999999999	4	
Question 5	Free Text	-	No scores.	Risk is overall low.

Step 7: Back End Calculations

The following table shows the back end calculations while arriving at the **Total Score** and the **Percentage**:

Table 89. Back End Calculations

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Questions	Question Types	Actual Response	Max Score	Actual Score	Weight for question	Weighted Max Score	Weighted Actual Score
Q.1	Single Choice	Low	3	3	11%	0.33	0.33
Q.2	Single Choice	Somewhat Agree	5	3	21%	1.05	0.63
Q.3	Range	50001-100000	4	3	42%	1.68	1.26
Q.4	Range – Number	25000	4	2	26%	1.04	0.52
Q.5	Free Text	Overall satisfactory	0	0	0%	0	0
		Total Score	16	11		4.11	2.74
		Percentage					**66.67%**

The following are the column wise calculations while arriving at the total score and the percentage:

1. Column 1 = Questions
2. Column 2 = Question Types
3. Column 3 = Actual Response
4. Column 4 = Maximum score based on the question definition
5. Column 5 = Actual score based on actual response
6. Column 6 = Weights for questions
7. Column 7 = Column 4 * Column 6 (Max Score * Weight)
8. Column 8 = Column 5 * Column 6 (Actual Score * Weight)
9. Percentage = 2.74 / 4.11 = 66.67%

Note: The Maximum Score that can be scored is 16 and the Actual Score scored is 11 without taking weights into consideration. When weights are considered, Maximum Score that can be scored is 4.11 and Actual Score scored is 2.74 which is 66.67%.

Step 8: Arriving at a Rating

Based on the final percentage, the inherent risk assessment rating is arrived based on rating limits defined in Table 87.

In this example, the Inherent Risk Assessment is assessed as **Medium**.

Managing Configuration Library

This section covers the following topics:

- About Configuration Library

- Configuration Library Workflow

- Accessing Configuration Library

- Searching Configuration Library

About Configuration Library

A Questionnaire Template consists of templates which can be used in a questionnaire. Users mapped to the role of Questionnaire Template Creator can create template in Questionnaire Template and can associate those templates to a Questionnaire. While creating a Questionnaire Template, a Questionnaire Template Creator can choose the questionnaire template type, display option, and define the response options. The Questionnaire Template will also list all the questionnaire template that were created.

Accessing Configuration Library

This section explains how to access the Configuration Library menu.

To access the Configuration Library menu, follow these steps:

1. Login to OFS OR/GCM application as Configuration Library Administrator.

2. Click **Admin** primary menu, hover over Questionnaire and select **Configuration Library.** The Configuration Library Search and List page is displayed

Figure 101. Configuration Library Search and List Page

A Configuration Library Administrator can perform a search either through simple search or by advanced search criteria.

Searching Configuration Library

The Configuration Library Search and List enables you to filter the list of Configuration that you want to view and analyze. The Configuration Library search bar supports two types of search-Search using Basic Search and Advanced Search.

The Configuration Library List displays a list of configurations that meet the criteria specified on the Configuration Library Search bar.

This section explains the following topics:

- Searching Configuration Library Using Basic Search

- Searching Configuration Library Using Advanced Search

Searching Configuration Library Using Basic Search

This search is based on limited set of search criteria such as the Configuration ID or Configuration Type and helps you to retrieve the relevant Configuration Library details.

To search for Configuration Library using Basic Search, follow these steps:

1. Navigate to the Configuration Library Search and List page.

   Note: By default, the Search option is selected in the search bar.

Figure 102. Searching Configuration with Basic Search Fields

2. Enter the following search criteria to filter the list of configurations.

Table 90. Basic Search Bar Fields

Criteria	Description
Configuration ID	Enter the sequential tracking number of the configuration library record. This field supports wildcard search.
Configuration Type	Enter the Configuration type relevant to search form the Configuration Type drop-down list. The two configuration types available are Purpose or Questionnaire.

3. Click **Go**. The relevant search list is displayed.

Searching Configuration Library Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with set of additional fields. If you know Processes details such as ID, Name, Application, Type, Purpose, Status, and so on, then you can filter the Questions using the Advanced Search

To search for questions using Advanced Search, follow these steps:

1. Navigate to the Configuration Library Search and List page.

   Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 103. Searching Configuration with Advanced Search fields

3. Enter the following search criteria to filter the list of questions.

Table 91. Advanced Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the question record. This field supports wildcard search.
Name	Enter the name of the template.
Application	Select the name of the application from the Application drop-down list.
Type	Select the name of the type from the Type drop-down list.
Purpose	Select the name of the purpose from the Purpose drop-down list.
Status	Select the status from the drop-down list to filter the list of questions with the selected status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● In Review
Last Modified From	Select a date from the calendar to display the list of questionnaire template whose last modified date is greater than or equal to the specified date.
Last Modified To	Select a date from the calendar to display the list of questionnaire template whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates.*

4. Click **Go**. The relevant search list is displayed.

> **Note:** If there are no records matcheing the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Managing Manage Respondents

This section covers the following topics:

● About Manage Respondents

● Manage Respondents Workflow

● Accessing Manage Respondents

● Searching Manage Respondents

- Delegating in Manage Respondent

About Manage Respondents

Manage respondent screen helps Peoples Manager and Admin to monitor the activities of the respondents/subordinates and allows them track the status of the tasks allocated to them. This allows people Manager/Admin to delegate tasks within the hierarchy.

Accessing Manage Respondents

This section explains how to access the Manage Respondents menu.

To access the Manage Respondents menu, follow these steps:

1. Login to OFS OR/GCM application as Localized Questionnaire Creator.

2. Click **Admin** primary menu, hover over Questionnaire and select **Manage Respondents.** The Manage Respondents Search and List page is displayed
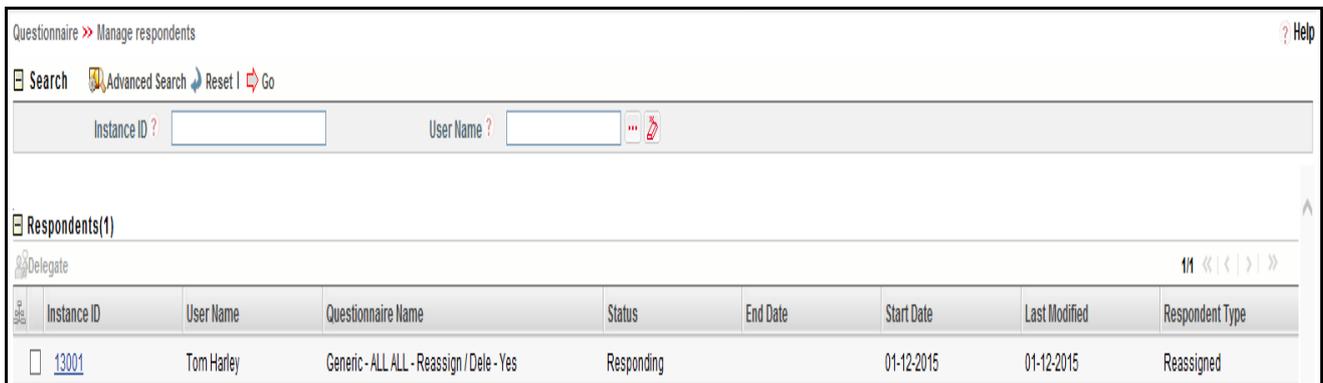
Figure 104. Manage Respondent Search and List Page

A Localized Questionnaire Creator can perform a search either through simple search or by advanced search criteria.

Searching Manage Respondents

The Manage Respondents Search and List enables you to filter the list of Respondents that you want to view and analyze. The Manage Respondents search bar supports two types of search-Search using Basic Search and Advanced Search.

The Manage Respondents List displays a list of respondents that meet the criteria specified on the Manage Respondents Search bar.

This section explains the following topics:

- Searching Manage Respondents Using Basic Search
- Searching Manage Respondents Using Advanced Search

Searching Manage Respondents Using Basic Search

This search is based on limited set of search criteria such as Instance ID or User Name and helps you to retrieve the relevant Manage Respondents details.

To search for Manage Respondents using Basic Search, follow these steps:

1. Navigate to the Manage Respondents Search and List page.

   Note: By default, the Search option is selected in the search bar.

Figure 105. Searching Manage Respondent with Basic Search Fields

2. Enter the following search criteria to filter the list of questions.

Table 92. Basic Search Bar Fields

Criteria	Description
ID	Enter the sequential tracking number of the questionnaire teamplate record. This field supports wildcard search.
Name	Enter the name of the template.

3. Click **Go**. The relevant search list is displayed.

Searching Manage Respondents Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with set of additional fields. If you know Processes details such as Instance ID, User Name, Questionnaire Name, Status, and so on, then you can filter the Respondents using the Advanced Search

To search for respondents using Advanced Search, follow these steps:

1. Navigate to the Manage Respondents Search and List page.

   Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 106. Searching Manage Respondent with Advanced Search fields

3. Enter the following search criteria to filter the list of respondents.

Table 93. Advanced Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the question record. This field supports wildcard search.
User Name	Enter the name of the template.
Questionnaire Name	Enter the name of the questionnaire.

Table 93. Advanced Search Criteria

Criteria	Description
Status	Select the status from the drop-down list to filter the list of questions with the selected status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● In Review
End Date	Select the end date from the calendar
Start Date	Select the start date from the calendar
Last Modified	Select a date from the calendar to display the list of questionnaire template whose last modified date is greater than or equal to the specified date.
Respondent Type	Select the type of repsondent from the Respondent Type drop-down.

4. Click **Go**. The relevant search list is displayed.

   Note: If there are no records matcheing the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Managing Distribution List

This section covers the following topics:

- About Distribution List

- Distribution List Workflow

- Accessing Distribution List

- Searching Distribution List

- Create Distribution

About Distribution List

Distribution List allows user to create Mailing list by Job code, People Heirarchy, Cost Centre, and so on. The created list can be called as and when user is adding respondent to Questionnaire.

Distribution List Workflow

The workflow of the Distribution List is depicted in the following diagram:

<Yet to confirm about this section>

Accessing Distribution List

This section explains how to access the Distribution List menu.

To access the Distribution List menu, follow these steps:

1. Login to OFS OR/GCM application as Distribution List Administrator.

2. Click **Admin** primary menu, hover over Questionnaire and select **Distribution List.** The Distribution List Search and List page is displayed
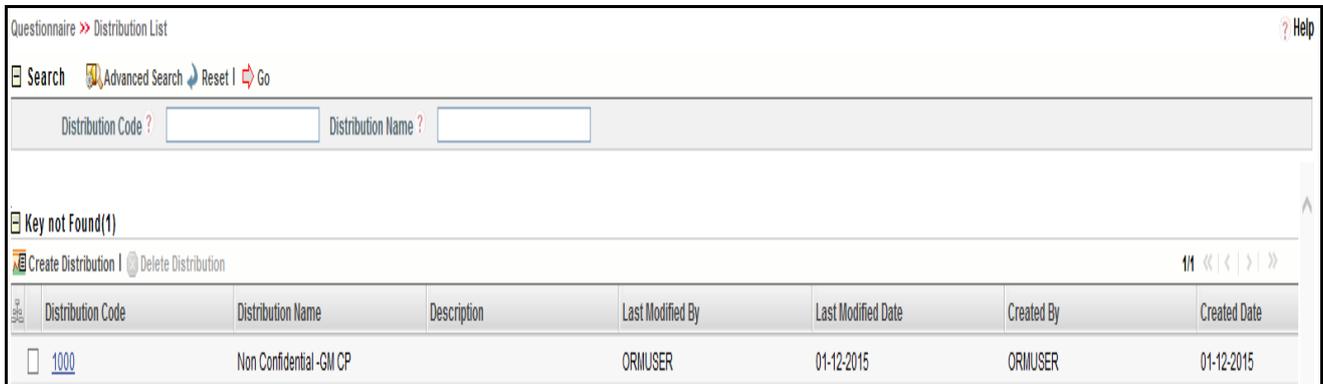
Figure 107. Distribution List Search and List Page

A Distribution List Administrator can perform a search either through simple search or by advanced search criteria.

Searching Distribution List

The Distribution List Search and List enables you to filter the list of Distributions that you want to view and analyze. The Distribution List search bar supports two types of search-Search using Basic Search and Advanced Search.

The Distribution List List displays a list of Distributions that meet the criteria specified on the Distribution List Search bar.

This section explains the following topics:

- Searching Distribution List Using Basic Search
- Searching Distribution List Using Advanced Search

Searching Distribution List Using Basic Search

This search is based on limited set of search criteria such as Distribution Code or Distribution Name and helps you to retrieve the relevant Distribution List details.

To search for Distribution List using Basic Search, follow these steps:

1. Navigate to the Distribution List Search and List page.

   Note: By default, the Search option is selected in the search bar.
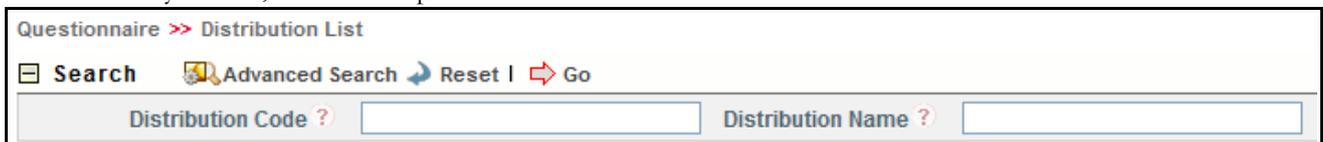
Figure 108. Searching Distribution List with Basic Search Fields

2. Enter the following search criteria to filter the list of distributions.

Table 94. Basic Search Bar Fields

Criteria	Description
Distribution Code	Enter the sequential tracking number of the questionnaire teamplate record. This field supports wildcard search.
Distribution Name	Enter the name of the template.

3. Click **Go**. The relevant search list is displayed.

Searching Distribution List Using Advanced Search

Advanced search provides more specific search. It offers the same search fields as provided for a basic search along with set of additional fields. If you know Processes details such as Distribution Code, Distribution Name, Description and so on, then you can filter the Distribution using the Advanced Search

To search for questions using Advanced Search, follow these steps:

1. Navigate to the Distribution List Search and List page.

   Note: By default, the Search option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search fields are displayed.

Figure 109. Searching Distribution List with Advanced Search fields

3. Enter the following search criteria to filter the list of questions.

Table 95. Advanced Search Criteria

Criteria	Description
Distribution Code	Enter the sequential tracking number of the question record. This field supports wildcard search.
Distribution Name	Enter the name of the template.
Description	Enter the description in the field.
Last Modified By	Select a date from the calendar to display the list of questionnaire template whose last modified date is greater than or equal to the specified date.
Last Modified Date	Select a date from the calendar to display the list of questionnaire template whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates.*
Created By	Enter the creator of the distribution list.
Created Date	Select a date from the calendar on which the distribution list is created.

4. Click **Go**. The relevant search list is displayed.

   Note: If there are no records matcheing the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

Create Distribution

Platform Feature

To create a new Distribution, follow these steps:

1. Navigate to the Distribution List Search and List page.

2. Click **Create Distribution**. The Distribution List Details page is displayed.

Figure 110. Create Distribution Page

3. Enter the following field in the definition page:

Table 96. Fields of Distribution Page

Field Name	Description
Distribution Name	Displays the sequential tracking number generated for the question. This is an auto-generated unique identification number and cannot be modified.
Description	Enter a detailed description about the question. This field allows you to enter a maximum of 3000 characters.

4. Click **Save** after entering the details. The Distribution is saved and is shown in the Distribution List Search and List page.

Link/Link All User Details

This section describes you how to **Link** or **Link All** the available users.

Figure 111. Distribution List Details Page

To Link or Link All the available users follow these steps:

1. Click on the existing Distribution.

2. Check the box of the required user from the list of available users.

3. After performing the appropriate actions, click **Save** to save the entered information.

Unlink/Unlink All User Details

This section describes you how **Unlink** or **Unlink** All the available users.

Figure 112. Distribution List Details Page

To Unlink or Unlink All the available users follow these steps:

1. Click on the existing Distribution.

2. Check the box of the existing linked user from the list of linked users.

3. After performing the appropriate actions, click **Save** to save the entered information.

CHAPTER 7

Managing Dashboards

This chapter provides complete details of the Dashboards module in the Oracle Financial Services Model Risk Management application and the step-by-step instructions to use this module.

This section explains the following topics:

- Overview
- Reports

Overview

The dashboard of OFSMRM integrates the results generated by the OFSMRM application with Oracle Business Intelligence (OBI), giving users the ability to perform queries on OFSMRM components. This ability enables the user to access seeded reports and dashboards and to quickly develop new reports on a wide variety of information.

Standard reports and dashboards are part of the installation of OFSMRM. You can implement these reports as they are available, or modify them to the specifications of your users. Within minutes, you can access valuable information such as High Risk Models and Usages, Model Validation Rating analysis, Aging of Model Issues, Heat map of components, and so on.

This chapter describes the available OFSMRM reports.

Access Dashboard

You can access Dashboards from the OFSMRM home page by clicking **Dashboard** menu. The available reports in Oracle Business Intelligence Enterprise Edition (OBIEE) are displayed. For more information on OBIEE, refer to Oracle Business Intelligence Enterprise Edition end user documents at http://www.oracle.com/technetwork/middleware/bi-foundation/documentation/bi-apps-098545.html.

Reports

The following Dashboards are available as part of OFSMRM application.

Executive Dashboard

The Executive Dashboard of OFSMRM includes few basic reports available. You can select a Business Line and Category to view the details.

- High Risk Models
- High Risk Usage
- Models by Regulation
- Usage by Regulation
- Current Vs Previous Model Validation Rating
- Current Vs Previous Usage Validation Rating
- Aging of Model Issues
- Aging of Usage Issues
- Model Validation Heat Map
- Usage Validation Heat Map
- Additional Reports
  - Model by Status
  - Usage by Status

Aging of Model Issues

This report provide you a detailed view of the number of Issues which have Model Issues pending to be resolved. This details the total number of Model Issues, Model Issues fixed on time, and pending Model Issues in different time frames.

Aging of Usage Issues

This report provide you a detailed view of the number of Models which have Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.
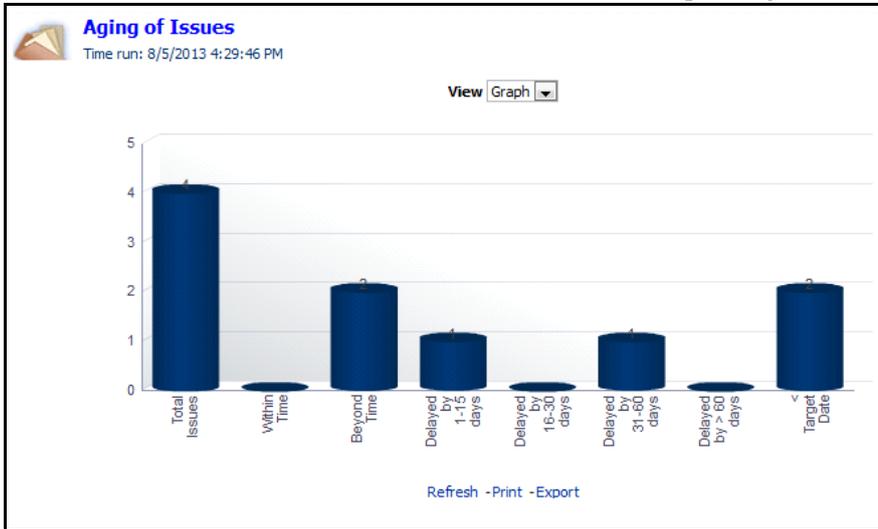
Additional Reports

The following additional reports are also present as part of the Executive Dashboard.

Model by Status

Model by Status displays the number of Models present is different workflow statuses. You can click the bars of the chart to view the details regarding these Models in each status.
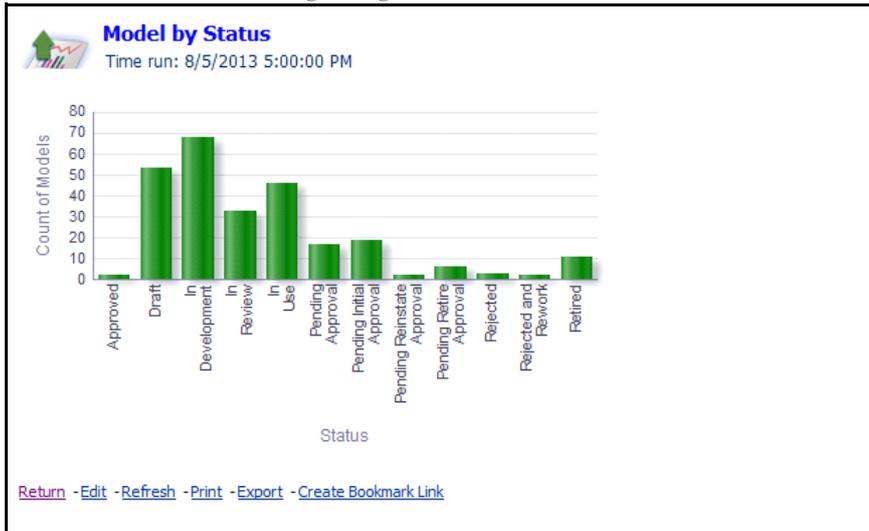
Usage by Status

Usage by Status displays the number of Usages present is different workflow statuses. You can click the bars of the chart to view the details regarding these Usages in each status.
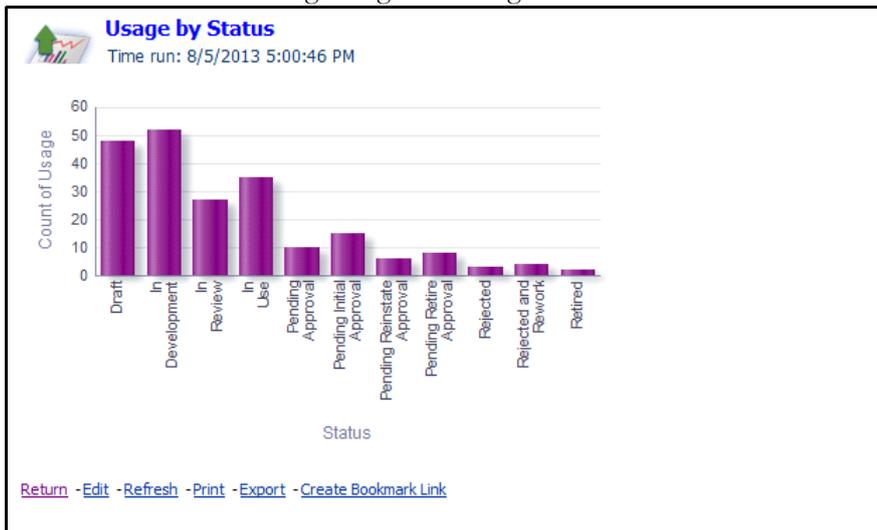
Issue & Actions

The following reports are available as part of Issue & Actions dashboard:

- Issues across Category

- Actions across Category

- Issues across Business Lines

- Actions across Business Lines

- Aging of Issues

- Aging of Actions

Issues across Category

Issues across Category provides you a detailed view of Issues across different categories. This report plots the number of Issues and Issue Cost for different categories such as Credit Risk, Liquidity Risk, and Market Risk.

Actions across Category

Actions across Category provides you a detailed view of Actions across different categories. This report plots the number of Actions and Action Cost for different categories such as Credit Risk and Liquidity Risk.

Issues across Business Lines

Issues across Business Lines provides you a detailed view of Issues across different Business Lines. This report plots the number of Issues and Issue Cost for different Business Lines such as Retail Banking, Retail Finance, and so on.

Actions across Business Lines

Actions across Business Lines provides you a detailed view of Actions across different Business Lines. This report plots the number of Actions and Action Cost for different Business Lines such as Retail Banking, Retail Finance, and so on.
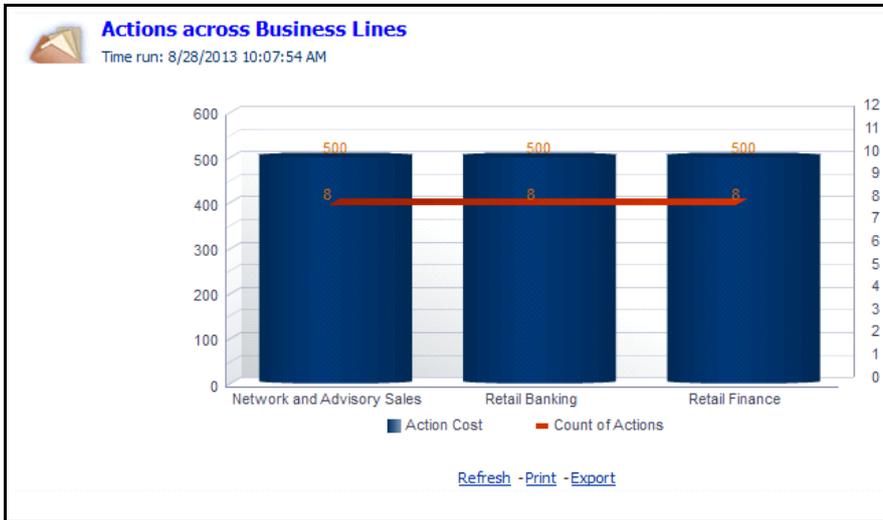
Aging of Issues

Aging of Issues report provide you a detailed view of the number of Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.
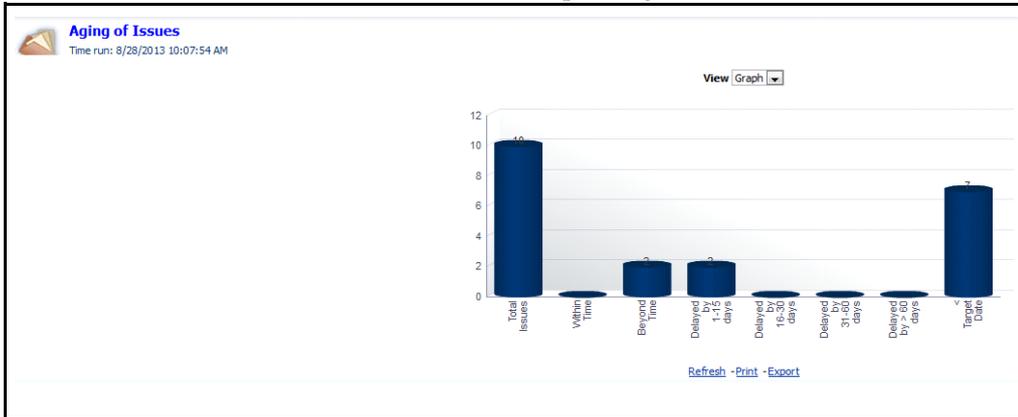
Aging of Actions

Aging of Issues report provide you a detailed view of the number of Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.
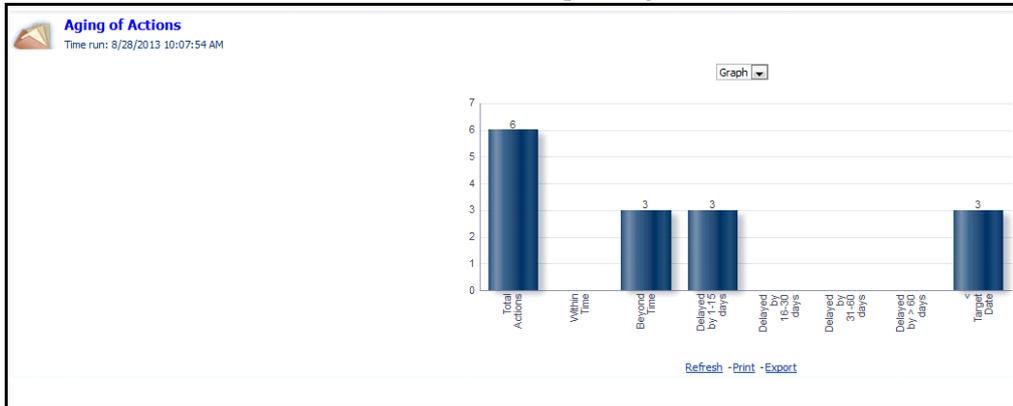
Model & Usage

The Model & Usage dashboard provides you the following reports in two different tabs, which are Models and Usage.

The reports available under Models tab are the following:

- High Risk Models

- Models by Regulation

- Current Vs Previous Model Validation Rating

- Model Validations Task Schedule

- Model Validation Heat Map

- Additional Reports

  - Model Status Report

  - Overdue Model Issues

  - Overdue Model Actions

  - Overdue Model Attestations

  - Overdue Model Validations

  - Overdue Model Change Log

  - Pending Approval Model Stages

  - Model Details

High Risk Models

This report provides you an insight to the number of Models, which are at risk among different Business Lines and Categories. You can choose to view the number of high risk Models either in various Business Lines or in different Categories.

You can also click any of the bar graph item to view the details of the High Risk Models in that Business Line or Category.

Models by Regulation

Models by Regulation report provides you a detailed view of the number of Models under different regulatories in a Business Line. You can choose to view the number of Models either in various Business Lines or in different Categories from the **View by** drop down list.
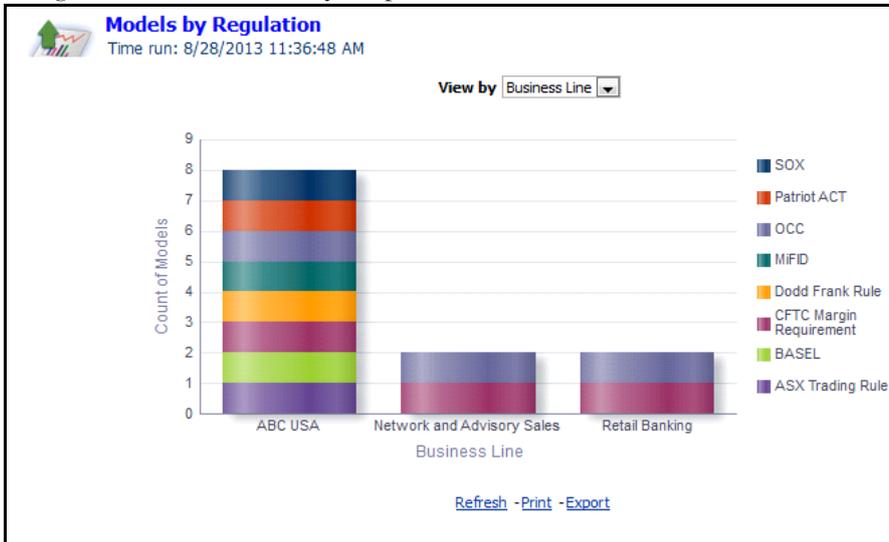
Current Vs Previous Model Validation Rating

Current Vs Previous Model Validation Rating report provides you the number of Models undergo different Validation Types.
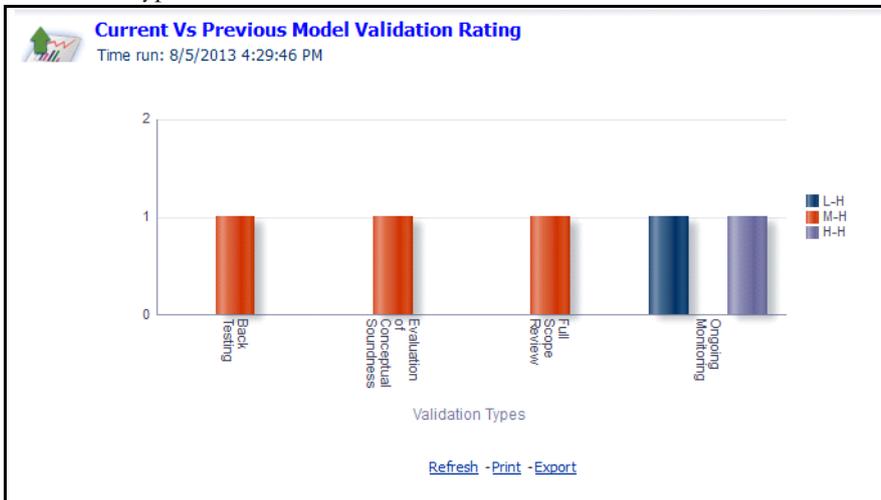
Model Validations Task Schedule

Model Validations Task Schedule provides you the percentage of the number of validations scheduled in different quarters.

Model Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Additional Reports

The following additional reports are part of Models tab of Models & Usage dashboard:

Model Status Report

Model Status Report provides you the number of Models present in different statuses.
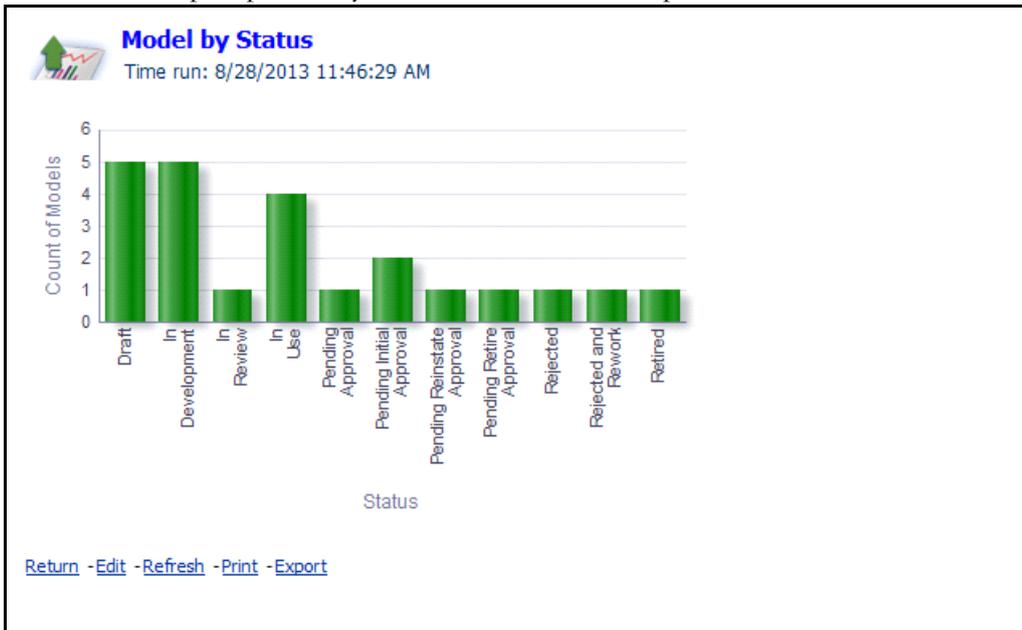
Overdue Model Issues

Overdue Model Issues report provides you the details of Models Issues, which are overdue.

Overdue Model Actions

Overdue Model Actions report provides you the details of Models Actions, which are overdue.

Overdue Model Attestations

Overdue Model Attestations report provides you the details of Models Attestations, which are overdue.

Overdue Model Attestations
Time run: 8/28/2013 11:49:50 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Criticality	Category	Attestation ID	Due Date
4MDL003	002	Many issues	Model Owner	BU Head	Private Banking	High	Credit Risk	81234748	25-Aug-13
4MDL006	002	Model	Model Owner	BU Head	Wholesale Banking	Low	Market Risk	81238264	26-Aug-13
4MDL01	001	Sanity test	Model Owner	BU Head	Private Banking	Low	Credit Risk	81231046	25-Aug-13
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking		Credit Risk	81245138	27-Aug-13

Return - Edit - Refresh - Print - Export

Overdue Model Validations

Overdue Model Validations report provides you the details of Models Validations, which are overdue.

Overdue Model Validations
Time run: 8/28/2013 11:50:47 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Category	Validation Type	Validation Frequency	Validation ID	Validator	Validation Source	DueDate
4MDL01	001	Sanity test	Model Owner	BU Head	Private Banking	Credit Risk	Ongoing Monitoring	Half Yearly	81230504		Schedule	8/26/2013 3:33:03 PM
							Outcome Analysis	Monthly	81233233		Adhoc	8/25/2013 3:34:04 PM
											Schedule	8/25/2013 3:33:03 PM
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking	Credit Risk	Control	Monthly	81229855		Adhoc	8/25/2013 11:58:39 AM
												8/25/2013 1:07:31 PM
											Schedule	8/25/2013 11:58:21 AM

Return - Edit - Refresh - Print - Export

Overdue Model Change Log

Overdue Model Change Log report provides you the details of Models Change Log, which are overdue.

Overdue Model Change Log
Time run: 8/28/2013 11:51:53 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Category	Change Log ID	Change Name	Change Source	Owner	Created by	Closed By	Closed On	Due Date
2.0	2.0	credit risk model for change log	Model Owner	BU Head	ABC USA	Credit Risk	81230053	test change	Internal	MOWN	MRGA	MRGA		24-Aug-13
3.0	3.0	This is for testing the MRM This is for testing th	Model Owner	BU Head	ABC USA	Market Risk	81239231	changed	Internal	MRGS	MOWN	MOWN		26-Aug-13
							81239704	hnhg	Internal	MRGA	MOWN	MOWN		27-Aug-13
							81239711	fffffffffffffff	External	MOWN	MOWN	MOWN		26-Aug-13
4MDL006	002	Model	Model Owner	BU Head	Wholesale Banking	Market Risk	81244181	new change log	Internal	MRGA	QAUSER	QAUSER		25-Aug-13
							81244273	tester	Internal	MOWN	QAUSER	QAUSER		27-Aug-13
MDL0080	001	This wil be rejected for rework	Morron Ownes	BU Head	Private Banking	Credit Risk	81239789	fghbfs	External	MRGS	MOWN	MOWN		26-Aug-13
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking	Credit Risk	81245585	tested	External	QAUSER	MRMUSER	MRMUSER		27-Aug-13

Return - Edit - Refresh - Print - Export

Pending Approval Model Stages

Pending Approval Model Stages report provides you the details of Models Stages, which are Pending Approval.

Pending Approval Model Stages
Time run: 8/28/2013 11:52:56 AM

Model ID	Version	Model Name	Model Owner	Stage ID△▽	Stage Name	Stage Owner	Stage Approver	Pending From
issue	issue	issue	Model Owner	3	Analysis Plan	ML	SAPP	8/26/2013 12:00:00 AM

Return - Edit - Refresh - Print - Export

Model Details

Model Details report provides you the details of all the Models available.

The reports available under Usage tab are the following:

- High Risk Usage

- Usage by Regulation

- Current Vs Previous Usage Validation Rating

- Usage Validations Task Schedule

- Usage Validation Heat Map

- Additional Reports

  - Usage Status Report

  - Overdue Usage Issues

  - Overdue Usage Actions

  - Overdue Usage Attestations

  - Overdue Usage Validations

  - Overdue Usage Change Log

  - Pending Approval Usage Stages

  - Usage Details

High Risk Usage

This report provides you an insight to the number of Usages, which are at risk among different Business Lines and Categories. You can choose to view the number of high risk Usage either in various Business Lines or in different Categories.
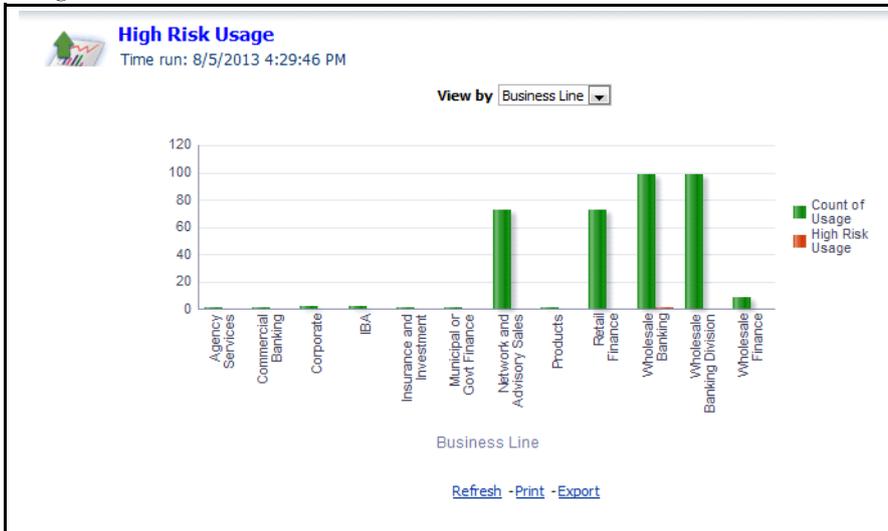
You can also click any of the bar graph item to view the details of the High Risk Usage in that Business Line or Category.

Usage by Regulation

Usage by Regulation report provides you a detailed view of the number of Usage under different regulatories in a Business Line. You can choose to view the number of Usage either in various Business Lines or in different Categories from the **View by** drop down list.
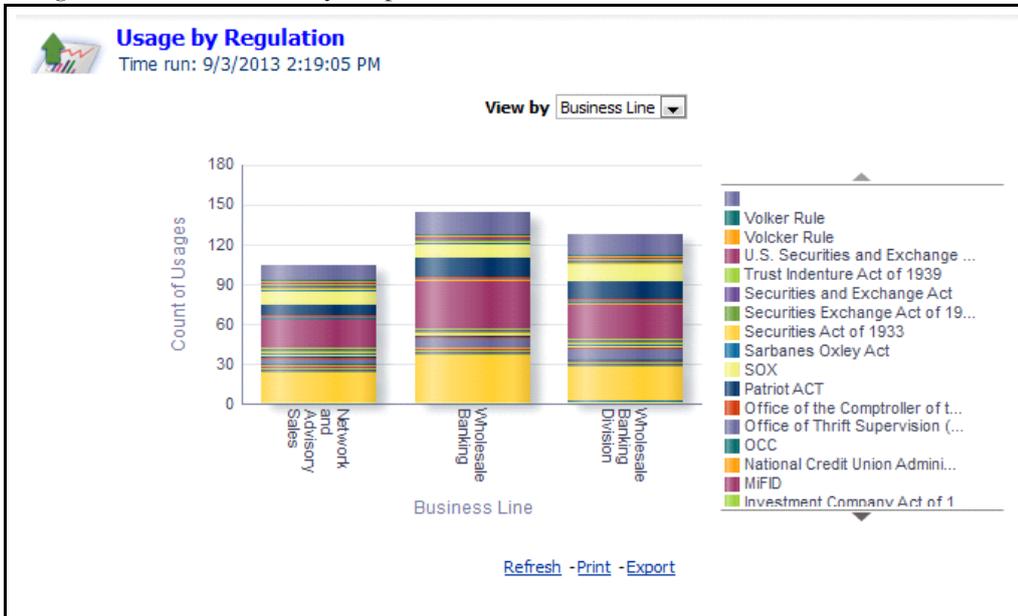
Current Vs Previous Usage Validation Rating

Current Vs Previous Usage Validation Rating report provides you the number of Usages undergo different Validation Types.
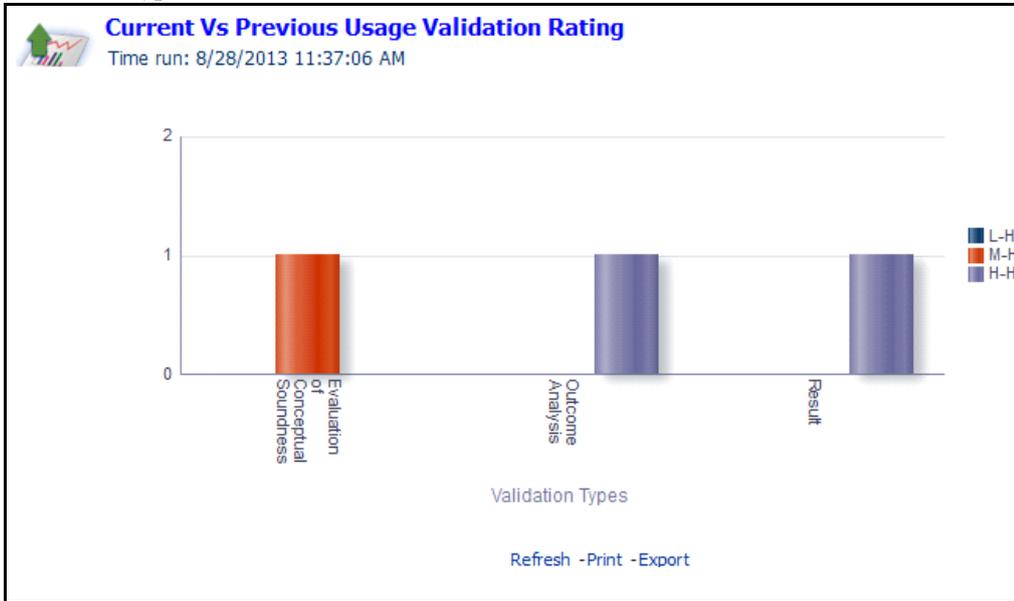
Usage Validations Task Schedule

Usage Validations Task Schedule provides you the percentage of the number of validations scheduled in different quarters.
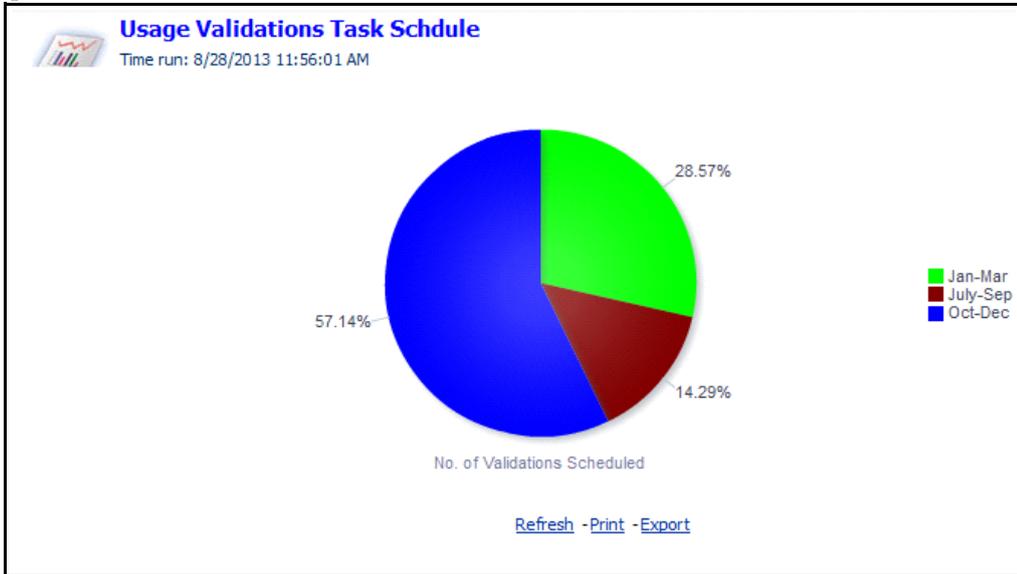
Usage Validation Heat Map

Usage Validation heat map provides you a detailed view of Usages with validation ratings. This report tabulates the validation details with details such as Usage ID, Usage Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Additional Reports

The following additional reports are part of Usage tab of Models & Usage dashboard:

Usage Status Report

Usage Status Report provides you the number of Usage present in different statuses.
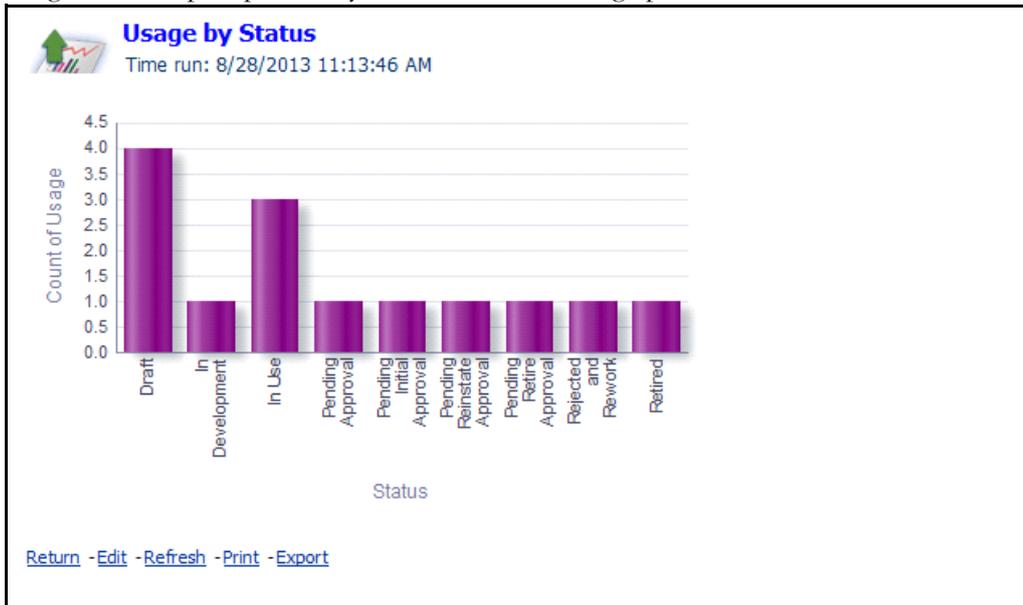
Overdue Usage Issues

Overdue Usage Issues report provides you the details of Usage Issues, which are overdue.

Overdue Usage Actions

Overdue Usage Actions report provides you the details of Usage Actions, which are overdue.

Overdue Usage Attestations

Overdue Usage Attestations report provides you the details of Usage Attestations, which are overdue.

Overdue Usage Validations

Overdue Usage Validations report provides you the details of Usage Validations, which are overdue.

Overdue Usage Change Log

Overdue Usage Change Log report provides you the details of Usage Change Logs, which are overdue.

Pending Approval Usage Stages

Pending Approval Usage Stages report provides you the details of Usage Stages, which are Pending Approval.

Usage Details

Usage Details report provides you then details of all the Usage available.

Validations

The Validations dashboard provides you the following reports:

- Model Validation Heat Map
- Usage Validation Heat Map
- Validator Occupancy Report

Model Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Usage Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Validator Occupancy Report

Validator Occupancy Report provides you the number of Models and Usages assigned to each of the users with Validator role in the applications.